U.S. Small Business Administration
FY 2008 Performance Data Validation and Verification
Certification of Data Quality for Public Reporting

Managing for results and integrating performance with budget information require valid, reliable and high-quality performance measures and data. SBA program offices are responsible for the quality of data that they provide for reporting in the Agency's annual Performance and Accountability Report. Data quality has the following characteristics:

Valid: The performance indicator is relevant to the program; steps were taken to assure that the data is complete; the data covers the entire fiscal year, and; the indicator can be used by decision-makers to manage the program.

Verifiable: Documentation is maintained that allows an independent third party review to conclude that the results are accurately reported.

Accordingly, the SBA Office of Performance Management requires program managers to rate the data quality for each performance indicator confirming that the data quality is high, or disclose any known or suspected weaknesses. Data quality rated:

High: Has no known weaknesses, accurately represents the results of the program and may be independently verified.

Medium: Has some known or suspected weaknesses, but is of sufficient quality to manage and/or represent the program results and may be independently verified.

Low: Has significant weaknesses and cannot be used to manage or represent the results of the program. Data rated "Low" is not used for reporting in the Performance and Accountability Report.

The table on the following pages lists each performance indicator by strategic goal, lists a tracking number for the program and performance indicator, indicates whether it is an output or outcome indicator, confirms that the data is valid and verifiable, and certifies the data quality as "High" or "Medium."

Following the table are copies of the forms filled out and signed by program office managers that are titled, Certification of Data Quality for Public Reporting. These forms certify the data quality for each performance indicator. Tracking numbers found on the upper right corner of each sheet can be used to identify the specific performance indicator.

U.S. Small Business Administration
FY 2008 Data Validation and Verification
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Tracking No.	Program	Performance Indicator	Type	Validation	Certification
Strategic Goal 1 - *Expand America's ownership society, particularly in underserved markets*					
Financial Assistance					
1 - 1	7(a)	Loans Funded (#)	Output	Complete	Medium
1 - 2	7(a)	Small Businesses Assisted (#)	Output	Complete	Medium
1 - 3	7(a)	Underserved Markets - Loans Funded (#)	Output	Complete	Medium
1 - 4	7(a)	Underserved Markets - Small Businesses Assisted (#)	Output	Complete	Medium
1 - 5	7(a)	Jobs Created/Retained (#)	Outcome	Complete	Medium
2 - 1	504	Loans Funded (#)	Output	Complete	Medium
2 - 2	504	Small Businesses Assisted (#)(1)	Output	Complete	Medium
2 - 3	504	Underserved Markets - Loans Funded (#)	Output	Complete	Medium
2 - 4	504	Underserved Markets - Small Businesses Assisted (#)	Output	Complete	Medium
2 - 5	504	Jobs Created/Retained (#)	Outcome	Complete	Medium
3 - 1	Int'l Trade	Loans Funded (#)	Output	Complete	Medium
3 - 2	Int'l Trade	Small Businesses Assisted (#)	Outcome	Complete	Medium
3 - 3	Int'l Trade	Underserved Markets - Small Businesses Assisted (#)	Outcome	Complete	Medium
4 - 1	Microloan	Loans Funded (#)	Output	Complete	Medium
4 - 2	Microloan	Small Businesses Assisted (#)	Outcome	Complete	Medium
5 - 1	SBIC	Small Businesses Assisted (#)	Outcome	Complete	High
5 - 2	SBIC	Underserved Markets - Small Businesses Assisted (#)	Outcome	Complete	Medium
6 - 1	SBG	Final Surety Bond Guaranties (#)	Output	Complete	Medium
6 - 2	SBG	Total Bonds (#)	Output	Complete	Medium
6 - 3	SBG	Underserved Markets - Final Surety Bond Guaranties (#)	Output	Complete	Medium
Management and Technical Assistance					
7 - 1	SBDC	Multi-Year Extended Engagement Clients (#)	Output	Complete	Medium
7 - 2	SBDC	Small Businesses Created (#) (1)	Outcome	Complete	Medium
7 - 3	SBDC	Capital Infusion ($ Billion)	Outcome	Complete	Medium
8 - 1	WBC	Small Businesses Assisted (#)	Output	Complete	Medium
8 - 2	WBC	Jobs Created/Retained (#) (1)	Outcome	Complete	Medium
8 - 3	WBC	Small Businesses Created (#) (1)	Outcome	Complete	Medium
9 - 1	SCORE	Small Businesses Assisted (#)	Output	Complete	Medium
9 - 2	SCORE	Small Businesses Created (#)	Outcome	Complete	Medium
10 - 1	DFWP	Small Businesses Educated (#)	Output	Complete	Medium
10 - 2	DFWP	Programs Implemented (#)	Output	Complete	Medium
Contracting Assistance					
11 - 1	7(j)	Small Businesses Assisted (#)	Output	Complete	High
12 - 1	8(a)	Small Businesses Assisted (#)	Outcome	Complete	High
13 - 1	HUBZone	Small Businesses Assisted (#)	Outcome	Complete	Medium
13 - 2	HUBZone	Annual Value of Federal Contracts ($ Billion)	Outcome	Complete	High
14 - 1	Prime Contracting	Federal Contract Dollars Awarded to Small Businesses ($ Billion)	Output	Complete	High
14 - 2	Prime Contracting	Jobs Created/Retained (#)	Outcome	Complete	High
15 - 1	SDB	Small Businesses Certified (#)	Output	Complete	High

		District Offices Support - All Assistance Areas			
18 - 1	OFO/8(a)	Annual 8(a) Reviews (%)	Output	Complete	Medium
18 - 2	OFO/DO	Small Businesses Assisted - Counseling/Training (#)	Outcome	Complete	Medium
Tracking No.	**Program**	**Performance Indicator**	**Type**	**Validation**	**Certification**
		Strategic Goal 2 - *Provide timely financial assistance to homeowners, renters, nonprofit organizations and businesses affected by disaster*			
		Disaster Assistance			
19 - 1	Disaster	Disasters Having Field Presence Within 3 Days (%)	Output	Complete	High
19 - 2	Disaster	Loans With Initial Disbursements Within 5 Days of Loan Closing (%)	Output	Complete	High
19 - 3	Disaster	Time to Process 85% of Home Applications (Days)	Output	Complete	High
19 - 4	Disaster	Time to Process 85% of Business Physical Applications (Days)	Output	Complete	High
19 - 5	Disaster	Time to Process 85% of EIDL Applications (Days)	Output	Complete	High
19 - 6	Disaster	Small Businesses Sustaining Economic Injury That Remain Operational 6 Months After Final Disbursement (%)	Outcome	Complete	High
19 - 7	Disaster	Small Businesses Sustaining Physical Damage Restored Within 6 Months After Final Disbursement (%)	Outcome	Complete	High
19 - 8	Disaster	Homeowners Restoring Their Homes Within 6 Months of Final Disbursement (%)	Outcome	Complete	High
19 - 9	Disaster	Renters Restored Within 6 Months After Final Disbursement (%)	Outcome	Complete	High
19 - 10	Disaster	Customer Satisfaction Rate (%)	Outcome	Complete	High
		Strategic Goal 3 - *Improve the economic environment for small business*			
		Regulatory Assistance			
16 - 1	Advocacy	Research Publications (#)	Output	Complete	High
16 - 2	Advocacy	Regulatory Cost Savings to Small Businesses ($ Billion)	Outcome	Complete	Medium
16 - 3	Advocacy	Regulatory Staff With In-House Regulatory Flexibility Act Expertise (#)	Outcome	Complete	High
16 - 4	Advocacy	States Considering Legislative/Executive Regulatory Flexibility Action (#)	Outcome	Complete	High
16 - 5	Advocacy	Research Publications and Data Reports in Curricula (#)	Outcome	Complete	High
16 - 6	Advocacy	Cost per $1 Million Savings ($)	Efficiency	Complete	Medium
17 - 1	Business Gateway	Hours Saved (# in Millions)	Outcome	Complete	High
17 - 2	Business Gateway	Customer Satisfaction (%)	Outcome	Complete	High
17 - 3	Business Gateway	Referrals to Partner Sites per Month (%) (1)	Outcome	Complete	High
		Strategic Goal 4 - *Ensure management and organizational excellence to increase responsiveness to customers, streamline processes, and improve compliance and controls*			
		Ensure Management Excellence			
20 - 1	OCIO	IT Systems Availability (%)	Output	Complete	High
20 - 2	OCIO	Unauthorized Network or Data Breaches (#)	Outcomes	Complete	High
21 - 1	OCFO	Unqualified Opinions for Audit Year	Outcomes	Complete	High
21 - 2	OCFO	Number of Material Weaknesses (#)	Outcomes	Complete	High

Certification of Data Quality for Public Reporting   1- 1

Indicator: 7(a) Loans Funded (#)

The data quality for this indicator is considered (**Check one**):

☑ **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

☐ **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)☐ Actual or☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

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1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

   Loans "funded" is a dynamic number because of loan cancellations, modifications, etc.

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2. Describe procedures currently being applied to mitigate the weaknesses:
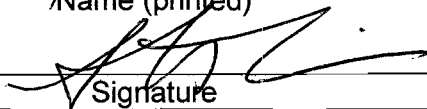
   Enhanced systems and transparency

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3. Describe actions planned to improve the quality of the data in future reporting cycles:

Stephen Kucharski	Senior IT Prog Mgr.
Name (printed)	Title
Signature	Title

2

Validation of Data Used in Performance Measure
Enter Office name: Office of Financial Assistance
7(a) Loan Program

Performance Indicator Title	Number of loans funded (#)

Section I: Indicator Definition and Relevance

Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1; 1.2
Why chose this indicator	This indicator identifies the number of small business 7(a) guaranteed loans that have been approved during the fiscal year net of cancellations during that same fiscal year.
Briefly describe relevance of this indicator for measuring program success	By definition, a lender would not have provided the financing to the small business without SBA's guaranty.
Briefly describe how this indicator is used or will be used to manage the program	This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses that would not have received financial assistance otherwise.
Indicator measures an output (process) or outcome (result)	Check One: ✔ Output ☐ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Outcomes would be revenue growth and job creation. Without SBA's guaranty, the small business would not have received the financing required to establish itself (new), or grow (existing).
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Unknown.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Numbers of loans approved (net of cancellations) to small businesses.
Formula used to calculate the indicator (if appropriate)	None.
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	No changes.

Section II: Indicator Quality

Describe the data collection process for the indicator: 1. Identify the event or action that creates a	1. Event or Action: An SBA guaranteed loan is

Validation of Data Used in Performance Measure

data record (e.g., an approved loan):	approved and funds are allocated. Event or Action: If subsequently the guaranteed loan is cancelled, the total number of approvals, year-to-date, is reduced by the number of cancellations.
2. Identify how the data record is captured:	2. The data record is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number. For cancellations, the data record is captured by SBA's systems when the loan is identified as cancelled by SBA personnel in the servicing centers.
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	3. Immediate
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	4. SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made.
5. ID the system of record for the indicator, e.g., what system did the information come from?	5. Office of Computer Information – Mainframe Report Name: LAAR 64

Identify the date that actual year-end data will be available for reporting.	Five business days after the close of the fiscal year.
Describe the process to ensure that the reported data is complete and accurate	Systems are reviewed periodically by the OIG, GAO and SBA's auditors.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	A large proportion of 7(a) loan approvals are recorded from entries by lenders using E-tran (a web-based electronic submission system). There can be data entry errors. However, numerous "rules" are built into E-tran to minimize these errors.
Describe any outstanding OIG or GAO recommendation that affect this indicator	N/A
Describe plans to address limitations to accuracy or completeness of data	N/A
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A

Indicator: 7 (a) SB Assisted (#)

The data quality for this indicator is considered (**Check one**):

☑ **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

☐ **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one) ☐ Actual or ☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

We rely on lender submissions for small businesses assisted.

2. Describe procedures currently being applied to mitigate the weaknesses:

We have implemented stringent data validation rules and have follow-up from our field offices.

3. Describe actions planned to improve the quality of the data in future reporting cycles:

Stephen Kucharski	IT Proj Mgr.
Name (printed)	Title
Signature	Title

2

Validation of Data Used in Performance Measure
Enter Office name: Office of Financial Assistance
7(a) Loan Program

Performance Indicator Title	Number of Small Businesses Assisted (#)
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1; 1.2
Why chose this indicator	This indicator identifies the number of small businesses that have been assisted by SBA by receiving approval for an SBA-guaranteed loan (net of cancellations).
Briefly describe relevance of this indicator for · measuring program success	By definition, a lender would not have provided the financing to the small business without SBA's guaranty.
Briefly describe how this indicator is used or will be used to manage the program	This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses that would not have received financial assistance otherwise.
Indicator measures an output (process) or outcome (result)	Check One: ☑ Output ☐ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Outcomes would be revenue growth and job creation. Without SBA's guaranty, the small business would not have received the financing required to establish itself (new), or grow (existing).
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Unknown.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Numbers of loans approved (net of cancellations) to different small businesses.
Formula used to calculate the indicator (if appropriate) ·	No. of loans approved (net of cancellations) times 85 percent.
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	No changes.
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a	 1. Event or Action: An SBA guaranteed loan is

Validation of Data Used in Performance Measure

data record (e.g., an approved loan):	approved and funds are allocated. A study was done to indicate the percentage of loans to different small businesses during a fiscal year. That percentage is applied against the number of loans approved, net of cancellations.
2. Identify how the data record is captured:	2. The data record is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number. For cancellations, the data record is captured by SBA's systems when the loan is identified as cancelled by SBA personnel in the servicing centers.
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	3. Immediate
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	4. SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made.
5. ID the system of record for the indicator, e.g., what system did the information come from?	5. Office of Computer Information – Mainframe Report Name: LAAR 64

Identify the date that actual year-end data will be available for reporting.	Five business days after the close of the fiscal year.
Describe the process to ensure that the reported data is complete and accurate	Systems are reviewed periodically by the OIG, GAO and SBA's auditors.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	A large proportion of 7(a) loan approvals are recorded from entries by lenders using E-tran (a web-based electronic submission system). There can be data entry errors. However, numerous "rules" are built into E-tran to minimize these errors.
Describe any outstanding OIG or GAO recommendation that affect this indicator	N/A
Describe plans to address limitations to accuracy or completeness of data	N/A
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A

Indicator: 7(a) Underserved Markets - Loans Funded (#)

The data quality for this indicator is considered (**Check one**):

☑**MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

☐ **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)☐ Actual or☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

   Some lenders may be unfamiliar with "Underserved" definition.

2. Describe procedures currently being applied to mitigate the weaknesses:

   Training/Education on underserved

3. Describe actions planned to improve the quality of the data in future reporting cycles:

Stephen Kuharski	Senior IT Program Mgr
Name (printed)	Title
Signature	Title

2

Validation of Data Used in Performance Measure
Enter Office name: Office of Capital Access

Performance Indicator Title	USM – SB Loans Funded (#) – 7(a) Program

Section I: Indicator Definition and Relevance

Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1; 1.2
Why chose this indicator	This indicator identifies the number of small businesses that meet the definition of "underserved markets" that have been assisted by SBA by receiving approval for an SBA guaranteed loan (net of cancellations).
Briefly describe relevance of this indicator for measuring program success	By definition, a lender would not have provided the financing to the small business without SBA's guaranty.
Briefly describe how this indicator is used or will be used to manage the program	This indictor is used by management to identify SBA's success in promoting financial assistance to small businesses that meet the definitions of the "underserved markets" that would not have received the financial assistance requested otherwise.
Indicator measures an output (process) or outcome (result)	Check One: ☑ **Output** ☐ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Outcome would be revenue growth and job creation for businesses that meet the definition of "underserved markets".
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Unknown
Detailed definition of indicator. E.g.: ○ Units of measure ($, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used	Number of Loans approved (net of cancellations) to small businesses identified as meeting one of the definitions of "underserved markets". The definitions are businesses located in a HUB Zone, Low-to-Moderate Income (LMI) area or an Enterprise Zone or Economic Communities (EZ/EC).
Formula used to calculate the indicator (if appropriate)	none
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	No changes

Section II: Indicator Quality

Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan):	1. Event or Action: An SBA guaranteed loan is approved and funds are allocated. 2. The data record is captured by SBA's

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2. Identify how the data record is captured:	system at the time of SBA loan approval when budget funds are allocated to the loan approval number. For cancellations, the data record is captured by SBA's systems when the loan is identified as cancelled by SBA personnel in the serving centers.
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	3. A week after the loans are approved. 4. SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made and an additional week is needed to geo-code each loan.
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	5. OCIO – Mainframe
5. ID the system of record for the indicator, e.g., what system did the information come from?	
Identify the date that actual year-end data will be available for reporting.	Five businesses days after the close of the fiscal year.
Describe the process to ensure that the reported data is complete and accurate	Main frame Systems are reviewed periodically by the OIG, GAO and SBA's auditors.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	A large proportion of 7(a) loan approvals are recorded from entries by lenders using E-Tran. There can be limitations to accuracy due to inaccuracy in reporting business addresses as well as new addresses not being recognized by the geo-coding system.
Describe any outstanding OIG or GAO recommendation that affect this indicator	n/a
Describe plans to address limitations to accuracy or completeness of data	n/a
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	n/a

Indicator: 7 (a) - Underserved Markets - Small Businesses Assisted

The data quality for this indicator is considered (**Check one**):

☑ **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

☐ **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)☐ Actual or☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

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1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

   We rely on lenders data accuracy

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2. Describe procedures currently being applied to mitigate the weaknesses:

   Training/Education on data definitions

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3. Describe actions planned to improve the quality of the data in future reporting cycles:

Stephen Krchurski	Senior IT Program mgr
Name (printed)	Title
Signature	Title

2

Validation of Data Used in Performance Measure
Enter Office name: Office of Capital Access

Performance Indicator Title	USM – SB Assisted (#) – 7(a) Program
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1; 1.2
Why chose this indicator	This indicator identifies the number of small business that have been assisted by SBA by receiving approval for an SBA-guaranteed loan (jet of cancellations) in the Underserved Markets.
Briefly describe relevance of this indicator for measuring program success	This indicators emphasis SBA's presence in the Underserved Markets.
Briefly describe how this indicator is used or will be used to manage the program	This indictor is used by management to identify SBA's success in promoting financial assistance to small businesses in the Underserved Markets.
Indicator measures an output (process) or outcome (result)	Check One: ☑ **Output** ☐ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Outcome would be revenue growth and job creation. Without SBA's guaranty, the small business would not have received the financing required to establish itself.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Unknown
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Number of Loans approved (net of cancellations) to different small businesses in the Underserved Markets.
Formula used to calculate the indicator (if appropriate)	No. of loans approved (net of cancellations) in the Underserved Markets times 85 percent.
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	No changes
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan): 2. Identify how the data record is captured:	1. Event or Action: An SBA guaranteed loan is approved and funds are allocated. The Underserved Markets are defined as the three geographic codes (HUB Zone, LMI and EZ/EC) and each loan is coded in SBA's loan accounting system based on its business address.

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3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly): 4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): 5. ID the system of record for the indicator, e.g., what system did the information come from?	2. The data record is captured by SBA's system at the time of SBA loan approval when budget funds are allocated to the loan approval number. For cancellations, the data record is captured by SBA's systems when the loan is identified as cancelled by SBA personnel in the serving centers. 3. A week after the loans are approved. 4. SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made and an additional week is needed to geo-code each loan. 5. OCIO – Mainframe
Identify the date that actual year-end data will be available for reporting.	Five businesses days after the close of the fiscal year and an additional week afterwards.
Describe the process to ensure that the reported data is complete and accurate	Systems are reviewed by the SBA's Office of Field Operations
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	A large proportion of 7(a) loan approvals are recorded from entries by lenders using E-Tran. There can be limitations to accuracy due to inaccuracy in reporting business addresses as well as new addresses not being recognized by the geo-coding system.
Describe any outstanding OIG or GAO recommendation that affect this indicator	n/a
Describe plans to address limitations to accuracy or completeness of data	n/a
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	n/a

Indicator: 7 (a) - Jobs Created/Retained (#)

The data quality for this indicator is considered (**Check one**):

[✓] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)[ ] Actual or[ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

   Since many of our loans are start-ups this data is an estimate from our lenders

2. Describe procedures currently being applied to mitigate the weaknesses:

   We continually stress the importance of this data to our lenders

3. Describe actions planned to improve the quality of the data in future reporting cycles:

Stephen Kucharski	*Senior IT Program Manager*
Name (printed)	Title
Signature	Title

2

Enter Office name:

Performance Indicator Title	Jobs Created/Retained (#) – 7(a) Program
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1; 1.2
Why chose this indicator	**This indicator identifies the number of job created/retained as a result of SBA loans.**
Briefly describe relevance of this indicator for measuring program success	This indicator shows the impact of SBA loans on small businesses.
Briefly describe how this indicator is used or will be used to manage the program	This indictor is used by management to identify SBA's success in helping businesses grow jobs.
Indicator measures an output (process) or outcome (result)	Check One: ☐ Output ☑ **Outcome**
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	N/A
If applicable, describe any limitations on the relevance of this indicator for measuring program success	This data is self-reporting.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Number of jobs created/retained
Formula used to calculate the indicator (if appropriate)	none
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	none
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan): 2. Identify how the data record is captured: 3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	This data is self-reported and appears in the SBA loan application form.

4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): 5. ID the system of record for the indicator, e.g., what system did the information come from?	
Identify the date that actual year-end data will be available for reporting.	15 Days after the close
Describe the process to ensure that the reported data is complete and accurate	There is no process to verify the data at SBA.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	Self-Reported data.
Describe any outstanding OIG or GAO recommendation that affect this indicator	none
Describe plans to address limitations to accuracy or completeness of data	SBA is currently looking for an alternative outcome measure (Business Longevity) and believes it will be more accurate than this measure.
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	none

Indicator: 504-Loans Funded

The data quality for this indicator is considered (**Check one**):

[✓] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)[ ] Actual or[ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

   This number is net of loan cancellations, so it creates some ambiguity.

2. Describe procedures currently being applied to mitigate the weaknesses:

   Cancellations are reported immediately

3. Describe actions planned to improve the quality of the data in future reporting cycles:

Stephen Kucharski	*IT Program Mgr*
Name (printed)	Title
Signature	Title

Validation of Data Used in Performance Measure
Enter Office name: Office of Financial Assistance
504 Loan Program

Performance Indicator Title	**Number of Loans Funded to ~~Existing~~ Small Businesses (#)**
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1; 1.2
Why chose this indicator	This indicator identifies the number of small business 504 guaranteed loans that have been approved during the fiscal year net of cancellations during that same fiscal year.
Briefly describe relevance of this indicator for measuring program success	By definition, a Certified Development Company (and the first mortgage lender) would not have provided the financing to the small business without SBA's guaranty.
Briefly describe how this indicator is used or will be used to manage the program	This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses that would not have received financial assistance otherwise.
Indicator measures an output (process) or outcome (result)	Check One: ☑ Output ☐ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Outcomes would be revenue growth and job creation. Without SBA's guaranty, the small business would not have received the financing required to grow.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Unknown.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Numbers of loans approved (net of cancellations) to existing small businesses.
Formula used to calculate the indicator (if appropriate)	None.
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	No changes.
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a	 1. Event or Action: An SBA guaranteed loan is

data record (e.g., an approved loan):	approved and funds are allocated.
2. Identify how the data record is captured:	Event or Action: If subsequently the guaranteed loan is cancelled, the total number of approvals, year-to-date, is reduced by the number of cancellations.
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	2. The data record is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number. For cancellations, the data record is captured by SBA's systems when the loan is identified as cancelled by SBA personnel in the servicing centers.
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	3. Immediate
5. ID the system of record for the indicator, e.g., what system did the information come from?	4. SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made. 5. Office of Computer Information – Mainframe Report Name: LAAR 64
Identify the date that actual year-end data will be available for reporting.	Five business days after the close of the fiscal year.
Describe the process to ensure that the reported data is complete and accurate	Systems are reviewed periodically by the OIG, GAO and SBA's auditors.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	There can be data entry errors. However, numerous "rules" are built into the mainframe to minimize these errors.
Describe any outstanding OIG or GAO recommendation that affect this indicator	N/A
Describe plans to address limitations to accuracy or completeness of data	N/A
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A

Indicator: 504 - Small Businesses Assisted (#)

The data quality for this indicator is considered (**Check one**):

☑ **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

☐ **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)☐ Actual or☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

---

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

   We rely on lender input.

---

2. Describe procedures currently being applied to mitigate the weaknesses:

   Enhancing technology and increasing lender training

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3. Describe actions planned to improve the quality of the data in future reporting cycles:

Stephen Kuchwski	Senior IT Prog Mgr
Name (printed)	Title
Signature	Title

Validation of Data Used in Performance Measure
Enter Office name: Office of Financial Assistance
504 Loan Program

Performance Indicator Title	Number of ~~Existing~~ Small Businesses Assisted
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1; 1.2
Why chose this indicator	This indicator identifies the number of existing small businesses that have been assisted by SBA by receiving approval for an SBA-guaranteed loan (net of cancellations).
Briefly describe relevance of this indicator for measuring program success	By definition, a Certified Development Company (and the first mortgage lender) would not have provided the financing to the small business without SBA's guaranty.
Briefly describe how this indicator is used or will be used to manage the program	This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses that would not have received financial assistance otherwise.
Indicator measures an output (process) or outcome (result)	Check One: ☑ Output ☐ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Outcomes would be revenue growth and job creation. Without SBA's guaranty, the small business would not have received the financing required to grow.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Unknown.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Numbers of loans approved (net of cancellations) to different existing small businesses.
Formula used to calculate the indicator (if appropriate)	No. of loans approved (net of cancellations) times 91 percent.
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	No changes.
Describe the data collection process for the indicator: 1. Identify the event or action that creates a	 1. Event or Action: An SBA guaranteed loan is

data record (e.g., an approved loan):	approved and funds are allocated.
2. Identify how the data record is captured:	A study was done to indicate the percentage of loans to different small businesses during a fiscal year. That percentage is applied against the number of loans funded (net of cancellations).
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	2. The data record is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number. For cancellations, the data record is captured by SBA's systems when the loan is identified as cancelled by SBA personnel in the servicing centers.
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	3. Immediate
5. ID the system of record for the indicator, e.g., what system did the information come from?	4. SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made.
	5. Office of Computer Information – Mainframe Report Name: LAAR 64
Identify the date that actual year-end data will be available for reporting.	Five business days after the close of the fiscal year.
Describe the process to ensure that the reported data is complete and accurate	Systems are reviewed periodically by the OIG, GAO and SBA's auditors.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	There can be data entry errors. However, numerous "rules" are built into SBA's loan accounting computer system to minimize these errors.
Describe any outstanding OIG or GAO recommendation that affect this indicator	N/A
Describe plans to address limitations to accuracy or completeness of data	N/A
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A

Indicator: 504-Underserved Markets- SB Loans Funded (#)

The data quality for this indicator is considered (**Check one**):

[✓] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)[ ] Actual or[ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

---

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

   Geocoding software may not be perfect, we rely on lenders data input.

---

2. Describe procedures currently being applied to mitigate the weaknesses:

   Enhancing technology and lender training

---

3. Describe actions planned to improve the quality of the data in future reporting cycles:

Stephen Kucharski	*Senior IT Proj Mgr*
Name (printed)	Title
Signature	Title

2

Performance Indicator Title	USM – SB Loans Funded (#) – 504 Program

Section I: Indicator Definition and Relevance

Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1; 1.2
Why chose this indicator	This indicator identifies the number of small businesses that meet the definition of "underserved markets" that have been assisted by SBA by receiving approval for an SBA guaranteed loan (net of cancellations).
Briefly describe relevance of this indicator for measuring program success	By definition, a lender would not have provided the financing to the small business without SBA's guaranty.
Briefly describe how this indicator is used or will be used to manage the program	This indictor is used by management to identify SBA's success in promoting financial assistance to small businesses that meet the definitions of the "underserved markets" that would not have received the financial assistance requested otherwise.
Indicator measures an output (process) or outcome (result)	Check One: ☐ **Output** ☐ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Outcome would be revenue growth and job creation for businesses that meet the definition of "underserved markets".
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Unknown
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Number of Loans approved (net of cancellations) to small businesses identified as meeting one of the definitions of "underserved markets". The definitions are businesses located in a HUB Zone, Low-to-Moderate Income (LMI) area or an Enterprise Zone or Economic Communities (EZ/EC).
Formula used to calculate the indicator (if appropriate)	none
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	No changes

Section II: Indicator Quality

Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan):	1. Event or Action: An SBA guaranteed loan is approved and funds are allocated. 2. The data record is captured by SBA's

2. Identify how the data record is captured:	system at the time of SBA loan approval when budget funds are allocated to the loan approval number. For cancellations, the data record is captured by SBA's systems when the loan is identified as cancelled by SBA personnel in the serving centers.
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	3. A week after the loans are approved.
	4. SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made and an additional week is needed to geo-code each loan.
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	5. OCIO – Mainframe
5. ID the system of record for the indicator, e.g., what system did the information come from?	
Identify the date that actual year-end data will be available for reporting.	Five businesses days after the close of the fiscal year.
Describe the process to ensure that the reported data is complete and accurate	Main frame Systems are reviewed periodically by the OIG, GAO and SBA's auditors.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	A large proportion of 7(a) loan approvals are recorded from entries by lenders using E-Tran. There can be limitations to accuracy due to inaccuracy in reporting business addresses as well as new addresses not being recognized by the geo-coding system.
Describe any outstanding OIG or GAO recommendation that affect this indicator	n/a
Describe plans to address limitations to accuracy or completeness of data	n/a
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	n/a

Indicator: 504 - Underserved Markets - SBAssisted (#)

The data quality for this indicator is considered (**Check one**):

[☑] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)[ ] Actual or[ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

   We rely on lenders to input data correctly and there may be discrepancies with geocoding

2. Describe procedures currently being applied to mitigate the weaknesses:

   Training / Education and updating technology

3. Describe actions planned to improve the quality of the data in future reporting cycles:

Stephen Kucharsky	Senior IT Prog Mgr
Name (printed)	Title
Signature	Title

2

Performance Indicator Title	USM – SB Assisted (#) – 504 Program
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1; 1.2
Why chose this indicator	This indicator identifies the number of small business that have been assisted by SBA by receiving approval for an SBA-guaranteed loan (jet of cancellations) in the Underserved Markets.
Briefly describe relevance of this indicator for measuring program success	This indicators emphasis SBA's presence in the Underserved Markets.
Briefly describe how this indicator is used or will be used to manage the program	This indictor is used by management to identify SBA's success in promoting financial assistance to small businesses in the Underserved Markets.
Indicator measures an output (process) or outcome (result)	Check One: ☑ Output ☐ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Outcome would be revenue growth and job creation. Without SBA's guaranty, the small business would not have received the financing required to establish itself.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Unknown
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Number of Loans approved (net of cancellations) to different small businesses in the Underserved Markets.
Formula used to calculate the indicator (if appropriate)	No. of loans approved (net of cancellations) in the Underserved Markets times 91 percent.
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	No changes
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan): 2. Identify how the data record is captured:	1. Event or Action: An SBA guaranteed loan is approved and funds are allocated. The Underserved Markets are defined as the three geographic codes (HUB Zone, LMI and EZ/EC) and each loan is coded in SBA's loan accounting system based on its business address.

3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	2. The data record is captured by SBA's system at the time of SBA loan approval when budget funds are allocated to the loan approval number. For cancellations, the data record is captured by SBA's systems when the loan is identified as cancelled by SBA personnel in the serving centers.
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	3. A week after the loans are approved. 4. SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made and an additional week is needed to geo-code each loan.
5. ID the system of record for the indicator, e.g., what system did the information come from?	5. OCIO – Mainframe
Identify the date that actual year-end data will be available for reporting.	Five businesses days after the close of the fiscal year and an additional week afterwards.
Describe the process to ensure that the reported data is complete and accurate	Systems are reviewed by the SBA's Office of Field Operations
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	A large proportion of 7(a) loan approvals are recorded from entries by lenders using E-Tran. There can be limitations to accuracy due to inaccuracy in reporting business addresses as well as new addresses not being recognized by the geo-coding system.
Describe any outstanding OIG or GAO recommendation that affect this indicator	n/a
Describe plans to address limitations to accuracy or completeness of data	n/a
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	n/a

Indicator: 504 - Jobs Created/Retained (#)

The data quality for this indicator is considered (Check one):

[✓] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is _insufficient_ for this data to be used to manage the program; i.e., the results for this indicator should **NOT** be publicly reported.

The data provided represent (Check one)[ ] Actual or[ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

   This is based on a lenders estimate

2. Describe procedures currently being applied to mitigate the weaknesses:

   IT is a mandatory data field on the application

3. Describe actions planned to improve the quality of the data in future reporting cycles:

   Stephen Kucharski

   _____   Senior IT Program Mgr
   Name (printed)   Title

   _____
   Signature   Title

Validation of Data Used in Performance Measure
Enter Office name:

Performance Indicator Title	**Jobs Created/Retained (#) – 504 Program**
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1; 1.2
Why chose this indicator	This indicator identifies the number of job created/retained as a result of SBA loans.
Briefly describe relevance of this indicator for measuring program success	This indicator shows the impact of SBA loans on small businesses.
Briefly describe how this indicator is used or will be used to manage the program	This indictor is used by management to identify SBA's success in helping businesses grow jobs.
Indicator measures an output (process) or outcome (result)	Check One: ☐ Output ☑ **Outcome**
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	N/A
If applicable, describe any limitations on the relevance of this indicator for measuring program success	This data is self-reporting.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Number of jobs created/retained
Formula used to calculate the indicator (if appropriate)	none
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	none
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan): 2. Identify how the data record is captured: 3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	This data is self-reported and appears in the SBA loan application form.

4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): 5. ID the system of record for the indicator, e.g., what system did the information come from?	
Identify the date that actual year-end data will be available for reporting.	15 Days after the close
Describe the process to ensure that the reported data is complete and accurate	There is no process to verify the data at SBA.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	Self-Reported data.
Describe any outstanding OIG or GAO recommendation that affect this indicator	none
Describe plans to address limitations to accuracy or completeness of data	SBA is currently looking for an alternative outcome measure (Business Longevity) and believes it will be more accurate than this measure.
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	none

Indicator: International Trade - Loans Funded (#)

The data quality for this indicator is considered (**Check one**):

☒ **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

☐ **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)☐ Actual or☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

① _see attached, pg 2_

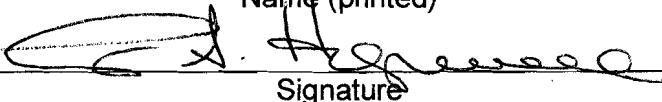2. Describe procedures currently being applied to mitigate the weaknesses:

② _see attached_ ⎫
③   "   " ⎬ _pg. 2_

3. Describe actions planned to improve the quality of the data in future reporting cycles:

LOU HOPEWELL	_DIR/OIT_
Name (printed)	Title
[signature]	_1-7-09_
Signature	Title

2

Validation of Data Used in Performance Measure
Enter Office name: Office of International Trade FY 2008

③

Performance Indicator Title	Loans Funded (#)
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1
Why chose this indicator	Loans funded will denote level of trade finance for small business exporters and level of export sales generated by those loans
Briefly describe relevance of this indicator for measuring program success	The number of loans will show the output of trade finance performed by SBA trade finance managers and the sales growth by those firms benefiting by SBA trade finance assistance.
Briefly describe how this indicator is used or will be used to manage the program	Loans funded will determine where emphasis is placed, i.e., technical assistance, finance or referral to other SBA resources to prepare more sm. bus. to go global.
Indicator measures an output (process) or outcome (result)	Check One: ☒ Output ☐ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Export Sales Dollars, Job Creation and business sustainability
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Loan counting generated by all loans, some of which are to same borrower. Hence, inherent difficulty in determining all benefits to a single borrower.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	# loans; $ value of loans; $ value of export sales generated by # of loans. Loans funded, by comparative analysis by CFO, reflects that Loans Funded = 93% of Loans Approved, the only indicator OIT gets on COGNOS reports. Underserved markets ONLY determined by borrower's profile, not targeted by OIT. Exporters typically are existing businesses with successful domestic operations.
Formula used to calculate the indicator (if appropriate)	Loans funded =93% of loans approved (CFO)
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	No changes
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan):	COGNOS

1

Validation of Data Used in Performance Measure   3-1

2. Identify how the data record is captured: LPC Sacramento	
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly): at booking	
Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): 2 WEEKS	
5. ID the system of record for the indicator, e.g., what system did the information come from? COGNOS	
Identify the date that actual year-end data will be available for reporting.	Within 2 weeks after year-end closing (approx 10/14)
Describe the process to ensure that the reported data is complete and accurate	CIO reports that all data entered for fiscal year
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	Current data on loans do not ALWAYS denote loans to exporters (ineffective coding process for loans)
Describe any outstanding OIG or GAO recommendation that affect this indicator	None
Describe plans to address limitations to accuracy or completeness of data	Discussions ongoing with CIO and OFA to encourage better info gathering on loan applications and data input by lenders and LPC
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	FY '07 had no international trade loan goals for field offices. Therefore, identification of loans to exporters was exceedingly difficult to capture. Loan volume declined from '06 to '07, first year of no loan goals in field in many years

2

Indicator: International Trade - Small Businesses Assisted (#)

<u>The data quality for this indicator is considered</u> (**Check one**):

☒ **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

☐ **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one) ☐ Actual or ☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):   (1) See attached table on indicator values.
2. Describe procedures currently being applied to mitigate the weaknesses: (2) See attached
3. Describe actions planned to improve the quality of the data in future reporting cycles:

Name (printed)	Title
	1-7-09
Signature	Title

Validation of Data Used in Performance Measure
Enter Office name: Office of International Trade FY 2008

Performance Indicator Title	Small Businesses Assisted
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1
Why chose this indicator	SBA Goal;
Briefly describe relevance of this indicator for measuring program success	SBs assisted will denote the number of firms that have benefited by SBA trade finance assistance.
Briefly describe how this indicator is used or will be used to manage the program	Small businesses assisted can determine where emphasis is placed on program management, i.e., technical assistance, finance or referral to other SBA resources to prepare more sm. bus. to go global.
Indicator measures an output (process) or outcome (result)	Check One: [X] Output [ ] Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Increased Export Sales Dollars, Job Creation and business sustainability for each sb assisted.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Estimated (85%) formula of loans funded, which itself is not absolute. (See statement of validation for loans funded.)
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	# of loans funded is basis for extrapolating # of small businesses assisted.
Formula used to calculate the indicator (if appropriate)	85% loans funded
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	No changes
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan): 2. Identify how the data record is captured: LPC Sacramento 3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly): at booking	COGNOS

4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): ??	
5. ID the system of record for the indicator, e.g., what system did the information come from? COGNOS	
Identify the date that actual year-end data will be available for reporting.	Within 2 weeks after year-end closing (approx 10/14)
Describe the process to ensure that the reported data is complete and accurate	CIO reports that all data entered for fiscal year
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	Current data on loans do not ALWAYS denote loans to exporters (ineffective coding process for loans) that can impact calculation of SBs Assisted.
Describe any outstanding OIG or GAO recommendation that affect this indicator	None
Describe plans to address limitations to accuracy or completeness of data	Discussions ongoing with CIO and OFA to encourage better info gathering on loan applications and data input by lenders and LPC
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	FY '07 had no international trade loan goals for field offices. Therefore, identification of loans to exporters was exceedingly difficult to capture. Loan volume declined from '06 to '07, first year of no loan goals in field in many years. Hence, # SBs assisted impacted.

Indicator: International Trade - Underserved Markets - SBA ssisted (#)

The data quality for this indicator is considered (**Check one**):

☒ **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

☐ **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one) ☐ Actual or ☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

   (1) See attached

2. Describe procedures currently being applied to mitigate the weaknesses:
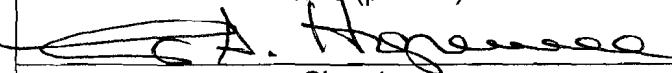
   (2) See attached

3. Describe actions planned to improve the quality of the data in future reporting cycles:

   (3) See attached

Name (printed)	Title
	1-7-09
Signature	Title

2

Performance Indicator Title	USM – SB Assisted (#) – International Trade Program

Section I: Indicator Definition and Relevance

Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1; 1.2
Why chose this indicator	This indicator identifies the number of small business that have been assisted by SBA by receiving approval for an SBA-guaranteed loan (jet of cancellations) in the Underserved Markets.
Briefly describe relevance of this indicator for measuring program success	The loan production results of Underserved Markets Assisted. By definition, a lender would not have provided the financing to the small business without SBA's guaranty.
Briefly describe how this indicator is used or will be used to manage the program	OIT does not have the ability to selectively identify exporters from Underserved Markets or other descriptive markets. Exporters come from all sectors that have successful and profitable operations that **choose** to take their business abroad.
Indicator measures an output (process) or outcome (result)	Check One: ☐ **Output** ☐ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Export Sales Dollars, Job Creation and Business Sustainability
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Unknown
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	# loans; $ value of loans; $ value of export sales generated by # of loans approved to small business identified as meeting one of the definitions' for "underserved markets". The definitions are business located in a HUB Zone, Low-To-Moderate Income area or an Enterprise Zone or Economic Communities. Underserved Markets ONLY determined by loans' business address, not targeted by OIT. Exporters typically are existing business with successful domestic operations.
Formula used to calculate the indicator (if appropriate)	No. of export loans approved (net of cancellations) in the Underserved Markets times 88 percent.
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	No changes

Section II: Indicator Quality

Describe the data collection process for the indicator:	

1. Identify the event or action that creates a data record (e.g., an approved loan):	1. Event or Action: An SBA guaranteed loan is approved and funds are allocated. The Underserved Markets are defined as the three geographic codes (HUB Zone, LMI and EZ/EC) and each loan is coded in SBA's loan accounting system based on its business address.
2. Identify how the data record is captured:	
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	2. The data record is captured by SBA's system at the time of SBA loan approval when budget funds are allocated to the loan approval number. For cancellations, the data record is captured by SBA's systems when the loan is identified as cancelled by SBA personnel in the serving centers.
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	3. A week after the loans are approved. 4. SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made and an additional week is needed to geo-code each loan.
5. ID the system of record for the indicator, e.g., what system did the information come from?	5. OCIO – Mainframe
Identify the date that actual year-end data will be available for reporting.	Five businesses days after the close of the fiscal year and an additional week afterwards.
Describe the process to ensure that the reported data is complete and accurate	Systems are reviewed by the SBA's Office of Field Operations
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	A large proportion of 7(a) loan approvals are recorded from entries by lenders using E-Tran. There can be limitations to accuracy due to inaccuracy in reporting business addresses as well as new addresses not being recognized by the geo-coding system. Loan data does not ALWAYS denote loans to exporters (ineffective coding process for loans) inherent with input by lenders.
Describe any outstanding OIG or GAO recommendation that affect this indicator	none
Describe plans to address limitations to accuracy or completeness of data	Discussions ongoing with CIO and OFA to encourage better info gathering on loan applications and data input by lenders and LPC.
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	none

Indicator: Microloans - Loans Funded (#)

The data quality for this indicator is considered (**Check one**):

[✓] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one) [✓] Actual or [ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data): *LOAN REPORTING IN THE MPERS, MPERS SYSTEM IS BASED ON VOLUNTARY COMPLIANCE ON THE PART OF MICROLOAN INTERMEDIARIES. THEY ARE NOT ALWAYS TIMELY IN THEIR M.P.E.R.S. UPDATES.*

2. Describe procedures currently being applied to mitigate the weaknesses: *WE CHECK WRITTEN FINANCIAL REPORTS ON LOAN VOLUME AGAINST WHAT HAS BEEN REPORTED IN M.P.E.R.S.*

3. Describe actions planned to improve the quality of the data in future reporting cycles: *① CONTINUOUS EMPHASIS ON THE NEED FOR TIMELY AND ACCURATE REPORTING. ② IMPOSITION OF SANCTIONS (i.e. NO T.A. REIMBURSEMENT ON NEW LOANS) FOR FLAGRANT VIOLATORS.*

GEORGE A. DALE	*CHIEF MICROENTERPRISE DEVELOPMENT BRANCH*
Name (printed)	Title
George A. Dale	*1/12/09*
Signature	~~Title~~ DATE

Validation of Data Used in Performance Measure
Enter Office name: Office of Financial Assistance
Microloan Program

Performance Indicator Title	**Number of Loans Funded (#)**
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1;1.2
Why chose this indicator	This indicator identifies the number of small businesses that have been assisted by SBA by receiving funding of a Microloan from an intermediary
Briefly describe relevance of this indicator for measuring program success	By definition, a lender would not have provided Microloan financing to the small business without SBA's funding the intermediary.
Briefly describe how this indicator is used or will be used to manage the program	This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses that would not have received financial assistance otherwise.
Indicator measures an output (process) or outcome (result)	Check One: √ Output ___ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Outcomes would be revenue growth and job creation. Without SBA's guaranty, the small business would not have received the financing required to establish itself (new), or grow (existing).
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Unknown
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Numbers of loans approved to different small businesses; numbers of SBA loans to microloan intermediaries.
Formula used to calculate the indicator (if appropriate)	Number of loans approved.
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	No changes.
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan):	1. An SBA funded loan is approved and funds are transferred to the intermediary.; an intermediary loans funds to a small business

1

2. Identify how the data record is captured:	2. The data is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number; for loans to small businesses, data is captured when the intermediary enters information into the MPERS system (Micro Loan Electronic Reporting System).
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	3. Immediate in the case of S BA loans; the intermediary is required to enter data into MPERS within 7 days of the closing of the micro loan to the borrower.
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	4. See 3. above for MPERS reporting lag. SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made.
5. ID the system of record for the indicator, e.g., what system did the information come from?	5. Office of Computer Information – Mainframe; MPERS for micro loans
Identify the date that actual year-end data will be available for reporting.	5 business days after the close of the fiscal year
Describe the process to ensure that the reported data is complete and accurate	Systems are reviewed periodically by the OIG, GAO, and SBA's auditors.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	Intermediaries are required to report loan data within 7 days from the closing of the loan; there is general compliance with this requirement, but with approximately 160 intermediaries across the country, there will be some deviation.
Describe any outstanding OIG or GAO recommendation that affect this indicator	N/A
Describe plans to address limitations to accuracy or completeness of data	N/A
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A

Indicator: Microloans - Small Businesses Assisted (#)

The data quality for this indicator is considered (**Check one**):

☑ **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

☐ **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

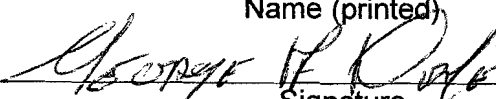The data provided represent (Check one) ☑ Actual or ☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data): *LOAN REPORTING IN THE M.P.E.R.S. SYSTEM IS BASED ON VOLUNTARY COMPLIANCE ON THE PART OF MICROLOAN INTERMEDIARIES. THEY ARE NOT ALWAYS TIMELY IN THEIR M.P.E.R.S. LOAN DATES.*

2. Describe procedures currently being applied to mitigate the weaknesses: *WE CHECK WRITTEN FINANCIAL REPORTS ON LOAN VOLUME AGAINST WHAT HAS BEEN REPORTED IN M.P.E.R.S.*

3. Describe actions planned to improve the quality of the data in future reporting cycles:
① CONTINUOUS EMPHASIS ON THE NEED FOR TIMELY AND ACCURATE REPORTING.
② IMPOSITION OF SANCTIONS (i.e., NO T.A. REIMBURSEMENT OR NEW LOANS) FOR FLAGRANT VIOLATORS

George A. Dale	Chief Microenterprise Development Branch
Name (printed)	Title
[signature]	1/12/09
Signature	Title Date

Validation of Data Used in Performance Measure
Enter Office name: Office of Financial Assistance
Microloan Program

Performance Indicator Title	Number of Small Businesses Assisted (#)

Section I: Indicator Definition and Relevance

Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1;1.2
Why chose this indicator	This indicator identifies the number of small businesses that have been assisted by SBA by receiving funding of a Microloan from an intermediary
Briefly describe relevance of this indicator for measuring program success	By definition, a lender would not have provided Microloan financing to the small business without SBA's funding the intermediary.
Briefly describe how this indicator is used or will be used to manage the program	This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses that would not have received financial assistance otherwise.
Indicator measures an output (process) or outcome (result)	Check One: ☑ Output ☐ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Outcomes would be revenue growth and job creation. Without SBA's guaranty, the small business would not have received the financing required to establish itself (new), or grow (existing).
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Unknown
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Numbers of loans approved to different small businesses; numbers of SBA loans to microloan intermediaries.
Formula used to calculate the indicator (if appropriate)	Number of loans approved.
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	No changes.

Section II: Indicator Quality

Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan):	1. An SBA funded loan is approved and funds are transferred to the intermediary.; an intermediary loans funds to a small business

1

2. Identify how the data record is captured:	2. The data is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number; for loans to small businesses, data is captured when the intermediary enters information into the MPERS system (Micro Loan Electronic Reporting System).
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	3. Immediate in the case of S BA loans; the intermediary is required to enter data into MPERS within 7 days of the closing of the micro loan to the borrower.
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	4. See 3. above for MPERS reporting lag. SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made.
5. ID the system of record for the indicator, e.g., what system did the information come from?	5. Office of Computer Information – Mainframe; MPERS for micro loans
Identify the date that actual year-end data will be available for reporting.	5 business days after the close of the fiscal year
Describe the process to ensure that the reported data is complete and accurate	Systems are reviewed periodically by the OIG, GAO, and SBA's auditors.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	Intermediaries are required to report loan data within 7 days from the closing of the loan; there is general compliance with this requirement, but with approximately 160 intermediaries across the country, there will be some deviation.
Describe any outstanding OIG or GAO recommendation that affect this indicator	N/A
Describe plans to address limitations to accuracy or completeness of data	N/A
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A

INDICATOR: **SBIC – SB Assisted (#)**

Program offices are responsible for the quality of data that they provide for reporting in the Agency's Performance and Accountability Report. Data quality has the following characteristics:

> VALID: The indicator is relevant to program; steps were taken to assure that the data is complete, the data covers the entire fiscal year and; the indicator can be used by decision makers to manage the program.

> VERIFIABLE: Documentation is maintained that allows an independent third party review to conclude that the results are accurately reported.

Accordingly, the Performance Management Office requires program managers to rate the data quality for each indicator confirming that the data quality is high or disclose any known or suspected weaknesses.

Data quality rated:

> "High" – Has no known weaknesses, accurately represents the results of the program and may be independently verified.

> "Medium" – Has some known or suspected weaknesses but is of sufficient quality to manage and/or represent the program results and may be independently verified.

> "Low" – Has significant weaknesses and cannot be used to manage or represent the results of the program. Data rated "Low" will not be used for reporting in the PAR.

For each indicator you are requested to complete, sign and date <u>one</u> of the two statements below (the box directly following for indicators with "High" quality ratings, or the box on the next page for indicators with a "Medium" or "Low" quality rating).

<u>The data quality for this indicator is considered **"HIGH"**.</u>

The data provided represent (Check one)☒ Actual or☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

HARRY HASKINS	*DAA/I*
Name (printed)	Title
(signature)	*DAA/I*
Signature	Date

1

Performance Indicator Title	SB Assisted (#) SBIC Program

Section I: Indicator Definition and Relevance

Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1
Why chose this indicator	Measures impact of program in providing capital to small businesses.
Briefly describe relevance of this indicator for measuring program success	Patient capital is critical in moving small businesses successfully through their life cycles. The indicator measures how successfully the program is in meeting this objective.
Briefly describe how this indicator is used or will be used to manage the program	Data used to evaluate program performance, to focus outreach efforts and in oversight and supervision of SBICs.
Indicator measures an output (process) or outcome (result)	Check One: ☐ Output ☑ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	
If applicable, describe any limitations on the relevance of this indicator for measuring program success	A number of economic factors affect the ability of small businesses to survive and prosper. The receipt of funding is only one variable.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	This is a unit measurement encompassing the entire small businesses community with limited exceptions.
Formula used to calculate the indicator (if appropriate)	NA
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	None

Section II: Indicator Quality

Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan): 2. Identify how the data record is captured: 3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	Data is submitted electronically to the Investment Division database by the SBICs within 30 days of financing a small business. Records are closed within two weeks of year end. When submitted, the data populates table BFISCL07 in the server.

1

4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	
5. ID the system of record for the indicator, e.g., what system did the information come from?	
Identify the date that actual year-end data will be available for reporting.	10/12/07
Describe the process to ensure that the reported data is complete and accurate	Numbers are aggregated electronically and program checks are in place to ensure no double counting and the integrity of coding. The reported numbers are subject to financial and regulatory auditing.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	Although data is accurate as reported, some SBICs may report outside the proscribed time frame.
Describe any outstanding OIG or GAO recommendation that affect this indicator	None
Describe plans to address limitations to accuracy or completeness of data	As data is collected on an "as reported" rather than "when made" basis, a disclosure is made to inform audiences the basis for data.
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	NA

Certification of Data Quality for Public Reporting   5-2

Indicator: SBIC-Underserved Markets-SBAssisted (#)

The data quality for this indicator is considered (**Check one**):

☒ **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

☐ **LOW** – Data quality is insufficient for this data to be used to manage the program; i.e., the results for this indicator should NOT be publicly reported.

The data provided represent (Check one) ☐ Actual or ☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

   Data provided by SBICs based upon SBA criteria. However, it is self-reported and not routinely audited.

2. Describe procedures currently being applied to mitigate the weaknesses:

   Emphasis placed by program managers upon collection of data; little or no incentive to misrepresent information. Although audits not conducted to specifically verify information, it is often reviewed as part of other audit processes

3. Describe actions planned to improve the quality of the data in future reporting cycles: *Continued emphasis upon timely and accurate data collection. Funds subject to audits and reviews although not routinely scheduled*

HARRY HASKins	DAA/I
Name (printed)	Title
[signature]	DAA/I
Signature	Title

2

Validation of Data Used in Performance Measure
Enter Office name: Investment Division

Performance Indicator Title	Underserved Markets - SB Assisted (#) SBIC Program

Section I: Indicator Definition and Relevance

Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1 and 2
Why chose this indicator	Measures impact of program in providing capital to small businesses that have been traditionally underserved by the venture capital industry.
Briefly describe relevance of this indicator for measuring program success	Patient capital is critical in moving small businesses successfully through their life cycles. The indicator measures how successfully the program is in meeting this objective, particularly for those portions of the population that have been historically underserved.
Briefly describe how this indicator is used or will be used to manage the program	Data used to better focus outreach efforts in an attempt to attract fund managers interested in targeting underserved populations and in oversight and supervision of SBICs.
Indicator measures an output (process) or outcome (result)	Check One: ☐ Output ☑ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	
If applicable, describe any limitations on the relevance of this indicator for measuring program success	A number of economic factors affect the ability of small businesses to survive and prosper. The receipt of funding is only one variable.
Detailed definition of indicator. E.g.: ○ Units of measure ($, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used	This is a unit measurement encompassing the entire small businesses community with limited exceptions.
Formula used to calculate the indicator (if appropriate)	NA
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	None

Section II: Indicator Quality

Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan):	Data is submitted electronically to the Investment Division database by the SBICs within 30 days of financing a small business. Records are closed within two weeks of year end. When submitted, the data populates table

1

Validation of Data Used in Performance Measure   5-2

2. Identify how the data record is captured:	BFISCL07 in the server.
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	
5. ID the system of record for the indicator, e.g., what system did the information come from?	
Identify the date that actual year-end data will be available for reporting.	10/12/07
Describe the process to ensure that the reported data is complete and accurate	Numbers are aggregated electronically and program checks are in place to ensure no double counting and the integrity of coding. The reported numbers are subject to financial and regulatory auditing.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	Although data is accurate as reported, some SBICs may report outside the proscribed time frame.
Describe any outstanding OIG or GAO recommendation that affect this indicator	None
Describe plans to address limitations to accuracy or completeness of data	As data is collected on an "as reported" rather than "when made" basis, a disclosure is made to inform audiences the basis for data.
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	NA

Indicator: SBG - Final Surety Bond Guaranties (#)

The data quality for this indicator is considered (**Check one**):

☑ **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

☐ **LOW** – Data quality is insufficient for this data to be used to manage the program; i.e., the results for this indicator should NOT be publicly reported.

The data provided represent (Check one)☐ Actual or☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):
2. Describe procedures currently being applied to mitigate the weaknesses:
3. Describe actions planned to improve the quality of the data in future reporting cycles:

Frank Cacmore	
Name (printed)	Title
Signature	Director, Surety B... Title

Validation of Data Used in Performance Measure
Enter Office name: Office of Surety Guarantees

Performance Indicator Title	Number of Surety Bond Guarantees
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1
Why chose this indicator	This indicator monitors SBG bonding assistance to small contractors.
Briefly describe relevance of this indicator for measuring program success	Approved bonds provide small contractors with opportunities to bid on and perform contracts, which enable them to sustain and grow their businesses by generating contract revenue and creating jobs.
Briefly describe how this indicator is used or will be used to manage the program	The number of approved bond guarantees relates to the visibility and accessibility of the SBG Program to small contractors and to surety companies nationwide. OSG 's marketing and outreach plans will focus on expanding program awareness.
Indicator measures an output (process) or outcome (result)	Check One: [X] Output [ ] Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Job creation and revenue growth of small contractors.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Other factors, such as market trends, may impact results.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	This indicator monitors SBG bonding assistance for small contractors, providing them with opportunities to bid on and perform contracts.
Formula used to calculate the indicator (if appropriate)	N/A
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	None
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan):	1. Approved surety bond guarantee.
2. Identify how the data record is captured:	2. The SBG system captures all approved surety bond guarantees.

1

3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	3. Immediate
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	4. Fiscal year end data is available immediately – there is no reporting lag time.
5. ID the system of record for the indicator, e.g., what system did the information come from?	5. The SBG system.
Identify the date that actual year-end data will be available for reporting.	October 1st.
Describe the process to ensure that the reported data is complete and accurate	OSG validates its data through its internal reporting system and with OCIO assistance.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	Incorrect data may infrequently occur with any information gathering system such as the SBG system.
Describe any outstanding OIG or GAO recommendation that affect this indicator	
Describe plans to address limitations to accuracy or completeness of data	Data is reviewed and analyzed by OSG staff, who work with OCIO to make necessary corrections.
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	None.

Indicator: SBG - Total Bonds (#)

The data quality for this indicator is considered (**Check one**):

☒ **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

☐ **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)☐ Actual or☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):
2. Describe procedures currently being applied to mitigate the weaknesses:
3. Describe actions planned to improve the quality of the data in future reporting cycles:

Frank Lalumiere

Name (printed)   Title

_____   1-12-09   Dir. Surety Bonds

Signature   Title

2

Performance Indicator Title	Number of Surety Bond Guarantees

Section I: Indicator Definition and Relevance

Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1
Why chose this indicator	This indicator monitors SBG bonding assistance to small contractors.
Briefly describe relevance of this indicator for measuring program success	Approved bonds provide small contractors with opportunities to bid on and perform contracts, which enable them to sustain and grow their businesses by generating contract revenue and creating jobs.
Briefly describe how this indicator is used or will be used to manage the program	The number of approved bond guarantees relates to the visibility and accessibility of the SBG Program to small contractors and to surety companies nationwide. OSG's marketing and outreach plans will focus on expanding program awareness.
Indicator measures an output (process) or outcome (result)	Check One: [v] Output [ ] Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Job creation and revenue growth of small contractors.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Other factors, such as market trends, may impact results.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	This indicator monitors SBG bonding assistance for small contractors, providing them with opportunities to bid on and perform contracts.
Formula used to calculate the indicator (if appropriate)	N/A
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	None.

Section II: Indicator Quality

Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan):	1. Approved surety bond guarantee.
2. Identify how the data record is captured:	2. The SBG System captures all approved surety bond guarantees.

3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	3. Immediate.
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	4. Fiscal year end data is available immediately – there is no reporting lag time.
5. ID the system of record for the indicator, e.g., what system did the information come from?	5. The SBG System.

Identify the date that actual year-end data will be available for reporting.	October 1st.
Describe the process to ensure that the reported data is complete and accurate	OSG validates its data through its internal reporting system and with OCIO assistance.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	Incorrect data may infrequently occur with any information gathering system such as the SBG System.
Describe any outstanding OIG or GAO recommendation that affect this indicator	
Describe plans to address limitations to accuracy or completeness of data	Data is reviewed and analyzed by OSG staff, who work with OCIO to make necessary corrections.
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	None.

Indicator: SBG - Underserved Markets - Final SBG (#)

The data quality for this indicator is considered (**Check one**):

☑ **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

☐ **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)☐ Actual or☐ Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

2. Describe procedures currently being applied to mitigate the weaknesses:

3. Describe actions planned to improve the quality of the data in future reporting cycles:

Frank Croumer

Name (printed)	Title
Signature	Title

FINAL   ⑥ 3

Performance Indicator Title	Underserved Markets: Number of Surety Bond Guarantees

Section I: Indicator Definition and Relevance

Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 1 Strategic Objective: 1.1 and 1.2
Why chose this indicator	This indicator monitors SBG bonding assistance to small contractors in underserved areas.
Briefly describe relevance of this indicator for measuring program success	Approved bonds provide small contractors with opportunities to bid on and perform contracts, which enable them to sustain and grow their businesses by generating contract revenue and creating jobs.
Briefly describe how this indicator is used or will be used to manage the program	The number of approved bond guarantees relates to the visibility and accessibility of the SBG Program to small contractors and to surety companies nationwide. OSG 's marketing and outreach plans will focus on expanding program awareness in underserved areas.
Indicator measures an output (process) or outcome (result)	Check One: [X] Output [ ] Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Job creation and revenue growth of small contractors.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Other factors, such as market trends, may impact results.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	This indicator monitors SBG bonding assistance for small contractors in underserved areas, providing them with opportunities to bid on and perform contracts. Underserved areas include low and moderate income areas, HubZones, and EZEC.
Formula used to calculate the indicator (if appropriate)	N/A
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	The definition of underserved areas is different than COG's, as previously reported.

Section II: Indicator Quality

Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan):	 1. Approved surety bond guarantee.

2. Identify how the data record is captured:	2. The SBG system captures all approved surety bond guarantees.
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	3. Immediate
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	4. Fiscal year end data is available immediately – there is no reporting lag time.
5. ID the system of record for the indicator, e.g., what system did the information come from?	5. The SBG system.

Identify the date that actual year-end data will be available for reporting.	October 1st.
Describe the process to ensure that the reported data is complete and accurate	OSG validates its data through its internal reporting system and with OCIO assistance.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	Incorrect data may infrequently occur with any information gathering system such as the SBG system.
Describe any outstanding OIG or GAO recommendation that affect this indicator	
Describe plans to address limitations to accuracy or completeness of data	Data is reviewed and analyzed by OSG staff, who work with OCIO to make necessary corrections.
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	None.

Certification of Data Quality for Public Reporting (7-1)

Indicator: SBDC-Multi Year Extended Engagement Clients (#)

The data quality for this indicator is considered (Check one):

[X] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)[ ] Actual or[ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

2007 was the baseline year for this new measure. EDMIS calculates the information based upon elements collected on the SBA 641 and entered into the system. Inaccurate data could occur if 641s are not entered into the system.

2. Describe procedures currently being applied to mitigate the weaknesses:

Validation through the Economic Impact study.

3. Describe actions planned to improve the quality of the data in future reporting cycles:

Validation during program examinations to ensure Form 641s are being completed and entered into the system.

Antonio Doss	1/8/09
Name (printed)	Title
	AA/OSBDC 1/9/09
Signature	Title

2

Enter Office name:

Performance Indicator Title	Extended Engagement Clients
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 2 Strategic Objective: 2.1 and 2.2
Why chose this indicator	Indicates the long-term counseling relationship established with SBDC clients.
Briefly describe relevance of this indicator for measuring program success	SBDC program statutorily is established to provide one-on-one counseling for small businesses. This goal measures clients receiving long-term counseling as long-term counseling has been determined to result in more business start-ups and business expansion over one-time or minimal time technical assistance counseling sessions.
Briefly describe how this indicator is used or will be used to manage the program	Goals will be established in the Notice of Award and monitored using EDMIS and during program examinations to determine that counseling hours are being directed towards intensive counseling of long-term clients.
Indicator measures an output (process) or outcome (result)	Check One: [X] Output [ ] Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	New business starts, capital infusion
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Technical assistance also may be provided to clients by other methods such as email that would not be considered in measuring this goal.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Number of clients receiving five or more hours of counseling time since tracking began in October 2005.
Formula used to calculate the indicator (if appropriate)	Unique client that receives counseling during the fiscal year and having five or more cumulative hours of counseling since October 1, 2005.
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	This indicator was called Long-Term Client in last year's report. The definition of the indicator is the same.
Section II: Indicator Quality	
Describe the data collection process for the indicator:	
1. Identify the event or action that creates a data record (e.g., an approved loan):	Counseling session of 30 minutes or more that is reported by an SBDC through EDMIS.

1

2. Identify how the data record is captured:	The client completes an SBA Form 641 that is entered into the SBDCs local counseling tracking system.
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	As the sessions occur.
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	Data is reported to EDMIS quarterly. End of year reporting is available at the end of each fiscal year. SBDCs have 35 days after the end of the fiscal year to report final year data and correct any data transmission errors.
5. ID the system of record for the indicator, e.g., what system did the information come from?	EDMIS reporting by SBDCs.
Identify the date that actual year-end data will be available for reporting.	Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.
Describe the process to ensure that the reported data is complete and accurate	Validation by SBDCs entering the data and review of goal achievement by OSBDC program managers. SBDCs must be able to produce the actual record that supports the data. Additional SBA validation based on annual ED impact study.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	EDMIS calculates the information based upon elements collected on the SBA 641 and entered into the system. Inaccurate data could occur if 641s are not entered into the system.
Describe any outstanding OIG or GAO recommendation that affect this indicator	None
Describe plans to address limitations to accuracy or completeness of data	Validation during program examinations.
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	None.

2

Indicator: Small Businesses Created (#)

The data quality for this indicator is considered (Check one):

[X] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)[ ] Actual or[ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

---

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

EDMIS calculates the information based upon a change in business status (from "not in business" to "in business") as reported by the client to the partner on the SBA 641. This information is then entered into the system. Inaccurate data could occur if 641s are not entered into the system or if the business status is not updated. This field is a check box and it is not mandatory to complete.
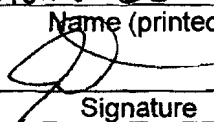
If a client does not return for a subsequent counseling session after starting the business, the new business start may not be reported to the SBDC.

---

2. Describe procedures currently being applied to mitigate the weaknesses:

Validation through the Economic Impact study.

---

3. Describe actions planned to improve the quality of the data in future reporting cycles:

As this is an SBDC goal, counselors will be more diligent in checking this box when applicable.

Antonm Doss	1/9/08
Name (printed)	Title
Signature	AA/OSBDC Title

2

Performance Indicator Title	New Business Starts

Section I: Indicator Definition and Relevance

Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 2 Strategic Objective: 2.1 and 2.2
Why chose this indicator	Indicates business success/growth
Briefly describe relevance of this indicator for measuring program success	Indicates business start-up or growth.
Briefly describe how this indicator is used or will be used to manage the program	Effectiveness of counseling by SBDCs
Indicator measures an output (process) or outcome (result)	Check One: ☐ Output ☒ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Some new business starts may not be reported if the client does not return for subsequent counseling by the SBDC; amount may be higher than reported.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Number of SBDC clients who have started a new business within the last 12 months.
Formula used to calculate the indicator (if appropriate)	Business start-up is recorded during the fiscal year of the next counseling session.
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	None

Section II: Indicator Quality

Describe the data collection process for the indicator:	
1. Identify the event or action that creates a data record (e.g., an approved loan):	A new business start is reported by an SBDC through EDMIS.
2. Identify how the data record is captured:	The client completes an SBA Form 641 that is entered into the SBDCs local counseling tracking system.
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	As the sessions occur.

4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	Data is reported to EDMIS quarterly. End of year reporting is available at the end of each fiscal year. SBDCs have 35 days after the end of the fiscal year to report final year data and correct any data transmission errors.
5. ID the system of record for the indicator, e.g., what system did the information come from?	EDMIS reporting by SBDCs.
Identify the date that actual year-end data will be available for reporting.	Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.
Describe the process to ensure that the reported data is complete and accurate	Validation by SBDCs entering the data and review of goal achievement by OSBDC program managers. SBDCs must be able to produce the actual record that supports the data. Additional SBA validation based on annual ED impact study.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	EDMIS calculates the information based upon elements collected on the SBA 641 and entered into the system. Inaccurate data could occur if 641s are not entered into the system.
Describe any outstanding OIG or GAO recommendation that affect this indicator	None
Describe plans to address limitations to accuracy or completeness of data	Validation during program examinations.
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	None

2

Certification of Data Quality for Public Reporting

Indicator: SBDC - Capital Infusion

The data quality for this indicator is considered (**Check one**):
[X] MEDIUM – Some weaknesses exist but the data is of sufficient quality to manage the program.
[ ] LOW – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.
The data provided represent (Check one) [ ] Actual or [ ] Estimated results for the fiscal year.
In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.
Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):
2007 was the baseline year for this new measure. EDMIS calculates the information based upon elements collected on the SBA 641 and entered into the system. Inaccurate data could occur if 641s are not entered into the system or if this field is left blank. This field was not mandatory to complete.
The amount of capital infusion may not be reported if the client does not return for a subsequent counseling session and therefore does not report the amount of the capital infusion to the SBDC.
2. Describe procedures currently being applied to mitigate the weaknesses:
Validation through the Economic Impact study.
3. Describe actions planned to improve the quality of the data in future reporting cycles:
Field will be designated as "mandatory" in future SBA Form 641 reporting.

Antonio Doss	1/8/09
Name (printed)	Title
	AA/OS BDC
Signature	Title

1/9/09

Enter Office name: Small Business Development Centers

Performance Indicator Title	Capital Infusion

Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: 2 Strategic Objective: 2.1 and 2.2
Why chose this indicator	Indicates business success/growth
Briefly describe relevance of this indicator for measuring program success	Indicates business start-up or growth.
Briefly describe how this indicator is used or will be used to manage the program	Effectiveness of counseling by SBDCs
Indicator measures an output (process) or outcome (result)	Check One: ☐ Output ☒ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	
If applicable, describe any limitations on the relevance of this indicator for measuring program success	Some capital infusion may not be reported if the client does not return for subsequent counseling by the SBDC; amount may be higher than reported.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	Amount of SBA loans, traditional bank loans, non-bank loans, equity and venture capital received by SBDC clients.
Formula used to calculate the indicator (if appropriate)	Total of amounts reported in capital infusion section of the SBA Form 641.
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	None

Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan):	Capital infusion is captured on the SBA Form 641 and is reported by an SBDC through EDMIS.
2. Identify how the data record is captured: 3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	The client completes an SBA Form 641 that is entered into the SBDCs local counseling tracking system. SBDCs also provide an annual impact statement. As the sessions occur. Separate impact reporting is submitted annually at year end.

4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	Data is reported to EDMIS quarterly. End of year reporting is available at the end of each fiscal year. SBDCs have 35 days after the end of the fiscal year to report final year data and correct any data transmission errors.

EDMIS reporting by SBDCs. |
5. ID the system of record for the indicator, e.g., what system did the information come from?	
Identify the date that actual year-end data will be available for reporting.	Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009. Annual impact data is provided 90 days after the close of the program period.
Describe the process to ensure that the reported data is complete and accurate	Validation by SBDCs entering the data and review of goal achievement by OSBDC program managers. SBDCs must be able to produce the actual record that supports the data. Additional SBA validation based on annual ED impact study.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	EDMIS calculates the information based upon elements collected on the SBA 641 and entered into the system. Inaccurate data could occur if 641s are not entered into the system.
Describe any outstanding OIG or GAO recommendation that affect this indicator	None
Describe plans to address limitations to accuracy or completeness of data	Validation during program examinations
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	None

8-1

Certification of Data Quality for Public Reporting

Indicator: WBC-Small Businesses Assisted (#)

The data quality for this indicator is considered (Check one):

[X] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is insufficient for this data to be used to manage the program; i.e., the results for this indicator should NOT be publicly reported.

The data provided represent (Check one)[ ]Actual or[ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

EDMIS summarizes the number of clients counseled and the number of clients trained to get a total number of clients assisted. Inaccurate data could occur if 641s are not properly entered into the system.

2. Describe procedures currently being applied to mitigate the weaknesses:

None

3. Describe actions planned to improve the quality of the data in future reporting cycles:
This is a goal for each WBC so they work to ensure this number is an accurate reflection of client activity.

Holly Schuch	DAA/OED
Name (printed)	Title
Holly Schuch	1/9/09
Signature	Title

2

Validation of Data Used in Performance Measure
Enter Office name: Office of Women's Business Ownership

Performance Indicator Title	Small Businesses Assisted
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	**Strategic Goal:** Increase small businesses success by bridging competitive gaps facing entrepreneurs **Strategic Objective:** Significantly increase successful small business ownership within segments of society facing special competitive opportunity gaps.
Why chose this indicator	
Briefly describe relevance of this indicator for measuring program success	Increase small businesses success by bridging competitive gaps facing entrepreneurs
Briefly describe how this indicator is used or will be used to manage the program	This measure is an indicator of how well the program is meeting the needs of small businesses facing competitive opportunity gaps, as well as provides an indicator for the OWBO to determine that the WBCs are meeting the objectives of the program.
Indicator measures an output (process) or outcome (result)	Check One: ■ Output ☐ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	There is believed to be a positive correlation between the technical assistance received by businesses with COG and their likelihood of success
If applicable, describe any limitations on the relevance of this indicator for measuring program success	The positive correlation is presumed, there may be contributing factors equally critical to the success of a small business
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	This indicator is the number of clients receiving both counseling and training assistance.
Formula used to calculate the indicator (if appropriate)	N/A
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	N/A
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan):	A client is has a counseling session or attends a training event.

I

Validation of Data Used in Performance Measure

2. Identify how the data record is captured:	Data is captured via EDMIS II reporting tool used by OWBO's WBCs.
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	WBCs are required to report on a quarterly basis.
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	WBCs are given thirty days after the close of the fiscal quarter to report the data and an additional five business days to verify data and make any corrections.
5. ID the system of record for the indicator, e.g., what system did the information come from?	EDMIS II
Identify the date that actual year-end data will be available for reporting.	Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.
Describe the process to ensure that the reported data is complete and accurate	The EDMIS II system rejects duplicate clients in a given fiscal year. Generates an error report for the resource partner and allows the resource partner to correct any errors.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	Training clients are counted by the number of attendees in each training session, a single client can attend multiple sessions, and there is no way to quantify the number of repeat training clients.
Describe any outstanding OIG or GAO recommendation that affect this indicator	None
Describe plans to address limitations to accuracy or completeness of data	A three year impact study is being conducted on the effect of this program on small businesses facing special competitive opportunity gaps
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A

Certification of Data Quality for Public Reporting

Indicator: WBC - Jobs Created/Retained (#)

The data quality for this indicator is considered (**Check one**):

[X] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is insufficient for this data to be used to manage the program; i.e., the results for this indicator should NOT be publicly reported.

The data provided represent (Check one)[ ] Actual or[ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):   EDMIS calculates the information based upon a change in number of employees as reported by the client to the partner on the SBA 641. This information is then entered into the system. Inaccurate data could occur if 641s are not entered into the system or if the business status is not updated. This information is only gathered from counseling sessions and not training sessions.   If a client does not return for a subsequent counseling the change in number of employees may not be reported to the WBC.
2. Describe procedures currently being applied to mitigate the weaknesses:
3. Describe actions planned to improve the quality of the data in future reporting cycles:

Holly Schick	DAA/OED
Name (printed)	Title
Nally J Schick	OAA/OED 1/9/09
Signature	Title

2

Validation of Data Used in Performance Measure
Enter Office name: Office of Women's Business Ownership

Performance Indicator Title	Jobs Created/Retained (#)
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: Expand America's ownership society, particularly in underserved markets. Strategic Objective: 1.1 and 1.2
Why chose this indicator	The WBC program has a mission to not only create new women owned businesses, but to also create sustainable opportunities for women entrepreneurs.
Briefly describe relevance of this indicator for measuring program success	More jobs in a community promote the economic well being of that community which in turn aids entrepreneurship and small business development.
Briefly describe how this indicator is used or will be used to manage the program	Information is used for establishing goals and monitoring performance.
Indicator measures an output (process) or outcome (result)	Check One: ☐ Output ☒ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	This measure is limited (1) in that clients that the information is self reported by clients; (2) A client that does not return with a follow up session would not report additional jobs created or retained; (3) This measure currently is only collected from counseling clients and not training clients and is therefore most likely under reported for WBCs.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	The performance indicator reports only the number of jobs created and retained by the WBC Resource Partner.
Formula used to calculate the indicator (if appropriate)	N/A
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	N/A
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan):	1. Counseling session is conducted.

Validation of Data Used in Performance Measure

2. Identify how the data record is captured:	2. Data is recorded in Agency electronic data collection system (EDMIS)
3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	3. Quarterly
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): \ 5. ID the system of record for the indicator, e.g., what system did the information come from?	4. OMB Circular A-110 - *The Federal awarding agency shall prescribe the frequency with which the performance reports shall be submitted. Except as provided in paragraph .51 (f), performance reports shall not be required more frequently than quarterly or, less frequently than annually. Annual reports shall be due 90 calendar days after the grant year; quarterly or semi-annual reports shall be due 30 days after the reporting period.* 5. Entrepreneurial Development Management Information System.
Identify the date that actual year-end data will be available for reporting.	Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.
Describe the process to ensure that the reported data is complete and accurate	Certification and verification process. This function allows the user to certify the uncertified counseling client records – Part I & II that have been manually entered or uploaded for the given time period in the EDMIS database.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	The data is limited in that the information captured only relates to counseling activity whereas the WBCs spend more time on training. Thus there is potential for underreporting.
Describe any outstanding OIG or GAO recommendation that affect this indicator	N/A
Describe plans to address limitations to accuracy or completeness of data	SBA is looking into ways to capture impact data for both counseling and training activity and is in the process of determining the most efficient and effective way for the data capture.
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A

Certification of Data Quality for Public Reporting

Indicator: WBC - Small Businesses Created (#)

The data quality for this indicator is considered (**Check one**): ☒ **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program. ☐ **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported. The data provided represent (Check one)☐ Actual or☐ Estimated results for the fiscal year. In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported. Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.
1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data): EDMIS calculates the information based upon a change in business status (from "not in business" to "in business") as reported by the client to the partner on the SBA 641. This information is then entered into the system. Inaccurate data could occur if 641s are not entered into the system or if the business status is not updated. This field is a check box and it is not mandatory to complete. If a client does not return for a subsequent counseling session after starting the business, the new business start may not be reported to the WBC.
2. Describe procedures currently being applied to mitigate the weaknesses: Validation through the Economic Impact study.
3. Describe actions planned to improve the quality of the data in future reporting cycles: WBCs are provided annual training on using EDMIS and the importance of regularly updating the client information

Holly Schueh	DAA / OED
Name (printed)	Title
(signature)	1/9/09 DAA/OED
Signature	Title

2

Validation of Data Used in Performance Measure
Enter Office name: Office of Women's Business Ownership

Performance Indicator Title	Small Businesses Created (#)
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: Expand America's ownership society, particularly in underserved markets. Strategic Objective: 1.1, 1.2 and 1.3
Why chose this indicator	To foster entrepreneurship in all markets and improve the overall access to SBA programs and services.
Briefly describe relevance of this indicator for measuring program success	Acquisition of capital, business management assistance, business performance and sustainability.
Briefly describe how this indicator is used or will be used to manage the program	Information is used for establishing goals and monitoring performance.
Indicator measures an output (process) or outcome (result)	Check One: ☐ Output ☒ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Job creation, business start-ups, revenue growth and customer satisfaction.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	N/A
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	The performance indicator reports only the number of small businesses created by the WBC Resource Partner.
Formula used to calculate the indicator (if appropriate)	N/A
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	N/A
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan): 2. Identify how the data record is captured:	1. Counseling and/or training session is conducted. 2. Agency electronic data collection system.

1

Validation of Data Used in Performance Measure

3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	3. Quarterly
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): 5. ID the system of record for the indicator, e.g., what system did the information come from?	4. OMB Circular A-110 - *The Federal awarding agency shall prescribe the frequency with which the performance reports shall be submitted. Except as provided in paragraph .51 (f), performance reports shall not be required more frequently than quarterly or, less frequently than annually. Annual reports shall be due 90 calendar days after the grant year; quarterly or semi-annual reports shall be due 30 days after the reporting period.* 5. Entrepreneurial Development Management Information System II.
Identify the date that actual year-end data will be available for reporting.	Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.
Describe the process to ensure that the reported data is complete and accurate	Certification and verification process. This function allows the user to certify the uncertified counseling client records – Part I & II that have been manually entered or uploaded for the given time period in the EDMIS II database.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	Due to the aggregate nature of the data SBA currently receives, there are concerns about human error, double counting, and incomplete records.
Describe any outstanding OIG or GAO recommendation that affect this indicator	N/A
Describe plans to address limitations to accuracy or completeness of data	EDMIS II is being upgraded to handle limitations to accuracy and its use will be required for all Resource Partners.
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A

Certification of Data Quality for Public Reporting

Indicator: WBC Counseling Hours

The data quality for this indicator is considered (Check one):

[X] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is insufficient for this data to be used to manage the program; i.e., the results for this indicator should NOT be publicly reported.

The data provided represent (Check one) [ ] Actual or [ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data): None
2. Describe procedures currently being applied to mitigate the weaknesses:
3. Describe actions planned to improve the quality of the data in future reporting cycles:

Holly Schick	DAA/OED
Name (printed)	Title
Holland Schick	1/9/09
Signature	Title

2

Validation of Data Used in Performance Measure
Enter Office name: Office of Women's Business Ownership

Performance Indicator Title	Counseling Hours

Section I: Indicator Definition and Relevance

Identify the Strategic Goal and Objective that the indicator measures	**Strategic Goal:** Increase small businesses success by bridging competitive gaps facing entrepreneurs **Strategic Objective:** Significantly increase successful small business ownership within segments of society facing special competitive opportunity gaps.
Why chose this indicator	This measure reports the effort spent by WBC staff – contact, travel and prep hours, in providing counseling services to WBC clients.
Briefly describe relevance of this indicator for measuring program success	Increase small businesses success by bridging competitive gaps facing entrepreneurs
Briefly describe how this indicator is used or will be used to manage the program	This measure is an indicator of how for OWBO to determine that the WBCs are meeting the objectives of the program. It is one of the primary goals of each partner.
Indicator measures an output (process) or outcome (result)	Check One: ■ Output ☐ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Business starts, job creation
If applicable, describe any limitations on the relevance of this indicator for measuring program success	
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	This indicator is the number of counseling hours for all WBC clients
Formula used to calculate the indicator (if appropriate)	N/A
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	N/A

Section II: Indicator Quality

Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan):	A client is has a counseling session Data is captured via EDMIS
2. Identify how the data record is captured:	WBCs are required to report on a quarterly basis.

Validation of Data Used in Performance Measure

3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly): 4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): 5. ID the system of record for the indicator, e.g., what system did the information come from?	WBCs are given thirty days after the close of the fiscal quarter to report the data and an additional five business days to verify data and make any corrections. EDMIS
Identify the date that actual year-end data will be available for reporting.	Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.
Describe the process to ensure that the reported data is complete and accurate	The EDMIS II system rejects duplicate clients in a given fiscal year. Generates an error report for the resource partner and allows the resource partner to correct any errors.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	N/A
Describe any outstanding OIG or GAO recommendation that affect this indicator	None
Describe plans to address limitations to accuracy or completeness of data	N/A
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A

Certification of Data Quality for Public Reporting

Indicator: SCORE - Small Businesses Assisted (#)

The data quality for this indicator is considered (Check one):

[X] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is insufficient for this data to be used to manage the program; i.e., the results for this indicator should NOT be publicly reported.

The data provided represent (Check one)[ ] Actual or[ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

EDMIS summarizes the number of clients counseled and the number of clients trained to get a total number of clients assisted. Inaccurate data could occur if 641s are not properly entered into the system.

2. Describe procedures currently being applied to mitigate the weaknesses:

None

3. Describe actions planned to improve the quality of the data in future reporting cycles:
This is a goal for SCORE so they work to ensure this number is an accurate reflection of client activity.

Holly Schich	rpo DAA/OED
Name (printed)	Title
Signature	1/9/09
Signature	Title

2

Validation of Data Used in Performance Measure
Enter Office name: Office of Entrepreneurship Education

Performance Indicator Title	Small Businesses Assisted (#)
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: Expand America's ownership society, particularly in underserved markets. Strategic Objective: 1.1, 1.2 and 1.3
Why chose this indicator	To foster entrepreneurship in all markets and improve the overall access to SBA programs and services.
Briefly describe relevance of this indicator for measuring program success	Acquisition of capital, business management assistance, business performance and sustainability.
Briefly describe how this indicator is used or will be used to manage the program	Information is used for establishing goals and monitoring performance.
Indicator measures an output (process) or outcome (result)	Check One: [X] Output [ ] Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Job creation, business start-ups, revenue growth and customer satisfaction.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	N/A
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	The performance indicator reports only the number of clients counseled and trained by the Resource Partner through SCORE.
Formula used to calculate the indicator (if appropriate)	N/A
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	N/A
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan): 2. Identify how the data record is captured:	1. Counseling and/or training session is conducted. 2. Agency electronic data collection system.

1

Validation of Data Used in Performance Measure

3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly): .	3. Quarterly
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): · 5. ID the system of record for the indicator, e.g., what system did the information come from?	4. OMB Circular A-110 - *The Federal awarding agency shall prescribe the frequency with which the performance reports shall be submitted. Except as provided in paragraph .51 (f), performance reports shall not be required more frequently than quarterly or, less frequently than annually. Annual reports shall be due 90 calendar days after the grant year; quarterly or semi-annual reports shall be due 30 days after the reporting period.* 5. Entrepreneurial Development Management Information System II.
Identify the date that actual year-end data will be available for reporting.	Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.
Describe the process to ensure that the reported data is complete and accurate	Data standards are in place that prevent many errors. Error reports are sent back to the partner and the partner is given time to correct the reports.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	N/A
Describe any outstanding OIG or GAO recommendation that affect this indicator	N/A
Describe plans to address limitations to accuracy or completeness of data	N/A
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A

Certification of Data Quality for Public Reporting

Indicator: SCORE - Small Businesses Created (#)

The data quality for this indicator is considered (**Check one**):

[X] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is insufficient for this data to be used to manage the program; i.e., the results for this indicator should NOT be publicly reported.

The data provided represent (Check one)[ ] Actual or[ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):

EDMIS calculates the information based upon a change in business status (from "not in business" to "in business") as reported by the client to the partner on the SBA 641. This information is then entered into the system. Inaccurate data could occur if 641s are not entered into the system or if the business status is not updated. This field is a check box and it is not mandatory to complete.

If a client does not return for a subsequent counseling session after starting the business, the new business start may not be reported to the SCORE Chapter.

2. Describe procedures currently being applied to mitigate the weaknesses:

Validation through the Economic Impact study.

3. Describe actions planned to improve the quality of the data in future reporting cycles:

Holly Schieh	DAA / OED
Name (printed)	Title
Holly Schieh	OAA/OED 1/9/09
Signature	Title

2

Validation of Data Used in Performance Measure
Enter Office name: Office of Entrepreneurship Education

Performance Indicator Title	Small Businesses Created (#)
Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: Expand America's ownership society, particularly in underserved markets. Strategic Objective: 1.1, 1.2 and 1.3
Why chose this indicator	To foster entrepreneurship in all markets and improve the overall access to SBA programs and services.
Briefly describe relevance of this indicator for measuring program success	Acquisition of capital, business management assistance, business performance and sustainability.
Briefly describe how this indicator is used or will be used to manage the program	Information is used for establishing goals and monitoring performance.
Indicator measures an output (process) or outcome (result)	Check One: ☐ Output ☑ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Job creation, business start-ups, revenue growth and customer satisfaction.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	N/A
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	The performance indicator reports only the number of small businesses created by the Resource Partner through SCORE.
Formula used to calculate the indicator (if appropriate)	N/A
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	N/A
Section II: Indicator Quality	
Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan): 2. Identify how the data record is captured:	1. Counseling and/or training session is conducted. 2. Agency electronic data collection system.

Validation of Data Used in Performance Measure

3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	3. Quarterly
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): 5. ID the system of record for the indicator, e.g., what system did the information come from?	4. OMB Circular A-110 - *The Federal awarding agency shall prescribe the frequency with which the performance reports shall be submitted. Except as provided in paragraph .51 (f), performance reports shall not be required more frequently than quarterly or, less frequently than annually. Annual reports shall be due 90 calendar days after the grant year; quarterly or semi-annual reports shall be due 30 days after the reporting period.* 5. Entrepreneurial Development Management Information System II.
Identify the date that actual year-end data will be available for reporting.	Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.
Describe the process to ensure that the reported data is complete and accurate	Data standards are in place that prevent many errors. Error reports are sent back to the partner and the partner is given time to correct the reports.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	N/A
Describe any outstanding OIG or GAO recommendation that affect this indicator	N/A
Describe plans to address limitations to accuracy or completeness of data	N/A
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A

Certification of Data Quality for Public Reporting

Indicator: # of Online Counseling (% of Clients Counseled)

The data quality for this indicator is considered (**Check one**):

[X] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is <u>insufficient</u> for this data to be used to manage the program; i.e., the results for this indicator should <u>NOT</u> be publicly reported.

The data provided represent (Check one)[ ] Actual or[ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.
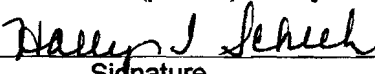
Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):   None
2. Describe procedures currently being applied to mitigate the weaknesses:
3. Describe actions planned to improve the quality of the data in future reporting cycles:

Holly Schich	DAA / DED
Name (printed)	Title
Holly J Schieh	DAA/DED
Signature	Title

1/9/09

Validation of Data Used in Performance Measure
Enter Office name: Office of Entrepreneurship Education

Performance Indicator Title	# Online Counseling Clients (% of clients counseled)

Section I: Indicator Definition and Relevance

Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: Expand America's ownership society, particularly in underserved markets. Strategic Objective: 1.1, 1.2 and 1.3
Why chose this indicator	To foster entrepreneurship in all markets and improve the overall access to SBA programs and services.
Briefly describe relevance of this indicator for measuring program success	As SCORE focuses more attention to serving online clients, the percentage of online clients is a more effective way
Briefly describe how this indicator is used or will be used to manage the program	Information is used for establishing goals and monitoring performance.
Indicator measures an output (process) or outcome (result)	Check One: [X] Output [ ] Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Job creation, business start-ups, revenue growth and customer satisfaction.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	N/A
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	The performance indicator reports only the percentage of clients counseled online by the Resource Partner through SCORE.
Formula used to calculate the indicator (if appropriate)	% is calculated by taking the total on-line counseling clients divided by the total clients counseled
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	N/A

Section II: Indicator Quality

Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan): 2. Identify how the data record is captured:	1. Counseling session is conducted. 2. Agency electronic data collection system.

Validation of Data Used in Performance Measure

3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly):	3. Quarterly
4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):	4. OMB Circular A-110 - *The Federal awarding agency shall prescribe the frequency with which the performance reports shall be submitted. Except as provided in paragraph .51 (f), performance reports shall not be required more frequently than quarterly or, less frequently than annually. Annual reports shall be due 90 calendar days after the grant year; quarterly or semi-annual reports shall be due 30 days after the reporting period.*
5. ID the system of record for the indicator, e.g., what system did the information come from?	5. Entrepreneurial Development Management Information System
Identify the date that actual year-end data will be available for reporting.	Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.
Describe the process to ensure that the reported data is complete and accurate	Data standards are in place that prevent many errors. Error reports are sent back to the partner and the partner is given time to correct the reports.
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	N/A
Describe any outstanding OIG or GAO recommendation that affect this indicator	N/A
Describe plans to address limitations to accuracy or completeness of data	N/A
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A

Certification of Data Quality for Public Reporting

Indicator: DFWP - Small Businesses Educated (#)

The data quality for this indicator is considered (Check one):

[X] **MEDIUM** – Some weaknesses exist but the data is of sufficient quality to manage the program.

[ ] **LOW** – Data quality is insufficient for this data to be used to manage the program; i.e., the results for this indicator should **NOT** be publicly reported.

The data provided represent (Check one) [ ] Actual or [ ] Estimated results for the fiscal year.

In event of an audit, documentation is being maintained to allow an independent third party to: (1) verify that actions were taken to provide reasonable assurance that the data is accurate, and (2) confirm the data being reported.

Although measures were taken to provide reasonable assurance that the data being reported is accurate, the data, procedures and/or source documentation contains the following weaknesses disclosed below.

1. Identify known or suspected weaknesses in the data being reporting (e.g., limitations in the verification procedures; weaknesses in the data collection process; known flaws in the data):
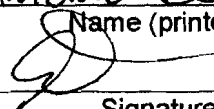
The SBA has no recourse to verify if these numbers are correct, however, we place great emphasis on trusting that the grantees are reporting accurately.

2. Describe procedures currently being applied to mitigate the weaknesses:

None

3. Describe actions planned to improve the quality of the data in future reporting cycles:
None

Antonio Doss	1/8/09	
Name (printed)	Title	
Signature	AA/OSBDC	1/9/09
	Title	

Validation of Data Used in Performance Measure
Enter Office name: Small Business Development Centers - DFWP

Performance Indicator Title	The total number of businesses educated about the benefits of a Drug Free Workplace Program

Section I: Indicator Definition and Relevance	
Identify the Strategic Goal and Objective that the indicator measures	Strategic Goal: Improve economic environment for all businesses. Strategic Objective: Increase the positive impact of SBA assistance upon the number and success of small business start-ups; Maximize the sustainability and growth of existing small business assisted by the SBA; Significantly increase successful small business ownership within segments of society facing special competitive opportunity gaps.
Why chose this indicator	This indicator measures major contributions that the program makes to the achievement of SBA's outcomes.
Briefly describe relevance of this indicator for measuring program success	The belief is that the higher the number of small businesses educated about a DFWP the higher the number of small businesses will implement a DFWP.
Briefly describe how this indicator is used or will be used to manage the program	None. Even though the SBA is unable to force small businesses to implement a DFWP, the information is used for establishing goals and monitoring performance of the Grantees.
Indicator measures an output (process) or outcome (result)	Check One: ☐ Output ☒ Outcome
If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth	Increase in the number of small businesses facing special competitive opportunity gaps receiving SBA assistance.
If applicable, describe any limitations on the relevance of this indicator for measuring program success	The SBA has no recourse to verify if these numbers are correct, however, we place great emphasis on trusting that the grantees are reporting accurately.
Detailed definition of indicator. E.g.: o Units of measure ($, #'s) o Unique events versus duplicative; e.g., unique clients trained versus total trained. o Inclusions/exclusions; e.g.: definition of underserved market used	
Formula used to calculate the indicator (if appropriate)	N/A
If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.	N/A
Section II: Indicator Quality	

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Validation of Data Used in Performance Measure

Describe the data collection process for the indicator: 1. Identify the event or action that creates a data record (e.g., an approved loan): 2. Identify how the data record is captured: 3. Identify the frequency of data capture (e.g., immediate, weekly, quarterly): 4. Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): 5. ID the system of record for the indicator, e.g., what system did the information come from?	1. An SBA DFWP grantee schedules an event for small businesses to receive training and education regarding the DFWP. 2. When a small business signs up for the education/training either by phone, in-person, or via computer. 3. Data is reported quarterly to the SBA. 4. The lag time is the time between the completion of the implementation and the reporting date. Can vary widely from the beginning of a quarter to the end. 5. The DFWP has its own web based database through the GLS system.
Identify the date that actual year-end data will be available for reporting.	January 1
Describe the process to ensure that the reported data is complete and accurate	None
Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)	The SBA has no recourse to verify if these numbers are correct, however, we place great emphasis on trusting that the grantees are reporting accurately.
Describe any outstanding OIG or GAO recommendation that affect this indicator	N/A
Describe plans to address limitations to accuracy or completeness of data	None
If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.	N/A