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U.S. Small Business Administration
Washington

DEC 8 1976

OFFICE OF THE DEPUTY ADMINISTRATOR

December 6, 1976

Honorable John O. Marsh, Jr.
Counsellor to the President
The White House
Washington, D.C. 20500

Dear John:

This will replace the book you received from us the week before last. As you know, William Keel has been named head of the Carter group as far as SBA is concerned and seems to be doing it all himself.

Sincerely,

Louis F. Laun

Enclosure



ORDERLY TRANSITION OF THE PRESIDENCY

EXECUTIVE BRIEFING



SMALL BUSINESS ADMINISTRATION

November 30, 1976

NOTICE

IN A FEW PLACES BLANK PAGES HAVE BEEN INTENTIONALLY INCLUDED IN THIS DOCUMENT IN ORDER TO FACILITATE THE APPEARANCE OF RELATED ORGANIZATION CHARTS AND DESCRIPTIVE NARRATIVE IN A SIDE-BY-SIDE FORMAT WITH LEFT AND RIGHT HAND PAGES OPENED TO THE READER.

FOREWARD

THIS EXECUTIVE BRIEFING for the Orderly Transition of the Presidency is designed to provide a broad and concise overview of the Small Business Administration.

The Executive Briefing contains:

1. Mission and Statutory Authority.
2. An Overview of Principal Programs.
3. The Organizational Structure of the Agency.
4. Functional Statements for Each Principal Suborganizational Component.
5. Key Personnel
6. Interagency Relationships.
7. Congressional Committees
8. Budget Overview and FY 1977 Program Goals.

PERSONAL, DETAILED BRIEFINGS will expand upon items included in this Executive Briefing and include additional items of importance within the several organizational and program areas. The Administrator, the Deputy Administrator, the Associate and Assistant Administrators and the General Counsel will conduct these briefings in depth for their respective responsibilities.

BIOGRAPHICAL SUMMARIES pertaining to key SBA personnel are available in a separate briefing folder.

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MISSION AND STATUTORY AUTHORITY

The Small Business Act of 1953, creating the Small Business Administration, clearly stated the intent of the Congress that SBA aid, counsel, assist and protect the interests of small business concerns; insure that a fair proportion of the total Government purchases and contracts for supplies, services, research and development be placed with small business enterprises; make loans to small business concerns and to victims of floods and other catastrophes; improve the management skills of the owners of small businesses; and provide for the development of management skills of qualified persons seeking to establish small businesses.

Shortly afterwards, additional legislation increased the maximum size of a business loan from \$150,000 to \$250,000, authorized the making of pool loans and the issuance of business size certificates, and authorized SBA to aid small firms in obtaining a fair share of government research and development contracts.

SBA became a permanent agency on July 18, 1958, (P.L. 85-536) and at the same time the maximum interest rate on SBA loans was lowered from 6 percent to 5-1/2 percent and the size of individual business loans was increased to \$350,000 maximum. The interest rate was later based on a flexible formula by P.L. 93-386 in 1974 and the loan limit increased to \$500,000 for guaranteed loans by P.L. 94-305 in 1976.

The Small Business Investment Act, approved August 21, 1958, authorized SBA to license and regulate privately owned small business investment companies, and also authorized assistance to state and local development companies.

In 1964 SBA was authorized to take part in the antipoverty program, and on December 23, 1967, under amendments to Title IV of the Economic Opportunity Act, (P.L. 90-222) SBA was given broadened authority under this program, authority which has more recently been transferred to the Small Business Act (P.L. 93-386).

Other legislation in 1966 and 1967 modified the small business investment company program and lengthened from 10 to 15 years the maximum term of SBA business loans for construction purposes, a term extended to 20 years in 1976.

Legislation in the period 1969-1975 made extensive changes in SBA's programs for disaster relief assistance. This included an expansion of SBA's economic injury loan authority under Section 7(b) of the Small Business Act to help small businesses cope with Federal and State Government regulation. It also included varying degrees of "forgiveness" through which up to \$5,000 of a disaster loan did not have to be repaid. While the "forgiveness" feature is no longer authorized, the

the Disaster Relief Act of 1974 (P.L. 93-288) has substituted a program of individual and family grants to hardship cases which are financed by Presidential grants to States.

The Housing and Urban Deveopment Act of 1970, P.L. 91-609, established SBA's Surety Bond Guarantee Program.

P.L. 92-213, December 22, 1971, amended the Small Business Investment Act to authorize SBA to guarantee loans made by private lenders to SBICs.

The Small Business Investment Act Amendments of 1972 (P.L. 92-595) increased significantly the level of SBA financing available to SBICs and MESBICs, and authorized a new SBA loan program for the benefit of the handicapped.

The Domestic Volunteer Service Act (P.L. 93-113, October 1, 1973) created a new Agency, ACTION, and gave ACTION the responsibility, among other volunteer programs, for the Service Corps of Retired Executives (SCORE) and Active Corps of Executives (ACE) which had formerly rested with SBA. This responsibility was returned to SBA in July 1975 by Executive Order 11871.

The Small Business Act Amendments of 1973 (P.L. 93-237, January 2, 1974), expanded the authority of the Small Business Administration to make loans to assist small business concerns in meeting regulatory standards; provided an SBA program for loans for adjustment assistance in base closings; stated that SBA shall not discriminate on the basis of sex or marital status against any person or small business concern applying for or receiving agency assistance; and provided for livestock loans under the Act to those raising livestock who encounter substantial economic injury as a result of animal disease.

The statutory position of Associate Administrator for Minority Small Business was established by P.L. 93-386 in August 1974.

Public Law 94-305, June 4, 1976, made significant amendments to the Small Business Investment Act of 1958 and the Small Business Act. Among other things, the law provides for (1) the President to undertake a comprehensive review of all Federal disaster loan authorities; (2) a separate new financing program to make it possible for small businesses to finance the leasing of pollution control equipment through the use of tax exempt industrial revenue bonds; (3) increased Government financial assistance for small business investment companies (SBICs); (4) loans to state and local development companies for the acquisition (as distinguished from previously authorized modernization) of existing plant facilities; (5) increasing the ceiling amount for an economic opportunity loan from

\$50,000 to \$100,000 per borrower; (6) increasing the maximum amount of financial assistance to a state or local development company from \$350,000 to \$500,000; (7) increased maximum amount of a regular business loan which is made by a financial institution and guaranteed by SBA from \$350,000 to \$500,000 per borrower, while retaining the present limit of \$350,000 for direct loans and immediate participation loans; (8) recognition of the policy of Congress that the SBA shall provide management and financial assistance to agricultural enterprises which are small concerns; and (9) establishing a new Office of Advocacy within SBA headed by a Chief Counsel for Advocacy to be appointed by the President and to be responsible initially for the conduct of a comprehensive study of the role of small business in the national economy. (A Chief Counsel for Advocacy had previously been authorized by P.L. 93-386 in August 1974).

SBA's management is vested in an Administrator appointed by the President with the advice and consent of the Senate; a Deputy Administrator, four Associate Administrators, a General Counsel, five Assistant Administrators, and various special assistants appointed by the Administrator.

PRINCIPAL PROGRAMS OF THE SMALL BUSINESS ADMINISTRATION

FINANCIAL ASSISTANCE

REGULAR BUSINESS LOANS to small manufacturers, wholesalers, retailers, service concerns, farmers and other businesses to construct, expand or convert facilities, purchase buildings, equipment or materials, or obtain working capital.

ECONOMIC OPPORTUNITY LOANS to help those in business whose income provides them and their families with only a marginal existence or those who, because of lack of opportunity, have been disadvantaged in establishing or expanding their businesses.

DISPLACED BUSINESS LOANS to small businesses physically displaced or economically injured by federally financed projects such as urban renewal and highway construction. Loans may be made to cover moving expenses and the cost of new facilities.

HANDICAPPED ASSISTANCE LOANS to nonprofit organizations employing 75% handicapped persons in producing marketable goods and services, or to small business concerns owned 100% by handicapped individuals.

LOCAL DEVELOPMENT COMPANY LOANS (502) to local development companies for benefit of identifiable small business concerns. Proceeds may be used for land, building, machinery and equipment, but not for working capital. The development company retains title to property and enters into a lease or lease purchase agreement with the small business firm.

STATE DEVELOPMENT COMPANY LOANS (501) to state development companies to assist small business concerns within respective states. The object is industrial growth.

DISASTER LOANS

Physical and Economic Disaster Loans to individuals, businesses, hospitals, churches, eleemosynary institutions and privately owned schools and universities suffering disaster damage to finance their restoration to predisaster status and to provide working capital needed until normal operations are restored.

Product Disaster Loans provide working capital and current debt payment funds when a small firm has suffered injury as a result of being unable to market a product for human consumption due to finding of toxics in such product from natural or unknown causes.

Non-Physical Disaster Loans (compliance and economic impact loans)

Compliance loans may be made to help small business comply with the Coal Mine Health and Safety Act, Occupational Safety and Health Act, Wholesome Poultry Products Act, Egg Products Inspection Act, Clean Air Act, and Federal Water Pollution Control Act, if substantial economic injury is incurred.

Economic impact loans may be made to help small businesses suffering substantial economic injury as a result of any international agreement limiting the development of strategic arms facilities; the reduction in scope or size of a major military installation; or, such business seriously and adversely affected by a shortage of fuel, electrical energy, energy producing resources, or raw or producing materials.

SMALL BUSINESS INVESTMENT COMPANIES/SECTION 301(D) LICENSES are licensed and partially financed by SBA to provide venture capital and management assistance to small concerns for their growth, expansion and modernization. Section 301(d) licensees specialize in assisting small concerns owned by socially or economically disadvantaged persons.

LEASE GUARANTEES provide for guarantees of rental payments under leases of commercial or industrial properties entered into by small business concerns. The program cannot be operated within the current legislation requirements to be self-sustaining, hence it is inactive. Funding requested for fiscal 1977 is to pay losses on existing portfolio.

POLLUTION CONTROL FINANCING provides for the guarantee of payments on contracts for the acquisition and installation of pollution control facilities. The financing may be accomplished with bond issues that are exempt from federal income tax.

SURETY BOND GUARANTEE PROGRAM assists small contractors indirectly by guaranteeing up to 90% of the losses of private surety companies on specific contracts. One of SBA's fastest growing programs, it has made the bonding system available to small contractors who have previously been denied for various reasons.

MANAGEMENT ASSISTANCE

MANAGEMENT TRAINING courses, conferences, workshops, and clinics for present or prospective small business owners are conducted.

MANAGEMENT COUNSELING provides small businessmen with specific information and assistance.

SCORE and ACE (Service Corps of Retired Executives and Active Corps of Executives) provide volunteers in over 300 locations to perform training and counseling assignments.

THE CALL CONTRACTING PROGRAM authorizes SBA to place contracts with qualified individuals and businesses in order to provide management and technical aid to SBA clients.

THE SMALL BUSINESS INSTITUTE (SBI) Program sponsors in nearly 400 colleges and universities senior and graduate students to counsel small business under the supervision of university faculty and SBA staff.

THE UNIVERSITY BUSINESS DEVELOPMENT CENTER (UBDC) is a university-based center for the delivery of joint government, academic, and private assistance to small businesses. A number of these centers are being established at cooperating institutions of higher learning.

INTERNATIONAL TRADE PROGRAM helps identify international marketing opportunities for small and medium-sized businesses with international trade potential.

PUBLICATIONS AND TRAINING FILMS are available for little or no charge.

PROCUREMENT AND TECHNICAL ASSISTANCE

PRIME CONTRACTS PROGRAM assures small business a fair share of the multi-billion dollar Federal procurement budget and reviews the effectiveness of small business prime contracting programs within the Federal buying agencies.

SUBCONTRACTING ASSISTANCE PROGRAM assures that small business is afforded the optimum opportunity to participate in the Federal procurement process as subcontractors to the Nation's major prime contractors.

CERTIFICATE OF COMPETENCY PROGRAM provides an appellate review for a small company being denied the right of a contract award by a Federal procuring agency due to alleged lack of technical capability or financial resources.

TECHNOLOGY ASSISTANCE PROGRAM assists small business in acquiring the maximum benefits from the government's vast store of technology and to assist small R&D companies to compete successfully for Federal R&D contract awards.

PROPERTY SALES PROGRAM assures small business a fair share of contracts involving the sales of timber and other government property (or rights) both real and personal.

8(A) BUSINESS DEVELOPMENT PROGRAM assists small companies that are owned and controlled by socially or economically disadvantaged persons to reach viability through the federal contracting/subcontracting process.

MINORITY SMALL BUSINESS ASSISTANCE

The Office of Minority Small Business is the primary advocate for minority small business, with legislatively-mandated authority to provide input and policy into execution of all other SBA programs, including Finance and Investment, Procurement Assistance and Management Assistance.

ADVOCACY

The Office of Advocacy performs the following duties on a continuing basis:

1. serves as a focal point for the receipt of complaints, criticisms, and suggestions concerning the policies and activities of the Administration and any other Federal agency which affects small business;
2. counsels small business on how to resolve questions and problems concerning the relationship of the small business to the Federal Government.
3. develops proposals for changes in the policies and activities of any agency of the Federal Government which will fulfill the purposes of the Small Business Act.
4. represents the views and interests of small businesses before other Federal agencies whose policies and activities may affect small business;
5. enlists the cooperation and assistance of public and private agencies, businesses, and other organizations in disseminating information about the programs and services provided by the Federal Government which are of benefit to small businesses, and information on how small businesses can participate in or make use of such programs and services; and
6. ensures accomplishment of major studies and analyses of a special nature such as those contained in Section 202 of P.L. 94-305.

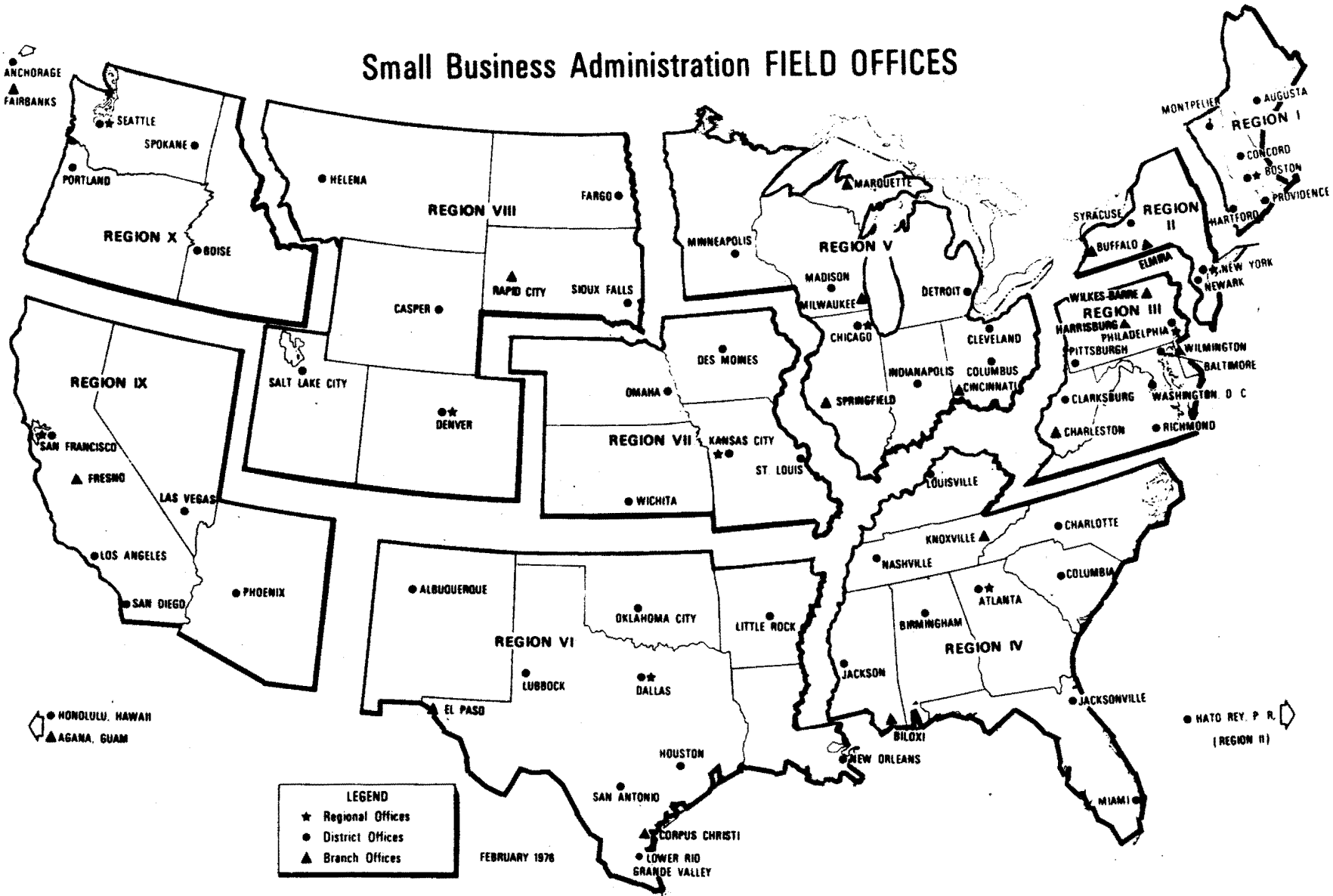
ORGANIZATION

THE CENTRAL OFFICE of the Small Business Administration is located at 1441 L Street, N.W., Washington, D. C. The Administrator, Deputy Administrator, Associate Administrators, Assistant Administrators and General Counsel and their staffs are all located here. There are about 750 permanent positions in the Central Office.

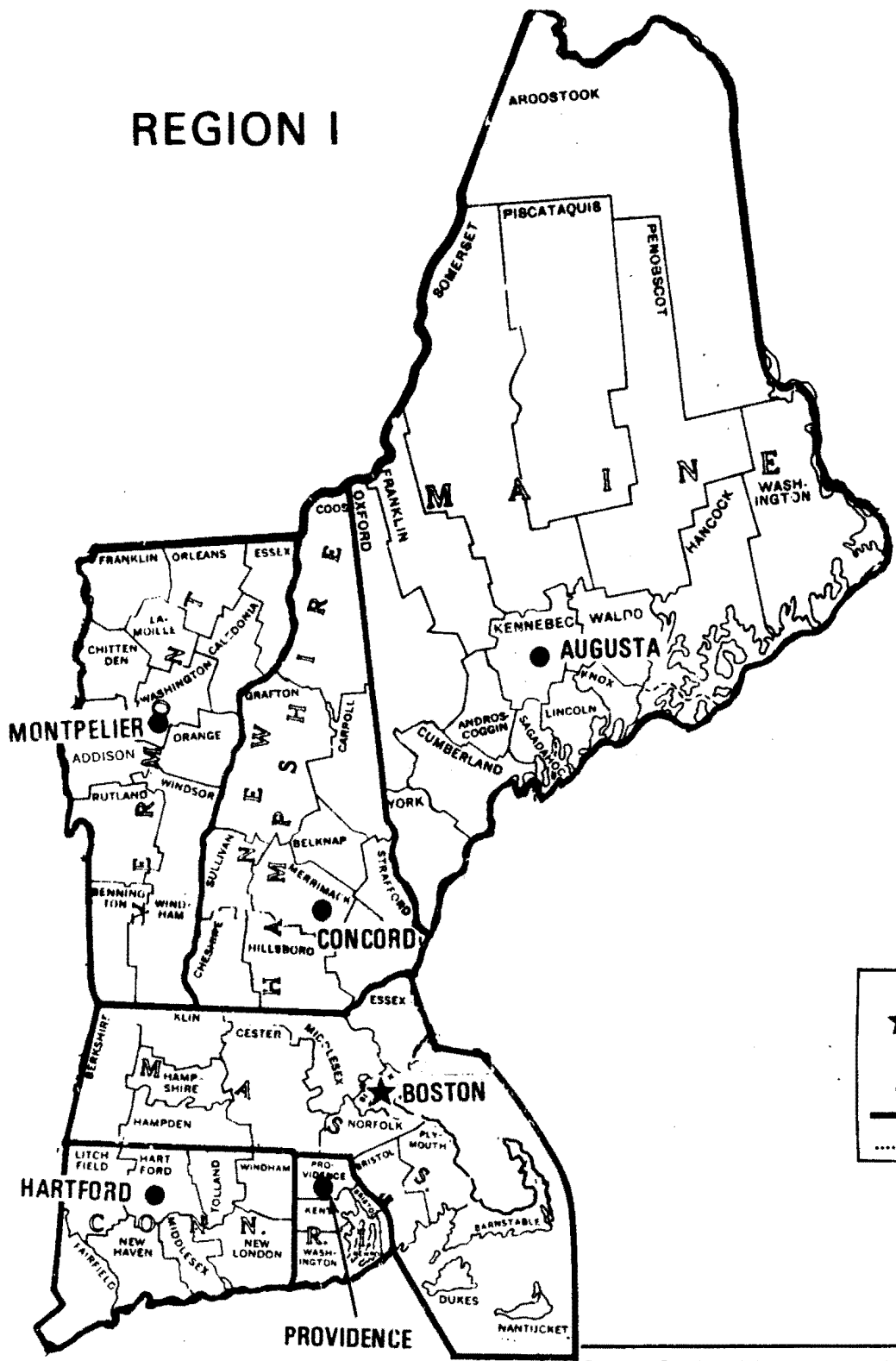
FIELD OFFICES are located in every state, Puerto Rico, the Virgin Islands and Guam as shown on the accompanying maps. There are 63 District Offices, 18 Branch Offices and 15 Post of Duty Stations in 96 cities. Most of SBA's operations are conducted through the District and Branch Offices. The 10 Regional Offices are basically supervisory and administer the operations of the Districts. Total field office strength is about 3,700 permanent positions.

The Regional Directors report through the Associate Administrator for Operations and the Deputy Administrator to the Administrator.

Small Business Administration FIELD OFFICES



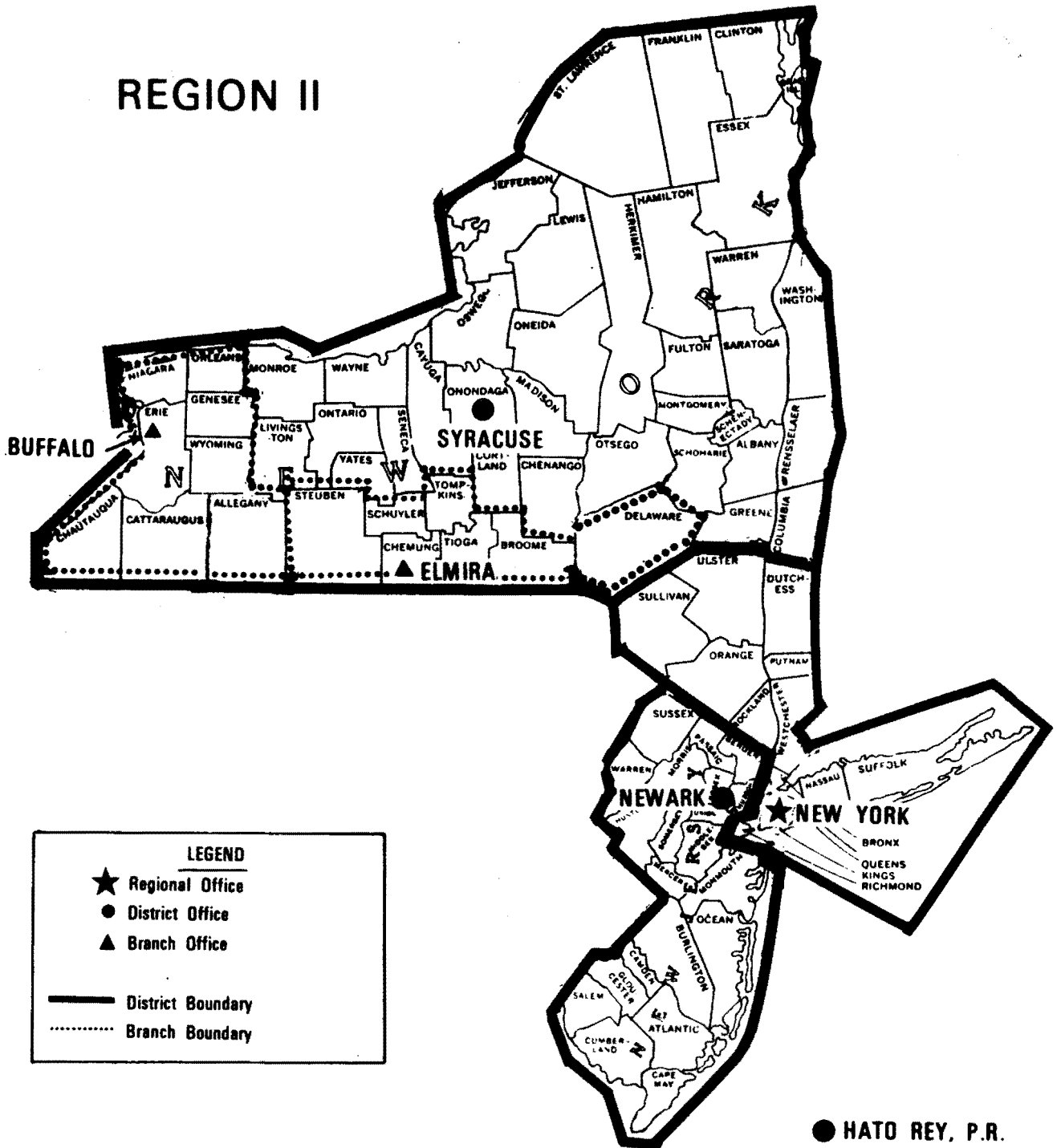
REGION I



LEGEND	
★	Regional Office
●	District Office
▲	Branch Office
—	District Boundary
.....	Branch Boundary

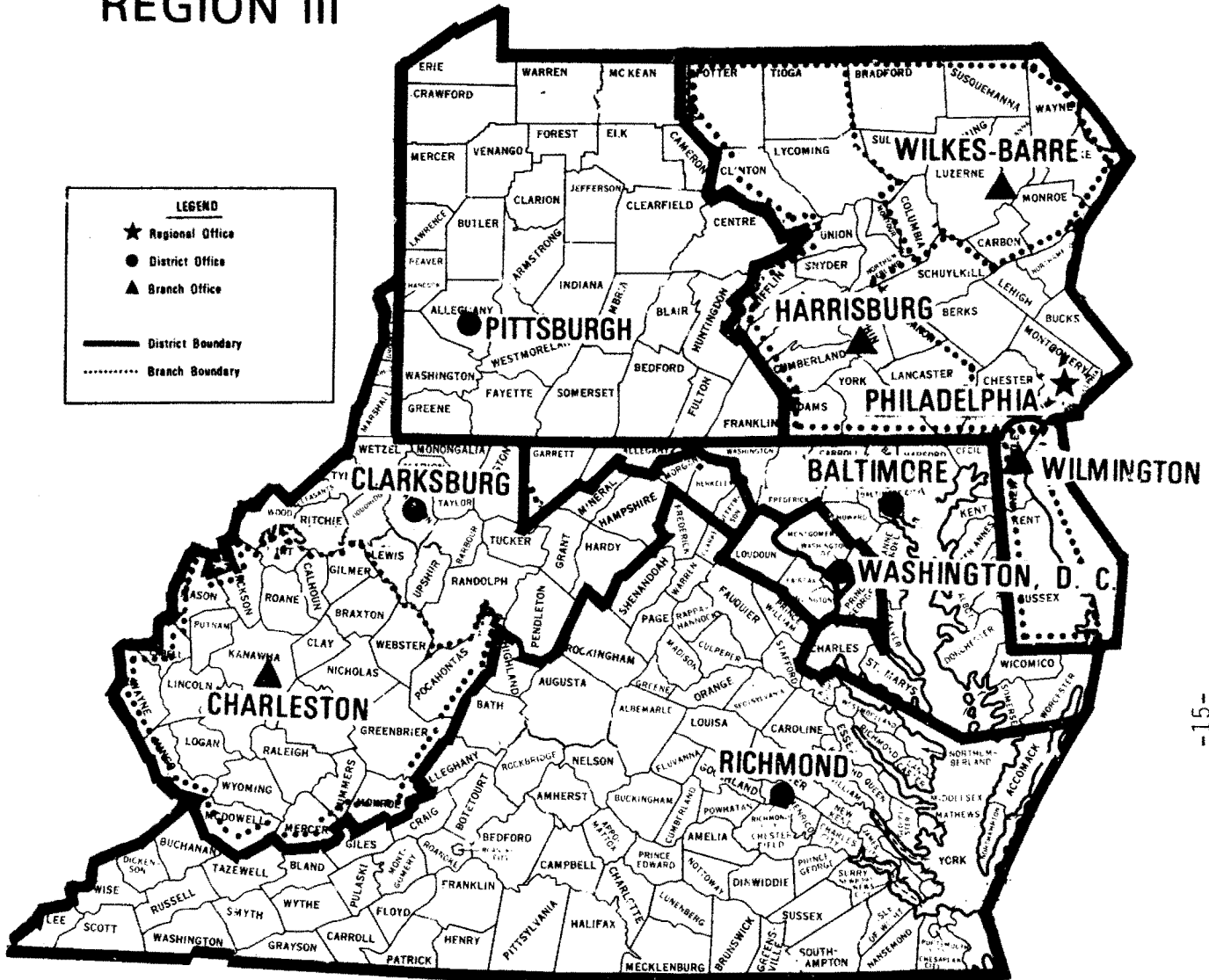
- Boston Regional Director** - Talbot DeG. Bulkeley - GS-16
- Boston District Director** - Albert J. Prendergast - GS-15
- Augusta District Director** - Thomas A. McGillicuddy - GS-15
- Concord District Director** - Bert F. Teague - GS-15
- Hartford District Director** - Thomas E. Higgins - GS-15
- Montpelier District Director** - David C. Emery - GS-15
- Providence District Director** - Charles J. Fogarty - GS-15

REGION II



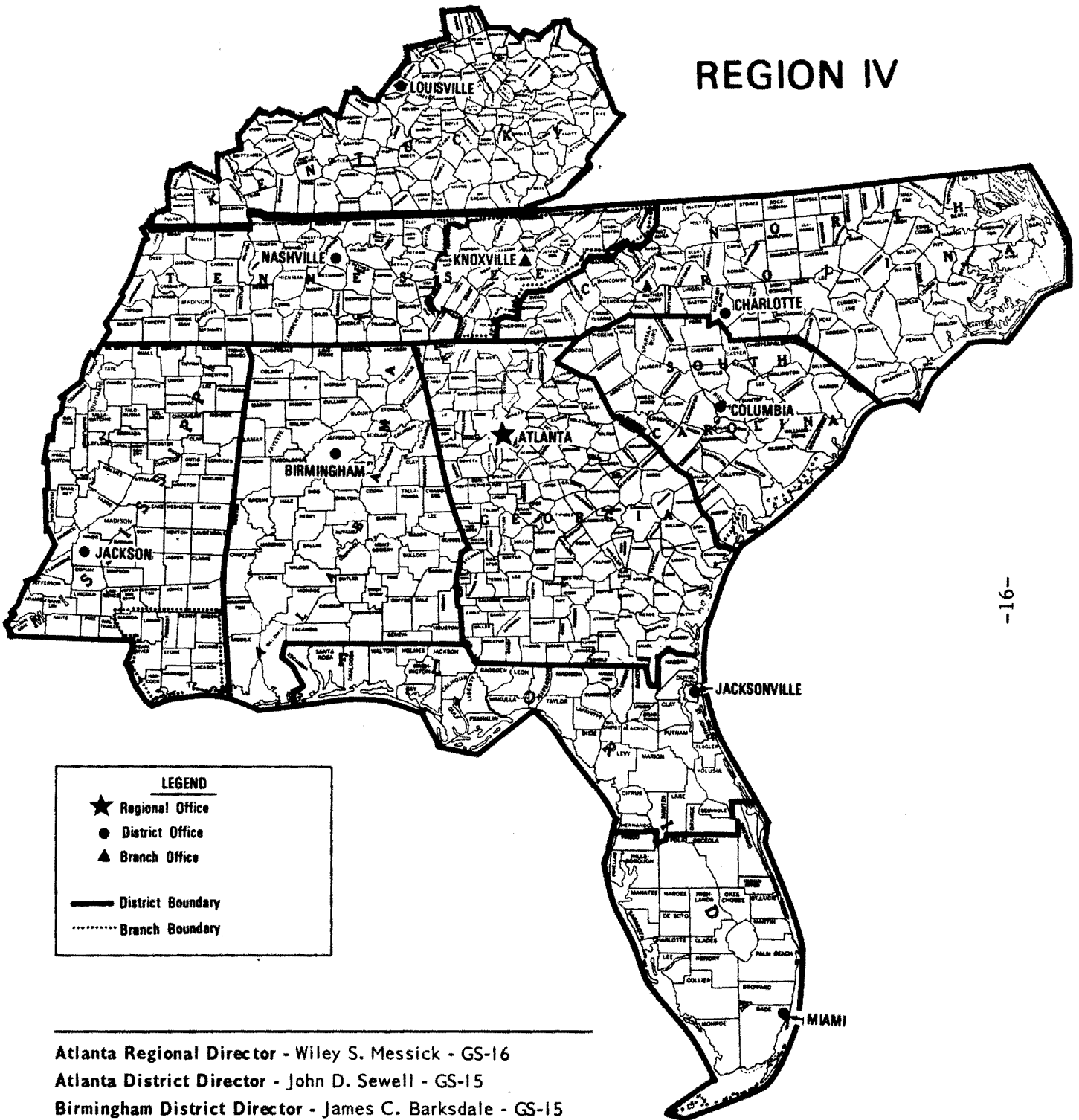
-
- New York Regional Director - (Vacant) - GS-17
 - New York District Director - Woodie G. Williams - GS-16
 - Hato Rey District Director - Antonio Yordan - GS-15
 - Newark District Director - Andrew P. Lynch - GS-15
 - Syracuse District Director - J. Wilson Harrison - GS-15
-

REGION III



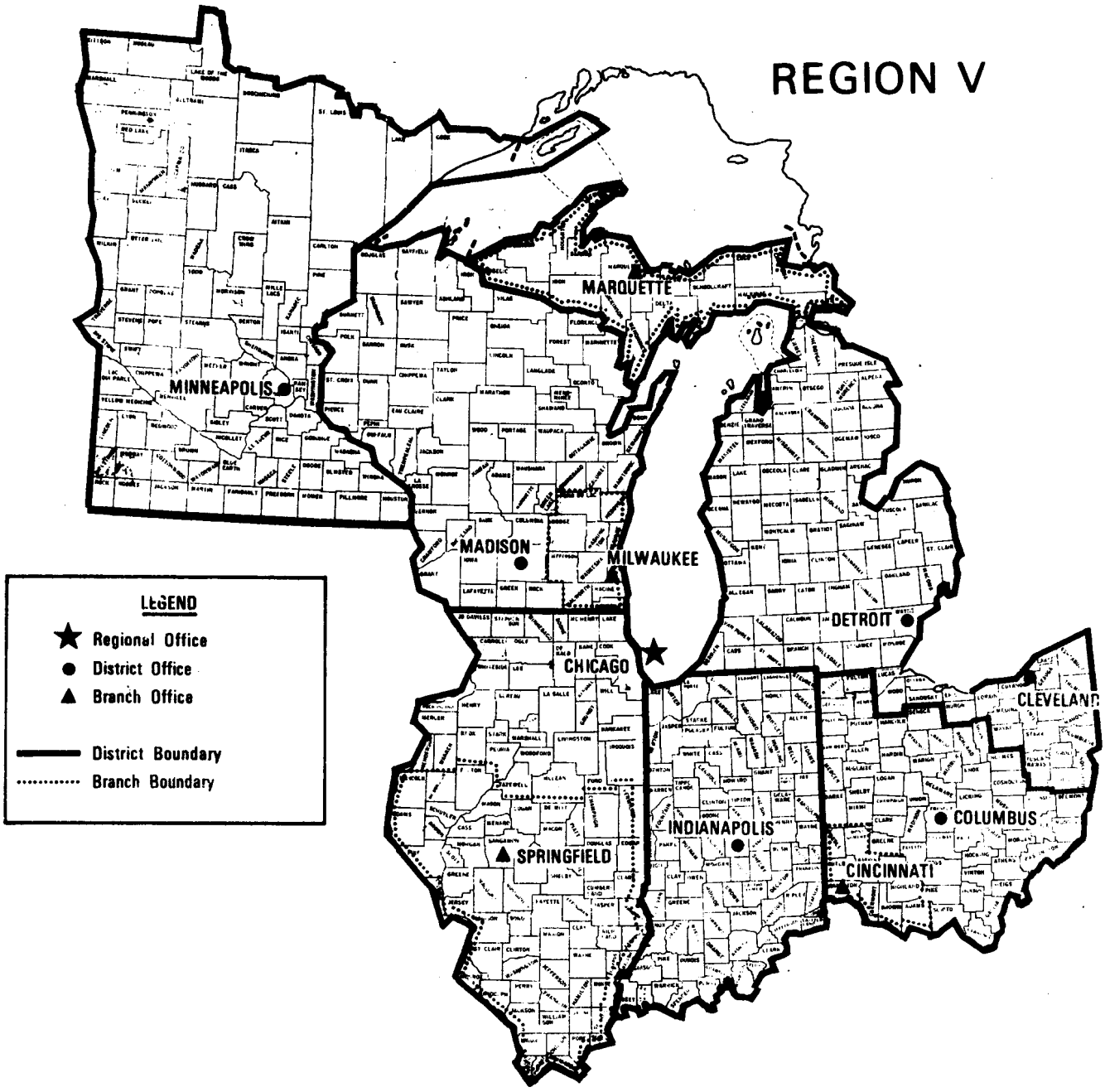
-
- Philadelphia Regional Director - (Vacant) - GS-17
 - Philadelphia District Director - William B. Patterson - GS-15
 - Clarksburg District Director - Isaac R. Mayfield - GS-15
 - Pittsburgh District Director - Jack C. Forbes - GS-15
 - Richmond District Director - Raymond P. Kuttenkuler - GS-15
 - Towson District Director - Gerard J. Lang - GS-15
 - Washington District Director - Leon J. Bechet - GS-15
-

REGION IV



-
- Atlanta Regional Director - Wiley S. Messick - GS-16
 - Atlanta District Director - John D. Sewell - GS-15
 - Birmingham District Director - James C. Barksdale - GS-15
 - Charlotte District Director - George W. Marschall - GS-15
 - Columbia District Director - Vern F. Amick - GS-15
 - Coral Gables District Director - Thomas A. Butler - GS-15
 - Jacksonville District Director - Douglas E. McAllister - GS-15
 - Louisville District Director - Richard B. Blankenship - GS-15
 - Jackson District Director - Ardis Jones - GS-15
 - Nashville District Director - William J. L. Shaver - GS-15
-

REGION V

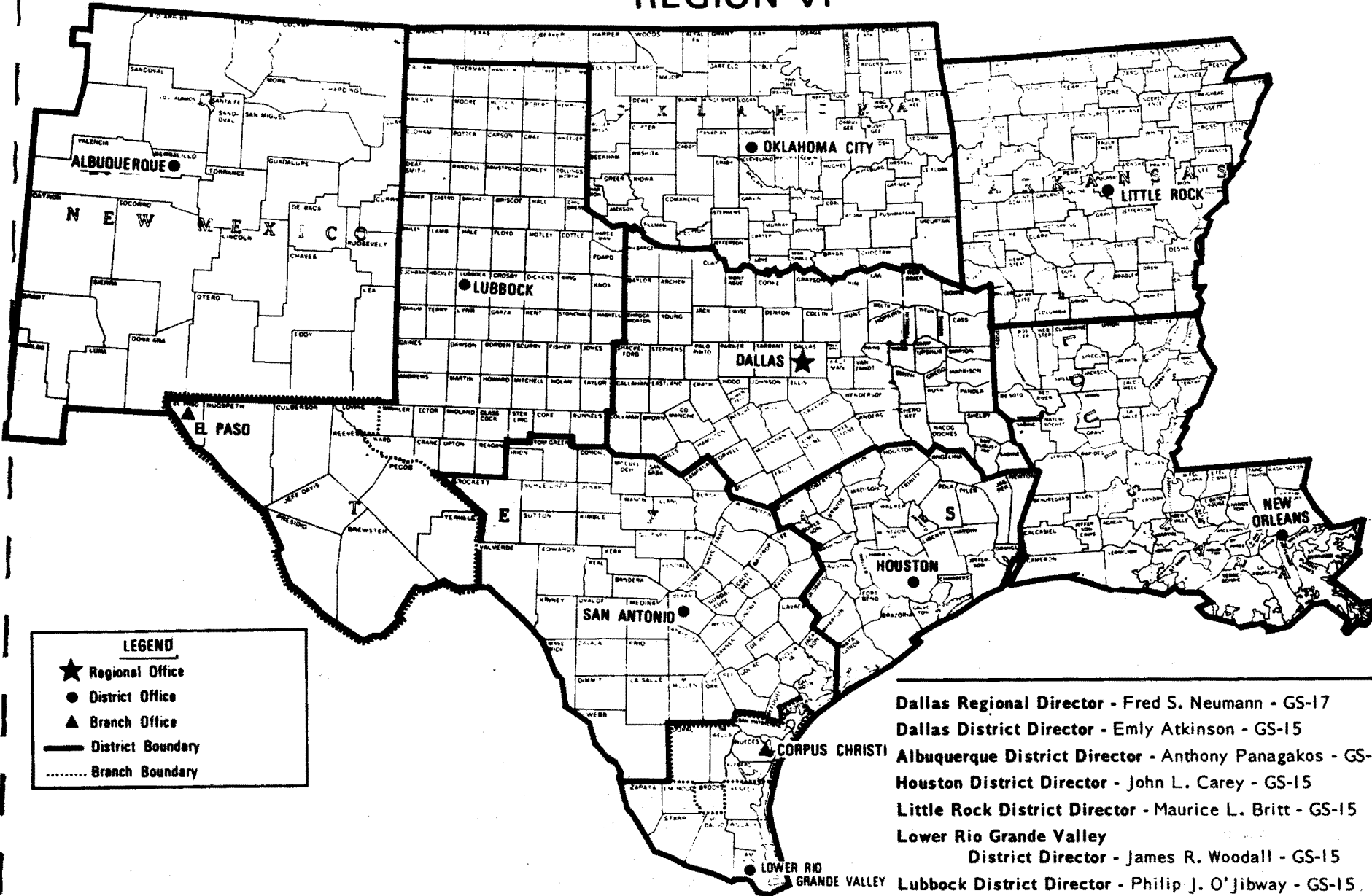


LEGEND

- ★ Regional Office
- District Office
- ▲ Branch Office
- District Boundary
- Branch Boundary

-
- Chicago Regional Director - Harold L. Aronson, Jr. - GS-17
 - Chicago District Director - John L. Smith - GS-16
 - Cleveland District Director - S. Charles Hemming, Jr. - GS-15
 - Columbus District Director - Frank D. Ray - GS-15
 - Detroit District Director - Ray Harshman - GS-15
 - Indianapolis District Director - William F. Miller - GS-15
 - Madison District Director - Lucian G. Schlimgen, Jr. - GS-15
 - Minneapolis District Director - Paul W. Jansen - GS-15
-

REGION VI

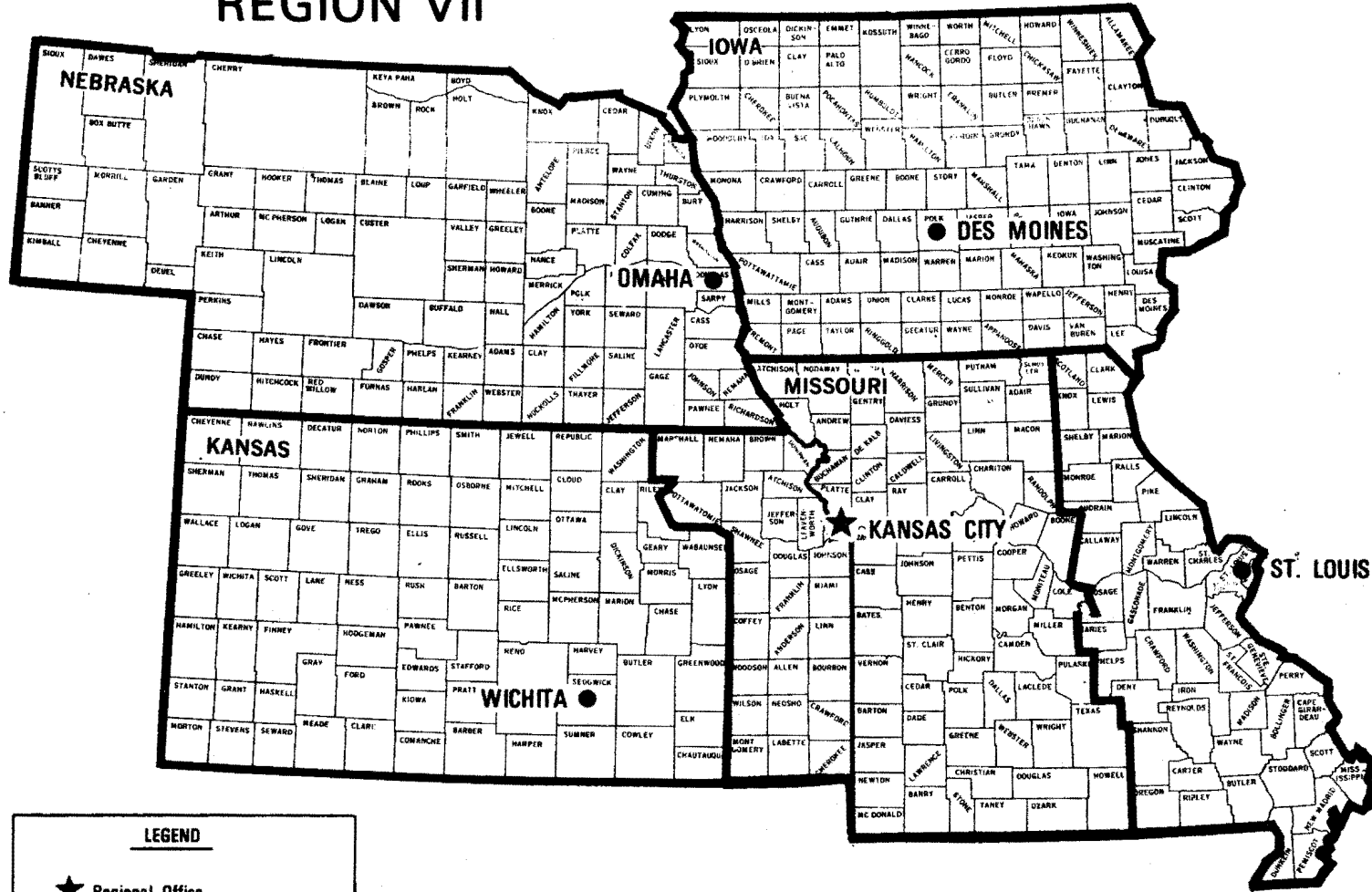


LEGEND

- ★ Regional Office
- District Office
- ▲ Branch Office
- District Boundary
- Branch Boundary

- Dallas Regional Director - Fred S. Neumann - GS-17
- Dallas District Director - Emly Atkinson - GS-15
- Albuquerque District Director - Anthony Panagakos - GS-15
- Houston District Director - John L. Carey - GS-15
- Little Rock District Director - Maurice L. Britt - GS-15
- Lower Rio Grande Valley
District Director - James R. Woodall - GS-15
- Lubbock District Director - Philip J. O'Jibway - GS-15
- New Orleans District Director - William F. Murfin - GS-15
- Oklahoma City District Director - Truman Branscum - GS-15
- San Antonio District Director - James S. Reed - GS-15

REGION VII

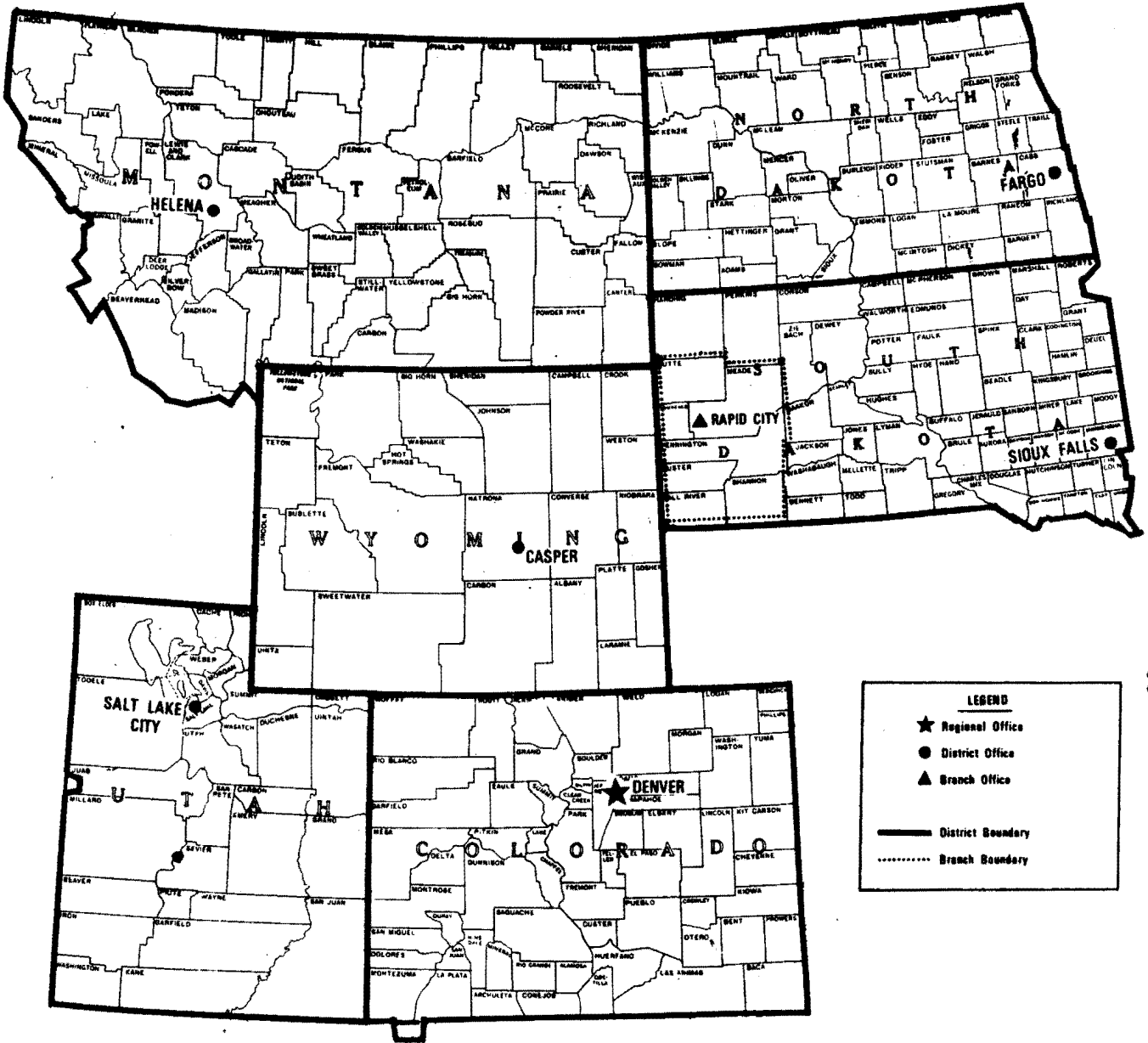


LEGEND

- ★ Regional Office
- District Office
- District Boundary

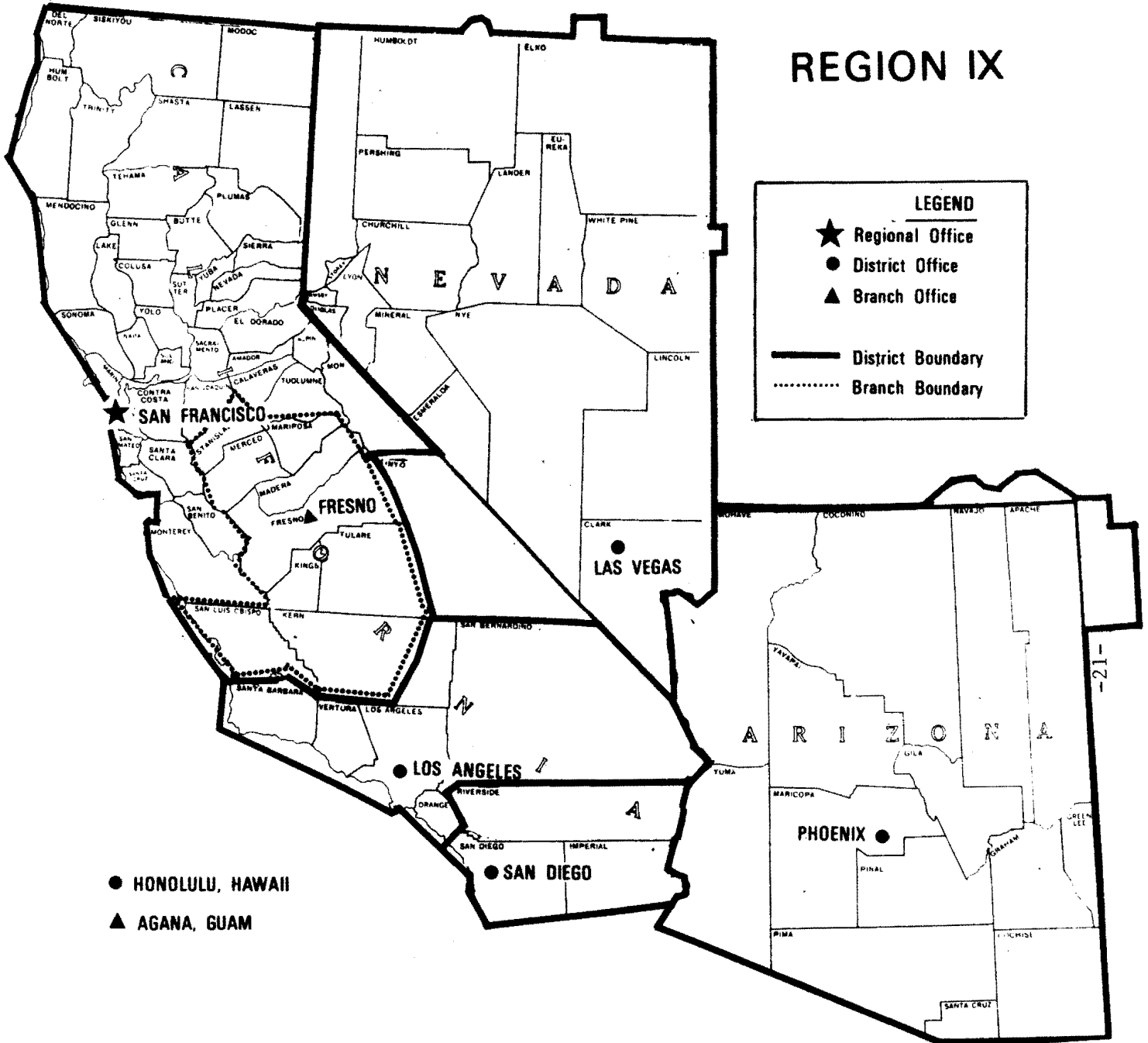
- Kansas City Regional Director - Deryl K. Schuster - GS-16
- Kansas City District Director - Gerald D. Jepson - GS-15
- Des Moines District Director - Jay H. Sears - GS-15
- Omaha District Director - Rick S. Budd - GS-15
- St. Louis District Director - Thomas L. Holling - GS-15
- Wichita District Director - Clayton Hunter - GS-15

REGION VIII



-
- Denver Regional Director - Victor M. Rivera - GS-16
 - Denver District Director - Douglas F. Graves - GS-15
 - Casper District Director - Jerry S. King - GS-15
 - Fargo District Director - E. Maine Shafer - GS-15
 - Helena District Director - Ottley R. Tschache - GS-15
 - Salt Lake City District Director - Clair R. Hopkins - GS-15
 - Sioux Falls District Director - Chester Boyd Leedom - GS-15
-

REGION IX

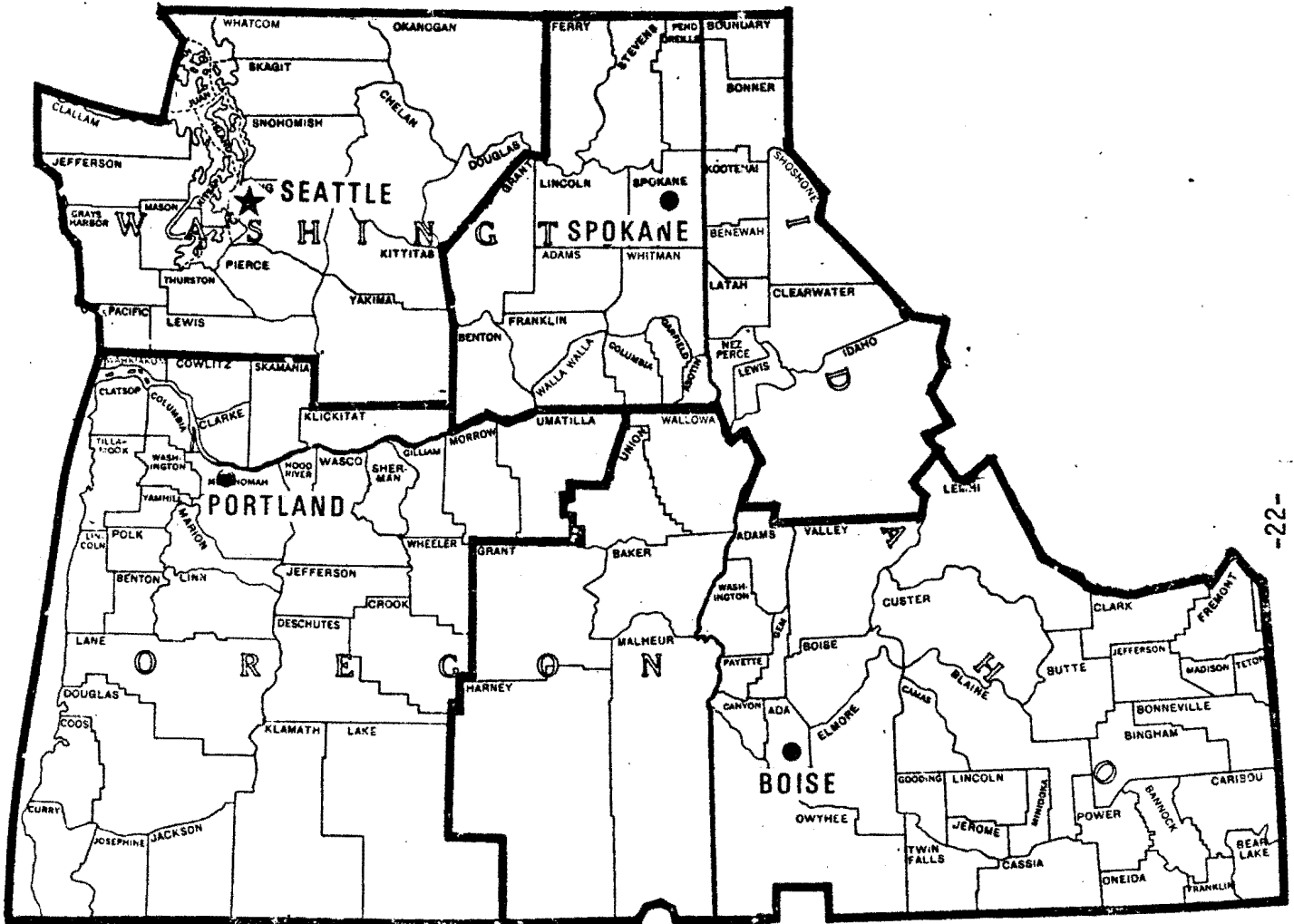


-
- San Francisco Regional Director - Gilbert Montano - GS-17
 - San Francisco District Director - (Vacant) GS-16
 - Honolulu District Director - David K. Nakagawa - GS-14
 - Las Vegas District Director - Robert Garrett - GS-14
 - Los Angeles District Director - Stewart L. Rollins - GS-16
 - Phoenix District Director - Stanley D. Goldberg - GS-15
 - San Diego District Director - Fred D. Sergent - GS-15
-

REGION X

● ANCHORAGE, ALASKA

▲ FAIRBANKS, ALASKA

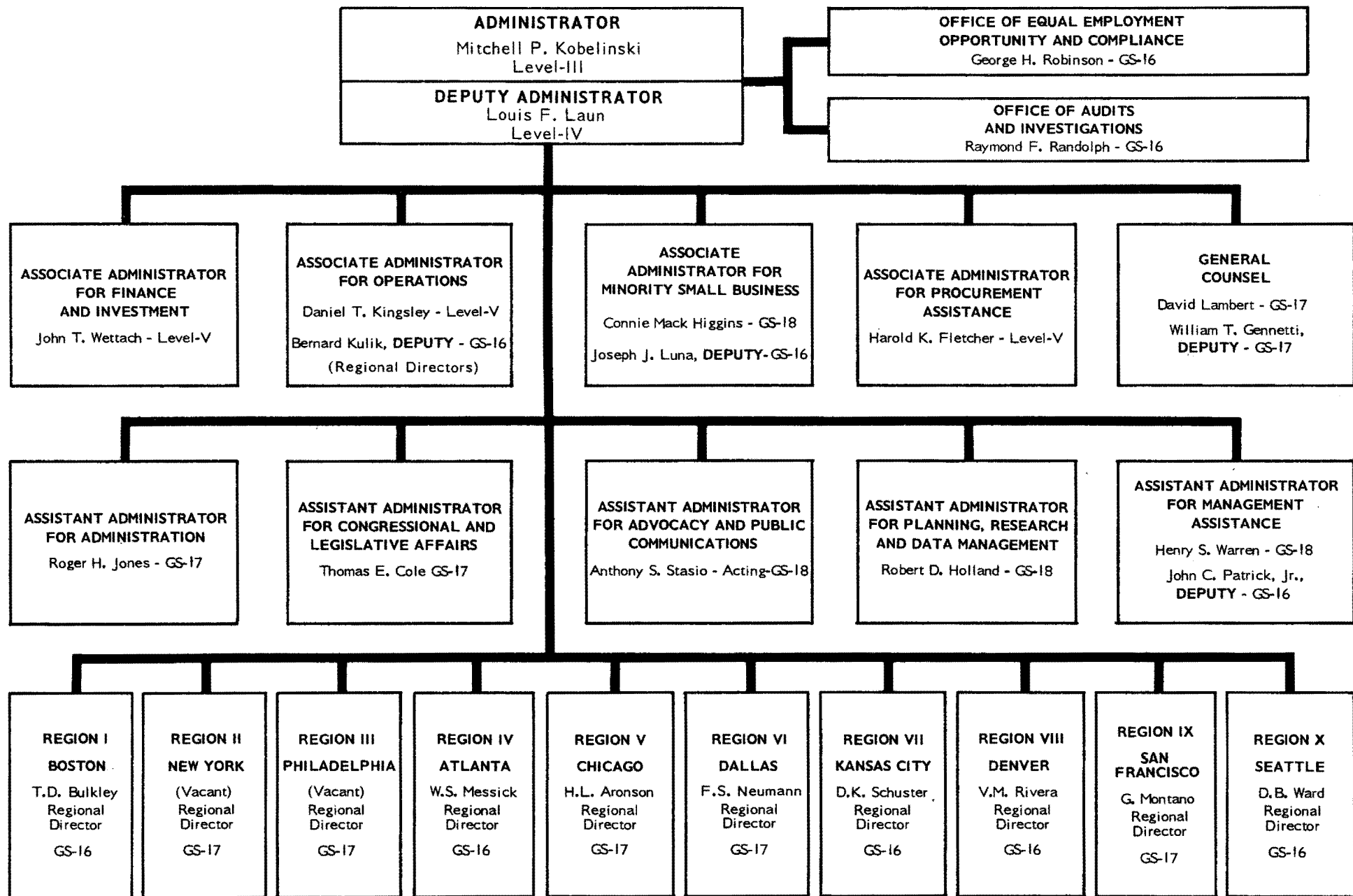


-22-

Seattle Regional Director - Daniel B. Ward - GS-16
 Seattle District Director - Robert F. Caldwell GS-15
 Anchorage District Director - Frank D. Cox - GS-15
 Boise District Director - Oliver T. Davis - GS-15
 Portland District Director - James D. Chapman - GS-15
 Spokane District Director - William S. Schumacher - GS-15

LEGEND	
★	Regional Office
●	District Office
▲	Branch Office
—	District Boundary

SBA MANAGEMENT BOARD



The Regional Directors are members of the SBA Management Board. For purposes of program execution, however, they report through the Associate Administrator for Operations to the Deputy Administrator and Administrator.

ADMINISTRATOR

The Administrator of the Small Business Administration is responsible to the President and to the Congress for exercising direction, authority and control over the Small Business Administration.

He establishes and supervises agency policy in line with its authority to aid, counsel, assist and protect the interests of the nation's small business concerns and serves as its Chief Executive Officer.

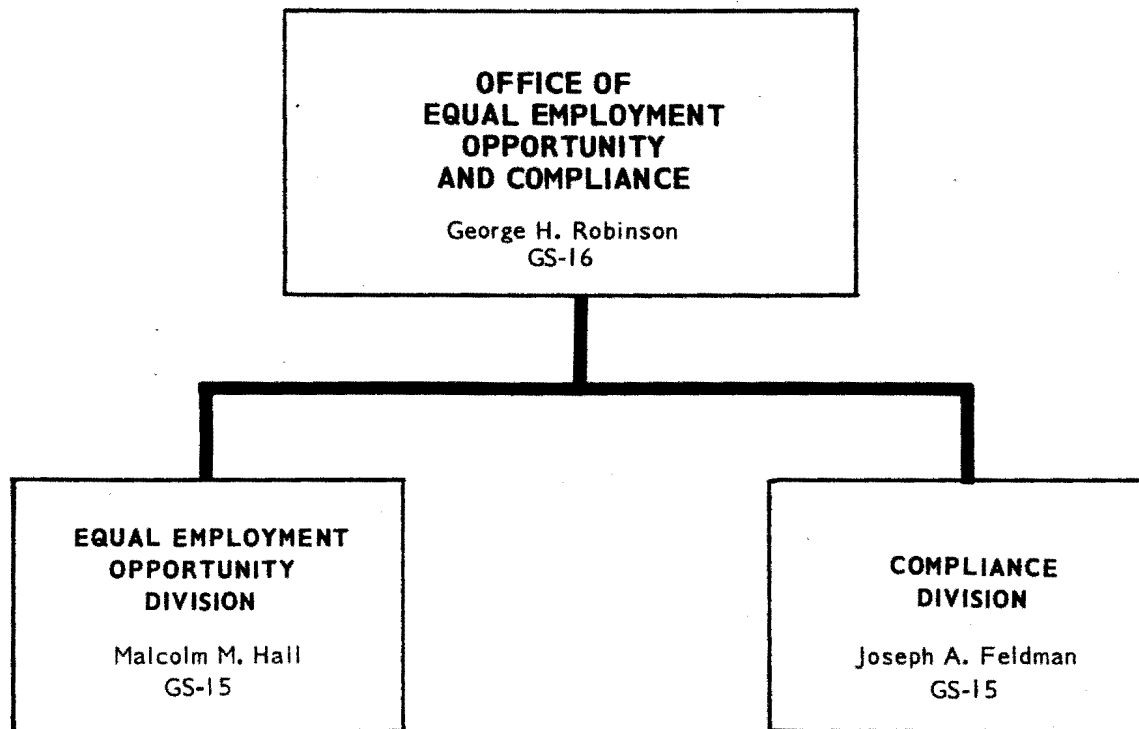
Much of the Administrator's authority is exercised by agency officials to whom it has been delegated.

The SBA Administrator also has responsibilities involving activities of various Federal, State and local agencies in behalf of the small business interests in the national economy.

He reports to the President and to the Congress on the agency's program accomplishments and problems and also serves as a member of the Economic Policy Board.

DEPUTY ADMINISTRATOR

The Deputy Administrator of the Small Business Administration is the Administrator's alter ego, and serves as the Agency's Chief Operating Officer. He is appointed by and serves at the pleasure of the Administrator and acts for the Administrator in his absence. He serves as Chairman of the size appeals board and the interagency committees.



SPECIAL ASSISTANT TO THE ADMINISTRATOR AND DIRECTOR
OF THE OFFICE OF EQUAL EMPLOYMENT OPPORTUNITY AND COMPLIANCE

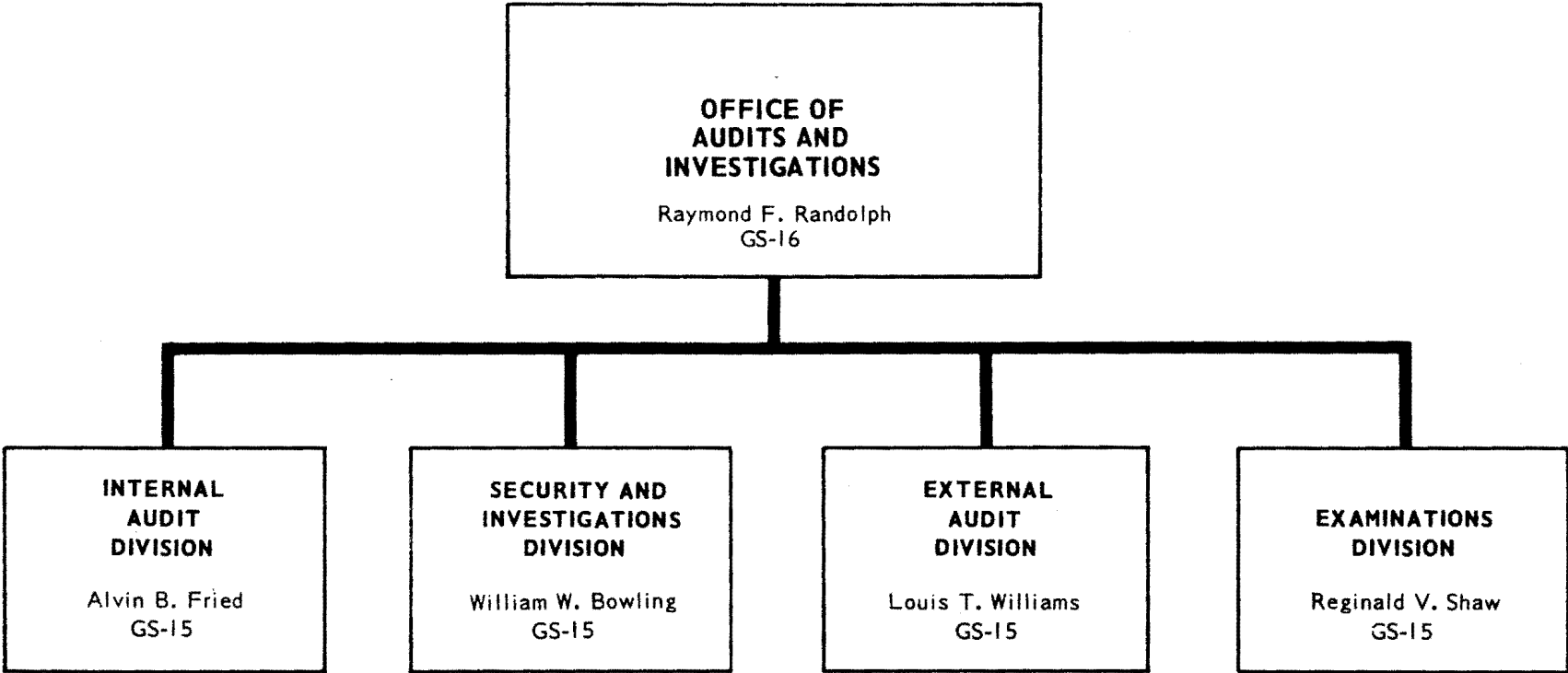
The Director serves as Special Assistant to the Administrator and as his principal adviser on Agency civil rights policies. As such, he is the chief liaison with other Federal agencies and nonfederal organizations concerned with civil rights programs.

In light of the EEO&C Office's overview responsibilities relating to all SBA functional areas, the Director serves on the Administrator's Management Board. He also serves as the Agency's Equal Employment Officer, Civil Rights Coordinator and Compliance Officer, directing the work of the Office's two divisions.

The Equal Employment Opportunity Division is responsible for establishing a continuing affirmative program for equal opportunity in employment and personnel operations within the Agency without regard to race, color, religion, sex, national origin or age, and for the processing of complaints of discrimination based on the above stated grounds. This work is conducted in accordance with the 1972 Equal Employment Opportunity Act and Civil Service Commission regulations.

The work of the Compliance Division, under the Agency's Title VI and Title VI-related responsibilities, basically consists of monitoring direct and indirect recipients of financial assistance to make certain that they do not discriminate in either their business or employment practices. Further, the Division is responsible for the enforcement of the Equal Credit Opportunity Act and its amendments, which require recipients of SBA monies not to discriminate in their credit practices on the basis of sex or marital status.

Monitoring is achieved through a system of compliance reports, on-site compliance reviews and complaint investigations. Because the beneficiaries of SBA programs are generally the financial assistance recipients, it is also necessary to assure nondiscrimination on the part of SBA program officials and offices. This includes assuring that all members of the public have access to SBA programs and are treated courteously and without regard to race, color, religion, sex, marital status or national origin by the Agency or any of its officials. This is achieved by the monitoring of SBA program offices, comparing inquiries, applications, approvals, declines and withdrawals, as well as through complaint investigations and office reviews.



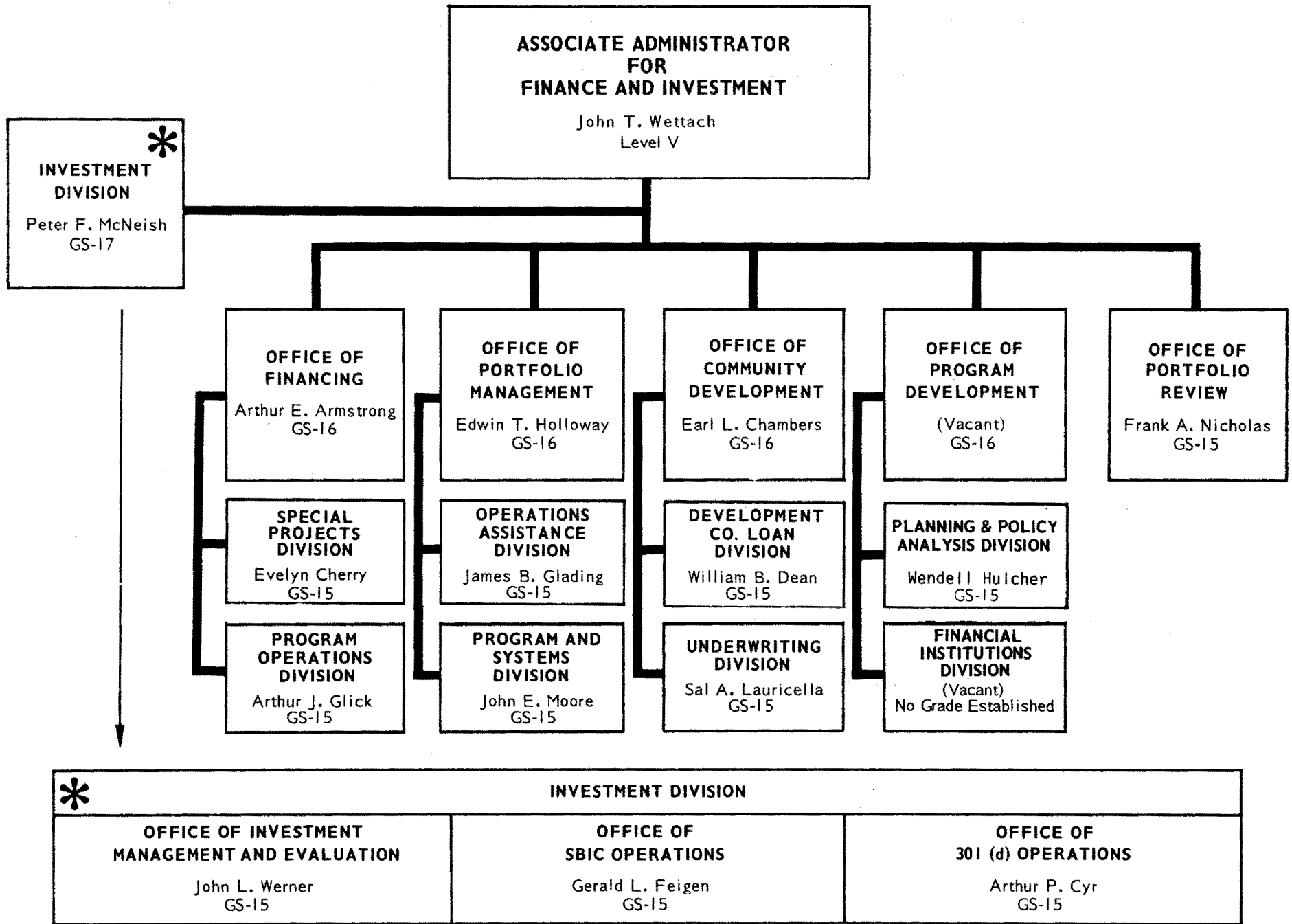
DIRECTOR OF THE OFFICE OF AUDITS AND INVESTIGATIONS

The Office of Audits and Investigations (OAI) is charged by the Administrator with the responsibility for planning, directing and executing all audit and investigation activities of the Small Business Administration (SBA). In this capacity, it represents the Administrator on matters relating to audits and investigations with other Government agencies, such as the Federal Bureau of Investigation (FBI) and the General Accounting Office (GAO). In carrying out its responsibility, the OAI:

- a. supervises the development of audit and investigation plans, procedures and standards;
- b. supervises the performance of audits and investigations;
- c. submits to appropriate SBA officials reports with findings of fact and recommendations developed by audits and investigations;
- d. monitors followup action by appropriate SBA officials to findings and recommendations;
- e. analyzes and consolidates reports of corrective actions taken;
- f. reports matters requiring further action to the Administrator and/or the Audit Committee; and
- g. issues formal orders of investigation (subpoena power) under the Small Business Act of 1953, as amended, and the Small Business Investment Act of 1958, as amended.

The audits and investigations performed by the OAI extend to all SBA programs, SBA personnel and outside borrowers, contractors and other recipients of SBA assistance.

The Director is also a member of the Administrator's Management Board.



ASSOCIATE ADMINISTRATOR FOR FINANCE AND INVESTMENT

The Associate Administrator for Finance and Investment -

Develops plans, operating procedures, and standards to effectively strengthen and improve the Agency's finance and investment programs designed to meet the existing and potential needs of the small business community.

Develops and recommends policies concerning the financial assistance programs, including related activities of liquidation and disposal.

Develops program goals and objectives within the framework of approved policies. Reviews and evaluates program effectiveness.

Promotes the financial assistance program nationwide, enlisting support and participation by private sector financial and investment institutions, States, counties, and municipalities, to broaden the range of assistance to small business concerns.

Plans, directs, and administers the small business investment company (SBIC) program, including licensing, lending, and regulations to effectively strengthen and improve the Agency's programs of venture capital assistance to small businesses.

Promotes nationwide the investment program to maximize the direct involvement of private business and financial institutions in the provision of equity and long term financing of small business concerns.

Provides technical advice, assistance, and support to the Associate Administrator for Operations relating to finance and investment program matters.

Directs and administers the Portfolio Review Program.

Represents the Administrator in negotiations with other Government agencies whose activities relate to his program area.

Serves as a member of the Administrator's Management Board.

Serves as a member of the Size Appeals Board.

THE ASSOCIATE ADMINISTRATOR FOR FINANCE AND INVESTMENT

OFFICE OF FINANCING -

This office is responsible for the business and disaster lending activities of the Agency, including developing, recommending and implementing policies, criteria, procedures, guidelines and standards for the loan processing operation via directives and other means in the field offices. It is responsible for the design and implementation of new loan plans or programs based on legislation or concepts (originating within and without the Agency). The financial aspects of the Certificate of Competency Program (Procurement Assistance) are also the responsibility of this office. Larger size disaster loans and COC's are also acted upon by this unit as well as a limited number of loans of a controversial nature (reconsiderations).

Provides technical financial assistance advice to field offices through visits and by telephone. Answers the major portion of the congressional correspondence concerning the lending programs and performs liaison with other government and private entities.

Estimates and prepares lending budgets and targets (goals) in cooperation with other Agency offices as well as the Office of Management and Budget.

INVESTMENT DIVISION -

For the statutory purpose of improving and stimulating the national economy, specifically through the small business segment, the Investment Division plans, develops, coordinates and promotes a program for the licensing, regulating and partial financing of privately owned and operated Small Business Investment Companies (SBIC's) and Section 301(d) Companies (MESBIC's). The sole function of these financial institutions is to provide venture capital, in the form of equity financing and long term loans, and management assistance to small concerns for their growth, expansion and modernization. The Section 301(d) companies specialize in assisting small concerns owned and operated by socially or economically disadvantaged persons.

Utilizing leverage and tax motivations, among other benefits, the Investment Division provides and assists the organization of these financial institutions to encourage participation and injection of private financing sources for the purpose of attacking the equity gap and making funds available for the type of financing needed by small businesses and which are not available in adequate supply.

OFFICE OF COMMUNITY DEVELOPMENT -

This office performs the policymaking function for five programs and executes a significant portion of the operational functions for two of them. Policy is developed for the State Development Company Loan Program, the Local Development Company Loan Program, the Lease Guarantee Program, Pollution Control Financing Program, and the Surety Bond Guarantee Program. The operational function is principally confined to the payment of claims in the Surety Bond Guarantee Program at the present time; however, the operational aspects of the new Pollution Control Financing Program will assume more significance in the future since it is a centralized program dealing with the guarantee of tax-free bond issues.

OFFICE OF PROGRAM DEVELOPMENT -

Is responsible for the planning, promotion and policy development of the Agency's financial programs. This includes development and coordination of the Secondary Market in the guaranteed portion of loans involving the investment banking community and participating lenders; development of the urban neighborhood revitalization program; development of the pollution control financing guarantee program; development and coordination of a lender relations and promotion program; relationships with regulatory agencies and trade and professional groups involved in small business financing; coordination of SBA's activity with the President's Interagency Adjustment Committee on the impact on communities of military base closing or reduction; development, processing and approving applications for participation in SBA's business loan programs by lenders other than banks and savings and loan associations; monitoring interest rates in the money and capital markets and recommending the maximum rate for SBA guaranteed loans; research studies, economic analyses, interest rate projections, and similar special studies; coordination of AA/F&I portion of Presidential Management Initiatives and Management by Objectives; discovering and developing new methods and techniques to provide financial assistance to the small business community.

OFFICE OF PORTFOLIO MANAGEMENT -

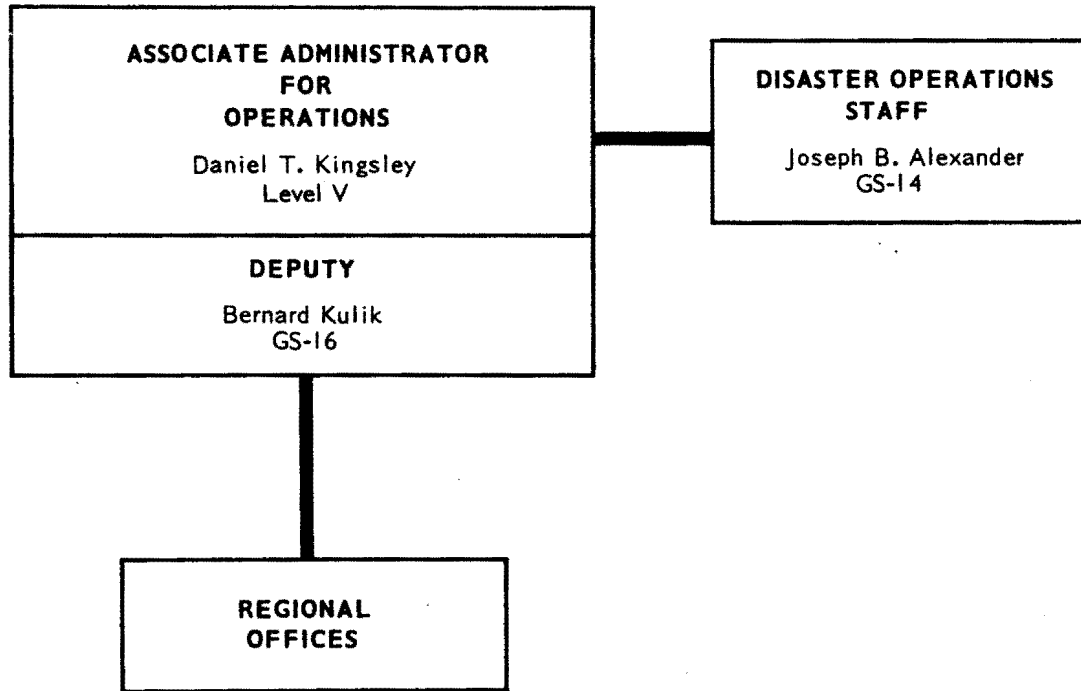
Develops and recommends Agency policy for the administration of the Agency portfolio. This includes the preparation, planning, and overview of all servicing and liquidation activities of the Agency. In furtherance of these duties, the office maintains liaison and participates with other Government agencies and other departments within SBA in all matters relating to portfolio management activities. It also reviews and evaluates program effectiveness and develops goals for field office accomplishment.

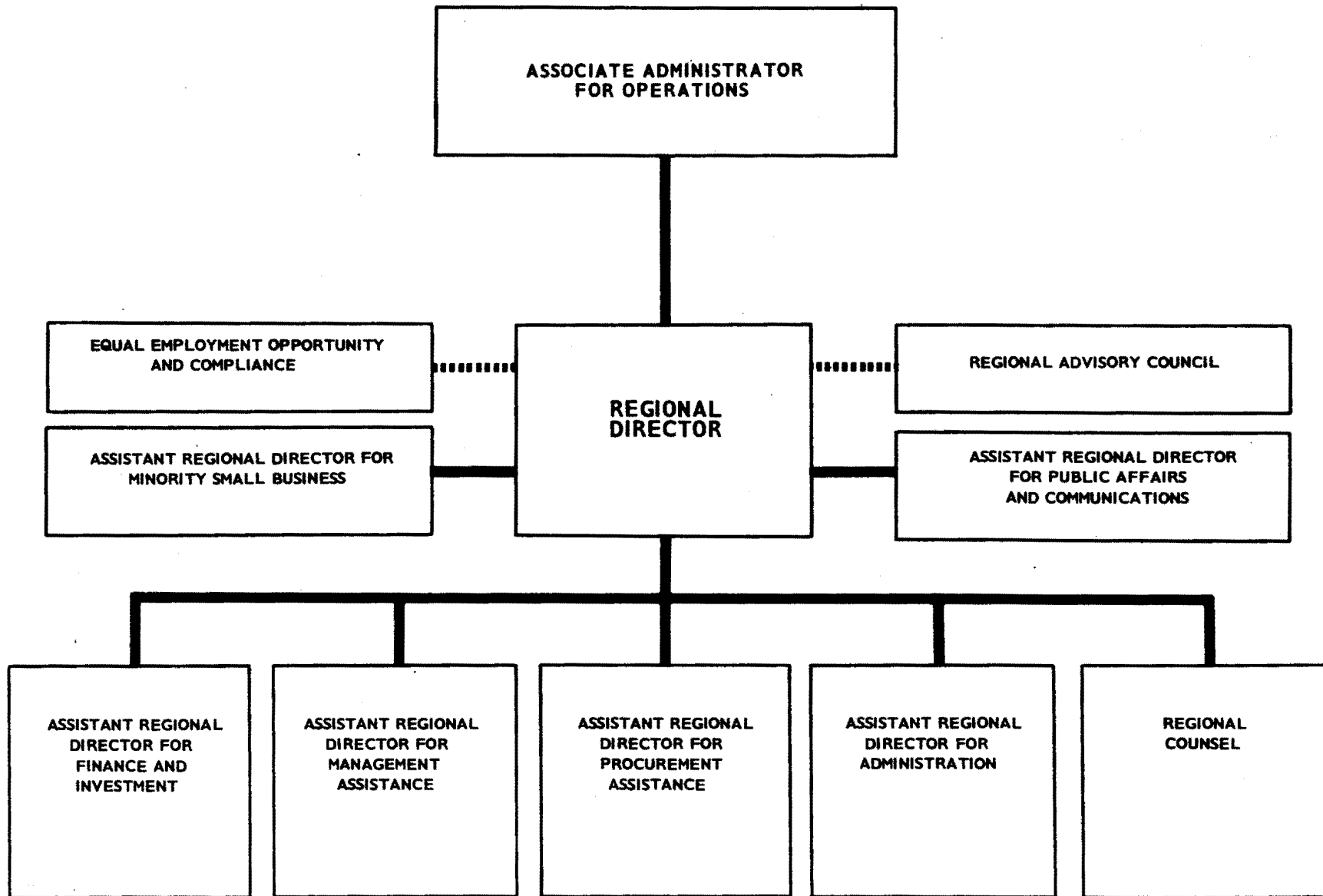
OFFICE OF PORTFOLIO REVIEW -

Responsible for the identification of field implementation problems in F&I programs and specifying appropriate corrective measures.

OPR functions via conducting on-site field reviews where corrections are made and by coordination with appropriate Central Office divisions through the AA/F&I.

The activities involved include an evaluation of: (1) a selected portion of an officer's loan portfolio; (2) managerial and first-line supervision; (3) the effectiveness of Agency systems and workflows; (4) the effect of loan/credit/collection policies on field implementation; and (5) the effect policies and procedures of other divisions (Central Office and field) have on field implementation of F&I policies.





ASSOCIATE ADMINISTRATOR FOR OPERATIONS

The Associate Administrator for Operations -

Plans, directs, controls and administers all regional and district office operations, including disaster operations.

Serves as line manager with responsibility over all field activities and personnel.

Defines lines of authority and responsibility of regional directors and coordinates their efforts for attainment of predetermined objectives. Evaluates performance of regional directors and serves as rating official.

Formulates a system of goals, policies, procedures and regulations for regional management that reflects and implements the basic objectives and goals of the Agency. Has final responsibility for setting regional goals and objectives.

Reviews and evaluates regional and district office operations in management and program areas through a periodic analysis of regional and management reports and on-site reviews of regional and district operations. Takes corrective action as required.

Develops and implements a system of periodic on-site field reviews with program and staff personnel to accomplish a total management analysis of activity. Takes or recommends corrective action as required.

Serves as coordinator between Central Office program officials and field management regarding implementation of policies and procedures.

Plans, arranges and participates in periodic high-level conferences between key Central and field office officials on matters involving program or policy issues.

Coordinates and issues all Regional Operating Plans after reviewing priorities, objectives and program targets recommended by the field and established by program staff offices. Recommends the ordering of priorities consistent with field office resources and operating potential.

Supervises the implementation of Regional Operating Plans by providing advice and guidance to field managers in specific operational areas.

Encourages and disseminates innovative management techniques and measures for the improvement of program delivery.

Allocates personnel and financial resources to the regions to assist in attainment of program goals and maximum operating efficiency.

Analyzes reports involving field visits by Central Office technicians and ensures that corrective action is taken on any problems outlined therein.

Develops and maintains information on all regional and district offices for use by Central Office staff.

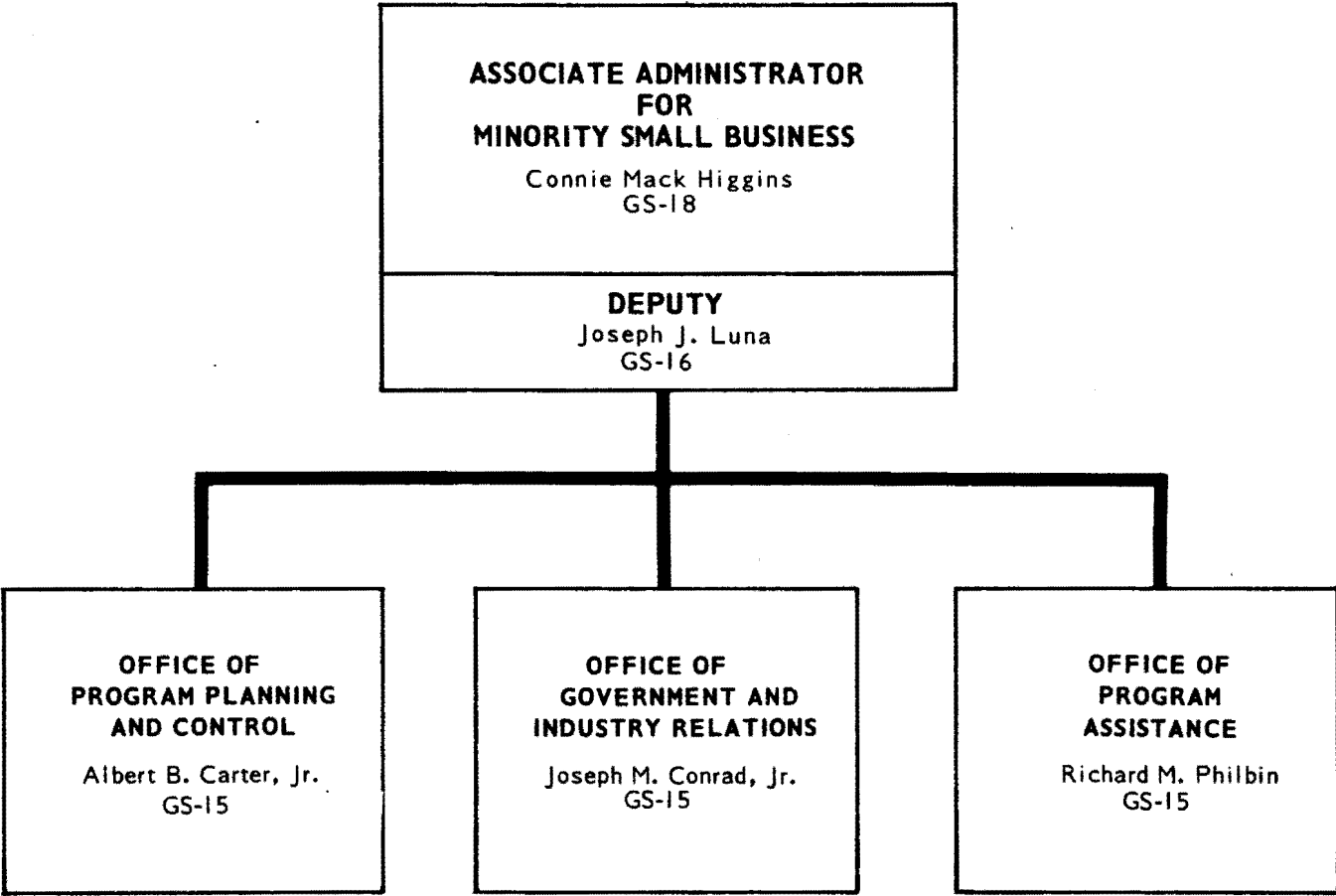
Participates in the development, review, and correction of systems to assure adequate management information and control at both Central and field office levels.

Participates in the development and implementation of a continuing program of field management development and training, including executive development and cross-training of management personnel.

Plans, directs, controls and administers the Agency's disaster operations through contingency planning, administration during the disaster, and disaster maintenance. Recommends physical and product disaster declarations to the Administrator. Maintains liaison with other government agencies and individual Congressmen and Committee staff members relating to the disaster program.

Serves as a member of the Size Appeals Board.

Serves as a member of the Administrator's Management Board.



ASSOCIATE ADMINISTRATOR FOR MINORITY SMALL BUSINESS

The primary responsibility of this office is to formulate and recommend policy to the Administrator relating to agency programs that provide assistance to minority small business concerns. Also reviews and evaluates the execution of such programs in light of this policy.

Develops plans, operating procedures and standards to effectively strengthen and improve the agency's Minority Small Business program.

Participates in developing agency program goals and objectives within the framework of approved policies. Reviews, monitors and evaluates program delivery and effectiveness.

Provides direction and emphasis to the Small Business Administration in the coordination of all agency programs to achieve the objectives of the Minority Small Business Program. The Associate Administrator for Minority Small Business chairs the Ad Hoc Minority Small Business Advisory Groups established to support the Minority Small Business Program.

Monitors and evaluates the performance of the field offices to insure compliance with the Minority Small Business Program policies and procedures, and consults through the Associate Administrator for Operations on appointments of all assistant regional directors for minority small business and assistant district directors for minority small business.

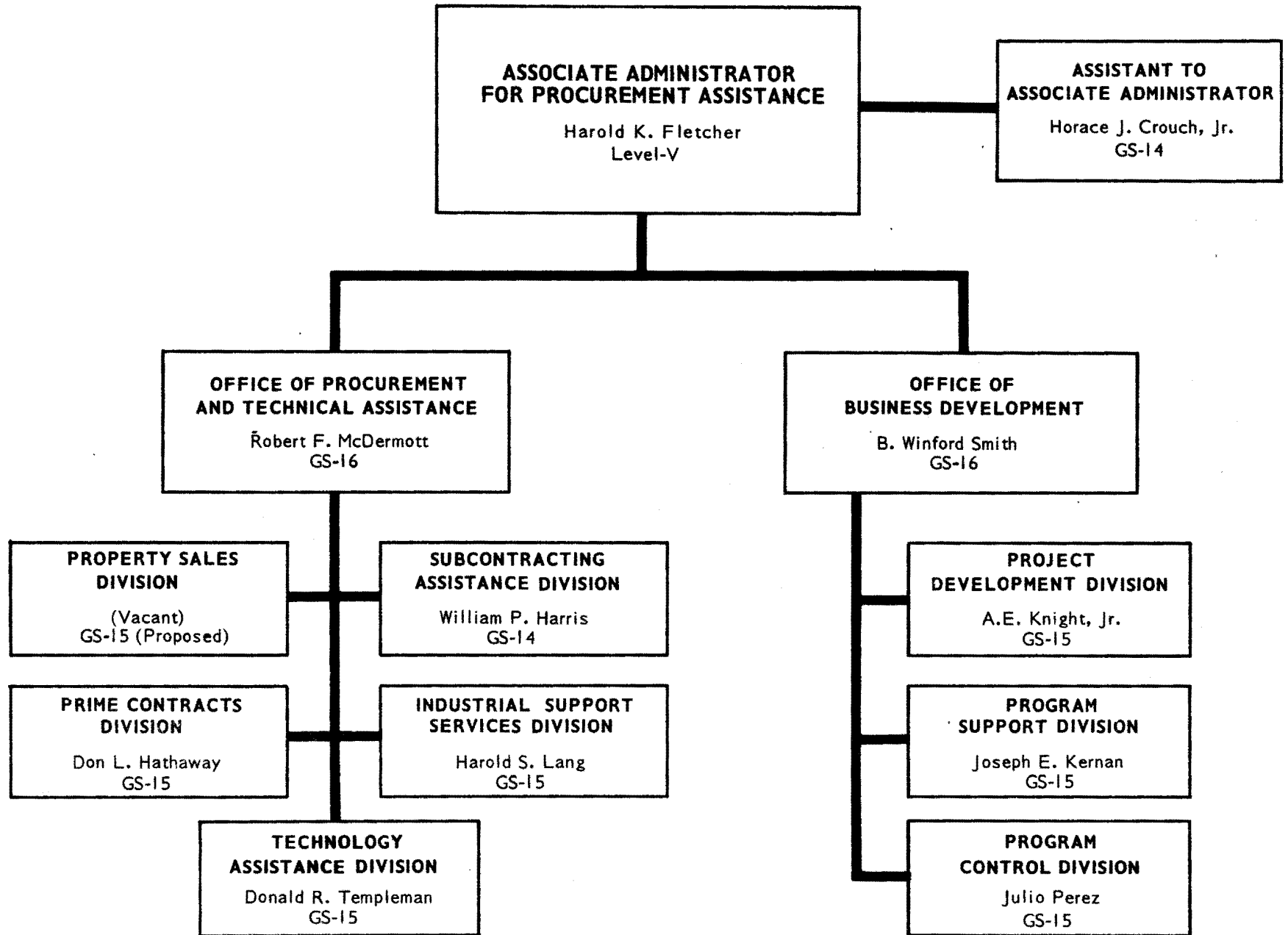
The Associate Administrator for Minority Small Business represents the Administrator at interagency meetings convened by the Secretary of Commerce or other cabinet officers for the purpose of coordinating programs and activities that affect or contribute to the growth of minority business enterprise.

The Associate Administrator for Minority Small Business also serves in this capacity in cooperation with other Associate and Assistant Administrators at other interagency meetings and in negotiations with Federal agencies whose activities relate to the Minority Small Business and Business Development Programs.

Through the Associate Administrator for Minority Small Business, the Office of Minority Small Business provides information and assistance, and otherwise participates with the Domestic Council, the Office of Management and Budget and the Cabinet Officers when requested, in the development of national program objectives for minority business enterprise.

Confers with top representatives of industry trade associations, local government and community action groups to enlist their substantial participation, and involvement in the Small Business Administration's Minority Small Business Program. Promotes their cooperation in the development of minority businesses in urban as well as rural areas. Negotiates national agreements with industries for establishing assistance programs for minority-owned businesses.

The Associate Administrator for Minority Small Business also serves as a member of the Administrator's Management Board.



ASSOCIATE ADMINISTRATOR FOR PROCUREMENT ASSISTANCE

The Associate Administrator for Procurement Assistance -

Develops plans, operating procedures, and standards to effectively strengthen and improve the Agency's procurement assistance programs, which includes Government property sales assistance, to meet the existing and potential needs of the small business community.

Develops and recommends policies pertaining to the procurement assistance mission of the Agency.

Develops program goals and objectives within the framework of approved policies. Reviews and evaluates program effectiveness.

Promotes nationwide the Agency's procurement assistance programs to increase the participation of small business concerns in Government procurement awards and sales of Government property.

Promotes nationwide the Agency's 8(a) procurement program to increase the participation and support of industrial concerns, professional and trade associations, local governments, and community groups in developing entrepreneurship opportunities for disadvantaged groups, including minorities, in manufacturing, construction, and service related industries.

Provides technical advice, assistance, and support to the Associate Administrator for Operations relating to procurement assistance matters.

Represents the Administrator in negotiations with other Federal agencies whose activities relate to Procurement Assistance program areas.

Serves as a member and Vice Chairman of the Size Appeals Board.

Operates as Small Business conduit for technology advancement.

Serves as a member of the Administrator's Management Board.

THE ASSOCIATE ADMINISTRATOR FOR PROCUREMENT ASSISTANCE

OFFICE OF PROCUREMENT AND TECHNICAL ASSISTANCE -

This Office develops and recommends policies concerning the procurement assistance, technical assistance, and property sales assistance programs. It develops plans, operating procedures, and standards to effectively strengthen and improve the Agency's prime contract services, industrial support services, subcontracting assistance, technology assistance, research and development assistance, and property sales assistance programs to meet the needs of the small business community. It also develops program goals and objectives within the framework of approved policies. Reviews and evaluates program effectiveness.

It represents SBA at the staff level of the Secretary of the Department of Defense and similar Executive levels of other Federal agencies regarding matters involving procurement assistance activities pertaining to specific technical matters. Recommends and participates in the development and preparation of interagency agreements and related policies and regulations. Develops and coordinates, in conjunction with the Assistant Administrator for Planning, Research and Data Management, procedures for making economic studies to be utilized in strengthening the SBA procurement assistance programs.

It develops and coordinates with the Department of Defense, General Services Administration, and other government agencies programs, policies, goals, regulations, and procedures to ensure that a fair portion of the total Government contracts, including research and development, and property sales, is placed with small business concerns (such as the prime contracts and set-aside programs). It provides for and coordinates SBA participation at procurement and property sales conferences sponsored by other Federal agencies or on behalf of Congressional or local sponsors.

On receipt at headquarters level of specific complaints by individual small businessmen, it arranges and participates in hearings with policy officials of cognizant Federal agencies to present the position of the complainants and seek amendatory action.

Provides technical advice, assistance, and support to the Associate Administrator for Operations relating to procurement assistance programs and dealing with Government procurement agencies.

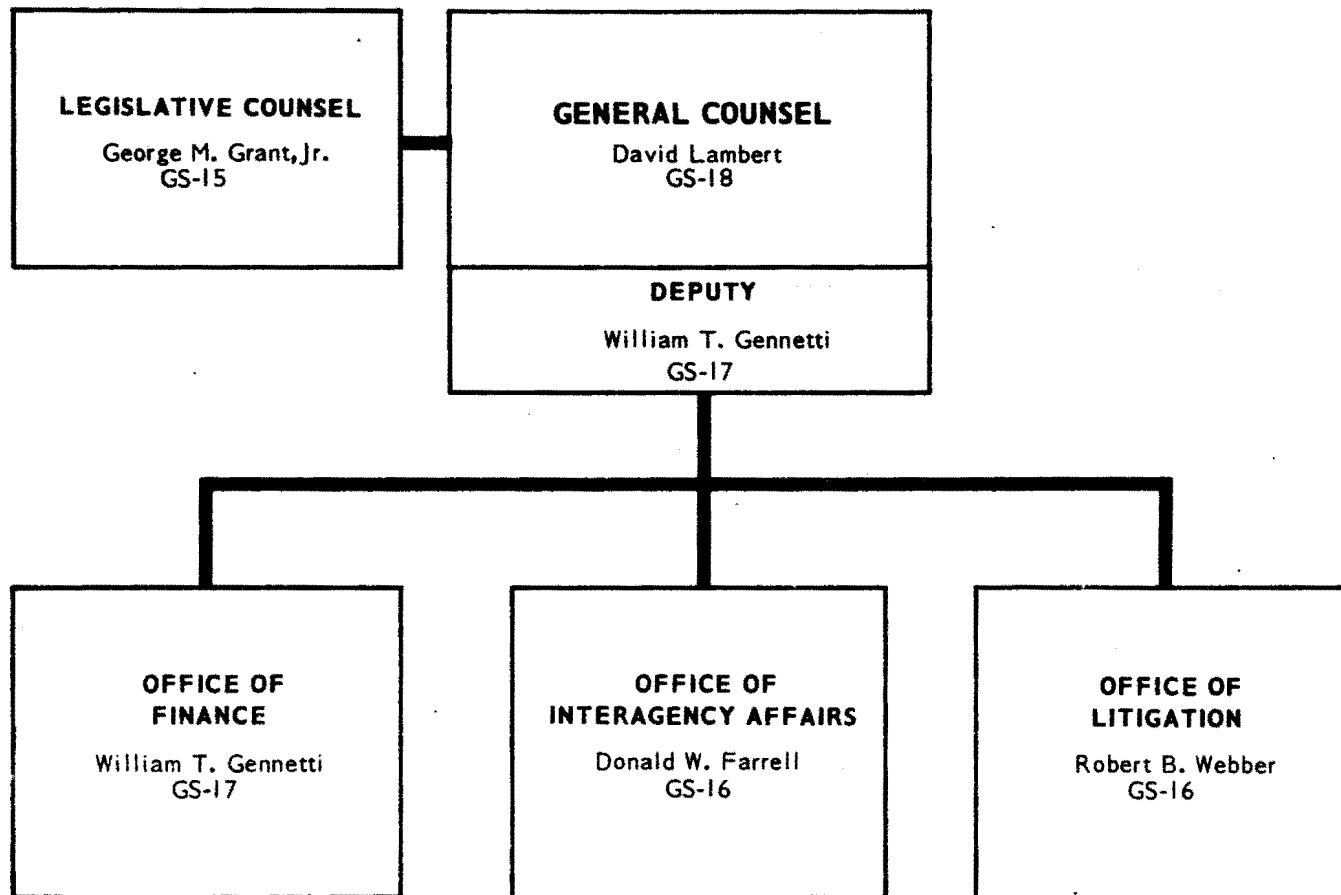
OFFICE OF BUSINESS DEVELOPMENT -

This Office develops and recommends policies and procedures for utilization of the Agency's authority under Section 8(a) of the Small Business Act. It develops plans, operating procedures, goals and standards for execution of an effective and efficient program to implement Section 8(a) of the Small Business Act, and it evaluates the Agency's efforts in meeting 8(a) program objectives.

The Office promotes the Agency's program to encourage the involvement of industrial concerns, professional and trade associations, State and local governments, and community groups in supporting and providing assistance to small business firms being developed pursuant to Section 8(a) of the Small Business Act, and to enlist their direct participation in providing technical, management, financial, and procurement support to the individual entrepreneur.

It maintains effective liaison and coordination with other SBA organizational components and other Federal agencies in the development of plans, policies, and procedures for providing assistance to Section 8(a) supported firms under SBA and other agencies' programs. It provides advice, counsel, assistance and support to other Agency organizations with respect to the activities of the Office of Business Development.

It provides technical advice, assistance, guidance, and support to the Associate Administrator for Operations relating to the business development program.



GENERAL COUNSEL

The General Counsel -

Develops plans, procedures, and standards for providing legal services in support of SBA program operations, including execution of loan closing and litigation activities by Agency counsel.

Develops and recommends policies governing the Agency legal functions and activities.

Develops program goals and objectives within the framework of approved policies. Reviews and evaluates legal program effectiveness, including onsite visits to evaluate field office performance.

Analyzes and interprets legislation, regulations, and orders relating to the operation of the Small Business Administration. Advises the Administrator, Deputy Administrator, Associate and Assistant Administrators, and other key officials on the legal aspects of the development and execution of policies and programs.

Negotiates with Federal agencies as to the legal aspects of matters pertaining to the responsibilities of SBA and drafts resultant agreements. Develops legal theories incorporated in requests to the Comptroller General or to other Federal agencies for decisions in matters of interest to small business.

Provides legal counsel, advice, and assistance to the Associate Administrator for Operations and other Central Office officials in connection with the financial, investment, administrative, technical, procurement and management assistance, and minority enterprise programs, and in the formation of defense production and research and development pools. Within approved policies, gives direct legal advice and assistance to the field offices and exercises technical supervisory responsibility with respect to legal functions in the field offices. Also, advises on eligibility of applicants for assistance from SBA.

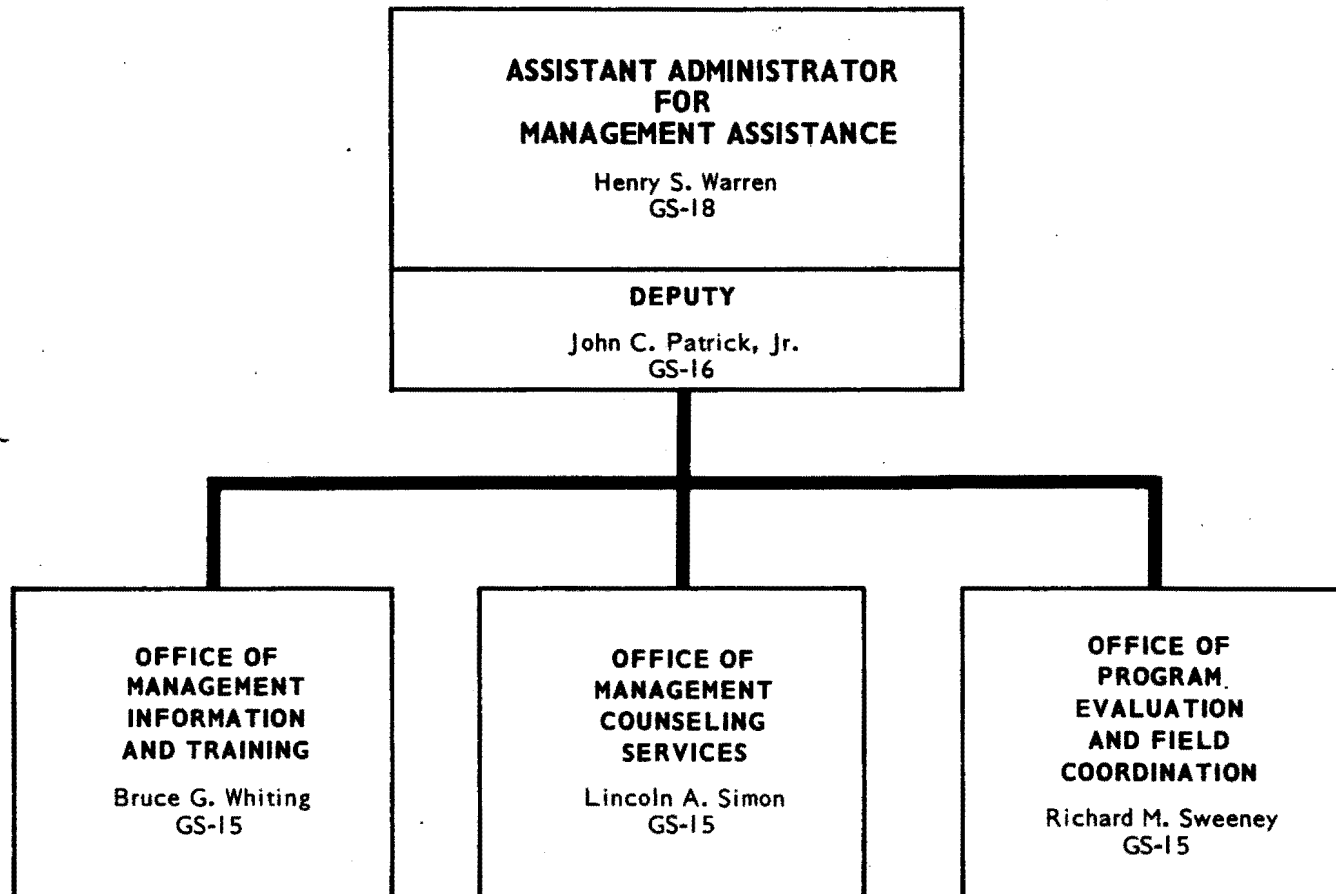
Advises with respect to servicing and liquidation of loans. Assists and participates with the Department of Justice in litigation arising from delinquent loans, criminal matters, and other SBA program activities. Prosecutes administrative proceedings pursuant to the Small Business Investment Act.

Reviews legislative proposals affecting small business and develops recommendations for the Office of Management and Budget and Congressional Committees; prepares legislative proposals relating to SBA; and develops reports for Congressional hearings or the Office of the President.

Serves as legal adviser to the Size Appeals Board.

Maintains liaison with governmental and other agencies having activities related to the legal and advocacy functions of the Agency.

Serves as a member of the Administrator's Management Board.



ASSISTANT ADMINISTRATOR FOR MANAGEMENT ASSISTANCE

The Assistant Administrator for Management Assistance -

Develops and recommends policies concerning the management assistance and international trade programs.

Develops program goals and objectives within the framework of approved policies. Reviews and evaluates program effectiveness.

Develops plans, operating procedures, and standards to effectively strengthen and improve the Agency's management information and training, management counseling, and management contracts programs to meet existing and potential needs of the small business community.

Develops plans, operating procedures, standards, goals, and objectives for providing management assistance through volunteer or contract activity, including marketing analyses, feasibility and/or engineering studies to applicant-borrowers, COC, and 8(a) recipients.

Develops and recommends policies concerning Agency use of volunteer management assistance groups, such as SCORE (Service Corps of Retired Executives) and ACE (Active Corps of Executives) and maintains active liaison on behalf of SBA with such groups.

Develops and recommends policies and procedures for the administration and use of management consultant contracts. Administers the SCORE, ACE, and other volunteer program activities on an Agency-wide basis, with accent on recruitment and expansion of these programs in connection with borrower-related management assistance.

Develops and recommends policies and procedures which emphasize the effectiveness of management assistance to borrowers.

Develops and recommends policies and procedures for the administration of the Small Business Institute Program.

Develops and implements policies to carry out the Agency's international trade programs.

Develops and implements policies and procedures to administer the University Business Development Center program.

Serves as a member of the Administrator's Management Board.

Provides technical advice, assistance, guidance, and support to the AA/O and other Central Office officials with respect to the management assistance programs.

Maintains liaison with other SBA organizational components and other Federal agencies on matters relating to the management assistance program.

OFFICE OF MANAGEMENT COUNSELING SERVICES -

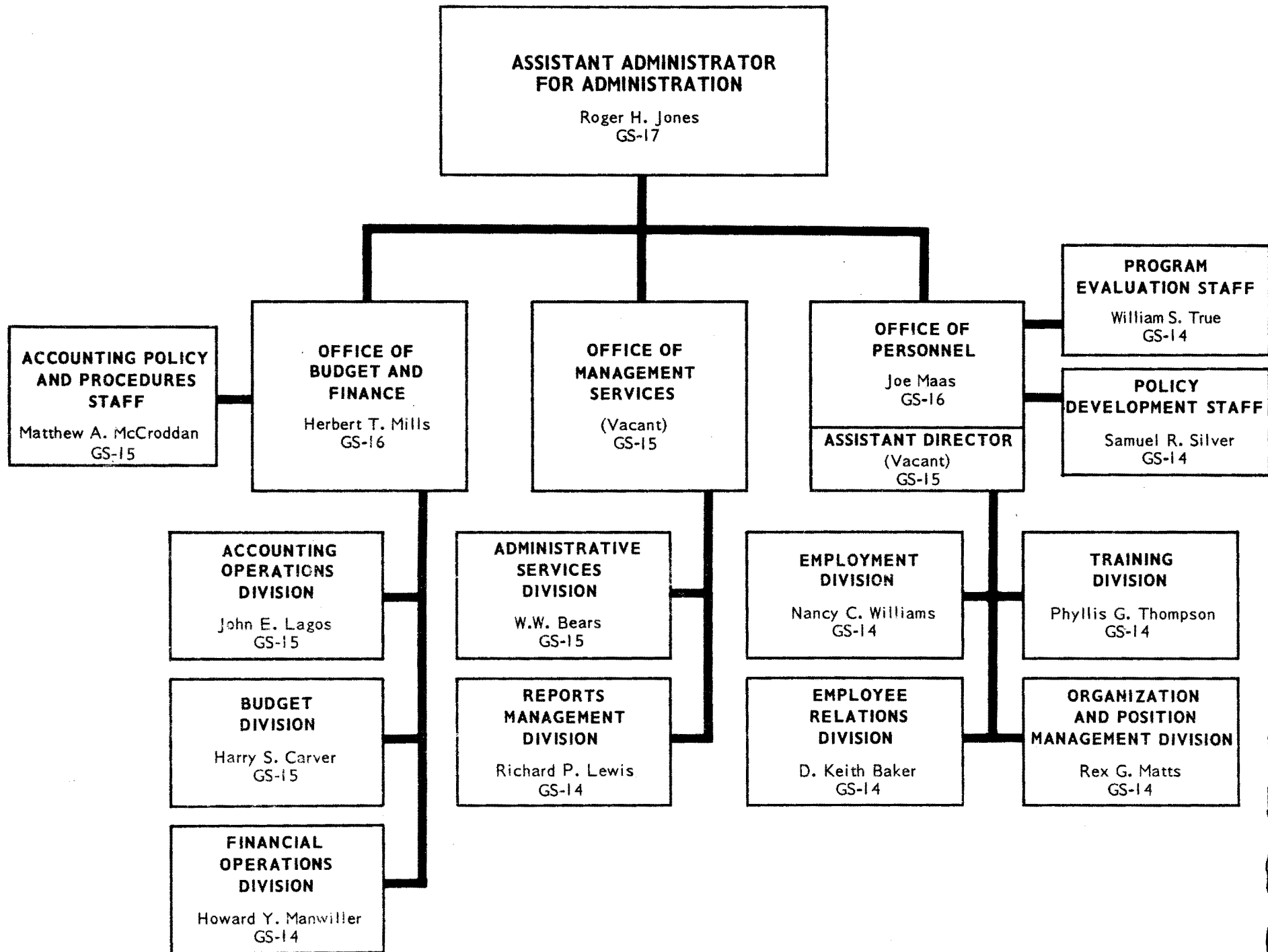
This Office is responsible for the development, planning, and implementation of management counseling services. Program implementation is achieved through four basic resources - volunteers (Service Corps of Retired Executives, Active Corps of Executives, professional and trade associations, etc.), contract consultants, colleges and universities (Small Business Institute Program), and inhouse professionals. The development and expansion of these resources, including the necessary contracts, is the responsibility of this Office. Develops and monitors management counseling goals.

OFFICE OF MANAGEMENT INFORMATION AND TRAINING -

Develops and recommends Agency policy concerning the management information and training program. Develops plans, operating procedures, and standards to effectively strengthen the training available to the small business owner/manager and to insure the availability of current and concise small business management publications. Develops training materials for courses, conferences, clinics and workshops.

OFFICE OF PROGRAM EVALUATION AND FIELD COORDINATION -

Develops guidelines for the evaluation of the management assistance program and performs onsite review visits. Works with field managers and management assistance personnel to resolve problems onsite wherever possible. Assesses the effectiveness of current management assistance policies and procedures. Develops Management Assistance Standard Operating Procedures. Develops program data necessary for field managers to maintain program control. Develops new programs and manages pilot tests. Manages the International Trade Program and the University Business Development Center Program.



ASSISTANT ADMINISTRATOR FOR ADMINISTRATION

The Assistant Administrator for Administration -

Develops plans, systems, procedures and standards for effective implementation of budget and finance, personnel and management services programs, including emergency preparedness activities.

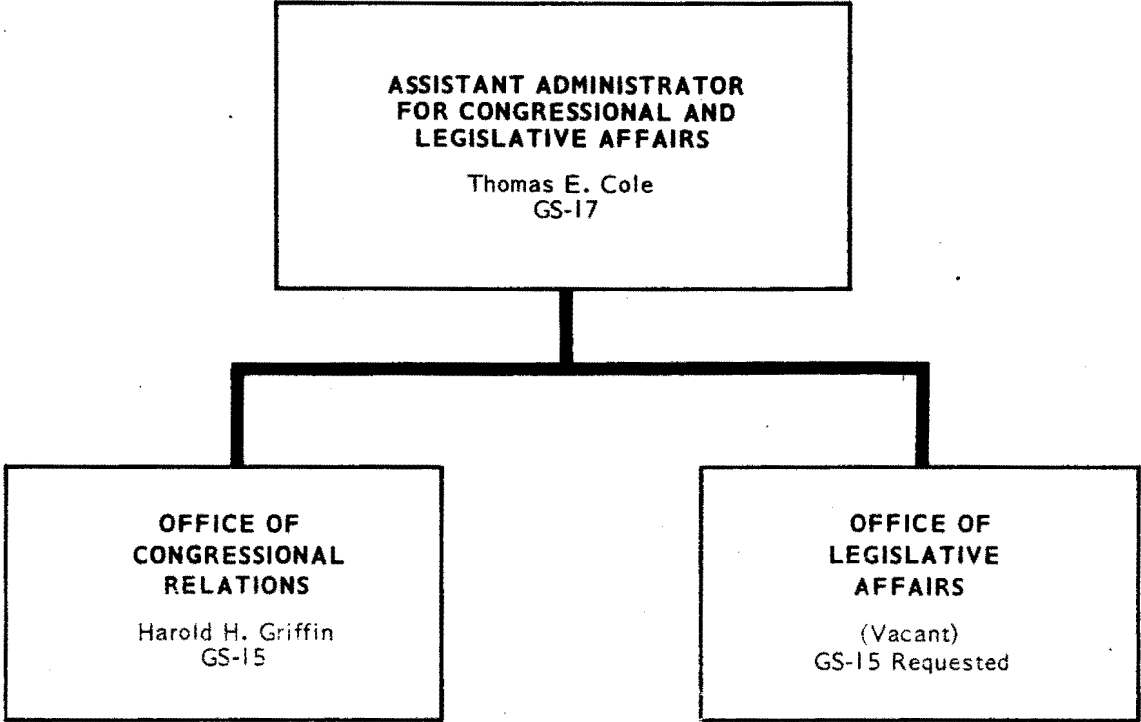
Coordinates and maintains control over all formal and informal interagency committees, councils, task forces, or other coordinating groups in which SBA participates.

Represents the Administrator in negotiations with other government agencies on matters relating to office programs and activities, and develops goals and objectives for Agency administrative and management activities. Reviews and evaluates their effectiveness.

Responsible for development of narrative and statistical testimony attendant to SBA's annual Budget submission to Congress.

Administers the Agency's management studies, and personnel management program review activities Agencywide.

Serves as a member of the Administrator's Management Board which formulates recommendations regarding Agencywide policy and procedures.

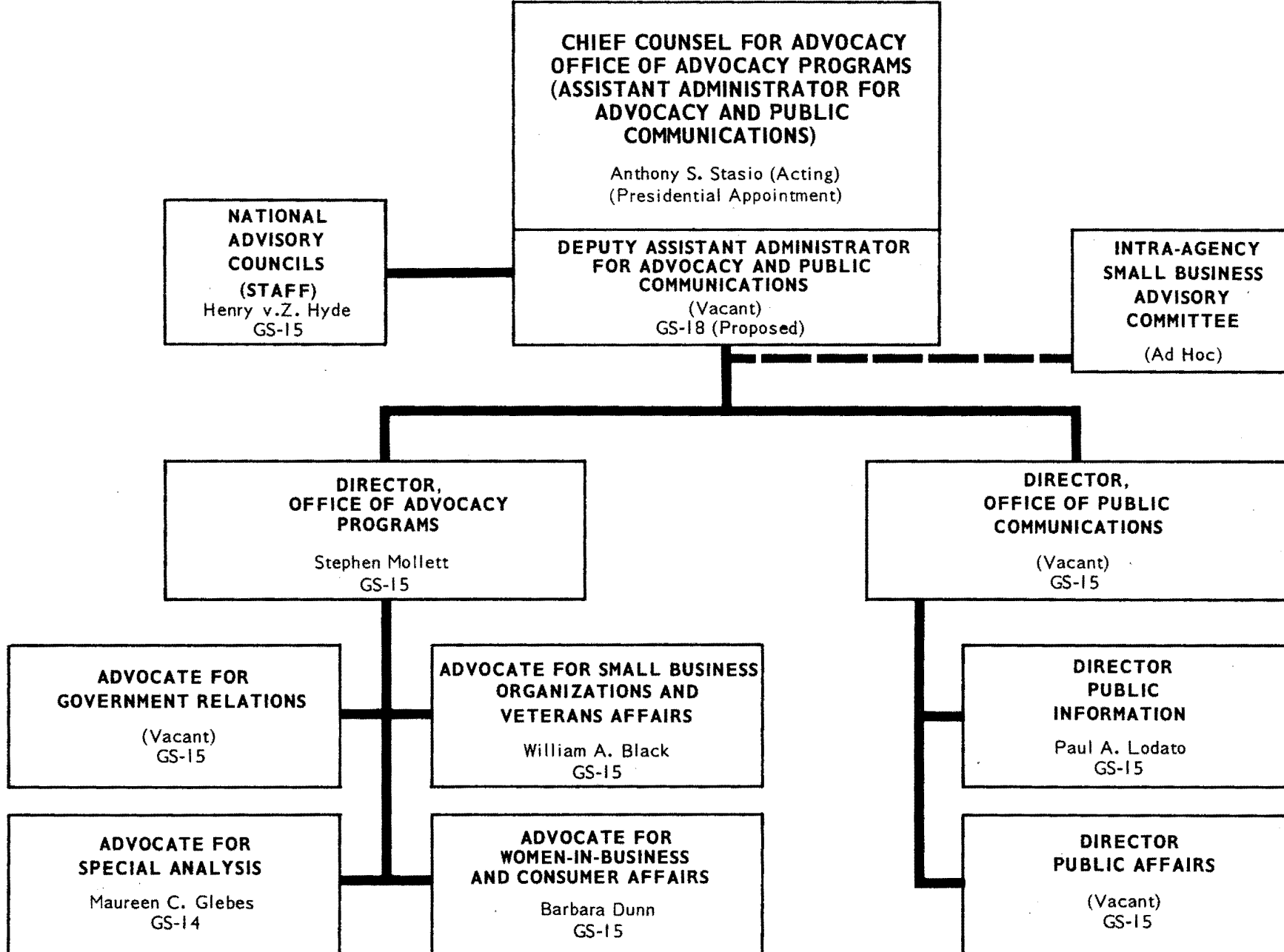


ASSISTANT ADMINISTRATOR FOR CONGRESSIONAL AND LEGISLATIVE AFFAIRS

This Office has the function of liaison with the Congress. It maintains a close liaison with the Congressional committees concerned with the Agency and with members of Congress generally, and also handles Congressional queries.

It also coordinates preparation of testimony, monitors Congressional Hearings, and advises the Administrator on legislative matters.

The Assistant Administrator for Congressional and Legislative Affairs serves as a member of the Administrator's Management Board.



CHIEF COUNSEL FOR ADVOCACY
(ASSISTANT ADMINISTRATOR FOR ADVOCACY AND PUBLIC COMMUNICATIONS)

The Chief Counsel for Advocacy (currently an Acting Assistant Administrator for Advocacy and Public Communications) -

Develops plans, operating procedures, standards, program goals, and objectives to effectively strengthen, improve and present the Agency's advocacy and public affairs and information functions.

Develops and recommends policies and procedures, and directs planning, organization and participation for the Small Business Administration with regard to the National Advisory Council's program. Provides advice, assistance and support to the Associate Administrator for Operations in relation to the field advisory council's program.

Directs the initiation of studies and the development of procedures to provide a narrative historical description of the small business sector to provide, in a timely manner, data for policy and program formulation.

Ensures the initiation, coordination and development of the Agency's position as the principal Government's advocate of small business. Promotes, counsels, and champions the position of and for small business and the Agency with all Federal agencies and State governments. Develops an ongoing relationship with same, as well as keeping abreast of pending Congressional action in order to recommend, facilitate, and develop new programs and policies, or modification to existing programs and policies. This responsibility is performed in coordination with key SBA management officials.

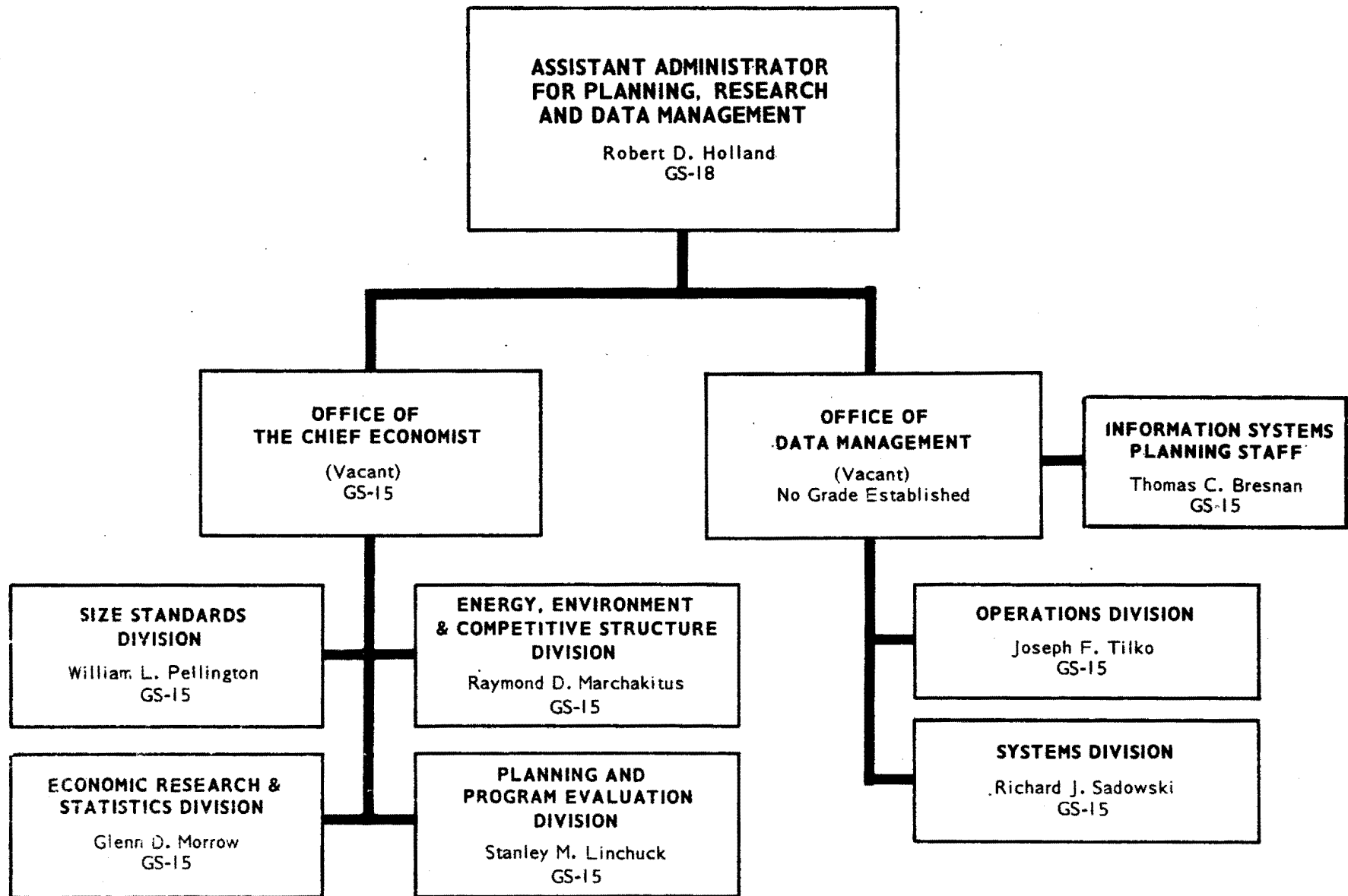
Ensures accomplishment of major studies and/or analyses of a special nature specifically assigned to the advocacy function by higher authority, i.e., Administrator, legislative direction, or from within the Executive Branch.

Directs the development of statements, briefings, and speeches for the Administrator and other key SBA officials, and provides advice, assistance, and support to the Administrator, the Associate Administrator for Operations, and other Central Office officials relating to the public affairs and information programs.

Directs the development and coordination of an orientation program for visitors to the Central Office, through which both international and domestic visitors are supplied with an overview of the operation and management of SBA programs.

Directs the development of Agency guidelines for making information and/or records available for public use in conformance with the FOIA; acts as coordinator for the Agency regarding the cost and availability of information and/or records requested by the public.

Serves as a member of the Administrator's Management Board.



ASSISTANT ADMINISTRATOR FOR PLANNING, RESEARCH AND DATA MANAGEMENT

The Assistant Administrator for Planning, Research and Data Management -

Reviews and comments to the Administrator upon all proposed legislation affecting the Agency or other Federal agency programs having an impact on small business; conducts economic planning studies and evaluations of the economic environment as it relates to the needs and problems of the small business community; and initiates and participates in interagency studies dealing with the critical aspects of the economy and public policy affecting small business.

Develops policies, plans, systems, and procedures to effectively strengthen and improve the planning and program evaluation functions of the Agency; and conducts economic, cost/benefit, program analysis and special studies of Agency activities to provide the Administrator and program managers with alternative courses of action and policy.

Initiates studies and develops procedures to provide a historical and current statistical description of the small business sector to provide, in a timely manner, data for policy and program formulation; and develops and initiates studies of socio-economic and legislative changes which affect the competitive position of small business.

Provides inhouse research capability and identifies and formulates economic and industry research projects to be pursued under contract, and monitors such contracts approved by the Administrator. Conducts studies, in cooperation with program offices, involving across-the-board investigations of SBA programs to measure their effectiveness in terms of costs, benefits, and other considerations. Serves as the central analytical staff to review and evaluate, in conjunction with appropriate program offices, major program evaluation studies submitted to the Administrator.

Directs the development of and recommends new and changed size standards for all SBA programs. Is responsible for the determination and interpretation of the SBA size standards, and serves as a member of the Size Appeals Board, and as a member of the Administrator's Management Board.

Conducts all data processing and computer services for the Agency. Responsible for development of plans, operating procedures and standards to effectively strengthen and improve the provision and management of data processing, data communications, computer systems analysis, and related services within the SBA.

KEY PERSONNEL - CAREER AND NONCAREER

(Biographical Summaries pertaining to the Administrator, Deputy Administrator, Associate and Assistant Administrators, and the General Counsel are available in a separate briefing folder.)

OFFICE OF THE ADMINISTRATOR

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Administrator	PAS	EX. III	Mitchell P. Kobelinski
Deputy Administrator	Schedule C	EX. IV	Louis F. Laun
Director, Office of Equal Employment Opportunity and Compliance	CEA	GS-16	George H. Robinson
Director, Office of Audits and Investigations	CEA	GS-16	Raymond F. Randolph
Executive Assistant to the Administrator	Schedule C	GS-14	Anthony W. Parker

OFFICE OF THE ASSOCIATE ADMINISTRATOR FOR FINANCE AND INVESTMENT

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Associate Administrator for Finance and Investment	Schedule C	EX. V	John T. Wettach
Deputy Associate for Investment	CEA	GS-17	Peter F. McNeish
Director, Office of Financing	CEA	GS-16	Arthur E. Armstrong
Director, Office of Portfolio Management	CEA	GS-16	Edwin T. Holloway
Director, Office of Program Development	CEA	GS-16	VACANT
Director, Office of Community Development	CEA	GS-16	Earl L. Chambers
Director, Office of Portfolio Review	Career	GS-15	Frank A. Nicholas

OFFICE OF THE ASSOCIATE ADMINISTRATOR FOR OPERATIONS

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Associate Administrator for Operations	Schedule C	EX. V	Daniel T. Kingsley
Deputy Associate Administrator for Operations	CEA	GS-16	Bernard Kulik

OFFICE OF THE ASSOCIATE ADMINISTRATOR FOR PROCUREMENT ASSISTANCE

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Associate Administrator for Procurement Assistance	Schedule C	EX. V	Harold K. Fletcher
Director, Office of Procurement and Technical Assistance	CEA	GS-16	Robert F. McDermott
Director, Office of Business Development	CEA	GS-16	Winford Smith

OFFICE OF THE ASSOCIATE ADMINISTRATOR FOR MINORITY SMALL BUSINESS

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Associate Administrator for Minority Small Business	NEA	GS-18	Connie Mack Higgins
Deputy Associate Administrator for Minority Small Business	CEA	GS-16	Joseph J. Luna

OFFICE OF GENERAL COUNSEL

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
General Counsel	NEA	GS-18	David Lambert
Deputy General Counsel and Associate General Counsel Office of Finance	Schedule A	GS-17	William T. Gennetti
Associate General Counsel Interagency Affairs	Schedule A	GS-16	Donald W. Farrell
Associate General Counsel Litigation	Schedule A	GS-16	Robert B. Webber
Attorney-Advisor	Schedule A	GS-16	Richard B. McMurray

OFFICE OF THE ASSISTANT ADMINISTRATOR FOR ADMINISTRATION

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Assistant Administrator for Administration	CEA	GS-17	Roger H. Jones
Director, Office of Budget and Finance	CEA	GS-16	Herbert T. Mills
Director, Office of Personnel	CEA	GS-16	Joe Maas
Director, Office of Management Services	Career	GS-15	Vacant

OFFICE OF THE ASSISTANT ADMINISTRATOR FOR CONGRESSIONAL AND LEGISLATIVE AFFAIRS

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Assistant Administrator for Congressional & Legislative Affairs	NEA	GS-17	Thomas E. Cole
Director, Office of Congressional Relations	Schedule C	GS-15	Harold H. Griffin
Congressional Relations Officer	Schedule C	GS-15	Alexander Troffey
Congressional Relations Officer	Schedule C	GS-14	Edward J. Neumann
Director, Office of Legislative Affairs	Schedule C	GS-15	VACANT

OFFICE OF THE ASSISTANT ADMINISTRATOR FOR ADVOCACY & PUBLIC COMMUNICATIONS
(CHIEF COUNSEL FOR ADVOCACY)

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Chief Counsel for Advocacy	PAS	EX. ?	VACANT*
Director, Office of Advocacy and International Affairs	CEA	GS-18	Anthony S. Stasio**
Advisory Councils Officer	Schedule C	GS-15	Henry v.Z. Hyde
Director, Office of Advocacy Programs	Career	GS-15	Stephen Mollett
Director, Office of Public Communications	Schedule C	GS-15	VACANT

*This position is a Presidential Appointment which has not been filled (P.L. 94-305).

**Mr. Stasio is currently acting as Assistant Administrator for Advocacy & Public Communications.

OFFICE OF THE ASSISTANT ADMINISTRATOR FOR PLANNING, RESEARCH AND DATA MANAGEMENT

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Assistant Administrator for Planning, Research & Data Management	NEA	GS-18	Robert D. Holland
Chief Economist	Career	GS-15	VACANT
Director, Office of Data Management	Career	GS-15?	VACANT

OFFICE OF THE ASSISTANT ADMINISTRATOR FOR MANAGEMENT ASSISTANCE

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Assistant Administrator for Management Assistance	NEA	GS-18	Henry S. Warren
Deputy Assistant Administrator for Management Assistance	CEA	GS-16	John C. Patrick, Jr.
Director, Office of Management Information & Training	Career	GS-15	Bruce G. Whiting
Director, Office of Management Counseling Services	Career	GS-15	Lincoln A. Simon
Director, Office of Program Evaluation and Field Coordination	Career	GS-15	Richard M. Sweeney

REGION I - BOSTON

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Regional Director	NEA	GS-16	Talbot DeG. Bulkley*
<u>DISTRICT DIRECTOR POSITIONS</u>			
District Director - Boston	Career	GS-15	Albert J. Prendergast
District Director - Montpelier	Career	GS-15	David C. Emery
District Director - Hartford	Career	GS-15	Thomas E. Higgins
District Director - Providence	Career	GS-15	Charles J. Fogarty
District Director - Augusta	Career	GS-15	Thomas A. McGillicuddy
District Director - Concord	Career	GS-15	Bert F. Teague

*Employee has right to reinstatement in the career service in another position.

REGION II - NEW YORK

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Regional Director	NEA	GS-17	Vacant
<u>DISTRICT DIRECTOR POSITIONS</u>			
District Director - New York	CEA	GS-16	Woodie G. Williams
District Director - Syracuse	Career	GS-15	J. Wilson Harrison
District Director - Hato Rey	Career	GS-15	Antonio Yordan
District Director - Newark	Career	GS-15	Andrew P. Lynch

REGION III - PHILADELPHIA

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Regional Director	NEA	GS-17	Vacant
<u>DISTRICT DIRECTOR POSITIONS</u>			
District Director - Philadelphia	Career	GS-15	William B. Patterson
District Director - Richmond	Career	GS-15	Raymond P. Kuttenkuler
District Director - Washington, D. C.	Career	GS-15	Leon J. Bechet
District Director - Pittsburgh	Career	GS-15	Jack C. Forbes
District Director - Baltimore	Career	GS-15	Gerard J. Lang
District Director - Clarksburg	Career	GS-15	Isaac R. Mayfield

REGION IV - ATLANTA

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Regional Director	CEA	GS-16	Wiley S. Messick
<u>DISTRICT DIRECTOR POSITIONS</u>			
District Director - Atlanta	Career	GS-15	John D. Sewell
District Director - Miami	Career	GS-15	Thomas A. Butler
District Director - Louisville	Career	GS-15	Richard B. Blankenship
District Director - Birmingham	Career	GS-15	James C. Barksdale
District Director - Charlotte	Career	GS-15	George W. Marschall
District Director - Columbia	Career	GS-15	Vern F. Amick
District Director - Jackson	Career	GS-15	Ardis Jones
District Director - Nashville	Career	GS-15	William J. Shaver
District Director - Jacksonville	Career	GS-15	Douglas E. McAllister

REGION V - CHICAGO

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Regional Director	NEA	GS-17	Harold L. Aronson, Jr.
<u>DISTRICT DIRECTOR POSITIONS</u>			
District Director - Chicago	CEA	GS-16	John L. Smith
District Director - Minneapolis	Career	GS-15	Paul W. Jansen
District Director - Detroit	Career	GS-15	Raymond L. Harshman
District Director - Cleveland	Career	GS-15	S. Charles Hemming, Jr.
District Director - Indianapolis	Career	GS-15	William F. Miller
District Director - Madison	Career	GS-15	Lucian G. Schlimgen, Jr.
District Director - Columbus	Career	GS-15	Frank D. Ray

REGION VI - DALLAS

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Regional Director	CEA	GS-17	Fred S. Neumann
<u>DISTRICT DIRECTOR POSITIONS</u>			
District Director - Dallas	Career	GS-15	Emly S. Atkinson
District Director - Lower Rio Grande Valley	Career	GS-15	James R. Woodall
District Director - Little Rock	Career	GS-15	Maurice L. Britt
District Director - Houston	Career	GS-15	John L. Carey
District Director - Lubbock	Career	GS-15	Philip J. O'Jibway
District Director - New Orleans	Career	GS-15	William F. Murfin
District Director - Oklahoma City	Career	GS-15	Truman T. Branscum
District Director - San Antonio	Career	GS-15	James S. Reed
District Director - Albuquerque	Career	GS-15	Anthony Panagakos

REGION VII - KANSAS CITY

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Regional Director	NEA	GS-16	Deryl K. Schuster*
<u>DISTRICT DIRECTOR POSITIONS</u>			
District Director - Kansas City	Career	GS-15	Gerald D. Jepson
District Director - Des Moines	Career	GS-15	Jay H. Sears
District Director - Omaha	Career	GS-15	Rick S. Budd
District Director - Wichita	Career	GS-15	Clayton Hunter
District Director - St. Louis	Career	GS-15	Thomas L. Holling

*Employee has right to reinstatement in the career service in another position.

REGION VIII - DENVER

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Regional Director	NEA	GS-16	Victor A. Rivera*
<u>DISTRICT DIRECTOR POSITIONS</u>			
District Director - Denver	Career	GS-15	Douglas F. Graves
District Director - Fargo	Career	GS-15	E. Maine Shafer
District Director - Sioux Falls	Career	GS-15	Chester B. Leedom
District Director - Salt Lake City	Career	GS-15	Clair R. Hopkins
District Director - Helena	Career	GS-15	Ottley R. Tschache
District Director - Casper	Career	GS-15	Jerry S. King

*Employee has a right to reinstatement in the career service in another position.

REGION IX - SAN FRANCISCO

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Regional Director	NEA	GS-17	Gilbert Montano
<u>DISTRICT DIRECTOR POSITIONS</u>			
District Director - San Francisco	CEA	GS-16	Vacant*
District Director - Los Angeles	CEA	GS-16	Stewart L. Rollins
District Director - Las Vegas	Career	GS-14	Robert S. Garrett
District Director - Honolulu	Career	GS-14	David K. Nakagawa
District Director - San Diego	Career	GS-15	Fred D. Sergent
District Director - Phoenix	Career	GS-15	Stanley D. Goldberg

REGION X - SEATTLE

<u>POSITION</u>	<u>TYPE OF APPOINTMENT</u>	<u>GRADE OR LEVEL</u>	<u>OCCUPANT</u>
Regional Director	NEA	GS-16	Daniel B. Ward
<u>DISTRICT DIRECTOR POSITIONS</u>			
District Director - Seattle	Career	GS-15	Robert F. Caldwell
District Director - Anchorage	Career	GS-15	Frank D. Cox
District Director - Portland	Career	GS-15	James D. Chapman
District Director - Boise	Career	GS-15	Oliver T. Davis
District Director - Spokane	Career	GS-15	William S. Schumacher

*Position undergoing active recruitment

**POLICY AND SUPPORTING POSITIONS
SMALL BUSINESS ADMINISTRATION**

Location	Position	Incumbent	Type of appointment	Grade or salary	Tenure
	OFFICE OF ADMINISTRATOR				
Washington, D.C.	Administrator	Mitchell P. Kobelinski	PAS	Level III	
Do	Deputy Administrator	Louis F. Laun	C	Level IV	VP
Do	Executive Assistant to the Administrator	Anthony W. Parker	C	GS-14	VP
Do	Confidential Assistant to the Administrator	Dorothy C. Seale	C	GS-13	
Do	Confidential Assistant to the Deputy Administrator	F. Marguerite Owens	C	GS-12	
Do	Confidential Assistant	M. Catherine Koob	C	GS-9	
	ADVOCACY AND PUBLIC COMMUNICATIONS				
Do	Chief Counsel for Advocacy	Vacant	PAS	Level V or GS-18	
Do	Director, Office of Public Communications	Vacant	C	GS-15	VP
Do	Advisory Councils Officer	Henry V. Z. Hyde	C	GS-15	
Do	Project Officer	Richard B. Whitney	PL	\$30,441	9/30/77
	PROCUREMENT ASSISTANCE				
Do	Associate Administrator for Procurement Assistance	Harold K. Fletcher	C	Level V	
	OPERATIONS				
Do	Associate Administrator for Operations	Daniel T. Kingsley	C	do	VP
Do	Confidential Assistant (Secretary)	Patricia A. Rieck	C	GS-11	
Do	Special Assistant	Suzanne C. DeFrancis	C	GS-11	
	FINANCE AND INVESTMENT				
Do	Associate Administrator for Finance and Investment	John T. Wettach	C	Level V	
Do	Confidential Assistant	Fada S. Cumbridge	C	GS-11	
	GENERAL COUNSEL				
Do	General Counsel	David M. F. Lambert	NEA	GS-18	VP
Do	Confidential Assistant	Betty Brown	C	GS-11	
	MINORITY SMALL BUSINESS				
Do	Associate Administrator for Minority Small Business	C. Mack Higgins	NEA	GS-18	VP
Do	Special Assistant	Clark D. Horvath	C	GS-15	
Do	do	Leon H. Hampton	C	GS-14	VP
Do	do	Warren E. Boyd	C	GS-12	
	MANAGEMENT ASSISTANCE				
Do	Associate Administrator for Management Assistance	Henry S. Warren	NEA	GS-18	VP
Do	Confidential Assistant		C	GS-14	
	CONGRESSIONAL AND LEGISLATIVE AFFAIRS				
Do	Assistant Administrator for Congressional and Legislative Affairs	Thomas Cole	NEA	GS-17	VP
Do	Director, Office of Congressional Relations	Harold H. Griffin	C	GS-15	
Do	Congressional Relations Officer	Alexander A. Troffey	C	GS-15	VP
Do	do	Edward J. Neumann	C	GS-14	
	REGIONAL DIRECTORS				
California: San Francisco	Regional Director	Gilbert Montano	NEA	GS-17	
Colorado: Denver	do	Victor M. Rivera	NEA	GS-16	
Illinois: Chicago	do	Harold Aronson	NEA	GS-17	VP
Massachusetts: Boston	do	Talbot D. Bulkley	NEA	GS-16	VP
Missouri: Kansas City	do	Deryl K. Schuster	NEA	GS-16	
Pennsylvania: Philadelphia	do	Vacant	NEA	GS-17	
New York: New York	do	Vacant	NEA	GS-17	VP
Washington: Seattle	do	Daniel B. Ward	NEA	GS-16	VP

INTERAGENCY RELATIONSHIPS

DEPARTMENT OF AGRICULTURE, DEPARTMENT OF THE INTERIOR

A program to provide loans to purchasers of national forest-timber for building primary access roads has been developed through agreements with the Forest Service, Department of Agriculture, and the Bureau of Land Management, Department of the Interior. Also, SBA cooperates with the National Park Service, Department of Interior regarding "historic" properties, which are within SBA jurisdiction.

OFFICE OF MANAGEMENT AND BUDGET

The Small Business Administration maintains a close working relationship with the Office of Management and Budget in all matters pertaining to budget formulation and execution, Management Objectives and Presidential Management Initiatives.

CIVIL SERVICE COMMISSION

The Small Business Administration works under the auspices of the Civil Service Commission on all matters relating to personnel. Guidelines and directives are provided by the CSC in the form of the Federal Personnel Manual, CSC publications, classification appeals and on-site evaluations. In keeping with the regulations provided by the CSC, at all times SBA strives to conduct a vigorous program of fairness in the area of personnel.

DEPARTMENT OF COMMERCE

The Small Business Administration works with the Economic Development Administration of the Department of Commerce. A memorandum of understanding establishes SBA's responsibility in assisting EDA in liquidation. SBA and the Department of Commerce also cooperate to help small business engage in foreign trade, and to share in technical information developed by the Department. SBA and the Office of Minority Business Enterprise in the Department of Commerce have signed national and regional agreements to work together for the benefit of minority or disadvantaged small business clients.

DEPARTMENT OF DEFENSE

The Small Business Administration works closely with the Department of Defense to assure that a fair share of government procurements, and a fair share of sales of government property, go to small firms. SBA upon occasion takes prime contracts with the Defense Department and subcontracts the work to small firms; it works with the Defense Department to encourage subcontracting to small firms by large prime contractors; SBA assists small business in obtaining benefits of government research and development, and also provides technical assistance to small firms engaged in government work. Cooperates with the Office of Economic Adjustment, Department of Defense, in assisting communities impacted by military realignment.

INTERAGENCY RELATIONSHIPS

FEDERAL TRADE COMMISSION

The Equal Credit Opportunity Act of 1975 gave SBA authority for compliance of SBIC's, but gave residual compliance authority to the Federal Trade Commission. To avoid duplication and assure compliance, an understanding was reached with FTC which retained final authority, giving SBA responsibility to monitor SBA program offices and recipients.

GENERAL ACCOUNTING OFFICE

The Office of Audits and Investigations is the Agency's liaison for all contacts concerning audits and reviews being made by the General Accounting Office of SBA's activities.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

The Small Business Administration and HEW have a long standing memorandum of understanding delegating certain authority under Title VI of the Civil Rights Act of 1964 to the Secretary of HEW as to SBA recipients operating hospitals, nursing homes, convalescent homes and certain education facilities described generally as elementary or secondary schools. However, because of the size of most SBA recipients, when HEW declines to assume authority, SBA assumes its responsibilities under alternative legal authority.

Executive Order 11914 requires coordination of enforcement activity of Section 504 of the Rehabilitation Act of 1973 with the Secretary of HEW. Meetings, joint training, and correspondence to carry out EO 11914 have occurred between our Compliance Division and HEW's Office for Civil Rights.

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Title VIII of the Civil Rights Act of 1968 gives certain coordinating responsibility regarding the disposal of housing properties by Federal agencies. SBA is awaiting the publication of guidelines by HUD, but is generally following HUD's own internal guidelines to ensure conformance with the Civil Rights Act of 1968.

DEPARTMENT OF JUSTICE

The Small Business Administration coordinates its activities in assuring equal access to all programs receiving Federal financial assistance without regard to race, color, or national origin with the Federal Programs Section, Civil Rights Division, U.S. Department of Justice under Title VI of the Civil Rights Act of 1964, and Executive Order 11764. The Department of Justice also represents SBA in loan litigations and all matters pertaining to fraud, etc.

INTERAGENCY RELATIONSHIPS

DEPARTMENT OF LABOR

Part III of Executive Order 11246, as amended by Executive Order 11375, calls for the cooperation of agencies and departments giving grants, loans, insurance or guarantees to applicants or recipients resulting in Federally assisted housing.

The Equal Pay Act, enforced by the Wage and Hour Division of the Department of Labor and legal prohibitions against employment discrimination based on sex which SBA must enforce cause overlapping jurisdiction.

SECURITIES AND EXCHANGE COMMISSION

The Securities and Exchange Commission and SBA both have responsibilities in regulating small business investment companies.

TREASURY DEPARTMENT

In addition to normal disbursements, payroll and accounting reports, SBA cooperates with the Internal Revenue Service of the Treasury Department on matters involving small business investment company taxes and other business tax studies. Also, an IRS/SBA memorandum of understanding provides for notice to SBA before adverse action against a defaulting taxpayer/borrower, and tax training services. A second agreement exists between SBA and the Comptroller of the Currency whereby SBA will be provided with copies of bank examiner's reports regarding SBA guaranteed loans which have "problem" characteristics.

The Treasury Department also qualifies private surety companies and sets the limits of their bonding authority in connection with government contracts. SBA relies upon their qualifications for surety companies permitted to participate in the Surety Bond Guarantee Program and communicates with Treasury regularly on this subject.

SBA was instrumental in the formation of a Small Business Advisory Council to the Secretary of the Treasury. Also, SBA provided nominees to a special Small Business Advisory Committee to the Commissioner of the Internal Revenue Service.

CONGRESSIONAL COMMITTEES AND SPECIAL INTEREST ORGANIZATIONS

SENATE COMMITTEES

Committee on Small Business now has legislative authority. It was originally established to study and investigate the problems of small business so remedial legislation may be considered.

Chairman: Senator Gaylord Nelson - Wisconsin
Ranking Minority: Senator Jacob Javits - New York
Staff Director: William B. Cherkasky
Minority Counsel: Judah C. Sommer

Subcommittees

Subcommittee on Environmental, Rural & Urban Economic Development

Chairman: Senator Sam Nunn - Georgia

Subcommittee on Financing & Investment

Chairman: Senator John Sparkman - Alabama

Subcommittee on Government Procurement

Chairman: Senator William D. Hathaway - Maine

Subcommittee on Government Regulation

Chairman: Senator Thomas J. McIntyre - New Hampshire

Subcommittee on Monopoly

Chairman: Senator Gaylord Nelson - Wisconsin

Subcommittee on Retailing, Distribution, and Marketing Practices

Chairman: Unknown

Appropriations SBA appropriations are now under the purview of Subcommittee on Departments of State, Justice, Commerce, the Judiciary and Related Agencies.

Chairman: Senator Thomas Eagleton - Missouri
Ranking Minority: Unknown
Staff Director: Terrence Sauvain

Finance has general legislative authority for all matters involving revenue and taxation, including an SBA-proposed amendment of the Internal Revenue Code to permit a more liberal tax treatment for small business investment companies.

Chairman: Senator Russell Long - Louisiana
Ranking Minority: Senator Carl Curtis - Nebraska
Chief Counsel: Michael Stern

HOUSE COMMITTEES

Committee on Small Business now has legislative authority. It was originally established to study and investigate the problems of small business so remedial legislation may be considered.

Chairman: Tom Steed - Oklahoma
Ranking Minority: Rep. Silvio Conte - Massachusetts
Staff Director: Bernhard Layne
Minority Counsel: James R. Phalen

Subcommittees

Subcommittee on Energy & Environment
Chairman: Rep. John D. Dingell - Michigan

Subcommittee on SBA & SBIC Legislation
Chairman: Rep. Neal Smith - Iowa

Subcommittee on Government Procurement & International Trade
Chairman: Rep. James C. Corman - California

Subcommittee on SBA Oversight & Minority Enterprise
Chairman: Rep. Joseph P. Addabbo - New York

Subcommittee on Activities of Regulatory Agencies
Chairman: Rep. John Breckinridge - Kentucky

Subcommittee on Commodities & Services
Chairman: Rep. Charles J. Carney - Ohio

Ad Hoc Subcommittee on Antitrust, The Robinson-Patman Act
Chairman: Rep. Henry B. Gonzalez - Texas

Appropriations SBA appropriations are under the purview of subcommittee on State, Justice, Commerce and the Judiciary.

Chairman: John M. Slack - West Virginia
Ranking Minority - Rep. Elford Cederberg - Michigan
Staff Assistant: Dempsey B. Mizelle

Ways and Means has general legislative authority over matters involving revenue and taxation, including an SBA-proposed amendment to the Internal Revenue Code to permit more liberal tax treatment for small business investment companies.

Chairman: Rep. Al Ullman - Oregon
Ranking Minority: Rep. Barber Conable - New York
Chief Counsel: John M. Martin

LEGISLATIVE CLEARANCE PROCESS

Legislative proposals and positions to be taken by SBA on proposals are coordinated with the Office of Management and Budget for consideration and approval.

SPECIAL INTEREST GROUPS

SBA has established liaison with a number of special interest organizations, primarily:

- . American Bankers Association
- . National Bankers Association
- . Regional Association of Small Business Investment Companies
- . Urban League
- . InterRacial Council for Business Opportunity
- . International Franchise Association
- . National Association of Retail Druggists
- . National Chamber of Commerce
- . Regional and Local Chambers of Commerce

- * National Federation of Independent Business
- * National Association of Small Business Investment Companies
- * National Business League
- * Small Business Association of New England
- * National Small Business Association
- * Independent Business Association of Wisconsin
- * Smaller Manufacturers Council
- * Council of Smaller Enterprises

* (COSIBA) Council of Small and Independent Business Associations

BUDGET OVERVIEW AND FY 1977 PROGRAM GOALS

SBA's loan programs are financed from two revolving funds established July 1, 1966, by amendments to the Small Business Act, Section 4(c) (P.L. 89-409). Previously there was a single revolving fund.

The Business Loan and Investment Fund finances regular business loans, displaced business loans, economic opportunity loans, and handicapped assistance loans under the Small Business Act, Sections 7(a), 7(b), 7(i), and 7(h) respectively; and small business investment company loans and debentures, and development company loans under the Small Business Investment Act, Titles III and V respectively.

The Disaster Loan Fund finances loans to homeowners, businesses and nonprofit institutions which have suffered losses from natural catastrophes and loans to small firms to enable them to comply with new health and safety standards and those affected by the energy crisis.

The Lease Guarantee program, which is currently being terminated, is financed from a third revolving fund authorized by P.L. 89-117.

The Surety Bond Program is financed from the Surety Bond Guarantees Revolving Fund established by P.L. 93-386.

To alleviate the adverse impact of pollution regulations on small business P.L. 94-305, approved June 4, 1976, established a new fund--the Pollution Control Equipment Contracts Guarantees Revolving Fund.

Administrative expenses, interest expense payments to Treasury on outstanding cash disbursements from the funds, interest expense payments to holders of participation certificates, and other related expenses are also financed from the respective funds.

A direct appropriation finances those administrative expenses related to the Procurement Assistance and Management Assistance activities.

A limitation of \$7.25 billion has been placed on the amount of loans and commitments (reservations) outstanding at one time from the Business Loan and Investment Fund. The limitation is broken down as follows:

Business loans (including a \$450 million economic opportunity loan limitation)	\$6,000 million
Development company loans	525 million
Investment company loans	<u>725 million</u>
	\$7,250 million

Limitation on business loans will be reached in FY 1977 and on investment company and development company loans in FY 1978. Legislation has been proposed to increase them.

TABLE I

Comparison of Programs Administered by SBA in FY's 1968, 1976 and 1977 Plan with
SBA Employment Levels

<u>MANAGEMENT ASSISTANCE</u>	<u>FY 1968</u>	<u>FY 1976</u>	<u>FY 1977 Current Plan</u>
Business counselled	53,887	129,128	142,057
Training Courses	2,558	4,437	5,000
Attendance at these courses	84,326	183,630	200,000
 SBI (Small Business Institute)			
Students working		20,000	22,000
Colleges involved	No Program	400	410
UBDC	No Program	-0-	8
 SCORE/ACE			
(Service Corps of Retired Executives/Active corps of Executives)			
Number working	3,000	8,759	11,500
406 Call Contracting Program	No Program	4,267 busi- nesses served	5,700
Publications distributed	3,500,000	4,600,584	5,000,000
Film showings	2,300	3,845	5,100
Audience	75,700	109,045	153,000
 <u>PROCUREMENT ASSISTANCE</u>			
. No 8(a) program for socially and economically disadvantaged companies.		2,106 contracts awarded for \$368,914,248.	2,154 contracts \$405 million.
. No government purchasing center surveillance reviews.		* 30 centers reviewed.	30 centers to be reviewed.

Cont'd

Comparison of Programs Administered by SBA in FY's 1968, 1976 and 1977 Plan with
SBA Employment Levels

PROCUREMENT ASSISTANCE

. No active timber sales program.	* 200 national forests covered.	200 forests to be covered.
918 COC referrals handled.	* 1,028 COC referrals handled.	1,100 COC referrals.
503 subcontract assistance plants reviewed.	* 898 plants reviewed.	944 plant reviews.

FINANCIAL ASSISTANCE

	<u>FY 1968</u>	<u>FY 1976</u>	<u>FY 1977 CURRENT PLAN</u>
*Lease Guarantees	Program started	41 for \$14.7 million	
*Surety Bond Guarantees	Zero	13,786 for \$868.2 million	12,600 for \$833.0 million
301(d) (MESBICs)	Zero	79 licensees operating	90 licensees operating
*Pollution Control	Zero	-	10 for \$40.0 million

	<u>Number of Loans</u>		<u>Number of Loans</u>		<u>Number of Loans</u>	
		<u>\$ millions (SBA Share)</u>		<u>\$ millions (SBA Share)</u>		<u>\$ millions (SBA Share)</u>
<u>Loan Programs</u>						
7(a) Business	9,476	\$384.7	21,845	\$1,661.5	24,250	\$2,195.0
Economic Opportunity	2,891	30.4	3,651	82.3	5,839	134.0
Pool Loans	-	-	-	-	-	-
Displaced Business	331	42.5	132	24.7	216	42.0
*Handicapped	-	-	152	10.6	659	50.0
State Dev. Company	2	.7	4	2.0	4	2.0
Local Dev. Company	414	48.4	294	34.7	466	74.0
*Economic Injury Disaster	-	-	20	1.1		
* Product Disaster	-	-	7	0.3		

Cont'd

Comparison of Programs Administered by SBA in FY's 1968, 1976 and 1977 Plans with
SBA Employment Levels

<u>Loan Programs</u>	<u>Number of Loans</u>	<u>\$ millions (SBA Share)</u>	<u>Number of Loans</u>	<u>\$ millions (SBA Share)</u>	<u>Number of Loans</u>	<u>\$ millions (SBA Shares)</u>
*Coal Mine Disaster	-	-	-	-		
*Meat Product Disaster	-	-	16	4.1		
*OSHA Disaster	-	-	33	5.0		
*SALT Disaster	-	-	-	-	472	80.0
*Base Closings Disaster	-	-	35	5.6		
*Air Pollution Disaster	-	-	19	3.5		
*Water Pollution Disaster	-	-	25	5.4		
*Emergency Energy Disaster	-	-	124	19.1		
<hr/>						
Total loan programs (other than physical disaster)	13,114	\$506.7	26,357	\$1,859.9	31,906	\$2,577.0
Physical Disasters	14,130	110.5	20,381	134.4	9,000	60.0
Total All Loan Programs	27,244	617.2	46,738	1,994.3	40,906	2,637.0
Active Loans in Portfolio	102,000	\$1,893.0	233,165	\$7,417.1	246,000	\$8,000.0

* New Programs Added Since 1968

SBA EMPLOYMENT LEVELS

	<u>FY 1968</u>	<u>FY 1976</u>	<u>FY 1977</u>
Total Permanent Employees Authorized	4,360	4,339*	4,434

* Includes 167 Authorized, but not funded until July 1, 1976

Comparison of Programs Administered by SBA in FY's 1968, 1976 and 1977 with
SBA Employment Levels

Cont'd

<u>MINORITY ENTERPRISE</u>	<u>FY 1968</u>	<u>FY 1976 ACTUAL</u>	<u>1977 CURRENT PLAN</u>
	41 people in small community economic development effort about \$35 million in loans.	SBA delivers virtually all of the Government's minority business program with 136 in minority enterprise staff in Central Office and field. Broad financial, procurement assistance programs go thru all departments, use 35% of all SBA personnel. Loans up sevenfold.	SBA delivers virtually all of the Government's minority business program with 167 in minority enterprise staff in Central Office and field. Broad financial, procurement, and management assistance programs go through all departments, use 32% of all SBA personnel. Loans are estimated to be up twelvefold.
	None	Minority Vendors Program operational.	Minority Vendors Program operational.
<u>EQUAL EMPLOYMENT OPPORTUNITY AND COMPLIANCE</u>	Covered 3,000 companies employing 135,000 of whom 12,000 (9%) were minorities.	Covered 12,625 companies employing 699,591 of whom 154,478 (22%) were minorities. Also, of the total employed 213,472 were female or 31%.	Covered 15,000 companies employing 750,000 of whom 170,000 were minorities.

Comparison of Programs Administered by SBA in FY's 1968, 1976 and 1977 with
SBA Employment Levels

Cont'd

ADVOCACY

None

Active advocacy effort
in Central Office and field.

Title II of
PL 94-305 di-
rects the Office
of Advocacy to
conduct a study
of small busi-
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role of minor-
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