

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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: 2/27/2025

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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

Item 9, 10, 11, 12 are still active

SUPERSEDED AND OBSOLETE ITEMS

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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

Item 4(2) is superseded by DAA-0058-2022-0003-0003

Item 14(6) is superseded by DAA-GRS-2013-0005-0004 (GRS 3.1, item 020)

Item 19 is superseded by DAA-GRS-2013-0005-0003 (GRS 3.1, item 051)

Item 20 (1A, 2A, 3A) is superseded by DAA-GRS-2013-0005-0007 (GRS 3.1, item 011)

Item 20 (1B, 2B, 3B) is superseded by DAA-GRS-2013-0005-0007 (GRS 3.1, item 011)

Item 21(1) is superseded by DAA-GRS-2013-0005-0005 (GRS 3.1, item 030)

Item 22(1) is superseded by DAA-GRS-2022-0009-0002 (GRS 5.2 item 020)

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

| | | | |
|---|-------------------------------------|--|--|
| REQUEST FOR RECORDS DISPOSITION AUTHORITY (See instructions on reverse) | | LEAVE BLANK (NARA use only) JOB NUMBER N1-058-97-4 | |
| TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 | | DATE RECEIVED 11/12/96 | |
| 1 FROM (Agency or establishment) Department of the Treasury | | NOTIFICATION TO AGENCY | |
| 2 MAJOR SUBDIVISION Internal Revenue Service | | 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 | |
| 3. MINOR SUBDIVISION Information Systems | | | |
| 4 NAME OF PERSON WITH WHOM TO CONFER Sandy Myers | 5 TELEPHONE 535-3936x3033 | DATE 2-9-98 | ARCHIVIST OF THE UNITED STATES <i>[Signature]</i> |

| | | |
|--|--|----------------------------------|
| 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, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. | | |
| DATE 10/16/97 | SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature: Bobbie DeLorme]</i> | TITLE 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) |
|-----------------|--|--|---------------------------------------|
| | <p>Records Control Schedule 118 for Servicewide Information Systems</p> <p>This Request for Disposition Authority is intended to cover records created and maintained by the Information Systems organization Servicewide, including the Chief Information Officer.</p> <p>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</p> <p>NOTE: This Request is a revision of original Request submitted 10/29/96.</p> | | |

Revised per conversation with Steve Cooper 10/15/97

Records Control Schedule 118 for Servicewide Information Systems

| Item No. | Description of Records | Authorized Disposition |
|--|--|---|
| <u>Administrative Records</u> | | |
| 1 existing item, descrip- tion 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. (2) All other copies. | Destroy 3 years after completion or issuance of report. Destroy after 3 years of when no longer needed for current operations, whichever is sooner. |

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Records Control Schedule 118 for Servicewide Information Systems

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| 4. (new item) | GAO Reports. (1) Record copy of IS responses and copy of reports relating to tax systems modernization issues. <i>Arranged chronologically.</i> Volume 2 c f Annual Accumulation < 1 c f (2) All other copies of reports, correspondence generated in response to report, and related background information. | Cutoff annually. Permanent. Retire to the Washington National Records Center when 5 years old Transfer to NARA when 20 years old 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. |

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Records Control Schedule 118 for Servicewide Information Systems

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| 7. (existing item) | <p>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)).</p> <p>(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)).</p> | <p>Destroy 2 years after selection.</p> <p>Destroy 2 years after the latest update.</p> |
| 8. (existing item) | <p>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)).</p> | <p>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.</p> |

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| | (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. |

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| 9 (new item) | <p>Study Group or Task Force Files.</p> <p>(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.</p> <p>(a) Record copy of final reports, recommendations, implementation plans, briefing papers, presentation materials, publications, and related correspondence <i>Arranged alphabetically</i></p> <p>Volume 7 c f Annual Accumulation varies</p> <p>(b) Working papers, background information produced by the study group or task force</p> <p>(2) Records produced by other study groups or task forces dealing with routine operations, automation, or administrative issues.</p> | <p>Permanent. Cutoff annually. Retire to the Washington National Records Center when 5 years old Transfer to NARA when 20 years</p> <p>Cutoff annually. Destroy when 3 years old.</p> <p>Cutoff annually. Destroy when 5 years old.</p> |

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| 10. (new item) | <p>Committee, Meeting, and Conference Records.</p> <p>(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</p> <p>(a) Record copy of agendas, briefing papers, presentation materials, minutes, speeches, final reports or recommendations, and related correspondence <i>Arranged chronologically.</i></p> <p>Volume 20 c f Annual Accumulation 2 c f</p> <p>(b) Logistical documentation created in preparation for each conference or meeting, i.e., notification packages, routine correspondence to participants, printing requests, and related records</p> | <p>Permanent. Cutoff annually. Retire to the Washington National Records Center when 5 years old. Transfer to NARA when 20 years old.</p> <p>Cutoff annually. Destroy when 2 years old or when no longer needed, whichever is sooner.</p> |

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| | (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 <i>Arranged chronologically.</i> Volume 6 c f Annual Accumulation 1 c f (2) All other reading files. | Permanent. Cutoff annually Retire to the Washington National Records Center when 2 years old. Transfer to NARA when 20 years old Cutoff annually. Destroy when 2 years old or when no longer needed, whichever is sooner. |

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| Item No. | Description of Records | Authorized Disposition |
|--|---|--|
| Technical Records | | |
| 13. (existing item, description 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)) (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)) (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 new PRP is received. Destroy after 9 years. Retire to the Federal Records Center 1 year after revision or supersession. Destroy after 9 years. Retire to the Federal Records Center 1 year after revision or supersession. Destroy after 9 years. |

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| | (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) | <p>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)</p> <p>(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))</p> <p>(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))</p> <p>(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))</p> <p>(4) File search records. (Job No NC-58-75-1, Item 32(19))</p> <p>(5) Log of file search requests. (Job No NC-58-75-1, Item 32(20))</p> | <p>Destroy 6 months after the last program in CPB has been discontinued.</p> <p>Destroy 3 months after the last program in CPB has been discontinued.</p> <p>Destroy 3 months after the last program in the CPB has been discontinued.</p> <p>Destroy when inactive or after 6 months, whichever is earlier.</p> <p>Destroy after 6 years.</p> |

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| (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, RIGs, 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. |

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| 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. |

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| 20 (new item) | <p>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.</p> <p>(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.</p> | <p>A. Permanent. Documentation for <u>administrative systems</u> appraised as permanent Transfer to NARA with the system.</p> <p>B Documentation for <u>tax processing and administrative systems</u> appraised as temporary. Cutoff files annually. Retire to the Federal Records Center when 5 years old. Destroy when 10 years old.</p> |

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| | <p>(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.</p> | <p>A Permanent. Documentation for <u>administrative systems</u> appraised as permanent. Transfer to NARA with system</p> <p>B Documentation for <u>tax processing and administrative systems</u> appraised as temporary Cutoff files annually. Retire to the Federal Records Center when 5 years old. Destroy when 10 years old.</p> |

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| | (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 <u>administrative systems</u> appraised as permanent Transfer to NARA with the system. B Documentation for <u>tax processing and administrative systems</u> 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 (2) All other copies and related correspondence | Cutoff files at completion of project Retire to the Federal Records Center when 3 years old. Destroy when 6 years old. Cutoff at the end of the fiscal year. Destroy when no longer needed, not to exceed 3 years. |

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| 22. (new item) | <p>Electronic Return File Specifications and Record Layouts for Individual Tax Returns (Publication 1346)</p> <p>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.</p> <p>(1) Copies of IMF forms, schedules, and instructions used to update Publication 1346.</p> <p>(2) All other copies, including working drafts, background information.</p> | <p>Destroy when 2 years old or when no longer needed, whichever is sooner</p> <p>Destroy when 2 years old or when no longer needed, whichever is sooner.</p> |
| 23. (new item) | <p>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</p> | |

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| | components. (1) <u>Operator/User Profile Database.</u> 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 longer 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) <u>Inventory Management Database.</u> 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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| | (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. | Destroy when one year old or when no longer needed for operational purposes, whichever is sooner. |
| | NOTE Baseline data resulted from conversion of data from previous inventory system | |
| | (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. |

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| | <p>(4) <u>Problem Management Database.</u> 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.</p> | <p>Delete from three years after date of problem resolution.</p> |
| | <p>(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.</p> | <p>Delete from three years after date of problem resolution</p> |
| | <p>(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</p> | <p>Delete/Destroy when one year old or when no longer needed for administrative, legal, audit or other operational purposes.</p> |
| | <p>(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.</p> | <p>Destroy/Delete when superseded or obsolete</p> |