

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC-174-000222**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 10/19/2022

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All other items remain active.

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item AIS-9-1 was superseded by N1-309-86-001 item 90:09

Item BUD-1 was superseded by N1-309-86-001 item 20:01

Item BUD-2 was superseded by N1-309-86-001 item 20:02

Item BUD-3 was superseded by N1-309-86-001 item 20:03

Item FAD-8-6-1 was superseded by N1-309-86-001 item 50:05

Item FAD-10-4-1 was superseded by N1-309-86-001 item 50:12

Item LEG-4-2-1 was superseded by N1-309-86-001 item 70:10

REQ OR AUTHORITY  
 TO DISPOSE OF RECORDS

(See Instructions on Reverse)

RG 309

TO: GENERAL SERVICES ADMINISTRATION,  
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

1 FROM (AGENCY OR ESTABLISHMENT)

SMALL BUSINESS ADMINISTRATION

2 MAJOR SUBDIVISION

ADMINISTRATIVE SERVICES DIVISION

3 MINOR SUBDIVISION

RECORDS MANAGEMENT & EMERGENCY PLANNING BRANCH

4 NAME OF PERSON WITH WHOM TO CONFER

5 TEL. EXT.

CHARLES M. BAGWELL, SBA RECORDS OFFICER 128-3475

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records, and that the records described in this list or schedule of \_\_\_\_\_ pages are proposed for disposal for the reason indicated. ("X" only one)

A The records have ceased to have sufficient value to warrant further retention.

B The records will cease to have sufficient value to warrant further retention on the expiration of the period of time indicated or on the occurrence of the event specified.

5/1/74

CHARLES M. BAGWELL

SBA RECORDS OFFICER

(Date)

(Signature of Agency Representative)

(Title)

LEAVE BLANK

DATE REC. MAY 2 1974	JOB NO.
DATE APPROVED NC 174-222	

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 stamped "disposal not approved" or "with-drawn" in column 10

6-12-74 *James B. Rhoads*  
 Date Archivist of the United States

7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	The SBA records categories listed below require NARS disposal authority due to (a) changes made in disposition since NARS approval concerning these items as of May 31, 1972, and (b) certain new items identified below as added to SBA's records schedule since NARS approval of the above date. Copies of pages of SBA's current schedule as pertains to these items is attached to this SF 115 for your review and approval.		
ACC 2	New item		
BUD 1	FRC retention extended 1 year		} Retention Plan Dec 30, 1964
BUD 2	FRC retention extended 1 year		
BUD 3	FRC retention extended 1 year		
OSV 2-2	New item		
PER 6-1	New item		
PER 6-2	New item		
AIS 3	FRC retention changed from indefinite to 20 years		
AIS 8	New item		
AIS 9	New item		
AIS 9-1	New item		
FAD 7-1	FRC retention changed from indefinite to 7 years		
FAD 7-3	FRC retention changed from indefinite to 7 years		
FAD 8-6-1	New item		
FAD 9-3	New item		
FAD 9-4	New item		
FAD 10-4-1	New item		
FAD 10-5	New item		
FAD 10-5-1	New item		
FAD 10-5-2	New item		
LEG 4-2-1	Was clarified to provide FRC 6 years retention to field cases		
PEAR 3-1	Effort made to clarify "FRC Disposition" by offer to Archives 7 years after cutoff		

22 items

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SBA RECORDS DISPOSITION SCHEDULE

SOP 00 41  
APPENDIX I

PART 1-A ACC - ACCOUNTING

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
ACC 1-2 (cont'd)	(2) Journal Voucher	By voucher number	<p><u>Breakfile</u> - at end of each fiscal year</p> <p><u>Retention Period</u> - forward to FRC 2 years after cutoff</p> <p><u>FRC Disposition</u> - FRC will dispose of 10 years after cutoff</p>
	(3) Administrative Accounting - CO Form 249, "ADP Coding Document-Accounting"	By type of block and batch number	<p><u>Breakfile</u> - at end of each month</p> <p><u>Retention Period</u> - forward to FRC 2 years after cutoff</p> <p><u>FRC Disposition</u> - FRC will dispose of 2 years after cutoff</p>
<u>ACC 2</u>	<u>Semi-Annual Report on Guaranty Loans - includes SBA Form 391</u>	By Block - By Date	<p><u>Breakfile</u> - at end of each fiscal year</p> <p><u>Retention Period</u> - transfer to FRC <del>1</del> <sup>1 1/2</sup> year after cutoff <i>Car CM Bergwell 1/4/74</i></p> <p><u>FRC Disposition</u> - FRC will dispose of 3 years after cutoff</p>
ACC 2-1	Reserved		

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PART I-B BUD - BUDGET

GENERAL INSTRUCTION Use the outline below for material regarding annual, deficiency and supplemental estimates and appropriations; apportionments, allocations, allotments and transfer of funds for the Small Business Administration.

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<u>BUD 1</u>	<u>Appropriations Hearings</u> - includes Congressional bills, hearings, and legislative history relating to SBA expenditures, operations, and appropriations	Numerically by Congressional bill	<p><u>Breakfile</u> - at end of each budget year</p> <p><u>Retention Period</u> - (a) <u>Central Office</u> (Budget)-retain for internal use as long as needed and transfer extra copy to FRC 4 years after cutoff, (b) <u>all other offices</u>-dispose of 2 years after cutoff</p> <p><u>FRC Disposition</u> - FRC will offer to National Archives as historical records <u>7</u> years after cutoff</p>
<u>BUD 2</u>	<u>Budget Submissions, Estimates and Formulation</u> - includes allowances, justifications, and submissions	Chronologically	<p><u>Breakfile</u> - same as BUD 1, above</p> <p><u>Retention Period</u> - (a) <u>Central Office</u> (Budget)-retain for internal use as long as needed and transfer extra copy to FRC 4 years after cutoff, (b) <u>all other offices</u>-dispose of 2 years after cutoff</p> <p><u>FRC Disposition</u> - same as BUD 1 above</p>

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PART I-B BUD - BUDGET

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<u>BUD 3</u>	<u>Budget Execution</u> - includes allotment advices, revisions, apportionments, ceilings limitations; employment, cost distribution; staffing; utilization of funds; financial planning	By allottee account number	<p><u>Breakfile</u> - at end of each budget year</p> <p><u>Retention Period</u> - (a) <u>Central Office (Budget)</u>-retain for internal use as long as needed and transfer extra copy to FRC 4 years after cutoff, (b) <u>all other offices</u>-dispose of 2 years after cutoff</p> <p><u>FRC Disposition</u> - FRC will offer to National Archives as historical records <u>7</u> years after cutoff</p>

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PART I-E O&M - ORGANIZATION AND MANAGEMENT

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<p>O&amp;M 3-1</p> <p><i>THIS IS THE WAY NARS APPROVED THE ITEM ON Use "offer"</i></p>	<p><u>Organizational Planning</u> - includes functional statements, organization charts and maps, and geographical boundaries of SBA field offices</p> <p><i>5/31/72</i></p> <p><i>WE CAN CHANGE IT TO O&amp;M 3-2 BECAUSE YOU WANT</i></p>	<p>By office, or subject, and date</p>	<p><u>Breakfile</u> - when organization plan or statements are canceled or superseded</p> <p><u>Retention Period</u> - (a) Central Office responsible for organizational planning and issuance of such official material, will release to FRC 2 years after cutoff, (b) offices receiving copies of issuances and furnishing feeder data dispose of materials 1 year after cutoff</p> <p><u>FRC Transfer</u> - FRC will <sup>offer</sup> <del>transfer</del> to National Archives 10 years after cutoff</p>
<p>O&amp;M 3-2</p>	<p><u>Organization and Management Studies</u> - 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.</p>	<p>By office, or subject and date</p>	<p><u>Breakfile</u> - on submission of final report</p> <p><u>Retention Period</u> - (a) Central Office responsible for organizational planning and issuance of such official material will release to FRC 2 years after cutoff, (b) offices receiving copies of issuances and furnishing feeder data dispose of materials 1 year after cutoff</p> <p><u>FRC Disposition</u> - FRC will dispose of 10 years after cutoff except for important studies or surveys to be offered to National Archives</p>

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PART 1-F OSV - OFFICE SERVICES

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<u>OSV 2-2</u>	<u>Annual Printing and Binding Report</u> - required by Congress	Annually, by date	<u>Breakfile</u> - Central Office only, at end of each fiscal year  <u>Retention Period</u> - 2 years after cutoff  <u>FRC Transfer</u> - not applicable

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PART 1-G PER - PERSONNEL ADMINISTRATION

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<u>PER 6-1</u>	<u>Retention Registers</u> - from which reduction-in-force actions have been taken, and related correspondence	Chronological	<u>Breakfile</u> - end of calendar year  <u>Retention Period</u> - 2 years after the effective date of RIF or until a CSC inspection, whichever occurs first  <u>FRC Transfer</u> - not applicable
<u>PER 6-2</u>	<u>SBA Personnel Organization Roster</u> - (ADP monthly printout)	By Monthly ADP runs	<u>Breakfile</u> - <u>Central Office</u> - end of calendar year; <u>field offices</u> - breakfile each month, or when needed  <u>Retention Period</u> - <u>Central Office</u> - dispose of 3 years after cutoff or upon completion of CSC inspection. Office of Personnel will forward 1 copy monthly to Records Management Branch for vital records purposes. The Records Management Branch will dispose of copy upon receipt of second subsequent copy. <u>Field offices</u> - dispose of old monthly copy when new copy is received, or dispose old copies periodically if desired  <u>FRC Transfer</u> - not applicable



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PART 11-A AIS - AUDITS, INVESTIGATIONS, AND SECURITY

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
AIS 2	Reserved		
<u>AIS 3</u>	<u>Small Business Act-Investment File</u> - includes reports on loan applications, borrowers, and other recipients of SBA programs, including applicant representatives (reports may incorporate data from FBI, Internal Revenue Service, etc)	Alphabetically, by name of applicant, borrower, or representative on derogatory cases only	<p><u>Breakfile</u> - at end of 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 S&amp;I card file that the closed file has been forwarded to the FRC where it may be subsequently retrieved, if necessary</p> <p><u>Retention Period</u> - closed files are not retained by SBA - they are sent immediately to FRC after S&amp;I cutoff each year</p> <p><u>FRC Disposition</u> - FRC will hold closed cases for <u>20 years</u> and then dispose</p>

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PART 11-A AIS - AUDITS, INVESTIGATIONS, AND SECURITY

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<u>AIS 8</u>	<u>Complaints</u> - (other than by SBA employees) - includes discrimination complaints against SBA personnel and offices of the Agency by applicants and recipients	By region and thereunder chronologically	<u>Breakfile</u> - on completion of final action or at close of fiscal year  <u>Retention Period</u> - transfer to FRC <del>2</del> years after cutoff <i>Rev. CM. Jan 1, 1982</i>  <u>FRC Disposition</u> - FRC will dispose of 5 years after cutoff
<u>AIS 9</u>	<u>Compliance Files</u> - includes SBA Form 707 (Compliance Report) and related material	Central Office file alphabetically by state and thereunder by name of applicant; other offices file with loan or other type pertinent case file	<u>Breakfile</u> - upon completion of action or at close of fiscal year, whichever is appropriate  <u>Retention Period</u> - CO will dispose of 3 years after cutoff. All other offices retain with loan case file and dispose of when loan is paid in full or charged off-final, or closed by other action  <u>FRC Transfer</u> - not applicable - material is excluded from case files sent to FRC

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PART 11-A AIS - AUDITS, INVESTIGATIONS, AND SECURITY

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<u>AIS 9-1</u>	<u>Compliance Files</u> - includes SBA Form 747 (Compliance Review Report) and related material	CO file alphabetically by state and there- under alphabetically by name of applicant; all other offices file with loan or other type pertinent case file	<p><u>Breakfile</u> - upon completion of action or at close of fiscal year, whichever is appropriate</p> <p><u>Retention Period</u> - (a) <u>Central Office</u>-will forward to FRC 3 years after cutoff, (b) <u>all other offices</u>-dispose of 3 years after cutoff</p> <p><u>FRC Disposition</u> - FRC will dispose of 10 years after cutoff</p>

PART 11-B FAD - FINANCIAL ASSISTANCE

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<p><u>FAD 7-1</u></p>	<p><u>Liquidation</u> - SBA Loans (charged off-closed cases) - includes all liquidation cases on SBA loans that have been classified in this category by SBA Form 327 action, or otherwise</p> <p><u>NOTE:</u> For records disposition of SBA loan cases that have been paid-in-full or charged off final see FAD 2-1 and FAD 3-1</p>	<p>Alphabetically by name of borrower, apart and separate from SBA paid, or charged off final 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</p>	<p><u>Breakfile</u> - FA 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</p> <p><u>Retention Period</u> - 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</p> <p><u>FRC Disposition</u> - FRC will dispose of <u>7 years</u> after cutoff</p>
<p>FAD 7-2</p>	<p><u>SBIC Liquidations</u> - includes all SBIC liquidation cases that have been paid in full through liquidation or charged off-final by SBA Form 327, or otherwise</p>	<p>By SBIC case number</p>	<p><u>Breakfile</u> - all offices will breakfile upon notice of paid in full or charged off-final</p> <p><u>Retention Period</u> - all offices will forward to FRC 2 years after cutoff</p> <p><u>FRC Disposition</u> - FRC will dispose of 6 years after cutoff</p>

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PART 11-B FAD - FINANCIAL ASSISTANCE

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<u>FAD 7-3</u>	SBIC Liquidations - (charged off-closed) - includes all SBIC liquidation cases that have been charged off-closed by SBA Form 327, or otherwise	By SBIC number, apart and separate from SBIC paid or charged off final cases. File custodian will mark the outside folder of such cases "charge off closed," and date action taken; information to be taken from file copy of SBA Form 327	<u>Breakfile</u> - FA loan specialists will assist file 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  <u>Retention Period</u> - 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  <u>FRC Disposition</u> - FRC will dispose of <u>7 years</u> after cutoff

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PART 11-B FAD - FINANCIAL ASSISTANCE

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<p><u>FAD 8-6-1</u></p> <p><i>New</i></p>	<p>"Daily Register of Loan Inquiries" SBA Form 280 - represents daily log maintained by field office on interviews recorded daily on SBA Forms 149 and other inquiries directed to the field office on that date for SBA assistance</p>	<p>Chronologically by date, and in monthly sets by year, i.e. 1 full year of preceding monthly sets of the log must be maintained at all times</p>	<p><u>Breakfile</u> - Regularly on a monthly basis; i.e. when the oldest monthly set becomes 13 months old that set may be destroyed</p> <p><u>Retention Period</u> - see above</p> <p><u>FRC Transfer</u> - not applicable</p>
<p>FAD 9</p>	<p><u>Loan Servicing</u> (general) - includes correspondence and miscellaneous material on loan servicing (which does not pertain to a specific loan) and which is not covered otherwise under other FAD categories</p>	<p>Alphabetically by name of inquirer, or subject, as appropriate</p>	<p><u>Breakfile</u> - at end of each calendar year</p> <p><u>Retention Period</u> - 1 year after cutoff and then dispose</p> <p><u>FRC Transfer</u> - not applicable</p>

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PART 11-B FAD - FINANCIAL ASSISTANCE

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<u>FAD 9-3</u>	<u>"Disaster Application/Loan Control Assembly"</u> SBA Form 932A - prepared by control clerk for certain disaster loan applications (see SOP 50 33 for procedures on preparation and use)	See SOP 50 33 for filing instructions	<u>Breakfile</u> - on completion of disaster  <u>Retention Period</u> - dispose of 1 year after usefull purpose has been fulfilled  <u>FRC Transfer</u> - not applicable
<u>FAD 9-4</u>	<u>"Disaster Activity Report"</u> SBA Form 524 - used by field to report statistical data on disaster loan applications (see SOP 50 33 for procedures on preparation and use)	See SOP 50 33 or (filing instructions)	<u>Breakfile</u> - on completion of disaster  <u>Retention Period</u> - Central Office <del>retain indefinitely (pending further study)</del> <sup>dispose</sup> or when no longer needed for reference. Field offices dispose of on completion of disaster  <u>FRC Transfer</u> - not applicable

*RA 14 May 74  
OR when no longer needed for reference  
For  
L.M. Burgess  
12/15/74*

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PART 11-B FAD - Financial Assistance

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
FAD 10-3 <i>Same</i>	<u>Lease Guarantee</u> (general) - includes general correspondence and miscellaneous material on lease guarantee program, that does not pertain to a specific lease guarantee application	Alphabetically by name of inquirer or subject as appropriate	<u>Breakfile</u> - each calendar year <u>Retention Period</u> - 1 year after cutoff and then dispose <u>FRC Transfer</u> - not applicable
FAD 10-4 <i>This has not been changed - unless guaranteed by others</i>	<u>Lease Guarantee</u> (specific) - includes applications, supporting papers, correspondence, authorization, examiner's reports, and other material pertaining to a specific lease guarantee	Alphabetically by name of applicant <u>NOTE:</u> For arrangement of material filed in case folder, see appendix 3 of SOP 00 41; one sample closed case each 3rd year to be sent by Central Office to FRC on separate SF 135 as historical records	<u>Breakfile - Field Offices</u> - at time lease guarantee expires, or when lease guarantee is canceled or terminated by other action <u>Retention Period - Field Offices</u> - retain for 2 years after expiration or termination of lease guarantee and then forward to FRC <u>FRC Disposition</u> - FRC will dispose of 6 years after cutoff, <u>except for sample cases to be retained indefinitely</u> <i>Per Retention Plan 1/13/74</i>



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PART 11-B FAD - Financial Assistance

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<u>FAD 10-4-1</u>	<u>Lease Guarantee Reinsurance Files</u> - includes applications, supporting papers, correspondence, authorizations, examiner's reports, and other material pertaining to a specific reinsurance file	Alphabetically by name of applicant  <u>NOTE:</u> For arrangement of material filed in case folder, see appendix 3 of SOP 00 41; one sample closed case each 3rd year to be sent by Central Office to FRC on separate SF 135 as historical records	<u>Breakfile - Central Office</u> - 6 months after reinsurance certificate is issued  <u>Retention Period - Central Office</u> sent to Central Files Section at time of cutoff all active files. On files that are canceled or terminated by other action dispose of immediately. On active files Central Records Section will forward to FRC 2 years after cutoff  <u>FRC Disposition</u> - FRC will dispose of 20 years after cutoff

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## PART 11-B FAD - FINANCIAL ASSISTANCE

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<u>FAD 10-5</u>	<u>Surety Bond Program - General</u> - includes general correspondence regarding inquiries on the Surety Bond Program and other related material that does not pertain to a specific application and which is not covered under other FAD categories.	Alphabetically by name of inquirer or by subject, as appropriate	<u>Breakfile</u> - at the end of each calendar year  <u>Retention Period</u> - dispose of 2 years after cutoff  <u>FRC Transfer</u> - not applicable
<u>FAD 10-5-1</u>	<u>Surety Bond Folder</u> - includes SBA Form 912 (Statement of Personal History); SBA Form 990 (Guarantee Agreement); SBA Form 994 (Application); and related material.	File by name of applicant or business name	<u>Breakfile</u> - after last contract completed or last application received  <u>Retention Period</u> - dispose of 3 years after cutoff  <u>FRC Transfer</u> - not applicable
<u>FAD 10-5-2</u>	<u>Surety Bond Guarantee Control</u> - includes SBA Form 1000.  NOTE: SBA Form 1000 is now obsolete. This instruction applies only to records in this category on which disposal action has not been taken	Alphabetically	<u>Breakfile</u> - when updated  <u>Retention Period</u> - dispose 3 years after cutoff  <u>FRC Transfer</u> - not applicable

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PART 11-D LEG - LEGAL & LEGISLATIVE

(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
<u>LEG 4-2-1</u>	<p><u>Litigation</u> - (SBIC - MESBIC) - includes official litigation case files pertaining to court actions conducted by SBA with respect to an SBIC or MESBIC</p> <p><u>NOTE:</u> These are official litigation case files. They are not considered as work files in the sense of those described under LEG 4-2, inasmuch as this Agency is authorized under the Investment Act and by the Department of Justice to conduct litigation with respect to investment company operations</p>	Alphabetically by name of SBIC-MESBIC	<p><u>Breakfile</u> - when SBA litigation action is completed and case is considered closed by OGC</p> <p><u>Retention Period - Central Office</u> on closed SBIC litigation cases, these cases will be retained by Central Records Section pending ultimate disposition by OGC. <u>Field Offices,</u> - field records custodians will forward to FRC 1 year after date of closing</p> <p><u>FRC Transfer - Washington Office,</u> - not applicable. <u>Field Offices,</u> - FRC will dispose of 6 years from date of closing</p>
LEG 4-3	Eliminated		

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PART 11-G PEAR - PROGRAM PLANNING, ECONOMIC ANALYSIS, AND REPORTS			
(1) Alpha-numeric file classification code	(2) Description of records, subject category and sub-categories	(3) Method of Filing	(4) Authorized disposition, file cutoff breaks, and retention - disposition periods
PEAR 3	Reserved		
<u>PEAR 3-1</u>	<u>Program Activity Accomplishment Reports</u> - includes narrative and nonmachine type reports required from various SBA offices by directive or at regular intervals of time, 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	By type of report	<p><u>Breakfile</u> - each calendar year</p> <p><u>Retention Period</u> - (a) <u>Central Office</u> transfer to the Federal Records Center 3 years after cutoff, (b) <u>field offices</u> - dispose of 3 years after cutoff</p> <p><u>FRC Disposition</u> - FRC will offer to National Archives <u>7 years</u> after cutoff</p>
PEAR 3-2	<u>Management and Statistical Type Reports</u> - includes ADP and other machine type reports prepared by the Reports Management Division, such as the monthly "Management Information Summary," and other limited use distribution type reports prepared by the Reports Management Division on special request	By type of report	<p><u>Breakfile</u> - when old report is superseded or updated by issuance of new or revised report</p> <p><u>Retention Period</u> - (a) Reports Management Division retain for an indefinite period one master set of all reports prepared by that office, (b) all other offices - receiving copies of such reports will retain only one copy of the two most recent issuances of such reports--all other obsolete copies to be destroyed</p> <p><u>FRC Transfer</u> - not applicable</p>
PEAR 3-3	Eliminated		