

Management System: Requirements Management and Document Control

Subject Area: Document Control

Procedure: Creation, Review and Distribution of Outgoing Correspondence

Issue Date and Revision Number:

10/3/16

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1.0 Applicability

This procedure provides for the standardized formatting and control of U.S. Department of Energy (DOE) Environmental Management Consolidated Business Center (EMCBC) outgoing correspondence. All EMCBC staff members shall use this procedure.

2.0 Required Procedure

Step 1	All controlled correspondence shall be written to conform to the formatting shown on Attachments D & E, for creating official Letters and Memoranda. The letter format is used for correspondence external to the DOE. The memoranda format is used for all correspondence within or between DOE offices and to DOE employees.
Step 2	Forward the correspondence to an Administrative Staff member who shall access the Controlled Correspondence and Commitment Tracking System (CCTS), see SAP-OD-410B-08 that will automatically generate a Letter Number, which will be assigned to the outgoing correspondence.
Step 3	The Administrative Staff member will insert the outgoing letter number to the correspondence. Save the WORD version of the correspondence under the K: /Admin/Outgoing Typed Letters/by Fiscal Year/name of Administrative member.
Step 4	Print the first page of the document on a yellow concurrence cover sheet, (Attachment A) and attach it to the correspondence for review and concurrence, as directed by the author. Individuals concurring should be listed in ascending priority with the Signature Authority listed last, at the bottom of the sheet.
Step 5	Correspondence shall be assembled in a blue signature folder under a plastic executive correspondence cover sheet, (Attachment B). (These cover sheets are available in the mailroom.)

Step 6	The original correspondence, all enclosures/attachments, and the yellow concurrence template, (Attachment A) with the sign off area protruding shall be paper-clipped on the right side of the folder. Documents accompanying correspondence are either “enclosed” with external correspondence, or “attached” to internal correspondence.
Step 7	Any reference documentation shall be paper-clipped on the left side of the blue folder. If the outgoing correspondence is in response to an incoming document, a copy of the incoming document should also be paper-clipped on the left side of the blue folder.
Step 8	The EMCBC Staff indicated on the yellow concurrence sheet, (Attachment A) shall review, initial and date the yellow concurrence sheet and forward the correspondence to the next reviewer in a timely manner. If an individual needs to concur on an action, and they are out of the office for several days, the correspondence should not be delayed until that person returns.
Step 9	The Administrative Assistant tracks the concurrence progress, revises the correspondence, as needed, and informs the author of any revisions made, delays to, or other issues affecting the correspondence. The Administrative Assistant will revise the document, as directed, reprint the yellow concurrence sheet and recirculate the correspondence for review and concurrence.
Step 10	After final review and concurrence by all designated individuals, the Signature Authority shall sign the document and return it to the Administrative Assistant for distribution.
Step 11	Correspondence written for the Director’s signature will be returned to the originating office’s Administrative Assistant for final processing.
Step 12	The Administrative Assistant shall add the date of signature and reprint the first page, or shall date stamp the correspondence above the inside address; and scan the correspondence, and attachments, creating a Portable Document Format (PDF) file with resolution of 400 dpi. Place the PDF version of the correspondence under K:/Scanned Documents/Outgoing (FY), name of Administrative staff member.
Step 13	Outgoing correspondence that is sensitive in nature shall not be scanned into the CCTS. The “Sensitive Document Template” (Attachment C) also found on the K: Drive under Scanned Documents should be attached and uploaded in place of the sensitive correspondence. The Remarks Section of CCTS shall state where the paper copy of the correspondence is located.
Step 14	If the original correspondence is being mailed, make a complete copy of the correspondence and any enclosures/attachments. Staple the copy of the correspondence in the upper left-hand corner behind the yellow concurrence sheet.
Step 15	Update the CCTS with the date of the outgoing correspondence and any other fields left blank. Upload the outgoing correspondence into the CCTS.
Step 16	Pursuant to the author’s instructions, (1) distribute the correspondence as a PDF

	<p>via email, in advance to the addressee(s) with the hard copy original of the correspondence, sent to the address(s) through the U.S. Mail, or (2) send the original correspondence to the addressee(s) through the U.S. Mail without an advance PDF copy. Non-sensitive, controlled correspondence that is either addressed or copied to ANY EM-HQ employee shall not be sent via hard copy to the recipient, nor shall it be directly sent via email. Instead, all such correspondence shall be sent to the electronic mailbox at emcc mailbox@hq.doe.gov (Note: This electronic mailbox has been added to the EMCBC email distribution list called "EMCC Mailbox".) When received at EM-HQ, HQ Administrative Staff will perform distribution to all EM parties. Distribution of blind copies to EM-HQ personnel must be performed by the sender to complete distribution. The original correspondence as sent to the EM-HQ mailbox will not show the bcc field. Correspondence sent to EM-50 shall be sent to the electronic mailbox EMCHA@em.doe.gov and correspondence to the West Valley Demonstration Project shall be sent to DOESupportStaff@emcbc.doe.gov. Other non- EM-HQ addressees should continue to receive correspondence in the normal manner. Sensitive correspondence should continue to be sent as a hard copy and not as an electronic copy to the electronic mailbox.</p>
NOTE	<p>ENTRUST - Entrust is email encryption software installed on most EMCBC computers. Emails sent to sites outside of the EMCBC (i.e., Headquarters, Field Sites, Contractors, etc.) that contain Type I or Type II data, such as PII, Official Use Only, or Procurement Sensitive information, must be encrypted with Entrust to prevent exposure to unauthorized parties, (MSD – Information Technology, SAD - Cyber Security (and Personally Identifiable Information [PII]), and the Policy on the Control of Unclassified Electronic Information).</p>
Step 17	<p>Originals and copies of all correspondence shall be filed as Records and kept in departmental files, according to Department File Plans and MSD – Records Management, Procedure - Identifying, Filing and Maintaining Records.</p>
Step 18	<p>Correspondence shall be placed in an appropriate envelope and machine addressed, either directly on the envelope or on an address label (no handwritten addresses). Envelopes shall be sealed and delivered to the mail room for processing. All mail received by 3:30 p.m. each day will be mailed out the same day.</p>
<p>Concurrence Sheets for Outgoing Correspondence – are sent to individuals for their approval or concurrence regarding a specific topic. The following shall occur:</p>	
Step 19	<p>All outgoing correspondence is logged into the Controlled Correspondence Tracking System (CCTS). A unique correspondence tracking number is assigned to the correspondence and appears on the front of the correspondence. The action is noted under the TASK heading in the CCTS and tracked until closed.</p>
Step 20	<p>When the concurrence sheet is returned to the EM Consolidated Business Center (EMCBC), the concurrence sheet will not be logged in as an incoming document, but will replace the version in the file. Scan and replace the previous</p>

	version and submit electronically all carbon copies (cc's). The action shall be closed in CCTS.
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3.0 References – Forms/Attachments/Exhibits

3.1 References

- MSD-IRM-200, Information Technology, SAD-IRM-205, Cyber Security (and Personally Identifiable Information [PII]), and Policy on the Control of Unclassified Electronic Information)
- MSD-OTSAM-243 - Records, SAP-OTSAM-243-01 - Identifying, Filing and Maintaining Paper Records
- MSD-OD-410– Requirements Management, SAD-OD-410B - Document Control, SAP-OD-410B-08 – EMCBC Controlled Correspondence and Commitment Tracking System (CCTS)

3.2 Attachments

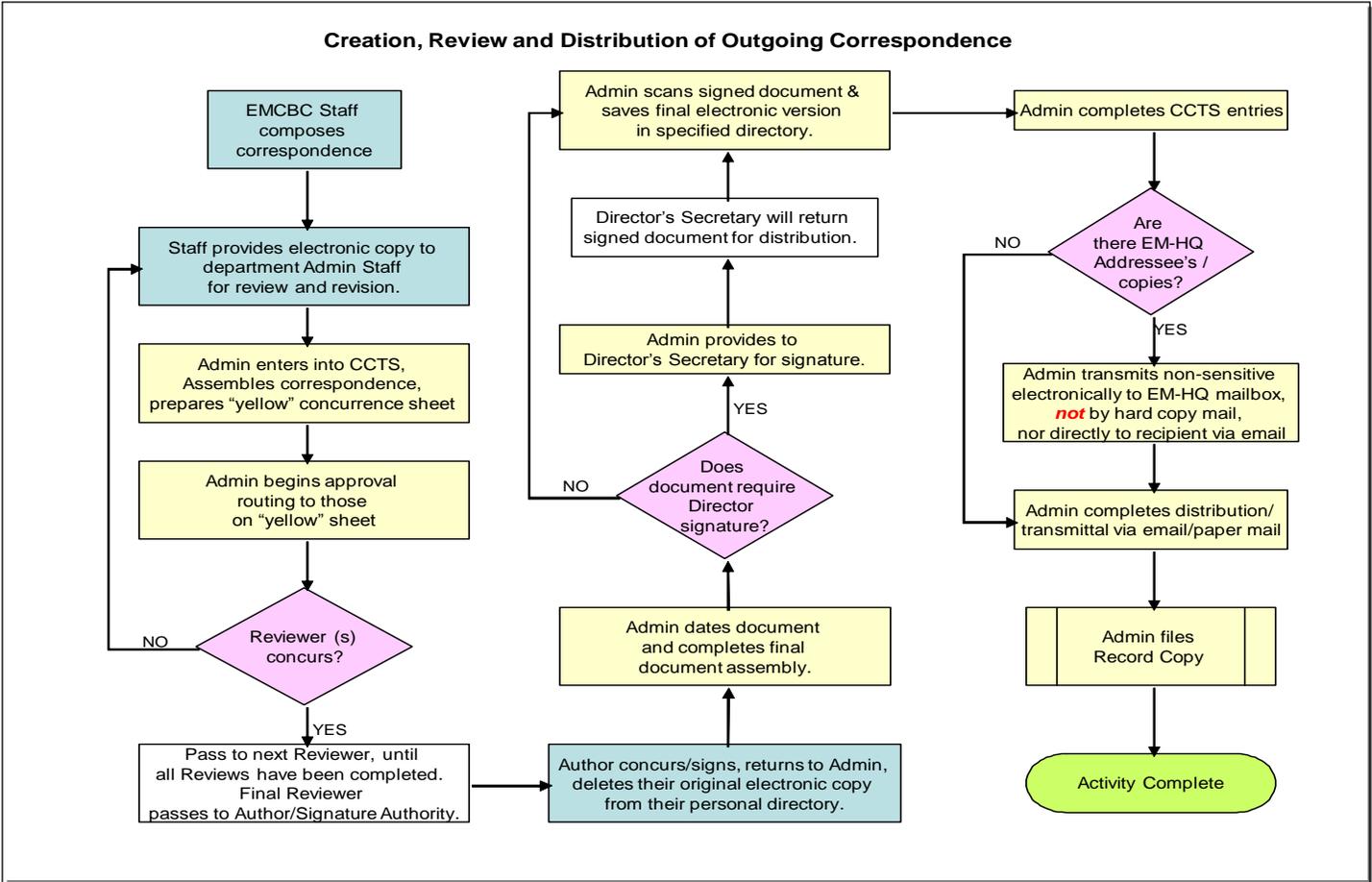
- Attachment A - Template for Correspondence Review
- Attachment B - Executive Correspondence Cover Sheet
- Attachment C - Sample Sensitive Document Template
- Attachment D - Formatting Requirements and Sample of Outgoing Letter
- Attachment E - Formatting Requirements and Samples of Memorandum and Thru Memorandum

4.0 Records Generated

Records generated through implementation of this procedure are identified as follows and are maintained by the (Office of the Director) in accordance with the EMCBC Organizational File Plan:

Records Category Code	Records Title	Responsible Organization	Quality Assurance (Lifetime or Non-Permanent)
ADM 16-01-A	Administrative Issuances	Office of Director	N/A

5.0 Flowchart



EMCBC RECORD OF REVISION**DOCUMENT TITLE: Creation, Review and Distribution of Outgoing Correspondence**

If there are changes to the controlled document before the two-year review cycle, the revision number stays the same; one of the following will indicate the change:

I Placing a vertical black line in the left margin adjacent to the sentence or paragraph that was revised; or

I Placing the words GENERAL REVISION at the beginning of the text. This statement is used when entire sections of the document are revised.

If changes and updates occur at the two-year review cycle, the revision number increases by one.

Rev. No.	Description of Changes	Revision on Pages	Date
0	Initial Procedure in new format	All	09/15/14
1	Two year review, updated Memo and Thru Memo	All	10/3/16