

GRS TEAM QUARTERLY BRIEFING

November 21, 2013

Agenda



- Status of current scheduling projects
- Revisions to the GRS update plan

Part 1 Schedules

- 1.1 General Financial Management Records (DAA-GRS-2013-0003)
- 1.2 Grant & Cooperative Agreement Records (DAA-GRS-2013-0008)
- 3.1 General Technology Management Records (DAA-GRS-2013-0005)
- 3.3 Information Systems Security Records (DAA-GRS-2013-0006)
- 4.1 Records & Information Management Records (DAA-GRS-2013-0002)
- 4.2 Information Access & Protection Records (DAA-GRS-2013-0007)
- 4.3 Input Records, Output Records, and Electronic Copies (DAA-GRS-2013-0001)

Part 2 Schedules

- 2.1 Staff Acquisition Records
- 2.2 Employee Management Records
- 2.5 Employee Separation Records
- 2.6 Employee Training Records
- 2.8 Employee Ethics Records
- 6.6 Temporary Commission, Board, Council and Committee Records

FY14 Revised GRS Update Plan

Revised plan to be issued in December (we hope)

Why the Update Plan Changed

- Team resources
 - ▣ Resources: Optimal schedule load is about 2 schedules a cycle
- Lessons learned
 - ▣ Some schedules do not need to be as granular as planned (e.g. Financial Management schedule)
 - ▣ Timing:
 - We have revised the project cycles so they are no longer based on FY (not good to be needing agency input over the holidays)
 - More efficient to overlap cycles

Changes that Have Already Been Made

- GRS 1.1 General Financial Management Records: collapsed Goods & Services Acquisition, Payments, Collections, and Accounting into one schedule to better reflect agency needs
- GRS 3.1 General Technology Management Records: combines System Development Records and Information Technology Infrastructure & Maintenance based on comments during agency review
- GRS 4.2 Information Access & Protection: records were split out from Records & Information Management

General Changes

- We have changed the titles of the major headings to focus on the function/topic. Generally this meant removing the word “management” from the title.
- We have changed the titles for each of the schedules to include the word “records.”
- We have revised the descriptions of each schedule to hone in on the specific activities included under the function.
- We revised numbering as needed. The new GRS chapter numbers will be set when schedules are published and will not be revised after publication, so for example, GRS 4.2 Information Access and Protection Records will retain the number 4.2 once published and will not change if there are further revisions to the GRS structure.

Changes to Planned Schedules

- **Finance:** We have moved Budgeting Records under this category based on comments from agencies
- **Human Resources:**
 - We moved Human Resource Strategy to Operational Planning Records.
 - We reduced the scope of Employee Management Records (formerly General Employee Management) to include only maintenance of personnel files, employee performance management, and day-to-day supervision.
 - We changed the title “Labor Relations” to “Employee Relations”. The scope of this schedule was expanded to include managing relations between the agency and its employees.

Changes continued

□ **General Operations Support:**

- We added a schedule, Operational Planning Records, for agency planning related to operational support activities like human resources, capital, enterprise architecture, and continuity of operations.
- Inventory Control was merged with Facilities, Fleet and Equipment Records as managing inventory has to do with equipment and it is a very limited function.
- Workplace Policy was merged into General Administrative Records as they relate to administrative policy.

Changes continued

□ **Mission Support:**

- New category that combines a number of schedules that were formerly stand-alone such as Executive Records and Public Affairs Records.
- We created a new schedule, Mission Planning & Performance Records, to cover planning activities related to an agency's mission as well as activities related to agency performance.
- We combined the schedules originally planned relating to Public Affairs and to Legislative & Congressional Relations Records because we felt there was no need to have such granular schedules related to these functions.

Changes to the Project Timeline

- Six rounds of schedules
 - Start each May with publication December of the following year (18 month process)
 - 6 schedules each round (based on current resources)
- Focus is on PRMD mandate to update and revise existing GRS—some completely new schedules will have to wait until after 2017
 - Delayed schedules are for 7.0 Policy & Regulation, 8.0 Regulatory Compliance and Enforcement, and 9.0 Research and Development

Revised Project Timeline

Part 3 (Publication December 2015)

- 1.3 Budgeting Records
- 2.3 Employee Relations Records
- 2.4 Employee Compensation & Benefits Records
- 2.7 Employee Health & Safety Records
- 5.1 General Administrative Records
- 5.2 Operational Planning Records

Part 4 (Publication December 2016)

- 5.3 Travel & Transportation Records
- 5.4 Facilities, Fleet & Equipment Records
- 5.5 Mail & Telecommunications Services Records
- 5.6 Security Records
- 5.7 Management Controls & Oversight Records
- 5.8 Internal Help Desk Services Records

Revised Project Timeline

Part 5 (Publication December 2017)

- 6.1 Executive Records
- 6.2 Mission Planning & Performance Records
- 6.3 Public Affairs Records
- 6.4 Legal Support Records
- 6.5 Legislative & Congressional Relations Records

Part 6 (Publication TBD)

- 7.1 Policy & Guidance Development Records
- 7.2 Regulatory Creation & Publication Records
- 8.1 Inspections & Auditing Records
- 8.2 Standard Setting/Reporting Guideline Development Records
- 8.3 Permits & Licensing Records
- 9.1 Research & Development Records

GRS Development & Approval Process

- Schedule development
- Agency vetting
- Formal review and approval
 - ▣ Internal and external review
 - ▣ Federal Register process
 - ▣ Archivist's approval
- Publication and implementation
 - ▣ Formal issuance
 - ▣ Webinars
 - ▣ Guidance

Changes in approach

- No cutoff instructions
 - Cutoff instructions are not necessary as long as we identified the point at which the retention clock starts ticking. Cutoff instructions still appear in the disposition instruction, but they are not called out as such.
 - Retention can rarely be based on the age of the record.
- Disposition instruction as retention parameter
 - Trying to reduce deviation requests by establishing basic parameters for retention: records must be kept a certain time, but instructions allow for longer retention when applicable

Questions?



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