



**DEPUTY SECRETARY OF DEFENSE**  
1010 DEFENSE PENTAGON  
WASHINGTON, DC 20301-1010

February 3, 2015

*Incorporating Change 2, Effective January 13, 2017*

MEMORANDUM FOR SECRETARIES OF THE MILITARY DEPARTMENTS  
CHAIRMAN OF THE JOINT CHIEFS OF STAFF  
UNDER SECRETARIES OF DEFENSE  
DEPUTY CHIEF MANAGEMENT OFFICER  
CHIEF OF THE NATIONAL GUARD BUREAU  
DIRECTOR, COST ASSESSMENT AND PROGRAM  
EVALUATION  
DIRECTOR, OPERATIONAL TEST AND EVALUATION  
GENERAL COUNSEL OF THE DEPARTMENT OF DEFENSE  
INSPECTOR GENERAL OF THE DEPARTMENT OF DEFENSE  
ASSISTANT SECRETARIES OF DEFENSE  
DEPARTMENT OF DEFENSE CHIEF INFORMATION OFFICER  
ASSISTANTS TO THE SECRETARY OF DEFENSE  
DIRECTOR OF ADMINISTRATION  
DIRECTORS OF THE DEFENSE AGENCIES  
DIRECTORS OF THE DOD FIELD ACTIVITIES

**SUBJECT:** Directive-type Memorandum (DTM) 15-001, "Implementation of the Correspondence and Task Management System (CATMS)"

**References:** (a) DoD 5110.04-M, Volume 1, "DoD Manual for Written Material: Correspondence Management," October 26, 2010  
(b) DoD 5110.04-M, Volume 2, "DoD Manual for Written Material: Examples and Reference Material," October 26, 2010  
(c) Administrative Instruction 15, "OSD Records and Information Management Program," May 3, 2013  
(d) DoD 5400.11-R, "Department of Defense Privacy Program," May 14, 2007

Purpose. This DTM:

- Establishes CATMS as the enterprise system for processing official correspondence for OSD, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Military Departments, the Office of the Inspector General of the Department of Defense (OIG DoD), the General Counsel of the Department of Defense (GC DoD), the Defense Agencies, and the DoD Field Activities.
- Is effective February 3, 2015; it must be incorporated into Volumes 1 and 2 of DoD 5110.04-M (References (a) and (b)). This DTM will expire effective February 3, ~~2017~~ 2018.

Applicability. This DTM applies to OSD, the Military Departments, Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the OIG DoD, the GC DoD, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this DTM as the “DoD Components”). Nothing in this DTM will infringe on or impair the independence of the OIG DoD.

Policy. It is DoD policy that CATMS is the enterprise correspondence system for all DoD Components. DoD Components will use CATMS for all official correspondence in accordance with the procedures in References (a) and (b). CATMS will replace the Staff Action Coordination and Control Portal (SACCP). SACCP will be discontinued.

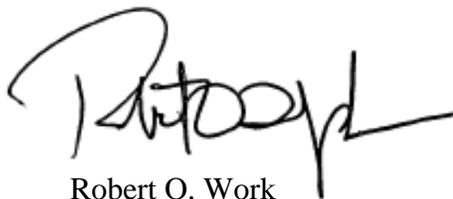
#### Responsibilities

- Director of Administration (DA), Office of the Deputy Chief Management Officer (ODCMO) of the Department of Defense. Under the authority, direction, and control of the Deputy Chief Management Officer of the Department of Defense, the DA ODCMO develops policy and provides procedures and oversight for the implementation of CATMS.
- OSD and DoD Component Heads. The OSD and DoD Component heads oversee compliance with and prescribe internal procedures necessary to implement this DTM.

#### Procedures

- See Attachment 1 for the business rules governing CATMS.
- See Attachment 2 for CATMS correspondence coordination rules.
- See Attachment 3 for the charter regarding CATMS change management (CM).

Releasability. **Cleared for public release.** This DTM is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

A handwritten signature in black ink, appearing to read 'R. Work', with a stylized flourish at the end.

Robert O. Work

Attachments:  
As stated

ATTACHMENT 1

CATMS BUSINESS RULES

1. CATMS provides the integrated system and process for managing the life-cycle of official correspondence for the Secretary and Deputy Secretary of Defense and is the authoritative system of record for correspondence management. The DoD Components will use CATMS as prescribed in sections 2 and 3 of this attachment. A CATMS user account can be obtained by attending classroom training or viewing the training video on the Correspondence Management Division (CMD) website at <http://www.dtic.mil/whs/esd/cmd/index.htm>. The CATMS Help Desk at [OSD.CATMS-SUPPORT@mail.mil](mailto:OSD.CATMS-SUPPORT@mail.mil) is responsible for user account creation, account deactivation, and other customer technical support.

2. CATMS also provides DoD Components and action officers (AOs) the ability to generate, assign, and control internal Component tasks. The Joint Staff will develop Joint Staff Action Processing (JSAP)-Next to interface with CATMS.

3. DoD and OSD Components will use CATMS to process all OSD correspondence (as prescribed in References (a) and (b)) with the exception of active investigations on current DoD personnel. This will include using CATMS for receipt, coordination, change requests, and closure of correspondence tasks. The Joint Staff will receive, request changes, and close tasks in CATMS. The Joint Staff will use JSAP-Next to coordinate tasks, and JSAP-Next will provide the interface with CATMS for visibility and metric capture of coordination requests. Responsibilities include but are not limited to:

a. Office of Primary Responsibility (OPR). Answers the task, consolidates office of coordinating responsibility (OCR) input, and prepares the response. CATMS-generated tasks have only one OPR at each tasking level.

b. OCR. Supports requests made directly by the OPR. CATMS tasks can have multiple OCRs. OCRs will contact the OPR directly with input and questions. OCRs can further task other OPR and OCRs to gather their input and responses.

c. AO

(1) The AO is responsible for developing positions and responses for approval. Actions may vary in importance, but all must reflect the best possible advice or guidance. The AO's responsibility for the action continues until the final response has been dispatched.

(2) AOs must ensure proper coordination and completion of actions assigned to them. An effort must be taken to coordinate actions as fully as possible, but the final product should not evade the issues, provide watered-down advice to achieve consensus, or miss the established suspense date.

(3) Through the coordination process, AOs should identify and present critical issues to their leadership for decision.

4. General rules that apply to all CATMS users are that:

a. Correspondence performance will be measured and reported using the CATMS Nonsecure Internet Protocol Router Network (NIPRNET). The Joint Staff will interface with CATMS using JSAP-Next. Correspondence performance includes, but is not limited to, timeliness of responding to tasks and timeliness of responding to requests for coordination on tasks.

b. Unclassified correspondence will be processed on CATMS NIPRNET.

c. Classified correspondence will be initiated with unclassified metadata on CATMS NIPRNET. In order to provide consolidated reporting, performance metrics, and ready access to tracking data, the same CATMS control number from CATMS NIPRNET will be entered in to CATMS SECRET Internet Protocol Router Network (SIPRNET) along with the classified data and files.

d. The record series will be entered on all correspondence actions. CATMS provides a drop down menu of record series most often used for permanent records of the OSD. A full listing of record series can be found in Washington Headquarters Services (WHS), OSD Records Disposition Schedule (RDS) at <http://www.dtic.mil/whs/esd/rdd/recordsmgmt.html>. Applicability and procedures on application of the OSD RDS is available in Administrative Instruction 15 (Reference (c)). For Military Department or other DoD Component-specific record series, refer to DoD-specific RDS. DoD Components will continue to be responsible for the records disposition of their documents.

5. The initiating organization will set the overall suspense date. Receiving organizations will adjust their internal processing suspense dates accordingly to meet the overall suspense date. When extenuating circumstances arise, DoD Components may request a suspense date extension via submission of a Secretary of Defense (SD) Form 391, "Secretary of Defense Correspondence Action Report," located on the DoD Forms Management Program website at <http://www.dtic.mil/whs/directives/infomgt/forms/index.htm>.

6. All OSD initiated tasks for the Secretary and Deputy Secretary of Defense must be accepted within 1 business day of receipt. If secondary tasking is required, it must be delegated within the same business day of receipt. If the OPR determines they are not the proper OPR for a task, they will recommend the appropriate OPR with a viable justification within 1 business day of receipt via submission of an SD Form 391. If the tasked OPR is not the correct office, then it must be rejected within 1 business day of receipt.

7. CATMS is certified to process personally identifiable information (PII). DoD Components will:

- a. Comply with appropriate use of “private” or “public” designations when creating new CATMS actions or tasks.
  - b. Minimize the risk of exposing correspondence containing PII outside of CATMS.
  - c. Require that correspondence on active investigations on current DoD employees are not processed within CATMS.
  - d. Confirm all PII is collected, maintained, disseminated, and used in accordance with DoD 5400.11-R (Reference (d)).
8. CATMS licenses are available at no cost for use by existing DoD and OSD Component users of the Staff Action Control and Coordination Portal. Additional end user licenses are available at cost for organizations new to using CATMS, and new end user license costs will be established by the OSD Chief Information Officer.
9. All users must complete acceptable end user training in order to be granted a CATMS account. Refer to the CMD website for information on available training.
10. See Attachment 3 on how the CM process is governed. WHS and CMD will establish a CATMS change management board (CMB) as an ad hoc governance forum that will:
- a. Meet quarterly with GS-15 or O-6 level representatives from the DoD or OSD Components.
  - b. Promote communications regarding the system.
  - c. Serve as the entry point to formulate new requirements or system changes.

ATTACHMENT 2

CATMS CORRESPONDENCE COORDINATION RULES

1. Each OPR seeking coordination will provide the information contained in the Correspondence Coordination Summary (see Figure).

Figure. Correspondence Coordination Summary

<u>Correspondence Coordination Summary</u>
<b>Classification:</b>
<b>Transmittal Date of Coordination Request:</b>
<b>Originator Control Number:</b>
<b>Other Component:</b>
<b>OSD Control Number:</b>
<b>Subject:</b>
<b>Coordination Requested by:</b> (DoD or OSD Component Name).
<b>Level of Coordination Requested:</b> (e.g., Principal Deputy Under Secretary of Defense, Senior Executive Service, and could be 'by name' if that's required).
<b>Date Coordination is Required:</b> (OPR Correspondence Management Office (CMO) establishes the suspense for the OCR CMO).
<b>Functional Point of Contact for this Action:</b> (subject matter expert's name, title, phone, and e-mail address).
<b>OCR Component Point of Contact (if known):</b> (This may be helpful especially if the action has been worked at a lower level before the formal coordination request).
<b>Comments:</b> (Enter any additional information here).

2. Coordination levels for Secretary or Deputy Secretary of Defense actions will be at the DoD or OSD Component head or principal deputy level.
3. OPRs will task OCR Correspondence Management Offices (CMOs) for formal coordination on a CATMS action within CATMS. The Joint Staff will perform these coordinations using JSAP-Next and its interface with CATMS.
4. A minimum of one-third of the overall time allotted for completion of the task should be allocated for coordination.
5. Requests to expedite coordination must include a justification.
6. Attachments should include the Correspondence Coordination Summary and all relevant documents.
7. Classified coordination must be completed using a CATMS template following the instructions in this attachment and transmitting the classified document(s) via CATMS SIPRNET.
8. Follow-ups for overdue responses to coordination requests should come through CATMS from the OPR CMO to the OCR CMO. The Joint Staff will perform follow-up actions using JSAP-Next and its interface with CATMS.

ATTACHMENT 3

CHARTER FOR CATMS CMB

1. PURPOSE. This charter establishes the CATMS CMB. The CATMS CMB is the official forum for controlling the configuration and the functionality of CATMS, which includes the Task Management Tracker and CMD modules. CATMS is an enterprise application that is configured to provide the functionality required by all DoD and OSD Components to process official correspondence. The CATMS CMB will ensure that all changes are coordinated and approved before implementation. Proposed requirements will provide the greatest benefit across the enterprise.

2. SCOPE

a. The CATMS CMB provides enterprise CM in accordance with Enterprise Configuration Management, as defined in the WHS Enterprise Information Technology Services Directorate (EITSD) Configuration Management Plan and CM processes.

b. The CM process is applicable to all modifications and upgrades to any of the CATMS capabilities.

c. Subject to the availability of funding, additional CATMS capabilities initially will be planned for:

- (1) Records management.
- (2) Congressional Hearing and Reporting Requirements Tracking System.
- (3) NIPRNET-SIPRNET cross-domain solution.
- (4) Other enterprise work presented to the CATMS CMB.

3. OPERATIONAL CONCEPT

a. The CATMS CMB will meet quarterly, and the meeting frequency will be reviewed annually. The time and location of the meeting will be provided at least 2 weeks in advance and some meetings may be conducted by teleconference. The CMB Chair may request special meetings, if necessary.

b. Changes to this charter will be proposed in writing to the CMB Chair.

c. A meeting quorum will be defined as a majority of voting members. Approval of proposed requirements will be by a two thirds majority of those participating and not abstaining.

d. While each member gets one vote, each voting member organization should have a primary and an alternate representative. Members are expected to collaborate with a shared vision, and to make decisions that represent the goals of the entire CATMS user community.

4. **MEMBERSHIP.** The membership of the CATMS CMB will be composed of a chairperson, permanent voting members in the grade of GS-15 or O-6 (i.e., a representative from the list in Table 1), invited subject matter experts, and other relevant stakeholders.

Table 1. CATMS CMB Membership and Role

<b>CATMS CMB Membership</b>	<b>Roles</b>
CATMS CMB Chairperson	(votes in event of a tie)
Department of the Army	Voting member
Department of the Navy	Voting member
Department of the Air Force	Voting member
Joint Chiefs of Staff	Voting member
Under Secretary of Defense for Acquisition, Technology, and Logistics	Voting member
Under Secretary of Defense for Policy	Voting member
Under Secretary of Defense (Comptroller)/Chief Financial Officer, Department of Defense	Voting member
Under Secretary of Defense for Personnel and Readiness	Voting member
Under Secretary of Defense for Intelligence	Voting member
Deputy Chief Management Officer	Voting member
Chief, National Guard Bureau	Voting member
Director of Cost Assessment and Program Evaluation	Voting member
Director of Operational Test and Evaluation	Voting member
General Counsel of the Department of Defense	Voting member
Inspector General of the Department of Defense (IG DoD)*	Non-voting observer
Assistant Secretary of Defense for Legislative Affairs	Voting member
Assistant to the Secretary of Defense for Public Affairs	Voting member
DoD Chief Information Officer	Voting member
WHS/Correspondence Management Division	Voting member
<b>CATMS CMB Administrative Membership</b>	<b>Roles</b>
Project Manager	Non-voting member
Subject Matter Experts	Non-voting member
Directors, EITSD and Executive Services Directorate	Appellate authorities
* The IG DoD will determine the appropriate level of involvement or participation in the CATMS CMB so as to not to impair OIG DoD independence.	

a. The chairperson position will be rotated on an annual basis. The new chairperson will be assigned by a majority vote of voting members. The Chief, CMD, will call the initial vote.

b. Administrative functions normally performed by an executive secretariat will rotate with the chairperson's organization and will include scheduling meetings, identifying an agenda, providing a read-ahead, providing a meeting location, providing a recorder for recording and disseminating meeting minutes, and providing proposed modifications and upgrades to EITSD for budgeting planning and incorporation into CATMS.

c. Voting members will represent each of their respective DoD or OSD Components (to include sub-organizations) and adequately prepare for, attend, and actively participate in all scheduled meetings.

## 5. MEMBER RESPONSIBILITY

a. CATMS CMB members have the basic responsibility to represent their respective DoD or OSD Component (to include sub-organizations) and adequately prepare for, attend, and actively participate in all scheduled meetings. They are to disseminate meeting minutes within their Component. This requires a commitment to perform the duties as assigned in Table 2.

b. Each voting member is allotted one vote. Members not participating and committing to the roles and responsibilities defined in Table 2 may lose their voting privileges.

Table 2. Member Roles and Responsibilities

<b>Role</b>	<b>Responsibilities</b>
CATMS CMB Chairperson	<ul style="list-style-type: none"> <li>• Facilitates the CATMS CMB meetings.</li> <li>• Assigns action items, approves the agenda.</li> <li>• Approves the meeting minutes and verifies that all action items assigned as a result of the meeting are completed.</li> <li>• Communicates changes to affected stakeholders.</li> <li>• Keeps the meeting focused on the agenda and takes action items for members to schedule other meetings to resolve identified issues.</li> <li>• Ensures organizational representatives have adequate information to address any contract issues that may arise from CATMS CMB actions.</li> <li>• Arranges or calls special CATMS CMB meetings, if required.</li> </ul>
CATMS CMB Members	<ul style="list-style-type: none"> <li>• Evaluate the impact of proposed changes.</li> <li>• Provide necessary funding, resources and scheduling for the implementation of all System Change Requests approved by CATMS CMB within limits of the budget.</li> <li>• Maintain a thorough understanding of the CATMS CMB and the CM processes.</li> <li>• Represent the interests of their organization at all meetings while recognizing that CATMS applications are enterprise solutions.</li> <li>• Respond to actions items assigned by the CATMS CMB.</li> </ul>
EITSD Advisory Members	<ul style="list-style-type: none"> <li>• Provide technical insight and advice to CATMS CMB members.</li> <li>• From a testing perspective, assess the impact of proposed changes.</li> <li>• Ensure implementation of all changes to test scripts and plans required by CATMS CMB actions.</li> <li>• Manage requirements and traceability in the tools being used.</li> <li>• Maintain a current set of approved requirements at all times.</li> </ul>
EITSD Change Manager	<ul style="list-style-type: none"> <li>• Is responsible for overall management of the CATMS CMB.</li> <li>• Makes all meeting arrangements including the distribution of advanced notification and proposed agenda.</li> <li>• Collects and consolidates meeting materials for review in advance of each meeting.</li> <li>• Serves as the recorder of each CATMS CMB meeting.</li> <li>• Records meeting notes and the disposition of proposed requirements.</li> <li>• Assigns action items, as required, and tracks each item to closure.</li> <li>• Tracks the status of approved requirements and ensures that approved requirements are properly documented within the WHS Enterprise Configuration Management application.</li> </ul>
Appellate Authority	<ul style="list-style-type: none"> <li>• Reviews technical or functional issues for CMB on behalf of voting members for final resolution.</li> </ul>

GLOSSARY

ABBREVIATIONS AND ACRONYMS

AO	action officer
CATMS	Correspondence and Task Management System
CM	change management
CMB	change management board
CMD	Correspondence Management Division
CMO	Correspondence Management Office
DA	Director of Administration
DTM	Directive-type Memorandum
EITSD	Enterprise Information Technology Services Directorate
GC DoD	General Counsel of the Department of Defense
IG DoD	Inspector General of the Department of Defense
JSAP	Joint Staff Action Processing
NIPRNET	Nonsecure Internet Protocol Router Network
OCR	office of coordinating responsibility
OIG DoD	Office of the Inspector General of the Department of Defense
OPR	office of primary responsibility
PII	personally identifiable information
RDS	Records Disposition Schedule
SACCP	Staff Action Coordination and Control Portal
SD	Secretary of Defense
SIPRNET	SECRET Internet Protocol Router Network
WHS	Washington Headquarters Services