Schedule Number: N1-058-97-004

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/10/2023

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records.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

All items except those listed below are active

SUPERSEDED AND OBSOLETE ITEMS

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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

N1-058-97-004 / 4/2 is superseded by DAA-0058-2022-0003-0003

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

NOTIFICATION TO AGENCY

1 FROM (Agency or establishment)
Department of the Treasury

In accordance with the provisions of 44
U S C 3303a the disposition request,
including amendments, is approved except
for items that may be marked "disposition
not approved" or "withdrawn" in column 10

2 MAJOR SUBDIVISION
Internal Revenue Service

3. MINOR SUBDIVISION
Information Systems

4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Sandy Myers	535-3936x3033	2-9-98	John W. Carlin

6 AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records
and that the records proposed for disposal on the attached _____ 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,
        X   is not required;   ☐   is attached; or   ☐   has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
10/16/97	Bobbie DeCarmine	IRS Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Records Control Schedule 118 for Servicewide Information Systems This Request for Disposition Authority is intended to cover records created and maintained by the Information Systems organization Servicewide, including the Chief Information Officer. The Information Systems organization, headed by the Chief Information Officer, is responsible for strategic technology planning, planning and designing multi-functional information systems; data administration, coordinating and integrating functional systems into the overall systems architecture, acquiring, testing, developing, and maintaining computer equipment and software, providing data security, and providing telecommunications services NOTE: This Request is a revision of original Request submitted 10/29/96.		

Records Control Schedule 118 for Servicewide Information Systems

Item No.	Description of Records	Authorized Disposition

Administrative Records

Item No.	Description of Records	Authorized Disposition
1 existing item, description revised)	**Correspondence Files.** ~~Routine correspondence covering day-to-day operations, transmittals, facsimiles, and requisitions that relate to administrative housekeeping and facilitative roles of the organization and not procedural in nature. (Job No. NC-58-75-1, Item 2)~~	**Destroy** after two years.
2. (existing item)	~~**Annual Business Review Reports** Record copies of program review evaluations and associated correspondence on the operations and activities of IRS regional offices, service centers, and district offices. (Job No. N1-58-93-5, Item 3)~~	~~**Retire** to the Washington National Records Center after 5 years. **Destroy** when 10 years old.~~
3. (existing item)	~~**Internal Audit Reports** and work papers and correspondence, including correspondence, reports on surveys, special studies, and investigations conducted jointly with other organizations. (Job No NC1-58-77-3, Item 1)~~	
	~~(1) Record Copy.~~	~~**Destroy** 3 years after completion or issuance of report.~~
	~~(2) All other copies.~~	~~**Destroy** after 3 years of when no longer needed for current operations, whichever is sooner.~~

Records Control Schedule 118 for Servicewide Information Systems

Item No.	Description of Records	Authorized Disposition
4. (new item)	**GAO Reports.** (1) Record copy of IS responses and copy of reports relating to tax systems modernization issues. *Arranged chronologically.* Volume 2 c f Annual Accumulation < 1 c f	**Cutoff annually. Permanent. Retire** to the Washington National Records Center when 5 years old **Transfer** to NARA when 20 years old
	(2) All other copies of reports, correspondence generated in response to report, and related background information.	**Cutoff** annually **Destroy** when 3 years old.
5. (existing item)	~~**Forms and Form Letter Files,** pertaining to the development of internal and external use forms and form letters, revisions, instructions for preparation and distribution, justifications and coordinations. Form is placed in inactive file when rescinded, superseded, or rendered obsolete. (Note: Historical copies are maintained in the Multimedia Productions Division, Publishing Services Branch) (Job No. NC-58-75-1, Item 5)~~	~~**Retire** to the Washington National Records Center after 2 years **Destroy** after 10 years.~~
6. (existing item)	~~**Substitute Form Files.** Correspondence with practitioners, firms, and individuals relating to substitute forms for IRS official forms. Includes approval and disapprovals. (Job No. NC-58-75-1, Item 13)~~	~~**Destroy** after two years.~~

Records Control Schedule 118 for Servicewide Information Systems

Item No.	Description of Records	Authorized Disposition
7. (existing item)	**Information Systems Management Careers Program.** (1)Case files documenting the selection of incumbents for positions in the program. Files consist of Roster of Eligibles for Promotion and Promotion Certificate, such as Form 4537, with copies of applicants' evaluations and board members evaluation and criteria used in the selection (Job No NC-58-75-1, Item 15(1).	Destroy 2 years after selection
	(2) Case files of individual applicants for positions in the program. Files consist of current application, evaluations and other pertinent documents as required (Job No. NC-58-75-1, Item 15(2)	Destroy 2 years after the latest update
8. (existing item)	**Administrative Management and Organization Records.** (1) These records include studies, analyses, or correspondence which establish policies, practices, and programs for the management of the Information Systems organization. Included are organizational changes in the field and National Office structure, functional realignments and responsibilities, long and short term planning documents. (Job No NC-58-75-1, Item 1(1))	Cutoff correspondence annually; studies and case files, upon completion of study or at an appropriate phase. Retire to the Washington National Records Center after 5 years. Destroy after 25 years.

Records Control Schedule 118 for Servicewide Information Systems

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Item No.	Description of Records	Authorized Disposition
	~~(2) Record copies which document the history of the Information Systems Organization These records include correspondence and case files of this type with analyses, coordinations, approvals and disapprovals, recommendations, plans and implementing instructions for the plans, and any background materials which contribute to an understanding of or provide an explanation for complete documents. (Job No NC-58-75-1, Item 1(2))~~	~~Cutoff annually or upon completion of a study. Retire to the Washington National Records Center after 5 years or when no longer needed Transfer to NARA after 10 years.~~
	~~(3) Reference copies of records listed in Items (1) and (2) above. (Job No NC-58-75-1, Item 1(3))~~	~~Destroy after 2 years.~~

Revised per conversation with Steve Cooper 10/15/97
Records Control Schedule 118 for Servicewide Information Systems

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Item No.	Description of Records	Authorized Disposition

9
(new
item)

Study Group or Task Force Files.
(1) Records created as a result of studies **initiated or sponsored by IS** on issues or problems that have surfaced and resulted in national, regional, or local impact on the IRS or taxpayers   Examples are issues relating to tax processing operations; the filing season; major ADP procurement strategies; privacy and security of taxpayer data, telecommunications, and hardware architecture.

(a) Record copy of final reports, recommendations, implementation plans, briefing papers, presentation materials, publications, and related correspondence *Arranged alphabetically*

Volume 7 c f
Annual Accumulation varies

Permanent.
Cutoff annually.
Retire to the Washington National Records Center when 5 years old
Transfer to NARA when 20 years

(b) Working papers, background information produced by the study group or task force

Cutoff annually.
Destroy when 3 years old.

(2) Records produced by other study groups or task forces dealing with routine operations, automation, or administrative issues.

Cutoff annually.
Destroy when 5 years old.

Records Control Schedule 118 for Servicewide Information Systems

Item No.	Description of Records	Authorized Disposition
10. (new item)	**Committee, Meeting, and Conference Records.** (1) These records are created or maintained by committees, boards, groups, or during meetings, conferences sponsored by the Chief Information Officer (CIO) or attended by the CIO with other IS and senior-level IRS executives, Department of Treasury or other government officials, and contractor personnel, as well as speeches delivered by the CIO. These records document **significant** decisions or discussions on policy; development/direction of tax systems modernization projects; budget; strategic planning; standards; tax processing operations, technology affecting information systems development and operations; and issues relating to systems architecture, integration, transition, security and privacy	
	(a) Record copy of agendas, briefing papers, presentation materials, minutes, speeches, final reports or recommendations, and related correspondence *Arranged chronologically.*	**Permanent.** **Cutoff** annually. **Retire** to the Washington National Records Center when 5 years old. **Transfer** to NARA when 20 years old.
	Volume 20 c f Annual Accumulation 2 c f	
	(b) Logistical documentation created in preparation for each conference or meeting, i.e., notification packages, routine correspondence to participants, printing requests, and related records	**Cutoff** annually. **Destroy** when 2 years old or when no longer needed, whichever is sooner.

Stricken text indicates an existing item and disposition will not change
Revised text has been shaded

Records Control Schedule 118 for Servicewide Information Systems

Item No.	Description of Records	Authorized Disposition
	(2) Records created or maintained by other committees or during other conferences and meetings dealing with routine operations or administrative issues	**Cutoff** annually. **Destroy** when 3 years old or when no longer needed, whichever is sooner
11. (new item)	**Congressional Testimony Records.** Copies of testimony delivered by the Chief Information Officer to Congressional committees dealing with the status of Information Systems programs, projects or budget issues. Also included are working drafts, internal correspondence and background information gathered in preparation of each hearing. Note Records copies of all congressional testimony is maintained by Legislative Affairs	**Cutoff** annually. **Destroy** when no longer needed for operational purposes
12. (new item)	**Reading Files.** (1) Copies of correspondence signed by the Chief Information Officer or the Deputy Chief Information Officer *Arranged chronologically.* Volume 6 c f Annual Accumulation 1 c f	**Permanent.** **Cutoff** annually **Retire** to the Washington National Records Center when 2 years old. **Transfer** to NARA when 20 years old
	(2) All other reading files.	**Cutoff** annually. **Destroy** when 2 years old of when no longer needed, whichever is sooner.

Records Control Schedule 118 for Servicewide Information Systems

Item No.	Description of Records	Authorized Disposition

Technical Records

13.
(existing
item,
descrip-
tion
revised.)

**Program Requirement Packages
(PRP). Records consist of input
and output data specifications and
related processing formula involved
in each procedure of an information
system which are required and
prepared for the development of
computer programs for service
centers, computing centers,
regional and district offices**

(1) IMF and BMF PRP's--includes
many sections, each of which
pertains to a particular project in the
data processing system. (Job No.
NC-58-75-1, Item 31(1))

**Retire to the Federal Records
Center 1 year after new PRP is
received.
Destroy after 9 years.**

(2) FSP--contains many sections
each of which deal with a subject
area of the Service Center data
processing system (NOTE
Superseded FSP is placed in
inactive file when complete). (Job
No NC-58-75-1, Item 31(2))

**Retire to the Federal Records
Center 1 year after revision or
supersession
Destroy after 9 years**

(3) Special Project PRP's (IMF and
BMF related)--these are of a
continuing nature and are updated
periodically with a complete rewrite.
(NOTE: Superseded pages or
superseded PRP's are placed in
inactive file) (Job No NC-58-75-1,
Item 31(3))

**Retire to the Federal Records
Center 1 year after revision or
supersession.
Destroy after 9 years**

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Revised per conversation with Steve Cooper 10/15/97
Records Control Schedule 118 for Servicewide Information Systems

Item No.	Description of Records	Authorized Disposition
	(4) Working and reference copies of PRP's (Job No NC-58-75-1, Item 31(4))	Destroy when no longer needed for current operations.
14 (existing item)	Computer Program Books (CPB) for the IMF, BMF, and the Master File and service center, Data Center, regional or district offices related programs Requirements as contained in the PRP's. (Original, camera copy is maintained for updating)	
	(1) CPB 1 including run description and schematic diagrams (narrative and picture of flow of data through the programs in the system) (Job No NC-58-75-1, Item 32(1))	Destroy 6 months after the last program in CPB has been discontinued.
	(2) CPB 3 including Core Record Layouts. (Hard copy picture of the tape or card record). (Job No NC-58-75-1, Item 32(2))	Destroy 3 months after the last program in CPB has been discontinued.
	(3) CPB 5, detailed instructions for console operators running the computer programs. Includes operating instructions for I/O units, Set-up Switches, Halt List, and Message List (Job No NC-58-75-1, Item 32(4))	Destroy 3 months after the last program in the CPB has been discontinued
	(4) File search records. (Job No NC-58-75-1, Item 32(19))	Destroy when inactive or after 6 months, whichever is earlier
	(5) Log of file search requests. (Job No NC-58-75-1, Item 32(20))	Destroy after 6 years.

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Records Control Schedule 118 for Servicewide Information Systems

Item No.	Description of Records	Authorized Disposition
(New sub item)	(6) Control Log Problem Definitions and Problem Evaluations (PEs) and copies of PEs generated in the field	**Destroy** after 2 years
15. (existing item, description revised)	**Information Systems Equipment and System Requirements Analyses and Evaluations.** ~~Case files include procurement requests for authorities to lease or purchase equipment, and specifications for procurement and maintenance of equipment. (Job No. NC-58-75-1, Item 36)~~	~~**Cutoff** annually or upon completion of the project.~~ ~~**Retire** to the Federal Records Center after 5 years~~ ~~**Destroy** after 15 years.~~
16. (existing item, description revised)	~~**Case Files of Information Systems Equipment Acceptability Testing.** Contain procedures and guidelines for testing, testing forms, interim and final reports of the test, and related correspondence. (Job No. NC-58-75-1, Item 37)~~	~~**Cutoff** when test is completed or contractual requirements of the acceptance test have been met.~~ ~~**Retire** to the Washington National Records Center after 3 years.~~ ~~**Destroy** after 6 years~~
17. (existing item, description revised)	**System Acceptability Test Documentation (SAT).** ~~Includes project folders, system test plans, predetermined results, test data, Problem Definitions, copies of supporting documentation, i.e., PRPs, RISs, Computer Operator's Handbook, FSPs, Core Record Layouts, and End of Test Status Reports. (Job No. NC-58-75-1, Item 38)~~ **Note: This series does not include documentation supporting Year 2000 conversion testing.**	~~**Destroy** 1 year after completion of test.~~

Records Control Schedule 118 for Servicewide Information Systems

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Item No.	Description of Records	Authorized Disposition
18. (existing item)	~~Quality Review Feedback Sheet (Report 30(242)0-2) A feedback sheet is prepared for each discrepancy. The discrepancy will be concisely documented and categorized by Scheduling, Tape Library, and Operations. Each feedback sheet will be assigned a Quality Review Control Number, which will be used to track, control, and file the sheets. The sheets will be used as a turn-around document for Information Systems management to provide corrective action to quality review function. Media: Paper; Location Service Center. (Job No N1-58-93-5, Item 14)~~	~~Destroy when 5 years old~~
19 (new item)	**Tax Processing Systems Software and Database Design Programming Documentation** developed and maintained for service center mainframe operating/security systems, telecommunications, transaction processing, and program transmittal software. All programs support National Office and field operations Records include instructions or guidelines establishing program objective, programming requirements, documentation, design specifications, data dictionaries and related records	**Destroy** when no longer needed for current operations.

Records Control Schedule 118 for Servicewide Information Systems

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Item No.	Description of Records	Authorized Disposition
20 (new item)	**Tax Processing Systems and Administrative Systems Project Files.** Each system initiated by the IRS evolves in the three phases of the systems life cycle, i.e., the initiation phase, design or development phase, and implementation phase. These files contain records which have been created, updated, or finalized by IRS or contractor personnel who are developing new systems or making enhancements to existing systems. All of the documents described below may not be created for every system.	
	(1) Initiation Phase Documentation These records are created and maintained during the initiation phase of a system Examples include, but are not limited to, the following· Project Initiation Document, Charter, Approved Project Master Plan, Resource Agreements, Requirements Analysis, Business Case Analysis, Cost Benefit/Economic Analysis, Request for Human Resources Service, Agency Procurement Request, Delegation of Procurement Authority, Feasibility Study, other contractor deliverables, and all related correspondence.	A. **Permanent.** Documentation for _administrative systems_ appraised as permanent **Transfer** to NARA with the system. B Documentation for _tax processing and administrative systems_ appraised as temporary. **Cutoff** files annually. **Retire** to the Federal Records Center when 5 years old. **Destroy** when 10 years old.

Revised per conversation with Steve Cooper 10/15/97
Records Control Schedule 118 for Servicewide Information Systems

Item No.	Description of Records	Authorized Disposition
	(2) Design/Development Phase Documentation. These records are created and maintained during the design and development phase of a system Examples include, but are not limited to, the following: Analysis Specification Package, Functional Specification Package, Work Breakdown Structure, Source Code, Program Listings, Database Specifications, Version Description Documents, Configuration Management Policy, Plan, and Baseline Documents, Critical Design Review Documents, Contract Change Requests/Modifications, System Architecture Documents, Training Manuals/User Handbooks, System Administrator Guide, Technical Reference Manuals, System Test Plan, Prototyping Candidate Evaluation, Prototyping Plan, Statement of Work, Acquisition Plan, Performance and Capability Validation Plan, Risk Analysis/Contingency Plan, System Security Certification, Security Evaluation Report, Investment Evaluation Review Report, Capacity Management Plan, Telecommunications Plan, Site Preparation Requirements/Plan, other contractor deliverables, status reports, and all related correspondence.	A **Permanent.** Documentation for *administrative systems* appraised as permanent. Transfer to NARA with system B Documentation for *tax processing and administrative systems* appraised as temporary **Cutoff** files annually. **Retire** to the Federal Records Center when 5 years old. **Destroy** when 10 years old.

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Records Control Schedule 118 for Servicewide Information Systems

Item No.	Description of Records	Authorized Disposition
	(3) Implementation/ Operation Phase Documentation. These records are created and maintained prior to the implementation of a system. Examples include, but are not limited to, the following· Decision to Implement, Implementation plan/schedule, Hardware Installation Guide, Hardware Acceptance Test Checklist, System Implementation & Testing Documents, Test Contingency Plan and Post-Implementation Review Reports, other contractor deliverables, status reports, and related correspondence	A **Permanent.** Documentation for *administrative systems* appraised as permanent Transfer to NARA with the system. B Documentation for *tax processing and administrative systems* appraised as temporary **Cutoff files** annually. **Retire** to the Federal Records Center when 5 years old. **Destroy** when 10 years old.
21. (new item)	**Request for Information Services** (RIS) memoranda from organizational components requesting programming changes to current and planned computer systems. The RIS sets forth system requirements and is used by IS as the basis for planning, estimating, performing and tracking a project's software activity, as well as the overall management of IS plans and resources.	
	(1) Original requests and related correspondence. Volume 40 c f Annual Accumulation 8 c f	**Cutoff** files at completion of project **Retire** to the Federal Records Center when 3 years old. **Destroy** when 6 years old.
	(2) All other copies and related correspondence	**Cutoff** at the end of the fiscal year. **Destroy** when no longer needed, not to exceed 3 years.

Revised per conversation with Steve Cooper 10/15/97
Records Control Schedule 118 for Servicewide Information Systems

Item No.	Description of Records	Authorized Disposition
22. (new item)	**Electronic Return File Specifications and Record Layouts for Individual Tax Returns (Publication 1346)** Publication 1346 outlines the communications procedures, transmission formats, character sets, validation criteria, and reject codes for filing individual tax returns electronically via telephone lines to participating Internal Revenue service centers. (1) Copies of IMF forms, schedules, and instructions used to update Publication 1346.	**Destroy** when 2 years old or when no longer needed, whichever is sooner
	(2) All other copies, including working drafts, background information.	**Destroy** when 2 years old or when no longer needed, whichever is sooner.
23. (new item)	**Integrated Network and Operations Management System (INOMS).** This system provides an integrated solution to inventory management of all IRS ADP hardware and software, network configuration management and IS problem management at Computing/Service Centers All data is entered through interactive, real time, screen displays. An additional inventory interface exists through the use of a hand-held barcode scanner that reads labels for the purpose of performing inventory certification Inventory records are recorded from the time of purchase to the time of disposal The database contains the following	

Records Control Schedule 118 for Servicewide Information Systems

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Item No.	Description of Records	Authorized Disposition
	components· (1) **Operator/User Profile Database.** The database contains records concerning the user's name, ID, password, location, phone number, organization, security level, and query time limits.	**Delete** record from database immediately upon notification that access to the system is no longer required
	(a) **Input Records** These records include source documents used to collect information on adding and deleting system users, i.e , name, location, phone number, organization.	**Destroy** when one year old or when no loner needed for operational purposes, whichever is sooner.
	(b) **Output Records** These records include management information reports and audit trail or equivalent documentation.	**Destroy/Delete** from database when one year old or when no longer needed for operational purposes, whichever is sooner.
	(2) **Inventory Management Database.** The database contains information describing hardware and software in the inventory by barcode numbers, serial numbers, manufacturer's name, model numbers, device type, location, disposal codes and date, procurement, maintenance, and depreciation information.	**Delete** 2 fiscal years after disposal date
	(a) **Input Records.** These records include source documents used to collect information describing the hardware/software and location information, as well as the final disposition documents. **NOTE** Baseline data resulted from conversion of data from previous inventory system	**Destroy** when one year old or when no longer needed for operational purposes, whichever is sooner.

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Revised text has been shaded

Records Control Schedule 118 for Servicewide Information Systems

Item No.	Description of Records	Authorized Disposition
	(b) **Output Records** These records include management information reports, program-related reports, ad hoc queries, and audit trail or equivalent documentation in electronic or hard copy formats.	**Delete/Destroy** from database when one year old or when no longer needed for operational purposes, whichever is sooner
	3) <u>**Network Configuration Management Database**</u> The database contains records describing the physical and logical connections through parent/child linking of ADP equipment via a Local Area Network (LAN) or a Wide Area Network (WAN), i.e., bridge/routers, circuits, front end processor, cable interface, software, switches, and workstations	**Delete** two fiscal years after the disposal date.
	(a) **Input Records.** These records include source documents used to collect information describing the hardware/software and location information, as well as final disposition documents. NOTE Baseline data resulted from conversion of data from previous inventory system	**Destroy** when one year old or when no longer needed for operational purposes, whichever is sooner.
	(b) **Output Records.** These records include management information reports, program-related reports, ad hoc queries, and audit trail or equivalent documentation in electronic or hard copy formats	**Delete/Destroy** when one year old or when no longer needed for operational purposes, whichever is sooner.

Item No.	Description of Records	Authorized Disposition
	(4) **Problem Management Database.** The database contains records on Computing/Service Center problems by ticket number (generated by the system), name, phone and location of person reporting problem, priority code, description of problem, actions taken to resolve and date resolved, identification of the piece of equipment, software, or other appropriate identifier related to the problem occurring.	**Delete** from three years after date of problem resolution.
	(a) **Input Records.** This data is input directly to the system and documents the date and time the problem was reported, name and location of reporting party, date and time problem occurred, system or application affected, description of the problem.	**Delete** from three years after date of problem resolution
	(b) **Output Records.** These records include information reports, program-related reports, ad hoc queries, and audit trail or equivalent documentation in electronic or hard copy formats	**Delete/Destroy** when one year old or when no longer needed for administrative, legal, audit or other operational purposes.
	(5) **System Documentation Records.** These records include Inventory Management Overview Guide, User Reference Guide, Data Dictionary, File Layouts, Training Manual, procedural guides, and System Design and Analysis Manual.	**Destroy/Delete** when superseded or obsolete

Stricken text indicates an existing item and disposition will not change
Revised text has been shaded