#28

COMPLETE

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Page 1: Please use the online tool to submit your 2020 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)

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.

11-20

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.

80% or more of our FOIA professionals attended training ,
Our plan to train at least 80% of our FOIA professionals next year is::
At least 80% or more of DIA FOIA professionals attended FOIA-related training, including 'FOIA open days' (DOJ/ODNI/DOD), ASAP, FOIAxpress/vendor-specific, DIA-sponsored events. DIA leadership strongly supports FOIA officers attendance at FOIA-related training/professional development/community collaborative events.

Q5 Did your FOIA professionals engage in structured 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 holding meetings with frequent requesters, conducting surveys or otherwise soliciting requester feedback, or participating in any other requester initiatives coordinated by your Component or by others, such as OIP.

No

Q6 Describe any efforts your component has undertake to inform non-FOIA professionals of their obligations under the FOIA.

DIA conducted multiple training sessions to Directorate Subject Matter Experts (SMEs). The training included an introduction to the Freedom of Information Act (FOIA), explanation of the relevant FOIA exemptions, and factors to consider in making withholding decisions for external/internal responses; number of attendees = 21. In FY19, DIA established an Embed Program within the Directorates in which, two Senior Information Officers are currently assigned. The embed program also offered training sessions to Directorate SMEs regarding the handling of FOIA requests, application of the FOIA exemptions and their obligations under the FOIA; number of attendees = 77

Q7 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

Q8 For Fiscal Year 2019, 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 2019 Annual FOIA Report.)

N/A

Q9 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, or use of the OIP FOIA Self-Assessment Toolkit, etc..:

In FY19, DIA conducted a self-assessment that led contributed to its FOIA Backlog Improvement Plan, implementing it in FEB2019. The plan's multiple initiatives focus on organizational team/professionalization & training, process improvement, digitization/digital processing, and improved harnessing of available or planned additional resources. The #1 change is the implementation of 100% case officer lifecycle ownership of cases, which instills impetus and responsibility for case completion to individual officers away from the collective abdication of responsibility in an assembly line based process. The plan's investment toward mid-/long-term improvements will show a return toward positive results by end-FY2020. Additionally, DIA initiated all new cases being processed 100% digitally at time of case creation. This and other continuing process improvements, especially with plans for internal tasking, will make our workflows and processes simpler and lead to eventual faster processing and increased production.

Q10 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 the number of times requesters sought assistance from your FOIA Public Liaison during FY19.

1-15

Q11 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.

DIA initiated digital letterhead templates and electronic signatures for requester response letters. The intent is to keep FOIA case processing digital with no or minimal paper case
files during case-working. Officially, all documentation relating to the case is digitized in the FOIAxpress case file. This effort and the digitization of new incoming FOIA requests and the digitized out-processing of requester response letters realized at least 33% workflow efficiency at
the opening & closing of cases, additionally enabling reduction of 'admin' staff by 3 and shifting those resources toward case processing. DIA plans other continuing process improvements, especially for internal tasking of FOIA requests' search and subject matter expert review, that will
make our workflows and processes simpler and lead to eventual faster processing and increased production. Additionally, DIA is training an additional 5 quality control experts, more than doubling the current number, which will lead to faster processing and increased production.

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

Q12 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

Q13 Did your component identify records that have been requested and released three or more times (and are therefore required to be proactively disclosed pursuant to 5 U.S.C. § 552(a)(2)(D))?

No

Q14 Beyond posting new material, is your component taking steps to make the posted information more useful to the public, especially to the community of individuals who regularly access your component's website?

No, we already post material in the most useful format and those efforts are described immediately below.
,
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.:
Coordinate the posting of all FOIA releases to agency's website with the assistance of DIA's Office of Corporate Communications. This effort is completed monthly.

Q15 Are any other steps your component has taken to increase proactive disclosures?

No

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

Q16 Has your component identified any best practices to leverage 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 best practices, types of technology used, and the impact on your FOIA Request processing.:

DIA FOIA initiated processes in JUL2019, based on continued use of FOIAxpress, that digitize and keep digital all newly received requests. All information received via email or mail from a requester is kept digital or scanned in to the FOIAxpress case file. DIA initiated digital letterhead templates and electronic signatures for requester response letters. The intent is to keep FOIA case processing digital with no or minimal paper case files during case-working. Officially, all documentation relating to the case is digitized in the FOIAxpress case file. This effort and the digitization of new incoming FOIA requests and the digitized out-processing of requester response letters realized at least 33% workflow efficiency at the opening & closing of cases, additionally enabling reduction of 'admin' staff by 3 and shifting those resources toward case processing.

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

Q17 If your component's backlog of initial FOIA requests 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 of a reduction of staff; to include a loss of contractors

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

,

Include any other reasons that may apply:

DIA FOIA initiated radical organizational changes in FY19, including a total leadership change, a business decision not to exercise the option year for the incumbent FOIA support contract (9 FTEs) because the contract was not delivering the right skill-sets required for FOIA production/efficiency improvements, a radical disruption of incumbent/legacy workflows & processes to engage in process improvement initiatives, and multiple personnel actions designed to correct organizational deficiencies and improve the work environment and team morale. This disruption was planned understanding the short-term impact on FOIA productivity/performance, the efforts' investment toward mid-/long-term improvements will show a return toward positive results by end-FY2020. Additionally, DIA, like all IC-elements faces classified information processing challenges in responding to the complexity of FOIA consultation/referral cases. As a multi-source intelligence agency, DIA typically must collaborate with at least 16 IC members, dramatically complicating and slowing production and response times.

Q18 If your component's backlog of FOIA 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:

We do not have an appeals backlog, or the backlog decreased

Q19 If you reported a backlog of FOIA requests in Fiscal Year 2019, did your component implement a backlog reduction plan in Fiscal Year 2018? If so, describe your component's efforts in implementing this plan and note if you were able to achieve backlog reduction in Fiscal Year 2019

No,

If yes, please describe.:
In FY18, DIA did not yet develop or implement a FOIA Backlog Improvement Plan. After the results of the FY2018 IC IG FOIA Report, DIA developed its FY19 FOIA Backlog Improvement Plan and implemented it starting in FEB2019. The plan's multiple initiatives focus on organizational team/professionalization & training, process improvement, digitization/digital processing, and improved harnessing of available or planned additional resources. The #1 change is the implementation of 100% case officer lifecycle ownership of cases, which instills impetus and responsibility for case completion to individual officers away from the collective abdication of responsibility in an assembly line based process. The plan's investment toward mid-/long-term improvements will show a return toward positive results by end-FY2020.

Q20 If your Component had a backlog of more than 1,000 requests in Fiscal Year 2019, what is your Component's plan to reduce this backlog during Fiscal Year 2020?

See plan below,

Please describe your plan here.:
DIA's Backlog Improvement Plan focuses on organizational team/professionalization & training (senior SMEs incentivized to train peers/juniors), process improvement (100 questioning/examination of legacyand looking for ways to speed/simplify without sacrificing quality outputs; total revision of internal FOIA tasking across DIA-wide organizations to improve their search & review response times), digitization/digital processing (leveraging and getting training for FOIAxpress in conjunction with standard enterprise tools to utilize their maximum capabilities to speed production), and improved harnessing of available or planned additional resources (e.g. acquisition of FOIAxpress v10.5). DIA will continue mentoring the 100% case officer lifecycle ownership model, which prevents single points of failure and increases overall officer professionalization. The plan's investment toward mid-/long-term improvements will show a return toward positive results by end-FY2020.

Q21 In Fiscal Year 2019, did your component close the ten oldest requests that were pending as of the end of Fiscal Year 2018?

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 five out of ten oldest
requests.

Q22 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

Q23 Beyond work on the ten oldest requests, please describe any steps your component took to reduce the overall age of your pending requests.

**We did have "ten oldest" FOIA ,
request**
Describe the steps you took to reduce the overall age of your pending request::
Assigned analysts responsible for processing the oldest requests, held meetings to discuss the statuses/estimated completion dates (ECD), and for cases that required consultation, sent status requests to OGAs for ECD.

Q24 In Fiscal Year 2019, did your component close the ten oldest appeals that were pending as of the end of Fiscal Year 2018?

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 seven out of ten oldest
appeals.

Q25 Beyond work on the ten oldest appeals, please describe any steps your component took to reduce the overall age of your pending appeals.

**We did have "ten oldest" FOIA ,
appeals**
Describe the steps you took to reduce the overall age of your pending appeals::
Assigned analysts responsible for processing the oldest requests, held meetings to discuss the statuses/estimated completion dates (ECD), and for cases that required consultation, sent status requests to OGAs for ECD.

Q26 In Fiscal Year 2019, did your component close the ten oldest consultations that were pending as of the end of Fiscal Year 2018? This question is asking about your component's consultation queue. That is, requests that were sent to your component as a consultation from another component or agency (Section XII.C of the Annual Report).

No,

If not, how many did you close? If you had less than ten total "consults" to close, please so indicate. For example, if you only had seven consults and you closed two of them, you should note that you closed two out of seven "oldest" consults.:
DIA closed five out of ten oldest consults.

Q27 Please explain the obstacles your component faced in closing its ten oldest requests, appeals, and consultations from Fiscal Year 2019.

We did have "ten oldest" in FY19 and the obstacles we faced are::
The obstacles DIA faced in closing its ten oldest requests, appeals, and consultations were other competing priorities, complex/volume of records to process, and not receiving timely responses sent to OGAs for consultation.

Q28 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" delayed by consultations and here's the requested information:

,
The case number and dates requested in this question are::
DIA Appeal Case #0082-2012 Received Date: 05/02/2012 Consultation Date: 08/14/2019 (NOTE: consultations sent to 13 OGAs) Status Date: To date, no status requests were sent; analyst will follow-up w/OGAs. DIA Appeal Case #0041-2014 Received Date: 04/22/2014 Initial Consultation Date: 02/05/2015 (NOTE: it was determined on 01/29/2019 that the initial consults did not go out) 2nd Consultation Date: 03/18/2019 (NOTE: consultations sent to two OGAs) Status Date: 07/11/2019

Q29 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 2020.

Our plan: :
DIA will improve its results in closing 10 Oldest cases via continued execution of DIA's Backlog Improvement Plan. The plan, applied to 10 Oldest cases, focuses on organizational team/professionalization & training (senior SMEs incentivized to train peers/juniors), process improvement (100% questioning/examination of legacy and looking for ways to speed/simplify without sacrificing quality outputs; total revision of internal FOIA tasking across DIA-wide organizations to improve their search & review response times), digitization/digital processing (leveraging and getting training for FOIAxpress in conjunction with standard enterprise tools to utilize their maximum capabilities to speed production), and improved harnessing of available or planned additional resources (e.g. acquisition of FOIAxpress v10.5). DIA will continue mentoring the 100% case officer lifecycle ownership model, which prevents single points of failure and increases overall officer professionalization. The plan's investment toward mid-/long-term improvements will show a return toward positive results by end-FY2020, including improved achievement of closing 10 Oldest cases.

Page 7: Spotlight on Success

Q30 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.

Starting in the 4th quarter of FY19 and now executing in NOV2020, DIA initiated re-addressing DOJ/DOD guidance toward transparent communication with requesters, focusing on more timely updates and delivering the status of the request as SIMPLE or COMPLEX and an estimated completion date. This is new for DIA to focus specifically on trying to reasonably communicate
expected completion dates. All 1700+ backlog cases are individually being assesses by their respective case officers and letters are being sent to requesters with this status information. The process encourages case officers to engage with requesters to potentially narrow the request's scope
in order to achieve ultimately quicker results. Legacy practices restricted customer engagement to limited personnel; DIA is now encouraging, and will develop training/mentoring, that overall improves officer professionalization and their ability to confidently engage with requesters, which will increase overall transparency and public trust in DIA's handling of FOIA requests.

Q31 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 5 / 20.0 hours

Page 8: This is the final page.

Q32 When you click "Done" the report will be submitted and you cannot make additional changes.

Please contact DIA if you have any additional questions.