

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1. FROM (Agency or establishment)  
Small Business Administration

2. MAJOR SUBDIVISION  
Office of Administrative Services

3. MINOR SUBDIVISION  
Administrative Information Branch

4. NAME OF PERSON WITH WHOM TO CONFER  
Helga Taylor

5. TELEPHONE  
(202) 205 - 7053

LEAVE BLANK (NARA use only)

JOB NUMBER  
*NI-309-03-7*

DATE RECEIVED  
*6-18-03*

**NOTIFICATION TO AGENCY**

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE  
*9-12-03*

ARCHIVIST OF THE UNITED STATES  
*[Signature]*

6. AGENCY CERTIFICATION  
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached \_\_\_\_\_ 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  is not required;  is attached; or  has been requested.

DATE <i>06-18-2003</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	TITLE Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	The attached electronic records disposition schedule is a new electronic application to be added to SBA's present records management manual.		

**System Name:** Investment Division Participating Securities Database

**Program:** Office of Capital Access, Investment Division

**Legal Authority:** Small Business Act of 1958, 15 USC 661 et seq, as amended, and 13 CFR Part 107

**Applicability:** Office of Capital Access, Investment Division

**Restrictions:** The system contains business or financial information, the disclosure of which is restricted under the Freedom of Information Act. This system contains information restricted under the Privacy Act.

**Purpose:** The purpose of this system is to capture and track information relating to SBA-guaranteed Small Business Investment Company (SBIC) participating securities. Information includes: (i) funding, (ii) advanced prioritized payments made by SBA, and (iii) distributions made by SBICs.

Item No.	Description of Records	Disposition
1.	<p>Input: Electronic:</p> <ul style="list-style-type: none"> <li>a. quarterly redemption schedule (Excel spreadsheet).</li> <li>b. quarterly distribution summary (Excel spreadsheet).</li> </ul> <p>Paper:</p> <ul style="list-style-type: none"> <li>c. quarterly distribution letters to Chase Manhattan Bank.</li> <li>d. quarterly schedule A (outline for cash distributions).</li> </ul>	<ul style="list-style-type: none"> <li>a. &amp; b. Temporary. Cut off at end of fiscal year in which the security matures. Delete six years and three months after cutoff.</li> <li>c. &amp; d. Temporary. Cut off at end of fiscal year in which license is canceled or surrendered. Retire to Federal Records Center two years after cutoff. Destroy six years and three months after cutoff.</li> </ul>
2.	<p>Master File contains participating securities issued, participating securities outstanding balances, advanced prioritized payments, and SBIC distributions.</p>	<p>Temporary. Cut off at end of fiscal year in which the security matures. Delete six years after cutoff.</p>
3.	<p>Output:</p> <ul style="list-style-type: none"> <li>a. Quarterly online Access-based reports outlining prioritized payments, advanced prioritized payments, distributions, etc.</li> <li>b. Excel and PDF versions of quarterly reports.</li> </ul>	<ul style="list-style-type: none"> <li>a. Temporary. Delete when report is exported to Excel or PDF file.</li> <li>b. Temporary. Cut off at end of fiscal year. Delete six years and three months after cutoff.</li> </ul>
4.	<p>Documentation</p>	<p>Temporary. Destroy when obsolete or superseded.</p>
5.	<p>Backups.</p>	<p>Temporary. Delete when replaced by a subsequent backup file.</p>

6. **Electronic Mail and Word Processing Copies:** Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of other items covered in this schedule. **Temporary.** Delete after the recordkeeping copy has been produced.

**Contact Information:**

Name: John Wilmeth

Telephone No: 202-205-6528

Program: Office of Capital Access, Investment Division, Data Management Branch