

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <b>N1-309-05-16</b>	
1 FROM (Agency or establishment) Small Business Administration		DATE RECEIVED <b>5/11/05</b>	
2 MAJOR SUBDIVISION Office of Administrative Services		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Administrative Information Branch			
4 NAME OF PERSON WITH WHOM TO CONFER  Helga Taylor	5. TELEPHONE  202-205-7053	DATE  1/04/06	ARCHIVIST OF THE UNITED STATES  <i>[Signature]</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 11-24-2003	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	TITLE Records Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 (Investment Division Information System (ID Info System) Directory of Licensees) is a new application to be added to SBA's present records management manual		

*11/10/06 COPIES sent to Agency, NIR*

**System Name:** Investment Division Windows Information System (ID Info System) Directory of Licensees.

**Program:** Office of Capital Access, Investment Division.

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

**Applicability:** Office of Capital Access, Investment Division

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

**Purpose:** The purpose of this system is to capture and track information on Small Business Investment Companies (SBICs) including SBIC license number, analyst, ownership type, phone/fax number, and commitments for each fiscal year.

Item No	Description of Records	Disposition
1.	Input: Paper: a. CO Form 176 - Advice of Action.	a. Temporary. Approved under N1-309-86-1, Item 10:06.
	Electronic: b. E-mails and word processing documents sent directly to the Program Analyst with updated information. The e-mails are sent by the SBICs and the Financial Analysts.	b. Temporary. Delete after information is keyed into the system and verified.
2.	a. Master File. Current information about active SBICs. Information includes SBIC Name, License Number, Address, Phone Number, e-mail address, Date Licensed, Private Capital, Leveragable Capital, and Leverage from the SBA.	a. Temporary. Delete record when SBIC's status changes and after verifying file transferred to History File
	b. History File. Superseded information about SBICs. A record is transferred to the History File when an SBIC's current status changes, e.g., surrenders its license, changes its name, or is transferred to liquidation.	b. Temporary. Delete when system is superseded or obsolete and upon transfer of-history file to new system.
3.	Output. a. Online reports.	a. Temporary. Delete when superseded by an updated version or when SBIC surrenders its license.
	b. Hard copy of online reports.	b. Temporary. Destroy when superseded by an

updated version or when  
SBIC surrenders its  
license.

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| 4. | System Documentation   | Temporary. Delete or destroy when obsolete or superseded.         |
| 5. | Backups  | Temporary. Delete when replaced by a subsequent backup file.      |
| 6. | Electronic Mail and Word Processing Copies:<br>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:**

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Program: Office of Capital Access, Investment Division, Data Management Branch