NASA Headquarters

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Code M
Correspondence and
Action Tracking Process

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Approved and signed by

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DOCUMENT HISTORY LOG

Status (Draft/ Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		12-14-1998	
Revision	A	04-16-1999	Revised as a result of the DNV Pre-Registration Audit. Changed Section 7 to agree with Retention Schedule of NPG 1441.1B.
Revision	B	09-15-1999	Revised section 6 Flowchart Reference 5. This revision is a result of the DNV Registration audit which identified a minor non conformance (NCN 01/1A).
Revision	C	11-5-1999	Revised sections 5 & 6 to describe the action tracking process in greater detail. Also changed Section 7.
Revision	D	11-17-1999	Revised sections 5.3 and 6.3
Revision	E	4-5-2000	Revised sections 5 & 6 to clarify escalation process for overdue actions, deleted a Quality Record and included 2 additional.
Revision	F	4-26-2000	Clarified process Step 3.4 and corrected quality record in section 7.

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1.0   PURPOSE

This OWI prescribes the activity steps required to track Code M correspondence and actions addressed/assigned to the Associate Administrator (AA) within the NASA Headquarters, Office of Space Flight.

The AA for the Office of Space Flight (OSF) is responsible for maintaining this document. The controlled version of the manual is available on the world wide web (WWW) via the HQ ISO 9000 Document Library for the ISO 9000 QMS at *http://hqiso9000.hq.nasa.gov.* By definition, any printed version of this OWI is uncontrolled. Any proposed revision to this manual is submitted by the AA for OSF or his designee. The AA for OSF or his designee, authorizes approval of the revision after an internal review by the Document Control Board.

2.0   SCOPE

The OWI process steps span activities that are initiated by the receipt of mail, correspondence or action items, the tracking to closure, and culminate in the response to that action. The process includes monitoring and periodic reporting.

3.0   DEFINITIONS

The following definitions are offered to assist the user in understanding the process described in this OWI.

Correspondence   Written communication

Action   An assignment requiring the completion of an activity or response

Action Officer   The OSF official responsible for responding to an action

CIC   The office at NASA Headquarters responsible for tracking actions on behalf of the Administrator (i.e. Code CIC)

Action Manager   The person within the Office of Space Flight responsible for administering the action tracking process on a day-to-day basis.

4.0   REFERENCES

The following documents contain provisions that, through reference in this OWI or in policy or procedure documents, constitute the basis for the documented procedure:

        HQSM 1200.A.1   Headquarters Quality System Manual

5.0 FLOWCHART

The correspondence & Action Tracking Process is comprised of 3 subprocesses that interrelate & are dependent upon each other. The 3 subprocesses are:

      5.1 Incoming & Receiving Correspondence
      5.2 Administrative Processing of Mail Correspondence
      5.3 Correspondence Action Tracking

5.1 Incoming & Receiving Mail Correspondence

START

1.1

Retrieve Mail From CIC or OSF Mailbox

1.2

Open AA's Mail and Review

Correspondence from OSF Action Officer

1.3

Affix Receipt Stamp to Original & determine if Information or Action

Original Copy to be Filed

Type of Correspondence?

Information

Action

1.4

Identify Recipients of the Correspondence

1.5

Identify Actionee and Assign due date

1.6

Update Information on Receipt Stamp

2

5.2 Administrative Processing of Mail Correspondence

2

2.1 Copy Correspondence for Distribution

2.2 Assemble Routing Package

2.3 Distribute Mail to Action Offices and Information Offices → **3**

2.4 Complete End-Of-Day Report → Daily Mail Package for Distribution to AA and DAAs

2.5 Maintain Correspondence/ Action Files

Reassignment of Action

Written Notice of Completed Action

Due Date Extension

4 → **2.6** Maintain/Update Action Tracking Log → Action Tracking Log

2.7 Report Action Status → Completed Action Document

END

OSF Overdue Actions → OSF Weekly Tag-up Meetings

OSF Pending Actions → OSF Weekly Tag-up Meetings

5.3 Correspondence Action Tracking

ACTIONEE

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                        └────┬────┘
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                             ▼
                      ╱───────────╲
                     ╱     3.1      ╲
                    ╱ Action Completed╲    N
                    ╲ Within Specified ╲──────────────┐
                     ╲   Due Date      ╱               │
                      ╲───────────────╱                │
                             │                         ▼
                             │ Y                ╱───────────────╲
                             ▼                 ╱      3.3         ╲
                   ┌──────────────────┐   N  ╱  Request for Due   ╲
                   │      3.2         │◄─────╲  Date Extension      ╲
                   │ Complete Action &│       ╲  Approved by        ╱
                   │ Forward to Action│        ╲    DAA           ╱
                   │    Manager       │         ╲───────────────╱
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6.0 TRACKING CORRESPONDENCE AND ACTIONS PROCESS STEPS

 It is essential that Code M provide a quality response to correspondence in a timely manner. This requires the careful handling of mail received from internal as well as external sources. The process includes several checks and balances to ensure the delivery of a quality response. Similarly, specific actions resulting from correspondence received, or service requested must be tracked to ensure timely completion. The process is composed by a series of activities described below.

6.1 Incoming & Receiving Correspondence

Actionee   Flowchart Reference   Action

Code M Action Manager   1.1   Retrieve mail from Code CIC (Room 9S56)
or OSF Mailbox (Room7B34), distribute incoming mail to appropriate mail slots (with the exception of the AA's mail)

Code M Action Manager   1.2   Open AA's Mail and review/read it

Code M Action Manager   1.3   Affix receipt stamp to original & determine type
of

correspondence, i.e Info or Action.
NOTE: Actions may be received directly from OSF action officers. These enter the process at this point and are tracked like all other actions.

Code M Action Manager   1.4   Identify subject and recipients for
correspondence that

has been evaluated and determined to be for information only.

Code M Action Manager   1.5   Create an entry in the Action Tracking Log to
include the identification of the office assigned action, the action tracking number and the due date. The due date is 10 working days from the date it is received in the mail center, unless in the letter, the writer or author is asking for a response by a particular date.

Code M Action Manager   1.6   Complete the information on the receipt
stamped original correspondence by transferring the numbers and identification data from the log.

6.2 Administrative Processing of Mail Correspondence

Code M Action Manager   2.1   Make copies of the correspondence as

appropriate to prepare for distribution.

Code M Action Manager	2.2	Assemble packages for distribution

Code M Action Manager	2.3	Distribute all Informational mail and Actions as appropriate

Code M Action Manager	2.4	Complete end-of-day processing. This includes preparing a complete package of all the incoming mail that was logged in for the day and distributing to the AA and DAAs

Code M Action Manager	2.5	Maintain correspondence and action files. Correspondence is maintained as delineated in Section 7.

Code M Action Manager	2.6	Maintain Action Tracking Log. The log is updated whenever notice is received. Such notices may include a redesignation of the action office, a notice of due date extension, or the completion of the action. Reference to the action log indicates current action status.

Code M Action Manager	2.7	Report Action Status. Several action status reports are prepared to assist in ongoing action management; OSF Actions Overdue (see step 3.5) and the Daily Action Status Report. These reports are sent to OSF Senior management (AA and the DAAs) weekly and reviewed at the weekly OSF Tag-up meetings. Appropriate action is determined by the AA or his designee to address overdue actions.

6.3 Correspondence Action Tracking

Action Officer	3.1	The action officer, upon receiving the incoming correspondence action, becomes responsible for preparing the response. If the action officer completes the action within the specified time period, he proceeds to Step 3.2. If the action officer believes he cannot meet the specified time period he proceeds to Step 3.3.

Action Officer	3.2	The action officer, having completed the assigned correspondence within the specified time, forwards the action response to the action manager and action is "closed".

Action Officer	3.3	The action officer must advise the DAA of the need to extend the response period with appropriate justification

for extension & recommended new due date. If approval to extend the due date is granted, actionee proceeds to Step 3.4. The first extension can be granted verbally, subsequent extensions will be documented in writing and signed by the DAA or his designee. If approval is not granted, the actionee proceeds to Step 3.2.

Action Officer 3.4 The action officer must advise the action manager of the new due date and provide the written approval by the DAA or designee (if this is the second extension) to the action manager for updating the action tracking log.

Note: If closure is not accomplished by the latest due date, process continues to step 3.5.

Action Manager 3.5 The action manager notifies the AA that the action is not closed . This notification is done via an OSF overdue actions report presented at the weekly OSF "Tag-ups" (see step 2.7).

7.0   RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	RECORD MEDIA: ELECTRONIC OR HARD COPY	SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/DISPOSITION
Completed Action Document	M	M	Hardcopy	Schedule 10 4C	Destroy when 2 yrs old.
Action Tracking Log	M	M	Hardcopy	Schedule 1 78C	Destroy or delete when no longer needed.
OSF Overdue Actions	M	M	Hardcopy	Schedule 1 78C	Destroy or delete when no longer needed.
OSF Pending Actions	M	M	Hardcopy	Schedule 1 78C	Destroy or delete when no longer needed.