Department of Energy

Environmental Management Consolidated Business Center (EMCBC)

Subject: EMCBC Correspondence and Commitment Control and Tracking

POLICY, PROCEDURE AND PLAN

APPROVED: EMCBC Director

1.0 PURPOSE

This procedure provides for the control of U.S. Department of Energy (DOE) Environmental Management Consolidated Business Center (EMCBC) correspondence and commitments. The Controlled Correspondence Tracking System (CCTS) is used to track and status record information and specific action items necessary to meet commitments and program requirements.

2.0 SCOPE

The CCTS is used to track and monitor items and/or actions that assist the EMCBC staff in timely closeout and provide a methodology for administering EMCBC commitments. The procedure applies to the preparation, approval, distribution, tracking, and closure of EMCBC correspondence and commitments.

3.0 APPLICABILITY

This procedure applies to all EMCBC Administrative Personnel who are responsible for receiving, tracking, filing, and retrieving record correspondence and commitments.

4.0 REQUIREMENTS

4.1 US Code 44, 3301, Definition of Records

4.2 DOE O 200.1, Information Management Program

4.3 DOE O 414.1C, Quality Assurance

5.0 DEFINITIONS

5.1 Concurrence – Any document requiring official review and signature on an agreement prior to final approval.

5.2 Commitment – Any activity needing EMCBC action to satisfy a request or requirement of another DOE organization or outside agency. This includes any assignments made by the EMCBC personnel through execution of their respective mission and functions.

5.3 Controlled Document – Any manual, plan, procedure, or specification that has been written, reviewed, approved, and authenticated, and that will have traceability from original issue through revisions thereto.

5.4 Controlled Correspondence Tracking System (CCTS) – An applications program used to track all EMCBC incoming and outgoing correspondence.

5.5 Correspondence – All official documentation produced and transmitted by the EMCBC to internal and external entities and all official documentation received by the EMCBC which includes letters and memoranda.

5.6 Record – All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U. S. government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them (USC 44, 3301, (Requirement 4.1)).

5.7 Non-Record – Non-record materials consist of information, contained on any media, having no documentary or evidential value. The term includes stocks of publications, library material, duplicate copies of file materials such as reading files, processed or published materials, catalogues, trade journals, and papers of transitory value such as worksheets, informal notes, routing slips. Non-record materials should be destroyed when its purpose is served.

5.8 Quality Assurance (QA) Record – A completed document that furnishes evidence of the quality of items and/or activities affecting quality.

5.9 Records Inventory and Disposition Schedule (RIDS) – The DOE form used to inventory records and indicate their appropriate disposition.

5.10 Retention Period – The period of time established for records to be maintained, whether in the EMCBC Central Records Room, off-site storage facility, or the Federal Records Center.

6.0 RESPONSIBILITIES

6.1 EMCBC Director – Responsible for assuring correspondence and commitments are controlled and tracked in a consistent manner. Also responsible for assuring EMCBC fulfills all requests in a timely manner and provides management with information for monitoring and applying resources where required.

6.2 EMCBC Assistant Directors – Ensure that appropriate records are identified, generated, and validated for activities performed or directed by personnel within their areas of responsibility. Ensure that an acceptable record or copy is provided to the Central Records Room for storage, if applicable.

6.3 EMCBC Administrative Officer – Responsible for the day-to-day operation of EMCBC correspondence control and tracking and the overall administration and maintenance of the Mail/Central Records Room. Complete monthly audit of CCTS reports and documents. Assign individuals to be responsible for receiving, maintaining, validating, protecting, and identifying correspondence. Control access of records with restricted distribution. Ensure EMCBC Administrative personnel are trained and familiar with this procedure.

6.4 EMCBC Office of the Director Secretary – Responsible for providing weekly "Open Item Status Reports" to EMCBC Senior Management. Monitors reports and keeps status regarding open or incomplete actions. Assist the Administrative Officer with the monthly audit of CCTS reports and documents.

6.5 EMCBC Staff - Respond to all action items assigned in the Controlled Correspondence Tracking System (CCTS) within the required response time. The Staff is also, responsible for submitting the documentation to the EMCBC Administrative Staff for input into the CCTS for processing and filing.

6.6 Administrative Staff – Responsible for indicating distribution (in accordance with guidance provided by the EMCBC Administrative Officer) on all incoming correspondence; logging incoming correspondence into CCTS, and transmitting correspondence to appropriate EMCBC staff. The Administrative Staff is also responsible for logging all outgoing correspondence and commitments into CCTS and filing all incoming and outgoing correspondence in the Central Records Room daily.

7.0 GENERAL INFORMATION

The correspondence and commitment data is stored and maintained in the CCTS, and is the source data used to produce the Open Items Status Reports. The CCTS is designed to maintain information required to identify, track, and status EMCBC commitments.

8.0 PROCEDURE

8.1 Incoming Correspondence

8.1.1 The EMCBC Administrative Staff assigned to the mail room shall receive and handle incoming correspondence as follows:

A. All incoming correspondence received via facsimile, U.S. Postal, Federal Express, Airborne etc. and addressed to the Legal or Human Resource Departments will not be opened, scanned or copied. All Legal mail will be placed in the Legal Department Secretary's mail bin. All Human Resource mail will be placed in the Human Resource Secretary's mail bin.

B. All incoming correspondence for all other Departments will be opened.

C. The correspondence will be date stamped, logged into CCTS (File Code for Contract Records is 2251, other file codes shall be found on the Uniform File Code List), scanned into the K:drive/ Scanned Documents/Incoming/Month of Document, and uploaded into the CCTS for viewing. PDF documents shall be saved as follows: Date, CCTS Letter Number in ( ), From, To, Subject of Document.

E. The scanned correspondence will be attached and uploaded to the corresponding CCTS log number and distributed to the appropriate staff through the CCTS for action or review.

F. Administrative Staff shall place the original correspondence (including the envelope), in the cognizant Contracts Department Staff's mailbox. All other original correspondence (without envelopes) will be kept and filed in the Central Records Room.

G. If the incoming document is not addressed to an EMCBC Staff member (only CC'd) the Administrative Staff shall stamp the correspondence as a **COPY** and distribution into the cognizant Staff's mailbox. The Administrative Staff will NOT log this correspondence into the CCTS.

H. Incoming correspondence marked "Source Selection", "Sensitive", etc, **WILL NOT BE OPENED** in the mail room. The Administrative Assistant will date stamp the outside of the envelope, contact the addressee via telephone, and follow-up with an email to the addresses.

8.2. Outgoing Correspondence

8.2.1 The EMCBC Staff shall compose and type letters/memorandums in final format and save to their own personal directories in the U:/drive. The Author emails the letter to their Administrative Assistant for review and revision of format.

8.2.2 The Administrative Assistant shall coordinate the following:

A. Logs the letter/memorandum into the Controlled Correspondence Tracking System (CCTS);

B. Assigns the letter number to the document;

C. Prints the first page of the document on a yellow cover sheet and attaches to the letter/memorandum for review and concurrence, per the author;

D. Saves the final letter/memorandum in the K:/Admin/Outgoing Typed Letters/FY06;

E. Letter/Memorandum shall be assembled in a blue signature folder under a plastic executive correspondence cover sheet.

E.1 The original letter/memorandum, all enclosures/ attachments, and the yellow concurrence template with the sign off area protruding shall be paper clipped on the right side of the folder;

E.2 Any reference documentation shall be paper clipped on the left side of the blue folder.

8.2.3 The EMCBC Staff indicated on the yellow concurrence sheet shall review and initial off on the yellow sheet and pass to the next staff member.

8.2.4 After the Signature Authority signs the letter, the Administrative Assistant will prepare the letter for distribution:

A. Date stamp above the inside address;

B. Per the authors' instructions, if the author wants the letter/ memorandum PDF'd and emailed to the addressee, the document will also be sent through the U.S. Mail, otherwise send the original letter via the mail;

C. Electronically save the letter/memorandum in the K:Admin/ Scanned Documents/Outgoing Correspondence/Month. The file name shall be date, letter #, from, to, subject.

D. Make a complete copy of letter/memorandum and enclosures/ attachments. Staple the copy of the letter/memorandum in the upper left-hand corner behind the yellow concurrence sheet.

E. Update the CCTS with date of outgoing letter/memorandum and any other filed left blank. Upload outgoing correspondence into the CCTS.

F. File code the copy using the Uniform File Code List and place in mail room for filing. (**Exception**: Original signed copies of financial management correspondence (Work Authorizations, Reimbursable Work Agreements, etc.) will be maintained in the Office of Financial Management).

G. Administrative Assistant assigned to the mail room will file the documents in the appropriate file in the Central Records Room. If the correspondence is a Contracts letter/memorandum, give back to the author for filing.

8.3 If an Incoming or Outgoing document is Sensitive in nature, do not scan the document into CCTS. Use the "Sensitive Document Template PDF" found on the K:Drive under Scanned Documents. Attach and upload this template to CCTS and state in the Remarks Section where the correspondence can be located.

8.4 Once a week, the Director's Secretary shall generate and provide an Open Items Status Report to the EMCBC Senior Staff for their information and action.

9.0 RECORDS MAINTENANCE

9.1 All records generated by this procedure shall be prepared, maintained, and stored in accordance with "DOE O 200.1, Information Management Program." (Requirement 4.2)

10.0 FORMS USED – Not Applicable

11.0 ATTACHMENTS – Not Applicable

EMCBC RECORD OF REVISION

DOCUMENT

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

l Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.

l Placing the words GENERAL REVISION at the beginning of the text.

Rev. No.	Description of Changes	Revision on Pages	Date
1	Original Procedure established	All	5/30/06