SBA

Records and Information Management Program

Office of Administrative Services

U.S. Small Business Administration

	SMALL BUSINESS ADMINISTRATION		
	STANDARD OPERATING PROCEDURE		
	National		

SUBJECT:	S.O.P.		REV
Records and Information Management	SECTION	NO.	
	00	41	3

INTRODUCTION

1.　<u>Purpose.</u>　To define the roles, responsibilities, and policy for Records and Information Management.

2.　<u>Personnel Concerned.</u> All SBA employees and contractors involved in the creation, retention, and destruction of SBA official records.

3.　<u>Directives Cancelled.</u>　SOP 00 41 2, "Records Management Program."

4.　<u>Originator.</u>　Office of the Executive Management, Installations & Support Services (OEMISS) Office of Administrative Services.

AUTHORIZED BY:		EFFECTIVE DATE
		September 6, 2023
James Rivera, Executive Director		PAGE
		1

I. PURPOSE

This standard operating procedure (SOP) establishes Records and Information Management (RIM) procedures, roles and responsibilities, and standards for managing SBA's records. It ensures that SBA is compliant with federal records laws and regulations, SBA policies, and best practices for managing records.

This SOP will allow the SBA to:

- Establish and sustain a centralized, enterprise-wide methodology for promoting the lifecycle management of records and information content that ensures the authenticity, usability, and integrity of SBA records.

- Ensure effective protection and control of all records and non-record materials in SBA custody.

- Provide appropriate awareness to SBA federal and contractor employees about their records and information management responsibilities.

- Support the technical capabilities to manage electronic records.

- Identify and transfer permanent records to the National Archives and Records Administration (NARA).

- Support the management of essential records, providing SBA with the information needed to conduct business under other than normal operating conditions and to resume normal business after an emergency.

- Preserve records and information for future use and establish a historical account of the Agency for succeeding generations.

II. BACKGROUND

The Federal Records Act of 1950 provides the legal framework for federal records management, including record creation, maintenance, and disposition.

The act, and its related regulations, require each federal agency to establish an ongoing program for record management. The Federal Records Act stipulates a *"basis for the Federal Government's policies and procedures for creating, maintaining, and disposing of federal records. The act and its related regulations define federal records, mandate the creation and preservation of those records necessary to document Federal activities, establish government ownership of records, and provide the exclusive legal procedures for the disposition of records."*

A. What is Records and Information Management?

Records and Information Management (RIM) is a systematic, organized, planned, and controlled process of managing or tracking the life cycle of records. It is a mandatory function for every Federal Government agency.

B. What is SBA required to do under RIM principles?

SBA must establish formal files with documented classification schemes and electronic recordkeeping systems with full records management functionality. All SBA staff must be able to identify those electronic records that are official federal records and must be aware of the recordkeeping requirements that apply to maps, charts, drawings, and other special media. Records created by contractors, which may supplement records created by agency personnel, also contribute to the accuracy of agency documentation.

C. What guidance/resources are available in addressing RIM protocol?

The Office of the Chief Records Officer for the U.S. Government is responsible for records management policy, appraisal, scheduling, oversight, reporting, and training for Federal Government organizations covered under the Federal Records Act (FRA).

The Office of Management and Budget (OMB) Memorandum M-12-18, "*Managing Government Records Directive"* marked the beginning of an Executive Branch-wide effort to reform records management policies and practices and to develop a 21st-century framework for the management of Government records."

OMB Memorandum M-19-21, "*Transition to Electronic Records"* explains the protocol for managing and classifying documents that comply with the Federal Records Act, agency requirements, and the Paperwork Reduction Act (PRA).

This SOP allows the SBA to:

a. Establish and sustain a centralized, enterprise-wide methodology for promoting the lifecycle management of records and information content that ensures the authenticity, usability, and integrity of SBA records.

b. Ensure effective protection and control of all records and non-record materials in SBA custody.

c. Provide appropriate awareness to SBA federal and contractor employees about their individual records and information management responsibilities.

d. Support the technical capabilities to manage electronic records and information.

III.   SCOPE AND APPLICABILITY

This SOP relates to all records and information created or received during the discharge of SBA official duties and applies to all SBA organizations, officials, employees, and contractors, both remote workers and teleworkers.

IV.   POLICY

This policy establishes requirements for Records and Information Management to ensure:

a. The preservation of official SBA records and electronic information.

b. Compliance with federal laws, statutes, and regulations.

c. The effective and efficient management of records throughout their lifecycle.

d. Official information is created, received, maintained, and properly evidences SBA's activities.

e. Records are maintained according to each SBA office's file plan allowing for timely access and retrieval.

f. Records and information are secure and protect the legal and financial rights of the government and persons affected by government activities.

g. The Continuity of Operations Plan (COOP) is implemented to protect vital information and assess damage to, and the recovery of, any records affected by an emergency or disaster.

h. Instructions are followed for the disposition of records as specified in approved NARA and SBA record schedules.

i. When applicable, records holds can be issued when notified of a legal request for records information (e.g., litigation, Freedom of Information Act (FOIA) request, discovery).

V. THE LIFECYCLE OF A RECORD
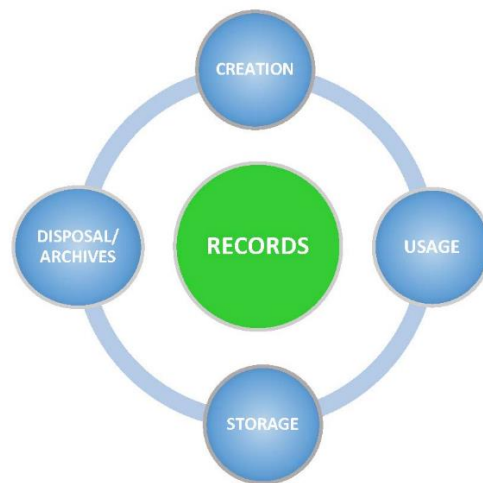
A.   The Stages of a Record's Lifecycle

There are three stages of a record's lifecycle:

Stage 1 - Creation or Receipt: This stage is when records are initially created or received to document something that is relevant to the work of SBA or has some continuing value.

Stage 2 - Maintenance and Use: This stage consists of updating, modifying, and if necessary, moving records.

Stage 3 - Disposition: After meeting their immediate needs, SBA should destroy all temporary records whose retention periods have expired and retire the remainder of documents to a Federal Records Center (FRC). The scheduled items should remain in effect until all applicable records are disposed of or transferred to the National Archives.

After June 30, 2024, NARA will no longer accept transfers of permanent or temporary paper records. NARA will continue to store and service all paper records transferred to an FRC by that date until their scheduled disposition date. Once those records reach their disposition date, NARA will accept the permanent records into the National Archives in their original (analog) format and will appropriately dispose of the temporary records.

B.   Disposition Plan

To implement an effective records disposition plan, SBA needs to ensure that:

- All records are scheduled in accordance with their disposition schedules.

- Any new or revised guidance on recordkeeping systems is provided.

- Training is incorporated and implemented to guide all employees on agency records disposition requirements and procedures as well as any other significant aspects of the records disposition program.

a. Destruction activities:

- SBA Headquarters and Regional Office Records Liaison Officers (RLOs) are directly responsible for their office records, in collaboration with the Office of General Counsel (OGC), the Agency Records Officer (ARO), and the RIM Team to ensure that there is no legal hold on records planned for destruction.

b. Record documentation activities:

- SBA Headquarters and Regional Office RLOs are directly responsible for initiating and keeping records retirement, transfer, and destruction documentation.

- The RIM team assists SBA Headquarters and Regional Office RLOs with initiating and keeping records retirement, transfer, and destruction documentation.

- The RIM Team assists SBA Headquarters and Regional Office RLOs with inventorying records, retiring inactive records, transferring permanent records and information to NARA, and disposing of records in accordance with approved records disposition schedules.

C.   Federal Record Center (FRC)

The Federal Records Centers (FRC) are responsible for housing federal records. NARA is amending its records and information management regulations governing records creation, maintenance, and disposition to update provisions relating to the storage of federal records at the FRC. Current regulations focus on the use of NARA records centers for off-site storage and provide procedures for securing NARA approval of agency records centers.

VI. ROLES AND RESPONSIBILITIES

A.   SBA Administrator

The SBA Administrator is responsible for overseeing the creation and maintenance of SBA records and ensuring that the records and information adequately and properly document the organization, functions, policies, decisions, procedures, and essential transactions of SBA. This responsibility is delegated to the Senior Agency Official for Records Management (SAORM)

and the Records Management program within the Office of Executive Management, Installation and Support Services (OEMISS), Office of Administrative Services (OAS).

B.   Management Board Members

Management Board Members which consist of Associate Administrators, Assistant Administrators, Deputy Associate Administrators, Executive Directors, Program Directors, Regional Administrators, District Directors, Branch Managers, and Center Directors, are responsible for administering the records and information management program for their respective program or support offices. These officials may delegate this authority.

C.   Senior Agency Official for Records Management (SAORM)

The Senior Agency Official for Records Management (SAORM) acts on behalf of the SBA Administrator to ensure SBA efficiently and appropriately complies with all applicable records and information management laws, statutes, regulations, NARA policy, and Office of Management and Budget (OMB) policy. The SAORM is a liaison between the agency head and the Agency Records Officer and provides strategic direction for the agency's records and information management program.

D.   Agency Records Officer (ARO)

The ARO is designated by the SAORM to perform the following:

- Ensure that senior SBA officials are aware of their RIM responsibilities and support agency officials in carrying out their responsibilities as described in this section.

- Lead and manage the Agency-wide RIM program.

- Ensure Agency senior officials are aware of their programmatic and individual RIM responsibilities.

- Incorporate RIM requirements and policies into the SBA's overall policy and planning.

- Advise SBA on RIM issues and develop Agency-wide RIM policies, procedures, guidance, and training materials for SBA employees.

- Coordinate RIM requirements with other federal agencies, including federal oversight agencies such as OMB, NARA, and the General Services Administration (GSA).

E. Records and Information Management (RIM) Team

The OAS RIM team consists of the Agency Records Officer and Records Management Specialists. This team is responsible for leadership, planning, overall policy, guidance, and general oversight of RIM at SBA. The RIM Team will:

- Establish and maintain an Agency-wide council of Records Liaison Officers (RLOs).

- Recommend RIM procedures for implementing policy and planning.

- Authorize, create accounts, and provide training on the use of the NARA Archives and Records Center Information System (ARCIS).

- Coordinate the approval of the SBA's Records Schedules with SBA officials and NARA.

- Transfer permanent and temporary Headquarters records to the FRCs for storage.

- Coordinate the destruction of records in accordance with approved records disposition schedules and legal requirements.

- Provide technical advice and training to all SBA organizations on establishing and maintaining effective RIM programs.

- Evaluate recordkeeping practices to determine the effectiveness of the program.

- Communicate and promote Agency-wide policies and guidance that reflect RIM missions and goals and incorporate federal requirements.

- Ensure RLOs are aware of their RIM responsibilities and support RLOs with implementing records management requirements, adhering to all SBA policies and procedures.

- Conduct annual and periodic reviews and evaluations of SBA RIM practices in accordance with NARA regulations and annual NARA and OMB requirements.

F. Office of General Counsel (OGC)

SBA's OGC assists in determining what SBA records and information are needed to provide adequate and proper documentation of SBA activities, supports the identification of the appropriate length of retention of SBA records and information in all formats during the scheduling process, and informs the appropriate agency program officials of legal holds in place that will prohibit the destruction of SBA records and information that are needed for legal purposes.

G.   Office of the Inspector General (OIG)

The OIG ensures all activity follows the Federal Records and Information Act [Public Law (Pub. L.) 81-574], as amended; the E-Government Act of 2002 and other legislation as referenced.

The OIG preserves records and information for future use and establishes a historical account of the Agency for succeeding generations.

H.   Employees and Contractors (including Remote Workers and Teleworkers)

All employees, contractors, remote workers, and teleworkers are responsible for complying with this policy regardless of work location, including ensuring the following:

- Records are created and managed for the business of the agency throughout its lifecycle.

- SBA records are protected based on the sensitivity of the information.

- Records are managed so that information can be found when needed in a manner that allows them to be safely stored and efficiently retrieved when necessary.

- Disposal of hard copy records conforms with the disposition instructions in the approved records schedule.

VII. TECHNICAL OPERATIONS

A.   Conformance Procedures for 2022 Electronic Initiative – FERMI

The Federal Electronic Records Modernization Initiative (FERMI) is NARA's effort to provide a government-wide, modern, cost-effective, standardized, and interoperable set of records management solutions and services to federal agencies.

NARA identified the common, core requirements all federal agencies need to support their records management programs.

All federal agencies need to manage their electronic records in compliance with NARA's statutes, regulations, and guidance.

The Universal Electronic Records Management (ERM) Requirements identify high-level business needs for managing electronic records. They are baseline ERM program requirements derived from existing statutes, standards, NARA regulations, policy, and guidance.

B.   Social Media

SBA is responsible for managing its records and information, including identifying and retrieving federal records that are created and maintained on social media. A social media

provider could discontinue their service or delete information from an account or SBA may stop using a social media platform at any time. In either situation, the SBA is not relieved of its records and information management obligations. SBA needs may also affect which social media capture method is used. Once the SBA determines the capture method, they must provide training to applicable staff on how and when to use capture tools for social media.

C.   Electronic Media

Electronic media are media that use electronics or electromechanical means to access content.

SBA creates and maintains increasing volumes of federal records in electronic formats. Typically, agencies select electronic formats for federal records based on business needs and current technical requirements. Once selected, those formats must be sustainable, that is accessible both throughout their lifecycle and as technology evolves. Formats that are not sustainable may cause federal records to become obsolete and inaccessible before they are eligible for deletion as authorized in the approved records disposition schedule.

SBA must properly manage all federal records, regardless of medium or format, which includes determining whether an existing disposition authority applies. The disposition authority governs how long the records must be maintained. If no disposition authority exists, then agencies must develop one, and submit it to NARA for review and approval by the Archivist of the United States.

D.   Electronic Information Systems (EIS)

All SBA Electronic Information Systems (EIS) must ensure compliance with legal requirements for managing electronic records and information and enable business processes that support the records and information management lifecycle and the identification, description, and preservation of record content. This process should identify and address RIM requirements during the planning, development, or redesign of an Electronic RIM System.

Existing systems and/or applications that do not include records management functionality must have a process for identifying records within the database that are eligible for destruction/deletion.

E.   Chat also known as Instant/Direct Messaging

SBA uses Chat as a communication tool in daily routine general business processes internally and externally, which may also include artificial intelligence to facilitate a business need or inquiry for our business partners, external customers, and clients.

The communications of the instant messaging created, transmitted, or received during official business or related to the business are considered federal records. The transitory practice of communication using chat that may also include artificial intelligence is to be considered for incorporating and developing the RIM process which includes a schedule for disposition in compliance with SBA's General Records Schedule.

Employees, contractors, interns, volunteers, partners, and consultants should not use their personal accounts to conduct official agency business. SBA understands in rare or exceptional circumstances this may occur. This electronic communication includes and is not limited to email, text, chat, voice mail, social media, etc.

Communications should always comply with federal laws, federal guidelines, and industry best practices for security and safeguarding personally identifiable information and agency policies to include the latest edition of SOP 90 47 "*SBA's Cybersecurity and Privacy Policy*".

F.   Mobile Text Messages

Mobile devices text messaging should not be used for substantive SBA business use to include controlled unclassified information. SBA employees with government-issued mobile devices and their personal mobile devices should abstain from conducting SBA official agency business via text messages.

Mobile devices used for texting for official agency business can be considered federal records and are subject to the compliance of SBA policies and the Federal Records Act. Text messages would need to be retained according to SBA's approved general records schedule. The employee would be required to archive and retain all text messages. Retention practices could be a print-to-file screen capture of the image to include name, date, and time stamp, or other approved methodologies.

G.   Email

Email is digital communication via Simple Mail Transfer Protocol (SMTP), from one person to another or various entities for internal or external communications. Emails composed on personal devices or coming from a personal email address may also be considered a federal record. Emails that do not meet the definition of a federal record, even when transmitted or composed on SBA federal government resources, are considered non-record when they provide no evidence of agency functions and activities, lack informational value, and includes personal notes, non-business-related information, advertisements, non-authoritative news, external activities unrelated to SBA official business.

SBA uses the Capstone approach, General Records Schedule 6.1, "*Email and Other Electronic Messages Managed under a Capstone Approach*" for the management of its email federal records and components to consist of but not limited to messages, attachments, calendars, tasks, chat, etc. It is based on the work or the position of the email account owner. See the definition of the Capstone Approach in Appendix 1 - Terms and Definitions.

Email used for the purpose of official agency business on or behalf of SBA to include legal holds are considered federal records. An email may be preserved as a record by both the creator and the recipient when they use the information it contains for different purposes. It is the role of the

recipient and the sender to review the information to determine if it is a record requiring preservation based on the employee's duties and the office functions.

The Office of the Chief Information Officer (OCIO) in collaboration with the Records Management Division establishes the approved general records schedule for electronic records to include information management.

H.   Web Management

SBA has established SOP 90 56 "*SBA Web Management*" to capture and manage records and information created or received via websites and portals, or from personal email used for Agency business. Web content, operating records and information must be captured and retained for appropriate retention periods and disposed of in accordance with NARA-approved disposition schedules and SBA-approved guidance.

APPENDIX 1 – Terms and Definitions

Accession is the process of transferring physical and legal custody of permanent records from federal agencies to NARA.

Accession Number is the number that is assigned to each series or records and is used to control and locate inactive records transferred to an FRC for storage.

Active Records are records that are current and continue to be used with sufficient frequency to justify keeping them in the office of creation.

Administrative Files are records accumulated by individual offices that contain material that relates to the internal administration or management functions of an office rather than the functions for which the office exists such as the program or technical work.

Agency Records Officer (ARO) manages and implements agency records management programs. Their focus is primarily operational, ensuring that the agency follows the foundational requirements for records management. The ARO works closely with NARA and serves as a records management advisor to the SAORM.

Archives and Records Centers Information System (ARCIS) is the web-based IT system of the Federal Records Centers (FRCs) of the National Archives and Records Administration. The system is the online portal through which SBA does business with the FRCs.

Capstone Approach is a method of email management that bases appraisal and scheduling on the account owner's role or position rather than individual email content, as a means of simplifying and automating management.

Case Files are a grouping in one folder or one set of folders. All the record material under a primary, secondary, or tertiary subject that pertains directly to one specific person, organization, project, etc. The contents of case files are restricted to records dealing only with the specific item for which the file was established, from its inception to its close. Within this restriction, the contents may include forms, reports, correspondence, and other documentation.

Classify/Classification in file planning, means the assignment of a file category to documents. It does not include the security classification of a document.

Controlled Unclassified Information (CUI) is government-owned data that requires certain security controls to safeguard it from unauthorized access. CUI is formally defined by Executive Order 13556; and as the name implies, CUI is **not** classified information. Rather, it is information that belongs to the government, relates to business dealings with the government, and is protected by government-wide policies.

Creation is the first stage of the life cycle of a record and involves the creation, collection, or receipt of records accumulated by government agencies and open to public inspection.

Cutoff means the ending or closing of a file usually at the close of a fiscal or calendar year, to permit their disposal or transfer. For example, in subject files, the cutoff is made when the case is closed or terminated, and accounting files are closed at the end of the fiscal year.

Destruction is the final action taken with temporary records (e.g., shredding, burning).

Digitization means creating a digital version of the document. This can be done by scanning the document and converting it into a PDF, or by using a document management system to create an electronic version of the document using OCR software or intelligent document processing systems.

Disposal is the action taken regarding temporary records after their retention period expires and consists usually of the destruction/deletion of records.

Disposal Authority is the legal approval empowering SBA to transfer permanent records to the National Archives or to carry out the disposal of temporary records. Note: "Legal approval" comes at the point at which an authority (the SF-115) is signed by the Archivist of the United States, not when it is first submitted to NARA. See **Records Disposition Schedule** definition.

Disposition is the third stage of the records lifecycle and pertains to instructions for what is to be done with a record that is no longer needed to support SBA's business. There are two types of record dispositions:

- **Temporary** – Records with a temporary disposition that will eventually be destroyed or deleted when all relevant business needs have expired.

- **Permanent** – Records that contain historically significant materials, provide evidence of agency accomplishments, or document important events in national history, and as a result will be preserved by NARA.

Disposition Instructions are directions for cutting off records and carrying out their disposition in compliance with NARA's regulations. Includes directions for screening out non-record materials and carrying out their disposal when no longer needed by the agency.

Email or **Electronic Mail** is a communication tool used to share information and files, raise questions, seek approval, and facilitate other business tasks. Email is intended for conducting government business through a secure system using e-mail accounts issued by the government that provide organizational content such as agency name or abbreviation.

Electronic Records are any information created, used, and retained in a form that only a computer can process, such as CDs and DVDs.

Electronic Records Archives (ERA) is NARA's system that allows federal agencies to perform critical records management transactions. SBA's records management staff uses ERA to draft new records retention schedules, and officially submit those proposed schedules to NARA for

approval, with final disposition approved by NARA. ERA is also used to request the transfer of permanent records in all formats and media to NARA for accessioning or pre-accessioning.

Essential Records, formerly known as **Vital Records**, are records that are essential to the continued functioning or reconstitution of an agency during and after an emergency, and those records are essential to protecting the legal and financial rights of that agency and of the individuals directly affected by its activities. SBA's essential records are maintained electronically in various databases and servers across the agency.

Federal Records Center (FRC) is an authorized NARA facility for agencies of the Federal Government to store and access inactive records pending their disposition in accordance with an approved record schedule.

Federal Records are all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business. Federal records must be preserved by an agency - as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of the data in them – until they are authorized for disposal as temporary records or for transfer to the National Archives as permanent records. See https://www.archives.gov/records-mgmt/publications/documenting-your-public-service.html

File Plan is a plan designating the physical location(s) at which an agency's files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility. It may include the identifying number, title or description, and disposition authority of files held in an office.

Freedom of Information Act (FOIA) is the federal law that gives citizens the right to request Federal Government records.

General Record Schedules (GRS) are instructions issued by the Archivist of the United States under the authority of 44 U.S.C 3303a (d) to provide disposition authority for records common to several or all federal agencies. The GRS cover records documenting administrative functions rather than program functions.

Inactive Records are records that are no longer used in the day-to-day course of business, but that may be preserved and occasionally used for legal, historical, or operational purposes.

Instant Messages are informal electronic communications that reside in an electronic mail system for real-time informal discussions that may contain records.

Inventory is a survey of agency records and non-record materials conducted primarily to develop records schedules and to identify various records management problems.

Lifecycle of Records is the management concept that records pass through three stages: creation, maintenance and use, and disposition by destruction or transfer to NARA.

Litigation Holds, also known as **Legal Holds**, are preservation orders for pending or expected litigation that requires ongoing preservation in the original format to preserve metadata, or descriptive contextual system information for email and instant messages.

Maintenance and Use is the second stage in the lifecycle of a record after the creation stage. The Maintenance and Use stage is any action involving the storage, retrieval, and handling of records.

National Archives and Records Administration (NARA) is an independent agency of the United States Government, responsible for maintaining the historical records of all federal agencies and for providing storage for government records no longer needed for current business and not yet eligible for destruction or transfer to the National Archives.

Non-record Materials are U.S. Government-owned documentary materials that do not meet the conditions of records status (see § 1222.12(b)) or that are specifically excluded from the statutory definition of records (see 44 U.S.C. 3301). An agency's records management program also needs to include managing non-record materials. There are three specific categories of materials excluded from the statutory definition of records:

- Library and museum material (but only if such material is made or acquired and preserved solely for reference or exhibition purposes), including physical exhibits, artifacts, and other material objects lacking evidential value.

- Extra copies of documents (but only if the sole reason such copies are preserved is for convenience of reference).

- Stocks of publications and of processed documents. Catalogs, trade journals, and other publications that are received from other Government agencies, commercial firms, or private institutions and that require no action and are not part of a case on which action is taken. (Stocks do not include serial or record sets of agency publications and processed documents, including annual reports, brochures, pamphlets, books, handbooks, posters, and maps.)

See https://www.archives.gov/records-mgmt/scheduling/id

Permanent Records are records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time it is needed for administrative, legal, or fiscal purposes.

Records are all recorded information, regardless of form or characteristics, made or received by a federal agency under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them." (44 U.S.C. 3301).

Records Disposition Schedules document the major records series (including electronic records) related to the activities of each office, identifies temporary and permanent records, and provides mandatory instructions for the retention and disposition (retirement or destruction) of each records series based on their temporary or permanent status.

Records Liaison Officer (RLO) is the primary point of contact in each program office, responsible for managing records within their office by ensuring the effective management of records and coordinating records and information management activities with the Agency Records Officer (ARO).

Records and Information Management is the planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of paper and electronic records, carried out in such a way as to achieve adequate and proper documentation of federal policies and transactions and effective and economical management of SBA's operations.

Records and Information Manager is the person designated to coordinate with SBA Headquarters and field offices to fulfill the provisions of this SOP and underlying authorities and to liaise with NARA and FRC.

Records Schedule provides mandatory instructions (disposition instructions) on an SF-115, "*Request for Records Disposition Authority*," regarding how to maintain the agency's operational records and what to do with them when they are no longer needed for current business.

Record Series is a group of records arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, exist in the same media format, or have some other type of relationship.

Retention is the length of time a record must be kept (either in the office or in off-site storage) because it is needed for ongoing business, to document an action, or for statutory reasons.

SBA Form 1474, Records Transferral List, is used to specify criteria regarding records being sent to the FRC. SBA Form 1474 summarizes the contents of the records in the box.

SBA Form 1631, Notification of Transfer or Destruction of Records, located on the SBA Form site, is the official form for the destruction of temporary records that have reached the end of their lifecycle (disposition date).

Senior Agency Officials for Records Management (SAORM) acts on behalf of the agency head to ensure the agency efficiently and appropriately complies with all applicable records management statutes, regulations, NARA policy, and OMB policy. The SAORM bridges the gap between the agency head and the Agency Records Officer to provide strategic direction for the agency's records and information management program.

Standard Form (SF) 115, Request for Records Disposition Authority Standard Form, is used by federal agencies for capturing record information for scheduling and requesting disposition authority from NARA.

Standard Form (SF) 135, Records Transmittal and Receipt Form, is to be submitted by agencies to a Federal Records Center before transferring records there.

Standard Form (SF) 258, Agreement to Transfer Records to the National Archives, is an agreement used by federal agencies to transfer legal custody of permanent records to NARA.

Temporary Record is a record approved by NARA for destruction either immediately, or after a specified retention period. The majority (approximately 95-98 percent) of federal records are temporary. That means that, even if they are kept for 30 years, they will eventually be destroyed. There are two types of Temporary Records:

- **Temporary Active** - Records which are still actively being used by an office. They are usually referenced on a daily or monthly basis.

- **Temporary Contingent** - Records that are dependent on some future action or event, such as a sale of property or the destruction of a facility. Until that event happens, a disposition date cannot be determined.

Transfer is moving records from one location to another, especially from office space to offsite storage facilities, from one agency to another, or from an agency office to an FRC or to NARA.

Unscheduled Records are records for which no records schedule and retention period exists and are considered by NARA to be permanent by default until a records schedule is approved by NARA.

Vital Records are now known as "Essential Records" **see Essential Records definition.**

APPENDIX 2 – Helpful Records and Information Management Links

A. **SBA Records Schedule website:**
   The SBA Records Schedule website is currently under construction

B. **NARA Approved SBA Records Schedule**:
   Records Control Schedules | National Archives

C. **NARA General Records Schedule (GRS):**
   https://www.archives.gov/records-mgmt/grs.html

D. **NARA Guide to the Inventory, Scheduling, and Disposition of Federal Records:**
   https://www.archives.gov/records-mgmt/scheduling

E. **M-12-18, Managing Government Records Directive:**
   Memorandum for the Heads of Executive Departments and Agencies and Independent Agencies

F. **M-19-21, Transition to Electronic Records:**
   Memorandum for Heads of Executive Departments and Agencies Number M-19-21 (archives.gov)

G. **M-23-07, Update to Transition to Electronic Records:** M-23-07 (whitehouse.gov)

H. **OMB Directive of November 2012:** Managing Government Records Directive

I. **OMB Circular A-130:** Managing Information as a Strategic Resource

J. **Controlled Unclassified Information (CUI) Program:** Executive Order 13556

K. Universal Electronic Records Management (ERM) Requirements

L. **SBA Web Management:** SBA SOP 90 56

M. **Records by Federal Agencies (Federal Records Act):** 44 U.S.C. Chapter 31

N. **Disposal of Records:** 44 U.S.C. Chapter 33

O. **Coordination of Federal Information Policy:** 44 U.S.C. Chapter 35

P. **Records Management:** 36 CFR Chapter XII, Subchapter B

Q. **Information and documentation — Records management — Part 1: Concepts and principles:** ISO 15489-1:2016

APPENDIX 3 – SBA Form 1474: Records and Transferral List (Box List)

SBA Form 1474: Records and Transferral List (Box List)
This form lists records for shipment to the Federal Records Center. As a convenience, the records can also be listed using Microsoft Word or Excel.

INSTRUCTIONS FOR COMPLETING SBA FORM 1474

- Leave the Accession Number underline blank.   Once the transfer is approved by the FRC, the transfer number is cited here on SBA Form 1474 and marked on the side of the box(es).

- ***Upon completion*** of SBA Form 1474, list the number of pages.
    - o **Examples:**   1 of 2
                         4 of 6

- Type the Disposal Authority (Schedule and Item Number).
    - o **Examples:**   GRS 5.7.010
                         SBA 30:02
                         N1-59-91-33, item 1

- Provide your name, office, and contact number.

- ***Upon completion*** of adding records in the box(es), list the number of boxes.
    - o **Example:**   1 of 8

- Begin typing the file name and description on SBA Form 1474. The record name should match the order of the records in the box.
    - o **Example:**   10883_Iowa_Presidential Declaration
    - o **Example:**   10880_Massachusetts_Presidential Declaration
    - o **Example:**   10873_Connecticut_Presidential Declaration

- Provide a file description that is clear, concise, and related to the record topic.
    - o **Example:**   Disaster Declaration 2001

After completion, attach the SBA 1474 to your records transfer request in ARCIS.

APPENDIX 4 – SBA Form 1631: Records Destruction Form

SBA Form 1631: Records Destruction Form
This form is used to request approval for records destruction.

Official records must be protected against loss, unauthorized destruction or alteration, and illegal removal from SBA to ensure adequate documentation of the organization, and its functions, policies, decisions, procedures, and essential business transactions. The unauthorized removal, concealment, falsification, mutilation, and/or disposition of official records is prohibited by law and is subject to penalty. The penalties for the unlawful or accidental removal, defacing, alteration, or destruction of federal records or the attempt to do so, include a fine, imprisonment, or both. (18 U.S.C. §§ 641 and 2071).

INSTRUCTIONS FOR COMPLETING SBA FORM 1631

1. Provide the Program Office contact information:
   a. Program Office
   b. Contact Name
   c. Contact E-mail Address
   d. Contact Phone Number

2. Description of files for Destruction **(copy additional pages, if needed):**
   a. Record / File Name, Title, and End Date (ex: Close File Date/Inclusive End Date)
   b. SBA Records Schedule (ex: SBA 80:01) or GRS Records Schedule (ex: GRS 1.1.011)
   c. Description of Record

3. Proposed Method of Destruction:
   a. On-Site (provide details)
   b. Third Party Off-Site or On-Site (provide name, phone number, contact name, and e-mail address)
   c. Other (provide contact information for other proposed methods of destruction)

4. Proposed Volume to be Destroyed:
   a. Number of files
   b. Number of boxes
   c. Number of cabinets

5. Comments:
   a. Provide additional comments, if needed

6. Signature:
   a. Electronically sign and return the form to records@sba.gov for approval.

APPENDIX 5 – Records Box Ordering and Boxing Instructions

Records Box Ordering Instructions

NARA requires the use of a specific box, typically referred to as an archival box for sending files to the FRCs. The container used to transfer letter-size and legal-size documents is a Fiberboard Storage Box, 12 x 14-3/4" x 9-1/2", White. The boxes are sold in bundles of 25 and are supplied by various vendors and by GSA Advantage. Each box holds approximately one cubic foot of records. To estimate the number of boxes required, use the following guidelines:

- 3,000 letter-size sheets of paper are equal to 1 cubic foot of records.

- Each full letter-size drawer is equal to 1-1/2 cubic foot of records.

- Each full legal-size drawer is equal to 2 cubic feet of records.

Records Boxing Instructions

1) Number the boxes sequentially (1 of 10, 2 of 10, etc.) with a black magic marker in the upper right front corner. This keeps the boxes in sequence and serves as a count of the boxes being transferred.

2) Markings should be placed on the back of the box.

4) Place folders in boxes upright with:

   (a) Letter-size folders facing the front of the box.

   (b) Legal-size folders facing the left side of the box.

4) Do not place folders on top of files within the box.

5) Do not force files into the boxes. Leave a half inch in each box for easy withdrawal and reference.

6) Pack records in the same arrangement as used in the original file. Do not pack file guide cards.

7) Pack only records with the same disposal date authority and the same disposal date in the same box.

8) After packing:

   (a) Fold the tops of the boxes, but do not tape them.

   (b) The Records Liaison Officer must compare the records in the boxes with the Box List.

(c)   Once your Records Transfer is entered and approved in ARCIS, write the Records Transfer Number in the upper left-hand corner of each box with a black magic marker.

(d)   For Headquarters:

- Once the FRC has approved the records transfer, print out a copy of the SF-135 and place it inside the **<u>last</u>** box.
- Tape each box.
- Place a UPS label on each box.
- Create an ADMIN4U request for Support Services to pick up the boxes for UPS shipment for that day.

(e)   For Field Offices:

- Once the FRC has approved the records transfer, print out a copy of the SF-135 and place it inside the **<u>first</u>** box.
- Tape each box.
- Place a UPS label on each box and contact UPS for pickup.

APPENDIX 6 – List of Federal Records Centers

Atlanta Federal Records Center
Serving federal agencies in Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee.
Main Telephone: (404) 736-2820
https://www.archives.gov/frc/atlanta

Boston Federal Records Center
Serving federal agencies in Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont.
Main Telephone: (781) 663-0130
http://www.archives.gov/frc/boston/

Chicago Federal Records Center
Serving federal agencies in Illinois, Minnesota, Wisconsin, and federal courts in Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin.
Main Telephone: (773) 948-9000
http://www.archives.gov/frc/chicago/

Dayton Federal Records Center
Serving federal agencies in Ohio, Michigan, and Indiana.
Main Telephone: (937) 425-0600
http://www.archives.gov/frc/dayton/

Denver Federal Records Center
Serving federal agencies in Colorado, Montana, New Mexico, North Dakota, South Dakota, Utah, and Wyoming.
Main Telephone: (303) 604-4760
http://www.archives.gov/frc/denver/

Fort Worth Federal Records Center
Serving federal agencies in Arkansas, Louisiana, Oklahoma, and Texas.
Main Telephone: (817) 551-2000
http://www.archives.gov/frc/fort-worth/

Kansas City Federal Records Center
Serving multiple federal agencies within and outside of Missouri
Main Telephone: (816) 994-1700
http://www.archives.gov/frc/kansas-city/

Lee's Summit Federal Records Center
Serving federal agencies in New York, New Jersey, Puerto Rico, and the US Virgin Islands.
Main Telephone: (816) 268-8100
Web link: http://www.archives.gov/frc/lees-summit/

Lenexa Federal Records Center
Serving federal agencies in Iowa, Kansas, Missouri, and Nebraska plus the Ogden IRS.
Main Telephone: (913) 563-7600
Web link: http://www.archives.gov/frc/lenexa/

Philadelphia Federal Records Center
Serving federal agencies in Pennsylvania, New Jersey, New York, Delaware, Maryland, Virginia, and West Virginia.
Main Telephone: (215) 305-2000
Web link: http://www.archives.gov/frc/philadelphia/

Pittsfield Federal Records Center
Serving federal agencies in Massachusetts
Transfer and Disposition: (413) 236-3603 (pittsfield.transfer@nara.gov)
Reference Services: (413) 236-3603 (pittsfield.reference@nara.gov)
Web link: http://www.archives.gov/frc/pittsfield/

Riverside Federal Records Center
Serving federal agencies in Arizona, Southern California, and Southern Nevada.
Main Telephone: (951) 956-2000
Web link: http://www.archives.gov/frc/riverside/

San Francisco Federal Records Center
Serving federal agencies in Northern and Central California, Nevada (except Clark County), Hawaii (DOJ records), America Samoa, and the Trust Territory of the Pacific Islands.
Main Telephone: (650) 238-3500
Web link: http://www.archives.gov/frc/san-francisco/

Seattle Federal Records Center
Serving federal agencies in Alaska, Idaho, Oregon, Washington, Hawaii (all agencies except Courts and Justice), and the Pacific Ocean area.
Main Telephone: (206) 336-5115
Web link: http://www.archives.gov/frc/seattle/

Washington National Records Center
Serving federal agencies in Washington, DC, Maryland, Virginia, and West Virginia (U.S. courts excepted)
Main Telephone: (301) 778-1600
Web link: http://www.archives.gov/dc-metro/suitland/

APPENDIX 7 – Archives and Records Centers Information System (ARCIS)

ARCIS is a web-based system developed by the Federal Records Centers (FRCs) of the National Archives and Records Administration. It allows Agencies to handle all transactions online, reducing paperwork and saving time. The system will also allow users to track transactions electronically for instant access to information**.**

ARCIS Manual: http://www.archives.gov/frc/arcis/manual.pdf

ARCIS: https://arcis.archives.gov/arcis/start.swe?SWECmd=Start&SWEHo=arcis.archives.gov

For assistance using ARCIS, contact the ARCIS Help Desk at 314-801-9300 or arcishelp@nara.gov

To request ARCIS access, contact the SBA Agency's Records Officer.

APPENDIX 8 – Controlled Unclassified Information (CUI)

Executive Order 13556 mandates the creation of a new, uniform program to manage all unclassified information within the executive branch that requires safeguarding and dissemination controls as required by law, regulation, and government-wide policy.

The National Archives and Records Administration (NARA) shall serve as the Executive Agent to implement the order and to ensure compliance.

NARA has established a CUI registry, which contains categories and subcategories under which all information designated as CUI shall fall. The registry is the authoritative central repository for all guidance, policy, instructions, and information on CUI.