

Implement Updates to Records Schedules

Instructions for Using This Job Aid

Use this job aid when you are assigned to implement updates to records schedules. Check off each step when you have completed the step.

Procedure Steps	Actions/Decisions	
1. Identify the needed change(s).	1.1 Meet with records custodians, records managers and stakeholders to discuss the records in question. NARA recommends that agencies review records schedules yearly.	<input type="checkbox"/>
	1.2 Collect detailed information about the records: <ul style="list-style-type: none"> ● What are the records? ● How are they used? ● What information do they contain? ● What medium/format are they? ● Are the records currently covered by an approved schedule (agency or GRS)? ● If the records are scheduled, is the current disposition adequate? Review a sample of the records, if necessary.	<input type="checkbox"/>
	1.3 Compare the records to your agency's approved records schedules (often called Records Control Schedules, or RCS).	<input type="checkbox"/>
	1.4 If you determine that the records are unscheduled, end this task and begin the task <i>Draft a Records Schedule for Submission to NARA</i> . Contact your Agency Records Officer or Records Management team to determine the correct scheduling procedures for your agency. <ul style="list-style-type: none"> ○ To support the scheduling task, work with stakeholders to draft: <ul style="list-style-type: none"> ▪ A preliminary title and description for the records. ▪ A proposed cutoff, retention time, and disposition for the records. ▪ A recommendation of temporary or permanent. ▪ Notes describing your justification for the proposed retention and disposition. 	<input type="checkbox"/>

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	<p>1.5 If the records are covered by an existing, approved Records Control Schedule (RCS), review the following with stakeholders and identify any changes that are needed to the schedule:</p> <ul style="list-style-type: none"> • Series title and description • Cutoff • Retention period • Transfer instructions (if applicable) • Final disposition of the records <p>Work with stakeholders to decide whether a change to the disposition is needed due to changes in the records' or system's business use or legal, financial, administrative, or historical value. Document the proposed changes and the reasons for the changes.</p>	<input type="checkbox"/>
<p>2. Draft the update and validate the needed change(s) with the originating office and initial stakeholders.</p>	<p>2.1 If no changes or updates to the schedule are needed, work with the offices holding the records to ensure that they are using the correct records schedule information and disposition in their file plans and systems.</p>	<input type="checkbox"/>
	<p>2.2 If you determine that changes to the schedule are needed, prepare a draft of the updated records schedule, including all the needed changes.</p>	<input type="checkbox"/>
	<p>2.3 Review the draft schedule and proposed changes with the originating office and other stakeholders who receive, store, and use the records.</p>	<input type="checkbox"/>
	<p>2.4 When the originating office and initial stakeholders have reviewed and approved the changes, move on to Procedure Step 3.</p>	<input type="checkbox"/>
<p>3. Communicate the proposed change(s) to agency stakeholders</p>	<p>3.1 Upon approval by the originating office of the proposed records series revision(s) to the RCS, forward the changes to designated agency internal stakeholders for their review and approval, as required by your agency's records management procedures. These agency internal stakeholders often include</p>	<input type="checkbox"/>

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and obtain final internal feedback and approval.	<ul style="list-style-type: none"> ● Agency Records Officer ● Program managers and staff ● General Counsel ● Information Technology ● Inspector General or audit team 	
	3.2 Apply holds or freezes as needed: If proposed changes include changes in the disposition, then decide whether all disposition actions for that records series should be suspended until the proposed changes are adopted or rejected.	<input type="checkbox"/>
	3.3 If there are disagreements about the proposed changes, then negotiate revisions. Ensure that all internal conflicts are resolved before forwarding the changes to NARA.	<input type="checkbox"/>
	3.4 Your Agency Records Officer or Records Management team may send the proposed RCS changes to your agency's assigned NARA appraisal archivist for informal review before formally submitting the schedule to NARA for approval.	<input type="checkbox"/>
4. Submit formal RCS change(s) to NARA for approval.	4.1 Once the changes have been finalized within the agency and there are no disagreements over the proposed changes, your Agency Records Officer (ARO) or Records Management team will arrange for the updated schedule to be input into NARA's Electronic Records Archives (ERA) for final review and approval.	<input type="checkbox"/>
	4.2 NARA will review the initial schedule submission in the ERA. If there are issues with the ERA entry, your ARO and team will discuss any issues or possible changes to the proposed series or series dispositions with your agency's designated NARA appraisal archivist.	<input type="checkbox"/>
5. Implement the approved change(s).	5.1 If NARA approves the submitted schedule changes, then update the current agency copy of records schedule or manual by annotating online and/or printed versions to include the new or revised disposition authorities.	<input type="checkbox"/>

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	<p>5.2 If a crosswalk is necessary (for agency implementation) to link new records series with superseded ones, then create one.</p> <ol style="list-style-type: none"> a. Create a table, template, or spreadsheet with multiple columns. b. Identify the new or revised disposition authorities. c. Identify current disposition authorities superseded by the new or revised ones. d. Map (match) the new or revised authorities to the superseded ones. e. Indicate for each new or revised disposition authority whether the affected records retention period(s) will be increased or decreased in terms of months and/or years, or whether formerly temporary records will now be permanently retained or vice versa. 	<input type="checkbox"/>
	<p>5.3 Apply the new disposition authorities and calculate new disposition dates for active records and legacy records already in storage and affected by the RCS changes. (GRS series changes or additions must be implemented within six months of NARA issuance.)</p>	<input type="checkbox"/>
	<p>5.4 Annotate the changes to records storage documentation, or databases that track inactive records disposition within the organization.</p>	<input type="checkbox"/>
6. Communicate the change(s) to stakeholders.	<p>6.1 Distribute schedule changes and any crosswalks to records custodians and other stakeholders through the agency intranet or other designated means (e.g., hardcopy transmittal, meetings, etc.).</p>	<input type="checkbox"/>
	<p>6.2 Answer questions from records custodians about the RCS changes as they arise via intranet, face-to-face, or in meetings to discuss and implement the changes.</p>	<input type="checkbox"/>
	<p>6.3 Instruct records custodians to update affected office file plans or their equivalents with the new series and/or disposition instructions by a designated deadline.</p>	<input type="checkbox"/>
	<p>6.4 Audit the file plans or equivalents after the designated deadline to ensure changes are made.</p>	<input type="checkbox"/>

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	6.5 Encourage records custodians to notify you if and when additional changes to the RCS are necessary.	<input type="checkbox"/>
7. Document the change(s) in an RCS history file.	7.1 If applicable, maintain a record of all RCS changes using a spreadsheet, database, or text document and retain according to agency policy.	<input type="checkbox"/>
	7.2 Review that portion of the RCS applicable to your office or business unit annually for potentially needed disposition changes or additions.	<input type="checkbox"/>