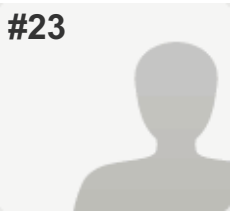


#23



COMPLETE

Collector: Email Invitation 1 (Email)
Started: Thursday, October 22, 2015 3:23:33 PM
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Time Spent: Over a month
Email: yashmina.reed@dodis.mil
Custom Data: None
IP Address: 214.3.138.230

PAGE 1

Q1: Name of Component

Defense Intelligence Agency

PAGE 2: Section I: Steps Taken to Apply the Presumption of Openness

Q2: Did your Component conduct FOIA training, covering the application of the law and policy, for FOIA professionals during this reporting period?

Yes,

If yes, please provide details (i.e. the number of conferences or trainings held; description of topics covered; estimate of the number of participants from your Component.) Do not include IT tools training which is addressed later in this survey.
Subject Matter Experts FOIA Training (individuals performing reviews) – This training covered the openness in government; Agency responsibilities; FOIA tasking processes and procedures; FOIA exemptions; and preparing records for release.
Estimated 65 participants Bi-Annual FOIA POC Meeting – This session covered the following topics: 1. Highlight of DOD/DOJ Policy Changes 2. Tasking Requirements 3. FOIA Challenges 4. RedactXpress
Estimated 15 participants Agency’s Staff Directors Meeting – This session covered the following topics: 1. FOIA Overview 2. FOIA Roles and Responsibilities 3. Tasking Guidance 4. FOIA & Litigation Challenges 5. Training Opportunities
Estimated 30 participants In-House FOIA Training (FOIA Staff) – These training sessions covered the following topics: 1. Using the proper security classification coversheets 2. FOIA litigation processing 3. Biographical Reports/Exemption 6 4. How to handle previously processed documents 5. Cases Notes & Inventories; Organizing the case folder

Q3: If no, please explain why your Component did not hold training, such as if training offered by other components/agencies was sufficient.

Respondent skipped this question

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Q4: Did your FOIA professionals attend FOIA training? If so, please indicate the source of the training. (Check as many that apply)

DoD-wide FOIA/PA Training Workshop,
Department of Justice,
Component-sponsored training,
Additional Comments
DIA's FOIA professionals also attended FOIA training at the Graduate School USA.

Q5: Provide an estimate of the percentage of your FOIA professionals who attended FOIA training during this reporting period.

100%

Q6: If less than 80% of your FOIA professionals attended training, please explain your component's plan to ensure that all FOIA professionals receive or attend substantive FOIA training during the next reporting year.

Respondent skipped this question

Q7: Did your FOIA professionals engage in outreach and dialogue with the requester community or open government groups regarding your administration of the FOIA? - This question addresses outreach that is conducted outside of the individual request or appeal process. For example, outreach activities can include engaging with frequent requesters by holding meetings or events which include them, conducting surveys or otherwise soliciting requester feedback, or participating in any other requester initiatives coordinated by your Component or by others, such as OIP.

Yes,
If yes, please briefly discuss the engagement. Participated in ODNI's IC FOIA Officers Information Day. FOIA requester, Mr. Steven Aftergood, Federation of American Scientists was the guest speaker.

Q8: If you did not conduct any outreach during the reporting period, please explain why.

Respondent skipped this question

PAGE 3: Discretionary Releases

Q9: Does your Component have a distinct process in place to review records for discretionary release? During the reporting period, did you ...

Ask document owners to take another look at portions they have asked to withhold
,
Send packages to a legal advisor when document owners recommended withholding information under exemption 5

Q10: Did your Component make any discretionary releases of otherwise exempt information? If yes, please check the exemptions that would have been used.

Exemption 5

Q11: Provide a narrative description, or provide examples of the types of information that your Component released as a matter of discretion.

DIA has made releases with deliberative process information.

Q12: If your Component did not make discretionary releases, please explain why.

N/A

Q13: Describe any efforts your Component has undertaken to inform non-FOIA professionals of their obligations under the FOIA.

DIA is in the process of preparing for our subject matter experts to take OIP's FOIA for all Federal Employees during calendar year 2016.

Q14: If there are any other initiatives undertaken by your Component to ensure that the presumption of openness is being applied, please describe them here. If the initiatives are online, please provide links in your description.

N/A

PAGE 4: Section II: Steps Taken to Ensure that Your Component Has an Effective System in Place

Q15: For Fiscal Year 2015, what was the average number of days your Component reported for adjudicating requests for expedited processing? (Please see Section VIII.A of your Component's Fiscal Year 2015 Annual FOIA Report.)

Did Not Adjudicate Any Requests for Expedited Processing

Q16: If your Component has a decentralized FOIA process, has your Component taken steps to make the routing of misdirected requests within your Component more efficient?

No

Q17: Has your Component implemented the 2 July 2015 OIP Guidance on the proper procedures to be used, including affording requesters thirty working days to respond, in the event there is a reason to inquire whether a requester is still interested in the processing of his or her request?

Did not send any Still Interested letters.

Q18: The FOIA calls on agency FOIA Requester Service Centers and FOIA Public Liaisons to assist requesters in resolving disputes. Please explain any steps your Component has taken to strengthen these services to better inform requesters about their requests and to prevent or resolve FOIA disputes. Also, if no steps have been taken to strengthen these services, please explain that here.

DIA continues to provide requesters with the current status of their requests. We prepare and send out to requesters, a status letter concerning the processing of their requests annually. This letter explains where their request is in the process along with the explanation of the process step that it is in. Also, we provide an overall queue number for that request.

Q19: How are customer complaints/concerns handled within your Component? Choose all that apply.

FOIA Caseworkers speak directly with requesters ,
FOIA Requester Service Center Representatives handle complaints/concerns
,
FOIA Public Liaisons handle complaints/concerns

Q20: If there are any other steps your Component has undertaken to ensure that your FOIA system operates efficiently and effectively, such as conducting self-assessments to find greater efficiencies, improving search processes, eliminating redundancy, etc., please describe them here.

Conducted FOIA trainings to subject matter experts for understanding of the FOIA and the appropriate application of the FOIA exemptions. Provided desk-top training on the use of a electronic redaction tool for subject matter experts use. This tool has aided in reducing processing time. Performed quality review of all open cases at the beginning of each year to ensure cases are ready for the next step in the process.

PAGE 5: Section III: Steps Taken to Increase Proactive Disclosures

Q21: Describe your Component's process or system for identifying "frequently requested" records required to be posted online under Subsection (a)(2) of the FOIA.

When a record has been identified as being "previously processed," it is annotated on the case inventory. During the final review stage, the FOIA Chief notifies a FOIA professional to process the records for posting in the FOIA website.

Q22: Does your Component have a distinct process or system in place to identify records (other than "frequently requested" records) for proactive disclosure?

Yes,

Describe your Component's process or system for identifying "frequently requested" records required to be posted online under Subsection (a)(2) of the FOIA.

At the end of each month, closed cases are reviewed to identify other records for posting. As of 1 August 2015, DIA is participating in the "Release to One, Release to All" pilot program. Therefore, all releases are being processed for posting.

Q23: When making proactive disclosures of records, are your Component's FOIA professionals involved in coding the records for Section 508 compliance or otherwise preparing them for posting?

Yes,

If yes, please provide an estimate of how much time (actually posting/loading/making accessible, i.e., not doing FOIA review) is involved for each of your FOIA professionals (not the web team or IT personnel) and your Component overall.

Prior to the "Release to One, Release to all" pilot program, the average time involved in preparing the records for posting was three hours per month. Since starting the pilot program, the average time has increased to 17 hours per month. As of 1 December 2015, the documents posted for the month of November 2015 are 508 compliant. DIA just completed formatting all previously posted documents from August 2015 -September 2015 to be 508 compliant which will be re-posted at the end of December 2015 through early January 2016.

Q24: Has your Component encountered challenges that make it difficult to post records you otherwise would like to post?

Yes,

If yes, briefly describe those challenges.

The current manpower level does not allow for more timely posting of records due to other priorities within the FOIA office.

Q25: Has your Component proactively disclosed material during the past reporting year?

Yes,

If yes, please provide examples including links to the posted material.

News articles about DIA sponsored or attended events, history articles about DIA and Congressional speeches and testimonies.

www.dia.mil/News/SpeechesandTestimonies.aspx

www.dia.mil/News/Articles.aspx

www.dia.mil/News/DIAintheNews.aspx

Q26: Did your Component use any means (social media, RSS feeds, email subscription, etc.) to publicize or highlight important proactive disclosures for public awareness?

Yes,

If yes, please describe those efforts. DIA routinely posts updates to the web page at www.dia.mil and updates when appropriate to its official social media presences on Facebook, Twitter, and YouTube.

Q27: If there are any other steps your Component has taken to increase proactive disclosures, please describe them here.

N/A

PAGE 6: Section IV: Steps Taken to Greater Utilize Technology

Q28: Beyond posting new material, is your Component taking steps to make the posted information more useable to the public, especially to the community of individuals who regularly access your Component's website?

Yes,

If yes, please describe and provide examples. Steps can include soliciting feedback on the content and presentation of posted material, improving search capabilities on your Component website, posting material in open formats, making information available through mobile applications, providing explanatory material, etc. Participating in the "Release to One, Release to All," pilot program to make documents available in 508 compliant format.

Q29: Have your Component's FOIA professionals interacted with other agency staff (such as technology specialists, public affairs or communications professionals) in order to identify if there are any new ways to post agency information online?

Yes,

If yes, please elaborate. Yes, the FOIA office has partnered with the Office of Corporate Communications to explore better ways to make the information searchable and readily available on the FOIA web page.

Q30: Did your Component conduct training for FOIA staff on any new processing tools during the reporting period, such as for a new case management system, or for search, redaction, or other processing tools? Please note that this question is not regarding substantive training on the FOIA itself.

Yes

Q31: Beyond using technology to redact documents, is your Component taking steps to use more advanced technology to facilitate overall FOIA efficiency, such as improving record search capabilities, utilizing document sharing platforms for consultations and referrals, or employing software that can sort and de-duplicate documents?

Yes,

If yes, please describe the technological improvements. Yes, the Agency has purchased a component of our current FOIA processing database to sort and de-duplicate documents. We are in the testing phase of installing the feature.

Q32: Are there additional tools that could be utilized by your Component to create further efficiencies?

Yes, we are exploring the utilization of document sharing platforms for consultations and referrals.

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Q33: Did your Component successfully submit all four quarterly reports for Fiscal Year 2015?

Yes,

If no, please explain why and provide your Component's plan for ensuring successful reporting in Fiscal Year 2016.
DIA provides quarterly reports to DoD for submission to DoJ.

Q34: Do your Component's FOIA professionals use e-mail or other electronic means to communicate with requesters whenever feasible?

Yes,

If yes, what are the different types of electronic means are utilized by your Component to communicate with requesters? If decentralized, please indicate whether all components use email or other electronic means to communicate with requesters.
DIA provides electronic means of communicating with requesters on a daily basis. Services are provided through the FOIA Requester Service Center and on-line FOIA in-box.

Q35: If your Component does not communicate electronically with requesters as a default, are there any limitations or restrictions for the use of such means?

If yes, does your Component inform requesters about such limitations? If decentralized, please indicate whether any of your components have specific limitations or restrictions for the use of such means and if those components have informed requesters of the limitations.
N/A

PAGE 7: Section V: Steps Taken to Improve Timeliness in Responding to Requests and Reduce Backlogs

Q36: Does your Component utilize a separate track for simple requests?

Yes

Q37: For Fiscal Year 2015, was the average number of days to process simple requests twenty working days or fewer?

Yes

Q38: Please provide the percentage of requests processed by your Component in Fiscal Year 2015 that were placed in your simple track.

47%

Q39: If your Component does not track simple requests separately, was the average number of days to process all non-expedited requests twenty working days or fewer?

Additional comments N/A

Q40: If your Component had a backlog of requests at the close of Fiscal Year 2015, did that backlog decrease as compared with the backlog reported at the end of Fiscal Year 2014?

No

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Q41: If your backlog did not decrease, please explain why and describe the causes that contributed to your Component not being able to reduce its backlog. When doing so, please also indicate if any of the following were contributing factors:

An increase in the number of incoming requests ,
A reduction of staff; to include a loss of contractors ,
An increase in the complexity of the requests received. Please describe immediately below.
,
Include any other reasons that may apply
DIA did meet the expected goals due to the significant increase of FOIA litigation, the number of complex cases remaining in the backlog and the loss of contract support (25% manpower reduction). Also, to meet stringent court deadlines, FOIA resources were realigned from case closure production to support DIA's FOIA litigation.

Q42: If you had a request backlog please report the percentage of requests that make up the backlog out of the total number of requests received by your Component in Fiscal Year 2015.- To calculate your Component's percentage, you must divide the number of backlogged requests reported in Section XII.A. of your Fiscal Year 2015 Annual FOIA Report by the number of requests received in Fiscal Year 2015, which can be found in Section V.A. of your Annual FOIA Report. Once divided, you can multiply that number by 100 to get the percentage.

101%

Q43: If your Component had a backlog of administrative appeals at the close of Fiscal Year 2015, did that backlog decrease as compared to Fiscal Year 2014?

Yes

Q44: If your backlog of appeals did not decrease, please explain why and describe the causes that contributed to your Component not being able to reduce its backlog of appeals. When doing so, please also indicate if any of the following were contributing factors:

Include any other reasons that may apply NA

Q45: If you had an appeal backlog please report the percentage of appeals that make up the backlog out of the total number of appeals received by your Component in Fiscal Year 2015. To calculate your Component's percentage, you must divide the number of backlogged appeals reported in Section XII.A. of your Fiscal Year 2015 Annual FOIA Report by the number of appeals received in Fiscal Year 2015 which can be found in Section V.A.. Once divided, you can multiply that number by 100 to get the percentage.

183%

Q46: If you reported a backlog of FOIA requests in Fiscal Year 2014, did your Component implement a backlog reduction plan last year? If so, describe your Component's efforts in implementing this plan and note if you were able to achieve backlog reduction in Fiscal Year 2015.

No

Q47: If your Component had a backlog of more than 1,000 requests in Fiscal Year 2015, what is your Component's plan to reduce this backlog during Fiscal Year 2016?

Not applicable

Q48: In Fiscal Year 2015, did your Component close the ten oldest requests that were pending as of the end of Fiscal Year 2014?

No,

If not, how many did you close? If you had less than "ten" total "oldest requests to close, please so indicate. For example, if you only had seven requests listed as part of your "ten oldest" in Section VII.E. and you closed two of them, you should note that you closed two out of seven "oldest" requests. DIA closed nine out of ten oldest requests.

Q49: Of the requests your Component was able to close from your ten oldest, please indicate how many of these were closed because the request was withdrawn by the requester. If any were closed because the request was withdrawn, did you provide any interim responses prior to the withdrawal?

N/A

Q50: In Fiscal Year 2015, did your Component close the ten oldest administrative appeals that were pending as of the end of Fiscal Year 2014?

No,

If not, how many did you close? If you had less than "ten" total "oldest appeals to close, please so indicate. For example, if you only had seven appeals listed as part of your "ten oldest" in Section VII.E. and you closed two of them, you should note that you closed two out of seven "oldest" appeals. DIA closed six out of ten oldest appeals.

Q51: In Fiscal Year 2015, did your Component close the ten oldest consultations that were pending as of the end of Fiscal Year 2014?

Yes

Q52: Please explain the obstacles your Component faced in closing its ten oldest requests, appeals, and consultations from Fiscal Year 2014.

FOIA - Number two of ten oldest FOIA cases was not closed due to the complexity and volume of documents to process.

Appeals – Numbers four, nine and ten oldest appeal cases were not closed due to the complexity and volume of document to process. NOTE: Number nine of ten oldest appeal closed on 13 October 2015. Number eight of ten oldest appeal cases did not close due to awaiting response from another government agency.

Q53: If you were unable to close any of your ten oldest requests or appeals because you were waiting to hear back from other agencies on consultations you sent, please provide the date the request was initially received by your Component, the date your Component sent the consultation, and the date when you last contacted the agency where the consultation was pending.

#8 of 10 oldest Appeals:

Date request initially received: 29 August 2009

Date consultation sent: 24 February 2015

Date(s) contacted the agency as follows:

- 20 May 2015 via email (OGA response – may need more time due to volume/subject matter)
- 17 Jul 2015 via email (OGA response – docs being reviewed; ECD 22 Jul 2015)
- 28 Aug 2015 via phone (OGA response – still reviewing)
- 23 Sep 2015 via phone (OGA response – still reviewing)
- 26 Oct 2015 via phone (OGA response – still reviewing)
- 24 Nov 2015 via phone & email (no response)
- 30 Nov 2015 via phone (no response)
- 1 Dec 2015 via phone (OGA response – ECD: end of December 2015)

Current Status: Referred to OGA for Review & Return

Q54: If your Component did not close its ten oldest pending requests, appeals, and consultations, please provide a plan describing how your Component intends to close those "ten oldest" requests, appeals, and consultations during Fiscal Year 16.

DIA has assigned individuals responsible to process the oldest ten cases in each request category during this fiscal year. Monthly meetings are held to discuss status and estimated completion dates of processing steps. These efforts should position DIA to close the oldest ten cases in each category in FY 2016.

PAGE 8: Interim Responses

Q55: Does your agency have a system in place to provide interim responses to requesters when appropriate?

Respondent skipped this question

Q56: If your Component had a backlog in Fiscal Year 2015, please estimate the percentage of the backlog cases where a substantive, interim response was provided, even if the request was not finally closed.

None.

PAGE 9: Use of FOIA's Law Enforcement "Exclusions"

Q57: Did your Component invoke a statutory exclusion during Fiscal Year 2015?

No

PAGE 10: Spotlight on Success

Q58: Since submission of your last Chief FOIA Officer Report, out of all the activities undertaken by your Component to increase transparency and improve FOIA administration, describe success stories you would like to highlight as emblematic of your Component's efforts.

DIA is currently participating in the "Release to One, Release to All" six-month pilot program to increase the number of proactive disclosures.

Q59: Please provide the total cost for compiling this Chief FOIA Officer Report submission, based on the time spent by subcomponents and your component in preparing the report. The cost includes communications regarding the report, writing emails, verbal, phone, etc, any internal presentations and preparations for presentations, technical support, contractor costs, etc.

\$247.45
