

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-309-86-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 00:01 was superseded by N1-309-87-003, item 1 (00:01).

Item 00:13 was superseded by N1-309-87-003, item 2 (00:13).

Item 00:17 was superseded by N1-309-94-001, item 00:13

Item 00:01 ceased production in 2005 per N1-309-07-001.

Item 20.03 was superseded by DAA-GRS-2015-0006-0002.

Item 50:04 was superseded by N1-309-04-009 item 50:04.

Item 50:09 was superseded by N1-309-04-009 item 50:09.

Item 50:13 was superseded by N1-309-04-009 item 50:13.

Item 55:03 was superseded by N1-309-95-002 item 55:03.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO N1-309-86-1	
1. FROM (Agency or establishment) SMALL BUSINESS ADMINISTRATION		DATE RECEIVED 10-11-85	
2 MAJOR SUBDIVISION Office of Administrative Services		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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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.	
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	DATE 9-25-86	ARCHIVIST OF THE UNITED STATES <i>Frank B. Burke</i>
6 CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A GAO concurrence ☐ is attached, or ☐ is unnecessary

B DATE 10/7/85	C SIGNATURE OF AGENCY REPRESENTATIVE <i>William A. Cline</i> 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) SMALL BUSINESS ADMINISTRATION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
	<p>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.</p> <p>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.</p> <p>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.</p>		

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).

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

<u>Item</u> <u>No.</u>	<u>Description of Record</u>	<u>Disposition Instructions</u>
<u>NEW ITEM</u>		
00:01	<u>General Subject Correspondence Files.</u>	
	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 elsewhere in this directive.	<u>PERMANENT</u> 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)

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.

REF 1
 NN-171-144

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<u>Item No.</u>	<u>Description of Record</u>	<u>Disposition Instructions</u>
<u>CLARIFIED RETENTION PROCEDURES</u>		
00:03	<u>Committees</u>	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.	<u>PERMANENT</u> Cutoff each calendar year.
	File chronologically by committee name.	Transfer to FRC 3 years after cutoff.
		Offer to NARA in 5 year blocks 20 years after cutoff.
<u>CLARIFIED RETENTION PROCEDURES</u>		
00:04	<u>SBA Administrator's Meetings</u>	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.	Cutoff each calendar year.
	File chronologically.	(a) <u>Central Office</u> <u>PERMANENT</u> transfer to FRC 3 years after cutoff.
		Offer to NARA in 5 year blocks 20 years after cutoff.
		(b) <u>All other offices</u> retain 1 year after filebreak and then dispose.
00:05	<u>Property Accountability and Inventory.</u>	OSV-4-2 NN-171-144
	Card record maintained in accordance with property accountability instructions.	Cutoff each fiscal year or when inventory is updated.
	File by office, region, or district.	Destroy 2 years after cutoff or after reconciliation of reinventory.

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

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4 45

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
00:08	<u>Automatic Data Processing Cards and Punched Paper Tape.</u>	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	<u>Error - Edit Listing</u>	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.
<u>DECREASED RETENTION CLARIFIED CYCLE UPDATE</u>		
00:10	<u>Automated Vital Records Data Files</u>	ADP-4-4 NN-171-144

Reserved

INCREASED FRC RETENTION 8 YEARS

00:11	<u>ADP Plans</u>	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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<u>Item No</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
00:12	ADP Standards	ADP-7 NN-171-144
	Includes Data Processing Procedures, studies relative to Federal Standardization Program, Federal Information Processing Standards.	Cutoff when standard is superseded or obsolete. Retain 2 years after cutoff then destroy.
	File by standard or publication.	

NEW ITEM - PERMANENT00:13 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 ITEM00:14 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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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
00:15	<u>Federal Register Material</u>	O&M-5 NW-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	<u>Delegation of Authority</u>	O&M-6 NW-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) <u>Central Office PERMANENT</u> will retain a master set of all delegations as official record copy, master set of <u>current lines of succession</u> 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) <u>Field Offices</u> 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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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>NEW ITEM</u>		
00:17	<u>Checklists</u>	
	Weekly compilation of SBA's issuances and cancellations of Standard Operating Procedures (SOP's), Notices, and forms.	Cutoff each calendar year.
	File chronologically by number.	(a) Central Office <u>PERMANENT</u> transfer to FRC 5 years after cutoff. Offer to NARA in 5 year blocks 20 years after cutoff. (b) <u>Field offices</u> destroy 1 year after cutoff.
<u>ELIMINATED SAMPLE CASE REQUIREMENT AND INCREASED FRC RETENTION 3 MONTHS</u>		
00:18	<u>Section 7J Contracts</u>	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.	Cutoff when contract has been completed, or terminated by other means.
	File numerically by contract number.	Transfer to FRC 2 years after cutoff. Destroy 6 years 3 months after cutoff.
<u>ELIMINATED SAMPLE CASE REQUIREMENT AND INCREASED FRC RETENTION 3 MONTHS</u>		
00:19	<u>Section 7J Grants and Cooperative Agreements</u>	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.	Cutoff when work to be performed under provisions of grants or cooperative agreements have been completed or terminated by other means.
	File alphabetically by name of grantee.	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 designed to promote and license private investment companies who in turn finance small firms by making loans and supplying equity capital.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>ELIMINATED FRC RETENTION</u>		
10:01	<u>License Application - With-drawn and/or Disapproved Case Folder</u>	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	<u>Investment Administration</u>	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	<u>Statutory Provisions, Interpretations, SBIC Advisory Council, and Interagency Relationships</u>	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 Advisory Council, and interagency relationships with	Cutoff each calendar year. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
	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	<u>License Folder - SBIC's-MESBIC's</u>	INV-6-3-1 & 2 NW-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	<u>Loan Folder - SBIC's MESBIC's</u>	INV-6-5 NW-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	<u>Licensee Operations Case Folder(s)</u>	INV-6-7-1 NW-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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<u>Item No.</u>	<u>Description</u>	<u>Disposition Instructions</u>
10:07	<u>SBIC Liquidations</u>	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.
	File by SBIC case number.	Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.
<u>DECREASED FRC RETENTION 9 MONTHS</u>		
10:08	<u>SBIC Liquidations.(charged-off</u>	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	<u>Examination Project Files</u>	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.
	File numerically by license number.	Transfer to FRC 2 years after cutoff. 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.

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

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
NEW ITEM		
20:04	<u>Cost Reduction and Management Improvement</u>	
	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	<u>Surety Bond Guaranty Transaction History File.</u>	
	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	<u>Collateral File Folders</u>	
	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. <u>NOTE:</u> 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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NW-171-144

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
	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.	
<u>NEW ITEM</u> 20:07	<u>Management Accounts Report System MARS-318</u>	
	Reconciliation of SBA Loan Accounting ADP files by Subsidiary Account.	Cutoff each fiscal year. Destroy 2 years after cutoff.
	File chronologically.	
<u>NEW ITEM</u> 20:08	<u>MARS 329</u>	
	List of undelivered loan checks aged by borrower.	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	
<u>NEW ITEM</u> 20:09	<u>MARS 331</u>	
	Repayment Analysis of Loan Sold to FFB.	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	
<u>NEW ITEM</u> 20:10	<u>MARS-334</u>	
	Detail Listing of Outstanding 503 Development Company Guaranteed Debentures	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	
<u>NEW ITEM</u> 20:11	<u>MARS 335</u>	
	Reconciliation of MARS 310/319 Report.	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>NEW ITEM</u>		
20:12	<u>MARS 336</u>	
	Listing of Differences on Bank Serviced Immediate Participation Loans.	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	
<u>NEW ITEM</u>		
20:13	<u>MARS 338</u>	
	Small Business Investment Company Cross Reference List by SBIC name.	Cutoff each quarter. Destroy 3 years after cutoff.
	File chronologically.	
<u>NEW ITEM</u>		
20:14	<u>MARS 339</u>	
	Small Business Investment Company Cross Reference List by License Number.	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	
<u>NEW ITEM</u>		
20:15	<u>MARS 366</u>	
	Payment to Federal Financing Bank (FFB) for Section 503 Debentures.	Cutoff semi-annually. Destroy 6 months after cutoff.
	File chronologically.	
<u>NEW ITEM</u>		
20:16	<u>MARS 503</u>	
	Detail Listing of Loan Receivables Having Minimum Balances	Cutoff semi-annually. Destroy 3 months after cutoff.
	File chronologically.	
<u>NEW ITEM</u>		
20:17	<u>MARS 504</u>	
	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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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>NEW ITEM</u>		
20:18	<u>MARS 507</u>	
	Detail Listing of Loan Having Negative Balance.	Cutoff semi-annually.
	File chronologically.	Destroy 3 months after cutoff.
20:19	<u>Allotment and Appropriations (general)</u>	
	Includes SBA Form 752. "Allotment Advice," SBA Forms 753, "Operating Budget Plan"; and Treasury Department Warrants, correspondence, exclusive of budget.	Cutoff each fiscal year.
	File chronologically	Destroy 1 year after cutoff.
20:20	<u>Batch Control Input Blocks</u>	
20:20:01	<u>Loan Accounting</u>	Cutoff each month.
	File by type of block and batch number.	Destroy 3 months after cutoff.
<u>ELIMINATED FRC RETENTION</u>		
20:20:02	<u>Administrative Accounting SBA Form 249 "ADP Coding Document Accounting."</u>	Cutoff each month.
	File by type of block and batch number.	Destroy 3 years after cutoff.

ACC-1
NN-171-144ACC-1-2(1)
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NN-171-144

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>ELIMINATED FRC RETENTION</u>		
20:21	<u>Borrowers Fiscal Loan Folder(s)</u>	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.	Cutoff when loan is paid-in-full, or charged off-final.
	File all microjackets numerically. File all microfilm reels by roll number.	(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	<u>Collection Cashier</u>	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.	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) <u>All other offices</u> destroy 3 years after cutoff.
	File by type of collection document involved.	

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>DECREASED FRC RETENTION 3 YEARS 9 MONTHS</u>		
20:23	<u>Schedules for Payment - Commercial Invoices</u>	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.
<u>DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS</u>		
20:24	<u>Schedules for Payment to General Services Administration</u>	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.
<u>DECREASED FRC RETENTION 2 YEARS AND 9 MONTHS</u>		
20:25	<u>Fund Accounting</u>	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.
<u>CLARIFIED CONTINGENCY DISPOSITION, ESTABLISHED RETENTION @ 30 YEARS</u>		
20:26	<u>Borrowers ADP History Listing on Microfilm</u>	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.
	File numerically by date of film.	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.

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

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

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

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>	
<u>INCREASED RETENTION BY 1 YEAR</u>			
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
<u>INCREASED FRC RETENTION 1 YEAR AND 3 MONTHS</u>			
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
<u>INCREASED FRC RETENTION 1 YEAR AND 3 MONTHS</u>			
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
<u>CHANGE OF REPORTING REQUIREMENT</u>			
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
<u>CHANGE OF REPORTING REQUIREMENT</u>			
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

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

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

<u>Item</u> <u>No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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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.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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CLARIFIED RETENTION PROCEDURES40:01 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.

Cutoff each calendar year.

Destroy 3 years after cutoff.

File chronologically.

~~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 campaigns, and assistance rendered to small business.~~

~~Cutoff each calendar year.~~~~Destroy 2 years after cutoff.~~~~File by name of city and state.~~NEW ITEM40:03 Official Portrait Photographs

Include official portrait photographs of SBA officials at the office level and above.

(a) Central Office PERMANENT Offer directly to NARA 1 year after each Presidential Inauguration (January 20).

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.

(b) Field Offices destroy when 5 years old.

File alphabetically by name.

Duplicate prints of portrait photographs.

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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.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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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.

Cutoff each calendar year.

File alphabetically by name of company and also numerically.

(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.

Cutoff on final disposition of case.

Central Office transfer to FRC 2 years after cutoff.

File alphabetically by name of company.

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.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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~~50:01 Financial Appraisal (general)~~

FAD-1
NN-171-144

~~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.~~

~~Cutoff each calendar year.~~

~~Destroy 1 year after cutoff.~~

~~File alphabetically by name of inquirer, or subject as appropriate.~~

~~50:02 Business Loans-(general (inquiries))~~

FAD-2
NN-171-144

~~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.~~

~~Cutoff each calendar year.~~

~~Destroy 1 year after cutoff.~~

~~File alphabetically by name of inquirer, or by subject.~~

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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50:03	<u>Liquidation and Disposal (general)</u>	
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FAD-7
NN-171-144

Includes general correspondence and material on SBA-SBIC loan liquidation activities that does not pertain to a specific loan or application.

Cutoff each calendar year.

Destroy 1 year after cutoff.

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.

50:04	<u>Liquidation - SBA Loans (charged off).</u>	
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FAD-7-1
NN-171-144

Includes all liquidation cases on SBA loans that have been classified in this category by SBA Form 327 action, or otherwise.

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.

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.

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.

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>CLARIFIED RETENTION PROCEDURES</u>		
50:05	<u>"Daily Register of Loan Inquiries"</u> <u>SBA Form 280</u>	FAD-8-6-1 NC-174-222
	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.	Cutoff regularly on a monthly basis; i.e., when the oldest monthly set becomes 13 months old that set may be destroyed.
	File chronologically by date, and in monthly sets by year.	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.
50:06	<u>Loan Servicing (general)</u>	
	Includes correspondence and miscellaneous material on loan servicing which does not pertain to a specific loan	Cutoff each calendar year.
	File alphabetically by name of inquirer, or subject, as appropriate.	Destroy 1 year after cutoff.
50:07	<u>State and Local Development</u>	
	Includes general correspondence and miscellaneous material on Section 501-502-503 activities, that does not pertain to a specific loan or application.	Cutoff each calendar year.
	File alphabetically by name of inquirer, or subject as appropriate.	Destroy 1 year after cutoff.

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
DROPPED 50:08	<u>SAMPLE CASE FILE AND FILE PLAN</u> State Development Company Case File (Section 501 loans).	FAD-10-1 77-171-144
	Includes "SD" application, authorizations, correspondence, forms and reports pertaining to loans to State Development Companies.	<u>Cutoff</u> (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.
	File alphabetically by name of applicant or borrower.	<u>Retention Period</u> (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 50:09	<u>FILE PLAN PROCEDURES</u> Local Development Company <u>Loan File</u> (Section 502-503 loans)	FAD-10-2 77-171-144
	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.	<u>Cutoff</u> - on notification of: (a) Withdrawal, declination, or cancellation of application. (b) On payment in full or charge off-final. <u>Retention Period</u> (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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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>	
	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.		
<u>ELIMINATED FILE PLAN PROCEDURES, FRC RETENTION, AND SAMPLE-CASE REQUIREMENT</u>			
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.		
<u>ELIMINATED FILE PLAN PROCEDURES, DECREASED FRC RETENTION 11 YEARS</u>			
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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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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INCREASED RETENTION 3 MONTHS, ELIMINATED FILE PLAN AND SAMPLE CASE REQUIREMENT

50:13	<u>Business Loans 7(a)</u>	FAD-2-1 NW-171-144
	All business loans case files which are accepted for processing. Includes material on the following type:	<u>Cutoff:</u>
	<u>Business - Section 7(a)</u>	(a) on approved loans when loan is paid or charged off-final.
	Direct L	(b) for withdrawn, declined, or canceled applications cutoff on notification of final action.
	Immediate Participation IP	
	Guaranty GP	<u>Disposition:</u>
	<u>Economic Opportunity</u>	(a) On approved loans, forward to FRC 1 year after cutoff.
	Direct EOL	
	Immediate Participation EOL-IP	Destroy closed loans (paid or charged off-final) 6 years and 3 months after cutoff.
	Guaranty EOL-GP	
	<u>Handicapped Assistance - Sec. 7(g) - Loans to Nonprofit Organizations.</u>	(b) For withdrawn, declined, or canceled applications, destroy 2 years after cutoff
	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.

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

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<u>Item No.</u>	<u>Description</u>	<u>Disposition Instructions</u>	
50:18	Eligibility Decisions	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
	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.		
50:19	Filing and Screening	Cutoff each calendar year except for material placed in loan case file. Destroy 2 years after cutoff.	FAD-8-5 NN-171-144
	Includes records relating to financial statement, credit rating and review, appraisals, and miscellaneous workpapers.		
	File alphabetically, by name of potential applicant.		
<u>CLARIFIED RETENTION PROCEDURES</u>			
50:20	"Loan Inquiry Record" SBA Form 149	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
	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 part of the loan case file.		

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<u>Item No.</u>	<u>Description</u>	<u>Disposition Instructions</u>
<u>CLARIFIED RETENTION PROCEDURES</u>		
50:21	<u>Surety Bond Guarantee</u>	FAD-10-5-1 NN-171-144
	(a) Includes financial information, and SBA forms.	(a) <u>Regional Office</u> 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) <u>Central Office</u> 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.
<u>ELIMINATED SAMPLE-CASE REQUIREMENT</u>		
50:22	<u>RFC Loan Case Files (field offices)</u>	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.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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~~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.	(a) On approved loans, cut-off when loan is paid or charged off-final.
Physical Disaster DL	Forward approved loans, to FRC 1 year after cutoff. Destroy approved loans
Business Disaster DL(B)	6 years and 3 months after cutoff.

Home Disaster DL(H)	(b) For withdrawn, declined, or canceled applications, cutoff on notification of final action.
Economic Injury Disaster EIDL	
Major Source of Employment MSE	

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 Description of Records
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Disposition Instructions

CLARIFIED RETENTION PROCEDURES

55:03 Disaster Declarations

FAD-8-3

NN-171-144

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.

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.

File alphabetically by state or city where disaster occurred.

~~55:04 "Disaster Application/Loan Control Assembly", SBA Form 932A~~

FAD-9-3

NN-171-144

~~Prepared by control clerk for certain disaster loan applications~~

~~Cutoff on completion of disaster.~~

~~For filing instructions see SOP 50 30.~~

~~Destroy 1 year after cutoff or when no longer useful, whichever comes first.~~

55:05 "Disaster Activity Report"
SBA Form 524

FAD-9-4

NN-171-144

Used by field to report statistical disaster loan applications

Cutoff on completion of disaster.

data on

(a) Central Office retain as long as useful.

For filing instructions see SOP 50 30.

(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.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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~~60:01 Association and
Inter-Industry Management
Services.~~

PMA-1

NN-171-144

~~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.~~

Cutoff each calendar year.

Destroy 2 years after cutoff.

~~File by region and thereunder by district.~~

~~60:02 Certificates of Competency
(COC) - general~~

PMA-2

NN-171-144

~~Includes general correspondence and miscellaneous material on SBA-COC activities which is not covered elsewhere.~~

Cutoff each calendar year.

Destroy 1 year after cutoff.

~~File alphabetically by name of inquirer, or by subject, as appropriate.~~

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

~~60:03 Certificate of Competency Case
Folders~~

PMA-2-1

NN-171-144

~~These case file folders are in four parts and the internal filing arrangement is provided for in SOP 60 04. These files contain:~~

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
	(a)Application declined or withdrawn during processing	Cutoff each calendar year or when notice of final action is taken.
	(b)Successful COC contract.	
	(c)contract terminated by procuring agency.	Destroy 2 years after cutoff.
	(d)COC issued but contract was not awarded to applicant	

File alphabetically by name under which applicant is doing business.

~~60:04 Procurement Sources Program~~

PMA-3

NM-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

NM-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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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>ELIMINATED SAMPLE-CASE REQUIREMENT</u>		
60:07	<u>Prime Contracting Assistance</u> (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.	
<u>INCREASED FRC RETENTION 3 MONTHS</u>		
60:08	<u>Procurement Assistance</u>	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.	
<u>CLARIFIED RETENTION PROCEDURES</u>		
60:09	<u>Property Resources Sales Assistance</u>	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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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>	
DECREASED SBA RETENTION BY 1 YEAR, INCREASED FRC BY 3 MONTHS			
60:10	<u>Subcontracting Program (Exclusive of 8(a)).</u>		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 specific subcontracting requests, and develop source data for subcontractors.	Cutoff every third fiscal year.	
		Transfer to FRC 2 years after cutoff.	
		Destroy 6 years and 3 months after cutoff.	
	File alphabetically by name of subcontractor.		
60:11	<u>Industrial Support (general)</u>		PMA-5 NN-171-144
	Includes general correspondence and miscellaneous material on industrial support.	Cutoff each calendar year.	
		Destroy 1 year after cutoff.	
	File alphabetically by name of inquirer or by subject, as appropriate.		
60:12	<u>Delinquency (Loan Assistance)</u>		PMA-5-1 NN-171-144
	Includes assistance on financial management to firms that are delinquent in payments on loans.	Cutoff every second calendar year.	
		Destroy 1 year after cutoff.	
	File alphabetically by name of company or borrower.		
60:13	<u>Production Assistance</u>		PMA-5-2 NN-171-144
	Includes feasibility studies prior to granting expansion loans, evaluation of new products or process in connection with loans.	Cutoff every second calendar year.	
		Destroy 1 year after cutoff.	
	File alphabetically by name of company or potential borrower.		

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Item Description of Records
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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.

Cutoff after final determination.

Transfer to FRC 2 years after cutoff.

Destroy 6 years after cutoff.

File alphabetically by name of applicant or by industry class.

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.

Cutoff each calendar year.

Transfer to FRC 2 years after cutoff.

Destroy 10 years after cutoff.

File by subject.

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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).

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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RETENTION PERIOD INCREASED BY 1 YEAR

65:01 Management Training
(general)

PMA-7
 77-171-144

Includes general correspondence and miscellaneous material on management training for small businesses.

Cutoff each calendar year.

Destroy 2 years after cutoff.

File alphabetically by name of inquirer, or subject as appropriate.

RETENTION PERIOD DECREASED, FRC DISPOSAL INCREASED BY 1 YEAR

65:02 Courses, Conferences,
Workshops

PMA-7-1
 77-171-144

Includes training kits developed for use in courses, conferences, clinics, and workshops.

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.

File alphabetically by subject title and chronologically thereunder.

(b) Field Offices destroy immediately after cutoff.

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

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

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>CLARIFIED RETENTION PROCEDURES</u>		
65:09	<u>Publications</u>	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.
	File alphabetically by publication title and chronologically thereunder by most recent date of publication.	All offices keep current publications until declared obsolete.
		(a) <u>Central Office</u> <u>PERMANENT</u> retain a record copy of obsolete publications 1 year after cutoff and transfer to FRC.
		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) <u>Field Offices</u> dispose old publications immediately when one is declared obsolete.

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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.	PMA-10 NN-171-155 Cutoff when a particular SCORE charter is surrendered, or becomes inactive. Destroy 2 years after cutoff.
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.	PMA-10-1 NN-171-144 Cutoff when SCORE volunteer withdraws or name is removed from active participation. Destroy 3 years after cutoff.
65:12	<u>Motion Pictures</u> SBA sponsored films intended for public distribution, including informational, educational, and recruiting films. File chronologically.	PMA-7-3(a) GRS-21/20 <u>PERMANENT</u> Offer original elements, an intermediate (master hard copy) and a print to NARA when motion picture becomes inactive or is withdrawn.
65:13	<u>Video Recordings</u> SBA sponsored video productions intended for public distribution, including informational, educational, and recruiting productions. File chronologically.	GRS-21/36 <u>PERMANENT</u> Offer original elements and dubbing, if one exists, to NARA when video recording becomes inactive or is withdrawn.

JUN 26 1985

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
65:14	<u>Sound Recordings</u> SBA sponsored radio public service announcements, programs, news releases and other sound recordings intended for public broadcast. File chronologically.	GRS-21/52-54 <u>PERMANENT</u> 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.

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

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>INCREASED FRC RETENTION 11 YEARS</u>		
70:03	<u>Rules and Regulations</u>	LEG-2 NN-171-144
	Includes agency rules and regulations and backup files with manuscript, correspondence, and reference copies.	Cutoff each calendar year.
	File choronologically by date.	(a) <u>Central Office</u> <u>PERMANENT</u> Retain a master set of rules and regulations as office record copy.
		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) <u>Program Office</u> destroy copies rules and regulations 5 years after cutoff.
<u>ELIMINATED PERMANENT RETENTION</u>		
70:04	<u>Legislation</u>	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.
	File alphabetically by program title.	(a) <u>Central Office</u> transfer to FRC 5 years after cutoff. Destroy 10 years after cutoff.
		(b) <u>Field Offices</u> - destroy 5 years after cutoff.
<u>ELIMINATED PERMANENT RETENTION</u>		
70:05	<u>Congressional Committees</u>	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.
	File by date and subject or program to which the hearing or congressional report applies.	Destroy 2 years after cutoff.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>ELIMINATED PERMANENT RETENTION</u>		
70:06	<u>Legislative History</u>	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.
	File by Congressional session and Public Law number.	Central office will retain such copies of material for retention at SBA as long as needed for legal reference purposes.
<u>CHANGED SBA RETENTION PERIOD</u>		
70:07	<u>Litigation and Court Proceedings (general)</u>	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.
	File chronologically and/or by subject, as appropriate.	Transfer to FRC 3 years after cutoff.
		Destroy 10 years after cutoff.
70:08	<u>Investment Program - Legal Administrative Proceedings Records.</u>	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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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposal Instructions</u>
<u>CLARIFIED RETENTION PROCEDURES</u>		
70:09	<u>Litigation - (loans - exclusive of SBIC's and MESBIC's)</u>	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.	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.
	File alphabetically by name of borrower.	
<u>INCREASED FRC RETENTION 1 YEAR</u>		
70:10	<u>Litigation - (SBIC - MESBIC)</u>	LEG-4-2-1 NN-174-222
	Includes official litigation case files pertaining to court actions conducted by SBA with respect to an SBIC or MESBIC.	Cutoff when SBA litigation action is completed and case is considered closed by OGC.
	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.	(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.
	File alphabetically by name of SBIC-MESBIC.	

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

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.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>INCREASED FRC RETENTION BY 3 MONTHS; ELIMINATED SAMPLE-CASE REQUIREMENT</u>		
80:01	<u>8(a) Subcontracts</u>	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 sub-contractors, reports of sub-contractors, 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.	
<u>NEW ITEM</u>		
80:02	<u>8(a) Subcontracts</u> <u>(Miscellaneous)</u>	
	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.
<u>NEW ITEM</u>		
80:03	<u>8(a) Business Plan File</u>	
	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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<u>Item</u> <u>No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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.

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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.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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.	
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. Destroy 10 years after cutoff.
	File by project number.	

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

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>INCREASED FRC RETENTION 1 YEAR</u>		
90:07	<u>Complaints (other than by SBA employees)</u>	AIS-8 NW-171-144
	Includes discrimination complaints against SBA personnel and offices of the Agency by applicants and recipients.	Cutoff on completion of final action.
	File by region and thereunder chronologically.	Transfer to FRC 2 years after cutoff.
		Destroy 6 years after cutoff.
90:08	<u>Compliance Files</u>	AIS-9 NC-174-222
	Includes Compliance Report SBA Form 787 and related material.	Cutoff upon completion of action or at close of fiscal year whichever is appropriate.
	(a) <u>Central Office</u> file alphabetically by state and thereunder by name of applicant.	(a) <u>Central Office</u> destroy 3 years after cutoff.
	(b) <u>All other offices</u> file with loan or other type pertinent case file.	(b) <u>All other offices</u> retain with loan case files and destroy when loan is paid in full or charged off-final, or closed by other actions.
<u>DECREASED SBA RETENTION BY 1 YEAR</u>		
90:09	<u>Compliance Files</u>	AIS-9-1 NC-174-222
	Includes Compliance Review Report, SBA Form 747 and related material.	Cutoff upon completion of actions or at close of fiscal year, whichever is appropriate.
	(a) <u>Central Office</u> file alphabetically by state and thereunder alphabetically by name of applicant.	(a) <u>Central Office</u> transfer to FRC 2 years after cutoff.
	(b) <u>All other offices</u> file with loan.	Destroy 10 years after cutoff.
		(b) <u>All other offices</u> destroy 3 years after cutoff.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>ELIMINATED SAMPLE-CASE REQUIREMENT; DEVIATION FROM GRS</u>		
90:10	<u>Investigative File</u>	<p style="text-align: right;">AIS-3 & 5 NN-171-144 GRS-25/3(b)</p> <p>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.</p> <p>Transfer to FRC 6 years after cutoff.</p> <p>Destroy 15 years after cutoff.</p> <p>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.).</p> <p>Files are maintained in alphanumeric order.</p>
<u>NEW ITEM</u>		
90:11	<u>General Correspondence ("R" and "O" Files)</u>	<p>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.</p> <p>Closed files are not retained by SBA - they are sent immediately to FRC 1 year after cutoff.</p> <p>Destroy 10 years after cutoff.</p> <p>Includes miscellaneous material that does not relate to a specific report case, or investigation.</p> <p>Files are maintained in alphanumeric order.</p>

APP 10 1998

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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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 transferred to FRC 5 years after cutoff.

Destroy 15 years after cutoff.

AIS-4
NN-171-144

APP 1 C 1985

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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CHANGED RECORD TITLE

90:15	<u>Small Business Investment Co. Ownerships</u>	
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AIS-3-2

NW-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	<u>SBA Hotline Administrative File</u>	
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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	<u>SBA Hotline Complaint Log</u>	
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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.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>NEW ITEM</u>		
90:18	<u>SBA Hotline Complaint File</u>	
	Includes correspondence or complaints received by Inspector General, P.O. Box and Hotline phone requesting an investigation.	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.
	Files are maintained in alphanumeric order.	Closed files are not retained by SBA. Send to FRC one year after cutoff date.
		Destroy 10 years after cutoff.
<u>NEW ITEM</u>		
90:19	<u>Complaint (other agency) Hotline Referrals</u>	
	File contains correspondence complaints (including GAO, DOD, etc,) requesting investigation.	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 retrieved if necessary.
	Files are maintained in alphanumeric order.	Closed files are not retained by SBA. Send to FRC 1 year after cutoff.
		Destroy 10 years after cutoff.
<u>NEW ITEM</u>		
90:20	<u>Character Eligibility Files</u>	
	Includes all correspondence and documents required for character eligibility determination.	Do not cutoff until OIG authorizes.
	File alphabetically by name of individual or company name.	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.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>CHANGED DISPOSITION INSTRUCTIONS; INCREASED FRC RETENTION</u>		
95:01	<u>SBA Advisory Councils</u> (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.	<u>PERMANENT</u> 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.	
<u>NEW ITEM</u>		
95:02	<u>Advisory Council Reporting Requirements</u>	
	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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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>NEW ITEM</u>		
95:03	<u>Computerized Internal Control Review (ICR)</u>	
	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.
<u>NEW ITEM</u>		
95:04	<u>Formal I.C.R.</u>	
	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.	<u>PERMANENT</u> 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.	
<u>NEW ITEM</u>		
95:05	<u>Vulnerability Assessment</u>	
	Detailed review of agency programs and functional areas to determine susceptibility of waste, loss, unauthorized, or misappropriation of agency resources.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff.
	File numerically by assessable unit number.	
<u>CHANGED DISPOSITION INSTRUCTIONS</u>		
95:06	<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,	Cutoff each calendar year. (a) <u>Central Office</u> <u>PERMANENT</u> transfer to FRC 3 years after cutoff.

PEAR 3-1
NW-171-144

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
	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.	Offer to NARA in 5 year blocks. 20 years after cutoff. (b) <u>Field Offices</u> destroy 3 years. after cutoff.

File by type of report.

~~95:07 Economic Analysis and Research - general~~

~~Includes general correspondence and material relating to program planning and evaluation, economic analysis and research.~~

~~Cutoff each calendar year.~~

~~Destroy 1 year after cutoff.~~

~~File alphabetically, or by program or subject, as appropriate.~~

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.

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.

File by program.

PEAR-1
NN-171-144

PEAR-1-1
NN-171-144

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
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.	Cutoff each calendar year. (a) <u>Central Office</u> transfer to FRC 3 years after cutoff. Destroy 6 years after cutoff. (b) <u>All other offices</u> destroy 5 years after cutoff.
	File by subject or type of industry.	
<u>ELIMINATED SIGNIFICANT-CASE PROVISION</u>		
95:10	<u>Organization and Management Studies</u>	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.	Cutoff on submission of final report. (a) <u>Central Office</u> 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.
	File by office, or subject and date.	

ADP 10 1980