

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

71-309-03-9

DATE RECEIVED

6-30-2003

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 4 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

06-25-2003

SIGNATURE OF AGENCY REPRESENTATIVE

[Signature]

TITLE

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SUPERSEDED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 disposition schedule is a new electronic application to be added to SBA's present records management manual.

N/A

System Name: Certification Tracking System (CTS).

Program: Office of Business Development, Office of Government Contracting Business Development

Legal Authority: Sections 8(a) and 7 (j) of the Small Business Act authorize a Minority Small Business and Capital Ownership Development program (designated the 8(a) Business Development or 8(a) BD program. 15 U.S.C. 634(b)(6), 636(j), 637(a), 637(d) and Pub. L.99-661, Pub.L.100-656, sec. 1207, Pub.L.101-37, Pub.L.574, and 42 U.S.C. 9815.(13 CFR SS 124)

Applicability: Office of Business Development, Office of Government Contracting and Business Development

Restrictions: The system contains information restricted under the Privacy Act. The system contains confidential commercial or financial information the disclosure of which might be restricted under the Freedom of Information Act.

Purpose: The Office of Business Development (BD) assists firms owned and controlled by economically and socially disadvantaged individuals to enter the economic mainstream. BD certifies Small Disadvantaged Businesses (SDB) to make them eligible for special bidding benefits in federal procurement. The Certification Tracking System (CTS) tracks the certification applications including approved and declined applications. After eligibility for the certificate has been approved, this information is transmitted to the Servicing and Contracts System/Central Office Repository (SACS/MEDCOR).

Item No.	Description of Records	Disposition
1.	Input:	
	a. Firm application files containing hard-copy application documents, financial statements, letters, reports, and analyses.	
	(1) Approved application files	(1) Temporary. (Previously approved under the authority N1-309-87-1, Item 80:03.)
	(2) Declined application files	(2) Temporary. Cut off at end of calendar year of final decline of application. Destroy six years after cutoff.
	b. File containing appropriate termination or graduation data. Output of SACS/MEDCOR.	b. Temporary. Delete daily after overnight transfer process.

2. Master File: Electronic records contain the following information: business name, address, North American Standard Industrial Classification (NASIC) codes, business type, ownership, gender, and other supporting profile information.

Permanent. Transfer to National Archives the ASCII or EBCDIC flat file every five years at the end of calendar year beginning with CY 2005 as specified in 36 CFR 1228.270.
3. Output:
 - a. Online inquiries on a number of specific fields.

a. Temporary. Delete when obsolete or superseded by subsequent online query.
 - b. Management and operational reports for ad-hoc, weekly, monthly and yearly distribution

b. Temporary. Cut off at end of fiscal year. Destroy hard copy reports three years after cutoff.
 - c. File containing firm demographic and eligibility data on applications approved the previous day. Input to SACS/MEDCOR.

c. Temporary. Delete daily after overnight transfer process.
 - d. File containing appropriate data regarding a firm's termination from the 8(a) program. Input to SACS/MEDCOR.

d. Temporary. Delete daily after overnight transfer process.
 - e. File containing appropriate data for approved firms. Input to PRONet.

e. Temporary. Delete daily after overnight transfer process.
4. Documentation

Permanent. Break file at the end of each major version change. Transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives annually as specified in 36 CFR 1228.270. This documentation would be transferred with the electronic data flat file (item 2).
5. Backups

Temporary. Delete when the identical records have been deleted, or when replaced by a subsequent backup file.
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 records covered by other items in this schedule.

Temporary. Delete after the recordkeeping copy has been produced.

Contact Information:

Office: Office of Business Development

Name: Jody Stallings

Telephone Number: 202-205-7755