

Responsible Office: Headquarters Correspondence Management Office  
Subject: Correspondence Management (Code CIC)



Headquarters Correspondence Management Office

Office Work Instruction

## Correspondence Management

Approved by: \_\_\_\_\_ (Original signed by) \_\_\_\_\_ Date 5/9/00  
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## 1.0 Purpose

The purpose of this procedure is to define the steps to be followed in managing, processing, and tracking external incoming correspondence, communications, and mail addressed to the Administrator and actions initiated by the Administrator, Deputy Administrator, or Associate Deputy Administrator.

## 2.0 Scope and Applicability

### 2.1 Scope

The scope of this OWI covers the daily process performed by the Headquarters Correspondence Management Office (HCMO), Code CIC, for managing, processing, and tracking incoming communications addressed to the Administrator that require responses through HCMO. The scope also includes managing, processing, and tracking actions initiated by the Administrator, Deputy Administrator, or Associate Deputy Administrator.

### 2.2 Applicability

This OWI applies to the HCMO.

## 3.0 Definitions

#	Item	Definition
3.1	<u>AA.</u>	Associate Administrator.
3.2	<u>ADS.</u>	Action Document Summary (NHQ Form 117)—used for routing correspondence indicating AA's concurrences.
3.3	<u>Action.</u>	Either an Action Document or direct request for response from the Administrator, Deputy Administrator, or Associate Deputy Administrator.
3.4	<u>Action Document.</u>	Document requiring response to be processed through HCMO for the signature of the Administrator, Deputy Administrator, or Associate Deputy Administrator, or an Action initiated by the Administrator, Deputy Administrator, or Associate Deputy Administrator.
3.5	<u>Action Office.</u>	The Headquarters Office of Primary Responsibility (OPR) responsible for providing response to an Action Document or an Action initiated by the Administrator, Deputy Administrator, or Associate Deputy Administrator.
3.6	<u>Action Response.</u>	Written reply required by HCMO to close an Action.
3.7	<u>Analyst.</u>	HCMO employee who performs daily tasks related to tracking of mail for Principals in the Office of the Administrator.
3.8	<u>"A" Package.</u>	The package in circulation for approval and signature consisting of 1) ADS Summary, 2) Background Information, 3) Headquarters Action Tracking System (HATS) Cover Sheet with Action Document, and 4) Proposed Response for Signature of the Administrator, Deputy Administrator, or Associate Administrator.
3.9	<u>CCL.</u>	Correspondence Control Liaison—the Action Office's designated person to facilitate smooth and efficient flow of

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#	Item	Definition
		communications for Action Documents assigned to the Action Office by HCMO. The CCL manages status and due date data.
3.10	<u>Closed Correspondence Package.</u>	The final correspondence package consisting of: 1) The closed HATS cover sheet with closeout HATS entries, 2) The ADS, when the Action Response to the Action Document was signed by the Administrator, Deputy Administrator, or Associate Deputy Administrator. 3) The signed copy of Action Response to the Action Document (including supporting material), 4) The Incoming Action Document
3.11	<u>Code A.</u>	Organizational designation for the Office of the Administrator. (For the purposes of this document, Code A only refers to the Administrator, Deputy Administrator, or Associate Deputy Administrator.)
3.12	<u>Code AI.</u>	Organizational designation for the Associate Deputy Administrator.
3.13	<u>Code CIC.</u>	Organizational designation for HCMO, Code CIC.
3.14	<u>Code CIC SOP.</u>	A living document, which provides detailed guidance for HCMO.
3.15	<u>External.</u>	Refers to any source outside NASA Codes A or CIC.
3.16	<u>HATS.</u>	Headquarters Action Tracking System—software application and electronic data base used to track and control incoming Action Documents and produce status reports, and to record and retain pertinent documentation.
3.17	<u>HCMO.</u>	Headquarters Correspondence Management Office.
3.18	<u>Incoming Correspondence.</u>	Mail or Actions routed to HCMO for or from the Office of the Administrator.
3.19	<u>Info Office.</u>	Headquarters office(s) receiving copy of Action Document for information only.
3.20	<u>NHB.</u>	NASA Handbook—the document that details the organizational structure, defines terms, and sets forth policy and requirements for establishing, modifying, and documenting that structure and assigning responsibilities.
3.21	<u>NHQ.</u>	NASA Headquarters.
3.22	<u>NPG.</u>	NASA Procedures and Guidelines—the detailed instructions implementing NASA policy.
3.23	<u>OPR.</u>	Office of Primary Responsibility.
3.24	<u>OPR-Signed Action Response.</u>	Copy of written reply to the Action Document, which has been signed by the Action Office. This OPR-Signed Action Response is only applicable when signature of the Administrator, Deputy Administrator, or Associate Deputy Administrator is not required.

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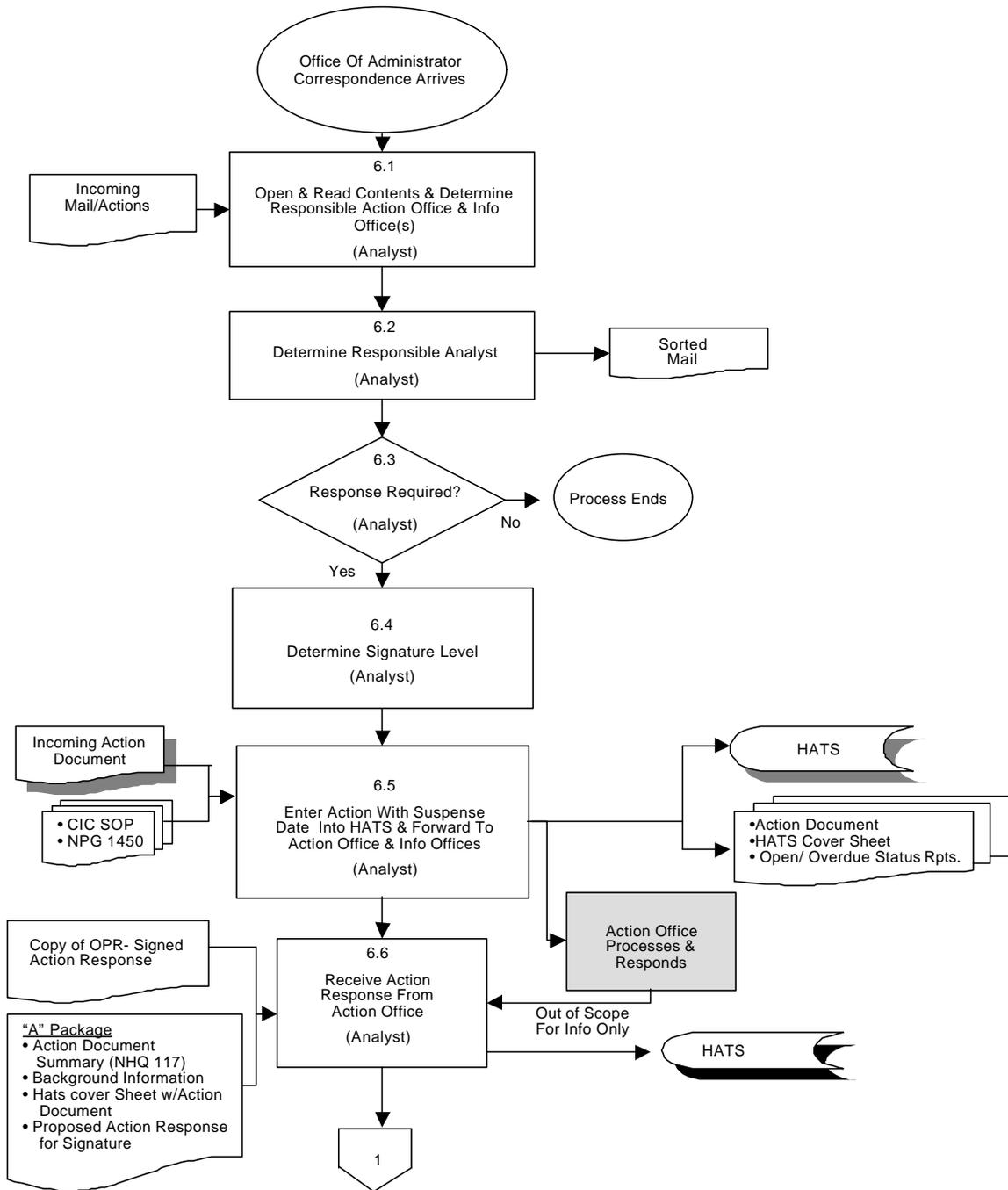
#	Item	Definition
3.25	<u>Progress Note.</u>	Dated annotation in HATS, detailing location of Action Document, status of action being taken, and by whom.
3.26	<u>QCL.</u>	Quality Control Liaison—the Action Office’s designated person to facilitate the smooth and efficient flow of communications for all Action Documents and packages requiring the signature of Code A. The QCL reviews the proposed signature document and ensures that it conforms with NPG 1450, prior to submitting it to the HCMO.
3.27	<u>SOP.</u>	Standard Operating Procedures.

#### 4.0 Reference Documents

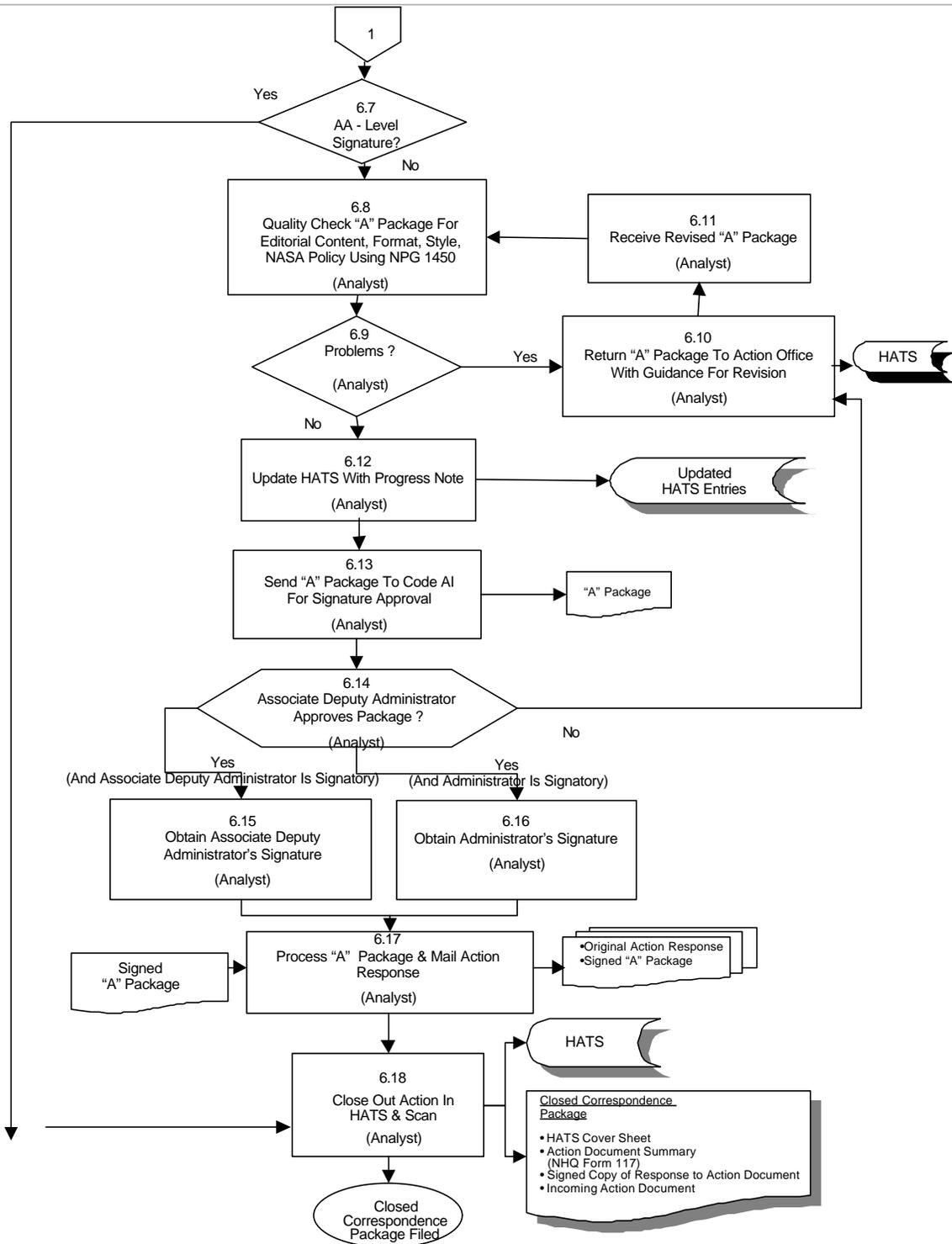
#	Document Number	Title
4.1	NPG 1450	NASA Correspondence Management and Communications Standards and Style
4.2	NHB 1101	The NASA Organization
4.3	NHQ Form 117	Action Document Summary
4.4	Code CIC SOP	HCMO Standard Operating Procedures

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## 5.0 Flowchart



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## 6.0 Procedure

Step	Actionee	Action
6.1	Analyst	Open and read contents of incoming mail and determine responsible Action Office and Info Office(s), based on NHB 1101. The Analyst appointed to open the mail is determined by an intraoffice schedule, based on supervisory authority and judgment as to knowledge and capability to correctly determine and route. Review incoming actions to determine the Action Office assigned by Code A.
6.2	Analyst	Determine responsible Analyst for the specific mail/actions based on Action Office determined in 6.1. Code responsibilities are assigned by the supervisor and are reflected in the Code CIC CCL and QCL Network schedule. Deliver mail to responsible Analyst.
6.3	Analyst	<p>Response required? If Yes, go to 6.4; if No, process ends. The determination of whether a response is required for incoming mail is based on certain criteria in accordance with NPG 1450. Incoming mail is deemed not to require a response if one of the following elements is met:</p> <ol style="list-style-type: none"><li>1) The Administrator is copied only,</li><li>2) Item does not require direct response,</li><li>3) Incoming is for info only,</li><li>4) Incoming denotes appreciation only,</li><li>5) Item is a follow-up to previous action correspondence not requiring further response, or</li><li>6) Addressee is of a generalized form, e.g., Dear Colleague.</li></ol> <p>If incoming mail does not meet one of the above, item is deemed to require a response and is handled via 6.4. If there is any doubt, obtain guidance from supervisor.</p> <p>All incoming actions initiated by Code A require a response.</p>
6.4	Analyst	<p>Determine signature level. The choices will be at either the Administrator's level or Associate Administrator's (AA's) level. Action response for incoming mail is deemed to be at the Administrator's level if one of the following elements is met:</p> <ol style="list-style-type: none"><li>1) Signature level of Incoming is equivalent to the Administrator,</li><li>2) Incoming is from any Presidential Appointee,</li><li>3) Incoming is from a Member of Congress,</li><li>4) Incoming is from a Chairman of the Board, President, Chief Executive Officer, or Chief Operating Officer of a commercial entity, or</li><li>5) Any special circumstances identified by management.</li></ol> <p>Incoming correspondence not meeting any of the above criteria will be for the signature at the AA's level. If any doubt, obtain guidance from supervisor.</p>
6.5	Analyst	Enter Action with suspense date into HATS control system, which establishes automated control number in accordance with NPG 1450 and Code CIC SOP. Forward Action Document to Action and Info

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Step	Actionee	Action
		Offices for processing and response. Action Office was determined in 6.1. Info Offices are determined for incoming mail only and are designated by subject content of correspondence (using organizational responsibilities in NHB 1101). The printed page 1 of HATS entry (HATS cover sheet) identifies the Action as action correspondence and accompanies the correspondence to the Action and Info Offices. Print weekly Open/Overdue status reports from HATS and distribute to Action Offices and Associate Deputy Administrator to apprise them of suspense date status.
6.6	Analyst	Receive Action Response ("A" Package or OPR-Signed Action Response) to Action from Action Office. Enter status update in HATS Progress Notes.
6.7	Analyst	AA-level signature? If the Action Response was signed at the AA level, proceed to 6.18 for closeout. If No, proceed to 6.8.
6.8	Analyst	Quality check "A" package for editorial content, format, style, and NASA policy, using NPG 1450, and update Progress Notes.
6.9	Analyst	Problems? Based on quality checks and edits, if "A" package contains problems, go to 6.10; if "A" package is ready for further processing, go to 6.12.
6.10	Analyst	Return "A" package to Action Office with guidance for revision and resubmission. Update HATS Progress Notes.
6.11	Analyst	Receive revised "A" package from Action Office and perform quality check process (6.8). Version control is maintained over previous iterations of "A" package in accordance with Code CIC SOP.
6.12	Analyst	Update HATS with Progress Note.
6.13	Analyst	Send "A" package to Code AI for signature approval after the analyst initials, dates, and records the Action Document's HATS Control Number in Block #4 on the ADS.
6.14	Associate Deputy Administrator	Associate Deputy Administrator approved "A" package? If No, go to 6.10; if Yes, and Code AI is signatory, go to 6.15. If Yes, and Code A is signatory, go to 6.16.
6.15	Associate Deputy Administrator	Obtain Associate Deputy Administrator's signature. Associate Deputy Administrator signs and returns "A" package to Code CIC. Proceed to 6.17.
6.16	Associate Deputy Administrator	Obtain Administrator's signature. Associate Deputy Administrator approves package for the Administrator's signature. Administrator's signature is obtained, and package is returned to Code CIC.
6.17	Analyst	Process approved and signed "A" package and mail original Action Response in accordance with Code CIC SOP.

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6.18 Analyst Close out Action in HATS in accordance with Code CIC SOP. Print closeout HATS entry and create Closed Correspondence Package. Scan contents of the Closed Correspondence Package and file paper copy.

The Closed Correspondence Package contains:

- 1) The closed HATS cover sheet with closeout HATS entries.
- 2) The ADS, when the Action Response to the Action Document was signed by the Administrator, Deputy Administrator, or Associate Deputy Administrator.
- 3) The signed copy of Action Response to the Action Document including supporting material).
- 4) The Incoming Action Document.

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## 7.0 Quality Records

<u>Record Identification</u>	<u>Owner</u>	<u>Location</u>	<u>Record Media: Electronic or Hard Copy</u>	<u>Schedule Number and Item Number (NPG 1441.1)</u>	<u>Retention/ Disposition</u>
HATS	CIC	CIC Office	Electronic	Schedule 1, Item 22A	Permanent. Retire to FRC when 5 years old.
<u>Closed Correspondence Package</u> - HATS Cover Sheet - Action Document Summary (NHQ form 117) - Signed Copy of Response to Action Document - Incoming Action Document	CIC	CIC Office	Hard Copy	Schedule 1, Item 22A	Permanent. Retire to FRC when 5 years old.