

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
NI-309-86-1

DATE RECEIVED
10-11-85

1. FROM (Agency or establishment)
SMALL BUSINESS ADMINISTRATION

NOTIFICATION TO AGENCY

2 MAJOR SUBDIVISION
Office of Administrative Services

In accordance with the provisions of 44 USC 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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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
Frank B. Burke

6 CERTIFICATE OF AGENCY REPRESENTATIVE

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

A GAO concurrence is attached, or is unnecessary

B DATE 10/7/85	C SIGNATURE OF AGENCY REPRESENTATIVE <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7 ITEM NO.	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
	<p align="center"><u>SMALL BUSINESS ADMINISTRATION</u></p> <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>		

115-108 *Copy to Agency,*

NSN 7540-00-634-4064

STANDARD FORM 115 (REV 8-83)
Prescribed by GSA
FPMR (41 CFR) 101-11.4

APPRAISAL RECORDS DISPOSITION REQUEST

JOB NUMBER
N1-309-81-01

SECTION I - ACTION TAKEN

- 1. APPROVED FOR DISPOSAL The records described under all items of the schedule, except those that may be listed in blocks 2, 3, and 4 of this section, are disposable because they do not have sufficient value for purposes of historical or other research, functional documentation, or the protection of individual rights to warrant permanent retention by the Federal Government
- 2. APPROVED FOR PERMANENT RETENTION The records described under the following item or items have been appraised by the National Archives and Records Service (NARS) and are designated for permanent retention by the Federal Government. The agency will offer these records to NARS as specified in the schedule
Items 00:01, 00:03, 00:04(a), 00:13(a), 00:16(a), 00:17(a), 40:03(a), 55:03, 65:09(a), 65:12, 65:13, 65:14, 70:01(a), 70:02(a), 70:03(a), 95:01, 95:04(a), 95:06(a), and 95:08(a)
- 3. DISPOSITION NOT APPROVED The records described under the following item or items are not approved for disposition. See Section III of this form for explanation
- 4. WITHDRAWN The records described under the following item or items have been withdrawn at the request of the agency
Items 00:07 and 00:10

SECTION II - RECOMMENDATION/CONCURRENCES

	TITLE	SIGNATURE	DATE
APPRaisal	APPRaiser	<i>Christopher M. Beam</i>	9/17/86
	DIRECTOR, RECORDS DISPOSITION DIVISION	<i>Kenneth F. Rossman</i>	9/17/86
CONCURRENCES	Director, NNI	<i>Patricia Andrews</i>	9-18-86
	Director, NNS	<i>W. J. Conroy</i>	9-19-86
	Director, NNF	<i>Walter H. Roggen</i>	9-23-86

SECTION III - APPRAISER'S COMMENTS

This schedule provides disposition standards for all textual and audiovisual and some machine-readable records of the Small Business Administration (SBA). Offered for permanent retention in the National Archives are nineteen series, which document the origin and development of SBA programs, policies, and procedures at the central-office as well as district levels. Items 00:07 and 00:10 have been reserved for the scheduling at a later date of the agency's ADP records. The other items cover records that are of a routine administrative nature and hence are disposable.

This schedule reflects changes requested by NNI, NNS, and NNF.

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

APR 10 1986

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 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
NW-171-144

APR 10 1986

<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. Transfer to FRC 3 years after cutoff. Offer to NARA in 5 year blocks 20 years after cutoff.
	File chronologically by committee name.	
<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. (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.
	File chronologically.	(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.

APR 10 1986

<u>Item 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	

JUN 26 1986

485

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
00:08	Automatic Data Processing Cards and Punched Paper Tape.	ADP-4-1 NN-171-144
	Machine readable information separate from input documents for processing to ADP system.	Cutoff after verification of magnetic tapes.
	File by system or subsystem.	Destroy immediately at time of cutoff.
00:09	Error - Edit Listing	ADP-4-2 NN-171-144
	Computer generated listing used to verify data input to ADP system.	Cutoff when listings have been verified.
	File by system/subsystem name (designator).	Destroy when updated or no longer needed.
<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.

JUN 26 1986

<u>Item No</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
00:12	ADP Standards	ADP-7 NND-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 - PERMANENT

00:13	<u>Notices</u>	
	Temporary agency communication, procedures, and information concerning agency programs.	Cutoff after expired or cancelled.
	(a) Central Office maintain master set.	(a) <u>Central Office PERMANENT</u> retain as part of directive system.
	(b) Field Offices maintain desk reference set.	Offer expired Notices to NARA in 5 year blocks 20 years after cutoff (e.g., offer 1970-74 block in 1995).
	File by notice number.	(b) <u>Field Offices</u> destroy 1 year after cutoff.

NEW ITEM

00:14	<u>Facsimile Files</u>	
	Copies of incoming messages and original outgoing messages, and miscellaneous correspondence.	Cutoff each calendar year.
	File chronologically.	(a) <u>Central Office</u> destroy 1 year after cutoff.
		(b) <u>Field Offices</u> destroy 6 months after cutoff.

APR 10 1986

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
00:15	Federal Register Material	O&M-5 NN-177-144
	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.	
<u>ELIMINATED CONTINGENCY DISPOSITION, ESTABLISHED AS PERMANENT RECORD</u>		
00:16	<u>Delegation of Authority</u>	O&M-6 NN-177-144
	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.

APR 10 1986

<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. File chronologically by number.	Cutoff each calendar year. (a) <u>Central Office</u> <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> Includes all contracts and related papers and reports prepared under authority of Title IV, Section 406, Economic Opportunity Act of 1964, as amended. File numerically by contract number.	Cutoff when contract has been completed, or terminated by other means. Transfer to FRC 2 years after cutoff. Destroy 6 years 3 months after cutoff.
<u>ELIMINATED SAMPLE CASE REQUIREMENT AND INCREASED FRC RETENTION 3 MONTHS</u>		
00:19	<u>Section 7J Grants and Cooperative Agreements</u> Includes all grants, and related papers and reports prepared under authority of Title IV, Section 406, Economic Opportunity Act of 1964, as amended. File alphabetically by name of grantee.	Cutoff when work to be performed under provisions of grants or cooperative agreements have been completed or terminated by other means. Transfer to FRC 2 years after cutoff. Destroy 6 years 3 months after cutoff.

PMA-12
NN-171-144PMA-12-1
NN-171-144

APR 10 1986

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> Includes denied or withdrawn proposals or applications with supporting exhibits and related correspondence. File numerically by license number or alphabetically by name of applicant.	INV-1 NW-172-191 Cutoff on notification of action taken. Destroy 2 years after cutoff.
10:02	<u>Investment Administration</u> 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. File alphabetically by name of firm or inquirer.	INV-1-1 NW-172-191 Cutoff each calendar year. Destroy 1 year after cutoff.
10:03	<u>Statutory Provisions, Interpretations, SBIC Advisory Council, and Interagency Relationships</u> 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	INV-5 NW-172-191 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.	
	<u>DECREASED FRC RETENTION 3 YEARS & 9 MONTHS</u>	
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	
	<u>INCREASED FRC RETENTION 4 YEARS & 3 MONTHS</u>	
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.	
	<u>DECREASED FRC RETENTION 3 YEARS & 9 MONTHS</u>	
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.	

APR 10 1986

<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.

APR 10 1986

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> Includes Congressional bills, hearings, and legislative history relating to SBA expenditures, operations, and appropriations. File numerically by Congressional bill and by fiscal year.	Cutoff each fiscal year. (a) <u>Central Office (Budget)</u> transfer to FRC 2 years after cutoff. Destroy 7 years after cutoff. (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> Includes allowances, justifications, and submissions. File chronologically and by fund: (1) Salaries and Expenses; (2) Business Loan File; (3) Disaster Loans Files; 4) Surety Bond File (5)Loans.	Cutoff each fiscal year. (a) <u>Central Office (Budget)</u> transfer to FRC 2 years after cutoff. 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> Includes allotment advices, revisions, apportionments, ceiling limitations; employment; cost distribution; staffing utilization of funds; financial planning File by fiscal year, by allottee account number	Cutoff each fiscal year. (a) <u>Central Office (Budget)</u> transfer to FRC 2 years after cutoff. Destroy 7 years after cutoff. (b) <u>All other offices</u> destroy 2 years after cutoff.

APR 10 1986

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

ACC-16
22-171-144

APR 10 1986

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

APR 10 1986

<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.	

APR 10 1986

<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. File chronologically.	Cutoff semi-annually. 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. File chronologically	Cutoff each fiscal year. Destroy 1 year after cutoff.	ACC-1 NN-171-144
20:20	<u>Batch Control Input Blocks</u>		
20:20:01	<u>Loan Accounting</u> File by type of block and batch number.	Cutoff each month. Destroy 3 months after cutoff.	ACC-1-2(1) NN-171-144
<u>ELIMINATED FRC RETENTION</u>			
20:20:02	<u>Administrative Accounting SBA Form 249 "ADP Coding Document Accounting."</u> File by type of block and batch number.	Cutoff each month. Destroy 3 years after cutoff.	ACC-1-2(3) NN-171-144

APR 10 1986

<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. (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.
	File all microjackets numerically. File all microfilm reels by roll number.	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.	

APR 10 1986

<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.	Cutoff each fiscal year.
	COM 16mm microfilm in plastic cartridges, loan or name sequence, number consecutively by year, by rolls.	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.
	File numerically by date of film.	Destroy 40 years after cutoff.

JUN 26 1985

<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. File by fund; by ledger and schedule.	Cutoff each fiscal year. Destroy 1 year after cutoff.	ACC-10-1a(1) NN-171-144
20:27:02	Batch control Totals Listing. File by fund; by ledger and schedule.	Cutoff each fiscal year. Destroy 1 year after cutoff.	ACC-10-1a(2) NN-171-144
20:27:03	Batch Edit Reject Listing File by fund; by ledger and schedule.	Cutoff each fiscal year. Destroy 1 year after cutoff.	ACC-10-1a(3) NN-171-144
20:27:04	General Ledger History Listing File by fund; by ledger and schedule.	Cutoff each fiscal year. Destroy 1 year after cutoff.	ACC-10-1a(4) NN-171-144
20:27:05	Allotment Ledger History Listing. File by fund; by ledger by schedule, monthly.	Cutoff each fiscal year. Destroy 1 year after cutoff.	ACC-10-1b(1) NN-171-144
20:27:06	Nationwide Transaction Code Summary. File by fund; by ledger, by schedule, monthly.	Cutoff each fiscal year. Destroy 1 year after cutoff.	ACC-10-1b(2) NN-171-144

APR 10 1986

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

APR 10 1986

21

<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

APR 10 1986

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

APR 10 1986

<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 undischursed, 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 undischursed, 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.		

APR 10 1986

<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. File chronologically by year.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.
		ACC-10-2(27) 72-171-144
<u>DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS</u>		
20:28:20	Cash disbursement control register - (All programs), annual. File chronologically by year.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.
		ACC-10-2(28) 72-171-144
20:29	<u>Trial Balance</u> Ledgers and listings as set forth below:	
		ACC-10-3 72-171-144
<u>DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS</u>		
20:29:01	Lease Guarantee Trial detail, 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-10-3(1) 72-171-144
<u>DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS</u>		
20:29:02	8(a) Contract Trial Balance detail, 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-10-3(2) 72-171-144
<u>DECREASED FRC RETENTION 3 YEARS AND 9 MONTHS</u>		
20:29:03	406 Grant (Contract) Trial Detail, 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-10-3(3) 72-171-144

APR 10 1986

APPENDIX 20

PERSONNEL
RECORDS GROUP 30

The filing and disposition of civilian personnel records wherever they are located in SEA, 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>
---------------------------	-------------------------------	---------------------------------

APR 10 1986

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>
-----------------	-------------------------------	---------------------------------

CLARIFIED RETENTION PROCEDURES40:01 Congressional Relations

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.

INS-3
NY-171-144

File chronologically.

~~40:02 State File~~

~~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.~~

INS-4-6
NY-171-144

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.

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>
<u>DECREASED SBA RETENTION BY 1 YEAR; ELIMINATED SAMPLE-CASE REQUIREMENT</u>		
45:01	<u>Size Decisions - Size Appeals Board.</u>	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) <u>Central Office</u> transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff (b) <u>Field offices</u> destroy 3 years after cutoff.
<u>DECREASED SBA RETENTION BY 1 YEAR: ELIMINATED SAMPLE-CASE REQUIREMENT</u>		
45:02	<u>Size Appeals Board Dockets.</u>	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.

APR 10 1986

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>
-----------------	-------------------------------	---------------------------------

50:01	<u>Financial Appraisal (general)</u>	
------------------	---	--

FAD-1
77-171-144

~~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	<u>Business Loans-(general (inquiries))</u>	
------------------	--	--

FAD-2
77-171-144

~~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.~~

APR 10 1986

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
50:03	Liquidation and Disposal (general)	FAD-7 22-171-144
	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	Liquidation - SBA Loans (charged off).	FAD-7-1 22-171-144
	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.

APR 10 1986

<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.

APR 10 1986

<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). 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.	FAD-10-3 NY-171-144
	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 NY-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.	

APR 10 1986

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>INCREASED RETENTION 3 MONTHS, ELIMINATED FILE PLAN AND SAMPLE CASE REQUIREMENT</u>		
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.

APR 10 1986

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
50:14	Loan Processing - (general)	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	Bank Participation Agreements	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	Coordination and Liaison (on FA matters)	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.	

APR 10 1986

<u>Item No.</u>	<u>Description</u>	<u>Disposition Instructions</u>
50:18	<u>Eligibility Decisions</u> Includes correspondence and material relating to eligibility matters on various issues pertaining to SBA loanmaking. <u>NOTE</u> : If a decision relates to a specific loan such material is filed in with the loan. File alphabetically by subject of decision.	Cutoff each calendar year. Destroy 2 years after cutoff. (Except those decisions which relate to a specific loan and are included in the loan file.)
		FAD-8-4 77-171-144
50:19	<u>Filing and Screening</u> Includes records relating to financial statement, credit rating and review, appraisals, and miscellaneous workpapers. File alphabetically, by name of potential applicant.	Cutoff each calendar year except for material placed in loan case file. Destroy 2 years after cutoff.
		FAD-8-5 77-171-144
<u>CLARIFIED RETENTION PROCEDURES</u>		
50:20	<u>"Loan Inquiry Record" SBA Form 149</u>	
	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.	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 77-171-144

APR 10 1986

<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 NC 1-309-84-3
	(a) Includes financial information, and SBA forms.	(a) <u>Regional Office</u> cutoff at end of fiscal year after last SBA guaranteed contract completed.
	(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.

APR 10 1986

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>	
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.		
<u>INCREASED FRC RETENTION 1 YEAR AND 3 MONTHS, ELIMINATED FILE PLAN AND SAMPLE-CASE REQUIREMENT</u>			
55:02	<u>Disaster Loans - (specific)</u>		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.	

APR 10 1986

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

APR 10 1986

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>
60:01	<u>Association and Inter-Industry Management Services.</u>	PMA-1 NW-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	<u>Certificates of Competency (COC) - general</u>	PMA-2 NW-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.	
<u>ELIMINATED FRC RETENTION, FILE PLAN AND SAMPLE CASE, DECREASED RETENTION BY 4 YEARS AND 3 MONTHS</u>		
60:03	<u>Certificate of Competency Case Folders</u>	PMA-2-1 NW-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:	

APR 10 1986

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
	(a) Application declined or withdrawn during processing (b) Successful COC contract. (c) contract terminated by procuring agency. (d) COC issued but contract was not awarded to applicant	Cutoff each calendar year or when notice of final action is taken. Destroy 2 years after cutoff.
	File alphabetically by name under which applicant is doing business.	
60:04	<u>Procurement Sources Program</u>	
	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.
	<u>NEW ITEM</u>	
60:05	<u>Procurement Automated Source System (PASS)</u>	
	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.	
	<u>ELIMINATED SAMPLE-CASE REQUIREMENT</u>	
60:06	<u>Procurement Contracting Assistance (general)</u>	
	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.	

PMA-3
NW-171-144PMA-4
NW-171-144

JUN 25 1986

<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.	

APR 10 1986

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>	
<u>DECREASED SBA RETENTION BY 1 YEAR, INCREASED FRC BY 3 MONTHS</u>			
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.		

APR 10 1986

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>DECREASED SBA RETENTION BY 1 YEAR</u>		
60:14	<u>Size Determinations</u>	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.
	File alphabetically by name of applicant or by industry class.	Transfer to FRC 2 years after cutoff.
		Destroy 6 years after cutoff.
<u>DECREASED SBA RETENTION BY 1 YEAR</u>		
60:15	<u>Size Interpretations</u>	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.
	File by subject.	Transfer to FRC 2 years after cutoff.
		Destroy 10 years after cutoff.

APR 10 1986

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>
<u>RETENTION PERIOD INCREASED BY 1 YEAR</u>		
65:01	<u>Management Training (general)</u>	PMA-7 NN-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.	
<u>RETENTION PERIOD DECREASED, FRC DISPOSAL INCREASED BY 1 YEAR</u>		
65:02	<u>Courses, Conferences, Workshops</u>	PMA-7-1 NN-171-144
	Includes training kits developed for use in courses, conferences, clinics, and workshops.	Cutoff when subject training category is updated or declared obsolete.
	File alphabetically by subject title and chronologically thereunder.	(a) <u>Central Office</u> transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff. (b) <u>Field Offices</u> destroy immediately after cutoff.

APR 10 1986

<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 NW-171-144
	Includes reporting on training program brochures, agenda and other evidence of SBA participation and final report.	Cutoff on completion of training.
	File by regional and district offices chronologically.	(a) <u>Central Office</u> transfer to FRC 3 years after cutoff. 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 NW-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 NW-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 NW-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.

APR 10 1986

<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.	

APR 10 1986

Item Description of Records
No.

Disposition Instructions

CLARIFIED RETENTION PROCEDURES

65:09 Publications

PMA 7-2
NIN-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.

File alphabetically by publication title and chronologically thereunder by most recent date of publication.

Cutoff on receipt of revised or new publication which supersedes a former publication or when old publication is declared obsolete.

All offices keep current publications until declared obsolete.

(a) Central Office PERMANENT retain a record copy of obsolete publications 1 year after cutoff and transfer to FRC.

Offer to NARA in 5 year blocks 5 years after cutoff.

Dispose of manuscript, correspondence, and reference copies of obsolete publications 4 years after cutoff.

(b) Field Offices dispose old publications immediately when one is declared obsolete.

JUN 25 1986

<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.	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.	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-10 NN-171-144 PMA-10-1 NN-171-144 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.
	File alphabetically by program title.	(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.
<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.
	File numerically by opinion number.	(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.

JUN 26 1985

<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> Includes agency rules and regulations and backup files with manuscript, correspondence, and reference copies. File choronologically by date.	Cutoff each calendar year. (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> 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. File alphabetically by program title.	Cutoff each calendar year. (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> Includes House and Senate standing, special and joint committee hearings and reports, and testimony by the staff of the Small Business Administration. File by date and subject or program to which the hearing or congressional report applies.	Cutoff each calendar year. Destroy 2 years after cutoff.

LEG-2
NW-171-144

LEG-3
NW-171-144

LEG-3-1
NW-171-144

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>ELIMINATED PERMANENT RETENTION</u>		
70:06	<u>Legislative History</u> Includes history files pertaining to legislation establishing and amending the Small Business Act, and other related material affecting the SBA. File by Congressional session and Public Law number.	LEG-3-2 NN-171-144 Cutoff at adjournment of Congress. Central office will retain such copies of material for retention at SBA as long as needed for legal reference purposes.
<u>CHANGED SBA RETENTION PERIOD</u>		
70:07	<u>Litigation and Court Proceedings (general)</u> 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. File chronologically and/or by subject, as appropriate.	LEG-4 NN-171-144 Cutoff at end of proceeding. Transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff.
70:08	<u>Investment Program - Legal Administrative Proceedings Records.</u> Involves adjudicative matters held before hearing examiners pertaining to investment program activities. File chronologically by name or subject whichever is appropriate.	LEG-4-1 NN-172-191 Cutoff when hearing is closed and documented, and legal issue is resolved or terminated. Destroy when no longer needed for reference.

APR 10 1986

<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> Includes OGC, Office of Litigation, loan case <u>work files</u> involving enforcement, criminal matters and fraud; litigation problems pertaining to loan liquidation; legal proceedings, briefs, opinion's and renderings and other pertinent data and copies of Department of Justice papers concerning SBA loan cases in litigation. File alphabetically by name of borrower.	LEG-4-2 NN-172-191 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.
<u>INCREASED FRC RETENTION 1 YEAR</u>		
70:10	<u>Litigation - (SBIC - MESBIC)</u> Includes official litigation case files pertaining to court actions conducted by SBA with respect to an SBIC or MESBIC. <u>NOTE:</u> These are official litigation case files. Inasmuch as this Agency is authorized under the Investment Act and by the Department of Justice to conduct litigation with respect to investment operations. File alphabetically by name of SBIC-MESBIC.	LEG-4-2-1 NN-174-222 Cutoff when SBA litigation action is completed and case is considered closed by OGC. (a) <u>Central Office</u> transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff. b) <u>Field Offices</u> records custodians will transfer closed cases to FRC 1 year after cutoff. Destroy 7 years after cutoff.

APR 10 1985

<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 subcontractors, reports of subcontractors, development of specific feasibility studies, source data, etc	Cutoff when contract has been completed or terminated and closed by other means.
	File case files numerically,, by contract number.	Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.
<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.
	File case files numerically by case number.	Transfer to FRC 2 years after cutoff. Destroy 6 years and 3 months after cutoff.

APR 10 1986

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
<u>NEW ITEM</u> 80:04	<u>8(a) Business Plan File</u> <u>(Miscellaneous)</u>	
	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.

JRF: 10/10/00

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.		
	<u>DEVIATION FROM GRS</u>		
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.		

APR 10 1986

<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> Includes abstracts of audit reports, analysis of financial or operational data, charts, graphs, basic agreements, etc., and other workpaper data. File by project number.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff.
<u>INCREASED FRC RETENTION 1 YEAR</u>		
90:05	<u>External Audits and Inspections (SBA Act)</u> Includes audits and inspections conducted in connection with financings made under financial assistance programs of SBA. File alphabetically by name of borrower.	Cutoff when loan is terminated or closed by other means. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.
<u>INCREASED FRC RETENTION 1 YEAR</u>		
90:06	<u>External Audits and Inspections (EO Act)</u> Includes audits and inspections conducted in connection with contracts and grants made under Section 406 of the Economic Opportunity Act as amended, 1967. File alphahabetically by name of recipient of grant or contract.	Cutoff each calendar year. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.

APR 10 1985

<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 NN-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>		
	Includes Compliance Report SBA Form 767 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>
90:10	<u>Investigative File</u> Includes investigative reports or Personnel Investigations, Financial Assistance, SBIC's, State and local development companies, and other recipients of SBA program, including applicant representatives (reports may incorporate data from FBI, Internal Revenue Service, etc.). Files are maintained in alphanumeric order.	Cutoff at end of each calendar year. SBA investigative files are screened to remove those files on which no derogatory information has been received for 5 years or more. A notation is made on the OIG card file that the closed file has been forwarded to the FRC. Transfer to FRC 6 years after cutoff. Destroy 15 years after cutoff.
NEW ITEM 90:11	<u>General Correspondence ("R" and "O" Files)</u> Includes miscellaneous material that does not relate to a specific report case, or investigation. Files are maintained in alphanumeric order.	Cutoff each calendar year. SBA investigative files are screened to remove those files on which no derogatory information has been received for 5 years or more. A notation is made on the OIG card file that the closed file has been forwarded to the FRC where it may be subsequently retrieved if necessary. Closed files are not retained by SBA - they are sent immediately to FRC 1 year after cutoff. Destroy 10 years after cutoff.

AIS-3 & 5
 NW-171-144
 CRS-25/3(b)

APP 1 0 1998

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

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

AIS-3-2
NW-171-144

185 0.001

<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. Files are maintained in alphanumeric order.	Cutoff each calendar year. SBA investigation files are screened to remove those files on which no derogatory information has been received for 5-years or more. A notation is made on the OIG card file that the closed file has been forwarded to the FRC where it may be subsequently retrieved if necessary. Closed files are not retained by SBA. Send to FRC one year after cutoff date. Destroy 10 years after cutoff.
<u>NEW ITEM</u>		
90:19	<u>Complaint (other agency) Hotline Referrals</u> File contains correspondence complaints (including GAO, DOD, etc,) requesting investigation. Files are maintained in alphanumeric order.	Cutoff each calendar year. SBA investigation files are screened to remove those files on which no derogatory information has been received for 5 years or more. A notation is made on the OIG card file, that closed file has been forwarded to the FRC where it may be subsequently retrieved if necessary. 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. File alphabetically by name of individual or company name.	Do not cutoff until OIG authorizes. File will be retained 5 years after cutoff by OIG, then forwarded to FRC. Destroy 20 years after cutoff.

APPENDIX 30

SPECIAL PROGRAMS
RECORDS GROUP 95

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

<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).	
	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.	

PMC-4
NN-171-144

APR 10 1986

<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. File fiscal year, by region, by district.	Cutoff every second fiscal year. (a) Destroy hard copy printout 2 years after cutoff. (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. File fiscal year alphabetically by program.	<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.
<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. File numerically by assessible unit number.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff.
<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) Central Office <u>PERMANENT</u> transfer to FRC 3 years after cutoff.

PEAR 3-1
NY-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	<u>Technical Monitoring</u> Includes economic analysis studies and surveys pertaining to national and regional impact factors which affect small business, manufacturing techniques, and environmental and industrial changes which may affect SBA programs and policy decisions. File by subject or type of industry.	Cutoff each calendar year. (a) <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.
<u>95:10</u>	<u>Organization and Management Studies</u> Includes organization and management or special project studies and surveys independently conducted by offices within the Small Business Administration, or in cooperation with other agencies, and the resulting reports containing evaluations and recommendations. File by office, or subject and date.	<u>Cutoff on submission of final report.</u> (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.

ELIMINATED SIGNIFICANT-CASE PROVISION

APR 10 1987