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U.S. SMALL BUSINESS ADMINISTRATION
WASHINGTON, DC 20416

OFFICE OF GENERAL COUNSEL

January 25, 2021

This letter is in response to your Freedom of Information Act ("FOIA") request No. SBA-2020-002818 in which you requested the following:

A digital/electronic copy of the transition briefing document(s) (late 2020)
prepared by the SBA for the incoming Biden Administration.

SBA is releasing the attached documents that are responsive to your request, in full.

Sincerely,

/s/ *Eric S. Benderson*

Eric S. Benderson
Chief FOIA Officer
Office of General Counsel
U.S. Small Business Administration

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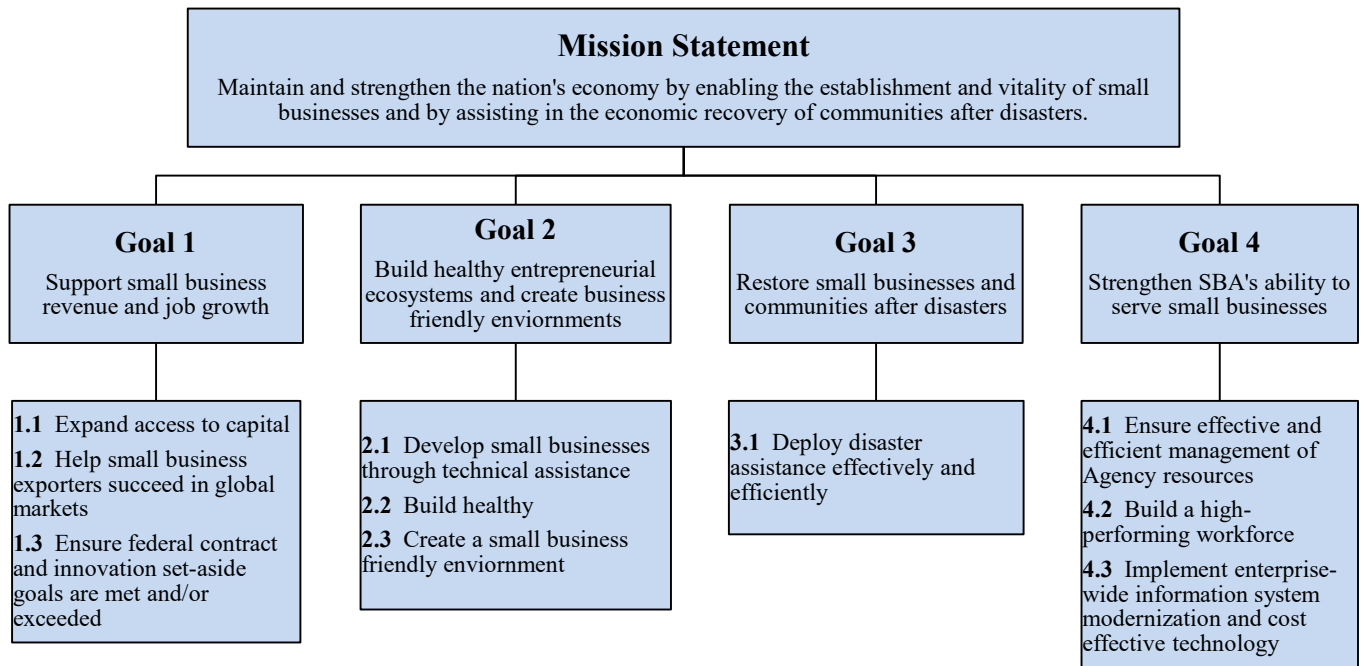
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SBA's Mission, Goals, and Priorities

In 1953, Congress created the U.S. Small Business Administration to “aid, counsel, assist and protect, insofar as is possible, the interests of small business concerns.” SBA’s headquarters is located in Washington, D.C., while its business products and services are delivered with the help of field personnel and a vast network of private sector and non-profit partners in each U.S. state and territory. Major SBA offices fall under one of four Agency-wide strategic goals, as outlined in SBA’s FY 2018-2022 Strategic Plan:



Strategic Goal One – Support Small Business Revenue and Job Growth

Strategic Objective 1.1: Expand Access to Capital

Performance Goal: Support 795,000 jobs through capital assistance programs in FY 2021¹

FY 2020-2021 Agency Priority Goal: By September 30, 2021, increase the number of lender and small business connections by 8 percent (FY 2019 baseline of 224,000) from baseline through enhanced web-based technology platforms

FY 2018-2019 Agency Priority Goal: By September 30, 2019, increase the number of loans by 5 percent from the FY 2017 baseline to small businesses in socially and economically disadvantaged urban communities and rural areas (FY 2017 baseline of 25,475 for 7(a) loans, 504 loans, and microloans)

Objective Leads: Associate Administrator for Capital Access, Associate Administrator for Investment and Innovation

Objective Support: Office of Field Operations, Office of International Trade, Office of Entrepreneurial Development, Office of Veterans Business Development

Programs/Activities: 7(a) Loans, 504 Certified Development Company Loans, International Trade Loans, Microloans, Small Business Investment Companies, Secondary Market Guarantee, Credit Risk Management

Most Serious Management and Performance Challenge 4: SBA Needs to Improve its Risk Management and Oversight Practices to Ensure its Loan Programs Operate Effectively and Continue to Benefit Small Businesses

Most Serious Management and Performance Challenge 6: SBA Can Improve its Loan Programs by Ensuring Quality Deliverables and Reducing Improper Payments at SBA Loan Operation Centers

Strategies:

1. Increase capital provided to small businesses and emerging markets when conventional credit is not available
2. Supplement investment capital to small businesses that have inadequate supply
3. Strengthen and expand the network of lenders offering SBA products
4. Expand knowledge of SBA loans through its network of resource partners and field offices
5. Enhance oversight and risk management of lenders and SBICs and improve recovery of taxpayer assets

Strategic Objective 1.2: Help Small Business Exporters Succeed in Global Markets

FY 2020-2021 Agency Priority Goal: By September 30, 2021, increase the value of small business export sales to \$4.7 billion in FY 2021 (FY 2018 baseline of \$3.1 billion)

Objective Lead: Associate Administrator for International Trade

Objective Support: Office of Field Operations, Office of Entrepreneurial Development, and Office of Capital Access

Programs/Activities: International Trade Loans, State Trade Expansion Program (STEP), Trade Policy

Strategies:

1. Strengthen partnerships with state and territorial governments
2. Provide tailored training and counseling to small businesses and lenders
3. Support trade promotion policy through federal partnerships
4. Represent small business interests in bilateral and multilateral trade negotiations

Strategic Objective 1.3: Ensure Federal Contract and Innovation Set-aside Goals are Met and/or Exceeded

Performance Goal: Support 650,000 jobs through federal contract set-asides for small businesses in FY 2021

FY 2020–2021 Agency Priority Goal: By September 30, 2021, maximize the percent of federal contracts by awarding at least 23 percent to small businesses

FY 2018–2019 Agency Priority Goal: By September 30, 2019, maximize the percent of federal contracts by awarding at least 23 percent to small businesses

Objective Leads: Associate Administrator for Government Contracting and Business Development and Associate Administrator for Investment and Innovation

Objective Support: Office of Field Operations, Office of Entrepreneurial Development, and Office of Veterans Business Development

Programs/Activities: Small Business Contracting Set-aside, Size Standards, Size and Eligibility Protests, Certificate of Competency Awards, Agency Surveillance Review, Procurement Center Reviews, Small Business Innovation Research (SBIR), Small Business Technology Transfer (STTR), Surety Bond Guarantee (SBG), Women-Owned Small Businesses Contracting (WOSB), Service-Disabled Veteran-Owned Small Businesses Contracting (SDVOSB)

Most Serious Management and Performance Challenge 1: Weaknesses in Small Business Contracting Programs and Inaccurate Procurement Data Undermine the Reliability of Contracting Goal Achievements

Strategies:

1. Advocate federal agencies are meeting their small business contracting goals
2. Simplify access to federal contracting; attract and educate small businesses on prime contracting and subcontracting opportunities
3. Educate the federal contracting workforce on ways to increase awards
4. Increase the number of surety agents issuing guarantee bond products
5. Coordinate with agencies to ensure they meet research set-asides for innovative entrepreneurship

***Strategic Goal Two – Build Healthy Entrepreneurial Ecosystems
and Create Business Friendly Environments***

**Strategic Objective 2.1: Develop Small Businesses through
Technical Assistance**

Performance Goal: Assist 24,500 small businesses through business development programs in FY 2021
FY 2018–2019 Agency Priority Goal: By September 30, 2019, increase by 10 percent from the FY 2017 baseline the number of 8(a)-certified firms awarded federal contracts (FY 2017 baseline of 3,421 small businesses)

Objective Lead: Associate Administrator for Government Contracting and Business Development

Objective Support: Office of Field Operations, Office of Entrepreneurial Development

Programs/Activities: 8(a) Business Development, 7(j) Management and Technical Assistance, HUBZone, Small Business Procurement Set-aside, Women-Owned Small Businesses Contracting (WOSB), Service-Disabled Veteran-Owned Small Businesses Contracting (SDVOSB), All Small Mentor-Protégé Program (ASMPP)

Most Serious Management and Performance Challenge 5: SBA Needs to Ensure That the 8(a) Business Development Program Identifies and Addresses the Needs of Program Participants, Only Eligible Firms Are Admitted in the Program, and Standards for Determining Economic Disadvantage Are Justifiable

Strategies:

1. Strengthen business development opportunities in emerging market communities
2. Provide individual, specialized support to small businesses to increase growth and build infrastructure
3. Expand Mentor-Protégé Program support to connect businesses

Strategic Objective 2.2: Build Healthy Entrepreneurial Ecosystems

Performance Goal: Assist 989,000 entrepreneurs through partnerships, virtual resources, and targeted outreach in FY 2021

Objective Leads: Associate Administrator for Entrepreneurial Development, Associate Administrator for Veterans Business Development

Objective Support: Office of Field Operations, Office of Capital Access, Office of International Trade, Office of Investment and Innovation

Programs/Activities: Small Business Development Centers (SBDC), Women's Business Centers (WBC), SCORE, SBA Learning Center, Veterans Business Outreach Centers (VBOC), Boots to Business (B2B), Native American Outreach

Strategies:

1. Deliver entrepreneurial services in collaboration with resource partners
2. Provide entrepreneurs with in-person and virtual resources
3. Empower veterans and military families who want to start or grow their business
4. Support Native American entrepreneurs through outreach

Strategic Objective 2.3: Create a Small Business Friendly Environment

Performance Goal: Conduct 50 outreach events through partnerships with federal agencies, trade associations, and resource partners to reduce regulatory burdens on small businesses in FY 2021

Objective Lead: National Ombudsman and Assistant Administrator for Regulatory Fairness, Associate Administrator for Field Operations

Objective Support: Office of Advocacy, National Women's Business Council, Office of Communications and Public Liaison

Programs/Activities: Regulatory Fairness Boards, Case Management, Communications and Outreach, Regulatory Advocacy, Economic Research, National Women's Business Council

Strategies:

1. Maintain a confidential, user-friendly ombudsman process to receive complaints from small businesses and advocate on behalf of small businesses to federal agencies to create a level playing field
2. Recommend policy and advocate for small businesses through research and engagement

Strategic Goal Three – Restore Small Businesses and Communities after Disasters

Strategic Objective 3.1: Deploy Disaster Assistance Effectively and Efficiently

Performance Goal: Achieve a 77 percent customer satisfaction rate for disaster loan approvals in FY 2021
FY 2018–2019 Agency Priority Goal: By September 30, 2019, increase the average number of disaster loan applications processed from three to six applications per loan specialist per day
Objective Lead: Associate Administrator for Disaster Assistance
Objective Support: Office of Field Operations, Office of Capital Access, Office of Government Contracting and Business Development, Office of Entrepreneurial Development, and Office of Veterans Business Development
Programs/Activities: Disaster Preparedness, Response and Recovery
Most Serious Management and Performance Challenge 7: Disaster Assistance Must Balance Competing Priorities to Deliver Timely Assistance and Reduce Improper Payments
Strategies:

1. Promote disaster preparedness through pre-disaster outreach by region and type of disaster
2. Strengthen disaster operations to enhance effectiveness and efficiency
3. Capitalize on SBA’s nationwide infrastructure for short- and long-term recovery

Strategic Goal Four – Strengthen SBA’s Ability to Serve Small Businesses

Strategic Objective 4.1: Ensure Effective and Efficient Management of Agency Resources

Performance Goal: Achieve a 4.0 customer satisfaction rate for financial management, acquisition management, and performance management services for SBA employees in FY 2021

Objective Leads: Chief Financial Officer and Associate Administrator for Performance Management and Director of Executive Management, Installation and Support Services

Programs/Activities: Financial Management, Grants Management, Performance Management, Program Evaluation, Regulatory Impact Analysis, Internal Controls, Acquisition Management, Administrative Services, Facilities

Strategies:

1. Provide stewardship over financial resources and promote a robust performance management culture
2. Implement process and operational improvements to simplify and enhance service delivery

Strategic Objective 4.2: Build a High-performing Workforce

Performance Goal: Achieve a 69 percent SBA employee satisfaction scores through the Federal Employee Viewpoint Survey in FY 2021

Objective Lead: Chief Human Capital Officer

Objective Support: Office of Diversity, Inclusion, and Civil Rights

Programs/Activities: Recruitment, Training, Diversity and Inclusion, Workplace Conflict Resolution, Disability Employment, Structured Action Planning

Most Serious Management and Performance Challenge 3: The SBA Needs Effective Human Capital Strategies to Carry Out Its Mission Successfully and Become a High-Performing Organization

Strategies:

1. Recruit and retain an inclusive workforce
2. Deliver a comprehensive, mission-focused, talent development strategy to foster professional development and continuous learning
3. Build a high-performing culture that maximizes workforce performance and drives accountability

Strategic Objective 4.3: Implement Enterprise-wide Information System Modernization and Cost-effective Technology

Performance Goal: Achieve \$15 million in IT cost savings/avoidance through the streamlining of contracting, category management, and cloud computing in FY 2021

Objective Lead: Chief Information Officer

Most Serious Management and Performance Challenge 2: SBA’s IT Leadership Capabilities Need Strengthening to Address Operational Risks and Challenges

Programs/Activities: Information Systems, Technology, Digital Services, Information Security

Strategies:

1. Provide the balance between stable, secure, well-run operations and innovative new strategic contributions
2. Drive value and focus on the consistent use of information and technology as strategic business assets
3. Mature SBA’s approach to information technology governance to ensure the best possible technology decisions to effectively drive results
4. Improve information technology organizational and workforce functions through workforce planning and competency development

SBA's History

SBA was officially established in 1953, but its philosophy and mission began to take shape years earlier in a number of predecessor agencies, largely as a response to the pressures of the Great Depression and World War II.

Early versions of the SBA

The Reconstruction Finance Corporation (RFC), created by President Herbert Hoover in 1932 to alleviate the financial crisis of the Great Depression, was SBA's "grandparent"; The RFC was basically a federal lending program for all businesses hurt by the Depression, large and small. It was adopted as the personal project of Hoover's successor, President Franklin D. Roosevelt, and was staffed by some of Roosevelt's most capable and dedicated workers.

Concern for small business intensified during World War II, when large industries beefed up production to accommodate wartime defense contracts and smaller businesses were left unable to compete. To help small business participate in war production and give them financial viability, Congress created the Smaller War Plants Corporation (SWPC) in 1942. The SWPC provided direct loans to private entrepreneurs, encouraged large financial institutions to make credit available to small enterprises, and advocated small business interests to federal procurement agencies and big businesses. The SWPC was dissolved after the war, and its lending and contract powers were handed over to the RFC. At this time, the Office of Small Business (OSB) in the Department of Commerce also assumed some responsibilities that would later become characteristic duties of SBA. Its services were primarily educational. Believing that a lack of information and expertise was the main cause of small business failure, the OSB produced brochures and conducted management counseling for individual entrepreneurs. Congress created another wartime organization to handle small business concerns during the Korean War, this time called the Small Defense Plants Administration (SDPA). Its functions were similar to those of the SWPC, except that ultimate lending authority was retained by the RFC. The SDPA certified small businesses to the RFC when it had determined the businesses to be competent to perform the work of government contracts. By 1952, a move was on to abolish the RFC. To continue the important functions of the earlier agencies, President Dwight Eisenhower proposed creation of a new small business agency -- Small Business Administration (SBA).

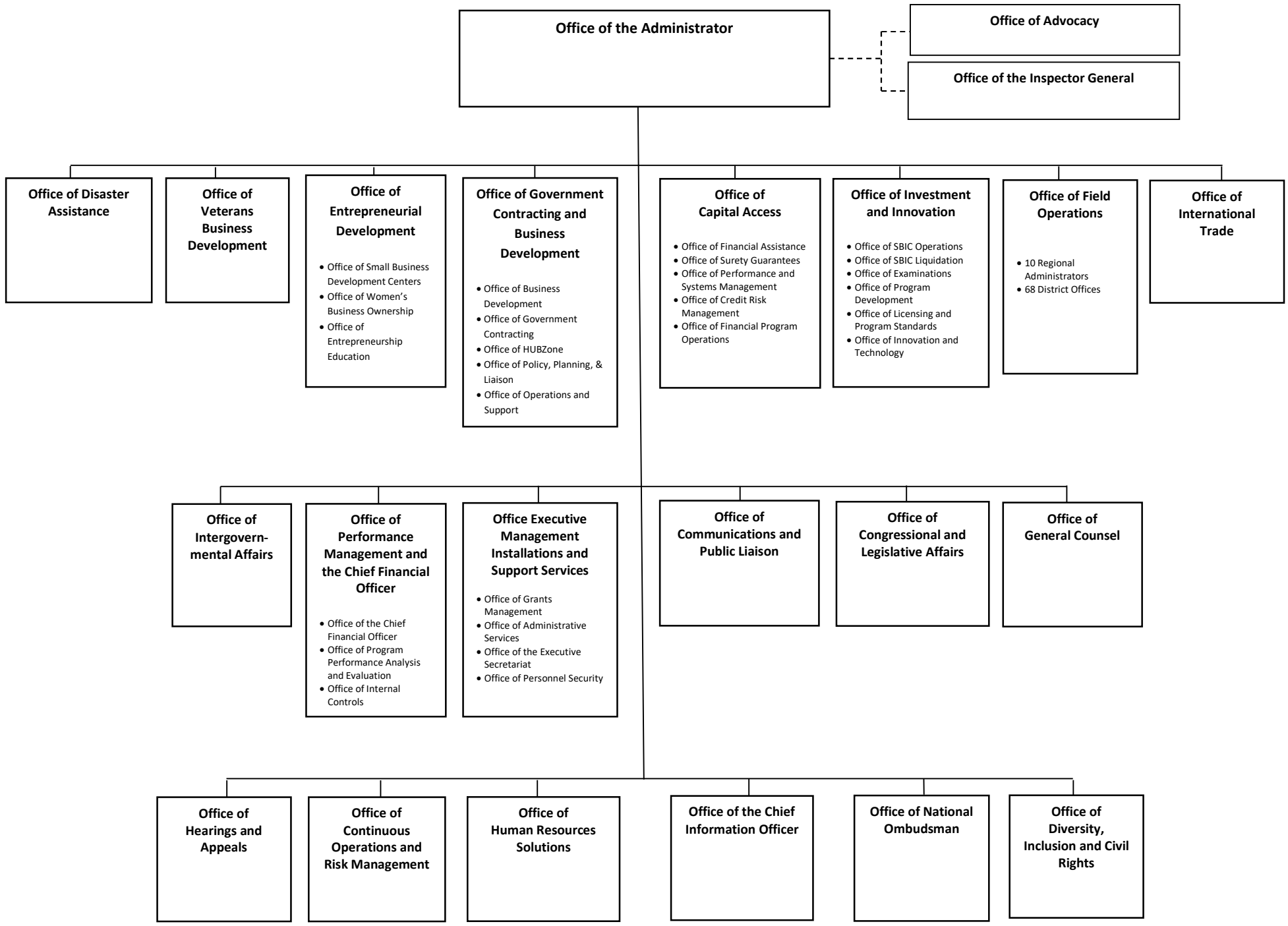
The founding of SBA

In the Small Business Act of July 30, 1953, Congress created the Small Business Administration, whose function was to "aid, counsel, assist and protect, insofar as is possible, the interests of small business concerns."; The charter also stipulated that SBA would ensure small businesses a "fair proportion"; of government contracts and sales of surplus property.

By 1954, SBA already was making direct business loans and guaranteeing bank loans to small businesses, as well as making loans to victims of natural disasters, working to get government procurement contracts for small businesses and helping business owners with management and technical assistance and business training. The Small Business Investment Act of 1958 established the Small Business Investment Company (SBIC) Program, under which SBA licensed, regulated and helped provide funds for privately owned and operated venture capital investment firms. They specialized in providing long-term debt and equity investments to high-risk small businesses. Its creation was the result of a Federal Reserve study that discovered, in the simplest terms, that small businesses could not get the credit they needed to keep pace with technological advancement. In 1964, SBA began to attack poverty through the Equal Opportunity Loan (EOL) Program. The EOL Program relaxed the credit and collateral requirements for applicants living below the poverty level in an effort to encourage new businesses that had been unable to attract financial backing, but were nevertheless sound commercial initiatives.

SBA today

SBA has grown significantly in terms of total assistance provided and its array of programs have been tailored to encourage small enterprises in all areas. SBA's programs now include financial and federal contract procurement assistance, management assistance, and specialized outreach to women, minorities and armed forces veterans. SBA also provides loans to victims of natural disasters and specialized advice and assistance in international trade.



Component/Division Information -- List of Offices

1. Program Offices

Office of Capital Access (OCA)

Office of Financial Assistance

Office of Financial Program Operations

Office of Performance and Systems Management (OPSM)

Office of Credit Risk Management (OCRM)

Office of Surety Guarantees (OSG)

Office of Disaster Assistance (ODA)

Office of Entrepreneurial Development (OED)

Office of Government Contracting and Business Development (GCBD)

Office of International Trade (OIT)

Office of Investment and Innovation (OII)

Office of Veterans Business Development (OVBD)

2. Support Offices

Office of Communications and Public Liaison (OCPL)

Office of Congressional and Legislative Affairs (CLA)

Office of Field Operations

Office of General Counsel (OGC)

Office of Hearings and Appeals (OHA)

Office of Intergovernmental Affairs (IGA)

Office of Performance, Planning and the Chief Financial Officer (OPP/CFO)

Office of the Administrator (Front Office)

Office of Executive Management, Installations and Executive Services (OEMISS)

Office of the Chief Information Officer (OCIO)

Office of Diversity Inclusion & Civil Rights (ODI&CR)

Office of Continuous Operations & Risk Management (OCORM)

Office of Human Resources Solutions (OHRS)

Office of the National Ombudsman (ONO)

Office of Capital Access (OCA)

Office Description and Mission

The mission of the Office of Capital Access (OCA) is to make capital available through financing partners to small businesses who might not otherwise obtain financing to start-up or expand existing small businesses on reasonable terms and conditions, and to ensure the integrity of all loans and loan programs within the office.

Office Leadership

Associate Administrator	William M. Manger
Deputy Associate Administrator	John A. Miller

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Immediate Office William M. Manger, Associate Administrator John A. Miller, Deputy Associate Administrator William Briggs, Deputy Associate Administrator Dionna Martin, Supervisory Program Analyst, Operations and Administration	<ul style="list-style-type: none">• Strategic direction• Liaison across OCA & SBA offices• Liaison to large lender relationships• Coordinate OCA employee training initiatives• Coordinate staffing for OCA• Deliver an integrated approach to OCA budget maintenance and forecasting• Oversee special projects assigned by AA
Office of Financial Assistance (OFA) Dianna Seaborn, Director Rosemarie Drake, Chief 7(a) Loan Program Linda Reilly, Chief, 504 Loan Program John Wade, Chief, Secondary Market Daniel Upham, Chief, Microloan Program	<ul style="list-style-type: none">• PPP Loan Program policy development and training.• SBA Business Loan Programs Policy and Program Development for 7(a)- (including Community Advantage Pilot), 504, and Microloan programs. (including writing SOPs)• CFR - Originate new rules and rule revisions based on legislation, market changes and modernization of programs.• Develop innovative Pilot programs to identify new methods that expand access to capital for small and underserved businesses and target markets• SBA Lender participant training on use of the business loan programs• Oversee Microloan Grants Program• Conduct annual PRIME Grant awards and ongoing grants management• Oversee legacy Intermediary Loan Pilot Program participants and loan portfolio

	<ul style="list-style-type: none"> • Secondary Markets program oversight and management of lender access, broker/dealers, investor relations and annual reports to Congress. • Oversight of Secondary Market Master Reserve Fund and Investment Committee • Coordination of new security development for Secondary Market • Oversee Small Business Lending Company (SBLC) participation and secured credit facilities.
Office of Financial Program Operations (OFPO) Jihoon Kim, Director Martin Andrews, Supervisory Loan Specialist Cailyn Gerald, Supervisory Loan Specialist Babak Hosseini, Supervisory Program Analyst , Adrienne Grierson, Supervisory Program Analyst	<ul style="list-style-type: none"> • Center operations for Paycheck Protection Program (PPP), 7(a), 504, loan operations and Economic Injury Disaster Loans (EIDL) and Disaster Loan servicing • Critical information input to Program development • Program implementation, including process design • Program execution, including quality control and process improvement • Center project management • Loan portfolio management • SOP and CFR implementation and execution
Office of Performance and Systems Management (OPSM) Stephen Kucharski, Director Ronald Whalen, Supervisory IT Specialist Glenn Hannon, Supervisory Performance Management Analyst Sheri McConville, Supervisory IT Specialist	<ul style="list-style-type: none"> • Develop, Maintain, and Enhance all systems that support OCA operations from loan programs to compliance. • Program and policy development framework • Inform SOP and CFR process with metrics and data for final policy decision • Data standardization and reporting mechanism for data • Project management office • Evaluate, reassess, and improve programs based upon performance metrics • Own and operate the Fiscal Transfer Agent Contract • Own and operate the Central Servicing Agent contract • Own and operate the Disaster Loan Servicing system of record from transactions to accounting • Own and operate the agency's Lender Match application – matching borrowers with SBA lenders

Office of Credit Risk Management (OCRM) Susan Streich, Director Eddie Ledford, Deputy Director Ed Senseney, Chief, Regulated Institution Oversight Division Paul Kirwin, Chief, Supervised Institution Oversight Division Bethany Shana, Chief, Risk Management, Operations and Administration Division	<ul style="list-style-type: none"> • Oversees credit risk management for all business loan programs, 7(a), 504, Microloan and PPP • Implement risk management practices to ensure program integrity • Establish and maintain processes for proactive lender oversight and portfolio management • Risk mitigation procedures • Issue and implement SBA supervision, enforcement and risk monitoring actions • Maintain quality assurance standards and controls for comprehensive risk management • Build and maintain partnerships with federal and state regulatory agencies.
Office of Surety Guarantees (OSG) Vacant, Director Peter C. Gibbs, Deputy Director Jermaine Perry, Senior Management Analyst	<ul style="list-style-type: none"> • Develop and implement program policy and procedural guidance. • Execute Prior Approval and Preferred Bond Guarantee Programs. • Establish and maintain performance management system and risk mitigation processes. • Oversee and manage Field Offices. • Promote strong surety industry and surety agent partnership with SBA.

Current Activities

Please see sub-office sections that follow.

FACA Boards

N/A

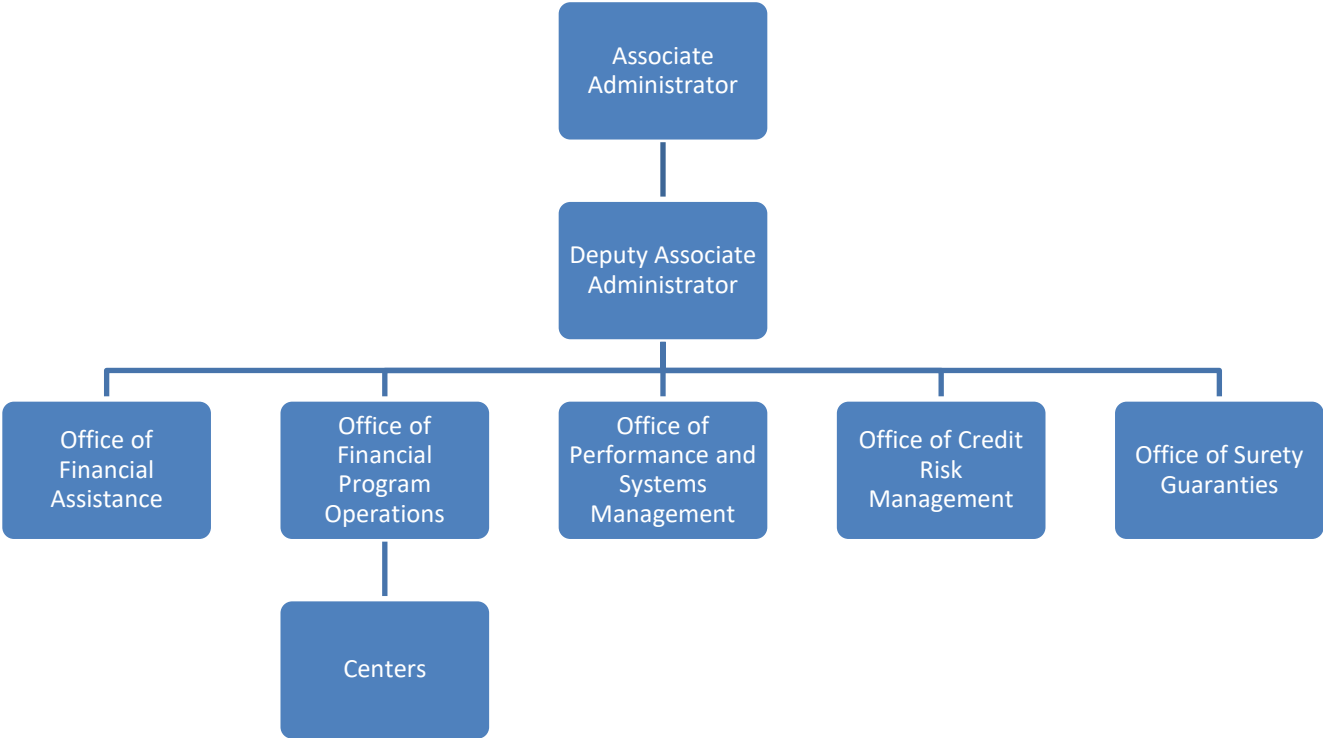
External Stakeholders

Please see sub-office sections that follow.

Key Office Events Hosted/ Supported

Please see sub-office sections that follow.

Organizational Chart



Office of Financial Assistance (OFA)

Office Description and Mission

The Office of Financial Assistance has a mission to expand small business access to capital through development and delivery of Rules, Policies and Procedures for all of SBA's Business Loan Programs consisting of the 7(a), 504, and Microloan Programs as well as all related Pilot programs. Collectively they provide effective capital alternatives for small businesses not adequately served by conventional sources and unable to secure financing on reasonable terms.

OFA monitors and researches capital markets and lending activity to update rules, policies and procedures to reflect current market standards, streamline program rules, and expand participation by private sector lenders.

A primary function of OFA is to develop and publish the regulations, policies and procedures for the origination of the business loan programs. This includes understanding Section 7(a) and 7(m) of the Small Business Act and Sections 503 and 504 of the Small Business Investment Act before formulating and finalizing the regulations, policies and procedures which lenders, development companies, and Microloan Intermediaries use to originate financial assistance in the form of term and revolving that require the credit enhancements provided by SBA through these programs. The end goal is to support and leverage these third parties to provide capital to small businesses nationwide that would not otherwise be available, increasing the local tax base by adding new or expanded services and jobs in their communities.

OFA is further responsible for the oversight of the secondary market for 7(a) loans, the Fiscal and transfer agent secondary market activity and SBA guaranteed debenture sales for 504 loans. The activity includes managing and monitoring investments in a multi-billion dollar Master Reserve Fund used to support investors in 7(a) loan paper as well as the monthly sale of guaranteed debentures necessary to fund 504 loans.

OFA is organized into four Program Branches, with teams each led by a Policy and Program Chief reporting to the Director, Office of Financial Assistance.

Office Leadership

OFA Director	Dianna Seaborn
Chief, 7(a) Program Loan Division	Rosemarie Drake
Chief, 504 Program Loan Division	Linda Reilly
Chief, Secondary Market Division	John Wade
Chief, Microloan Division	Daniel Upham

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
7(a) Program office Rosemarie Drake, Chief, 7(a) Loan Program Division	Largest lending program at SBA. Authorization level for FY2021 \$30 Billion with over 4,000 active lenders in 7(a) program (including those temporarily authorized in PPP)

504 Program office Linda Reilly, Chief, 504 Loan Program Division	2nd Largest Lending program at SBA 260 Certified Development Companies in 504 program Authorization level for FY 2021 \$7.5Billion for Regular 504 \$1.0 Billion for Refinance
Secondary Market (SMG) John Wade, Chief, Secondary Market	Secondary Market program which supports the 2 largest SBA lending programs' pool assembly. Monitors the Master Reserve Fund for the SMG program. Coordinates development of new security products that support SMG stability. Administer the SBA Supervised Lender Programs for Small Business Lending Companies (SBLC) and Non-Federally Regulated Lenders (NFRL)
Micro Loan Enterprise Division Daniel Upham	Oversees the funding, financing and loan making activities of approximately 150 Micro Loan Intermediary participants that make small loans (up to \$50,000) and provide and technical assistance to small businesses, including technical assistance grants. Conduct annual outreach and awards for PRIME Grant program with grants awarded to non-profit Microenterprise Development Organizations (MDOs) to provide technical assistance to entrepreneurs or to MDOs to build capacity or for research and development of Microenterprise activity. Oversee the legacy portfolio of Intermediary Loan Lenders.

Current Activities

- Development and implementation of CARES Act/ PPP Program policies and guidance in conjunction with the US Treasury. Cataloguing, categorizing and dispositioning over 10,000 official comments received for the 22 Interim Final Rules for the PPP Program)
- Development of Standard Operating Procedures (SOP), and Federal Regulations (CFR) for the credit administration of the 7(a) CA, Microloans and 504 Programs.
- Planning, directing, and publishing deregulatory rules for the business loan programs.
- Oversight and contract administration of the Secondary Market Programs for 7(a) and 504.
- Planning, and publishing ANPRM for development of a Pass-through security for the secondary market.
- Developing and testing Pilot programs to expand participation and reach underserved small business markets.
- Administer the SBA Supervised Lender Programs for Small Business Lending Companies (SBLC) and Non-Federally Regulated Lenders (NFRL) including approvals in cooperation with the Office of Credit Risk Management (OCRM).
- Review and consider Policy Exceptions, interpretations and other queries on credit and underwriting.

- Review, and recommend decisions on applications and expansion for new and existing Certified Development Companies (CDC). OFA in consultation with OCRM approves CDC petitions for permanent status or extension of probation.
- Conducts extensive outreach with other Federal financial institutions, industry associations, banking/lender community to maintain contemporary programs.
- Provide regular training to internal and field and center staff on credit and underwriting standards as provided in regulations and SOPs.
- Provide comprehensive training to all CA Lender Participant through 3 multi day Web-conferences.
- Host an annual Micro Loan Conference (virtual planned).

FACA Boards

N/A

External Stakeholders

- Lenders (Banks, Credit Unions, Community Development Financial Institutions, Non-federally Regulated Institutions, Small Business Lending Companies,) Certified Development Companies (CDCs), small businesses, trade associations (such as NAGGL and NADCO CBA ICBA ABA, IFA, other Federal agencies (such as FDIC, OCC, USDA, USCIS, DOE, HUD, IRS, EDA, Commerce), OFN – Opportunity Finance Network, AEO – Association for Enterprise Opportunity, Friends of Microloan, Rapozza Associates and other service providers.

Key Office Events Hosted/ Supported

OFA hosts and moderates a monthly Lender Relations Specialist training call (third Wednesday of the month), the quarterly calls for SBA 7(a) and 504 lenders and CDCs (7(a) Connect and 504 Connect), monthly Micro Loan Intermediary calls, and collaborates with OCRM for biweekly calls for training with Community Advantage Lenders. OFA conducts periodic webinars for all external and internal program users to provide program and policy updates, and further supports the weekly OFO District Director call

Office of Financial Program Operations (OFPO)

Office Description and Mission

The Office of Financial Program Operations (OFPO) manages SBA's nine loan centers located across six states, and performs thirteen lines of business. This includes origination, servicing and liquidation for SBA's Paycheck Protection Program, 7(a) and 504 loan programs as well as servicing and liquidation for SBA's Disaster Loans and the Economic Injury Disaster Loans (EIDL). OFPO is the second largest SBA office, all working to support SBA's flagship loan programs. OFPO's mission is to lead the financial services industry in quality products and services to our partners and customers, and to protect the integrity of SBA programs. We accomplish this by leveraging technology and training, modernizing policies and procedures, utilizing process improvement to limit non-value added tasks, and fostering the highest possible level of employee satisfaction and productivity.

Office Leadership

OFPO Director	Jihoon Kim
Supervisory Program Analyst for Portfolio Management and Quality Improvement Program	Adrienne Grierson
Supervisory Loan Specialist for 7(a) & 504 Origination, Servicing & Liquidation Centers	Martin Andrews
Supervisory Loan Specialist for Disaster Loan Servicing & Liquidation Centers	Cailyn Gerald
Supervisory Program Analyst for Operations and Admin Support	Babak Hosseini

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Immediate/Front Office Jihoon Kim, Director Martin Andrews, Supervisory Loan Specialist Cailyn Gerald, Supervisory Loan Specialist Babak Hosseini, Supervisory Program Analyst Adrienne Grierson, Supervisory Program Analyst	OFPO's immediate office handles HR, budget, performance management, contract management, project management, data collection and analysis, training, executive oversight, and full operational support for the loan centers and OFPO staff in HQ.
Portfolio Management (PM) Division Vacant, Supervisory Financial Analyst	The Office of Portfolio Management (PM) is responsible for the management and compliance of the servicing and liquidation of SBA's \$835 billion portfolio of direct and guaranteed loans. PM also serves as the arbitrator in disputes regarding denial of SBA's loan guaranty.

Quality Improvement Program (QIP) Vacant, Supervisory Quality Control Specialist	OFPO's Quality Improvement Program (QIP) seeks to ensure that center processes are being executed according to internal guidelines, while meeting specifications and being consistently accurate. QIP also reviews for and reports on Improper Payments.
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Citrus Heights, California and Hazard, Kentucky 7(a) Loan Processing Centers Greg Prichard, Supervisory Loan Specialist, Center Director Annette May, Supervisory Loan Specialist, Deputy Center Director Mark Smith, Supervisory Loan Specialist, Deputy Center Director Hazard	Processes all non-delegated and some delegated 7(a) Loans. The centers also handle 7(a) loan modifications (until funds are fully disbursed). Area Coverage: Nationwide.
Sacramento, California 504 Loan Processing Center Hien Nguyen, Supervisory Loan Specialist, Center Director David Miller, Supervisory Loan Specialist, Deputy Center Director	Processing for all 504 loans. Area Coverage: Nationwide.
Little Rock, Arkansas Commercial Loan Servicing Center (CLSC) Nique Carrington, Supervisory Loan Specialist, Center Director Sarah Hawkins, Supervisory Loan Specialist, Deputy Center Director	Servicing of all of PPP, 7(a) and 504 business loans. This center also handles all purchase and liquidation activity of SBA Express loans and 504loans/debentures. Area Coverage: Regions 1, 2, 3, 4 and 6 (except New Mexico and Louisiana).
Fresno, California Commercial Loan Servicing Center (CLSC) Joel Stiner, Supervisory Loan Specialist, Center Director Michelle Serrano, Supervisory Loan Specialist, Deputy Center Director	Servicing of all types of PPP, 7(a) and 504 business loans. This center also handles purchase and liquidation activity of SBA Express loans and 504 loans/debentures. Area Coverage: All Region 5, Region 6 (New Mexico and Louisiana only), All Regions 7, 8, 9 & 10.
Herndon, Virginia National Guaranty Purchase Center (NGPC) Vanessa Piccioni, Supervisory Loan Specialist, Center Director Neil Miller, Supervisory Loan Specialist, Deputy Center Director	Handles all PPP, 7(a) Guaranty Purchase and Liquidation Activity, except SBA Express. Area Coverage: Nationwide.
Birmingham, Alabama Disaster Loan Servicing Center (DLSC) Sonya Hubbard, Supervisory Loan Specialist, Center Director Carla Donaldson, Supervisory Loan Specialist, Deputy Center Director	Services disaster EIDL, home and business loans and administers the Treasury cross servicing and administrative offset programs. Area Coverage: All of regions 1 through 5.

El Paso, Texas Disaster Loan Servicing Center (DLSC) Charles Jones, Supervisory Loan Specialist, Center Director Diana Mukiibi, Supervisory Loan Specialist, Deputy Center Director	Services disaster EIDL, home and business loans. Area Coverage: All of regions 6 through 10.
Santa Ana, California National Disaster Loan Resolution Center (NDLRC) Modupe Oguntolu, Supervisory Loan Specialist, Center	Liquidates disaster EIDL, home and business loans. Area Coverage: Nationwide.

Director Fred Council, Supervisory Loan Specialist, Deputy Center Director	
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Current Activities

- Paycheck Protection Program (PPP) delegated loan origination support (customer service)
- PPP loan forgiveness processing
- PPP loan servicing, guaranty purchase and liquidation
- 7(a) loan origination and modifications (some delegated and all non-delegated) 7(a) loan servicing, guaranty purchase and liquidation
- 504 loan origination and modifications
- 504 loan servicing, debenture purchase and liquidation
- Disaster home and business loan servicing and liquidation, including COVID-19 EIDL
- Treasury Cross-Servicing and Administrative Offset programs
- Quality Improvement Program in all Centers
- Portfolio Management of PPP, 7(a), 504 and Disaster Home and Business Loans

FACA Boards

N/A

External Stakeholders

SBA lending partners and trade associations

Key Office Events Hosted/ Supported

Annual Center Directors conference, and state, regional and national lending conferences.

Office of Performance and Systems Management (OPSM)

Office Description and Mission

The mission of the Office of Performance Management and Systems Division is to supply SBA leadership and our customers with business intelligence, sound project management, and critical information systems for the purpose of initiating, maintaining, evaluating, improving loan programs and initiatives and supports SBA's \$700 billion loan portfolio.

Office Leadership

Director	Stephen Kucharski
Supervisory IT Specialist, Systems Operations	Ronald Whalen
Supervisory Performance Management Analyst, Performance Management	Glenn Hannon
Supervisory IT Specialist, Staff and Systems Management	Sheri McConville

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Systems Operations Ronald Whalen	Leads the development of new loan systems and the maintenance of our systems – 24-7.
Performance Management Glenn Hannon	Leads a government/contract team of professionals who support our 5,000 lending partners and vendors.
Systems Operations Sheri McConville	Leads the day to day activities

Current Activities

- PPP Loan Forgiveness and Loan Review
- PPP and 7(a) loan origination through E-Tran, including increased E-Tran capacity.
- PPP, 7(a), and 504 loan servicing functionality in E-Tran
- Disaster Loan Servicing
- EIDL Loan Funding
- Analytics, Reporting and Audit lead for all OCA CARES Act – PPP, fee payment, etc.
- Lender Match enhancement, including Spanish version.
- Enhancing system functionality and compliance to improve customer support and data integrity.
- System support for all of OCA's operating centers.
- SBAOne enhancements and maintenance
- Central Servicing Agent operations and modernization
- Fiscal Transfer Agent transition and modernization
- Office of Credit Risk Management Loan Review System enhancements
- Office of Credit Risk Management Lender and Loan Monitoring System contract management and re-bid.

FACA Boards

N/A

External Stakeholders

National Association of Government Guaranty Lenders, Congress, National Association of Development Companies, Treasury, financial investors, press/ media, etc.

Key Office Events Hosted/ Supported

State, regional and national lending conferences.

Office of Credit Risk Management (OCRM)

Office Description and Mission

The Office of Credit Risk Management (OCRM) mission is to maximize the efficiency of SBA's lending programs by effectively managing program credit risk, monitoring lender performance, and enforcing lending program requirements.

Office Leadership

Director	Susan Streich
Deputy Director	Edward (Eddie) Ledford

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Regulated Institution Oversight Division Ed Senseney, Chief	The Regulated Institutions Division oversees all Federally Regulated Institutions that participate in the 7(a) loan program, and is responsible for conducting desktop, analytical, targeted, full and special needs reviews of 7(a) lenders who have a primary federal regulator. The team also provides essential input into the Delegated Authority Renewal and Nominations process, manages the Watch List with the SBA's Fiscal Transfer Agent (FTA) and develops and implements increased supervision and enforcement actions as appropriate.
Risk Management, Operations and Administration Division Bethany Shana, Supervisory Program Analyst	The Risk Management, Operations and Administration Division is responsible for human resource recruitment and coordination, maintaining and preparing reports required for Lender Oversight Committee (LOC) meetings and actions, managing non-procurement suspension and debarment actions in coordination with the Office of Inspector General (OIG) and the Office of General Counsel (OGC), contract acquisition and management, lender fee administration, budget administration, and procurement sourcing and oversight. This team is the primary processor and respondent for Congressional and OIG referrals, and serves as the liaison for OIG and General Accounting Office (GAO) audits.

Current Activities

- Conduct over 700 Risk-Based Reviews and Examinations annually
- Process approximately 1,200 renewals of Delegated Authority annually
- Conduct 400-plus Quarterly Financial Condition reviews of SBA Supervised Lenders
- Conduct quarterly and more frequent Lender Oversight Committee (LOC) meetings to review high risk lender issues and act on enforcement recommendations
- Update OCRMs two SOPs – SOP 50 53 2 and 51 00 2 and publish the Final SBA Supervised Lender Rule

FACA Boards

N/A

External Stakeholders

- Approximately 4,000 SBA Lending Partners (7(a), 504 and Microlender Intermediary program participants)
- Oversight of approximately 5,400 Lending Partners (Payment Protection Program (PPP))
- National Association of Government-Guaranteed Lenders (NAGGL) trade organization
- National Association of Development Companies (NADCO) trade organization
- Primary Federal Regulators, including the Federal Deposit Insurance Corporation (FDIC), Office of Comptroller of the Currency (OCC) and Federal Reserve (Fed)
- Dun & Bradstreet (supplier of large (\$9+ million) annual contract for Loan and Lender Monitoring System (L/LMS), the portfolio management and lender risk data warehouse for all SBA Capital Access loan programs)

Key Office Events Hosted/ Supported

State, regional and national events and conferences

Office of Surety Guarantees (OSG)

Office Description and Mission

The Office of Surety Guarantees administers the Surety Bond Guarantee (SBG) Program, which provides access to bonding for small and emerging contractors who are unable to obtain bonding through regular commercial channels. Through the SBG Program, SBA guarantees bid, payment and performance bonds, issued by participating surety companies, on contracts up to \$6.5 million and up to \$10 million with a federal contracting officer's certification. SBA guarantees between 70% and 90% of the loss if a contractor defaults.

In Fiscal Year 2016, SBA has guaranteed over 10,000 bonds with a total contract value of \$5.7 billion.

Office Leadership

Director	Vacant
Deputy Director	Peter C. Gibbs

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Immediate Office Peter C. Gibbs, Director Jermaine Perry, Senior Management Analyst	OSG's Immediate Office administers and manages the SBG Program, which consists of the Prior Approval Program and the Preferred Surety Bond (PSB) Program. There are 23 participating sureties, 19 in the Prior Approval Program and 4 in the PSB Program. The Immediate Office develops policy and procedure, is responsible for program oversight, and handles all matters related to surety participation admission, the PSB Program, human resources, budget, performance management and data collection.
Underwriting and Marketing Division Earnest Knott, Supervisory Surety Guarantees Specialist, Area Director, Washington D.C. Jennifer Vigil, Supervisory Surety Guarantees Specialist, Area Director, Denver M. Catharine Powers, Supervisory Surety Guarantees Specialist, Area Director, Seattle	This division plans and conducts all underwriting and marketing activities. Three area offices, located in Washington, D.C., Denver, and Seattle, process all surety bond guarantee applications submitted through the Prior Approval Program. A Marketing Specialist located in each area office is responsible for marketing and outreach within an assigned geographical area.
Claims and Recovery Division Pam Swilling, Claims Director Michelle Hodges, Recovery Specialist	The Claims and Recovery Division handles all matters related to defaulted contractor cases, including claims for reimbursement requests, and the receipt of recoveries

Current Activities

- Guarantee percentage in the PSB Program will be increased from up to 70% to up to 90%, effective November 25, 2016.

FACA Boards

N/A

External Stakeholders

- National Association of Surety Bond Producers (NASBP)
- Surety and Fidelity Association of America (SFAA)

Key Office Events Hosted/ Supported

State, regional, and national surety events and conferences.

Office of Disaster Assistance (ODA)

Office Description and Mission

The Office of Disaster Assistance (ODA) carries out the SBA's responsibility to provide affordable, timely and accessible financial assistance to businesses of all sizes, private nonprofit organizations, homeowners and renters located in a declared disaster area. Financial assistance is available in the form of low-interest, long-term direct loans for losses that are not fully covered by insurance or other recoveries.

Since 1953, excluding activity for COVID-19, SBA has approved over 2.2 million disaster loans for \$67 billion in disbursements. As of October 7, 2020, during the response to COVID, ODA has processed over 15 million applications, and 3.6 million Economic Injury Disaster Loan (EIDL) loans totaling more than \$194 billion. Additionally, SBA approved over 5.7 million EIDL Advances for \$20 billion; when the program closed on July 11, 2020 after being fully obligated. During a typical disaster year, on average, ODA approves over 20,000 loans a year totaling about \$1 billion in responding to hurricanes, floods, tornadoes, etc. Most recently, disaster loans for Harvey, Irma and Maria hurricanes totaled \$7.4 billion. For COVID-19, SBA has approved nearly \$2 billion daily in new EIDL assistance.

During natural disasters, SBA's disaster loans are the primary form of federal assistance for the repair and rebuilding of non-farm, private sector disaster losses. The disaster loan program is the only form of SBA assistance not limited to small businesses.

Office Leadership

Associate Administrator	James E. Rivera
Acting Deputy Associate Administrator	Kem Fleming

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Headquarters	ODA Headquarters is located at SBA's Washington, DC office. Headquarters is responsible for overall program delivery, statutory /regulatory changes, budget, performance management, strategic initiatives, interagency coordination and communication and data collection.
Customer Service Center	A full-service Customer Service Center (CSC) located in Buffalo, NY. Disaster survivors may contact this center if they have questions about their disaster loan application. Call center services for disaster survivors include discussing the disaster loan program and responding to email questions received in the disaster assistance mailbox. Also, providing help desk support to other centers. Since March 2020 and the onset of SBA's COVID response, CSC has responded to over 13.7 million calls and 1.9 million emails.
Field Operations Centers	ODA has two Field Operations Centers (FOCs) responsible for handling all disaster activity on the ground and virtually. The purpose of having an on the ground presence is to work with disaster survivors (face to face) in explaining the disaster program, assisting with completing the disaster application and ultimately closing loans. To adapt to the COVID environment, ODA has set up virtual disaster survivor support. SBA co-locates with FEMA in all Presidential Declarations and SBA

	<p>establishes its own Disaster Loan Outreach Centers in Agency declarations. FOCE (East) is located in Atlanta, GA and handles disaster field activity east of the Mississippi river and FOCW (West) is located in Sacramento, CA and handles disaster field activity west of the Mississippi river. Additionally, the FOCs are responsible for the coordination with State/ Governors' offices with the front-end disaster declaration process including preliminary damage assessments and determining eligible disaster declaration criteria. After a disaster declaration is declared, the FOCs identify disaster locations and working with media, local communities including chambers, civic organizations, etc. on post disaster messaging regarding the disaster program. FOCs also work with the congressional delegation for information dissemination.</p> <p>information</p>
Loan Processing and Disbursement Center	<p>The Processing and Disbursement Center (PDC) is located in Fort Worth, TX. PDC functions as a centralized disaster processing and disbursement center including issuing, receiving and accepting disaster loan applications. Also, the primary function is processing for approval or decline direct disaster loans by performing eligibility, credit and repayment analysis. A legal department prepares loan closing documents and disburses approved loan funds to eligible borrowers. On average, the PDC processes 50,000 applications annually. When needed, PDC has a surge facility in the Sacramento, California (FOCW) location to handle larger disasters.</p>
Herndon Center	<p>The Herndon, VA operations includes five disaster centers. The Administrative Services Center (ASC) handles all disaster administrative related activity including time and attendance, travel, and procurement in one centralized location. The Disaster Credit Management System (DCMS) Operations Center is responsible for maintaining the automated disaster credit management system (which performs all loan processing and disbursement activity) as well as other administrative and personnel related systems. The Damage Verification Center (DVC) is responsible for performing the inspection activity function, which determines the estimated damage threshold for disaster declaration criteria and all loss verifications to determine the cost to repair or replace disaster survivor's damage property. The Office of Disaster Personnel (ODP) handles all disaster personnel issues from hiring, to off boarding, to managing the staffing strategy and the disaster reserve employees. Office of Disaster Strategic Engagement and Effectiveness (ODSEE) is responsible for all disaster personnel employee relations, performance management, and training.</p>

Current Activities:

ODA is currently responding to the COVID-19 economic crisis as well as 24 disaster declarations (Oct. 2, 2020). Some of ODA's key activities are:

- Continued implementation of nation-wide response to COVID-19 EIDL program
- Recruitment and hiring to support COVID-19 response and ongoing disaster declarations
- Onboarding and training new hires
- Enhanced strategic communication with disaster survivors, State, Local and Tribal partners and Federal partners.
- Virtual and in-person disaster survivor support
- Evaluation of ODA's mitigation aid option

For a list of current disaster declarations, please visit: <https://disasterloan.sba.gov/ela/Declarations/Index>

FACA Boards:

N/A

External Stakeholders

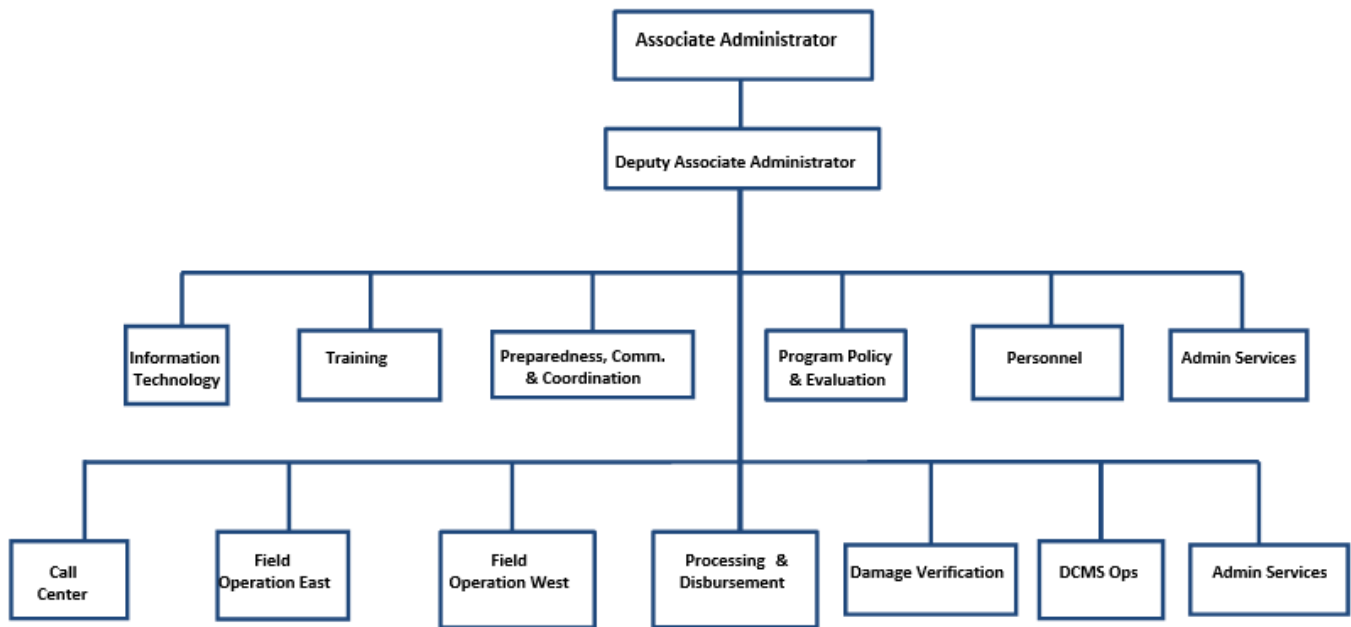
Disaster Inter-agencies including:

- Federal Emergency Management Agency
- Internal Revenue Service
- Housing and Urban Development
- Office of Management and Budget
- Department of Agriculture (COVID-19 specific)

Key Office Events Hosted/ Supported

- Office of Disaster Assistance hosts Disaster Media Training which is a boot camp for Disaster and District Office Public Information Officers (Office of Field Operations).
- The Disaster Phoenix Award Winners – A small business award winner, a volunteer, and a public local official are recognized each year at National Small Business Week.

Office of Disaster Assistance – Organization Chart



Office of Entrepreneurial Development (OED)

Office Description and Mission

The Office of Entrepreneurial Development (OED) helps small business owners start, grow, and compete in global markets by providing quality training, counseling, and access to resources. The OED oversees a network of programs and services that support the training and counseling needs of small business. It is SBA's technical assistance arm with resource partners located throughout the country.

Office Leadership

Associate Administrator	Allen Gutierrez
Deputy Associate Administrator	Adriana Menchaca-Gendron

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Immediate Office Allen Gutierrez, Associate Administrator (non-career) Adriana Menchaca-Gendron, Deputy Associate Administrator Jeanne Crepeau, Administrative Officer	Handles HR, budget, financial exams, performance management, data collection, and initiatives including Regional Innovation Clusters, Ascent, and the Business Smart Toolkit.
Office of Small Business Development Centers George Koklanaris, Associate Administrator (non-career) Nancyellen Gentile, Deputy Associate Administrator	Administers the SBDC program, that counsels and trains over 254,000 entrepreneurs by administering \$135 million in cooperative agreements to 62 SBDC networks (largely affiliated with universities and/or state government) providing services in over 950 locations.
Office of Women's Business Ownership Sery Kim, Assistant Administrator Donald Smith (non-career), Deputy Assistant Administrator	Administers the WBC program, a unique entrepreneurial support program tailored to meet the needs of the local communities it serves through business training and counseling. Funding of \$22.5 million supports non-profit WBCs in more than 117 locations, which help more than 64,000 clients a year, a representative number of whom are economically and socially disadvantaged.
Office of Entrepreneurship Education Vacant, Director Victoria Mundt – departing 10/24	Administers three major SBA efforts to support entrepreneurs: <u>SCORE</u> , a volunteer-based business assistance organization that leverages a nationwide network of 10,000 volunteers to mentor more than 195,000 people in over 300 locations (many of which are SBA District offices); <u>Emerging Leaders</u> , a 7-month executive development program that elevates a business's growth trajectory, creates jobs, and contributes to the economic well-being of communities. Participants of the Emerging Leaders executive series receive more than 100 hours of specialized training,

	technical support, access to a professional network, and other resources to strengthen their businesses and promote economic development; and SBA Learning Center offers free online courses on business planning, marketing, government contracting, accounting, and social media. OED/OEE has an active MOU with FDIC that includes ongoing engagement to small businesses through the Money Smart Program.
Center for Faith and Opportunity Initiative Director Marcus Harris (non-career)	The SBA Center for Faith and Opportunity Initiative's (CFOI) partners with houses of worship, community groups, and higher education institutions to harness the power of economic development and entrepreneurship to restore hope and wholeness to communities. The CFOI seeks to help the over 90,000 religious organizations and non-profits who received Paycheck Protection Program funds fully recover from the impact of COVID-19.
Office of Native American Affairs (ONAA) Assistant Administrator Shawn Pensoneau (non-career)	The Office of Native American Affairs (ONAA) ensures that American Indians, Alaska Natives and Native Hawaiians seeking to create, develop and expand small businesses have full access to the Agency's entrepreneurial development, lending, and procurement programs. ONAA focusses on developing world-class resources and tools to tribal entrepreneurs, tribal businesses, tribal enterprises and interested individuals aiding them in creating growth and sustainable markets.

OED Current Activities

- Administers annual award and oversight of cooperative agreements with resource partners including: SBDCs, WBCs, SCORE, as well as contracts that include, Emerging Leaders, and Regional Innovation Clusters and other initiatives, as assigned.
- InnovateHer Business Plan Competition (Year 4) Inactive for 2 years - pending
- AA of OED Designated lead for White House initiative for Historically Black Colleges and Universities (HBCU) partnerships (as of January 2017)
- Lead office on Ascent, an online women's digital learning platform, and responsible for day to day operations.
- Ongoing oversight of resource partners participation and outreach related to Opportunity Zones
- Implementing nationwide roll-out of the new Entrepreneurial Development Management Information System Next Generation (EDMIS-NG) Next Generation -NG

CFOI Current Activities

- Inform and equip religious organizations and non-profits to seamlessly navigate the PPP Loan Forgiveness process
- Create awareness of SBA's Center for Faith and Opportunity by producing webinars, newsletters, and content that will raise awareness of SBA programs and services in the faith community.
- Working with 2-year Historically Black Colleges and Universities to create a learning "ecosystem" that will allow them to build entrepreneurial incubators on their campuses.
- Institutionalizing faith and community outreach agency-wide by working with the Office of Field

Operations to appoint a faith and community outreach liaison in each District Office.

- **ONAA Activities**
- Native American Entrepreneurial Empowerment Workshops
- 7(j) Native American Micro Enterprise Business Services Projects
- Growth Accelerator Initiative
- White House Council on Native American Affairs
- Workforce Development & Education Subcommittee
- National COVID-19 State, Local and Tribal Response Team

FACA Boards

National SBDC Advisory Board

OED External Stakeholders

- America's Small Business Development Centers (ASBDC)
- Association of Women's Business Centers (AWBC)

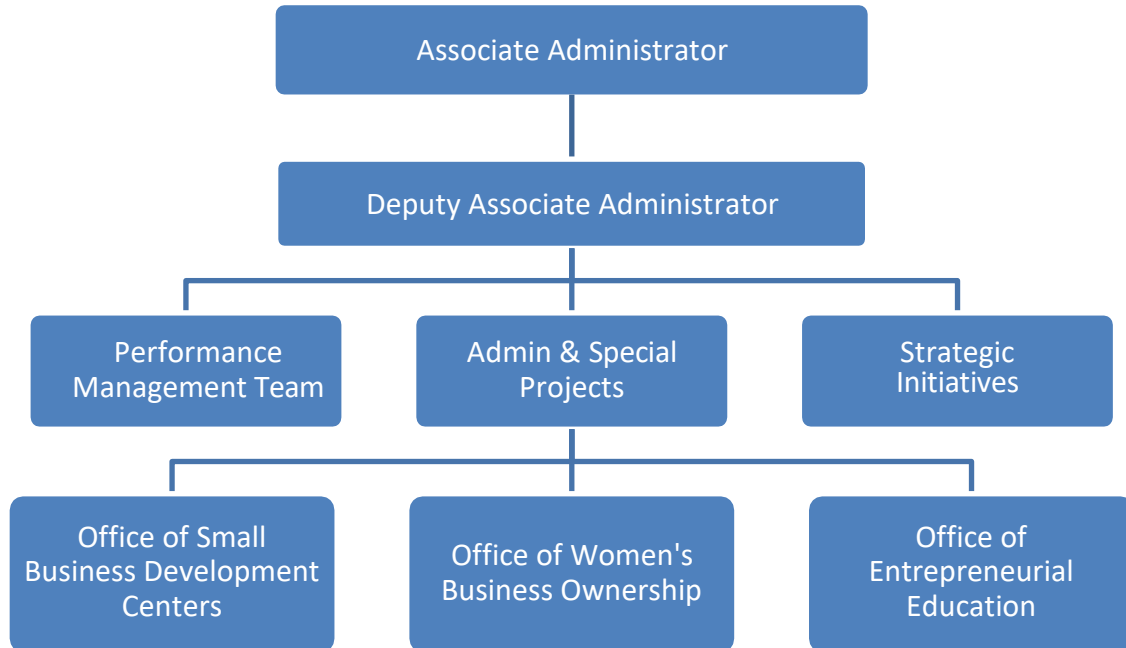
ONAA Stakeholders

- Native American Contractors Association
- United South & Eastern Tribes
- National Center for American Indian Enterprise Development
- The National 8(a) Association
- National Congress of American Indians
- Alaska Federation of Natives
- Native American Finance Officers Association
- Native American PTAC Network
- Tribal Governments, Alaska Native Corporations and Native Hawaiian Organizations
- Native American CDFI Network

Key Office Events Hosted/ Supported

- ASBDC Annual Meeting (September)
- AWBC Annual Meeting (September)
- SCORE Annual Meeting (August)

Organizational Chart:



Office of Government Contracting and Business Development (GCBD)

Office Description and Mission

The Office of Government Contracting & Business Development (GCBD) works to maximize participation by small, disadvantaged, veteran and woman-owned businesses in federal government prime contract and subcontract awards. The Office advocates on behalf of small businesses in the federal procurement marketplace. To foster an equitable federal procurement policy, the Office establishes government-wide small business goals in terms of a percentage of annual expenditure. The Federal Government is the largest procurer of goods and services in the world, spending over \$595 billion in FY 2019. These dollars represent a large opportunity, which was recognized by Congress when it established a minimum government-wide statutory goal of 23 percent for contract dollars to small businesses. The SBA provides oversight in federal contracting to ensure that this goal is achieved each year. Additionally, the Federal Government strives to award no less than 5 percent of contract dollars to both small disadvantaged businesses and women-owned small businesses, and no less than 3 percent of the contract dollars to both service-disabled veteran-owned small businesses and small businesses in Historically Underutilized Business Zone (HUBZone) locations. Agencies further establish goals for subcontracting to small businesses, including participants in the SBA's small business programs. Small businesses provide quality performance, innovation, agility, and competitive pricing. In return, the Federal Government helps sustain a healthy American small business infrastructure, which is vital to the health of the economy.

The SBA, in consultation with the Office of Management and Budget, has highlighted this Strategic Objective as making noteworthy progress. For the sixth consecutive year, the Federal Government surpassed its statutory prime contracting goal, leading the SBA to exceed its Priority Goal of 23 percent of federal contracting dollars going to small businesses. In FY 2018, the Federal Government awarded nearly \$121 billion in federal contracting dollars to small businesses, which is \$16 billion or 15 percent more than FY 2017. The Federal Government also surpassed its goal for service-disabled veterans (FY 2018 result of 4.27 percent) for the sixth consecutive year with more than \$20 billion in awards, and small disadvantaged businesses (FY 2018 result of 9.65 percent) with more than \$46 billion in awards. In FY 2018, the Federal Government awarded nearly \$23 billion in contracts to women-owned small businesses, which is a 10 percent increase from FY 2017, and nearly \$10 billion to small businesses located in HUBZone's, which represents a 35 percent increase from FY 2017. In addition, the SBA published a proposed rule in May 2019 to seek input and comments on certification of businesses in the Women-Owned Small Business (WOSB) and Economically Disadvantaged Women-Owned Small Business (EDWOSB) Programs.

Office Leadership

Associate Administrator	Dr. Francis Spampinato
Deputy Associate Administrator	Barbara Carson

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Front Office Dr. Francis Spampinato, Associate Administrator Barbara Carson, Deputy Associate Administrator	Handles strategic oversight and leadership for a team of five Senior Executives, human resource management, budget/financial management, performance management, data collection, strategic initiatives and special projects.

<p>Office of Government Contracting (GC) David Loines, Director Wallace Sermons, Deputy Director Thomas McGrath Deputy Director</p>	<p>Provides leadership and oversight to the 6 Government Contracting Area Offices and HQ Personnel on the following GC Programs: Prime Contracting Program, Subcontracting Assistance Program, Timber Set-aside Program, and the Women-Owned Small Business Program (WOSB). Conducts Procurement Center Representatives requirement reviews, counsels small businesses , conducts 30 Surveillance Reviews, conducts over 500 large prime contractor compliance reviews, reviews Certificate of Competency requests, completes Size Determinations ensuring that only eligible SB firms receive set-aside contracts, conducts Timber Surveillance Reviews, manages WOSB Certification Program, and trains federal agencies and constituents on the WOSB program.</p>
<p>Office of Business Development (BD) Dr. Donna Peebles Associate Administrator Van Tran Deputy Associate Administrator Stanley Jones Acting Director All-Small Mentor Protégé Program</p>	<p>The mission of the Office of Business Development is to execute activities authorized under Sections 8(a) and 7(j) of the Small Business Act. The office manages certification and eligibility and provides business development assistance to firms owned and controlled by economically and socially disadvantaged individuals, in order to enable them to participate more fully and successfully in the mainstream National economy. The goal is to prepare small disadvantaged firms for procurement and other business opportunities. It fulfills its mission through the following programs: The 8(a) Business Development Program is a robust 9-year program formalized by Congress to foster business ownership by socially and economically disadvantaged owners, promotes competitive viability of firms by providing such available contract, financial, technical, and management assistance as may be necessary, and clarify and expand the program for the procurement by the United States of articles, equipment, supplies, services, materials and construction work from small business concerns owned by socially and economically disadvantaged individuals. In FY2020 over 5,300 submissions for 8(a) certification were received.</p> <p>The statutory purpose of the 8(a) Program is to assist 8(a) Program participants to compete in the economy through business development. As of FY2020, there are 4,521 certified firms. The 8(a) program participants receive access to Federal sole source contracts valued up to \$7.5 million for manufacturing contracts and \$4.5 million for all other contracts. In FY 2019 Federal agencies used the 8(a) Program to award over 80,000 contract actions totaling over \$18 billion. Section 7(j) of the Small Business Act provides that management and technical assistance training shall be provided to eligible firms. This 7(j) training is not limited only for 8(a) certified firms. Eligibility includes small businesses owned and controlled by economically and socially disadvantaged individuals; small businesses located in areas of high unemployment or low income; small businesses owned by low income individuals; certified 8(a) participants; HUBZone small businesses, and economically disadvantaged women-owned small businesses. Over 73 training courses are delivered in multiple sessions across the Nation annually, and over 8,000 eligible firms complete 7j training every year.</p>

	<p>The SBA's Small Business Mentor Protégé program is a business development tool to enhance the capability of small business protégé participants to compete more successfully for federal business opportunities and contracts, and to develop into more viable long term partners for government agencies and private sector organizations.. In FY 2020 there are 1,495 active mentor protégé agreements. In FY2020 the SBA proposed to merge the 8(a) Mentor-Protégé Program with the All Small Mentor Protégé program (which began in 2017) to reduce duplicative program requirements and ease the burden on applicants. The final rule is to be published in the Federal Register early October 2020.</p>
<p>Office of Policy, Planning, and Liaison (OPPL) Vacant, Director Greg Burgess, Assistant Director Khem Sharma, Assistant Director</p>	<p>Ensures effective policy for all small business programs and is responsible for government contracting regulations, implements small business procurement legislation, establishes size standards, and negotiates and reports on federal agencies' prime small business contracting goals.</p>

<p>Office of the Historically Underutilized Business Zone (HUBZone) Program Lori Gillen, Director Bruce Purdy, Deputy Director</p>	<p>The HUBZone Program supports the development of under-resourced communities by providing small business with opportunities to compete for federal contracts. The Federal government has a goal to award at least 3% of Federal contracts to HUBZone certified firms. To obtain HUBZone certification, firms must be located in designated HUBZone community and employ at least 35% of its workforce from HUBZone communities. There are approximately 6423 HUBZone certified firms. The SBA is implementing comprehensive improvements to the program resulting from statutory changes designed to make it easier for small businesses and contracting officers to utilize the program. In FY 2020, the Agency implemented a final rule to allow state governors to petition for additional HUBZone designated areas. The program has an economic impact study underway and has developed an action plan to help federal agencies achieve the 3% statutory goal. The SBA completed an evaluation of the HUBZone Program to identify the factors and barriers in the contracting process that keep federal agencies from achieving their 3 percent statutory goal and In FY21 the Agency will draft its first annual report to Congress. on the impact of the HUBZone Program. will use the findings to support improvements to the HUBZone process and service delivery.</p>
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Current Activities

- Continue to update Certify.SBA.gov
- Introduce a full certification program for its Women-Owned Small Business and Economically Disadvantaged Women-Owned Small Business (EDWOSB) contracting programs to enact the requirements of the FY 2015 NDAA as of 10/15/20
- GCBBD is working with the U.S. Department of Veteran's Affairs (VA) to coordinate more aspects of each agency's Service-Disabled Veteran Owned Small Business Concern (SDVOSB) contracting program. The SBA currently oversees the government-wide program, while the VA oversees contracting through its Veterans First Contracting Program.
- Stand up an examination process in FY21 for every HUBZone firm that has not been certified or had an

- exam in 3 years (approximately 4000 firms)
- Continue 60-day processing for complete HUBZone applications
- Updating the HUBZone maps based on Disaster Declarations, Governor petitions, and 2020 Census updates
- Streamline HUBZone application submission timeframes
- Streamlining 8(a) and HUBZone business processes
- Merge the All-Small Mentor Protégé Program with the 8(a)-mentor program
- Roll out of Cybersecurity training for all 7j eligible firms
- OPPL will conduct its third study of WOSB/EDWOSB NAICS codes and data to help SBA determine additional NAICS codes in which WOSBs are underrepresented and substantially underrepresented in Federal contracting.
- GCBP is working with the Office of Program Performance, Analysis, and Evaluation on a special project to re-evaluate the Surveillance Review process by looking at the current processes and procedures that SBA deploys to assess whether contracting activities are adequately adhering to small business programs to better learn: (1) what aspects of the process lead to better outcomes; (2) what aspects of the current process could be adapted to be more effective and/or efficient; and (3) to understand the return on investment from agencies and contracting activities that have undergone SRs through examination of their performance in meeting their small business contracting goals in later years.
- GCBP is in the process of reassessing its PCR-to-Customer assignments in an effort to more closely align with our 24-CFO agencies to maximize the use of already available data, and to ensure even more consistency in future analysis and resource allocation.
- GCBP is revamping its Subcontracting Compliance Program through a phased approach to compliance, where we address (1) Subcontracting Reporting; (2) Subcontracting Plan Goal Attainment; and (3) Subcontracting Regulations. (private industry compliance)

FACA Boards

N/A

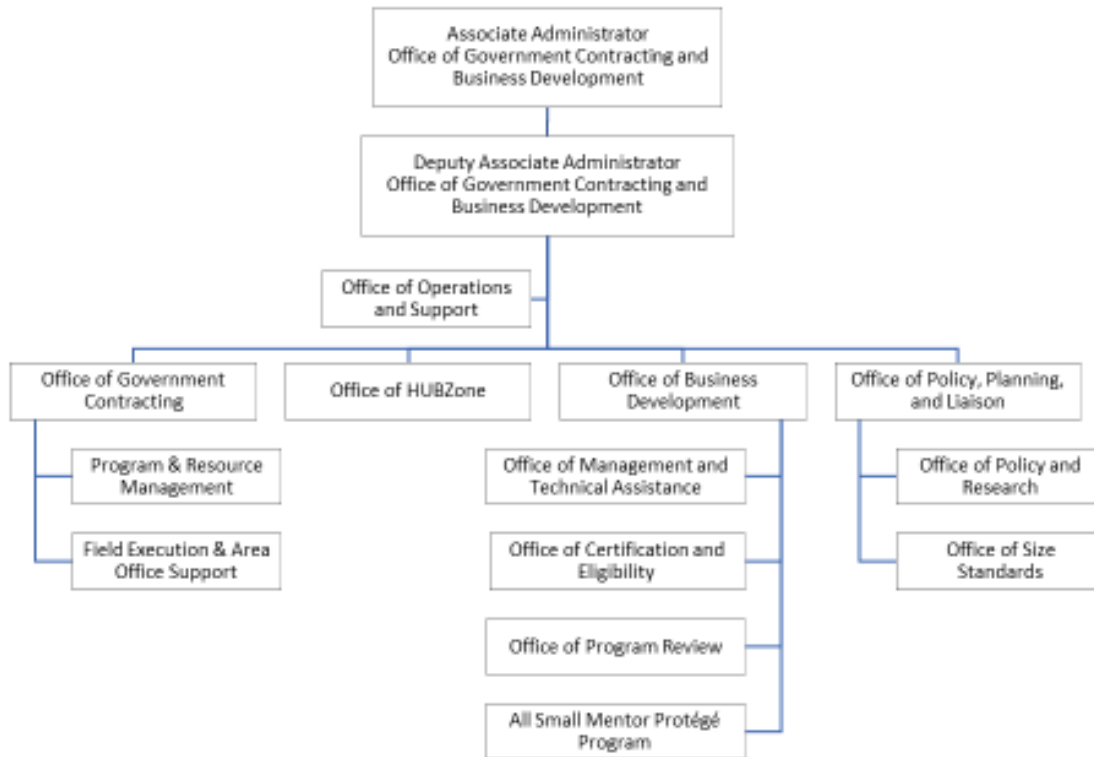
External Stakeholders

- Federal Agencies with Contracting Authority
- Small Business Industry and Special Advocacy Groups

Key Office Events Hosted/Supported

- ChallengeHER events
- SBA Annual Mentor Protégé Conference
- Monthly Small Business Procurement Advisory Committee meetings with OSDBUs
- Annual Small Business Professional Training in collaboration with Department of Defense
- HUBZone Contractors National Council – annual conference
- National 8(a) Winter & Summer Conferences
- National Veterans SB Conference with Department of Veteran Affairs
- Society of American Military Engineers SB Outreach Conference
- Other Federal Agency and Special Advocacy Group SB Outreach Events
- Women Impacting Public Policy
- SBA First Wednesday Virtual Learning Series
- SECAF (Small and Emerging Contractors Advisory Forum)

Office of Government Contracting & Business Development



For Official Use Only

OFFICE OF INTERNATIONAL TRADE (OIT)

Office Description and Mission

The Office of International Trade (OIT) enhances the ability of current and future small business exporters to succeed in global markets by expanding access to financing, counseling, training, and other export tools. Established by law, OIT is the lead coordinator and liaison for international trade activities and international engagement on behalf of SBA. OIT manages and coordinates key SBA programs and services to assist small businesses in increasing their ability to compete in international markets, which includes:

- Increasing access to long-term capital for the purchase of new plant and equipment used in the production of goods and services involved in international trade;
- Disseminating information concerning State, Federal, and private programs and initiatives to enhance the ability of small businesses to compete in international markets;
- Providing extensions of credit, standby letters of credit, revolving lines of credit for export purposes and other financing to enable small business concerns, including small business export trading companies and small business export management companies, to develop foreign markets.
- Ensuring that the interests of small businesses are adequately represented in bilateral and multilateral trade negotiations.

Office Leadership

Associate Administrator	Loretta Greene
Deputy Associate Administrator	Michele Schimpp
Director, International Trade Finance	Vacant
Director, State Trade Expansion Program (STEP)	Vacant
Director, Operations	James Parker
Director, Trade Policy	Christine Brown

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Trade Finance Division Vacant, Director	Promotes and manages SBA's core export loans to businesses and lenders, educating both on trade financing. The division consists of a director, three supervisory Regional Trade Finance Managers who oversee teams of Export Finance Managers who are co-located with Department of Commerce trade specialists at U.S. Export Assistance Centers around the country. The Export Finance Managers review eligibility and credit, as well as recommend approval of SBA guarantees on Export Working Capital loans up to \$5 million.

State Trade Expansion Program (STEP) Eddy Mayen, Director	STEP was made a permanent program in February of 2016 after having been authorized as a pilot in the Small Business Jobs Act of 2010. Grants are competitive and are provided to states and territories under cooperative agreements. The level of funding has varied between \$30 million and \$8 million over those years, with FY2020 funding being \$19 million which went to 48 States and Territories.
Trade Policy Christine Brown, Director	This division has become increasingly important as staff have actively engaged in trade negotiations to advance small business interests in the U.S. Mexico Canada Agreement, with a Chapter dedicated to Small and Medium Enterprises, and the U.S.-U.K. and Kenya negotiations.
Operations James Parker, Director	Strategic planning, performance management, data management, communications, and budget

Current Activities

- Promotion, management, and delivery of SBA's Export loan programs, which includes Export Working Capital, Export Express and International Trade Loans.
- Training lenders on trade and export financing and SBA's Export Loan Programs to grow lender usage. Training and counseling small businesses to make use of SBA products and services to promote exports. Use of digital and virtual marketing tools, including monthly newsletters and sba.gov/tradetools.
- Multilateral and bilateral engagement including active representation of small business interests in the on-going U.S.-U.K. and Kenya trade negotiations, and the U.S. Mexico Canada Agreement (USMCA) Committee on Small and Medium Enterprises.
- Opening market access support for small business through international cooperation activities advancing transparency and good regulatory practices, such as through the Prosper Africa initiative.
- Fielding and helping resolve trade barrier complaints from small businesses
- Cooperation with appropriate inter-agency coordination councils, including the Trade Policy Staff Committee (TPSC) of the Office the U.S. Trade Representative (USTR) and the Trade Promotion Coordinating Committee (TPCC), as well as relevant Federal advisory committees, such as the Trade Finance Advisory Council managed by the Department of Commerce.
- Certifying counselors from Small Business Development Centers having credentials on international trade.
- Managing the State Trade Expansion Program (STEP) grants for FYs 18, 19 and 20 to achieve a high return on investment through small business export sales.

FACA Boards

N/A

External Stakeholders

- U.S. based lenders to include regional and community banks.
- Small businesses engaged in exporting and those businesses interested in exporting.
- Sectors: Manufacturers; distributors; trading companies and services companies.
- State departments of economic development and/or international trade.

Key Office Events Hosted/ Supported

- Annual SBA Export Lender Roundtable.
- OIT Annual Training Conference.

Organizational Chart:



Office of Investment and Innovation (OII)

Office Description and Mission

The Office of Investment and Innovation (OII) provides financing capital, research and development (R&D) grants, and accelerator prizes in support of high growth small businesses. The Small Business Investment Company (SBIC) program licenses, regulates, examines, provides funding guarantees, and if needed, liquidates privately owned and professionally managed funds that provide financings, using privately raised capital and SBA-guaranteed leverage, to small businesses seeking growth capital. The program is operating at zero subsidy to the taxpayers. The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs stimulate technological innovation in the US economy through the investment of federal research and development (R&D) funds into innovative high-tech US small businesses. In 2014, SBA created the Growth Accelerator Fund Competition to draw attention and funding to parts of the country where there are gaps in the entrepreneurial ecosystem.

Office Leadership

Associate Administrator	Donald DeFosset, III
Deputy Associate Administrator	Vacant, Tom Morris, (Acting)

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Immediate/Front Office	OII's Immediate Office handles overall management, administration, strategic initiatives, policy, and special projects.
Office of Innovation and Technology John Williams	Oversees the SBIR/STTR agencies in their individual program implementations, provides policy guidance and directives as authorized by statute, reviews agency progress and performance, collects required reporting data, and reports annually to the U.S. Congress on program results. This office also manages the Growth Accelerator Competition and collects and analyzes the data received through this effort.
Office of Business Operations Marja Maddrie	Manages the budget, information technology, data management, and SBIC funding and administration for the office.
Office of Program Development Samuel J. Boyd, Jr	Program marketing/outreach and provides initial screening for SBIC applicants.
Office of Licensing & Program Standards Art Spivey	Oversees licensing for SBIC applicants and SBIC program standards related to accounting and reporting and Paperwork Reduction Act submissions.
Office of SBIC Operations Paul Salgado	Oversees monitoring of licensed SBICs. Operation analysts serve as the primary contact for SBIC licensees, processes all commitment and draw applications and monitors the portfolio.
Office of SBIC Examinations Heath Morris	Responsible for performing periodic on-site examinations on SBICs in order to determine whether licensees are in compliance, financial condition, and accuracy of information provided to SBA. SBICs by statute must be examined at least once every 2 years.
Office of SBIC Liquidation Tom Morris	Responsible for managing SBIC cases that have been transferred for either financial or regulatory reasons. Responsible for recovering SBA capital associated with transferred SBICs and disposing of assets.

Current Activities

1. Investment - SBIC Program

SBIC Regulatory Streamlining Rule:

Remove 18 regulations that are no longer necessary because they are obsolete, inefficient or redundant
Includes removing Preferred Stock, and the licensing of Specialized, Participating Securities, and Early Stage SBICs.

SBIC Modernization Rule:

Addresses all comments SBA received as part of the Regulatory Reform initiative. In response to comments received, SBA will 1) move regulations pertaining to special classes of SBICs (about 20% of regulations) to separate subpart; 2) clarify regulations; and 3) modernize regulations (fax machines, websites, emails, qualified purchaser funds, qualified line of credit), lessens some requirements for Non-leveraged Licensees (allow use of GAAP valuation policy).

Technote 7b Management Fees: Provides clarifications regarding management fee expenditures of SBICs.

Scorecard: Improve oversight tools an assessment process for identifying and following up on SBICs at risk. Partly as a result of COVID-19 impacts, the SBIC portfolio has 23% of its leverage (highest) rated moderate or high, based on June 2020 financials.

IT Initiatives: 1) Create Licensing portal to help streamline and provide greater trans parity for applicants.
2) Fortify, increase reliability, and make other improvements to automate, provide greater tools, and provide a complete information system.

2. Office of Innovation and Technology

- a. SBIR and STTR Reauthorization Act
- b. Annual Report
- c. Updating Policy Directive
- d. Growth Accelerator Competition
- e. Federal and State Technology (FAST) awards
- f. SBIR.gov development and maintenance (Comprehensive business intelligence gateway platform)

FACA Boards

The AA is a member of SEC's Advisory Committee on Small and Emerging Companies.

External Stakeholders

Besides small businesses, the following are external stakeholders by program:

1. Investment - SBIC Program

- a. SBIC Managers/General Partners
- b. SBIC Limited Partners/Investors
- c. Small Business Investment Alliance (SBIA)
- d. SBIC law firms, accounting firms, and other service providers

2. Office of Innovation and Technology

- a. SBIR and STTR Participating Agencies:
 - o Department of Defense

- Department of Health and Human Services
 - i. National Institutes of Health
 - ii. Centers for Disease Control & Prevention
 - Department of Energy
 - National Aeronautics and Space Administration
 - National Science Foundation
- b. SBIR Participating Agencies Only:
- Department of Agriculture
 - Department of Commerce
 - i. National Institute of Standards and Technology
 - ii. National Oceanic and Atmospheric Administration
 - Department of Education
 - Department of Homeland Security
 - Department of Transportation
 - Environmental Protection Agency
- c. Growth Accelerators: <https://www.sba.gov/offices/headquarters/ooi/resources/1428931>

Key Office Events Hosted/ Supported

1. Investment - SBIC Program

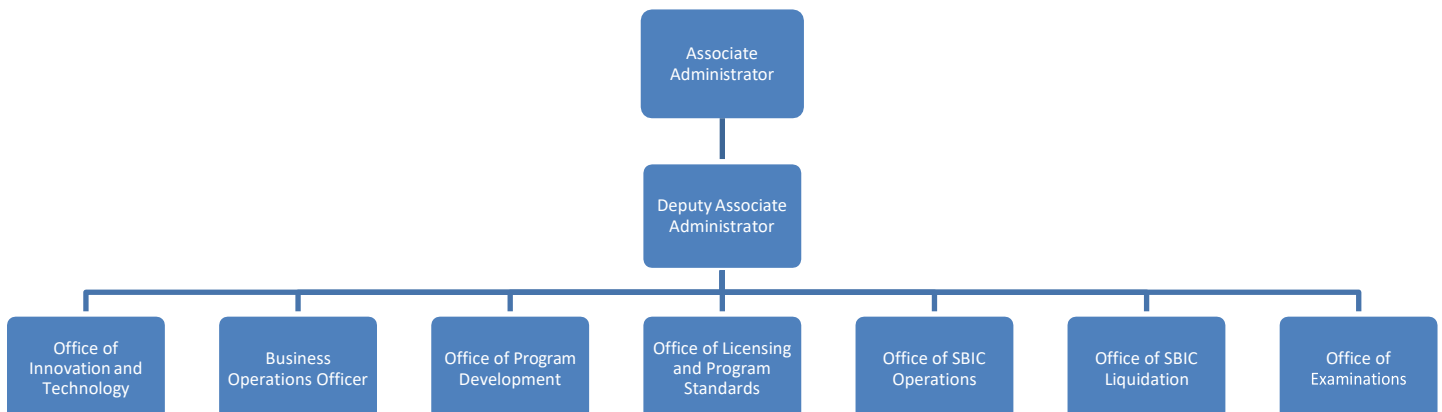
SBA is increasing communication with the Private Equity Industry and SBIC Participants. The Office of Investment intends, in coordination with the Small Business Investor Alliance, to launch quarterly Program News Updates with accompanying Q&A sessions. SBA is also considering hosting annual regulations training in conjunction with the Small Business Investor Alliance.

The Office of Investment and Innovation intends to explore possible activities with ILPA regarding diversity and inclusion for underserved markets.

2. Office of Innovation and Technology

- a. SBIR Road Tours
- b. National SBIR/STTR Conference
- c. Regional SBIR/STTR Innovation Summits
- d. SBIR/STTR Workshops
- e. SBIR Online Course Tutorial Program via www.sbir.gov
- f. SBIR/STTR Webinar Programs

Organizational Chart:



Office of Veterans Business Development (OVBD)

Office Description and Mission:

The Office of Veterans Business Development (OBVD) leverages all SBA programs and resources to empower veterans, active duty service members, National Guard and Reserve members, and military spouses at every stage of business ownership.

Office Leadership

Associate Administrator	Larry Stubblefield
Deputy Associate Administrator	Timothy Green

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Veterans Business Outreach Center Program Ray Milano	Administers SBA's Veterans Business Outreach Center (VBOC) Program. 22 VBOCs across the U.S. provide entrepreneurial development training and counseling to veterans, members of the Reserve and National Guard, military spouses, and active duty service members who aspire to start or grow a small business. VBOCs are the primary delivery partner for the Boots to Business program.
Veterans Programs Laura Wages	Administers SBA's Boots to Business (B2B) and Veteran Entrepreneurship Training Programs (ETP). B2B is an element of DoD's Transition Assistance Program (TAP). B2B has served over 123,000 service members and military spouses on over 200 military installations around the world, since January 2013. ETPs focus on Women Veterans, Service-Disabled Veterans and Veteran Federal Procurement training.
Policy and Engagement Stan Kurtz	Responsible for coordinating the activities of 2 FACA committees, monitoring veteran entrepreneurship policy development, conducting OVBD marketing, outreach and engagement strategies and for maintaining collaborative relationships with veteran entrepreneur stakeholders.

Current Activities

- Administering 30 grants in support of veteran entrepreneurship including 22 VBOCs, 4 Service-Disabled Veteran Entrepreneurship Training Programs (SDVETP), 3 Women Veteran Entrepreneurship Training Programs (WVETP) and a Veteran Federal Procurement Entrepreneurship Training Program (VFPETP).
- Providing Veteran Business Outreach Center (VBOC) counseling and training support to veteran-owned small business recovering from the COVID-19 pandemic.
- Concurrently delivering B2B curriculum virtually and in-person while transitioning B2B online curriculum to a new DoD Learning Management System.
- Partnering with private, nonprofit and academic stakeholders to deliver veteran entrepreneurship programming across the United States.
- Planning for National Veterans Small Business Week including collaboration with SBA offices (including OFO), other federal agencies, and veteran service organizations.
- Conducting training for the 2nd cohort of the Veteran Owned Small Business Growth Training Pilot Program.
- Completing the OVBD Strategic Workforce and Succession Planning Project.
- Conducting robust engagement and outreach via social media, in-person events, webinars, and online content.

FACA Boards

- Advisory Committee on Veteran Business Affairs (meets minimum 3 times/year at HQ SBA)
- Interagency Task Force on Veteran Small Business Development (meets quarterly at HQ SBA)

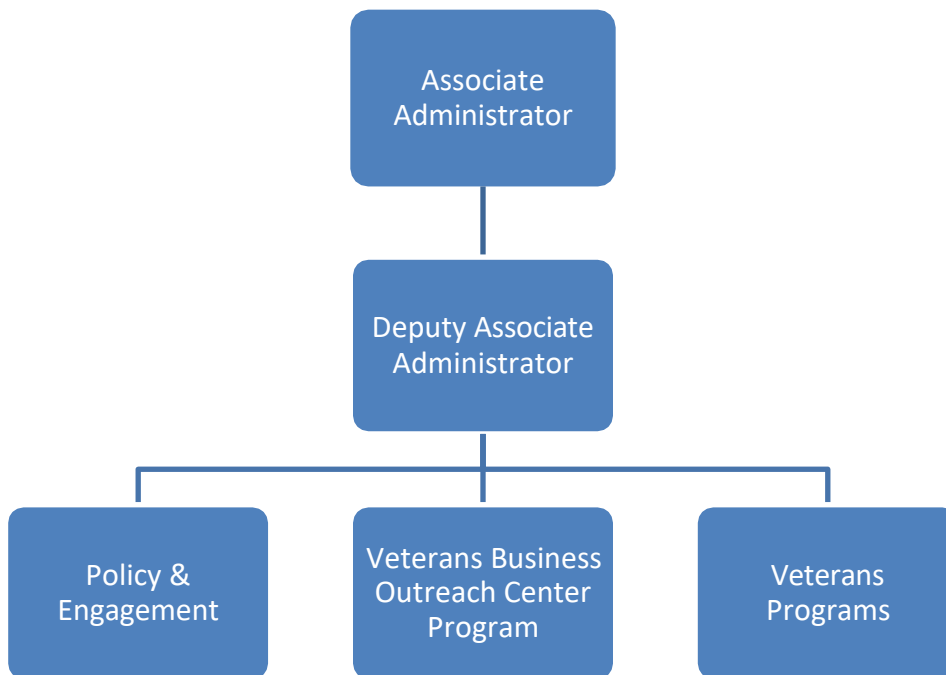
External Stakeholders

- OVBD coordinates with over 150 stakeholders including:
 - Other governmental agencies (DoD, VA, DOL, etc....)
 - Veteran Service Organizations (American Legion, VFW, etc...)
 - U.S. Chamber of Commerce Hiring Our Heroes Foundation
 - Educational institutions (Syracuse University's Institute for Veterans and Military Families (IVMF), Oklahoma State, St. Joseph's University)
 - Private corporations (USAA, First Data, etc....)

Key Office Events Hosted/ Supported

- National Veterans Small Business Week (first week of November each year) www.sba.gov/vetbiz

Organizational Chart



Office of Communications and Public Liaison (OCPL)

Office Description and Mission

The Office of Communications and Public Liaison (OCPL) has the principal responsibility for developing and implementing effective external and internal communications strategies to ensure that SBA's mission, programs, services, and initiatives are articulated clearly and consistently to the public and the small business community. OCPL supports field and program offices with the planning and implementation of effective communications strategies. OCPL plays the chief role in articulating, explaining and promoting the Agency's policy and goals to the national news media.

Office Leadership

Associate Administrator	Jim Billimoria
Deputy Associate Administrator	Erin McCracken
Deputy Associate Administrator	Vacant

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Immediate/Front Office	Oversees the work of the department's constituent divisions in support of Administrator and Agency priorities. Speechwriters draft and edit speeches for agency officials. Most speeches are for the Administrator and Deputy Administrator, but other agency leaders occasionally require speechwriting support.
Office of Strategic Alliances	The Office of Strategic Alliances creates external relationships with organizations and individuals to amplify the SBA's resources and better serve more American small businesses.
Office of Marketing and Customer Service	The Office of Marketing and Customer Service (OMCS) creates, implements and evaluates the marketing and outreach programs of the SBA. OMCS equips its network of field offices with marketing materials and tools to help them educate and assist the small business community to start up, grow, and succeed. Housed within the Office of Communications and Public Liaison (OCPL), OMCS works collaboratively with the other functional units within OCPL, field staff, and the program offices at Headquarters to maximize marketing efforts to promote the Agency's many products and services.

Office of Online Media	Online Media oversees the mission of developing and implementing the agency's digital communications strategy for both SBA.gov and the agency's social media sites. The office is responsible for deploying and maintaining over 100 agency websites through helpdesk support, content management training, and Web and content development. Working with program offices, the Office of Online Media develops digital campaigns that leverage SBA's diverse and sizable digital audience via SBA.gov and its social platforms, including Facebook, Twitter and YouTube. The office is active in analyzing metrics, use cases, and usability testing to inform decisions on high-impact Web projects. The office also develops and manages online tools that streamline small business activities and oversees the back-end infrastructure for SBA.gov, including hosting and disaster recovery.
Office of the Press	Press Office Mission: The Press Office Team coordinates public and media communications for the agency and SBA program offices, and develops communications plans for the effective execution of agency initiatives. Develops national news releases, statements for the media, letters to the editor, opinion-editorials, talking points and other information materials released through a variety of media; Coordinates responses to inquiries from major national news outlets; Coordinates media interviews, press conferences and the dissemination of public affairs information; Develops media outreach strategies and successfully pitch story and interview ideas to the media.

Current Activities

- National Small Business Week
- Small Business Saturday
- SBA.gov, @SBAGov
- Gateway (intranet)
- SBA Daily publication
- SBA Daily news clippings
- PIO training conference
- Internal campaigns
- Communications Research & Marketing Support BPA
- External Alliances

FACA Boards

N/A

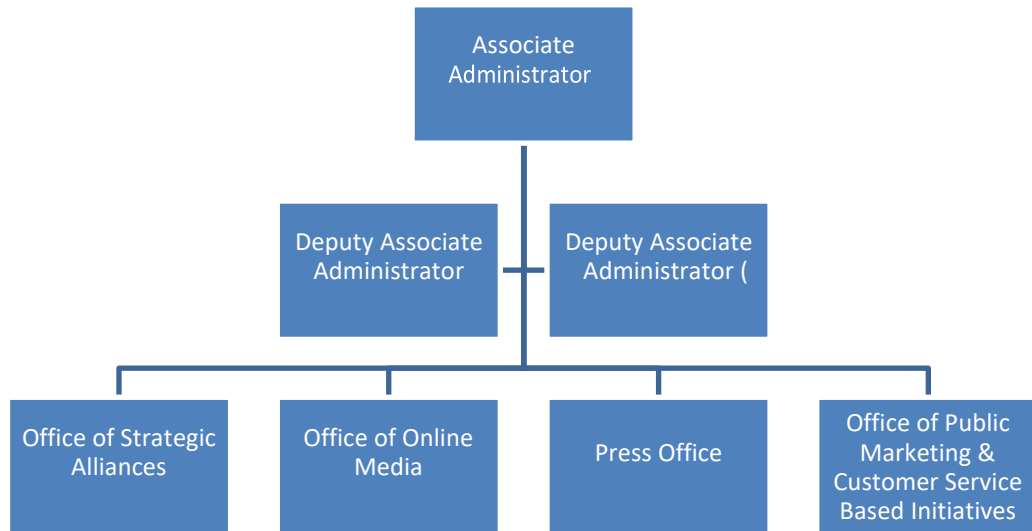
External Stakeholders

N/A

Key Office Events Hosted/ Supported

- National Small Business Week
- Small Business Saturday

Organizational Chart:



Office of Congressional and Legislative Affairs (CLA)

Office Description and Mission

The Office of Congressional and Legislative Affairs (OCLA or CLA) initiates, develops, coordinates, and maintains relationships between SBA, the U.S. Congress, and other U.S. government agencies concerning legislative and executive branch activities affecting the small business community. CLA serves as the liaison for SBA on all legislative and congressional activities with Congress, including federal appropriations and committee oversight, and assists in the development and enactment of SBA legislative proposals as defined in the annual Congressional Budget Justification . CLA also serves as the primary point of contact for agency interaction with the U.S. Government Accountability Office (GAO). The Associate Administrator for CLA reports directly to the Administrator in carrying out this mission.

Office Leadership

Associate Administrator	Mike Hershey
Deputy Associate Administrator	Kevin Talley

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Front Office & Program Offices	Handles direct contact with Congress on all legislative matters. This includes building, maintaining, and establishing relationships with congressional leadership and appropriate oversight committees.
Constituent Staff	Works with Congressional Members on constituent requests as well as SBA District Offices on event requests.
Legislative Analysis	Works with internal SBA program offices to provide timely reports to congress and responses to CBO and OMB.

Current Activities

CLA regularly monitors all activity in the House and Senate Small Business Committees; the annual appropriations process through the House and Senate Financial Services and General Government (FSGG) Appropriations Subcommittee; small business related legislation coming before the U.S. House of Representatives or the U.S. Senate; and the annual National Defense Authorization Act (NDAA). CLA also coordinates all agency interaction and activity with GAO.

See Section IX. Congressional Relations and Issues for more information.

FACA Boards

N/A

External Stakeholders

N/A

Key Office Events Hosted/ Supported

National Small Business Week (w/ OCPL)

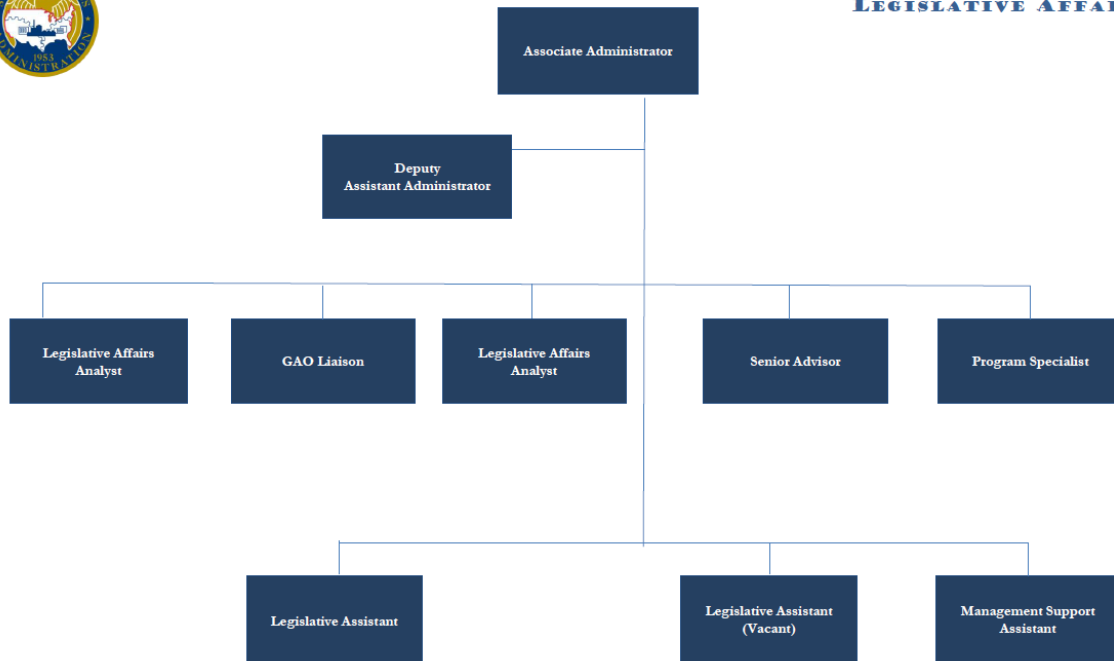
SBIR/STTR Road Tour (w/ OII)

National Veterans Small Business Week (w/ OVBD)

Organizational Chart:



OFFICE OF CONGRESSIONAL AND LEGISLATIVE AFFAIRS



Office of Field Operations (OFO)

OFO/Headquarters:

Los Angeles, CA and Washington, DC – Duty Station

Office Description and Mission:

The Office of Field Operations (OFO) is the organizational unit of the SBA responsible for the direct execution of the Agency's products and services for America's small businesses. Our role is to primarily assist America's small businesses by increasing and improving access to capital, federal contracting opportunities, entrepreneurial development, and disaster assistance.

Office Leadership

Associate Administrator	Michael Vallante
Deputy Associate Administrator	Victor Parker, DAA
Director, Business Operations Officer	Steven Dixel
Director, Program Oversight	Gregory Hall

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Immediate/OFO (HQ)	Handles Business Operations: Administration, Budget Formulation and Execution, Funding for Contracting, Financial Exams, Performance Management and Loan Reporting, Implementation of the Agencies Strategic Objectives and special projects.
68 District Offices and 10 Regional Administrators	OFO leads and supports all necessary functions and operations of SBA's 10 Regions and 68 District Offices.

Current Activities:

- Implementation of the FY21 Budget.
- Implementation of new position descriptions for new employees, and training for existing employees to assume new positions in the future.
- Creation and modifications of field report system called GMATT to capture activities of field personnel on a consistent and accurate basis.
- Development of district office plans for FY 21.
- Constituent service for businesses, elected officials, business groups and organizations and the local media regarding PPP, EIDL, Forgiveness.
- Withing the OFO developing and running a Rural Affairs Office which outreaches specifically to rural communities and rural businesses using our Rural Affairs Director and a cadre of rural district directors.
- Integrating Regional Communication's Directors to assist District Offices and Reginal Administrator's in effectively communicating SBA messaging into local areas.
- Identifying the large and diverse number of PPP success stories in each region.
- Using technology amidst a pandemic and shuttered district offices for several months to do training and provide information on PPP applications; EIDL applications; other SBA resources like Women's Business Centers and VBOC's; PPP Forgiveness, etc.
- Participating in numerous Congressional, state and local elected officials Town Halls to discuss the CARES Act.

- Liaison with:
 - OED on Opportunity Zones; HBCU's; SBDC's and other resource partners
 - OCA on changes to SBA loan programs and IFR's regarding PPP
 - ODA on assisting on EIDL loans and EIDL reconsiderations.
 - GCBD on assistance with government contracting opportunities; development and implementation of CERTIFY, and compliance requirements for company certifications.
- Underserved market outreach to Women, Rural, Hispanic, African-American, Asian American communities
- Increasing external engagement with new entrepreneurship providers like Accelerators and Incubators – including encouraging office hours at these locations
-

Working with Veteran's Business Outreach to continue Boots to Business and to highlight Military spouses opening small businesses.External Stakeholders:

- Agency-wide events with multiple key stakeholders and organizations at the enterprise level to support capital, contracting, counseling and disaster assistance.
- Asian American Chambers of Commerce
- Black Chambers of Commerce
- HBCU's across the country
- Hispanic Chambers of Commerce
- LGBT Chambers of Commerce
- Rural Affairs activity throughout rural America.
- Non—ethnically or racially specific Chambers of Commerce; Manufacturing Associations; Banking Associations; and faith based community as well as Native-American community in certain areas of the country.

Organizational Chart:



SBA REGIONAL OFFICES

HQ Washington, DC | Headquarters



Field Offices (Overview)

HIGH LEVEL OVERVIEW OF DISTRICT OFFICE WORK

DISASTER RESPONSE & COVID RECOVERY

- Represent SBA as needed when local disasters occur
- Collaborate with SBA Office of Disaster Assistance, local and state disaster officials, and FEMA
- Participate in meetings & events with a wide variety of stakeholders regarding Disaster response, and recovery
- Answer hundreds of emails and calls per day per district regarding issues and questions about EIDL loan applications, reconsiderations, and fraud,
- Conduct PPP webinars and trainings with lenders, businesses, elected officials & other stakeholders
- Respond to congressional inquiries about EIDL issues & applications
- District staff have detailed (60-120 days) to Office of Disaster Assistance to support ODA
- Implement on the District Level the Agency's Reconstitution Plan
- Participate in virtual town hall meetings with elected officials, representative groups like CPA's, stakeholder groups, organizations such as Chambers of Commerce, business, manufacturing, hospitality industry and the service industry regarding recovery and renewal post-pandemic.

MARKETING & MEDIA

- Create earned media opportunities through District press releases & local pitches
- Respond to local press inquiries
- Distribute national SBA press releases
- Develop & manage local content on District social media accounts and webpages
- Identify and create local success stories to showcase impacts of SBA programs
- Develop & manage content for annual District Resource Guide
- Create local media opportunities to support VIP visitors to District including Administrator
- Develop marketing materials for SBA events including fliers, Eventbrite, and GovDelivery posts

OUTREACH AND TRAINING

- Develop and implement local & regional outreach and training events to showcase SBA programs
- Provide local support to program offices for deployment of new initiatives (Ascent)
- Create District level events for SBA flagship annual initiatives:
- Small Business Saturday
- National Small Business Week
- Women's History Month
- Veteran's Small Business Week
- International Trade Month

SUPPORT CURRENT & LEGACY SBA PRIORITIES

- Boots to Business
- Boots to Business Reboot
- 7j Training
- Increasing rural and HUBZone loan volume
- Small Business Awards Presentations both in person and virtually
- Growth Accelerator Grant Presentations
- National Veterans Small Business Week
- PRIME Grant Presentations
- HBCU events

- Local, state, and regional lender trainings
- Disaster Prevention & Readiness Training
- National Asian American and Pacific Islanders Outreach and Training
- Manufacturing Summits
- Exporting and International Trade seminars
- Opportunity Zone Meetings, roundtables, and events
- USMCA and Trade Agreement meetings, roundtables, and events
- Federal Executive Board collaboration
- Rural Strong events & joint rural events with USDA
- AARP Collaboration for Encore Entrepreneurs (Age 55+ post retirement business owners)
- LGBT outreach & training
- Business Smart outreach & Training with FDIC
- Youth entrepreneurship programs with local high schools
- ChallengeHER events for women business owners
- Emerging Leaders Recruitment, 7-month training, Graduation, and follow up
- FEDS Feed Families
- Growth Accelerator Presentations
- InnovateHER events
- SBIR/STTR Road Shows
- Administrator Visits

SUPPORT SBA PROGRAM OFFICES

- Complete Compliance Goals – HUBZone Site visits, 8a reviews, Microlender reviews, CDC Annual Report reviews, SBDC proposal reviews, SBDC site reviews, WBC site reviews, SCORE Chapter reviews
- Participate in reviews as requested by SBA HQ – OMB reviews, OIG reviews, and GAO reviews
- Serve as local eyes and ears for program offices
- Amplify SBA program opportunities such as grant announcements, roll out of new initiatives and identifying success stories
- Provide local interface and SBA presence for Emerging Leaders, Boots to Business, & Reboot
- Provide technical support and training to resource partners (SCORE, SBDC, WBC, VBOC)
- Conduct lender training and provide ongoing lender support
- Recruit new lenders, grantees, and partners for SBA programs
- Respond to data calls for local information needed by Regional & HQ Offices
- Assist OCPL with responding to national media inquiries

EXTERNAL STAKEHOLDER RELATIONS

District offices develop and maintain excellent relationships with wide variety of stakeholders and external partners. District staff identify new partners, meet with them, train them on SBA programs and develop opportunities to do joint events and activities. SBA stakeholders include:

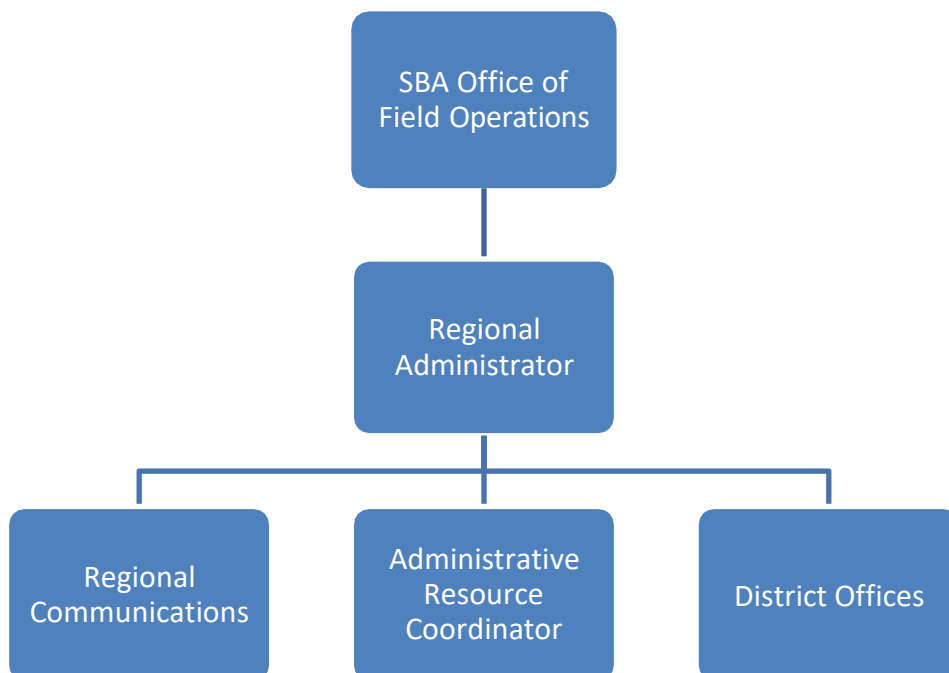
- Federal, state, and local elected officials
- SBA lenders in District including 7a, 504, CDC, and microlenders
- SBA Resource partners (SCORE, SBDC, WBC, VBOC, and PTAC)
- SBA grantees
- Chambers of Commerce including state, local, and specialty (women, minority, etc.)
- Faith based organizations and leaders
- Federal, state, and local government agencies
- Colleges & universities

- Industry associations with a focus on manufacturing, women, veteran, & minority business
- Banking industry trade groups, and associations

MANAGE SBA DISTRICT INFRASTRUCTURE

- Maintain & secure District office leased space, furniture, IT equipment, cars
- Oversee District office operations, safety, and security
- Hire, fire, and retire staff
- Responsible for payroll, purchasing, budget, travel, & HR
- Ensure staff are ready and trained
- Maintain positive & effective employee and union relationships
- Strategically deploy SBA staff resources to meet local needs & opportunities

Organizational Chart:



OFO/Region I:

Boston, MA – Regional Office Location

Office Description and Mission:

Region I: Administers the delivery of SBA’s small business programs and services throughout New England including Massachusetts, Connecticut, Rhode Island, Vermont, New Hampshire and Maine and promotes the agency, which focuses on access to capital, contracting and counseling and training services for small businesses.

Office Leadership

Regional Administrator	Wendell Davis, Esq.
Regional Communications Director	Joan Trudell
Regional Administrative Resource Coordinator	Tenita Williamsaims

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Massachusetts District Office , Robert Nelson, District Director Connecticut District Office , Catherine Marxt, District Director Rhode Island District Office , Mark Hayward, District Director Vermont District Office , Darcy Carter, District Director New Hampshire District Office , Rachel Roderick (Acting) Maine District Office , Amy Bassett, , District Director	Regional Office handles performance management, data collection, strategic initiatives and special projects. Manages the SBA program and service delivery of six district SBA offices and one branch office location and 3 Alternate Work Sites.
Region 1 District Offices	Oversees the activities of 113 SBA-funded counseling and training centers in the region, which include 73 small business development centers; 28 SCORE chapters, 10 women’s business centers, and a regional veteran’s business development center and the US Export Assistance Center. Administers oversight of five SBA grant-supported jobs accelerators of clustered industries.

OFO/Region II:

New York, NY – Regional Office Location

Office Description and Mission:

Region II: Administers the delivery of SBA’s small business programs and services throughout New York, New Jersey, Buffalo, Puerto Rico and The Virgin Islands and promotes the agency, which focuses on access to capital, contracting and counseling and training services for small businesses.

Office Leadership

Regional Administrator	Steve Bulger
Regional Communications Director	Matt Coleman
Regional Administrative Resource Coordinator	Denise Galgano

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Buffalo District Office , Frank Sciortino, District Director New Jersey District Office , Alfred Titone, District Director New York District Office , Beth Goldberg, District Director Puerto Rico/VI District Office , VACANT Syracuse District Office , Bernard Paprocki, District Director	Regional Office manages five district offices , 5 branch office locations, and one Post of Duty.
Region II District Offices	Oversees the activities of 74 SBA-funded counseling and training centers in the region this includes 24 Score Chapters, 39 small business development centers, 10 women business centers and 1 regional veteran’s business development center. 2 Procurement Technical Assistance Centers – not SBA funded – considered resource partners

OFO/Region III:

King of Prussia, PA – Regional Office Location

Office Description and Mission:

Region III administers the delivery of SBA’s small business programs and services throughout Pennsylvania, Virginia, Maryland, Delaware, West Virginia and Washington D.C. and promotes the agency, which focuses on access to capital, contracting and counseling and training services for small businesses.

Office Leadership

Regional Administrator	Vacant. Steve Bulger, Acting
Regional Communications Director	Christopher Hatch
Regional Administrative Resource Coordinator	Brenda Jones

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
East Pennsylvania District Office , Steve Dixel, District Director West Pennsylvania District Office , Kelly Hunt District Office, District Director Delaware District Office , John Fleming, District Director Maryland District Office , Steve Umberger, District Director Virginia District Office , Carl Knoblock, District Director West Virginia District Office , Karen Friel, District Director Greater Washington D.C. District Office , Antonio Doss, District Director	Regional office is responsible for delivery and management of SBA’s small business programs, financial assistance, and business development initiatives and handles all performance management, data collection and strategic initiatives. Serves a population of nearly 30 million in seven district offices throughout the Mid-Atlantic Region overseeing more than 143 SBA offices, SCORE chapters, Business Development Centers, and other resources while managing field staff loan, business, community outreach specialists and support personnel. Work with local lenders and successful firms across the region, overseeing more than \$34 billion in federal government contracts for goods and services purchased from local entrepreneurs.
Region 3 District Offices	Oversees the activities of 132 SBA-funded counseling and training centers in the region, which include 88 small business development centers; 34 SCORE chapters, 8 women’s business centers, and 2 regional veteran’s business development center Administers oversight of 21 SBA grant-supported jobs accelerators of clustered industries.

OFO/Region IV:

Atlanta, GA – Regional Office Location

Office Description and Mission:

Region IV administers the delivery of SBA's small business programs and services throughout Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee and promotes the agency, which focuses on access to capital, contracting and counseling and training services for small businesses.

Office Leadership

Regional Administrator	Vacant
Regional Communications Director	Lola Kress
Regional Administrative Resource Coordinator	Tawana Farley

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Alabama District Office , Thomas (Tom) Todt, District Director Georgia District Office , Terri Denison, District Director Kentucky District Office , Robert Coffey, District Director Mississippi District Office , Janita Stewart, District Director North Carolina District Office , Thomas Stidht, District Director North Florida District Office (Jacksonville), Laketa Henderson, Acting District Director South Carolina District Office , Gregg White, District Director South Florida District Office (Miami), Victoria Guerrero, District Director Tennessee District Office , LaTanya Channel, District Director	Regional Office handles performance management, data collection, strategic initiatives and special projects. Manages the SBA program and service delivery of nine district SBA offices and one branch office location.
Region 4 District Offices	Oversees the activities of SBA-funded counseling and training centers in the region, which include small business development centers; SCORE chapters, women's business centers, and counseling over 200,000 entrepreneurs per year.

OFO/Region V:

Chicago, IL – Regional Office Location

Office Description and Mission:

Region V administers the delivery of SBA’s small business programs and services throughout Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin while promoting the agency, which focuses on access to capital, contracting counseling and training services for small businesses.

Office Leadership

Regional Administrator	Robert Scott, Esq.
Regional Communications Director	Andrea Roebker
Regional Administrative Resource Coordinator	Latrice Thomas

Major Components/Program Offices

Cleveland District Office , Gil Goldberg, District Director Columbus District Office , Everett Woodall, District Director (Acting) Illinois District Office , Robert ‘Bo’ Steiner, District Director Indiana District Office , Stacey Poynter, District Director Michigan District Office , Constance Logan) Minnesota District Office , Brian McDonald District Director Wisconsin District Office , Eric Ness, District Director	Regional Office handles performance management, data collection, strategic initiatives and special projects. Manages the SBA program and service delivery of 7 district SBA offices and three branch office locations.
Region V District Offices	Oversees the activities of 171 SBA-funded counseling and training centers in the region, which include 101 small business development centers; 54 SCORE chapters, 14 women’s business centers, and 2 veteran’s business outreach centers Administers oversight of 24 (2 are repeat winners) SBA grant-supported growth accelerators.

OFO/Region VI:

Dallas/Fort Worth, TX – Regional Office Location

Office Description and Mission:

Region VI administers the delivery of SBA’s small business programs and services throughout Arkansas, Louisiana, New Mexico, Oklahoma and Texas while promoting the agency, which focuses on access to capital, contracting, counseling and training services for small businesses.

Office Leadership

Regional Administrator	Justin Crossie
Regional Communications Director	Darla Booker
Regional Administrative Resource Coordinator	Virginia Geary

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Arkansas District Office , Linda Nelson, District Director Dallas District Office , Herb Austin, District Director El Paso District Office , Dante Acosta, District Director Houston District Office , Tim Jeffcoat, District Director Louisiana District Office , Michael Ricks, District Director Lower Rio Grande Valley District Office , Angela Burton, District Director <ul style="list-style-type: none"> Corpus Christi Branch Office West Texas District Office , Calvin Davis, District Director New Mexico District Office , John Garcia, Acting District Director Oklahoma District Office , John Veal, District Director San Antonio District Office , Anthony Ruiz, District Director	Regional Office handles performance management, data collection, strategic initiatives and special projects. Manages the SBA program and service delivery of 10 district SBA offices and one branch office location.
Region VI District Offices	Oversees the activities of 133 SBA-funded counseling and training centers in the region, which include 86 small business development centers; 30 SCORE chapters, 14 women’s business centers, and 3 veteran’s business outreach centers. Administers oversight of 21 SBA grant-supported growth accelerators.

OFO/Region VII:

Kansas City, MO – Regional Office Location

Office Description and Mission:

Region VII administers the delivery of SBA’s small business programs and services throughout Missouri, Kansas, Nebraska and Iowa and promotes the agency, which focuses on access to capital, contracting and counseling and training services for small businesses.

Office Leadership:

Regional Administrator	Thomas Salisbury
Regional Communications Director	June Teasley
Regional Administrative Resource Coordinator	Judith James

Major Components/Program Offices:

Office/Component & Key Leader	Brief Description & Key Statistics
Wichita, Kansas District Office , Wayne Bell, District Director Kansas City District Office , Malcolm Richards, District Director St. Louis District Office , Maureen Brinkley, District Director Iowa District Office , Jayne Armstrong, District Director Nebraska District Office , Leon Milobar, District Director	Regional Office handles performance management, data collection, strategic initiatives and special projects. Manages the SBA program and service delivery of five district SBA offices and two branch office locations.
Region 7 District Offices	Oversees the activities of 100 SBA-funded counseling and training centers in the region, which include 74 small business development centers; 23 SCORE chapters, four women’s business centers, and a regional veteran’s business development center Administers oversight of five SBA grant-supported jobs accelerators of clustered industries.

OFO/Region VIII:

Denver, CO – Regional Office Location

Office Description and Mission:

Region VII administers the delivery of SBA's small business programs and services throughout Colorado, Montana, North Dakota, South Dakota, Utah and Wyoming and promotes the agency, which focuses on access to capital, contracting and counseling and training services for small businesses.

Office Leadership:

Regional Administrator	Honorable Daniel Nordberg
Regional Communications Director	Chris Chavez
Regional Administrative Resource Coordinator	Carol Helm

Major Components/Program Offices:

Office/Component & Key Leader	Brief Description & Key Statistics
Colorado District Office , Frances Padilla, District Director Montana District Office , Brian Donnelly District Director North Dakota District Office , Alan Haut District Director South Dakota District Office , Jamie Wood District Director Utah District Office , Marla Trollen District Director Wyoming District Office , Amy Lea, District Director	Immediate/Front Office - The RA's Immediate Office handles all outreach to support the President's small business agenda in the six states in Region VIII, and oversees the activities of the District Offices.

OFO/Region IX:

Los Angeles CA – Regional Office Location

Office Description and Mission:

Region IX administers the delivery of SBA’s small business programs and services throughout Arizona, California, Hawaii, Nevada and the territory of Guam. It promotes the agency, which focuses on access to capital, contracting and counseling and training services for small businesses.

Office Leadership

Regional Administrator	Michael Vallante
Regional Communications Director	Miryam Mora-Barajas (located in Sacramento)
Regional Administrative Resource Coordinator	Maribel Plascencia

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Regional Office	Regional Administrator conducts outreach to partner organizations and speaks at key events providing information on SBA goods and services and promoting the President’s key initiatives. Regional Office handles performance management, data collection, strategic initiatives and special projects. It also manages the SBA program and service delivery of nine district SBA offices and one branch office location..
Arizona District Office , Robert Blaney, District Director Hawaii District Office , Vacant, District Director Nevada District Office , Joseph Amato , District Director San Diego District Office , Ruben Garcia, District Director Orange County Inland Empire District Office , Adalberto Quijada, District Director Los Angeles District Office , Ben Raju, District Director Fresno District Office , Dawn Golik District Director Sacramento District Office , JHeather Luzzi, District Director San Francisco District Office , Julie Clowes, District Director	Staff conducts outreach by partnering with key community partners and organizations educating them about SBA goods and services. Oversee the activities of 137 SBA-funded counseling and training centers in the region, which include 83 small business development centers; 33 SCORE chapters, 17 women’s business centers, and 4 regional veteran’s business development centers.

OFO/Region X:

Seattle, WA – Regional Office Location

Office Description and Mission:

Region X administers the delivery of SBA small business programs and services throughout Washington, Oregon, Idaho and Alaska; and, promotes the agency, which focuses on access to capital, contracting and counseling and training services for small businesses.

Office Leadership

Regional Administrator	Jeremy Field
Regional Communications Director	Melanie Norton
Regional Administrative Resource Coordinator	Ryan Pella

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Region 10 Office:	Regional Office handles performance management, data collection, strategic initiatives and special projects. Manages the SBA program and service delivery of four district SBA offices, one branch office, and one AWS (Alternative Work Site) location.
Seattle District Office , Kerrie Hurd District Director Portland District Office , Marty Golden, District Director Boise District Office , Gary Eisenbraum District Director Alaska District Office , Steven Brown, District Director	Oversees the activities of more than 100 SBA-funded counseling and training centers in the region – 60 Small Business Development Centers; 15 SCORE chapters, four Women’s Business Centers, and a regional Veterans Business Development Center. Administers oversight of 10 SBA grant-supported growth accelerators and one ScaleUp America community. Manages local 8(a) Business Development Program portfolio, relationship management and recruitment of local SBA lenders, and local economic development activities.

Office of General Counsel (OGC)

Office Description and Mission

The Office of General Counsel (OGC) provides comprehensive nation-wide legal services to the Administrator and all Agency offices. These legal services include providing advice and assistance to SBA programs and offices on the development and execution of Agency policies, programs and administration; advising, analyzing and interpreting statutes, regulations and other sources of law; and drafting legislative, regulatory and other materials. OGC represents the Agency in judicial and administrative proceedings, legal negotiations, and appearances and consultations with other government and non-governmental entities. OGC is responsible for the Agency's ethics program and is charged with the responsibility of ensuring that Agency employees are in compliance with the ethics regulations.

Office Leadership

General Counsel	Brittany Biles
Deputy General Counsel	Jordan Pratt
Deputy General Counsel/Associate General Counsel for Financial Law and Lender Oversight	Nina Levine
Associate General Counsel for Department of Litigation and Claims	Eric Benderson
Associate General Counsel for Department of Procurement Law	John Klein
Associate General Counsel for General Law	Jaime Cantlon
Designated Agency Ethics Official	Jaime Cantlon

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Immediate Office	<p><i>Legislation and Appropriations Team:</i> Provides legal advice and guidance to SBA personnel on all legal aspects of the Agency budget; appropriations, expenditures, legislation, congressional procedures and activities; and regulations in connection with Agency programs.</p> <p><i>Outreach and Ethics Team:</i> Provides legal advice relating to SBA's outreach efforts including co- sponsorships and marketing programs. The Designated Agency Ethics Official oversees compliance with federal government ethics and disclosure rules.</p> <p><i>Office of Administration:</i> Provides operational support including budget, human resources, information technology, metrics, OIG audit tracking, OMB referrals and other matters relating to the legal/administrative operations.</p>

Department of Financial Law and Lender Oversight	Provides legal advice and assistance to program offices responsible for disaster loans, guaranteed business loans, microloans, surety bond guaranties, secondary market transactions and small business investment companies. This Department assists the program offices in the preparation of regulations and comments on proposed legislation and provides legal review and clearance of various financial transactions involving program participants.
Department of Litigation and Claims	Handles litigation in federal court. The practice area for this group includes constitutional, environmental, employment, commercial, procurement, administrative law, torts, bankruptcy law, and debt collections issues. Also handles complex FOIA and Privacy Act questions.
Department of Procurement Law	Advises SBA program offices regarding government contracting and business development programs, including the 8(a) Business Development program, HUBZone program, Service Disabled Veteran Owned Small Business Set Aside program, Women Owned Small Business program, and the size standards program. The Department provides legal advice and assistance to program officials regarding Agency contract and grant awards, and regarding SBA's resource partners. The Department also represents the Agency in procurement-related administrative litigation before the General Accounting Office and SBA's Office of Hearings and Appeals.
Department of General Law	Serves as legal counsel to the Agency in the areas of federal equal employment opportunity law, federal personnel and labor relations law and represents the Agency in administrative litigation before EEOC, MSPB, FLRA and SBA's Office of Hearing and Appeals.
Field Legal Operations	Field legal staff is supervised by four area counsels who report to a Deputy General Counsel. The legal staff in the field provides advice to SBA district offices on a wide range of legal matters and work closely with SBA lending partners and SBA Loan Centers.

Current Activities

- OGC is intensely involved in taking enforcement actions against lenders engaged in illegal practices.
- Agency Regulatory Agenda (published semi-annually)
- OGC's ethics team is overseeing continuing compliance with the requirements of the Stock Act
- OGC is working closely with Agency program staff and the Office of Inspector General on the audit resolution process.
- CARES Act implementation.

FACA Boards

N/A

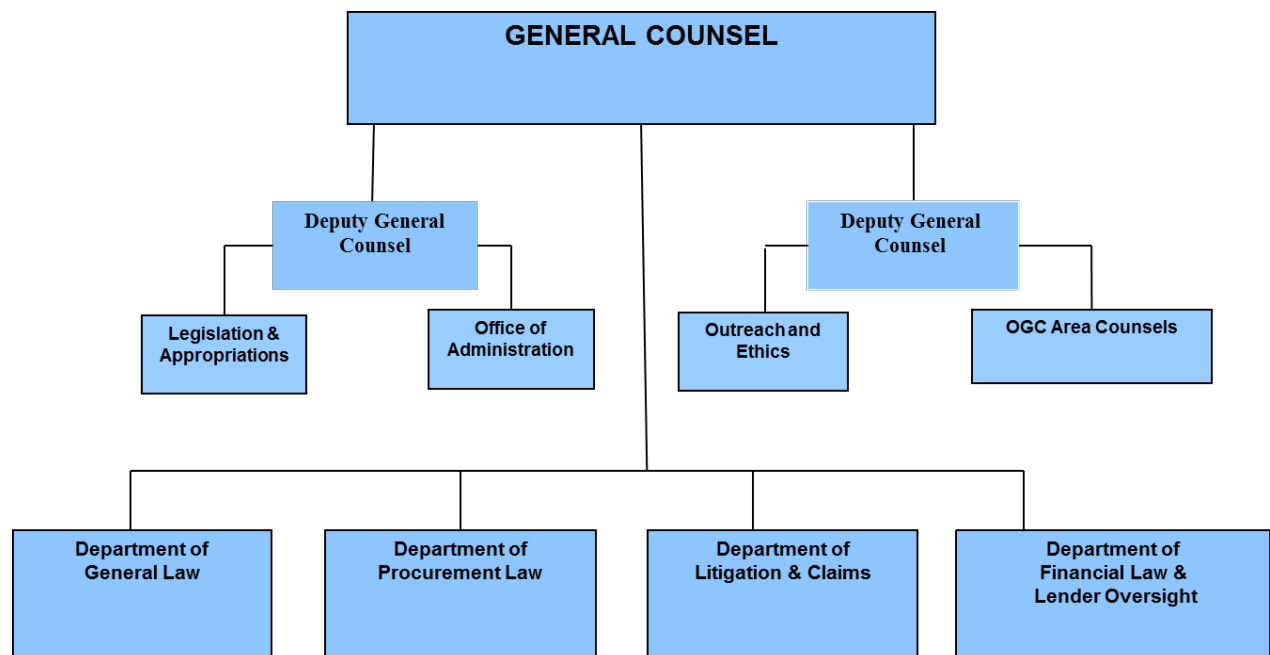
External Stakeholders

- White House Counsel
- Congressional Committees
- Office of Management and Budget
 - Office of Information & Regulatory Affairs (OIRA)
 - Office of Federal Procurement Policy (OFPP)
- Government Accountability Office
- Department of Justice
 - Civil Division
 - U.S. Attorneys
- Other Government Agencies
- Trade Associations
- U.S. Equal Employment Opportunity Commission
- U.S. Merit Systems Protection Board

Key Office Events Hosted/ Supported

- OGC Legal Training Conference – biennial event
- One OGC training series
- Monthly OGC Town Hall

Organizational Chart:



Office of Hearings and Appeals (OHA)

Office Description and Mission

The Office of Hearings and Appeals (OHA) is an independent office of the SBA, established in 1983 to provide an independent, quasi-judicial appeal of certain SBA program decisions. Specifically, OHA adjudicates appeals of formal size determinations for businesses seeking to qualify for SBA loans, Federal contracts set-aside for small businesses and other programs; contracting officer designations of North American Industry Classification System (NAICS) codes for procurements government-wide; eligibility determinations for Service-Disabled Veteran-Owned Small Business Concerns (SDVO SBC), Women-Owned Small Businesses (WOSB), and Economically Disadvantaged WOSB (EDWOSB); 8(a) BD eligibility determinations, suspensions, and terminations; and SBA employee disputes.

Within the Office of Hearings and Appeals resides the Freedom of Information/Privacy Acts (FOI/PA) Office, which was established in 1977 to adjudicate administrative appeals from initial Freedom of Information Act and Privacy Act determinations. The Office also provides guidance and training to Agency staff with regard to the collection, use and disclosure of Agency information.

Office Leadership

Assistant Administrator	Delorice (Della) Ford
Administrative Judge Administrative Judge Chief FOIA/PA	Christopher Holleman Kenneth Hyde Oreoluwa Fashola

Major Components/Program Offices

Office /Component & Key Leader	Brief Description and Key Statistics
Front Office Delorice (Della) Ford Assistant Administrator Office of Hearings and Appeals	In addition to providing fair, timely, and efficient adjudication of cases filed with OHA, the Office handles all human resource matters, budget, data collection and analysis, strategic planning and initiatives, and special projects.
Freedom of Information and Privacy Acts Office Oreoluwa Fashola Chief FOI/PA	The FOI/PA Office develops Agency policy and procedures regarding the FOIA and/or PA requests; refers initial requests for processing; and, provides procedural guidance to Agency personnel, Agency clients and the public regarding the disclosure of Agency records. The Office staff compiles and submits the Freedom of Information Act Annual Report to the Attorney General, the Chief FOIA Office Report, and prepares the Agency's Privacy Act Reports for OMB. Other major responsibilities are maintenance of the Agency's Privacy Act Systems of Records, Privacy Act Computer Matching Agreements and any Privacy Act related activities and/or issues.

Current Activities

- Proficient Case Adjudication – Consistently provide fair, timely, and efficient adjudication of cases filed with OHA and FOI/PA
- Revise OHA’s regulation (CFR 134)
- Revise Website Content
- Outreach – Organize and/or participate in programs to help small businesses better understand OHA’s appeal process.
- Promote/Implement Agency-wide Proactive Disclosures
- Publish FOIA Annual Report & Chief FOIA Officer Report

FACA Boards

N/A

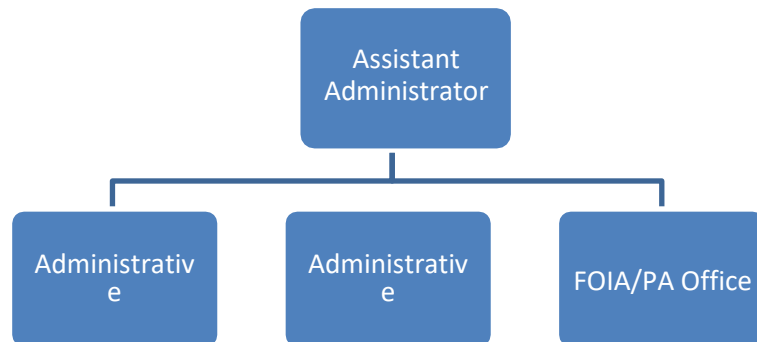
External Stakeholders

Small Businesses, Federal Agencies, Federal Procurement/Acquisition Officials, Public and Private Bar, ABA Committees

Key Office Events Hosted/ Supported

- American Bar Association Public Contract Law’s Business and Other Socio-Economic
- Programs Committee
- FOIA Roundtable/FOIA Amendments
- Office of General Counsel- Summer Intern Program

Organizational Chart:



Office of Intergovernmental Affairs (IGA)

Office Description and Mission

The Office of Intergovernmental Affairs (IGA) serves as a liaison to elected and appointed officials of state, county, and local governments. SBA's IGA serves as the Agency's representative to the White House's Office of Intergovernmental Affairs, cabinet level agencies' IGA offices and national organizations that represent state and local officials. The office's primary function is to communicate information about SBA's objectives, initiatives, policies, and programs to stakeholders, to build partnerships that will facilitate opportunities for small business entrepreneurs. IGA also works closely with SBA's program, regional, and district offices to develop outreach strategies for the purpose of promoting initiatives and programs.

Office Leadership

(Acting) Assistant Administrator	Ryan Lambert
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Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Front Office	Handles human resource management, budget/financial management, performance management, data collection, strategic initiatives, special projects, and outreach.

Current Activities

- Building relationships with external stakeholders
- State/Local officials COVID-19 recovery updates and inquiry support
- Governors' Initiative on Regulatory Innovation (DOL, DOC, SBA, WH-IGA)
- Opportunity Zones

FACA Boards

N/A

External Stakeholders (Offices)

- Statewide Officials
 - Governor's
 - Lt Governors
 - Secretaries of State
 - State Economic Development Executive or Agency
- Local (Legislative district, County/Parish, City, etc.)
 - State Legislators
 - State Senators
 - Mayors
 - County Commissioners
 - City Councilmembers
 - Parish Presidents

External Stakeholders (Organizations).

- Statewide Officials
 - National Governors Association
 - Republican National Governors Association
 - Western Governors Association
 - National Association of Secretaries of State
 - National Lt Governor Association
- Local (Legislative district, County/Parish, City, etc..)
 - National Conference of State Legislators
 - National Association of Counties
 - National Association of Towns and Townships
 - US Conference of Mayors
 - National League of Cities
 - Mississippi Rivers and Town Initiative
 - Individual State Municipal Leagues and County Associations
 - African American Mayors Association
- Federal Agencies
 - SBA-IGA represents SBA to the White House's Office of Intergovernmental Affairs.
 - Encourage collaboration between Cabinet level agencies and their IGA offices
- Other
 - Office of Native American Affairs
 - Day to day operation of ONAA is currently handled through OED. IGA works closely with ONAA regarding Native American outreach and activities.

Key Office Events Hosted/ Supported

- State and Local officials fly-ins
 - Supports WH-IGA hosting state and local officials. SBA IGA either briefs or coordinates senior officials to brief state and local officials on funding opportunities and small business items impacting their community.
- White House's COVID response briefings to state and local officials
 - Supports WH-IGA by regularly providing or coordinating briefings to state and local officials on CARES Act programs, Paycheck Protection Program, Economic Injury Disaster Loans, etc...
- Administrator engagement
 - Following major disasters, IGA, in conjunction with ODA, may connect the Administrator with affected Governors.
 - SBA's IGA coordinates Administrator's participation for in person speaking engagements and conference calls to state and local officials and their organizations.
 - SBA's IGA works to include state and/or local officials at SBA events with the Administrator.

Office of Performance, Planning and the Chief Financial Officer (OPP/CFO)

Office Description and Mission

The Office of Performance, Planning and the Chief Financial Officer ensures efficient and effective management of Agency resources by providing superior financial management, acquisition management, performance management, and planning services. The Office of Performance, Planning and the Chief Financial Officer fulfills this mission by:

- Establishing, measuring, and exceeding organizational performance expectations;
- Executing a timely and responsive acquisition process that provides best value;
- Providing accurate and timely reports of budget, financial, and performance results;
- Supporting Agency programs in the attainment of the SBA's mission and objectives; and
- Developing internal control structures to manage risk.

The OPP/CFO, located in Washington, D.C. (Headquarters) and in Denver, Colorado (Denver Finance Center), is composed of the following offices:

Office Leadership

Associate Administrator for Performance, Planning and Chief Financial Officer	Tami Perriello
Deputy Chief Financial Officer	Melissa Atwood (Acting)

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Immediate Office Tami Perriello, AA/CFO Melissa Atwood (Acting), Deputy CFO	Serves as the liaison with Agency executives and ensures administrative oversight of the achievement of sound Agency performance and financial management to produce accurate, timely, and useful information to support operations, budget, and policy.
Accounting Liaison and Quality Assurance Division Prasad Kotiswaran, Director	Manages Agency financial reporting and supports the financial statement audit and audit remediation processes. Provides accounting policy guidance and conducts quality assurance to ensure accurate and timely financial data to support program operations.
Financial Analysis and Modeling Division Scott Stilmar, Director	Projects loan programs' performance in order to estimate, and re-estimate, lifetime loan program costs using historical performance, economic factors, and loan program variables for the President's budget and the Financial Statements. Provides cost estimates and analytical support for the loan programs. Ensures modeling for loan programs is in compliance with the Federal Credit Reform Act.

Office of Financial Systems, Innovation and Data Transparency Nate Reboja, Director	Designs and maintains financial systems to ensure the security, integrity, reliability and availability of Agency's integrated accounting and financial systems. Provides reliable, accurate, and timely information to support the Agency's financial reporting needs. Oversees implementation of and compliance with DATA Act and supports data management, data analysis, and reporting.
Internal Controls Division Tonia Butler, Director	Establishes and maintains internal controls to achieve the objectives of effective and efficient operations and reliable financial reporting. Provides policies, guidance, and oversight to ensure management exercises its internal control responsibilities in accordance with the OMB requirements contained in OMB Circular A-123, Management's Responsibility for Internal Control. Ensures compliance with the Financial Managers Federal Integrity Act.
Office of Program Performance, Analysis, and Evaluation Jason Bossie, Director	Leads SBA's strategic planning and performance management functions through Government Performance and Results Act and the GPRA Modernization Act. Promotes program and project management capacity through the Program Management Improvement Accountability Act. Leads evidence building and program evaluations through the Foundations for Evidence-Based Policymaking Act. Supports SBA senior leaders through the development of analytical dashboards and tools, conducting analyses for loan, contracting, and grant programs, and economic analysis of regulations through Executive Orders 12866 and 13771.
Budget Division Deborah Chen, Budget Officer	Coordinates activities in the development of SBA's budget for the upcoming fiscal year and the operating activities. Prepares apportionments for the Office of Management and Budget and allocates funds throughout the fiscal year to operating offices. Ensures the budget and programs are in compliances with appropriations law.
Office of Financial Operations and Acquisition Management Denver Finance Center Melissa Atwood, Director	Supports the collection, disbursement, and accounting for loan programs (fee collections, purchase payments, recovery collections, etc.), Provides accounting and support for administrative functions (travel, contracts, grants, loan programs management, etc.) Maintains the general ledger, provides compliance reporting for the annual financial statements and Treasury reporting, develops and supports agency initiatives to maintain quality in financial reporting, works with internal and external partners to implement electronic commerce and

	<p>government-wide financial management initiative, and strives to provide complete, reliable, timely and useful financial management information. The Acquisition Division performs full-scale acquisitions services in accordance with regulatory and policy guidance and established timelines.</p> <p>Services include all internal and external reporting as well as end user advising on processes to include: acquisition, planning, and contract administration. Ensures compliance with the Federal Acquisition Regulations (FAR).</p>
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Current Activities

- Formulating FY 2022 budget request and executing FY 2021 enacted budgets
- Preparing FY 2020 Performance Report and FY 2020 Performance Plan
- Reporting on Agency Priority Goals / Quarterly Deep Dive Reviews
- Preparing development of the FY 2022-2026 Strategic Plan and Enterprise Learning Agenda
- Developing the FY 2020 Financial Statements with the auditor
- Preparing FY 2022 subsidy models

FACA Boards

N/A

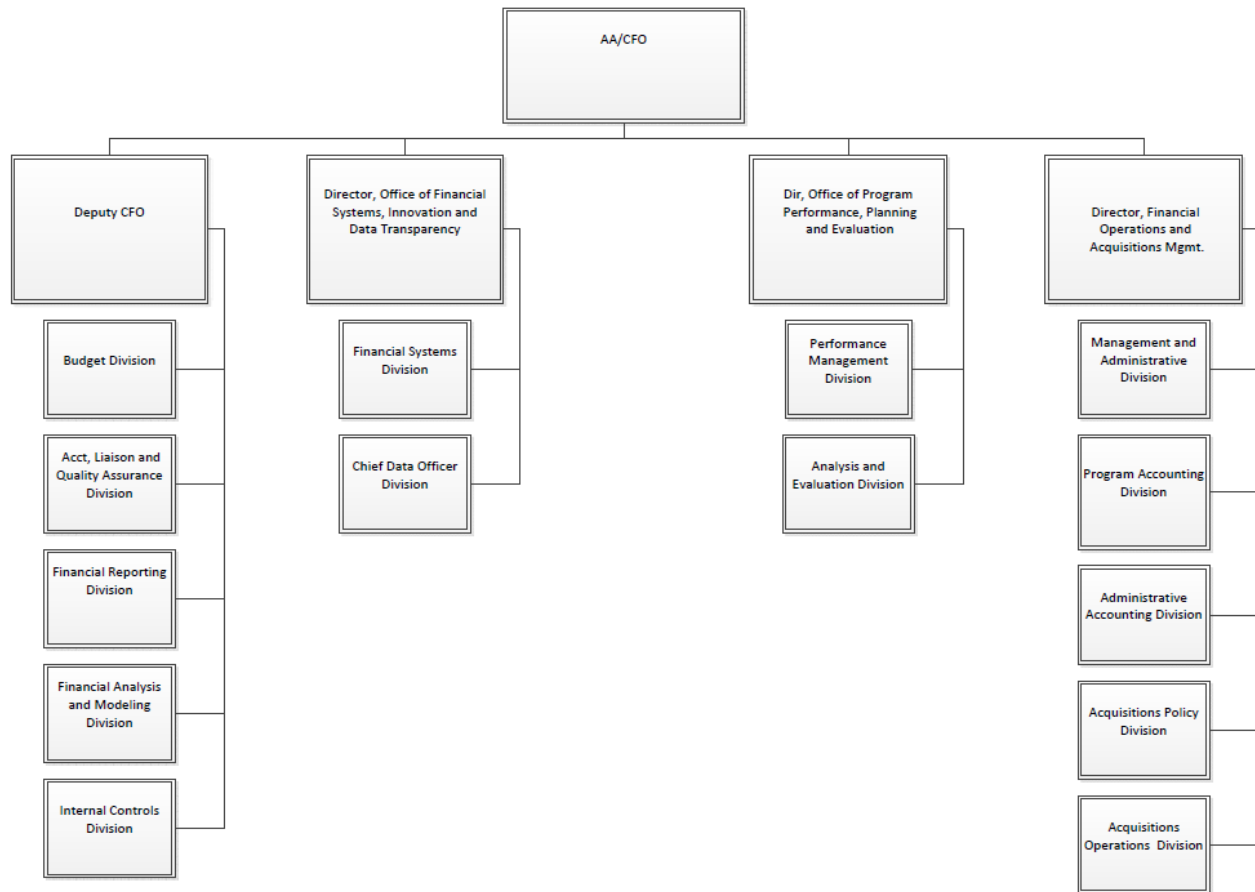
External Stakeholders

- Office of Management and Budget
- Department of Treasury
- Authorizing and appropriating Congressional Committees
- Performance Improvement Council
- Program Management Improvement Council
- Evaluation Officers Council
- Chief Data Officer Council
- Chief Financial Officers Council
- Chief Acquisition Officers Council

Key Office Events Hosted/ Supported

N/A

Organizational Chart:



Office of the Administrator (Front Office)

Office Description and Mission

The Office of the Administrator leads the SBA's efforts to aid, counsel, assist and protect the interests of small business concerns, to preserve free competitive enterprise and to maintain and strengthen the overall economy of our nation. The Office of the Administrator offers executive and policy guidance to help Americans launch and grow their businesses.

Office Leadership

Administrator	Jovita Carranza
Deputy Administrator	Vacant
Chief of Staff	William Manger
Deputy Chief of Staff	Christopher Gray

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Not Applicable	Not Applicable

Current Activities

- Oversight and management of program and support offices.
- Priorities and new initiatives tracking
- Reporting to White House Cabinet Affairs
- Scheduling and staff support for Administrator
- Policy and Research Projects (ongoing)
- Small Business Technology Coalition
- Implementation of Technology Improvements with OCIO:
 - Improving core IT operations
 - IT modernization and Cold Fusion decommissioning
 - Exploratory innovation projects
 - SBA.gov—exec management of redesign of site and launch of new transactional services. First key product is LINC 2.0.
 - Certify.SBA.gov—oversight of project to rebuild and replace all systems supporting small business certification programs
- GAO / IG Recommendations – tracking completion

FACA Boards

The Council on Underserved Communities

External Stakeholders

- Local and national small business organizations
- Foundations
- Think tanks
- Corporate Partners
- Local and state governments
- Congress
- Federal agencies
- White House / NEC, NSC, OSTP, DPC and CWG.

Key Office Events Hosted/ Supported

- Provide directional leadership and support on all program office and Administrator events and travel. Directly organize:
- The White House Open Data Summit
- The Hispanic American Entrepreneurship Summit
- The SBA Main Street Road Tour
- Senior Staff and SES Planning Retreats

Office of Executive Management, Installations, and Support Services

Office Description and Mission

The Office of Executive Management, Installations and Support Services (OEMISS) supports Agency operations through four key divisions; the Office of Administrative Services; the Office of Grants Management; Office of Personnel Security and Office of Executive Secretariat. OEMISS manages the nearly two hundred field level offices nationwide; anchoring the Agency's mission to support America's small businesses. In addition, OEMISS oversees grant life-cycle management, physical and personnel security, classified clearances and material handling, maintains the records of the Administrator and manages the Agency document clearance review process. OEMISS is committed to delivering superior customer service enabling the Agency's program offices to meet their mission requirements timely and professionally while effectively and efficiently managing overhead costs as stewards of the taxpayer.

Office Leadership

Executive Director	Sean Crean
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Major Components/Program Offices

Division/Branch Component & Key Leader	Brief Description & Key Statistics
Office of Administrative Services (OAS) Kenneth Etheridge, Director	Responsible for overseeing Agency installation management, physical safety & security, personal property inventory, fleet management and operations, mail handling and print management.
Office of the Executive Secretariat (OES) Kim Bradley, Director	Responsible for Administrator document management. Ensures policy, procedures, notices, reports, letters, and other correspondence of the Administrator or senior executives are cleared and signed according to schedule. Through its National AnswerDesk Call Center, provides first contact for SBA clients on answers covering topics of SBA programs or initiatives.
Office of Grants Management (OGM) Kimberly Butler, Director	Responsible for policy, oversight, execution, and full life-cycle compliance of Agency financial assistance awards (grants) implemented through six (6) program offices; leveraging the Agency's capability to support small businesses.
Office of Personnel Security (OPS) Joseph Eitel, Director	Responsible for national security matters including adjudication and clearing of potential staff to support the Agency's mission, handling of classified material, and approving clearance holders to mitigate potential internal threats.

Current Activities

Reorganizing the Office of Executive Secretariat to the Office of the Administrator. Reorganizing records management unit in OAS to OCIO in support of the National Archives Records Administration (NARA) records digitization directive.

(OAS) HQ current lease expires in Nov 2020. GSA is negotiating an extension until 2022 and anticipates a new lease award during FY21. Established an Executive Facilities Management Advisory Board to better control costs associated with leased property.

(OGM) In response to OIG Management Challenge #8 and in support of Presidential Management Agenda CAP GOAL #8, implemented a new grants management system through HHS to correct compliance deficiencies. System provides the Agency the ability to integrate its grants financial component at a future date.

(OPS) Manages the SBA Security Coordinating Council. Adjudicating over 10,000 staff and contractor personnel in support of Office of Disaster Assistance and Office of Capital Access COVID19 support.

(OES) Implemented a new document management system compatible with the White House executive secretariat system.

FACA Boards:

N/A

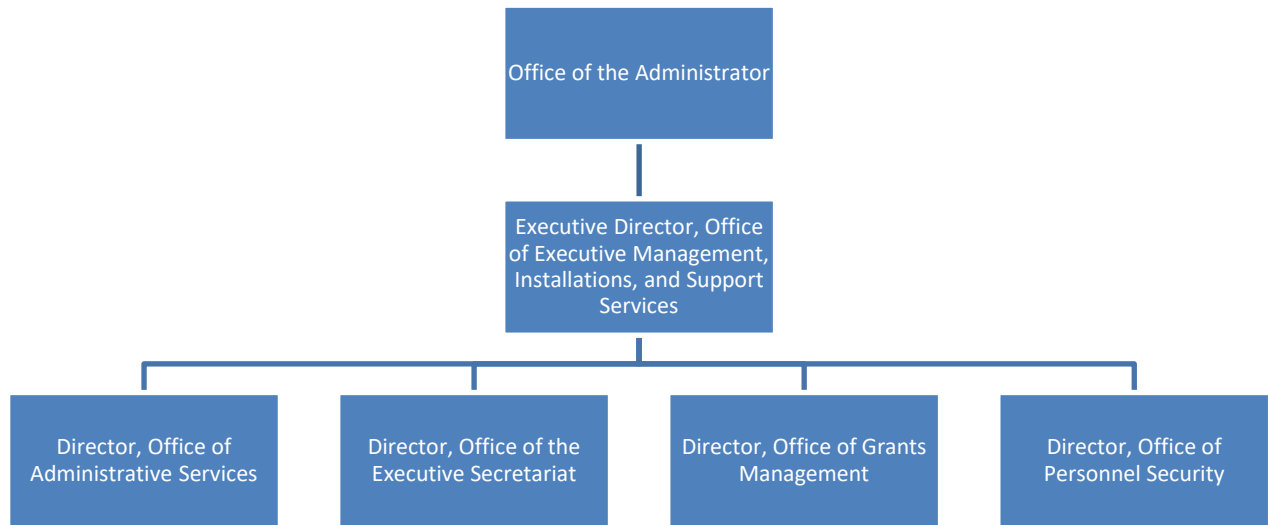
External Stakeholders

- General Services Administration (GSA); Public Buildings Service; Federal Real Property Management Council.
- Department of Homeland Security (DHS); Federal Protective Services
- Integrated Award Environment-Financial Assistance Committee for E- government (FACE)
- Data Act Committee
- National Grants Management Association (NGMA)
- Health and Human Services (HHS); GrantSolutions
- Office of the Director of National Intelligence (ODNI)
- White House; Federal Executive Secretariat Council (FESC)

Key Office Events Hosted/ Supported

- August 2020 Monthly meeting of the (FESC) - virtually

Organizational Chart:



Office of Administrative Services (OAS)

The Office of Administrative Services is responsible for planning, implementing, and overseeing administrative support programs across the Agency, such as facilities & real estate, asset management, property inventory, fleet management and operations, office equipment and administrative services, physical and building security, records management, mail and print management.

Office Leadership

Director of Administrative Services	Kenneth Etheridge
Director of Records Management	Vacant
Director of Facilities, Security, & Safety	Nathaniel Mosby
Director of Support Services	Andrea Levenberry

Major Components/Program Offices

Division/Branch Component & Key Leader	Brief Description & Key Statistics
Records Management	Ensure records (both paper and electronic) are maintained & retired in accordance with the proper disposition schedule. Coordinate with program offices to post meetings, disaster decorations, new rulings, etc. in the federal register.
Facilities Management	In coordination with GSA, manage leased prospace for the agency and monitor existing leases to ensure the landlords adhere to the terms of the lease. This office is also over the security & safety program for the agency.
Support Services	This Division handles HQ infrastructure support including shipping and receiving, fleet vehicles, mail delivery, printing requests, event planning for the entire agency, HQ conference room setups, and property disposal.

Current Activities

THQ building expires in 2020 and plans are underway to develop the space requirements. HQ current lease expires in Nov 2020. GSA is negotiating an extension until 2022 and anticipates a new lease award during FY21. Established an Executive Facilities Management Advisory Board to better control costs associated with leased property.

FACA Boards:

N/A

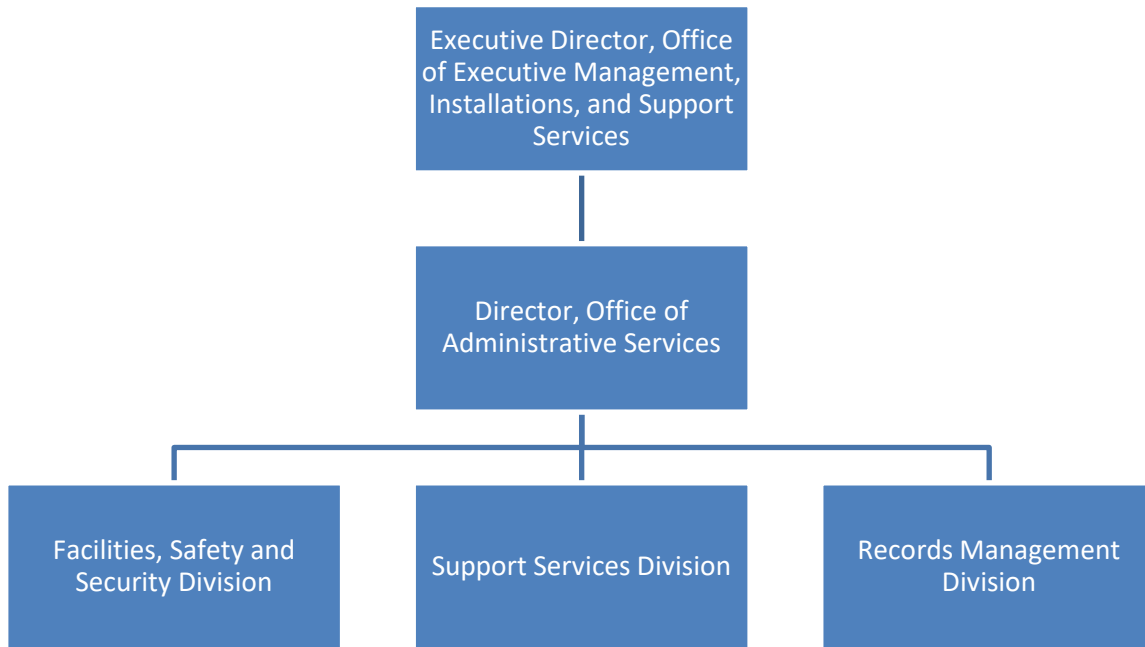
External Stakeholders

General Services Administration – Public Building Services (office space leasing)
Department of Homeland Security – Federal Protective Services (building security)

Key Office Events Hosted/ Supported

N/A

Organizational Chart:



Office of the Executive Secretariat (OES)

Office Description and Mission

The Office of the Executive Secretariat (Exec Sec) is the primary document management center for the SBA Administrator, the Deputy Administrator, the Chief of Staff and Associate Administrators. Exec Sec ensures that policy initiatives, regulations, memoranda, reports, letters, and other correspondence that require the Administrator and senior SBA staff members' signature are created, edited, and signed according to schedule. Exec Sec manages the Document Management System and coordinates the Administrator's archiving process to ensure that records are labeled and stored according to the National Archives and Records Administration's regulations. In addition, Exec Sec edits all correspondence before submission to Congress, as well as letters referred by the White House.

Through its National Answer Desk call center, it also serves as the first contact for clients who can contact SBA for answers on all of SBA's programs and initiatives..

Office Leadership

Director, Office of Executive Secretariat	Kim Bradley
Team Lead, Executive Correspondence Division	Dana Lintz
Supervisor, National Answer Desk	Rhoda Harvin

Major Components/Program Offices

Division/Branch Component & Key Leader	Brief Description & Key Statistics
Executive Correspondence Division	

The National Answer Desk Call Center	<p>The National Answer Desk (NAD) is the Agency non-disaster call center which serves to provide first contact to the public on a variety of questions brought forth by small business. The NAD offers information regarding inquiries on every aspect of SBA's mission, such as federal and state government contracting, , government contracting programs, the 8(a) process, HUBZone, WOSB, veteran-owned certifications, financing, options, training and counseling, webinars, and other resources available to entrepreneurs and the business community. NAD also services callers who speak Spanish, French, and German.</p>
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Current Activities

Implemented a new document management system compatible with the White House executive secretariat system.

FACA Boards:

N/A

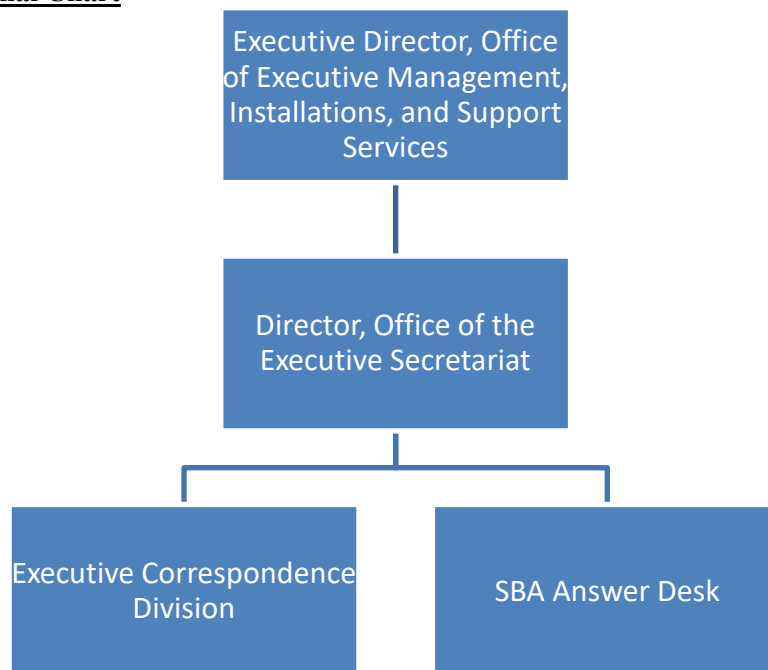
External Stakeholders

N/A

Key Office Events Hosted/ Supported

N/A

Organizational Chart



Office of Grants Management (OGM)

Office Description and Mission

The Mission of the Office of Grants Management (OGM) is to oversee and ensure compliance for all SBA grant stakeholders with full grant life-cycle management OGM is directly responsible to the Administrator to ensure that the hundreds of financial assistance awards (grants) valued at over \$400M are executed in accordance with regulation. The Director is the Agency's senior grants management officer who establishes the policy and procedures to be followed by Agency program offices.

Office Leadership

Director, Office of Grants Management	Kimberly Butler
Supervisory Grants Management Officer Team A	Jazzmin Gayle
Supervisory Grants Management Officer Team B	Vacant

Major Components/Program Offices

Division/Branch Component & Key Leader	Brief Description & Key Statistics
NA	Responsible for Agency-wide execution of grants valued at over \$400M in support of a variety of program offices supporting small business.

Current Activities

- OGM completing the implementation of a new Grants Management System which provides more comprehensive compliance and oversight management for the Agency is currently providing grants management and monitoring services for the following offices: Office of Financial Assistance; Office of Small Business Development Centers; Office of Entrepreneurial Development; Office of International Trade; Office of Government Contracting/Business Development; Office of Veterans Affairs; Office of Technology; and Office of Native American Affairs.. This is a an Agency Management Challenge initiative. OGM serves on the Integrated Award Environment-Financial Assistance Committee for E- government (FACE) and the Data Act Committee, a Presidential initiative managed by GSA promoting the use of innovative processes and technologies to improve systems and operation for grants management.

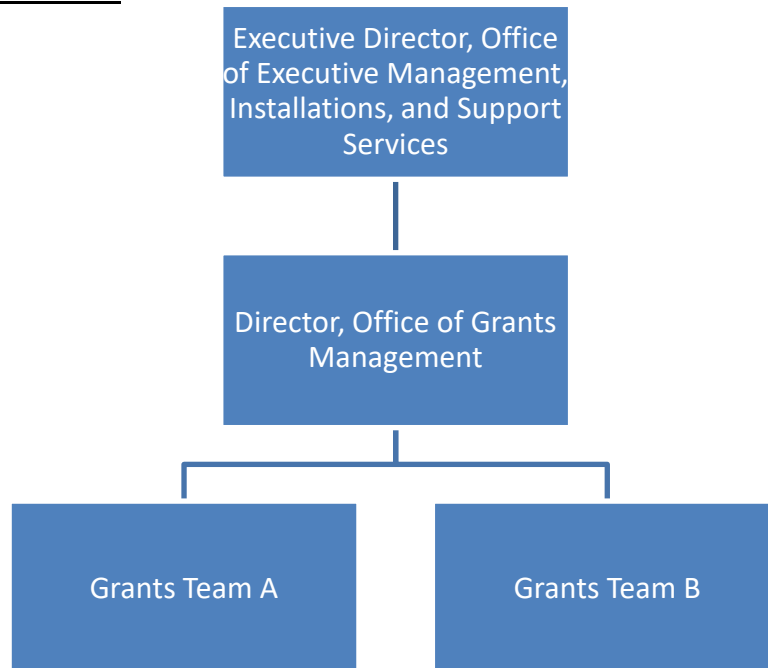
FACA Boards:

N/A

External Stakeholders

Office of Management and Budget (OMB)
National Grants Management Association (NGMA)
Health and Human Services/GrantSolutions

Organizational Chart:



Office of Personnel Security (OPS)

Office Description and Mission

The Office of Personnel Security (OPS), under the Office of Executive Management, Installations and Support Services (OEMISS) is the program office in SBA, assigned responsibility for managing national security programs including the adjudication and clearing of potential staff to support the Agency's mission at headquarters and in the field. OPS serves the primary function of ensuring the handling of classified material, or those that will have access to classified material, are thoroughly vetted with appropriate security spaces for review. It ensures that personnel or contractor support hirings meet national, federal, and Agency standards for suitability to support mission requirements while mitigating potential internal threats

Office Leadership

Director	Joseph Eitel
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Major Components/Program Offices

Division/Branch Component & Key Leader	Brief Description & Key Statistics
Suitability & Reinvestigations Zina Hardy, Team Leader	Responsible for determining employment suitability and continued suitability through reinvestigations

Current Activities

- Manages the SBA Security Coordinating Council. Adjudicating over 10,000 staff and contractor personnel in support of Office of Disaster Assistance and Office of Capital Access COVID19 support.
- SBA Security Coordinating Council

FACA Boards:

N/A

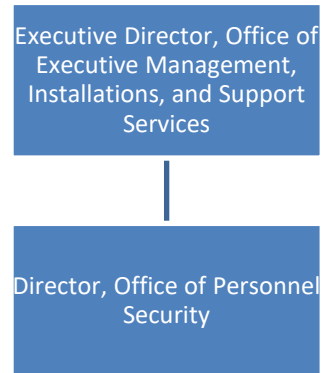
External Stakeholders

- Office of Defense National Intelligence (ODNI)
- Federal Bureau of Investigations (FBI)
- Financial Crimes Network (FINCEN)

Key Office Events Hosted/ Supported

N/A

Organizational Chart



Office of Chief Information Officer (OCIO)

Office Description and Mission

Office of the Chief Information Officer delivers its services through a combination of employees and contractors. The divisions provide Customer Service, Network Support, Application Development, IT Security, Resource Management, IT Project Management, Enterprise Architecture services, and participate in cross-Government initiatives. OCIO's computing services use best-practice processes that follow SBA's Enterprise Architecture and are supported by strong capital planning and investment control.

Our mission is to foster an environment in which information and technology are used to support and enhance business decisions and Agency operations.

Office Leadership

Chief Information Officer	Keith A. Bluestein
Deputy Chief Information Officer	(A) James Nicholson
Director Resource Management Office	James Nicholson
Chief Information Security Officer	James L. Saunders
Chief Privacy Officer	Keith A. Bluestein
Director, Enterprise Architecture and Policy	Bill Hunt
Director, IT Services	Mary A. Boos
Director, Business Management Office	Melvin Brown
Director, Business Technology Solutions	Shaunda Ross
Chief Technology Officer	Sanjay Gupta

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
Enterprise Architecture	The Enterprise Architecture (EA) team strives to provide the Small Business Administration (SBA) with a strategic approach to align agency goals and objectives with business processes and technology. EA focuses on eliminating redundancies in business processes and technologies, and focuses on increasing efficiencies by promoting the use of shared services. Shared services allow the agency to increase productivity, while reducing overall cost of IT. Additionally, EA provides governance solutions enabling the SBA to better management decisions.

Resource Management Office	<p>Resource management is the process by which we manage our various resources effectively. Resources can be intangible – people and time – and tangible – equipment, materials, and finances. It involves planning so that the right resources are assigned to the right tasks. Managing resources involves schedules and budgets for people, projects, equipment, and supplies. Resource Management enhances:</p> <p>IT leadership financial overview of everyone and everything involved in our organization, makes the planning and management process more transparent; identifies problems before they start; control over the organization and each project.</p>
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Current Activities

There are several key activities that the OCIO will continue to undertake during FY 2021. Each of these activities will focus on key people, process and technology improvements. Some of these key activities include but are not limited to the following:

- Redesign and migration of data center to a Hosted service provider
- Continue to develop standards for application development platform, programming language, and tool
- Redesign of the Washington DC area Metropolitan Area Network and migrate the point to point communication circuit to NETWORKS contract.
- Continue security engineering assessment to determine security gaps and opportunities for improvements
- Continue exploration of next generation security and systems engineering
- Continue work on the development of a service catalogue
- Continue work on software and asset management

- Continue implementation of FITARA Action Plan
- Continue efforts to outline 3-5 year strategic plan for OCIO
- Some of the boards our leadership participates are as follows:
 - Internal:
 - Business Technology Investment Council (BTIC)-Co-chair
 - Architecture Review Board (ARB)-Chair
 - Enterprise Risk Board (ERB)- Member
 - External:
 - Chief Information Officer (CIO) Council-Member
 - Chief Information Officer (CIO) Small Council-Member
 - Chief Privacy Officer Council-Member

FACA Boards:

N/A

External Stakeholders

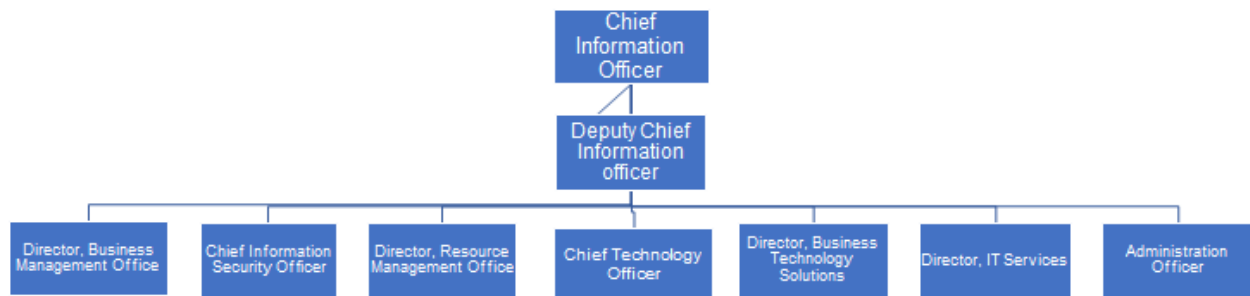
The key external stakeholders that OCIO engages on a regular basis are the Government Accounting Office (GAO), the Office of Management and Budget (OMB) and Congress

Key Office Events Hosted/ Supported

The OCIO hosts a monthly OCIO Town Hall meeting. We also directly support all of the audio and visual requirements for any of the Administrator's Town Hall meetings, the Peer-to-Peer sessions and any other special agency-wide events (e.g., Ike Awards).

Organizational Chart:

Office of the Chief Information Officer



Office of Diversity, Inclusion and Civil Rights (ODI&CR)

Office Description and Mission

The Office of Diversity, Inclusion and Civil Rights (ODI&CR) serves as the equal opportunity arm for the Small Business Administration and provides leadership in interpretation of statutes, regulations and policies governing Federal Equal Opportunity issues. The mission of ODI&CR is to champion a diverse workforce and inclusive culture by ensuring equal access and equitable treatment. The team provides direction and guidance in carrying out the Administration's equal opportunity (EO), diversity and civil rights responsibilities, including administration of the statutory EEO complaint program for complaints of discrimination by SBA employees and applicants for employment. The Civil Rights Compliance component ensures that SBA's federally conducted programs and recipients of federal grants comply with anti-discrimination laws, regulations, and executive orders. Additionally, ODI&CR helps cultivate a culture that encourages collaboration and fairness where all SBA employees can realize their full potential through initiatives that promote diversity, inclusion and proactive conflict resolution.

Office Leadership

Assistant Administrator	Zina B. Sutch
Deputy Assistant Administrator	Gaye Walker

Major Components/Program Offices

Division/Branch Component & Key Leader	Brief Description & Key Statistics
EEO Program <i>Title VII of the Civil Rights Act of 1964</i> Key Leader: Gaye Walker	Complaint Processing – Processes complaints of discrimination filed by employees or applicants for employment who believe that they have been discriminated against on the bases of race, color, sex, age, religion, national origin, disability or reprisal. Affirmative Employment Program – Designs and implements the Agency's programs, policies and procedures regarding equal employment and diversity and inclusion, including special emphasis programs, employment of person with disabilities, diversity management and training.
Civil Rights Compliance <i>Title VI of the Civil Rights Act of 1964</i> Key Leader: Gaye Walker	Compliance Reviews- ODI&CR audits and investigates recipients of SBA grants to ensure compliance with Title VI of the Civil Rights Act of 1964, which prohibits discrimination on the basis of race, color, and national origin in programs and activities receiving federal financial assistance.
Conflict Resolution Center (The Center) <i>Administrative Dispute Resolution Act of 1996</i> Coordinator: Robert Webb	Proactive Conflict Resolution Program- The Center is an informal, confidential and voluntary resource that helps empower employees to resolve conflict proactively and at the lowest level possible. The Center offers conflict coaching, facilitated discussions, group facilitation and conflict management training.

Current Activities

- **Management Directive (MD) 715 report due to EEOC on January 30, 2021:** EEOC's MD 715 requires each agency to report annually on the status of activities undertaken pursuant to its equal employment opportunity program under Title VII and its affirmative action obligations under the Rehabilitation Act.
- **Agency Input for FAIR Lending Report to Congress due to Consumer Financial Protection Bureau (CFPB) on February 12, 2021**17- SBA is one of several agencies charged with administrative enforcement of the Equal Credit Opportunity Act (ECOA) Section 704—which prohibits lenders from discriminating against any applicant on the basis of race, color, religion, national origin, sex or marital status, or age—and Regulation B, which requires a creditor to notify an applicant of an adverse action on the application taken within 30 days. Additionally, collection of information regarding race, sex, etc. is required to monitor the overall availability of credit to protected groups and the compliance with the law.
- **No Fear Act Report Due to Congress on March 30, 2017**21: The Notification and Federal Employee Antidiscrimination and Retaliation (No Fear) Act of 2002 requires agencies to submit to Congress, the EEOC and the Attorney General, an annual report that includes the agency's fiscal year Equal Employment Opportunity complaint statistics.
- **Agency Input for Annual Report of the CFPB to Congress due to Consumer Financial Protection Bureau (CFPB) on May 31, 2021-** SBA provides annual data regarding complaint inquiries concerning the Electronic Fund Transfer Act and Regulation E – which establish the rights and liabilities of consumers as well as the responsibilities of all participants in electronic funds transfer activities.
- **Agency Input for Annual Report of the CFPB to Congress due to Consumer Financial Protection Bureau (CFPB) on May 31, 2021-** SBA provides annual data regarding complaint inquiries concerning the Truth in Lending Act (TILA) implemented by Regulation Z (12 CFR Part 226). A principal purpose of TILA is to promote the informed use of consumer credit by requiring disclosures about its terms and cost.
- **Annual Federal Equal Employment Opportunity Statistical Report due to the EEOC on October 31, 2020-** The EEOC requires agencies to provide an annual report of the status of all pre-complaints and formal complaints processed under its EEO complaints program.
- **Diversity & Inclusion Roadmap-** Developing a comprehensive diversity and inclusion strategic plan for the agency to include clear objectives and goals.
- **Board Membership**
 - ☐ SBA's Executive Resource Board (Advisory Member)
 - ☐ SBA's Performance Review Board (Advisory Member)
 - ☐ SBA's Headquarters Board of Survey
 - ☐ SBA's Critical Incident Response Team
 - ☐ Title VI Federal Interagency Working Group

FACA Boards:

N/A

External Stakeholders

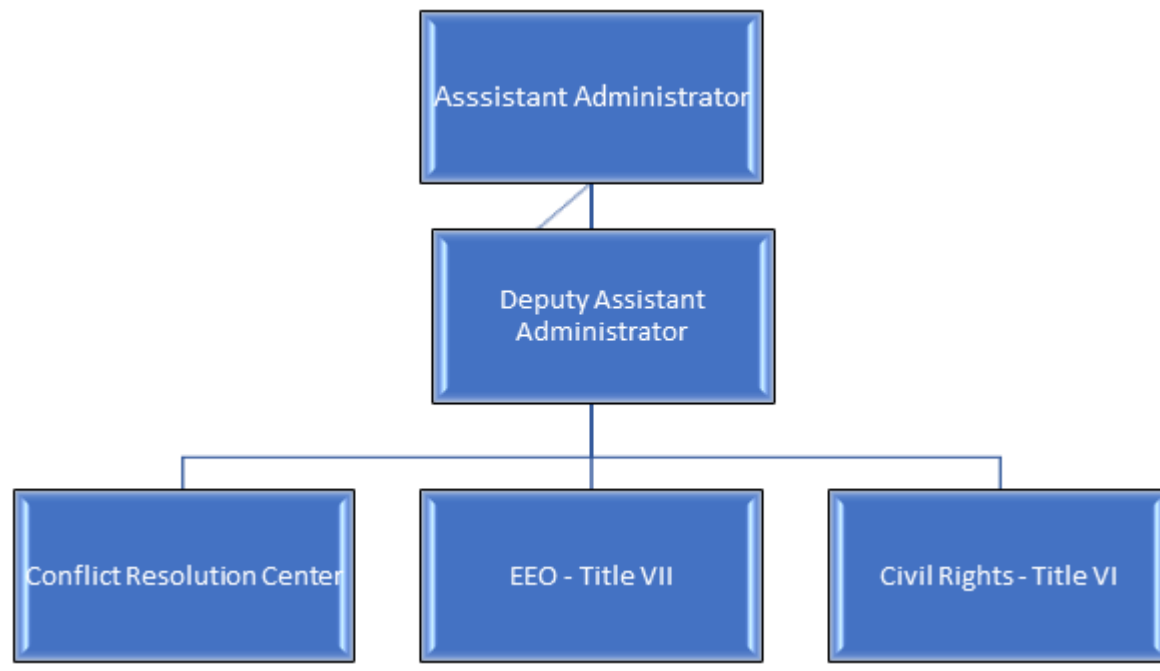
- ☐ Equal Employment Opportunity Commission (EEOC)
- ☐ Department of Justice Civil Rights Division
- ☐ Consumer Financial Protection Bureau (CFPB)
- ☐ SBA's Grant and Loan Recipients (e.g., SCORE, Small Business Development Centers (SBDCs), Women's Business Centers (WBCs), Small Business Investment Companies (SBICs))

Key Office Events Hosted/ Supported

The following are Special Emphasis Observances implemented by Presidential Proclamation, Executive Orders and Public Law as cited below:

- ☐ African-American/Black History Month (Observed: February 1st – 29th)
- ☐ National Women's History Month (Observed: March 1st – 31st)
- ☐ Asian Pacific Heritage Month (Observed: May 1st – 31st)
- ☐ Lesbian, Gay, Bisexual, and Transgender Pride Month (Observed: June 1st - 30th)
- ☐ National Hispanic Heritage Month Observed (September 15th – October 15th)
- ☐ National Disability Employment Awareness Month Observed (October 1st – 31st)
- ☐ National Native American Indian Month Observed (November 1st – 30th)
- ☐ Conflict Resolution Day Observed (The 3rd Thursday of October)

Organizational Chart:



Office of Continuous Operations & Risk Management (OCORM)

Office Description and Mission

The mission of the Office of Continuous Operations and Risk Management (OCORM) is enterprise wide. OCORM has responsibility for the Agency's Disaster Planning and Readiness; Continuity of Operations; Enterprise Risk Management; Audit Compliance; and Insider Threat. These enterprise-wide functions foster a culture of awareness, collaboration, and preparedness in the event of an emergency, recovery response for disasters, evaluation and assessment of the Agency's critical risks and non-financial internal controls, and facilitating response, resolution, and compliance for Office of Inspector General (OIG) and Government Accountability Office (GAO) audit findings. The Director of OCORM serves as both the agency's Continuity Coordinator and Senior Insider Threat Official.

Office Leadership

Director	Rafaela Monchek
Senior Planner	Joshua Barnes
Senior Policy Advisor Enterprise Risk Management (ERM)	Andrea Peoples

Major Components/Functions

Division/Branch Component & Key Leader	Brief Description & Key Statistics
Disaster Planning Joshua Barnes	Statutorily required Disaster Planner independent of Office of Disaster Assistance. Prepares annual Disaster Preparedness and Recovery Plan (DPRP). Represents SBA in interagency planning and coordination for disaster preparedness and recovery. Leads coordination of enterprise-wide economic recovery coordination activities for COVID-19 and other incidents nation-wide to engage multiple program offices for promoting an integrated agency effort.
Interagency Preparedness Planning and Coordination Joshua Barnes	Leads SBA disaster and continuity planning and coordination with The White House (WH) National Security Council (NSC) and interagency working groups, or other as needed national preparedness and resilience subject matter.
Audit Compliance Rafaela Monchek Mandana Yousefi Ilene Rubio Ritter	Facilitates enterprise-wide compliance with audit findings from General Accountability Office (GAO) and SBA Office of Inspector General (OIG).
Enterprise Risk Management Andrea Peoples	Leads Agency Enterprise Risk Management (ERM) Program implementation activities and organization of the Enterprise Risk Management Board to address the Agency's critical risks.
Continuity of Operations Program Management Joshua Barnes Tony Lee Gen Cogdell	Maintains SBA readiness for sustainment of Mission Essential Functions. Leads agency reporting to WH / Federal Emergency Management Agency (FEMA). Prepares annual agency Continuity of Operations (COOP) Plan. Conducts sustained COOP readiness training. Conducts annual COOP exercises in coordination with FEMA

	and interagency partners. Maintains SBA Emergency Notification System (ENS) for staff alert and notification during emergencies.
Insider Threat Program Management Tony Lee	Leads ongoing establishment of nationally directed Insider Threat Program (ITP) and policy implementation across internal stakeholders (OHRS, OEMISS) and external stakeholders (Department of Homeland Security (DHS), Federal Protective Service (FPS)).

Current Activities

- Agency wide implementation of OMB Circular No. A-123, *Management's Responsibility for Enterprise Risk Management and Internal Control* (updated 2016). Advise senior leadership on approaches and methods to mature SBA's ERM capability, which includes strengthening program and administrative risk management practices. Continuing to lead agency-wide implementation efforts related to governance, processes, and culture.
- As required by OMB Circular No. A-123, Appendix A, *Management of Reporting and Data Integrity Risk* (updated 2018), beginning programmatic evaluation steps to design the internal control over non-financial reporting program.
- Advise the Fraud Risk Management Council (*formed in 2019*) on agency-wide implementation efforts related to fraud risk, as outlined in the Payment Integrity Information Act of 2019.
- Ongoing development of Agency program to protect from Insider Threat and focus on improving employee awareness and adapting to insider threat considerations for post-COVID-19 implications in telework, along with elevated physical risks due to increases in staffing levels from COVID-19.
- Refinement and implementation of new Audit Compliance Standard Operating Procedure (SOP) to solidify the current OCORM-led facilitation, coordination, monitoring, and resolution of active and open audit recommendations from the SBA Office of Inspector General (OIG) and Government Accountability Office (GAO).
- Facilitation of Agency strategic planning discussions and collaboration with SBA Offices on the path forward and resolution of the Most Serious Management and Performance Challenges Facing the Agency, as reported by OIG.
- Development of SBA Integrity, a new audit case management system on the Insight platform, in collaboration with OCIO and stakeholder input.
- Interagency Readiness Support Function Leadership Group (RSFLG) development of National Disaster Recovery Framework (NDRF) functionality and SBA integration with interagency recovery operations.
- Disaster Planning & Recovery Plan (DPRP) - (Currently under major revision pending results from COVID-19 Mid-Course Review)
- COVID-19 Mid-Course Review – In preparation for revising the DPRP, OCORM is leading an agency-wide mid-course review to examine the agency's response and recovery actions to identify strengths and areas for improvement to inform future economic recovery operations.
- Continuity of Operations (COOP) Plan – (Updated annually, currently under major revision based on experience in sustaining mission-essential functions during COVID-19)
- COVID-19 Reconstitution – Supporting the on-going consultation and implementation of the agency's Reconstitution Plan for all agency offices nationwide.

Board Membership:

- External
 - White House (NSC) Domestic Resilience Group (DRG) (*PCC at Assistant Secretary level*)
 - White House National Security Council (NSC) Critical Infrastructure Security and Resilience (CISR) (*PCC at Assistant Secretary level*)
 - Sub-PPCs (*Include: Exercise and Evaluation, National Mission Assurance, and others that are situationally established by the NSC.*)
 - Interagency / FEMA-led NDRF RSFLG
 - Interagency / FEMA-led Continuity Advisory Group and Interagency Continuity Working Group
 - Interagency / FEMA-led (National Exercise Division) Exercise Implementation Committee
 - OMB Enterprise Risk Management Executive Steering Committee Member
 - Interagency/Department of the Treasury-led ERM Community of Practice
- Internal
 - Enterprise Risk Management (ERM) Board (Coordinator & Facilitator)
 - Senior Management Council (Co-Chair)
 - Fraud Risk Management Council (Facilitator)
 - Security Coordinating Council (Voting member)
 - Administrator's Command Center (established for COVID-19 response and recovery, OCORM serves as operational facilitator)
 - SBA Disaster Oversight Council (when activated under the DPRP)

FACA Boards:

N/A

External Stakeholders

- ☐ White House National Security Council Staff
- ☐ FEMA-led Recovery Support Function Leadership Group (RSFLG) and working level counterparts in FEMA, Commerce/ EDA, HUD, HHS, and USDA)
- ☐ FEMA- National Exercise Division
- ☐ DHS – Federal Protective Service
- ☐ Federal interagency elements:
 - National Security Council committee structure, including the Domestic Resilience Group
 - Recovery Support Function (RSF) structure defined by the *National Disaster Recovery Framework* (NDRF) (e.g., RSF Leadership Group)
 - Continuity of Operations bodies:
 - Small Agency Council (SAC) Interagency Continuity Working Group (ICWG) – currently serve as Secretary
 - Continuity Advisory Group (CAG)

National Insider Threat Task Force (NITF)

- ☐ National Exercise Program working groups

Key Office Events Hosted/ Supported

- ☐ Biennial Disaster Senior Leadership Seminar. (Statutory requirement. Last conducted July 2018 – next required NLT December 2020.)
- ☐ Annual National Continuity of Operations Exercise (EAGLE HORIZON) usually conducted in the March to June timeframe every year as set by WH/ FEMA (canceled in 2020 due to COVID-19; SBA scheduling internal exercise for completion by end of 2020).
- ☐ Monthly Meetings of the Agency Enterprise Risk Management Board. (Chaired by Deputy Administrator – vice chair is Chief of Staff – and including top agency leadership at AA and

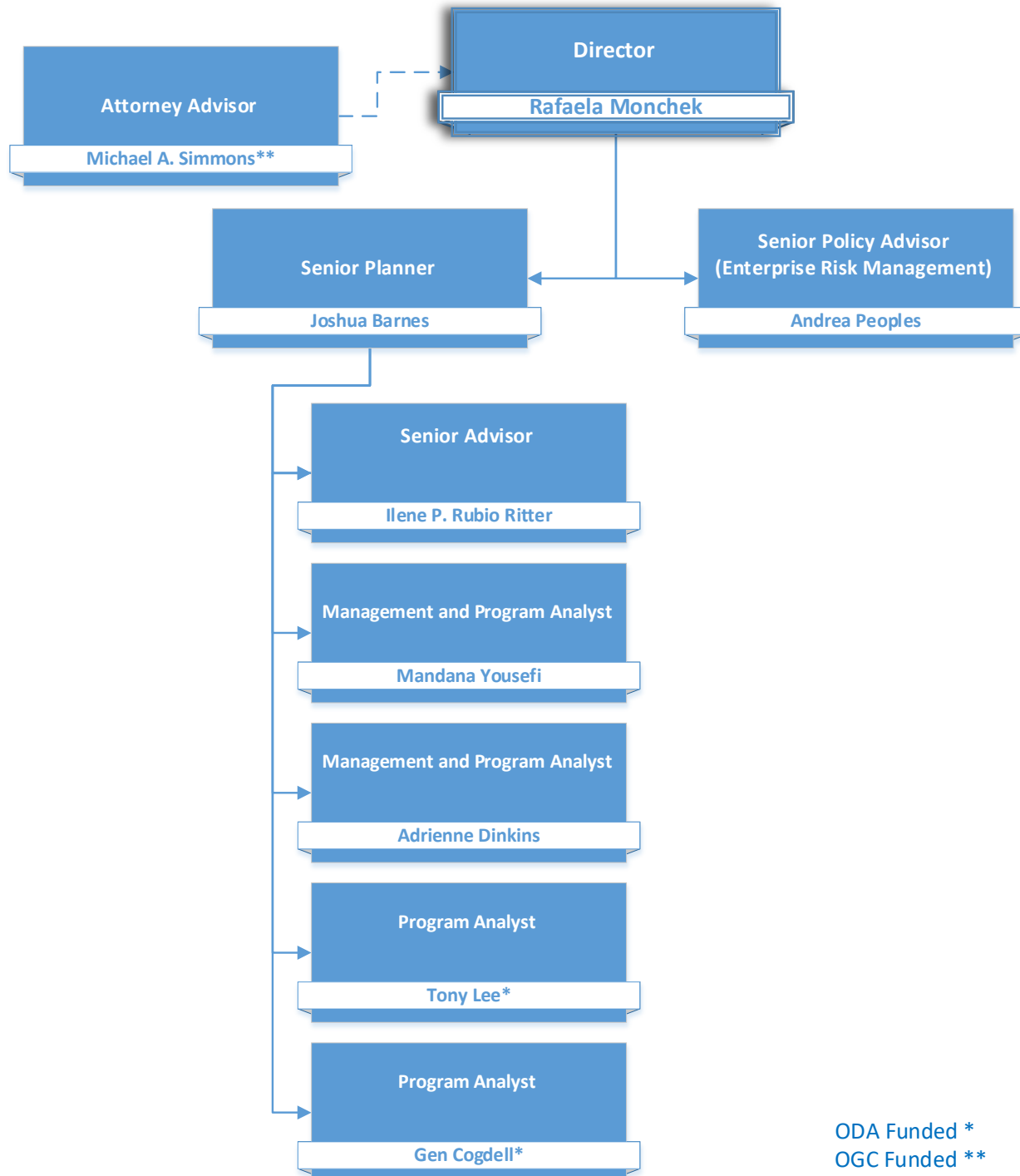
“C” level offices.)

- ☐ Quarterly meetings of the Insider Threat HUB
 - ☐ Insider Threat All-Hands Training (annually)
 - ☐ Monthly or more frequent Audit Review meetings between OCORM, SBA Offices, and OIG
 - ☐ Quarterly or as-needed meetings between OCORM, GAO, and SBA Offices
 - ☐ Compliance and Audit Process Training for SBA offices on an ongoing basis
-

Organizational Chart:

OFFICE OF CONTINUOUS OPERATIONS AND RISK MANAGEMENT (OCORM)

As of: 07/28/20



ODA Funded *

OGC Funded **

Office of Human Resources Solutions (OHRS)

Office Description and Mission

The Office of Human Resources Solutions (OHRS) delivers customer-focused, efficient, and timely HR solutions to approximately 2,000 employees at SBA headquarters and across 68 District Offices and 10 Regional Offices. OHRS sets the proper conditions for SBA to attract, develop, and retain a high performing workforce committed to serving America's entrepreneurs who rely on SBA services to create jobs, deliver goods and services, and lift up our Nation's economy.

Office Leadership

Chief Human Capital Officer	Elias Hernandez
Deputy Chief Human Capital Officer	Julie Brill
Chief, Enterprise Human Capital Initiatives	Denise Biaggi-Ayer

Major Components/Program Offices

Division/Branch Component & Key Leader	Brief Description & Key Statistics
Executive Resources Kathy Mitcham Kristan Avis	<p>The OHRS Executive Resources team develops, formulates, coordinates, and administers SBA's executive and political personnel programs, to include Political Appointees, Schedule C, Senior Executive Service (Career and Non-Career), and Senior Level employees. The team is responsible for the lifecycle management of executives—recruitment, onboarding, development, mobilization, retention, and off-boarding.</p> <p>The Executive Resources team also serves as the executive secretary to, and provides administrative support for, the Executive Resources Board (ERB) and Performance Review Board (PRB). The ERB plays an active role in the governance and oversight of executives and functions in an advisory capacity to the Administrator. The ERB addresses executive personnel planning, utilization of executive resources, executive development, and evaluation of executive personnel programs, as well as the management oversight to the Presidential Management Fellow program (PMF). The PRB is a board comprised of senior executives responsible for reviewing, evaluating, and making recommendations with respect to individual performance, awards, and bonuses of all career senior executives.</p>
Strategy, Policy and Accountability Division Valencia Dickens	<p>The Strategy, Policy, and Accountability Division monitors legislative and regulatory developments to facilitate compliance, leadership decision-making, and program administration. It develops, implements, and maintains forward leaning SBA HR policies (11 in FY2020). It is responsible for workforce planning. It advises Program Offices in the development of organizational restructuring proposals, functional statements, organizational charts, and position management plans. It analyzes and reviews position structures and requirements to maximize cost effectiveness and contribution to Program Office goals. It evaluates the Agency's Delegated Examining Unit, Merit Promotion, and special hiring authority programs to ensure that hiring practices comply with Merit Systems Principles and Federal regulations.</p>

Division/Branch Component & Key Leader	Brief Description & Key Statistics
Workforce Acquisitions Division Denise Sandoval	<p>The Workforce Acquisitions Division is responsible for recruitment, classification, staffing, and merit promotion. Its goal is to help the Agency secure talent needed to effectively service the needs of America's entrepreneurs. The Division collaborates with Program Offices to acquire high caliber talent in a timely, efficient manner. The staff primarily is based in Denver, Colorado.</p> <p>Processed 741 actions to support agency staffing needs in FY20 (excluding Schedule Cs, non-career/ career SES) which included 405 CARES Act temporary employee actions.</p>
Organizational Effectiveness Division Joellen Jarrett	<p>The Organizational Effectiveness Division (OED) is responsible for talent development, organizational development, employee engagement, and performance management. The Division, led by the Agency's Chief Learning Officer, is responsible for formulating the Agency's talent development strategy and executing new employee acculturation, leader development, job-specific technical training, supervisory training, certification, and experiential learning programs in support of the strategy. The Division works closely with Program Offices to establish linkages between organizational and individual performance, evaluate performance, and identify / close skills gaps through education, training, and experiential learning. This Division supports the agency's Federal Employee Viewpoint Survey and follow up action-planning.</p>
Workforce Relations Division Miriha Furedi	<p>The Workforce Relations Division assists Agency managers/ supervisors in correcting poor performance, addressing conduct infractions, and meeting their local labor relations responsibilities.</p> <p>The Employee / Labor Relations Specialists are prepared to assist managers throughout the Agency. The Washington, D.C. staff has opportunities to meet face-to-face with many supervisors and employees and with the Mid-Atlantic Regional Vice President of the largest AFGE Local in SBA. The staff supports offices across the country, including the 68 District Offices within the Office of Field Operations, Regional Offices within GCBD, and Loan Centers within the Office of Capital Access.</p>
Office of National Labor Relations Kelly Robinson	<p>The Office of National Labor Relations (ONLR) is responsible for SBA's labor-management relations program at the national (agency) level. ONLR leads all national level union engagements and negotiations to include term and mid-term negotiations for the master labor agreement (MLA) and all other enterprise-wide agreements on new and revitalized programs and initiatives. ONLR provides advice and guidance on labor relations issues at the enterprise level. Serves as human resources representatives in third party proceedings including arbitrations, unfair labor practices cases and other administrative proceedings. Engages the union on the execution of legislative and regulatory changes in the furtherance of efficient and effective programs across the agency. Its goal is to fosters a collaborative labor-management relationship through consultation, continuous communications, and encourage transparency with the union.</p>

Division/Branch Component & Key Leader	Brief Description & Key Statistics
HR Systems Management and Processing Division Tanya Bennett	The HR Systems/Processing Division processes all personnel and payroll actions, including employee benefits, and manages the time and attendance system. The Division also develops and implements plans, procedures, and standards for HR information systems and posts HR content on the SBA intranet. The Division is leading the Agency's migration to a new enterprise HR information system.
Administrative Office Charles Brinkley	The Administrative Office delivers cost-effective, responsive, and customer-focused support services. Services provided include contract management, budget administration, facility support, and preparation of audit, Congressional, and FOIA responses.

Current Activities:

- OHRS is implementing a web-based human capital management system – *EmpowHR* which will provide full processing capabilities for all personnel actions, payroll transactions, and benefits management. These actions include creation of new position records, reassignments, promotions, awards, new hires and a variety of payroll documents.
- Leverage artificial intelligence (AI) to address customer needs and improve the efficiency in which we deliver service.
- Conduct training needs assessment and develop strategies to address Mission Critical Occupations (MCOs) requirements; develop career paths for the MCOs
- Develop an agency-wide National Workforce and Succession Plan
- Deploy SBA leadership succession plan;
- Implement SBA Strategic Workforce Plan 2017 – 2020
- Hiring additional 120+ Temporary employees to support SBA's response to the pandemic.
- Implement Executive Order 13932-Determining Qualifications and the Use of Assessment Tools When Filling Positions, to include full deployment of *USAHIRE*. The intent of the EO is to improve Federal hiring using effective assessments and competency-based qualifications.
- Train new supervisors within 3 months of new appointments
- Improve employee engagement, in partnership with the Employee Engagement Action Planning Committee as force multipliers on specific initiatives identified as high priority based on feedback from the workforce.
- Continue to support SBA and the American Federation of Government Employees (AFGE) Master Labor Agreement Negotiations
- Revamped New Employee Onboarding to fully virtual.
- Administer a new onboarding program to facilitate the acculturation of employees, including MicroSoft Teams cohorts, and checklists for supervisors, the new employee, and a "buddy"
- Expand work-life efforts by engaging a network of Work-Life Engagement champions across the agency.
- Streamline the hiring process and how we hire top-talent ensuring supervisors are well-prepared on the staffing process and are aware of the various hiring authorities
- Offer Schedule A hiring authority for direct hire of temporary employees to support COVID-19 response.
- Update HR-related SOPs; recent updates resulted in the removal of OHRS from the Office of Inspector General's Human Capital Management Challenges
- Update three SOPs (Dispute Resolution SOP; Performance Management SOP; Discipline and Adverse Action SOP) to fully implement Executive Orders: 13836 *Developing Efficient, Effective,*

and Cost-Reducing Approaches to Federal Sector Collective Bargaining; 13837 Ensuring Transparency, Accountability, and Efficiency in Taxpayer Funded Union Time Use; and EO 13839 Promoting Accountability and Streamlining Removal Procedures Consistent with Merit Systems Principles.

- Collaborate with Program Offices to post announcement of SBA details on the US Office of Personnel Management's "Open Opportunity" interagency site
- Secured full certification of the Agency's SES performance management system and full certification of its SL performance management system in FY17 by OPM/OMB. Both systems are certified through late 2021.
- Developed SBA's Reconstitution Plan; respond to a variety of CO-19 employee situations related to return-to-work; respond to individual pandemic related inquiries in a new mailbox dedicated to Coronavirus questions
- Offer refresher supervisory training to experienced supervisors every three years in accordance with 5 CFR 412.202 regulations.
- Refine reporting capabilities to improve senior leadership visibility into the status of Employee Relations cases involving poor performance and conduct infractions, instituting target timeframes to drive greater accountability on the part of managers/ HR Specialists in completing steps required to take disciplinary actions commensurate with the infractions.
- Implementing SBA's payroll/ benefits system and e-52 system in collaboration with the National Finance Center, an OPM- approved HR shared services provider.

Board Membership:

- **Internal:**
 - Advisor, Executive Resources Board
 - Advisor, Performance Review Board
 - Member, Enterprise Risk Management Board
 - Member, Facilities Management Board
 - Senior Management Council
 - Member, Agency Fraud Council
- **External:**
 - Chief Human Capital Officers Councils (CHCO / Deputy CHCO)
 - SBA Senior Accountable Official for Employee Engagement
 - Federal Chief Learning Officers Council
 - Senior Executives Association

External Stakeholders

- U.S. Office of Personnel Management
- Office of Management and Budget
- U.S. Merit Systems Protection Board
- National Finance Center
- Interior Business Center
- Members, American Federation of Government Employees (bargaining unit employees) Affinity groups

Key Office Events Hosted/ Supported

Internal:

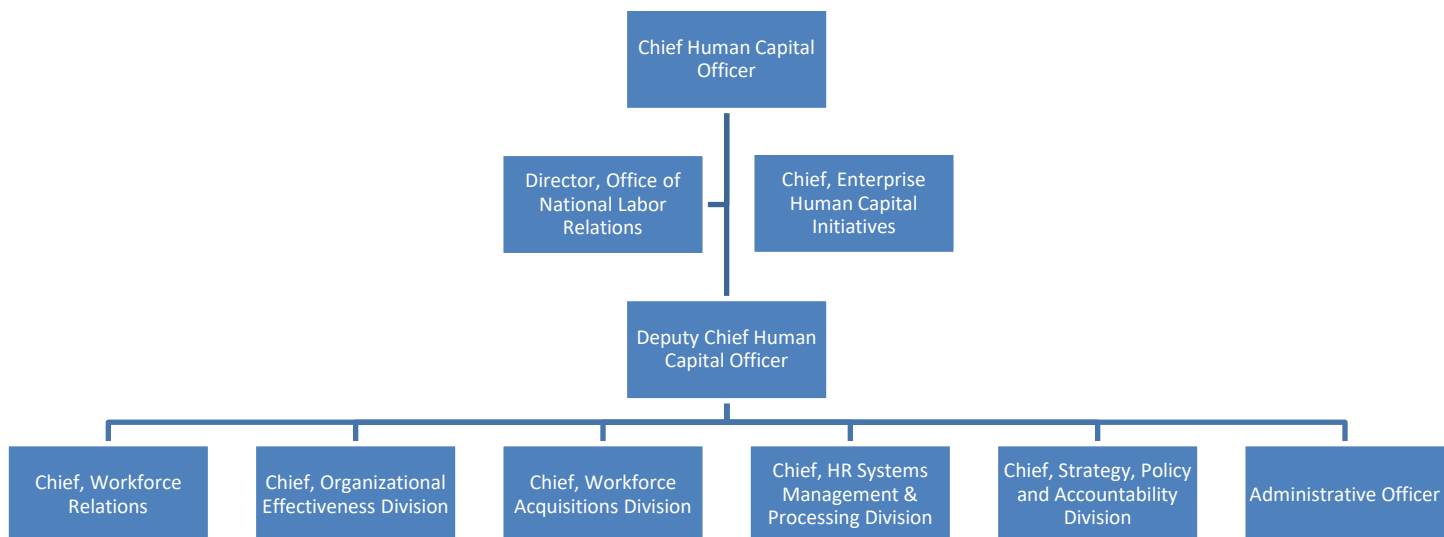
- IKE Awards Ceremony – annual event (all employees)
- Strategic Start for Executives (4 sessions)

- Developing Senior Leaders Who Build the Next Generation of Talent (30+ career/non-career executives)
- SES Panel (200+ employees)
- Monthly HR Cafes (all SBA); sample topics:
 - Use or Lose Leave
 - Benefits Open Season
 - Family Medical Leave
 - Tips for Telework Success
 - Managing Your Career
 - Suicide Awareness
 - Building Your Resilience
 - Building Leadership Competencies; Aspiring SES Candidates"
- New Employee Orientation (every other Monday)
- Mentoring Program (50 pairs in FY2020)
- PMC Interagency Rotations Program in collaboration with the US Office of Personnel Management
- *Peer-to-Peer Power Hour* Learning Sessions (58 sessions; 500+ employees)
- Supervisory Training (4 sessions basics for 1st time supervisors)
- Supervisory Community of Practice (500 managers/ supervisors)
- Briefings to the Enterprise Risk Management Board on Identified Agency-wide Risks:
 - Succession Management
 - Poor Performance / Conduct Infractions
- Dealing with Poor Performance and Conduct Infractions Workshop (80+ managers/ supervisors)
- Characteristics of High Performing Teams (60+ Field Staff employees)
- Labor Relations training for supervisors/managers
- Workshop on Developing and Identifying Measurable Results in SES / SL Performance Plans for senior executives/ senior professionals
- Employee Engagement Action Planning Committee Summit
- OPM Hiring Excellence Workshop (50+ hiring managers/ HR specialists)
- Multiple Policy Information Sessions with Employees and Managers during Pandemic
- Return-to-Work training for 1) supervisors/managers, and 2) all employees during COVID-19 pandemic
- Bi-weekly calls and information sessions with supervisors and employees during pandemic on various policies and HR flexibilities (e.g., flexible work schedules to help manage dependent care needs, the CARES Act Emergency Paid Sick Leave, overtime)
- Federal Internal Coach Training Program for Governmentwide Chief Learning Officer community (8 month program with 128 participants from across the government)
- Employee Assistance Program Overview (twice a year)
- **Modern Government Management Traits** (MGMT), late FY2020. This program is based on **Google's Project Oxygen** which determined what makes a great manager.
- Bi-weekly webinar series, **Mindful Minutes**, designed to support the overall well-being of all employees during an extremely challenging time. The topics focus on supporting and building the capacity of employees in the current environment. The series was launched June 10th and the sessions are recorded and have included the following:
 - June 10th – Building Resiliency During Uncertain Times (41 registered)
 - June 24th – Navigating Change (75 registered)
 - July 8th – Emotional Intelligence: Managing Self and Engaging Others (95 registered)
 - July 21st – Difficult Conversations (99 registered)
 - July 29th – Practice Session (~30 attendees)
 - August 5th – Grit and Courage (85 registered)
 - August 19th – Collaboration: Interpersonal Ingredients that Begin with You (45 registered)

External:

- Contributor, OPM Pathways Program
- Panelist, OPM-sponsored Federal Employee Development Evaluation Conference
- Speaker, Government Workforce Conference, Association for Talent Development
- Panelist, 2016 Annual Leadership Workshop, Asian American Government Executive Network
- Member, OPM/ VA Council on Veterans Employment
- Speaker, 2019 & 2020 Budget LoB Spring Forums
- Speaker, 2020 OPM-Sponsored Organizational Culture and Excellence Workshop

Organizational Chart:



Office of the National Ombudsman (ONO)

Office Description and Mission

The Office of the National Ombudsman (ONO) assists small businesses when they experience excessive or unfair federal regulatory enforcement actions, such as repetitive audits or investigations, excessive fines, penalties, threats, retaliation, or other unfair enforcement action by a Federal agency.

Office Leadership

Assistant Administrator, National Ombudsman	Amber Richards
Deputy National Ombudsman	Mina A. Wales

Major Components/Program Offices

Office/Component & Key Leader	Brief Description & Key Statistics
National Ombudsman and Deputy National Ombudsman	Execute HR, budget, financial reports, performance management, data collection, strategic initiatives and special projects. We work directly with senior leadership at Federal agencies to address and respond to regulatory and enforcement issues from small businesses.

Current Activities

- Outreach Planning and Annual Regulatory Fairness Board Meeting Planning
- Strategic Planning and interaction with national Regulatory Fairness Board members
- Recruitment and vetting of potential Regulatory Fairness Board candidates
- Follow up interaction with high-level Federal agency officials on pertinent issues impacting large numbers of small business entities (i.e. HHS/CMS and DOI/Fish and Wildlife, OSHA, IRS, EPA)

FACA Boards

Regional Regulatory Fairness Boards (10)

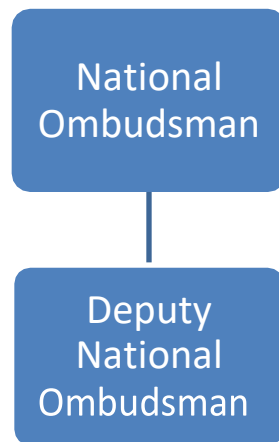
External Stakeholders

All Federal Agencies

Key Office Events Hosted/ Supported

- Annual Regulatory Fairness Board Conference
- Regulatory Fairness Hearings and Business Roundtables throughout the nation

Organizational Chart



BIOGRAPHY - KEY STAFF LISTING

SBA HEADQUARTERS

Name	Title	Office
Jovita Carranza	SBA Administrator	Office of the Administrator
William Manger	Chief of Staff	Office of the Administrator
Christopher Gray	Deputy Chief of Staff	Office of the Administrator
Stephen Kong	Acting Chief Operating Officer	Office of the Administrator
Major Clark	Acting Chief Counsel	Office of Advocacy
Bill Briggs	Deputy Associate Administrator	Office of Capital Access
John Miller	Deputy Associate Administrator	Office of Capital Access
Elias Hernandez	Chief Human Capital Officer	Office of the Chief Human Capital Officer
Julie Brill	Deputy Chief Human Capital Officer	Office of the Chief Human Capital Officer
Keith Bluestein	Chief Information Officer	Office of the Chief Information Officer
Vacant	Deputy Chief Information Officer	Office of the Chief Information Officer
Jim Billimoria	Associate Administrator	Office of Communications & Public Liaison
Erin McCracken	Deputy Associate Administrator	Office of Communications & Public Liaison
Michael Hershey	Associate Administrator	Office of Congressional & Legislative Affairs
James Rivera	Associate Administrator	Office of Disaster Assistance
Kem Fleming	Deputy Associate Administrator (Acting)	Office of Disaster Assistance
Zina Sutch	Assistant Administrator	Office of Diversity, Inclusion, and Civil Rights
Allen Gutierrez	Associate Administrator	Office of Entrepreneurial Development
Adriana Menchaca-Gendron	Deputy Associate Administrator	Office of Entrepreneurial Development
George Koklanaris	Associate Administrator	Office of Small Business Development Centers
Nancyellen Gentile	Deputy Associate Administrator	Office of Small Business Development Centers
Sery Kim	Assistant Administrator	Office of Women's Business Ownership
Donald Malcolm Smith	Deputy Assistant Administrator	Office of Women's Business Ownership
Michael Vallante	Associate Administrator	Office of Field Operations
Victor Parker	Deputy Associate Administrator	Office of Field Operations
Brittany Biles	General Counsel	Office of General Counsel
Nina Levine	Deputy General Counsel	Office of General Counsel
Dr. Francis Spampinato	Associate Administrator	Office of Government Contracting and Business Development
Barbara E. Carson	Deputy Associate Administrator	Office of Government Contracting & Business Development
Delorice Price Ford	Assistant Administrator	Office of Hearings & Appeals
Rafaela Monchek	Director	Office of Continuous Operations and Risk Management
Hannibal "Mike" Ware	Inspector General	Office of Inspector General
Sheldon Shoemaker	Assistant Inspector General for Management and Operations	Office of Inspector General
Andrea Deadwyler	Assistant Inspector General for Audits	Office of Inspector General

BIOGRAPHY - KEY STAFF LISTING

Name	Title	Office
Brian Grossman	Assistant Inspector General for Investigations	Office of Inspector General
Loretta Greene	Associate Administrator	Office of International Trade
Michele Schimpp	Deputy Associate Administrator	Office of International Trade
Donald DeFosset, III	Associate Administrator	Office of Investment and Innovation
Amber Richards ^(OBJ)	National Ombudsman	Office of the National Ombudsman
Mina Wales	Deputy National Ombudsman	Office of the National Ombudsman
Shawn Pensoneau	Assistant Administrator	Office of Native American Affairs
Tami Perriello	Chief Financial Officer	Office of Performance Management and Chief Financial Officer
Melissa Atwood	Deputy CFO (Acting)	Office of Performance Management and Chief Financial Officer
Jason Bossie	Director	Office of Program Performance, Analysis and Evaluation
Nate Reboja	Director	Office of Financial Systems
Larry Stubblefield	Associate Administrator	Office of Veterans Business Development
Timothy Green	Deputy Associate Administrator	Office of Veterans Business Development
Sean Crean	Executive Director	Office of Executive Management, Installations and Support Services

SBA REGIONAL OFFICES

Name	Title	Office
Wendell G. Davis	Regional Administrator	New England Regional Office
Steve Bulger	Regional Administrator	Atlantic Regional Office
Steve Bulger	Regional Administrator (Acting)	Mid-Atlantic Regional Office
	Regional Administrator	Southeast Regional Office
Robert Scott	Regional Administrator	Great Lakes Regional Office
Justin Crossie	Regional Administrator	South Central Regional Office
Thomas Salisbury	Regional Administrator	Great Plains Regional Office
Daniel Nordberg	Regional Administrator	Rocky Mountain Regional Office
Michael Vallante	Regional Administrator	Pacific Regional Office
Jeremy Field	Regional Administrator	Pacific Northwest Regional Office

Jovita Carranza

Administrator



Jovita Carranza serves as the 26th Administrator of the U.S. Small Business Administration (SBA). As a member of President Trump’s Cabinet, she advocates on behalf of the 30 million small businesses in America. In her role as Administrator, she leads a team of professionals dedicated to ensuring entrepreneurs located across America have the support and resources they need to start, grow, and expand their small businesses, and recover in the event of a declared disaster.

Prior to leading the SBA, Administrator Carranza served as Treasurer of the United States at the U.S. Department of the Treasury under President Donald J. Trump. In her role as a principal advisor to Secretary Mnuchin, Carranza focused on increasing participation in our vibrant economy by fostering financial capability and sustainability.

Administrator Carranza is a Chicago native and founder of a small business consulting company. She previously served as the Deputy Administrator for the SBA under former President George W. Bush, where she received a bipartisan, unanimous confirmation by the U.S. Senate.

Before her first SBA appointment, Carranza had a distinguished 30-year career at United Parcel Service (UPS), where she was the highest-ranking Latina in the history of the company. She started as a part-time, night-shift box handler and worked her way up to President of Latin America and Caribbean operations.

Administrator Carranza earned her MBA from the University of Miami in Coral Gables, Florida and received executive, governance, management, and financial training at the INSEAD Business School in Paris, France; Michigan State University; and the University of Chicago.

William Manger

Chief of Staff



William Manger currently serves as SBA's Chief of Staff as well as the Associate Administrator for the Office of Capital Access.

As Associate Administrator for the Office of Capital Access, Manger manages a portfolio of over \$835 billion in direct and guaranteed loans, nine operation centers, and 560 employees of SBA's Office of Capital Access.

Prior to his SBA appointment, Manger served as Managing Director at Brock Capital Group, a boutique investment bank in New York City, where he advised and supported small to medium sized enterprises in their efforts to raise capital and expand their businesses.

From 2007 to 2009, Manger served as Associate Administrator for Field Operations at SBA. He first came to SBA in 2005 to serve as Regional Administrator for Region 2, based in New York City. Manger holds an MBA from Columbia Business School and a BA from Trinity College in Hartford, CT.

Christopher Gray

Deputy Chief of Staff



As the Deputy Chief of Staff, Chris Gray assists in leading the SBA and the Administration's emergency capital relief response efforts.

His promotion to Deputy Chief of Staff comes after two years of service at the SBA, during which time he held two titles: White House Liaison and Senior Advisor to the Administrator.

Gray previously held roles in the Trump Administration, including Senior Associate Director of Intergovernmental Affairs at the White House and Senior Advisor at the Export-Import Bank. He has worked in the private sector on Financial Services and Government/Public Relations and also served four years in the Administration of Pennsylvania Governor Tom Corbett, where he focused on Privatization, Innovation, Banking, and Energy Development.

Stephen Kong

Acting Chief Operating Officer



Steve is the Senior Advisor for Policy and Planning in the Office of the Administrator and has also been serving as SBA's Acting Chief Operating Officer since February 2020.

For most of his professional career, Steve has served in various attorney roles in both the private and public sectors. In fact, in Steve's first stint at SBA more than a decade ago, he was the Agency's Deputy General Counsel and for nine months the Acting General Counsel. Most recently, however, Steve was the Chief Counsel for the Economic Development Administration (EDA) at the Department of Commerce and before working at EDA he owned his own law firm specializing in the areas of commercial litigation, labor and employment law, and Federal small business programs.

Steve started as an attorney in New York City where he joined the Brooklyn District Attorney's Office as an Assistant District Attorney after graduating from Fordham Law School, and subsequently served two years as a Law Clerk for the late Judith S. Kaye, the first woman to be appointed as Chief Judge of the Court of Appeals, New York State's highest court. Following his clerkship and before coming to Washington DC, Steve was a Litigation Associate at two of the City's premier law firms, Proskauer Rose LLP and Stroock & Stroock & Lavan LLP.

In addition to this legal experience, Steve has held positions with Andersen Consulting, Sterling Drug and CPA Global, business experience that has given him valuable insight into the everyday needs and concerns of businesses and their employees.

Major Clark

Acting Chief Counsel



Major Clark is responsible for government contracting issues, including regulations related to the HUBZone, 8(a), Small Business Innovation Research, and Minority Enterprise Development programs. Currently, he is serving as Acting Chief Counsel for Advocacy. In addition, he covers Research and Development, cybersecurity, Bureau of Industry and Security export regulations and is a member of Advocacy's international team. Major has been a member of the Advocacy team since 1998. Before joining Advocacy, he was a senior corporate officer for one of the fastest growing minority-owned businesses in the United States, the Maxima Corporation. During his 11 years at the Maxima Corporation, Major managed several multi-million-dollar federal contracts and was the senior corporate officer for administration. In his earlier tenure in public service, Major received national recognition as the first African American to serve as the chief administrative officer for the Small Business Committee of the U.S. House of Representatives. Congress enacted numerous innovative laws for small and minority businesses during this time, most still at the center of today's federal small business programs.

Bill Briggs

Deputy Associate Administrator



Bill Briggs serves as the Deputy Associate Administrator in the SBA Office of Capital Access. Bill also serves as the SBA Headquarters liaison to financial institutions regarding Economic Injury Disaster Loans (EIDL) made by SBA’s Office of Disaster Assistance.

The Office of Capital Access helps make funding available through banks and other lending partners to small business that cannot otherwise obtain loans. Bill helps implement policies and plans for the SBA’s loan program policy, technology, operations, and oversight. This includes SBA’s flagship 7(a) and 504 loan programs, the Microloan program, and the surety bond program. Currently Bill coordinates communications, policy, operations, and Agency implementation efforts for the Paycheck Protection Program.

Prior to his current SBA appointment, Briggs’s background includes two decades at the intersection of public policy and the financial services industry. A veteran of three presidential campaigns, his experience also includes work in the NY state legislature, the federal government and numerous issue advocacy campaigns. Bill has served two Presidents, a Vice President, two leading presidential candidates, two large state governors, two Cabinet Secretaries and a committee chairman.

A native of New York, Briggs has a degree in economics from the University of Michigan.

John Miller

Deputy Associate Administrator



John Miller supports Associate Administrator William Manger in leading Office of Capital Access loan program policy, technology, operations and oversight, including: the agency's flagship 7(a) and 504 Loan programs, the PPP Loan Program, Surety Bond Program, Microloan Program, and the SBA's \$835 billion portfolio of direct and guaranteed loans.

Previously, Miller served as the Director of Financial Program Operations and was responsible for the SBA's loan operations centers and portfolio management.

He joined the SBA in 1999 as a commercial loan specialist in the Seattle District Office. Prior to that, Miller served at the Federal Deposit Insurance Corp. for nine years as a financial analyst in Irvine, California and San Antonio, Texas.

Elias Hernandez

Chief Human Capital Officer



Elias Hernandez was appointed as the U.S. Small Business Administration’s Chief Human Capital Officer on June 27, 2016. Mr. Hernandez is responsible for developing and implementing SBA’s human capital strategy to carry out the Agency’s responsibilities for selecting, developing, and managing a high-caliber workforce ready to support America’s entrepreneurs as they seize opportunities to grow and reach new markets. He is also accountable for the Agency’s overall human capital program, which includes human resources policy, recruitment, employee development, retention, executive resources, strategic workforce planning, performance management, compensation and benefits, leave administration, labor & employee relations, work/life, and HR IT systems.

Mr. Hernandez previously served as Chief Officer of the Veterans Health Administration’s (VHA), Workforce Management and Consulting Office. In this role, he provided technical expertise to the Under Secretary for Health and National Leadership Council on Human Capital Management matters and the overall delivery of Human Resources (HR) service to VHA. He also had oversight of over 350 staff with a \$155 million budget supporting over 5,000 HR Professionals located throughout the United States, including Hawaii, Alaska and Puerto Rico. Mr. Hernandez led the VHA’s HR program which supported 18 Veterans Integrated Service Networks and 141 Medical Centers consisting of more than 317,000 clinical and administrative support employees and nearly 120,000 health professions trainees.

Mr. Hernandez retired from the Army at the rank of E-9—Sergeant Major—after 24 years of distinguished active duty military service. He holds a Master of Science degree in Human Resources Management and Development from National-Louis University.

Julie Brill

Deputy Chief Human Capital Officer



Julie Brill was appointed as the U.S. Small Business Administration’s Deputy Chief Human Capital Officer in June 2019. Ms. Brill’s responsibilities cover all aspects of human resources and human capital management, including the selection, development, and management of SBA’s workforce in support of the agency’s mission.

Ms. Brill previously served in various roles at the US Office of Personnel Management (OPM), including the Manager of Leadership and Executive Development and Work-Life policy. In this role, she provided governmentwide oversight and guidance for the development of leaders at all levels of the government, as well as the well-being of all Federal employees. Her portfolio also included outreach and support to agencies as they worked on improving employee engagement. In addition, Ms. Brill served as OPM’s Deputy HR Director, Director of HR Policy and Chief Learning Officer, and a Personnel Psychologist.

Ms. Brill received her Bachelor of Arts degree in Psychology from Vassar College, a Master of Science degree in Clinical Psychology from American University, and a Master of Science degree in Industrial/Organizational Psychology from The Graduate Center of City University of New York (Baruch College).

Keith A. Bluestein

Chief Information Officer



Mr. Bluestein reported as the Chief Information Officer (CIO) in June 2020. His team leads the Agency's development and execution of strategy, planning, management, and delivery of the agency's information technology (IT) services. This includes orienting the agency's strategic direction in leveraging data and technology to provide an optimal citizen experience when interacting with the SBA.

Prior to his current position, Mr. Bluestein was assigned to NASA as the Associate Chief Information Officer (ACIO) for Enterprise Service and Integration (ES&I) in October 2016. ES&I manages the portfolios for Enterprise IT services within the Office of the CIO. This included Applications, End User Services (EUS), Communications, Computing, Information Management, Collaboration, and Enterprise Integration in the ES&I portfolio.

Preceding his assignment at NASA, Mr. Bluestein served as the Acting Chief Information Officer (CIO) at the U.S. Small Business Administration's (SBA). He led the Agency's development and execution of strategy, planning, management, and delivery of the agency's information technology (IT) services. He oversaw all aspects of enterprise IT services, systems, investments and security for the community's extensive and geographically dispersed user base. During his tenure, SBA replaced their entire national network infrastructure, moved agency e-mail to a cloud-based service, and strengthened network security.

Previous to the SBA, Mr. Bluestein served as the Department of the Navy's (DON) Special Access Program (SAP) CIO from 2010. In that role, he was responsible for the strategy, planning, management, and delivery of the DON's SAP information technology (IT) services. He oversaw all aspects of enterprise IT services, systems, investments and security for the community's extensive user base. He was also responsible for formulating and executing an overall technology strategy in support of the Navy's classified acquisition mission.

Prior to his civilian government service, Mr. Keith Bluestein served in the United States Navy as a naval officer and aviator from 1984 to 2004. He served in several P-3C Orion squadrons and had operational command during his last P-3C tour of duty in support of Operation Enduring Freedom.

Mr. Bluestein's educational background includes degrees in Business administration from Arizona State University (BS) and San Jose State University (MBA) and a degree in Government Information Leadership from National Defense University (MS).

Keith Bluestein and his wife Stacy have five children and live in Springfield, Virginia.

Michael Hershey

Associate Administrator, Office of Congressional and Legislative Affairs



Mike was a principal at Columbia Strategies, a government relations and consulting firm in the broadcast industry. The firm's portfolio addressed communications, policy, and legal issues related to copyright law, communications and tax law. He was the Senior Vice President of Government Relations for the National Association of Broadcasters, where he advocated for 8,300 television and radio association members. Mike served as Chief of Staff and Legislative Director for U.S. Senator Rick Santorum (R-PA). He was also a Ways and Means Associate and served as a legislative aide to his hometown congressman Representative Bob Walker (R-PA).

Jim Billimoria

Associate Administrator, Office of Communications and Public Liaison



Jim Billimoria is the Associate Administrator for the Office Communications and Public Liaison at the U.S. Small Business Administration. Billimoria brings a variety of federal government and private sector experience to the position. He most recently worked as a Public Relations Manager at Amazon in Seattle, Washington, where he oversaw PR for the company's transportation delivery programs including Amazon Prime Air cargo planes, line haul trailers, and its relationship with the United States Postal Service. Other private sector experience includes his work at a Washington, DC based crisis communications firm.

Prior to his time at Amazon, Billimoria served as Communications Director for the House Committee on Transportation and Infrastructure led by Chairman Bill Shuster. By using traditional, digital, and social he rebranded the Committee and Chairman to show both as thought leaders on transportation technology and innovation policy. Other positions held on Capitol Hill include serving as Communications Director on the House Ways and Means Committee, Communications Director for Congressman Tom Price, and as a press assistant ant the House Republican Conference.

Billimoria earned a Bachelor of Science degree in Finance from the University of Illinois at Urbana-Champaign and a master's degree in media and public relations from Johns Hopkins University. He is originally from Palatine, IL and resides in Washington, DC with his wife and golden retriever.

Erin McCracken

Deputy Associate Administrator for Office of Communication and Public Liaison



Erin McCracken assists with the strategy formation and implementation of the Administrator's and the Agency's external and internal initiatives, engagements, policy statements and communications while upholding the SBA's mission to empower small businesses. She works as a senior leader to provide executive management, direction, support and oversight to the entire Office of Communications and Public Liaison's departments of Press, Marketing, Digital Media and Strategic Alliances.

Prior to joining the SBA, Erin served several Members of Congress and their constituencies through 12 years of combined professional communications roles in the U.S. House of Representatives and U.S. Senate. Erin is a graduate of the University of North Florida with Bachelor of Arts degrees in Political Science and International Studies.

James Rivera

Associate Administrator, Office of Disaster Assistance



James Rivera was named Associate Administrator for SBA’s Office of Disaster Assistance in November 2009. On average his office approves over 20,000 loans a year totaling about \$1 billion in responding to hurricanes, floods, tornadoes, etc. Most recently, disaster loans for Harvey, Irma and Maria hurricanes totaled \$7.4 billion. And, as a result of the COVID-19 pandemic, SBA approved over 3.6 million loans for \$194 billion in working capital. This is the SBA’s sole direct lending program

Rivera has also served as deputy associate administrator of the office and he was instrumental in leading several efforts to improve the agency’s disaster operations after hurricanes Katrina, Rita, and Wilma. Rivera started his SBA career in 1989 as a disaster loan specialist in Ft. Worth, Texas. He joined the Office of Disaster Assistance team in Washington, D.C., in 1994. Rivera has provided leadership in a number of capacities at SBA since that time. For example, from 2002 to 2006, he served as associate administrator in the SBA’s Office of Financial Assistance. Also, he served for a year as assistant administrator for Equal Employment Opportunity and Civil Rights Compliance.

Rivera private sector experience comes as a commercial loan officer specializing in marketing, underwriting and closing transactions in commercial real estate, wholesale and retail markets. He received a Bachelor of Business Administration degree in Finance and Economics from Texas Tech University.

Donald DeFosset, III

Associate Administrator, Office of Investment and Innovation

Mr. DeFosset is responsible for leading programs that provide the high-growth small business community with access to financial capital and research and development (R&D) funds to develop commercially viable innovations. He oversees the four high-growth small business programs aligned with OII – Small Business Investment Companies (SBICs), Small Business Innovation Research (SBIR), Small Business Technology Transfer (STTR), and Growth Accelerator Fund Competition.

Mr. DeFosset joins SBA from the DJD Group, where he served as the Chief Investment Officer. In this role he led venture capital and private equity investments. Responsibilities also included corporate strategy improvement, recruitment of key portfolio team members, and direct oversight through board positions. Recent industry experience includes investments in fintech, datacenters, space, consumer, biotech and energy. Previously, he was a partner and founding member in two multi-strategy investment funds in New York, one which was nominated for Emerging Manager of the Year in 2010. Before his work in the public markets, he led a variety of transactions in Private Equity at Andersen Weinroth. He began his career in the M&A Group at Donaldson, Lufkin & Jenrette where he closed domestic and cross border M&A deals. He is a 2000 graduate from the College of Engineering at the University of Michigan.

Kem Fleming

Acting Deputy Associate Administrator, Office of Disaster Assistance



Mr. Kem R. Fleming is the Acting Deputy Associate Administrator for the Office of Disaster Assistance (ODA), U. S. Small Business Administration (SBA) in Washington, DC. He is responsible for planning, programming, developing, implementing, and evaluating the SBA's disaster loan program throughout the nation.

Prior to his current assignment, Mr. Fleming was the Director, Field Operations Center East, Office of Disaster Assistance (ODA), U. S. Small Business Administration (SBA) in Atlanta, GA. He was responsible for managing the field delivery of the SBA disaster loan program to businesses of all sizes, homeowners, renters, and private, non-profit organizations at disaster sites. In his position, Kem has managed several major disaster declarations to include the recovery efforts during Super Storm Sandy and Hurricanes Irma and Maria.

Prior to joining SBA, Mr. Fleming served in the United States Army for 21 years. Kem has over 30 years of operational and leadership experience while serving in several key command and staff positions throughout his career. His extensive operational experience includes his participation in multiple operational deployments to Iraq, several National Level Homeland Defense exercises and several real-world disaster response missions.

Prior to his military retirement in 2012, Mr. Fleming served as the Chief of Staff and Chief Operations Officer for Task Force 51/U.S. Army North, which is an all-hazard disaster response force responsible for providing Department of Defense support to Civil Authorities (DSCA) during a natural or manmade disaster.

Mr. Fleming earned a Bachelor of Science degree in Business Management from Southern University, a Master of Business Administration (MBA) from Troy University and a Master of Professional Studies in Homeland Security from Pennsylvania State University. Mr. Fleming's military awards and decorations include the Legion of Merit, Bronze Star (2 Oak Leaf Cluster), Meritorious Service Medal (3 Oak Leaf Clusters), Army Commendation Medal (with Oak Leaf Cluster), Army Achievement Medal, and the Parachutist Badge.

Zina Sutch

Assistant Administrator, Office of Diversity, Inclusion, Civil Rights

Dr. Zina Sutch serves as the Assistant Administrator for the Office of Diversity, Inclusion, and Civil Rights. In this role, Dr. Sutch will serve as the principal agency advisor for transforming ODI&CR programs and providing strategic direction to the Administrator and other agency officials. She will be responsible for managing, directing, and coordinating a variety of high-level projects and policy issues to ensure maximum support of ODI&CR operations. As Assistant Administrator for ODI&CR, she will be responsible for carrying out the civil rights responsibilities under Title VI of the Civil Rights Act of 1964 and applicable Executive Orders, including investigations, negotiations, and compliance activities.

Dr. Sutch joins SBA from the Office of Personnel Management (OPM), where she served as the Deputy Associate Director, Outreach, Diversity and Inclusion. In this position, she served as an advisor to government-wide leaders, Agency Heads, Diversity Officers, Human Resources Directors, and senior leaders providing policy, guidance, management, budget, and technical assistance on diversity and inclusion matters. She conducted analysis and research on cross-functional recruitment and retention, talent management, workforce planning, and employee inclusion and, ultimately, engagement efforts.

Prior to this position, she served as the Director of Diversity and Inclusion at OPM, where she developed government-wide policies and guidance to assist Federal agencies in building diverse workforces and inclusive and engaged organizational cultures that leverage diversity and provided expert advisory services to Federal agencies undergoing cultural transformation. In this role, Dr. Sutch developed, implemented, and coordinated the government-wide diversity and inclusion strategic plan in support of the Administration's policy.

In addition to her experience, she has earned a Bachelor of Arts in Business and Economics from Clark University, a Master of Arts in Special Education from George Washington University, and a Doctor of Philosophy in Special Education from the University of Maryland.

Allen Gutierrez

Associate Administrator, Office of Entrepreneurial Development



As Associate Administrator of the Office of Entrepreneurial Development, Allen Gutierrez is dedicated to enhancing the nationwide network of offices, business executives, and mentors that support current and aspiring business owners as they start, grow, and compete in today's global market. This nationwide network includes the following Resource Partners: Women's Business Centers (WBCs), Small Business Development Centers (SBDCs), and SCORE.

Most recently, Gutierrez served as the national executive director of The Latino Coalition (TLC). Under his leadership, the coalition grew to include 1.2 million Hispanic business owners and over 90 coalition partners, transforming TLC into one of the nation's largest and most effective Latino advocacy groups.

Gutierrez previously served in the U.S. Small Business Administration from 2001 to 2006; during his tenure, he served as Senior Advisor to the Chief Operating Officer, as well as Senior Advisor to the Office of International Trade. As a member of the senior management team, Gutierrez served on the Executive Resource Board and executed the President's Management Agenda to create a more transparent and results-orientated agency. During his tenure in the Office of International Trade, Gutierrez served as the key representative for SBA during the CAFTA-DR negotiations, which was signed into law as the first free trade agreement between the United States and a group of smaller developing countries.

Born in San Jose, Costa Rica, Gutierrez immigrated to California in 1974, where he achieved his dream of becoming the first member of his family to graduate from an accredited four-year college. He earned his Bachelor of Arts in political science with a minor in business administration from the University of Southern California.

Adriana Menchaca-Gendron

Deputy Associate Administrator, Office of Entrepreneurial Development



Adriana Menchaca-Gendron has over 24 years of private and public sector experience. Prior to joining the Federal Government in 2004, she worked in the finance and insurance industries, both domestic and abroad, where she specialized in small business lending.

As the Deputy Associate Administrator for the Office of Entrepreneurial Development (OED), Adriana is responsible for managing the operations of a division of SBA that supports more than 1 million small businesses every year through a nationwide network of partners and resources, including Small Business Development Centers, Women’s Business Centers, SCORE, Scale-Up America, Regional Innovation Clusters, Emerging Leaders, and SBA’s on-line Learning Center.

Prior to joining SBA, Adriana was the Deputy Executive Officer for the Office of Regulatory Affairs at the Food and Drug Administration (FDA), where she had oversight of a geographically dispersed organization with 220 employees and a budget of approximately \$1 billion, providing support to over 4,500 regulatory employees. As the Deputy Executive Officer, Adriana led the areas of workforce development, human resources, management operations, budget, and financial management. Prior to joining FDA, Adriana was the Acting Deputy Chief Officer for Legislative, Regulatory and Intergovernmental Affairs in the Veterans Health Administration at the Department of Veterans Affairs. Adriana has also worked in the Office of the Inspector General and the Office of the Chief Financial Officer at the Department of Labor.

Adriana earned her B.A. in Political Science from Texas A&M University. She also attended graduate school at the University of Navarra in Pamplona, Spain, where she studied international law.

Adriana lives with her husband and eight-year old daughter in Columbia, Maryland. They also have two adult 22-year old sons.

Michael Vallante

Associate Administrator / Regional Administrator, Office of Field Operations



Michael Vallante serves as Associate Administrator for the Office of Field Operations and Regional Administrator for SBA's Pacific Region

A former entrepreneur, Vallante has extensive experience in communications and public relations. His company provided consulting and strategic communications services for small businesses and non-profits around the country. He previously served as Chief Staff to the Co-Chairman of the Republican National Committee in Washington, DC. Before that, he was Chief Operating Officer of the California Republican Party from 2003 to 2007, and Chief of Staff for the non-profit Minneapolis-St. Paul Host Committee which organized the 2008 Republican National Convention in Minnesota.

A Rhode Island native, Michael Vallante is a graduate of Providence College, and moved to Southern California in 1999.

Victor Parker

Deputy Associate Administrator, Office of Field Operations



Victor Parker serves as Deputy Associate Administrator for the Office of Field Operations for the Los Angeles District Office.

Prior to joining the SBA, Victor worked in various capacities as a small business manager and corporate executive for nearly 20 years. His responsibilities included managing regulatory affairs, intellectual property licensing agreements, and contract negotiations. As his career advanced, he also gained expertise in small business joint venture manufacturing with in-depth consulting agreements, and supplier diversity development and expansion. He has experience with SBA programs from the small business side, government contracting and the 8(a) certification process in particular.

In addition to Victor's broad management and leadership experience in the private sector, he is actively engaged in serving several civic, nonprofit and community-based organizations in the Southern California area, including serving on the Civil Service Commission, Sustainable City Committee and on the Board of Directors of the Community Development Centers, Inc.

Victor earned his Bachelor's Degree from the University of California at Berkeley and Juris Doctor from Pepperdine University School of Law.

Brittany Biles

General Counsel

She joined SBA from the Executive Office of the President, Office of the White House Counsel where she served as the Special Assistant and Associate Counsel to the President. In this role, she advised on legal issues that arise from the development and implementation of policies concerning financial regulations and reform, consumer protection, transportation, education, emoluments, and pardons. She also served as a legal contact for departments and agencies, including the Department of Treasury, Transportation, Housing and Urban Development, and Education as well as the Securities and Exchange Commission, the Federal Trade Commission, and the Consumer Financial Protection Bureau. Prior to this role, she has served as the Assistant Chief Litigation Counsel, Securities and Exchange Commission, Division of Enforcement Trial Unit where she investigated and litigated complex enforcement actions involving insider trading, accounting and disclosure fraud, registered and unregistered securities offerings, market abuses, and misconduct. She has also served as a Partner for Stein Mitchell Beato & Missner LLP where she litigated significant cases on behalf of entertainment, financial services, technology, manufacturing, and professional services clients. In addition to her experience, she earned a Juris Doctorate from Duke University School of Law and a Bachelor's of Arts in Political Science from University of North Carolina at Chapel Hill.

Nina Levine

Deputy General Counsel



Nina Levine has served in a leadership role in SBA’s Office of General Counsel for over 15 years. Since 2005, she has held two positions simultaneously – serving as both Deputy General Counsel and as Associate General Counsel for Financial Law and Lender Oversight. In these capacities, she is responsible for managing the Agency’s law office and for providing legal services to the Agency, particularly in support of its financial and investment programs. These programs include SBA’s business loan, disaster loan, surety bond, and small business investment company (SBIC) programs.

Prior to joining SBA, she worked as a corporate attorney at Simpson Thacher & Bartlett in New York. She received her B.A. from Columbia University and her J.D. from Columbia University Law School.

Francis Spampinato

Associate Administrator, Office of Government Contracting and Business Development



Dr. Francis Spampinato has been selected to join SBA as the Associate Administrator for the Office of Government Contracting and Business Development (GCBD) effective Sunday, June 21, 2020. In this role, Dr. Spampinato will serve as an advisor to the Administrator in the development of policies, operating procedures, and standards for effective implementation, administration, and promotion of SBA's contracting, business development, HUBZone empowerment, and liaison programs. GCBD programs and services assist small businesses in meeting the requirements to receive government contracts, either as prime contractors or subcontractors. The office also oversees special initiatives, such as the Women's Procurement program, Veteran's Procurement program, Procurement Awards program, and the Annual Joint Industry/SBA Procurement Conference. Dr. Spampinato will oversee GCBD's integral role in the formulation of federal procurement policies that affect small businesses. In this role, he will further foster an environment for maximum participation by small, disadvantaged, and women-owned businesses in federal government contract awards and large prime subcontract awards.

Dr. Spampinato is a seasoned leader with over twenty-five years of experience as a professional administrator, including eight years as a Senior Executive in the federal government. He has led large teams at the Department of Energy, Department of Transportation, and Department of Homeland Security. He will bring in-depth knowledge, experience, and leadership in customer service, strategic planning, and program execution to the position. He joins SBA from CTR Management, LLC, where he served as the Program Manager responsible for all aspects of contract management for the U.S. General Services Administration's Enterprise Infrastructure Solution contract. Prior to that role, he served as the Chief Procurement Officer for Federal Emergency Management Agency with Homeland Security, where he worked closely with agency officials on contract and grant compliance during disaster recovery efforts and served as the head of contracting activity for a \$5-\$15 billion disaster and non-disaster budget. Before that role, he served as the Director, Acquisition and Contracting for the Federal Aviation Administration with Treasury where he conducted small business outreach, served as the steward for a \$4 billion acquisition budget, and oversaw the restructuring of the contracting organization to meet increased demand. Additionally, Dr. Spampinato served as the Chief Acquisition Officer at Energy, where he managed a \$23 billion acquisition budget, served as a member of the Small Business Revenue Team, and provided key strategic direction on acquisitions. In addition to his experience, he has earned a Juris Doctorate from Catholic University, a Doctorate and Masters in Public Administration from the University of Southern California, Masters in Science in Public Administration from Central Michigan University, and Bachelor's in Accounting from Siena College.

Barbara E. Carson

Deputy Associate Administrator, Office of Government Contracting and Business Development



Barbara Carson is the U.S. Small Business Administration’s Deputy Associate Administrator for the Office of Government Contracting and Business Development. She joined the SBA in June 2013.

In this role, Carson advocates for small business contracting opportunities in federal agencies and enhances SBA federal procurement programs including 8(a), HUBZone, Woman-Owned Small Business and All Small Mentor Protégé programs. She and her team support thousands of small businesses every year as they compete for over \$500 billion in federal prime contracts and billions more in subcontracts.

In her previous assignment, Carson served as the SBA’s Associate Administrator for the Office of Veterans Business Development. Her military background was an asset to the program, having served over 20 years as an active duty and reserve officer.

Carson is also Colonel in the U.S. Air Force Reserve (USAFR), assigned to the Office of the Chairman of the Joint Chiefs of Staff, Office of Public Affairs. Her experience includes nuclear command and control and public affairs assignments across the United States, Japan and Europe.

Delorice Price Ford

Assistant Administrator, Office of Hearings and Appeals

Delorice Price Ford was appointed Assistant Administrator for the Office of Hearings and Appeals in 2002. She ensures fair and prompt adjudication of agency appeals in several jurisdictional areas. She is the SBA's Chief FOIA Officer, maintaining responsibility for strengthening and improving the agency's Freedom of Information and Privacy Acts programs.

Prior to her appointment to Hearing & Appeals, Ford held a number of leadership positions within the agency, including Assistant Administrator for 8(a) Program Development, Assistant Administrator for Procurement Assistance, Associate Administrator for the Office of Business Development, Senior Adviser to the Associate Administrator for the Office of Government Contracting and Business Development, and Acting Assistant Administrator for the Office of Equal Employment Opportunity and Civil Rights Compliance. She effectively managed several national programs that offered marketing, entrepreneurial development, technical support, and contract assistance to help small businesses achieve their fullest potential. She was instrumental in developing innovative contracting vehicles that significantly increased small-business procurement opportunities. Throughout her career, Ford has distinguished herself as a leader with drive and selfless commitment to public service.

Prior to joining the SBA, Ford had an extensive career in aerospace engineering, business development, information technology, and federal and commercial contracting. She combined her legal and business expertise to help expand several companies involved in a variety of cutting-edge technologies. She was a highly recruited and well respected professional in the corporate arena prior to moving into government service.

Ford holds a J.D. from the University of Maryland and a bachelor's degree from Earlham College.

Rafaela Monchek

Director, Office of Continuous Operations and Risk Management



Rafaela Monchek serves as Director of the Office of Continuous Operations and Risk Management (OCORM) since July 2020. OCORM is a strategic office with five enterprise-wide focus areas: Continuity of Operations (COOP); Disaster Planning; Enterprise Risk Management (ERM); Audit Compliance; and Insider Threat, and each requires considerable program collaboration to develop a culture of awareness and sensitivity.

Monchek served as Deputy Associate Administrator for the Office of Disaster Assistance (ODA) from October 2017 to July 2020, with operations oversight for multiple national disasters including the record 2017 Hurricane season.

Prior to joining SBA, Monchek held numerous positions in disaster recovery and readiness to include, Director for Recovery Policy with The White House, National Security Council; Senior Advisor on Emergency Management for the Secretary of the Department of Homeland Security (DHS); and Homeland Security Senior Advisor on Emergency Management to the Secretary of the Department of Housing and Urban Development (HUD).

Monchek has also served in several key positions at FEMA, including Deputy Assistant Administrator for National Preparedness; Chief of Operations for the Mission Support Bureau; Special Assistant to the Acting Deputy Administrator; Deputy Director of the Interagency National Disaster Housing Task Force; and Applicant Services Manager for the Maryland National Processing Service Center.

Monchek began her federal career with the Department of the Interior's (DOI's) South Florida Ecosystem Restoration Task Force, where she was responsible for coordinating federal and non-federal Everglades National Park restoration projects. She has a Bachelor of Arts degree in Anthropology from the University of Florida, and a Master of Science degree in Environmental Science from Florida International University.

Hannibal "Mike" Ware

Inspector General



Hannibal “Mike” Ware was sworn in as Inspector General on May 24, 2018, following his confirmation by the U.S. Senate. He is responsible for independent oversight of SBA’s programs and operations, which normally encompass more than \$100 billion in guaranteed loans and nearly \$100 billion in Federal contracting dollars. As a result of SBA’s role in the nation’s pandemic response, he is providing oversight of over a trillion dollars of lending authority aimed at stabilizing the nation’s economy and providing vital capital to the nation’s small businesses. He also is a statutory member of the Council of the Inspectors General on Integrity and Efficiency’s (CIGIE) Pandemic Response Accountability Committee (PRAC), serving alongside his Inspector General colleagues to provide a whole of Government response to the pandemic oversight effort. Within the PRAC, Inspector General Ware chairs the Subcommittee on Audits. In addition, Inspector General Ware serves as the Chair of the Audit Committee for CIGIE and is a member of CIGIE’s Executive Council.

Prior to his appointment to be the Inspector General, from April 2016 to January 2017, Mr. Ware served as the Deputy Inspector General, and he served as the Acting Inspector General from January 2017. Mr. Ware has 30 years of experience within the OIG community, the first 26 years being with the Department of Interior (DOI) OIG. In 1990, he joined DOI OIG’s Virgin Islands field office as an auditor and later became the Field Office Supervisor. Throughout his long and distinguished oversight career, he performed increasingly challenging and vital roles within the OIG community. From the Virgin Islands field office, Mr. Ware was promoted to Eastern Regional Manager, where he provided leadership of all phases of the technical and administrative operation of the region, including planning and managing audits, inspections, evaluations, and joint investigations. Mr. Ware later moved to DOI OIG’s Office of Management and served as the Deputy Assistant Inspector General for Management. In this capacity, he executed DOI OIG’s independent operating budget and managed the logistical concerns for the office’s nationwide presence. In April 2016, he was appointed to the Senior Executive Service as the SBA OIG Deputy Inspector General.

Mr. Ware is a native of the U.S. Virgin Islands and holds a Bachelor of Arts degree in accounting from the University of the Virgin Islands. He also is a graduate of the Senior Executive Service Career Development Program. He has received numerous awards throughout his career, including several awards from the Council of the Inspectors General on Integrity and Efficiency as recognition for his significant work in the Inspector General community.

Sheldon Shoemaker

Assistant Inspector General for Management and Operations



Sheldon Shoemaker is the Assistant Inspector General for Management and Operations at the U.S. Small Business Administration, Office of Inspector General (OIG). In this capacity, he leads the effort to provide operational support to OIG's nationwide oversight of SBA's programs and operations. Mr. Shoemaker has over 15 years of leadership experience as a senior advisor and manager and more than 20 years of Federal service. Mr. Shoemaker joined OIG in 2011 as a Special Assistant to the Inspector General and later served as Chief of Staff within the office. Prior to joining OIG, he served as Section Chief of the Drug Enforcement Administration's (DEA) Congressional Affairs Section. He joined DEA in 1998 as a Program Analyst and beginning in 2002, served in various supervisory and management roles within the Office of Professional Responsibility and the Executive Policy and Strategic Planning Staff before taking on a position as Congressional Affairs Specialist in the Congressional Affairs Section. Before joining DEA, Mr. Shoemaker spent a short time as Contract Specialist within the Department of Defense.

Mr. Shoemaker is a native of Dunbar, Pennsylvania and holds a Bachelor of Arts degree from West Virginia Wesleyan College, majoring in Government and in Social Science.

Andrea Deadwyler

Assistant Inspector General for Audits



Andrea Deadwyler is the Assistant Inspector General for Audits at the U.S. Small Business Administration (SBA), Office of Inspector General (OIG). Mrs. Deadwyler has more than 30 years of government experience, 19 of those years in the Inspector General community. Mrs. Deadwyler joined the SBA OIG in 2014 as the Director of the Credit Programs Group, responsible for directing audits of the Credit and Disaster Loan Programs. Prior to joining SBA, Mrs. Deadwyler was an Audit Director for the U.S. Postal Service OIG, conducting and directing a wide range of audits of Postal Service Programs and Operations, including Human Resources, Security, Emergency Preparedness, and Environmental Sustainability. Before beginning her career in auditing, Mrs. Deadwyler spent a short time working as a Business Opportunity Specialist with SBA, and several years as a contracting officer for the U.S. Department of Agriculture.

Mrs. Deadwyler is a native of Washington, DC and holds a Bachelor of Arts degree in Business Administration (Banking and Finance) and a Master's degree in Public Administration from Bowie State University.

Brian Grossman

Assistant Inspector General for Investigations



Brian Grossman is the Assistant Inspector General for Investigations (AIGI) for the U.S. Small Business Administration (SBA), Office of Inspector General (OIG). As AIGI, he leads OIG's national operations to investigate allegations of fraud, waste, abuse, and other criminal activity in SBA programs and operations. Mr. Grossman has served as a federal agent for 36 years and has been assigned to criminal investigative offices in North Carolina, Texas, Virginia, Washington DC, and Germany. He was appointed as a special agent with the United States Army Criminal Investigation Command (CID) in 1984 rising to the rank of Special Agent in Charge. In 2003, Mr. Grossman entered the Inspector General community and previously served with OIG offices in the Department of Defense, Department of the Interior, and Department of State, where he served as a Special Agent in Charge and Deputy Assistant Inspector General of Investigations.

Mr. Grossman is a native of Indianapolis, Indiana and holds a Bachelor of Science degree from Excelsior College.

Loretta Greene

Associate Administrator, Office of International Trade



Loretta Solon Greene is the Associate Administrator for the Office of International Trade (OIT) at the U.S. Small Business Administration. In this role, Greene works to increase the number of small business exporters as well as the volume of exports by American small businesses. As Associate Administrator of OIT, Greene oversees the SBA's programs related to federal and state trade development, international trade and finance, and international affairs and trade policy.

Greene brings extensive knowledge in federal government and global affairs to the position, with 30 years of experience in international trade, economic development, fundraising, and protocol. Before her appointment she served as the President of Greene Strategy, a government affairs consulting organization that advises on trade and energy issues.

Greene also provided strategic direction as a Senior Advisor at the U.S. Department of Commerce, where she advised on global markets, commercial services, foreign direct investment programs, manufacturing, and industry. Prior to this role, she served as the Director of International Trade Association Affairs at Commerce and was responsible for promoting trade programs and building coalitions for free trade policy. She has also served as the Deputy Assistant Secretary for Intergovernmental Relations at the U.S. Department of Housing and Urban Development (HUD). In this role, she was responsible for establishing and maintaining the strategic communications systems between the HUD Secretary and state, local, and regional governments.

Greene is a native from Dallas, Texas and has earned a Bachelor of Arts in Political Science from Hollins College.

Michele Schimpp

Deputy Associate Administrator, Office of International Trade



Michele Schimpp is the Deputy Associate Administrator for the Office of International Trade and has over 20 years of experience managing U.S. government organizations and start-up operations related to global job creation, competitiveness and economic growth. She has worked with the U.S. Agency for International Development (USAID), the U.S. State Department, and the U.S. House of Representatives, leading programs and partnerships with the private sector, foundations, universities, federal and state agencies, as well as foreign legislatures and governments.

Michele served on the senior leadership team that established the U.S. Global Development Lab, a new entity within USAID to apply science, technology, innovation and partnerships to help hundreds of millions of people lift themselves out of extreme poverty. As the Director for Mission Engagement and Operations, she was responsible for the Lab's engagement of more than 80 country missions overseas, as well as human resources and budget operations.

Prior to the Lab's establishment, Michele Schimpp served as Chief Operating Officer of USAID's Office of Science and Technology, a predecessor organization to the Lab. For several years before, Michele served on the senior leadership team that established USAID's Office of Afghanistan and Pakistan Affairs, serving as Deputy Assistant to the Administrator during a period when USAID contributed to the civilian surge through increased staff and programs. She represented USAID's work in Afghanistan and Pakistan before government agencies, Congress, international donors, the U.N., interest groups, research and academia. Over the previous four years, Michele held senior management positions with USAID and the State Department, leading groups of experts on economic growth, infrastructure, energy, humanitarian assistance, agriculture, health, education, democracy and governance. She supported missions in Asia and the Middle East and developed public-private partnerships to respond to the Sichuan earthquake and to support women's leadership in Muslim countries.

A Foreign Service Officer for ten years, Michele served in Haiti from 1995-1999. She has a M.A. in Latin American Studies from the University of California at Berkeley and a B.A. in International Affairs from George Washington University.

Chris Weaver

Special Advisor to the Administrator

Christopher Weaver is the Director of the Office of Consumer Policy at the Department of Treasury. Since March 23, 2020 he has been detailed to the Small Business Administration as a Senior Advisor to the Administrator, where he's focused on COVID-19 recovery efforts for businesses in underserved communities. In his permanent Director role at Treasury, he works under the leadership of the Treasurer of the United States, where he provides policy advice with respect to financial and economic inclusion, financial literacy and consumer protection laws and regulations. Christopher is an attorney with more than 20 years of experience in community development finance and banking regulation. He has a Juris Doctorate from the Howard University School of Law and a Masters from the London School of Economics and Political Science.

Amber Richards

National Ombudsman and Assistant Administrator for Regulatory Enforcement Fairness



Amber Richards is the National Ombudsman and Assistant Administrator for Regulatory Enforcement Fairness. In this role, she is responsible for assisting small businesses, small government entities, and small nonprofits when they are subject to excessive enforcement by a federal agency. Excessive enforcement may include repetitive audits or investigations, excessive fines, penalties, threats, retaliation or other unfair enforcement action. Ms. Richards facilitates a cooperative and productive relationship between the U.S. Small Business Administration (SBA) and its constituent groups through responding to complaints, identifying areas of potential conflict, and providing advice to the Administrator and other agency executives.

Ms. Richards has over 20 years of experience leading operations, strategic direction, and oversight of program management. She is the owner and founder of Integrated ID Solutions, Inc. and MyZone US, LLC and is a certified Project Management Professional (PMP). In these roles she provided strategic consulting and subject matter expertise in program management, business process analysis, and enterprise architecture; evaluated collaborative and competitive landscapes for market growth opportunities and new partnerships; and actively engaged in industry, defense, and professional development associations, including a Board of Directors position. Prior to this role, she served as the Director, Public Sector Services for a high tech corporation where she oversaw defense automation programs. In addition to her experience, Ms. Richards has earned a Bachelor of Arts in Political Science and Bachelor of Arts in Music from Converse College, an International Masters of Business Administration from University of South Carolina, and a Master of Professional Studies in Technology Management from Georgetown University.

Mina Wales

Deputy National Ombudsman



Mina Wales is the Deputy National Ombudsman. As the Deputy National Ombudsman, Wales is responsible for assisting small businesses when they experience excessive or unfair federal regulatory enforcement actions. As an impartial liaison, the office refers comments submitted by small businesses to the appropriate federal government agency for high-level fairness review and to address those concerns to help small businesses succeed.

For more than 30 years Ms. Wales has worked at SBA headquarters giving her a depth and breadth of knowledge on how SBA operates and supports our nation's 30 million small businesses. Ms. Wales began her Federal career at the U.S. Department of Navy in the Office of Personnel.

Her assignments over the years at SBA have included: The Office of Personnel/Human Resources, Office of Management and Administration; Office of Procurement and Grants Management; Director, Office of Strategic Alliances; Interim Director of the National Women's Business Council, and before her current role, she served as the Deputy Assistant Administrator, Office of Communications and Public Liaison. Ms. Wales is a graduate of the University of the District of Columbia receiving a Bachelor of Arts degree in Education.

Shawn Pensoneau

Assistant Administrator



Shawn Pensoneau joined the U.S. Small Business Administration (SBA) as Assistant Administrator for the Office of Native American Affairs (ONAA) in October 2018. In this role, Pensoneau oversees ONAA's collaboration with American Indians, Alaska Natives and Native Hawaiians who seek to create, develop and expand small businesses and ensure they have full access to the business development and expansion tools available through the agency's entrepreneurial development, lending and procurement programs. This includes workshops, technical assistance and training and to engage in outreach activities such as developing and distributing educational materials.

Prior to joining the SBA, Pensoneau served as a public affairs specialist at the Department of Interior's Office of the Assistant Secretary for Indian Affairs. In this capacity, he was involved with providing information on secretarial decisions and actions to news media and other entities interested in Indian Affairs via news releases, media relations, and the Indian Affairs website.

Before his employment with the Department of the Interior, Pensoneau served as Director of Governmental Affairs for the National American Indian Housing Council (NAIHC). In this role, Pensoneau worked to achieve the organization's success by maintaining a unified voice when working on various challenges throughout Native American communities.

Pensoneau has also worked for the National Indian Gaming Commission and the Navajo Nation Washington Office.

Pensoneau is a graduate of Fort Lewis College in Durango, Colo. He resides in Alexandria, Va., with his wife and daughter, and is an enrolled member of the Kickapoo Tribe of Oklahoma.

Tami Perriello

Associate Administrator for Performance and Planning and Chief Financial Officer



In her current role, Ms. Perriello manages the day-to-day financial operations for the Agency and serves as a member of the Agency's top management team actively involved in the SBA's decision-making process. Additionally, Ms. Perriello serves as the primary policy advisor to the Administrator on all matters relating to financial management, budget and internal controls, acquisition, program evaluation, DATA Act for financial systems, and credit reform. This is Ms. Perriello's second time working as a member of the SBA Team. Ms. Perriello served as the Chief Financial Officer and Associate Administrator for Performance Management from 2014 to 2016 and as the Director of the Office of Financial Systems from 2011 to 2014 at the SBA. In these roles, she provided critical expertise in budget, performance management, financial systems, credit modeling, accounting, quality assurance, internal controls, financial operations, and acquisition.

Ms. Perriello recently served at the Department of Transportation, where she was the Chief Financial Officer for the Pipeline and Hazardous Materials Safety Administration (PHMSA). In these roles, Ms. Perriello was responsible for all aspects of financial management, enterprise risk, internal controls, acquisition, and information technology services within PHMSA. Additionally, she led the formulation and execution of the budget, extensively engaged with stakeholders to improve processes, served as a liaison with OMB and Congressional Appropriations Committees on budget matters, and advised key Agency leadership and executive committees. Previously Ms. Perriello served at the U.S. House of Representatives as CIO and as a Managing Director for a global accounting and consulting firm. Ms. Perriello is a Certified Public Accountant and has an extensive background in financial management and operations that will enable her to oversee the Office of the Chief Financial Officer. In addition to her experience, she earned a Master of Science degree in Finance from Johns Hopkins University and a Bachelor of Science in Accounting from Rochester Institute of Technology.

Melissa Atwood

Acting Deputy Chief Financial Officer; Director, Financial Operations and Acquisition Management



Melissa Atwood currently serves as the Acting Deputy Chief Financial Officer and the Director of Financial Operations and Acquisition Management at the Denver Finance Center (DFC) in Denver, CO. Melissa was appointed as the DFC Director in 2016 and oversees the operations of administrative accounting, program accounting, and acquisitions.

She has been with the SBA since 1997 and prior to serving as the DFC Director oversaw the administrative accounting staff. Prior to joining the SBA, she worked for the U.S. Department of Housing and Urban Development from 1989 to 1997 and worked for a small business prior to joining the federal service.

Jason Bossie

Director, Office of Program Performance, Analysis, and Evaluation



Jason Bossie is the Director of the Office of Program Performance, Analysis, and Evaluation at the U.S. Small Business Administration. He leads a professional staff in the implementation of the Government Performance and Results Modernization Act, Program Management Improvement Accountability Act, and the Foundations for Evidence-based Policymaking Act. He champions results-driven decision-making through strategic planning, performance management, program management, economic analysis, and program evaluation.

Prior to joining the SBA in 2014, Jason held positions designing and implementing performance management systems across other federal, state, and local government agencies, including the U.S. Environmental Protection Agency. He holds an M.S. in Public Policy and Management from Carnegie Mellon University and a B.A. in political science and history from West Virginia University. He is also a graduate of the Excellence in Government Fellows program sponsored by the Partnership for Public Service.

Nate Reboja

Director, Office of Financial Systems, Innovation and Data Transparency



Nate Reboja is the U.S. Small Business Administration’s Director of the Office of Financial Systems, Innovation and Data Transparency. Nate joined the SBA in June 2013. In this role, Nate oversees the design, development, implementation, and maintenance of the Agency’s financial systems; ensures the security, integrity, reliability and availability of the Agency’s integrated contract and grant awarding systems and financial reporting system. Nate leads both the Deputy Director of Financial Systems and the Agency Chief Data Officer responsible for the implementation of the Foundations for Evidence-Based Policymaking Act of 2018 and the Federal Data Strategy.

Nate is also currently the Agency Senior Accountable Official (SAO) for the quality and objectivity of Federal spending information and Senior Accountable Point of Contact (SAPOC) to coordinate across agency mission support functions and with program offices to support adoption of the shared service strategies and related actions to drive operational efficiency and effectiveness.

Prior to SBA, Nate managed several system implementations in the Technology Integration Services Division at the Bureau of Fiscal Service, Department of Treasury. He holds a B.S. in Business Information Technology from Virginia Tech and an M.S. in Computer Systems Management, Homeland Security from the University of Maryland Global Campus.

George Koklanaris

Associate Administrator



George Koklanaris joined the U.S. Small Business Administration (SBA) as Associate Administrator of the Office of Small Business Development Centers (SBDCs) in April 2019. In this role, Koklanaris oversees 63 SBDC lead centers and more than 900 service centers across the United States and its territories. SBDCs provide America's small businesses with the support and resources necessary to help them succeed.

Prior to his appointment, Koklanaris was a strategy and management consultant at the consulting firm Booz Allen Hamilton, where he specialized in national security, Army, joint operations, intelligence and logistics.

Koklanaris previously served at the SBA from 2002-2007 as a special assistant and the assistant administrator of the Office of Field Operations and director of the Office of Strategic Alliances. From 2007-2009, he served as the chief of staff at the U.S. Pension Benefit Guaranty Corp. Prior to his federal service, Koklanaris was a legislative and press aide for members of the Virginia House of Delegates and Fairfax County Board of Supervisors.

A colonel in the U.S. Army Reserve, Koklanaris has served in the Army and Army Reserve for over 28 years. He deployed twice in support of the Global War on Terror and is a veteran of Operation Iraqi Freedom and Operation Enduring Freedom. Prior assignments include tours with Theater Sustainment Commands, the Defense Logistics Agency and the Joint Staff. His current reserve assignment is in the Office of the Assistant Secretary of Defense for Manpower and Reserve Affairs under the Office of the Secretary of Defense. He is a graduate of the U.S. Army War College, the U.S. Army Command and General Staff College, the National Defense University's National Security Course and the Joint Forces Staff College.

Koklanaris has a bachelor's degree from the University of Georgia, a Master of Public Administration from Georgia State University and a Master of Strategic Studies from the U.S. Army War College. He also has a graduate certificate in Change Management from Georgetown University's McDonough School of Business.

Nancyellen Gentile

Deputy, Associate Administrator



Nancyellen Gentile joined the U.S. Small Business Administration (SBA) as the Deputy Associate Administrator for the Office of Small Business Development Centers (SBDC) in March 2020. In this role, Ms. Gentile provides leadership and oversight support to 62 SBDC Lead Centers and more than 900 service centers across the United States and its territories. SBDCs provide America's small businesses with the support and resources necessary to help them succeed.

Ms. Gentile previously served at the SBA in various positions, from 1988-2006, including the Assistant Administrator for Contract Assistance from 2004 to 2006 where she interfaced with Federal agencies and SBA resource partners to increase the pool of women business owners in the Federal marketplace. She joined SBA in 1988 serving in the Boston Regional Office, 8(a) Business Development Program before moving to SBA Headquarters in 1990.

Ms. Gentile joined SBA from SourceAmerica where she advised senior leadership in the creation and implementation of programs and policies that create employment opportunities for people with disabilities.

She has working knowledge of the legislative process serving on the Senate Small Business and Entrepreneurship Committee where she advised the Chair on legislation to strengthen small business access to capital, improve entrepreneurial development programs and maximize small business federal procurement opportunities.

Ms. Gentile received an MBA from the University of Maryland Robert H. Smith School of Business and holds a Bachelor of Arts Degree in Business Administration from Saint Anselm College in Manchester, NH.

Larry Stubblefield

Associate Administrator



Mr. Larry Stubblefield is the Associate Administrator for the Office of Veterans Business Development (OVBD) at the U.S. Small Business Administration (SBA). In this role, Mr. Stubblefield oversees the OVBD team in formulating, implementing, administering, and promoting policies and programs that equip veterans, service members (active duty, National Guard, Reserve), and military spouse-owned small businesses with counseling and education, access to capital, and contracting opportunities.

Mr. Stubblefield joined the SBA in 2016, serving as the Assistant Administrator for the Office of Diversity, Inclusion and Civil Rights, and most recently as the Acting Associate Administrator for OVBD. Prior to the SBA, he held numerous leadership positions with the US Army, including Deputy Assistant Secretary of the Army for Diversity and Leadership and Functional Chief Representative for the Army's Equal Employment Opportunity Career Program.

Mr. Stubblefield has first-hand military experience, having served 30 years as an enlisted soldier and active duty officer in the US Army. In 2005, he retired from the military as a Colonel and was appointed to the Senior Executive Service. He holds an MBA from the University of Tennessee and a BS in Business Management from Embry Riddle Aeronautical University.

Timothy Green

Deputy Associate Administrator



Mr. Tim Green is the Deputy Associate Administrator for the Office of Veterans Business Development (OVBD) at the U.S. Small Business Administration (SBA). In this role, Mr. Green assists the Associate Administrator and the OVBD team in formulating, implementing, administering, and promoting policies and programs that equip veterans, service members (active duty, National Guard, Reserve), and military spouse-owned small businesses with counseling and education, access to capital, and contracting opportunities. Mr. Green joined the SBA OVBD team in 2019. Prior to the SBA, he served at the Department of Labor as the Director of Strategic Outreach of the Veterans' Employment and Training Service. As the Director, he set and guided the strategy for VETS' outreach to stakeholders, public affairs, legislative affairs, employer outreach and the HIRE Vets Medallion Program.

Mr. Green retired from the U.S. Air Force in June 2012 with a rank of Colonel after serving on active duty for nearly 28 years. He holds a bachelor's and master's degree in Business Administration and a master's degree in National Security Strategy from the National War College.

Sery Kim

Assistant Administrator



Ms. Sery Kim has been selected to join SBA as the Assistant Administrator for the Office of Women’s Business Ownership (OWBO), Office of Entrepreneurial Development (OED) effective Monday, July 6, 2020. Ms. Kim will oversee and administer broad, emerging, and critical Women’s Business Center (WBC) programs to achieve OWBO and SBA goals and objectives. In this role, she will evaluate the overall effectiveness, efficiency, and productivity of WBC programs and recommend actions to improve Agency operations. She will also serve as the principal liaison with non-Federal business, educational, organizational, and community partners to assist in the growth and development of women-owned businesses. As Assistant Administrator for OWBO, Ms. Kim will further SBA’s efforts to develop cooperative partnerships with federal and private sector groups, generate a greater understanding of the economic importance of women-owned businesses, and boost SBA’s ability to provide support.

Ms. Kim is a seasoned leader with extensive experience in the private and public sectors working with executives, clients, and government officials to achieve positive outcomes. She is an experienced attorney and strategist with a background in communication and federal public policy, including implementation of the Affordable Care Act and regulatory matters before the U.S. Food and Drug Administration, and has advised Fortune 100 companies, political candidates, and non-profits.

Ms. Kim has successfully started multiple companies and joins SBA from a major international law firm in Texas, where she served as a Litigation Associate. Ms. Kim provided legal analysis on complex litigation cases as well as legal, economic and political commentary for multiple national and local media outlets. Her experience also includes serving as a Senior Advisor for the U.S. Department of Health and Human Services under two presidents; as the Health Care Counsel to the Chairman of the House Committee on Oversight and Government Reform; and as Chief Oversight Counsel to the Subcommittee on Oversight and Investigations for the House Committee on Energy and Commerce. In addition to her experience, she earned a Bachelor of Arts in History, in two years, *Magna cum Laude*, and graduated at age 23 with a Juris Doctorate from the University of Texas.

Donald Malcolm Smith

Deputy Assistant Administrator



Donald Malcolm Smith is the Deputy Assistant Administrator for the Office of Women’s Business Ownership (OWBO). In this role he is responsible for building the capacity of women entrepreneurs through the implementation of the Women’s Business Center (WBC) program.

Donald brings more than 25 years of experience in strategic planning, budget management and implementing family strengthening, workforce and economic development programs with government and non-profit organizations.

Donald has 13 years of federal experience, which includes serving as a Management and Program Analyst for the Department of Commerce’s Economic Development Administration; Director for Administrative Systems and Financial Services at the Department of Labor’s Office of Disability Employment Policy; Director of Strategy and Performance for the National Archives and Records Administration; and most recently, Director of Entrepreneurship Education.

Donald has also worked in state government with the Maryland Department of Human Resources, where he led statewide workforce development and responsible fatherhood programs. For seven years, he worked for the Center for Urban Families where he was the Director of Policy, Planning and Evaluation and Chief Operating Officer.

A proud HBCU graduate, Donald holds a Master of City and Regional Planning degree from Morgan State University, and a Bachelor of Science degree in Criminal Justice (Pre-Law) from the University of Maryland Eastern Shore.

Seán F. Crean

Executive Director



As Executive Director, Office of Executive Management, Installations & Support Services RADM (ret) Crean is responsible for overseeing the Agency's infrastructure in support of operations including 1.5M sq ft of facilities nationwide, grants management, physical and personnel security matters, and executive administrative requirements of the secretariat.

Prior to this position he led high performing organizations both at SBA and DoD including Director, SBA Office of Government Contracting, Director, Navy Office of Small Business Programs and as Deputy Assistant Secretary of the Navy for Acquisition and Logistics Management. In these areas he influenced upwards of \$500 Billion in federal contracting opportunities to promote small business industrial capacity and competition throughout the federal government.

His combined military and civil service careers have provided complimentary and extensive leadership responsibilities in service to the country, retiring with the two-star grade of Rear Admiral in the U.S. Navy. Among his decorations are the Distinguished Service Medal, Legion of Merit and the Navy Distinguished Civilian Service Award. He is a member of the Defense Acquisition Corps, DAWIA Level III Contracting certified and a member of the Senior Executive Service.

RADM (ret) Crean holds a Bachelor of Science degree in business management and marine transportation from the State University of New York Maritime College, and a Master of Business Administration degree from Southern New Hampshire University's graduate school of business. Senior Executive development include programs at Harvard's Kennedy School of Government, University of North Carolina's Kenan Flagler Business School, the University of Virginia's Darden School of Business and Babson College's Executive Business School.

Wendell G. Davis

Regional Administrator

New England Region



Wendell G. Davis was appointed the Regional Administrator for SBA's New England Region by President Donald J. Trump on January 8, 2018. In his role as Regional Administrator, Davis oversees SBA's financial, export, disaster relief, government contracting and business development programs for the six New England states. In Fiscal Year 2019, the SBA provided 4250 loans supporting more than \$1.5 billion dollars through the agency's various loan programs with the assistance of over 200 hundred lenders across the region. Additionally, New England small businesses were awarded over \$4.1 billion in federal contracting dollars¹ and New England entrepreneurs and innovators received over \$468 million dollars in grants.

Headquartered in Boston, Davis manages 44 SBA employees that staff the six local District Offices located in Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island and Vermont and three Alternative Work Sites and one branch office. In addition, he coordinates a network of small business technical assistance partners that are all funded by the SBA, with counselors and mentors housed in 31 Small Business Development Centers, 26 SCORE Chapters, 9 Women's Business Centers and a Veterans Business Outreach Center.

Prior to his work with the SBA, Mr. Davis was managing partner at DCB Law Group, LLC where he established the firm's Commercial Transactions Practice and the firm's Telecommunications Practice. With an undergraduate degree in Political Science from Central Connecticut State University, he is a past president of the University's alumni association. He is also a graduate of the University of Notre Dame Law School and comes to the SBA with over 15 years' experience as a small business owner.

Steve Bulger

Regional Administrator

Atlantic Region



President Donald Trump appointed Steve Bulger as the Regional Administrator for SBA's Atlantic Region in January, 2018. Bulger oversees SBA's financial, international export, government contracting and business development programs that assist nearly 3 million small businesses employing over 6 million workers in the Region.

Headquartered in New York City, Bulger manages a staff of 65 SBA employees serving five District Offices and six Branch Offices throughout New York, New Jersey, Puerto Rico and the U.S. Virgin Islands. In addition, he coordinates a network of small business counselors and mentors housed in 40 Small Business Development Centers, 20 SCORE Chapters, 10 Women's Business Centers and a Veterans Business Opportunity Center.

Prior to accepting the President's appointment to SBA, Bulger served six years for Congressman Chris Gibson as District Director. He also has a thirty-year private sector background, including having served with the Stryker Corporation overseeing sales and operations in the Upstate NY/Western New England area. He spent a total of twenty years in the medical device sector. Bulger also co-founded a digital marketing start-up firm and worked as an investment broker in the financial services industry.

A New York native, Bulger is a graduate of Lafayette College, and has held leadership positions in numerous non-profit and local government organizations.

Robert Scott III

Regional Administrator

Great Lakes Region



Robert Scott serves as the Regional Administrator for SBA's Great Lakes Region, overseeing the delivery of the agency's financial assistance, technical assistance and government contracting activities throughout Illinois, Indiana, Michigan, Minnesota, Ohio and Wisconsin.

Prior to the SBA, Scott ran his own consulting firm, practiced law at Oldham & Deitering in Clayton, Ohio, and served as the vice mayor in Kettering, Ohio, where he remains in service as a city councilman. He has worked in the Ohio House of Representatives as a legislative aide and on several major political campaigns in Ohio, including serving as the state director for Donald J. Trump for President. Additionally, Scott wrote for the *Dayton Daily News*, *Dayton City Paper* and was a syndicated columnist for Brown Newspapers, Inc.

Scott received a B.S. from Wright State University and an honors juris doctorate degree from the University of Dayton School of Law. He is a member of the Dayton Masonic Lodge, Ohio State Bar Association and Kettering Rotary Club. Scott received a "Forty under 40" award from the American Association of Political Consultants in 2016 and the *Dayton Business Journal* named him one of the city's notable "Forty under 40" professionals in 2015.

Justin Crossie

Regional Administrator

South Central Region



U.S. Small Business Administration Regional Administrator Justin Crossie is a November 2018 appointee of President Donald Trump and SBA Administrator Linda McMahon. Crossie leads the delivery of SBA’s funding programs, counseling services and government contracting and export initiatives in the South Central Region, which serves more than 3.8 million small businesses in Arkansas, Louisiana, New Mexico, Oklahoma and Texas.

As a political appointee, Crossie promotes the President’s and the SBA Administrator’s policies and priorities which include rural and veteran outreach to empower small business owners and entrepreneurs to start, grow and expand.

Crossie comes to SBA with a strong background in government, business and civic engagement that uniquely positions him to understand the needs of small business owners. Prior to his appointment, Crossie worked in Louisiana for 10 years as the Regional Director for U.S. House Majority Whip Steve Scalise. He served as a liaison to government, business, and civic groups throughout Louisiana’s first congressional district.

Before his tenure with Congressman Scalise, Crossie worked as the Florida and River Parishes Representative for U.S. Senator David Vitter. In this capacity, Crossie managed casework for active duty military and also constituent issues related to Department of Housing and Urban Development, Department of Justice, Federal Communications Commission and the Federal Trade Commission.

Crossie is a graduate of Riverside Military Academy in Gainesville, Georgia, and Southeastern Louisiana University in Hammond, Louisiana.

Crossie is a U.S. Marine Corp veteran having served as a heavy equipment mechanic with the 2nd Fleet Service Support Group Engineer Battalion in Camp Lejeune, North Carolina, and with the 3rd Fleet Service Support Group, 9th Engineer Battalion in Okinawa, Japan.

Thomas Salisbury

Regional Administrator

Great Plains Region



Tom Salisbury was appointed on January 6, 2018, as the Regional Administrator for SBA's Great Plains Region states of Missouri, Kansas, Nebraska and Iowa.

Previously, Salisbury worked in Kansas City, Missouri for seven years as the small business liaison for U.S. Senator Roy Blunt (R-MO.) Prior to that he spent the majority of his career since 1983 in the lending industry, most recently as a Vice President and Manager of Correspondent Banking with UMB Bank, N.A.

Salisbury will administer the delivery of SBA federal programs and services by Region VII's five district offices, with locations in Wichita, Kansas; Omaha, Nebraska; Des Moines, Iowa; Kansas City, Missouri and St. Louis, Missouri. These SBA offices provide program training and support to hundreds of SBA participating program lender institutions and SBA-financed microlenders, who loan federally guaranteed capital to small businesses. Additionally, the SBA oversees more than 85 grantee resource partner sites within the region, which provide free or low cost small business counseling, training and mentoring services. These include the services of Small Business Development Centers, Women's Business Centers, a Veterans Business Resource Center and SCORE Mentor chapters. In addition, SBA district offices teach small businesses how to participate in federal contracting opportunities and administer the 8(a) federal contracting program.

Salisbury received a Bachelor of Science degree from the University of Missouri at Columbia in 1974 and attended the American Banking Association School of Bankcard Management.

Daniel Nordberg

Regional Administrator

Rocky Mountain Region



Dan Nordberg is the Administrator for SBA's Rocky Mountain Region based in Denver, and the Director of the Office of Rural Affairs.

Prior to coming to the SBA, Nordberg was elected to the Colorado House of Representatives in 2012 serving House District 14, consisting of northern Colorado Springs suburbs, and reelected in 2014 and 2016. After taking office in 2013, he sat on the House Business Affairs and Labor committee, and served as its ranking member beginning in 2015. Nordberg also served as chairman of the Legislative Audit Committee, the body tasked with examining state agencies' financial records and reviewing and releasing audit reports and recommendations for special studies. While in the state legislature, Dan established himself as a collaborative leader and champion for small business.

In the private sector, Dan worked as a business development specialist at a resort hotel in Colorado Springs. There he was responsible for fostering business development opportunities as well as implementing strategic sales and marketing initiatives.

Nordberg also worked as district director for U.S. Rep. Doug Lamborn. In this capacity, he served as a liaison to Colorado's business community as well as federal and state agencies. Previous to that, Nordberg worked as a legislative aide in Washington, D.C. where he focused on small business, homeland security and financial services issues.

Born and raised in Colorado, Nordberg graduated from Colorado State University with a Bachelor of Arts in Political science. He and his wife Maura, a school psychologist, are the proud parents of three children.

As Regional Administrator, Nordberg oversees SBA operations throughout its district offices in Denver, CO.; Helena, MT.; Fargo, ND; Sioux Falls, SD; Salt Lake City, UT; and Casper, WY. Region VIII is SBA's most rural region in the country. It includes 27 tribal nations and covers more than 500,000 square miles of territory.

Jeremy Field

Regional Administrator

Pacific Northwest Region



Jeremy Field leads the economic development, small business initiatives and program operations for SBA's Pacific Northwest Region, which serves Alaska, Idaho, Oregon and Washington state.

As SBA regional administrator and a political appointee, Field also supervises SBA district offices in the region and promotes the President's and SBA Administrator's policies, messages and priorities throughout the Pacific Northwest.

Prior to joining the SBA in January 2018, Field spent nine years in Pocatello, Idaho as the regional director and state grant coordinator for U.S. Senator James E. Risch (R-Idaho), the chairman of the Senate Committee on Small Business and Entrepreneurship. The position allowed him to work with a congressional team, collaborate with local leaders on federal issues and evaluate policy impacts on Idahoans.

Prior to working for Senator Risch, Field was a staff assistant for former U.S. Senator Larry Craig (R-Idaho) on the U.S. Senate Special Committee on Aging in Washington, D.C.

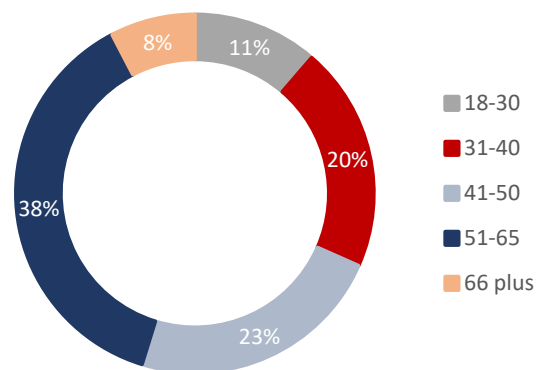
An Idaho native, Field has a master's degree in public administration from Idaho State University, a juris doctor degree from University of Idaho, a bachelor's degree in political science from Brigham Young University and an associate's degree in mathematics and physical science from Brigham Young University-Idaho.

SBA Workforce

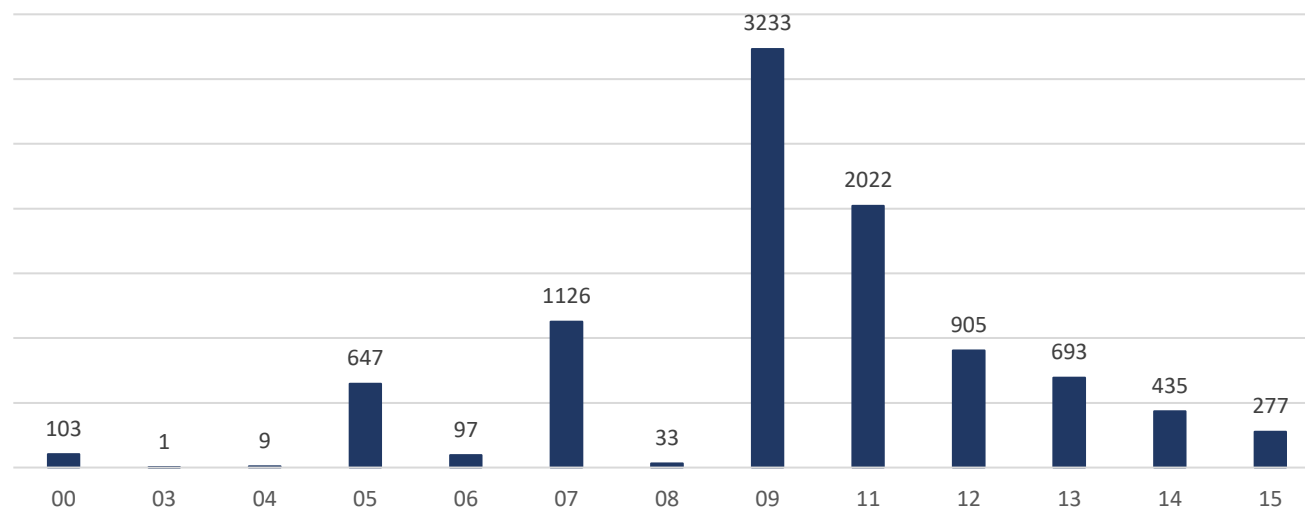
Workforce Size

9,581

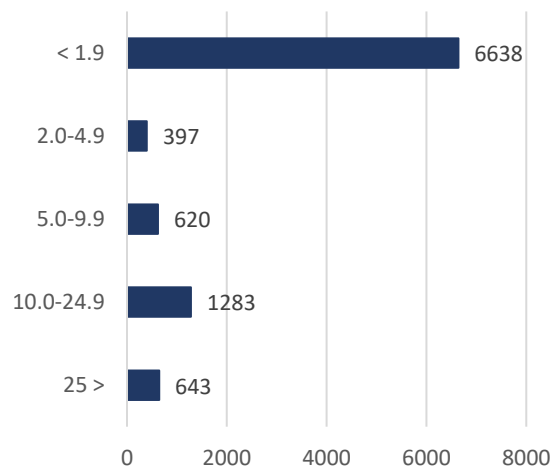
Age Range



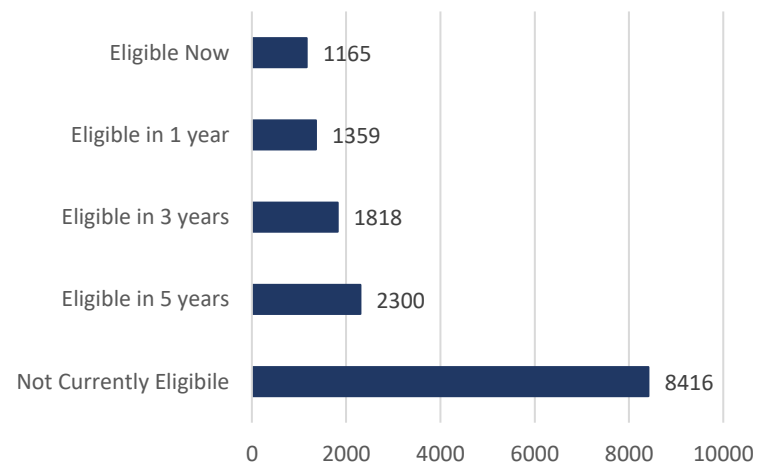
Number of Employees by Grade



Years of Service



Voluntary Retirement Eligible



SBA Workforce

Employee Stats	PPE 09/12/2020
All Employee Count on Database	9,581
Excluding ODA	2,467
Excluding ODA, OIG, and Advocacy	2,310
OIG Count	115
Advocacy Count	42
ODA Total on Database	7,114
ODA Employees Paid Last PP	6,507
ODA Funded within SBA Program Offices	177
CARES Act Hires (Cumulative Total thru PP 18)	273

Response Type	Item	Item Text	Percent Positive %	Strongly Agree/ Very Good/ Very Satisfied %	Agree/ Good/ Satisfied %	Neither Agree nor Disagree/ Fair/ Neither Satisfied nor Dissatisfied %	Disagree/ Poor/ Dissatisfied %	Strongly Disagree/ Very Poor/ Very Dissatisfied %	Percent Negative %	Strongly Agree/ Very Good/ Very Satisfied N	Agree/ Good/ Satisfied N	Neither Agree nor Disagree/ Fair/ Neither Satisfied nor Dissatisfied N	Disagree/ Poor/ Dissatisfied N	Strongly Disagree/ Very Poor/ Very Dissatisfied N	Item Response Total** N	Do Not Know/ No Basis to Judge N
Agree-disagree	1	*I am given a real opportunity to improve my skills in my organization.	62.2%	23.6%	38.5%	16.3%	12.7%	8.8%	21.6%	337	528	225	173	119	1,382	N/A
Agree-disagree	2	I have enough information to do my job well.	67.0%	21.7%	45.3%	15.7%	12.3%	4.9%	17.2%	309	623	213	167	64	1,376	N/A
Agree-disagree	3	I feel encouraged to come up with new and better ways of doing things.	64.1%	27.4%	36.6%	14.6%	13.3%	8.1%	21.3%	386	499	201	176	108	1,370	N/A
Agree-disagree	4	My work gives me a feeling of personal accomplishment.	77.5%	35.6%	41.9%	11.4%	6.8%	4.3%	11.1%	502	571	159	93	58	1,383	N/A
Agree-disagree	5	I like the kind of work I do.	85.3%	45.5%	39.8%	9.0%	2.8%	2.9%	5.7%	635	546	122	38	40	1,381	N/A
Agree-disagree	6	I know what is expected of me on the job.	80.4%	36.6%	43.8%	9.9%	5.7%	4.0%	9.7%	510	601	137	79	54	1,381	N/A
Agree-disagree	7	When needed I am willing to put in the extra effort to get a job done.	96.1%	68.3%	27.7%	2.2%	0.6%	1.1%	1.7%	951	376	29	9	15	1,380	N/A
Agree-disagree	8	I am constantly looking for ways to do my job better.	92.1%	56.0%	36.1%	6.0%	0.9%	1.0%	1.9%	782	494	83	12	14	1,385	N/A
Agree-disagree	9	I have sufficient resources (for example, people, materials, budget) to get my job done.	49.9%	13.1%	36.8%	13.6%	20.1%	16.3%	36.5%	187	507	191	273	216	1,374	3
Agree-disagree	10	*My workload is reasonable.	60.5%	15.8%	44.7%	13.6%	14.3%	11.6%	25.9%	226	614	186	194	152	1,372	1
Agree-disagree	11	*My talents are used well in the workplace.	62.1%	21.8%	40.3%	14.0%	12.7%	11.2%	23.9%	306	548	191	172	149	1,366	4
Agree-disagree	12	*I know how my work relates to the agency's goals.	87.0%	37.7%	49.3%	7.5%	2.9%	2.6%	5.6%	526	671	102	39	35	1,373	2
Agree-disagree	13	The work I do is important.	91.2%	52.8%	38.4%	6.3%	1.5%	1.0%	2.5%	728	523	87	20	14	1,372	2
Agree-disagree	14	Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.	72.9%	29.8%	43.0%	10.9%	10.2%	6.0%	16.2%	419	590	154	137	82	1,382	4
Agree-disagree	15	My performance appraisal is a fair reflection of my performance.	75.4%	34.0%	41.4%	10.3%	6.8%	7.4%	14.3%	471	562	141	91	98	1,363	22
Agree-disagree	16	I am held accountable for achieving results.	88.3%	39.7%	48.6%	8.6%	1.4%	1.6%	3.0%	557	659	120	20	21	1,377	5
Agree-disagree	17	*I can disclose a suspected violation of any law, rule or regulation without fear of reprisal.	64.9%	32.6%	32.3%	15.4%	9.3%	10.5%	19.8%	447	421	198	118	137	1,321	61
Agree-disagree	18	My training needs are assessed.	52.5%	15.8%	36.8%	22.5%	13.5%	11.5%	24.9%	225	504	305	182	151	1,367	14

Agree-disagree	19	In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (for example, Fully Successful, Outstanding).	75.1%	35.4%	39.7%	10.8%	6.9%	7.2%	14.1%	486	529	149	93	94	1,351	32
Agree-disagree	20	*The people I work with cooperate to get the job done.	77.5%	34.6%	42.9%	11.9%	7.5%	3.0%	10.5%	482	589	163	103	41	1,378	N/A
Agree-disagree	21	My work unit is able to recruit people with the right skills.	46.1%	13.1%	33.0%	23.9%	17.5%	12.5%	30.0%	180	430	313	231	160	1,314	58
Agree-disagree	22	Promotions in my work unit are based on merit.	43.9%	15.6%	28.3%	25.6%	14.1%	16.5%	30.5%	206	357	318	178	206	1,265	107
Agree-disagree	23	In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.	39.5%	12.5%	27.0%	27.5%	17.1%	15.9%	33.0%	159	333	334	215	193	1,234	137
Agree-disagree	24	*In my work unit, differences in performance are recognized in a meaningful way.	42.6%	13.6%	29.0%	27.1%	16.5%	13.8%	30.4%	177	368	333	210	173	1,261	109
Agree-disagree	25	Awards in my work unit depend on how well employees perform their jobs.	52.2%	18.1%	34.1%	23.3%	11.1%	13.4%	24.5%	233	427	288	142	167	1,257	115
Agree-disagree	26	Employees in my work unit share job knowledge with each other.	75.6%	30.3%	45.2%	12.0%	7.1%	5.3%	12.4%	421	615	164	96	72	1,368	3
Agree-disagree	27	The skill level in my work unit has improved in the past year.	60.3%	23.5%	36.8%	25.6%	8.0%	6.1%	14.1%	315	488	330	104	80	1,317	57
Good-poor	28	How would you rate the overall quality of work done by your work unit?	86.2%	51.3%	34.9%	10.2%	2.4%	1.3%	3.6%	713	475	139	32	16	1,375	N/A
Agree-disagree	29	*My work unit has the job-relevant knowledge and skills necessary to accomplish organizational goals.	81.6%	39.2%	42.3%	10.9%	4.6%	2.9%	7.5%	537	579	145	61	39	1,361	14
Agree-disagree	30	Employees have a feeling of personal empowerment with respect to work processes.	50.1%	14.8%	35.3%	23.0%	15.0%	11.8%	26.8%	205	464	297	198	153	1,317	39
Agree-disagree	31	Employees are recognized for providing high quality products and services.	53.6%	17.8%	35.8%	21.2%	13.9%	11.3%	25.2%	248	473	275	181	149	1,326	35
Agree-disagree	32	Creativity and innovation are rewarded.	47.4%	15.9%	31.5%	24.6%	16.1%	11.9%	28.0%	218	411	320	208	154	1,311	45
Agree-disagree	33	Pay raises depend on how well employees perform their jobs.	31.2%	9.5%	21.7%	31.1%	20.0%	17.7%	37.7%	125	269	386	250	218	1,248	114
Agree-disagree	34	Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring).	57.3%	19.4%	37.8%	28.2%	6.5%	8.0%	14.5%	253	471	351	78	99	1,252	106
Agree-disagree	35	Employees are protected from health and safety hazards on the job.	79.8%	28.1%	51.6%	13.4%	3.7%	3.2%	6.8%	385	681	177	47	41	1,331	29
Agree-disagree	36	My organization has prepared employees for potential security threats.	78.7%	25.4%	53.3%	13.6%	5.0%	2.7%	7.7%	351	709	182	65	34	1,341	20

Agree-disagree	37	Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated.	54.3%	22.1%	32.2%	19.8%	12.0%	13.9%	25.9%	296	410	251	151	175	1,283	77
Agree-disagree	38	Prohibited Personnel Practices (for example, illegally discriminating for or against any employee/applicant, obstructing a person's right to compete for employment, knowingly violating veterans' preference requirements) are not tolerated.	66.7%	28.3%	38.4%	18.8%	4.8%	9.8%	14.5%	369	477	226	59	121	1,252	104
Agree-disagree	39	My agency is successful at accomplishing its mission.	79.2%	28.7%	50.4%	14.0%	3.9%	2.9%	6.8%	395	670	184	50	37	1,336	26
Agree-disagree	40	*I recommend my organization as a good place to work.	64.3%	25.0%	39.2%	18.3%	9.6%	7.8%	17.5%	353	528	247	131	103	1,362	N/A
Agree-disagree	41	*I believe the results of this survey will be used to make my agency a better place to work.	50.6%	21.0%	29.6%	24.2%	12.2%	13.1%	25.3%	276	380	306	153	166	1,281	81
Agree-disagree	42	My supervisor supports my need to balance work and other life issues.	82.9%	47.3%	35.6%	8.2%	3.8%	5.1%	8.9%	651	477	106	50	69	1,353	5
Agree-disagree	43	My supervisor provides me with opportunities to demonstrate my leadership skills.	69.1%	37.7%	31.4%	14.8%	8.9%	7.2%	16.1%	520	416	198	117	96	1,347	11
Agree-disagree	44	Discussions with my supervisor about my performance are worthwhile.	68.1%	34.7%	33.3%	14.1%	8.8%	9.1%	17.9%	480	438	191	119	118	1,346	11
Agree-disagree	45	My supervisor is committed to a workforce representative of all segments of society.	71.6%	36.7%	34.9%	18.8%	4.0%	5.6%	9.6%	480	439	235	49	70	1,273	83
Agree-disagree	46	My supervisor provides me with constructive suggestions to improve my job performance.	67.1%	33.1%	34.0%	15.1%	10.0%	7.9%	17.9%	459	450	207	133	103	1,352	5
Agree-disagree	47	Supervisors in my work unit support employee development.	71.2%	35.4%	35.8%	14.7%	5.9%	8.1%	14.1%	484	469	193	78	105	1,329	26
Agree-disagree	48	My supervisor listens to what I have to say.	79.8%	43.4%	36.5%	8.2%	5.9%	6.0%	11.9%	599	487	110	79	80	1,355	N/A
Agree-disagree	49	My supervisor treats me with respect.	82.2%	49.4%	32.8%	7.6%	5.6%	4.5%	10.2%	679	440	99	75	60	1,353	N/A
Agree-disagree	50	In the last six months, my supervisor has talked with me about my performance.	83.7%	43.9%	39.8%	6.7%	5.6%	4.0%	9.6%	605	534	89	75	52	1,355	N/A
Agree-disagree	51	I have trust and confidence in my supervisor.	71.4%	42.6%	28.8%	12.2%	7.8%	8.6%	16.4%	587	387	165	101	114	1,354	N/A
Good-poor	52	Overall, how good a job do you feel is being done by your immediate supervisor?	74.1%	47.0%	27.1%	13.4%	6.0%	6.5%	12.5%	648	362	177	77	87	1,351	N/A
Agree-disagree	53	In my organization, senior leaders generate high levels of motivation and commitment in the workforce.	48.2%	17.8%	30.5%	24.1%	14.2%	13.4%	27.6%	249	406	314	185	173	1,327	26

Agree-disagree	54	My organization's senior leaders maintain high standards of honesty and integrity.	52.7%	21.8%	30.9%	24.9%	10.0%	12.4%	22.4%	290	397	309	121	154	1,271	81
Agree-disagree	55	Supervisors work well with employees of different backgrounds.	69.1%	26.6%	42.5%	18.4%	6.2%	6.3%	12.5%	351	548	231	74	78	1,282	60
Agree-disagree	56	*Managers communicate the goals of the organization.	67.8%	23.4%	44.3%	16.6%	8.8%	6.9%	15.7%	321	592	215	111	91	1,330	12
Agree-disagree	57	Managers review and evaluate the organization's progress toward meeting its goals and objectives.	69.6%	24.8%	44.8%	17.3%	6.6%	6.6%	13.1%	328	576	218	81	82	1,285	64
Agree-disagree	58	Managers promote communication among different work units (for example, about projects, goals, needed resources).	59.8%	21.9%	37.9%	18.1%	12.0%	10.1%	22.1%	300	501	236	156	130	1,323	28
Agree-disagree	59	Managers support collaboration across work units to accomplish work objectives.	62.3%	23.1%	39.2%	18.4%	10.2%	9.1%	19.3%	313	508	240	131	117	1,309	35
Good-poor	60	Overall, how good a job do you feel is being done by the manager directly above your immediate supervisor?	66.6%	35.2%	31.4%	15.6%	8.2%	9.6%	17.9%	469	403	198	104	120	1,294	57
Agree-disagree	61	I have a high level of respect for my organization's senior leaders.	58.4%	26.8%	31.6%	20.4%	10.3%	10.9%	21.2%	374	420	267	138	138	1,337	16
Agree-disagree	62	Senior leaders demonstrate support for Work-Life programs.	61.4%	26.3%	35.1%	23.2%	7.9%	7.4%	15.4%	344	438	287	97	92	1,258	89
Satisfied-dissatisfied	63	*How satisfied are you with your involvement in decisions that affect your work?	55.3%	19.3%	36.0%	20.9%	15.0%	8.8%	23.8%	269	482	277	198	116	1,342	N/A
Satisfied-dissatisfied	64	*How satisfied are you with the information you receive from management on what's going on in your organization?	55.8%	18.8%	37.0%	20.1%	15.2%	9.0%	24.1%	264	494	267	198	120	1,343	N/A
Satisfied-dissatisfied	65	*How satisfied are you with the recognition you receive for doing a good job?	57.5%	20.3%	37.3%	18.9%	13.8%	9.7%	23.5%	283	497	253	181	129	1,343	N/A
Satisfied-dissatisfied	66	How satisfied are you with the policies and practices of your senior leaders?	49.8%	16.6%	33.2%	25.7%	14.8%	9.7%	24.5%	236	448	340	194	126	1,344	N/A
Satisfied-dissatisfied	67	How satisfied are you with your opportunity to get a better job in your organization?	39.0%	14.4%	24.6%	25.9%	18.2%	16.9%	35.1%	204	329	347	241	219	1,340	N/A
Satisfied-dissatisfied	68	How satisfied are you with the training you receive for your present job?	51.6%	16.6%	35.0%	24.2%	14.5%	9.7%	24.2%	232	469	319	196	124	1,340	N/A
Satisfied-dissatisfied	69	*Considering everything, how satisfied are you with your job?	72.0%	26.6%	45.3%	13.3%	9.1%	5.6%	14.7%	368	602	175	120	72	1,337	N/A
Satisfied-dissatisfied	70	Considering everything, how satisfied are you with your pay?	69.3%	23.6%	45.7%	15.1%	9.8%	5.8%	15.6%	324	613	200	131	75	1,343	N/A

Satisfied- dissatisfied	71	*Considering everything, how satisfied are you with your organization?	64.6%	22.3%	42.4%	17.6%	10.4%	7.3%	17.7%	309	567	233	137	93	1,339	N/A
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* AES prescribed items as of 2017 (5 CFR Part 250, Subpart C)

** Unweighted count of responses excluding 'Do Not Know' and 'No Basis to Judge'

The Dashboard only includes items 1-71.

Percentages are weighted to represent the Agency's population.

Organizational Budget and Financial Management

The SBA budget is maintained by the Chief Financial Officer who is designated responsibilities under the CFO Act of 1990. SBA's CFO, a career executive who reports to the Administrator, oversees all financial management activities relating to Agency programs and operations; develops and maintains its financial management systems, financial reporting, and internal controls; and monitors financial execution of the budget.

SUMMARY OF NEW BUDGET AUTHORITY

This Table shows the gross amount of new funding that Congress appropriated for FY 2019, the enacted funding for FY 2020, the requested funding for FY 2021, and the change from FY 2020's enacted funding. The FY 2021 request includes legislative changes requested by SBA. New budget authority is different from total funding in that it does not include funds carried over from year to year and other sources of funding, such as fees and reimbursable expenses.

- *Gross New Budget Authority* is the amount that Congress appropriated.
- *Salaries and Expenses, Entrepreneurial Development Programs, Business Loan Program, Disaster Loan Program, Inspector General, Office of Advocacy, and Surety Bond Guarantee* are the seven SBA appropriation accounts. The SBA will exercise its authority to operate an IT Working Capital Fund.

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2021 Incr/Decr
Gross New Budget Authority				
Salaries and Expenses	\$ 261,500	\$ 270,157	\$ 287,947	\$ 17,790
Information Technology System and Working Capital Fund	\$ 6,000	\$ -	\$ -	\$ -
Entrepreneurial Development Programs	\$ 247,700	\$ 261,000	\$ 167,600	\$ (93,400)
Business Loan Program				
<i>Administration</i>	\$ 155,150	\$ 155,150	\$ 160,300	\$ 5,150
<i>Loan Subsidy - Guaranteed Loan</i>	\$ -	\$ 99,000	\$ -	\$ (99,000)
<i>Loan Subsidy - Microloan</i>	\$ 4,000	\$ 5,000	\$ 4,000	\$ (1,000)
<i>Business Loan Program - Total</i>	\$ 159,150	\$ 259,150	\$ 164,300	\$ (94,850)
Disaster Loan Program Administration ¹	\$ 10,000	\$ 177,136	\$ 168,075	\$ (9,061)
Inspector General	\$ 21,900	\$ 21,900	\$ 22,011	\$ 111
Office of Advocacy	\$ 9,120	\$ 9,120	\$ 9,190	\$ 70
Surety Bond Guarantee	\$ -	\$ -	\$ -	\$ -
Total, Gross New Budget Authority, Excl. Stafford Act Disaster Funding	\$ 715,370	\$ 847,575	\$ 819,123	\$ (28,452)
Total, Gross New Budget Authority, Incl. Stafford Act Disaster Funding	\$ 715,370	\$ 998,463	\$ 819,123	\$ (179,340)
Rescission of Prior Year Unobligated Subsidy Balances	\$ (50,000)	\$ (16,369)	\$ -	\$ 16,369
Offsetting Collections from Business Loan Programs			\$ (80,150)	\$ (80,150)
Total, Net Budget Authority	\$ 665,370	\$ 982,094	\$ 738,973	\$ (243,121)

SALARIES & EXPENSES BUDGET

The top portion of the table shows the sources of funds for the Salaries and Expenses Budget first by appropriation and then supplemented by all other sources. The bottom portion of the table identifies the major expenditures of the Salaries and Expenses Budget. The following are the major categories:

	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	FY 2021 Incr/Decr
SOURCES: Salaries & Expenses Budget				
Salaries and Expenses Appropriation	\$ 267,500	\$ 270,157	\$ 287,947	\$ 17,790
Business Loan Administration Appropriation	\$ 155,150	\$ 155,150	\$ 160,300	\$ 5,150
Subtotal, Appropriated Funds	\$ 422,650	\$ 425,307	\$ 448,247	\$ 22,940
Transfer from Disaster Loans	\$ 9,000	\$ 8,400	\$ 8,400	\$ -
Transfer to Working Capital Fund	\$ (6,000)	\$ -	\$ -	\$ -
Carryover	\$ (131)	\$ -	\$ -	\$ -
Reimbursable Funding	\$ 2,301	\$ 3,400	\$ 3,400	\$ -
Fee Collections	\$ 21,410	\$ 19,100	\$ 19,100	\$ -
Recoveries and Lapsed Balances	\$ (410)	\$ -	\$ -	\$ -
Business Transfer	\$ 280	\$ 350	\$ 280	\$ (70)
Total, Sources of Funds	\$ 449,100	\$ 456,557	\$ 479,427	\$ 22,870
EXPENDITURES: Salaries & Expenses Budget				
Office Operating Budgets	\$ 112,192	\$ 96,018	\$ 96,598	\$ 580
Agency-Wide Costs	\$ 56,109	\$ 65,237	\$ 71,767	\$ 6,530
Compensation and Benefits	\$ 278,498	\$ 291,902	\$ 307,662	\$ 15,760
Subtotal, Agency Operating Budget	\$ 446,799	\$ 453,157	\$ 476,027	\$ 22,870
Additional Operating Expenses				
Reimbursable Expenses	\$ 2,301	\$ 3,400	\$ 3,400	\$ -
Total, Expenditures of Funds	\$ 449,100	\$ 456,557	\$ 479,427	\$ 22,870

OFFICE OPERATING BUDGETS

This table shows the office operating budgets for the line item included in the Salaries and Expenses Appropriation account.

	FY 2019	FY 2020	FY 2021	FY 2021
	Actuals	Enacted	Request	Incr/Decr
Executive Direction ¹	\$ 15,954	\$ 16,466	\$ 16,466	\$ -
Capital Access	\$ 8,424	\$ 7,919	\$ 7,849	\$ (70)
Credit Risk Management	\$ 17,402	\$ 20,992	\$ 20,992	\$ -
Investments & Innovation ²	\$ 8,392	\$ 5,449	\$ 2,449	\$ (3,000)
Government Contracting & Business Development	\$ 4,805	\$ 5,670	\$ 6,320	\$ 650
Entrepreneurial Development	\$ 2,580	\$ 1,201	\$ 1,201	\$ -
Chief Operating Officer ³	\$ 10,287	\$ 7,877	\$ 7,877	\$ -
Chief Information Officer	\$ 39,402	\$ 24,839	\$ 27,839	\$ 3,000
International Trade	\$ 646	\$ 600	\$ 600	\$ -
Office of Field Operations	\$ 3,971	\$ 4,683	\$ 4,683	\$ -
Office of Veterans Business Development	\$ 329	\$ 322	\$ 322	\$ -
Total	\$ 112,192	\$ 96,018	\$ 96,598	\$ 580

¹ Executive Direction includes the Office of the Administrator, Office of General Counsel, Office of Congressional and Legislative Affairs, Office of Hearings and Appeals, Office of Communications and Public Liaison, Office of Performance Management and the Chief Financial Officer, and Office of National Ombudsman.

² Funding for the FAST Program was enacted in FY 2019 and FY 2020 in the Salaries and Expenses appropriation account. The FAST Program is a grant program, not related to SBA administrative costs, and would be better aligned to the Entrepreneurial Development Programs account. The SBA is not requesting funding for the FAST Program in FY 2021.

³ Chief Operating Officer includes the Office of Human Resource Solutions, Office of Diversity, Inclusion, and Civil Rights, Office of Continuous Operations and Risk Management, and Office of Executive Management, Installation and Support Services.

ENTREPRENEURIAL DEVELOPMENT PROGRAMS

This table identifies the line items included in the Entrepreneurial Development Programs account.

	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	FY 2021 Incr/Decr
7(j) Technical Assistance Program	\$ 3,466	\$ 2,800	\$ 500	\$ (2,300)
Entrepreneurship Education	\$ 5,863	\$ 2,500	\$ 2,500	\$ -
FAST ¹	\$ -	\$ -	\$ -	\$ -
Growth Accelerators	\$ 2,650	\$ 2,000	\$ -	\$ (2,000)
HUBZone Program	\$ 2,455	\$ 3,000	\$ 2,500	\$ (500)
Microloan Technical Assistance	\$ 34,019	\$ 34,500	\$ 25,000	\$ (9,500)
National Women's Business Council	\$ 819	\$ 1,500	\$ 1,500	\$ -
Native American Outreach	\$ 2,179	\$ 2,000	\$ 1,500	\$ (500)
PRIME Technical Assistance	\$ 4,878	\$ 5,500	\$ -	\$ (5,500)
Regional Innovation Clusters	\$ 5,473	\$ 5,000	\$ -	\$ (5,000)
SCORE	\$ 11,700	\$ 11,700	\$ 8,000	\$ (3,700)
Small Business Development Centers (SBDC)	\$ 131,069	\$ 135,000	\$ 87,860	\$ (47,140)
State Trade Expansion Program (STEP)	\$ 18,150	\$ 19,000	\$ 8,000	\$ (11,000)
Veterans Outreach ²	\$ 12,224	\$ 14,000	\$ 12,840	\$ (1,160)
Women's Business Centers (WBC)	\$ 16,696	\$ 22,500	\$ 17,400	\$ (5,100)
Total	<u>\$ 251,641</u>	<u>\$ 261,000</u>	<u>\$ 167,600</u>	<u>\$ (93,400)</u>

¹ Funding for the FAST Program was enacted in FY 2019 and FY 2020 in the Salaries and Expenses appropriation account. The FAST Program would be better aligned to the Entrepreneurial Development Programs appropriation. The SBA is not requesting funding for the FAST Program in FY 2021.

² Includes Funding for Veterans Business Outreach Centers (VBOC), Transition Assistance Program (TAP), Boots to Business (B2B), Service-Disabled Veteran Entrepreneurship Training Program (SDVETP), Veteran Federal Procurement Entrepreneurship Training Program (VFPETP), and Women Veteran Entrepreneurship Training Program (WVETP).

FULL TIME EQUIVALENT (FTE) EMPLOYEES

This table shows the number of Full Time Equivalent (FTE) employees by fiscal year and major program activity. FTE is different from positions or headcount in that it is calculated by the number of employee hours worked during the fiscal year.

	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	FY 2021 Incr/Decr
Regular Funds ¹	1,909	2,110	2,116	6
Lender Oversight (Fee Funded)	-	9	9	-
Entrepreneurial Development Programs	20	25	25	-
Sub-Total, Regular S&E	1,929	2,144	2,150	6
Disaster Loan Making	1,950	800	800	-
Disaster Loan Servicing	149	160	160	-
Sub-Total, Disaster	2,099	960	960	-
Office of Advocacy ²	53	52	55	3
Inspector General	110	118	118	-
Total	4,191	3,274	3,283	9

¹ The SBA requests an increase of 6 Full-Time Equivalent (FTE) employees to accommodate additional requirements from the Lender Oversight Reform Act of 2018, to build additional risk management capacity for the SBIC Program, to further the Woman Owned Small Business Certification Program per the Small Business Jobs Act, and to support the Transition Assistance Program implementation per the National Defense Authorization Act of 2018.

² The SBA requests an increase of 3 Full-Time Equivalent (FTE) employees to accommodate administration priorities for manufacturing, agriculture, and intellectual property.

Program Performance, Analysis, and Evaluation

The Office of Program Performance, Analysis, and Evaluation (OPPAE) leads the SBA's results-driven activities, including strategic planning, performance management, program and project management, program evaluation, and economic and regulatory impact analysis, to promote evidence-based decisions in support of America's 30 million small businesses

SBA's Results-Driven Management Governance and Framework

- The Deputy Administrator serves as SBA's Chief Operating Officer (COO)
- The Associate Administrator for Performance Management and Chief Financial Officer serves as SBA's Performance Improvement Officer (PIO)
- The Director, Office of Program Performance, Analysis, and Evaluation serves as SBA's Deputy PIO, Program Management Improvement Officer, and Evaluation Officer
- The Director, Analysis and Evaluation Division serves as SBA's Statistical Official

OPPAE leads the development of the following SBA products and provides support services to SBA program offices. A brief description of each product has been provided in each area.

Performance Management (Government Performance and Results Act Modernization Act)

Strategic Plan - serves as the long-term blueprint for accomplishing the Agency's mission and priorities; created every four years and connects SBA's mission with its programs/activities and defines long-term outcomes through strategic goals, objectives, and performance measures; sets the framework for annual planning, budgeting, and accountability; developed in consultation with Congress and OMB and incorporates public comment period and published one year after each Presidential inauguration.

Agency Priority Goals— a limited number of goals that advance the agency's mission; APGs must be achieved within 24 months and rely on agency implementation within new legislative and budgetary authority; must be discussed in quarterly data-driven reviews

Cross-Agency Priority (CAP) Goals (President's Management Agenda) - serves as four-year goals that support the cross-cutting policy areas managed by the White House/OMB

Annual Performance Plan (APP) and Annual Performance Report (APR) - provides the annual framework for work to be completed and the resources necessary to complete that work; resources justified through performance metrics and other evidence (best practices, research, evaluations); includes annual metrics with targets (negotiated with OMB)

Agency Financial Report (AFR) - reports the Agency's financial statements, relevant performance information, management challenges, internal controls assessments, and systems strategy

Dashboards and Analytics – monthly, high-level view of Agency performance and weekly field dashboards (produced for the field offices, used to communicate progress)

Quarterly Deep Dive Reviews – routine assessments led by agency leaders that bring together people, resources, and analyses to drive progress and performance improvement

Annual Strategic Objective Reviews – an annual assessment of Agency objectives that uses performance data and other evidence; an annual Summary of Findings is developed each spring with a subset of objectives identified as: "Making Noteworthy Progress" and "Facing Significant Challenges"; a brief summary of the findings from the strategic reviews will be published in the APP/APR

Data Quality Records and Policy – records that require review and approve final of performance data for reporting to the public; SBA maintains a registry of records and ensure senior leaders sign before publication

Program Evaluation (Foundations for Evidence-Based Policymaking Act)

Enterprise Learning Agenda – a systematic plan for identifying and addressing policy questions relevant to programs, policies, and regulations; identifies and prioritizes strategies to develop evidence to answer key questions

Annual Evaluation Plan – the annual evaluations that the agency plans to conduct and the questions that the agency seeks to answer

Program Evaluation Framework and Guidelines – outlines the policy and principles for conducting program evaluations within the SBA

Program Management (Program Management Improvement Accountability Act)

Program Management Improvement Plan – serves as the long-term (5-year) implementation plan for program and project management; developed in consultation with OMB and the Program Management Policy Council

Priority Project Portfolio Reviews – an assessment of SBA’s priority projects conducted in alignment with the Quarterly Deep Dive Reviews

Priority Project Management Planning – the development of SBA’s priority projects; developed in coordination with the Chief Operating Officer for SBA’s major program offices

Section IV. Technology/Digital Services Overview

Information Technology Management

The Chief Information Officer is charged with ensuring that SBA is at the forefront of technology and that the IT mission, procurement, finance, human resources align (horizontally and vertically) to deliver IT programs effectively.

a) Organization

There are Information Technology Specialists across SBA. Some IT Specialists report directly to the Office of the Chief Information Officer (OCIO), and many are distributed across program offices including, but not limited to, the Digital Services Office, Office of Disaster Assistance, Office of the Chief Financial Officer, and Office of Capital Access.

b) Plans

Strategically, developing a modernization roadmap involves multiple dimensions that are reconciled with the expected enterprise architecture. This includes, among other things, application reconciliation, governance and lifecycle management functions, cross-enterprise needs, enterprise level security, and operational support measures.

c) People

SBA hired a new CIO in May 2020 and recruitment activities are underway for a Deputy CIO. The CIO is assessing the OCIO workforce and actively working to fill vacancies. Workforce competencies that address the entire IT workforce, inclusive of all IT personnel not just within the OCIO, are being developed to support long-term IT strategic initiatives and capabilities.

d) Process

Governance is a full life-cycle process and the CIO will continue to drive IT alignment and maturity across SBA that includes key stakeholders, business/mission system owner, IT finance, procurement, security and privacy. The CIO is co-chair for the Business Technology Investment Council (BTIC) that meets quarterly to review new investments, and examines performance of current investments. It is SBA's intent that the CIO has insight into all IT procurement strategies throughout the IT management life-cycle. The CIO will continue TechStats to review IT investments and identify critical problems, and conduct PortfolioStats to assess the current maturity of the SBA IT portfolio management process and select PortfolioStat action items to strengthen the IT portfolio.

Further, in FY 21 the CIO is working to strengthen enterprise architecture, change/configuration Management services and improve overall internal process management and performance through specific performance measures.

e) Technology

The CIO and program offices are managing a mix of legacy and modern systems. In FY 20-21, the CIO will continue efforts to consolidate the SBA infrastructure, move to cloud computing, and adopt shared services, Agile development and DevOps.

In FY 21, the CIO will be focused on enhancing foundational capabilities that include laptop deployment, infrastructure upgrades. Data Center Optimization Initiatives include architecting and implementing a long term solution to support SBA's requirements and that align with OMB M- 16-10_1.

SBA

SOP 90-82

Procedure for Managing SBA IT Investments Investment Review Board (IRB)

Office of the Chief Information Officer
U.S. Small Business Administration

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Chapter 1 - Introduction

Background

Agencies must seek opportunities to shift to commodity information technology (IT), leverage technology, procurement, and best practices across the whole of government, and build on existing investments. The Federal Government must focus on maximizing the return on American taxpayers' investment in government spending by ensuring it drives efficiency throughout the Federal Government. On December 19, 2014, Congress enacted the Federal Information Technology Acquisition Reform Act (FITARA). FITARA outlines specific requirements related to:

- Agency Chief Information Officer (CIO) Authority Enhancements.
- Enhanced Transparency and Improved Risk Management in IT Investments.
- Portfolio Review.
- Federal Data Center Consolidation Initiative.
- Expansion of Training and Use of IT Cadres.
- Maximizing the Benefit of the Federal Strategic Sourcing Initiative
- Government wide Software Purchasing Program

To implement the requirements of FITARA, combined with the need to update policy and guidance related to other modern IT practices, SBA's Office of the Chief Information Officer (OCIO) is updating this SOP guidance.

Additionally, SBA has approved SOP 20 21, SBA's Acquisition Program, which supports the implementation of FITARA.

FITARA requires "The head of each covered agency ... shall ensure that the Chief Information Officer of the agency has a significant role in-(i) the decision processes for all annual and multi-year planning, programming, budgeting, and execution decisions"¹. The Office of Management and Budget's (OMB) implementing memo, Memorandum M-15-14, *Management and Oversight of Federal Information Technology*, requires that "the agency head shall ensure the agency-wide budget development process includes the CFO, CAO, and CIO in the planning, programming, and budgeting stages for programs that include IT resources (not just programs that are primarily IT oriented)."² Additionally, the CIO shall review and approve the major IT investment portion of budget request and agency budget justification materials in the agency's initial budget submission to OMB and shall include a statement that affirms the following:

- The CIO has reviewed and approves the major IT investments portion of this budget request.
- The CFO and CIO jointly affirm that the CIO had a significant role in reviewing planned IT support for major program objectives and significant increases and decreases in IT resources.
- The IT Portfolio (formerly Exhibit 53) includes appropriate estimates of all IT resources included in the budget request.

OMB Memorandum M-13-09, *Fiscal Year 2013 PortfolioStat Guidance: Strengthening Federal IT Portfolio Management*, requires all Executive Departments and Agencies to "strengthen IT

¹ 40 U.S.C. § 11319(b)(1)(A)

² [M-15-14, Management and Oversight of Federal Information Technology](#)

portfolio governance.” It states “strong oversight of spending through the use of effective Investment Review Boards (IRBs) that include Chief Operating Officers (COO), Chief Information Officers (CIO), Chief Human Capital Officers (CHCO), Chief Financial Officers (CFO), Chief Acquisition Officers (CAO), Performance Improvement Officers (PIO), program officials, and other key executive decision makers is essential for efficient and effective IT portfolio management.”³

IRBs are composed of senior leadership and OCIO staff and are chaired by the CIO. The agency IRB serves as an authoritative body which reviews and advises on IT portfolio spending, budget plans, as well as investment recommendations to fund, defund, and terminate projects.

Agencies with rigorous IRBs ensure that all stakeholder needs are addressed, and decisions are made in the best interest of the agency. Effective IRBs include the use of:

1. **Enterprise-wide architectures** that link business and technology to ensure that IT solutions meet business requirements, as well as identify areas of waste and duplication wherever consolidation is possible. Additionally, the degree of system co-dependence and redundancy will be constantly evaluated and documented to ensure effective continuity of operations; and
2. **Valuation methodologies** used by decision makers to evaluate investments based on their value to the agency and the cost to the taxpayer. This enables greater consistency and rigor in the process of selecting, controlling, and evaluating investments that an agency decides to fund, de-fund, or terminate.

SBA established the Business Technology Investment Council (BTIC) to serve as its IRB and to serve as the principal governance body in managing SBA IT investments. Also, the BTIC is responsible for implementing key provisions as stated in FITARA. To ensure early matching of appropriate IT with program objectives, the CIO shall be a member of governance boards that include IT resources including bureau IRBs.

Section 40 U.S.C. § 11319(b)(1)(A) describes the decision processes for all annual and multi-year planning, programming, budgeting, and execution decisions and the management, governance and oversight processes related to IT and the Clinger-Cohen Act (Information Technology Management Reform Act of 1996).

Section 40 USC §1101 et seq and in particular, 40 USC §11312 concerning Capital Planning and Investment Control (CPIC), and 40 USC §11315(c)(2), indicates that the CIO of an Agency “monitors the performance of information technology programs of the agency, evaluates the performance of those programs on the basis of the applicable performance measurements, and advises the head of the agency regarding whether to continue, modify, or terminate a program or project.”⁴

The BTIC provides direction and leadership to review and approve the SBA IT Portfolio that creates the optimum return, supports the Agency’s mission, and ensures the accountability of SBA Business and IT investments.

The BTIC process begins with the requirements phase to initiate the project and continues through the end of a project/investment. The BTIC serves vital roles in:

³ [M-13-09](#), *Fiscal Year 2013 PortfolioStat Guidance: Strengthening Federal IT Portfolio Management*

⁴ <https://www.govinfo.gov/app/details/USCODE-2011-title40/USCODE-2011-title40-subtitleIII-chap113-subchapII-sec11315>

- A. **Reviewing investments** to ensure they are in compliance with the guidance in SOP 9052— IT Investment Performance Baseline Management Policy and making recommendations to the Administrator on SBA’s Business and IT investment portfolio
- B. **Providing oversight** and direction on SBA’s IT portfolio/investments, including SBA mission applications and commodity IT, ensuring EA compliance, and requiring valuation.
- C. **Conducting on-going quality assurance reviews** of major investments to ensure they are in compliance with the guidance provided in SOP 90 41—Procedures for Managing and Assessing the Quality of SBA Information Technology Projects.

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Chapter 2 – Purpose, Scope, Authority

1. Purpose

This SOP establishes the policy and procedures for SBA IT Investment Management. It contains definitions, basic information about IT capital planning and investment control, and roles and responsibilities for the BTIC.

Scope

This SOP applies to all SBA personnel involved in IT governance. Specifically, it applies to:

- **All SBA organizational components** including, but not limited to: Headquarters, Program Offices, and Field Offices, as well as external entities with contractual relationships with SBA involving SBA IT resources and contractors.
- **All SBA personnel/contractors** involved in the acquisition, development, maintenance, management, and operations of SBA IT capital assets. This includes government employees and non-government personnel who have been cleared by SBA.

Authority and References

- A. Federal Information Technology Acquisition Reform Act of 2014 (FITARA)
- B. Information Technology Management Reform Act of 1996 (also known as the Clinger-Cohen Act)
- C. Public Law 104-106, in particular, Section 5122 on CPIC and Section 5125(c)(2), which charges agencies' CIOs with the duty to, "monitor the performance of information technology programs of the agency, evaluate the performance of those programs on the basis of the applicable performance measurements and advise the head of the agency regarding whether to continue, modify or terminate a program or project."

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Chapter 3 - Definitions

1. **Business Investment:** Refers to the planning, development, acquisition of a capital asset to meet the identified business operation needs, and the management of the capital asset throughout its usable life after the initial acquisition.
2. **Capital Planning and Investment Control (CPIC):** As defined by OMB Circular A-11, “means the same as capital programming and is a decision-making process for ensuring IT investments integrate strategic planning, budgeting, procurement, and the management of IT in support of agency missions and business needs. The term comes from the Clinger-Cohen Act of 1996 and generally is used in relationship to IT management issues.”
3. **Commodity IT:** Commodity IT is defined to include the following:
 - A. **IT Infrastructure:** Data centers, hosting, networks, wireless communications (voice, data, and video), server hardware, memory and storage, network devices, and any managed services, cloud services, or shared services that involve IT infrastructure.
 - B. **Platforms:** Platform-as-a-Service (PaaS), application platforms, and common-operating-environments that are enterprise platforms or are platforms that are shared between two or more systems or applications
 - C. **Enterprise Licenses:** Software licenses that are enterprise licenses or are software products or licenses that support infrastructure or common platforms.
 - D. **End User Devices:** These include, but are not limited to desktops, laptops, tablets, and smartphones.
 - E. **Enterprise IT Services:** Common applications such as e-mail, collaboration tools, identity and access management, cyber security, web infrastructure, or similar common applications provided by a shared service, managed service, or cloud service.
4. **Architecture Review Board (ARB):** The Architecture Review Board (ARB) acts as the governance body to oversee SBA’s Enterprise-wide Architecture (EA) which consists of segment architectures. More importantly, the ARB will establish adequate governance to ensure SBA investments conform to an overarching SBA EA in providing enterprise level solutions.
5. **Major IT Business Case (MITBC) (formally Exhibit 300 A and B):** The Major IT Business Case is designed to coordinate OMB’s collection of agency information for its reports to the Congress required by the Federal Acquisition Streamlining Act of 1994 (FAS Title V) and the Clinger-Cohen Act of 1996.
6. The business case for investment should be demonstrated for supporting the mission statements, long-term goals and objectives, and annual performance plans developed pursuant to the Government Performance and Results Act (GPRA). In addition, the Major Business Case Details establishes reporting requirements through the Federal IT Dashboard to ensure the proper execution of those investments against the established performance plans.
7. **Agency IT Portfolio Summary (AITPS) formally the Exhibit 53:** Is a summary report of all Agency IT investments (major, non-major and eGov contributions) to include funding requests.
8. **IT Investment:** Refers to the expenditure of funds for IT resources to address mission delivery and management support. An IT investment may include a project or projects for the development, modernization, enhancement, or maintenance of a single IT asset or group of IT assets with related functionality and the subsequent operation of those assets in a production environment.
9. **Investment Review Board (IRB):** Refers to governance board composed of senior leadership, OCIO, and is chaired by the CIO. The Agency IRB serves as an authoritative body which reviews and advises on portfolio spending, budget plans, as well as investment recommendations to fund, defund, and terminate projects.
10. **IT Dashboard:** Refers to a website (www.itdashboard.gov) that enables Federal agencies, industry, the general public, and other stakeholders to view details regarding the performance of Federal IT investments. The IT Dashboard is used by the Administration and Congress to inform budget and policy decisions.

11. **Major IT Investments:** Refers to an IT investment requiring special management attention because of its importance to the mission or function to the government; significant program or policy implications; high executive visibility; high development, operating, or maintenance costs unusual funding mechanisms.
12. **Mission Applications:** Mission applications directly support Agency programs, business process outcomes, and the Agency strategic plan or legislative mandates. Mission applications are supported by commodity IT, but are not considered part of commodity IT.
13. **Non-Major IT Investments:** Investments not considered “major” are “non-major”.
14. **PortfolioStat:** PortfolioStat is a tool for agencies to use to assess the current maturity of their IT portfolio management process and make decisions on eliminating duplication across their organizations. PortfolioStat was launched by the OMB on March 30, 2012.
15. **Projects:** An individual or collaborative work effort that is carefully planned and designed to achieve specific goals with an investment.
16. **SBA IT Portfolio Management Framework:** This is a sequential set of annual activities that are closely linked to the annual Federal budget cycle. The framework is designed to facilitate a cross-functional, enterprise-wide view for the governance of SBA investments.
17. The SBA IT Portfolio Management Framework enables the SBA BTIC to manage the entire Capital Planning and Investment Control (CPIC) process, align investment decisions with Agency’s mission and strategic goals and provide on-going oversight.
18. **TechStat:** Refers to a face-to-face, evidence-based accountability review of an IT program with Agency leadership and OMB, as appropriate. TechStat sessions enable the Federal Government to redirect, re-scope or terminate IT investments that do not produce dividends for the American People.

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Chapter 4 – IT Governance Phases

BTIC Portfolio and Investment Management Phases

The SBA Portfolio and Investment management framework provides the SBA BTIC with a mechanism to manage the CPIC process, and ensures investments integrate strategic planning, budgeting, and procurement. It facilitates a cross-functional, enterprise-wide view for the governance of SBA investments for review, approval and budget submission for IT investments in both Mission Applications and Commodity IT areas.

In line with Federal IT Budget Submission and Execution Cycle, the SBA BTIC Portfolio and Investment management includes three phases:

1. Planning and Formulation Phase

The purpose of the SBA Information Resources Management (IRM) Strategic Plan is to guide the use of SBA IT resources in achieving SBA strategic goals. In addition, the Enterprise Roadmap documents an agency's current and future views of its business and technology environment from an architecture perspective.

It does so by reflecting the implementation of new or updated business capabilities and enabling technologies by making changes in the capabilities of a system or process. Enabling technologies are characterized by modernization efforts that support the agency's strategic goals and initiatives. It also contains a transition plan to show the sequence of actions needed to implement the IRM Strategic plan. Moreover, it focuses on increasing shared approaches to IT service delivery across mission, support, and commodity areas..

The BTIC will review:

- New IT initiatives proposed by Investment Sponsor/Owner and review the business cases presented by investment teams for existing investments.
- The criteria for the budget year SBA portfolio that supports the SBA's missions and strategic plan, as well as the Federal budget guidance for IT investment.
- The criteria for project initiation proposed by Investment Sponsor/Owner, including cost and risks thresholds for project request.

When initiating proposals or preparing for a BTIC Review, Program Offices should work closely with OCIO to develop the required materials and supporting documentation. Many of these documents and materials are used to demonstrate alignment with the Enterprise Architecture.

- a. **Architecture Review Board (ARB):** All proposed IT initiatives that require BTIC review shall be assessed by the ARB. The ARB supports the process of researching, investing, architecting and implementing IT capabilities and services. ARB approval is required prior to BTIC evaluation. After the ARB assesses and approves a proposed change to the Enterprise Architecture, the BTIC will conduct the following reviews to ensure IT initiatives are in alignment with OMB guidance and the Agency's IT Mission and strategic objectives.
- b. SOP 20 21, SBA's Acquisition Program, states that "For IT-related acquisitions, the acquisition plan must note whether SBA's Business Technology Investment Council's (or any successor council) approval for the services was required and the results of the Council approval process and it must be signed by the CIO".

2 IT Portfolio Summary Review, Approval, and Submission Phase

- The BTIC reviews and prioritizes the submitted investments or initiative proposals for inclusion into the SBA portfolio for the budget year.
- The BTIC makes recommendations on the SBA IT portfolio for the Administrator's consideration.
- The BTIC reviews the final SBA IT portfolio budget request and approves the submission of the Agency IT Portfolio and Major Business Cases for major IT investments based on the approved IT budget request to OMB.
- The BTIC reviews the updates to investment budget and justification based on guidance from OMB and approves the re-submission of the Agency IT Portfolio and Major Business Cases.

3 Investment Execution Oversight Phase

Once investments are approved and appropriations are designated, the BTIC shall provide oversight and conduct reviews to ensure that investment scope, outcomes and progress are aligned with the established stated goals and compliance with the guidance provided in SOP 90 41. Investment reviews will be conducted on at least an annual basis to determine the overall health of an existing investment, approve project level requests, and assign project resources, if needed, for the investments. The BTIC will leverage the current Agency-wide governance processes as listed below to support our investment oversight:

- a. **Monthly IT Dashboard Submission Process:** For Major IT investments, performance progress in investment project schedules, risks, operational metrics, and investment program team (IPT), and contract data are required to be submitted to the Federal IT Dashboard on monthly basis, along with the CIO evaluation.
- b. **Project Management:** SBA requires project managers to follow a System Development Methodology (SDM) iterative development, to include release management within a six-month timeframe. The Investment Managers and Project Managers manage projects and document supporting artifacts. BTIC will review active projects and if needed assign project managers and review project manager's certificates.
- c. **Capital Planning Investment Control (CPIC):** CPIC is a mechanism for providing quality data and recommendations to executive decision-makers on IT investments for inclusion into the IT portfolio. SBA's IT investment management, comprised of the SBA's CPIC and IT budget processes, is part of the SBA's integrated IT Investment Management (ITIM) governance framework. The CPIC is not a governing body, but rather a set of planning and oversight processes that the BTIC executes. When the BTIC oversees and evaluates investments, it relies on the process of the Control and Evaluation phases of CPIC.
 - i. *Control Phase:* Ensures, through timely oversight, quality control, and BTIC executive review, that IT investments are executed or developed in a disciplined, well-managed, and consistent manner.
 - ii. *Evaluation Phase:* Actual results of the implemented projects are compared to planned results to assess investment performance. Once investments are implemented, actual versus expected results are evaluated.
- d. **TechStat:** TechStat provides a face-to-face, evidence-based review of an IT investment that enables SBA to turn around, halt or terminate IT investments that

are not effectively performing. The BTIC has the authority to direct TechStat reviews as needed.

- e. **Incremental Development Certification:** The CIO will certify that major IT investments adequately use incremental development, in accordance with OMB's guidance on the implementation of FITARA.

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Chapter 5 – BTIC Meetings FAQs

1. How often does the BTIC meet?

The BTIC meeting will be held at least quarterly to ensure that investment oversight and review functions are being met. Each major investment must be presented at minimum on an annual basis. Ad hoc meetings may be called by the Co-Chairs at any time to deal with urgent issues related to BTIC business or Agency projects.

2. Who provides administrative support for BTIC meetings?

Administrative Support for the Council will be provided by the staff of OCIO. This will include:

- Secretariat staff support for Council meetings (meeting minutes, agenda and materials distribution, electronic and paper files maintenance, etc.).
- Technical expertise on IT matters.
- Solicitation of agenda items from Council members.
- Advice and guidance concerning government-wide IT policies and practices.

3. What are the BTIC agenda topics?

The BTIC will review IT issues and topics presented before them, as appropriate. Agency-wide approach in Digital Strategy, Commodity IT, Enterprise Roadmap, capital planning, quality assurance as well as IT budget and IT procurement guidance will be standing topics for consideration by the BTIC to ensure compliance with the Agency's EA and also alignment with the Agency's mission and strategic goals. The detailed investment review will be presented at the BTIC meeting for investment monitoring, including areas in but not limited to:

- a. Investment status, risks, cost and schedule variance, operational metrics, procurement management and contract oversight, staffing and supporting documentation.
- b. IT investments (at the project level):
 - i. Active projects that meet established criteria in cost, impact, and risk threshold as determined by OMB A-11 guidance.
 - ii. Project cost, schedule, and performance baselines (and changes to those approved baselines) for SBA investments that are governed directly by the SBA BTIC.

4. Who are the BTIC members?

The BTIC is co-chaired by the CIO and the Chief Financial Officer (CFO) and is comprised of the following voting members:

Voting Members

<u>Title</u>	Office
Chief of Staff	Office of the Administrator
Chief Operating Officer	Office of the Administrator
Chief Human Capital Officer	Office of Human Resource Solutions
Associate Administrator	Office of Field Operations
Associate Administrator	Office of Veterans Business Development
Associate Administrator	Office of Capital Access
Associate Administrator	Office of Entrepreneurial Development
Associate Administrator	Office of Disaster Assistance
Associate Administrator	Office of Investment and Innovation
Associate Administrator	Office of Communications & Public Liaison
Associate Administrator	Office of Government Contracting and Business Development
Chief Information Officer	Office of the Chief Information Officer
Chief Financial Officer	Office of Performance Management and Chief Financial Officer

***There will be only one vote per member**

*****Designated voting members within each office can delegate their responsibilities to a deputy within their office. Names of delegate voting members must be submitted to the BTIC in advance of them participating.**

*****All final votes will be determined by simple majority**

A. Non-Voting Members

Title	Office
Chief Counsel for Advocacy	Office of Advocacy
National Ombudsman and Assistant Administrator For Regulatory Enforcement Fairness	Office of the National Ombudsman
General Counsel	Office of the General Counsel
Senior Procurement Executive	Office of Acquisitions
Executive Director	Office of Executive Management, Installations & Support Services



Network Access Request Form

Tell us about this request.

☐

This request is for a new account.

Start date:

☐

This request is to modify an existing account
(e.g. change in name, title, phone number, or Program Office).

Tell us about the individual.

Name must be the individual's full legal name as it appears on the SF-52 / OF-306.

Last Name:

First Name:

Middle Initial:

Previous name (requests for name changes only):

Status:

☐

Permanent

☐

Intern

☐

On-site Contractor

☐

Temp/Term

☐

Volunteer

☐

Off-site Contractor

Title:

Phone Number:

Tell us where this individual works.

Program Office Name and Region:

Agency Mailing Address:

Who is their Federal Supervisor or Contracting Officer Representative (COR)?

What is the Supervisor or COR's phone number?

What is the Supervisor or COR's email address?

Please specify any Program Office network folders or drives that this individual requires access to:

If the individual is a contractor, tell us about their company.

Company Name:

Contract Number:

Contract Expiration Date:

Network Access Request Form

Please read carefully.

Enterprise Office Automation Capabilities

Execution of this form will result in the provisioning of access to the SBA Enterprise Network and issuance of an SBA-issued laptop. This access includes access to email, Internet and intranet resources, document generation and management tools, office messaging, remote access, and other office automation capabilities. Please tell us of any of the following conditions apply:

- ☐ This individual does not need an SBA-issued laptop.
- ☐ This individual needs a desk phone.
- ☐ This individual needs a mobile device.

Cybersecurity and Privacy Policy

By completing this form, the requesting Program Office understands and acknowledges that the access requested carries the responsibility of adhering to all aspects of SBA Cybersecurity and Privacy Policies. The requesting Program Office further understands and acknowledges that violation of these policies may result in suspension or termination of access.

Notice of Separation

The Office of the Chief Information Officer is required to automatically remove network access for separated individuals within thirty (30) calendar days of separation. The requesting Program Office understands and acknowledges that it is their responsibility to notify the Office of the Chief Information Officer when individuals (federal or contractor) separate from the agency. The requesting Program Office also understands and acknowledges that it is their responsibility to provide notification to the Office of the Chief Information Officer for individuals who will be absent from the agency for a period longer than thirty (30) calendar days (e.g. military duty, maternity leave, paternity leave) to prevent access removal.

The information in this form is complete and accurate, and I understand and acknowledge the conditions above.

Federal Supervisor or Contracting Officer Representative

Signature: _____ Date: _____

Access Approvals

Office of Human Resources Solutions (SBA employees) or [this approval is not required]
Office of Inspector General Human Resources (IG employees) [for contractor personnel]

Signature: _____ Date: _____

Office of Personnel Security (SBA employees and contractors) or
Office of Inspector General Office of Security Operations (IG employees and contractors)

Signature: _____ Date: _____

Office of the Chief Information Officer or Office of Disaster Assistance

Signature: _____ Date: _____

SBA's Standard Operating Procedures (SOPs)

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
00 01	Delegations of Authority and Lines of Successions	3	18-Apr	Chief Operating Officer	YES
00 02	Internal Control Systems	2	Jan-86	Chief Financial Officer	YES
00 03	Federal Register Program	3	20-Jun	OEMISS	YES
00 07	HSPD-12 - Personal Identify Verification (PIV)	2	15-Jul	Chief Operating Officer	YES
00 08	Organizational Structure	3	07/12	Personnel	YES
00 10	Mail Management Program	4	Sep-99	Chief Operating Officer	YES
00 13	Personal Property Management Program	5	7-Aug	Chief Operating Officer	YES
00 14	Printing Program	1	Apr-98	Chief Operating Officer	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
00 15	Space Management Program	4	6-May	Chief Operating Officer	YES
00 16	Safety Program	4	16-Sep	Office of Administrative Services	YES
00 18	Federal Assistance Policy Directive (Grants)	1	09/19	Office of Grants Management	YES
00 21	Executive Secretariat's Mission and Functions	5	17-Aug	Chief Operating Officer	YES
00 23	Directives Management Program	8	19-Sep	Chief Operating Officer	YES
00 30	Forms and Other Information Collection Management Program	4	18-May	Executive Management, Installations & Support Services	YES
00 41	Records Management Program	2	Dec-98	Chief Operating Officer	YES
00 80	Alternate Work Sites		5-Dec	Office of Field Operations	YES
10 04	Processing Applications for SBIC Licenses	1	14-Aug	Investment	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
10 06	Oversight and Regulations of SBICs Investment Division		7-May	Investment	YES
10 07	SBIC Liquidation Program	1	7-Dec	Investment	YES
10 09	SBIC Examinations Guidelines	1	10/13	Investment	YES
20 01	Operating Budget System - Part 1	1	Oct-83	Chief Financial Officer	YES
20 03	Accounting Structure	3	Mar-94	Chief Financial Officer	YES
20 05	Cash Control and Process Procedures	4	6-Apr	Chief Financial Officer	YES
20 05	Cash Control and Process Procedures	5	13-Oct	Chief Financial Officer	YES
20 08	SBIC Accounting Procedures	3	17-Aug	Chief Financial Officer	YES
20 11	Travel	6	19-May	Chief Financial Officer	YES
20 12	Administrative Accounting Procedures	5	19-Aug	Chief Financial Officer	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
20 13	Capitalized Property Accounting Program	5		Chief Financial Officer	YES
20 19	Loan Accounting Procedures	2	Jun-88	Chief Financial Officer	YES
20 21	The Small Business Administration Acquisition Program	1	11/19	Chief Financial Officer	YES
20 22	The Government Purchase Card Program		16-Aug	Chief Financial Officer	YES
20 30	Agency Guidelines on Financial Mngement Systems		Apr-85	Chief Financial Officer	YES
20 31	Internal Control		08/19	Chief Financial Officer	YES
20 32	Estimating and Reporting Improper Payments	1	08/17	Chief Financial Officer	YES
20 35	System For OIG Audit Follow-up	1	14-Feb	Chief Financial Officer	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
20 36	Monitoring Unliquidated Obligations		16-May	Chief Financial Officer	YES
32 52	Personnel Management Authority	3	Jul-84	Personnel	YES
33 00	Employment	2	Sep-00	Human Capital Management	YES
33 01	Superior Qualifications and Special Needs Pay-Setting Authority	1	13-Mar	Human Resources	YES
33 02	Recruitment, Relocation, and Retention Incentives	1A	14-Oct	Human Resources	YES
33 03	Pathways Program	1	13-Jan	Human Resources	YES
33 04	Merit Promotion and Placement Plan	2	17-Aug	Human Resources	YES
33 05	Delegated Examining		16-Jan	Human Resources	YES
33 06	Business and Professionals Distinguished Fellowship Program		02/19	Human Resources	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
33 07	Nepotism		02/19	Human Resources	YES
33 08	Drug Testing Program		07/19	Human Resources	YES
33 09	Career Transition Assistance Plan (CTAP), Interagency Career Transition Plan (ICTAP) and Reemployment Priority List (RPL)		08/19	Human Resources	YES
33 10	Intra-Agency Details, Interagency Details, Details to International Organizations and Intergovernment Personnel Act Assignments		08/19	Human Resources	YES
33 11	Probationary and Trial Periods		08/19	Human Resources	YES
33 59	Telework Program	3	15-May	Human Resources	YES
34 00	Separation Clearance		11-Sep	Human Capital Management	YES
34 10	Employee Talent Development Program	4	18-Mar	Human Resources	YES
34 30	Performance Management Program	5	15-Oct	Human Resources	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
34 50	Employee Recognition Program	2B	18-Mar	Human Resources	YES
35 00	Classification and Position Management Program	3	19-Mar	Human Resources	YES
36 00	Attendance and Leave		Dec-97	Human Resources	YES
36 01	Compensatory Time Off For Travel	1	14-Apr	Human Resources	YES
36 04	Creditable Service for Annual Leave Accrual for Non-Federal and Active Duty Uniformed Work Experience		10/18	Human Resources	YES
37 11	SBA Labor Relations Program	5	Mar-98	Human Resources	YES
37 13	Equal Employment Opportunity Program	3	12-Dec	EEOC	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
37 14	Conflict Resolution Center	2	20-Mar	Office of Diversity, Inclusion & Civil Rights	YES
37 15	Anti-Harassment Policy & Procedures		15-Apr	Office of Diversity, Inclusion & Civil Rights	YES
37 16	Language Access Plan and Recipient Guidance		04/20	Office of Diversity, Inclusion & Civil Rights	YES
37 52	Discipline and Adverse Actions	3A	19-May	Human Resources	YES
37 71	Employee Dispute Resolution Process	3	08/17	Human Resources	YES
37 92	Employee Assistance Program	3	Feb-90	Human Resources	YES
39 15	The Acquisition Career Development Program	2	8-Jan	Chief Operating Officer	YES
39 15	Acquisition Career Development Program	2A	10-Jul	Chief Operating Officer	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
39 20	Senior Executive Service Management	3	17-Apr	Human Resources	YES
39 21	Category Rating	1	12-Mar	Human Resources	YES
39 22	Human Capital Accountability Policy	1	20-Aug	Human Resources	YES
39 30	Addressing Domestic Violence, Sexual Assault, and Stalking	1	13-Dec	Human Resources	YES
39 31	Personnel Security and Suitability		11/17	Chief Operating Officer	YES
40 00	Congressional and Legislative Affairs	3	17-Jan	CLA	YES
40 03	Disclosure of Information	4	18-May	Hearings & Appeals	YES
40 04	Privacy Act Procedures	3	4-Jun	Chief Information Officer	YES
50 10	Loan Processing - Posted 11-20-00 - Revisions A-E are all included.	4	Dec-97	Financial Assistance	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
50 10	Lender Development Company Loan Programs	5	8-Aug	Financial Assistance	YES
50 10	Lender Development Company Loan Programs	5	9-Mar	Financial Assistance	YES
50 10	Lender Development Company Loan Programs	5	9-Oct	Financial Assistance	YES
50 10	Lender Development Company Loan Programs	5	9-Oct	Financial Assistance	YES
50 10	Lender Development Company Loan	5	10-Oct	Financial Assistance	YES
50 10	Lender Development Company Loan Programs	5	11-Oct	Financial Assistance	YES
50 10	Lender and Development Company Loan Programs	5	12-Oct	Financial Assistance	YES
50 10	Lender and Development Company Loan Programs	5	12-Oct	Financial Assistance	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
50 10	Lender and Development Company Loan Programs	5	12-Jan	Financial Assistance	YES
50 10	Lender and Development Company Loan Programs	5	12-Jan	Financial Assistance	YES
50 10	Chapter 6 Closings	5	12-Jun	Financial Assistance	YES
50 10	Lender Development Company Loan Programs	5	12-Jun	Financial Assistance	YES
50 10	Lender Development Company Loan Programs	5	12-Jun	Financial Assistance	YES
50 10	Lender Development Company Loan Programs	5	14-Jan	Financial Assistance	YES
50 10	Lender Development Company Loan Programs	5	14-Jan	Financial Assistance	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
50 10	Lender Development Company Loan Programs	5	14-Jan	Financial Assistance	YES
50 10	Lender and Development Company Loan Programs	5	1-May	Financial Assistance	YES
50 10	Lender and Development Company Loan Programs	5	01/17	Financial Assistance	YES
50 10	Lender and Development Company Loan Programs	5	01/18	Financial Assistance	YES
50 10	Lender and Development Company Loan Program	5	02/19	Financial Assistance	YES
50 10	Lender and Development Company Loan Program	6	10/20	Financial Assistance	YES
50 30	Disaster Assistance Program	9	18-May		YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
50 45	The Surety Bond Guarantee Program	2	Mar-99	Surety Guarantees	YES
50 45	The Surety Bond Guarantee Program	3	15-Aug	Surety Guarantee	YES
50 46	Claims Recovery Program	2	16-Aug	Surety Guarantees	YES
50 50	Loan Servicing	4	Dec-97	Financial Assistance	YES
50 50	Loan Servicing	4	Dec-97	Financial Assistance	YES
50 50	Loan Servicing			Financial Assistance	YES
50 50	Loan Servicing	4		Financial Assistance	YES
50 50	Loan Servicing	4	Dec-97	Financial Assistance	YES
50 51	Loan Liquidation and Acquired Property	2	Dec-97	Financial Assistance	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
50 51 - A	Loan Liquidation and Acquired Property	2	Dec-97	Financial Assistance	YES
50 51 - B	Loan Liquidation and Acquired Property	2	5-Apr	Financial Assistance	YES
50 51 - C	Loan Liquidation and Acquired Property	2	5-Sep	Financial Assistance	YES
50 51 - D	National Loan and Acquired Property	2			YES
50 51	Loan Liquidation	3		Financial Assistance	YES
50 52	Disaster Loan Servicing and Liquidation	2	15-Sep	Financial Assistance	YES
50 53	Lender Supervision and Enforcement		10-Oct	Credit Risk Management	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
50 53	Lender Supervision and Enforcement		12-Jun	Credit Risk Management	YES
50 55	Loan Servicing and Liquidation		13-Oct	Capital Access	YES
50 57	7(a) LOAN SERVICING and LIQUIDATION		13-Mar	Capital Access	YES
50 57	7(a) Loan Servicing and Liquidation		14-Mar	Capital Access	YES
50 57	7(a) Loan Servicing and Liquidation	2	15-Dec	Capital Access	YES
52 00	Microloan Program		13-Mar	Economic Opportunity	YES
52 00 B	Microloan Program		18-Jul	Economic Opportunity	YES
51 00	On Site Lender Reviews/Examinations	1	6-Sep	Lender Oversight	YES
60 02	Prime Contracts Program	9	10/19	Government Contracting	YES
60 03	Subcontracting Assistance Program	7	09/18	Government Contracting	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
60 04	Certificate of Competency Program	5	20-Nov	Government Contracting	YES
60 06	Property Sales Assistance Program	3	Feb-98	Government Contracting	YES
60 07	Non-Manufacturer Rule Program		09/17	Government Contracting	YES
60 08	Standard Operating Procedure for the Women-Owned Small Business Program		08/19	Government Contracting	YES
60 16	Small Business Development Centers	1	17-Sep	SBDC	YES
70 20	Regulation Development and Review Program	3	5-Aug	General Counsel	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
80 05	Standard Operating Procedure	6	19-May	Office of Business Development	YES
80 06	HUBZone Program		7-Nov	Office of HUBZone	YES
90 01	Size Determination Program and Review of Size Standards	5	12-Mar	Government Contracting	YES
90 10	Audit Program	6	5-Feb	Inspector General	YES
90 22	Investigations Program	5	Jan-99	Inspector General	YES
90 22	Investigations Program	5	10-Dec	Inspector General	YES
90 22	Investigations Program	5	13-Aug	Inspector General	YES
90 24	Insider Threat Program		11/18	Continuous Operations & Risk Management	YES
90 26	Emergency Communications		10/19	Continuous Operations and Risk Management	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
90 30	Civil Rights Compliance	3	3-Feb	EEOC	YES
90 31	Suspension and Debarment in Non-Financial Programs		07/20	Office of General Counsel	YES
90 41	Procedure for Managing and Assessing the Quality of SBA IT Projects OCIO		11-Sep	OCIO	YES
90 42	Procedure for Managing Changes to SBA Information Systems OCIO		11-Sep	OCIO	YES
90 44	SBA Information Technology and Capital Planning and Investment Control Standard Operating Procedures		01/2020	OCIO	YES
90 47	Cybersecurity and Privacy Policy	5	03/20	OCIO	YES
90 48	Telephone and Facsimile		Nov-94	OIRM	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
90 52	IT Investment Performance Baseline Management (PBM) Policy		01/20	OCIO	YES
90 53	Gifts to the Agency		14-Jul	Communications and Public Liaison	YES
90 54	SBA Advisory Councils	5	1-May	Administrator's Office	YES
90 57	National Environment Policy Act		Feb-80	Financial Assistance	YES
90 71	Boots to Business		18-Jun	Veterans Business Development	YES
90 72	Veterans Business Outreach Center Program		07/18	Veterans Business Development	YES
90 75	Outreach Activities	4	16-Jun	Communication and Public Liaison	YES
90 76	Restrictions on Lobbying		Mar-93	OCIO 9/93	YES

SOP Number	SOP Title	Edition	Effective Date	SOP Owner	2020 Certification
90 80	Women's Business Ownership Program		Jan-93	WBO 5/93	YES
90 81	Open Data Program		14-Oct	OCIO	YES
90 82	Procedure for Managing SBA IT Investments - Investment Review Board (IRB)		20-Jan	OCIO	YES
90 84	SCORE Program		08/19	Entrepreneurship Education	YES

SBA PENDING RULES LIST
as of October 2, 2020

RIN 3245-	TITLE OF RULE	STATUS/LINK TO FEDERAL REGISTER (IF PUBLISHED)
AE05	Small Business Development Center Program Revisions Advance Notice of Proposed Rulemaking	80 FR 17708 04/02/2015 https://www.gpo.gov/fdsys/pkg/FR-2015-04-02/pdf/2015-06854.pdf
AF99	Immediate and Private Disaster Assistance Loan Programs Advance Notice of Proposed Rulemaking	80 FR 63715 10/21/2015 https://www.gpo.gov/fdsys/pkg/FR-2015-10-21/pdf/2015-26532.pdf
AG16	Small Business Size Standards; Alternative Size Standard for 7(a), 504, and Disaster Loan Programs Advance Notice of Proposed Rulemaking	83 FR 12506 03/22/2018 https://www.govinfo.gov/content/pkg/FR-2018-03-22/pdf/2018-05787.pdf
AG69	Small Business Timber Set-Aside Program Advance Notice of Proposed Rulemaking Proposed Rule	80 FR 15697 03/25/2015 https://www.gpo.gov/fdsys/pkg/FR-2015-03-25/pdf/2015-06557.pdf 81 FR 66199 09/27/2016 https://www.gpo.gov/fdsys/pkg/FR-2016-09-27/pdf/2016-22861.pdf
AG74	Express Loan Programs; Affiliation Standards Proposed Rule Interim Final Rule Withdrawal	83 FR 49001 09/28/2018 https://www.govinfo.gov/content/pkg/FR-2018-09-28/pdf/2018-20869.pdf 85 FR 7622 02/10/2020 https://www.govinfo.gov/content/pkg/FR-2020-02-10/pdf/2020-02128.pdf Under development
AG88	Small Business Size Standards: Educational Services; Health Care and Social Assistance; Arts, Entertainment and Recreation; Accommodation and Food Services; Other Services Proposed Rule	Under development

RIN 3245-	TITLE OF RULE	STATUS/LINK TO FEDERAL REGISTER (IF PUBLISHED)
AG89	<p>Small Business Size Standards: Agriculture, Forestry, Fishing and Hunting; Mining, Quarrying, and Oil and Gas Extraction; Utilities; Construction</p> <p>Proposed Rule</p>	<p>85 FR 62239 10/02/2020 https://www.govinfo.gov/content/pkg/FR-2020-10-02/pdf/2020-21589.pdf</p>
AG90	<p>Small Business Size Standards: Transportation and Warehousing; Information; Finance and Insurance; Real Estate and Rental and Leasing</p> <p>Proposed Rule</p>	<p>85 FR 62372 10/02/2020 https://www.govinfo.gov/content/pkg/FR-2020-10-02/pdf/2020-21593.pdf</p>
AG91	<p>Small Business Size Standards: Professional, Scientific and Technical Services; Management of Companies and Enterprises; Administrative and Support, Waste Management and Remediation Services</p> <p>Proposed Rule</p>	<p>At OMB</p>
AG93	<p>Regulatory Reform Initiative: Small Business Investment Company – Regulatory Streamlining and Improvements</p> <p>Proposed Rule</p>	<p>85 FR 61654 09/30/2020 https://www.govinfo.gov/content/pkg/FR-2020-09-30/pdf/2020-19432.pdf</p>
AG94	<p>Consolidation of Mentor Protégé Programs and Other Government Contracting Amendments</p> <p>Proposed Rule</p> <p>Final Rule</p>	<p>84 FR 60846 11/8/2019 https://www.govinfo.gov/content/pkg/FR-2019-11-08/pdf/2019-23141.pdf</p> <p>At OMB</p>
AG95	<p>Export Express, Export Working Capital, and International Trade Loan Programs</p> <p>Advance Notice of Proposed Rulemaking</p>	<p>84 FR 48807 09/17/2019 https://www.govinfo.gov/content/pkg/FR-2019-09-17/pdf/2019-20048.pdf</p>

RIN 3245-	TITLE OF RULE	STATUS/LINK TO FEDERAL REGISTER (IF PUBLISHED)
AG98	Regulatory Reform Initiative: Streamlining and Modernizing the 7(a), Microloan, and 504 Loan Programs to Reduce Unnecessary Regulatory Burden Proposed Rule	Under development
AH01	Regulatory Reform Initiative: Rules of Procedure Governing Cases before the Office of Hearings and Appeals Proposed Rule	85 FR 7893 02/12/2020 https://www.govinfo.gov/content/pkg/FR-2020-02-12/pdf/2020-02494.pdf
AH04	SBA Supervised Lenders Application Process Proposed Rule	85 FR 1783 01/13/2020 https://www.govinfo.gov/content/pkg/FR-2020-01-13/pdf/2019-28500.pdf
AH07	SCORE Program Proposed Rule	Under development
AH08	Regulatory Reform Initiative: Streamlining Surety Bond Guarantee Program Advance Notice of Proposed Rulemaking	84 FR 25496 06/03/2019 https://www.govinfo.gov/content/pkg/FR-2019-06-03/pdf/2019-11509.pdf
AH09	Small Business Size Standards: Manufacturing and Industries with Employee Based Size Standards in Other Sectors Except Wholesale Trade and Retail Trade Proposed Rule	Under development
AH10	Small Business Size Standards: Wholesale Trade and Retail Trade Proposed Rule	Under development
AH11	Regulatory Reform Initiative: Program for Investment in Microentrepreneurs (PRIME) Proposed Rule	85 FR 7254 02/07/2020 https://www.govinfo.gov/content/pkg/FR-2020-02-07/pdf/2020-02366.pdf

RIN 3245-	TITLE OF RULE	STATUS/LINK TO FEDERAL REGISTER (IF PUBLISHED)
AH14	Regulatory Reform Initiative: Government Contracting Programs Proposed Rule	85 FR 6106 02/04/2020 https://www.govinfo.gov/content/pkg/FR-2020-02-04/pdf/2020-01990.pdf
AH15	Regulatory Reform Initiative: Intermediary Lending Pilot Program Proposed Rule	85 FR 12875 03/05/2020 https://www.govinfo.gov/content/pkg/FR-2020-03-05/pdf/2020-04465.pdf
AH17	Small Business Size Standards: Adjustment of Monetary Based Size Standards for Inflation Interim Final Rule	84 FR 34261 07/18/2019 https://www.govinfo.gov/content/pkg/FR-2020-03-05/pdf/2020-04465.pdf
AH18	Use of Federal Surplus Property for Veteran Owned Small Businesses and Small Business in Disaster Areas and Puerto Rico Proposed Rule	85 FR 3273 01/21/2020 https://www.govinfo.gov/content/pkg/FR-2020-01-21/pdf/2020-00442.pdf
AH19	8(a) Business Development (610 review) 610 Review Begin	85 FR 23487 04/28/2020 https://www.govinfo.gov/content/pkg/FR-2020-04-28/pdf/2020-08475.pdf
AH20	Government Contracting Programs (610 review) 610 Review Begin	85 FR 23487 04/28/2020 https://www.govinfo.gov/content/pkg/FR-2020-04-28/pdf/2020-08475.pdf

RIN 3245-	TITLE OF RULE	STATUS/LINK TO FEDERAL REGISTER (IF PUBLISHED)
AH21	HUBZone Program (610 review) 610 Review Begin	85 FR 23487 04/28/2020 https://www.govinfo.gov/content/pkg/FR-2020-04-28/pdf/2020-08475.pdf
AH22	Small Business Investment Company—Regulatory Improvements and Modernization Proposed Rule	Under development
AH23	Rules of Procedure Governing Cases before the Office of Hearings and Appeals Proposed Rule	Under development
AH25	Guidance Documents Final Rule	Under development
AH26	Small Business Size Standards: Calculation of Average Annual Receipts in Business Loan, Disaster Loan, and Small Business Investment Company Programs Proposed Rule	Under development
AH27	National Defense Authorization Act of 2020: Definition of Surviving Spouse for Service-Disabled Veteran Owned Small Businesses and Change to 8(a) Business Development Contracting Thresholds Direct Final Rule	Under development
AH28	National Defense Authorization Act of 2020: Credit for Lower Tier Subcontracting and Other Amendments Proposed Rule	Under development
AH29	Secondary Market Program—Proposed Regulatory Changes Advance Notice of Proposed Rulemaking	Under development
AH30	[RIN deleted – duplicate of AH27]	
AH31	SBIR/STTR Policy Directive Clarification of Phase III Eligibility Proposed Rule	Under development

RIN 3245-	TITLE OF RULE	STATUS/LINK TO FEDERAL REGISTER (IF PUBLISHED)
AH32	SBIR/STTR Policy Directive Updates Based on NDAA 2020 Changes and Other Miscellaneous Clarifications Proposed Rule	Under development
AH33	Eligibility Changes to the Military Reservist Economic Injury Disaster Loan Program Direct Final Rule	Under development
AH34	Business Loan Program Temporary Changes; Paycheck Protection Program Interim Final Rule	85 FR 20811 04/15/2020 https://www.govinfo.gov/content/pkg/FR-2020-04-15/pdf/2020-07672.pdf
AH35	Business Loan Program Temporary Changes; Paycheck Protection Program Interim Final Rule	85 FR 20817 04/15/2020 https://www.govinfo.gov/content/pkg/FR-2020-04-15/pdf/2020-07673.pdf
AH36	Business Loan Program Temporary Changes; Paycheck Protection Program-- Additional Eligibility Criteria and Requirements for Certain Pledges of Loans Interim Final Rule	85 FR 21747 04/20/2020 https://www.govinfo.gov/content/pkg/FR-2020-04-20/pdf/2020-08257.pdf
AH37	Business Loan Program Temporary Changes; Paycheck Protection Program – Requirements for Promissory Notes, Authorizations, and Disbursements and Additional Affiliation and Eligibility Guidance Interim Final Rule	85 FR 23450 04/28/2020 https://www.govinfo.gov/content/pkg/FR-2020-04-28/pdf/2020-09098.pdf
AH38	Business Loan Program Temporary Changes; Paycheck Protection Program – Requirements – Disbursements Interim Final Rule	85 FR 26321 05/04/2020 https://www.govinfo.gov/content/pkg/FR-2020-05-04/pdf/2020-09398.pdf
AH39	Business Loan Program Temporary Changes; Paycheck Protection Program – Requirements – Corporate Groups and Non-Bank and Non-Insured Depository Institution Lenders Interim Final Rule	85 FR 26324 05/04/2020 https://www.govinfo.gov/content/pkg/FR-2020-05-04/pdf/2020-09576.pdf

RIN 3245-	TITLE OF RULE	STATUS/LINK TO FEDERAL REGISTER (IF PUBLISHED)
AH40	Business Loan Program Temporary Changes; Paycheck Protection Program – Nondiscrimination and Additional Eligibility Criteria Interim Final Rule	85 FR 27287 05/08/2020 https://www.govinfo.gov/content/pkg/FR-2020-05-08/pdf/2020-09963.pdf
AH41	Business Loan Program Temporary Changes; Paycheck Protection Program – Requirements – Extension of Limited Safe Harbor with Respect to Certification Concerning Need for PPP Loan Request Interim Final Rule	85 FR 29845 05/19/2020 https://www.govinfo.gov/content/pkg/FR-2020-05-19/pdf/2020-10649.pdf
AH42	Business Loan Program Temporary Changes; Paycheck Protection Program – Loan Increases Interim Final Rule	85 FR 29842 05/19/2020 https://www.govinfo.gov/content/pkg/FR-2020-05-19/pdf/2020-10658.pdf
AH43	Business Loan Program Temporary Changes; Paycheck Protection Program – Eligibility of Certain Electric Cooperatives Interim Final Rule	85 FR 29847 05/19/2020 https://www.govinfo.gov/content/pkg/FR-2020-05-19/pdf/2020-10674.pdf
AH44	Business Loan Program Temporary Changes; Paycheck Protection Program – Treatment of Entities with Foreign Affiliates Interim Final Rule	85 FR 30835 05/21/2020 https://www.govinfo.gov/content/pkg/FR-2020-05-21/pdf/2020-10967.pdf
AH45	Business Loan Program Temporary Changes; Paycheck Protection Program – Second Extension of Limited Safe Harbor with Respect to Certification Concerning Need for PPP Loan and Lender Reporting Interim Final Rule	85 FR 31357 05/26/2020 https://www.govinfo.gov/content/pkg/FR-2020-05-26/pdf/2020-11292.pdf
AH46	Business Loan Program Temporary Changes; Paycheck Protection Program – Requirements – Loan Forgiveness Interim Final Rule	85 FR 33004 06/01/2020 https://www.govinfo.gov/content/pkg/FR-2020-06-01/pdf/2020-11536.pdf
AH47	Business Loan Program Temporary Changes; Paycheck Protection Program – SBA Loan Review Procedures and Related Borrower and Lender Responsibilities Interim Final Rule	85 FR 33010 06/01/2020 https://www.govinfo.gov/content/pkg/FR-2020-06-01/pdf/2020-11533.pdf

RIN 3245-	TITLE OF RULE	STATUS/LINK TO FEDERAL REGISTER (IF PUBLISHED)
AH48	Business Loan Program Temporary Changes; Paycheck Protection Program – Eligibility of Certain Telephone Cooperatives Interim Final Rule	85 FR 35550 06/11/2020 https://www.govinfo.gov/content/pkg/FR-2020-06-11/pdf/2020-12623.pdf
AH49	Business Loan Program Temporary Changes; Paycheck Protection Program-Revisions to First Interim Final Rule Interim Final Rule	85 FR 36308 06/16/2020 https://www.govinfo.gov/content/pkg/FR-2020-06-16/pdf/2020-12909.pdf
AH50	Business Loan Program Temporary Changes; Paycheck Protection Program – Additional Revisions to First Interim Final Rule Interim Final Rule	85 FR 36717 06/18/2020 https://www.govinfo.gov/content/pkg/FR-2020-06-18/pdf/2020-13130.pdf
AH51	Business Loan Program Temporary Changes; Paycheck Protection Program – Revisions to the Third and Sixth Interim Final Rules Interim Final Rule	85 FR 36997 06/19/2020 https://www.govinfo.gov/content/pkg/FR-2020-06-19/pdf/2020-13293.pdf
AH52	Business Loan Program Temporary Changes; Paycheck Protection Program – Revisions to Loan Forgiveness and Loan Review Procedures Interim Final Rules Interim Final Rule	85 FR 38304 06/26/2020 https://www.govinfo.gov/content/pkg/FR-2020-06-26/pdf/2020-13782.pdf
AH53	Business Loan Program Temporary Changes; Paycheck Protection Program – Additional Eligibility Revisions to First Interim Final Rule Interim Final Rule	85 FR 38301 06/26/2020 https://www.govinfo.gov/content/pkg/FR-2020-06-26/pdf/2020-13942.pdf
AH54	Business Loan Program Temporary Changes; Paycheck Protection Program – Certain Eligible Payroll Costs Interim Final Rule	85 FR 39066 06/30/2020 https://www.govinfo.gov/content/pkg/FR-2020-06-30/pdf/2020-14128.pdf
AH55	Appeals of SBA Loan Review Decisions Under the Paycheck Protection Program Interim Final Rule	85 FR 52883 08/27/2020 https://www.govinfo.gov/content/pkg/FR-2020-08-27/pdf/2020-17895.pdf

RIN 3245-	TITLE OF RULE	STATUS/LINK TO FEDERAL REGISTER (IF PUBLISHED)
AH56	Business Loan Program Temporary Changes; Paycheck Protection Program – Treatment of Owners and Forgiveness of Certain Nonpayroll Costs Interim Final Rule	85 FR 52881 08/27/2020 https://www.govinfo.gov/content/pkg/FR-2020-08-27/pdf/2020-18940.pdf

Significant Litigation Cases **(as of October 15, 2020)**

I. Court Litigation Cases:

Ultima Services v. SBA and USDA (E.D. Tenn.)

Ultima Services, a woman-owned small business, had multiple contracts with USDA until around 2018 when it is alleged that USDA decided to set aside those contracts for socially and economically disadvantaged businesses under the SBA's 8(a) program. *Ultima* is now challenging the constitutionality of the 8(a) program because it alleges that the program is racially discriminatory in violation of the Fifth Amendment. A motion to dismiss has been filed. The case is in the early stages of discovery.

Washington Post, et al. v. SBA (D.D.C.)

The Washington Post and a number of major news outlets, including the New York Times, Wall Street Journal, Bloomberg News and the Associated Press have sued the agency for release of all PPP and EIDL borrower information. SBA publicly provided all of the borrower loan data that it believes is releasable. SBA has drafted the Agency's answer and two declarations for the Chief of Staff's signature, asserting that FOIA Exemptions 4 and 6 protect the withheld information on borrowers in both the PPP and EIDL programs.

Infinity Consulting Group, LLC, et al v. U.S. Department of Treasury (D. Md.)

This lawsuit was filed by two sole proprietorships who did not receive PPP loans. The Plaintiffs brought suit against the Treasury Department and SBA, as well as the SBA Administrator and Treasury Secretary in their official and personal capacities. The personal capacity suit was filed pursuant to *Bivens v. Six Unknown Named Agents*, 403 U.S. 388 (1971). SBA secured DOJ representation for Administrator Carranza in her personal capacity. The Plaintiffs allege in the Complaint that they could not apply for and did not receive a PPP loan because the impact of the PPP implementation was discriminatory on the basis of race and gender. Plaintiffs allege that PPP implementation adversely impacted sole proprietorships and sole proprietors are mostly female and non-white. Plaintiffs allege that as sole proprietors they could not apply for a PPP loan until a day before the first round of funding ran out because SBA and Treasury did not issue guidance for sole proprietors to apply for a PPP loan until the day before funding ran out and not until after it issued guidance for other types of businesses. The Plaintiffs also allege that the regulations and guidance regarding how to determine the amount of a PPP loan discriminated against sole proprietors because different rules applied to sole proprietors versus non-sole proprietors. Plaintiffs filed a Motion for Temporary Restraining Order which was denied by the Court. SBA, working with the US Attorney's Office and the Department of Justice, filed a motion to dismiss the Complaint on behalf of the federal agencies and Administrator Carranza and Secretary Mnuchin.

Mondragon, et al. v. SBA, et al. (E.D.N.Y.)

Twelve PPP loan applicants, some of which allege that they employed personnel for whom they paid payroll taxes and others who allege they were self-employed are challenging denial of their PPP loan applications on the basis that the CARES Act does not have a citizenship requirement. The PPP loan application does require the borrower to provide the business' TIN number as well as the TIN number for any owner with 20% or more equity in the business. A status conference was held on August 26th, which concluded with a requirement that the plaintiffs file an amended complaint setting forth specific allegations pertaining to each plaintiff and a schedule for the parties to brief the issues raised in such complaint. The Government's response to the Second Amended Complaint is due November 6, 2020.

Prestige Transportation Inc., et al. v. SBA, et al. (C.D. Cal.)

The plaintiffs and/or a provisionally certified class allege that a citizenship or legal permanent resident requirement for EIDL loans, and the inability of the application system to accept amendments to such applications, violate the APA. The plaintiffs claim that relief under the CARES Act was not intended to exclude duly registered corporations and limited liability companies because of the immigration status of their individual owners residing in the United States or to penalize applicants because of clerical mistakes during the application process. The plaintiffs have filed for a Temporary Restraining Order, and the Government's opposition to the TRO is due October 17th.

PPP Adversary Proceedings against SBA in various Bankruptcy Courts across the country

In over 60 adversary proceedings filed to obtain TROs or PIs against SBA, debtors in bankruptcy sued SBA to have the bankruptcy exclusion for PPP loans identified on Form 2483 and in the Fourth IFR set aside. The most frequently asserted causes of action have been claims that 11 U.S.C. § 525 prohibits discrimination against otherwise eligible debtors desiring a PPP loan and that SBA exceeded its authority under the APA in barring debtors from obtaining PPP loans. SBA has prevailed in the majority of cases. Where debtors have prevailed in the Bankruptcy Courts, SBA has typically sought an appeal to the appropriate District Courts, and in one case SBA prevailed on an appeal to the 5th Circuit, *Hidalgo County Emergency Serv. Found. v. Carranza*, App. No. 20-40368 (5th Cir.).

Challenge to the Agency's Administration of the Paycheck Protection Program Brought by "Adult Entertainment" Businesses

Relying on the First and Fifth Amendments of the U.S. Constitution, the Administrative Procedure Act, and other bases, a number of businesses within the "adult entertainment" industry, brought suit challenging the Agency's application of 13 C.F.R. § 120.110(p) as an eligibility standard under the Paycheck Protection Program. That provision provides that among businesses that are ineligible for SBA business loans are "[b]usinesses which: (1) present live performances of a prurient sexual nature; or (2) Derive directly or indirectly more than de minimis gross revenue through the sale of products or services, or the presentation of any depictions or displays, of a prurient sexual nature." A similar challenge was brought by "adult entertainment" businesses against the Agency's provision of emergency Economic Injury Disaster Loans under the CARES Act.

II. Administrative Litigation Cases:

immixTechnology, Inc. on behalf of Software AG Government Solutions, Inc. v. Dept. of the Interior (CBCA).

On April 12, 2017, immixTechnology, Inc. (immix) filed a \$13.7 million claim for contract breach with the Federal contracting officer in charge of an SBA Office of Disaster Assistance order for software sold by SoftwareAG Government Solutions. The contracting officer denied the claim, and immix appealed to the Civilian Board of Contract Appeals (CBCA). The CBCA held a two-day hearing on July 15-16, 2019, and the case remains pending.

Protest of Alpha Omega Integration, LLC (GAO).

On October 5, 2020, Alpha Omega Integration, LLC filed a bid protest against SBA's award of a six-month 8(a) contract to Skyward IT Solutions, LLC to provide information technology services in support of SBA's Capital Access Financial Systems. If the protest is not dismissed, SBA's response is due November 4, 2020.

AFGE Council 228

On May 27, 2015, AFGE Council 228 initiated a nationwide class action grievance, to include approximately 1200 Bargaining Unit Employees, alleging improper compensation for overtime work performed. The matter is currently before an arbitrator and the Agency continues to litigate the case.

Office of Continuous Operations and Risk Management (OCORM)

The Audit Compliance role was assigned to OCORM *formerly known as Office of Disaster Planning and Risk Management (ODPRM)* in FY 2016 to address Government Accountability Office (GAO) audits, OIG audits, and Management Challenge reports. The OCORM team has continuously addressed the audit compliance portfolio for the Agency, and in 2018, the Agency's Audit Compliance Team was created.

The Compliance Team is comprised of members of the Office of Continuous Operations and Risk Management (OCORM), Office of General Counsel (OGC), and Office of Congressional and Legislative Affairs (OCLA), with regular coordination with the Office of the Chief Financial Officer (OCFO). The Team has served as a conduit between SBA offices and auditors from OIG and GAO to resolve numerous outstanding issues and areas of disagreement, securing closure of audit recommendations and clarity on management challenges.

OCORM has institutionalized a collaborative relationship, consisting of regular, facilitated discussions between SBA program offices and OIG/GAO staff. OCORM's negotiation, mediation, technical assistance, and amiable discussions, along with the SBA offices' active engagement, responsiveness, and coordination, have yielded significant results for the Agency in resolving audit recommendations and Management Challenges.

Management Challenge Report and Recommendations

Each year, OIG publishes its "Report on the Most Serious Management and Performance Challenges Facing the SBA" (Management Challenge Report).

This report represents OIG's current assessment of SBA's programs and activities that pose significant risks, including those that are particularly vulnerable to fraud, waste, error, mismanagement, or inefficiencies. The challenges are not presented in order of priority, as all are believed to be critical management or performance issues. Annually in the fourth quarter of the fiscal year, OIG requests a progress report from SBA. This progress report provides SBA with the opportunity to demonstrate its actions to address the challenges and recommendations.

SBA provided its feedback to the FY 2021 draft Management Challenge report on October 14, 2020, and the final report was published on October 16, 2020. The Published FY2021 Report, and all previous reports, are available at <https://www.sba.gov/document/report--report-most-serious-management-performance-challenges-office-inspector-general>.

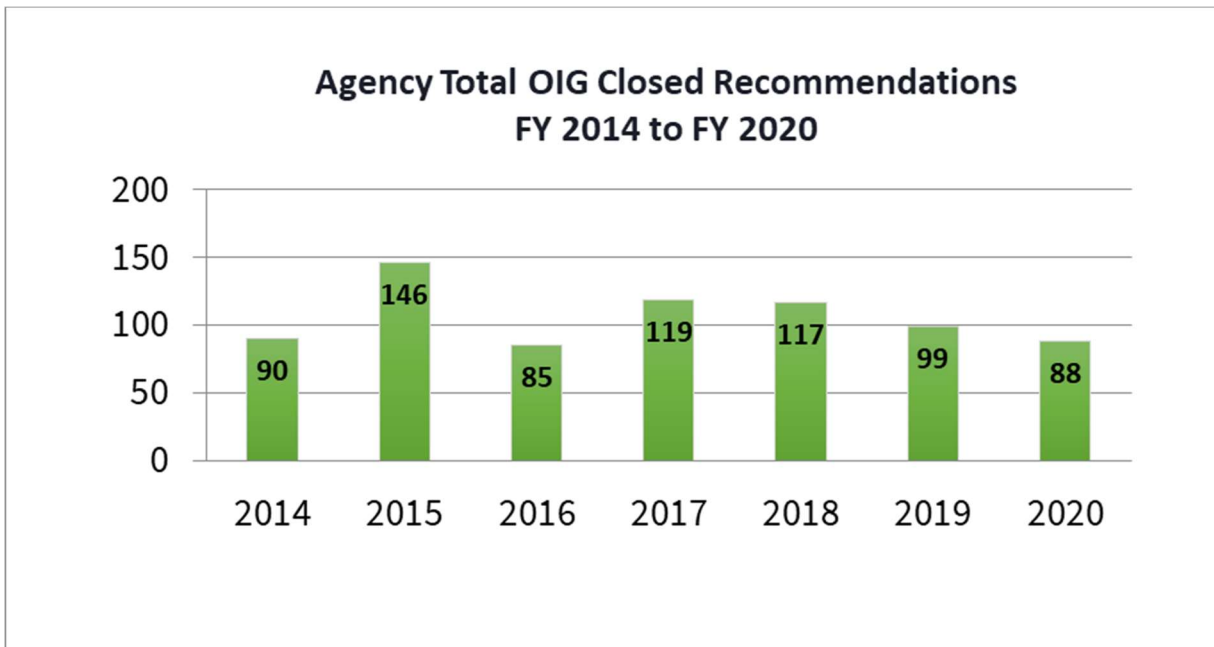
Annually in the 1st quarter of the fiscal year, following publication of the final Management Challenge Report, SBA Leadership develops strategic plans to document planned actions to address and track progress for each challenge in the final report. OCORM facilitates this exercise and Offices report out monthly to OCORM and OIG on their progress.

Overall Results

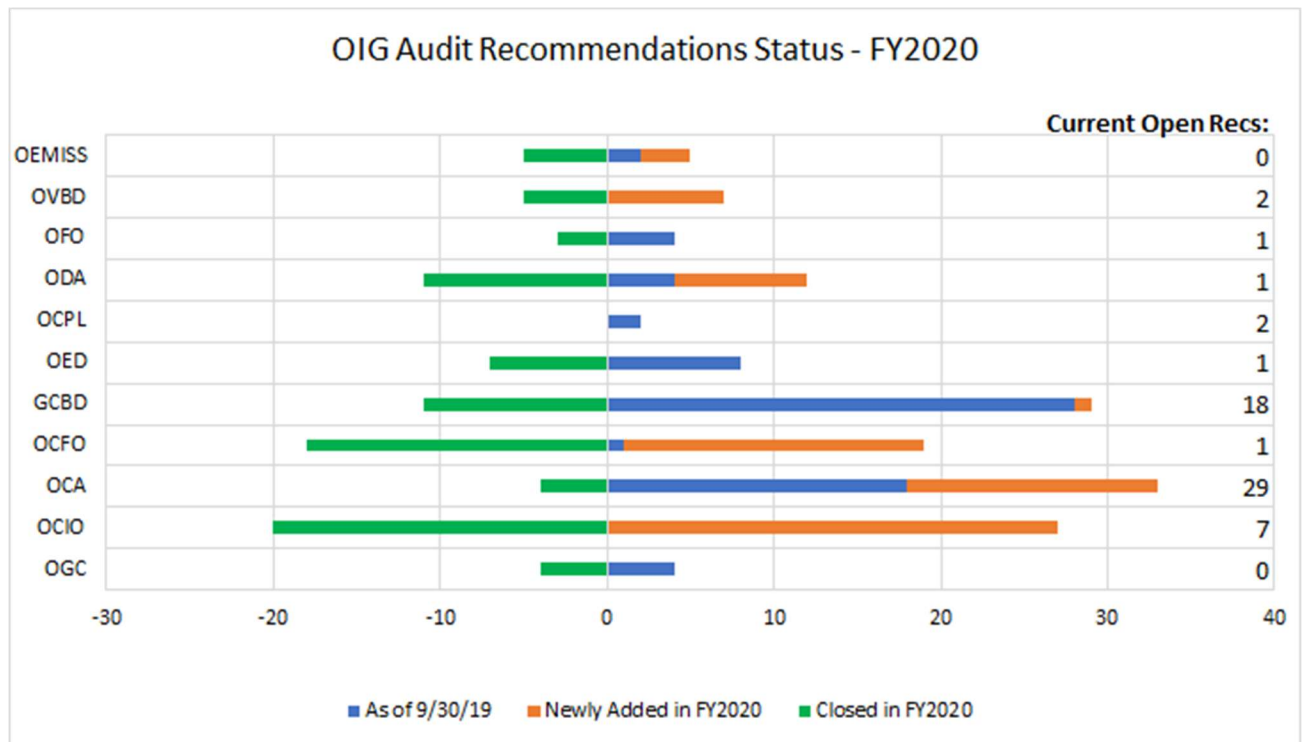
OCORM's institutionalized approach of continuous discussions with SBA senior leadership, OIG staff, OCLA, OGC, and the Chief of Staff have embedded audit compliance in the Agency culture. In FY 2020, OCORM continued to institutionalize the audit compliance function for the Agency with the establishment of Authorizing Officials, Originating Officials, and Audit Liaisons in each SBA Headquarters office to maintain and ensure responsiveness with auditors, timely updates, and reported actions taken to close audit recommendations.

SBA's Inspector General has told the SBA Administrator that the relationship SBA has with its OIG is one of the most positive in the federal government.

For a review of the agency-wide successes in addressing and closing OIG audit recommendations, please see the charts below displaying recommendations closed and activity by SBA office.



FY 2020 OIG Audit Recommendations New and Closed



Government Accountability Office (GAO) Reports and Recommendations

When GAO conducts an audit, it issues reports which often make specific recommendations to an agency based on evidence found during the audit. Agency implementation of these recommendations is tracked by the GAO staff that made them. Before GAO considers a recommendation closed, a GAO staffer must obtain documentation from the agency demonstrating it has addressed the findings leading to the recommendation, such as updated policies, evidence of training, or partnership agreements detailing collaboration with other agencies. When an agency fully implements a recommendation, the GAO staff mark it as “closed/implemented.” The recommendation will remain open (in some cases, for many years), until the agency proves to GAO it has implemented the recommendation. This high degree of due diligence gives GAO confidence that these recommendations are genuinely being acted on.

Priority Recommendations

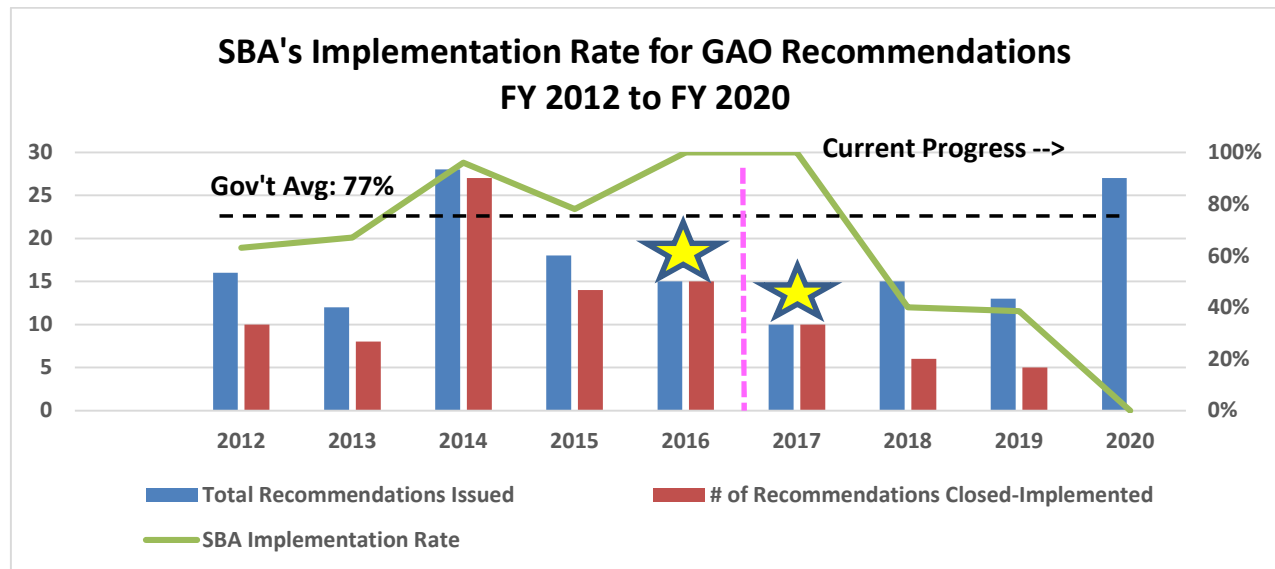
Each year, GAO designates certain recommendations to “Priority” status based on Congressional mandates (tied to legislation), government-wide areas of concern, or GAO specific concerns regarding a particular agency program. These priority recommendations are outlined and explained in an annual Priority Recommendations letter sent by the GAO Comptroller General to the SBA Administrator. (Please see 2020 Priority Recommendations Letter below) GAO expects SBA to address all recommendations; however, GAO emphasizes the importance of focusing on the priority recommendations.

GAO Implementation Rate

An agency’s closure/implementation rate for GAO recommendations issued within a 4-year period is referred to as the Implementation Rate. (As an example, GAO issued 15 recommendations in FY 2016, and SBA closed/implemented all 15 of the recommendations by the end of FY2020, thus achieving a 100% implementation rate.) At the end of the four-year period, the final implementation rate is included (among other information) in the annual Priority Recommendations letter. The letter states what the government average implementation rate is for each year (typically around 77%), so SBA can get a sense of where it stands compared to other federal agencies.

SBA’s concerted efforts to address GAO recommendations and priority recommendations have yielded implementation rates that are not only well above but exceed the government rate average of 77%. The FY 2016-2020 and FY 2017-2021 implementation rates of 100% are strong indicators of the Agency’s efforts. (See **Implementation Rate chart below**)

SBA's Implementation Rate for GAO Recommendations for FY 2012 to FY 2020



--- Line denotes timeframe for GAO's 4-year implementation rate expectation, all implemented recommendations in advance (to the right) are achieved ahead of schedule



Indicates 100% Implementation Rate achievement



441 G St. N.W.
Washington, DC 20548

Comptroller General
of the United States

April 21, 2020

Jovita Carranza
Administrator
U.S. Small Business Administration
409 3rd Street, SW
Washington, D.C. 20416

Priority Open Recommendations: Small Business Administration

Dear Ms. Carranza:

The purpose of this letter is to provide an update on the overall status of the Small Business Administration's (SBA) implementation of GAO's recommendations and to call your personal attention to areas where open recommendations should be given high priority.¹ In November 2019, we reported that on a government-wide basis, 77 percent of the recommendations we made 4 years ago were implemented.² SBA's recommendation implementation rate was 78 percent. As of February 2020, SBA had 46 open recommendations. Fully implementing these open recommendations could significantly improve SBA's operations.

Since our April 2019 letter, SBA has implemented two of our five open priority recommendations. To address our recommendation related to data tracking, SBA entered into an agreement with the Department of Agriculture (USDA) to share loan data, enabling SBA to analyze borrower characteristics for loan programs. SBA also took steps to collect unique client data from resource partners. To address our recommendation related to lender compliance with the requirement for lenders to only make SBA 7(a) loans to creditworthy small business borrowers who cannot obtain credit through a conventional lender at reasonable terms, SBA provided evidence that it had required reviewers to document their assessments of a lender's policies and practices. We ask your continued attention to the remaining three open priority recommendations.

We also are adding five new recommendations related to improving disaster response, cybersecurity, and export promotion, bringing the total number of priority recommendations to eight. (See enclosure for the list of recommendations).

The eight priority recommendations fall into the following four areas:

Disaster response. Two recommendations would improve SBA's ability to respond to disasters. In February 2020, we recommended that SBA (1) identify and document risks associated with its disaster response and plans to mitigate these risks in its disaster planning

¹Priority recommendations are those that GAO believes warrant priority attention from heads of key departments or agencies. They are highlighted because, upon implementation, they may significantly improve government operation—for example, by realizing large dollar savings; eliminating mismanagement, fraud, and abuse; or making progress toward addressing a high-risk or duplication issue.

²GAO, *Performance and Accountability Report: Fiscal Year 2019*, [GAO-20-1SP](#) (Washington, D.C.: Nov. 19, 2019).

documentation, and (2) identify the key elements of a disaster action plan and provide additional guidance to staff on how to incorporate these elements into future action plans. In comments on a draft of the report, SBA told us that to address the first recommendation it would identify and document known risks associated with SBA's disaster response and implement a risk-informed approach to its direct response and recovery operations. For the second recommendation, SBA told us the agency would develop the key elements of, and templates for, a disaster action plan. SBA also stated that it would include this information in the agency's Disaster Preparedness and Recovery Plan. By identifying risks and enhancing guidance on action plans, SBA can better design its plans for and implementation of disaster response efforts and help ensure staff are adequately prepared to conduct post-disaster operations.

Requirement that lenders assess borrowers' ability to obtain credit elsewhere. Two recommendations would improve lender compliance with the credit elsewhere requirement—that lenders only make SBA 7(a) loans to creditworthy small business borrowers who cannot obtain credit through a conventional lender at reasonable terms. In June 2018, we recommended that SBA (1) use its on-site and off-site reviews to routinely collect information on lenders' use of credit elsewhere criteria, and (2) analyze information obtained from its reviews on lenders' use of credit elsewhere criteria. In June 2019, SBA provided us information on 7(a) lender reviews and a lender training schedule on credit elsewhere. In November 2019, SBA provided more information on reviewer training on and communication of best practices to lenders. In April 2020, SBA stated that the agency would provide a response addressing these recommendations by September 30, 2020. SBA has to collect data on criteria used for credit elsewhere justifications for a larger sample of loans and analyze patterns in lender practices to better understand whether 7(a) loans have reached borrowers who cannot obtain credit from other sources at reasonable terms. Improving documentation and information on lenders' use of credit elsewhere criteria would help promote compliance with the requirement and thereby help ensure that the 7(a) program reaches its target population.

Cybersecurity. We made one recommendation that would help improve SBA's ability to address cyber threats. In July 2019, we recommended that SBA establish a process for conducting an organization-wide cybersecurity risk assessment. SBA agreed with this recommendation and stated it would update its strategy to more clearly address risk tolerance and risk-mitigation strategies and finalize a process for conducting a cybersecurity risk assessment. As of February 2020, this effort was not complete. Improving its ability to assess cyber risks would enhance SBA's ability to protect its information and systems from ongoing cyber threats.

Export promotion. The last three priority recommendations would help address staffing requirements and improve controls in export promotion grant programs. We recommended in January 2013 that SBA update its hiring plan to more effectively implement statutory requirements for staffing of SBA export finance specialists in Export Assistance Centers across the country. In January 2020, SBA told us the agency had hired additional export finance specialists, bringing the total hired to 25. SBA also told us the agency was establishing a strategy for future hires and requesting fiscal year 2021 funding to hire individuals to fill the remaining five positions. While these steps partially mitigate the shortfall and follow the spirit of the statutory requirement and GAO's recommendation, as of February 2020 SBA had not yet put in place the 30 export finance specialists required by law. Putting in place 30 export finance specialists would ensure compliance with statutory requirements, and help increase exports by small businesses.

We made another two recommendations in March 2019 that SBA (1) establish a process that ensures documentation of states' compliance with total match requirements before grant closeout, and (2) develop an additional process to determine states' compliance with a cash match requirement. SBA generally agreed with both recommendations and said they would develop the necessary processes.³ In September 2019, SBA told us that these processes would entail responsibilities assigned to program office staff and grants specialists, as appropriate. Further developing and implementing these processes are important steps in ensuring compliance with the statutory requirements of the program.

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As you know, in 2019 we issued our biennial update to our high-risk program, which identifies government operations with greater vulnerabilities to fraud, waste, abuse, and mismanagement or the need for transformation to address economy, efficiency, or effectiveness challenges.⁴ Our high-risk program has served to identify and help resolve serious weaknesses in areas that involve substantial resources and provide critical service to the public.

Several government-wide **high-risk areas**—(1) **ensuring the cybersecurity of the nation**, (2) **improving the management of IT acquisitions and operations**, (3) **strategic human capital management**, (4) **managing federal real property**, and (5) **the government-wide personnel security clearance process**—have direct implications for SBA and its operations.⁵ We urge your attention to the government-wide high-risk issues as they relate to SBA. Progress on high-risk issues has been possible through the concerted actions and efforts of Congress, the Office of Management and Budget, and the leadership and staff in agencies, including SBA.

Copies of this report are being sent to the Director of the Office of Management and Budget and appropriate congressional committees including the Committees on Appropriations, Budget, and Homeland Security and Governmental Affairs, United States Senate; and the Committees on Appropriations, Budget, and Oversight and Reform, House of Representatives. In addition, the report will be available at no charge on the GAO website at <http://www.gao.gov>.

I appreciate SBA's continued commitment to these important issues. If you have any questions or would like to discuss any of the issues outlined in the letter, please do not hesitate to contact me or Daniel Garcia-Diaz, Managing Director, Financial Markets and Community Investment at garciadiazd@gao.gov or 202-512-8678. Contact points for our Offices of Congressional Relations and Public Affairs may be found on the last page of this report. Our teams will continue to coordinate with your staff on all of the 46 open recommendations, as well as those additional recommendations in the high-risk areas for which SBA has a leading role. Thank you for your attention to these matters.

³GAO, *Small Business Administration: Export Promotion Grant Program Should Better Ensure Compliance with Law and Help States Make Full Use of Funds*, GAO-19-276 (Washington, D.C.: Mar. 12, 2019).

⁴GAO, *High-Risk Series: Substantial Efforts Needed to Achieve Greater Progress on High-Risk Areas*, [GAO-19-157SP](#) (Washington, D.C.: Mar. 6, 2019).

⁵[GAO-19-157SP](#). See pages 178-184 for Ensuring the Cybersecurity of the Nation, pages 123-127 for Improving the Management of IT Acquisitions and Operations, pages 75-77 for Strategic Human Capital Management, pages 78-85 for Managing Federal Real Property, and pages 170-177 for the Government-wide Personnel Security Clearance Process.

Sincerely yours,

A handwritten signature in black ink, reading "Gene L. Dodaro". The signature is fluid and cursive, with a large initial "G" and "D".

Gene L. Dodaro
Comptroller General
of the United States

Enclosure - 1

cc: William Manger, Associate Administrator, Office of Capital Access
Dorrice Roth, Acting Chief Financial Officer, Office of Performance Management and
Chief Financial Officer
David M. Glaccum, Associate Administrator, Office of International Trade

Enclosure

Priority Open Recommendations to the Small Business Administration (SBA)

Disaster Response

Small Business Administration: Disaster Loan Processing Was Timelier, but Planning Improvements and Pilot Program Evaluation Needed. GAO-20-168. Washington, D.C.: Feb. 7, 2020.

Recommendation: The Associate Administrator for the Office of Disaster Assistance should identify and document risks associated with its disaster response and plans to mitigate these risks in its disaster planning documentation.

Action Needed: SBA agreed with the recommendation. SBA noted that relevant agency offices would collaborate to identify and document known risks associated with SBA's disaster response and implement a risk-informed approach to its direct response and recovery operations. To fully implement this recommendation, SBA should identify potential risks that could impede its ability to provide disaster assistance and ways to mitigate these risks. Once identified, SBA should incorporate these risks and their mitigation into its disaster planning documentation.

Recommendation: The Associate Administrator for the Office of Disaster Assistance should identify the key elements of a disaster action plan and provide additional guidance to staff on how to incorporate these elements into future action plans.

Action Needed: SBA agreed with the recommendation. SBA noted that the agency would develop the key elements of and templates for a disaster action plan, provide guidance to field operations centers, and update the agency's Disaster Preparedness and Recovery Plan. To fully implement this recommendation, SBA should develop a standard template for field operation centers to use when developing action plans to guide their initial disaster response.

Director: William B. Shear, Financial Markets and Community Investment

Contact information: shearw@gao.gov or (202) 512-8678

Credit Elsewhere Requirement

Small Business Loans: Additional Actions Needed to Improve Compliance with the Credit Elsewhere Requirement. GAO-18-421. Washington, D.C.: June 5, 2018.

Recommendation: The Administrator of SBA should use its on-site and off-site reviews to routinely collect information on lenders' use of credit elsewhere criteria as part of its monitoring of lender practices related to the credit elsewhere requirement.

Action Needed: SBA generally agreed with the recommendation. To fully implement this recommendation, SBA should put into operation its plan to collect information on lenders' use of

the credit elsewhere criteria when conducting reviews that include loan file reviews, whether performed at the lender's location (on-site reviews) or virtually (off-site reviews).

Recommendation: The Administrator of SBA should analyze information on lenders' use of credit elsewhere criteria obtained from its reviews to identify lenders that may be at greater risk of noncompliance and to inform its selection of lenders for further review for credit elsewhere compliance.

Action Needed: SBA generally agreed with the recommendation. To fully implement this recommendation, SBA should implement its plan to analyze credit elsewhere compliance data obtained from reviews conducted virtually and at the lender's location to identify lender-level portfolio trends or elevated lender risk to inform its selection of lenders for further review for credit elsewhere compliance.

Director: William B. Shear, Financial Markets and Community Investment

Contact information: shearw@gao.gov or (202) 512-8678

Cybersecurity

Cybersecurity: Agencies Need to Fully Establish Risk Management Programs and Address Challenges. GAO-19-384. Washington, D.C.: July 25, 2019.

Recommendation: The Administrator of SBA should establish a process for conducting an organization-wide cybersecurity risk assessment.

Action Needed: SBA agreed with the recommendation. SBA stated that the agency was finalizing a process for conducting an organization-wide cybersecurity risk assessment. As of February 2020, SBA had not completed this effort.

Director: Nick Marinos, Information Technology and Cybersecurity

Contact information: marinosn@gao.gov or (202) 512-9342

Export Promotion

Export Promotion: Small Business Administration Needs to Improve Collaboration to Implement Its Expanded Role. GAO-13-217. Washington, D.C.: January 30, 2013.

Recommendation: To more effectively implement SBA's expansion of Office of International Trade field staff as required by the Small Business Jobs Act of 2010, the Administrator of SBA should update SBA's plan for additional Office of International Trade staff to include funding sources and time frames, as well as possible efficiencies from clearly defining roles and responsibilities and leveraging other entities' export assistance resources.

Action Needed: SBA agreed with this recommendation but noted resource constraints. To fully implement this recommendation, SBA needs to provide documentation of a plan for complying with staffing requirements for export finance specialists in the Small Business Jobs Act of 2010, or provide evidence that it has done so.

Director: Kimberly Gianopoulos, International Affairs and Trade
Contact information: gianopoulosk@gao.gov or (202) 512-8612

Small Business Administration: *Export Promotion Grant Program Should Better Ensure Compliance with Law and Help States Make Full Use of Funds*. GAO-19-276. Washington, D.C.: March 12, 2019.

Recommendation: The Administrator of SBA should establish a process that ensures documentation of states' compliance with the total match requirement before grant closeout.

Action Needed: SBA generally agreed with the recommendation. SBA stated that it would establish a process that ensures documentation of state recipients' compliance with the total match requirement before grant closeout. To fully implement this recommendation, SBA should create and maintain documentation of the agency's annual analysis and determination that grant recipients have or have not met the total match requirement.

Recommendation: The SBA Administrator should develop a process to determine states' compliance with the cash match requirement.

Action Needed: SBA generally agreed with our recommendation. SBA stated that it would develop a process to determine states' compliance with the cash match requirement. To fully implement this recommendation, SBA should create and document an annual agency process to determine whether grant recipients have or have not met the cash match requirement.

Director: Kimberly Gianopoulos, International Affairs and Trade
Contact information: gianopoulosk@gao.gov or (202) 512-8612

Congressional Relations and Issues:

Overview –

SBA is one of the smallest agencies in the executive branch to have its own standing oversight committees in both the House and Senate. Generally issues that the SBA faces are considered bipartisan and the agency has a good working relationship with both sides of the aisle.

Oversight Committees –Membership

Senate Small Business Committee: 116th Congress (2019-2020):

<u>Majority:</u>	<u>Minority:</u>
Sen. Marco Rubio, (FL) Chairman	Sen. Ben Cardin (MD) Ranking Member
Sen. Jim Risch (ID)	Sen. Maria Cantwell (WA)
Sen. Rand Paul (KY)	Sen. Jeanne Shaheen (NH)
Sen. Tim Scott (SC)	Sen. Ed Markey (MA)
Sen. Joni Ernst (IA)	Sen. Cory Booker (NJ)
Sen. James Inhofe (OK)	Sen. Chris Coons (DE)
Sen. Todd Young (IN)	Sen. Mazie Hirono (HI)
Sen. John Kennedy (LA)	Sen. Tammy Duckworth (IL)
Sen. Mitt Romney (UT)	Sen. Jacky Rosen (NV)
Sen. Josh Hawley (MO)	

House Small Business Committee: 116th Congress (2019-2020)

<u>Majority:</u>	<u>Minority:</u>
Rep. Nydia Velazquez (NY) Chairwoman	Rep. Steve Chabot (OH) Ranking Member
Rep. Abby Finkenauer (IA)	Rep. Aumua Radewagen (AS)
Rep. Jared Golden (ME)	Rep. Troy Balderson (OH)
Rep. Andy Kim (NJ)	Rep. Kevin Hern (OK)
Rep. Jason Crow (CO)	Rep. Jim Hagedorn (MN)
Rep. Sharice Davids (KS)	Rep. Pete Stauber (MN)
Rep. Kwiesi Mfume (MD)	Rep. Tim Burchett (TN)
Rep. Judy Chu (CA)	Rep. Ross Spano (FL)
Rep. Dwight Evans (PA)	Rep. John Joyce (PA)
Rep. Brad Schneider (IL)	Rep. Dan Bishop (NC)
Rep. Adriano Espaillat (NY)	
Rep. Antonio Delgado (NJ)	
Rep. Chrissy Houlahan (PA)	
Rep. Angie Craig (MN)	

Main Issues:

1. Committee Oversight of CARES Act programs;

The House and Senate Small Business Committees; the House Committee on Oversight; and the House Select Subcommittee on the Coronavirus Crisis have engaged the agency through letters, briefing requests, and hearing requests, in performing oversight of agency operations of CARES Act programs – the Paycheck Protection Program (PPP) and the Economic Injury Disaster Loan (EIDL) program. CLA's continued attention to these requests is very important.

2. GAO / IG Audits & Reports:

Government Accountability Office (GAO) audits and recommendations continue to be a focus of CLA's GAO Liaison. CLA's GAO Liaison works as part of an internal agency working group on GAO and SBA IG related items. With a large volume of CARES Act audits, in addition to ongoing non-CARES Act GAO audit activity, coordinating and responding to these GAO items is a high priority for the department.

3. Congressional Inquiries:

1. The CARES Act has greatly increased the level of outreach and the volume of letters, phone calls, and constituents related requests from congressional offices. CLA, working with the relevant program offices, needs to continue to tend to these inquiries in a timely and efficient manner.

Federal Advisory Committee Act (FACA)

Committee Management Officer: Andrienne Johnson, Andrienne.Johnson@sba.gov

Advisory Committee on Veterans Business Affairs
Audit and Financial Management Advisory Committee
Council on Underserved Communities
Interagency Task Force on Veterans Small Business Development
National Small Business Development Center Advisory Board
National Women's Business Council
Region I Small Business Regulatory Fairness Board
Region II Small Business Regulatory Fairness Board
Region III Small Business Regulatory Fairness Board
Region IV Small Business Regulatory Fairness Board
Region IX Small Business Regulatory Fairness Board
Region V Small Business Regulatory Fairness Board
Region VI Small Business Regulatory Fairness Board
Region VII Small Business Regulatory Fairness Board
Region VIII Small Business Regulatory Fairness Board
Region X Small Business Regulatory Fairness Board

SAM Status 10/15/2020

Organization	Type of Agreement	Office	Contact	Signed	Expires
African American Chamber of Commerce of Central Florida	Strategic Alliance Memorandum	North Florida District Office	Ed Ramos	9/9/2019	9/9/2021
African American Greater Albuquerque Chamber of Commerce	Strategic Alliance Memorandum	New Mexico District Office	John Garcia	7/31/2019	7/31/2021
Arkansas Community Bankers Association	Strategic Alliance Memorandum	Arkansas District Office	Edward Haddock	5/22/2019	5/22/2021
Asian/Pacific Islander American Chamber of Commerce and Entrepreneurship	Strategic Alliance Memorandum	Office of the Administrator	Peter Gibbs	5/13/2019	5/13/2021
Benedict College Business Development Center	Strategic Alliance Memorandum	South Carolina District Office	Savannah Wilburn	3/28/2019	3/28/2021
Better Business Bureau of Central New England	Strategic Alliance Memorandum	Massachusetts District Office	Robert Nelson	8/1/2019	8/1/2021
Better Business Bureau of Dayton/Miami Valley	Strategic Alliance Memorandum	Columbus District Office	Everett Woodel, Jr.	8/1/2019	8/1/2021
Better Business Bureau Serving Southeast Florida and the Caribbean	Strategic Alliance Memorandum	Puerto Rico & U.S. Virgin Islands	Yvette T. Collazo	2/28/2020	2/28/2022
Black Economic Council of Massachusetts	Strategic Alliance Memorandum	Massachusetts District Office	Nadine Boone	9/4/2019	9/4/2021
California Chamber of Commerce (CalChamber)	Strategic Alliance Memorandum	Fresno District Office	Dawn Golik	3/20/2019	3/20/2021
Camara de Comercio del Sur de Puerto Rico	Strategic Alliance Memorandum	Puerto Rico District Office	Yvette Collazo	2/21/2019	2/21/2021
Central Florida Urban League, Inc.	Strategic Alliance Memorandum	North Florida District Office	Ed Ramos	10/17/2019	10/17/2021

Central State University	Strategic Alliance Memorandum	Columbus District Office	Barry Peel	10/1/2019	10/1/2021
Cincinnati African American Chamber of Commerce	Strategic Alliance Memorandum	Columbus District Office	Barry Peel	10/1/2019	10/1/2021
City of Augusta	Strategic Alliance Memorandum	Georgia District Office	Jeff Patterson	4/9/2019	4/9/2021
City of Charleston Business and Neighborhood Services	Strategic Alliance Memorandum	South Carolina District Office	William Furman	12/13/2019	12/13/2021
City of Columbia-Office of Business Opportunities	Strategic Alliance Memorandum	South Carolina District Office	Angela Brewer	2/6/2020	2/6/2022
City of Columbus Office of Diversity and Inclusion	Strategic Alliance Memorandum	Columbus District Office	Barry Peel	10/1/2019	10/1/2021
City of Douglasville, Georgia	Strategic Alliance Memorandum	Georgia District Office	Terri L. Denison	2/12/2019	2/12/2021
City of East Point, Georgia	Strategic Alliance Memorandum	Georgia District Office	Terri L. Denison	2/12/2019	2/12/2021
City of Eureka Springs	Strategic Alliance Memorandum	Arkansas District Office	Edward Haddock	4/11/2019	4/11/2021
City of South Fulton, Georgia	Strategic Alliance Memorandum	Georgia District Office	Terri Denison	12/18/2019	12/18/2021
City of Union City, Georgia	Strategic Alliance Memorandum	Georgia District Office	Terri L. Denison	2/12/2019	2/12/2021
Colorado Minority Business Office	Strategic Alliance Memorandum	Colorado District Office	Francis Padilla	7/17/2019	7/17/2021
Columbus African American Chamber of Commerce	Strategic Alliance Memorandum	Columbus District Office	Barry Peel	10/1/2019	10/1/2021

Combined Arms	Strategic Alliance Memorandum	Houston District Office	Valerie Maher	4/9/2019	4/9/2021
Communities Rise	Strategic Alliance Memorandum	Seattle District Office	Desiree Albrecht	2/6/2020	2/6/2022
Council of the Great Lakes Region	Strategic Alliance Memorandum	Great Lakes Regional Office	Andrea Roebker	4/9/2019	4/9/2021
Dallas Black Chamber of Commerce	Strategic Alliance Memorandum	Dallas/Fort Worth District Office	Herbert Austin	2/6/2020	2/6/2022
Development Authority of Clayton County	Strategic Alliance Memorandum	Georgia District Office	Jennell Taylor	5/22/2019	5/22/2021
El Paso Community College-PTAC	Strategic Alliance Memorandum	El Paso District Office	Jose Campos	8/1/2019	8/1/2021
Entrepreneurship for All (EforAll)-Spark Efor All Holyoke	Strategic Alliance Memorandum	Massachusetts District Office	Oreste Varela	3/7/2019	3/7/2021
Fairfax County Economic Development Authority	Strategic Alliance Memorandum	Washington DC Metro Area District Office	Libo Suen	10/25/2019	10/25/2021
Farmington Regional Chamber	Strategic Alliance Memorandum	St. Louis District Office	Patricia Freeland	3/20/2019	3/20/2021
Federation of Philippine American Chamber of Commerce Chicago Chapter	Strategic Alliance Memorandum	Illinois District Office	Robert Steiner	12/5/2019	12/5/2021
Fisk University	Strategic Alliance Memorandum	Tennessee District Office	LaTanya Channel	6/24/2019	6/24/2021
Florida Memorial University	Strategic Alliance Memorandum	South Florida District Office	Althea Harris	8/27/2019	8/27/2021
Fort Valley State University	Strategic Alliance Memorandum	Georgia district office	Terri Denison	10/3/2019	10/3/2021

Fort Worth Hispanic Chamber of Commerce	Strategic Alliance Memorandum	Fort Worth Hispanic Chamber of Commerce	Herbert Austin	2/6/2020	2/6/2022
Georgia Greater Black Chamber of Commerce	Strategic Alliance Memorandum	Georgia District Office	Terri Denison	1/6/2020	1/6/2022
Georgia Hispanic Chamber of Commerce	Strategic Alliance Memorandum	Georgia District Office	Jennell Taylor	6/24/2019	6/24/2021
Goosefoot	Strategic Alliance Memorandum	Seattle District Office	Kerrie Hurd	9/9/2019	9/9/2021
Greater Seattle Business Association	Strategic Alliance Memorandum	Seattle District Office	Kerrie Hurd	4/11/2019	4/11/2021
Hilltown Community Development Corporation	Strategic Alliance Memorandum	Massachusetts District Office	Oreste Varela	7/11/2019	7/11/2021
Hispanic Chamber of Commerce of Metro Orlando	Strategic Alliance Memorandum	North Florida District Office	Ed Ramos	8/1/2019	8/1/2021
Houston Area Urban League	Strategic Alliance Memorandum	Houston District Office	Valerie Maher	2/6/2020	2/6/2022
Houston Community College System	Strategic Alliance Memorandum	Houston District Office	Valerie Maher	2/6/2020	2/6/2022
Kentucky State University	Strategic Alliance Memorandum	Kentucky District Office	Robert Coffey	10/17/2019	10/17/2021
Kerrville Chamber of Commerce	Strategic Alliance Memorandum	San Antonio District Office	Anthony Ruiz	2/28/2020	2/28/2022
Knoxville Area Urban League	Strategic Alliance Memorandum	Tennessee District Office	LaTanya Channel	5/22/2019	5/22/2021
Knoxville College	Strategic Alliance Memorandum	Tennessee District Office	LaTanya Channel	6/24/2019	6/24/2021

Lane College	Strategic Alliance Memorandum	Tennessee District Office	LaTanya Channel	7/18/2019	7/18/2021
Latin Builders Association, Inc.	Strategic Alliance Memorandum	South Florida District Office	Jonel Hein	12/18/2019	12/18/2021
LeMoyne-Owen College	Strategic Alliance Memorandum	Tennessee District Office	LaTanya Channel	7/18/2019	7/18/2021
Los Angeles Gay and Lesbian Chamber of Commerce	Strategic Alliance Memorandum	Los Angeles District Office	Leigh Kearns	6/24/2019	6/24/2021
Maestro Entrepreneur Center	Strategic Alliance Memorandum	San Antonio District Office	Anthony Ruiz	2/28/2020	2/28/2022
Meharry Medical College	Strategic Alliance Memorandum	Tennessee District Office	LaTanya Channel	7/18/2019	7/18/2021
Metro South Chamber of Commerce	Strategic Alliance Memorandum	Massachusetts District Office	Peter Kontakis	2/6/2020	2/6/2022
Miles College	Strategic Alliance Memorandum	Alabama District Office	Tom Todt	2/28/2020	2/28/2022
Mountain Plains Minority Supplier Development Council	Strategic Alliance Memorandum	Kansas City District Office	Ram Basnet	3/28/2019	3/28/2021
Mountain Plains Minority Supplier Development Council	Strategic Alliance Memorandum	Colorado District Office	Stephen Collier	9/9/2019	9/9/2021
Municipal Government of Vieques	Strategic Alliance Memorandum	Puerto Rico District Office	Jorge Betancourt	8/8/2019	8/8/2021
Municipality of Culebra	Strategic Alliance Memorandum	Puerto Rico District Office	Jorge Betancourt	8/8/2019	8/8/2021
Nashoba Valley Chamber of Commerce	Strategic Alliance Memorandum	Massachusetts District Office	Robert Nelson	2/28/2020	2/28/2022

Nashville Area Hispanic Chamber of Commerce	Strategic Alliance Memorandum	Tennessee District Office	LaTayna Channel	5/22/2019	5/22/2021
Nashville Black Chamber of Commerce	Strategic Alliance Memorandum	Tennessee District Office	LaTayna Channel	6/24/2019	6/24/2021
Nashville LGBT Chamber of Commerce	Strategic Alliance Memorandum	Tennessee District Office	LaTayna Channel	5/22/2019	5/22/2021
National Association of Federally-Insured Credit Unions	Strategic Alliance Memorandum	Office of Capital Access	William “Bill” Manger	9/3/2019	9/3/2021
New Mexico Economic Development Department	Strategic Alliance Memorandum	New Mexico District Office	John Garcia	5/22/2019	5/22/2021
New Mexico State University Arrowhead Center	Strategic Alliance Memorandum	New Mexico District Office	John Garcia	3/2/2020	3/2/2022
North Olympic Peninsula Resource Conservation & Development Council	Strategic Alliance Memorandum	Seattle District Office	Kerrie Hurd	4/11/2019	4/11/2021
Ohio Department of Transportation, Division of Opportunity, Diversity, and Inclusion	Strategic Alliance Memorandum	Columbus District Office	Barry Peel	10/1/2019	10/1/2021
Pacific Island Knowledge 2 Action Resources, Inc.	Strategic Alliance Memorandum	Utah District Office	Marla Trollan	1/6/2020	1/6/2022
Pontifical Catholic University of Puerto Rico	Strategic Alliance Memorandum	Puerto Rico District Office	Yvette T. Collazo	3/7/2019	3/7/2021
Prospera	Strategic Alliance Memorandum	North Florida District Office	Ed Ramos	8/1/2019	8/1/2021
Prospera	Strategic Alliance Memorandum	South Florida District Office	C.J. Castro	8/1/2019	8/1/2021
Puerto Rican Chamber of Commerce of Central Florida	Strategic Alliance Memorandum	North Florida District Office	Ed Ramos	9/9/2019	9/9/2021

Puerto Rico MBDA Business Center	Strategic Alliance Memorandum	Puerto Rico District Office	Jorge Betancourt	3/5/2020	3/5/2022
Puerto Rico Science, Technology and Research Trust	Strategic Alliance Memorandum	Puerto Rico District Office	Jorge Betancourt	4/9/2019	4/9/2021
Rio Grande Council of Governments	Strategic Alliance Memorandum	El Paso District Office	Jose Campos	8/27/2019	8/27/2021
Rio Grande Valley Hispanic Chamber of Commerce	Strategic Alliance Memorandum	Lower Rio Grande Valley District Office	Angela Burton	2/6/2020	2/6/2022
Sandy Springs Innovation Center	Strategic Alliance Memorandum	Georgia District Office	Terri Denison	3/7/2019	3/7/2021
Sault Tribe Business Alliance	Strategic Alliance Memorandum	Michigan District Office	Constance Logan	5/31/2019	5/31/2021
Savannah Technical College	Strategic Alliance Memorandum	Georgia District Office	Terri Denison	7/17/2019	7/17/2021
Shaw University	Strategic Alliance Memorandum	North Carolina District Office	Patrick Rodriguez	4/9/2019	4/9/2021
Sistema Universitario Ana G. Mendez, Inc.	Strategic Alliance Memorandum	Puerto Rico District Office	Jorge Betancourt	2/17/2019	2/17/2021
South Carolina Research Authority	Strategic Alliance Memorandum	South Carolina District Office	William Furman	2/6/2020	2/6/2022
Southern Ocean County Chamber of Commerce	Strategic Alliance Memorandum	New Jersey District Office	Sheryl Paynter	9/9/2019	9/9/2021
Southern University and A&M College	Strategic Alliance Memorandum	Louisiana District Office	Jo Ann Lawrence	11/1/2019	11/1/2021
St. Augustine University	Strategic Alliance Memorandum	North Carolina District Office	Patrick Rodriguez	8/1/2019	8/1/2021

St. Croix Chamber of Commerce	Strategic Alliance Memorandum	Puerto Rico & U.S. Virgin Islands District Office	Wayne Huddleston	9/9/2019	9/9/2021
St. George Chamber of Commerce	Strategic Alliance Memorandum	Utah District Office	Marla Trollan	9/9/2019	9/9/2021
Suazo Business Center	Strategic Alliance Memorandum	Utah District Office	Marla Trollan	7/17/2019	7/17/2021
Tennessee State University	Strategic Alliance Memorandum	Tennessee District Office	LaTanya Channel	6/24/2019	6/24/2021
The City of Birmingham	Strategic Alliance Memorandum	Alabama District Office	Tom Todt	2/6/2020	2/6/2022
The City of Cocoa	Strategic Alliance Memorandum	South Florida District Office	Vincent LoPresti	10/17/2019	10/17/2021
The Latina Circle, Inc. d/b/a Amplify Latinx	Strategic Alliance Memorandum	Massachusetts District Office	Robert H. Nelson	12/5/2019	12/5/2021
The School Board of Miami-Dade County	Strategic Alliance Memorandum	South Florida District Office	Althea Harris	4/9/2019	4/9/2021
The Society for Financial Awareness	Strategic Alliance Memorandum	Seattle District Office	Kerri Hurd	11/1/2019	11/1/2021
Tri-County Regional Black Chamber of Commerce	Strategic Alliance Memorandum	Houston District Office	Valerie Maher	2/6/2020	2/6/2022
Urban Impact, Inc.	Strategic Alliance Memorandum	Alabama District Office	Tom Todt	2/6/2020	2/6/2022
Utah Black Chamber of Commerce, Inc.	Strategic Alliance Memorandum	Utah District Office	Marla Trollan	12/5/2019	12/5/2021
Utah World Trade Center Corporation	Strategic Alliance Memorandum	Utah District Office	Marla Trollan	6/24/2019	6/24/2021

Venture Cafe MIA, Inc. dba Venture Cafe Miami	Strategic Alliance Memorandum	South Florida District Office	Jonel Hein	12/18/2019	12/18/2021
Voorhees College	Strategic Alliance Memorandum	South Carolina District Office	R Gregg White	8/27/2019	8/27/2021
Wallace Community College Selma	Strategic Alliance Memorandum	Alabama District Office	Roderick Perkins	4/9/2019	4/9/2021
Waltham Chamber of Commerce	Strategic Alliance Memorandum	Massachusetts District Office	Robert Nelson	12/5/2019	12/5/2021
Warrior Rising	Strategic Alliance Memorandum	Utah District Office	Ian Lorenzana	11/1/2019	11/1/2021
Wayfind	Strategic Alliance Memorandum	Seattle District Office	Kerrie Hurd	8/1/2019	8/1/2021
Wayne Brown Institute	Strategic Alliance Memorandum	Utah District Office	Marla Trollan	10/17/2019	10/17/2021
Weber State University Hall Global Entrepreneurship Center	Strategic Alliance Memorandum	Utah District Office	Marla Trollan	10/17/2019	10/17/2021
Wilberforce University	Strategic Alliance Memorandum	Columbus District Office	Barry Peel	10/1/2019	10/1/2021
William Factory Small Business Incubator	Strategic Alliance Memorandum	Seattle District Office	Kerrie Hurd	12/5/2019	12/5/2021
Women in Business Expo Group	Strategic Alliance Memorandum	Seattle District Office	Kerrie Hurd	7/17/2019	7/17/2021

FY 20 – FY 21 Currently Active Executed Cosponsorship Agreements

Authorization #	Program/Field Office - Cosponsor(s)	Name of Activity/Event	Date of Proposed Event	Event Location	Businesses Assisted	Date Fully Executed	Amount
19-0165-61	Rhode Island DO - Newport County Chamber of Commerce, University of Rhode Island Rhode Island Small Business Development Center, Rhode Island SCORE	Government Contracting & Business Development and Lender Matchmakers Workshops	May 2019 - April 2021	Newport, RI	500	5/14/19	\$0
19-0897-70	Wyoming DO - Laramie County Library System, Wyoming Small Business Development Center Network	Business Workshops	October 2019 - September 2021	Cheyenne, WY	400	7/12/19	\$0
19-0944-88	Nevada DO - Paragon Diversity Group, Inc., Nevada Women's Business Center, Armed Forces Chamber	Quarterly Faith-Based and Community Business Outreach	October 16, 2019, January 15, April 15, July 15, October 21, 2020	Las Vegas, NV	80	9/16/2019	\$0
20-0165-05	Rhode Island DO - Rhode Island Hospitality Association, University of Rhode Island Rhode Island Small Business Development Center	Small Business Workshops and Lender Matchmakers Series	January 1, 2020 - December 31, 2021	Rhode Island Statewide	150	12/6/2019	\$0
20-0202-36	New York DO - The City of Newburgh	Small Business Basics Workshops	March 2020 - September 2021	Newburgh, NY	100	3/18/2020	\$0
20-0669-03	Arkansas DO-Arkansas Community Bankers Association	ACBA Business Resource Page	November 15, 2019 - November 30, 2020	World Wide Web	100	11/15/2019	\$0
20-0766-44	Nebraska DO - Better Business Bureau, Business Ethics Alliance, Catholic Charities Archdiocese	Entrepreneur's Education Collaborative	August 19, 2020 – September 30, 2021	Virtual	50	8/24/2020	\$0

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FY 20 – FY 21 Currently Active Executed Cosponsorship Agreements

	of Omaha, Greater Omaha Chamber of Commerce, Nebraska Business Development Center, Nebraska Enterprise Fund, SCORE Greater Omaha Chapter 40						
20-0767-42	Wichita DO - FranNet of Missouri, Kansas, Southern Illinois and Eastern Iowa	Small Business Webinars	August 19, 2020 - September 30, 2021	Virtual	25	8/14/2020	\$0
Authorization #	Program/Field Office - Cosponsor(s)	Name of Activity/Event	Date of Proposed Event	Event Location	Businesses Assisted	Date Fully Executed	Amount
20-0897-45	Wyoming DO- Wyoming Procurement Technical Assistance Center	Selling to the Government Training Series	October 2020 - September 2021	Virtual, Casper, Laramie, Cheyenne, Riverton, Jackson, Fort Washakie, WY	250	9/14/2020	\$0
20-0912-47	San Francisco DO - Start Small Think Big	Legal Workshop Series	October 2020 - October 2021	San Francisco, CA	300	10/1/2020	\$0
20-0920-02	Orange County/Inland Empire DO - District Export Council of Southern California	International Banking & Finance Seminar	October 23, 2020	Irvine, CA	60	10/22/2019	\$1,800
20-0951-04	Hawaii DO - Honolulu Minority Business Center University of Hawaii at Manoa Shidler College of Business, State of Hawaii Department of Transportation Office of Civil Rights	Business Development Series	January 1, 2020 - December 31, 2020	Hawaii Statewide	200	12/4/2019	\$0

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FY 20 – FY 21 Currently Active Executed Cosponsorship Agreements

	Disadvantaged Business Enterprise						
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Current SBA Interagency Activities (MOUs)

Agency	SBA Office	Execution Date	Expiration Date	Notes
FAA	Office of the Chief Operating Officer (COO)	3/5/2018	3/5/2050	SBA use of the FAA SCIF
FEMA	Office of Disaster Assistance (ODA)	12/12/2018	12/31/2023	DAIP for disasterassistance.gov
OPM	COO	5/17/2018	5/16/2023	SBA_eAdjudication_5.21.18.pdf
Defense; DOL, VA, ED,DHS/USCG, OPM	Office of Veterans Business Development (OVBD)	12/16/2016	12/16/2021	Outlines the responsibilities supporting the DOD Transition Assistance Program (TAP) for Service Members Transitioning from Active Duty.
Missouri Department of Economic Development	ODA	10/23/2019	10/23/2021	Disaster loan data sharing for CDBG-DR
Indiana Department of Homeland Security	ODA	7/18/2019	1/18/2021	Disaster loan data sharing for CDBG-DR
New York City Office of Management and Budget	ODA	5/21/2019	5/21/2021	Disaster loan data sharing for CDBG-DR
State of Nebraska Department of Economic Development	ODA	7/10/2019	1/10/2021	Disaster loan data sharing for CDBG-DR
State of North Carolina	ODA	8/20/2019	2/20/2021	Disaster loan data sharing for CDBG-DR

USDA; Bank of ND, Center for Technology & Business, ND Department of Commerce	Office of Field Operations	4/18/2016	4/18/2021	Parties agree to collaborate on helping entrepreneurs secure financial, business, and technical assistance.
NCUA	OCA	4/30/2019	4/30/2022	Increase the awareness and knowledge by NCUA examiners and credit unions of SBA programs.
Minnesota Housing Finance Agency	ODA	9/3/2019	3/3/2021	Disaster loan data sharing for CDBG-DRCM
Va	OVBD	12/11/2017	12/11/2021	Provides self-employment guidance, assistance and on-the-job training to disabled veterans.
SBA; SBA's Office of the National Ombudsman and Office of Advocacy	Office of the National Ombudsman	12/5/2019	12/5/2022	Foster increased cooperation to create a small business friendly regulatory environment
Florida Department of Economic Opportunity	ODA	1/13/2020	7/21/2021	This is for Hurricane Irma
Florida Department of Economic Opportunity	ODA	1/13/2020	7/21/2021	This is for Hurricane Michael
Florida Department of Economic Opportunity	ODA	1/13/2020	7/21/2021	This is for Hurricanes Hermine and Matthew
Town of Paradise, California	ODA	9/18/2020	3/18/2022	
State of Louisiana	ODA	9/21/2020	3/21/2026	
IRS	Office of Capital Access (OCA)	9/22/2020	9/22/2026	IRS and SBAMOU to share PPP loan data
Federal Reserve	OCA	9/29/2020	9/29/2026	Managing PPP loans pledged as collateral to the Fed's PPP Liquidity Facility (PPPLF).
California Department of Housing and Community Development	ODA	1/27/2020	6/26/2021	Disaster loan data sharing

Crisis Management & Emergency Preparedness

a. Contingency Planning

SBA maintains four interrelated planning efforts within the traditional rubric of Crisis Management and Emergency Response: disaster planning related to National Preparedness (Presidential Policy Directive – PPD – 8); continuity planning directed by National Continuity Policy (PPD-40); Insider Threat Program (Executive Order 13587; and occupant emergency planning pursuant to Federal Management Regulations. These planning efforts are supported by the Enterprise Risk Management efforts directed by the Office of Management and Budget (OMB) Circular No. A-123.

- 1. Occupant Emergency Planning:** The initial reaction to any emergency must be to protect those immediately subject to the threat. Under the guidance of the Office of Administrative Services, each SBA facility possesses an occupant emergency plan (OEP), which provides guidance on potential building emergencies with emphasis on evacuation (for fire and similar events) and shelter-in-place (when circumstances outside a facility are more dangerous than inside). Each OEP is maintained by the Federal agency with the greatest presence at a specific facility and follows guidance from GSA and DHS. The Agency Occupant Emergency Plan is in section 11 of this transition book in full.
- 2. Safety and Security Protocol Documents**

The Agency has in place Safety and Security Protocol Documents to ensure that all SBA employees are aware of the various safety, security, and program protocols in place, and to help minimize and mitigate the risk of Insider Threat. These documents benefit all SBA employees by providing access to this information as needed, and by providing a resource of knowledge for being prepared and knowing how to respond in the various scenarios presented.

The documents were developed by the Office of Continuous Operations and Risk Management (OCORM), in consultation with the Office of General Counsel (OGC); Office of Communications and Public Liaison (OCPL); Office of Personnel Security (OPS); Office of the Chief Information Officer (OCIO); Office of Human Resources Solutions (OHRS); Office of Administrative Services (OAS) and SBA Security Officer; Office of Field Operations (OFO); the SBA Security Coordinating Council (SCC); and program office input.

- 3. Continuity of Operations Plan:** To achieve its three strategic goals of growing businesses and creating jobs, serving as the voice for small business and, building an Agency that meets the needs of today's and tomorrow's small businesses, SBA has defined eight mission essential functions (MEFs). Any of the MEFs can be interrupted by an emergency event impacting an SBA facility (or a small set of facilities) for a short period of time, but not for more than a few days. Planning to ensure the continuity of these eight functions and the required supporting activities is contained in the agency's single, integrated Continuity of Operations (COOP) Plan. This COOP Plan, updated and published each March by OCORM), contains overall guidance and planned actions for each SBA facility and major systems. OCORM is responsible for overall plan design and execution; individual facility directors develop and manage execution of appendices for local action.

Because SBA is not a national defense, lifesaving, or life protecting agency, employee safety is paramount in COOP planning and their concerns for their family a key consideration. The Agency is not overly reliant on any single facility; operations can continue for days or weeks with any single facility disrupted, including Headquarters. While plans include telecommunication

disruption, in general, telework obviates the need for physical COOP facilities. All Federal agencies in the National Capitol Region have their continuity plans tested each year by The White House-directed, FEMA-managed EAGLE HORIZON exercise. Due to COVID-19, Eagle Horizon was canceled for 2020. The dates for the 2021 exercise have not yet been announced.

4. **Disaster Preparedness and Recovery Plan (DPRP):** For emergencies impacting the American population, the Federal government maintains the capabilities to support local, state, and regional response (lifesaving and life sustaining actions) and recovery (the restoration, redevelopment, and revitalization of impacted communities). SBA contributions to the response/recovery continuum are primarily in the recovery realm. These efforts take place throughout SBA: disaster loans to businesses of all sizes, private nonprofit organizations, homeowners, and renters; counseling, mentoring, and training through a variety of programs and resource partners; disaster-related and other contracts with federal, state, and local agencies; and the long-term engagement of capital programs in the post-disaster “normal.”

OCORM executes its Congressionally mandated disaster planning function¹ by maintaining the DPRP as the SBA’s comprehensive disaster plan. The plan is reviewed annually and usually published each June. The 2020 publication of the plan was delayed to incorporate lessons learned from the COVID-19 response. The plan specifies the production goals for the disaster loan program and details the means for scaling loan operations from small (less than 50,000 disaster loan applications) disasters through massive potential events (more than 500,000 applications). The DPRP also integrates the entire Agency’s recovery effort as supported by Disaster Assistance, Entrepreneurial Development, Government Contracting/Business Development, Capital Access, and Field Operations. OCORM serves as the action office for *National Disaster Recovery Framework* coordinating agencies (e.g. FEMA, DHS-CISA, Commerce/EDA, Commerce/Census, USDA, HHS, HUD, DOI, and others as needed). OCORM coordinates with District Directors and Regional Administrators to provide the long-term disaster recovery activities beyond disaster loan making (which is coordinated through the Office of Disaster Assistance (ODA).

OEPs, the COOP Plan, and the DPRP all lay out required decision-making for each potential phase of an event. Captured in the OEPs, evacuation and shelter-in-place decisions are made in line with both obvious requirements (e.g., escaping a fire) and direction from first responders, etc. When lifesaving decisions have been made, local senior management determines whether to activate COOP planning. At Headquarters, the Director, OCORM, in conjunction with the Chief of Staff and/or Chief Operating Officer to advise the Administrator on the situation and implement the key decisions outlined in the COOP Plan. The DPRP drives the coordination and implementation for scaling recovery operations and integrating the activities of all of SBA’s programmatic equities to support the economic recovery needs for communities through technical assistance, capital access, entrepreneurial development, and access to new markets and government contracting.

In response to the unprecedented pressures from COVID-19 on the agency, OCORM coordinated the deployment of the Administrator’s Command Center to integrate agency-wide response activities and provide the Administrator and agency leadership with a common operating picture of ongoing response and recovery needs. Stated broadly, the primary areas of coordination centered around the themes of:

- Communication and Information Sharing – to highlight any identified recovery issues, consolidate them to support leadership decision-making and align agency actions. Additional action focused on

¹ 15 USC 636e; SEC. 12061 -- <https://www.congress.gov/110/plaws/publ234/PLAW-110publ234.pdf>

issue resolution and troubleshooting to support operational “future planning” in an effort to anticipate and mitigate future risks and operational challenges.

- Continuity and Reconstitution – focused on the assessment and sustainment of agency functions while operating in a COVID-19 environment while ensuring a high priority to employee health and safety. The Reconstitution Plan was developed to provide the agency policy and procedures for how to conduct a safe re-occupancy of SBA offices during the community spread of COVID-19 and how to restore pre-pandemic operations as the community spread subsides.
- Interagency Coordination – captured the major issues, requirements, and actions that SBA could support for the overall federal response and recovery efforts. These included those conducted at the National Response Coordination Center through the utilization of regionalized recovery coordination efforts. Examples include the identification of small business vendors who could support the Personal Protective Equipment (PPE) supply chain when the response operations identified shortfalls in the supply chain and the analysis of recovery needs for regional issues in Regions 1, 3, and 9.

b. Enterprise Risk Management

Agencies that successfully continue or promptly recover operations despite tremendous challenges, practice effective risk management against the specific risk of managing operations, amidst contingencies. However, Enterprise Risk Management (ERM) is broader than the risk management process associated with COOP planning; it addresses risks associated with compliance, financial, information technology, cybersecurity, human capital, fraud, and many more. In addition, ERM as a discipline deals with identifying, assessing, and managing risks *across an enterprise*. In an effort to educate staff on ERM and further mature ERM, SBA has created an ERM framework which includes a governance structure to manage the critical risks facing the Agency. The ERM Board, chaired by the Deputy Administrator, meets monthly and is tasked to oversee the implementation of ERM agency wide. On an annual basis, the ERM Board approves the Agency’s risk profile which consists of a handful of critical risks that are monitored by the ERM Board. Day-to-day management of ERM in SBA is handled by OCORM. As ERM matures in SBA, the Agency will shift from being reactive to proactive, enabling better management of critical risks.

c. Cybersecurity

Just as COOP planning assists the identification of enterprise risks and the ERM process may include addressing identified risks through continuity plans, cybersecurity is also a risk area for SBA and information security processes contribute to COOP plans. Formally a function of the Chief Information Security Officer (CISO) within the Office of the Chief Information Officer (OCIO), cybersecurity involves prioritizing assets, utilizing government-wide shared services, monitoring for and responding to data breaches, educating and equipping staff with cybersecurity knowledge and tools (to include two-factor authentication now in place throughout SBA) in an effort to deter, discourage, and disrupt malicious activity in cyberspace.

d. Insider Threat Program

The Insider Threat Program (ITP) is also a risk area for SBA and all of our internal and external customers. The Director of OCORM serves as the Senior Insider Threat Official (SITO) who also assigns a Program Manager/Administrative Officer to coordinate the work of the ITP HUB Working Group. Once a suspicious activity is identified and reported to the ITP HUB, OCORM conducts preliminary research with the appropriate HUB member to determine the validity of the threat. OCORM serves as facilitator of the HUB meetings on a quarterly, at minimum, basis where new and existing ITP allegations are analyzed and evaluated. OCORM compiles resolutions made by the HUB and conducts follow-up activities as required by the National Insider Threat Task Force (NITTF). These decisions are kept internal to the HUB, and annually reported to the Administrator.

e. Critical Incidents Response Team

The Critical Incidents Response Team (CIRT) is another risk area for the SBA. The Chief Human Capital Officer (CHCO), Office of Human Resources Solutions (OHRS) serves as the Chair of the CIRT. The role of the CIRT is to evaluate and provide guidance and recommendations to management in responding to and assessing the seriousness of violent or potentially violent situations. The CIRT advises and provides recommendations to managers and supervisors on how to address incidents that could be construed as harassment, violence (whether against persons or property), threats of violence, intimidation, and other disruptive, inappropriate behavior, and to respond appropriately and promptly when such incidents occur. The CIRT will, as appropriate: a. Listen to and collect information and documentation available from employees and witnesses to the incident; b. Identify additional subject matter experts required to give input to the mitigation strategies and support for impacted employees; c. Identify persons who have made a threat; d. Assess the risk level of a situation or incident; e. Provide recommendations and develop a plan for managing the situation; f. Call the Federal Protective Service or other law enforcement authorities, if this has not already been done, and ensure coordination and cooperation with these authorities; g. Evaluate and determine whether a limited inquiry or a formal investigation of the incident is warranted; and h. Monitor the progress of any follow up action recommended.

f.

Primary Points of Contact	
Occupant Emergency Planning (OEP)	<ul style="list-style-type: none">• Director, Office of Administrative Services, OEMISS, Kenneth Etheridge• Director, Facilities, Safety, & Security, OEMISS, Nathaniel Mosby
Continuity of Operations (COOP) Planning	<ul style="list-style-type: none">• Director, OCORM, Rafaela Monchek• Senior Planner, OCORM, Joshua Barnes
Disaster Preparedness and Recovery Plan (DPRP)	<ul style="list-style-type: none">• Director, OCORM, Rafaela Monchek• Senior Planner, OCORM, Joshua Barnes
COVID-19 Command Center	<ul style="list-style-type: none">• Executive Director, OEMISS, Sean Crean• Director, OCORM, Rafaela Monchek• Senior Planner, OCORM, Joshua Barnes
Enterprise Risk Management (ERM)	<ul style="list-style-type: none">• Director, OCORM, Rafaela Monchek• Senior Policy Advisor, ERM, OCORM, Andrea Peoples
Cybersecurity	<ul style="list-style-type: none">• Chief Information Officer, OCIO, Keith Bluestein• Chief Information Security Officer (CISO), OCIO, James Saunders
Insider Threat Program (ITP)	<ul style="list-style-type: none">• Director, OCORM, Rafaela Monchek• Program Manager, ITP, OCORM, Tony Lee
Critical Incidents Response Team (CIRT)	<ul style="list-style-type: none">• Chief Human Capital Officer, OHRS, Elias Hernandez• Chief, Workforce Relations Division (WRD), OHRS, Miriha Furedi

Document Contents:

- 11. General Administrative | Briefing Information (OHRS/OCIO/OEMISS)
 - a. National Security Matters (OEMISS)
 - b. Access Control
 - c. Computer Access Information Form OCIO
 - d. Technology Help Information OCIO
 - e. Telephone Instructions OCIO
 - f. Headquarters Floor Plan and COVID-19 Protocols OEMISS
 - g. Transportation & Parking Information OEMISS
 - h. Building Evacuation Plan OEMISS
 - i. Merit System Principles and Prohibited Personnel Practices OHRS

a. National Security Matters

- SBA Proper Procedure For Receipt, Handling and Transport of Classified Materials and Information
- SBA Security Requirements

1. SBA Proper Procedure For Receipt, Handling and Transport of Classified Materials and Information

SUBJECT: Procedures for the U.S. Small Business Administration Classified Information Safeguarding/handling

1. Purpose. To outline the proper procedures for transporting and receiving classified national security information (Top Secret/Secret/Confidential).
2. Background. U.S. Small Business Administration (SBA) Employees are responsible for safeguarding the classified materials in their possession. Practicing operations security (OPSEC) will significantly limit any potential loss of information. Based on 32 CFR Parts 2001, Classified National Security Information, and Executive Order (E.O.) 13526, Classified National Security Information, SBA Employees must follow the proper procedures for preparing and transporting classified national security information.
3. Scope and applicability. This applies to all SBA employees and contractors handling classified national security information.
4. Who can receive classified materials at SBA? Only properly cleared SBA personnel and established couriers who have been cleared by the Office of Personnel Security (OPS) and given written notification by the Director are authorized to receive and/or transport classified materials on behalf of SBA. If you are unsure if you have authorization as a courier or authorized recipient of classified materials, please contact the Director, OPS.
5. I have a classified document I need to pick up what do I need to do?
 - a. Call or email the OPS Agency Personnel Security Officer or the Director and notify them that you have a classified courier request and provide them with the date and time the document needs to be picked up. OPS requires coordination to ensure we have a properly cleared courier to pick up the materials and a location to secure it once it reaches SBA Headquarters. The OPS Agency Personnel Security Officer will ensure the courier has the proper courier letter and clearance to pick up the documents. OPS Agency Security Officer will have transport bags that are required and will brief the courier on proper protocol prior to pick up and upon their return to SBA.
 - b. OPS Agency Personnel Security Officer or the Director will coordinate with the personnel involved to ensure we have an appropriately cleared location you can discuss and meet with properly cleared personnel. Only properly cleared personnel who have the appropriate clearance in place for the classification level of the document may receive, review or discuss the document.
 - i. Secret level documents can be coordinated with OPS Agency Personnel Security Officer or the Director for access to SBA DC Headquarters' 4th Floor Strong room for storage, review and discussion.
 - ii. Top Secret level documents can be coordinated with OPS Agency Personnel Security Officer or the Director for access to Federal Aviation Administration (FAA) Sensitive Compartmentalized Information Facility (SCIF) as these documents can only be accessed, reviewed and discussed in this secured area. This area can also be coordinated for use when secure phone lines are required. Preplanning is required to obtain this Communications Security (COMSEC) equipment use and it must be requested in advance.
1. What can be used to transport the documents? For local transportation of classified materials, a locked briefcase or similar type of locking enclosure may serve as the outer envelope. The key must be removed from the briefcase during the transportation. The briefcase must have a nametag or other marking that denotes where the briefcase should be returned if found. Lock bags that meet the security requirements for classified documentation that must be

used for classified transport.

2. I received classified documents in the mail - What do I need to do? Contact OPS Agency Personnel Security Officer or the Director and they will coordinate the securing and storage and documenting of the receipt of the classified item. Secret and confidential material are authorized to be sent through U.S. Postal Service registered mail or express mail within the United States and its territories and Federal Express can be used for Secret material for urgent overnight delivery only. Confidential documents may be mailed first class mail between Federal agencies only and should be marked "Do Not Forward. Return to Sender". All classified documents to be mailed must be mailed at the post office. Use of street mail collection boxes is prohibited. Top Secret is NEVER authorized to mail in any capacity.

Classified Material Point of Contact List:

Office of Personnel Security (OPS):

Joe Eitel - Director – Office of Personnel Security (OPS) – Denver
721 19th St. Room 392
Denver, CO 80202
Office - (303) 844-7750
Cell – (303) 489-3787
Email – joseph.eitel@sba.gov

Zina Hardy – Agency Personnel Security Officer – OPS HQ (Classified Receiver)
409 3rd St. SW, Concourse Level, Suite C960
Washington, D.C. 20416
Office – (202) 205-6080
Cell – (202) 423-0480
Email – zina.hardy@sba.gov

2. SBA Security Requirements

The Agency has a total of 110 personnel who hold a national security clearance.

The SBA Administrator is a member of the President's Cabinet. To support the Administrator in this capacity there are five (5) positions on the immediate staff within the Office of the Administrator who are authorized to hold a national security clearance.

The Agency has 105 positions that require a national security clearance at the Secret or above level due to the nature of classified access they may be required to have.

All individuals that are expected to hold any of these positions will undergo significant and appropriate background investigations by the SBA's Office of Personnel Security to ensure there are no limiting factors that would prevent an individual from occupying a national security position.

Due to the sensitivity of this information, further information will be provided upon request.

POC for SBA is:

Joe Eitel - Director – Office of Personnel Security (OPS)
721 19th St. Room 392
Denver, CO 80202
Office - (303) 844-7750
Cell – (303) 489-3787
Email – joseph.eitel@sba.gov

b. Access Control

1. Access Control Policy and Procedures: (AC-1)

Access controls provide a technical means of controlling what information users can access, the programs they can run, and the modifications they can make. These controls may be built into the operating system, may be incorporated into applications programs or major utilities (e.g., database management systems or communications systems), or may be implemented through add-on security packages.

SBA requires program areas and System Owners to develop formal, documented procedures to facilitate the implementation of the access control policy and associated controls and to also develop procedures that address system specific and hybrid control requirements for the access control family.

Program Areas and Information System Owners shall:

- A. Develop, document, and disseminate access control procedures to facilitate the implementation of the access control policy and associated access control security controls.
- B. Review and update the current access control procedures annually.

2. Account Management: AC-2, AC-2(1), AC-2(2), AC-2(3), AC-2(4), AC-2(5), AC-2(12), AC-2(13)

Information System Owners shall:

- A. Identify and select the following types of information system accounts to support organizational missions/business functions: individual, privileged, shared, group, system, guest/anonymous, emergency, developer/manufacturer/vendor, temporary, and service.
- B. Assign account managers for information system accounts;
- C. Establish conditions for group and role membership;
 - (1) Individual users may become members of a group provided that:
 - Group membership is approved in writing from management.
 - Group membership preserves the user's need-to-know/need-to-share least privilege.
- D. Specify authorized users of SBA information systems, group and role membership, and access authorizations (i.e., privileges) and other attributes (as required) for each account;

Note: *Other attributes required for authorizing access include, for example, restrictions on time-of-day, day-of-week, and point-of-origin. In defining other account attributes, system-related requirements (e.g., scheduled maintenance, system upgrades) and mission/business requirements (e.g., time zone differences, customer requirements, remote access to support travel requirements) must be considered. Failure to consider these factors could affect information system availability.*

- E. Approve and authorize the creation, modification, disabling, and removal of all SBA information system accounts, including those with user and administrative privileges.
 - (1) Access requirements must be identified for newly assigned personnel or transfers, as well as defining required levels of access for each system and/or application, prior to providing

access.

- (2) Each user must be assigned minimum access privileges required.
- (3) Normal system or application users must not be granted access rights to administration or security functions of the system.
- (4) Authorized users of the information system must be identified and their access rights/privileges must be specified.
- (5) An individual who requests an information system account must adhere to the following requirements prior to assuming responsibility for the account or new access permissions:
 - Rules of Behavior must be read and acknowledged in writing.
 - Completed access request forms must include a signature (handwritten or digital) of the account recipient's acceptance of responsibility for the account.
 - The 1228 "Computer Access/Clearance Form" must be completed.
 - Background investigation must be completed.
- (6) Conditions for disabling or deactivating accounts include, for example: (i) when shared/group, emergency, or temporary accounts are no longer required; or (ii) when individuals are transferred or terminated.
- (7) Ensure that specialized training is provided for specific information system accounts, as appropriate.
- (8) Requests to establish information system accounts must be approved by the Information System Owner.
 - Approval of requests to establish information system accounts must be in writing.
 - Access requests must be approved by all applicable information system managers.
- (9) Processing of requests for privileged access to an information system must include additional scrutiny such as:
 - Higher level of background checks.
 - Higher level of management approval.
- (10) Before receiving access to the system, the individual requesting access must complete the required Computer Security Awareness Training (CSAT).
 - New contractors must complete the CSAT within 30 days upon access to SBA network. If CSAT is not completed, all information system accounts assigned to the user will be suspended.
 - All current SBA employees and contractors must take the CSAT annually. If CSAT is not completed, all information system accounts assigned to the user will be suspended.
- (11) User accounts shall remain active until the individual is transferred or their employment is terminated.
- (12) All access request forms must be maintained while the account remains active.
- (13) Requests must be approved by all applicable information system managers.

c. Computer Access Information Form



U.S. Small Business
Administration

Office of the Chief Information Officer

Network Access Request Form

Tell us about this request.		
<input type="checkbox"/>	This request is for a new account.	Start date:
<input type="checkbox"/>	This request is to modify an existing account (e.g. change in name, title, phone number, or Program Office).	

Tell us about the individual.		
<small>Name must be the individual's full legal name as it appears on the SF-52 / OF-306.</small>		
Last Name:	First Name:	Middle Initial:
Previous name (requests for name changes only):		
Status:	<input type="checkbox"/> Permanent <input type="checkbox"/> Intern <input type="checkbox"/> On-site Contractor <input type="checkbox"/> Temp/Term <input type="checkbox"/> Volunteer <input type="checkbox"/> Off-site Contractor	
Title:	Phone Number:	

Tell us where this individual works.	
Program Office Name and Region:	
Agency Mailing Address:	
Who is their Federal Supervisor or Contracting Officer Representative (COR)?	
What is the Supervisor or COR's phone number?	What is the Supervisor or COR's email address?
Please specify any Program Office network folders or drives that this individual requires access to:	

If the individual is a contractor, tell us about their company.	
Company Name:	
Contract Number:	Contract Expiration Date:

Network Access Request Form

Please read carefully.

Enterprise Office Automation Capabilities

Execution of this form will result in the provisioning of access to the SBA Enterprise Network and issuance of an SBA-issued laptop. This access includes access to email, Internet and intranet resources, document generation and management tools, office messaging, remote access, and other office automation capabilities. Please tell us any of the following conditions apply:

- ☐ This individual does not need an SBA-issued laptop.
- ☐ This individual needs a desk phone.
- ☐ This individual needs a mobile device.

Cybersecurity and Privacy Policy

By completing this form, the requesting Program Office understands and acknowledges that the access requested carries the responsibility of adhering to all aspects of SBA Cybersecurity and Privacy Policies. The requesting Program Office further understands and acknowledges that violation of these policies may result in suspension or termination of access.

Notice of Separation

The Office of the Chief Information Officer is required to automatically remove network access for separated individuals within thirty (30) calendar days of separation. The requesting Program Office understands and acknowledges that it is their responsibility to notify the Office of the Chief Information Officer when individuals (federal or contractor) separate from the agency. The requesting Program Office also understands and acknowledges that it is their responsibility to provide notification to the Office of the Chief Information Officer for individuals who will be absent from the agency for a period longer than thirty (30) calendar days (e.g. military duty, maternity leave, paternity leave) to prevent access removal.

The information in this form is complete and accurate, and I understand and acknowledge the conditions above.

Federal Supervisor or Contracting Officer Representative


Signature:  Date: 

Access Approvals

Office of Human Resources Solutions (SBA employees) or [this approval is not required]
Office of Inspector General Human Resources (IG employees) [for contractor personnel]

Signature:  Date: 

Office of Personnel Security (SBA employees and contractors) or
Office of Inspector General Office of Security Operations (IG employees and contractors)

Signature:  Date: 

Office of the Chief Information Officer or Office of Disaster Assistance

Signature:  Date: 

d. Technology Help Information

IT Service Center

Phone: 855-620-4780

Email: itsc@sba.gov

e. Telephone Instructions

USER GUIDE FOR ISDN TERMINALS AND PROGRAMMED FEATURES

To PLACE a call	To use	Lift HANDSET, or Press SPEAKER, or Touch a CALL APPEARANCE (CA) button ... dial number
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To ANSWER a call	To use	Lift the HANDSET, or Press SPEAKER, or Touch the CALL APPEARANCE (CA) button, the green light remains steady.
To answer a SECOND call		Ask the current caller to hold, touch the desired CA, you are now connected to the new caller and the first caller is automatically placed on HOLD. To speak to the first caller, press the CA for that caller.

SPEAKER PHONE	To use	You are using the HANDSET ... press the SPEAKER button, light comes on, you are now using the SPEAKER.
		You are using the SPEAKER ... pick up HANDSET, speaker light goes out, you are now on HANDSET.
	Use speaker	You are on the HANDSET ... press the SPEAKER button, light comes on ... use SPEAKER.
	To disconnect	You are on SPEAKER, press SPEAKER ... this disconnects the call.
	NOTE: On 6200 set, SPEAKER does not work when HEADSET is attached and programmed into set.	

END A CALL (DROP)	To activate	You want to end a call, press DROP ... you will be disconnected from the call, you will hear another dial tone.
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HOLD	To activate	You are on a call ... press HOLD, the caller is placed on hold, CALL APPEARANCE (CA) green light flashes fast.
	To return	Press the CA, you are back with the caller.

TRANSFER (TNT) (Transfer-Number-Transfer)	To activate	You are on a call ... press TRANSFER ... dial the 10-digit number you want to reach ... press TRANSFER, hang up.
	To announce	Press TRANSFER ... dial the number, ANNOUNCE the call ... press TRANSFER, hang up.
	To abort	You have pressed TRANSFER. You do NOT want to complete the transfer ... press DROP ... press the CALL APPEARANCE (CA).

INTERCOM	To activate	You are NOT on a call ... Press the ICOM button and dial the 2-digit ICOM of the other person.
		You ARE on a call ... Press a free CALL APPEARANCE (CA) on your phone ... Press the ICOM button and use as above.

CALL FORWARD Primary (only#) (PDN) (Personal Directory Number)	To activate	<u>Press the CFV button, or press *722.</u> Green light appears steady. Standard Call Forwarding for "no answer" on the PDN goes to the Voice Mail Messaging System. To re-program the CFV button, get a dial-tone, dial *723 ... dial the number where calls are to be forwarded,(voice mail = 202-401-1702) wait for the "bouncing" confirmation tone, hang up.
	To cancel	<u>Press the CFV button, or press *732.</u> Green light goes out. Calls ring on your set as usual.

CALL FORWARD (SDN) (Secondary Directory Number)	To activate	<u>Press the SDN button, dial *722 ... to re-program hear dial-tone, dial *723, dial the number where calls are to be forwarded, hear confirmation.</u>
	To cancel	<u>Press the SDN, dial *732...</u>

3-WAY CONFERENCE	To activate	You are on a call ... Press the CONFERENCE button, hear the dial-tone ... dial the desired number. Press the CONFERENCE button.
	To end	Press DROP to disconnect the last person you dialed, you are still connected to the original call.

6-WAY CONFERENCE	To activate	You are not on a call ... Press the 6-WAY button, hear the dial-tone, dial the first number ... Press the CONFERENCE button, the first caller goes on hold, dial the next number ... Press the CONFERENCE button, you are joined with your parties ... Press the CONFERENCE button again to add callers, and continue ... to join up to 5 callers.
		You are on a call ... Press CONFERENCE, Press 6-WAY, repeat as above to add 4 other callers. Pressing DROP disconnects the LAST caller you connected.

Display With Inspect, Privacy, Time And Date

The Display With Inspect, Privacy, Time And Date (**DIDLXA** - for Custom ISDN, DIDLX for National ISDN) feature inspects all appearance button and feature button information. Privacy prevents display of calling party information to the called station. Time and date information is also provided.

ERCO; Executive Ringer Cutoff - Turns audible ringing off and on to all incoming voice calls

CALL PICKUP	To use	Another phone is ringing, you want to answer it from your phone ... Press the CPU button your phone. (NOTE: Your phone must be in the same programmed CPU group to function)
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MUTE	To activate	You are on a call ... Press MUTE, the light will come on, the other party CANNOT hear you ... you can hear them.
	To deactivate	Press the MUTE button, the light goes out, you and your caller can hear each other.

VOLUME 8500 SERIES		You are NOT on a call ... Press the VOLUME button to adjust how loudly the ringer sounds.
		You are on a call ... Press the VOLUME button to hear the callers voice louder or softer.
VOLUME 6200 SERIES		NOTE: Volume buttons for the 6200 used only for the duration of the call. RECEIVE VOLUME can be adjusted AND preset in USER OPTIONS. Press SETUP, USER, MORE, VOICE, VOLUME

CLOCK 8500 SERIES	To set	8500 Phones: Press MENU ... Press the SOFT KEY under OPTIONS ... Press the SOFT KEY under CLOCK ... Press the SOFT KEY under the Plus or Minus signs to make changes ... Press the SOFT KEY under DONE to save the changes.
6200 SERIES		6200 Phones: Press SETUP ... Press the SOFT KEY under USER ... Press the SOFT KEY under CLOCK ... Enter new digits by pressing the KEY PAD. To make corrections press BKSP. To exit Press DONE or SETUP.

PERSONALIZED RING 8500 SERIES	To set	8500 Phones: Press MENU ... Press the SOFT KEY under OPTIONS ... Press the SOFT KEY under RING ... Press the SOFT KEY under the Plus or Minus signs to make changes ... Press the SOFT KEY for DONE to save.
6200 SERIES		6200 Phones: Press SETUP ... Press the SOFT KEY under USER ... Press the SOFT KEY under RING. Use the KEY PAD to choose from 8 different rings.

CALL-LOG	To view	Press MENU ... Press the SOFT KEY under CALL-LOG ... Press
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8500 Phones:		SOFT KEY under NEW/OLD.
	Indicator	You want to turn the CALL-LOG Indicator Off or On: Press MENU ... Press the SOFT KEY under OPTIONS. Press NEXT 2 times ... Press the SOFT KEY under CALL-LOG ... Press the SOFT KEY under INDICATOR ... Press the SOFT KEY under NO for off ... Press YES for on ... Press the SOFT KEY under DONE ... Press the EXIT button.
6200 Phones	To view	Press the CALL key. Select LOG. Select the type of call you want to view.
	Shortcut	Select UNANS (appears in the display window if any calls went unanswered)

RETURN CALL	To use	Press the RET button, you will hear a voice prompt and see the display indicate information about the last number that called your set, the display will show instructions for returning the call if applicable.
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REPEAT CALL	To use	You hear a busy signal ... Press the REP button, there will be an audible indicator that your REPEAT call feature has been activated. If the other phone is free within 30-minutes, there will be an audible and visual indicator, lift the handset or Press the speaker button to call the number. <i>(This does not apply to busy INTERCOMS)</i> <u>This item is Rarely on SBA phones</u>
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MANUAL EXCLUSION	To use	You are on a call ... Press the MANEX button for privacy. This will mute conversation on all other appearances of the number on other phone sets <i>(If applicable)</i>
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All features are not set-up to be used on all types of telephones. If you experience problems when attempting to program a feature (i.e. speed call) on your phone, send an e-mail to; Telephone.Services@sba.gov

SPEED CALLING (SC)		
Menu Directory 8500 Phones:	Programming	Press MENU ... Press the SOFT KEY under DIRECTORY ... Press the SOFT KEY under ADD/DEL ... Press the SOFT KEY under ADD, enter desired number (24-digits maximum) digits ... Press the SOFT KEY under DONE, enter name (5-letters maximum) ... Press the SOFT KEY under DONE ... Press EXIT button
	To use	Press DIR button ... Press the SOFT KEY under the name, the telephone number will be automatically dialed (to see more names ... Press the NEXT button). Directory holds a maximum of 30 names. (144 for the 8520 phone) Names alphabetized automatically upon entry. See your user manual for details
SPEED CALLING (SC)		
Menu Directory	Programming	A max of 36 entries can be stored on up to 9 pages. Press

6200 Phones:		SETUP, Press USER, Press DIR. Press page 1 thru 9 softkey or press MORE to select a page. Press the softkey below a blank entry and use the dial pad to add a new name (5 char max) and number (24 digits max).
	To use	Press CALL button ...select DIR...select the page where the number is stored (by pressing MORE or use the keypad 1 thru 9) . When the desired number displays, press the softkey below the number.
Key Pad Programming	1-digit	Press the SPEAKER button or lift the HANDSET ... dial code *74, hear the dial-tone, dial the speed code (2 through 7), dial the phone number in the usual manner (24-digits maximum) ... Press the [#] ... Listen for the confirmation tone.
	2-digit	Press the SPEAKER button or lift the HANDSET ... dial code *75 ... hear dial-tone ... dial the speed code (20 through 49) ... dial the phone number in the usual manner ... Press the [#] ... Listen for the confirmation tone.
	To use	Press the SPEAKER button or lift the HANDSET ... dial the 1-digit speed code or the 2-digit speed code ... Press the [#] key ... the number will ring.
Memory Button 8500 Phones	Programming	Dial the programming for 1 or 2 digit access (*74 or *75) ... Press the appropriate SC button ... dial the phone number in the usual manner (24-digits maximum) ... Press the [#] ... Listen for the confirmation tone.
	To use	Press the SC button, speaker will activate automatically, number will speed dial, lift handset if desired.
Memory Button 6200 Phones	Programming (Additional programming required by the TIB)	Press SET-UP, Press USER, Press SPDIAL. Keys will light to show current status: Green=available RED=already programmed as SPDial and OFF=setup for CA, FA or DSS. (Only use Green or RED keys) Use keypad to enter digits (24 max).
	To use	Press the SC button, speaker will activate automatically, number will speed dial, lift handset if desired. <hr/>
Message light Indicator		What to do when the "Message Indicator Light" is not

All Phones	working properly
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By default, when a call is not answered on the PDN (**P**rimary **D**irectory **N**umber) within the predetermined amount of rings, it is forwarded to the [SBA Voice-Mail System](#). If the caller chooses to leave a message, the red **message light indicator** will come on at the ISDN set and stay on until the owner of the set retrieves messages.

When Message Indicator Light does not come on:

If unheard messages are in the system but no **Message Indicator Light** appears, try one of the following:

- Dial into the V-mail System
- After entering your password, press **4** - the system voice says "Personal Options"
- Press **1** the system voice says "Notification on"
- Hang-up

The next sent V-mail message should send a light. If this doesn't work, please send an email to itsc@sba.gov

Message Indicator Light does not go out:

By default, the **Message Indicator Light** goes out when the process of retrieving messages begins. All UNHEARD messages of all line appearances on your phone must be played or the **Message Indicator Light** will appear again.

If there are no unheard messages in the system, and the **Message Indicator Light** stays on, please send an email to itsc@sba.gov

LCD DISPLAY

Your DISPLAY will be a very useful tool! **It will be your guide** to finding out about the active call on your set.

Below are just a few of the visual display items appearing in the **upper right corner** of the LCD that will give you needed information.

CFA = Call Forward All	IcM = This is an incoming INTERCOM call	Parties XXX = You are not alone on the line
CFN = Call Forward Answer	InI = This is an INSIDE incoming call	LaR = This is your automatic callback call
CFB = Call Forward Busy	InX = This is an incoming call from OUTSIDE	

Speed Calling Lists

Setting Up Your Speed Call List is as easy as 1-2-3:

- | | |
|----|---|
| 1. | Create a list of names and numbers including your most frequent calls |
| 2. | Use the form below to record/maintain your frequently called numbers |
| 3. | Follow the easy instructions on the ISDN ref. Guide to program your Speed Call List |

Here's a handy form to record your 1 DIGIT SPEED CALL LIST

2#	5#
3#	6#
4#	7#

Here's a handy form to record your 2 DIGIT SPEED CALL LIST

20#	30#	40#
21#	31#	41#
22#	32#	42#
23#	33#	43#
24#	34#	44#
25#	35#	45#
26#	36#	46#
27#	37#	47#
28#	38#	48#
29#	39#	49#

COMMUNICATIONS SERVICES BRANCH

Staff:

Allen Valandra
Vincent Johnson
Eric Bizzell

Contractor:

Telephone Support

Nick Haight
Charles Chisley

PDA Support

Kathleen Castiglione
Nick Haight

MAIL ADDRESS:

OCIO/CSB
409 3RD STREET, SW
WASHINGTON, DC 20024-3212

E-mail: ITSC@SBA.GOV

SBA INTERNAL MAIL CODE: 5463
5460

QUICK REFERENCE LIST

EMPLOYEE LOCATOR.....205-6600

PAGER, CELLULAR, BLACKBERRY
PROBLEMS & ASSISTANCE (855)620-4780

HEADQUARTERS VOICEMAIL SYSTEM

ACCESS NUMBERS:

..... (202) 401-1702
.....(800) 989-9349

FEDERAL RELAY SERVICE (FRS)
For Hearing Impaired Callers

Dial 1-800-877-8339 to reach a Communications Assistant (CA). The CA will dial the requested number and relay the conversation between a standard (voice) telephone user and text telephone (TTY/TDD) hearing impaired user.

TELEPHONE:

TROUBLES/REPAIRS.....(855)620-4780
ASSISTANCE/HEL... ..(855)620-4780
MOVES / CHANGE... ..(855)620-4780

E-MAIL ADDRESS: ITSC@SBA.GOV

HELP DESK.....(855)620-4780

SBA ANSWER DESK..... (800) 827-5722

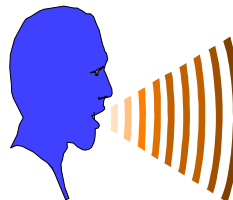


OFFICE OF
THE CHIEF INFORMATION
OFFICER

COMMUNICATIONS
SERVICES
BRANCH

U.S. Small Business
Administration

(202) 205-6655



TELEPHONE SERVICE All Headquarters requests for telephone service and acquisition including repairs, office relocations and new service, are handled through the ITSC@SBA.GOV & Communications Services Branch (CSB).

Types of telephone services provided: new telephone numbers and features; new telephone equipment and upgrades; cellular telephones; PDA (IOS & Blackberrys); teleconference accounts; telephone calling cards.

SERVICES: Send all requests via E-mail to: ITSC@SBA.GOV or call (855)620-4780.

TROUBLES: Report all telephone equipment and service related troubles to ITSC (855)620- 4780. Be prepared to provide a brief description of the trouble, your name, location, and a telephone number where you can be reached.

AUTOMATED EMPLOYEE LOCATOR SERVICE: The automated employee locator service is available 24 hours a day, 7 days a week. The Locator can be reached on 205-6600, option 4

The ITSC@SBA.GOV must be notified by email to update your information in the Outlook global address book.

INDIVIDUAL FAX LISTING CSB assigns SBA personnel an individual fax number which is tied to their user email account. This fax number allows SBA employees to send and receive faxes from their email box. Individuals will retain this same fax number as long as they are with the Agency.

TELECONFERENCE SERVICE

SBA has contracted out the Agency's Teleconferencing Service with AT&T Connect. The service can typically accommodate up to 125 participants and many more participants for special requests.

You must request a teleconference account from CSB by email. Send your request to ITSC@SBA.GOV.

VIRTUAL PRIVATE NETWORK (VPN)

VPN Accounts also known as Remote Access Accounts enable SBA users to access the SBA Data network, email, and individual desktop. VPN accounts are pivotal for those individuals in the "Work from Home" program or individuals working from alternate work locations. All authorizations must be routed through the Director, Office of Communications Technology Services (OCTS).

TELEPHONE CALLING CARDS Telephone calling cards are available to authorized personnel. All authorizations must be routed through the ITSC@SBA.GOV. The vendor requires a 30-day turnaround on calling card requests.

CELLULARS Cellular telephones are available to authorized personnel. All authorizations must be routed through the Office of the Chief Information Officer (OCIO).

PDAs – BLACKBERRYS & IOS are available to Management Board Members and authorized personnel. All authorizations must be routed through the Office of the Chief Information Officer (OCIO), via ITSC@SBA.GOV.

TRAINING Telecommunications training & assistance is available on any product or services provided by OCIO.

- One on One training (as required)
- Program office group training (as required)
- Brown Bag – Lunch-n-Learn

Send your request to ITSC@SBA.GOV.

COMMUNICATIONS SERVICE EVALUATION

This is a customized service provided by the Office of the Chief Information Officer, Office of Communications and Technology Services. The evaluation is designed to provide the program office with a detailed study of its existing telecommunications arrangement and can be used as a tool to aid in the enhancement of any additional telecommunications requirements.

A verbal and written report will be provided to support the findings.

Send your request to ITSC@SBA.GOV

SEE PAGE 2 FOR VOICE MAIL DIAGRAM

401-1702 ACCESSES VOICE MAIL FROM YOUR DESK.

(202) 401-1702 ACCESSES VOICE MAIL FROM OUTSIDE THE AGENCY.

THE VOICE MAIL TOLL FREE REMOTE ACCESS NUMBER IS 800 982-9349.

WHEN YOU CALL VOICE MAIL (401-1702) FROM YOUR DESK TELEPHONE, THE SYSTEM WILL PROMPT YOU FOR YOUR INITIAL PASSCODE. YOUR INITIAL PASSCODE WAS PROVIDED IN THE ATTACHED EMAIL.

WHEN THE SYSTEM PROMPTS YOU TO CHANGE YOUR PASSCODE:

- YOUR NEW PASSWORD MUST BE A MINIMUM OF **6** DIGITS, MAXIMUM OF 15.
- **DO NOT** LEAD WITH ZEROES AND
- **NO** SEQUENTIAL NUMBERING.

ISDN INSTRUMENT (DESK TELEPHONE)

TO CONNECT YOUR **ISDN** TELEPHONE LINE TO THE VOICE MAIL SYSTEM **YOU MUST DO** THE FOLLOWING:

- PROGRAM YOUR TELEPHONE LINE FOR CALL FORWARD BUSY (**CFB**):
 - ♦ LIFT HANDSET FOR DIAL TONE, THEN PRESS : ***763 + 401-1702**, WAIT FOR FAST BUSY TONE,
 - ♦ **ACTIVATE** THE FEATURE BY PRESSING: ***762** THEN HANG UP THE PHONE
 - ♦ **DE-ACTIVATE** THE FEATURE BY:
LIFT HANDSET FOR DIAL TONE, THEN PRESS: ***772**
- PROGRAM YOUR TELEPHONE LINE FOR CALL FORWARD NO ANSWER (**CFNA**)
 - ♦ LIFT HANDSET FOR DIAL TONE, THEN PRESS: ***765 + 401-1702**, WAIT FOR FAST BUSY TONE,
 - ♦ **ACTIVATE** THE FEATURE BY PRESSING: ***764** THEN HANG UP THE PHONE
 - ♦ **DE-ACTIVATE** THE FEATURE BY:
LIFT HANDSET FOR DIAL TONE, THEN PRESS: ***774**
- PROGRAM YOUR TELEPHONE LINE FOR CALL FORWARD VARIABLE (**CFV**)
 - ♦ LIFT HANDSET FOR DIAL TONE, THEN PRESS: ***723 + 401-1702**, WAIT FOR DIAL TONE,
 - ♦ **ACTIVATE** THE FEATURE BY PRESSING: ***722 ++**
 - ♦ **DE-ACTIVATE** THE FEATURE BY:
LIFT HANDSET FOR DIAL TONE, THEN PRESS: ***732**

++ CFV IS A TELEPHONE LINE FEATURE TELLING THE SYSTEM TO SEND YOUR CALLS TO THE VOICE MAIL ON THE FIRST RING. IT IS ONLY TO BE USED WHEN YOU ARE GOING TO BE AWAY FROM YOUR DESK FOR ANY LENGTH OF TIME.

YOU MUST DEACTIVATE THE CFV FEATURE (*732) WHEN YOU RETURN TO YOUR DESK.

NOTES:

1. YOUR ISDN INSTRUMENT GENERALLY HAS A BUTTON PREPROGRAMMED TO TURN CFV ON AND OFF. THE BUTTON IS LABELED **CFV**.
2. OTHER PREPROGRAMMED BUTTONS INCLUDE BUT NOT LIMITED TO:
 - a. "CALL PICK-UP" - **CPU**
 - b. "INTERCOM" - **IC-# ORICOM-#**

Enter the System

- Call the system
- Listen to the introductory prompt
- Press #
- Enter your mailbox number
- Enter your password

ENTERING THE SYSTEM:

From your office phone:

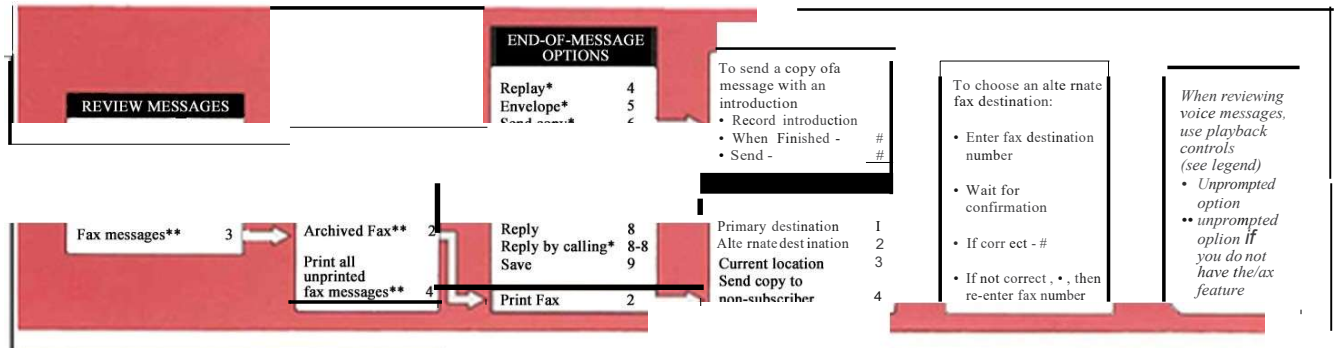
- * Call the voicemail system - 401-1702
- * Enter your password

From outside the SBA:

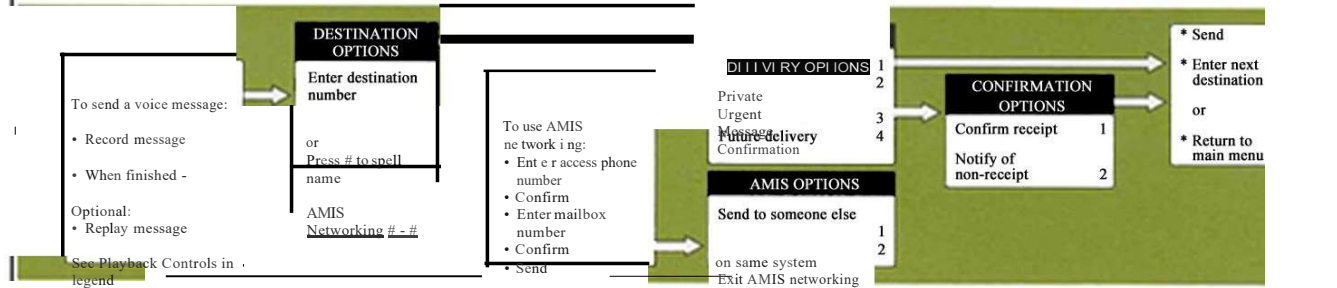
- * Call the voicemail system - 202-401-1702 or 800-982-9349
- * Indicate you are a subscriber - Press #
- * Enter your mailbox number (Your 7-digit office phone number)
- * Enter your password

MAIN MENU

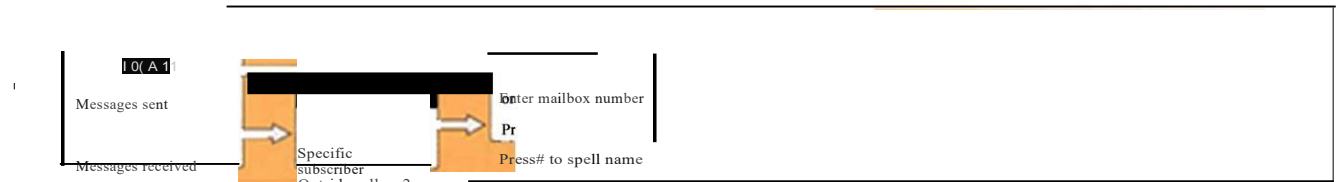
D Review Messages



II Send Messages



Locate Messages

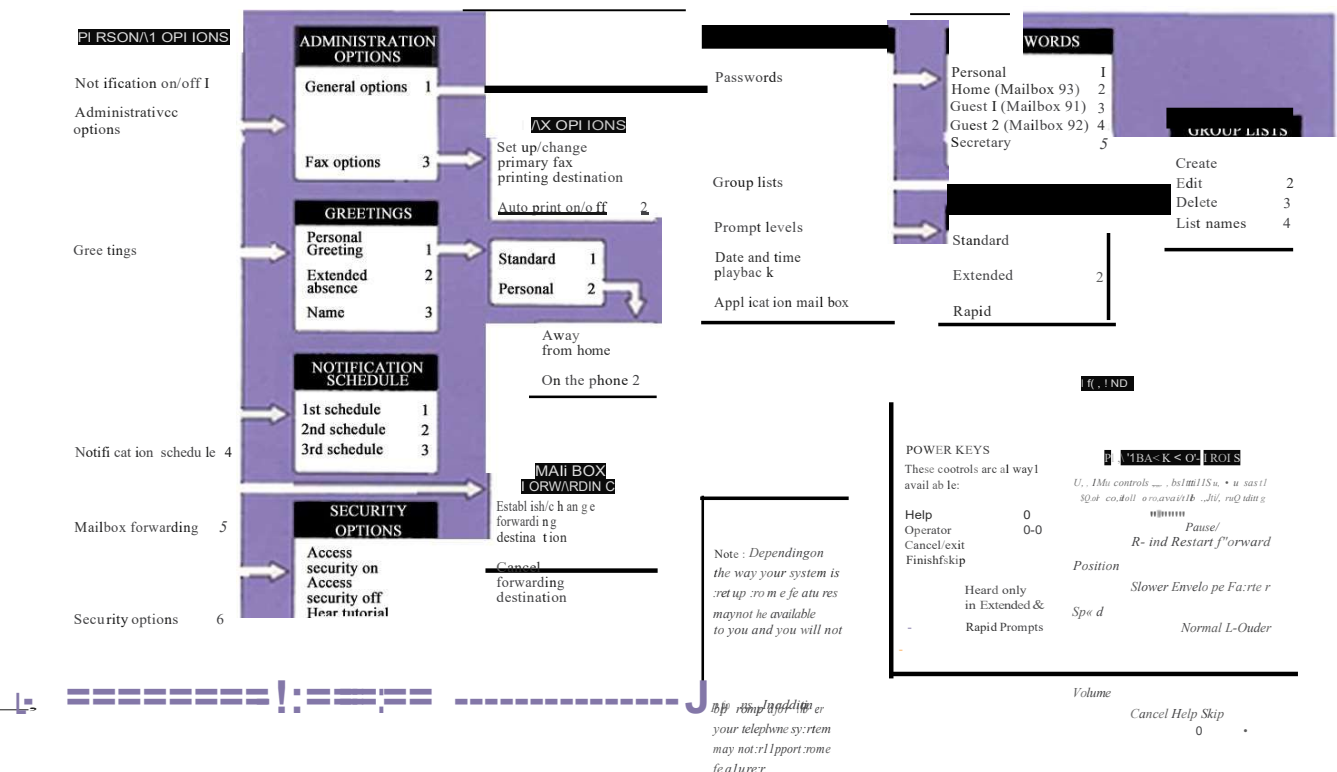


Personal Options

Restart

m Applications

Exit



VOICEMAIL Quick Check

Review All Messages 1

Unheard Voice Messages 1 – 1

Enter Your Mailbox

- ❖ Call system phone number; (202)401-1702 or (800)982-9349
- ❖ Press #
- ❖ Enter your mailbox number (7 digit)
- ❖ Enter your password

Playback Controls:

- ❖ Rewind 1 (1 – 1 to re-begin) Slower 4
- ❖ Pause/ Resume 2 Faster 6
- ❖ Fast Forward 3 (3 – 3 to leap to end) Louder 9
- ❖ Envelope info 5 Normal 8

After Message Keys

- ❖ Reply 8 Erase 7
- ❖ Forward (to...) 6 Save 9
- ❖ Replay 4 Main Menu *

Send Messages

- ❖ To record 2 Enter Mailbox Number
- ❖ End Recording # Send #

Power Keys

- Cancel/Exit *
- Finish/Skip #
- Help 0

Change Personal Options

- Notification on/off 1 Administrative Options 2
- Greetings 3 Notification Schedule 4
- Mailbox Forwarding 5

Hello;

Welcome to SBA! Your temporary password is the same as your phone xxxxxxxx

Call 401-1702 from your phone and follow the tutorial, or follow the tree in the instructions. Remote-voicemail access via toll-free is available.

After you are set up, when you wish to enter personal options, enter password, then press 4, without prompt, to enter the voice-prompted options menu.

Attached are instructions for Voicemail set up and ISDN user features, plus other references.

If you have any questions or technical needs, please call ITSC at (855)620-4780

Thanks,

f. Headquarters Floor Plan

1. SBA Headquarters Floor Plan

The building floor plan for the SBA Headquarters located at 409 3rd St SW Washington, DC can be found at the following link.

<https://sba123.sharepoint.com/sites/COO/OAS/Pages/BuildingFloorPlan.aspx>

2. COVID-19 Protocols

Due to the COVID19 Pandemic, the following protocols are in place to assure the safety of all Agency employees, contractors and visitors that come to the Headquarters.

- a. All personnel entering the building will go through a Health Screening check prior to being granted access. The Health Screening reviews the following.
 - i. Assess If you are experiencing any symptoms associated with COVID19
 - ii. Assess if you've been in contact with anyone who has tested positive within the past 14 days
 - iii. A non-touch temperature assessment to determine if you are running a fever of 100.4 or higher
 - iv. Identification of any one of the above conditions will result in a denial of access to the building.
 - v. Individuals granted access will receive a daily color-coded sticker to wear. This changes daily and if worn, re-screening on that day is not necessary.
- b. Use and wearing of a mask or other nose/mouth covering is required when not in an office or work-station and in any common areas such as elevators, conference rooms, restrooms, and hallways as an example
- c. Social distancing of at least 6 feet is expected at all times whenever possible.
- d. Sanitation stations have been provided throughout the building. Here staff can find hand sanitizer, disinfectant sprays and wipes.
- e. Health screening is only occurring at specific sights where large number of staff and contractors assemble.
- f. Field offices are following similar protocols and additional information can be found in the Agency Reconstitution Plan located at:
https://sba123.sharepoint.com/Shared%20Documents/SBA-Reconstitution-Planning-Framework-Final_Signed_508.pdf#search=reconstitution%20plan

g. Transportation and Parking Information:

Transportation:

Federal employees committed to using mass transportation for their home to work to home commute are eligible to receive the federal transit benefit. TRANServe supports SBA with simplified access to transit authority information, electronic applications, how-to instructions and other resources that encourage your use of mass transportation as your primary means of commuting from home to work. SBA employees can access specific information and the application at the following website:

<https://www.transportation.gov/transerve/participants/sba>

Parking:

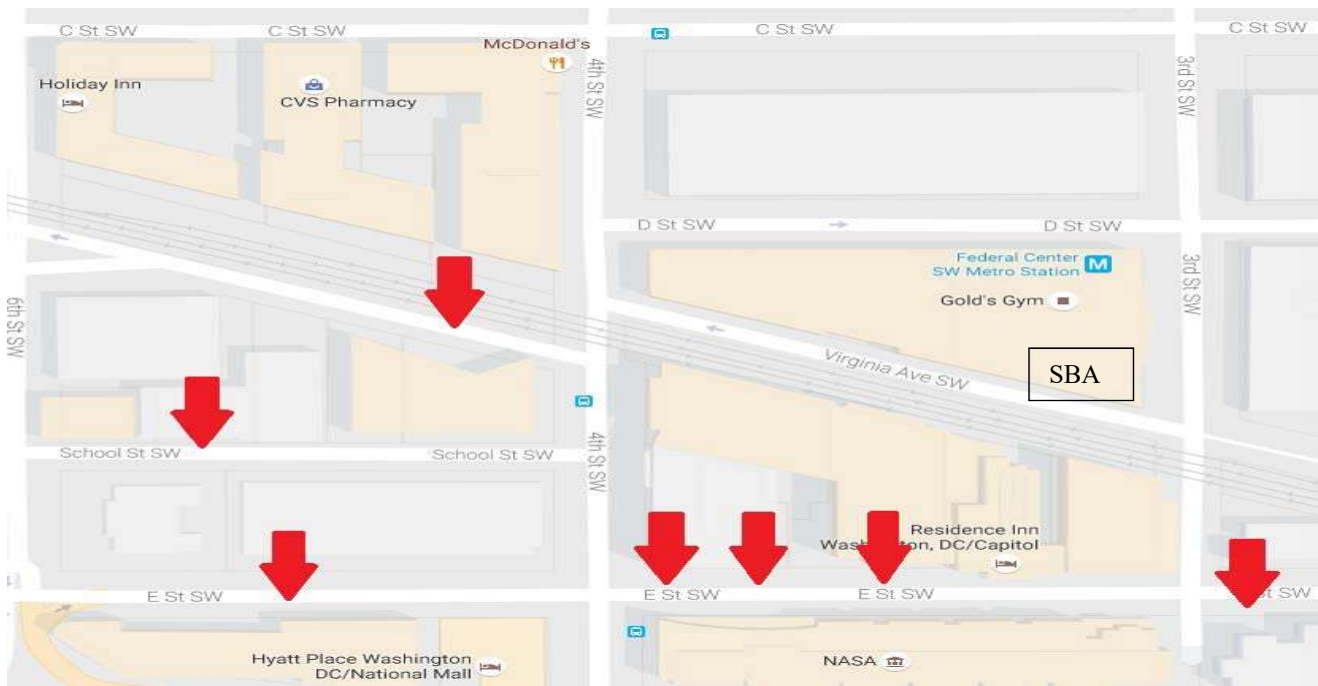
Parking at the SBA Headquarters is available under the building with an entrance at Virginia Avenue SW. SBA does not pay for parking and these costs are borne by the user. The parking garage is managed by Colonial Parking and passes can be obtained on a monthly or daily rate.

<https://www.ecolonial.com/> Points of Contact for Colonial Parking include Louie Escobar, Operations Manager (703.439.7051) and Asegidew Negede, Senior Operations Manager (202.295.8128).

The Agency does have 3 designated reserved parking spots for official GSA vehicles used by the Administrator's Office.

Local Parking Lots

Locations



Prices (subject to change)

Parking	Per Hour	Daily	Early	Monthly	Reserved	Phone Number
Colonial Parking 409 3 rd St SW	\$11	\$21	N/A	\$245	\$390	202-554-0795
Colonial Parking 500 E Street SW	\$11	\$21	\$13 (9am)	\$285	\$570	202-298-7442
MarcParc 501 School St SW	\$11	\$17	N/A	\$280	\$560	202-464-2900
Standard Parking 250 E Street SW	N/A	\$15	N/A	\$240	\$400	202-496-4200
Standard Parking 355 E Street SW	\$10	\$20	\$14 (9:30am)	\$255	\$510	202-554-0104
Standard Parking 375 E Street SW	\$10	\$20	\$15 (9am)	\$255	\$510	202-554-4008
Standard Parking 395 E Street SW	\$11	\$21	\$15 (9am)	\$268	\$510	202-554-0902

h. Building Evacuation Plan



Occupant Emergency Plan

Washington Office Center
409 3rd Street, SW
Washington, D.C. 20416



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Preface

The best way to protect against the potentially harmful effects of both manmade incidents and natural disasters is to ensure that all building occupants know how to respond in an emergency. This level of protection involves pre-planning, training, and rehearsal.

Pre-planning includes establishing the Occupant Emergency Organization (OEO) comprised of employees designated to undertake certain responsibilities to ensure that personnel are moved quickly to safety, that damage to property is minimized, and that proper authorities are notified in the event of a localized emergency, as outlined in this Occupant Emergency Plan (OEP).¹ Training is conducted to ensure that all tenants understand the contents of the OEP and their individual responsibilities. Rehearsals, or drills, provide an opportunity to practice emergency procedures to ensure efficient response in the event of a real emergency.

Participation in OEP activities includes all tenants regardless of employment status (e.g., managers, supervisors, OEP team members, volunteers, contracting officers, and hosts of visitors). Each individual must assume responsibility for his or her own planning and safety in an emergency, as well as for working effectively with emergency planning officials.

Scope

This OEP applies to all employees, support contractors, and visitors occupying the Washington Office Center and assumes a localized emergency in which the facility is impacted in part or in whole.

The facility is a high-rise multi-tenant commercial building located at 409 3rd Street, SW, Washington, DC.

Effective Date

The effective date of this OEP is October 7, 2016. This document supersedes all previously recognized OEPs for the Washington Office Center. This OEP will be reviewed annually and updated on an as needed basis.

¹ Federal Management Regulations (FMR), Subpart 102-74.230A requires Federal agencies that occupy Federal property to develop Occupant Emergency Plans with technical assistance provided by GSA for establishing and maintaining them.

Part 1: PREPARE for an Emergency Situation



- 1.0 Incident Command Structure and Posts
- 2.0 Facility Characteristics
- 3.0 Protection Systems and Security
- 4.0 Occupant Information

1.0 Incident Command Structure and Posts

The **Occupant Emergency Organization (OEO)** structure is consistent with the incident command system and National Incident Management System (NIMS). OEO positions and responsibilities include:

Position	Responsibilities
Designated Official	The Designated Official (as defined in § 101–20.003(g)) is responsible for developing, implementing, and maintaining the Occupant Emergency Plan (as defined in § 101–20.003(w)).
Incident Commander	The Incident Commander is the person responsible for all aspects of an emergency response; including quickly developing incident objectives, managing all incident operations, application of resources as well as responsibility for all persons involved. This person is usually the senior person in the Command Center and is relieved of Incident Command duties upon arrival of first responders.
Command Team	Members of the Command Team reporting to the Command Center during OEP activations.
- Safety Officer	Will ensure necessary safety reporting is accomplished in accordance with appropriate regulations.
- Medical Advisor	Acts as coordinator between responding Emergency Medical Services (EMS) and the facility.
- OEP Coordinator	Advises the Command Team on necessary actions.
- Facility Representative	Advises the Command Team on building condition and status of repairs.

OEO personnel are provided with the following visual identifiers to be used during activation of the OEP:

- Reflective vests
- Radios
- Clipboards
- Bull Horns

PRIMARY Incident Command Post	
Name of Location	Visitor's Center
Floor/Room	Main Lobby
Address	
Telephone	205-6770/6771

ALTERNATE Incident Command Post	
Name of Location	Corner of Virginia Ave and 3rd Street SW.
Floor/Room	
Address	Virginia Ave and 3 rd St SW
Telephone	

Information that is maintained in the Incident Command Post includes:

Information Maintained in Incident Command Posts	Media Type
Key Phone Numbers	Hard copy in Emergency Binder
MOU for NASA	In Emergency Binder
OEP	In Emergency Binder

2.0 Facility Characteristics

Characteristic	Description
Multi-level high-rise, 8 stories with a rooftop mechanical room and concourse located below the first floor. The facility is occupied by several government and private agencies and organizations. The SBA is the primary building occupant for OEP purposes.	Facility contains six elevators in the main lobby and one freight elevator in the loading dock area. There is a four-level public parking deck under the building. There are four emergency exit stairwells in the building

3.0 Protection Systems and Security

System or Security	Description
Fire Alarm/Alert System	Alarm system throughout the facility designed to sound on the floor where the fire is located and the floors immediately above and below. Strobe lights are also positioned throughout the building to notify hearing-impaired individuals of a fire emergency.
Security Alarm	Provided by Kastle and consists of unauthorized entry and door ajar alarms.
Guard Service	Provides screening, responses to incidents, and assists with evacuation and crowd control.
Fire Suppression System	Automatic throughout the building.

4.0 Occupant Information

Primary Occupant			Number of Occupants		
Small Business Administration			Federal	Other	Total
			775		
Floor	Occupant	Occupancy Type	Phone	Space Type	
2	Housing and Urban Development (HUD)	GOV	202-402-9589	Offices	
2	Washington Metropolitan District Office (SBA)	GOV	202-205-0536	Offices	
3	General Service Administration (OIG)	GOV		Offices	
3	Federal Aviation Administration	GOV		Offices	
4	Health and Human Services	GOV		Offices	
C-2, and floors 4 thru 8	Small Business Administration	GOV	202-205-6770	Offices, storage, mailroom	
C	Museum of the Bible	Private		Offices	
3	Lincoln Property	Private		Offices	
C	Clark Construction	Private		Offices	

Part 2: RESPOND to an Emergency Situation



- 1.0 OEP Activation
- 2.0 Emergency Telephone Numbers and Contacts
- 3.0 Occupant Emergency Actions
- 4.0 OEO Emergency Actions

1.0 OEP Activation

The Occupant Emergency Plan is activated automatically upon notification of an emergency or fire alarm in the building. The security guards will immediately notify the individuals listed below. For other events, the following individuals are authorized to activate the OEP:

Timeframe	Individuals Authorized to Activate the OEP	
	Name	Number
Normal Duty Hours	Matthew Varilek	202-205-6340
	Joseph Loddo	202-205-6340
	Kenneth Etheridge	202-205-7028
After Normal Duty Hours	Matthew Varilek	720-331-2367
	Joseph Loddo	202- 379-6850
	Kenneth Etheridge	202-281-0383

The following situations involving **immediate danger** to occupants or the facility and require immediate activation of the OEP:

Emergency Situation	Inside the Facility	Outside the Facility
Fire/Fire Alarm/Explosion	Yes	Yes
Accident Involving Hazardous Materials (places personnel at risk)	Yes	Yes
By order of first responder (Federal Protective Services (FPS), Metropolitan Police Department (MPD), DC Fire Department (DCFD)	Yes	Yes

In other cases, determine if OEP activation is prudent based on:

- The best available information combined with their experience with similar situations
- Advice solicited from OEO team members and Federal, State, and local law enforcement agencies.

2.0 Emergency Telephone Numbers and Contacts

Refer to the following pages for emergency telephone numbers and contact information:

- Emergency Telephone Numbers
- Facility Points of Contact
- Incident Command Points of Contact
- [OEO Position] Points of Contact

EMERGENCY TELEPHONE NUMBERS

Service	Provider	Primary Number	After Hours
Police/Bomb	Federal Protective Service	202-708-1111	Same
Fire/Ambulance	DC Fire	9-911	Same
In-House Guard Desk	American Security Program	202-205-6770	202-205-7631
Physical Security	SBA	202-401-SAFE (7233)	202-733-8650
Health Unit/Nurse	SBA	202-205-7498	N/A
Metro Police	Metro Police	202-962-2121	Same
Property Manager	Calvin Warren	202-646-0325	
Building Engineer	Michael White	202-646-6136	202-345-5521
GSA Building Manager	Jeffrey Johnson	202-208-2885	202-631-2047

FACILITY/OEO POINTS OF CONTACT

These personnel form the Command Team and report to the Command Center upon OEP activation.

Position	Primary		Alternate		
Designated Official	Name	Matthew Varilek	Name	Joseph Loddio	
	Phone	202-205-6340	Phone	202-205-6340	
	Mobile	720-331-2367	Mobile	202- 379-6850	
Occupant Emergency Coordinator	Name	Kenneth Etheridge	Name	Floy Rodriquez	
	Phone	202-205-7028	Phone	202-205-6935	
	Mobile	202-281-0383	Mobile	202-596-4173	
Medical	Name	On-Duty Nurse	Name		
	Phone	202-205-7498	Phone		
	Mobile		Mobile		
Facility Manager/Damage Assessment	Name	Calvin Warren	Name	Mike White	After Hours
	Phone	202-646-0325	Phone	202-646-6136	703-769-1250
	Mobile		Mobile	202-809-8765	703-769-1250
Building Security Guard Desk	Name	Front Desk	Name	Lt. Thomas	
	Phone	202-646-6770	Phone	202-205-7631	
	Mobile		Mobile		
FPS Inspector	Name	Jamel Colter	Name	Dewitt Parker	
	Phone	202-245-2656	Phone		
	Mobile	202-579-5511	Mobile	202-345-8995	

OEO FLOOR LEADS

The following table shows the Floor Team Leads for each floor. These individuals lead the evacuation, shelter in place, and other emergency procedures on their respective floors. Each lead is equipped with a two-way radio to communicate with the Command Center, and each is identified by the safety vests he/she wears. Floor Leads are responsible for the Occupant Emergency Plan program on their respective floor. They solicit and assign other floor team volunteers such as disability monitors, stairwell monitors, and assistant floor leads as well as arrange for training of their floor teams.

Position	Primary		Other Lead or Alternate	
Concourse	Name	Andrea Levenberry (SBA)	Name	
	Phone	202-205-7040	Phone	
Ground Floor	Name	Shawn McGarrell	Name	Christine Osborne
	Phone	202-733-8650	Phone	202-596-4172
2nd Floor	Name	Denise Gray	Name	James Parker (SBA)
	Phone	202-205-7256	Phone	202-205-3644
3rd Floor	Name	Lincoln Property	Name	
	Phone	202-646-0325	Phone	
4th Floor	Name	Hope Fenstermacher	Name	Vincent Johnson
	Phone	202-205-6800	Phone	202-205-6235
5th Floor	Name	Jeff Brindle	Name	Mark Hines
	Phone	202-205-7490	Phone	202-205-6648
6th Floor	Name	John Kushman	Name	Sandra Wells
	Phone	202-205-6103	Phone	202-205-6693
7th Floor	Name	Emmett Clark	Name	Luciette Wren
	Phone	202-205-7014	Phone	202-205-774961
8th Floor	Name	Dionna Martin	Name	Jeanne Crepeau
	Phone	202-205-7042	Phone	202-205-6425

3.0 Occupant Emergency Actions

Immediate occupant actions involve the following:



Recognize

- Situations that could lead to, or become, an emergency
- Actual emergency situations.



React to ensure safety of themselves and other occupants in the immediate area.



Report to proper authorities from a safe location.

Depending on the nature of the emergency and whether it is internal or external to the facility, the OEO may direct occupants to remain at their work locations or decide to initiate:



PARTIAL EVACUATION

- **Evacuate** the **affected area**
- **Relocate** to another floor (if in a high-rise facility).



COMPLETE EVACUATION

- **Evacuate the facility** and proceed to designated assembly areas
- **Relocate** to another facility
- **Dismissal of** the facility for the day (due to facility or government closure).



SHELTER-IN-PLACE

Proceed to Shelter-in-Place designated areas

Occupant actions for evacuation and shelter-in-place are in the following sections:

3.1 PARTIAL EVACUATION

This is a high-rise facility. The most likely evacuation method will be a partial evacuation. This includes the floor affected by the emergency and the floors directly above and below it. Other floors may be included as determined by emergency response officials. *Persons with disabilities (or anyone unable to utilize stairways) will report to the nearest safe Refuge Area and remain there until rescued or instructed otherwise by an emergency official. Directors are responsible for determining their assembly area location(s) (may be on a non-affected floor or outside of the facility) and informing their employees of the location(s). Assembly locations for a partial evacuation should be on a non-affected floor within the facility - as in the case of a fire alarm. Outside locations are used during full-building evacuations or orders from emergency officials. Directors will also ensure that all assigned personnel report to their designated assembly areas during evacuations.*

OCCUPANT EMERGENCY ACTIONS

All OEO members should wear vests and if equipped, tune radios to proper channel. (1)

ALL PERSONNEL

Evacuate via the closest safe stairway. Report to your designated assembly area.

Floor Leads	Disability Monitors	Persons with Disabilities
Ensure the evacuation is initiated. Remain on the floor until the last employee evacuates. Ensure persons with disabilities are assembled at the refuge area. Report to the Command Center that your floor is clear and there are persons with disabilities in the refuge area.	Assist the person to the Refuge Area and wait with them until rescue is performed, you are instructed to move them to another location, or the all clear is given to return to work.	Report to the nearest safe Refuge Area (Main Elevator Bank) and remain there unless: it becomes unsafe, you are rescued, or you are given the all clear to return to work. Do not return to your floor if you are on a different floor when the alarm sounds.

3.2 COMPLETE EVACUATION

Although highly unlikely, a complete building evacuation requires all occupants to proceed to the nearest safe stairway, evacuate, and report to your designated assembly area. *Persons with disabilities will report to the nearest safe Refuge Area and remain there until rescued or instructed otherwise by an emergency official. Directors are responsible for determining their assembly area location and informing their employees of its whereabouts. Directors will also ensure that all assigned personnel report to their designated assembly areas during evacuations.*

OCCUPANT EMERGENCY ACTIONS

All Floors

Evacuate via the closest safe stairway. Report to your designated assembly area outside of the building. **All OEO members should wear vests, and if equipped, tune radios to proper channel.**

Floor Leads	Disability Monitors	Persons with Disabilities
Ensure the evacuation is initiated. Remain on the floor until the last employee evacuates. Ensure persons with disabilities are assembled at the refuge area. Report to the Command Center that your floor is clear and there are or are not persons with disabilities in the refuge area.	Assist the person to the Refuge Area and wait with them until rescue is performed, you are instructed to move them to another location, or the all clear is given to return to work.	Report to the nearest safe Refuge Area (Main Elevator Bank) and remain there unless: it becomes unsafe, you are rescued, or you are given the all clear to return to work. Do not return to your floor if you are on a different floor when the alarm sounds.

3.3 SHELTER-IN-PLACE (SIP)

A Shelter-In-Place event is an occurrence where an outside event is taking place or has taken place that renders going outside dangerous. Events may include hazardous materials spills, severe weather, unruly crowd, etc. A SIP event may require complete isolation from the outdoors or simply taking shelter in the interior of the building. A full SIP event may last for several hours and personnel should be prepared accordingly with necessary personal items such as hygiene needs, water, and medication.

Note: Persons wishing to evacuate instead of SIP must be allowed to do so. However, once in a full lockdown (Posture II), no one will be allowed to leave unless the All-Clear is given.

OCCUPANT EMERGENCY ACTIONS

All Floors

Posture 1 SIP

All personnel: Report to their work areas, stations, or offices and remain there until further notice. If a severe weather event or unruly crowd, stay away from windows

Floor Leads: Upon notification of SIP – gather your floor team members and immediately spread the word by any means available for all personnel to SIP. Maintain radio contact with Command Center and other floor team members.

Command Team: Report to the Command Center for additional information. Maintain radio contact with OEO Members.

Posture II SIP

All Personnel: Report to designated SIP location immediately. Once inside, lock all doors. Personnel may be required to seal windows and doors with any available materials. HVAC system may be turned off.

Floor Leads: Upon notification of SIP – gather your floor team members and immediately spread the word by any means available for all personnel to SIP. Maintain radio contact with Command Center and other floor team members. Ensure persons with disabilities are transported to the SIP location.

Command Team: Report to SIP location with radio. Tune radio to proper channel for coordination with other Command Team Members.

3.4 OCCUPANT AREAS OF ASSEMBLY, REFUGE, AND SHELTER

Directors are responsible for ensuring all personnel under their control are aware of and report to the designated assembly area(s) or Shelter-In-Place area during an evacuation or shelter in place event. All shelter in place locations are clearly marked with yellow signs. They are also responsible for ensuring all persons with disabilities under their control are aware of Areas of Refuge and proper emergency actions during emergencies.

Floor	Assembly Area	Area of Refuge	Shelter-in-Place
All	As designated by the Director of each section.	Main Elevator Bank As marked	As marked with Shelter-In-Place signs.

3.5 SPECIFIC EMERGENCY SITUATIONS (All Personnel)

Medical Emergency

- Call 911 or send someone to call 911
- Stay with the person and assist if possible
- Have someone obtain the Automated External Defibrillator(AED) from the elevator lobby if needed
- Have someone contact the guards to escort emergency responders to the scene

Fire Alarm

- Evacuate via the nearest safe stairwell and report to your designated area
- **DO NOT PULL THE FIRE ALARM BOX UNLESS FIRE OR SMOKE IS PRESENT**
- Security will notify the Occupant Emergency Organization
- Follow instructions of emergency personnel
- **DO NOT USE CELL PHONES DURING EVACUATIONS**
- Notify a supervisor if you notice anyone missing
- Remain at your designated location until told otherwise or the ALL-CLEAR is given

Natural Disaster/Warning/No-Warning

- Stay away from exterior doors and windows
- Prepare to shelter-in-place (Posture 1)
- Watch out for flying debris
- Follow the instructions of emergency personnel

Power Outage

- Remain at your work station unless told otherwise
- **DO NOT LIGHT CANDLES**
- Secure all sensitive items if possible

Suspicious Package

A suspicious package is anything that appears out of the ordinary and may have one or some of the following characteristics:

- Handwritten or poorly typed addresses
- Excessive Postage
- Incorrect titles
- Title, but no name
- Misspellings of common words
- Oily stains, discolorations or odor
- No return address
- Excessive weight
- Lopsided or uneven envelope
- Protruding wires or aluminum foil
- Excessive security material such as masking tape, string, etc.
- Visual distractions
- Ticking sound
- Marked with restrictive endorsements, such as "Personal" or "Confidential"
- Shows a city or state in the postmark that does not match the return address

SUSPICIOUS PACKAGE ACTIONS:

- **Do not move the package**
- Notify security immediately and keep all personnel away from the package
- Security will check the package and if confirmed to be suspicious, will notify FPS and initiate an OEP activation
- Evacuation will be determined by the Command Team

Elevator Entrapment

If you are trapped in an elevator:

- Remain calm
- Use the emergency communications system in the elevator and advise the operator that you are stuck
- **Do not attempt to get out yourself**

Chemical Spill

- **DO NOT ATTEMPT TO CLEAN UP HAZARDOUS MATERIALS**
- Notify security or call 911
- Security will notify the Occupant Emergency Organization
- If possible, initiate an evacuation of the immediate area
- Follow the orders of emergency personnel

BOMB THREAT

Bomb threats are mainly used to disrupt workplace activities and very rarely are explosive devices found. However, all threats will be taken seriously and each threat will be evaluated. If a bomb threat is received:

- By phone, attempt to keep the caller on the line and have a co-worker call 911
- Complete a bomb threat checklist
- Have someone notify security immediately
- Security will notify the Occupant Emergency Organization
- If by letter, do not handle and notify security immediately
- Notify your supervisor
- **Do not panic or tell others of the threat as this could cause panic that could hinder the procedures.**

CIVIL UNREST

- Evacuate by the safest route. (May be directed by law enforcement)
- Remain in the facility for an extended period of time. (Not a Shelter-In-Place, but just an order to remain in the building until it is safe to leave.
- Security will notify the Occupant Emergency Organization of the event taking place
- The OEO will be activated and liaise with the first responder for updates

3.6 ACTIVE SHOOTER (All Personnel)

HOW TO RESPOND? (RUN, HIDE, or FIGHT)

When an active shooter is in your vicinity quickly determine the most reasonable way to protect your own life. Customer and clients are likely to follow the lead of directors, employees and managers during an active shooter situation.

Evacuate

- Have an escape route and plan in mind
- Leave your belongings behind
- Keep your hands visible

Hide Out

- Hide in an area out of the active shooter's view.
- Block entry to your hiding place and lock the doors

Take Action

- As a last resort and only when your life is in imminent danger.
- Attempt to incapacitate the active shooter
- Act with physical aggression and throw items at the active shooter

Call 911 when it is SAFE to do so

HOW TO RESPOND WHEN LAW ENFORCEMENT ARRIVES ON THE SCENE

What to do when LAW ENFORCEMENT arrives.

- Remain calm and follow officers' instructions
- Avoid pointing, screaming and/or yelling
- Immediately raise hands and spread fingers
- Do not stop to ask officers for help or direction when evacuating, just proceed in the direction officers are entering the premises
- Keep hands visible at all times
- Avoid making quick movements toward officers such as attempting to hold on to them for safety.

Helpful Information to provide to LAW ENFORCEMENT or 911 Operator

- Location of the active shooter
- Number and type of weapons held
- Number of shooters, if more than one by the shooter/s
- Physical description of shooter/s
- Number of potential victims at the location

RECOGNIZING SIGNS OF POTENTIAL WORKPLACE VIOLENCE

An **ACTIVE SHOOTER** may be a **CURRENT** or **FORMER** employee. Alert your HR Department if you believe an employee exhibits potentially violent behavior. Indicators of potentially violent behavior may include one or more of the following:

- Increased use of alcohol and/or illegal drugs
- Unexplained increase in absenteeism, and/or vague physical complaints
- Depression/Withdrawal
- Increased severe mood swings, and noticeably unstable or emotional responses
- Increasingly talks of problems at home
- Increase in unsolicited comments about violence, firearms, and other dangerous weapons and violent crimes

4.0 OEO Emergency Actions

Depending on the nature of the emergency and whether it is internal or external to the facility, the OEO must be prepared to coordinate actions to ensure the safety of occupants. Unless a Shelter-In-Place event requires sealing of the facility, the OEO will report to the Visitor's Center and form the Command Team.

Because each emergency is different, the Command Team will form and make decisions based upon the specific event following the guidelines listed in the following pages.

4.1 COMPLETE EVACUATION**All Floors**

OEO POSITION	EMERGENCY ACTIONS
Command Team	- Report to Command Center or alternate area
Floor Leads	<ul style="list-style-type: none">- Activate your floor team- Turn radio to proper channel- Effect an orderly evacuation- Ensure persons with disabilities are staged in the area of refuge (Main Elevator Bank).
OEO Coordinator	<ul style="list-style-type: none">- Turn radio to proper channel- Report to Command Center
Floor Team Coordinator	<ul style="list-style-type: none">- Turn radio to proper channel- Ensure Floor leads are in position
Security Guards	<ul style="list-style-type: none">- Stop all persons entering the facility (except for emergency responders, maintenance personnel, and Command Team Members)- Supervisor to Command Center- Keep front of building clear of personnel- Rovers to conduct quick sweep of floors if safe to do so- Assist in evacuation if available

4.2 PARTIAL EVACUATION**All Floors**

OEO POSITION	EMERGENCY ACTIONS
Command Team	Report to Command Center or alternate
Floor Leads	<ul style="list-style-type: none">- Activate your floor team- Turn radio to proper channel- Effect evacuation only on floors with alarm sounding- Inform employees of non-affected floors to return to work and await further instructions- Ensure persons with disabilities are staged in the area of refuge (Main Elevator Bank)
OEO Coordinator	<ul style="list-style-type: none">- Turn radio to proper channel- Report to Command Center
Floor Team Coordinator	<ul style="list-style-type: none">- Turn radio to proper channel- Ensure Floor Leads are active
Security Guards	<ul style="list-style-type: none">- Stop all persons entering the facility (except for emergency responders, maintenance personnel, and Command Team Members)- Supervisor to Command Center- Keep front of building clear of personnel- Rovers to conduct quick sweep of floors if safe to do so- Assist in evacuation if available

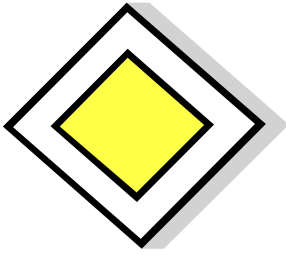
4.3 SHELTER-IN-PLACE**All Floors**

OEO POSITION	EMERGENCY ACTIONS
Command Team	Report to Command Center or alternate
Floor Leads	<ul style="list-style-type: none">- Activate your floor team- Turn radio to proper channel
OEO Coordinator	<ul style="list-style-type: none">- Turn radio to proper channel- Report to Command Center
Floor Team Coordinator	<ul style="list-style-type: none">- Turn radio to proper channel- Ensure Floor Leads are active
Security Guards	<ul style="list-style-type: none">- Stop all persons entering the facility (except for emergency responders, maintenance personnel, and Command Team Members)- Supervisor to Command Center- Keep front of building clear of personnel- Rovers to conduct quick sweep of floors if safe to do so- Assist in SIP if needed

4.4 ACTIVE SHOOTER**All Floors**

OEO POSITION	EMERGENCY ACTIONS
Command Team	- Evacuate or SIP
Floor Leads	- Evacuate or SIP
OEO Coordinator	- Evacuate or SIP
Floor Team Coordinator	- Evacuate or SIP
Security Guards	<ul style="list-style-type: none">- Stop all persons entering the facility (except for emergency responders, maintenance personnel, and Command Team Members)- Supervisor to Command Center- Keep front of building clear of personnel- Rovers to conduct quick sweep of floors if safe to do so- Assist in evacuation if available

Part 3: RECOVER from an Emergency Situation



1.0 Facility Recovery Plans

1.0 Facility Recovery Plans

Refer to the following facility plans for additional details pertaining to recovery operations:

Type of Plan	Scope and Applicability
COOP (Continuity of Operations Plan)	Applicable by agency according to specific needs.
OEP (Occupant Emergency Plan)	Employees should prepare for the possibility that they may be unable to return to the office/building depending on the emergency. Information on creating a readiness plan can be found at www.ready.gov

This OEP discusses facility recovery from localized emergency situations that include:

Localized Emergency Situation	Inside the Facility	Outside the Facility
Evacuations	N/A	Return to office or other area as determined by Command Team.
Shelter-In-Place	Return to work or follow directions of Command team	N/A
Suspicious Package	Return to work or as directed by Command Team.	Return to work or as directed by Command Team.
Active Shooter	SIP, RUN, Hide, Fight	Return to work or as directed by Command Team

For a listing of current Shelter in Place locations or Safety Monitors, email [http://s2k8-hq-ppsfel/apps/ADMIN4U](mailto:s2k8-hq-ppsfel/apps/ADMIN4U)

i. Merit System Principles and Prohibited Personnel Practices

The Merit System Principles (MSPs) are nine basic standards that govern the management of the executive branch workforce and serve as the foundation of the Federal civil service. The Prohibited Personnel Practices (PPPs) are thirteen actions that are forbidden for employees who have the authority to make personnel decisions. Together, the MSPs and PPPs establish how the Federal workforce should be managed.

What are the general themes of the MSPs and PPPs?

- Fairness – treating employees fairly in all aspects of their employment.
- Protection – refraining from misuse of authority and protecting employees from harm, such as reprisal for the exercise of a legally protected right.
- Stewardship – managing employees in the short-term and long-term public interest.

Who is responsible for upholding the MSPs and avoiding PPPs?

All Federal employees are responsible. However, some employees have special responsibility:

- Agency leaders, as decision-makers and role models for the values distilled in the MSPs and PPPs;
- Supervisors, managers, and executives, as the officials who make decisions directly affecting the hiring, working conditions, utilization, and retention of Federal employees; and
- Human resources (HR) staff, as advisors on personnel authorities and how to exercise them.

What are the potential consequences of not supporting the MSPs?

MSPB research shows that actual or perceived failure to abide by the MSPs can lead to—

- Decreased individual and organizational performance;
- Increased Equal Employment Opportunity (EEO) complaints; and
- Increased intention to leave the agency.

When Federal laws are violated, agencies may be subject to investigation, litigation, and enforcement, which can result in corrective action and payment of compensatory or punitive damages. Also, any employee responsible for the violation of an MSP or the commission of a PPP may be subject to loss of authority, discipline or removal, and fines.

Merit System Principles

1. Recruitment should be from qualified individuals from appropriate sources in an endeavor to achieve a work force from all segments of society, and selection and advancement should be determined solely on the basis of relative ability, knowledge and skills, after fair and open competition which assures that all receive equal opportunity.
2. All employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights.
3. Equal pay should be provided for work of equal value, with appropriate consideration of both national and local rates paid by employers in the private sector, and appropriate incentives and recognition should be provided for excellence in performance.
4. All employees should maintain high standards of integrity, conduct, and concern for the public interest.
5. The Federal work force should be used efficiently and effectively.
6. Employees should be retained on the basis of adequacy of their performance, inadequate performance should be corrected, and employees should be separated who cannot or will not improve their performance to meet required standards.

7. Employees should be provided effective education and training in cases in which such education and training would result in better organizational and individual performance.
8. Employees should be--
 - A. protected against arbitrary action, personal favoritism, or coercion for partisan political purposes, and
 - B. prohibited from using their official authority or influence for the purpose of interfering with or affecting the result of an election or a nomination for election.
9. Employees should be protected against reprisal for the lawful disclosure of information which the employees reasonably believe evidences--
 - A. a violation of any law, rule, or regulation, or
 - B. mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety.

Prohibited Personnel Practices

By law, Federal employees may not:

- Discriminate
- Solicit or consider employment recommendations based on factors other than personal knowledge or records of job related abilities or characteristics
- Coerce the political activity of any person
- Deceive or willfully obstruct any person from competing for employment
- Influence any person to withdraw from job competition
- Give an unauthorized preference or advantage to improve or injure the prospects of any particular person for employment
- Engage in nepotism
- Take or threaten to take a personnel action because of whistleblowing
- Take or threaten to take a personnel action because of the exercise of a lawful appeal, complaint, or grievance right
- Discriminate based on personal conduct which does not adversely affect the performance of the employee or other employees
- Knowingly take or fail to take personnel action in the violation of veteran's preference laws
- Violate any law, rule or regulation implementing or directly concerning merit system principles
- Implement or enforce a nondisclosure agreement or policy lacking notification of whistleblower rights
- Access the medical record of an employee or applicant, as part of, or in furtherance of any of the above-listed prohibitions

Paycheck Protection Program (PPP)

Office of Capital Access

On March 27, 2020, President Donald J. Trump signed the Coronavirus Aid, Relief, and Economic Security Act (the CARES Act) (Pub. L. 116-136) to provide emergency assistance and health care response for individuals, families, and businesses affected by the coronavirus pandemic. The Small Business Administration (SBA) received funding and authority through the CARES Act to modify existing loan programs and establish a new loan program to assist small businesses nationwide adversely impacted by the COVID-19 emergency. Section 1102 of the CARES Act temporarily permits SBA to guarantee 100 percent of 7(a) loans under a new program titled the “Paycheck Protection Program.” Section 1106 of the Act provides for forgiveness of up to the full principal amount of qualifying loans guaranteed under the Paycheck Protection Program.

The Paycheck Protection Program loan is a loan designed to provide a direct incentive for small businesses to keep their workers on the payroll. SBA will forgive loans if all employee retention criteria are met, and the funds are used for eligible expenses.

PPP loans are not made by SBA. PPP loans are made by lending institutions and then guaranteed by SBA. Accordingly, borrowers apply to lenders and self-certify that they are eligible for PPP loans. The self-certification includes a good faith certification that the borrower has economic need requiring the loan and a certification that the borrower has applied the affiliation rules and is a small business, among other certifications. The lender then reviews the borrower’s application, and if all the paperwork is in order, approves the loan and submits it to SBA.

Borrowers apply through any existing SBA 7(a) lender or through any federally insured depository institution, federally insured credit union, and Farm Credit System institution that is participating, or otherwise approved PPP lender.

Generally, small businesses and non-profit organizations (including 501c3, certain 501c12 and certain 501c19 organizations) are eligible for a PPP loan if they have 500 or fewer employees whose principal place of residence is in the United States, or are a business that operates in a certain industry and meet the applicable SBA employee-based size standards for that industry.

These small business concerns as defined in section 3 of the Small Business Act ([15 U.S.C. 632](#)), and subject to SBA's affiliation rules under [13 CFR 121.301](#)(f) unless specifically waived in the Act; or tax-exempt nonprofit organization must be in operation on February 15, 2020 and either had employees for whom salaries were paid and payroll taxes or paid independent contractors. Sole proprietorships and independent contractors or eligible self-employed individuals, are eligible if there were in operation on February 15, 2020. Churches, religious organizations, and faith-based organizations are eligible for funding under the Paycheck Protection Program (PPP).

Generally, PPP loans will be fully forgiven if the funds are used for payroll costs, interest on mortgages, rent, and utilities (due to likely high subscription, at least 60% of the forgiven amount must have been used for payroll). Key features of PPP include the following:

- PPP loans have an interest rate of 1%.

- Loans issued prior to June 5, 2020 have a maturity of 2 years. Loans issued after June 5, 2020 have a maturity of 5 years.
- Loan payments will be deferred for borrowers who apply for loan forgiveness until SBA remits the borrower's loan forgiveness amount to the lender. If a borrower does not apply for loan forgiveness, payments are deferred 10 months after the end of the covered period for the borrower's loan forgiveness (either 8 weeks or 24 weeks).
- No collateral or personal guarantees are required.
- Neither the government nor lenders will charge small businesses any fees.

Generally, PPP loan forgiveness is based on the employer maintaining or quickly rehiring employees and maintaining salary levels. Forgiveness will be reduced if full-time headcount declines, or if salaries and wages decrease.

The Office of Capital Access administers the PPP, which is the largest program in SBA's history. Working in consultation with the Department of the Treasury, SBA stood up and implemented the PPP less than one week after the enactment of the CARES Act, and in the first 14 days of the program, SBA processed \$343 billion, which is more than 14 years' worth of loans. At the peak of the program, SBA processed 12 months' worth of loans in a single day. As of August 8, 2020, more than 5.2 million small businesses, nonprofit organizations, independent contractors, and sole proprietors had received more than \$525 billion in PPP loans. Through collaboration with Treasury, SBA issued program rules and guidance through 18 Interim Final Rules (IFRs), 52 Frequently Asked Questions (FAQs), and numerous other participant forms, detailed guidance, and materials, to date.

Delivery of the program and funding would not have been possible without the hard work of nearly 5,500 existing and new lenders that participated in the PPP. Community banks, credit unions, Community Development Financial Institutions (CDFI), Minority Depository Institutions (MDI), farm credit lenders, financial technology firms, and traditional lenders all played a critical role, working around the clock to process loan applications and disburse critical loan funds to small businesses that allowed them to keep tens of millions of American workers employed.

Since the beginning of the PPP, the agency, through the Office of Capital Access, has approved over 3,600 new participating PPP lenders. Through the hard work of the staff managing the lending system, the program office approved over 63,000 new users to the loan management portal, E-Tran, resulting in over 3 million system actions, such as providing user access, password resets, and account changes. The agency also reviewed and approved over 400 new franchise systems to the agency's franchise directory.

At the time of the program's closing August 8, 2020, SBA had approved over 5.2 million small business loans worth more than \$525 billion, supporting an estimated 51 million jobs and more than 80 percent of small business payroll in the United States.

Although PPP lending closed on August 8, the Office of Capital Access continues to devote significant resources to carry out the PPP. OCA has issued public guidance and continues to

refine processes and requirements for loan forgiveness, loan reviews, guaranty purchases, and related activities under Section 1106 of the CARES Act.

To date, SBA, in consultation with Treasury, has released 30 Frequently Asked Questions that provide guidance about the Loan Forgiveness process. This guidance is in addition to the rules regarding Loan Forgiveness and Loan Review Processes.

Pursuant to statute, PPP loans are eligible for full forgiveness if funds are used for eligible payroll costs (minimum 60% of total funds must be used toward payroll), mortgage interest payments, rent or lease payments, and utilities payments during the Covered Period, which is the 24 week period after the borrower received their loan.

To receive loan forgiveness, borrowers are responsible for submitting a Loan Forgiveness Application (SBA Form 3508, SBA Form 3508EZ, SBA Form 3508S, or lender's equivalent) and required supporting documentation to their lender (or to the lender servicing the loan). Lenders are then responsible for reviewing the documentation and issuing a decision on loan forgiveness to SBA within 60 days of receiving the application.

Within 90 days of the lender issuing its decision to SBA, and subject to any SBA review of the loan or the loan application, SBA will remit the appropriate forgiveness amount to the lender, plus any interest accrued through the date of payment.

If applicable, SBA will deduct any Economic Injury Disaster Loan (EIDL) Advance amount received by the borrower from the forgiveness amount remitted to the lender, as required by section 1110(e)(6) of the CARES Act. The lender is responsible for notifying the borrower of the forgiveness amount remitted by SBA, and if any balance remains on the loan, the loan deferral ends and the borrower must begin making payments on the loan and repay the balance due on or before the maturity of the loan.

If the borrower does not submit a Loan Forgiveness Application within 10 months after the last day of the Covered Period, the loan deferral ends, and the borrower must begin making payments on the loan. The borrower may submit a Loan Forgiveness Application any time on or before the maturity date of the loan. The Loan Forgiveness Platform launched on August 10, and we have already begun processing applications. Borrowers may appeal certain final SBA loan review decisions to SBA's Office of Hearings and Appeals.

As noted in guidance and rules issued by SBA, all PPP loans are subject to review at any time in SBA's discretion. Further, as the Administrator and the Secretary of the Treasury announced on April 28, 2020, all loans \$2 million and above will be reviewed to ensure that the borrower properly, and in good faith, certified economic need for the PPP loan. The loans \$2 million and above also will be reviewed for compliance with general program requirements. In addition, regardless of their value, SBA is reviewing loans when it receives reports that specific loans or borrowers do not meet program requirements or otherwise may be ineligible.

SBA has established loan review procedures, whereby all loans will be screened through an automated process. SBA will leverage the automated review tool to detect ineligibility within the

PPP loan portfolio. Issues of fraud, certification of need (for loans of \$2 million or greater), eligibility, and other SBA flagged loans will be reviewed via a combination of the automated tool and subsequent manual reviews.

CARES Act Section 1112, Subsidy for Certain Loan Payments

Office of Capital Access

On March 27, 2020, the Coronavirus Aid, Relief and Economic Security Act (the CARES Act) was enacted to provide emergency and immediate national economic relief and assistance across the American economy, including to small businesses, workers, families, and the health-care system, to alleviate the severe economic hardships and public health threat created by the 2019 Novel Coronavirus pandemic. Under section 1112 of the CARES Act, SBA is providing debt relief to borrowers in the 7(a), 504, and Microloan Programs.

In April 2020, the SBA began paying six months of principal, interest, and any associated fees for all 7(a), 504, and Microloans that were in a regular servicing status as of March 27, 2020, the effective date of the CARES Act. SBA also began making these payments for six months for new 7(a), 504, and Microloans that were fully disbursed on or before September 27, 2020. This relief is not available for Paycheck Protection Program loans or Economic Injury Disaster loans. Borrowers do not need to apply for this assistance. It is automatically provided as follows:

- For loans not on deferment, SBA began making payments with the next payment due on the loan and will make six monthly payments.
- For loans currently on deferment, SBA will begin making payments with the next payment due after the deferment period has ended and will make six monthly payments.
- For loans made after March 27, 2020 and fully disbursed on or before September 27, 2020, SBA begins making payments with the first payment due on the loan and will make six monthly payments.

Congress authorized \$17 Billion for 1112 payments under the Coronavirus Aid, Relief, and Economic Security Act (CARES Act), and these funds remain available until September 30, 2021.

As of September 30, 2020, SBA disbursed six monthly payments to lenders, April-September. SBA will continue making 1112 payments at least through March 2021, or longer if any of the new loans are granted deferments or if a previously ineligible loan becomes eligible after September 2020.

Economic Injury Disaster Loan (EIDL) Program

Office of Disaster Assistance

In March 2020, the Coronavirus Preparedness and Response Supplemental Appropriations Act provided the SBA with the authority to provide disaster assistance loans for small businesses and non-profit organizations impacted by the COVID-19 pandemic. This historic authorization allowed the SBA to declare a pandemic a natural disaster event for the first time in the Agency's history, which provided small businesses and non-profits with access to SBA disaster economic aid to combat related economic disruptions. Once enacted, the Agency quickly began receiving and processing disaster loans under the disaster declarations signed by the Administrator. Within one week, due to diligent work with governors, the SBA approved 56 disaster declarations, which ensured that EIDL program funds were available to businesses and non-profits throughout all states and territories.

SBA has now approved and distributed more than three times as many loan funds for COVID-19 than for all other disasters combined in the history of the agency. As of October 19, 2020, during the response to COVID-19, ODA has processed more than 15 million applications, and 3.6 million Economic Injury Disaster Loan (EIDL) loans totaling \$191.9 billion were approved in an average of 31 days. These businesses approved for COVID-19 EIDL assistance employ nearly 20 million individuals and this aid has a profound effect on the local and national economy. Additionally, SBA approved over 5.7 million EIDL Advances for \$20 billion; the program closed on July 11, 2020 after being fully obligated. During typical year of normal disaster activity, SBA approves approximately \$2 billion in disaster loan assistance. For COVID-19, at the peak of loan activity, SBA approved nearly \$2 billion daily in new EIDL assistance.

COVID-19 Loans October 19, 2020					
Received Applications	Approved Loans	Disbursed Loans	Approved Amount	Disbursed Amount	Employees Impacted
15,688,579	3,612,236	3,605,741	\$191,994,805,796	\$191,767,764,899	19,553,105

The agency was processing disaster loans in response to the COVID-19 pandemic prior to passage of the CARES Act, which made changes to the COVID-19 EIDL program and created the emergency EIDL advance grants. SBA modified the program to the new criteria and continued to process loans until reaching the limit of our previous funding amount. The new legislation included further eligibility changes expanding eligible businesses, such as agricultural enterprises. For example, since SBA began accepting applications from agricultural businesses, SBA has approved over 117 thousand agricultural applications resulting in over \$6.7¹ billion in funding.

Since the onset of the COVID-19 pandemic, ODA has continued to respond to the customer service needs of small businesses and nonprofit organizations negatively impacted. Ensuring consistent messaging for disasters across the country is challenging. The SBA tailored key messages on disaster preparation to different regions of the country. The SBA worked to ensure that every part of the country had information prepared for various types of disasters to get small businesses and communities back to normal operations. Following declared disaster events, the SBA uses its network of SBA field offices and resource partners to help open new disaster business recovery centers (BRCs) and disaster loan outreach centers (DLOCs) quickly and efficiently. Once COVID-19 prevented the opening of in-person centers, the SBA swiftly transitioned to virtual support. Simultaneously, ODA's Field Office Center East (FOC-E) and West (FOC-W) conducted extensive COVID-19 outreach resulting in enhanced engagement with SBA's state and local partners, as well as SBA regional and district offices, and resource patterns.

¹ Numbers as of Oct. 19, 2020

FOC Outreach Events 10/19/2020	
Organization Type	
State	2,714
County	478
City / Local	343
SBA Regional Office	631
SBA District Office	7,861
SBA Resource Partners	3,369
Chambers of Commerce / Service Organizations	7,793
Trade Associations	290
Community & Business Meetings	2,696
Other Stakeholders	1,250
Tribal Communities	425
Type of Event	
Total Attendees for Webinars	35,062
Total Attendees for Conference Calls	27,338
Total Attendees for Other Virtual Public Meetings	51,060

Public interest in the Disaster Assistance Program is at an unprecedented level, which has resulted in a need for additional support staff. Since March, disaster assistance staff has increased ten-fold to nearly 10,000 employees. These employees successfully adapted to support disaster survivors in a virtual environment. For example, since March 2020, the SBA has responded to more than 14 million customer service calls; more than 9.0 million calls were related to COVID-19. Additionally, the SBA has responded to approximately 2.5 million emails pertaining to COVID-19.

ODA continues to adapt to meet the needs of COVID-19 impacted businesses, as well as disaster survivors.

COVID Response for SBDC and WBC Programs

Following the passage of the Coronavirus Aid, Relief, and Economic Security (CARES) Act on March 27, 2020, the U.S. Small Business Administration (SBA)'s Office of Entrepreneurial Development (OED) acted expeditiously to ensure the grant funds reached the Small Business Development Centers (SBDCs) and the Women's Business Centers (WBCs) quickly. In order to expedite the release of funds, OED streamlined the grant-making process. In three weeks, OED awarded grants to 62 SBDCs, totaling over \$191.6 million and 113 Women's Business Centers, totaling over \$47.4 million. This process had never been done in the past and was a record turnaround for the agency. OED also provided the opportunity for the SBDC networks to receive 25% of their funds in advance, to ensure funding was given to them at the most critical time. This was well received by the SBDCs. Advance funding of the SBDC program had never been previously done. Along with providing additional funding to the SBDCs and WBCs, the CARES Act waived matching requirements for these funds. For the WBCs, the matching requirement was waived on the core grant funds for 3 months to help alleviate financial burdens on the WBCs.

Additionally, OED worked closely with America's SBDC and the Association of Women's Business Centers in establishing performance metrics that would measure the impact of the CARES Act grant funds. The SBDCs measure three important short-term goals: Capital Assistance, Individuals Served, and Counseling Hours. These short-term metrics provide the SBA with a critical view into the number of new clients the SBDCs are serving. The WBC program tracks three metrics - Unique Client Served, Jobs Supported, and Capital Infusion Number of Transactions. These metrics provide SBA with key information on the impact the CARES Act funding is having on the communities the WBCs serve.

To assist clients efficiently, OED allowed the SBDCs and WBCs to collect client information using the Form 888. Using the Form 888 decreased the amount of time the SBDCs and WBCs spent collecting client information. Additionally, it reduced the burden of reporting information.

During the heart of the pandemic, the SBDCs and WBCs conducted counseling sessions and webinars virtually. OED monitored the transition to virtual services across the United States to ensure counseling and training were being provided adequately to entrepreneurs. This was done at the request of OED Leadership through an email campaign to ensure that services were still being met as business owners faced one of the biggest challenges the small business community has faced. OED took a proactive approach during the pandemic holding 13 nationwide calls with all Resource Partners to provide real time guidance and answer their questions expeditiously. Conversely, OED provided over 40 electronic updates on the SBA Paycheck Protection Program (PPP) and Economic Injury Disaster Loan (EIDL) program throughout the pandemic to ensure small business owners were receiving up to date counseling and training from the 1,000+ partners across the United States and Territories.

Ongoing COVID-19 Response (OVBD) – Veterans Business Outreach Centers (VBOC)

- All 22 VBOCs transitioned to virtual training and counseling during the onset of the COVID-19 disruption.
 - Training and counseling activities include: Boots to Business (B2B) classes, B2B Reboot training, virtual entrepreneurship training and webinars, and virtual counseling.
- Supporting local SBA Regional & District Offices by disseminating Paycheck Protection Program (PPP) and Economic Injury Disaster Loan (EIDL) updates and participating in local training events.
- Counseling veteran and military spouse business owners on the PPP & EIDL applications, follow-up and forgiveness processes, and requirements.
- Participating in weekly calls with the SBA's Office of Veterans Business Development (OVBD) to receive CARES Act updates and provide feedback.
- Working with the Association of Women's Business Centers, Association of Small Business Centers and SCORE on the development of the national resource partner training portal. This was part of the initial CARES Act legislation (**Section 1103 (c)(1)(B), Entrepreneurial Education – Resource Partner Association Grants**).

Below are training and counseling numbers specific to COVID-19 assistance.

- Counseling Sessions: 4,229
- Training Events: 148
- Training Attendees: 8,153