REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO: N1-309-86-1

DATE RECEIVED: 10-11-85

TO GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM *(Agency or establishment)*: SMALL BUSINESS ADMINISTRATION

2 MAJOR SUBDIVISION: Office of Administrative Services

3 MINOR SUBDIVISION: Information Resources Management Branch

4 NAME OF PERSON WITH WHOM TO CONFER: Cleo Verbillis, Management Analyst, IRMS

5 TELEPHONE EXT: 653-6446

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 If no records are proposed for disposal, the signature of the Archivist is not required

DATE: 9-25-86

ARCHIVIST OF THE UNITED STATES: Frank G. Burke

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: 10/7/85

C SIGNATURE OF AGENCY REPRESENTATIVE: William A. Cline

D TITLE: Records Officer, Chief Information Resources Maintenance Section

7 ITEM NO.	8 DESCRIPTION OF ITEM *(With Inclusive Dates or Retention Periods)*	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN *(NARS USE ONLY)*
	SMALL BUSINESS ADMINISTRATION The Small Business Administration was established in 1953 to aid, counsel, assist, and protect insofar as possible the interests of small-business concerns in order to preserve free competitive enterprise, to insure that a fair proportion of the total purchases and contracts for supplies and services for the Government be placed with small-business enterprises, and to maintain and strengthen the overall economy of the Nation. Further, it was also declared policy of the Congress that the Government should aid and assist victims of floods or other catastrophes. Attached is a comprehensive update of SBA's records disposition schedules. These schedules are in accordance with guidelines established by the National Archives and Records Administration for the preservation and disposition of agency records. Agency records that have been approved previously have been crossed out. All other records have been identified as a new record, a change or clarification of retention period, change in cutoff period, elimination of file plan, or change in record title. In addition, all records previously approved by the Archivist of the United States have been identified with their respective NARA job number on the far right hand side of each page.		

115-108 Copy to Agency,

NSN 7540-00-634-4064

STANDARD FORM 115 (REV 8-83)
Prescribed by GSA
FPMR (41 CFR) 101-11 4

APPENDIX 16

Common Office Files

This section lists locations for disposition instructions for record and nonrecord material that are accumulated in most offices of SBA, and referenced in the General Records Schedule (GRS).

	GRS NO.	Item No.
Suspense Files	23	a and b
Transitory Files	23	4, a,b, and c
Office Organization Reference Files	23	1
Office Administrative Files	23	1
Office Employee Travel Files	9	3
Office General Personnel Files	1	18
Office Individual Personnel Files	1	18
Office Personnel Locator Files	1	6
Job Description Files	1	7, b, (1)
Policy and Precedent Reference Files	23	6
Reference Publication Files	23	6
Working Papers	16	10
Indexes, Logs, Journals and Registers	16	10
Management Improvement Reports	16	5
Project Control Files	16	7
Committee and Conference Files	16	12
Feasibility Studies	16	14

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APPENDIX 17

ADMINISTRATION
RECORDS GROUP 00

This schedule outlines filing and disposition of records pertaining to SBA office services, procurement, supply and grant records, and automatic data processing. The key procurement and grant file is the transaction case file which contains the formal contract or informal purchase order, lease instruments and all related papers. Documents that flow into the transaction file includes purchase documents, specifications, bids, schedules of delivery, initiating requisitions, invoices and correspondence. Data processing material includes automatic processing, electronic digital computer, data communications, equipment and techniques.

Item No.	Description of Record	Disposition Instructions
NEW ITEM		
00:01	General Subject Correspondence Files.	
	Program correspondence maintained at the office level or above in all SBA central offices, including correspondence, memoranda, reports, forms, and other communications pertaining to the administration and operation of SBA activities but excluding files described eleswhere in this directive.	PERMANENT Cutoff each calendar year. Transfer to FRC 3 years after cutoff. Offer to NARA in 5 year blocks 20 years after cutoff.
	File alphabetically by subject, each calendar year with color coded labels identifying each year. See paragraph 44 of SOP 00 41.	
SBA RETENTION EXTENDED 2 YEARS		
00:02	Reading or Chronological Files (pink copy	REF 1 NN-171-144
	Extra copies of correspondence prepared and maintained by the originating office, used as a reading or reference file.	Cutoff each calendar year. Destroy 3 years after cutoff.

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Item No.	Description of Record	Disposition Instructions
CLARIFIED RETENTION PROCEDURES		
00:03	Committees	PMC 3 NN-171-144
	Includes material pertaining to all officially recognized committees established by SBA, and others of an interagency nature in which SBA has membership and/or participates in representing the interest of this Agency; also includes lists of SBA members and other membership, committee releases and publications, etc. File chronologically by committee name.	PERMANENT Cutoff each calendar year. Transfer to FRC 3 years after cutoff. Offer to NARA in 5 year blocks 20 years after cutoff.
CLARIFIED RETENTION PROCEDURES		
00:04	SBA Administrator's Meetings	PMC 1 NN-171-144
	Includes agenda and transcripts and recordings of meetings, including lists of participants; decisions, etc. Also, statements made by or on behalf of the Administrator before Congressional committees. File chronologically.	Cutoff each calendar year. (a) Central Office PERMANENT transfer to FRC 3 years after cutoff. Offer to NARA in 5 year blocks 20 years after cutoff. (b) All other offices retain 1 year after filebreak and then dispose.
~~00:05~~	~~Property Accountability and Inventory.~~	OSV-4-2 NN-171-144
	~~Card record maintained in accordance with property accountability instructions.~~ ~~File by office, region, or district.~~	~~Cutoff each fiscal year or when inventory is updated.~~ ~~Destroy 2 years after cutoff or after reconciliation of reinventory.~~

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Item No.	Description of Records	Disposition Instructions
ELIMINATED FRC TRANSFER		
00:06	Facilities for Data Processing	ADP-2
	Includes punch card, paper, tape, magnetic tape disks and related service requirements and usage; machine utilization data; communications usage. File by type of facilities.	Cutoff each calendar year. Release for reuse 2 years after cutoff.
00:07	Reserved	

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Item No.	Description of Records	Disposition Instructions	
00:08	Automatic Data Processing Cards and Punched Paper Tape.		ADP-4-1 NN-171-144
	Machine readable information separate from input documents for processing to ADP system.	Cutoff after verification of magnetic tapes.	
	File by system or subsystem.	Destroy immediately at time of cutoff.	
00:09	Error - Edit Listing		ADP-4-2 NN-171-144
	Computer generated listing used to verify data input to ADP system.	Cutoff when listings have been verified.	
	File by system/subsystem name (designator).	Destroy when updated or no longer needed.	
DECREASED RETENTION CLARIFIED CYCLE UPDATE			
00:10	Automated Vital Records Data Files		ADP-4-4 NN-171-144
	Reserved		
INCREASED FRC RETENTION 8 YEARS			
00:11	ADP Plans		ADP-6 NN-171-144
	Includes studies and plans relative to the use and management of ADP and data communications within SBA.	Cutoff each calendar year following implementation of plan, completion of study or fulfillment of requirement.	
	File alphabetically by study.	Transfer to FRC 2 years after cutoff.	
		Destroy 10 years after cutoff.	

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Item No	Description of Records	Disposition Instructions
~~00:12~~	ADP Standards	ADP-7 NN-171-144
	Includes Data Processing Procedures, studies relative to Federal Standardization Program, Federal Information Processing Standards. File by standard or publication.	Cutoff when standard is superseded or obsolete. Retain 2 years after cutoff then destroy.
NEW ITEM - PERMANENT 00:13	Notices	
	Temporary agency communication, procedures, and information concerning agency programs. (a) Central Office maintain master set. (b) Field Offices maintain desk reference set. File by notice number.	Cutoff after expired or cancelled. (a) Central Office PERMANENT retain as part of directive system. Offer expired Notices to NARA in 5 year blocks 20 years after cutoff (e.g., offer 1970-74 block in 1995). (b) Field Offices destroy 1 year after cutoff.
NEW ITEM 00:14	Facsimile Files	
	Copies of incoming messages and original outgoing messages, and miscellaneous correspondence. File chronologically.	Cutoff each calendar year. (a) Central Office destroy 1 year after cutoff. (b) Field Offices destroy 6 months after cutoff.

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Item No.	Description of Records	Disposition Instructions
~~00:15~~	~~Federal Register Material~~	O&M-5 NN-171-144
	~~Includes items forwarded to Federal Register for publication; viz: delegations, organizational material, listing of Agency officials, etc.~~	~~Cutoff each calendar year.~~ ~~Transfer to FRC 2 years after cutoff.~~ ~~Destroy 6 years after cutoff.~~
	File chronologically.	

ELIMINATED CONTINGENCY DISPOSITION, ESTABLISHED AS PERMANENT RECORD

00:16	Delegation of Authority	O&M-6 NN-171-144
	Includes material pertaining to the issuance of delegations of authority to key SBA officials and lines of succession to principal positions within the Agency.	Cutoff when delegation is cancelled or superseded; same for lines of succession.
	(a) Central Office maintain record copy.	(a) Central Office PERMANENT will retain a master set of all delegations as official record copy, master set of current lines of succession will also be retained in these files.
	(b) Field Offices maintain current copy.	Transfer to FRC 5 years after cutoff.
	File numerically, by date of issuance.	Offer to NARA in 5 year blocks 20 years after cutoff (e.g., offer 1970-74 block in 1995). record.
		(b) Field Offices will maintain only current sets of delegations and lines of succession applicable to regional and district office involved.
		Superseded or cancelled issuances to be destroyed 2 years after cutoff.

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Item No.	Description of Records	Disposition Instructions
NEW ITEM 00:17	Checklists	
	Weekly compilation of SBA's issuances and cancellations of Standard Operating Procedures (SOP's), Notices, and forms. File chronologically by number.	Cutoff each calendar year. (a) Central Office PERMANENT transfer to FRC 5 years after cutoff. Offer to NARA in 5 year blocks 20 years after cutoff. (b) Field offices destroy 1 year after cutoff.
ELIMINATED SAMPLE CASE REQUIREMENT AND INCREASED FRC RETENTION 3 MONTHS		
00:18	Section 7J Contracts	PMA-12 NN-171-144
	Includes all contracts and related papers and reports prepared under authority of Title IV, Section 406, Economic Opportunity Act of 1964, as amended. File numerically by contract number.	Cutoff when contract has been completed, or terminated by other means. Transfer to FRC 2 years after cutoff. Destroy 6 years 3 months after cutoff.
ELIMINATED SAMPLE CASE REQUIREMENT AND INCREASED FRC RETENTION 3 MONTHS		
00:19	Section 7J Grants and Cooperative Agreements	PMA-12-1 NN-171-144
	Includes all grants, and related papers and reports prepared under authority of Title IV, Section 406, Economic Opportunity Act of 1964, as amended. File alphabetically by name of grantee.	Cutoff when work to be performed under provisions of grants or cooperative agreements have been completed or terminated by other means. Transfer to FRC 2 years after cutoff. Destroy 6 years 3 months after cutoff.

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APPENDIX 18

INVESTMENT
GROUP 10

This schedule outlines the filing and disposition of records relating to the Small Business Investment Company program conducted under provisions of the Small Business Act of 1958. This program is desiged to promote and license private investment companies who in turn finance small firms by making loans and supplying equity capital.

Item No.	Description of Records	Disposition Instructions	
ELIMINATED FRC RETENTION			
10:01	License Application - Withdrawn and/or Disapproved Case Folder		INV-1 NN-172-191
	Includes denied or withdrawn proposals or applications with supporting exhibits and related correspondence.	Cutoff on notification of action taken. Destroy 2 years after cutoff.	
	File numerically by license number or alphabetically by name of applicant.		
~~10:02~~	Investment Administration		INV-1-1 NN-172-191
	Miscellaneous material and general correspondence that does not pertain to a specific applicant or licensee. such as, inquiries from persons seeking interviews and counseling with licensees, general information on investment program, etc.	Cutoff each calendar year. Destroy 1 year after cutoff.	
	File alphabetically by name of firm or inquirer.		
~~10:03~~	Statutory Provisions, Interpretations, SBIC Advisory Council, and Interagency Relationships		INV-5 NN-172-191
	Includes general material pertaining to SBIC legislation (exclusive of OGC material filed under OGC categories), rules and regulations, matters on SBIC Adviosry Council, and interagency relationships with	Cutoff each calendar year. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.	

Item No.	Description of Records	Disposition Instructions
	~~SEC, Internal Revenue and other agencies on investment matters that do not involve a specific applicant or licensee.~~	
	File chronologically.	
DECREASED FRC RETENTION 3 YEARS & 9 MONTHS		
10:04	License Folder - SBIC's-MESBIC's	INV-6-3-1 & 2 NN-172-191
	Includes all documentation and material pertaining to the initial processing of business applications and the granting of licenses. Also includes all material and documentation evidencing amendments to the license application, including all applications for such amendments.	Cutoff after license is cancelled or surrendered. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.
	File numerically by license number	
INCREASED FRC RETENTION 4 YEARS & 3 MONTHS		
10:05	Loan Folder - SBIC's MESBIC's	INV-6-5 NN-172-191
	Includes all documentation and material pertaining to the initial processing of Leverage applications and the granting of Leverage. Also includes all material and documentation evidencing subsequent Leverage including all applications for such Leverage.	Cutoff when license is cancelled or surrendered. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.
	File numerically by license number.	
DECREASED FRC RETENTION 3 YEARS & 9 MONTHS		
10:06	Licensee Operations Case Folder(s)	INV-6-7-1 NN-172-191
	Includes all documentation and material related to regulating, and to the operation of Licensees including financial reports, examination reports, and correspondence to and from Licensee.	Cutoff after license is canceled or surrendered. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.
	File numerically by license number.	

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Item No.	Description	Disposition Instructions
10:07	SBIC Liquidations	FAD-7-2 NN-171-144
	Includes all SBIC liquidation cases that have been paid in full through liquidation or charged off-final by SBA Form 327 or otherwise.	Cutoff when paid-in-full or charged off-final.
		Transfer to FRC 2 years after cutoff.
	File by SBIC case number.	Destroy 6 years after cutoff.
DECREASED FRC RETENTION 9 MONTHS		
10:08	SBIC Liquidations.(charged-off	FAD-7-3 NN-171-144
	Includes all SBIC liquidation cases that have been charged-off by SBA 327 or otherwise.	Cutoff at end of calendar year. in which case was charged-off.
	File by SBIC number, apart and separate from SBIC paid cases. File custodian will mark the outside folder of such cases "charged off" and date action taken; information to be taken from file copy of SBA Form 327.	Transfer to FRC cases on which no action has been taken within 2 years from date of charged-off.
		Destroy 6 years and 3 months after cutoff.
10:09	Examination Project Files	INV-8 NN-171-144
	Includes folders covering (a) data applicable to the current examination; (b) historical SBIC corporate information; (c) material on portfolio small business concerns; (d) prior examination reports and related correspondence; (e) SBA required financial report submissions by the SBIC and, (f) analysis of various balance sheet accounts, and related data covered in SOP 10 10.	Cutoff at end of fiscal year license is canceled or surrendered by any means.
		Transfer to FRC 2 years after cutoff.
	File numerically by license number.	Destroy 10 years after cutoff.

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APPENDIX 19

BUDGET AND ACCOUNTING
RECORDS GROUP 20

This disposition schedule outlines material regarding annual deficiency and supplemental estimates and appropriations; apportionments, allocations, allotments, and transfer of funds, maintenance of accounts including: accounting, financial, financial examination and reporting for all appropriations made available to the the Small Business Administration.

Item No.	Description of Records	Disposition Instructions
ELIMINATED PERMANENT RETENTION		
20:01	Appropriations Hearings	BUD-1 NC-174-222
	Includes Congressional bills, hearings, and legislative history relating to SBA expenditures, operations, and appropriations. File numerically by Congressional bill and by fiscal year.	Cutoff each fiscal year. (a) Central Office (Budget) transfer to FRC 2 years after cutoff. Destroy 7 years after cutoff. (b) All other offices destroy 2 years after cutoff.
ELIMINATED PERMANENT RETENTION		
20:02	Budget Submission, Estimate and Formulation	BUD-2 NC-174-222
	Includes allowances, justifications, and submissions. File chronologically and by fund: (1) Salaries and Expenses: (2) Business Loan File; (3) Disaster Loans Files; 4) Surety Bond File (5)Loans.	Cutoff each fiscal year. (a) Central Office (Budget) transfer to FRC 2 years after cutoff. Destroy 7 years after cutoff. (b) All other offices destroy 2 years after cutoff.
ELIMINATED PERMANENT RETENTION		
20:03	Budget Execution	BUD-3 NC-174-222
	Includes allotment advices, revisions, apportionments, ceiling limitations; employment; cost distribution; staffing utilization of funds; financial planning File by fiscal year, by allottee account number	Cutoff each fiscal year. (a) Central Office (Budget) transfer to FRC 2 years after cutoff. Destroy 7 years after cutoff. (b) All other offices destroy 2 years after cutoff.

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Item No.	Description of Records	Disposition Instructions
NEW ITEM 20:04	Cost Reduction and Management Improvement	
	Includes evaluation of feeder reports and preparation of reports to the Office of Management and Budget and Congressional Committees.	Cutoff on submission of official reports.
		(a) Office conducting study or creating report will retain original.
	File chronologically by office or subject.	Transfer original to FRC 2 years after cutoff.
		Destroy 7 years after cutoff.
		(b) Offices retaining receiving copies or furnishing feeder data destroy material 2 years after cutoff.
NEW ITEM 20:05	Surety Bond Guaranty Transaction History File.	
	Includes changes and adjustments to administrative accounting transactions.	Cutoff when updated or each fiscal year.
		Destroy 3 years after cutoff.
	File by month.	
~~20:06~~	~~Collateral File Folders~~	ACC-16 NN-171-144
	~~These files are maintained separately from the loan binders. They are set up by the collateral clerk in each loan office for retention of original nonnegotiable collateral and related documents and copies of certain other collateral type instruments (see SOP 20 05.)~~	~~Cutoff when loan is paid or charged off final.~~
		~~Return all custody documents, such as note, standby agreements, title policies or abstracts to borrower when loan is paid or closed. NOTE: As loan balance is reduced SBA servicing officer may authorize collateral clerk to return certain collateral documents to borrower, other than the note.~~

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Item No.	Description of Records	Disposition Instructions
	NOTE: Refer to SOP 20 05 for instructions pertaining to safeguard procedures.	FRC transfer not applicable to collateral file.
	File alphabetically by name of borrower.	
NEW ITEM 20:07	Management Accounts Report System MARS-318	
	Reconcilitation of SBA Loan Accounting ADP files by Subsidiary Account.	Cutoff each fiscal year. Destroy 2 years after cutoff.
	File chronologically.	
NEW ITEM 20:08	MARS 329	
	List of undelivered loan checks aged by borrower.	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	
NEW ITEM 20:09	MARS 331	
	Repayment Analysis of Loan Sold to FFB.	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	
NEW ITEM 20:10	MARS-334	
	Detail Listing of Outstanding 503 Development Company Guaranteed Debentures	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	
NEW ITEM 20:11	MARS 335	
	Reconciliation of MARS 310/319 Report.	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	

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Item No.	Description of Records	Disposition Instructions
NEW ITEM 20:12	MARS 336	
	Listing of Differences on Bank Serviced Immediate Participation Loans.	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	
NEW ITEM 20:13	MARS 338	
	Small Business Investment Company Cross Reference List by SBIC name.	Cutoff each quarter. Destroy 3 years after cutoff.
	File chronologically.	
NEW ITEM 20:14	MARS 339	
	Small Business Investment Company Cross Reference List by License Number.	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	
NEW ITEM 20:15	MARS 366	
	Payment to Federal Financing Bank (FFB) for Section 503 Debentures.	Cutoff semi-annually. Destroy 6 months after cutoff.
	File chronologically.	
NEW ITEM 20:16	MARS 503	
	Detail Listing of Loan Receivables Having Minimum Balances	Cutoff semi-annually. Destroy 3 months after cutoff.
	File chronologically.	
NEW ITEM 20:17	MARS 504	
	Detail Listing of Post Due miscellaneous Receivables - CPC and Receivable Expense.	Cutoff semi-annually. Destroy 3 months after cutoff.
	File chronologically.	

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Item No.	Description of Records	Disposition Instructions	
NEW ITEM 20:18	MARS 507		
	Detail Listing of Loan Having Negative Balance. File chronologically.	Cutoff semi-annually. Destroy 3 months after cutoff.	
20:19	Allotment and Appropriations (general)		ACC-1 NN-171-144
	Includes SBA Form 752. "Allotment Advice," SBA Forms 753, "Operating Budget Plan"; and Treasury Department Warrants, correspondence, exclusive of budget. File chronolgically	Cutoff each fiscal year. Destroy 1 year after cutoff.	
20:20	Batch Control Input Blocks		
20:20:01	Loan Accounting File by type of block and batch number.	Cutoff each month. Destroy 3 months after cutoff.	ACC-1-2(1) NN-171-144
ELIMINATED FRC RETENTION 20:20:02	Administrative Accounting SBA Form 249 "ADP Coding Document Accounting." File by type of block and batch number.	Cutoff each month. Destroy 3 years after cutoff.	ACC-1-2(3) NN-171-144

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Item No.	Description of Records	Disposition Instructions
ELIMINATED FRC RETENTION		
20:21	Borrowers Fiscal Loan Folder(s)	ACC-2-3 NN-172-191
	Includes schedule of payments and other documents required by Office of Budget and Finance for fiscal and accounting purposes on SBA loans and SBIC-MESBIC's. File all microjackets numerically. File all microfilm reels by roll number.	Cutoff when loan is paid-in-full, or charged off-final. (a) Fiscal loan microjacket will be retained at SBA. (b) Rolls of film will be retained until all loans on a roll are paid-in-full or charged-off final. Destroy microform 6 years and 3 months after cutoff.
20:22	Collection Cashier	ACC-6 NN-171-144
	Includes SBA Form 573, "Cash Collateral and Abeyance Item Register"; SBA Form 230," Receipt for Payment"; Form TUS 5504, Debit Voucher"; SBA Form 368, "Collections Disaster Deferred Participation Loans Purchased"; and documents relating to the receipt and disposition of money remitted; issuances of past due notices; delinquency liquidation; maintenance of collateral, and collateral inventory, imprest fund, and other related material. File by type of collection document involved.	Cutoff when file is closed or action completed. (a) Denver forward original copy to FRC 2 years after cutoff. Destroy 4 years after cutoff. (b) All other offices destroy 3 years after cutoff.

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Item No.	Description of Records	Disposition Instructions	
DECREASED FRC RETENTION 3 YEARS 9 MONTHS			
20:23	Schedules for Payment - Commercial Invoices		ACC-2-5 NN-172-191
	Includes Government Printing Office, commercial telephone companies, etc.	Cutoff each fiscal year.	
	File alphabetically by name of company or claiming agency.	Transfer to FRC on completion of GAO site audit or 2 years after cutoff, whichever is earlier.	
		Destroy 6 years and 3 months after cutoff.	
DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS			
20:24	Schedules for Payment to General Services Administration		ACC-2-4 NN-172-191
	Includes schedules for telephone, motor pool, and Federal supply.	Cutoff each fiscal year.	
	File chronologically by office.	Transfer to FRC on completion of GAO site audit or 2 years after cutoff, whichever is earlier.	
		Destroy 6 years and 3 months after cutoff.	
DECREASED FRC RETENTION 2 YEARS AND 9 MONTHS			
20:25	Fund Accounting		ACC-7 NN-171-144
	Includes status of revolving and trust funds, reports.	Cutoff each fiscal year.	
	File by type of fund.	Transfer to FRC 2 years after cutoff.	
		Destroy 6 years and 3 months after cutoff.	
CLARIFIED CONTINGENCY DISPOSITION, ESTABLISHED RETENTION @ 30 YEARS			
20:26	Borrowers ADP History Listing on Microfilm		ACC-9 NN-171-144
	Complete SBA history of all Borrowers. Provides working copy for an audit trail. COM 16mm microfilm in plastic cartridges, loan or name sequence, number consecutively by year, by rolls.	Cutoff each fiscal year.	
		SBA Computer Output Microfilm COTR will forward together 2 silver halide original and a high quality diazo copy of annual history to FRC 5 years after cutoff.	
		Destroy 40 years after cutoff.	
	File numerically by date of film.		

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Item No.	Description of Records	Disposition Instructions	
20:27	Administrative Accounting Ledgers and Reports Daily and/or Cycle, Monthly, Nationwide, and Allotee computer output, reports, listings which includes the following:		ACC-10-1 NN-171-144
~~20:27:01~~	Daily cash listings, by fund, by ledger, and by schedule. File by fund; by ledger and schedule.	Cutoff each fiscal year. Destroy 1 year after cutoff.	ACC-10-1a(1) NN-171-144
~~20:27:02~~	Batch control Totals listing. File by fund; by ledger and schedule.	Cutoff each fiscal year. Destroy 1 year after cutoff.	ACC-10-1a(2) NN-171-144
~~20:27:03~~	Batch Edit Reject Listing File by fund; by ledger and schedule.	Cutoff each fiscal year. Destroy 1 year after cutoff.	ACC-10-1a(3) NN-171-144
~~20:27:04~~	General Ledger History Listing File by fund; by ledger and schedule.	Cutoff each fiscal year. Destroy 1 year after cutoff.	ACC-10-1a(4) NN-171-144
~~20:27:05~~	Allotment Ledger History Listing. File by fund; by ledger by schedule, monthly.	Cutoff each fiscal year. Destroy 1 year after cutoff.	ACC-10-1b(1) NN-171-144
~~20:27:06~~	Nationwide Transaction Code Summary. File by fund; by ledger, by schedule, monthly.	Cutoff each fiscal year. Destroy 1 year after cutoff.	ACC-10-1b(2) NN-171-144

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Item No.	Description of Records	Disposition Instructions	
~~20:27:07~~	~~Allottee Transaction Code Summary.~~	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-10-1b(3) NN-171-144
	File by fund; by ledger by schedule monthly.		
~~20:27:08~~	~~Nonbudgetary Transactions.~~	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-10-1b(4) NN-171-144
	File by fund; by ledger, by schedule monthly.		
~~20:27:09~~	~~Summary Journal Listing.~~	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-10-1b(5) NN-171-144
	File by fund; by ledger, by schedule monthly.		
~~20:27:10~~	~~Monthly Cash Listing.~~	Cutoff each fiscal year. ~~Destroy 2 years after cutoff.~~	ACC-10-1b(6) NN-171-144
	File by fund; by ledger, by schedule monthly.		
DEVIATION FROM GRS 20:27:11	General Ledger Trial Balance.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff.	ACC-10-1b(7) NN-171-144 GRS-8/8(a)
	File by fund; by ledger, by schedule monthly.		
~~20:27:12~~	~~Nationwide cost report, by allottees.~~	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-10-1c(1) NN-171-144
	File chronologically by month.		
~~20:27:13~~	~~Nationwide cost report (by object classes).~~	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-10-1c(2) NN-171-144
	File chronologically by month.		
~~20:27:14~~	~~Nationwide cost report (by subobject class).~~	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-0-1c(3) NN-171-144
	File chronologically by month.		

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Item No.	Description of Records	Disposition Instructions	
~~20:27:15~~	Nationwide cost report (by activity). File chronologically by month.	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-10-1c(4) NN-171-144
~~20:27:16~~	Nationwide cost report (by subactivity year). File chronologically by month.	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-10-1c(5) NN-171-144
~~20:27:17~~	Nationwide cost report (by subactivity, by object class). File chronologically by month.	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-10-1c(6) NN-171-144
~~20:27:18~~	Nationwide cost report (by subactivity by subobject class.) File chronologically by month.	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-10-1c(7) NN-171-144
~~20:27:19~~	Allottee Cost Report, (by subject class) File chronologically by month.	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-10-1d(1) NN-171-144
~~20:27:20~~	Allottee Cost Report (by subactivity). File chronologically by month.	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-10-1d(2) NN-171-144
~~20:27:21~~	Allottee Cost Report (by activity, by object class). File chronologically by month.	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-10-1d(3) NN-171-144
~~20:27:22~~	Allottee Cost Report (by subactivity, by subobject). File chronologically by month.	Cutoff each fiscal year. ~~Destroy 1 year after cutoff.~~	ACC-10-1d(4) NN-171-144

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Item No.	Description of Records	Disposition Instructions	
~~20:27:23~~	Location Cost Report. File chronologically by month.	Cutoff each fiscal year. ~~Destroy~~ 1 year after cutoff.	ACC-10-1e(1-3) NN-171-144
~~20:28~~	Loan Accounting Includes loan ~~accounting~~ cycle output listings; registers; reports:		ACC-10-2 NN-171-144
~~20:28:01~~	Detail listing of outstanding ~~stop actions~~ and borrower accounts processed ~~manually~~ File chronologically by month.	Cutoff each quarter. Destroy 3 months after cutoff. (cyclic).	ACC-10-2(1) NN-171-144
~~20:28:02~~	Block proof listings, cyclic. File by block, monthly.	Cutoff each quarter. ~~Destroy~~ 3 months after cutoff.	ACC-10-2(2) NN-171-144
~~20:28:03~~	Transaction Register, cyclic. File chronologically, by month/cyclic.	Cutoff each month. Destroy 6 months after cutoff.	ACC-10-2(3) NN-171-144
~~20:28:04~~	Edit listing of rejected ~~transactions, cyclic.~~ File chronologically by month/cyclic.	Cutoff each fiscal year. Destroy ~~2 years~~ after cutoff.	ACC-10-2(4) NN-171-144
~~20:28:05~~	Listing of transactions placed in ~~suspense during~~ daily cycle. File chronologically by month/cycle.	Cutoff each fiscal year. ~~Destroy~~ 2 years after cutoff.	ACC-10-2(5) NN-171-144

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Item No.	Description of Records	Disposition Instructions	
INCREASED RETENTION BY 1 YEAR			
20:28:06	Monthly Report of loan activity in participation pool (SBA share); Federal Assets Financing Trust; Federal Assets liquidation trust, monthly. File chronologically by month.	Cutoff each fiscal year. Destroy 2 years after cutoff.	ACC-10-2(10) NN-171-144
~~20:28:07~~	~~Status of loans outstanding (SBA share), monthly.~~ File chronologically by month.	Cutoff each fiscal year. ~~Destroy 2 years after cutoff.~~	ACC-10-2(11) NN-171-144
~~20:28:08~~	~~Detail listing of outstanding items in suspense accounts, monthly.~~ File chronologically by month.	Cutoff each fiscal year. ~~Destroy 2 years after cutoff.~~	ACC-10-2(12) NN-171-144
INCREASED FRC RETENTION 1 YEAR AND 3 MONTHS			
20:28:09	Monthend summary of transactions by programs; loan type and ledger account, monthly. File chronologically by month.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.	ACC-10-2(13) NN-171-144
INCREASED FRC RETENTION 1 YEAR AND 3 MONTHS			
20:28:10	Monthend summary of transactions by transaction and ledger account, monthly. File chronologically, by month.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.	ACC-10-2(14) NN-171-144
CHANGE OF REPORTING REQUIREMENT			
20:28:11	Summary listing of loan approvals outstanding - fully undisbursed, quarterly. File chronologically by month.	Cutoff each fiscal year. Destroy 2 years after cutoff.	ACC-10-2(16) NN-171-144
CHANGE OF REPORTING REQUIREMENT			
20:28:12	Summary listing of loan approvals partially undisbursed, quarterly. File chronologically, by month.	Cutoff each fiscal year. Destroy 2 years after cutoff.	ACC-10-2(17) NN-171-144

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Item No.	Description of Records	Disposition Instructions	
~~20:28:13~~	Monthly summary of accrued ~~interest~~ receivables, monthly. File chronologically by month.	Cutoff each fiscal year. ~~Destroy 2 years after cutoff.~~	ACC-10-2(18) NN-171-144
DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS; DEVIATION FROM GRS			
20:28:14	General ledger trial balance (on and off line) monthly. File chronologically by month.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff.	ACC-10-2(19) NN-171-144 GRS-8/8(a)
DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS			
20:28:15	Summary reconciliation of general control accounts with detail listing of subsidiary accounts, monthly. File chronologically by month.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.	ACC-10-2(20) NN-171-144
DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS			
20:28:16	Detail listing of assets, liabilities and memorandum; subsidiary accounts, monthly. File chronologically by month.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.	ACC-10-2(21) NN-171-144
DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS			
20:28:17	Summary of subsidiary account balance to general ledger control, monthly. File chronologically by month.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.	ACC-10-2(22) NN-171-144
~~20:28:18~~	Summary of average loan maturity, ~~annual.~~ File chronologically by month.	Cutoff each fiscal year. ~~Destroy 2 years after cutoff.~~	ACC-10-2(26) NN-171-144

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Item No.	Description of Records	Disposition Instructions	
DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS			
20:28:19	Cash receipt control register - (All programs), annual.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff.	ACC-10-2(27) NN-171-144
	File chronologically by year.	Destroy 6 years and 3 months after cutoff.	
DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS			
20:28:20	Cash disbursement control register - (All programs), annual.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff.	ACC-10-2(28) NN-171-144
	File chronologically by year.	Destroy 6 years and 3 months after cutoff.	
20:29	Trial Balance		
	Ledgers and listings as set forth below:		ACC-10-3 NN-171-144
DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS			
20:29:01	Lease Guarantee Trial detail, monthly.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff.	ACC-10-3(1) NN-171-144
	File chronologically by month.	Destroy 6 years and 3 months after cutoff.	
DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS			
20:29:02	8(a) Contract Trial Balance detail, monthly.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff.	ACC-10-3(2) NN-171-144
	File chronologically by month.	Destroy 6 years and 3 months after cutoff.	
DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS			
20:29:03	406 Grant (Contract) Trial Detail, monthly.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff.	ACC-10-3(3) NN-171-144
	File chronologically by month.	Destroy 6 years and 3 months after cutoff.	

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APPENDIX 20

PERSONNEL
RECORDS GROUP 30

The filing and disposition of civilian personnel records wherever they are located in SBA, are covered under General Records Schedule (GRS) 1. If any unique records should occur they will be placed in this schedule.

Item No.	Description of Records	Disposition Instructions

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APPENDIX 21

PUBLIC AFFAIRS
RECORDS GROUP 40

This schedule outlines filing and disposition of records pertaining to informational services performed by the Small Business Administration. This office maintains liaison with Congressional Committees and members of Congress on matters of interest to SBA; serves as primary contact point for all SBA communications with Congress, reviews and concurs in all outgoing correspondence to members of Congress.

Item No.	Description of Records	Disposition Instructions	
CLARIFIED RETENTION PROCEDURES			
40:01	Congressional Relations		INS-3 NN-171-144
	Correspondence and material with individual Congressmen, Chairman of Congressional Committees, and their staffs relating to the activities and programs of SBA. File chronologically.	Cutoff each calendar year. Destroy 3 years after cutoff.	
~~40:02~~	State File		INS-4-6 NN-171-144
	Includes background data of value to Office of Congressional and Legislative Affairs on loans made, SCORE publicity, youth opportunity compaigns, and assistance rendered to small business. File by name of city and state.	Cutoff each calendar year. Destroy 2 years after cutoff.	
NEW ITEM			
40:03	Official Portrait Photographs		
	Include official portrait photographs of SBA officials at the office level and above. All official portrait photographs must include negative as well as a photographic print indexed by name of individual and include official title, date of photographs and any copyright restriction. File alphabetically by name. Duplicate prints of portrait photographs.	(a) Central Office PERMANENT Offer directly to NARA 1 year after each Presidential Inauguration (January 20). (b) Field Offices destroy when 5 years old.	

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APPENDIX 22

HEARINGS AND APPEALS
RECORDS GROUP 45

This disposition schedule outlines material relating to Hearings and Appeals in regards to Size and Standard Industrial Classification appeals. The files contain all material relating to appeals filed; including summaries of cases heard by the Administrative Judges and decisions rendered by them.

The maintenance and disposition of records pertaining to the Administration of the Freedom of Information Act and the Privacy Act are outlined in General Records Schedule 14.

Item No.	Description of Records	Disposition Instructions	
DECREASED SBA RETENTION BY 1 YEAR; ELIMINATED SAMPLE-CASE REQUIREMENT			
45:01	Size Decisions - Size Appeals Board.		PMA-13-1 NN-171-144
	Summation of cases heard by the Office of Hearings and Appeals. File alphabetically by name of company and also numerically.	Cutoff each calendar year. (a) Central Office transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff (b) Field offices destroy 3 years after cutoff.	
DECREASED SBA RETENTION BY 1 YEAR: ELIMINATED SAMPLE-CASE REQUIREMENT			
45:02	Size Appeals Board Dockets.		PMA-13-2 NN-171-144
	Includes transcripts of oral hearings, exhibits, and decisions by Hearings and Appeals. File alphabetically by name of company.	Cutoff on final disposition of case. Central Office transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff.	

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APPENDIX 23

FINANCE
RECORD GROUP 50

This schedule outlines the filing and disposition of records pertaining to financial assistance activities concerning business loans to individuals, business firms, and nonprofit organizations; loans to State and local development companies; lease guarantees; and services rendered by SBA for the Department of Commerce on loans made by the Economic Development Administration, or other Federal agencies.

Item No.	Description of Records	Disposition Instructions	
~~50:01~~	Financial Appraisal (general) Includes ~~EDA~~ Department of Commerce correspondence and miscellaneous material, that does not pertain to a specific SBA loan or application, and which deals with appraisal matters not covered under other categories listed in this schedule. File alphabetically by name of inquirer, or subject as appropriate.	Cutoff each calendar year. ~~Destroy~~ 1 year after cutoff.	FAD-1 NN-171-144
~~50:02~~	Business Loans-(general (inquiries) Includes ~~general~~ correspondence regarding: inquiries on ~~SBA~~ 7(a) business loan and other miscellaneous material on the 7(a) loan program that does not pertain to a specific loan or application. File alphabetically by name of inquirer, or by subject.	Cutoff each calendar year. ~~Destroy~~ 1 year after cutoff.	FAD-2 NN-171-144

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Item No.	Description of Records	Disposition Instructions	
50:03	Liquidation and Disposal (general) Includes general correspondence and material on SBA-SBIC loan liquidation activities that does not pertain to a specific loan or application. NOTE: Liquidation material pertaining to a specific loan is filed in the loan case folder numerically or under the name of the borrower or SBIC. However, charged-off closed cases must be retained apart from other loan cases. File numerically or alphabetically by name of borrower or subject.	Cutoff each calendar year. Destroy 1 year after cutoff.	FAD-7 NN-171-144
50:04	Liquidation - SBA Loans (charged off). Includes all liquidation cases on SBA loans that have been classified in this category by SBA Form 327 action, or otherwise. File alphabetically by name of borrower, apart and separate from SBA paid, loans. File custodian will mark the outside folder of such cases "charge off closed," and date action taken; date information to be taken from file copy of SBA Form 327.	Cutoff - loan specialists will assist files custodians in screening these cases at end of each calendar year to remove those for forwarding to the FRC on which no recovery action has been taken within 3 years from date case was closed. Transfer to FRC 3 years from date of closing, except for those cases on which subsequent collection efforts have been made within 3 years from date of closing. Destroy 7 years after cutoff.	FAD-7-1 NN-171-144

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Item No.	Description of Records	Disposition Instructions	
CLARIFIED RETENTION PROCEDURES			
50:05	"Daily Register of Loan Inquiries" SBA Form 280 Represents daily log maintained by field office on interviews recorded daily on SBA Form 149 and other inquiries directed to the field office on that date for SBA assistance. File chronologically by date, and in monthly sets by year.	Cutoff regularly on a monthly basis; i.e., when the oldest monthly set becomes 13 months old that set may be destroyed. Except for those Forms 149 which become a part of an accepted loan case file, and Forms 149 on Section 501-502-503 cases, interview record Form 149 may be disposed of after it is 1 year old. Destroy 2 years after cutoff.	FAD-8-6-1 NC-174-222
~~50:06~~	~~Loan Servicing (general)~~ ~~Includes correspondence and miscellaneous material on loan servicing which does not pertain to a specific loan~~ ~~File alphabetically by name of inquirer, or subject, as appropriate.~~	~~Cutoff each calendar year.~~ ~~Destroy 1 year after cutoff.~~	~~FAD-9~~ ~~NC-174-222~~
~~50:07~~	~~State and Local Development~~ ~~Includes general correspondence and miscellaneous material on Section 501-502-503 activities, that does not pertain to a specific loan or application.~~ ~~File alphabetically by name of inquirer, or subject as appropriate.~~	~~Cutoff each calendar year.~~ ~~Destroy 1 year after cutoff.~~	~~FAD-10~~ ~~NC-174-222~~

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Item No.	Description of Records	Disposition Instructions
DROPPED SAMPLE CASE FILE AND FILE PLAN		
50:08	State Development Company Case File (Section 501 loans).	FAD-10-1 NN-171-144
	Includes "SD" application, authorizations, correspondence, forms and reports pertaining to loans to State Development Companies. File alphabetically by name of applicant or borrower.	Cutoff (a) On notification of withdrawal declination, or cancellation of applicant, or (b) On payment in full of outstanding loan, or (c) Closing of loan by charge-off final. Retention Period (a) On applications withdrawn, declined, or cancelled; destroy 2 years after notification. (b) On outstanding loans, hold for 2-years after paid or closed by charged off-final and then forward to FRC. Destroy 6 years and 3 months after cutoff.
ELIMINATED FILE PLAN PROCEDURES		
50:09	Local Development Company Loan File (Section 502-503 loans)	FAD-10-2 NN-171-144
	Includes "LD" applications, authorizations, and amendments; credit file including applications, credit reports and releases financial statements, leases and agreements; bids, stock-bylaws; reports of appraisers, correspondence; loan servicing documents containing copies of collateral such as notes, mortgages, guaranty, loan agreements; opinions of counsel, liquidation matters including collateral purchased; and, billing and collection documents.	Cutoff - on notification of: (a) Withdrawl, declination, or cancellation of application. (b) On payment in full or charge off-final. Retention Period (a) On applications withdrawn, declined or cancelled; destroy 2 years after notification. (b) On outstanding loans, hold for 2 years after paid in full or closed by charge-off final and then forward to FRC.

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Item No.	Description of Records	Disposition Instructions	
	File alphabetically by name of applicant or borrower.	Destroy 6 years and 3 months after close of case.	
~~50:10~~	~~Lease Guarantee (general).~~		FAD-10-3 NN-171-144
	~~Includes general correspondence and miscellaneous material on lease guarantee program, that does not pertain to a specific lease guarantee application.~~	~~Cutoff each calendar year.~~ ~~Destroy 1 year after cutoff.~~	
	File alphabetically by name of inquirer or subject as appropriate.		
ELIMINATED FILE PLAN PROCEDURES, FRC RETENTION, AND SAMPLE-CASE REQUIREMENT			
50:11	Lease Guarantee (specific).		FAD-10-4 NN-171-144
	Includes applications, supporting papers, correspondence, authorization, examiner's reports, and other material pertaining to a specific lease guarantee.	Cutoff at time lease guarantee expires, or when lease guarantee is cancelled or terminated by other action. Destroy 3 years after cutoff.	
	File alphabetically by name of applicant.		
ELIMINATED FILE PLAN PROCEDURES, DECREASED FRC RETENTION 11 YEARS			
50:12	Lease Guarantee Reinsurance Files		FAD-10-4-1 NC-174-222
	Includes applications, supporting papers, correspondence, authorizations, examiner's reports, and other material pertaining to a specific reinsurance file.	Cutoff 6 months after reinsurance certificate is issued. Transfer to FRC 3 years after cutoff.	
	File alphabetically by name of applicant.	Destroy 10 years after cutoff.	

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Item No.	Description of Records	Disposition Instructions

INCREASED RETENTION 3 MONTHS, ELIMINATED FILE PLAN AND SAMPLE CASE REQUIREMENT

50:13 Business Loans 7(a) FAD-2-1

NN-171-144

All business loans case files which are accepted for processing. Includes material on the following type:

Business - Section 7(a)

Direct	L
Immediate Participation	IP
Guaranty	GP

Economic Opportunity

Direct	EOL
Immediate Participation	EOL-IP
Guaranty	EOL-GP

Handicapped Assistance - Sec. 7(g) - Loans to Nonprofit Organizations.

Direct	HAL-1
Immediate Participation	HAL-1(IP)
Guaranty	HAL-1 (GP)

Loans to Handicapped Owners

Direct	HAL-2
Immediate Participations	HAL-2(IP)
Guaranty	HAL-2 (GP)

File numerically by loan number or alphabetically by borrower or business name.

Cutoff:

(a) on approved loans when loan is paid or charged off-final.

(b) for withdrawn, declined, or canceled applications cutoff on notification of final action.

Disposition:

(a) On approved loans, forward to FRC 1 year after cutoff.

Destroy closed loans (paid or charged off-final) 6 years and 3 months after cutoff.

(b) For withdrawn, declined, or canceled applications, destroy 2 years after cutoff

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Item No.	Description of Records	Disposition Instructions	
~~50:14~~	Loan Processing - (general) Includes general correspondence and miscellaneous material on loan processing which does not pertain to a specific loan or application. File alphabetically by name or inquirer, or by subject as appropriate.	Cutoff each calendar year. Destroy 1 year after cutoff.	FAD-8 NC-174-222
~~50:15~~	Bank Participation Agreements Includes agreements with banks, and other lending institutions. File alphabetically by name of institution.	Cutoff when provisions of agreement have been met and loan is satisfied. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.	FAD-8-1 NN-171-144
NEW ITEM 50:16	Blanket Guaranty Agreement SBA Form 750 Includes contract between SBA and bank to participate in guarantee. File alphabetically by bank name.	Cutoff after canceling agreement with SBA. Transfer to FRC 2 years after cutoff. Destroy 6 years 3 months after cutoff.	
~~50:17~~	Coordination and Liaison (on FA matters) Includes liaison with public media, American Bankers Association, retail credit associations, credit bureaus, and lending institutions. File alphabetically by name of bank or institution.	Cutoff each calendar year. Destroy 2 years after cutoff.	FAD-8-2 NN-171-144

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Item No.	Description	Disposition Instructions	
~~50:18~~	Eligibility Decisions Includes correspondence and material relating to eligibility matters on various issues pertaining to SBA loanmaking. NOTE: If a decision relates to a specific loan such material is filed in with the loan. File alphabetically by subject of decision.	Cutoff each calendar year. Destroy 2 years after cutoff. (Except those decisions which relate to a specific loan and are included in the loan file.)	FAD-8-4 NN-171-144
~~50:19~~	Filing and Screening Includes records relating to financial statement, credit rating and review, appraisals, and miscellaneous workpapers. File alphabetically, by name of potential applicant.	Cutoff each calendar year except for material placed in loan case file. Destroy 2 years after cutoff.	FAD-8-5 NN-171-144
CLARIFIED RETENTION PROCEDURES 50:20	"Loan Inquiry Record" SBA Form 149 Represents a record made by field office at time a prospective SBA borrower or person seeking assistance from SBA is interviewed. File alphabetically by name of inquirer or firm. When a loan application is accepted such correspondence becomes a a part of the loan case file.	Cutoff each calendar year. Destroy 2 years after cutoff. FRC transfer not applicable (except for documents which constitute a part of an accepted loan case file)	FAD-8-6 NN-171-144

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Item No.	Description	Disposition Instructions
CLARIFIED RETENTION PROCEDURES		
50:21	Surety Bond Guarantee	FAD-10-5-1 NN-171-144
	(a) Includes financial information, and SBA forms.	(a) Regional Office cutoff at end of fiscal year after last SBA guaranteed contract completed. NC 1-309-84-3
	(b) Specific correspondence which supports SBA guarantee of a contractors work which includes above information for contractor that has gone into default.	Bids not accepted for a contract dispose of 2 years after cutoff. (b) Central Office cutoff when all claims are paid and collection activity finished.
	File alphabetically by name or numerically by surety number.	Transfer to FRC 2 years from final closing date. Destroy 4 years after final closing date.
ELIMINATED SAMPLE-CASE REQUIREMENT		
50:22	RFC Loan Case Files (field offices)	RFC 1 NC-172-191
	Includes all outstanding RFC loan cases in liquidation on which collection and servicing is being made at this time in an SBA field office.	Cutoff when loan is paid, charged off-final, or charged off-closed. (a) On paid or charged off-final cases retain for 2 years after cutoff and then forward to FRC.
	File numerically, by RFC loan number.	FRC will dispose of RFC paid or charged off-final loans 6 years after cutoff. (b) On charged off-closed cases FA loan specialist will assist file custodians in screening these cases at the end of each calendar year to remove those for forwarding to FRC on which no recovery action has been taken within 3 years from date case was closed. FRC will dispose of RFC charged off-closed cases 6 years after cutoff.

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APPENDIX 24

DISASTER
RECORDS GROUP 55

This schedule outlines filing and disposition of records pertaining to activities concerning SBA disaster loans to individuals, business firms, and nonprofit organizations.

Item No.	Description of Records	Disposition Instructions
~~55:01~~	Disaster Loans (general).	FAD-3 NN-171-144
	Includes general correspondence and miscellaneous material on SBA Section 7(b) disaster loan programs, that does not pertain to a specific loan or application.	Cutoff each calendar year. Destroy 1 year after cutoff.
	File alphabetically by name of inquirer, or by subject as appropriate.	
INCREASED FRC RETENTION 1 YEAR AND 3 MONTHS, ELIMINATED FILE PLAN AND SAMPLE-CASE REQUIREMENT		
55:02	Disaster Loans - (specific)	FAD-3-1 NN-171-144
	Includes material on 7(b) loan applications from persons, business firms, and institutions to alleviate the effect of disaster and economic inquiry. Physical Disaster DL Business Disaster DL(B) Home Disaster DL(H) Economic Injury Disaster EIDL Major Source of Employment MSE	(a) On approved loans, cut-off when loan is paid or charged off-final. Forward approved loans, to FRC 1 year after cutoff. Destroy approved loans 6 years and 3 months after cutoff. (b) For withdrawn, declined, or canceled applications, cutoff on notification of final action.
	File numerically by loan number or alphabetically under name of borrower (home loans) or by name and under which borrower is or will be doing business (disaster business loans).	Withdrawn, declined, canceled applications, destroy 2 years after cutoff.

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Item No.	Description of Records	Disposition Instructions
CLARIFIED RETENTION PROCEDURES		
55:03	Disaster Declarations Issued by SBA for emergency small-business relief which includes physical, major and natural disasters, economic injury, appraisal and verification of loss, determination of injury documentation. File alphabetically by state or city where disaster occurred.	FAD-8-3 NN-171-144 PERMANENT Cutoff when area or location is no longer classified as disaster area. Transfer to FRC 2 years after cutoff. Offer to NARA as historical records in 5 year blocks 20 years after cutoff.
~~55:04~~	~~"Disaster Application/Loan Control Assembly", SBA Form 932A~~ ~~Prepared by control clerk for certain disaster loan applications~~ ~~For filing instructions see SOP 50 30.~~	~~FAD-9-3~~ ~~NN-171-144~~ ~~Cutoff on completion of disaster.~~ ~~Destroy 1 year after cutoff or when no longer useful, whichever comes first.~~
55:05	"Disaster Activity Report" SBA Form 524 Used by field to report statistical disaster loan applications For filing instructions see SOP 50 30.	FAD-9-4 NN-171-144 Cutoff on completion of disaster. (a) Central Office retain as long as useful. (b) Field Offices destroy on completion of disaster.

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APPENDIX 25

PROCUREMENT ASSISTANCE
RECORDS GROUP 60

This schedule outlines filing and disposition of records pertaining to SBA procurement assistance programs. In general, this includes contracting and procurement assistance; property sales assistance; and Certificates of Competency (COC's); and size determinations.

Item No.	Description of Records	Disposition Instructions	
60:01	Association and Inter-Industry Management Services. Includes encouragement of participation by large manufactures, wholesalers and trade associations in management training programs for small managers. Include: technical assistance workshop data which were conducted by large firms for their subcontractors and customers. File by region and thereunder by district.	Cutoff each calendar year. Destroy 2 years after cutoff.	PMA-1 NN-171-144
60:02	Certificates of Competency (COC) - general Includes general correspondence and miscellaneous material on SBA-COC activities which is not covered elsewhere. File alphabetically by name of inquirer, or by subject, as appropriate.	Cutoff each calendar year. Destroy 1 year after cutoff.	PMA-2 NN-171-144

ELIMINATED FRC RETENTION, FILE PLAN AND SAMPLE CASE, DECREASED RETENTION BY 4 YEARS AND 3 MONTHS

60:03	Certificate of Competency Case Folders These case file folders are in four parts and the internal filing arrangement is provided for in SOP 60 04. These files contain:		PMA-2-1 NN-171-144

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Item No.	Description of Records	Disposition Instructions	
	(a)Application declined or withdrawn during processing (b)Successful COC contract. (c)contract terminated by procuring agency. (d)COC issued but contract was not awarded to applicant	Cutoff each calendar year or when notice of final action is taken. Destroy 2 years after cutoff.	
	File alphabetically by name under which applicant is doing business.		
~~60:04~~	Procurement Sources Program		PMA-3 NN-171-144
	Includes general correspondence and miscellaneous material.	Cutoff when firm is removed from list.	
	File alphabetically by name of inquirer, or by subject as appropriate.	Destroy 1 year after cutoff.	
NEW ITEM 60:05	Procurement Automated Source System (PASS)		
	Data collection form SBA Form 1167) used by small businesses listing them in SBA's computerized data bank. PASS is used to assist small firms in Government contracting and subcontracting opportunities.	Contractor will destroy SBA Form 1167 90 days after entry into data base.	
	File by computerized data bank.		
ELIMINATED SAMPLE-CASE REQUIREMENT ~~60:06~~	Procurement Contracting Assistance (general)		PMA-4 NN-171-144
	Includes general correspondence and miscellaneous material on SBA procurement contracting assistance programs.	Cutoff each calendar year. Destroy 2 years after cutoff.	
	File alphabetically by name of inquirer, or by subject as appropriate.		

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Item No.	Description of Records	Disposition Instructions
ELIMINATED SAMPLE-CASE REQUIREMENT		
60:07	Prime Contracting Assistance (Case files)	PMA-4-0 NN-171-144
	Includes aid to individual small concerns to resolve prime contract problems on specific Government contracts. Involves obtaining settlement on a specific claim resolving disputes with contracting officers, assisting a firm in avoiding default on a contract. Small Business Act, Section 8(g).	Cutoff upon completion of contract of final payment. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.
	File alphabetically by name of contractor.	
INCREASED FRC RETENTION 3 MONTHS		
60:08	Procurement Assistance	PMA-4-1 NN-171-144
	Procurement Center Representatives - includes records relating to set asides, breakouts, source referrals and other functions performed by PCR's reviews of purchasing installations by SBA personnel.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.
	File alphabetically by name or subject.	
CLARIFIED RETENTION PROCEDURES		
60:09	Property Resources Sales Assistance	PMA-4-1A NN-171-144
	Includes all records relating to assistance to small firms in purchasing Government surplus property or Federal timber.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy when 5 years old.
	File alphabetically by name or subject.	

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Item No.	Description of Records	Disposition Instructions	
DECREASED SBA RETENTION BY 1 YEAR, INCREASED FRC BY 3 MONTHS			
60:10	Subcontracting Program (Exclusive of 8(a).		PMA-4-2 NN-171-144
	Includes periodic reviews and visits to prime contractors to review source requests for subcontracting, visits to small plants to determine ability to fulfill specfic subcontracting requests, and develop source data for subcontractors. File alphabetically by name of subcontractor.	Cutoff every third fiscal year. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.	
~~60:11~~	~~Industrial Support (general)~~		~~PMA-5 NN-171-144~~
	~~Includes general correspondence and miscellaneous material on industrial support.~~ ~~File alphabetically by name of inquirer or by subject, as appropriate.~~	~~Cutoff each calendar year.~~ ~~Destroy 1 year after cutoff.~~	
~~60:12~~	~~Delinquency (Loan Assistance)~~		~~PMA-5-1 NN-171-144~~
	~~Includes assistance on financial management to firms that are delinquent in payments on loans.~~ ~~File alphabetically by name of company or borrower.~~	~~Cutoff every second calendar year.~~ ~~Destroy 1 year after cutoff.~~	
~~60:13~~	~~Production Assistance~~		~~PMA-5-2 NN-171-144~~
	~~Includes feasibility studies prior to granting expansion loans, evaluation of new products or process in connection with loans.~~ ~~File alphabetically by name of company or potential borrower.~~	~~Cutoff every second calendar year.~~ ~~Destroy 1 year after cutoff.~~	

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Item No.	Description of Records	Disposition Instructions
	DECREASED SBA RETENTION BY 1 YEAR	
60:14	Size Determinations	PMA-13 NN-171-144
	Includes application for small business size determinations; bids, abstracts of bids; size determinations and findings; protests from size determination. File alphabetically by name of applicant or by industry class.	Cutoff after final determination. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.
	DECREASED SBA RETENTION BY 1 YEAR	
60:15	Size Interpretations	PMA-13-3 NN-171-144
	Includes documents showing the development of basic size standards for eligibility for assistance to firms; the origins of size standards and decisions with regard to the acceptability of various types of industrial affiliations. File by subject.	Cutoff each calendar year. Transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff.

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APPENDIX 26

MANAGEMENT ASSISTANCE
RECORDS GROUP 65

This schedule outlines filing and disposition of records pertaining to SBA management assistance programs. In general this includes management assistance, counseling, and Senior Corps of Retired Executives (SCORE).

Item No.	Description of Records	Disposition Instructions	
RETENTION PERIOD INCREASED BY 1 YEAR			
65:01	Management Training (general)		PMA-7 NN-171-144
	Includes general correspondence and miscellaneous material on management training for small businesses. File alphabetically by name of inquirer, or subject as appropriate.	Cutoff each calendar year. Destroy 2 years after cutoff.	
RETENTION PERIOD DECREASED, FRC DISPOSAL INCREASED BY 1 YEAR			
65:02	Courses, Conferences, Workshops		PMA-7-1 NN-171-144
	Includes training kits developed for use in courses, conferences, clinics, and workshops. File alphabetically by subject title and chronologically thereunder.	Cutoff when subject training category is updated or declared obsolete. (a) Central Office transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff. (b) Field Offices destroy immediately after cutoff.	

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Item No.	Description of Records	Disposition Instructions	
SBA RETENTION PERIOD INCREASED BY 1 YEAR			
65:03	Management Training Activity Report		PMA-7-5 NN-171-144
	Includes reporting on training program brochures, agenda and other evidence of SBA participation and final report.	Cutoff on completion of training.	
		(a) Central Office transfer to FRC 3 years after cutoff.	
		Destroy 5 years after cutoff.	
	File by regional and district offices chronologically.	(b) Field Offices destroy 3 years after cutoff.	
CLARIFIED RETENTION PROCEDURES			
65:04	Attendees at Training Program		PMA-7-6 NN-171-144
	Includes list of participants in training programs.	Cutoff each fiscal year.	
		Destroy 3 years after cutoff.	
	File by dates of training.		
~~65:05~~	~~Management Assistance (general)~~		PMA-6 NN-171-144
	~~Includes general correspondence and miscellaneous.~~	~~Cutoff each calendar year.~~	
		~~Destroy 1 year after cutoff.~~	
	~~File alphabetically by name of inquirer, or by subject as appropriate.~~		
~~65:06~~	~~Management Counseling Case Files~~		PMA-6-2 NN-171-144
	~~Includes forms, correspondence or data which pertains to the specific case.~~	~~Cutoff every second calendar year.~~	
		~~Destroy 1 year after cutoff.~~	
	~~File alphabetically by name of company or individual.~~		

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Item No.	Description of Records	Disposition Instructions	
~~65:07~~	Interviews Includes files on small businessmen not included as counseling. File alphabetically by name of company or individual.	Cutoff each calendar year. Destroy 1 year after cutoff.	PMA-6-3 NN-171-144
~~65:08~~	Management Assistance Plans and Evaluations Includes those cases which did not become a counseling case; those which received counseling will be filed with appropriate counseling case file. File alphabetically by name of company or individual.	Cutoff every second calendar year. Destroy 1 year after cutoff	PMA-6-5 NN-171-144

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Item No.	Description of Records	Disposition Instructions
CLARIFIED RETENTION PROCEDURES		
65:09	Publications	PMA 7-2 NN-171-144
	Includes manuscripts, correspondence and record and reference copies for the following publications: SCORE newsletter, Management, Marketers and Technical Aids Annuals, Small Business Research, Small Business Management Series, Small Marketing Aids, Starting and Managing Series, Technical Aids, Small Business Bibliographies. Includes "Boost" material.	Cutoff on receipt of revised or new publication which supersedes a former publication or when old publication is declared obsolete. All offices keep current publications until declared obsolete. (a) Central Office PERMANENT retain a record copy of obsolete publications 1 year after cutoff and transfer to FRC.
	File alphabetically by publication title and chronologically thereunder by most recent date of publication.	Offer to NARA in 5 year blocks 5 years after cutoff. Dispose of manuscript, correspondence, and reference copies of obsolete publications 4 years after cutoff. (b) Field Offices dispose old publications immediately when one is declared obsolete.

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Item No.	Description of Records	Disposition Instructions	
~~65:10~~	SCORE Chapter(s) Includes SCORE charter, bylaws, minutes of meetings, and directional data on local programs to recruit and utilize volunteers. File by SCORE Chapter.	Cutoff when a particular SCORE charter is surrendered, or becomes inactive. Destroy 2 years after cutoff.	PMA-10 NN-171-44
~~65:11~~	SCORE Volunteers (data on individuals) Includes inventory of retired business executive counseling talents, registration as volunteer, biographical sketches, request for counseling assignments, and award certificates for performance. File alphabetically by name of volunteer and chronologically thereunder.	Cutoff when SCORE volunteer withdraws or name is removed from active participation. Destroy 3 years after cutoff.	PMA-10-1 NN-171-44
65:12	Motion Pictures SBA sponsored films intended for public distribution, including informational, educational, and recruiting films. File chronologically.	PERMANENT Offer original elements, an intermediate (master hard copy) and a print to NARA when motion picture becomes inactive or is withdrawn.	PMA-7-3(a) GRS-21/20
65:13	Video Recordings SBA sponsored video productions intended for public distribution, including informational, educational, and recruiting productions. File chronologically.	PERMANENT Offer original elements and dubbing, if one exists, to NARA when video recording becomes inactive or is withdrawn.	GRS-21/36

JUN 26 1985

Item No.	Description of Records	Disposition Instructions	
65:14	Sound Recordings		GRS-21/52-54
	SBA sponsored radio public service announcements, programs, news releases and other sound recordings intended for public broadcast. File chronologically.	PERMANENT Offer original elements and dubbing, if one exists, to NARA when sound recording becomes inactive or is withdrawn.	

JUN 26 1986

APPENDIX 27

GENERAL COUNSEL
RECORDS GROUP 70

This schedule outlines filing and disposition of records regarding SBA legal and legislative matters, opinions, interpretations and, the processings of litigations and claims cases and certain material pertaining to adjudicative proceedings, including motions, orders, exhibits, and certain SBA hearing examiner matters.

Item No.	Description of Record	Disposition Instructions
INCREASED FRC RETENTION 14 YEARS		
70:01	Decisions - Opinions Interpretations	LEG-1 NN-171-144
	Includes Attorney General, Comptroller General, and courts; and internal and external rulings that delegate or revoke continuing authority, including disclosure of information. File alphabetically by program title.	Cutoff each calendar year. (a) Central Office PERMANENT transfer original to FRC 2 years after cutoff. Offer to NARA in 5 year blocks 20 years after cutoff. (b) General Counsel will maintain a copy for reference or until updated or no longer useful.
INCREASED FRC RETENTION 14 YEARS		
70:02	SBA Opinion Digest	LEG-1-1 NN-171-144
	Quarterly compilation of opinions rendered by SBA GC office for purpose of advising the Central Office and field offices of legal positions that the agency has taken. File numerically by opinion number.	Cutoff each calendar year. (a) Central Office PERMANENT forward an original to FRC 2 years after cutoff. Offer to NARA in 5 year blocks 5 years after cutoff. (b) General Counsel will retain a reference copy indefinitely.

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Item No.	Description of Records	Disposition Instructions
INCREASED FRC RETENTION 11 YEARS		
70:03	Rules and Regulations	LEG-2 NN-171-144
	Includes agency rules and regulations and backup files with manuscript, correspondence, and reference copies.	Cutoff each calendar year. (a) Central Office PERMANENT Retain a master set of rules and regulations as office record copy.
	File choronologically by date.	Transfer to FRC 1 year after cutoff. Offer to NARA in 5 year blocks 5 years after cutoff. Dispose of manuscript, correspondence, and reference copies of obsolete rules and regulations 4 years after cutoff. (b) Program Office destroy copies rules and regulations 5 years after cutoff.
ELIMINATED PERMANENT RETENTION		
70:04	Legislation	LEG-3 NN-171-144
	Includes proposals, comments on other agencies' proposals; with relationship to White House, the Executive Office of the President, and congressional committees, exclusive of material covered in 70:06.	Cutoff each calendar year. (a) Central Office transfer to FRC 5 years after cutoff. Destroy 10 years after cutoff. (b) Field Offices - destroy 5 years after cutoff.
	File alphabetically by program title.	
ELIMINATED PERMANENT RETENTION		
70:05	Congressional Committees	LEG-3-1 NN-171-144
	Includes House and Senate standing, special and joint committee hearings and reports, and testimony by the staff of the Small Business Administration.	Cutoff each calendar year. Destroy 2 years after cutoff.
	File by date and subject or program to which the hearing or congressional report applies.	

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Item No.	Description of Records	Disposition Instructions	
ELIMINATED PERMANENT RETENTION			
70:06	Legislative History		LEG-3-2 NN-171-144
	Includes history files pertaining to legislation establishing and amending the Small Business Act, and other related material affecting the SBA.	Cutoff at adjournment of Congress. Central office will retain such copies of material for retention at SBA as long as needed for legal reference purposes.	
	File by Congressional session and Public Law number.		
CHANGED SBA RETENTION PERIOD			
70:07	Litigation and Court Proceedings (general)		LEG-4 NN-171-144
	Includes miscellaneous material and correspondence with the Department of Justice, or other judicial bodies on matters involving litigation and court proceedings, that does not involve a particular case.	Cutoff at end of proceeding. Transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff.	
	File chronologically and/or by subject, as appropriate.		
~~70:08~~	~~Investment Program - Legal Administrative Proceedings Records.~~		LEG-4-1 NN-172-191
	~~Involves adjudicative matters held before hearing examiners pertaining to investment program activities.~~	~~Cutoff when hearing is closed and documented, and legal issue is resolved or terminated.~~	
	~~File chronologically by name or subject whichever is appropriate.~~	~~Destroy when no longer needed for reference.~~	

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Item No.	Description of Records	Disposal Instructions	
CLARIFIED RETENTION PROCEDURES			
70:09	Litigation - (loans - exclusive of SBIC's and MESBIC's)		LEG-4-2 NN-172-191
	Includes OGC, Office of Litigation, loan case work files involving enforcement, criminal matters and fraud; litigation problems pertaining to loan liquidation; legal proceedings, briefs, opinion's and renderings and other pertinent data and copies of Department of Justice papers concerning SBA loan cases in litigation. File alphabetically by name of borrower.	Cutoff when litigation action is completed and work folder is marked "closed" by OGC. Central Office will destroy 1 year after date of "closing" recorded by OGC on the outside of binder.	
INCREASED FRC RETENTION 1 YEAR			
70:10	Litigation - (SBIC - MESBIC)		LEG-4-2-1 NN1-174-222
	Includes official litigation case files pertaining to court actions conducted by SBA with respect to an SBIC or MESBIC. NOTE: These are official litigation case files. Inasmuch as this Agency is authorized under the Investment Act and by the Department of Justice to conduct litigation with respect to investment operations. File alphabetically by name of SBIC-MESBIC.	Cutoff when SBA litigation action is completed and case is considered closed by OGC. (a) Central Office transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff. b) Field Offices records custodians will transfer closed cases to FRC 1 year after cutoff. Destroy 7 years after cutoff.	

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Item No.	Description of Records	Disposition Instructions	
~~70:11~~	Litigation (other than loans and SBIC's)		LEG-4-4 NN-171-144
	Includes legal matters involving Certificate of Competency, SBA personnel, tort claims, and other material on administrative law.	Cutoff when loan is paid or closed by other means. Transfer to FRC 3 years after cutoff. Destroy all cases 10 years after cutoff.	
	File by docket name(s) under which the case has been filed in the court.		
70:12	SBA Legislative Handbook		LEG-4-5 NN-171-144
	Includes legislation pertaining to SBA activities and related provisions of law and certain selected Executive orders which affect SBA.	Cutoff when new or revised material is issued by the Office of General Counsel which supersedes matter previously issued. Retain by offices needing the handbook; superseded matter destroyed upon filing of new material.	
	File by arrangement prescribed in handbook.		

APPENDIX 28

MINORITY SMALL BUSINESS
RECORD GROUP 80

This schedule outlines filing and disposition of records pertaining to the minority small business program of SBA.

Item No.	Description of Records	Disposition Instructions
INCREASED FRC RETENTION BY 3 MONTHS; ELIMINATED SAMPLE-CASE REQUIREMENT		
80:01	8(a) Subcontracts	PMA-4-3 NN-171-144
	Includes all subcontracting by SBA to specific small business firms under authority of Section 8(a) of the Small Business Act, visits to subcontractors, reports of subcontractors, development of specific feasibility studies, source data, etc	Cutoff when contract has been completed or terminated and closed by other means. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.
	File case files numerically,, by contract number.	
NEW ITEM 80:02	8(a) Subcontracts (Miscellaneous)	
	Miscellaneous nonrecord subject material maintain alphabetically by subject.	Cutoff when contract has been completed or terminated and closed by other means.
	File case files numerically, by contract number.	Destroy 1 year after cutoff.
NEW ITEM 80:03	8(a) Business Plan File	
	Includes all business plan documents of specific small business firms under authority of Section 8(a) of the Small Business Act.	Cutoff when business firm fulfills its FPPT, is terminated or completed from the 8(a) program. Transfer to FRC 2 years after cutoff.
	File case files numerically by case number.	Destroy 6 years and 3 months after cutoff.

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Item No.	Description of Records	Disposition Instructions
NEW ITEM 80:04	8(a) Business Plan File (Miscellaneous)	
	Miscellaneous nonrecord subject material, maintain alphabetically by subject.	Cutoff when business firm fulfills its FPPT, is terminated or. completed from the 8(a) program.
	File case files numerically by case number.	Destroy 2 years after cutoff.

APPENDIX 29

INSPECTOR GENERAL
RECORDS GROUP 90

This schedule outlines material relating to all SBA internal audit matters: activities pertaining to investigation of SBA employees and persons and firms seeking SBA assistance - including fee attorneys, SBIC receivers and others who have quasi-employee relationships with SBA; and for other material covering external audits and inspections of SBIC's; State and local development companies (Small Business Investment Act), and external audits involving financial assistance activities covered under the SBA Act.

Item No.	Description of Records	Disposition Instructions	
~~90:01~~	~~Audits (general)~~		AIS-1 NN-171-144
	~~Includes miscellaneous material that does not relate to a specific audit report, case, or investigation.~~	~~Cutoff each calendar year.~~ ~~Destroy 1 year after cutoff.~~	
	File by subject.		
DEVIATION FROM GRS			
90:02	Audit Report Files		AIS-1-1 NN-171-144 GRS-25/4
	Includes reports and data on corrective action taken on deficiencies, and communications with the General Accounting Office on such cases.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff.	
	File by report number.		
~~90:03~~	~~Audit Project Files~~		AIS-1-2 NN-171-144
	~~Includes progress reports, field office draft reports and correspondence.~~	~~Cutoff each fiscal year. Transfer to FRC 2 years after cutoff.~~	
	~~File by project number.~~	~~Destroy 10 years after cutoff.~~	

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Item No.	Description of Records	Disposal Instructions
DEVIATION FROM GRS		
90:04	Audit Project Working Papers	AIS-1-3 NN-171-144 GRS-25/4
	Includes abstracts of audit reports, analysis of financial or operational data, charts, graphs, basic agreements, etc., and other workpaper data. File by project number.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff.
INCREASED FRC RETENTION 1 YEAR		
90:05	External Audits and Inspections (SBA Act)	AIS-6 NN-171-144
	Includes audits and inspections conducted in connection with financings made under financial assistance programs of SBA. File alphabetically by name of borrower.	Cutoff when loan is terminated or closed by other means. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.
INCREASED FRC RETENTION 1 YEAR		
90:06	External Audits and Inspections (EO Act)	AIS-7 NN-171-144
	Includes audits and inspections conducted in connection with contracts and grants made under Section 406 of the Economic Opportunity Act as amended, 1967. File alpahabetically by name of recipient of grant or contract.	Cutoff each calendar year. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.

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Item No.	Description of Records	Disposition Instructions
INCREASED FRC RETENTION 1 YEAR		
90:07	Complaints (other than by SBA employees)	AIS-8 NN-171-144
	Includes discrimination complaints against SBA personnel and offices of the Agency by applicants and recipients. File by region and thereunder chronologically.	Cutoff on completion of final action. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.
90:08	Compliance Files	AIS-9 NC-174-222
	Includes Compliance Report SBA Form 707 and related material. (a) Central Office file alphabetically by state and thereunder by name of applicant. (b) All other offices file with loan or other type pertinent case file.	Cutoff upon completion of action or at close of fiscal year whichever is appropriate. (a) Central Office destroy 3 years after cutoff. (b) All other offices retain with loan case files and destroy when loan is paid in full or charged off-final, or closed by other actions.
DECREASED SBA RETENTION BY 1 YEAR		
90:09	Compliance Files	AIS-9-1 NC-174-222
	Includes Compliance Review Report, SBA Form 747 and related material. (a) Central Office file alphabetically by state and thereunder alphabetically by name of applicant. (b) All other offices file with loan.	Cutoff upon completion of actions or at close of fiscal year, whichever is appropriate. (a) Central Office transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff. (b) All other offices destroy 3 years after cutoff.

Item No.	Description of Records	Disposition Instructions
ELIMINATED SAMPLE-CASE REQUIREMENT; DEVIATION FROM GRS		
90:10	Investigative File	AIS-3 & 5 NN-171-144 GRS-25/3(b)
	Includes investigative reports or Personnel Investigations, Financial Assistance, SBIC's, State and local development companies, and other recipients of SBA program, including applicant representatives (reports may incorporate data from FBI, Internal Revenue Service, etc.). Files are maintained in alphanumeric order.	Cutoff at end of each calendar year. SBA investigative files are screened to remove those files on which no derogatory information has been received for 5 years or more. A notation is made on the OIG card file that the closed file has been forwarded to the FRC. Transfer to FRC 6 years after cutoff. Destroy 15 years after cutoff.
NEW ITEM		
90:11	General Correspondence ("R" and "O" Files)	
	Includes miscellaneous material that does not relate to a specific report case, or investigation. Files are maintained in alphanumeric order.	Cutoff each calendar year. SBA investigative files are screened to remove those files on which no derogatory information has been received for 5 years or more. A notation is made on the OIG card file that the closed file has been forwarded to the FRC where it may be subsequently retrieved if necessary. Closed files are not retained by SBA - they are sent immediately to FRC 1 year after cutoff. Destroy 10 years after cutoff.

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Item No.	Description of Records	Disposition Instructions	
CHANGED INDEFINITE RETENTION TO 20 YEARS @ SBA; DEVIATION FROM GRS			
90:12	Investigative Card File Includes condensed OIG data containing information on loan applicants, borrowers, and SBIC's. File alphabetically by name of individual or company name.	Do not break file until OIG authorizes. Cards will be retained 20 years by OIG.	AIS-3-3 NN-171-144 GRS-18/23(a)
~~90:13~~	~~Selective Operational Review~~ ~~Includes OIG field reports on regional, district, and branch offices.~~ ~~File by region, district, and branch office.~~	~~Cutoff after purpose of report has been served.~~ ~~Destroy 5 years after cutoff.~~	AIS-3-5 NN-171-144
CHANGED INDEFINITE RETENTION TO 15 YEAR @ SBA			
90:14	Personnel Security (Investigative) Includes security investigations of employees in sensitive positions and those requiring full field investigation and other employee type investigations. File alphabetically by name of individual or company name.	Cutoff on separation of employee. (a) OIG destroys records of a nonadverse nature. (b) Those containing adverse information are retained by OIG and transfered to FRC 5 years after cutoff. Destroy 15 years after cutoff.	AIS-4 NN-171-144

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Item No.	Description of Records	Disposition Instructions
CHANGED RECORD TITLE		
90:15	Small Business Investment Co. Ownerships	AIS-3-2 NN-171-144
	Investigative file includes investigations and reports on principal SBIC directors and stockholders (20 percent or more). File alphabetically by name of company.	(a) Derogatory Cases: Cutoff when license is terminated. Central Office transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff. (b) Non-Derogatory Cases: OIG will retain for one year after information has served its purpose and data has been recorded in OIG card file. OIG will destroy 1 year after cutoff.
NEW ITEM		
90:16	SBA Hotline Administrative File	
	All administrative correspondence relating to the OIG hotline (IGS-12). File chronologically by date of correspondence.	File to be continuous. Cutoff to be established by OIG. Transfer to FRC 1 year after cutoff. Destroy 10 years after cutoff.
NEW ITEM		
90:17	SBA Hotline Complaint Log	
	All complaints received via telephone hotline or Hotline Mailbox logged and given sequential number (SBA Form 266). File chronologically by date of correspondence.	File to be continuous. Break to be established by OIG. Transfer to FRC 1 year after cutoff. Destroy 10 years after cutoff.

Item No.	Description of Records	Disposition Instructions
NEW ITEM 90:18	SBA Hotline Complaint File	
	Includes correspondence or complaints received by Inspector General, P.O. Box and Hotline phone requesting an investigation. Files are maintained in alphanumeric order.	Cutoff each calendar year. SBA investigation files are screened to remove those files on which no derogatory information has been received for 5-years or more. A notation is made on the OIG card file that the closed file has been forwarded to the FRC where it may be subsequently retrieved if necessary. Closed files are not retained by SBA. Send to FRC one year after cutoff date. Destroy 10 years after cutoff.
NEW ITEM 90:19	Complaint (other agency) Hotline Referrals	
	File contains correspondence complaints (including GAO, DOD, etc,) requesting investigation. Files are maintained in alphanumeric order.	Cutoff each calendar year. SBA investigation files are screened to remove those files on which no derogatory information has been received for 5 years or more. A notation is made on the OIG card file, that closed file has been forwarded to the FRC where it may be subsequently retreived if necessary. Closed files are not retained by SBA. Send to FRC 1 year after cutoff. Destroy 10 years after cutoff.
NEW ITEM 90:20	Character Eligibility Files	
	Includes all correspondence and documents required for character eligibility determination. File alphabetically by name of individual or company name.	Do not cutoff until OIG authorizes. File will be retained 5 years after cutoff by OIG, then forwarded to FRC. Destroy 20 years after cutoff.

APPENDIX 30

SPECIAL PROGRAMS
RECORDS GROUP 95

This schedule outlines filing and disposition of records pertaining to the Office of Special Programs of SBA.

Item No.	Description of Records	Disposition Instructions
CHANGED DISPOSITION INSTRUCTIONS; INCREASED FRC RETENTION		
95:01	SBA Advisory Councils (National, regional and state).	PMC-4 NN-171-144
	Includes material maintained at SBA Central Office, regional. and district office levels, on SBA advisory council activities; membership on councils; minutes of meetings; and actions or recommendations and resolutions made by the respective councils, etc.	PERMANENT Cutoff each calendar year. Transfer to FRC 2 years after cutoff. Offer to NARA in 5 year blocks 20 years after cutoff.
	File by Council, SBA National, regional, or state as appropriate.	
NEW ITEM		
95:02	Advisory Council Reporting Requirements	
	Includes required fiscal year reports (GSA Form T820B), each District Director, through the Regional Administrator. Detailed requirements outlined in SOP 90 54.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 5 years after cutoff.
	File under Reports SBA National, regional, or state council, as appropriate.	

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Item No.	Description of Records	Disposition Instructions
NEW ITEM 95:03	Computerized Internal Control Review (ICR)	
	Includes administrative reviews of management procedures and controls on critical agency programs at field.	Cutoff every second fiscal year.
		(a) Destroy hard copy printout 2 years after cutoff.
	File fiscal year, by region, by district.	(b) Transfer microfiche original and one duplicate to FRC 2 years after cutoff.
		Destroy 10 years after cutoff.
NEW ITEM 95:04	Formal I.C.R.	
	Detailed examination of agency programs to determine whether internal controls exist and are implemented to prevent or detect waste, loss mismanagement and misappropriation of agency resources.	PERMANENT Cutoff each fiscal year after completion of examination.
		Transfer to FRC 2 years after cutoff.
		Offer to NARA in 5 year blocks 20 years after cutoff.
	File fiscal year alphabetically by program.	
NEW ITEM 95:05	Vulnerability Assessment	
	Detailed review of agency programs and functional areas to determine susceptibility of waste, loss, unauthorized, or misasppropriation of agency resources.	Cutoff each fiscal year.
		Transfer to FRC 2 years after cutoff.
		Destroy 10 years after cutoff.
	File numerically by assessible unit number.	
CHANGED DISPOSITION INSTRUCTIONS 95:06	Program Activity Accomplishment Reports	PEAR 3-1 NN-171-144
	Includes narrative and nonmachine type reports required from various SBA offices by directive or at regular intervals of time,	Cutoff each calendar year.
		(a) Central Office PERMANENT transfer to FRC 3 years after cutoff.

Item No.	Description of Records	Disposition Instructions
	including annual reports prepared above the division level; summary statistical studies that show the progress of the SBA programs and special reports required by higher authority at other than regular intervals. File by type of report.	Offer to NARA in 5 year blocks. 20 years after cutoff. (b) Field Offices destroy 3 years. after cutoff.
~~95:07~~	~~Economic Analysis and Research - general~~ ~~Includes general correspondence and material relating to program planning and evaluation, economic analysis and research.~~ ~~File alphabetically, or by program or subject, as appropriate.~~	PEAR-1 NN-171-144 ~~Cutoff each calendar year.~~ ~~Destroy 1 year after cutoff.~~
CHANGED	DISPOSITION INSTRUCTIONS	
95:08	Mission, Objectives, and Program Analysis Includes long-range program, planning and evaluation and economic research and analysis plans and progress reports submitted to the Administrator and development of programs and plans for implementation, pretesting, and evaluation of program goals. File by program.	PEAR-1-1 NN-171-144 Cutoff each calendar year. (a) Central Office PERMANENT transfer to FRC 3 years after cutoff. Offer to NARA in 5 year blocks 20 years after cutoff. (b) All other offices destroy 5 years after cutoff.

Item No.	Description of Records	Disposition Instructions
95:09	Technical Monitoring	PEAR-2-2 NN-171-144
	Includes economic analysis studies and surveys pertaining to national and regional impact factors which affect small business, manufacturing techniques, and environmental and industrial changes which may affect SBA programs and policy decisions. File by subject or type of industry.	Cutoff each calendar year. (a) Central Office transfer to FRC 3 years after cutoff. Destroy 6 years after cutoff. (b) All other offices destroy 5 years after cutoff.
ELIMINATED SIGNIFICANT-CASE PROVISION		
95:10	Organization and Management Studies	O&M-3-2 NN-171-144
	Includes organization and management or special project studies and surveys independently conducted by offices within the Small Business Administration, or in cooperation with other agencies, and the resulting reports containing evaluations and recommendations. File by office, or subject and date.	Cutoff on submission of final report. (a) Central Office responsible for organizational planning and issuance of such official materials will transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff. (b) Offices receiving copies of issuances and furnishing feeder data destroy materials 1 year after cutoff.