

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-309-05-20
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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
Feb 23, 2006	WITHDRAWN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 SIGNATURE OF AGENCY REPRESENTATIVE TITLE

11-23-2004

Helga Taylor

Records Officer

7. ITEM NO. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

The attached electronic records schedule ("468 Processing Database") is a new electronic application to be added to SBA present records management manual.

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

SA 3/20/04

System Name: 468 Processing Database

Program: Small Business Investment Company administered by the Investment Division

Legal Authority: Small Business Investment Act of 1958, as amended and 13 CFR Part 107

Applicability: Office of Capital Access, Investment Division

Restrictions: The system contains confidential business or financial information, the disclosure of which is restricted under the Freedom of Information Act.

Purpose: The purpose of the 468 Processing Database is to capture and organize quarterly and yearly financial information from Small Business Investment Companies (SBIC). It consists of basic financial statements and additional information used by SBA for analytical and regulatory purposes.

Item No.	Description of Records	Disposition
1.	Input. Quarterly and yearly 468 reports generated by financial recording software. Input files on disc are mailed by the SBIC to SBA or are sent electronically by the SBIC to SBA.	Temporary. Copy electronic input files to disc. Cut off disc files at end of fiscal year. Delete six years after cutoff.
2.	Master File. The master file is an ACCESS database. Information includes SBIC name, License Number, assets, liabilities, expenses and other financial information.	Permanent. Cut off at end of fiscal year. Transfer to National Archives the ASCII or EBCDIC flat file annually at the end of fiscal year as specified in 36 CFR 1228.270.
3.	Output. Capital impairment reports and (quarterly and yearly) financial reports.	Temporary. Delete or destroy when obsolete or superseded by an up-to-date report.
4.	Documentation.	Permanent. Transfer to the National Archives annually as specified in 36 CFR 1228.270 those records necessary to document how the system captures, manipulates, and outputs data. Transfer this documentation with the transfer of the electronic data file (Item 2).
5.	Backups.	Temporary. Delete after the primary records have been deleted, or when replaced by a subsequent backup file.