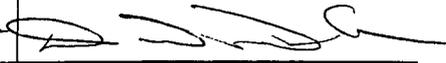
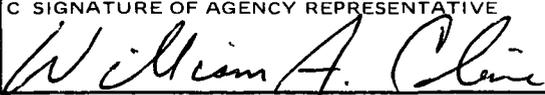


REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO NI-309-87-2	DATE RECEIVED 7-14-87
1. FROM (Agency or establishment) SMALL BUSINESS ADMINISTRATION		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Office of Administrative Services		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3 MINOR SUBDIVISION Administrative Information Branch			
4 NAME OF PERSON WITH WHOM TO CONFER Cleo Verbillis	5 TELEPHONE EXT. 653-6446	DATE 12/2/88 7/10/87	ARCHIVIST OF THE UNITED STATES 
6 CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is attached, or is unnecessary

B DATE 7/10/87	C SIGNATURE OF AGENCY REPRESENTATIVE 	D TITLE Chief, Administrative Information Branch	
7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
	This request for disposition authority represents a comprehensive effort to identify, inventory, and schedule the retention and disposition of major automated information systems and other electronic records in use at the Small Business Administration (SBA), as of March, 1987. A coordinated effort by SBA program offices, the program office responsible for Automated Data Processing (ADP) services, and the program office responsible for records disposition has resulted in the following submission. For each of the major systems identified, SBA has attached a description which is at the sub-system level with a summary description for three of the major systems, because each of the first three information systems use the same database interactively. This will allow SBA to reference previously approved disposition authorities, while also providing NARA selection of PERMANENT information without requesting an entire database or system.		

SBA ELECTRONIC RECORD DISPOSITION SCHEDULE

1. Loan Accounting and Collection Processing

SBA loan accounting, investment lending, and cash collection activities are controlled by the core database LACCS, with several subsystems and other information systems interact with this data. These systems provide a base for over 700,000 active loan accounts, receives and processes approximately \$6,000,000 in financial, and other administrative data daily. These systems encompass the history of SBA's major lending programs and chronological development of loans from approval and disbursing to satisfaction of the loan by payment of Liquidation by default.

A. LACCS (Loan Accounting Cash Collection System) see attached description number 1.

(1) Inputs or sources of data: Received from potential loan borrowers, Office of Financial Operation-Denver, SBA field offices, and R. L. Polk Company.

(2) Information Content: Includes loan payoffs, query displays, updating of disbursement activity, administrative actions, and tracking of past due and delinquent accounts. Contains name of borrower, location, date of loan, gross amount, SBA share of amount, status of account, etc.

(3) Outputs: Information stored on magnetic tape.

Disposition:

(a) Processing Tapes. Release processing tapes after data is verified in the system or after the next update cycle.

(b) Master Tapes. PERMANENT. Copy the cumulative year end paid-in-full loans onto magnetic tape(s) at the end of each fiscal year. Transfer tapes together with supporting system documentation to the National Archives at the end of each fiscal year.

(c) Public Use Tapes. PERMANENT. Transfer to the National Archives along with the Master Tape at the end of each fiscal year.

(d) SBA Master Tape copy and Transaction Tapes used to record loan payments. File all paid-in-full loans to tape at the end of the fiscal year in which loan is paid-in-full. Erase 6 years and 3 months after loans are paid in full.

B. LAD/LAE/LAF (Loan Accounting MARS Reporting System) see attached description number 2.

- (1) Inputs or sources of data: System uses data from the SBA Loan Accounting Cash Collection System (LACCS).
- (2) Information Content: Information for funds control, ensuring compliance with current legislative requirements, and for statistical and general ledger accounting of SBA's lending programs.
- (3) Outputs: Hard copy reports for complying with Treasury requirements and supplying ad hoc reports to executive and congressional inquiries.

Disposition:

- (a) Destroy MARS reports in accordance with approved disposition as per SOP 00 41, 1986.
- (b) Destroy ad hoc reports when no longer needed for reference.

C. FADDS (Federal Assistance Awards Data System) see attached description number 3.

- (1) Inputs or sources of data: System uses data from the Surety Bond Guarantee System (SBG), Loans Accounting Cash Collection System (LACCS), and manual data from program areas.
- (2) Information Content: Provides Federal and nonfederal funding amounts, recipients name and locations, type of assistance, type of recipient and project description.
- (3) Outputs: Quarterly magnetic tape to Bureau of Census, Government Division for consolidation with data received from other agencies.

Disposition:

Release SBA copies of magnetic tape(s) two quarterly updates after creation.

D. MIS (Management Information Summary) see attached description number 4.

- (1) Inputs or sources of data: System uses data from the Loan Accounting Cash Collection System (LACCS), Management Information System (MIS), and other Loan Accounting Automated Allotment (LAA).
- (2) Information Content: Loan approval by major program, number of counseling and training sessions by resource

(D continued)

type, whether minority, woman, veteran or international trade. Summary of applications for loans by categories such as in screening, screened out, approved, declined, withdrawn and pending.

(3) Outputs: Monthly booklet for agencywide distribution.

Disposition: Destroy hardcopy booklet 3 years after issuance.

2. Loan Origination and Disbursement

This system provides SBA with an on-line tracking system from acceptance to establishment of a loan record on LACCS it supports the Financial and Disaster Assistance programs.

A. LATS (Loan Application Tracking System) see attached description number 5.

(1) Inputs or sources of data: The LATS system includes an online telecommunications process which provides SBA personnel with inquiry and data entry to record loan origination information in the LATS database. Uses data that resides in the LACCS database.

(2) Information Content: Includes name(s) of applicants, address, business name, loan amount applied for, date filed, date lending decision, terms and conditions of loan, statistical data, i.e., sic code, geographic codes and minority code, also, lending program which loan is requested, nature and definition of applicant's business, participating lender information and tracking information.

(3) Outputs: Produces loan approval documents, tracking reports, and system statistical reports.

Disposition:

(a) Release processing tapes after data is verified in the system or after next update cycle.

(b) Release master tapes 6 years and 3 months after loans are paid-in-full. File all paid-in-full off-to tape at the end of FY in which loan is paid in full.

(c) Destroy documents and reports in accordance with SOP 00 41.

3. Loan Servicing and Debt Collection

This is a telecommunications system that provides online query, selected reporting, and referral of delinquent and charged-off accounts in response to OMB Reform 88 Debt Collection initiatives.

A. PMA (Collection Agency Referrals) see attached description number 7.

- (1) Inputs or sources of data: System uses data from the SBA Loan Accounting and Collection System (LACCS) which is key entered by SBA personnel.
- (2) Information Content: Refers certain loan accounts to collection agencies for collection. Includes initial referral, results attained (collections, fees and CCLR reports) and final disposition of referral.
- (3) Outputs: Payments to the LACCS borrower's account record, periodic and ad hoc reports, and collection invoices.

Disposition:

- (a) Release computer tape files when data is verified in the system or when no longer needed for backup, whichever is earlier.
- (b) Destroy reports and copies of invoices when no longer needed for reference.

B. PMB (Credit Bureau Reporting) see attached description number 8.

- (1) Inputs or sources of data: Uses data from LACCS including tracking of account status at time of reporting, results obtained, and final disposition.
- (2) Information Content: Information regarding loan account status, current information processed to credit bureaus, update of credit bureau tracking record on the LACCS.
- (3) Outputs: Online query, monthly reports, and magnetic tapes.

Disposition:

- (a) Destroy monthly reports 3 years after issuance.
- (b) Release SBA copies of computer tapes after next update cycle.

C. PMC (Delinquent Loan Collection System) see attached description number 9.

(C continued)

- (1) Inputs or sources of data: Uses data from the LACCS, debt collectors enter comments on efforts and final results attained.
- (2) Information Content: Collector comments and collection histories for accounts on weekly basis.
- (3) Outputs: Provides daily and weekly statistical reports for analysis of delinquent accounts. Performance statistics and management reports available on an as needed basis.

Disposition:

- (a) Destroy monthly reports 3 years after issuance.
- (b) Release SBA copies of computer tapes after next update cycle.

D. PMI (Internal Revenue Offset) see attached description number 10.

- (1) Inputs or sources of data: Uses data from the LACCS including a referral tracking record to trace account status at time of referral, results obtained and final disposition.
- (2) Information Content: Delinquent accounts actual offset information and claim data.
- (3) Outputs: Online inquiry displays, weekly computer magnetic tape.

Disposition:

Release SBA copies of magnetic tape(s) after IRS verification or when no longer needed.

E. PMN (Names and Address) see attached description number 11.

- (1) Inputs or sources of data: An online telecommunications process which provides SBA personnel with inquiry and data entry capability to record information into the LACCS database PMN name and address information record.
- (2) Information Content: Capability to record name, address, phone number(s) and social security number of all participants associated with an SBA loan, i.e., guarantor, principal, co-borrower, attorney, etc.
- (3) Outputs: Online communications inquiry displays, used as input to Credit Bureau Reporting System, (PMB), and the Litigation and Liquidation Tracking System (PML).

(E continued)

Disposition:

Release master files after next update cycle or when no longer needed for backup.

F. LAU (Loan Accounting Updates) see attached description number 13.

- (1) **Inputs or sources of data:** Field offices personnel perform data entry of dates, dollar amounts, names and addresses, codes, identifying numbers, etc., regarding lending information for a loan.
- (2) **Information Content:** Telecommunications system which allows field offices to accomplish changes to a borrower's loan record in the LACCS database.
- (3) **Outputs:** Produces loan record update transactions which are posted to borrower's LACCS database loan record.

Disposition:

Release master files after posting to LACCS is verified or when no longer needed for backup.

4. **MSB (8(a) Financial Information System)** see attached description number 14.

- (1) **Inputs or sources of data:** Applicants for certification in 8(a) program, Federal Government procuring offices, SBA field offices, Office of Comptroller.
- (2) **Information Content:** Provides data on 8(a) companies and their contracts together with pertinent accounting data.
- (3) **Outputs:** On-line terminal displays, and monthly, quarterly and annual reports.

Disposition:

- (a) Destroy reports in accordance with approved disposition in SOP 00 41.
- (b) Release master files when no longer needed.

5. SBG (Surety Bond Guarantee) System see attached description number 15.

- (1) Inputs or sources of data: Entered on-line at Regional SBG program offices, Central Office, and Denver OFO. Sources of data: Surety Agents, Surety Companies, Obligees, Principals, and Claims Attorneys. Receives cash collection data from Denver, OFO.
- (2) Information Content: Contingent liabilities, fee receivables, claim payables, and various income and expenses in connection with the program.
- (3) Outputs: Screen displays, reports, and magnetic tape.

Disposition:

- (a) Destroy reports in accordance with approved disposition in SOP 00 41.
- (b) Release computer tape 6 years and 3 months after completion of contract. Separate all accounts completed during FY and write a master tape at end of FY. File all contracts off to tape at the end of FY in which contract is completed.

6. Administrative Accounting see attached description number 16.

- (1) Inputs or sources of data: SBA Form 249, ADP Coding Document - Accounting, transmittal from Office of Financial Operations (Denver) from guarantees of Financial Reports Branch (Washington). Payroll bi-weekly tape file, payroll bi-weekly history file.
- (2) Information Content: Batch, sequence number, location, fiscal year, activity, object class, transaction code, ledger accounts, amount, document reference number and vendor name.
- (3) Outputs: Produces 44 paper reports.

Disposition:

- (a) Destroy paper reports in accordance with SOP 00 41.
- (b) Delete data after 3 or more update cycles of when no longer required for the program.

7. CICR (Computerized Internal Control Reviews) see attached description number 17.

- (1) Inputs or sources of data: Provided by SBA field offices, consolidated and inputted using terminal by CICR review teams.
- (2) Information Content: Data fields are established for each program review on the basis of those factors deemed necessary to achieve a successful rating of compliance with SBA policies, procedures, and other requirements identified to directives for each program within the agency..
- (3) Outputs: Hardcopy and duplicate COM Microfiche summary reports and online office reports generated on request.

Disposition:

- (a) Destroy reports in accordance with approved disposition in SOP 00 41.
- (b) Release computer tape when no longer needed for report verification or backup.

8. Procurement Assistance Management System see attached description number 18.

- (1) Inputs or sources of data: Data received by SBA from various government procurement offices and transmitted to Central Office electronically or mail forms.
- (2) Information Content: For COC cases: name, address, case information; on prime contracting: type and amount of procurement from selected government agencies. Name of company, address, contact person of private sector companies monitored by subcontracting program.
- (3) Outputs: Hard copy reports.

Disposition:

- (a) Destroy reports in accordance with approved disposition in SOP 00 41.
- (b) Release tape copies of master files when no longer needed for backup.

9. BDMIS (Business Development Management Information System) see attached description number 19.

- (1) Inputs or sources of data: When small business development counseling or training is performed SBA district office business development employees, SCORE counselors, SBI directors, and SBDC employees/volunteers complete SBA Form 1062 or SBA Form 888.
- (2) Information Content: For individuals counseled, name, address, telephone number, business information, ethnic background, sex, military status, counselor identification and date and type of counseling. For training, type of training, location, number of attendees, cosponsoring resource, format and attendee fee for each unit.
- (3) Outputs: Hard copy and on-line reports on request.

Disposition:

- (a) Release processing tapes after data is verified in the system or after next update cycle.
- (b) Destroy input documents and output reports in accordance with SOP 00 41.

10. Office Automation Applications

This item includes records maintained in office automation systems, personal or end-user computers, individual work environments, word processing systems, and similar office automation applications. (GRS 23, items 2-4).

- A. Electronic documents such as correspondence, letters, memoranda, reports, recorded on electronic media such as hard disks or floppy diskettes and used to produce a hard copy which is maintained in organized official files.

Disposition:

Delete when 30 days old or immediately after signed, disseminated, and filed.

- B. Electronic documents such as reports, handbooks, directives, and manuals, recorded on electronic media such as hard disks or floppy diskettes and used to produce a hard copy which is maintained in organized official files.

(10. continued)

Disposition:

- a. File hardcopy with official file.
 - b. Backup to a floppy diskette, and erase the online or hard disk version, maintain until next update or revision cycle.
- C. Electronic databases such as mail, property, identification cards, forms, reports, directives, information collection budget, general store inventory, telephone directory, and mailing lists.

Disposition:

Backup to a floppy diskette, and erase the online or hard disk version, maintain until next update or revision cycle.

- D. Electronic spreadsheets such as budget, mail survey, requisition control, travel, and controlled correspondence.

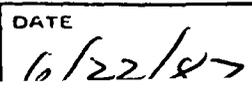
Disposition:

Backup to a floppy diskette, and erase the online or hard disk version, maintain until next update or revision cycle.

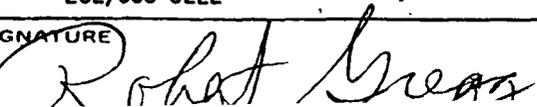
INFORMATION SYSTEM DESCRIPTION

1. SYSTEM TITLE Loan Accounting Cash Collection System	2. SYSTEM CONTROL NUMBER (LACCS)		
3. AGENCY PROGRAM SUPPORTED BY SYSTEM Business Loan Investment and Disaster Loan Programs	4. PROGRAM AUTHORITY Small Business Act And Small Business Investment Act as Amended		
5. SYSTEM DESCRIPTION			
A. PURPOSE/FUNCTION OF SYSTEM <p>The LACCS receives and processes collections, accounting and other administrative data for the Business Loan Investment Fund (BLIF) and Disaster Investment Fund (DIF). Approximately six million dollars is collected daily.</p>			
B. SOURCE(S) OF DATA (Include inputs from Other Systems) <ol style="list-style-type: none"> 1. Potential Loan Borrowers - Public 2. Financial Operations Denver - Processes collection information 3. SBA's field and Regional offices input loan documents and budget control information 4. R.L. Polk Company on contract with SBA supplies banking data for the various subsystems within BLIF and DIF. 			
C. INFORMATION CONTENT <p>The LACCS is comprised of a dual cycle consolidated database system operating daily under the DMS-1100 DBMS. It provides a statistical information base for the SBA Loan Portfolio, which encompasses the history of SBA's major lending activities. It supports a national on-line network of subsystems to satisfy a variety of input and output requirements. These requirements involved the major functions of Portfolio Management and include loan payoffs, query displays, updating of disbursement activity, administrative actions, and tracking of past due and delinquent accounts. These processes are the main input to SBA's major financial reporting systems that satisfy SBA external reporting requirements. This system provides a microfilm record of a borrower's transcript of account.</p>			
D. SYSTEM OUTPUTS (Include Outputs to Other Systems) <p>Information supplied on magnetic tape to:</p> <ol style="list-style-type: none"> 1. Credit Agencies - Delinquent Loan Processing 2. Collection Agencies - Past Due and Delinquent Loan Processing 3. Treasury - Disbursement of funds 4. Internal Revenue Service (IRS) - data for the offset of borrowers' refunds. 			
NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers) Office of Finance and Investment Edwin T. Holloway AA/F&I 1441 L Street, N.W. Room 800 Washington, D.C. 20416 (202)653-6632			
AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports) <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none; vertical-align: top;"> Lawrence R. Rosenbaum Comptroller, Office of the Comptroller Small Business Administration 1441 L Street, N.W. Room 524 Washington, D.C. 20416 (202)653-6349 </td> <td style="width: 50%; border: none; vertical-align: top;"> Frederick Klein Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 524 Washington, D.C. 20416 (202)653-624 </td> </tr> </table>		Lawrence R. Rosenbaum Comptroller, Office of the Comptroller Small Business Administration 1441 L Street, N.W. Room 524 Washington, D.C. 20416 (202)653-6349	Frederick Klein Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 524 Washington, D.C. 20416 (202)653-624
Lawrence R. Rosenbaum Comptroller, Office of the Comptroller Small Business Administration 1441 L Street, N.W. Room 524 Washington, D.C. 20416 (202)653-6349	Frederick Klein Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 524 Washington, D.C. 20416 (202)653-624		
PREVIOUS DISPOSITION JOBS.			
A. PREPARER'S NAME Frederick Klein	98 OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street NW, Washington, DC 20416		
C. PHONE NUMBER 202/653-6042			
SIGNATURE 	DATE 6/22/87		

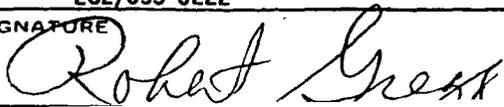
INFORMATION SYSTEM DESCRIPTION

1. SYSTEM TITLE Loan Accounting MARS Reporting System	2. SYSTEM CONTROL NUMBER (LAD/LAE/LAF)
3. AGENCY PROGRAM SUPPORTED BY SYSTEM Business Loan Investment and Disaster Loan Program	4. PROGRAM AUTHORITY Small Business Act and Small Business Investment Act as Amended
5. SYSTEM DESCRIPTION	
A. PURPOSE/FUNCTION OF SYSTEM <p>The following subsystems comprise the MARS reporting system: the Loan Accounting Management Reports (LAD) provides statistical reports that satisfy the offices of Budget and Finance's funds control requirements; the Loan Accounting Operating Reports (LAE) provides current and historical reports to be used by SBA operational and planning elements; and the Loan Accounting Accounting Reports (LAF) provides current and historical accounting information critical to the Agency's loan programs.</p>	
B. SOURCE(S) OF DATA (Include Inputs from Other Systems) <p>The Loan Accounting Cash Collection (LACCS)</p>	
C. INFORMATION CONTENT <p>The Agency's MARS Reporting System (LAD, LAE, and LAF) is used to satisfy SBA's major internal and external reporting requirements on a monthly, quarterly semi-annually and annual cycle. The reports generated by the system is used for funds control, ensuring compliance with current legislative requirements, and for statistical and general ledger accounting of SBA's lending programs.</p>	
D. SYSTEM OUTPUTS (Include Outputs to Other Systems) <p>Hardcopy reports used for complying with Treasury requirements and for supplying ad-hoc reports to satisfy executive and congressional inquires.</p>	
NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers) <p>Office of the Comptroller Lawrence R. Rosenbaum, Comptroller 1441 L Street, N.W. Room 524 Washington, D.C. 20416 202/653-6349</p>	
AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports)	
<p>Matthew A. McCroddan Director, Policy and Procedures Staff Small Business Administration 1441 L Street, N.W. Room 503A Washington, D.C. 20416 (202)653-6225</p>	<p>Frederick Klein Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 912 Washington, D.C. 20416 (202)653-6240</p>
PREVIOUS DISPOSITION JOBS.	
A. PREPARER'S NAME Frederick Klein	9B OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street NW, Washington, DC 20416
C. PHONE NUMBER 202/653-6042	
SIGNATURE 	DATE 

INFORMATION SYSTEM DESCRIPTION

1. SYSTEM TITLE Federal Assistance Awards Data System		2. SYSTEM CONTROL NUMBER (FAADS)	
3. AGENCY PROGRAM SUPPORTED BY SYSTEM		4. PROGRAM AUTHORITY Intergovernmental Affairs Division Office of Management and Budget	
5. SYSTEM DESCRIPTION			
A. PURPOSE/FUNCTION OF SYSTEM The Federal Government provides funds annually to small businesses and other private concerns in the form of grants, loans, etc., which impacts the nation's economy. FAADS provides statistical information on domestic financial assistance programs of the Federal Government.			
B. SOURCE(S) OF DATA (Include Inputs from Other Systems) Surety Bond Guarantee Database, Loan Accounting Cash Collection Database and manual data from program areas concerning grants and other assistance provided by the Agency.			
C. INFORMATION CONTENT Federal and nonfederal funding amounts, recipient's name and location, type of assistance and type of recipient, as well as, project description.			
D. SYSTEM OUTPUTS (Include Outputs to Other Systems) On a quarterly basis the FAADS provides a summary "Data Transmittal Sheet" and a nine-track phase encoded 1600 bpi magnetic tape to the Government Division, Bureau of Census for consolidation with data received from other agencies.			
NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers) Government Division, Bureau of the Census, Washington, D.C.			
AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports) Donna Clark Office of Information Resources Management Small Business Administration 1441 L Street, N.W. Room 918 Washington, D.C. 20416 (202)653-6222			
PREVIOUS DISPOSITION JOBS.			
A. PREPARER'S NAME Robert Gregg		9B. OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street NW, Washington, DC 20416	
C. PHONE NUMBER 202/653-6222			
SIGNATURE 		DATE 6/22/87	

INFORMATION SYSTEM DESCRIPTION

1. SYSTEM TITLE Management Information Summary	2. SYSTEM CONTROL NUMBER (MIS)
3. AGENCY PROGRAM SUPPORTED BY SYSTEM Loan Approval, Portfolio Management, Management Training	4. PROGRAM AUTHORITY Small Business Act and Small Business Act as Amended
5. SYSTEM DESCRIPTION	
5A. PURPOSE/FUNCTION OF SYSTEM To provide SBA and Congress with accurate and timely information on various SBA programs.	
5B. SOURCE(S) OF DATA (Include inputs from Other Systems) Loan Accounting Cash Collection Database, Management Assistance Database, and the Loan Accounting Automated Allotment Subsystem Database supplies the input for this system.	
5C. INFORMATION CONTENT Loan Approval by major program (number/dollars)--comparison of current and prior year Portfolio Summary by major programs--comparison of current and prior year Business and Investment Portfolio by programs--numbers/dollars within aging categories. Management Assistance Status Report indicating the number of counseling and training sessions by resource type and whether it was a minority, woman, veteran or international trade. Provides a summary of the number of applications for loans broken out by categories such as in screening, screened out, approved, declined, withdrawn and pending.	
5D. SYSTEM OUTPUTS (Include Outputs to Other Systems) Monthly Management Information Summary Booklet for Agencywide and Regional distribution; MIS MMS1100 Print and/or paging transactions provided to the SBA users via the SBADCS network.	
NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers) Office of the Comptroller Lawrence Rosenbaum, Comptroller 1441 L Street, NW Room 500 Washington, D.C. 20416 (202) 653-6349	
7. AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports)	
Gregory Walters Office of the Comptroller Small Business Administration 1441 L Street, N.W. Room 500 Washington, D.C. 20416 (202)653-6225	Donna Clark Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 918 Washington, D.C. 20416 (202)653-6222
8. PREVIOUS DISPOSITION JOBS.	
9A. PREPARER'S NAME Robert Gregg	9B. OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street NW, Washington, DC 20616
9C. PHONE NUMBER 202/653-6222	DATE 6/22/87
SIGNATURE 	

INFORMATION SYSTEM DESCRIPTION

SYSTEM TITLE Loan Origination and Disbursement		2. SYSTEM CONTROL NUMBER (LATS) Loan Application Tracking	
AGENCY PROGRAM SUPPORTED BY SYSTEM Business Loan Investment and Disaster Loan Programs		4. PROGRAM AUTHORITY Small Business Act and Small Business Investment Act as Amended	
5. SYSTEM DESCRIPTION			
3. PURPOSE/FUNCTION OF SYSTEM The Office of Finance & Investment (F&I) Loan Application Tracking Systems provides SBA field office loan origination staff with data entry and tracking of each lending request accepted for processing. The process includes business loans processed under the various lending programs administered by the Financial Assistance Division and disaster loans processed under the lending programs administered by the Disaster Assistance Division. The LAT system provides for the automatic aging/tracking of the various processing steps of the lending process. The information resulting from the loan origination process is used to establish a loan record on the LACCS database for all approved loans.			
3. SOURCE(S) OF DATA (Include Inputs from Other Systems) The LAT system includes an online telecommunications process which provides SBA personnel with inquiry and data entry to record loan origination information in the LATS database. The Financial Information Reporting System (FIRS) is used to provide the name & address information for financial institution related to the loan. The FIRS information resides in the LACCS database. The financial institutions information is provided to SSBA by the R.L. Polk Company. A fresh file of information is provided quarterly.			
3. INFORMATION CONTENT The LAT system contains a variety of information pertaining to the applicant, particulars regarding the lending request, the lending program under which the loan is requested, the nature and definition of the applicant's business, participating lender information, and tracking information denoting time in process, etc. for each loan processing step. Information recorded includes name(s) of applicants, their address, business name, loan amount applied for, date of filing, date of lending decision, terms and conditions of the loan as well as statistical data like sic code, geographic codes and minority code.			
3. SYSTEM OUTPUTS (Include Outputs to Other Systems) The LAT system provides loan origination recording and accounting transaction input to the LACCS loan accounting system with which to establish the loan in the LACCS database. The system produces loan approval documents, tracking reports to manage and audit the loan approval processes, and system statistical reports for the program offices.			
NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers) Office of Finance and Investment Edwin T. Holloway, AA/F&I 1441 L Street, N.W. Room 800 Washington, D.C. 20416 (202)653-6632 Office of Portfolio Management Earl L. Chambers, Director 1441 L Street, N.W. Room 816 Washington, D.C. 20416 (202)653-6860			
AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports) Lawrence R. Rosenbaum Comptroller, Office of the Comptroller Small Business Administration 1441 L Street, N.W. Room 524 Washington, D.C. 20416 (202)653-6349 Jerry Bennett Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 901 Washington, D.C. 20416 (202)653-6463			
PREVIOUS DISPOSITION JOBS.			
1. PREPARER'S NAME Jerry W. Bennett		9B. OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street, N.W. Washington, D.C. 20416	
2. PHONE NUMBER 202/653-6463			
SIGNATURE <i>Lawrence E. Bennett for</i>		DATE 6-19-87	

INFORMATION SYSTEM DESCRIPTION

1. SYSTEM TITLE Loan Automated Allotment System	2. SYSTEM CONTROL NUMBER (LAA)
3. AGENCY PROGRAM SUPPORTED BY SYSTEM Business Loan Investment Program	4. PROGRAM AUTHORITY Small Business Act and Small Business Investment Act as Amended

5. SYSTEM DESCRIPTION

A. PURPOSE/FUNCTION OF SYSTEM
 The LAA provides SBA officials with the capability of tracking allotment balances, instant credit/debit of loan obligation amounts, and immediate requests for allotment transfer among the various pools of loan monies at SBA's Central, Regional, and District Offices.

B. SOURCE(S) OF DATA (Include Inputs from Other Systems)
 The types and sources of information provided are as follows:
 SBA Regional/District Offices
 Loan Approvals & Loan Approval Modifications
 SBA Central Office
 Funds Control of Budget Process

C. INFORMATION CONTENT
 The Office of Planning and Budget uses SBA Form 826 advice of allotment - Loan Funds. This authorizes each Region to approve loans in accordance with the allotment amounts identified for the various lending programs. The Loan Accounting Allotment System is a real-time system providing allotment information to Region and District offices for funds management of the Business Loan Investment Programs.

D. SYSTEM OUTPUTS (Include Outputs to Other Systems)
 Output from the system is as follows:
 On-line Reports
 On-line Screen Displays
 The LAA system interfaces the Loan Accounting Tracking System - LATS

NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers)
 Office of the Comptroller
 Lawrence R. Rosenbaum, Comptroller
 1441 L Street, N.W. Room 524
 Washington, D.C. 20416 (202)653-6349

AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports)

Gregory Walters Office of the Comptroller Small Business Administration 1441 L Street, N.W. Room 500 Washington, D.C. 20416 (202)653-6225	Frederick Klein Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 912 Washington, D.C. 20416 (202)653-6222
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PREVIOUS DISPOSITION JOBS.

A. PREPARER'S NAME Frederick Klein	9B OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street NW, Washington, DC 20416
C. PHONE NUMBER 202/653-6042	

SIGNATURE *Frederick Klein* **DATE** *1/17/80*

INFORMATION SYSTEM DESCRIPTION

SYSTEM TITLE Loan Servicing and Debt Collection	2. SYSTEM CONTROL NUMBER (PMA) Collection Agency Referrals
AGENCY PROGRAM SUPPORTED BY SYSTEM Business Loan Investment and Disaster Loan Programs	4. PROGRAM AUTHORITY Small Business Act and Small Business Investment Act as Amended

5. SYSTEM DESCRIPTION

PURPOSE/FUNCTION OF SYSTEM

The Portfolio Management Collection Agency Referral System (PMA) provides for the referral of certain delinquent and charged-off accounts to a collection agency(s) for collection. The system provides for the referral of both consumer and commercial accounts in support of The Office of Management and Budget (OMB) Reform 88 Debt Collection initiatives.

SOURCE(S) OF DATA (Include Inputs from Other Systems)

The system uses the data from the LACCS database which includes a referral tracking record to trace the account status at time of referral, results obtained and final disposition. SBA personnel enter update information into the collection referral tracking record using online PMA transactions to record results attained and to refer accounts for collection.

INFORMATION CONTENT

The Collection Agency Referral System (PMA) is a batch and telecommunications system which refers certain loan accounts to collection agencies for collection. The specific agencies are provided under contracts issued and managed by the General Services Administration (GSA). The PMA referral tracking record is updated to record the initial referral, the results attained (collections, fees and CCLR reports), and the final disposition of the referral.

SYSTEM OUTPUTS (Include Outputs to Other Systems)

The PMA system stimulates payment transactions which are input to the LACCS collection processing system for posting to the borrower's account. The PMB system provides reports to audit and manage the exchange of information between the collection agencies and the SBA. These include reports for verifying collection agency invoices, monthly accounting operations reports, and reports from SBA to the collection agencies detailing the accounts that were returned to SBA.

NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers)

Office of Finance and Investment Edwin T. Holloway, AA/F&I 1441 L Street, N.W. Room 800 Washington, D.C. 20416 (202)653-6632	Office of Portfolio Management Earl L. Chambers, Director 1441 L Street, N.W. Room 816 Washington, D.C. 20416 (202)653-6860
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AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the program it supports)

Lawrence R. Rosenbaum Comptroller, Office of the Comptroller Small Business Administration 1441 L Street, N.W. Room 524 Washington, D.C. 20416 (202)653-6349	Jerry Bennett Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 901 Washington, D.C. 20416 (202)653-6463
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PREVIOUS DISPOSITION JOBS.

PREPARER'S NAME

Jerry W. Bennett

PHONE NUMBER

202/653-6463

9B. OFFICE NAME AND ADDRESS

Office of Information Management
Small Business Administration
1441 L Street, N.W. Washington, D.C. 20416

SIGNATURE

Lawrence R. Rosenbaum

DATE

1 10 87

INFORMATION SYSTEM DESCRIPTION

1. SYSTEM TITLE Loan Servicing and Debt Collection	2. SYSTEM CONTROL NUMBER (PMB) Credit Bureau Reporting
3. AGENCY PROGRAM SUPPORTED BY SYSTEM Business Loan Investment and Disaster Loan Programs	4. PROGRAM AUTHORITY Small Business Act and Small Business Investment Act as Amended
5. SYSTEM DESCRIPTION	
5A. PURPOSE/FUNCTION OF SYSTEM The Portfolio Management Credit Bureau Reporting System (PMB) provides for the reporting of certain consumer and all commercial accounts to credit bureaus in support of The Office of Management and Budget (OMB) Reform 88 Debt Collection initiatives.	
5B. SOURCE(S) OF DATA (Include inputs from Other Systems) The system uses the data from the LACCS database which includes a reported tracking record to trace the account status at time of reporting, results obtained and final disposition.	
5C. INFORMATION CONTENT The Credit Bureau Reporting System (PMB) is a batch and telecommunications system which reports consumer loans (those which have been referred to the IRS offset program) to participating credit bureaus designated by the General Services Administration (GSA). The current loan account status information is established on a monthly basis, current information forwarded to the credit bureaus, and updated to the credit bureau reporting tracking record on the LACCS database.	
5D. SYSTEM OUTPUTS (Include Outputs to Other Systems) The PMB system provides initial and current information, which was reported to credit bureaus, to SBA personnel via the PMQ AND PMB telecommunications query displays. An information update file is prepared monthly and forwarded to each credit bureau via computer magnetic tape.	
5. NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers) Office of Finance and Investment Edwin T. Holloway, AA/F&I 1441 L Street, N.W. Room 800 Washington, D.C. 20416 (202)653-6632 Office of Portfolio Management Earl L. Chambers, Director 1441 L Street, N.W. Room 816 Washington, D.C. 20416 (202)653-6860	
7. AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports) Lawrence R. Rosenbaum Comptroller, Office of the Comptroller Small Business Administration 1441 L Street, N.W. Room 524 Washington, D.C. 20416 (202)653-6349 Jerry Bennett Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 901 Washington, D.C. 20416 (202)653-6463	
8. PREVIOUS DISPOSITION JOBS.	
9A. PREPARER'S NAME Jerry W. Bennett	9B. OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street, N.W. Washington, D.C. 20416
9C. PHONE NUMBER 202/653-6463	
SIGNATURE <i>Lawrence E. Bennett</i>	DATE 1-19-87

INFORMATION SYSTEM DESCRIPTION

SYSTEM TITLE Loan Servicing and Debt Collection	2. SYSTEM CONTROL NUMBER (PMC)
AGENCY PROGRAM SUPPORTED BY SYSTEM Business Loan Investment and Disaster Loan Programs	4 PROGRAM AUTHORITY Small Business Act and Small Business Investment Act as amended - -

5. SYSTEM DESCRIPTION

3. PURPOSE/FUNCTION OF SYSTEM
The Delinquent Loan Collection System (DLCS) is an online telecommunications system which provides SBA field office collection personnel with access to the collection information on SBA's central facility database in their routine collection activity. The system provides for the automatic distribution, grouping and prioritization of delinquent accounts for processing by the responsible collection personnel.

B SOURCE(S) OF DATA (Include Inputs from Other Systems)
The system uses the data from the LACCS database. SBA's delinquent debt collectors enter comments to document collection efforts and results attained.

C. INFORMATION CONTENT
The Delinquent Loan Collection System (DLCS) is a telecommunications oriented paperless system to assist collectors in processing past due accounts. The DLCS database of delinquent accounts is refreshed on a weekly basis from the LACCS database. The DLCS database collector comments are entered as needed and provides an online history of the collection efforts for an account. Collector work queues are refreshed on a weekly basis and are linked to the collector's user code which are maintained by DLCS.

D SYSTEM OUTPUTS (Include Outputs to Other Systems)
The DLCS provides daily and weekly statistics reports to allow management to perform analysis of delinquent accounts. Performance statistics are available for each collector as well as management reports on an as needed basis.

E NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers)

Office of Finance and Investment Edwin T. Holloway, AA/F&I 1441 L Street, N.W. Room 800 Washington, D.C. 20416 (202)653-6632	Office of Portfolio Management Earl L. Chambers, Director 1441 L Street, N.W. Room 816 Washington, D.C. 20416 (202)653-6860
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F AGENCY CONTACTS (Names Addresses and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports)

Lawrence R. Rosenbaum Comptroller, Office of the Comptroller Small Business Administration 1441 L Street, N.W. Room 524 Washington, D.C. 20416 (202)653-6349	Jerry Bennett Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 901 Washington, D.C. 20416 (202)653-6222
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G PREVIOUS DISPOSITION JOBS

9A PREPARER'S NAME Jerry W. Bennett	9B OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration Washington, D.C. 20416
9C PHONE NUMBER (202)653-6463	

SIGNATURE <i>Lawrence E. Bennett for</i>	DATE
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INFORMATION SYSTEM DESCRIPTION

1. SYSTEM TITLE Loan Servicing and Debt Collection	2. SYSTEM CONTROL NUMBER (PMI) Internal Revenue Offset
3. AGENCY PROGRAM SUPPORTED BY SYSTEM Business Loan Investment and Disaster Loan Programs	4. PROGRAM AUTHORITY Small Business Act and Small Business Investment Act as Amended

5. SYSTEM DESCRIPTION

A. PURPOSE/FUNCTION OF SYSTEM
The Portfolio Management Internal Revenue Offset System (PMI) provides for the referral of certain delinquent and charged-off consumer accounts to the Internal Revenue Service for debt offset against a borrower's tax return. The system provides for the referral of certain consumer accounts in support of The Office of Management and Budget (OMB) Reform 88 Debt Collection initiatives.

B. SOURCE(S) OF DATA (Include inputs from Other Systems)
The system uses the data from the LACCS which includes a referral tracking record to trace the account status at time of referral, results obtained and final disposition.

C. INFORMATION CONTENT
The Internal Revenue Offset System (PMI) is a batch and telecommunications system which refers certain delinquent accounts to the IRS for offset against refunds due from their federal tax returns. The PMI tracking record is updated to record the initial referral, the results attained (actual offset information and claim data) and final disposition.

D. SYSTEM OUTPUTS (Include Outputs to Other Systems)
The PMI system provides initial referral and offset information to SBA personnel via online telecommunication inquiry displays. An information update is prepared weekly and forwarded to the IRS via computer magnetic tape. Payment transactions are produced each week from a computer magnetic tape received from the IRS. The payment transactions are inputted to the LACCS collection processing system for posting to the borrower's account. The PMI system also provides reports to audit and manage the information exchanged and to be exchanged between the IRS and SBA.

NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers) Office of Finance and Investment Edwin T. Holloway, AA/F&I 1441 L Street, N.W. Room 800 Washington, D.C. 20416 (202)653-6632	Office of Portfolio Management Earl L. Chambers, Director 1441 L Street, N.W. Room 816 Washington, D.C. 20416 (202)653-6860
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AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports)	
Matthew A. McCroddan Director, Policy & Procedures Staff Small Business Administration 1441 L Street, N.W. Room 503-A Washington, D.C. 20416 (202)653-6349	Jerry Bennett Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 901 Washington, D.C. 20416 (202)653-6463

PREVIOUS DISPOSITION JOBS.

A. PREPARER'S NAME Jerry W. Bennett	9B OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street, N.W. Washington, D.C. 20416
C. PHONE NUMBER 202/653-6463	

SIGNATURE <i>Laurence E. Bennett</i>	DATE 1-19-87
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INFORMATION SYSTEM DESCRIPTION

1. SYSTEM TITLE Loan Servicing and Debt Collection		2. SYSTEM CONTROL NUMBER (PMN) Names & Address	
3. AGENCY PROGRAM SUPPORTED BY SYSTEM Business Loan Investment and Disaster Loan Programs		4. PROGRAM AUTHORITY Small Business Act and Small Business Investment Act as Amended	
5. SYSTEM DESCRIPTION			
5A. PURPOSE/FUNCTION OF SYSTEM The Portfolio Management Names & Addresses System (PMN) provides the capability for SBA personnel to document all participants associated with an SBA loan and to record how the name entry is associated with the loan. This information provided by the PMN system is in support of The Office of Management and Budget (OMB) Reform 88 Debt Collection Initiatives. Specific initiatives are reporting to credit bureaus, IRS offset, salary offset, using collection agencies, tracking litigation and liquidation accounts, and quality lending.			
5B SOURCE(S) OF DATA (Include Inputs from Other Systems) The PMN system includes an online telecommunication process which provides SBA personnel with inquiry and data entry capability to record information into the LACCS database's PMN Name and Address information record.			
5C. INFORMATION CONTENT The Portfolio Management Names and Addresses System (PMN) is a telecommunication system which provides SBA personnel the capability to record the name, address, phone number(s), and social security number of all of the participants associated with an SBA loan, and to record how the participant is associated with the loan; that is, guarantor, principal, co-borrower, attorney, etc.			
5D SYSTEM OUTPUTS (Include Outputs to Other Systems) The PMN system provides current participant name and address information to SBA personnel via online telecommunication inquiry displays. The PMN information is used as input to the Credit Bureau Reporting System (PMB) and to the Litigation & Liquidation Tracking System (PML).			
NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers)			
Office of Finance and Investment Edwin T. Holloway, AA/F&I 1441 L Street, N.W. Room 800 Washington, D. C. 20416 (202)653-6632		Office of Portfolio Management Earl L. Chambers, Director 1441 L Street, N.W. Room 816 Washington, D.C. 20416 (202)653-6860	
6. AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports)			
Lawrence R. Rosenbaum Comptroller, Office of the Comptroller Small Business Administration 1441 L Street, N.W. -Room 524 Washington, D.C. 20416 (202)653-6349		Jerry Bennett Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 901 Washington, D.C. 20416 (202)653-6463	
7. PREVIOUS DISPOSITION JOBS.			
8A PREPARER'S NAME Jerry W. Bennett		8B OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration Washington, D.C. 20416	
8C. PHONE NUMBER 202/653-6463			
SIGNATURE <i>Lawrence E. Bennett</i>		DATE <i>1-19-87</i>	

INFORMATION SYSTEM DESCRIPTION

SYSTEM TITLE Loan Servicing and Debt Collection		2. SYSTEM CONTROL NUMBER (PMQ) LACCS Query Displays	
AGENCY PROGRAM SUPPORTED BY SYSTEM Business Loan Investment and Disaster Loan Programs		4 PROGRAM AUTHORITY Small Business Act and Small Business Investment Act as Amended	
5. SYSTEM DESCRIPTION			
A. PURPOSE/FUNCTION OF SYSTEM <p>The Portfolio Management Query Display System (PMQ) is an online telecommunications system which provides SBA central and field office personnel with access to the LACCS database. These displays show pertinent loan origination, servicing, accounting, and statistical information. These displays also provide loan payoff amounts, repayment history, as well as statements of account information.</p>			
B SOURCE(S) OF DATA (Include Inputs from Other Systems) <p>The system uses the data from the LACCS database.</p>			
C. INFORMATION CONTENT <p>The Query Display System (PMQ) is a retrieval only telecommunications information display system. It provides SBA personnel with online display of information contained in the LACCS database.</p>			
D SYSTEM OUTPUTS (Include Outputs to Other Systems) <p>The Query Display System (PMQ) is a telecommunications information display system which provides SBA personnel with online display of information contained in the LACCS database.</p>			
NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers)			
Office of Finance and Investment Edwin T. Holloway, AA/F&I 1441 L Street, N.W. Room 800 Washington, D.C. 20416 (202)653-6632		Office of Portfolio Management Earl L. Chambers, Director 1441 L Street, N.W. Room 816 Washington, D.C. 20416 (202)653-6860	
AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports.)			
Lawrence R. Rosenbaum Comptroller, Office of the Comptroller Small Business Administration 1441 L Street, N.W. Room 524 Washington, D.C. 20416 (202)653-6349		Jerry Bennett Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 901 Washington, D.C. 20416 (202)653-6463	
PREVIOUS DISPOSITION JOBS.			
A. PREPARER'S NAME Jerry W. Bennett		9B OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street, N.W. Washington, D.C. 20416	
C. PHONE NUMBER 202/653-6463			
SIGNATURE <i>Lawrence E. Bennett for</i>		DATE 6-19-87	

INFORMATION SYSTEM DESCRIPTION

SYSTEM TITLE Loan Servicing and Debt Collection	2. SYSTEM CONTROL NUMBER (LAU) Loan Accounting Update
AGENCY PROGRAM SUPPORTED BY SYSTEM Business Loan Investment and Disaster Loan Programs	4. PROGRAM AUTHORITY Small Business Act and Small Business Investment Act as Amended

5. SYSTEM DESCRIPTION

1. PURPOSE/FUNCTION OF SYSTEM
The Portfolio Management Loan Accounting Update System (LAU) provides the Office of Finance & Investment Staff with the online telecommunications capability to accomplish SBA Form 327 actions and administrative changes. These include changes to the loan regarding collection status, repayment terms and conditions, participating lender information, addresses, and debt collection and servicing information. The system provides SBA field office staff with online data entry capability in support of The Office of Management and Budget (OMB) Reform 88 Debt Collection initiatives.

3. SOURCE(S) OF DATA (Include inputs from Other Systems)
The LAU system is used by SBA field office personnel to perform data entry of dates, dollar amounts, names and addresses, codes, identifying numbers, etc. regarding the lending information for a loan. The information entered is processed and stored in the main computer. Transactions are produced at the close of each day and forwarded to the LACCS system for updating to the borrower's account.

2. INFORMATION CONTENT
The Loan Accounting Update System (LAU) is a batch and telecommunications system which allows SBA field office personnel to accomplish certain changes to a borrower's loan information records stored in the LACCS database. The LAU system is not an information system itself. All of the information entered into the system is passed to the LACCS database via transactions produced at the close of each day.

4. SYSTEM OUTPUTS (Include Outputs to Other Systems)
The LAU system produces loan record update transactions which are posted to a borrower's LACCS database loan record by the LACCS loan accounting & loan collection update systems.

NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers)

Office of Finance and Investment Edwin T. Holloway, AA/F&I 1441 L Street, N.W. Room 800 Washington, D.C. 20416 (202)653-6632	Office of Portfolio Management Earl L. Chambers, Director 1441 L Street, N.W. Room 816 Washington, D.C. 20416 (202)653-6860
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AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports)

Lawrence R. Rosenbaum Comptroller, Office of the Comptroller Small Business Administration 1441 L Street, N.W. Room 503-A Washington, D.C. 20416 (202)653-6349	Jerry Bennett Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 901 Washington, D.C. 20416 (202)653-6860
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PREVIOUS DISPOSITION JOBS.

1. PREPARER'S NAME Jerry W. Bennett	9B. OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street, N.W. Washington, D.C. 20416
2. PHONE NUMBER 202/653-6463	

3. SIGNATURE <i>Lawrence E. Bennett</i>	DATE 1 10 87
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INFORMATION SYSTEM DESCRIPTION

SYSTEM TITLE 8 (a) FINANCIAL INFORMATION SYSTEM	2. SYSTEM CONTROL NUMBER (MSB)
AGENCY PROGRAM SUPPORTED BY SYSTEM Minority Small Business and Capital Ownership Development & Comptroller	4. PROGRAM AUTHORITY Small Business Act and Small Business Investment Act as amended

5. SYSTEM DESCRIPTION

A. PURPOSE/FUNCTION OF SYSTEM
 Maintains a file of all 8(a) certified companies
 Maintains a file of all contracts awarded to each company
 Maintains accounting files to include advance payments, business development expenses and letters of credit.
 Prepares periodic reports.

B. SOURCE(S) OF DATA (Include Inputs from Other Systems)
 Applicants for certification in 8(a) program (Company information)
 Federal Government procuring offices (contract information)
 SBA Field Offices
 Office of Comptroller

C. INFORMATION CONTENT
 This system contains data on 8(a) companies and their contracts together with pertinent accounting data. Information is captured from FY1968 to present. Coverage is nationwide. The master files are updated daily, Monday thru Friday. Some superceded data is saved. Data is entered via a national network and the master files are maintained at the Central Office in Washington, D.C. The system contains both detail and summary data as identified in item 5A above.

D. SYSTEM OUTPUTS (Include Outputs to Other Systems)
 The principal outputs are reports and terminal displays. Reports are produced monthly, quarterly and annually. Computer terminal displays are on-line real time. Selected information is passed to other systems.

NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers)
 Office of Minority Small Business and Capital Ownership Development
 1441 L Street, N.W.
 Room 602
 Washington, D.C. 20416

AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports)

Edward Neal Deputy, AA/Minority Small Business & Capital Ownership Development Small Business Administration 1441 L Street, N.W. Room 602 Washington, D.C. 20416 (202)653-6407	Donna Clark Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 912 Washington, D.C. 20416 (202)653-6222
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PREVIOUS DISPOSITION JOBS.

A. PREPARER'S NAME John Hightower	9B. OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street NW, Washington, DC 20416
C. PHONE NUMBER 202/653-6222	

SIGNATURE 	DATE 6/22/87
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INFORMATION SYSTEM DESCRIPTION

1. SYSTEM TITLE Surety Bond Guarantee System		2. SYSTEM CONTROL NUMBER (SBG)			
3. AGENCY PROGRAM SUPPORTED BY SYSTEM Surety Bond Guarantee (SBG) Program		4. PROGRAM AUTHORITY Small Business Act and Small Business Investment Act as Amended			
5. SYSTEM DESCRIPTION					
5A. PURPOSE/FUNCTION OF SYSTEM The SBG System is designed to be responsive to the Agency's needs in reporting the Surety Bond Guarantee program and financial information. The system uses a centralized database to furnish timely and accurate reporting of contingent liabilities, fee receivables, claim payables, and various income and expenses in connection with the program.					
5B. SOURCE(S) OF DATA (Include inputs from Other Systems) Data for the system is entered on-line and represents data obtained from the following sources: Surety Companies, Surety Agents, Obligees, Principals, and claims attorneys. The SBG system receives cash collection data from the Office of Financial Operations in Denver (SBA's Collection Facility).					
5C. INFORMATION CONTENT The Surety Bond Guarantee (SBG) Program encourages the commercial surety market to make surety bonds more available to small contractors. These bonds are for firms which perform contracts of 1.25 million dollars or less when a surety bond is required but is not privately available without an SBA guarantee. The SBG on-line database system provides capabilities in the following areas: <ol style="list-style-type: none"> 1. Data entry via the SBA Network from the Regional and Central Offices, and Denver Office of Financial Operations. 2. System update is accomplished daily in a batch mode. 3. Data is available to SBA personnel through on-line inquiry screen displays and scheduled nationwide and local reports. 					
5D. SYSTEM OUTPUTS (Include Outputs to Other Systems) System outputs are as follows: Reports Screen Displays Disbursement information is transferred to Treasury for 1166 disbursement of funds via magnetic tape.					
6. NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers) Office of Finance and Investment Edwin T. Holloway, AA/F&I 1441 L Street, NW Room 808 Washington, D.C. 20416					
7. AGENCY CONTACTS (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports) <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;">Office of Surety Guarantee Director, Howard F. Hugel 4040 N. Fairfax Drive Room 500 Arlington, VA 22203 (FTS 235-2900)</td> <td style="width: 50%; vertical-align: top;">Frederick Klein Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 912 Washington, D.C. 20416 (202)653-6042</td> </tr> </table>				Office of Surety Guarantee Director, Howard F. Hugel 4040 N. Fairfax Drive Room 500 Arlington, VA 22203 (FTS 235-2900)	Frederick Klein Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 912 Washington, D.C. 20416 (202)653-6042
Office of Surety Guarantee Director, Howard F. Hugel 4040 N. Fairfax Drive Room 500 Arlington, VA 22203 (FTS 235-2900)	Frederick Klein Small Business Administration Office of Information Resources Management 1441 L Street, N.W. Room 912 Washington, D.C. 20416 (202)653-6042				
8. PREVIOUS DISPOSITION JOBS.					
9A. PREPARER'S NAME Frederick Klein		9B. OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street NW, Washington, DC			
9C. PHONE NUMBER 202/653-6042					
SIGNATURE 		DATE 6/22/87			

INFORMATION SYSTEM DESCRIPTION

1. SYSTEM TITLE Administrative Accounting		2. SYSTEM CONTROL NUMBER (AAS)	
3. AGENCY PROGRAM SUPPORTED BY SYSTEM Office of the Comptroller		4. PROGRAM AUTHORITY SOP 20 12	
5. SYSTEM DESCRIPTION			
5A. PURPOSE/FUNCTION OF SYSTEM The system supports the Administrative Accounting functions of the Agency for payroll, travel, purchasing and paying. It also supports the full time equivalency reporting effort for the Office of Management and Budget.			
5B. SOURCE(S) OF DATA (Include Inputs from Other Systems) SBA Form 249 Transmittal from Office of Financial Operations (Denver), Payroll bi-weekly Tape File, and Payroll bi-weekly History File.			
5C. INFORMATION CONTENT Batch, sequence number, location, fiscal year, activity, object class, transaction code, ledger accounts, amount, document reference member and vendor name.			
5D. SYSTEM OUTPUTS (Include Outputs to Other Systems) The system produces 44 reports and Com Microfiche. Output from the system is disposable via GRS 20 item 17.			
6. NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (include room numbers)			
Office of the Comptroller Guarantees & Financial Reporting Br. 1441 L St, N.W. Room 426 Washington, D.C. 20416		Office of the Comptroller Computer Services Branch P.O. Box 205 Denver CO 80201	
7. AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports.)			
Anne Roman Chief, Guarantees & Financial Reports Branch Small Business Administration 1441 L Street, N.W. Room 426 Washington, D.C. 20416 (202) 653-6456		Donna Clark Small Business Administration Office of Information Resources Management 1441 L Street, NW Room 918 Washington, D.C. 20416 (202)653-6222	
8. PREVIOUS DISPOSITION JOBS.			
9A. PREPARER'S NAME Roy N. Hill Jr.		9B. OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street NW, Washington, DC	
9C. PHONE NUMBER 202/653-8379			
SIGNATURE Roy N. Hill		DATE 6-22-87	

INFORMATION SYSTEM DESCRIPTION

1. SYSTEM TITLE Computerized Internal Control Reviews		2. SYSTEM CONTROL NUMBER (CICR)	
3. AGENCY PROGRAM SUPPORTED BY SYSTEM Office of Program Analysis and Review		4. PROGRAM AUTHORITY OMB Circular A-123	
5. SYSTEM DESCRIPTION			
A. PURPOSE/FUNCTION OF SYSTEM The Computerized Internal Control Review is a management tool for reviewing field office operations. This system retains Regional authority and responsibility for the operation of the offices located within their respective Regions. It also provides national oversight of their reviews by the Office of Program Analysis and Review and does selective sampling of field offices.			
B. SOURCE(S) OF DATA (Include Inputs from Other Systems) Data is provided by SBA field offices and is consolidated and entered using terminals by CICR Review Teams.			
C. INFORMATION CONTENT All findings by CICR review teams are electronically and expeditiously transmitted to the Central Office where summary reports of strengths and weaknesses of operations and controls are readily available. The data in the system can be arrayed in many different formats, making it easy to observe the operational performance of district and Regional offices. The CICR data is easily retrieved for use by management. Information is maintained on the office's performance against specific criteria, e.g, SOP's, regulations, etc.			
D. SYSTEM OUTPUTS (Include Outputs to Other Systems) Hardcopy summary reports and online office reports can be generated on request. The reports obtained from the system included the problems concerning Internal Control compliance and the Field Office corrective action plan designed to overcome the problems.			
NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers) Office of Program Analysis and Review 1441 L Street, N.W. Room 900 Washington, D.C. 20416			
E. AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports)			
Albert J. Pendergast Director, Office of Program Analysis and Review Small Business Administration 1441 L Street, N.W. Room 932 Washington, D.C. 20416 (202)653-6908		Donna Clark Small Business Administration Office of Information Resources Management 1441 L Street, NW Room 918 Washington, D.C. 20416 (202)653-6222	
F. PREVIOUS DISPOSITION JOBS.			
A. PREPARER'S NAME David Kimble		98. OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street NW, Washington, DC 20416	
C. PHONE NUMBER 202/653-6222			
SIGNATURE 		DATE 06-28-87	

INFORMATION SYSTEM DESCRIPTION

SYSTEM TITLE Procurement Assistance Management System	2. SYSTEM CONTROL NUMBER (PAMS)
AGENCY PROGRAM SUPPORTED BY SYSTEM Procurement Assistance to Small Businesses	4 PROGRAM AUTHORITY Small Business Act and Small Business Investment Act as Amended

5. SYSTEM DESCRIPTION

A. PURPOSE/FUNCTION OF SYSTEM

Maintains data on Certificates of Competency cases (COC Cases).
 Maintains data on procurements by selected Government Procurement offices.
 Maintains name and address of companies monitored by subcontracting program.

B SOURCE(S) OF DATA (Include inputs from Other Systems)

SBA offices receive data from various government procurement offices. Data is reviewed and forwarded to the central office using electronic means or the forms are mailed.

C. INFORMATION CONTENT

Name/Address and pertinent case information for COC cases; a variety of data pertaining to type and amount of procurement from selected government agencies.
 Name of company/address/contact person of private sector companies monitored by subcontracting program.

D SYSTEM OUTPUTS (Include Outputs to Other Systems)

Hardcopy reports showing detail and summary data.

NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers)

Office of Procurement Assistance
 1441 L Street, N.W. Room 600
 Washington, D.C. 20416

AGENCY CONTACTS. (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports)

Robert Moffitt
 Deputy, AA/Procurement Assistance
 Small Business Administration
 1441 L Street, N.W. Room 600
 Washington, D.C. 20416 (FTS 653-6635)

Donna Clark
 Small Business Administration
 Office of Information Resources Management
 1441 L Street, N.W. Room 918
 Washington, D.C. 20416 (202)653-6222

PREVIOUS DISPOSITION JOBS.

A. PREPARER'S NAME John Hightower	9B. OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street NW, Washington, DC 20416
C. PHONE NUMBER 202/653-6222	DATE 6/22/87
GNATURE 	

INFORMATION SYSTEM DESCRIPTION

1. SYSTEM TITLE Business Development Management Information System		2. SYSTEM CONTROL NUMBER (BDMIS)	
3. AGENCY PROGRAM SUPPORTED BY SYSTEM Business Development		4. PROGRAM AUTHORITY Small Business Act, P. L. 97 - 219	
5. SYSTEM DESCRIPTION			
5A. PURPOSE/FUNCTION OF SYSTEM The system supports the Business Development program, providing information on counseling and training activities.			
5B SOURCE(S) OF DATA (Include Inputs from Other Systems) SBA district office business development employees, SCORE counselors, SBI directors, and SBDC employees/volunteers complete an SBA Form 1062 or 888 when small business development counseling or training is performed. Data is entered into the system from these documents.			
5C. INFORMATION CONTENT Name, address, telephone number, business information, ethnic background, sex, military status, counselor identification, date of counseling, and type of counseling provided for each individual counseled. Type of training, location, number of attendees, cosponsoring resource, format and attendee fee for each unit of training provided. Counseling info is updated as follow-on counseling is provided.			
5D SYSTEM OUTPUTS (Include Outputs to Other Systems) Hardcopy reports are produced on request overnight showing counseling/training activity, mailing addresses for clients counseled are available on request. Some hardcopy reports are produced on a monthly basis.			
6. NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers) Office of Business Development Small Business Administration 1441 L Street, N.W. Room 317 Washington, D.C. 20416			
7. AGENCY CONTACTS (Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports)			
John Cox AA, Business Development Small Business Administration 1441 L Street, N.W. Washington, D.C. 20416 (202)653-6881		Donna Clark Small Business Administration Office of Information Management 1441 L Street, N.W. Room 918 Washington, D.C. 20416 (202) 653-6222	
8. PREVIOUS DISPOSITION JOBS.			
9A. PREPARER'S NAME Donna Clark		9B OFFICE NAME AND ADDRESS Office of Information Management Small Business Administration 1441 L Street NW, Washington, DC 20416	
9C PHONE NUMBER 202/653-6222			
SIGNATURE Donna Clark		DATE 6/22/87	



United States
 General Accounting Office
 Washington, D.C. 20548

JK 10/2/87

NIRC

General Services
 and Controller

SEP 25 1987

Mr. William A. Cline
 Chief, Administrative Information Branch
 Office of Administrative Services
 Small Business Administration (SBA)
 Washington, DC 20416

*Cline -
 Note GAO comments.
 Why would NASA want
 the master file if the
 loan records?*

Dear Mr. Cline:

We have reviewed your request dated July 10, 1987, for records disposition authority on your Electronics Records Schedule. You propose to dispose of specified data converted to electronic storage and retrieval after various periods of time. The proposal covers the Loan Accounting Cash Collection System (LACCS), a number of LACCS information subsystems and some related information systems.

As discussed with Cleo Verbillis of your staff, based upon conversations with officials at SBA, the SBA loan accounts are maintained on line as part of the LACCS information system and other information subsystems are generated from the LACCS system to meet special SBA needs. These accounts remain on line as part of LACCS until they are paid in full. At that time SBA proposes to store the information on tapes (identified as the transaction history tapes and master tapes) and to offer them to the National Archives and Records Administration for permanent retention. In addition, the SBA will retain a duplicate set of transaction history tapes and master tapes for its own use for 6 years and 3 months. The records disposition schedule for LACCS does not specify the date upon which the 6 years and 3 months is intended to begin to run (see item no. 1.A. Disposition (d).) We suggest modifying the item to reflect that the duplicate tapes are to be retained by SBA for 6 years and 3 months from the year in which the final payment is made under the loan.

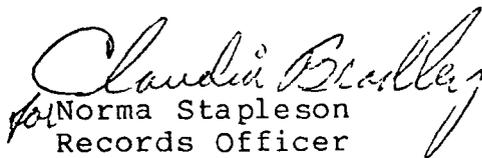
Furthermore to the extent any of the information subsystems depend upon the LACCS systems as the source of their information, we have no objection to their retention for lesser periods of time than that specified in the schedule for LACCS.

Finally, to the extent that other information systems are independent of the LACC system and contain information not found in the LACCS system, then we have the following recommendation. If these systems (for example, the Surety Bond Guarantee system) document transactions under which the government has become exposed to potential future legal or financial risks, the disposition schedule should reflect this in order to avoid confusion. For example, final payment under a contract usually is used as the starting point for triggering the running of the period of time to retain contract records.

The period of 6 years and 3 months from that date is based upon the time persons generally have to sue the government or the government to sue others for any claims arising out of the performance of the contract and which arose prior to final payment. Thus, whether the information is retained on hard copy, on line, on tape or in some other medium is irrelevant for record retention purposes if it is the source of information on which the government relies to protect its legal and financial interests.

Consequently, we recommend that in the portions of the schedule where it has not already done so SBA review its schedule to identify the event triggering the running of the time period for retaining information and to specify this in its disposition schedule for those records necessary to protect the legal financial interest of the United States. This will avoid the premature loss of information due to misunderstanding on the part of persons implementing the records schedules.

Sincerely,


for Norma Stapleton
Records Officer

✓ cc: NARA