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|--|---|---|--|
| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b><br><i>(See Instructions on reverse)</i> |   | LEAVE BLANK (NARA use only)   |  |
| TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)<br>WASHINGTON, DC 20408           |   | JOB NUMBER<br><i>NI-309-05-7</i>  | DATE RECEIVED<br><i>1/24/05</i>                  |
| 1. FROM (Agency or establishment)<br>Small Business Administration                       |   | NOTIFICATION TO AGENCY<br><br>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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. |  |
| 2. MAJOR SUBDIVISION<br>Office of Administrative Services                                |   |   |  |
| 3. MINOR SUBDIVISION<br>Administrative Information Branch                                |   |   |  |
| 4. NAME OF PERSON WITH WHOM TO CONFER<br><br>Helga Taylor                                | 5. TELEPHONE<br><br><i>7053</i><br>(202) 205 - 2005 | DATE<br><i>5/15/06</i>  | ARCHIVIST OF THE UNITED STATES<br><i>Al W...</i> |

**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 3 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<br><i>11</i><br>01-08-2005 | SIGNATURE OF AGENCY REPRESENTATIVE<br><i>Joe Zambone White</i> | TITLE<br>Records Officer |
|---------------------------------|--|--------------------------|

| 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 GRS OR SUPERSEDED JOB CITATION | 10.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 schedule (Form 1031 Portfolio Financing Database System) is a new electronic application to be added to SBA's current records management program. |                                   |                                  |

**System Name:** Form 1031 Portfolio Financing Database System

**Program:** Small Business Investment Company administered by the Investment Division

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

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

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

**Purpose:** The purpose of the Form 1031 Portfolio Financing Database System is to compile and track portfolio investments made by SBA licensed Small Business Investment Companies.

| <b>Item No.</b> | <b>Description of Records</b>   | <b>Disposition</b>   |
|-----------------|---|--|
| 1.              | Input. Database file sent to the Investment Division by the SBIC via electronic mail. This file is subjected to various checks for content and accuracy and is then appended to the master database.  | Temporary. Cut off at end of fiscal year in which license is no longer active. Delete 15 years after cutoff.                                     |
| 2.              | Master File. The master file is an ACCESS database. Information includes name of licensee, license number, small business ID number, company ownership race demographics, financing amount, financing type (loan, debt, equity only), and pre-financing tax information.  | Permanent. Cut off at end of fiscal year. Transfer to the National Archives in ASCII or EBCDIC flat file annually after fiscal year-end cut off. |
| 3.              | Output.<br>3a. SBIC Program Statistical Package (Stat Pack). Consists of tables measuring SBIC Program performance, tables used in Congressional testimony, and tables used to illustrate the SBIC Program. It consists of information taken from the Forms 1031 and 468. Stat Pack is published annually in hardcopy, and a PDF version is found on the SBA website. | 3a. Permanent. Cut off at the end of fiscal year. Transfer to the National Archives annually after fiscal year-end cut off.                      |
|                 | 3b. SBA internal annual reports similar to Stat Packs, but reports contain specific demographic information on SBICs.   | 3b. Permanent. Cut off at the end of fiscal year. Transfer to the National Archives annually after fiscal year-end cut off.                      |

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| 3c. Other ad-hoc reports produced upon request.  | 3c. Temporary. Destroy/delete when obsolete or superseded by a subsequent report.                                |
| 4. Documentation.  | Permanent. Cut off at the end of fiscal year. Transfer to the National Archives with related electronic records. |
| 5. 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.  |