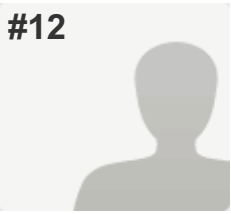


#12



COMPLETE

Collector: Email Invitation 1 (Email)
Started: Monday, November 14, 2016 10:49:00 AM
Last Modified: Friday, November 18, 2016 2:19:28 PM
Time Spent: Over a day
Email: yashmina.reed@dodis.mil
IP Address: 214.3.138.230

PAGE 1: Please use the online tool to submit your 2017 Chief FOIA Officer Report.

Q1: Name of Component

Defense Intelligence Agency

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

Q2: 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,
 American Society of Access Professionals (ASAP),
 Component-sponsored training

Q3: Provide the total number of FOIA professionals (full time and full time equivalent rounded-up) in your component who attended FOIA training during this reporting period.

21-30

Q4: If less than 80% of your component's FOIA professionals attended training, please explain the plan to ensure that all your FOIA professionals receive or attend substantive FOIA training during the next reporting year.

Our plan to train at least 80% of our FOIA professionals next year is:
 N/A

Q5: Did your component conduct FOIA training, covering the application of the law and policy, for your component's 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; estimated number of participants) Do not include FOIA IT tools training which is addressed later in this survey.
 -Subject Matter Experts & Task Managers 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 10 participants. -In House FOIA Training (FOIA Staff) - These training sessions covered the following topics: 1. Case Notes & Inventories; 2. Organizing Case Folder; 3. DIA Directorates Equities; 4. Correspondence (letter language); estimated 20 participants per training session.

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Q6: If no, please explain why your component did not hold training.

Other (please specify) N/A

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 the American Society of Access Professionals, Inc. (ASAP) 9th Annual National Training Conference. FOIA requesters, Mark Zaid, Law Office of Mark S. Zaid, P.C, Brad Heath, USA Today, and Nate Jones, National Security Archive were guest speakers. Discussed how great customer service from the Agency, collaborating and engaging with the requester community, can make the agency's FOIA process more efficient, eliminate the challenges to processing requests in a timely manner, and reduce the number of requester disputes.

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

N/A

Q9: Describe any efforts your component has undertake to inform non-FOIA professionals of their obligations under the FOIA.

DIA has provided training sessions to Directorate Subject Matter Experts (SME) regarding their obligations under the FOIA.

Q10: 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 3: Section II: Steps Taken to Ensure that Your Component Has an Effective System in Place

Q11: For Fiscal Year 2016, if your component's average number of days to adjudicate requests for expedited processing was more than ten days, please describe the steps you will take to ensure that requests for expedited processing are adjudicated within ten calendar days or less. (Please see Section VIII.A of your Component's Fiscal Year 2015 Annual FOIA Report.)

N/A

Q12: During the reporting period, did your component conduct a self-assessment of its FOIA program?

Yes,

If yes, please describe the methods used, such as reviewing Annual Report data, using active workflows and track management, reviewing and updating processing procedures, etc.. Conducted quality review of all open cases at the start of each year to ensure cases are ready for the next step in the process. Updated the Standard Operating Procedures (SOP) on the FOIA process. Also, scheduled for an OIG inspection in early December 2016.

2017 DoD Chief FOIA Officer Report

Q13: Please provide an estimate of how many requests your component processed in Fiscal Year 2016 that were from commercial use requesters.

None

Q14: Does your component provide a mechanism for requesters to provide feedback about their experience with the FOIA process at your agency?

No

Q15: The FOIA Improvement Act of 2016 requires additional notification to requesters about the services provided by the component's FOIA Public Liaison. Please provide an estimate of how often requesters sought assistance from your FOIA Public Liaison.

Other (please specify)
This information is not tracked for reporting.

Q16: If there are any other steps your component has undertaken to ensure that your FOIA system operates efficiently and effectively, such as improving search processes, eliminating redundancy, etc., please describe them here.

At the start of each fiscal year, we provide requesters a status of their requests. Provided FOIA trainings to subject matter experts for understanding of the FOIA and the appropriate application of FOIA exemptions. Performed quality check reviews of all responses prior to final signature. Added additional manpower to support the search processes to reduce the amount of wait time.

PAGE 4: Section III: Steps Taken to Increase Proactive Disclosures

Q17: Describe your component's process or system for identifying "frequently requested" records required to be posted online under Subsection (a)(2) of the FOIA.

Other, see below,
Other (please specify)
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 on the FOIA website. As of 1 November, DIA will start to post all releases on the webpage

Q18: Does your component have a distinct process or system in place to identify records for proactive disclosure? This question is not asking about "frequently requested" records.

No,
If yes, please describe your component's process or system.

Q19: 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 and how you are working to overcome them.
Lack of resources/manpower and other priorities within the FOIA office did not allow for timely posting of records. With the recent increase of manpower, DIA should be able to post documents in a more timely manner.

Q20: 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, Congressional Speeches and Testimonies.
www.dia.mil/News/Speeches-and-Testimonies
www.dia.mil/News/Articles www.dia.mil/News/DIA-in-the-News

Q21: 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 presence on Facebook, Twitter, and YouTube.

Q22: If there are any other steps your component has taken to increase proactive disclosures, please describe them here. For instance, using web analytics or engaging requesters to assist in determining what to post.

N/A

PAGE 5: Section IV: Steps Taken to Greater Utilize Technology

Q23: 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 posted material, improving search capabilities on your component website, posting material in open formats, making information available through mobile applications, providing explanatory material, etc.
All documents posted are in 508 compliant format.

Q24: Have your component's FOIA professionals interacted with other staff (such as technology specialists, public affairs or communications professionals in your component) in order to identify if there are any new ways to post agency information online?

Yes,

If yes, please elaborate.
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.

Q25: Did your component conduct training for FOIA staff (personnel such as attorneys, action officers, coordinators, contractors, etc. whom routinely work with FOIA) on any new IT FOIA 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

Q26: 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 and the impact on your FOIA Request processing.

The Agency purchased a component of our current FOIA processing database to sort and de-duplicate documents. Due to the security requirements, this product is currently in the testing phase.

Q27: 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.

PAGE 6: Section V: Steps Taken to Improve Timeliness in Responding to Requests and Reduce Backlogs

Q28: If your component's FOIA Request backlog did not decrease, please explain why and describe the causes that contributed to your inability to reduce the request backlog. Also, please indicate if any of the following were contributing factors:

The FOIA Request backlog did not decrease because the number of incoming requests increased ,

The FOIA Request backlog did not decrease because of a reduction of staff; to include a loss of contractors ,

The FOIA Request backlog did not decrease because the complexity of requests increased ,

Include any other reasons that may apply
The recent high volume of FOIA litigations significantly impacted DIA's ability to reduce the FOIA backlog. The realignment of manpower was needed to meet stringent court deadlines. Also, due to the Agency transition to another IT operating system, we experienced a high number of technical issues with database/network.

Q29: If your component's backlog of appeals did not decrease, please explain why and describe the causes that contributed the inability to reduce the appeals backlog. Also, please indicate if any of the following were contributing factors:

Our appeals backlog did not decrease because of a reduction of staff; to include a loss of contractors ,

Our appeals backlog did not decrease because the complexity of the appeals increased ,

Include any other reasons that may apply
Also, lack of resources/manpower and technical issues with database/network.

Q30: If you reported a backlog of FOIA requests in Fiscal Year 2015, did your component implement a backlog reduction plan in Fiscal Year 2016? If so, describe your component's efforts in implementing this plan and note if you were able to achieve backlog reduction in Fiscal Year 2016.

No

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Q31: If your Component had a backlog of more than 1,000 requests in Fiscal Year 2016, what is your Component's plan to reduce this backlog during Fiscal Year 2017?

See plan below,

Please describe your plan here.
The Agency has funded contractor support to assist in different areas of the FOIA process. This may not get a backlog reduction in FY17 but maybe bring the backlog back to the green.

Q32: In Fiscal Year 2016, did your component close the ten oldest requests that were pending as of the end of Fiscal Year 2015?

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 and you closed two of them, you should note that you closed two out of seven "oldest requests".

DIA closed eight out of ten oldest requests.

Q33: 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?

We did not have any "ten oldest" requests withdrawn by the requester

Q34: In Fiscal Year 2016, did your component close the ten oldest appeals that were pending as of the end of Fiscal Year 2015?

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 and you closed two of them, you should note that you closed two out of seven "oldest" appeals.

DIA closed eight out of ten oldest appeals.

Q35: In Fiscal Year 2016, did your component close the ten oldest consultations that were pending as of the end of Fiscal Year 2015?

Yes

Q36: Please explain the obstacles your component faced in closing its ten oldest requests, appeals, and consultations from Fiscal Year 2015.

We did have "ten oldest" in FY 15 and the obstacles we faced are:

Obstacles faced in closing our ten oldest requests and appeals were lack of resources, complexity and volume of records to be processed, realignment of manpower to process priority litigation cases to meet court deadlines and technical issues with our database/network. DIA was unable to close #5 of the ten oldest FOIA requests - awaiting a response from OGA; #9 is very complexity and overlaps with a litigation case. DIA was unable to close #2 and #4 of the ten oldest Appeals due to lack of resources, complexity and technical issues.

2017 DoD Chief FOIA Officer Report

Q37: 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 case number, 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.

We had some "ten oldest" held up by consultations and here's the requested information:

The case number and dates requested in this question are:
#5 of 10 oldest FOIA requests: Date request initially received: 29 January 2003 Date consultation sent: 25 February 2016 Date(s) contacted the agency as follows: - 9 May 2016 via e-mail (no record of response from OGA) - 12 July 2016 via e-mail (no record of response from OGA) - 3 August 2016 via e-mail (OGA response - cannot complete review this FY; will respond in early FY17) - 4 November 16 via e-mail (OGA response - checking on status; to reconnect in December 2016)

Q38: 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 2017.

Our plan:
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. Continuous communication with other government agencies on the status of the consultations. Contractor support back on board. These efforts should position DIA to close the oldest ten cases in each category in FY 2017.

Q39: Does your component have a system in place to provide interim responses to requesters when appropriate?

No

Q40: If your component had a backlog in Fiscal Year 2016, please estimate the percentage of the backlog cases where a substantive, interim response was provided, even if the request was not finally closed.

Other (please specify) None

PAGE 7: Spotlight on Success

Q41: 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.

Despite the obstacles DIA faced in FY 2016, the FOIA team was still able to close eight of the ten oldest FOIA and Appeals requests and ten of the ten oldest Consultations.

Q42: Please provide information so we can compute the cost for compiling this Chief FOIA Officer Report. Insert the equivalent grade and number of hours spent by your component on preparing this response. For instance: GS 9, Step 2 / 2.5 Hours; GS 15 Step 5 / 0.5 Hours. We will use a separate mandated tool that calculates total costs tied to personnel grade levels in aggregating the responses for the final DoD Report.

GG-13 Step 7 / 9.0 hours.

PAGE 8: This is the final page.

Q43: When you click "Done" the report will be submitted and you cannot make additional changes.

Respondent skipped this question
