

U.S. Department of Energy
Washington, D.C.

ORDER

HQ 1325.1

7-30-79

SUBJECT: ACTION COORDINATION AND TRACKING SYSTEM

1. PURPOSE. To provide policy and general guidance for the coordination and tracking of action assignments and Departmental commitments by the Action Coordination and Tracking System (ACTS).
2. CANCELLATION. IMD No. 0504, Serial No. 35, DOE ACTION COORDINATION AND TRACKING SYSTEM (ACTS), of 10-17-77, and the extension notice, DOE N 1321.47, EXTENSION OF INTERIM MANAGEMENT DIRECTIVE 0504, of 6-26-79.
3. BACKGROUND.
 - a. The system provides a neutral, orderly, and anticipatory tracking system for informing the DOE Principals in advance of decisions needed, or major milestones to be met, on policy, regulatory, and other specified program action assignments and commitments. The system will ensure that all action assignments which are scheduled for review, clearance, or acknowledgment, by one or more of the DOE Principals, are prepared in a comprehensive, coordinated and timely manner.
 - b. The system is intended to serve as an avenue for information transfer between the DOE Principals, the Secretarial Officers, and the DOE Staff Officers. The system will not provide in itself any corrective action. This remains the responsibility of Secretarial Officers, and DOE Staff Officers, in consultation with appropriate staff. It is not intended to replace normal avenues of personal interaction between DOE Principals, Secretarial Officers, DOE Staff Officers, and staff.
4. POLICY AND OBJECTIVES. The system will be used to coordinate and track action assignments before submission to the DOE Principal(s), to communicate results of review by the DOE Principal(s), and to assure that all followup activities, as a result of such review, are effectively and promptly implemented as intended.
5. APPLICABILITY.
 - a. The procedures outlined in this directive are applicable to Department of Energy (DOE) policy, regulatory (except those of the Federal Energy Regulatory Commission (FERC)), and other program action assignments which require acknowledgment or decision by the DOE Principal.

DISTRIBUTION:

All Headquarters Elements
Federal Energy Regulatory Commission (info)
All Field Elements (info)

INITIATED BY:

Office of the Executive
Secretary

- b. ACTS will contain action assignments which require tracking based upon:
- (1) Those assignments requested to be incorporated into the system by any one or more of the DOE Principals, and The Special Assistant;
 - (2) Those actions submitted by Secretarial Officers, and DOE Staff Officers, for inclusion in the system; and
 - (3) Those actions identified by the Executive Secretary (ES-I), as potential candidates for inclusion in the system, subject to approval of a DOE Principal or The Special Assistant.

6. RESPONSIBILITIES AND AUTHORITIES.

a. Executive Secretary.

- (1) Receives action assignments from DOE Principals, and The Special Assistant, and notifies appropriate Secretarial Officers, and DOE Staff Officers. Determines, after consultation with DOE Principals, Secretarial Officers, and DOE Staff Officers, the appropriate action required, and the timing of such action assignments. Assures that action assignments are submitted in the appropriate format (Attachment 1), that they are complete, and that management review of the assignment by the cognizant Secretarial Officer(s), and DOE Staff Officer(s), has been completed.
- (2) Suggests possible action assignments to appropriate Secretarial Officers, and DOE Staff Officers, and, if decision is made to include them in ACTS, receives action assignment schedule from Secretarial Officer, and/or DOE Staff Officer, for inclusion in the system.
- (3) Maintains and distributes to DOE Principals, Secretarial Officers, and DOE Staff Officers, a complete record of all action assignments. Updates action assignments on a weekly basis after consultation with DOE Principals, Secretarial Officers, and DOE Staff Officers.
- (4) Prepares weekly summary of status of action assignments for review and comment by DOE Principals. Prepares other summary reports as appropriate.
- (5) Provides direction and guidance, on behalf of the DOE Principals during the development stage of action assignments with respect to timing for coordination and review, format and style of presentation, clarity, and completeness.

- (6) Reviews all end products of action assignments tracked in this system for clarity, completeness, format, and style of presentation, and ensures that appropriate coordination has occurred prior to submission to the DOE Principals for review or clearance. Brings to attention of appropriate officials any questions of consistency with established policies. Arranges for additional revision or coordination as necessary.
- (7) In consultation with DOE Principals, Secretarial Officers, and DOE Staff Officers, advises on the necessity of convening decision/review meetings with DOE Principals and appropriate DOE officials reporting directly to the DOE Principals, to resolve policy conflicts, determine final decision, review end product, or receive additional direction.
- (8) Highlights implementation actions for enforcement of decisions by appropriate Secretarial Officers or DOE Staff Officers.
- (9) Tracks the implementation of newly prescribed action assignments. Ensures that all action assignments are incorporated into the system in a timely manner.
- (10) Maintains official DOE files on all action assignments tracked in the system.
- (11) Develops and maintains an "ACTS Users' Guide" providing a detailed explanation of the ACTS update and reporting procedures.

b. Secretarial Officers and DOE Staff Officers.

- (1) Identify and initiate action assignments, either within the scope of the member's own staff responsibility or at the direction of the DOE Principals. When initiating an action assignment or upon receipt of direction to undertake such an action assignment, the responsible Secretarial Officer, or DOE Staff Officer, will promptly delineate the action assignment schedule, review and obtain the approval of the action assignment schedule with other DOE organizations having review and/or support responsibilities, and provide it to the Executive Secretary.
- (2) Assure that action assignments for which they are responsible result in products which:
 - (a) Have been fully coordinated and have received appropriate concurrences;
 - (b) Are of the highest obtainable quality; and
 - (c) Are completed on schedule.

- (3) Assure that action assignment products sent to them for review by other Departmental organizations are reviewed on a priority basis, with appropriate comments provided.
- (4) Assure that all action assignment products transmitted to a DOE Principal, either as an interim or final document, are prepared and transmitted as outlined in Chapter XVII, DOE 1325.1, Department of Energy Correspondence Manual.
- (5) Implement and enforce decisions made by DOE Principals with respect to items tracked in ACTS.
- (6) Appoint an office liaison to be the point of contact with the Executive Secretary for all matters to be tracked in this system, and assure that the ES-1 is promptly notified when the appointment is changed.

7. PROCEDURES AND OPERATING GUIDANCE.

- a. Definitions. For the purpose of this directive, the following definitions apply:

- (1) DOE Principals. The Secretary, Deputy Secretary, and Under Secretary.
- (2) Secretarial Officers. Assistant Secretaries; Inspector General; General Counsel; Administrators of the Energy Information Administration, and the Economic Regulatory Administration; Director of Energy Research; Director of Administration; Controller; Director, Office of the Secretary; Director of Procurement and Contracts Management; Director of Hearings and Appeals; and Director of Minority Economic Impact.
- (3) DOE Staff Officers. Executive Secretary; Director of Equal Opportunity; and Chairman, Board of Contract Appeals.
- (4) Action Assignment. Any information memorandum, action memorandum, intradepartmental or interdepartmental initiative which, in the view of any DOE Principal, The Special Assistant, or the Executive Secretary, requires knowledge of, or decision by, the DOE Principals. Such action assignments include, but are not limited to, policy issue papers, program issue papers, regulations, rulemakings, contract actions, procurement actions, reports or documents required to be issued by law or regulation, as well as those a DOE official has committed the Department to preparing.

- (5) Action Assignment Schedule. A time-phased plan identifying what actions are to be taken to complete the assignment, the date by which each action is to be completed, the person responsible for ensuring completion, and any pertinent comments concerning the status of each identifiable action. Public affairs and Congressional information or consultation, and inter- or intradepartmental coordination appropriate for completing the assignment, will also be submitted in the action assignment schedule, including the party responsible for such coordination, and the date on which it is to be completed.

b. Operating Procedures.

- (1) Secretarial Officers, and DOE Staff Officers, will provide action assignment schedules to the Executive Secretary for tracking purposes, and will prepare new schedules, or revise existing ones, on their own initiative as the need arises, or in response to a call for new or revised action assignment schedules by the Executive Secretary.
- (2) If questions arise as to the applicability of this system to any individual action assignment, determination will be made by the Executive Secretary, and, if necessary, the DOE Principals, and/or the appropriate Secretarial Officer, or DOE Staff Officer.
- (3) If the review or resolution of an action assignment is so urgent that it requires action that cannot be accommodated by this system, the responsible Secretarial Officer, or DOE Staff Officer, will notify the Executive Secretary of the assignment and the timing necessary for review or resolution by the DOE Principals.
- (4) Secretarial Officers, and DOE Staff Officers, will provide the Executive Secretary with weekly status reports on all action assignments in progress.
- (5) All documents transmitted to other DOE offices for final coordination shall have an "ACTS Item - Expedite" cover sheet (Attachment 2) with the requested information entered in the designated areas on this form. The Director of ACTS will maintain a supply of these cover sheets for distribution to the ACTS Liaison Officers.
- (6) All documents transmitted to a DOE Principal as part of, or in fulfillment of, an action assignment, shall be prepared and submitted in accordance with guidelines and procedures for action memorandums or information memorandums as defined in Chapter XVII, DOE 1325.1.

- (7) For statistical reports prepared in accordance with law by the Energy Information Administration, Departmentwide concurrence is not required. Nevertheless, selected reports will be tracked by ACTS to ensure timely completion.
- (8) When an ACTS item is entered into the system, and other DOE officials are involved, the proposed completion dates for the coordination and mandatory concurrence milestones should be reviewed and approved by each of the coordinating offices.
- (9) If it appears that significant milestones have been, or will be, slipped, such slippages will be reported as soon as they are identified to the DOE Principals through the issuance of weekly status reports. The Executive Secretary will consult with Secretarial Officers, and DOE Staff Officers, to determine what, if any, corrective action is proposed to DOE Principals. Responsibility for the initiation and implementation of such corrective action remains with the Secretarial Officers, or DOE Staff Officers.

c. Priority Designations.

- (1) In order to rank ACTS items by level of importance, the following priority designations are established:
 - (a) Critical. Action initiatives which are critical to the well-being of the energy situation in the Nation, and which will have major impact on, or redirect the focus of, energy policies or programs - Priority A.
 - (b) Statutory Deadline or Executive Order. Action assignments to be completed on or before a date established by law, regulation, or Executive Order - Priority B.
 - (c) Time Dependent DOE Commitment. An action assignment which the Department is committed publicly to complete by a specific date, but is not a legal commitment - Priority C.
 - (d) Routine. Action assignments associated with fulfilling the mission of the Department, but with no public commitment for completion by a specific date - Priority D.
 - (e) Discretionary. Action assignments with minimal "Departmental impact that can be subordinated to other more important-actions, but the status of which continues to be of interest to a DOE Principal - Priority E.

- (2) The Secretarial Officer, or DOE Staff Officer assigned responsibility for an action, designates a priority code for each new ACTS entry. The entry, together with the recommended priority designation, will be reviewed and approved at the weekly ACTS review meetings by the DOE Principal chairing the meeting.
- (3) The priority code established for each action will be printed on the ACTS sheet, directly under the ACTS assignment control number.
- (4) ACTS items assigned a priority code of "A," "B," or "C" will be placed automatically on the weekly briefing agenda for review by the DOE Principals, if the action:
 - (a) Is overdue for coordination or submission to ES-1;
 - (b) Requires a significant schedule modification;
 - (c) Presents a problem or potential problem;
 - (d) Is scheduled for completion within the next 2 weeks; or
 - (e) Requires DOE Principal attention as determined by the Director of ACTS.
- (5) ACTS items assigned a "D" or "E" priority code normally will not be placed on the weekly ACTS briefing agenda. The Director of ACTS will approve schedule modifications on a tentative basis, subject to final approval by the DOE Principals. These tentative decisions will be communicated to the DOE Principals via an information memorandum issued on a weekly basis. Unless a DOE Principal requests a specific change be made to an ACTS item, the recommended action, as proposed by the Director of ACTS, will be finalized.
- (6) A Secretarial Officer or DOE Staff Officer may request that an ACTS item assigned to a "D" or "E" category, be placed on the briefing package in order to highlight a particular problem. The Director of ACTS also reserves the right to place any of these items on the briefing agenda as he deems necessary, or as directed by the DOE Principals.

- (7) The Director of ACTS will maintain close communication with the Secretarial Officer, or DOE Staff Officer, and the office liaison in each organization, to ensure that the priority code represents the current assessment of the need for the action.
- d. Office of the Executive Secretary Point of Contact. The duties and responsibilities associated with the execution and operation of the Action Coordination and Tracking System are assigned to the Director of Action Coordination and Tracking, Office of the Executive Secretary. Questions and status reports regarding ACTS are to be addressed to the Director.
- e. Format and Procedures for Entering New ACTS Items. Attachment 1 outlines the format for the information required to initiate an action assignment schedule. The procedure to be followed for the preparation and submission of a new ACTS schedule is as follows:
 - (1) Initiating offices enter the requested information on the ACTS Entry Form (Attachment 1). Instructions defining the milestones, and describing the appropriate data for entry, have been included on the back of each form. A more detailed explanation of this form may be found in the "ACTS Users' Guide," available from the Director of ACTS.
 - (2) The proposed completion dates for coordination and mandatory concurrence milestones should be reviewed and approved by each coordinating office to ensure that each organization involved in the project is fully cognizant of its respective commitments and responsibilities.
 - (3) The signature of the Secretarial, Officer, or DOE Staff Officer, is requested in the designated line on the ACTS Entry Form, as each new ACTS project and associated schedule represents a contract between the official and the DOE Principals.
 - (4) The ACTS Entry Form is then forwarded to the Director of ACTS for final approval of the contract with the DOE Principals and formal entry into the ACTS data base.

- f. Format and Procedure for Updating ACTS Items. Office liaisons are expected to coordinate the weekly ACTS update process within their respective offices. All information associated with an ACTS schedule should be reviewed for accuracy, updated as necessary, and transmitted under the signature of the Secretarial Officer, or DOE Staff Officer, to the Director of ACTS, by noon, Wednesday of each week. Refer to the "ACTS Users' Guide" for a more detailed explanation of the updating procedures.

FOR THE SECRETARY OF ENERGY:



John F. O'Leary
Deputy Secretary

HQ 1325.1
7-30-79

Attachment 1
Page 1

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ACTS ENTRY FORM

(1) CONTROL NO

(2) ISSUE/ACTION TITLE.

(3) SUMMARY

(4) AUTHORITY

(5) END PRODUCT/RECIPIENT:

- MILESTONES -

TARGET DATE

(6) START ASSIGNMENT

 / /

(7) START FINAL COORDINATION

 / /

(8) COORDINATION COMPLETE:

DRAFT COORDINATED WITH:

 / /

AD CR CS DP EEO EIA ER ERA ET EV FERC GC HG IA IG IR PE PR RA SPR

OTHER _____

MANDATORY CONCURRENCE:

 / /

AD CR CS DP EEO EIA ER ERA ET EV FERC GC HG IA IG IR PE PR RA SPR

OTHER _____

INFO COPY WITH OPP. TO COMMENT:

 / /

AD CR CS DP EEO EIA ER ERA ET EV FERC GC HG IA IG IR PE PR RA SPR

OTHER _____

(9) SUBMIT TO EXEC SEC (ES)

 / /

(10) UNDER SECRETARY REVIEW

 / /

(11) DEPUTY SECRETARY REVIEW

 / /

(12) SECRETARY REVIEW

 / /

(13) END PRODUCT COMPLETE

 / /

- FINAL RULEMAKINGS ONLY -

(14) PUBLIC HEARING/MEETING

 / /

(15) COMMENT PERIOD ENDS

 / /

(16) SUBMIT TO EXEC SEC (ES)

 / /

(17) UNDER SECRETARY REVIEW

 / /

(18) DEPUTY SECRETARY REVIEW

 / /

(19) SECRETARY REVIEW

 / /

(20) ISSUE FINAL RULE

 / /

(21) BRIEFING COMMENTS:

(22) OFFICE:

(23) OFFICIAL:

(25) PROJECT OFFICER:

(270) PRIORITY DESIGNATION: A B C D E (Circle one)

NOTES:

STATUTORY DEADLINE: _____

CIRCLE AS APPROPRIATE:

SIGNIFICANT REG? YES NO

MAJOR IMPACT REG? YES NO

ANTICIPATED NEPA DOCUMENT:

EIS EA Memo to File

EV CONTACT: _____

DATE: _____

(24) TEL:

(26) TEL:

SIGNATURE OF SECRETARIAL/DOE STAFF OFFICER: _____

(FOR ES USE ONLY)

(27A)

(27B) P S N

(27C)

OVER -

INSTRUCTIONS FOR COMPLETION
OF ACTS ENTRY FORM

- | <u>MILESTONE</u> | <u>TITLE</u> |
|--|--|
| (1) | <u>Control Number</u> - will be provided by ES. |
| (2) | <u>Issue/Action Title</u> - should be concise but informative to the reader. (Limit 100 characters) |
| (3) | <u>Summary</u> - a concise statement describing the scope of the project and any other pertinent details. (Limit 500 characters) |
| (4) | <u>Authority</u> - enter the source of the project including the law or directive. (Limit 100 characters) |
| (5) | <u>End Product/Recipient</u> - enter the final product of the assignment (e.g., final rule, issue paper) and the recipient of the final product. (Limit 200 characters) |
| (6) | <u>Start Assignment</u> - enter the appropriate date (NOTE: if the action has already occurred, enter a 'C' behind the date, e.g., 02/01/79C). |
| (7) | <u>Start Final Coordination</u> - enter the date when the sponsoring office intends to transmit the final product to other organizations for mandatory concurrence. If mandatory concurrences are not appropriate, enter the date when information copies with opportunity to comment will be distributed. |
| (8) | <u>Coordination Complete</u> - Circle the organizations that must provide draft coordination and mandatory concurrence. Also circle the organizations that will receive an information copy with opportunity to comment. Enter the desired completion date for the above actions. |
| (9) | <u>Submit to ES</u> - enter the date that the document will be submitted to ES for review and forwarding to the DOE Principal(s). |
| (10) | <u>DOE Principal(s) Review Complete</u> - enter the dates that you anticipate that the appropriate Principal(s) will complete their respective reviews. If a review by a DOE Principal is not required, enter 'N/A' in the appropriate date blank. |
| (11) | |
| (12) | |
| (13) | <u>End Product Complete</u> - enter the date that the end product will be completed, subject to approval by the appropriate DOE Principal(s), if applicable. IN ADDITION, PLEASE RECORD IN THE NOTES SECTION ANY STATUTORY COMMITMENTS. |
| (14) | <u>Public Hearing/Meeting</u> - enter the date when the last public hearing or meeting will be held. |
| (15) | <u>Comment Period Ends</u> - enter date when the public comment period ends. |
| (21) | <u>Briefing Comments</u> - for use by ES. |
| (22) | <u>Office</u> - enter the name of the Division or Branch performing the action. (e.g., Bld & Community Stds) (Limit 25 characters) |
| (23) | <u>Official</u> - enter the name of the responsible official. |
| (24) | <u>Telephone</u> - enter the phone number of the program official. |
| (25) | <u>Project Officer</u> - enter the name of the individual in the responsible office's organization actually carrying out the project. |
| (26) | <u>Telephone</u> - enter the phone number of the project manager. |
| (27D) | <u>Priority Designation</u> - Circle the priority code using the criteria presented in HQ Order 1325.1: A = critical B = statutory deadline/executive order, C = time dependent DOE commitment, D = routine and E = discretionary |
|
<u>Notes</u> - use this space for notes pertinent to the schedule (e.g., "OMB requires four week review"). Additional comments can be written on a plain sheet of paper and attached to this form. | |

Since an ACTS project and associated schedule represent a contract between the Secretarial/DOE Staff Officer and the DOE Principal(s), the signature of the Secretarial/DOE Staff Officer is required on the ACTS project entry form.

DOE F-1325.2
7-79)

