

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		LEAVE BLANK	
TO: <b>GENERAL SERVICES ADMINISTRATION</b> <b>NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408</b>		JOB NO. <i>N1-309-10-2</i>	DATE RECEIVED <i>4-2-90</i>
1. FROM (Agency or establishment) <b>SMALL BUSINESS ADMINISTRATION</b>		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
2. MAJOR SUBDIVISION <b>Office of Administrative Services</b>		3. MINOR SUBDIVISION <b>Records and Micrographics Management Section</b>	
4. NAME OF PERSON WITH WHOM TO CONFER <b>Cleo Verbillis</b>	5. TELEPHONE EXT. <b>653-6446</b>	DATE <i>8/8/91</i>	ARCHIVIST OF THE UNITED STATES <i>Claudia Friebe</i>
6. CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of \_\_\_\_\_ 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: ☐ is attached; or ☒ is unnecessary.

B. DATE <b>3/26/90</b>	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>Kee W. [Signature]</i>	D. TITLE <b>Records Officer, Chief, Records and and Micrographics Management Section</b>	
7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	<p>The attached disposition schedules reflect the addition of records to SBA's present disposition schedule of records that are no longer covered by the latest GRS Schedule.</p> <p>This certifies that records in this schedule that have been approved for conversion to a filmed medium, will be microfilmed, stored, and inspected in accordance with the standards set forth in 36 CFR, Part 1230.</p> <p><i>agency concurs by phone 2/2/91</i></p> <p><i>Copy sent to agency, NNA, NAW, NNT, NEF, NIA 8/14/91</i></p>		

# APPENDIX 17

## ADMINISTRATION RECORDS GROUP 00

### Item Description of Records No.

### Disposition Instructions

#### 00:21 Rejected Grant Application Files

309-90-02

22

Applications, memoranda, correspondence and other records relating to rejected grant proposals.

File numerically based on grant type.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 5 years after cutoff.

#### 00:22 Formal Directives, Procedural and Operating Manuals

23

309-90-02

Formal directives distributed as orders, circulars, or in loose-leaf manual form announcing major changes in SBA's policies and procedures. These are issued by the Administrator.

Extensive procedures are detailed in SBA's operating procedures.

File numerically by program office.

Cutoff when directive has been issued in final.

a. Paper Records. Destroy after microfilm has been verified by SBA staff that an accurate and correct copy has been made.

Volume on hand: Approx. 9 cubic feet.

Annual Accumulation: less than 1 cubic foot.

Restrictions: None.

b. Microfiche. PERMANENT. After verification process store offsite. Transfer silver-based microfiche and one diazo copy to NARA in 5-year blocks.

Other diazo copies destroy when no longer needed.

Volume on hand: 1-2 cubic feet.

Annual Accumulation: Less than 1 cubic foot.

Restrictions: None.

#### c. Working Papers

Destroy 2 years after cutoff.

<u>Item No</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
00:23 24	<p><u>Organizational Files</u></p> <p>Organizational charts, reorganization studies, and functional statements. Graphic illustrations provide a detailed description of the arrangement and administrative structure of the functional units of SBA. Reorganization studies are conducted to design an efficient organizational framework most suited to carrying out SBA's programs and include materials such as final recommendations, proposals, and staff evaluations. These files also contain administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of SBA's programs and projects. Functional statements are formally prepared descriptions of the responsibilities assigned to the senior executive officers of SBA at the division level and above. If the functional statements are printed in Code of Federal Regulations (CFR), they are not designated for preservation as a separate series.</p> <p>File by year, by organization.</p>	<p>Cutoff when updated.</p> <p><u>PERMANENT.</u> Transfer to NARA in 5 year blocks when 10 years old.</p> <p><u>Volume on hand:</u> Approx. 9 cubic feet <u>Annual Accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> Restrictions of public use, just those of Privacy Act and FOIA.</p>
00:24 25	<p><u>Grants and Agreements with Institutions of Higher Education, and Other Nonprofit Organizations</u></p> <p>Includes financial records, supporting documents, statistical records and all other records pertaining to agreements and issuances by the Office of Small Development Centers.</p> <p>File alphabetically by name of institution.</p>	<p>Cutoff from date of annual financial status report</p> <p>309-90-02</p> <p><u>Central and Field Offices.</u></p> <p><i>Grant Case</i> a. <u>Program Files</u> <u>PERMANENT</u> Cutoff each fiscal year. Transfer to NARA in 5 year blocks.</p> <p><u>Volume on hand:</u> Approx. 5 cubic feet. <u>Annual accumulation:</u> 1-2 cubic feet. <u>Restrictions:</u> None.</p> <p><i>Program</i> b. <u>Grant Case Files:</u> Destroy when 6 years 3 months old.</p> <p>CS 7/16/91</p>

APPENDIX 20

PERSONNEL  
RECORDS GROUP 30

<u>Item No</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
30:01	<u>Training Records</u>	309-90-02
	a. One copy of each manual, syllabuses, textbooks, and other training aids developed by SBA or contracted by SBA that reflects the Agency's mission.  File alphabetically.	<u>PERMANENT.</u> Cutoff when materials are superseded. Retire to FRC 2 years after cutoff. Transfer to NARA when 10 years old in 5 year blocks.  <u>Volume on hand:</u> Approx. 5 cubic feet. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.
	b. Record copy of each manual, syllabus, textbook, and other training aid for housekeeping, facilitative, and other non-programmatic i.e., orientation, function.  File alphabetically.	Destroy 3 years after superseded.

APPENDIX 21

PUBLIC AFFAIRS  
RECORDS GROUP 40

<u>Item No</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
40:04	<u>Public Relations Files</u>	309-90-02
	<p>a. Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by heads of agency or senior assistant concerning programs of SBA. The speeches and addresses may be presented to executives from other Federal agencies, representatives of State and local governments, or private groups, such as college and university students, business associations, and cultural news media commentators. The format selected may be paper, audio or video tape or motion picture film.</p> <p>File by calendar year, by individual.</p>	<p><u>PERMANENT.</u> Transfer textual records to NARA in 5 year blocks when 10 years old.</p> <p><u>Volume on hand:</u> Approx. 6 cubic feet. <u>Annual accumulation:</u> 1-2 cubic feet. <u>Restrictions:</u> None.</p>
	<p>b. News releases. One copy of each prepared statement or announcement issued for distribution to the news media. News releases announce events such as the adoption of new agency programs, termination of old programs, major shifts in policy, and changes in senior officials. News releases announce events such as adoption of new agency programs, termination of agency personnel and may be a formal press release or non-textual record, such as film and video or sound recordings.</p> <p>File by calendar year, by press release number.</p>	<p><u>PERMANENT.</u> Transfer textual records to NARA in 5 year blocks when 10 years old.</p> <p><u>Volume on hand:</u> Approx. 6 cubic feet. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.</p> <p><i>Personnel and maybe a textual record such as a formal press release...</i></p>

## STILL PHOTOGRAPHY

### Record Elements for Still Photography Designated for Permanent Retention

#### Record Elements:

1. Black and white and color negative photography: the original negative, a captioned print, and, for color negative photography, a duplicate negative if one exists.
2. Color transparency and slide photography: the original and a duplicate.
3. Slide sets or filmstrips and accompanying audio recordings or scripts: 2 copies.

<u>Item No</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
40:05	Black and white photograph files pertaining to important subjects that relate to the Agency's mission.  File by subject and date.	Cutoff each calendar year. 309-90-02  <u>PERMANENT. Central and Field Offices.</u>  (a) <u>Central Office.</u> Transfer original negative and captioned print to NARA 5 years after cutoff.  <u>Volume on hand:</u> Approx. 4 cubic feet. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.  (b) <u>Field Offices.</u> Transfer original negative and captioned print to regional archives 5 years after cutoff.  <u>Volume on hand:</u> Less than 1 cubic foot. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.

40:06 Color photographic files  
pertaining to important  
subjects that relate to the  
Agency's mission.

File by subject and  
date.

Cutoff each calendar year. 309-90-02

PERMANENT. Central and Field Offices.

(a) Central Office. Transfer  
original negative and captioned  
print to NARA 5 years after cutoff.

Volume on hand: Approx. 4 cubic feet.  
Annual accumulation: Less than 1 cubic  
foot.

Restrictions: None.

(b) Field Offices. Transfer  
original negative and captioned  
print to regional archives  
5 years after cutoff.

Volume on hand: Less than 1 cubic foot.  
Annual accumulation: Less than 1 cubic  
foot.

Restrictions: None.

40:07 All other slide or filmstrips  
pertaining to important  
subjects related to the Agency's  
mission

File alphabetically by subject.

Cutoff each calendar year. 309-90-02

PERMANENT. Central and Field Offices.

(a) Central Office. Transfer  
two copies to NARA 5 years  
after cutoff.

Volume on hand: Less than 1 cubic foot.  
Annual accumulation: Less than 1 cubic  
foot.

Restrictions: None.

(b) Field Offices. Transfer 2  
copies to regional archives  
5 years after cutoff.

Volume on hand: Less than 1 cubic foot.  
Annual accumulation: Less than 1 cubic  
foot.

Restrictions: None.

Record Elements for Graphic Arts Designated for Permanent Retention

Record Elements:

Posters: 2 copies.

GRAPHIC ARTS

40:08 Posters distributed agency-wide  
or to the public.

File alphabetically by subject.

Cutoff each calendar year. 309-90-02

PERMANENT. Transfer 2  
copies of previously issued  
posters to NARA immediately.

Transfer 2 copies of newly  
issued posters to NARA when  
distributed agency-wide.

Volume on hand: Less than 1 cubic foot.  
Annual accumulation: Less than 1 cubic  
foot.

Restrictions: None.



Record Elements for Motion Pictures Designated for Permanent Retention

Record Elements:

1. Agency sponsored films: the original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or a video recording.
2. Acquired films: two projection prints or one projection print and a video recording.

MOTION PICTURES

<u>Item No</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
40:09	SBA sponsored television public service ("or spot") announcements.  File alphabetically by subject.	Cutoff each calendar year. 309-90-02  <u>PERMANENT.</u> Transfer original to NARA 1-year after change of Administrator.  <u>Volume on hand:</u> Approx. 3 cubic feet. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.
40:10	SBA sponsored "how to" training films that explain SBA functions or activities intended for internal external distribution.  File alphabetically, by year.	Cutoff each calendar year. 309-90-02  <u>PERMANENT.</u> Transfer original to NARA 3 years after cutoff.  <u>Volume on hand:</u> 1-2 cubic feet. <u>Annual accumulation:</u> Less than 1-2 cubic foot. <u>Restrictions:</u> None.
40:11	Films acquired under grant that are submitted to SBA.  File alphabetically by grant.	Cutoff each calendar year. 309-90-02  <u>PERMANENT.</u> Transfer original to NARA 3 years after cutoff.  <u>Volume on hand:</u> 1-2 cubic feet. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.

Record Elements for Video Recordings Designated for Permanent Retention

Record element: The original or earliest generation of recordings, and a dubbing if one exists.

VIDEO RECORDINGS

<u>Item No</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
40:12	SBA sponsored television news releases or information reports.  File alphabetically by subject.	Cutoff each calendar year. 309-90-02  <u>PERMANENT.</u> Transfer original to NARA 5 years after cutoff.  <u>Volume on hand:</u> Less than 1 cubic foot. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.
40:13	SBA sponsored television public service, or "spot announcements."  File alphabetically by subject.	Cutoff each calendar year. 309-90-02  <u>PERMANENT.</u> Transfer original to NARA 5 years after cutoff.  <u>Volume on hand:</u> Less than 1 cubic foot. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.
40:14	SBA sponsored "how to" video productions.  File alphabetically by subject.	Cutoff each calendar year. 309-90-02  <u>PERMANENT.</u> Transfer originals to NARA 5 years after cutoff.  <u>Volume on hand:</u> Less than 1 cubic foot. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.
40:15	Recordings of public meetings or speeches, SBA sponsored conferences, guest speakers, and testimony of SBA officials before the Congress and at other hearings.  File by subject, by date.	<u>PERMANENT.</u> Cutoff each calendar year. 309-90-02  Transfer original to NARA 4 years after cutoff.  <u>Volume on hand:</u> Less than 1 cubic foot. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.

<u>Item No</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
40:16	Media appearances by top SBA officials.  File by name, by year.	<p><u>PERMANENT.</u> Cutoff each 309-90-02 calendar year.</p> <p>Transfer originals to NARA 4 years after cutoff.</p> <p><u>Volume on hand:</u> Less than 1 cubic foot. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.</p>

Record Elements for Sound Recordings Designated for Permanent Retention

Record element: Magnetic audio tape recordings (reel-to-reel, cassette or cartridge): the original or earliest generation of each recording, and a dubbing, if one exists.

SOUND RECORDINGS

40:17	Recordings of public meetings or speeches, SBA sponsored conferences, guest speakers, and testimony of SBA officials before the Congress and at other hearings. <i>C/S 7/29/91</i>  File by subject, by date.	<p><u>PERMANENT.</u> Cutoff each 309-90-2 calendar year.</p> <p>Transfer to NARA 4 years after cutoff.</p> <p><u>Volume on hand:</u> Less than 1 cubic foot. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.</p>
40:18	Recordings or programs produced under grant that reflect the Agency's mission and submitted to SBA.  File by title, by year.	<p>Cutoff each calendar year. 309-90-02</p> <p><u>PERMANENT.</u> Transfer originals to NARA 2 years after cutoff.</p> <p><u>Volume on hand:</u> Less than 1 cubic foot. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.</p>
40:19	Media appearances by top SBA officials.  File by name.	<p>Cutoff each calendar year. 309-90-02</p> <p><u>PERMANENT.</u> Transfer originals to NARA 4 years after cutoff.</p> <p><u>Volume on hand:</u> Less than 1 cubic foot. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.</p>

APPENDIX 29

INSPECTOR GENERAL  
RECORD GROUP 90

<u>Item No</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
90:21	<u>Policy and Procedures File</u>  Records defining and documenting the policies required for directing, controlling, and carrying out OIG operations. Also records on planning and developing OIG policies  a. One record copy of each if not included in the agency's permanent set of master directives files or the record set of publication.  File chronologically by fiscal year.  b. Working papers and background materials.  File chronologically by fiscal year.	309-90-02  Cutoff when superseded or obsolete.  <u>PERMANENT. Central Office and Field Offices transfer to NARA in 5 year blocks when 10 years old.</u>  <u>Volume on hand:</u> 1 cubic foot. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None  Destroy when no longer needed.