

| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b><br><i>(See Instructions on reverse)</i>   |   | <b>LEAVE BLANK (NARA use only)</b>  |  |
|--|---|---|--|
| <b>TO</b> NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)<br>WASHINGTON, DC 20408   |   | <b>JOB NUMBER</b><br><div style="font-size: 1.2em; font-family: cursive;">NI-309-05-14</div>  |  |
| <b>1 FROM</b> (Agency or establishment)<br><div style="text-align: center;">Small Business Administration</div>  |   | <b>DATE RECEIVED</b><br><div style="font-size: 1.2em; font-family: cursive;">5/11/05</div>  |  |
| <b>2 MAJOR SUBDIVISION</b><br><div style="text-align: center;">Office of Administrative Services</div>   |   | <b>NOTIFICATION TO AGENCY</b><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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 |  |
| <b>3 MINOR SUBDIVISION</b><br><div style="text-align: center;">Administrative Information Branch</div>   |   |   |  |
| <b>4 NAME OF PERSON WITH WHOM TO CONFER</b><br><div style="text-align: center;">Helga Taylor</div>   |   |   |  |
| <b>5 TELEPHONE</b><br>   |   | <b>DATE</b><br><div style="font-size: 1.2em; font-family: cursive;">11/3/05</div>   |  |
| <b>6 AGENCY CERTIFICATION</b><br>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 <u>3</u> 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, <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <span><input checked="" type="checkbox"/> is not required;</span> <span><input type="checkbox"/> is attached; or</span> <span><input type="checkbox"/> has been requested.</span> </div> |   | <b>ARCHIVIST OF THE UNITED STATES</b><br><div style="font-size: 1.2em; font-family: cursive;">[Signature]</div>   |  |
| <b>DATE</b><br>10-13-2004  | <b>SIGNATURE OF AGENCY REPRESENTATIVE</b><br><div style="font-size: 1.2em; font-family: cursive;">[Signature]</div>   | <b>TITLE</b><br><div style="font-size: 1.2em; font-family: cursive;">[Signature]</div> Records Officer  |  |
| <b>7 ITEM NO</b>   | <b>8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION</b>   | <b>9 GRS OR SUPERSEDED JOB CITATION</b>   | <b>10 ACTION TAKEN (NARA USE ONLY)</b> |
|  | The attached electronic records disposition schedule (Office of Operations Correspondence Tracking System) is a new electronic application to be added to SBA's present records management manual | Item 1 of this schedule is scheduled under NI-309-86-1, item 10 04  |  |

**System Name:** Office of Operations Correspondence Tracking System

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

**Legal Authority:**

**Applicability:** Investment Division, Office of Operations

**Restrictions:**

**Purpose:** The purpose of this system is to track all correspondence entering the Office of Operations in the Investment Division. The system shows documents that are past the target processing date.

| Item No. | Description of Records  | Disposition   |
|----------|---|---|
| 1        | Input Data entry by Program Assistant and Office Automation Assistants. Source documents are documents and reports received by the Investment Division from SBIC Licensees.   | Temporary. Approved as N1-309-86-1, Item 10-04.   |
| 2        | Master File. The master file is an ACCESS database. Information includes SBIC License Number, SBIC Name, date document received, date document stamped, type of activity represented by document, date work on document should be completed, and date work on document was completed. | Temporary. Cut off when system is superseded or obsolete. Delete three years after cut off. |
| 3.       | Output. Series of reports tailored to the requirement of employees in the Office of Operations.   | Temporary. Destroy when obsolete or superseded by a subsequent report.                      |
| 4.       | Documentation.  | Temporary. Destroy or delete at each major version change.                                  |
| 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.                           |

**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

**LEAVE BLANK (NARA use only)**  
JOB NUMBER  
NI-309-05-14  
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  
ARCHIVIST OF THE UNITED STATES

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 needed; or ☐ has been requested

DATE  
10-13-2004

SIGNATURE OF AGENCY REPRESENTATIVE  
*Gregory L. White*

TITLE  
*Acting* Records Officer

| 7<br>ITEM<br>NO | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION   | 9 GRS OR<br>SUPERSEDED<br>JOB CITATION                             | 10 ACTION<br>TAKEN (NARA<br>USE ONLY) |
|-----------------|--|--|---------------------------------------|
|                 | The attached electronic records disposition schedule (Office Operations Correspondence Tracking System) is a new electronic application to be added to SBA's present records management manual | Item 1 of this schedule is scheduled under NI-309-86-1, item 10 04 |                                       |

**System Name:** Investment Division File Folder Tracking System

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

**Legal Authority:**

**Applicant:** Investment Division

**Restrictions:**

**Purpose:** The purpose of this system is to track all folders maintained in the Investment Division File Room.

| Item No. | Description of Records   | Disposition   |
|----------|--|---|
| 1.       | Input. Data are bar codes entered by light pen and key by Program Assistant. When a qualified employee checks out or returns a folder to the ID File Room, a light pen scans the employee's bar code and the folder's bar code.  | N/A SBA has no source documents.  |
| 2.       | Master File The master file is an ACCESS database<br>-Table LOGSHEET consists of 13 fields with 205 total characters. Most important information: License Number, SBIC Name, bar code number, file type, date file charged out, name of person who charged out the file, and the date the file was returned.<br>-Table FILESBIC consists of 6 fields with 115 total characters. Most important information: License Number, SBIC Name, folder bar code, file type, file number<br>-Table FILEEMPS consists of 5 fields with 83 total characters. Most important information: Employee name, Employee bar code, Office where employee is located<br>-Table FILEDIR consists of 6 fields with 106 total characters. Most important information: License Number, SBIC Name, Office of Operations Analyst.<br>-Table FileFederalRecordCenter consists of 6 fields with 120 total characters. Most important information: License Number, SBIC Name, Folder Bar Code, File Type, File Number, Date sent to Federal Record Center. | Temporary. Cut off when system is superseded or obsolete. Delete three years after cutoff |
| 3.       | Output Series of reports tailored to the requirements of the Program Assistant who works in the Investment Division File Room.   | Temporary. Destroy when obsolete or superseded by a subsequent report                     |

Document 1

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