

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 the National Ombudsman

3 Minor Subdivision
N/A

4 Name of Person with whom to confer
Helga Taylor

5 Telephone (include area code)
202-205-7053

Leave Blank (NARA Use Only)

Job Number
NI-309-11-1

Date Received
1/11/11

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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 **08/12/12** 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 2 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 has been requested

Signature of Agency Representative
[Signature]

Title
Records Officer

Date (mm/dd/yyyy)
1-7-2011

Item Number	8 Description of Item and Proposed Disposition	9 GRS or Superseded Job Citation	10 Action taken (NARA Use Only)
	<p>The attached schedule "The National Ombudsman" represents a new schedule the SBA wishes to add to its "Records Management Program" manual.</p> <p>It has not previously been scheduled.</p>	N/A	

Office of the SBA National Ombudsman—Record Schedule

The National Ombudsman's primary mission is to assist small businesses when they experience excessive or unfair federal regulatory enforcement actions, such as repetitive audits or investigations, excessive fines, penalties, threats, retaliation or other unfair enforcement action by a federal agency.

<u>ITEM NO</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
__ 01	<u>Comments by small entities jurisdictional</u> Includes comments from small businesses and others authorized by SBREFA (Small Business Regulatory Enforcement Fairness Act) to seek high-level review of Federal agencies which took a regulatory enforcement action disputed by commenter and Federal agencies' responses	Cutoff each calendar year These records are <u>Permanent</u> Send to FRC 3 years after cutoff. Send to NARA ¹⁵ years after cutoff <i>per 3-21-12 email ms</i>
__ 02	<u>Comments by small entities —non-jurisdictional</u> Includes comments from small businesses and others seeking review of Federal agency actions other than regulatory enforcement and Federal agencies' responses.	Cutoff each calendar year These records are <u>Temporary</u> Send to FRC 2 years after cutoff Destroy 5 years after cutoff
__ 03	<u>Records of the Office of the National Ombudsman Hearings and Roundtables</u>	
a	Hearing Transcripts	Permanent Cutoff each calendar year Send to FRC 3 years after cutoff Transfer to NARA ¹⁵ years after cutoff. <i>per 3-21-12 email ms</i>
b	Sound Recordings	Temporary Cutoff after each Hearing Delete/destroy 5 years after cutoff.

Office of the SBA National Ombudsman—Record Schedule

<u>ITEM NO</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
	<p>c. Planning/Working Files Consists of records relating to the planning and execution of hearings and roundtables. Includes lists of participants, proposed agendas, travel arrangements, and other records that are used to prepare for hearings and roundtables</p>	<p>Temporary Cutoff after each Hearing or Roundtable Delete/ Destroy 5 years after cutoff</p>
__ 04	<p><u>Annual Reports to Congress</u></p> <p>Includes published versions transmitted to committees of the Congress, as required by SBREFA the ONO's authorizing statute, the Small Business Paperwork Relief Act (SBPRA); or other laws</p>	<p>Cutoff each calendar year</p> <p>These records are <u>Permanent</u> Send to FRC 3 years after cutoff Transfer to NARA 15 years after cutoff <i>15 per 3-21-12 email ms</i></p> <p>The ONO will keep reference Copies indefinitely</p>
__ 05	<p><u>Annual Regulatory Fairness Board meeting (required by SBREFA)</u> Agenda, minutes, preparations</p> <p>At annual meetings are forums SBA Regulatory Fairness Board members advise the Ombudsman on enforcement matters and compliance trends</p>	<p>Cutoff each calendar year</p> <p>These records are <u>Temporary</u> Transfer to NARA 3 years after cutoff</p> <p>The ONO will keep reference copies so long as they are useful</p>
__ 06	<p><u>Board Member Files</u> <u>Regulatory Fairness Board members</u>—appointment; actions, ideas on SBREFA, members' travel</p>	<p>Cutoff each calendar year</p> <p>These records are <u>Temporary</u> Send to FRC 2 years after cutoff</p> <p>The ONO will keep reference copies so long as they are useful</p> <p>Destroy 5 years after cutoff</p>

Office of the SBA National Ombudsman—Record Schedule

<u>ITEM NO</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
<u> </u> 07	Federal inter-agency SBREFA meetings, includes agenda, planning documents, Federal Register notices, invitation e-mails, sign-in sheets, etc	Cutoff each calendar year These records are <u>Temporary</u> Send to FRC 2 years after cutoff The ONO will keep reference copies so long as they are useful Destroy 5 years after cutoff