



# Small Business Administration

## **SBA Enterprise Architecture Transition Plan**

**Version 2.00**

**February 2008**



*Revision History*

<b>Version No.</b>	<b>Date</b>	<b>Revision Description</b>
<b>2.0</b>	<b>2/28/08</b>	<b>Updated from 2007 to address completed segment architectures, new investments and initiatives, and updated OMB guidance</b>

The SBA Chief Architect maintains this document and can make administrative changes, such as error correction or editorial changes, without approval. BTIC members must approve all non-administrative changes to this document. Version numbers for non-administrative revisions is of the whole number form n.00 and for administrative revisions is of the decimal number form \_.nn.

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# 1 Introduction

The SBA Enterprise Architecture Transition Plan (EATP) for the Small Business Administration (SBA) is a high-level strategic roadmap for information technology (IT) modernization. It is a plan to achieve SBA's Target Enterprise Architecture (EA) including target performance goals, business processes, applications and services, technology, data, and security. The SBA EATP defines and sequences the transition activities to the desired future state, in light of relevant priorities, dependencies, and constraints. The EATP is the foundation for IT modernization, supporting business and IT investment management and program management and execution. The transition activities defined in this plan will become the implementation programs SBA executes to achieve business and IT modernization.

## 1.1 Purpose

This SBA EA Transition Plan is an update to the version of the agency EA sequencing plan from February 2007, Version 1.03. This version reflects new or revised architectural drivers and documents relevant changes to EA transition activities and addresses new guidance from OMB. It also provides changes to the sequence and implementation plans for the transition activities. The SBA EA Transition Plan will evolve to accommodate SBA's continuously changing business environment and other architectural drivers including relevant cross-agency initiatives. The intended near-term uses and impacts for the SBA EA Transition Plan include:

1. Provide a roadmap for the transition to SBA's Target EA
2. Identification and implementation of segment architectures for core mission areas, business services and enterprise services
3. Provide information to support the SBA's IT Investment Management (ITIM) process and improve the efficiency and effectiveness of SBA's IT investment portfolio. The major investments required to reach the target state should be covered in this Plan, and the Business Technology Investment Council will validate proposed investments against this Plan. If a proposed investment is not included in the Plan, the proposing Office must further justify how the investment helps SBA reach its target state and how it supports the agency's mission and goals
4. Guide to measuring progress towards achieving SBA's target EA and closing its performance gaps. The summary of performance improvement milestones included in this document will enable better management and reporting of progress against agency-wide plans

## 1.2 Audience

This Transition Plan is applicable to all SBA offices, representing a high-level roadmap for moving SBA toward the Target EA. All SBA executives, managers, and staff are encouraged to read, discuss, and comment on this document. The primary focus for specific SBA stakeholder groups is summarized below:

**1.2.1 SBA Executives** – as the primary force within SBA responsible for ensuring that the agency fulfills its business mission and progresses toward its vision, SBA executives must understand and use the SBA EA Transition Plan as primary guide in the Agency Capital Planning and Investment Control (CPIC) process. The SBA program office executives are chartered members of the Business Technology Investment Council (BTIC) which has the responsibility for approving the Transition Plan and is part of the CPIC process.

**1.2.2 Office of the Chief Information Officer (OCIO) Staff** – all OCIO staff should be familiar with Transition Plan. As the Office with primary responsibility for planning and deploying technology in support of the agency’s mission, OCIO staff must understand the transition activities required to move SBA to the Target EA.

**1.2.3 IT Investment Management and Productivity Enhancement Staff** – Staff responsible for IT investment management must understand the Transition Plan and be able to apply that understanding in the evaluation of SBA’s IT investment portfolio. The programs, program offices' CIOs, and ITIM governance bodies have the primary responsibility of IT investment management.

**1.2.4 Program/Project Managers** – Program and project managers responsible for IT initiatives must ensure that the initiatives are associated to the transition activities in the Transition Plan.

**1.2.5 Business Managers** – Managers within SBA’s mission areas should understand the transition activities and how they relate to their business needs. They should closely review those activities that address their mission areas.

**1.2.6 The Office of Management and Budget (OMB)** – As part of the budget submission process, SBA will submit the Transition Plan and other EA work products to OMB. OMB will use the Transition Plan to determine whether SBA has a cohesive roadmap to shift SBA to the Target EA.

## 2 SBA Mission and Change Drivers

### 2.1 Mission

The SBA’s prime objective is to maintain and strengthen the Nation’s economy by aiding, counseling, assisting, and protecting the interests of small business and by helping business and families recover from natural disasters. The SBA champions small businesses by providing managerial and technical support, and financial and management assistance. These services help America’s entrepreneurs remain a strong economic force in the U.S. and around the world. The mission serves as a common thread that transcends the current and target business architectures. As defined by law, The Small Business Act states that SBA’s mission is to:

*“...aid, counsel, assist, and protect, insofar as is possible, the interests of small business concerns in order to preserve free competitive enterprise, to ensure that a fair proportion of the total purchases and contracts or subcontracts for property and services for the Government.... Be placed with small business enterprises, to ensure that a fair proportion of the total sales of Government property be made to such enterprises, and to maintain and strengthen the overall economy of the Nation.”*

The SBA Strategic Plan FY 2008-2012 identifies the following set of goals and long term objectives (LTOs) for the agency:

**TABLE 1: SBA GOALS AND OBJECTIVES**

Goal#	Goal	LTO#	Long Term Objective
1	Expand America’s ownership society, particularly in underserved markets	1.1	Improve access to SBA programs and services by small businesses to drive business formation, job growth, and economic activity
		1.2	Support entrepreneurship in markets with higher poverty and unemployment, and in our military community

Goal#	Goal	LTO#	Long Term Objective
		1.3	Ensure stewardship and accountability over taxpayer dollars through prudent financial portfolio management and oversight
2	Provide timely financial assistance to homeowners, renters, nonprofit organizations and businesses affected by disaster	2.1	Respond quickly, efficiently and effectively to disaster applicants
3	Improve the economic environment for small business	3.1	Protect, strengthen and effectively represent the Nation's small businesses to minimize the regulatory burden
		3.2	Foster a more small-business friendly environment
4	Ensure management and organizational excellence to increase responsiveness to customers, streamline processes, and improve compliance and controls	4.1	Deploy a skilled workforce capable of executing high-quality programs
		4.2	Provide a safe and secure information system environment to support business decisions and Agency operations
		4.3	Provide financial and performance management services to support efficient and effective program delivery

These goals and objectives are important directives in crafting metrics to define success for investments in IT systems. The metrics used by the agency for its various IT systems can be found in section 0,

Performance Improvement Summary. Metrics used to measure the success of the agency as a whole can be found online at <http://www.sba.gov/aboutsba/budgetsplans/>.

## **2.2 Change Drivers**

The globalization of markets, explosive growth in technology and increased competition among small businesses combined and individually drive the need for change. The following list identifies the major forces for change that affect the SBA's decision making.

### **2.2.1 Executive Drivers**

- The President's Management Agenda, including
  - Strategic management of human capital
  - Competitive sourcing
  - Improved financial performance
  - Expanded e-government
  - Budget and performance integration
- The President's Small Business Agenda

### **2.2.3 Legislative Drivers**

- Clinger-Cohen Act
- Financial Management Legislation
  - Chief Financial Officer Act
  - Government Management Reform Act
  - Federal Financial Management Improvement Act (FFMIA)
- Government Paperwork Elimination Act (GPEA)
- Small Business Act
- Government Management Reform Act
- E-Government Act
- Prompt Pay Act

### **2.2.2 SBA-Specific Drivers**

- SBA Administrator priorities and priority projects identified in the SBA IT Strategic Plan FY 2007-2011
  - SBA OCIO Guiding Principles
- Identified in the SBA Strategic Plan FY 2008-2012
  - Substantial growth in the SBA's outstanding loan portfolio over the past five years, resulting in increased demands upon the SBA in maintaining its operations and fulfilling its oversight responsibilities
  - The transformation of the SBA workforce in recent years, resulting in functions being centralized and many roles and responsibilities being realigned.
  - Natural disasters of significant magnitude during recent years, resulting in heightened demand for immediate disaster response
  - Aging workforce, with 34 percent being eligible for retirement by 2009, and muted employee morale revealed from employee surveys, resulting in focus on improved communication, training opportunities, and recruiting.

### **2.2.4 External Drivers**

- Identified in the SBA Enterprise Architecture Blueprint
  - Globalization of markets
  - Increasing numbers of minority- and women-owned small businesses
  - Unpredictability of disasters

### 3 SBA Architectural Segments

The SBA has adopted the Federal Enterprise Architecture (FEA) Practice Guidance<sup>1</sup> in pursuing a segmented approach to agency-wide enterprise architecture development. To date, the agency has analyzed two core mission segments in detail and produced segment architectures, including strategic roadmaps, for the two segments. Table 3 in the following section presents the plan for developing further segment architectures at the agency.

#### 3.1 Segment Definitions

The SBA currently defines its architectural segments as follows:

**TABLE 2: SBA SEGMENTS**

Segment Name	Office / Program	Segment Type	Description
Financial Assistance	OCA ODA	Core Mission Segment	The Financial Assistance segment provides a number of financial assistance programs for small businesses including 7(a), 504 and disaster assistance loans/loan guarantees. This segment is closely integrated with both the Disaster Assistance segment and the Financial Management segment.
Disaster Assistance	ODA	Core Mission Segment	The purpose of the Disaster Assistance segment is to provide various types of loans for businesses of all sizes and homeowners and renters in the event of a disaster. This includes physical disaster loans, economic injury loans, military reservists' loans and home and personal property loans. The Disaster Assistance segment is closely related to the Financial Assistance segment, since both segments deal primarily with loans and loan guarantees.
Contracting Assistance	GC/BD	Core Mission Segment	This segment involves the Office of Government Contracting and Business Development (GC&BD) business line of the Small Business Administration.
Management & Technical Assistance	OED	Core Mission Segment	Management and Technical Assistance is offered primarily through the Office of Entrepreneurial Development, which develops programs to assist small businesses in starting, growing, and competing in global markets by providing quality training, counseling, and access to resources.
Business Gateway	BG	Core Mission Segment	E-Government initiative that oversees and operates Business.Gov, the one-stop business compliance resource for small business

<sup>1</sup> A full description of the FEA Practice Guidance is documented in *FEA Practice Guidance, November 2007*, from the Federal Enterprise Architecture Program Management Office of OMB. More information about FEA can be found at <http://www.whitehouse.gov/omb/egov/a-1-fea.html>.

Segment Name	Office / Program	Segment Type	Description
Human Resources	OM&A	Business Services Segment	Business services for human resources, operating in support of core mission segments. The potential for aligning with specific government-wide initiatives make segment architecture critical for this business service.
Procurement and Grants Management	OM&A	Business Services Segment	This segment provides the internal procurement planning and processing for the agency and manages the grants programs offered by SBA.
Financial Management	OCFO	Business Services Segment	This segment covers the internal administrative accounting and financial management functions of the agency.
IT Services	OCIO	Enterprise Services Segment	The IT services segment provides the enterprise-wide information technology support required by the agency. It includes several sub-segments including IT Infrastructure and Operations, Data Management, Knowledge Management, Data Center Operations, and several others.

In the future, this list might be augmented to include two other potential segments, Advocacy (core mission) and Performance Management (business service). These segments are not included at present since there are no major IT investments planned in these areas over the next several years. Should this change, they may be considered as segments in the future.

The plan for conducting future segment architectures is based on relative priority and will also depend on the ability to fund each effort. The targeted priorities are as follows:

**TABLE 3: SBA SEGMENT PRIORITY**

Segment Name	Primary Program Office	Priority	Start Date
Contracting Assistance	Government Contracts & Business Development	High	Complete
Business Gateway	Business Gateway	High	Complete
Human Resources	Office of Human Capital Management	High	FY2008 Q2
Procurement and Grants Management	Office of Procurement and Grants Management	High	FY2008 Q2
IT Services	Office of the Chief Information Officer	High	TBD
Financial Assistance	Office of Capital Access	High	TBD

Segment Name	Primary Program Office	Priority	Start Date
Financial Management	Office of the Chief Financial Officer	Medium	TBD
Disaster Assistance	Office of Disaster Assistance	Medium	TBD
Management & Technical Assistance	Office of Entrepreneurial Development	Medium	TBD

### 3.2 Summary of Completed Segment Architectures

Below are summaries of the segment architectures to date. The full current state, target state, and roadmap for each are separate documents.

#### 3.2.1 Contracting Assistance (Office of Government Contracting and Business Development – GCBD)

The complete segment architecture is documented in the *GC&BD Segment Architecture Target State* and *GC&BD Segment Architecture Roadmap*, September 2007.

**TABLE 4: GCBD SEGMENT ARCHITECTURE SUMMARY**

Segment	Contracting Assistance (Office of Government Contracting and Business Development – GCBD)
<b>Scope</b>	<p>This core mission segment covers the Office of Government Contracting and Business Development (GC&amp;BD) business line of Small Business Administration.</p> <p>The GC&amp;BD’s mission is to assist small businesses, including Small Disadvantaged Businesses, HUBZone, Women-Owned Small Businesses, and Service-Disabled Small Businesses, in obtaining Federal procurement opportunities. GC&amp;BD administers its programs through the Office of Government Contracting, Office of Business Development, Office of HUBZone, and the Office of Policy, Planning, and Liaison.</p>
<b>Primary Change Drivers</b>	<p><b>Internal drivers:</b></p> <ul style="list-style-type: none"> <li>• Focus on Administrator’s Four Pillars – outcomes-driven, customer-focused, employee-enabled and increasing transparency and accountability.</li> <li>• Reduction in resources – decrease in the number of procurement center and business development staff, and at the same time an increase in the workload for the remaining procurement centers and business development staff.</li> <li>• SBA Strategic Plan – strategic plan and objectives were recently updated.</li> <li>• IT Strategic Plan – IT goals and initiatives were identified for next 5 years.</li> <li>• CPIC Processes – increasing emphasis on a systematic approach to select,</li> </ul>

<b>Segment</b>	<b>Contracting Assistance (Office of Government Contracting and Business Development – GCBD)</b>																		
	<p>manage, and evaluate IT investments and provide ongoing governance.</p> <p><b>External drivers:</b></p> <ul style="list-style-type: none"> <li>• Growing contracting portfolio – the number and dollar volume of contracting opportunities has grown significantly in the last decade to over \$400 billion.</li> <li>• Conducting business electronically – pressure for electronic information exchange, and demand for efficient and repeatable data transfer methods.</li> </ul>																		
<b>Vision for this Segment</b>	The GC & BD target state attempts to leverage automation and technological advances to provide single view of the customer, automated analytics and reporting, and information sharing.																		
<b>Performance Goals</b>	<p>There are a number of detailed metrics important to this segment that are targeted for improvement through the initiatives outlined in the segment architecture. Key metrics include the following:</p> <table border="1"> <thead> <tr> <th>Indicator</th> <th>FY2008</th> <th>FY2009</th> <th>FY2010</th> </tr> </thead> <tbody> <tr> <td>Small businesses assisted</td> <td>Increase (varies by program)</td> <td>Increase (varies by program)</td> <td>Increase (varies by program)</td> </tr> <tr> <td>Value of federal contracts awarded to small businesses and/or under socioeconomic preference programs</td> <td>\$85B</td> <td>\$90B</td> <td></td> </tr> <tr> <td>Number of firms still in business three years after exiting the 8(a) Business Development Program</td> <td>82%</td> <td>87%</td> <td>91%</td> </tr> </tbody> </table>			Indicator	FY2008	FY2009	FY2010	Small businesses assisted	Increase (varies by program)	Increase (varies by program)	Increase (varies by program)	Value of federal contracts awarded to small businesses and/or under socioeconomic preference programs	\$85B	\$90B		Number of firms still in business three years after exiting the 8(a) Business Development Program	82%	87%	91%
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<b>Funding Strategy</b>	GC & BD is a program office within the SBA that has its own budget. IT investments planned for GC & BD will be funded from its own budget.																		

### 3.2.2 Business Gateway

The complete segment architecture is documented in the *Business Gateway Segment Architecture Target State* and *Business Gateway Segment Architecture Roadmap*, February 2008.

**TABLE 5: BUSINESS GATEWAY SEGMENT ARCHITECTURE SUMMARY**

<b>Segment</b>	<b>Business Gateway</b>
<b>Scope</b>	Business Gateway (BG) is the federal E-Government (E-Gov) initiative that provides a one-stop resource (www.business.gov) for compliance information, forms, and government contacts to help the nation’s businesses comply with federal, state, and local laws and regulations. Currently, SBA is the managing partner for this initiative and Business Gateway has the potential in the future to “graduate” out of its current E-Gov status to become a fully SBA-owned program.
<b>Primary Change Drivers</b>	<p><b>Internal drivers:</b></p> <ul style="list-style-type: none"> <li>• Program maturity – the program is maturing into operations and maintenance (O&amp;M)</li> <li>• Reduction in resources – budget will be reduced in coming years</li> </ul>

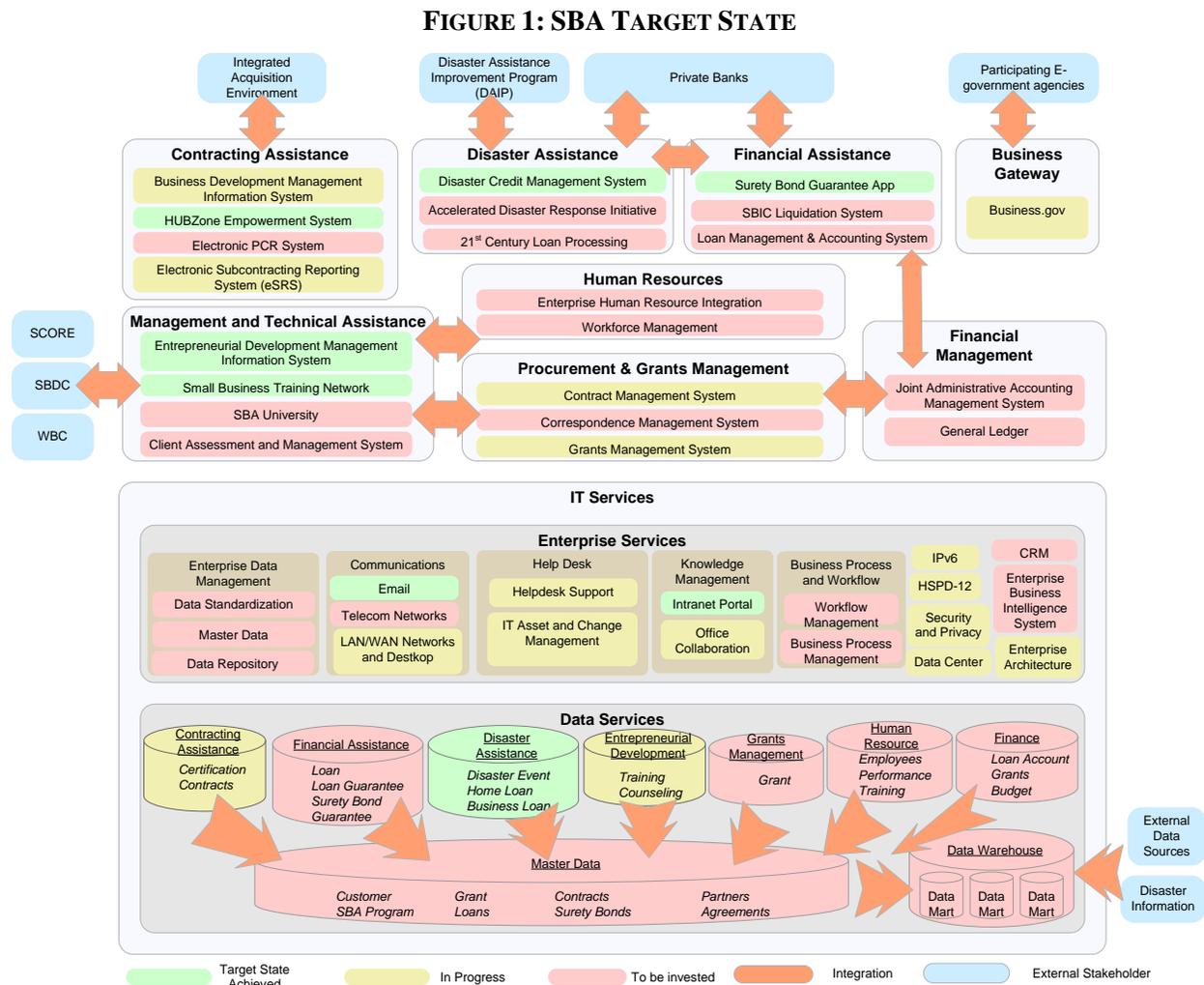
Segment	Business Gateway															
	<ul style="list-style-type: none"> <li>• Customer input – the program closely adheres to feedback from customers</li> </ul> <p><b>External drivers:</b></p> <ul style="list-style-type: none"> <li>• E-Gov graduation – BG has the potential to become an SBA program</li> <li>• Rising customer expectations – result of having an online customer base</li> </ul>															
<b>Vision for this Segment</b>	The Business Gateway plans to increase available site content in order to move from being a "links site" to becoming a "content destination site." It is investigating how to leverage Web 2.0 technology to increase collaboration with and among businesses and the federal government.															
<b>Performance Goals</b>	<p>Planned performance improvement metrics include:</p> <table border="1" data-bbox="435 569 1203 764"> <thead> <tr> <th data-bbox="435 569 773 596">Indicator</th> <th data-bbox="781 569 987 596">FY2008</th> <th data-bbox="995 569 1203 596">FY2009</th> </tr> </thead> <tbody> <tr> <td data-bbox="435 602 773 630">Hours Saved (Millions)</td> <td data-bbox="781 602 987 630">2.7</td> <td data-bbox="995 602 1203 630">2.9</td> </tr> <tr> <td data-bbox="435 636 773 684">American Customer Satisfaction Index Score</td> <td data-bbox="781 636 987 684">70</td> <td data-bbox="995 636 1203 684">70</td> </tr> <tr> <td data-bbox="435 690 773 718">Referrals to Partner Sites</td> <td data-bbox="781 690 987 718">12%</td> <td data-bbox="995 690 1203 718">13%</td> </tr> <tr> <td data-bbox="435 724 773 764">Unique Visits (Thousands per month)</td> <td data-bbox="781 724 987 764">232</td> <td data-bbox="995 724 1203 764">255</td> </tr> </tbody> </table>	Indicator	FY2008	FY2009	Hours Saved (Millions)	2.7	2.9	American Customer Satisfaction Index Score	70	70	Referrals to Partner Sites	12%	13%	Unique Visits (Thousands per month)	232	255
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<b>Funding Strategy</b>	Business Gateway is currently an E-Government initiative and is funded through contributions from 22 different government agencies. Its FY2007 budget was \$7.89M, with largest contributions coming from the Department of Agriculture, Department of Health and Human Services, Department of Homeland Security, Department of Labor, Department of Transportation, and Treasury. In the coming year, Business Gateway hopes to graduate from being an E-Gov initiative to becoming an operational program within the SBA, thereby receiving all of its funding from the SBA budget.															

## 4 SBA Baseline and Target State

The consolidated plans of the various SBA segments inform the overall baseline and target states of the agency. The SBA maintains a more detailed vision of its baseline and intended target state in the document entitled *SBA Enterprise Architecture Blueprint*.

The initiatives listed in section 6 attempt to close the gap between the baseline and target states for each segment. Each initiative contains one or more projects, where each project leads to the completion of an IT system, a solution framework, a unit of underlying infrastructure, or a service offering.

The Enterprise Architecture Transition Plan conveys the sequencing plan by which the SBA will realize this intended target state. Figure 1 depicts the results of these projects, combined with the systems or services that, at the current baseline state, have already achieved the intended target state, to demonstrate the overall target state for SBA:



The subsections that follow describe the movement from baseline to target state in each segment, and section 6 provides greater depth at the initiative level.

### 4.1 Financial Assistance Segment

OCA has embarked on a major modernization initiative to implement a new loan management system. This new system will consolidate several legacy systems and integrate with the Agency’s financial management system put in place by OCFO. The new loan system will also be integrated with the

Disaster Credit Management System to provide servicing for disaster loans. In addition, OCA will invest in a system to support SBIC asset sales in order to address the SBA administrator's priorities.

## **4.2 Disaster Assistance Segment**

ODA will develop an online application for disaster loans to reduce errors, eliminate duplication, and reduce ODA's manual effort by replacing the existing paper-based processes. In the target state, lenders will process applications directly through effective private sector partnerships. This will automate many of the disaster loan processes and capture data at or before the time of disaster to allow SBA to rapidly respond to a catastrophic disaster. The new system will integrate disaster application systems with disaster data collective using predictive analytics, including public information is used in loan decisions. The system will also automate the routing and case management processes to reduce the number of personnel needed in the event of disasters.

## **4.3 Contracting Assistance Segment**

The SBA is modernizing its systems that support its procurement preference and contracting assistance programs. GC&BD will be providing applicants with the ability to submit online applications for 8(a)/Small Disadvantaged Business (SDB) and HUBZone programs. The current contracts for these systems extend beyond the timeframe covered by this transition document and limit the ability to target EA compliance in the short term without significant cost. The long term goal is to bring all non-compliant components within EA compliance at the time when it is most cost effective and feasible to do so. In addition, the SBA is planning development of the electronic Procurement Center representative system which, along with other systems such as eSRS, FPDS, and FedBizOpps, contributes to the movement toward centralized, electronic procurement and provides a mechanism to electronically manage pre-solicitation procurement information for small businesses.

## **4.4 Management and Technical Assistance Segment**

In the target state, the Office of Entrepreneurial Development (OED) will have systems that seamlessly provide online training to small business customers, track student progress, and provide certificates. This information about the customers can then be shared with Office of Capital Access (OCA) and Office of Government Contracting and Business Development (GCBD) to allow the customers to meet any training requirements related to loan programs or contract assistance programs. Although the front-end grants application process utilizes Grants.Gov, an eGov-mandated common process across all agencies, the back-end review, underwriting, and disbursement steps are governed by individual agency procedures. As such, it is planned that back-end processing of grants offered through the SBA's management and technical assistance partners such as SCORE, SBDC and WBC will utilize standard procedures provided by the Center of Excellence at HHS.

## **4.5 Business Gateway**

The Business Gateway plans to increase available site content in order to move from being a "links site" to becoming a "content destination site." It is investigating how to leverage Web 2.0 technology to increase collaboration with and among businesses and the federal government.

## **4.6 Human Resources Segment**

The Human Resources segment falls into the Office of Human Capital Management (OHCM) within the Office of Management and Administration. The major transformation will be addressing the Enterprise Human Resources Integration (EHRI) E-Government initiative to automate official personnel files and implement a Learning Management system to better train the SBA workforce.

## **4.7 Procurement and Grants Management Segment**

The Office of Procurement and Grants Management (OPGM) is primarily responsible for the Procurement and Grants management segment. This segment initiates grants via the eGov mandated Grants.Gov system. The back-end steps of reviewing, underwriting and disbursing different types of grants are left to each agency to determine best practice. Modernization efforts in OPGM will focus on leveraging an existing in-house grants module of OPGM's Contract Management System and/or potentially utilizing the COE at HHS, depending on requirements and cost factors.

## **4.8 Financial Management Segment**

The major modernization efforts in financial management will be focused on providing points of integration between the new and modernized loan processing system, LMAS, and the existing administrative accounting systems, allowing for greater consistency in reporting. Some of the current financial systems will be retired once LMAS is operational. The planning for the integration into the loan processing system will be a significant initiative for Financial Management.

## **4.9 IT Services (Enterprise and Data) Segment**

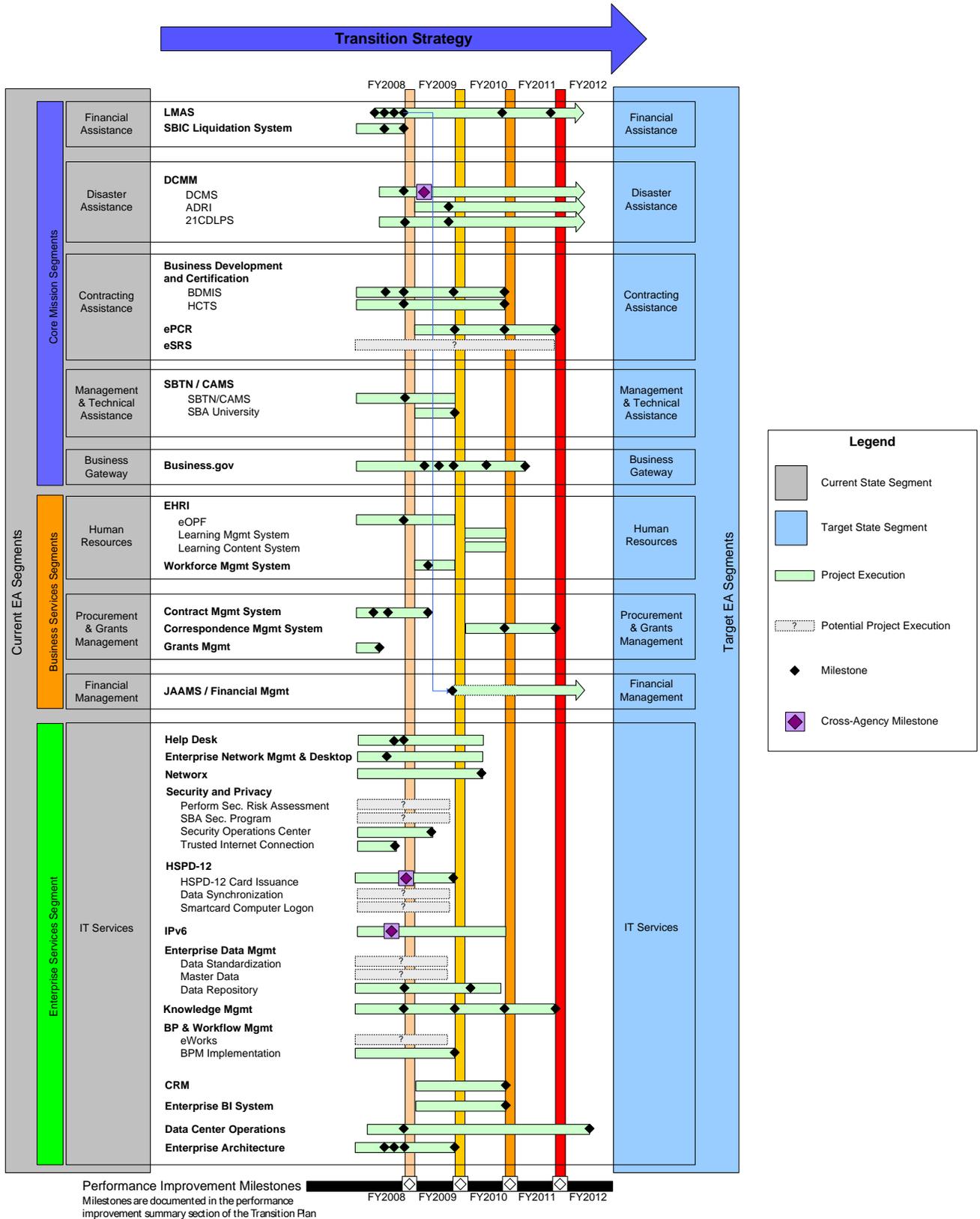
The primary function of the IT Services segment is to provide the IT infrastructure and shared services to the business-oriented segments to support the IT systems for specific programs. For example, all of the IT systems leverage the SBA LAN/WAN networks, follow the security and privacy policies, and most systems use the shared data center services.

The OCIO will deploy a metadata repository to catalog critical data elements across the enterprise and master data repository for common data entities such as customer, partners, agreements, programs, small business performance. This information will be available to other operational and analytical systems. The system will provide reports database and data marts for each subject area for which analytical reports are needed. The OCIO will also implement an enhanced knowledge management system that allows SBA employees to share information, services, documents, FAQs and other articles to enable a truly collaborative work environment.

## **5 Enterprise Sequencing Plan**

The following sequencing diagram conveys the initiatives that SBA plans to execute over the next five years to bring about its intended target state. Descriptions of these initiatives are included in subsequent sections.

**FIGURE 2: ENTERPRISE ARCHITECTURE SEQUENCING PLAN**



## 6 Enterprise Initiatives and Projects

The following sections document the set of initiatives and projects that are underway or proposed to realize the SBA target state, organized by SBA segment. Each initiative has a

- Name – the name of initiative.
- Description – a summary of the initiative scope.
- Investments and Projects – the name of the Exhibit 300 or Exhibit 53 item, plus related projects
- Cross Agency Initiatives – Identifies the Federal Transition Framework Cross Agency Initiative associated with this initiative.
- Architecture– The architecture is conveyed using the FEA architectural layers:
  - Business Architecture: impacts to lines of business, business sub-functions, and/or business processes
  - Service Components Architecture: impacts to applications, software components, and/or units of technology that provide business-level information or perform processing
  - Data Architecture: impacts to data storage, exchange, and sharing
  - Technical Architecture: impacts to technology standards, services, and products used to deliver and support IT services.
- Performance Goals – describes the performance gaps the initiative will address. When specific metrics and targets have been defined in an Exhibit 300, those performance metrics are included.
- Dependencies – lists the other initiatives which this initiative needs or is impacted by.
- Implementation Plan/Milestones – list the planned activities and milestones.
- Sponsor – the program office responsible for execution of the initiative.

### 6.1 Financial Assistance Segment

Modernization efforts within the Financial Assistance segment are focused primarily on the Loan Modernization Program.

**TABLE 6: LMAS INITIATIVE DETAIL**

Initiative	Loan Management Accounting System (LMAS)
<b>Description</b>	LMAS is the initiative to modernize several of SBA’s loan processing and servicing functions. It includes an integrated loan management system that covers loan origination, loan servicing, and loan liquidation. Eventually, there will be points of integration between LMAS and SBA’s financial management system.
<b>Investments and Projects</b>	LMAS ( Exhibit 300)
<b>Cross Agency Initiatives</b>	Financial Management Line of Business (FTF catalog)
<b>Architecture</b>	<p>The LMAS architecture is to be determined once a segment architecture and solution architecture are completed. At a high level:</p> <ul style="list-style-type: none"> <li>• Business Architecture: consolidation of business processes across different loan programs. Increased automation of manual processes.</li> <li>• Service Component Architecture: six current IT systems supporting loan management will be replaced by LMAS</li> <li>• Data Architecture: a centralized data repository will store loan data across loan programs</li> </ul>

Initiative	Loan Management Accounting System (LMAS)																																
	<ul style="list-style-type: none"> <li>Technical Architecture: to be determined during blueprinting phase</li> </ul>																																
<b>Performance</b>	<p>SBA's legacy Loan Accounting System (LAS) does not comply with FSIO's Core Financial, Direct Loan, and Guaranteed Loan System Requirements. In addition, it is not compliant with federal security requirements. LMAS will address those gaps. LMAS will not be operational for several years.</p> <p>The following metrics are listed in the OMB Exhibit 300 submission for LMAS. Some progress has been made toward modernization and consolidation of platforms that may expedite the achievement of these targets.</p> <table border="1" data-bbox="527 646 1430 1398"> <thead> <tr> <th data-bbox="527 646 816 674">Indicator</th> <th data-bbox="816 646 1027 674">FY2010 Target</th> <th data-bbox="1027 646 1230 674">FY2011 Target</th> <th data-bbox="1230 646 1430 674">FY2012 Target</th> </tr> </thead> <tbody> <tr> <td data-bbox="527 674 816 785">Percentage of 7(a) lenders that can originate and service loans electronically</td> <td data-bbox="816 674 1027 785">25%</td> <td data-bbox="1027 674 1230 785">50%</td> <td data-bbox="1230 674 1430 785">75%</td> </tr> <tr> <td data-bbox="527 785 816 896">Percentage of 504 lenders that can originate and service loans electronically</td> <td data-bbox="816 785 1027 896">25%</td> <td data-bbox="1027 785 1230 896">50%</td> <td data-bbox="1230 785 1430 896">75%</td> </tr> <tr> <td data-bbox="527 896 816 980">Number of loan programs that are JFMIP compliant</td> <td data-bbox="816 896 1027 980">1</td> <td data-bbox="1027 896 1230 980">2</td> <td data-bbox="1230 896 1430 980">3</td> </tr> <tr> <td data-bbox="527 980 816 1008">Average servicing time</td> <td data-bbox="816 980 1027 1008">3 hours</td> <td data-bbox="1027 980 1230 1008">2.5 hours</td> <td data-bbox="1230 980 1430 1008">2 hours</td> </tr> <tr> <td data-bbox="527 1008 816 1119">Number of loan programs that are completely off the legacy mainframe</td> <td data-bbox="816 1008 1027 1119">1</td> <td data-bbox="1027 1008 1230 1119">2</td> <td data-bbox="1230 1008 1430 1119">3</td> </tr> <tr> <td data-bbox="527 1119 816 1287">Number of loan programs supported by OLTP applications that are fully compliant with Federal security and privacy requirements</td> <td data-bbox="816 1119 1027 1287">1</td> <td data-bbox="1027 1119 1230 1287">2</td> <td data-bbox="1230 1119 1430 1287"></td> </tr> <tr> <td data-bbox="527 1287 816 1398">Increase revenue by reducing non-collected fees and collecting fees faster</td> <td data-bbox="816 1287 1027 1398"></td> <td data-bbox="1027 1287 1230 1398"></td> <td data-bbox="1230 1287 1430 1398">\$189K</td> </tr> </tbody> </table>	Indicator	FY2010 Target	FY2011 Target	FY2012 Target	Percentage of 7(a) lenders that can originate and service loans electronically	25%	50%	75%	Percentage of 504 lenders that can originate and service loans electronically	25%	50%	75%	Number of loan programs that are JFMIP compliant	1	2	3	Average servicing time	3 hours	2.5 hours	2 hours	Number of loan programs that are completely off the legacy mainframe	1	2	3	Number of loan programs supported by OLTP applications that are fully compliant with Federal security and privacy requirements	1	2		Increase revenue by reducing non-collected fees and collecting fees faster			\$189K
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Increase revenue by reducing non-collected fees and collecting fees faster			\$189K																														
<b>Dependencies</b>	<ul style="list-style-type: none"> <li>Financial Management/JAAMS</li> <li>Financial Management Line of Business</li> </ul>																																
<b>Implementation Plan/ Milestones</b>	<p>Note: planning is still ongoing, and milestones may change during the planning phase and once vendors have come on-board.</p> <ul style="list-style-type: none"> <li>FY2008: <ul style="list-style-type: none"> <li>Award LMAS PMO Contract</li> <li>Award LMAS System Integration Contract</li> <li>Planning</li> <li>Integrated Baseline Review</li> </ul> </li> <li>FY2010: <ul style="list-style-type: none"> <li>Phase I</li> </ul> </li> <li>FY2011: <ul style="list-style-type: none"> <li>Technical Architecture Design</li> <li>Phase II</li> </ul> </li> <li>FY2012: <ul style="list-style-type: none"> <li>Phase III</li> </ul> </li> </ul>																																

Initiative	Loan Management Accounting System (LMAS)
	<ul style="list-style-type: none"> <li>• FY2013: <ul style="list-style-type: none"> <li>○ Phase IV</li> <li>○ Phase V</li> <li>○ Phase VI</li> </ul> </li> <li>• FY2014: <ul style="list-style-type: none"> <li>○ Fully integrate with JAAMS/Financial Management</li> </ul> </li> </ul>
<b>Sponsor</b>	Office of Capital Access

**TABLE 7: SBIC LIQUIDATION PLAN INITIATIVE DETAIL**

Initiative	Small Business Investment Company (SBIC) Liquidation Plan
<b>Description</b>	The SBIC program has a high number of assets in liquidation status. The SBA is interested in increasing availability of information to potential buyers, resulting in higher bids and reduced cycle time to sell assets. An IT system is required to support this functionality.
<b>Investments and Projects</b>	SBIC Asset Sales (Exhibit 53)
<b>Cross-Agency Initiatives</b>	None
<b>Architectural Changes</b>	<ul style="list-style-type: none"> <li>• Business Architecture: Processes to qualify prospective buyers and to make information available will be automated</li> <li>• Service Component Architecture: new IT system for customer / account management and sales/marketing,</li> </ul>
<b>Performance</b>	The SBA Administrator identified the sale of SBIC assets as a high priority. The system would support higher prices and reduced cycle time for assets. This initiative is still in the planning stage and specific metrics and targets are to be determined.
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	FY2008: <ul style="list-style-type: none"> <li>• Planning</li> <li>• Initiate implementation</li> </ul>
<b>Sponsor</b>	Office of Capital Access

## 6.2 Disaster Assistance Segment

The Disaster Assistance segment has already made significant progress in its modernization efforts with the implementation of the Disaster Credit Management System.

**TABLE 8: DCMM INITIATIVE DETAIL**

Initiative	Disaster Credit Management Modernization (DCMM)
<b>Description</b>	DCMM is the initiative to modernize and strengthen SBA's ability to respond to disasters. The Disaster Credit Management System (DCMS) is the integrated IT system implemented to fulfill the goals of DCMM. DCMS handles disaster loan origination, while the servicing of loans occurs in the Loan Accounting System (LAS). Once LMAS is implemented, DCMS will link to LMAS instead of LAS for its financial management functioning. This integration could require significant

<b>Initiative</b>	<b>Disaster Credit Management Modernization (DCMM)</b>																													
	effort. DCMS was put into production in November 2004. While much of DCMS is in operations and maintenance mode, new development includes developing and launching the Electronic Loan Application to facilitate online applications and several functional enhancements to DCMS components. Supplemental projects include the Accelerated Disaster Response Initiative and the 21 <sup>st</sup> Century Disaster Loan Processing Solution																													
<b>Investments and Projects</b>	<ul style="list-style-type: none"> <li>• Disaster Credit Management Modernization (FY 2009 Exhibit 300) <ul style="list-style-type: none"> <li>○ Disaster Credit Management System (DCMS)</li> </ul> </li> <li>• Accelerated Disaster Response Initiative (ADRI)</li> <li>• 21<sup>st</sup> Century Disaster Loan Processing Solution (Exhibit 53)</li> </ul>																													
<b>Cross Agency Initiatives</b>	<ul style="list-style-type: none"> <li>• Disaster Agency Improvement Plan (DAIP) (E-Gov)</li> </ul>																													
<b>Architecture Changes</b>	<ul style="list-style-type: none"> <li>• Business Architecture: The process for applying for a loan will be automated and made available online with ELA.</li> <li>• Technical Architecture: The hosting provider is being transferred. There will be online integration with DAIP at FEMA.</li> </ul>																													
<b>Performance</b>	Planned performance improvement metrics include: <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center;">Indicator</th> <th style="text-align: center;">FY 2008</th> <th style="text-align: center;">FY 2009</th> </tr> </thead> <tbody> <tr> <td>American Customer Satisfaction Index (ASCI) Score</td> <td style="text-align: center;">72</td> <td style="text-align: center;">72</td> </tr> <tr> <td>Economic impact loan borrowers operational 6 months after final loan disbursement</td> <td style="text-align: center;">80%</td> <td></td> </tr> <tr> <td>Physical disaster loan borrowers operational 6 months after final loan disbursement</td> <td style="text-align: center;">70%</td> <td></td> </tr> <tr> <td>Disaster loans initial disbursement within 5 days</td> <td style="text-align: center;">95%</td> <td></td> </tr> <tr> <td>Home Disaster loans processed within 16 days</td> <td style="text-align: center;">85%</td> <td></td> </tr> <tr> <td>EI Disaster Loans processed within 16 days</td> <td style="text-align: center;">85%</td> <td></td> </tr> <tr> <td>Business Physical Disaster Loans processed within 16 days</td> <td style="text-align: center;">85%</td> <td></td> </tr> <tr> <td>ELA system availability</td> <td style="text-align: center;">98%</td> <td style="text-align: center;">99.5%</td> </tr> </tbody> </table>			Indicator	FY 2008	FY 2009	American Customer Satisfaction Index (ASCI) Score	72	72	Economic impact loan borrowers operational 6 months after final loan disbursement	80%		Physical disaster loan borrowers operational 6 months after final loan disbursement	70%		Disaster loans initial disbursement within 5 days	95%		Home Disaster loans processed within 16 days	85%		EI Disaster Loans processed within 16 days	85%		Business Physical Disaster Loans processed within 16 days	85%		ELA system availability	98%	99.5%
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<b>Dependencies</b>	None																													
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY2008: <ul style="list-style-type: none"> <li>○ Launch Electronic Loan Application</li> <li>○ Transfer DCMS hosting from IBM to Savvis</li> <li>○ DCMS Operations and Maintenance</li> <li>○ 21st Century Disaster Loan Processing Solution Planning and potential acquisition</li> </ul> </li> <li>• FY2009 and ongoing: <ul style="list-style-type: none"> <li>○ Online integration with DAIP</li> <li>○ DCMS Operations and Maintenance</li> <li>○ Potential enhancements resulting from ADRI and 21CDLPS</li> </ul> </li> <li>• Post-FY2012 <ul style="list-style-type: none"> <li>○ Transfer from LAS interface to LMAS interface</li> </ul> </li> </ul>																													
<b>Sponsor</b>	Office of Disaster Assistance																													

### 6.3 Contracting Assistance Segment

Contracting Assistance is provided primarily by the Office of Government Contracting and Business Development. The segment architecture for this segment was completed in September 2007.

**TABLE 9: BUSINESS DEVELOPMENT AND CERTIFICATION INITIATIVE DETAIL**

Initiative	Business Development and Certification																									
<b>Description</b>	<p>The Business Development initiative is designed to improve service to small businesses and those certified under federal socio-economic preference programs to improve their long-term business success. It includes the enhancement of two related systems:</p> <ul style="list-style-type: none"> <li>• Business Development Management Information System (BDMIS) facilitates the management of the 8(a) program. It will include: 1) 8(a) Certification Online E-Application; 2) 8(a) Electronic Annual Review, and: 3) Back office support.</li> <li>• The HUBZone system is a web-based system that enables small businesses to apply for and be approved online for the HUBZone program, and enables management of that program, including annual reviews and contract tracking.</li> </ul>																									
<b>Investments and Projects</b>	<ul style="list-style-type: none"> <li>• Business Development Management Information System (BDMIS) (FY 2009 Exhibit 300)</li> <li>• HUBZone Certification Tracking System (HCTS or HUBZone) (FY 2009 Exhibit 300)</li> </ul>																									
<b>Cross Agency Initiatives</b>	None																									
<b>Architecture</b>	<p>See <i>GCBD Segment Architecture</i>, September 2007 for more details.</p> <ul style="list-style-type: none"> <li>• Service Component Architecture: In the future, there are potential areas for these two separate systems to share and reuse common service components, including a unified web portal, and common security, workflow, business rules engine, and document management.</li> <li>• Data Architecture: There is the potential to consolidate data into one logical data source for business certifications.</li> </ul>																									
<b>Performance</b>	<p>BDMIS will support better results for the 8(a) program. In addition, the enhancements will allow the system to meet statutory and regulatory requirements.</p> <p><b>Planned performance improvement metrics include:</b></p> <table border="1" data-bbox="526 1486 1429 1856"> <thead> <tr> <th data-bbox="526 1486 750 1545">Indicator</th> <th data-bbox="750 1486 940 1545">FY08 Target</th> <th data-bbox="940 1486 1122 1545">FY09 Target</th> <th data-bbox="1122 1486 1284 1545">FY10 Target</th> <th data-bbox="1284 1486 1429 1545">FY11 Target</th> </tr> </thead> <tbody> <tr> <td data-bbox="526 1545 750 1629">Number of Electronic Applications</td> <td data-bbox="750 1545 940 1629">25% increase annually</td> <td data-bbox="940 1545 1122 1629">25% increase annually</td> <td data-bbox="1122 1545 1284 1629">25% increase annually</td> <td data-bbox="1284 1545 1429 1629">25% increase annually</td> </tr> <tr> <td data-bbox="526 1629 750 1713">Percent of annual review complete on-time</td> <td data-bbox="750 1629 940 1713">75%</td> <td data-bbox="940 1629 1122 1713">100%</td> <td data-bbox="1122 1629 1284 1713">100%</td> <td data-bbox="1284 1629 1429 1713">100%</td> </tr> <tr> <td data-bbox="526 1713 750 1772">Time to load a web page</td> <td data-bbox="750 1713 940 1772">5 seconds or less</td> <td data-bbox="940 1713 1122 1772">3 seconds or less</td> <td data-bbox="1122 1713 1284 1772">3 seconds or less</td> <td data-bbox="1284 1713 1429 1772">3 seconds or less</td> </tr> <tr> <td data-bbox="526 1772 750 1856">Number of 8(a) applications processed</td> <td data-bbox="750 1772 940 1856">25% increase annually</td> <td data-bbox="940 1772 1122 1856">25% increase annually</td> <td data-bbox="1122 1772 1284 1856">25% increase annually</td> <td data-bbox="1284 1772 1429 1856">25% increase annually</td> </tr> </tbody> </table> <p>The HUBZone system will improve customer service and expand the ability to access the program.</p>	Indicator	FY08 Target	FY09 Target	FY10 Target	FY11 Target	Number of Electronic Applications	25% increase annually	25% increase annually	25% increase annually	25% increase annually	Percent of annual review complete on-time	75%	100%	100%	100%	Time to load a web page	5 seconds or less	3 seconds or less	3 seconds or less	3 seconds or less	Number of 8(a) applications processed	25% increase annually	25% increase annually	25% increase annually	25% increase annually
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Number of 8(a) applications processed	25% increase annually	25% increase annually	25% increase annually	25% increase annually																						

Initiative	Business Development and Certification				
	Planned performance improvement metrics include:				
	<b>Indicator</b>	<b>FY08 Target</b>	<b>FY09 Target</b>	<b>FY10 Target</b>	<b>FY11 Target</b>
	Amount of contract dollars going to HUBZone firms	10% increase	10% increase	10% increase	10% increase
	Number of jobs reported for HUBZone communities	Increase by 3% from previous year			
	The increase in the number of HUBZone system modules that can generate desktop analytical reports to evaluate the HUBZone program	1	1	1	1
	Time spent reviewing individual application	10% increase	10% increase	10% increase	10% increase
<b>Dependencies</b>	None				
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY2008 <ul style="list-style-type: none"> <li>○ BDMIS - Deploy E-Application</li> <li>○ BDMIS - Deploy E-Annual Review</li> <li>○ HUBZone – O&amp;M</li> </ul> </li> <li>• FY2009 <ul style="list-style-type: none"> <li>○ BDMIS - Convert database to Oracle</li> <li>○ HUBZone – O&amp;M</li> </ul> </li> <li>• FY2010 <ul style="list-style-type: none"> <li>○ Further enhancements</li> <li>○ O&amp;M</li> </ul> </li> </ul>				
<b>Sponsor</b>	Office of Government Contracting and Business Development				

**TABLE 10: EPCR INITIATIVE DETAIL**

Initiative	Electronic Procurement Center Representative (ePCR)
<b>Description</b>	ePCR will be an Internet-based system to automate all material business processes of the SBA's review of government-wide requirements for possible set-asides under socioeconomic procurement preference programs. The end state vision will be to collect pre-solicitation information and automate set aside pre-determinations for all types of small businesses. This initiative will leverage reporting capabilities to track government-wide contracting goals. Automated notifications will be generated to communicate with federal contracting officials about potential small business set asides. Document management capabilities will be available for uploading and maintaining contracting documents
<b>Investments and Projects</b>	ePCR (future investment)
<b>Cross Agency Initiatives</b>	Leverages the Integrated Acquisition Environment, including FPDS, CCR, and FedBizOpps.

<b>Initiative</b>	<b>Electronic Procurement Center Representative (ePCR)</b>
<b>Architecture</b>	See the <i>GC&amp;BD Segment Architecture</i> , September 2007. <ul style="list-style-type: none"> <li>• Business Architecture: ePCR will automate contract review processes currently performed by the procurement center representatives.</li> <li>• Data Architecture: ePCR will seek to identify federal contracting opportunities earlier in the contracting process.</li> </ul>
<b>Performance</b>	ePCR will enable review of a greater number of federal contracts for possible set-aside within socio-economic preference programs. Therefore, it should increase participation of small and disadvantaged businesses in the federal contracting process, which goes to the heart of SBA's mission. Planned performance improvement metrics include the following, though specific targets with dates have not yet been defined because the project is still in the planning process: <ul style="list-style-type: none"> <li>• Percentage of contract value awarded to small business and/or under socioeconomic procurement preference programs as a result of SBA intervention</li> <li>• Annual value of Federal contracts awarded to small businesses and small businesses in underserved geographical markets</li> </ul>
<b>Dependencies</b>	Integrated Acquisition Environment. ePCR depends on some decisions to be made by and the cooperation of GSA.
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY2009: Planning and budget request</li> <li>• FY2010: Development</li> <li>• FY2011: Launch</li> </ul>
<b>Sponsor</b>	Office of Government Contracting and Business Development

**TABLE 11: ESRS INITIATIVE DETAIL**

<b>Initiative</b>	<b>Electronic Subcontracting Reporting System (eSRS)</b>
<b>Description</b>	Under the sponsorship of the Integrated Acquisition Environment and pursuant to the President's Management Agenda for Electronic Government, the SBA deployed the Electronic Subcontracting System (ESRS). This system replaced submission of paper reports on subcontracting activity by prime contractors with electronic Internet-based reporting. Eventually, it is planned that eSRS will move out of its current E-Gov status and into the SBA
<b>Investments and Projects</b>	eSRS (currently part of IAE, planned to move into SBA)
<b>Cross Agency Initiatives</b>	Integrated Acquisition Environment (IAE)
<b>Architecture</b>	eSRS currently operates outside the scope of the SBA. Architectural considerations will become relevant once the SBA takes ownership.
<b>Performance</b>	Currently, as part of the IAE E-Gov initiative, eSRS contributes to achieving IAE performance measures.
<b>Dependencies</b>	Other Integrated Acquisition Environment systems
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• TBD: SBA ownership of eSRS</li> </ul>
<b>Sponsor</b>	Office of Government Contracting and Business Development

## 6.4 Management & Technical Assistance Segment

Management and technical assistance is provided primarily by the programs within the Office of Entrepreneurial Development. There is not yet a segment architecture for this Line of Business.

**TABLE 12: SBIC/SBTN INITIATIVE DETAIL**

<b>Initiative</b>	<b>Small Business Training Network (SBTN)/Client Assessment Management System (CAMS)</b>
<b>Description</b>	The SBTN provides quality and targeted online training to meet the information needs of prospective and existing small business owners. It will be extended and enhanced by CAMS, which will capture client registrations and course completion, and provide assessment tools to allow clients to better target the courses they need.
<b>Investments and Projects</b>	<ul style="list-style-type: none"> <li>• SBTN/CAMS (Exhibit 53)</li> <li>• SBA University (Unfunded. Under Consideration)</li> </ul>
<b>Cross Agency Initiatives</b>	None
<b>Architectural Changes</b>	The planned efforts under SBTN/CAMS are primarily extensions of existing systems and infrastructure rather than significant architectural changes.
<b>Performance</b>	SBTN and CAMS are designed to improve the quality, comprehensiveness, and efficiency of technical assistance provided to small businesses and entrepreneurs to ensure better success in the marketplace. Key metrics include: <ul style="list-style-type: none"> <li>• Courses offered</li> <li>• Small businesses assisted</li> </ul>
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY2008               <ul style="list-style-type: none"> <li>○ Add course content</li> <li>○ Launch CAMS</li> <li>○ Add Assessment tools</li> </ul> </li> <li>• FY2009               <ul style="list-style-type: none"> <li>○ (Under Consideration, NOT Final) Plan and develop SBA Small Business University, an online learning environment branded and operated separately from <a href="http://www.sba.gov">www.sba.gov</a></li> </ul> </li> </ul>
<b>Sponsor</b>	Office of Entrepreneurial Development

## 6.5 Business Gateway Segment

**TABLE 13: BUSINESS GATEWAY INITIATIVE DETAIL**

<b>Initiative</b>	<b>Business Gateway</b>
<b>Description</b>	Business.gov is the official business link to the U.S. Government for small businesses. Business.gov helps businesses save time and money spent on regulatory compliance by providing quick and easy access to business laws, government regulations, forms and agency contacts.
<b>Investments and Projects</b>	Business Gateway (FY 2009 Exhibit 300)
<b>Cross-Agency Initiatives</b>	Business Gateway (E-Gov)

<b>Initiative</b>	<b>Business Gateway</b>															
<b>Architectural Changes</b>	<ul style="list-style-type: none"> <li>• Business Architecture: collaboration will be embraced as a way of conducting business. Greater focus will be on creating partnerships, content outsourcing, analyzing its customer base, monitoring &amp; facilitating discussions, and communicating partner messages.</li> <li>• Service Component Architecture: new collaboration service components</li> <li>• Data Architecture: new data assets containing customer feedback, partner information, and social collaboration artifacts.</li> <li>• Technical Architecture: SBA will utilize a Google search appliance for search services within BG and potentially other systems.</li> </ul>															
<b>Performance</b>	Planned performance improvement metrics include: <table border="1"> <thead> <tr> <th>Metric</th> <th>FY2008 Target</th> <th>FY2009 Target</th> </tr> </thead> <tbody> <tr> <td>Hours Saved (Millions)</td> <td>2.7</td> <td>2.9</td> </tr> <tr> <td>American Customer Satisfaction Index Score</td> <td>70</td> <td>70</td> </tr> <tr> <td>Referrals to Partner Sites</td> <td>12%</td> <td>13%</td> </tr> <tr> <td>Unique Visits (Thousands per month)</td> <td>232</td> <td>255</td> </tr> </tbody> </table>	Metric	FY2008 Target	FY2009 Target	Hours Saved (Millions)	2.7	2.9	American Customer Satisfaction Index Score	70	70	Referrals to Partner Sites	12%	13%	Unique Visits (Thousands per month)	232	255
Metric	FY2008 Target	FY2009 Target														
Hours Saved (Millions)	2.7	2.9														
American Customer Satisfaction Index Score	70	70														
Referrals to Partner Sites	12%	13%														
Unique Visits (Thousands per month)	232	255														
<b>Dependencies</b>	None															
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY2009               <ul style="list-style-type: none"> <li>○ Content Enhancements</li> <li>○ Federated Content Management</li> <li>○ Social Collaboration</li> </ul> </li> <li>• Q2 2010: Usability Enhancements</li> <li>• Q1 2011: Forms.Gov, CMS Migration, and Hosting Migration</li> </ul>															
<b>Sponsor</b>	Business Gateway, Office of the Chief Information Officer															

## 6.6 Human Resources Segment

The Human Resources segment is owned by the Office of Human Capital Management within the Office of Management and Administration.

**TABLE 14: EHRI INITIATIVE DETAIL**

<b>Initiative</b>	<b>Enterprise Human Resource Integration (EHRI)</b>
<b>Description</b>	EHRI is a cross-agency E-Gov initiative designed to streamline access to and interaction with human resource information. The SBA will implement a number of IT systems and tie in with external systems to comply with this cross-agency initiative.
<b>Investments and Projects</b>	<ul style="list-style-type: none"> <li>• Electronic Official Personnel Folder (eOPF) (Unfunded. Future investment.)</li> <li>• Learning Management System (Unfunded. Future investment.)</li> <li>• Learning Content System (Unfunded. Future investment.)</li> </ul>
<b>Cross-Agency Initiatives</b>	<ul style="list-style-type: none"> <li>• HR Line of Business (FTF Catalog)</li> <li>• Enterprise Human Resource Integration (E-Gov)</li> </ul>
<b>Architectural Changes</b>	<ul style="list-style-type: none"> <li>• Service Component Architecture: new services for personnel administration and education / training.</li> <li>• Data Architecture: new data repository containing electronic personnel files, training information, and training content.</li> </ul>

<b>Initiative</b>	<b>Enterprise Human Resource Integration (EHRI)</b>
	<ul style="list-style-type: none"> <li>• Technical Architecture: new standards for learning content</li> </ul>
<b>Performance</b>	<p>EHRI will help the agency address performance gaps in workforce skills and HR cycle time. EHRI will also help the agency meet the following requirements:</p> <ul style="list-style-type: none"> <li>• OPM Mandate</li> <li>• Compliance with E-Gov Scorecard</li> <li>• Support of PMA initiatives</li> </ul>
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	<p>FY 2009:</p> <ul style="list-style-type: none"> <li>• Business case development</li> </ul>
<b>Sponsor</b>	Office of Human Capital Management of the Office of Management and Administration

**TABLE 15: WORKFORCE MANAGEMENT INITIATIVE DETAIL**

<b>Initiative</b>	<b>Workforce Management System</b>
<b>Description</b>	OHCM is interested in automation and decision support in the areas of workforce forecasting and human capital strategy. The use of a Workforce Management System can help the agency achieve desired automation and decision support.
<b>Investments and Projects</b>	Workforce Management System (Unfunded. Future investment.)
<b>Cross-Agency Initiatives</b>	None
<b>Architectural Changes</b>	<ul style="list-style-type: none"> <li>• Business Architecture: formalize the human capital strategy development, evaluation, and execution processes.</li> <li>• Service Component Architecture: new applications / components for Workforce Management functions</li> <li>• Data Architecture: new data repository containing workforce planning data, new data sharing with external workforce data sources.</li> </ul>
<b>Performance Improvement</b>	Assist the SBA in addressing its talent gaps while improving its employee accretion, attrition, and retention rates.
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	FY 2010: Start planning
<b>Sponsor</b>	Office of Human Capital Management of the Office of Management and Administration

## 6.7 Procurement and Grants Management Segment

**TABLE 16: CONTRACT MANAGEMENT SYSTEM INITIATIVE DETAIL**

<b>Initiative</b>	<b>Contract Management System</b>
<b>Description</b>	The Office of Management and Administration is completing their implementation of PRISM (Procurement Information System for Management), the primary information system used for procurement. This system may also be used for integration with the IAE, and FFATA compliance.
<b>Investments and</b>	Contract Management System (FY 2009 Exhibit 300)

<b>Projects</b>																					
<b>Cross-Agency Initiatives</b>	<ul style="list-style-type: none"> <li>• Interfaces with Integrated Acquisition Environment (IAE) (FTF catalog).</li> <li>• Used for Federal Funds Accountability and Transparency Act (FFATA) compliance.</li> </ul>																				
<b>Architectural Changes</b>	<ul style="list-style-type: none"> <li>• Business Architecture: currently, procurement involves a combination of manual processing and standard government forms, and tracking is done via manual data entry. CMS will support managing the award and modification of all types of contract vehicles; additionally, the system will provide for receiving, inspection, acceptance, invoicing, closeout and archiving of contracts and purchase orders.</li> <li>• Service Component Architecture: PRISM system to come online and provide support for acquisition</li> <li>• Data Architecture: Procurement data to be stored in Oracle relational database</li> </ul>																				
<b>Performance Improvement</b>	<p>Planned performance improvement metrics include:</p> <table border="1"> <thead> <tr> <th>Indicator</th> <th>FY2008</th> <th>FY2009</th> <th>FY2010</th> </tr> </thead> <tbody> <tr> <td>Purchase order Procurement Administrative Lead Time (PALT)</td> <td>42 days</td> <td>40 days</td> <td>35 days</td> </tr> <tr> <td>% contract actions resulting in automated obligations</td> <td>50%</td> <td>100%</td> <td>100%</td> </tr> <tr> <td>Ratio of contracts and POs processed per FTE</td> <td>12 person/month</td> <td>16 person/month</td> <td>20 person/month</td> </tr> <tr> <td>% of contracts and POs managed through CMS</td> <td>50%</td> <td>80%</td> <td>95%</td> </tr> </tbody> </table>	Indicator	FY2008	FY2009	FY2010	Purchase order Procurement Administrative Lead Time (PALT)	42 days	40 days	35 days	% contract actions resulting in automated obligations	50%	100%	100%	Ratio of contracts and POs processed per FTE	12 person/month	16 person/month	20 person/month	% of contracts and POs managed through CMS	50%	80%	95%
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<b>Dependencies</b>	None																				
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY 2008 Q2: Operation</li> <li>• FY 2008 Q3: Integration with JAAMS/Oracle Financials</li> <li>• FY 2009 Q1: Invoicing</li> </ul>																				
<b>Sponsor</b>	Office of Procurement and Grants Management																				

**TABLE 17: CORRESPONDENCE MANAGEMENT INITIATIVE DETAIL**

<b>Initiative</b>	<b>Correspondence Management System</b>
<b>Description</b>	The Office of the Executive Secretariat hopes to upgrade from its current correspondence tracking system to a full correspondence management system. A full business case and alternative analysis has yet to be conducted.
<b>Investments and Projects</b>	Correspondence Management System (Unfunded. Future investment)
<b>Cross-Agency Initiatives</b>	None
<b>Architectural Changes</b>	<ul style="list-style-type: none"> <li>• Business Architecture: Correspondence workflow is supported by the current IT system. The envisioned IT system will help manage the overall correspondence process and provide greater visibility into operational performance by providing transparent access to performance metrics.</li> <li>• Service Component Architecture: Office currently uses Metastorm E-Work Correspondence Tracking System v6.2. This will be</li> </ul>

<b>Initiative</b>	<b>Correspondence Management System</b>
	replaced, perhaps by IQ (Intranet Quorum) Correspondence to handle inbound & outbound correspondence management
<b>Performance Improvement</b>	This system will address performance gaps in correspondence efficiency and customer service
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY 2010: Business Case and BTIC / TRB Review</li> <li>• FY 2011: System Selection and Implementation</li> </ul>
<b>Sponsor</b>	Office of the Executive Secretariat

**TABLE 18: GRANTS MANAGEMENT INITIATIVE DETAIL**

<b>Initiative</b>	<b>Grants Management</b>
<b>Description</b>	The SBA, through Office of Entrepreneurial Development (OED) programs and OPGM, provides grant money in order to spur small business activity in special and underserved segments. All grants use Grants.gov as the front-end for grants processing. OED uses the HHS Center of Excellence grants payment system while the Office of Procurement and Grants Management is evaluating the grants module included in the already purchased PRISM / CMS solution. Differences in approaches are based on factors such as requirements and cost.
<b>Investments and Projects</b>	<ul style="list-style-type: none"> <li>• Grants Management (Exhibit 53)</li> </ul>
<b>Cross-Agency Initiatives</b>	<ul style="list-style-type: none"> <li>• Grants Management Line of Business (FTF catalog)</li> <li>• HHS Center of Excellence grants payment system (integration point)</li> <li>• Initiative already using Grants.Gov for disseminating information about grants for WBC and SCORE.</li> </ul>
<b>Architectural Changes</b>	<ul style="list-style-type: none"> <li>• Business Architecture: Grants payments, currently handled manually through the SBA invoicing department, will be automated.</li> <li>• Service Component Architecture: new application that offers federal grants (Non-State) management.</li> </ul>
<b>Performance</b>	There is currently a major performance gap due to how long it takes for payments to be made when the SBA issues a grant. The Prompt Pay act and Public Law 102-107 provide requirements for grants management and the speed of payment.
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	FY2008 Q2: <ul style="list-style-type: none"> <li>• Go Live</li> <li>• Integration with HHS Center of Excellence</li> </ul>
<b>Sponsor</b>	Office of Procurement and Grants Management Office of Entrepreneurial Development

## 6.8 Financial Management Segment

Financial management is a business segment that is closely tied into the mission-oriented Financial Assistance segment. The Office of the Chief Financial Officer and Office of Capital Access currently

work together to produce a combined general ledger by pulling information from a number of sources, including the Loan Accounting System (LAS), Denver Consolidated Financial Systems, (DCFS), Financial Reporting Information System (FRIS), Surety Bond Guarantee (SBG), and the Joint Administrative Accounting Management System (JAAMS). The LMAS initiative allow the retirement of DCFS and FRIS, consolidating those systems. In the target state, LMAS, JAAMS, and SBG will all have points of integration to create the combined general ledger. Upon completion of the Financial Management Segment Architecture, more initiatives with greater architectural detail will become available.

**TABLE 19: JAAMS INITIATIVE DETAIL**

<b>Initiative</b>	<b>Joint Administrative Accounting Management System (JAAMS)</b>																							
<b>Description</b>	JAAMS is SBA's administration accounting system based on Oracle Financials. It is the system of record for the funding and expenditure of SBA's administrative funds. It is currently in operations and maintenance mode, but will eventually be integrated with LMAS.																							
<b>Investments and Projects</b>	Joint Administrative Accounting and Management System (FY 2009 Exhibit 300)																							
<b>Cross Agency Initiatives</b>	Financial Management Line of Business (FTF Catalog)																							
<b>Architecture</b>	<p>JAAMS is primarily in operations and maintenance mode, without significant architectural changes required in the near future.</p> <ul style="list-style-type: none"> <li>• Service Architecture: as LMAS is implemented, JAAMS and LMAS will be integrated and will share many services and service components, including reporting.</li> <li>• Data Architecture: as LMAS is implemented, data across JAAMS and LMAS will be standardized.</li> <li>• Technical Architecture: hosting will be transferred to a new shared service provider. DCFS and FRIS will be retired with the implementation of LMAS.</li> </ul> <p>Other architectural implications, such as integration with the combined general ledger systems, will be determined upon completing the Financial Management Segment Architecture.</p>																							
<b>Performance</b>	<p>Now in operations and maintenance, JAAMS has achieved many of its performance targets. The following indicators will be maintained:</p> <table border="1"> <thead> <tr> <th><b>Indicator</b></th> <th><b>FY2008</b></th> <th><b>FY2009</b></th> <th><b>FY2010</b></th> </tr> </thead> <tbody> <tr> <td>Number of material weaknesses</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>% of time help desk tickets are resolved within Service Level Agreement timeframes</td> <td></td> <td>92%</td> <td>91%</td> </tr> <tr> <td>% of daily interface jobs that process successfully</td> <td></td> <td>99.5%</td> <td>99.5%</td> </tr> <tr> <td>System availability</td> <td>99.5%</td> <td>99.5%</td> <td>99.5%</td> </tr> </tbody> </table>				<b>Indicator</b>	<b>FY2008</b>	<b>FY2009</b>	<b>FY2010</b>	Number of material weaknesses	0	0	0	% of time help desk tickets are resolved within Service Level Agreement timeframes		92%	91%	% of daily interface jobs that process successfully		99.5%	99.5%	System availability	99.5%	99.5%	99.5%
<b>Indicator</b>	<b>FY2008</b>	<b>FY2009</b>	<b>FY2010</b>																					
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% of daily interface jobs that process successfully		99.5%	99.5%																					
System availability	99.5%	99.5%	99.5%																					
<b>Dependencies</b>	Loan Management and Accounting System																							
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY 2009: transfer hosting of JAAMS to a shared service provider</li> <li>• FY 2014: the financial management system will be fully integrated with the loan management system and all reporting will be able to come from Oracle Financials.</li> </ul>																							
<b>Sponsor</b>	Office of the Chief Financial Officer																							

## 6.9 IT Services Segment

IT Services is an enterprise services segment, providing IT support and operations through the OCIO for the entire agency. It includes many sub-segments, including IT Infrastructure and Operations, Data Management, Knowledge Management, Business Intelligence and Reporting, Workflow Management, Asset Management, and Data Center Operations.

**TABLE 20: HELP DESK INITIATIVE DETAIL**

<b>Initiative</b>	<b>Help Desk</b>
<b>Description</b>	<p>The Office of Communications Technology Services is implementing an integrated solution for desktop asset management and help desk support. The initiative will also integrate the help desk platform for desktop support for the SBA enterprise to include disaster assistance. It will improve service quality and responsiveness. This initiative will:</p> <ul style="list-style-type: none"> <li>• Automate incident record creation and facilitate root cause analysis by providing trending and problem linkage</li> <li>• Provide end-user self service in the form of knowledge base information derived from integrated problem records</li> <li>• Provide IT Asset management and Change management capabilities will be included as part of this initiative</li> </ul>
<b>Investments and Projects</b>	<ul style="list-style-type: none"> <li>• In the OATI Exhibit 300</li> <li>• Help Desk</li> <li>• IT Asset Management System</li> </ul>
<b>Cross-Agency Initiatives</b>	None
<b>Architectural Impacts</b>	<ul style="list-style-type: none"> <li>• Business Architecture: System &amp; Network Monitoring, Help Desk Services, and problem resolution processes will be modified</li> <li>• Service Component Architecture: IT Asset Management, Change Management systems will be in place</li> </ul>
<b>Performance Improvement</b>	<p>The current help desk system does not meet the full needs of the agency. The following performance gaps will be addressed:</p> <ul style="list-style-type: none"> <li>• Improved incident management response and resolution time</li> <li>• Incident trending and reporting</li> <li>• Incident integration, linkage and root cause analysis</li> <li>• Improved IT asset management</li> <li>• Improved change management response and resolution time</li> </ul>
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY 2008 Q3: Implementation of Help Desk</li> <li>• FY 2009: Q1 Planning for IT Asset Management</li> </ul>
<b>Sponsor</b>	Office of Chief Information Officer

**TABLE 21: ENTERPRISE NETWORK MANAGEMENT AND DESKTOP INITIATIVE DETAIL**

<b>Initiative</b>	<b>Enterprise Network Management and Desktop</b>
<b>Description</b>	<p>The OCIO is focusing on improving the management of the agency's network infrastructure and personal computer platforms. This initiative will:</p> <ul style="list-style-type: none"> <li>• Enable enhanced IT Infrastructure monitoring capabilities</li> <li>• Yield a new SBA desktop configuration standard based off of the Federal Desktop Core Configuration (FDCC) standard.</li> </ul>

<b>Initiative</b>	<b>Enterprise Network Management and Desktop</b>
<b>Investments and Projects</b>	In the OATI Exhibit 300
<b>Cross-Agency Initiatives</b>	Information Systems Infrastructure Line of Business
<b>Architectural Impacts</b>	<ul style="list-style-type: none"> <li>• Business Architecture: System &amp; Network Monitoring, Help Desk Services, and problem resolution processes will be modified</li> <li>• Service Component Architecture: New software components for managing deployment of desktop configuration, network management and monitoring</li> <li>• Technical Architecture: New standards in the arena of desktop systems and desktop configurations</li> </ul>
<b>Performance Improvement</b>	<ul style="list-style-type: none"> <li>• Proactive network infrastructure monitoring and response will lead to improved resolution of network related issues</li> <li>• Compliance with FDCC is mandated</li> </ul>
<b>Dependencies</b>	Help Desk: Deployment of Help Desk system will add new network management monitoring capabilities and integrate core help desk functions with network management
<b>Implementation Plan/ Milestones</b>	FY 2008 Q2: Develop SBA configuration standard for FDCC
<b>Sponsor</b>	Office of Chief Information Officer

**TABLE 22: NETWORX INITIATIVE DETAIL**

<b>Initiative</b>	<b>Networx</b>
<b>Description</b>	The SBA currently obtains its telecom network service through the FTS 2001 contract. This contract is set to expire, with Networx set to be the successor contract. The SBA is taking steps to implement Networx for its telecom network service.
<b>Investments and Projects</b>	In the OATI Exhibit 300
<b>Cross-Agency Initiatives</b>	Information Systems Infrastructure Line of Business
<b>Architectural Impacts</b>	Technical Architecture: New standards for telephone network equipment
<b>Performance</b>	Initiative is driven by fact that current FTS 2001 telecom contract is expiring in favor of Networx
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	FY 2010 Q1: Switch over to Networx contract
<b>Sponsor</b>	Office of Chief Information Officer

**TABLE 23: SECURITY AND PRIVACY INITIATIVE DETAIL**

<b>Initiative</b>	<b>Security and Privacy</b>
<b>Description</b>	This initiative addresses the security and privacy activities required to support the information security and privacy needs of the agency. This involves setting up the Security Operations Center (SOC) and participating in the cross-agency Trusted Internet Connection (TIC) initiative.
<b>Investments and</b>	<ul style="list-style-type: none"> <li>• Security Risk Assessment</li> </ul>

<b>Initiative</b>	<b>Security and Privacy</b>
<b>Projects</b>	<ul style="list-style-type: none"> <li>• SBA Security Program</li> <li>• Security Operations Center</li> <li>• Trusted Internet Connection</li> </ul>
<b>Cross-Agency Initiatives</b>	Information Systems Security Line of Business Chief Information Officer Council on Information Privacy
<b>Architectural Impacts</b>	<ul style="list-style-type: none"> <li>• Business Architecture: This initiative will include activities to create enterprise-wide security program that includes institutionalizing agency contingency planning to create a business continuity plan, the implementation of incident reporting and response procedures, and updating computer security awareness and training.</li> <li>• Service Component Architecture: The activities under the initiative will have impacts on Support Services in Security Management and System Management, and Data Management in Data Exchange. It may also have impact on the procedures in developing reusable software components for sharing. Security measures will be added into the sharing components.</li> <li>• Data Architecture: This initiative may impact the area of enterprise data sharing.</li> <li>• Technology Architecture: This initiative will have impacts in many areas, including Service Access &amp; Delivery (Access Channels, Delivery Channels, Service Requirements, Service Transport), Component Framework (Security, Data Exchange, Data Management) and Service Interface &amp; Integration (Integration, Interoperability, Interface). As a result of SOC and TIC, underlying network hardware and internet access points will change, enabling support of greater monitoring and resulting in fewer internet connections.</li> <li>• Privacy Impact of Information Systems: to ensure compliance with the Privacy Act for protecting individuals' information collected by the agency</li> </ul>
<b>Performance Improvement</b>	This initiative is to ensure the integrity, privacy and security of SBA data and reduce or eliminate all incidents and breaches. It will also help SBA comply with FISMA and all other security mandates.
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• SOC <ul style="list-style-type: none"> <li>○ FY 2009 Q2: SOC Operational</li> </ul> </li> <li>• TIC <ul style="list-style-type: none"> <li>○ FY 2008 Q3: SBA TIC Plan</li> </ul> </li> <li>• Other milestones to be developed after performing segment architecture process</li> </ul>
<b>Sponsor</b>	Office of the Chief Information Officer

**TABLE 24: HSPD-12 INITIATIVE DETAIL**

<b>Initiative</b>	<b>Homeland Security Presidential Directive – 12 (HSPD-12)</b>
<b>Description</b>	This initiative represents the adoption of a Federal government standard for personnel identification verification (PIV) cards. These cards are used to verify the identity of government employees and contractors, and control access to government facilities and

<b>Initiative</b>	<b>Homeland Security Presidential Directive – 12 (HSPD-12)</b>
	information systems.
<b>Investments and Projects</b>	<ul style="list-style-type: none"> <li>• HSPD-12 (in the OATI Exhibit 300)</li> <li>• MS Exchange, Global Address Library, and On-Line Phone Book data synchronization</li> <li>• Smartcard Computer logon</li> </ul>
<b>Cross-Agency Initiatives</b>	HSPD-12 (FTF catalog)
<b>Architectural Impacts</b>	<ul style="list-style-type: none"> <li>• Business Architecture: Implementation of sponsorship, enrollment, adjudication, and issuance roles and processes.</li> <li>• Service Component Architecture: workflow interface components, background check services, authentication / authorization components</li> <li>• Data Architecture: Directory services synchronization</li> <li>• Technical Architecture: new computer hardware, card reader, and fingerprinting equipment standards</li> </ul>
<b>Performance</b>	Compliance with presidential directive HSPD-12 is mandated
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY 2008 Q4: Issue 290 new smart cards to SBA Employees</li> <li>• FY2009: SBA will continue to work towards issuing PIV-II credentials to all SBA employees and contractors</li> </ul>
<b>Sponsor</b>	Office of Management & Administration and Office of the Chief Information Officer, supported by Office of Disaster Assistance

**TABLE 25: IPV6 INITIATIVE DETAIL**

<b>Initiative</b>	<b>Internet Protocol Version 6 (IPv6)</b>
<b>Description</b>	IPv6 is the latest version of the Internet Protocol used for Internet-based communication. OMB has mandated IPv6 enablement of all government agencies by FY2008 Q3. This initiative represents the implementation of IPv6 at the SBA.
<b>Investments and Projects</b>	IPv6 (in the OATI Exhibit 300)
<b>Cross-Agency Initiatives</b>	IPv6 (FTF catalog)
<b>Architectural Impacts</b>	Technical Architecture: Implementation of new standards requiring IPv6 capability
<b>Performance</b>	Mandated by OMB M-05-22
<b>Dependencies</b>	All future IT investments will need to be IPv6 compatible / enabled
<b>Implementation Plan/ Milestones</b>	FY 2008 Q3: Network Backbones IPv6 Enabled (On Track) 2008 Q3: Test and Report IPv6 capability
<b>Sponsor</b>	Office of the Chief Information Officer

**TABLE 26: ENTERPRISE DATA MANAGEMENT INITIATIVE DETAIL**

<b>Initiative</b>	<b>Enterprise Data Management</b>
<b>Description</b>	The enterprise data management initiative will standardize the processes and technologies for describing and exchanging to provide a cross-function agency-wide view of data. It will provide the underlying infrastructure data extraction, transformation and

<b>Initiative</b>	<b>Enterprise Data Management</b>
	exchange capabilities to integrate data from the disparate systems in SBA to create a consolidated data store. Master data management solutions will focus on customer data integration that will harmonize customer data across the various applications
<b>Investments and Projects</b>	Though some work has begun, the larger initiative is as yet unfunded. <ul style="list-style-type: none"> <li>• Data Standardization</li> <li>• Master Data</li> <li>• Data Repository</li> </ul>
<b>Cross-Agency Initiatives</b>	None
<b>Architectural Impacts</b>	<ul style="list-style-type: none"> <li>• Service Component Architecture: Modules for data exchange will be available for use by other components</li> <li>• Data Architecture: Data context, data description, and data sharing will be standardized and improved across the agency</li> </ul>
<b>Performance Improvement</b>	None
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY 2008 Q4: Assessment &amp; Planning</li> <li>• FY 2010 Q1: Prototype</li> </ul>
<b>Sponsor</b>	Office of the Chief Information Officer

**TABLE 27: KM INITIATIVE DETAIL**

<b>Initiative</b>	<b>Knowledge Management (KM)</b>
<b>Description</b>	An enterprise KM solution will enable SBA to effectively collect, store, organization, categorize, search, retrieve and repurpose the collective knowledge existing at SBA. The solution will support all SBA offices and employees. It will include structured and unstructured data management, full text search and retrieval, multiple media types, workflow, imaging and electronic storage of paper-based documents.
<b>Investments and Projects</b>	Early implementations of Sharepoint have been implemented and are included in OATI (Exhibit 300). The remaining phases have not been funded.
<b>Cross-Agency Initiatives</b>	None
<b>Architectural Impacts</b>	<ul style="list-style-type: none"> <li>• Business Architecture: Human resource management: Human resource development; Information and technology management: information sharing</li> <li>• Service Component Architecture: new components for Collaboration, Knowledge management, Document Management</li> </ul>
<b>Performance Improvement</b>	To Be Determined
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY2008 Q4: Implement basic document management and team collaboration solution in SharePoint</li> <li>• Unfunded Milestone: Integrated Document Management and SBA Intranet Web Portal and enterprise search</li> <li>• Unfunded Milestone: Next generation team collaboration using Web 2.0</li> <li>• Unfunded Milestone: Electronic images and records management</li> </ul>

<b>Initiative</b>	<b>Knowledge Management (KM)</b>
<b>Sponsor</b>	Office of the Chief Information Officer and Office of Management & Administration

**TABLE 28: BP & WORKFLOW MANAGEMENT INITIATIVE DETAIL**

<b>Initiative</b>	<b>Business Process &amp; Workflow Management</b>
<b>Description</b>	Business Process & Workflow Management will allow modeling of processes to increase efficiency and reliability. Performance becomes measurable. This initiative will include the activity to select a BPM tool and pilot for one business process. Offices can then evaluate if there is value in using the BPM tool.
<b>Investments and Projects</b>	<ul style="list-style-type: none"> <li>• Adobe LifeCycle Management</li> <li>• eWorks Workflow Management</li> <li>• BPM Implementation (Future investment)</li> </ul>
<b>Cross-Agency Initiatives</b>	None
<b>Architectural Impacts</b>	<ul style="list-style-type: none"> <li>• Business Architecture: modeling, business process definition. When implemented, BPM will impact potentially many of the agency's business processes.</li> <li>• Service Component Architecture: new business process &amp; workflow management service components. BPM will interact with other existing software components to implement business processes</li> <li>• Data Architecture: data sharing between enterprise data sources and BPM solution</li> </ul>
<b>Performance Improvement</b>	Several agency metrics around efficiency can be positively impacted by BPM implementation
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	FY 2009: Assessment and Planning
<b>Sponsor</b>	Office of the Chief Information Officer

**TABLE 29: CRM INITIATIVE DETAIL**

<b>Initiative</b>	<b>Customer Relationship Management (CRM)</b>
<b>Description</b>	The deployment of a CRM customized-off-the-shelf (COTS) application will automate new business processes and service delivery methods, and will help the SBA workforce become more customer-centered, market-based, and results-oriented. District pilots will emphasize improving field marketing capabilities by providing staff with intensive training. SBA program offices will learn to better use the principles of customer relationship management.
<b>Investments and Projects</b>	None
<b>Cross-Agency Initiatives</b>	None
<b>Architectural Impacts</b>	<ul style="list-style-type: none"> <li>• Business Architecture: This initiative will help streamline current business processes and service delivery methods by providing greater context and opportunities when dealing with customers.</li> </ul>

<b>Initiative</b>	<b>Customer Relationship Management (CRM)</b>
	<ul style="list-style-type: none"> <li>• Service Component Architecture: The CRM tool may provide opportunities for reusing and sharing the modules that access, aggregate, or display the customer data. It will also address the needs of service components for customer service/customer relationship management (sales and marketing, customer account management, contract &amp; profile management, partnership relationship, and customer analytics), tracking and workflow (process tracking, case management, conflict resolution), business analytical services (decision support and planning), reporting services, and support services (search and collaboration)</li> <li>• Data Architecture: Similar to “single view of customer,” CRM tool may need to deploy data integration adapters on existing databases to aggregate the customer data. It will impact the enterprise data sharing.</li> </ul>
<b>Performance Improvement</b>	Agency metrics on customer satisfaction, efficiency, and service utilization can all be positively impacted by a CRM solution. Precise metrics will be determined during an assessment phase.
<b>Dependencies</b>	Enterprise Data Management
<b>Implementation Plan/ Milestones</b>	FY 2010: Assessment & Planning
<b>Sponsor</b>	Office of the Chief Information Officer and Office of Field Operations

**TABLE 30: ENTERPRISE BI INITIATIVE DETAIL**

<b>Initiative</b>	<b>Enterprise Business Intelligence System</b>
<b>Description</b>	Enterprise business intelligence practices, methodologies and tools provide for a more informed SBA workforce. A standard product for online analytical processing (OLAP) and online transactional processing (OLTP) should be chosen to simplify training and improve enterprise expertise with selected tools. Conduct product reviews and make selection of OLAP tool that supports complex data mining and visualization.
<b>Investments and Projects</b>	<ul style="list-style-type: none"> <li>• Business Intelligence Solution</li> </ul>
<b>Cross-Agency Initiatives</b>	None
<b>Architectural Changes</b>	<ul style="list-style-type: none"> <li>• Business Architecture: This initiative will provide tools for analysis of program performance, trends, and early warning signs help SBA manage risk and improve service. It will also streamline the management and administration of the organization to eliminate unnecessary management and decision layers and facilitate increased communications and coordination of activities between headquarters, field components and program offices.</li> <li>• Service Component Architecture: new components to provide data analysis and dashboard capabilities.</li> </ul>
<b>Performance Improvement</b>	Initiative will promote reuse when filling the analysis and reporting needs of future IT systems
<b>Dependencies</b>	Enterprise Data Management
<b>Implementation Plan/</b>	FY 2010: Assessment & Planning

<b>Milestones</b>	
<b>Sponsor</b>	Office of the Chief Information Officer and Office of the Chief Information Officer

**TABLE 31: DATA CENTER INITIATIVE DETAIL**

<b>Initiative</b>	<b>Data Center Operations</b>
<b>Description</b>	The SBA currently runs a data center in Washington, DC. This data center hosts a number of SBA internal and external applications. However, the current hosting facility may not meet future performance requirements. A data center strategy is being developed that may require changes and investments in data center operations.
<b>Investments and Projects</b>	<ul style="list-style-type: none"> <li>• Data Center Strategy</li> <li>• Data Center Operations (in OATI Exhibit 300. Any major changes are as yet TBD and unfunded.)</li> </ul>
<b>Cross-Agency Initiatives</b>	None
<b>Architectural Impacts</b>	Technology Architecture: This initiative will primarily impact the Technology Architecture on Information Transfer, Service Access & Delivery (Access Channels, Delivery Channels, Service Requirements, Service Transport), Component Framework (Security, Data Exchange, Data Management).
<b>Performance</b>	The project will address the following performance gaps <ul style="list-style-type: none"> <li>• SBA requires adequate COOP and disaster recovery capabilities</li> <li>• Improving availability of applications and servers</li> </ul>
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY 2008: High Level Planning</li> <li>• FY 2012: Implementation</li> </ul>
<b>Sponsor</b>	Office of the Chief Information Officer

**TABLE 32: EA INITIATIVE DETAIL**

<b>Initiative</b>	<b>Enterprise Architecture (EA)</b>
<b>Description</b>	The EA program has been operating successfully at the SBA. Addition of an electronic repository, a PMO and further socialization of the program will result in greater EA value. The PMO is tightly integrated with SBA's capital planning and investment control processes.
<b>Investments and Projects</b>	Exhibit 53 <ul style="list-style-type: none"> <li>• Enterprise Architecture Repository</li> <li>• Program Management Office</li> </ul>
<b>Cross-Agency Initiatives</b>	None
<b>Architectural Impacts</b>	<ul style="list-style-type: none"> <li>• Business Architecture: Frequent EA usage and updates by program office staff. Shift from paper-based process to electronic process.</li> <li>• Service Component Architecture: EA applications to input EA data and to facilitate the production of EA artifacts</li> <li>• Data Architecture: Data repository for EA data and artifacts</li> </ul>
<b>Performance Improvement</b>	<ul style="list-style-type: none"> <li>• Improve overall agency results</li> </ul>

<b>Initiative</b>	<b>Enterprise Architecture (EA)</b>
	<ul style="list-style-type: none"> <li>• Reduce IT costs through reuse and better planning</li> <li>• Greater EA maturity and stronger EA value</li> </ul>
<b>Dependencies</b>	None
<b>Implementation Plan/ Milestones</b>	<ul style="list-style-type: none"> <li>• FY 2008: Complete Human Capital Management (HCM) Segment Architecture</li> <li>• FY 2008: Complete Procurement and Grants Management Segment Architecture</li> <li>• FY 2008: Initiate EA Value Measurements</li> <li>• FY2009: Implement Data Governance standards and Procedures</li> </ul>
<b>Sponsor</b>	Office of the Chief Information Officer

## 7 Performance Improvement Summary

The set of Enterprise Architecture initiatives included in this EA transition plan will help the SBA achieve its goals and objectives by supporting the achievement of its intended performance targets. The following conveys an agency-level summary of the performance measures that the initiatives support. These metrics are used by the EA program to monitor success of IT investments. These metrics are revisited annually as part of the budget request process and are reflected in the Agency's OMB Exhibit 300s.

**TABLE 33: PERFORMANCE IMPROVEMENT SUMMARY**

Segment	Initiative	Project	Metric	FY2008	FY2009	FY2010	FY2011	FY2012
Financial Management	Loan Management Accounting System	Loan Management Accounting System	Percentage of 7(a) lenders that can originate and service loans electronically			25%	50%	75%
			Percentage of 504 lenders that can originate and service loans electronically			25%	50%	75%
			Number of loan programs that are JFMIP compliant			1	2	3
			Average servicing time			3 hours	2.5 hours	2 hours
			Number of loan programs that are completely off the legacy mainframe			1	2	3
			Number of loan programs supported by OLTP applications that are fully compliant with Federal security and privacy requirements			1	2	
			Increase revenue by reducing non-collected fees and collecting fees faster					
Disaster Assistance	Disaster Credit Management Modernization	Disaster Credit Management System	American Customer Satisfaction Index Score	72	72			
			Economic impact loan borrowers operational 6 months after final loan disbursement	80%				
			Physical disaster loan borrowers operational 6 months after final loan disbursement	70%				
			Disaster loans initial disbursement within 5 days	95%				
			Home Disaster loans processed within 16 days	85%				
			EI Disaster Loans processed within 16 days	85%				
			Business Physical Disaster Loans processed within 16 days	85%				
			ELA system availability	98%	99.5%			
			Contracting Assistance	Business Development and	BDMIS	Number of Electronic Applications		25% increase annually

Segment	Initiative	Project	Metric	FY2008	FY2009	FY2010	FY2011	FY2012
	Certification		Percent of annual review complete on-time		100%	100%	100%	
			Time to load a web page		3 second or less	3 second or less	3 second or less	
			Number of 8(a) applications processed		25% increase annually	25% increase annually	25% increase annually	
		HUBZone System	Amount of contract dollars going to HUBZone firms		10% increase	10% increase	10% increase	
			Number of jobs reported for HUBZone communities		Increase by 3% from previous year	Increase by 3% from previous year	Increase by 3% from previous year	
			The increase in the number of HUBZone system modules that can generate desktop analytical reports to evaluate the HUBZone program		1	1	1	
			Time spent reviewing individual application		10% increase	10% increase	10% increase	
Business Gateway	Business Gateway	Business Gateway	Hours Saved (Millions)	2.7	2.9			
			American Customer Satisfaction Index Score	70	70			
			Referrals to Partner Sites	12%	13%			
			Unique Visit (Thousands per month)	232	255			
Procurement and Grants Management	Contract Management System	Contract Management System	Purchase order Procurement Administrative Lead Time (PALT)	42 days	40 days	35 days		
			% contract actions resulting in automated obligations	50%	100%	100%		
			Ratio of contracts and POs processed per FTE	12 person/month	16 person/month	20 person/month		
			% of contracts and POs managed through CMS	50%	80%	95%		
Financial Management	Joint Administrative Accounting Management System	Joint Administrative Accounting Management System	Number of material weaknesses	0	0	0		
			% of time help desk tickets are resolved within Service Level Agreement timeframes		92%	91%		
			% of daily interface jobs that process successfully		99.5%	99.5%		
			System availability	99.5%	99.5%	99.5%		

## 8 Cross-Agency Initiative Integration Summary

The Federal Transition Framework (FTF) Catalog documents the recognized set of cross-agency initiatives that all federal agencies should work towards implementing. Many of the EA initiatives documented in this transition plan align to initiatives documented in the FTF catalog. Below is a listing of FTF catalog initiatives and E-Gov that are aligned to / coordinated with SBA EA initiatives, along with important milestones that are expected to be reached in coming years:

**TABLE 34: CROSS AGENCY INITIATIVE INTEGRATION SUMMARY**

Cross Agency Initiative	SBA EA Transition Plan Initiative	Cross Agency Milestones
Business Gateway	Business Gateway	
Disaster Assistance Improvement Plan	Disaster Credit Management Modernization	FY 2009 Q1: Online integration with DAIP. On target to meet.
Enterprise Human Resources Integration/ HR Line of Business	Enterprise Human Resources Integration	
Financial Management Line of Business	Loan Management & Accounting System	
Grants Management Line of Business	Grants Management	
Grants.Gov	Grants Management	
HSPD-12	HSPD-12	FY 2009 Q1: PIV II credentials to all employees and contractors.
Information Systems Security Line of Business	Build E-Government and E-Commerce Security and Privacy Methodology	
Integrated Acquisition Environment (IAE)	Contract Management System ePCR eSRS	
Internet Protocol Version 6 (IPV6)	IPv6	FY 2008 Q3: Network Backbones IPv6 Enabled. On target to meet.
Information Systems Infrastructure Line of Business	Enterprise Network Management and Desktop, Networx	FY 2008 Q2: Develop SBA configuration standard for FDCC FY 2010 Q1: Switch over to Networx contract
Information Systems Security Line of Business	Security and Privacy	FY 2008 Q3: SBA TIC Plan

## 9 Documents Reviewed

The following documents were reviewed in authoring this Enterprise Architecture Transition Plan:

### Strategy

- SBA Strategic Plan FY 2008-2012
- SBA IT Strategic Plan FY 2007-2011
- SBA Enterprise Architecture Blueprint v2.04
- SBA EA Migration and Sequencing Plan v1.03

### Budgeting

- FY 2008 Performance Budget ( 2008 Budget Request & Performance Plan, SBA Congressional Budget Submission Fiscal Year 2008)
- BDMIS 300
- HUBZone 300
- Business Gateway 300
- OA/T/I 300
- Disaster Credit Management Modernization 300
- Contract Management System 300
- Loan Management and Accounting System 300
- Joint Administrative Accounting Management System 300

### Federal Enterprise Architecture Guidance

- FEA Practice Guidance, November 2007
- FEA Consolidated Reference Model, October 2007
- FEA Data Reference Model 2.0