



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

### DOCUMENT HISTORY LOG

<u>Status (Baseline/ Revision/ Canceled)</u>	<u>Document Revision</u>	<u>Effective Date</u>	<u>Description</u>
Baseline		12/10/99	
Revision	A	5/9/00	Clarify Purpose and Scope, revise Definitions to add "A" Package, Action, CIC SOP, Code A, External and Incoming, correct numbering and replace "controlled document" with "action document," revise Flowchart and Section 6.0 to clarify procedure within Scope as a result of Pre-Assessment Audit. Revise Quality Records to reflect office location rather than building room number
Revision	B	5/11/00	Updated Purpose; Scope; Definitions for: "A" Package, External Communications, and Incoming Correspondence; Section 6.1 change Actionee & simplify Action; 6.2 correct reference; 6.4 add ...or determined by analyst...;6.5 add "copy" to Action Document & move Weekly Open/Overdue report to 6.12; clarify 6.8 & 6.10;Change Actionee in 6.14, 6.15, 6.16 and updated Section 5; 6.14 & 6.15 change action to "Receive..." and update Section 5; 6.18 add "original" to Incoming Action document and update Sections 5 & 7.
Revision	C	5/15/00	Updated Purpose; Scope; Section 3-Definitions added:: Mail, Open/Overdue Actions Status Report, Staff Support Assistant; Updated Definitions: Analyst, External, Incoming Correspondence; Sections 5 & 6 moved Open/Over Status Report from 6.12 to 6.1, Changed Actionee in 6.2, 6.6 made input a quality record; Changed 6.14 to "Receive "A" Package...", 6.15 to ...approve "A" Package?...", Added 6.17; Updated Quality Record name "Copy of Signed Response to Action Document"
Revision	D	1/23/01	Updated 3.8 "A" Package to change "Associate Administrator" to read "Associate Deputy Administrator;" Updated 3.9 to add text "...including the negotiating of reassignments.;" Updated 6.0 Procedure, Step 6.5, to describe process for handling reassignment of Action Documents.
Revision	E	11/07/01	Remove definition of NHB in Section 3.21. Change Section 4.2 to read, "NPG 1000.3, The NASA Organization". Change Sections 6.1 and 6.5, replacing NHB 1101 with NPG 1000.3.

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## 1.0 Purpose

The purpose of this procedure is to define the steps to be followed in managing and processing communications for the NASA 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 external mail 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>	Request for response contained in Mail received by HCMO or request for response directed by the Administrator, Deputy Administrator, or Associate Deputy Administrator.
3.4	<u>Action Document.</u>	Document containing an Action requiring a written response for the signature of the Administrator, Deputy Administrator, or Associate Deputy Administrator, or document containing an Action requiring a direct written response to the Administrator, Deputy Administrator, or Associate Deputy Administrator. (All Action Documents and accompanying written responses are processed through the HCMO.)
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 managing and tracking mail for Code A.
3.8	<u>"A" Package.</u>	The package in circulation for approval and signature consisting of 1) ADS, 2) Copy of Action Document, 3) Background Information, and 4) Proposed Response for Signature of the Administrator, Deputy Administrator, or Associate Deputy 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, including the negotiating of reassignments. 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 copy of the signed 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.
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 Code A.
3.19	<u>Info Office.</u>	Headquarters office(s) receiving copy of Action Document for information only.
3.20	<u>Mail.</u>	For the purposes of this document, mail is defined as all external incoming communications, e.g., correspondence, e-mail, fax.
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>Open/Overdue Actions Status Report.</u>	Status report of all open and overdue actions produced from HATS by HCMO on a weekly basis. Report is provided to the Action Offices and the Associate Deputy Administrator.
3.24	<u>Office of Primary Responsibility (OPR).</u>	The NASA Headquarters office with primary expertise for a specific function or subject matter.

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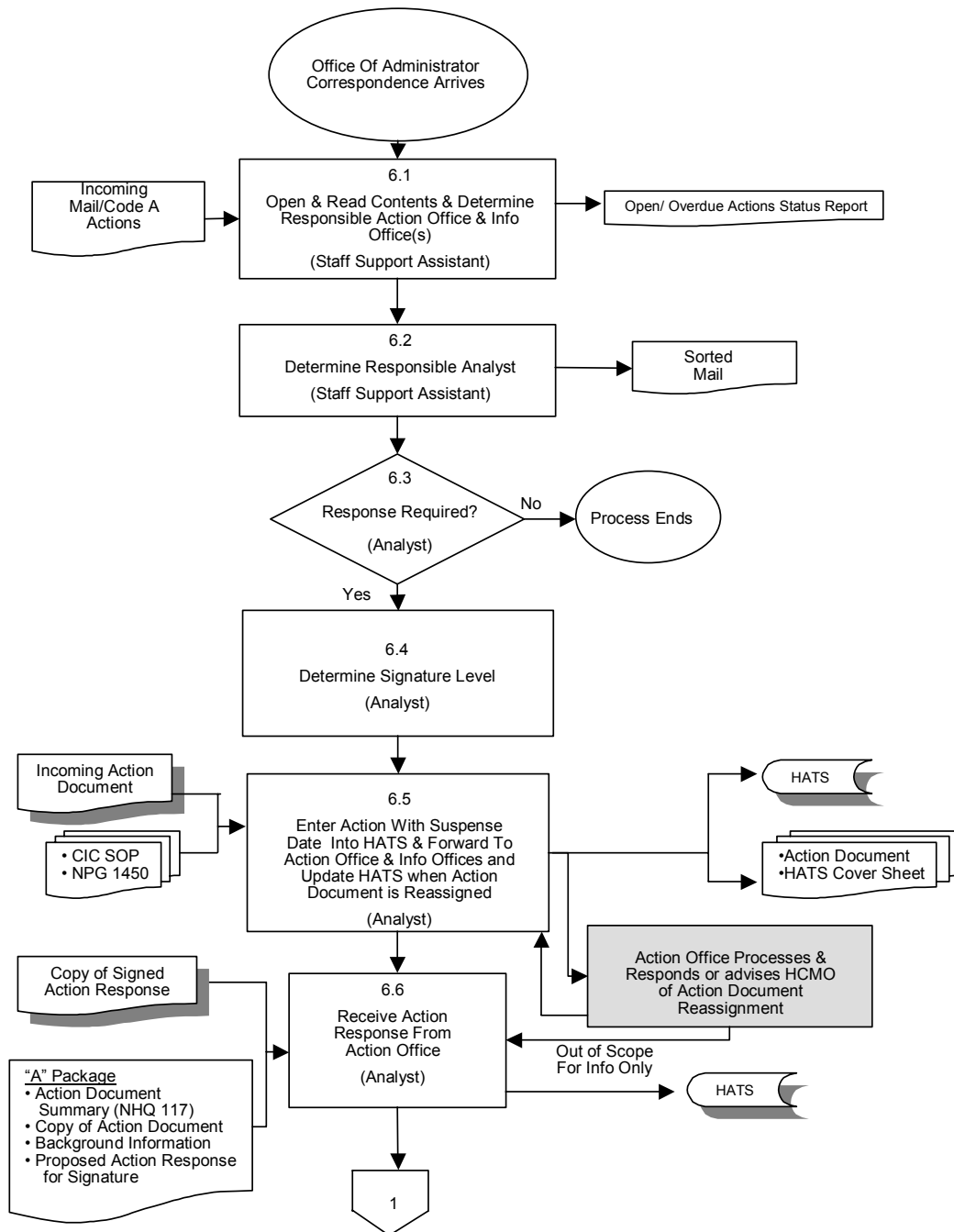
- 3.25 OPR-Signed Action Response. Copy of written reply to the Action Document, which has been signed by the Action Office. This OPR-Signed Action Response is only applicable when signature of the Administrator, Deputy Administrator, or Associate Deputy Administrator is not required.
- 3.26 Progress Note. Dated annotation in HATS, detailing location of Action Document, status of action being taken, and by whom.
- 3.27 QCL. 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.
- 3.28 Staff Support Assistant. HCMO employee who performs daily tasks related to processing Mail for the HCMO. Produces HATS Open/Overdue Actions status report.
- 3.29 SOP. Standard Operating Procedures.

#### 4.0 Reference Documents

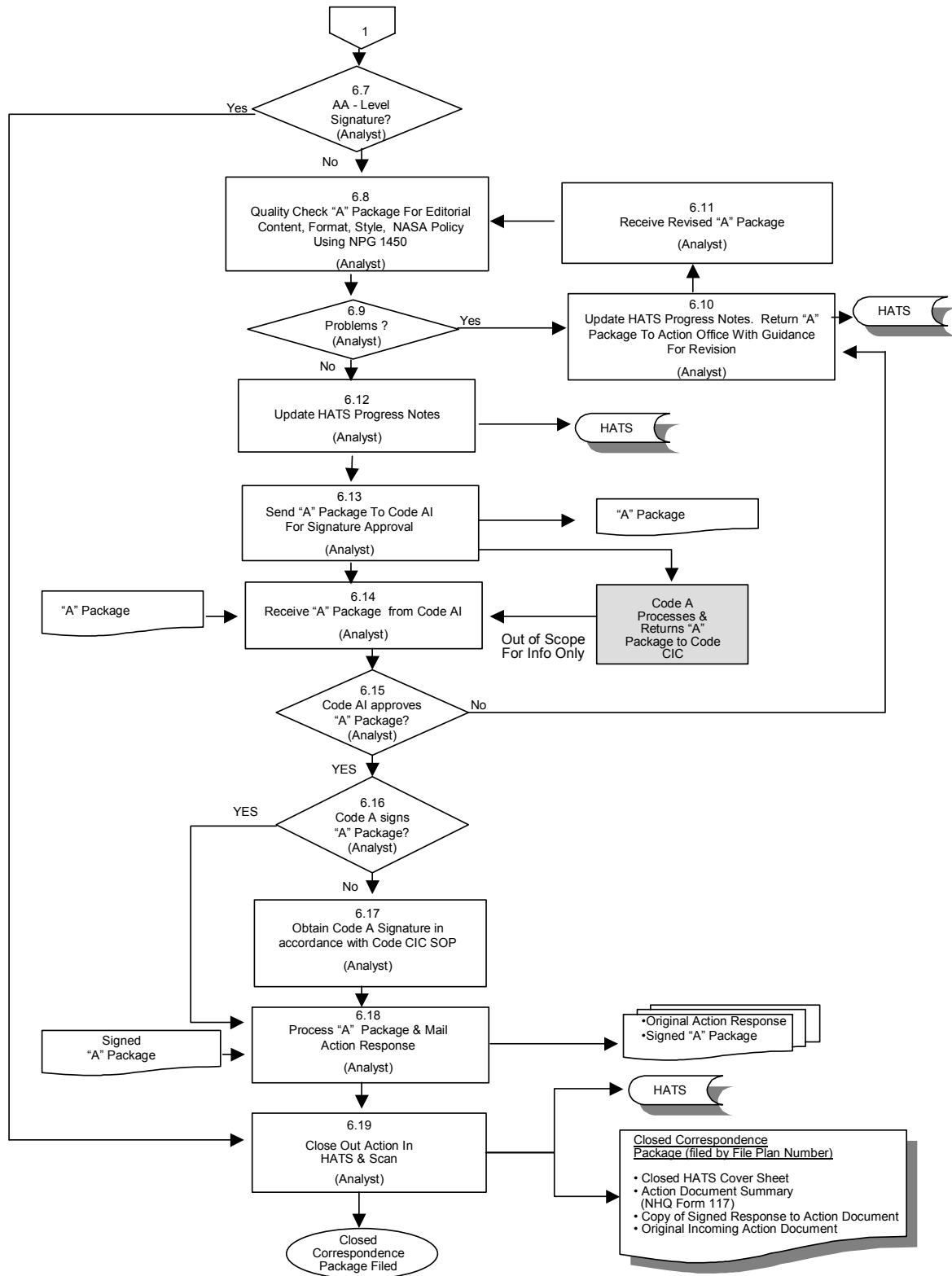
#	Document Number	Title
4.1	NPG 1450	NASA Correspondence Management and Communications Standards and Style
4.2	NPG 1000.3	The NASA Organization
4.3	NHQ Form 117	Action Document Summary
4.4	Code CIC SOP	HCMO Standard Operating Procedures

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## 5.0 Flowchart



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## 6.0 Procedure

Step	Actionee	Action
6.1	Staff Support Assistant	<p>Open and read contents of incoming Mail and determine responsible Action Office and Info Office(s), based on NPG 1000.3 Review incoming Code A Actions to determine the Action Office assigned by Code A.</p> <p>In accordance with Code CIC SOP, produce the HATS Open/Overdue Actions status report, on a weekly basis.</p>
6.2	Staff Support Assistant	<p>Determine responsible Analyst for the specific Mail/Code A Actions based on Action Office determined in 6.1. Code responsibilities are assigned by the HCMO supervisor and are reflected in the HCMO CCL and QCL Network list. Deliver mail to responsible Analyst.</p>
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, the item is deemed to require a response and is handled via 6.4. If there is any doubt, obtain guidance from the HCMO supervisor.</p> <p>All incoming Actions initiated by Code A require a response.</p>
6.4	Analyst	<p>Determine signature level and File Plan Number as described in Code CIC SOP. The choices for signature level will be at either the Administrator's level or Associate Administrator's (AA) 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 or determined by Analyst based on judgement and knowledge.</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</p>



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Step	Actionee	Action
		the HCMO supervisor.
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 copy of Action Document to Action and Info 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 NPG 1000.3). 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. Reassignment of Action Documents is processed by the OPR's CCL in accordance with NPG 1450, and as appropriate, Analyst updates HATS to reflect reassignment.
6.6	Analyst	Receive Action Response ("A" Package or copy of OPR-Signed Action Response) 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 6.19 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.
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	Update HATS Progress Notes. Return "A" Package to Action Office with guidance for revision and resubmission.
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 Progress Notes.
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	Analyst	Receive "A" Package from Code AI.
6.15	Analyst	Associate Deputy Administrator approved "A" Package? If No, go to 6.10. If Yes, go to 6.16.
6.16	Analyst	Code A signed "A" Package? If No, go to 6.17. If Yes, go to 6.18.
6.17	Analyst	Obtain Code A signature in accordance with Code CIC SOP.
6.18	Analyst	Process signed "A" Package and mail original Action Response in accordance with Code CIC SOP.
6.19	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 in accordance with File Plan Number determined with 6.4.  The Closed Correspondence Package (filed by File Plan Number) contains:

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Step	Actionee	Action
		<ol style="list-style-type: none"><li>1) The closed HATS cover sheet with closeout HATS entries.</li><li>2) The ADS, when the Action Response to the Action Document was signed by the Administrator, Deputy Administrator, or Associate Deputy Administrator.</li><li>3) The copy of signed Action Response to the Action Document, including supporting material.</li><li>4) The original Incoming Action Document.</li></ol>

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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 (filed by File Plan Number)</u> - Closed HATS Cover Sheet - Action Document Summary (NHQ form 117) - Copy of Signed Response to Action Document - Original Incoming Action Document	CIC	CIC Office	Hard Copy	Schedule 1, Item 22A	Permanent. Retire to FRC when 5 years old.