



BEST PRACTICES FOR ROLE-BASED SCHEDULING

Role-based scheduling is where the position or role of an individual is a factor in determining the disposition of records.

Agencies can use role-based scheduling with granular items or with aggregate items. The following are examples of how some agencies have scheduled executive or senior level records. Use the arrangement that works best for your agency's records.

It is up to your agency to determine how roles or positions are used to define items. You will need to define which positions or roles apply to each item.

Individual (granular) role-based items

Arrange individual role-based items in one of two ways: focus either on the role first or the records first.

Role-based granular items: The schedule first categorizes roles or positions into different levels. Then it lists series-based record items and their disposition

Example:

Capstone level officials [List of well-defined, specific senior officials or categories of officials]

1. Briefing Books - permanent
2. Calendars - permanent
3. Reading files - temporary

Non-Capstone level officials [all other managerial positions]

1. Briefing Books - temporary
2. Calendars - temporary
3. Reading files – temporary

Series-based, with role as the secondary criteria: The schedule starts with the type of record. Identify items based on the role or position when the value of the records differs.

Example:

Briefing Books

0001 - High-level officials - permanent

0002 - Lower-level officials - temporary

0003 - Reading Files - All levels - temporary

Role-based aggregate items

This approach involves identifying all or most records created by certain roles as either wholly permanent or wholly temporary. You may use this approach with any type of aggregate item.

Flexible/open aggregate role-based items usually are an all or nothing approach to records scheduling for a specific type of record.

Example:

0001 - Capstone Official Email Records - Permanent

0002 - Non-capstone Official Email Records - Temporary

Fixed/closed aggregate role-based items can allow for identifying certain records as permanent and carving out those that are of temporary value.

Example:

0001 - Commissioner Records - [a fixed list of specific series/types of records covered by the item such as briefing books, calendars, subject files, and memos] - Permanent

0002 - Commissioner Reading Files – Temporary

Limitations on Role-Based Scheduling

- **Do not expect to use role-based scheduling for all your agency's records.** Role-based scheduling works best in limited situations. Use it when scheduling records of senior or high-level management in an agency, but not more widely. Agencies should schedule records created by most agency staff based on their content, rather than the role of the individual.
- **See the *Guide to Aggregate Item Schedules* for best practices when scheduling aggregate items.**