

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-309-05-11

DATE RECEIVED
 5/11/05

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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
 Feb 23, 2006

ARCHIVIST OF THE UNITED STATES
WITHDRAWN

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: 11-30-2004

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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 schedule (SBIC Program Applications for License) is a new electronic application to be added to SBA's present records management manual.		

LA 3/20/06

System Name: SBIC Program Applications for License

Program: Small Business Investment Company administered by the Investment Division

Legal Authority:

Applicability: Investment Division

Restrictions: This system contains confidential business or proprietary information which may be restricted under the Freedom of Information Act (FOIA)

Purpose: The purpose of this system is to record financial and operational characteristics, track processing, and show current status of all applicants for a License to operate as a Small Business Investment Company.

Item No.	Description of Records	Disposition
1.	Input. Data entry by a Program Support Specialist of the Licensing Unit. Sources of data are documents and oral responses received from Licensees, documents sent and received from the Office of General Counsel, notices received and sent from the District Directors, and the dates and results of licensing meetings held in the Investment Division and at the Agency level.	Temporary Documents concerning withdrawn or disapproved applications are approved as N1-309-86-1, Item 10:01. Documents concerning approved applications and licenses are approved as N1-309-86-1, Item 10:04.
2.	Master File. The master file is an ACCESS database. Licensing Status table consists of 78 fields with 1,064 total characters. Most important information: applicant name, application number, current status of application, date application received, date application received for processing, location of applicant, initial capital, contact for applicant, officers of applicant, and numerous date fields that track the progress of the application. New Licensees table consists of 11 fields with 155 total characters. Most important information: SBIC Name, licensing analyst, date licensing application received, date license issued, and initial private capital.	Temporary Cut off when system is superseded or obsolete. Delete three years after cutoff
3.	Output. Series of reports tailored to the requirements of employees in the Licensing Unit, the Investment Division as a whole, and Investment Division management.	Temporary. Destroy when obsolete or superseded by a subsequent report.
4.	Documentation	Temporary. Destroy or delete at each major version change.

5. Backups. Temporary. Delete after the primary 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 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: Investment Division