The New GRS

NARA's Proposal for Restructuring the GRS

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Introductions

- GRS Team
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- Our Mission:
  - Update and revise the GRS
  - Develop new GRS authorities
  - Educate agencies about the GRS
  - Serve as subject matter experts

Agenda

- Why we are restructuring the GRS
- Our goals for the new GRS
- How we developed our proposal
- Our proposal: What we plan to do and what we can't do
- The proposed structure of the new GRS
- Proposed project timeline

Why restructure?

- Needs to be written in plain English
- Formatting is inconsistent
- Too granular
- Series descriptions are too vague
- Duplication of record series in multiple schedules
- May not reflect how records are currently maintained
- Includes records series that no longer exist
- Need for updates to reflect:
  - Media neutrality
  - Electronic formats/automation; technology change
  - Current business practices/processes
  - Current terminology

Goals for the New GRS

- Functional arrangement
- Aggregate records into buckets where useful/possible
- True media neutrality; no more series based on format
- Comprehensive coverage of common Federal records = cover more records
- Addition of permanent series
- Clear series descriptions
- More specific examples and cross-walks
- Standardized retentions
- Consistency

How we developed our proposal

- GRS Team reviewed current GRS
- GRS Survey
  - Identified problem areas
  - Suggestions for improvement
- Analyzed how to arrange GRS by functions:
  - Used Federal Enterprise Architecture as a starting place for identifying common functions/sub-functions
  - Added or altered functions and sub-functions as necessary
  - Mapped current GRS to functions/sub-functions

Our Proposal: What we Plan to Do

- Business process analysis of administrative and other common functions
- Identify what records are created
- Create functional buckets as much as possible
- Provide cross-walks with specific examples

Our Proposal: What We Can't Do

- Some records are controlled by regulations or laws that make it difficult or impossible to combine into buckets
- The GRS Team will be issue further guidance to agencies about bucketing GRS items later this FY

What we would like to know about the proposal:

- Are there functions/sub-functions that should be arranged differently?
- Should any of the sub-functions be broken up or combined differently?
- Are we missing any functions/sub-functions that you think should be included?
- Are there functions/sub-functions that shouldn't be included that are?
- Are there any records not already identified that should be added to any sub-function?
- Are there sub-functions that should be under a different function than they are?

The Structure of the New GRS

12 sections based on function:

1. Administrative Management
2. Budget & Finance
3. Human Resources Management
4. Information & Technology Management
5. Executive Leadership
6. Planning & Policy
7. General Counsel
8. Legislative & Congressional Relations
9. Public Affairs
10. Knowledge Creation & Management
11. Temporary Commissions, Boards, Councils & Committees
12. Regulatory Compliance and Enforcement

1. Administrative Management

- Administrative Management includes routine tasks common to all offices and necessary for day-to-day office operation. These tasks do not relate to an agency's program or mission, and are often referred to as housekeeping duties.

  1. General Administration
  2. Goods & Services Acquisition
  3. Inventory Control
  4. Logistics Management (New)
  5. Facilities, Fleet, and Equipment
  6. Communication
  7. Security
  8. Workplace Policy
  9. Administrative Controls & Oversight
  10. Help Desk Services (New)

1.1 General Administration

- Day-to-day housekeeping activities

- <u>Records currently covered by GRS:</u>
  - Administrative correspondence
  - Office administration files
  - Schedules of daily activities (general staff)
  - Suspense files
  - Transitory files

1.2 Goods & Services Acquisition

- Procurement of physical goods, products, and capital assets
- Oversight and/or management of contractors and service providers
- Records currently covered by GRS:
    - Real property files
    - Procurements and requisitions
    - Solicited and unsolicited bids and proposals
    - Contractor payroll
    - Records related to administering contracts
- Additional records/functions to consider adding:
    - Inter-service support agreements (ISSA)
    - MIPR

1.3 Inventory Control

- Tracking of procured assets and resources

- <u>Records currently covered by GRS:</u>
  - Supply management files
  - Inventory requisition files
  - Inventory files

1.5 Facilities, Fleet & Equipment

- Maintenance, administration, and operation of office buildings, fleets, machinery, and other capital assets
- Records currently covered by GRS:
  - Property records
  - Motor vehicle and aircraft records
  - Accident/incident records
  - Agency space files
  - Building and equipment service files
  - Housing records
  - Architectural and engineering drawings
- Additional records/functions to consider adding:
  - Facilities management files

1.6 Communication

- Administration of services used to send and receive information
- Note: this category does not include the actual communications themselves
- Records currently covered by GRS:
  - Messenger service files
  - Communication general files
  - Telecommunications related records
  - Mail related records
- Additional records/functions to consider adding:
  - Electronic mobile device administrative records

1.7 Security

- Physical protection of an organization's personnel, assets, and facilities (including security clearance management).
- Note: information security is a separate function.
- Records currently covered by GRS:
  - Credentials files
  - Survey and inspection files
  - Records related to guard services or police functions
  - Property and key accountability files
  - Visitor control files
  - Records related to security clearances
  - Personnel identification photographs
  - Routine surveillance records
- Additional records/functions to consider adding:
  - Investigations

1.8 Workplace Policy

- Activities required to develop and disseminate workplace policies

- <u>Records currently covered by GRS:</u>
  - Administrative issuances

- <u>Additional records/functions to consider adding:</u>
  - Telework/alternative work site program records

1.9 Administrative Controls & Oversight

- Compliance of internal operations and programs
- Program evaluation, monitoring, and corrective actions
- Note: this does not include agency activities related to external control and oversight

- <u>Records currently covered by GRS:</u>
  - Management control records
  - Legal and regulatory compliance records

- <u>Additional records/functions to consider adding:</u>
  - Inspector General records

New Functions Under
1. Administrative Management

- 1.4 <u>Logistics Management</u> involves the planning and tracking of personnel and their resources in relation to their availability and location.

- 1.10 <u>Help Desk Services</u> involves the management of a service center to respond to government and contract employees' technical and administrative questions. (Not including IT Help Desk Services, which is found under Information Technology Management).

2. Budget & Finance

- Budget and Finance covers all aspects of financial management: planning, requesting and implementing a budget, paying bills and obligations, collecting debts, and accounting for all financial interactions to enable audit.
  1. Budgeting
  2. Payments
  3. Collections
  4. Accounting
  5. Travel
  6. Grants

2.1 Budgeting

- Planning and execution of budgets in federal agencies

- Records currently covered by GRS:
  - Budget background records
  - Budget reports files
  - Budget apportionment files

2.2 Payments

- Disbursement of funds to vendors for goods and services
- Distribution of entitlements, benefits, grants, subsidies, loans, or claims

- <u>Records currently covered by GRS:</u>
  - Administrative claims files (against government)
  - Payments for gas, telephone tolls, and telegrams

- <u>Additional records/functions to consider adding:</u>
  - IMPAC (credit cards)

2.3 Collections

- Collection of government income from all sources (excluding taxation)

- Records currently covered by GRS:
  - Administrative claims files (by government)

- Additional records/functions to consider adding:
  - User fees
  - Debt collection

2.4 Accounting

- Monitoring financial assets and liabilities
- Recording and reporting both income from all sources and expenses to all payees to enable audit
- Accumulating and analyzing cost information
- <u>Records currently covered by GRS:</u>
    - Accountable officers' files
    - General fund files
    - Accounting administrative files
    - General accounting ledgers
    - Appropriation allotment files
    - Stores and plant accounting related files
    - Cost accounting reports
    - Commercial freight and passenger transportation files

2.5 Travel

- Planning, preparing, and monitoring of business related travel for an organization's employees

- Records currently covered by GRS:
  - Noncommerical, reimbursable travel files
  - General travel and transportation files

- Additional records/functions to consider adding:
  - GovTrip

2.6 Grants

- Disbursement of funds to a nonfederal entity to help fund projects or activities.

- Includes pre- and post-award activities

- Records currently covered by GRS:
  - Unsuccessful grant application files
  - Grant administrative files

- Additional records/functions to consider adding:
  - Pre- and post-award grant administration systems

3. Human Resources Management

Human Resource Management involves all activities associated with the recruitment and management of personnel.

1. Human Resource Strategy
2. Staff Acquisition
3. General Employee Management
4. Compensation & Benefits
5. Employee Relations
6. Separation Management
7. Employee Training
8. Employee Health & Safety
9. Employee Ethics
10. Labor Relations

3.1 Human Resource Strategy

- Developing human capital management strategies

- <u>Records currently covered by GRS:</u>
  - Personnel operations statistical reports

3.2 Staff Acquisition

- Recruiting and selecting employees
- Design, development, and implementation of organizational and position structures
- Records currently covered by GRS:
  - Offers of employment files
  - Certificate of eligibles files
  - Position classification files
  - Examining and certification records
- Additional records/functions to consider adding:
  - Employment interview records
  - Records maintained outside of HR

3.3 General Employee Management

- Day-to-day management of employees
- Management of employees throughout the course of their career
- <u>Records currently covered by GRS:</u>
  - OPFs
  - Notifications of personnel actions
  - Supervisors' personnel files and duplicate OPF documentation
  - Alternative worksite records
  - Passport records
- <u>Additional records/functions to consider adding:</u>
  - In house TDYs

3.4 Compensation & Benefits

- Design, development, and implementation of employee compensation programs
- <u>Records currently covered by GRS:</u>
  - Employee awards files
  - Donated leave program case files
  - Payroll related records
  - Leave application files
  - Time and attendance records
  - Retirement files
  - Federal employee transportation subsidy records
- <u>Additional records/functions to consider adding:</u>
  - Family Medical Leave Act (FMLA) – leave records

3.5 Employee Relations

- Design, development, and implementation of programs that strive to maintain an effective employer-employee relationship
- Activities related to employee performance management

- <u>Records currently covered by GRS:</u>
  - Performance rating board case files
  - Employee performance file system records
  - Reasonable accommodation request records
  - EEO records
  - Personnel counseling records
  - Administrative grievance, disciplinary & adverse action files
  - Merit promotion case files

3.6 Separation Management

- Assistance to employees in transitioning to non-federal employment or retirement.

- <u>Records currently covered by GRS:</u>
  - Retirement assistance files

3.7 Employee Training

- Design, development, and implementation of employee development activities
- Records currently covered by GRS:
  - Training records
  - Training filmstrips and videos
- Additional records/functions to consider adding:
  - Learning management systems
  - Training materials
  - Training files not created by offices where training is the main function
  - Career Advancement and Intern Work Program

3.8 Employee Health & Safety

- Activities related to maintaining the health and safety of employees in the workplace
- <u>Records currently covered by GRS:</u>
  - Non-occupational health records
  - Health unit control files
  - Employee medical folder (emf)
  - Personal and occupational injury files
  - Federal workplace drug testing program files
- <u>Additional records/functions to consider adding:</u>
  - Health and safety records
  - Hazardous materials records

3.9 Employee Ethics

- Activities of executive branch agency ethics program offices

- <u>Records currently covered by GRS:</u>
  - Employee ethics program records (current GRS 25)

3.10 Labor Relations

- Activities related to managing the relationship between the agency and its unions and bargaining units

- <u>Records currently covered by GRS:</u>
  - Alternative Dispute Resolution (ADR) files
  - Labor management relations records

4. Information & Technology Management

- Information and Technology Management involves the coordination of information and technology resources and systems required to support or provide a service.

  1. System Development [New]
  2. IT Infrastructures & System Maintenance
  3. Information Systems Security
  4. IT Help Desk Services
  5. Records & Information Management
  6. Records Related to Electronic Systems

4.1 System Development (New)

- System Development supports all activities associated with the in-house design and development of software applications and involves the processes that facilitate a smooth evolution, composition, and workforce transition of the design and implementation of changes to agency resources such as assets, methodologies, systems, or procedures.

4.2 IT Infrastructures & System Maintenance

- Planning, design, and maintenance of IT infrastructure
- Records currently covered by GRS:
  - Records created to test system performance
  - IT oversight and compliance files
  - IT facility, site management and equipment support services records
  - IT asset and configuration management files
  - IT operations records
  - Financing of IT resources and services
  - IT infrastructure design and implementation files

4.3 Information System Security

- Protection of federal information and information systems from unauthorized access, use, disclosure, disruptions, modification, or destruction
- Creation and implementation of it security policies, procedures and controls

- Records currently covered by GRS:
  - Classified document control records
  - Records created to monitor system usage
  - Backup files and tapes
  - Files related to maintaining the security of systems and data
  - User identification, profiles, authorizations, and password files
  - Computer security incident handling, reporting, and follow-up records
  - PKI records

4.4 IT Help Desk Services

- Management of a service center to respond to internal questions and issues about IT infrastructure and system usage

- <u>Records currently covered by GRS:</u>
  - IT customer service files

4.5 Records & Information Management

- Operations relating to the management of the official documents and records for an agency
- Coordination of information collection, storage, and dissemination, and destruction
- Managing the policies, guidelines, and standards regarding information management
- Records currently covered by GRS:
  - FOIA and privacy act request files and related records
  - Declassification request records and related records
  - Records disposition and management files
  - Information collection budget files
  - Finding aids or indexes
  - CIO committee records
  - CIO subject and office records
- Additional records/functions to consider adding:
  - Information sharing
  - Library administrative records
  - Records management program records

4.6 Records Related to Electronic Systems

- Disposal authorization for certain electronic records and for specified paper, microform, or other hard copy records that are integrally related to electronic systems (current GRS 20)

- <u>Records currently covered by GRS:</u>
  - Input/source records
  - Electronic versions of records scheduled for disposal
  - Output records
  - System documentation

5. Executive Leadership (New)

- Executive Leadership includes certain common records created or maintained by high-level officials and their offices.

- <u>Additional records/functions to consider adding:</u>
  - Speeches
  - Calendars
  - Correspondence (including e-mail)

6. Planning & Policy

- Planning and policy involves the planning related activities such as determining strategic direction, identifying and establishing programs and processes, and allocating resources (capital and labor) among those programs and processes and activities associated with developing regulations, policies, and guidance.

  1. Agency Planning
  2. Emergency Planning
  3. Policy & Guidance Development (New)
  4. Regulatory Creation & Publication (New)

6.1 Agency Planning

- High-level programmatic planning processes such as capital, strategic, enterprise architecture, and workforce planning, and management improvement

- <u>Records currently covered by GRS:</u>
  - Information technology capital investment records
  - Enterprise architecture records

6.2 Emergency Planning

- Activities related to the processes of planning, responding to, and mitigating damaging events
- Identification of critical systems and processes (Continuity of Operations Planning)
- Records currently covered by GRS:
  - Emergency planning case files
  - Emergency operations test files
  - National defense executive reserve (NDER) case files
- Additional records/functions to consider adding:
  - COOP related records

New Functions under
6. Planning & Policy

- 6.3 <u>Policy & Guidance Development</u> involves activities associated with developing regulations, policies, and guidance to implement laws.

- 6.4 <u>Regulatory Creation & Publication</u> involves the activities of researching, drafting proposed and final regulations, and the publication of a proposed or final rule in the Federal Register and Code of Federal Regulations.

7. General Counsel (New)

- Activities (to be determined) related to operations in agency general counsel offices.

- <u>Additional records/functions to consider adding</u>:
  - Litigation activities

8. Legislative & Congressional Relations (New)

- 8.1 <u>Congressional Liaison Operations</u> involves all activities associated with supporting the formal relationship between a federal agency and the U.S. Congress.

- 8.2 <u>Legislation Development</u> involves drafting proposed legislation that creates or amends laws subject to Congressional action, including tracking and monitoring legislation from introduction to enactment.

- 8.3 <u>Legislation Testimony</u> involves activities associated with providing testimony/evidence in support of, or opposition to, legislation.

9. Public Affairs

- Public Affairs involves the exchange of information and communication between the federal government, citizens and stakeholders in direct support of citizen services, public policy, and/or national interest.
    1. Official Information Dissemination
    2. Public Relations/Customer Service

9.1 Official Information Dissemination

- All efforts to provide official government information to external stakeholders through the use of various types of media, such as video, paper, web, etc.
- Records currently covered by GRS:
  - Mailing lists
  - Information requests files
  - Acknowledgment files
  - Press service files
  - Information project files
  - Documents published in the federal register
- Additional records/functions to consider adding:
  - Conferences

9.2 Public Relations/Customer Service

- Activities associated with providing an agency's external customers with information regarding the agency's service offerings
- Managing interactions and relationships with customers
- Marketing of government services products, and programs to the general public
- <u>Records currently covered by GRS:</u>
  - Commendation/complaint correspondence files
  - Daily or spot news recordings available to local radio stations
- <u>Additional records/functions to consider adding:</u>
  - Customer feedback
  - Fundraising/development files

10. Knowledge Creation & Management

- Knowledge Creation and Management involves the programs and activities in which the federal government creates or develops a body or set of knowledge, the manipulation and analysis of which can provide inherent benefits for both the federal and private sector.

  1. Research & Development (New)
  2. General Purpose Data and Statistics (New)
  3. Knowledge Dissemination

New Functions Under
10. Knowledge Creation & Management

- 10.1 <u>Research and Development</u> involves the gathering and analysis of data, dissemination of results, and development of new products, methodologies, and ideas.

- 10.2 <u>General Purpose Data and Statistics</u> includes activities performed in providing empirical, numerical, and related data and information pertaining to the current state of the nation in areas such as the economy, labor, weather, international trade, etc.

10.3 Knowledge Dissemination

- Activities related to delivering a service through the publishing or broadcasting of information
- May also include the gathering of information for possible publication or broadcast, such as taking photos of agency events.
- Records currently covered by GRS:
  - Routine non-mission related photographs
  - Routine artwork for handbills, flyers, posters, letterhead, and other graphics
  - Routine scientific, medical, or engineering motion pictures and video recordings
- Additional records/functions to consider adding:
  - Publications
  - Web sites/social media
  - Permanent photographs

11. Temporary Commissions, Boards, Councils and Committees

- Records created and maintained by temporary commissions, boards, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees)

- Records currently covered by GRS:
  - Internal agency committees
  - Records created by advisory commissions
  - Committee records not maintained by the sponsor
  - Committee management records

12. Regulatory Compliance & Enforcement (New)

- 12. 1 <u>Inspections & Auditing</u> involves the methodical examination and review of regulated activities to ensure compliance with standards for regulated activity.

- 12.2 <u>Standard Setting / Reporting Guideline Development</u> involves the establishment of allowable limits associated with a regulated activity and the development of reporting requirements necessary to monitor and control compliance with allowable limits.

- 12.3 <u>Permits and Licensing</u> involves activities associated with granting, revoking, and the overall management of the documented authority necessary to perform a regulated task or function.

Proposed Project Timeline

- FY 2013
  - 2. Budget & Finance (6 sub-functions)
  - 4. Information & Technology Management (6 sub-functions)
- FY 2014
  - 1. Administrative Management (10 sub-functions)
  - 5. Executive Leadership (1 function)
- FY 2015
  - 3. Human Resources Management (10 sub-functions)
  - 11. Temporary Boards, Commissions, Councils & Committees (1 function)

- FY 2016
  - 6. Planning & Policy (4 sub-functions)
  - 9. Public Affairs (2 sub-functions)
  - 10. Knowledge Creation & Management (3 sub-functions)
- FY 2017
  - 7. General Counsel (1 function)
  - 8. Legislative & Congressional Relations (3 sub-functions)
  - 12. Regulatory Compliance & Enforcement (3 sub-functions)

What we would like to know about the timeline:

- Are there functions that you would like to see addressed sooner than they are in the proposed plan, for example, should Human Resources Management come before Administrative Management?

- We also would like input on the ordering of the functions in FY 2016 and 2017 as these are much more flexible.

Additional Comments?

- The proposal is also available on the Records Express blog at

  http://blogs.archives.gov/records-express/?p=1682

- Please send any additional comments or thoughts to the GRS Team at:

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