



governmentattic.org

"Rummaging in the government's attic"

Description of document:	Records concerning Freedom of Information Act (FOIA) processing at the State Department, 2003-2004
Requested date:	19-August-2004
Released date:	27-January-2009
Posted date:	24-May-2010
Date/date range of document:	28-March-2003 – first quarter 2004
Source of document:	Freedom of Information Act Request Office of Information Programs and Services A/GIS/IPS/RL U. S. Department of State, SA-2 Washington, D. C. 20522-8100 Fax: 202-261-8579 Electronic FOIA Request

The governmentattic.org web site ("the site") is noncommercial and free to the public. The site and materials made available on the site, such as this file, are for reference only. The governmentattic.org web site and its principals have made every effort to make this information as complete and as accurate as possible, however, there may be mistakes and omissions, both typographical and in content. The governmentattic.org web site and its principals shall have neither liability nor responsibility to any person or entity with respect to any loss or damage caused, or alleged to have been caused, directly or indirectly, by the information provided on the governmentattic.org web site or in this file. The public records published on the site were obtained from government agencies using proper legal channels. Each document is identified as to the source. Any concerns about the contents of the site should be directed to the agency originating the document in question. GovernmentAttic.org is not responsible for the contents of documents published on the website.



United States Department of State

Washington, D.C. 20520

JAN 27 2009

Case No.: 200403352
IPS Segment

In response to your request dated August 19, 2004 under the Freedom of Information Act (Title 5 USC Section 552), we conducted a search in the Office of Information Programs and Services (IPS) of the Bureau of Administration and retrieved 16 documents responsive to your request.

After reviewing these documents, we have determined that all may be released in full. All released material is enclosed.

The Freedom of Information Act provides for the recovery of the direct costs of searching for and duplicating records requested for non-commercial use. However, no fee is charged if the cost of collecting and processing the fee exceeds the amount of the fee. Since billable costs in this case do not exceed that amount, your request has been processed without charge to you.

We have now completed the processing of your case. If you have any questions, you may write to the Office of Information Programs and Services, SA-2, Department of State, Washington, DC 20522-8100, or telephone us at (202) 261-8484. Please be sure to refer to the case number shown above in all correspondence about this case.

We hope that the Department has been of service to you in this matter.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Margaret P. Grafeld', with a stylized flourish at the end.

Margaret P. Grafeld, Director
Office of Information Programs and Services

Enclosures:
As stated.

UNCLASSIFIED

200307499



RELEASED IN FULL

United States Department of State

Assistant Secretary of State
for Administration

II

2003 MAR 28 P 4: 03

Washington, D.C. 20520

March 28, 2003

INFORMATION MEMORANDUM
S/ES

UNCLASSIFIED

TO: M - Under Secretary Green

FROM: A - William A. Eaton *WAE*

SUBJECT: Operation Due Diligence - FOIA Backlog Reduction

We are pleased to report that Operation Due Diligence has succeeded in achieving its mid-year goal of reducing the FOIA backlog by 20% and is on track to meet the annual goal of 40% reduction by July. As the attached report demonstrates, the unprecedented investment in the FOIA program has resulted in unprecedented accomplishments, including the following:

- a near doubling of productivity levels over any previous six-month period,
- the completion of more than 3000 cases,
- the release of over 70,000 pages of State Department records,
- the creation of a new level of collaboration and teamwork, and
- the initiation of innovations with long term payoffs.

We look forward to continuing this success as we embark upon the second phase of Operation Due Diligence with FY03 funding and to reaching our full backlog reduction target, extending our streamlining effort throughout the Department, improving customer satisfaction, and ultimately, becoming a model FOIA program in the USG.

Attachment:
Operation Due Diligence Report

03-28-03P04:11 RCVD

Good

cl

3/3

UNCLASSIFIED

Drafted by: A/RPS:MPGrafe *[Signature]* Acting

UNCLASSIFIED
UNCLASSIFIED

UNCLASSIFIED

RELEASED IN FULL

DRAFT

April 9, 2003

ODD Plan

Ila

IPS CULTURE/WORKFLOW CHANGES

Publicize commitment to process SAS requests rapidly. – change RL/CR process
– make processing commitment.

Customer Service Training for Managers – change of culture in IPS.

CR Work Requirements

Training of Branch Chiefs on managing caseload, meaning of statistics, use of
Team Leaders

IPS Search first

Restart for MPD to make them current.

Consider re-configuration of RL/new role/additional role for AO

Identify Doc Listing/QC backlog issues

File closure project to be completed by _____. Identify solution(s) so
that backlog will not be repeated.

SYSTEM ENHANCEMENTS

System reports to monitor performance

Bar code scanners for control

User requirements for FREEDOMS enhancements after current planned
conversion

CUSTOMER SERVICE PLAN

Update Web site info – Phase 1 by May 2

Establish public phone line

Customer Service Training schedule training by May 15

Flash Sheets complete by April 25

On-the-Job phone training by May 2

UNCLASSIFIED

UNCLASSIFIED

2

How to Make a FOIA/PA request redraft by April 25

24-hour phone information line with script by June 30

Update Web Phase 2 (KPMG workflow request letter generator) by May 30 (must clear with A/DIR)

List of Microfiche verified, placed on web by June 30

ITARS and International Agreements, approvals obtained, AAS date for updating web?

Contact former INS to see if forms can be dual purpose on visa requests.

Update templates

OUTREACH

MED MOU for clearance 4/2003, finalize with MED by June 30.

Meeting with DS – identify resource needs

Identify problem/non-responsive Bureaus determine action needed
CA/OCS, CA/VO issues
DS
INR

State Department Magazine article on IPS – profiling our office. We can inform in that what the FOIA procedures are so that bureaus/offices tasked will know that we review the material, etc. We could also cover Records Management, research, INFOACCESS, etc.

MEET w/ CR TEAMS
MEET w/ CR BCs

UNCLASSIFIED

I/b

ACTION DUE DILIGENCE (ADD)

RELEASED IN FULL

BUILDING THE INFRASTRUCTURE

- Establishing and Staffing Backlog Reduction Teams
- Hiring McNeil Technologies
- Building a permanent FOIA infrastructure

FOCUS on GOALS, PROBLEM SOLVING

Due Diligence working Group

Project Plan

Analysis of Problems

Goal Setting – reduce FOIA backlog by 40% each yr over the next two years and streamline the process while improving response time.

COOPERATION/TEAMWORK

Publishing Backlog Reduction Figures

Cross Training

Working with Other IPS teams

Reaching Out to other Department Bureaus

SOLUTIONS

Increased Customer Satisfaction and work to ensure the backlog does not recur.

Developing New Procedures and Ideas

Reduce FOIA backlog by 40% each yr over the next two years and streamline the process while improving response time.

SUCCESS/RESULTS

26% Reduction of the Backlog

New Procedures Implemented to Reduce Backlog Buildup in the Future

I/c

Operation Due Diligence (update-9/03)**1.0 Project Plan:**

- Reduce backlog by 40% per year each year over the next two years;
- Improve the process of handling requests; and thereby
- Increase customer satisfaction by providing better access to Department of State records.

Executive Summary:

In FY2001, the Bureau of Administration developed a plan to remedy the deficiencies raised in a GAO report covering agencies' implementation of the EFOIA. The plan proposed catching up with past shortfalls while meeting ongoing operational demands through a three-pronged approach that identified the need for new resources--funding and people, temporary and permanent--in order to:

- A. Build a permanent FOIA workforce infrastructure to keep up with incoming workload, thereby preventing the buildup of a backlog;
- B. Build a permanent special project workforce infrastructure to avoid diverting of the existing permanent staff from closing FOIA cases; and
- C. Hire additional temporary staff to reduce the FOIA backlog by 40% each year over two years. Important in the planning is to review current procedures and redesign the research, review and out-processing so that quality and timeliness of responses to customer requests are improved. This objective of reducing the FOIA backlog and improving the process is the primary focus of Operation Due Diligence, keeping in mind that all three objectives are interdependent.

Introduction: In early 2002, steps were taken to initiate Operation Due Diligence. Progress was made in building a permanent FOIA Workforce to keep up with incoming workload and reduce the diversion of FOIA staff to other activities by augmenting the permanent staff. New FTE positions were purchased, new staff recruited, and by mid-year a contract was awarded to Mc Neil Technologies, a contractor offering a professional experienced information access support team.

2.0 Key Personnel:

- **Task Force Director:** Peter Sheils directs Operation Due Diligence.
- **Task Force Coordinators:** Pat Magin and Patrick Scholl manage daily operations of Force 2 (Magin) and Force 3 (Scholl), plan

UNCLASSIFIED

activities, and give progress reports and feedback to the Task Force Director.

Steering Committee - Reporting to Peter Sheils, comprised of Celeste Houser-Jackson, Pat Magin, Patrick Scholl, Kay Muse, Julie Wilhelm (in Wilhelm's absence Al Galovich), Tasha Thian and Audree Holton and meeting on a weekly basis.

- **Project Teams:** Each project team is comprised of staff drawn from the permanent work force, including program analysts, information analysts, WAEs (While Actually Employed) and contract personnel.
- **FREEDOMS System Assistance:** Celeste Houser-Jackson (IPS/AAS) and staff provide statistics from the "FREEDOMS" database that guide actions needed, produce progress reports and other key information. "FREEDOMS" database is a comprehensive tracking system that documents FOIA requests. Reports can be generated that describe completed and outstanding actions taken in FOIA and other cases, types and description of requests, personnel involved, and details of actions taken, including litigation.
- **State Archiving System (SAS) Searches** - IPS/AAS staff provide guidance on and assistance in conducting SAS searches requested by task force team members and the task force director.
- **Contract Assistance** - McNeil Technologies is the contractor selected for providing supplemental personnel required for case processing, review of requested material, and program support.

3.0 Objectives and Performance Measures:

- Hire additional temporary staff to reduce the FOIA backlog by 40% each year over two years. **Measure of Success:** FOIA backlog is reduced.
- Contractors are managed by the task force coordinators and demonstrate success by completion of assigned number of cases per week. **Measure of Success:** Permanent staff and contractors close specific number of cases per week determined by task force coordinators to reduce the backlog by the target date.
- Success of this project is dependent upon building a permanent workforce that can both (1) keep up with incoming requests and (2) reduce diversion of the existing FOIA staff to other projects, which in the past has significantly contributed to building a backlog. **Measure of Success:** FOIA staff assigned to CR team works exclusively on FOIA/PA requester satisfaction, is not diverted to special projects and does not incur a backlog of outstanding cases.

UNCLASSIFIED

4.0 Work Breakdown Structure: Major work elements and task descriptions.

Planning Phase

- **Construction of work space:**

Identify project team work space:

Alarms

Furniture

Cabling

Certification of facility

Technology

Location of Backlog Reduction Team

1. Relocated the microfilm, readers/printers and copiers
2. Added outlets, cable drops and furniture
3. Relocated FRUS, 25-year review team, and other staffs.

- **Size and Describe Outstanding Cases.** FREEDOMS systems experts (C. Houser-Jackson & staff) provide a printout of cases, including a list of all open cases before 2001 that have been identified for backlog reduction. Information provided includes a listing of all open cases with assigned lot numbers, open cases with no searches, open cases with all searches completed without identifying any documents (Oglesby cases) and open cases with only one ER actions pending. Completed on 11/02/02, and further analysis continues.

- **Reconciliation of Case Files**

- **Gathering Cases.**

1. Describe project needs, skills and talent, and compile overtime list of employees
2. Verify location of files in file room, offices, etc.
3. Train employees working overtime on reconciliation of cases.
4. Start collecting first 500 cases on list
5. Overtime - Start-up of Reconciling case files

5.0 User Requirements/Concept Definition:

To fulfill project goals:

- find space and equipment, define system acquisition,
- develop project team agenda,
- provide and document process improvement of changing culture
 - create performance standards
 - set benchmarks for success
 - document and review progress

UNCLASSIFIED

UNCLASSIFIED

- provide recommendations

6.0 Funding and Initial Planning Phase:

Workload Status

Number of Cases	Number of Cases
June 18, 2002	December, 2002 - 3,000 Cases closed
TOTAL 6214 (Begin FY 2002)	- 20% reduction

June 1, 2003 Closed 5756 CASES -40% backlog reduction 6 wks ahead of schedule

F	3432
FR	1302
P	875
PR	147
	5756

GOAL: for FY 2004
Final Goal is 1243

Spending Costs:

FY '02

		Planned	Actual
Personnel			
Overtime	5,000 hours	\$150,000	10,000
WAEs	20,400 hours	500,000	

Technology

Hardware/software	340,000	318,000
Telecommunications	50,000	150,000

Infrastructure

Workstations/supplies	150,000	156,000
TOTAL	\$1,190,000	634,000

Full year Performance Contractors

Support (8)-3-	810,000	(5) 329,000
Professional(12)-15-	1,600,000	(17) 1,581,000
Technical (3)	400,000	471,000
Reviewers (5)		(5) 996,000
TOTAL	2,810,000	3,377,000

7.0 INFRASTRUCTURE

A. People

- Award Contract - McNeil Technologies
- Selection: WAE's Contract Support staff
- Back Fill: Branch Chiefs & Deputy Directors
- Placement of Staff

UNCLASSIFIED

UNCLASSIFIED

- Performance Standards (by 11/15), work with Personnel staff for advertising temp. position (by 11/30)

Contract Awarded to McNeil Technologies - 22 contractors

Personnel Diverted from Permanent Infrastructure

Manager/Supervisors	7 FTE
WAEs	<u>5 FTE</u>
	12 FTE

Training of Staff

Off Site Training

Offsite Training

Orientation, Security Log-ons

Contract Training: DOC Listing, Research and Case Management

Training: WAE's Contracts Team

- On 9/24, 9/25, & 9/26, 2002, An orientation session was given for the new McNeil Technologies contract employees. P. Sheils, A. Ritchie, T. Thian, C. Houser-Jackson, C. Daley, K. White, R. Hampton, R. Dameron, P. Magin, J. Cruce, N. Murphy and S. Weetman gave briefings as an introduction to the IPS organization.

B. Technology: Hardware and Software, including FREEDOMS System Access, Telephones.

C. Security Upgrades: DS Certification of Facilities, Alarm Systems, Cabling. and System Wiring completed.

D. Facilities:

Management Backfill Selection of project team work space:

Construction

Furniture ordered and delivered

SA-2 Ordered and delivered.

Reading Room Ordered and delivered.

Move Microfilm to Basement

- Option A - relocate microfilm to basement location
- Option B - relocate microfilm to another 6th floor location
- Option C - make three personnel moves and relocate microfilm on the 6th floor.

Action taken: Option A for location of staff was selected. This option offered the least disruption of existing permanent staff and the most appealing location for the 30 plus project personnel located at SA-2 at a moderate cost.

Option A requires additional outlet and wiring for classified terminals to the sixth floor microfilm room, relocation of FRUS from the fourth floor to the sixth floor microfilm room, relocation of MPD staff to other areas of the 4th floor, relocation of other staff to the 6th floor, and the 25 year review team moving to the training room on the 1st floor.

UNCLASSIFIED

UNCLASSIFIED

SASe Additional Furniture to

Training Room

Reading Room

Develop 6th Floor Seating Plan

MPD Staff 4th Floor

Deloise Poindexter and Bob V. to 6th floor

Project Team to 4th Floor

Fill in for Project Staff/TVE Leave

Move Reading Room Items 1st Floor.

• Technology

Hardware Ordered/Delivered, Software Ordered/Delivered,
including FREEDOMS System Access, Telephones

SA-2

Install Hardware & Software

Activate Drops

Log-Ons for New Staff

Hardware & Software Ordered

SA-13- was ramped up and includes new electrical systems, ordering of telephones and other equipment. A scanning center and classified connectivity was established. Fax and copier equipment have been installed, office supplies provided, and systems are up and running with system access granted to the employees to be engaged in the Due Diligence effort. Four analysts in addition to two administrative officers are located at SA-13 and have started backlog reduction activities including research of retired records, document listing and other case processing efforts. Security procedures have been implemented, including the use and importance of security check sheets, door combinations storage of hard drives, and certification procedures. Equipment installed, drops activated, telephone wires/routers

Telephone Wires/Routers SA

Between SA-2 & SA-13

Freedoms Connectivity Established

8.0 Process Improvement

1. Better Analysis: Specialized reports have been developed that assist with monitoring and reporting status of cases, resulting in better tracking of cases. Continued analysis of pending cases, including workload analysis, better use of statistics and systems information in managing workload. Implement additional research activities to enhance capability through use of SAS, the Internet and better liaison with other DOS offices.

Workload Analysis:

UNCLASSIFIED

Pre-2002 cases targeted for backlog reduction grouped according to level of effort to close:

1. Number of cases with no searches and no reviews.
2. Number of cases with no searches outstanding and no documents.
3. Number of cases with no searches or reviews pending.
4. Number of cases with one ER search outstanding and no reviews pending.
5. Number of cases with no searches outstanding and one review pending.
6. Number of cases with one search and one review pending.
7. Number of all other cases.

Production Figures - The Project start figure of 6214 pending requests is the FOIA/PA backlog level as stated in the Department's Annual Report to Congress (begin FY2002). Success will be measured by the reduction in the number of pending FOIA/PA requests, both those direct to the Department and those referred to the Department by other federal agencies.

Analysis of FREEDOMS printouts

Description/type of Workload to be assigned

Incoming Requests

Evaluation and Performance Standards:

Identify skills and talent of contractors, workforce.

Analyze case types- difficult and simple cases, start recommendations for pairing of personnel with case types.

Scope of search, reasonable search defined.

Gantt chart progress.

2. **Improved Communication:** Goals are better defined and published periodically, progress reports are underscored; production levels and progress for team/branches are reported throughout the organization;

Periodic briefs to IPS on progress

Recognition of achievements

Bi-weekly meetings with Steering Committee

Ongoing Dialogue with Branches

Meetings with Branch, teams and offices; Gave briefing and tour to new VO contact.

Outreach to Bureaus- Memo drafted in June 03.

Detailing IPS personnel to other areas such as OCS (three contractors sent), others planned for DS, INR, etc.

Outreach to Decentralized Offices- Improved communications with PPT, VO, OCS, HR, and MED resulted in the coordination of the closing of cases and updating records. IPS FREEDOMS compared with holdings from PPT.

UNCLASSIFIED

UNCLASSIFIED

Conducted briefings for HR and PPT on the Due Diligence backlog project and HR and PPT's role as players in backlog reduction. (to do - outreach efforts with DS and completion of agreement with MED)

3. Training: Appoint a training coordinator and update the procedures guidelines updated and current.

4. FOIA Website: Establish a systematic approach for making selections for the FOIA website, an ad hoc group will approve selections nominated by the IPS staff. Candidates for selection will be based on repetition of demand for information and other factors. Nominations would be proposed in a one-page written format describing the subject, background, political or other sensitivity and public demand. The one-page review sheet approved (signed off on) by a senior reviewer expert in the topic selection would be circulated among the ad hoc group (RL, CR, PP (N. Murphy, AAS reps) and discussed/approved.

Worked with L/T to obtain agreement to place International Agreements on the web; Worked with PM/DTC to obtain agreement to place the ITARS on the web; verifying microfiche collection for placing a list on the web (To do from customer service plan - phone system, update website, place international agreements, ITARS, microfiche lists and previously released material of interest to user).

5. The Plan: The S-Drive contains the Backlog Reduction Project plan that is being updated on a regular basis.

6. Other Agency Fact-Finding visits planned.

7. Procedures for Invalids: We have made modifications to our procedures to close out cases that are invalid instead of carrying them in the backlog for over 90 days. When the requester responds with the additional information needed to process the case, RC will reopen the case. RL & AAS review a monthly report of cases pending to ensure other cases are closed out or responded to in a timely manner.

8. Update and Improve Correspondence: Template letters, Olglesby and other letters revised. A new, more concise Olglesby letter has been developed. The extensive templates associated with the old Olglesby letter has been replaced by a one-letter-fits-all which will provide the requester with all the information needed. One letter requester response: the initiative to consolidate the R/D letter with the information analyst's letter

UNCLASSIFIED

UNCLASSIFIED

is completed. All the template letters are being updated, with elimination of the redundant and erroneous language and new letters are being produced. Revised acknowledgment letter templates to incorporate new cut off language, add website information, and edit language for a crisper response to customers. Combine cover and RD letter; worked with VO to design a new template that advises the requester of the limitations of B3.45-day letter - A draft letter was submitted to Nick Murphy and John Schnitker and approved. This letter asked the requester to respond to our inquiry to discuss the case. The case would be closed if a response were not received within 45 days.

9. A Customer Service Plan: Among other initiatives, the Customer Service Plan suggested posting a Department phone number on our website to assist users in making requests, providing a written script for those fielding phone calls from requesters to promote consistent and accurate responses on FOIA and Privacy Act issues, developing a training plan for those with primary customer contact, and posting more as well as rearranging existing information on our website to help users make FOIA and Privacy Act request that are better focused and contain essential information for validation. Other agency FOIA websites were researched to compare services and assist in developing the plan.

10. Improve methods to distinguish the reporting of review concurrences versus direct reply referrals: Procedures of marking documents so that it is clear that Department records in the public domain are not mistakenly identified as classified information. For example, use of watermarks on official released documents will be used so that there is no doubt that the information is a genuine Department record that has been reviewed and is no longer sensitive.

11. Performance Measures improvements: Improve linkage of ratings with IPS goals; a more consistent standard of personnel ratings across organizational lines and more precise rating elements, including specific performance standards. Review of work requirements for program managers to provide a more consistent standard of rating across organizational lines.

12. Streamline FOIA services: Direct reply to the requester for FOIA/PA Passport requests.

13. Creation of new team (RL/RC3 on 1/1/03): New team deals directly with the decentralized offices of HR, PPT, DS and MED,

UNCLASSIFIED

and also taking over the duties formerly done by AO of Reading Room requests (fiche, international agreements, ITARS, etc.) and ethic in government requests.

14. **Closer scrutiny of incoming requests.** Use of various sources to assist analyst in getting the requester to narrow/focus request. Better usage of previously released materials and negotiating with requester in the initial stages of the request.

15. **Change reporting:** It was agreed that the annual FOIA report would only count FOIA and Privacy cases and not include any other request types. This is consistent with other federal agencies reporting.

16. **Entire IPS organization engaged** in the backlog effort through publishing case closures; AO continues to work on backlog reduction; ODD working on pre-2002 cases allowing CR to work on current cases.

17. **File Room procedures:** Procedures have been improved. IPS researchers and officers reminded of procedures for filing, file room clean-up I underway to retire closed cases.

18. **Bar code system for files:** Funding to be set aside for a bar code system to track files.

9.0 Timeline:

- March 2001- First GAO report Released
- FY 2001 Due Diligence Plan Developed by A in partnership with L, M and RM
- FY 2002- 23 New IPS positions released and filled
- June 2002 Funding Released to IPS for Project
- Jul 2002 Director and Team Leaders Selected, Working Group Formed
- Aug 2002 Due Diligence Project Plan Formulated
- Aug 2002 Second GAO report
- Sept 2002 recruitment and Hiring of Contractors, New WAEs, Civil Service
- Sept 2002 Facilities Renovation Begin
- Sept 2002 New Personnel trained
- Oct 2002 Due Diligence Teams Established and Fully Operational
- Dec 2002 20% reduction in Backlog
- June 2003 -Due Diligence team meets first year goal Six Weeks Ahead of Schedule-40% Reduction

UNCLASSIFIED

- June 2003- Outreach to Other Bureaus- Two Contractors detailed to OCS, one additional staff provided in August.

10.0 Goals

A. Current Production Goals:

July 2003	3166 backlog total
October 2003	2685 backlog total
January 2004	2204 backlog
April 2004	1723 backlog
Jul 2004	1243 backlog GOAL

B. Process Improvement

Working Group to review and sponsor individual improvements to ensure their tracking and completion.

UNCLASSIFIED

RELEASED IN FULL

Ild

FY 2004 Quarterly Progress Update
Bureau of Administration (A)

FOIA Backlog Reduction		
FY 2004 TARGET (FY 2005 DPP)	Eighty percent reduction in the FOIA pending workload level by July 2004.	EXPECT TO REACH TARGETS AT END OF FY 2004? (YES/NO)
F/YTD Results (3-26-04)	To date we have reduced original backlog by 93% and we have closed almost 9000 cases.	Yes
Reasons If "No"		
Current Status of Budget and Staffing	All funds allocated to build infrastructure for workforce and technology to reach the target.	
Management Actions Taken to Meet Target	Through the allocation of additional resources management has supported efforts to reach the target.	
Projected FY 2005 Result – Assuming Requested Funding	Sustain ongoing workload at target level assuming minimal variance in incoming workload.	
Projected FY 2005 Result – Assuming 10% More/Less Funds	Maintain workload at targeted level with minimal adjustment for fluctuation in funding and incoming work.	

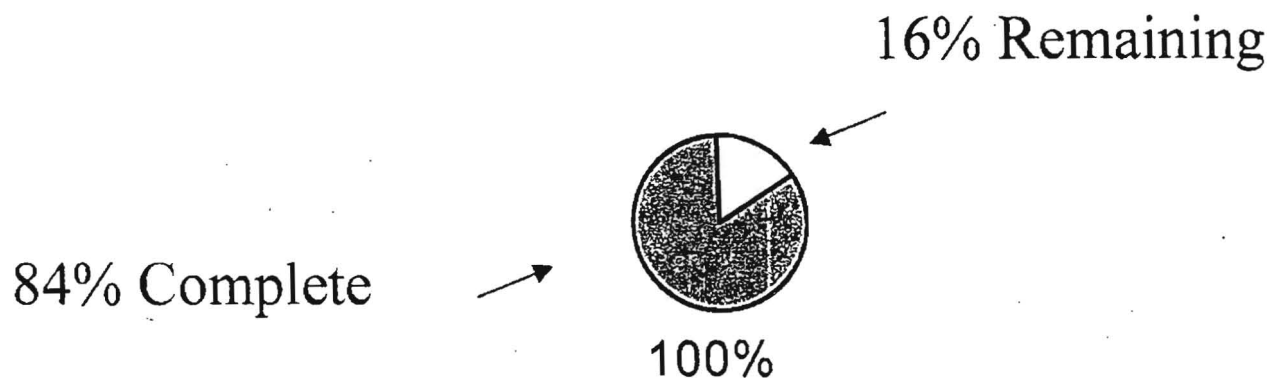
Strategic Goal 12: Management and Organizational Excellence
 Ensure a high quality workforce supported by modern and secure infrastructure and operational capabilities.

BUREAU
PROGRAM
PLAN

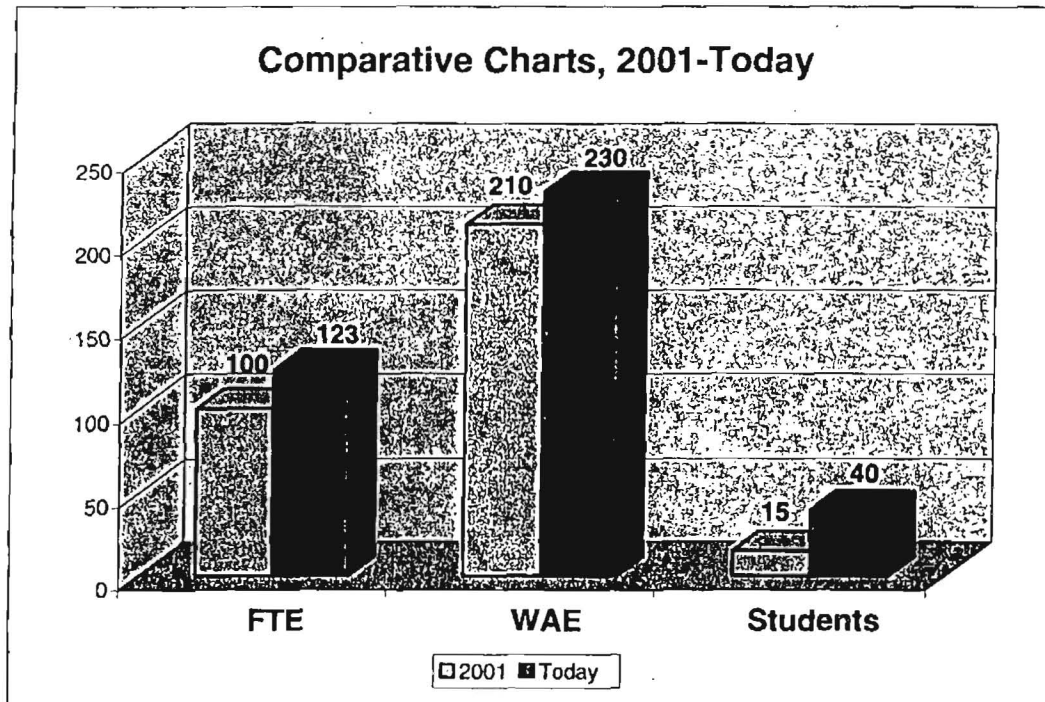
- UPDATE - 3/26/04

Ile

Cases Pre-Dating June 30, 2002



Of the remaining cases, over 20% are pending in decentralized offices (DS, VO, PPT, HR...)



UNCLASSIFIED

Additions to Personnel

FTE	+ 23	+ 23%
WAEs	+ 20	+ 10%
Students	+ 40	+ 210%

UNCLASSIFIED

UNCLASSIFIED

Stats – Case Closed

	F	FR	P	PR
1/1/03-6/30/03	1668	639	364	107
7/1/03-12/15/03	1321	457	253	39

2778
2070

4848

UNCLASSIFIED

UNCLASSIFIED

Stats – Case Closed

	F	FR	P	PR
1/1/03-6/30/03	1668	639	364	107
7/1/03-12/15/03	1321	457	253	39

UNCLASSIFIED

RELEASED IN FULL

DUE DILIGENCE

If

-Contributing to the Mission of Meeting the Information Needs of Our Customers and the United States Government-

FOIA BACKLOG REDUCTION PROJECT

JUNE 2003

Team Meets First Year Milestone of 40% Backlog Reduction Two Months Ahead of Schedule

- Over 5746 Cases Closed
- Over 148,820 Pages Released
- Over 3736 Reviews Conducted

GROSS DRAFT

7/03

Due Diligence Infrastructure Accomplishments Created in record time of two months:

Investing in the Future

People—23 Contractors

Technology Hardware and Software, including System Access

Security Upgrades

Facilities - SA-2 two processing centers and multiple satellite work areas; A new processing support center at SA-13

Meeting the Department's compliance obligations with the Freedom of Information and Privacy Acts. FOCUS ON CUSTOMER SATISFACTION
The Due Diligence teams, working group and the whole IPS organization have achieved unprecedented success by working together to reduce the backlog and improve the process. A highly skilled, motivated team has made a difference, meeting the first year goal of 40% backlog reduction two months ahead of schedule.

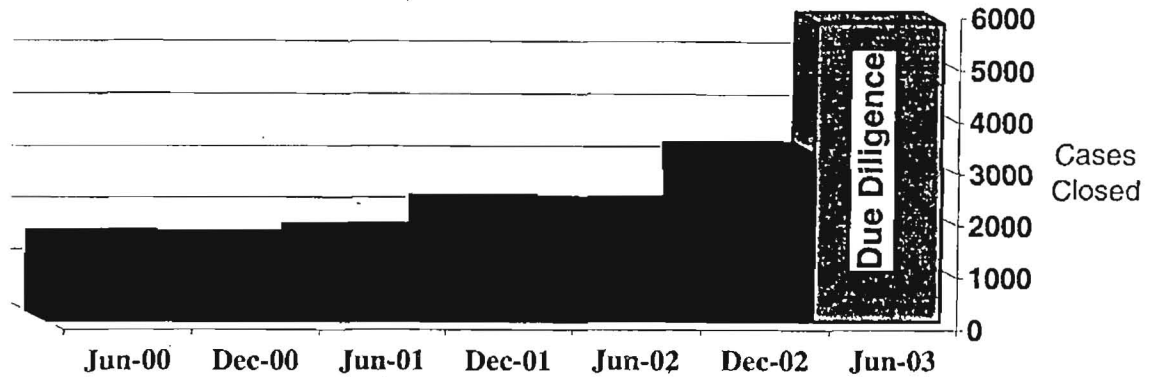
Better use of technology has significantly improved responses to requesters. The investment in Due Diligence has brought dividends in customer satisfaction.

- Providing Faster Response Times to Consumers
- Streamlining the Total Process While Enhancing the Quality of the Product

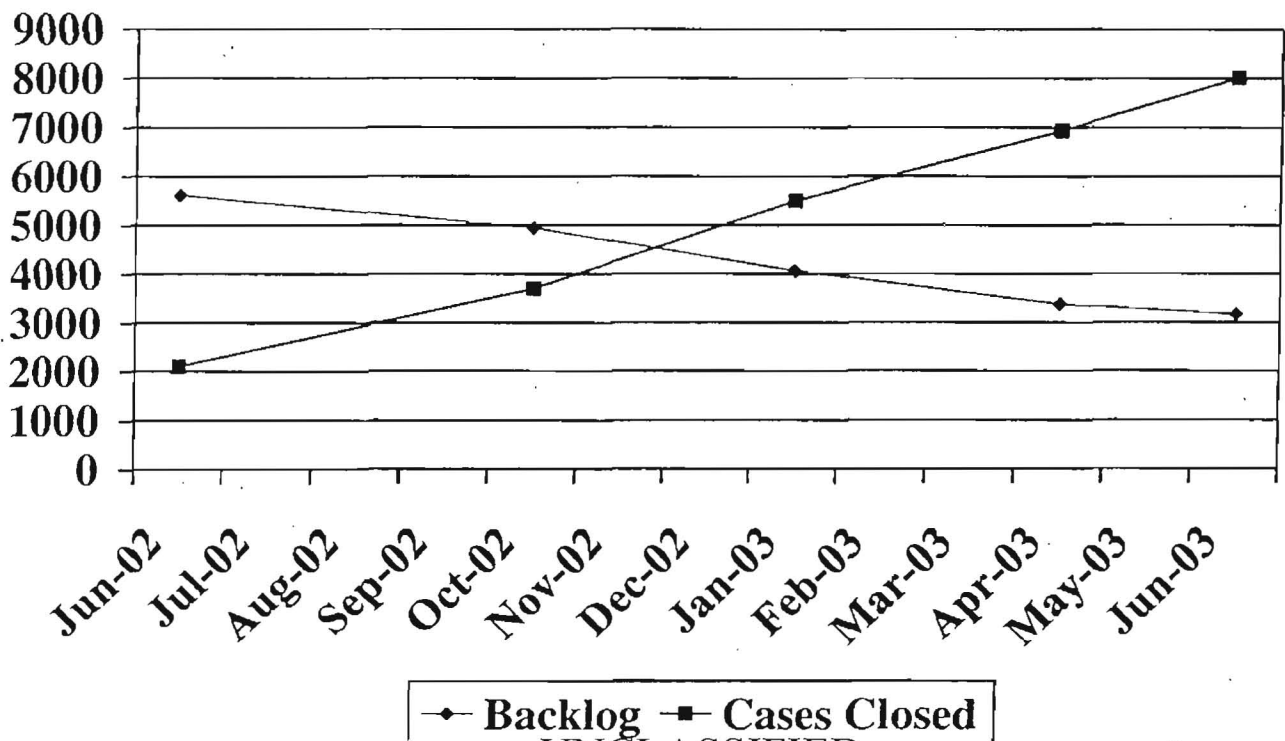
• Working so that the Backlog Does Not Recur.

Due Diligence Doubles Production Levels and Meets First-year Goal Two Months Early

6-Month Productivity Levels



IMPROVING THE PROCESS, EXCEEDING THE GOAL

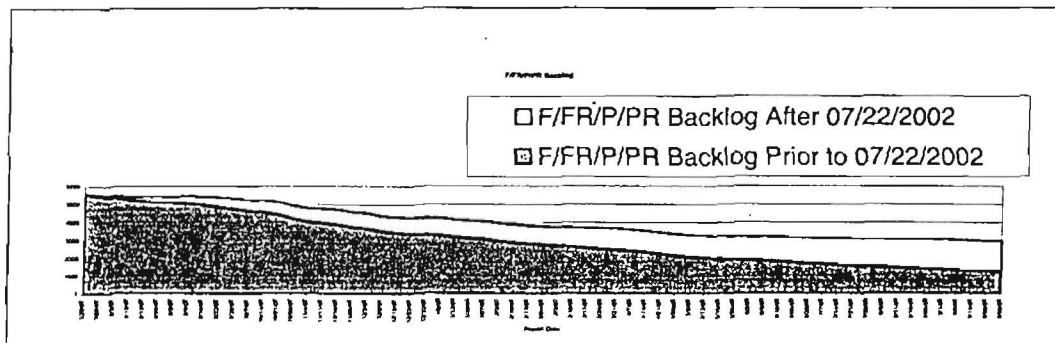


Building First Class Customer Service One Day At A Time Timeline

October 2000	E-FOIA Compliance Plan
March 2001	First GAO Report
October 2001	23 New IPS positions authorized
June 2002	Funding Released to IPS for Project
Jul 2002	Operation Due Diligence Formed
Aug 2002	Due Diligence Project Plan Formulated
Aug 2002	Second GAO report
Sept 2002	Recruitment and Hiring Completed
Sept 2002	Beginning of Facilities Renovation
Sept 2002	New Personnel trained
Oct 2002	Due Diligence Teams Fully Operational
November 2002	Facilities renovations completed
November 2002	Second processing support center at SA-13 opened
Dec 2002	20% reduction in Backlog
June 2003	Initial Bureau Outreach Effort to OCS
June 2003	40% reduction - 6 Weeks Ahead of schedule

photo

DUE DILIGENCE – RESULTS DRIVEN – INVESTMENT IN THE FUTURE BRINGS SUCCESS



Process Improvement – Preventing a Backlog in the Future

Improved Case Analysis
 New Procedures in Place
 Streamlined Services
 Expanded FOIA Website
 Improved Correspondence With Requesters
 Improved System Documentation of Released Documents
 Better Management of the File Records System
 Modified Annual Report
 Improved Communication
 Engaging the Entire Organization in the Backlog Effort
 Outreach to other Bureaus and Agencies
 Emphasis on Training and a High Level of Professionalism
 Customer Service Plan for Improved Relations with our Clients
 Production Targets -Better Planning Through the Use of Statistics and Systems Analysis
 Linking Employee Performance and Awarding Quality Products and Services
 Emphasis on Metrics and Results Driven
 Stressing Faster and Better Customer Service in all Phases of Work

GOALS FOR THE FUTURE

July 2003	Target Backlog = 3,166 cases ; 50% reduction
September 2003	Bar Code Filing System funded
September 2003	SAS/FREEDOMS Integration Funded
September 2003	Final Renovation Funded
September 2003	Customer Service Plan in Place
October 2003	Other Bureau Targets Established
November 2003	Additional Training Plan in Place
November 2003	ODD Team members Augment Regular Processing Teams
December 2003	ODD Team Members Augment Other Bureaus As Needed
January 2004	Performance Targets Linked to Work Requirements
February 2004	Additional training initiative completed
July 2004	GOAL : Target backlog = 1,243 cases

UNCLASSIFIED

RELEASED IN FULL

Ilg

OPERATION DUE DILIGENCE

FOIA Backlog Reduction

December 2003



A/RPS/IPS

Our mission is to meet the information needs of our customers
and the United States Government.

UNCLASSIFIED

1. Introduction

In October 2000, the U.S. Department of State initiated an action plan to address its long-standing non-compliance with the Freedom of Information Act (FOIA) and Privacy Act (PA), particularly the E-FOIA Amendments of 1996. At the time the plan was initiated, the Department had been the subject of numerous lawsuits concerning its high level of backlogged cases and the length of time it took to provide requested materials.^{1[1]} The Department had been relying upon the courts to grant Open America stays in these lawsuits based on its efforts to reduce the backlog, such as reorganizing and systematizing document processing through the use of computers, etc.^{2[2]} In 1996, however, Congress changed the law. In the FOIA Amendments of 1996, Pub. L. No. 104-231, Paragraph 7(c), 110 Stat. 3048 (codified as amended at 5 U.S.C. 552 (a)(6)(C)(2)) Congress cut back somewhat on the ability of agencies to obtain Open America stays. Congress did so by amending the term "exceptional circumstances" in the statute as follows:

*****the term "exceptional circumstances" does not include a delay that results from a predictable agency workload of requests under the FOIA, unless the agency demonstrates reasonable progress in reducing its backlog of pending requests."Id. (Emphasis added).**

In short, Congress raised the bar for agencies seeking a stay of litigation based only on the existence of a FOIA backlog of requests awaiting processing (as was the case with the State Department typically).

Continued support from the courts on obtaining such a stay would thus depend, in large part, on whether the agency could demonstrate "reasonable progress in reducing its backlog of pending requests." Despite its efforts at reorganization and technology investments, the Department had to concede its backlog has not in fact been reduced since enactment of the E-FOIA Amendments. It was recognized that at some point the courts would begin to issue orders for immediate FOIA processing (on penalty of full disclosure of the information requested) based on the Department's inability to reduce its outstanding FOIA backlog. That would have not only placed the Department in the unenviable position of having to respond to competing directives from different parts of the Judicial Branch on use of the Department's scarce resources, but possibly could also have led to additional negative consequences from the courts, including the potential of

^{1[1]} The original FOIA required agencies to respond to FOIA requests within ten days (5 U.S.C. 552(a)(6)(A)(1995). The E-FOIA Amendments extended that period to twenty days (6 U.S.C. Section 552 (a)(6)(A)(1996).

^{2[2]} Because agencies as a practical matter were simply unable to comply with this short deadline and FOIA plaintiffs were able to immediately file suit to obtain documents, a practice developed under which the courts would stay FOIA lawsuits pending final administrative processing by the agency of the FOIA request. Open American v. Watergate Special Prosecution Force, 547 F.2d 605 (D.C.Cir. 1976). To obtain such a stay, an agency generally had to show that "exceptional circumstances" existed. In Open America, the D.C. Circuit construed "exceptional circumstances" as including an agency showing that it is deluged with a volume of requests vastly exceeding that envisioned by Congress when it enacted the FOIA, that the agency's resources are inadequate to deal with that volume within the ten-day time frame required by the statute but that the agency was processing the requests it had received (including the request at issue) in some orderly fashion.

UNCLASSIFIED

possible sanctions, findings of contempt against Department officials and full disclosure of internal Executive Branch information.

Given the judicial, legislative, and interagency environment, it became imperative that the Department take a much more proactive stance in ensuring adequate resources be applied to the FOIA/PA processing. Therefore, the Bureau of Administration, in consultation with the Chief Financial Officer, Legal Adviser, Director General and Executive Secretary developed its FY2001 E-FOIA Compliance Plan.

2. FY2001 Department of State E-FOIA Compliance Plan

At the time the plan was developed (October 2000), the Department's backlog stood at slightly over 6,000 Freedom of Information/Privacy Act (FOIA/PA) cases, with approximately 90 new cases coming in every week. On average, the Department was opening 17% more cases than it was able to close each week, rendering it impossible to catch up with current cases much less reduce the backlog. By comparison, in the 1996-2000 time frame, reductions of 23% and 77% had been accomplished at the CIA and FBI respectively. Those successes had come as a result of an infusion of additional resources.

The Department had learned from previous backlog reduction efforts that one-time resource increases provided only temporary relief. While one-time technology investments had enabled compliance with the E-FOIA Electronic Reading Room requirements, sporadic and temporary investments in case processing personnel had not been effective in improving processing rates. A separate detailed workload analysis of FOIA/PA processing at the Department documented a steady decline in the permanent FOIA/PA workforce between 1996 and 2000, resulting in a severe misalignment between staff resources and incoming workload and leading to significant growth of the backlog.

A contemporaneous report by the Government Accounting Office (GAO) validated that observation. In March 2001, the GAO had issued its report to FOIA Congressional oversight committees entitled, "Progress in Implementing the 1996 Electronic Freedom of Information Act Amendments" (March 2001). Their independent analysis produced the following conclusions:

First, the State Department was substantially in compliance with the electronic reading room requirement through its FOIA website (which was recognized by other agencies and requester interest groups as the "best practice" model in the USG). *Second*, utilizing universal independent indicators, the State Department was among the worst in reducing its backlog. *Third*, the need for additional staffing was the primary barrier to implementing EFOIA.

In sum, the analysis found that:

- Technology investment had significant payoff in EFOIA compliance.
- Zero/negative investment in human infrastructure had resulted in a crisis of non-compliance with access requirements.

The GAO report independently validated what the Department's FOIA program managers and attorneys concluded and was corroborated by Justice and Congressional overseers--compliance with the law required an increased permanent workforce infrastructure.

Thus, the FY2001 E-FOIA Compliance Plan called for a three-prong approach involving new resources--funding and people, permanent and temporary--to rebuild the human resource infrastructure, supported by equal investments in facility and technology infrastructures. The objectives of the plan were to:

- 1. Build a permanent FOIA workforce infrastructure** to keep up with incoming workload, thereby preventing backlog buildup. This prong involved the augmentation of the existing FOIA/PA workforce by 14 full time positions.
- 2. Build a permanent special project workforce infrastructure** to reduce diversion of FOIA staff to court, congressional, and other legal document production demands. This prong involved establishment for the first time of a dedicated workforce of nine full time positions for special projects, the most recent of which is responding to the Congressional investigation into the September 11, 2001 attack.
- 3. Reduce FOIA backlog over two years.** This prong is what has become known as Operation DUE DILIGENCE, a comprehensive effort to reduce the backlog by 80% by June 2004 through use of a temporary workforce, infrastructure investments, and process improvements.

The first two prongs were accomplished with the hiring of 23 new employees during 2002-2003. As a result, the growth of the backlog slowed during 2002, reaching 6,214 at its highest point. Reducing that number was the primary focus of prong three. The DUE DILIGENCE project was initiated in June 2002, with total funding of \$8 million between FY2002 and 2003. Progress to date and future plans for Operation DUE DILIGENCE are discussed in the remaining sections of this report.

3. OPERATION DUE DILIGENCE

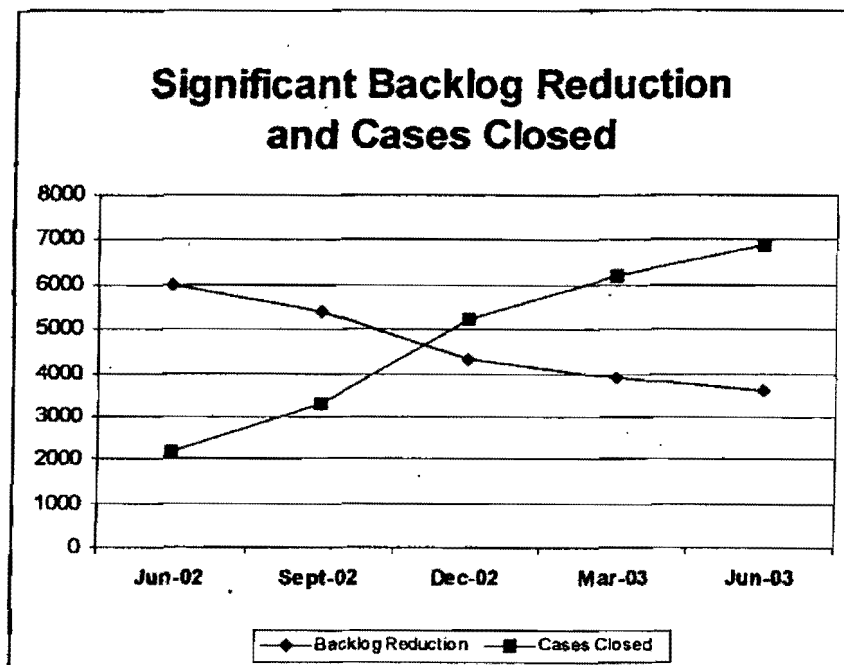
OPERATION DUE DILIGENCE is a task force structure overlaid upon the existing workforce structure of A/RPS/IPS--the area responsible for the Department's FOIA/PA processing, including its FOIA, Privacy and Special Document Production activities. The DUE DILIGENCE team and the whole IPS organization are working together to reduce the backlog, streamline the process and increase customer satisfaction.

The task force director is the Chief of the A/RPS/IPS Statutory Compliance and Research Division (A/RPS/IPS/CR), the primary FOIA/PA processing organization for the Department. Two A/RPS/IPS/CR Branch Chiefs serve as task force coordinators, managing daily operations, planning future activities, and providing progress reports and feedback to the task force director. A Steering Committee comprised of senior managers from other areas of request processing, including automation, serves in an advisory capacity to the task force management. The DUE DILIGENCE project structure also

includes two project teams, supplementing the A/RPS/IPS branches that perform FOIA/PA request processing. DUE DILIGENCE project teams are comprised of a mix of permanent, temporary and contract program analysts, content/classification reviewers and clerical support personnel. The IPS/AAS Division (System Support Group) provides statistics from the case tracking system database (FREEDOMS) to guide actions needed, produces progress reports and other key information, as well as provides guidance on and assistance in conducting State Archiving System (SAS) searches requested by task force team members and the task force director. The SAS is the primary electronic archive for the Department of State, housing over 25 million official records of the Department including cables, memoranda and other documents.

Operation DUE DILIGENCE has taken a collaborative, cooperative and comprehensive approach to backlog reduction, in keeping with the Department's 2001 E-FOIA Compliance Plan. The project's approach is to capture the minds and hearts of the operational personnel in an effort to establish a culture of excellence and a passion for customer service. The DUE DILIGENCE plan recognizes that reducing the backlog is heavily dependent on concurrent infrastructure expansion, case closure and process improvement activities.

3.A. DUE DILIGENCE Achievements



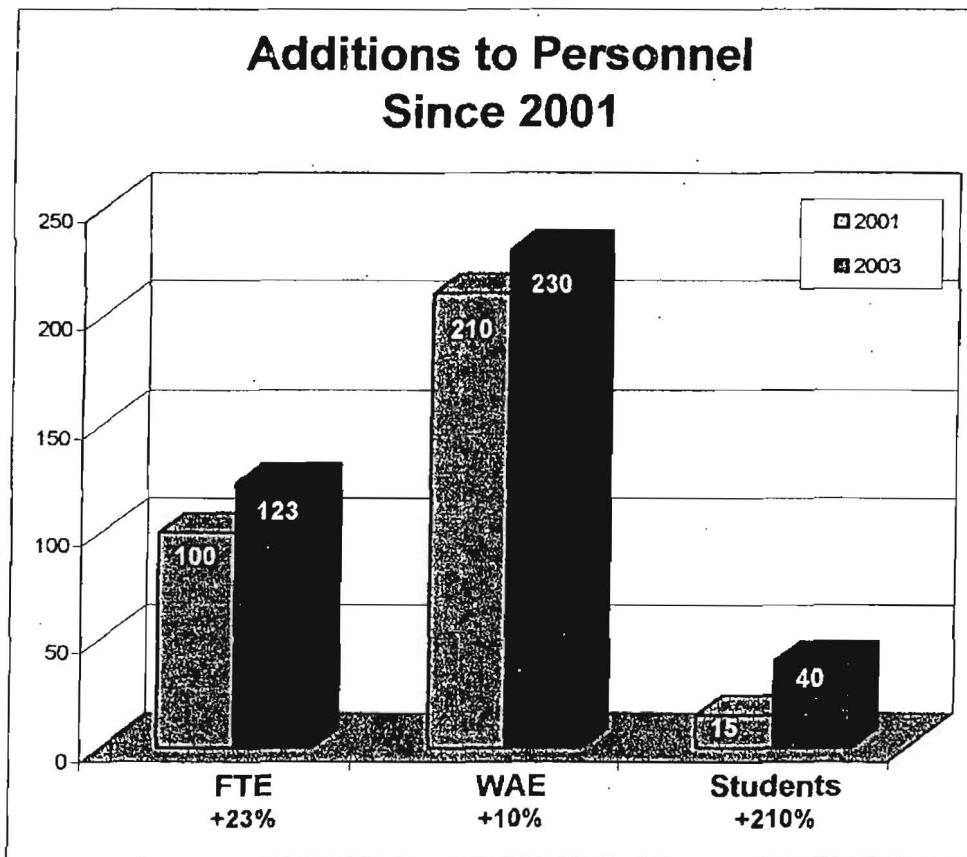
3.A.1. Infrastructure Enhancement

The key to resolving the Department's FOIA/PA backlog challenges over the long term is the establishment and maintenance of robust personnel, technology and facilities infrastructure. While not generally visible to those monitoring progress against targeted reductions in backlog and processing times, it is the underlying infrastructure that will

determine whether or not the Department can meet those goals. Specific infrastructure accomplishments during June 2002-2003 are noted below.

a. Personnel:

In late 2001, A/RPS/IPS was authorized a total of 23 new positions. By June 2002, the Department had completed an exhaustive set of actions that included recruiting, selecting and hiring new personnel. In keeping with the E-FOIA Compliance Plan, these new employees were assigned to augment both the regular FOIA/PA processing staff and the special document production staff. In addition, the organization hired 40 part time new student employees to assist in case processing and 20 new WAEs to serve as reviewers. These new employees set the stage for establishing a workforce commensurate with the workload—one of the underlying principles guiding the entire E-FOIA Compliance plan—providing the foundation upon which to build an organization with the capacity to comply fully with the E-FOIA amendments over the long term.



Separately, A/RPS/IPS identified professional information access firms that could provide highly qualified, experienced talent to augment the permanent full time workforce. Working with the Office of Acquisitions, in September 2002, A/RPS/IPS was able to develop and award a statement of work to obtain these services. As a result, 23

UNCLASSIFIED

additional contract personnel from McNeil Technologies were added to the personnel mix dedicated to backlog reduction.

The influx of new personnel provided new flexibility in terms of enabling A/RPS/IPS to minimize the number of full time permanent employees it needed to redirect to the backlog effort. As a result, only seven existing full time permanent personnel were shifted from their normal duties to efforts to reduce the backlog. Senior level A/RPS/IPS/CR personnel were selected to fill key DUE DILIGENCE management positions in order to minimize the learning curve for the project and ensure consistency with overall A/RPS/IPS direction. Thus, the A/RPS/IPS/CR Division Chief was selected as the DUE DILIGENCE Project Manager; two A/RPS/IPS/CR branch chiefs were assigned as Task Force Coordinators; and four senior processing officers from A/RPS/IPS/CR were selected to serve on the backlog project teams. Actions were also taken to fill in behind the two branch chiefs to avoid creating new vacancy-related problems in the regular processing areas.

Training for the backlog teams, especially the new contract staff, was conducted during September 2002. Key members of the A/RPS/IPS organization briefed the backlog staff on their respective functions and processes, and presented a detailed overview of the FOIA/PA process--from request receipt through delivery of responsive materials to the requester via what is known as the "release/denial (R/D) letter." Specific training areas included orientation, security, document listing, research and case management, legal precedents and need to know issues. It is important to note that each step of the process has its own intricacies and complexities, each of which needed to be explained to the new staff. This is significant in that the preparation of the training materials required that existing staff take the time to articulate the specific steps of their respective processes. Documentation of these details generated many new ideas and questions regarding continued efficacy of existing procedures and identifying opportunities for process improvements.

b. Technology:

Technology infrastructure efforts in the June 2002-2003 time frame focused primarily on ensuring adequate cabling infrastructure in existing and new work spaces, and on procuring and installing adequate levels of workstations and telephones for the new permanent and contract employees. New processing areas (work space) in both SA-2 and SA-13 were equipped with additional classified and unclassified cable drops and telephone outlets. Upgrades to SA-2 and SA-13 servers, network equipment, FREEDOMS case management software, and other systems software were conducted to compensate for the increased throughput from the additional units and to manage the increased size of the network. In addition, connectivity to the TOP SECRET FREEDOMS system located at SA-2 from SA-13 was established for the first time. In total, between 8/02 and 6/03, about \$1,000,000 was spent on initial technology infrastructure upgrades related to the backlog effort.

UNCLASSIFIED

c. Facilities:

The DUE DILIGENCE facilities plan was developed in September 2002. It called for the establishment of two full service processing centers and multi-satellite work areas so that the DUE DILIGENCE team would be collocated--a key requirement in meeting the collaboration objectives of the project. It was decided that the DUE DILIGENCE team would occupy a portion of the fourth floor of SA-2, which required relocating other staff that had been occupying that space. New processing centers were to be created on three other floors of SA-2 to accommodate the displaced staff. A new strong room was to be added to SA-2 to house the Department's microfilm record collection, which was moved from an area to be occupied by officers displaced by the DUE DILIGENCE effort. Conference rooms in SA-2 were also to be converted to processing areas. The Records Service Center at SA-13 was to be transformed from a records warehouse to serve as a processing support center for information access. Floor plans, workstations, telephones, cable drops and furniture for each of the new areas would be required. Investing in the infrastructure--people and technology--transformed the Records Service Center at SA-13 from a traditional records management activity center to a processing center for information support.

Specifically, the SA-2 6th floor microfilm room was renovated into office space, requiring additional outlets and wiring for classified terminals to accommodate relocation from the 4th floor of the team processing the Foreign Relations of the US (FRUS) along with other selected staff. Another team conducting the 25 year review was moved first to the SA-2 training room for several months until security certification of the former FOIA Reading Room was obtained, at which point the team members were relocated to that area. Furniture from the Reading Room had to be relocated and stored, and a new temporary Reading Room had to be established in a first-floor conference room to meet legislated mandates regarding public access to certain agency information.

On October 7, 2002, the backlog team was relocated to the new 4th floor project space. By March 2003, the second site at SA-13 was ramped up, including installation of new electrical, telephone, fax, copier, and computer systems. Four analysts and two administrative officers were located at SA-13 and started backlog reduction activities including research of retired records, document listing, imaging, and other case processing efforts.

d. Security Upgrades:

The backlog effort required redesign of several areas of SA-2, including what had been the public FOIA Reading Room, and the redesign of SA-13. Security enhancements required new doors and entry systems, alarm systems, secure systems cabling and wiring. Certification of the new areas was key in terms of when the new teams could actually occupy the project workspace and begin the collaborative process of closing cases. By October 2002, security certification was received for the basement storage area of SA-2. By November 2002 the SA-13 facility was ready to operate in a secure mode. By January 2003, the former Reading Room received certification.

3.A.2. Case Closure

The most challenging task facing the DUE DILIGENCE project in its early days was defining the body of cases it was to address. A series of innovative approaches to using the data in the FREEDOMS case management system were developed. The resulting data were reviewed and analyzed in great detail, and new approaches were developed to help focus the effort.

Beginning in June 2002, FREEDOMS reports were generated that listed all open cases before 2001 that met the following criteria:

All cases pre-dating 2001 for which the Department has found no relevant records (cases in which no records are found are known as "Oglesby" cases).

- All pre-2001 cases that had searches pending only in the central foreign policy archive (SAS).
- All pre-2001 cases for which searches have been completed but which had reviews pending.
- All pre-2001 cases that remained open despite the completion of all searches and reviews.
- All pre-2001 cases that had no searches or reviews completed.
- All pre-2001 cases that had only one outstanding action

Next, the first set of pre-2002 cases targeted for backlog reduction were grouped:

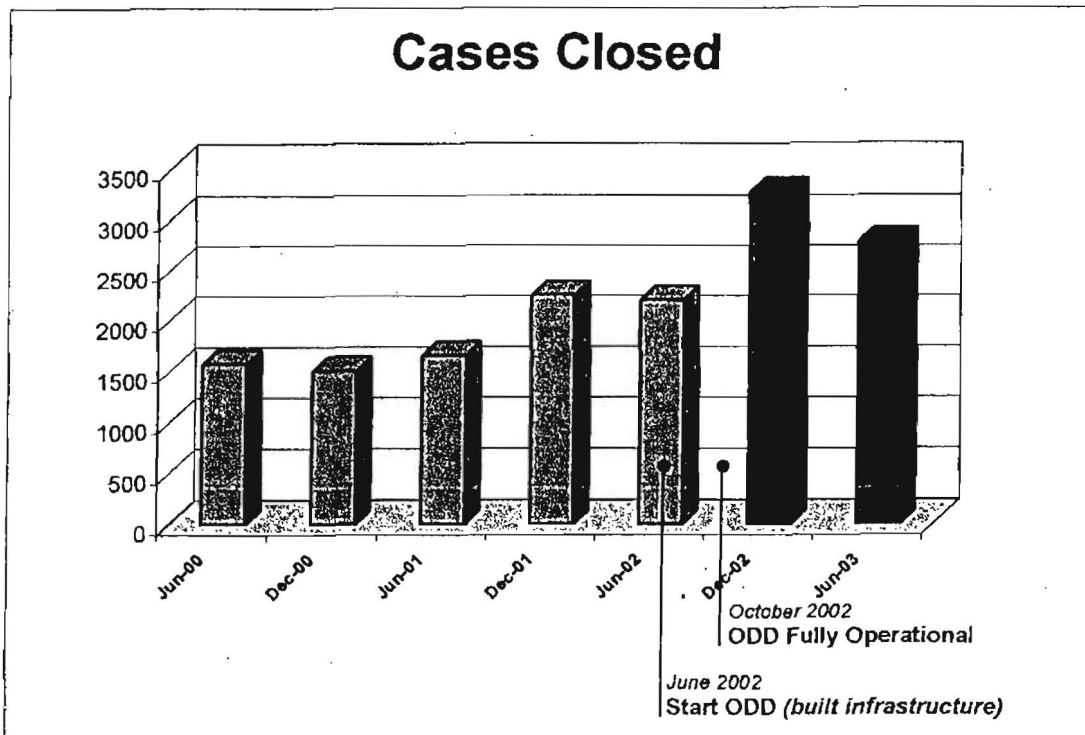
Number of cases with no record.

1. Number of cases with no searches and no reviews.
2. Number of cases with no searches outstanding and no documents.
3. Number of cases with no searches or reviews pending.
4. Number of cases with one ER search outstanding and no reviews pending.
5. Number of cases with no searches outstanding and one review pending.
6. Number of cases with one search and one review pending.
7. Number of all other cases.

The DUE DILIGENCE team was to address all Freedom of Information and Privacy Act requests, to include direct inquiries to the Department as well as records referred to the Department by other federal agencies.

Case file inventories and reconciliation also began in July 2002. This involved gathering case files into a single location and ensuring the inclusion in the file of all appropriate documents for the first 500 cases. This inventory effort was conducted using existing staff working overtime on nights and weekends so as not to disrupt ongoing operations. Project closing activities began in July 2002, but the level of effort applied to closing cases was greatly increased in November 2002 as soon as the preparatory data analyses, case reconciliation, contract staff training and infrastructure upgrades had been completed. When the DUE DILIGENCE effort began, the number of open cases stood at 6,214. Between June 2002 and June 2003, an additional 3,270 new cases were opened. In the same time frame, the DUE DILIGENCE team closed 5,756 cases, representing

70,000 pages released and over 1,500 reviews conducted. The May 2003 net open case level is 3,728 - a reduction from the initial 6214 benchmark of 40%.



3.A.3. Process Improvement

Throughout the course of the DUE DILIGENCE effort, the teams have engaged in an ongoing dialogue to present and develop new ideas to streamline FOIA/PA case processing, to decrease overall case processing times, and to improve customer service and satisfaction among the Department of State FOIA/PA customers. Accomplishments to date in these areas are described below.

1. Improved Case Workload Analysis. Specialized reports have been developed that assist with monitoring and reporting status of cases, resulting in better tracking of cases. Continued analysis of pending cases, including workload analysis, better use of statistics and systems information in managing workload. Implement additional research activities to enhance capability through use of SAS, the Internet and better liaison with other DOS offices.

2. Enhanced analysis of incoming requests. The office that handles incoming requests has also enhanced its ability to analyze and narrow requests, facilitating the use of previously released materials for quick closures and helping to limit undue workload among the A/RPS/IPS/CR branches. Staff initiated dialogue with customers to better define requests.

UNCLASSIFIED

3. Implemented New Procedures for Invalid Requests. Modifications to procedures were made to close out cases that are invalid when they are received, rather than after a 90-day grace period previously. An "invalid" request is one for which additional information is required before processing can begin. The previous procedure caused invalid cases--which had not yet begun to be processed--to show up on the backlog list. Since processing of these cases could not start until the additional information was received, displaying them as part of the backlog was inappropriate. The new procedure corrects that perception. Invalid cases are reopened and treated as all other cases once the required information is received.

4. Created new team to manage direct reply requests. A new team was established in the A/RPS/IPS area that handles incoming requests to sort through and manage the process for those requests, which are sent forward for direct response by another bureau. These records are from the Department's Bureaus that maintain their own system of records. For example, this team now addresses requests that are to be directly handled by HR, PPT, DS and MED. Offloading this function from A/RPS/IPS/CR distributed the workload burden and reduced the possibility of backlog build up.

5. Streamlined FOIA services. The DUE DILIGENCE team coordinated closely with other offices to provide better customer service and encourage faster responses to customers seeking information. Most notably, the DUE DILIGENCE team worked with the Office of Medical Services and the Department's Passport Office, thus streamlining services for a very voluminous category of requests.

6. Expanded FOIA Web Site. The DUE DILIGENCE team worked with other offices to place International Agreements and a list of the microfiche collection on the web. Making this information available on the web precludes the need for requesters to ask for information under the FOIA and Privacy Act and increases customer satisfaction by having information available instantly through web access.

7. Updated and Improved Correspondence With Requesters: A/RPS/IPS uses templates for customer communications. Over the years, the number of templates grew as parts, but not all, of the organization, adopted minor modifications to the templates. The DUE DILIGENCE team streamlined the number of templates as well as the language within the templates themselves. For all templates, redundant and erroneous language is being eliminated. The initial letter acknowledging the request has been revised to explain the new procedures for invalid requests and to encourage requesters to explore the website for previously released materials. A single, streamlined format has been established for an Oglesby letter (when a reasonable search results in no relevant documents held by the agency--a "no results" outcome). Rather than trying to tailor the letter to each individual request, the team adopted a "one-letter-fits-all" approach to Oglesby cases that provides requesters with all the information needed. Similarly, a single template approach has been adopted for the Release/Denial (R/D) letter that accompanies the materials provided to the requester. In some instances it has been possible to combine the R/D and cover letters into a single template. The DUE DILIGENCE team also worked with the Visa Office on its direct response to users regarding selected category of visa inquiries.

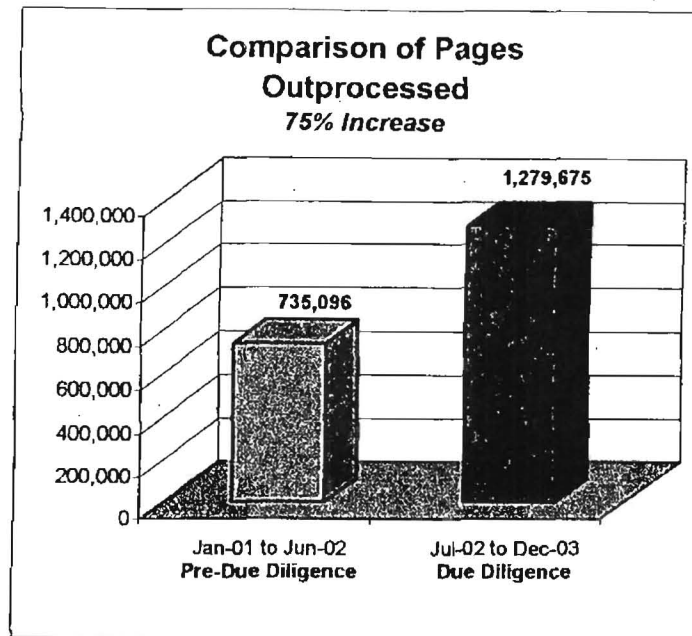
8. Improved internal system documentation of released documents. Images of released documents are stored within the FREEDOMS system. The DUE DILIGENCE team is considering the addition of watermarks to note documents that are now in the public domain would facilitate better use of the system to find previously released materials, thus expediting response to the requester and decreasing processing times. In addition, the use of watermarks on scanned documents available through the website can help facilitate a process known as "authentication" in which the Department must legally certify the authenticity of a document and that it is available for public use.

9. Improved Management of the File Room. The file room was cleaned up during the process of case file reconciliation, and new procedures implemented to ensure ready access to files by authorized staff and continuous management of the case file inventory. Efforts are underway to relocate cases that can be retired from the file room to the records storage center. At the end of FY03, funding was provided for establishing a new scanner based bar-code filing system that will streamline and expedite file services.

10. Modified Annual Report Methodology. Department reporting in the Annual Report will be changed to include counting of only FOIA and PA cases and not other request types. This is consistent with other agency reporting.

11. Improved Communication. Goals are better defined and published periodically, progress reports are underscored; production levels and progress for team/branches are reported throughout the organization. DUE DILIGENCE plans and progress updates are stored on a public drive accessible by computer by all A/RPS/IPS personnel. There are weekly Steering Committee meetings, the results of which are communicated to the staff through regular branch chief weekly meetings. Periodic briefings and updates are provided to the entire A/RPS/IPS organization. Improved communications with what are known as "decentralized" offices began in early 2002, to include those offices that provide direct reply to requestors resulted in the coordination of the closing of cases and updating records. Outreach to other Bureaus to explain their role in backlog reduction and responsive FOIA/PA processing was begun in June 2003. A/RPS/IPS records of backlogged cases were compared to other bureau records to ascertain other bureau backlogs. At the same time, DUE DILIGENCE personnel began to be assigned to other bureaus, beginning with Consular Affairs, in order to assist them in their own internal backlog of FOIA/PA cases.

12. Engaged the entire IPS organization in the backlog effort. Publicizing case closures statistics has spurred the organization to focus on outcome versus process in how they handle their workload. In addition, the DUE DILIGENCE team has reached out to other areas of IPS, notably the Advocacy and Oversight Branch, to assist in working on backlogged cases. Within the A/RPS/IPS/CR area, the DUE DILIGENCE has assumed all responsibility for most pre-2002 cases, creating a much reduced, and more manageable workload for the regular CR processing branches, and freeing up regular CR analysts to work on current cases.



3.B. YEAR TWO PLAN

3.B.1. Infrastructure:

In Year 2, infrastructure work will focus primarily on ensuring backfills for a large number of personnel who retired or were reassigned during the first year of the program. As noted in the introduction to this report, it is personnel stability that is a key determinant of the Department's success in meeting the E-FOIA requirements. Timely posting and filling of key leadership vacancies will be critical to continued success in reducing the backlog. In September 03, there were five appointments to branch chief positions in the CR Division.

Additional technology infrastructure will also be conducted. An interface between the case management system, FREEDOMS, and the foreign policy archive, SAS, will be developed. This is a significant improvement and will impact case processing by eliminating duplicate entry and scanning and expediting retrieval of previously released documents. As a result, IPS will achieve a major improvement in the service we provide.

Finally, additional space renovations are planned to provide permanent accommodations for the 23 full time permanent employees.

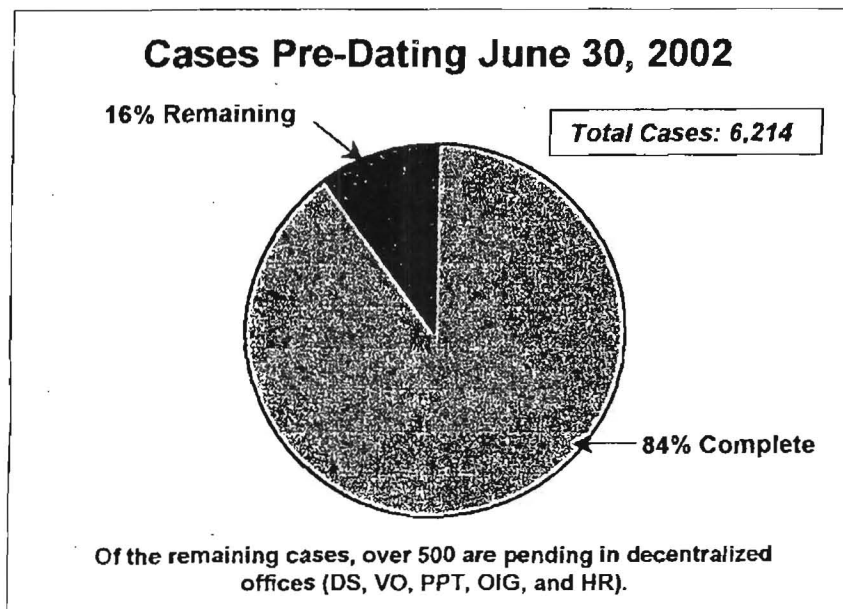
3.B.2. Process Improvement

During Year 2 of the plan, the DUE DILIGENCE team will:

- 1. Expand the FOIA Web Site.** Website information available to the public will be expanded. FOIA guidance prescribes that the government post information on the web

based on three or more requests from the public for the same information. The DUE DILIGENCE team is expanding categories or sets of information of general interest to the public for availability on the web. One example is the plan to now post international agreements on the web; this should reduce the number of requests under FOIA (3.A.3.6. above).

2. Continue to Streamline FOIA services among other bureaus. IPS is heavily dependent on other bureaus and offices to provide records responsive to FOIA/PA requests. For the first year of the backlog reduction project, IPS was able to effectively process to closure a large portion of those actions that were under its direct control and custody. The challenge for the second year is to bring to closure those actions pending in other bureaus and offices in the Department. Of particular concern are those offices that retain control and custody of their own unique records collections, for example DS and many of the CA bureau offices. One of our most recent accomplishments was to provide CA/OCS with three of our analysts to process requests within the OCS office. Three officers spent four months "on loan" to OCS. They were successfully able to reduce the outstanding caseload from over 230 requests to fewer than 10. We hope to build on this success and we are pleased to report that OCS has now hired an officer whose primary responsibilities will be to process FOIA/PA requests. Short-term infusion of resources is an important step in backlog reduction but investing in permanent staff provides payoff over the long term. External dependencies greatly limit our ability to achieve long-term success, but by partnering with these offices and developing ways to streamline their processes, we are confident that the value of committing resources to this requirement will be appreciated with benefit for both the Department and the requesting public.



UNCLASSIFIED

3. Visit other agencies. The DUE DILIGENCE team will visit other agencies that have programs receiving praise from the GAO in order to identify best practices and additional innovations for implementation within the State program.

4. Conduct Additional Training. A training officer will be appointed to coordinate continuous training for all FOIA/PA case officers, emphasizing customer service, production targets and lessons learned from the backlog effort in order to institutionalize the DUE DILIGENCE approach and set the stage for improved processing over the long term. Specialized training will be provided to all employees who have direct customer contact.

5. Establish a customer service plan. Among other initiatives, the Customer Service Plan will post a Department phone number on the FOIA website to assist users in making requests. Department employees who respond to calls will be provided a written script to promote consistent and accurate responses on FOIA and Privacy Act issues. The customer service plan will provide feedback to the web site to support posting more as well as rearranging existing information on the website to help users make FOIA and Privacy Act request that are better focused and contain essential information for validation. Other agency FOIA websites will be researched to compare services and assist in developing the plan.

6. Incorporate production targets into personnel performance plans. Closer linkages among employee performance requirements, backlog reduction targets and routine closure rates will be established. A more consistent standard of personnel ratings and more precise rating elements will be established throughout IPS/CR for program managers as well as processing staff. Team performance will be rated in addition to individual productivity. This will institutionalize the DUE DILIGENCE emphasis on production and quality performance e throughout the organization, set the stage for continuous operational improvements, and helps to prevent the buildup of a backlog in the future.

4. Costs /Results

Costs

	FY2002 - \$4.0M	FY2003 - \$4.0M
	(June 02-June 03)	(June 03-June 04)
Workforce (Reviewers, analysts, support)		
• Contractor	2.905	2.961
• USG (WAE & OT)	.009	.014
Technology		
• Hardware, software, programming	.460	.378
• Equipment	.319	.215
• Telecommunications (connectivity)	.150	.050
Facilities	.151	.512
TOTALS	\$3.994	\$4.120

UNCLASSIFIED

Results

Prior year backlog	Year 1	Year 2	Total
6,214 cases	3,728 cases	1,243 cases	-80% Backlog

5. Summary Timeline

October 2000	E-FOIA Compliance Plan
March 2001	First GAO Report
October 2001	23 New IPS positions authorized
June 2002	Funding Released to IPS for Project
Jul 2002	Operation Due Diligence Formed
Aug 2002	DUE DILIGENCE Project Plan Formulated
Aug 2002	Second GAO report
Sept 2002	Recruitment and Hiring Completed
Sept 2002	Facilities Renovation Begin
Sept 2002	New Personnel trained
Oct 2002	DUE DILIGENCE Teams Fully Operational
November 2002	Facilities renovations completed
November 2002	Second processing center opened
Dec 2002	20% reduction in Backlog
May 2003	40% reduction - 6 Weeks Ahead of schedule
June 2003	Outreach to Other Bureaus Begins
June 2003	Two contractors detailed to OCS
September 2003	Bar Code Filing System funded
September 2003	SAS/FREEDOMS integration funded
September 2003	Final renovation funded
September 2003	Customer Service Plan drafted
October 2003	Other Bureau targets established
November 2003	Additional training plan in place
November 2003	DUE DILIGENCE team members augment regular processing teams
December 2003	DUE DILIGENCE team members augment other bureaus as needed
January 2004	Performance targets linked to work requirements
February 2004	Additional training initiative completed
April 2004	Target backlog = 1,723 cases; 73% reduction
July 2004	GOAL MET: Target backlog = 1,243 cases

UNCLASSIFIED

11h

ID	Task Name	Duration	Q2 '02				Q3 '02			Q4 '02			Q1 '03	
			Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb
1	Operation Due Diligence	0 days					6/30							
2	FY 2001 Due Diligence Plan De	30 days												
3	Funding Released to IPS for Pr	7 days												
4	System Concept Definition	108 days												
5	Budgeting Estimate	20 days												
6	Acquisition Planning Managem	5 days												
7	SA-2 Infrastructure	105 days												
8	Team Leaders Selected	3 days												
9	Working Group Formed	14 days												
10	2 processing centers	60 days												
11	SA-13 creating a full servic	60 days												
12	Recruitment & Hiring of coi	21 days												
13	New WAEs, Civil Service F	31 days												
14	Training	30 days												
15	goals set for first milestone	10 days												
16	First Milestone of 20% Met	0 days												
17	Goals set for 2nd Milestone	10 days												
18	2nd Milestone met - 40%	0 days												
19	50% Milestone met	0 days												
20	Goals set for 7/01/04 Mileston	458 days												
21	pre-2002 cases should go	159 days												
22	branch chief positions fillec	54 days												
23	verification of other bureau	21 days												
24	bucket analysis	458 days												
25	dodisting QC assistance	33 days												
26	reconciliation of cases with	38 days												
27	training workshops	78 days												
28	procedures manual clearar	33 days												
29	production quotas providec	19 days												
30	performance evaluation	52 days												
31	bar code id for files	106 days												
32	goal of 80% at 7/1/04	263 days												

RELEASED IN FULL

Peter Shiels, Patrick Scholl, Pat Magin

Due Diligence Working Group

SA-2

SA-13

Recruit & Hire Contractors

New WAEs & Civil Service

Training

12/31

Object: Operation Due Diligence
 Date: Wed 8/27/03

Task

Milestone

External Tasks

Split

Summary

External Milestone

Progress

Project Summary

Deadline

UNITED STATES DEPARTMENT OF STATE

REVIEW AUTHORITY: ROBERT R STRAND

Page 1

UNCLASSIFIED

DATE/CASE ID: 14 JAN 2009 200403352

ID	i	Task Name	Duration	Q2 '02				Q3 '02			Q4 '02			Q1 '03	
				Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb
33		start at 3166	0 days												
34		goal of 2204	0 days												
35		goal of 2685	0 days												
36		goal of 1723 backlog	0 days												
37		goal of 80%- 1243 cases ir	0 days												
38	✓	Force 2 - complete X case:	239 days												
39		Force 3 complete X cases	239 days												
40		10/1 Goal of 376 cases	44 days												
41		1/1 Goal of 309 cases	66 days												
42		4/1 Goal of 241 cases	65 days												
43		6/30 Goal of 174 cases	64 days												
44		10/1 Goal of 430 cases	44 days												
45		1/1 goal of 352 Cases	66 days												
46		WHA 4/1 goal - 276 cases	65 days												
47		WHA 6/30 goal- 199 cases	64 days												
48		EAP 10/1 goal - 295 cases	44 days												
49		EAP 1/1 goal 242 cases	65 days												
50		EAP 4/1 goal - 190 cases	66 days												
51		EAP 6/30 goal 137 cases	64 days												
52		EUR 10/1 goal 295 cases	44 days												
53		EUR 1/1 goal 242 cases	65 days												
54		EUR 4/1 goal of 190 cases	65 days												
55		EUR 5/31 goal of 137 case	64 days												
56		MPD goal of 1020 cases	44 days												
57		MPD goal of 838 cases	65 days												
58		MPD goal of 655 cases	66 days												
59		MPD goal of 472 cases	64 days												
60		RC2 & RC3/Refmr teams-	44 days												
61		RC2 & RC3/REF teams go	65 days												
62		RC2/3 REFMR- goal 172	66 days												
63		RC2/3 RefMR -goal of 124	64 days												

Project: Operation Due Diligence
Date: Wed 8/27/03

Task

Split

Progress

Milestone

Summary

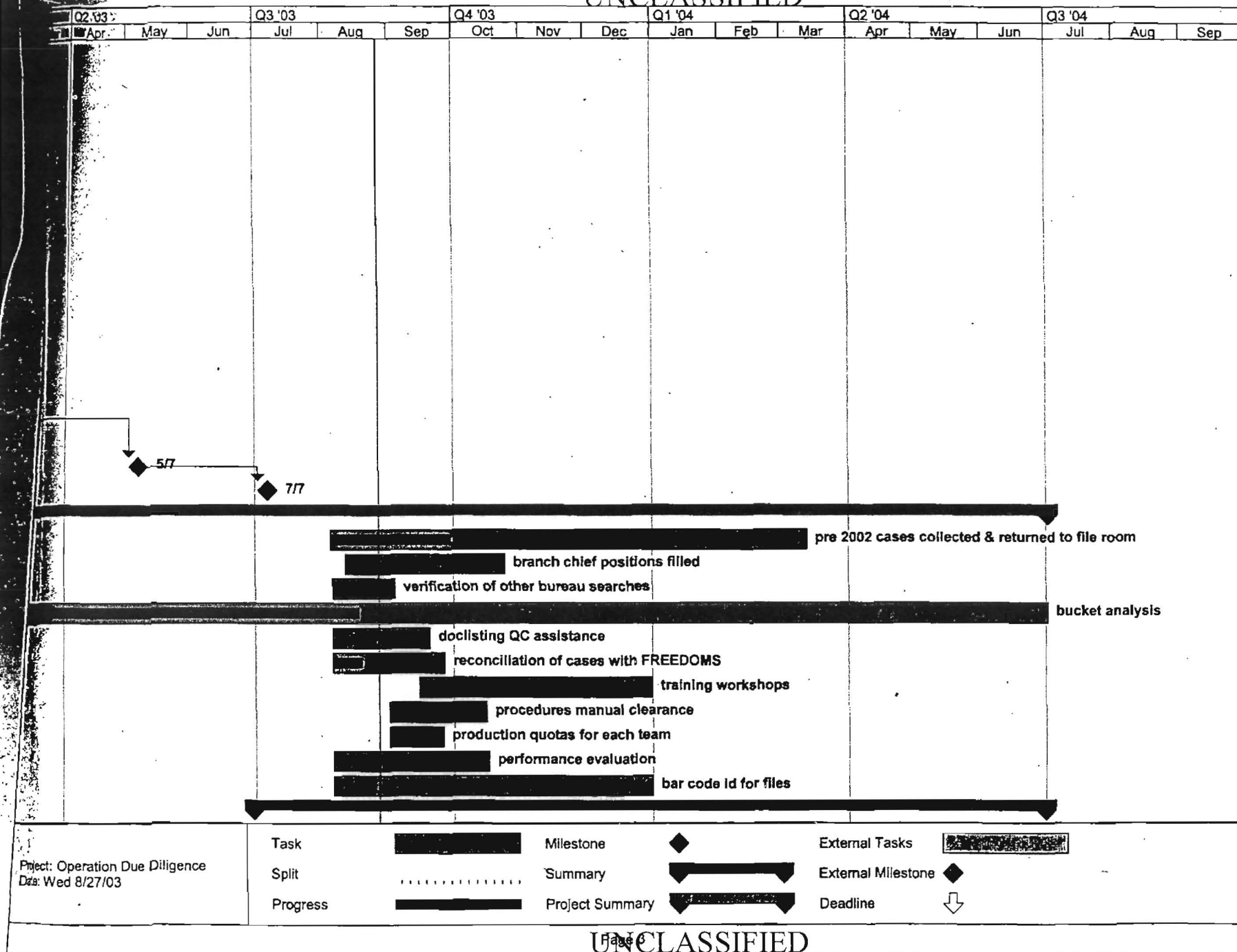
Project Summary

External Tasks

External Milestone

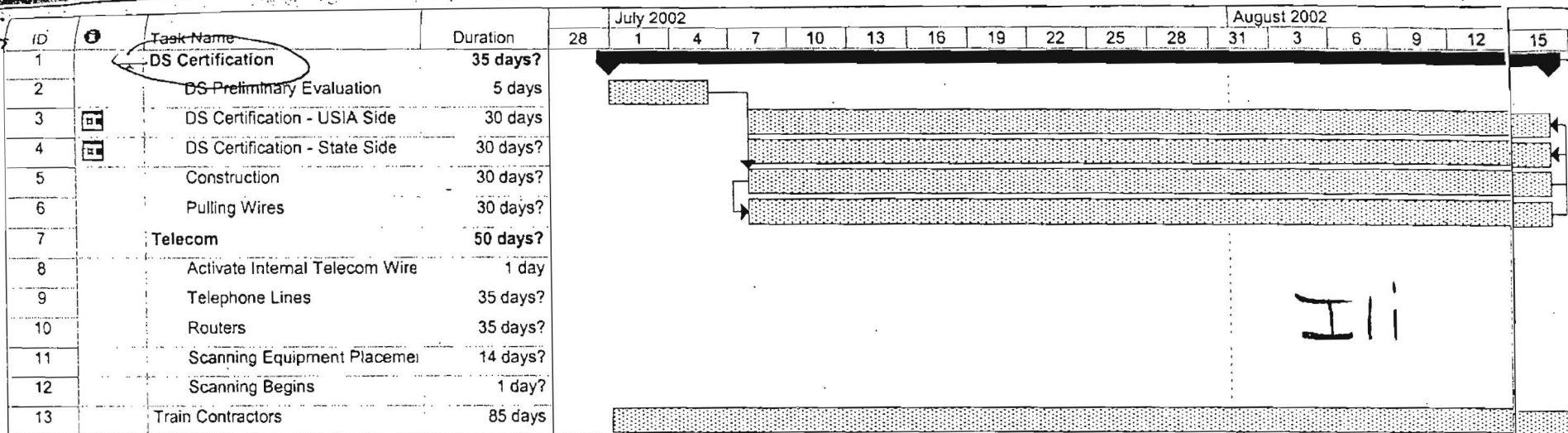
Deadline

UNCLASSIFIED



UNCLASSIFIED

Task		Milestone		External Tasks	
Split		Summary		External Milestone	
Progress		Project Summary		Deadline	



Project: Scanning at SA-13
Date: Tue 9/10/02

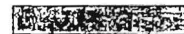
Task



Rolled Up Task



External Tasks



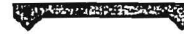
Progress



Rolled Up Milestone



Project Summary



Milestone



Rolled Up Progress



Group By Summary



Summary



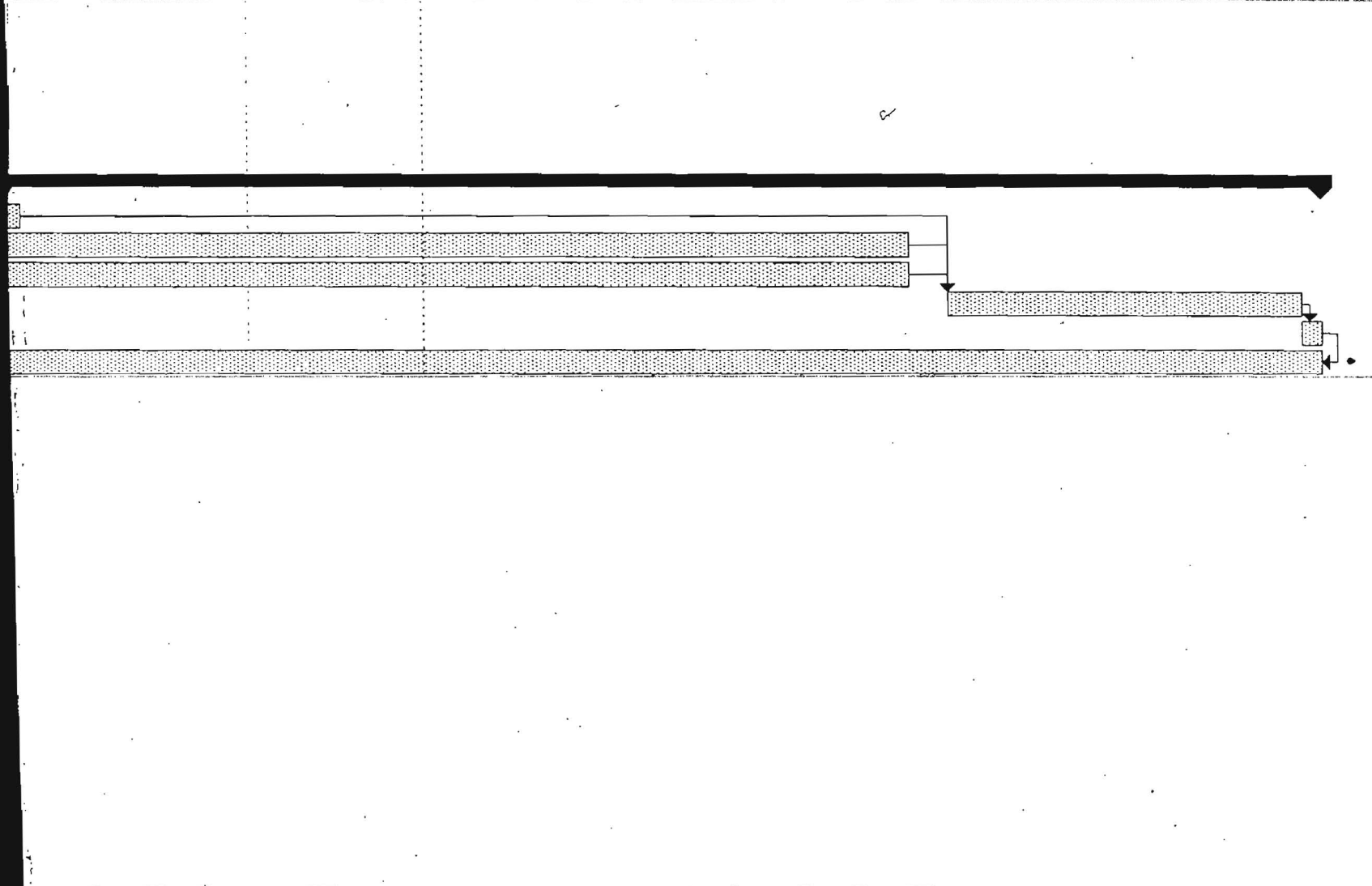
Split



UNITED STATES DEPARTMENT OF STATE
REVIEW AUTHORITY: ROBERT R STRAND

UNCLASSIFIED

September 2002										October 2002													
18	21	24	27	30	2	5	8	11	14	17	20	23	26	29	2	5	8	11	14	17	20	23	26



Planning at SA-13
10/02

Task		Rolled Up Task		External Tasks	
Progress		Rolled Up Milestone		Project Summary	
Milestone		Rolled Up Progress		Group By Summary	
Summary		Split			

UNCLASSIFIED

sep

1. Introduction

In October 2000, the U.S. Department of State initiated an action plan to address its long-standing non-compliance with the Freedom of Information Act (FOIA) and Privacy Act (PA), particularly the E-FOIA Amendments of 1996. At the time the plan was initiated, the Department had been the subject of numerous lawsuits concerning its high level of backlogged cases and the length of time it took to provide requested materials.¹¹¹ The Department had been relying upon the courts to grant Open America stays in these lawsuits based on its efforts to reduce the backlog, such as reorganization and systematizing document processing through the use of computers, etc.²¹² In 1996, however, Congress changed the law. In the FOIA Amendments of 1996, Pub. L. No. 104-231, Paragraph 7(c), 110 Stat.3048 (codified as amended at 5 U.S.C. 552 (a)(6)(C)(2)) Congress cut back somewhat on the ability of agencies to obtain Open America stays. Congress did so by amending the term "exceptional circumstances" in the statute as follows:

***the term "exceptional circumstances" does not include a delay that results from a predictable agency workload of requests under the FOIA, unless the agency demonstrates reasonable progress in reducing its backlog of pending requests."Id. (emphasis added).

In short, Congress raised the bar for agencies seeking a stay of litigation based only on the existence of a FOIA backlog of requests awaiting processing (as was the case with the State Department typically).

Continued support from the courts on obtaining such a stay would thus depend, in large part, on whether the agency could demonstrate "reasonable progress in reducing its backlog of pending requests." Despite its efforts at reorganization and technology investments, the Department had to concede its backlog has not in fact been reduced since enactment of the E-FOIA Amendments. It was recognized that at some point the courts would begin to issue orders for immediate FOIA processing (on penalty of full disclosure of the information requested) based on the Department's inability to reduce its outstanding FOIA backlog. That would have not only placed the Department in the unenviable position of having to respond to competing directives from different parts of the Judicial Branch on use of the Department's scarce resources, but possibly could also have led to additional negative consequences from the courts, including the potential of

¹¹¹ The original FOIA required agencies to respond to FOIA requests within ten days (5 U.S.C. 552(a)(6)(A)(1995)). The E-FOIA Amendments extended that period to twenty days (6 U.S.C. Section 552 (a)(6)(A)(1996)).

²¹² Because agencies as a practical matter were simply unable to comply with this short deadline and FOIA plaintiffs were able to immediately file suit to obtain documents, a practice developed under which the courts would stay FOIA lawsuits pending final administrative processing by the agency of the FOIA request. Open American v. Watergate Special Prosecution Force, 547 F.2d 605 (D.C.Cir. 1976). To obtain such a stay, an agency generally had to show that "exceptional circumstances" existed. In Open America, the D.C. Circuit construed "exceptional circumstances" as including an agency showing that it is deluged with a volume of requests vastly exceeding that envisioned by Congress when it enacted the FOIA, that the agency's resources are inadequate to deal with that volume within the ten-day time frame required by the statute but that the agency was processing the requests it had received (including the request at issue) in some orderly fashion.

possible sanctions, findings of contempt against Department officials and full disclosure of internal Executive Branch information.

Given the judicial, legislative, and interagency environment, it became imperative that the Department take a much more proactive stance in ensuring adequate resources be applied to the FOIA/PA processing. Therefore, the Bureau of Administration, in consultation with the Chief Financial Officer, Legal Adviser, Director General and Executive Secretary developed its FY2001 E-FOIA Compliance Plan.

2. FY2001 Department of State E-FOIA Compliance Plan

At the time the plan was developed (October 2000), the Department's backlog stood at slightly over 6,000 Freedom of Information/Privacy Act (FOIA/PA) cases, with approximately 90 new cases coming in every week. On average, the Department was opening 17% more cases than it was able to close each week, rendering it impossible to catch up with current cases much less reduce the backlog. By comparison, in the 1996-2000 time frame, reductions of 23% and 77% had been accomplished at the CIA and FBI respectively. Those successes had come as a result of significant influx of new full time permanent personnel at those agencies.

The Department had learned from previous backlog reduction efforts that one-time resource increases provided only temporary relief. While one-time technology investments had enabled compliance with the E-FOIA Electronic Reading Room requirements, sporadic and temporary investments in case processing personnel had not been effective in improving processing rates. A separate detailed workload analysis of FOIA/PA processing at the Department documented a steady decline in the permanent FOIA/PA workforce between 1996 and 2000, resulting in a severe misalignment between staff resources and incoming workload and leading to significant growth of the backlog.

A contemporaneous report by the Government Accounting Office (GAO) validated that observation. In March 2001, the GAO had issued its report to FOIA Congressional oversight committees entitled, "Progress in Implementing the 1996 Electronic Freedom of Information Act Amendments" (March 2001). Their independent analysis produced the following conclusions:

First, the State Department was substantially in compliance with the electronic reading room requirement through its FOIA website (which was recognized by other agencies and requester interest groups as the "best practice" model in the USG).
Second, utilizing universal independent indicators, the State Department was among the worst in reducing its backlog.
Third, the need for additional staffing was the primary barrier to implementing EFOIA.

In sum, the analysis found that:

- • Technology investment had significant payoff in EFOIA compliance.
- • Zero/negative investment in human infrastructure had resulted in a crisis of non-compliance with access requirements.

The GAO report independently validated what the Department's FOIA program managers and attorneys concluded and was corroborated by Justice and Congressional overseers – compliance with the law required an increased permanent workforce infrastructure.

Thus, the FY2001 E-FOIA Compliance Plan called for a three-prong approach involving new resources -- funding and people, permanent and temporary -- to rebuild the human resource infrastructure, supported by equal investments in facility and technology infrastructures. The objectives of the plan were to:

- 1. Build a permanent FOIA workforce infrastructure** to keep up with incoming workload, thereby preventing backlog buildup. This prong involved the augmentation of the existing FOIA/PA workforce by 14 full time positions.
- 2. Build a permanent special project workforce infrastructure** to reduce diversion of FOIA staff to court, congressional, and other legal document production demands. This prong involved establishment for the first time of a dedicated workforce of 9 full time positions for special projects, the most recent of which is responding to the Congressional investigation into the September 11, 2001 attacks.
- 3. Reduce FOIA backlog over two years.** This prong is what has become known as Operation Due Diligence, a comprehensive effort to reduce the backlog by 80% by June 2004 through use of a temporary workforce, infrastructure investments, and process improvements.

The first two prongs were accomplished with the hiring of 23 new employees during 2002-2003. As a result, the growth of the backlog slowed during 2002, reaching 6,214 at its highest point. Reducing that number was the primary focus of prong three. The DUE DILIGENCE project was initiated in June 2002, with total funding of \$8 million between FY2002 and 2003. Progress to date and future plans for Operation Due Diligence are discussed in the remaining sections of this report.

3. Operation Due Diligence

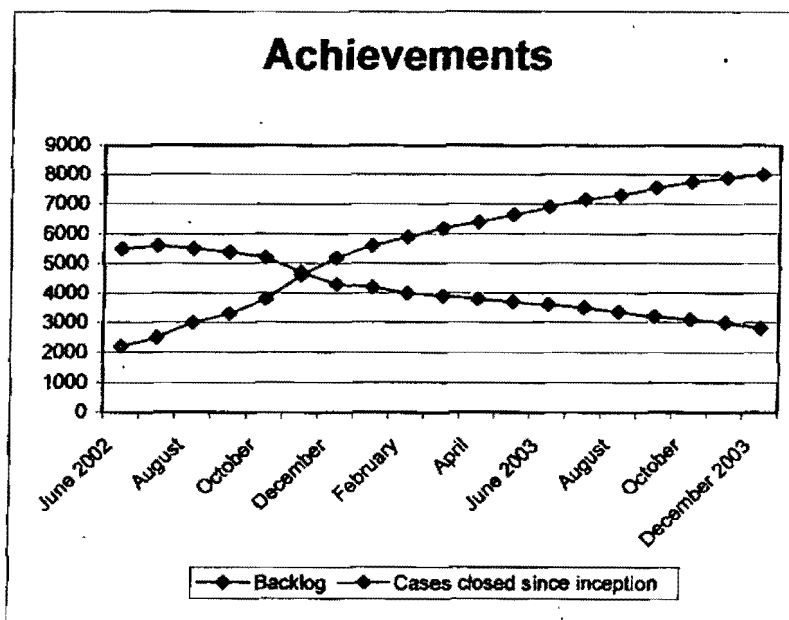
Operation Due Diligence is a task force structure overlaid upon the existing workforce structure of A/RPS/IPS - the area responsible for the Department's FOIA/PA processing, including its FOIA, Privacy and Special Document Production activities. The Due Diligence team and the whole IPS organization are working together to reduce the backlog, streamline the process and increase customer satisfaction.

The task force director is the Chief of the A/RPS/IPS Statutory Compliance and Research Division (A/RPS/IPS/CR), the primary FOIA/PA processing organization for the Department. Two A/RPS/IPS/CR Branch Chiefs serve as task force coordinators, managing daily operations, planning future activities, and providing progress reports and feedback to the Task Force Director. A Steering Committee comprised of senior managers from other areas of request processing, including automation, serves in an

advisory capacity to the task force management. The DUE DILIGENCE project structure also includes two project teams, supplementing the A/RPS/IPS branches that perform FOIA/PA request processing. DUE DILIGENCE project teams are comprised of a mix of permanent, temporary and contract program analysts, information analysts, content/classification reviewers and clerical support personnel. The IPS/AAS Division (System Support Group) provides statistics from the case tracking system database (FREEDOMS) to guide actions needed, produce progress reports and other key information, as well as provides guidance on and assistance in conducting State Archiving System (SAS) searches requested by task force team members and the task force director. The SAS is the primary electronic archive for the Department of State, housing over 25 million official records of the Department including cables, memoranda and other documents.

Operation Due Diligence has taken a collaborative, cooperative and comprehensive approach to backlog reduction, in keeping with the Department's 2001 E-FOIA Compliance Plan. The project's approach is to capture the minds and hearts of the operational personnel in an effort to establish a culture of excellence and a passion for customer service. The DUE DILIGENCE plan recognizes that reducing the backlog is heavily dependent on concurrent infrastructure expansion, case closure and process improvement activities.

3.A. YEAR ONE ACCOMPLISHMENTS



3.A.1. Infrastructure Enhancement

The key to resolving the Department's FOIA/PA backlog challenges over the long term is the establishment and maintenance of a robust personnel, technology and facilities infrastructure. While not generally visible to those monitoring progress against targeted

UNCLASSIFIED

reductions in backlog and processing times, it is the underlying infrastructure that will determine whether or not the Department can meet those goals. Specific infrastructure accomplishments during June 2002-2003 are noted below.

a. Personnel:

In late 2001, A/RPS/IPS was authorized a total of 23 new positions. By June 2002, the Department had completed an exhaustive set of actions that included recruiting, selecting and hiring new personnel with these action on going and with arrival of new staff continuing. In keeping with the E-FOIA Compliance Plan, these new employees were assigned to augment both the regular FOIA/PA processing staff and the special document production staff. In addition, the organization hired 40 part time new student employees to assist in case processing and 20 new WAEs to serve as reviewers. These new employees set the stage for establishing a workforce commensurate with the workload – one of the underlying principles guiding the entire E-FOIA Compliance plan – providing the foundation upon which to build a organization with the capacity to comply fully with the E-FOIA amendments over the long term.

Separately, A/RPS/IPS identified professional information access firms that could provide highly qualified, experienced talent to augment the permanent full time workforce. Working with the Office of Acquisitions, in September 2002, A/RPS/IPS was able to develop and award a statement of work to obtain these services. As a result, 23 additional contract personnel from McNeil Technologies were added to the personnel mix dedicated to backlog reduction.

The influx of new personnel provided new flexibility in terms of enabling A/RPS/IPS to minimize the number of full time permanent employees it needed to redirect to the backlog effort. As a result, only seven existing full time permanent personnel were shifted from their normal duties to dedicated backlog work. Senior level A/RPS/IPS/CR personnel were selected to fill key DUE DILIGENCE management positions in order to minimize the learning curve for the project and ensure consistency with overall A/RPS/IPS direction. Thus, the A/RPS/IPS/CR Division Chief was selected as the DUE DILIGENCE Project Manager; two A/RPS/IPS/CR branch chiefs were assigned as Task Force Coordinators; and four senior processing officers from A/RPS/IPS/CR were selected to serve on the backlog project teams. Actions were also taken to fill in behind the two branch chiefs to avoid creating new vacancy-related problems in the regular processing areas.

Training for the backlog teams, especially the new contract staff, was conducted during September 2002. Key members of the A/RPS/IPS organization briefed the backlog staff on their respective functions and processes, and presented a detailed overview of the FOIA/PA process--from request receipt through delivery of requested materials via what is known as the "release/denial (R/D) letter." Specific training areas included orientation, security, document listing, research and case management, legal precedents and need to know issues. It is important to note that each step of the process has its own intricacies and complexities, each of which needed to be explained to the new staff. This is significant in that the preparation of the training materials required that

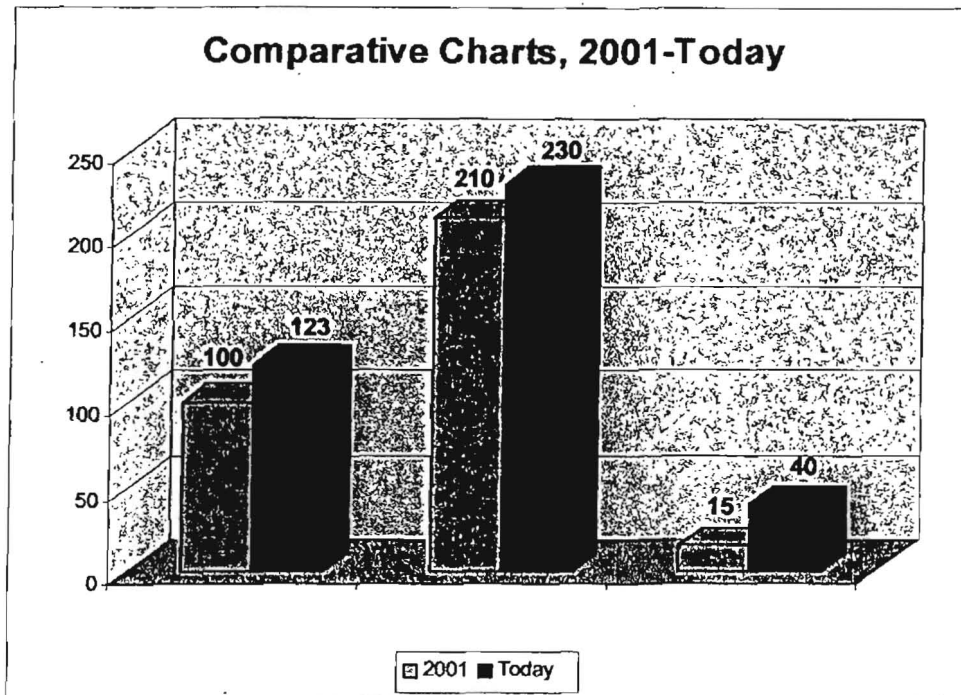
UNCLASSIFIED

existing staff take the time to articulate the specific steps of their respective processes. Documentation of these details generated many new ideas and questions regarding continued efficacy of existing procedures and identifying opportunities for process improvements.

Additions to Personnel

FTE	+ 23	+ 23%
WAEs	+ 20	+ 10%
Students	+ 40	+ 210%

Comparative Charts, 2001-Today



b. Technology:

Technology infrastructure efforts in the June 2002-2003 time frame focused primarily on ensuring adequate cabling infrastructure in existing and new work spaces; and on procuring and installing adequate levels of workstations and telephones for the new permanent and contract employees. New processing areas (work space) in both SA-2 and SA-13 and were equipped with additional classified and unclassified cable drops and telephone outlets. Upgrades to SA-2 and SA-13 servers, network equipment, FREEDOMS case management software, and other systems software were conducted to compensate for the increased throughput from the additional units and to manage the increased size of the network. In addition, connectivity to the TOP SECRET

UNCLASSIFIED

FREEDOMS system located at SA-2 from SA-13 was established for the first time. In total, between FY 2001 and 2003, about \$1,000,000 was spent on initial technology infrastructure upgrades related to the backlog effort.

c. Facilities:

The DUE DILIGENCE facilities plan was developed in September 2002. It called for the establishment of two full service processing centers and multi satellite work areas so that the DUE DILIGENCE team would be collocated – a key requirement in meeting the collaboration objectives of the project. It was decided that the DUE DILIGENCE team would occupy the fourth floor of SA-2, which required relocating other staff that had been occupying that space. New processing centers were to be created on three other floors of SA-2 to accommodate the displaced staff. A new strong room was to be added to SA-2 to house the Department's microfilm record collection, which was moved from an area to be occupied by officers displaced by the DUE DILIGENCE effort. Conference rooms in SA-2 were also to be converted to processing areas. The Records Service Center at SA-13 was to be transformed from a records warehouse to serve as a processing support center for information access. Floor plans, workstations, telephones, cable drops and furniture for each of the new areas would be required. Investing in the infrastructure--people and technology--transformed the Records Service Center at SA-13 from a traditional records management activity center to a processing center for information support.

Specifically, the SA-2 6th floor microfilm room was renovated into office space, requiring additional outlets and wiring for classified terminals to the sixth floor microfilm room to accommodate relocation from the SA-2 4th floor of the team processing the Foreign Relations of the US (FRUS) along with other selected staff. The team conducting the 25 year review was moved first to the SA-2 training room for several months until security certification of the former FOIA Reading Room was obtained, at which point they occupied that area. Furniture from the Reading Room had to be relocated and stored, and a new temporary Reading Room had to be established to meet legislated mandates regarding public access to certain agency information.

On October 7, 2002, the backlog team was relocated to the new 4th floor project space. By March 2003, the second site at SA-13 was ramped up, including installation of new electrical, telephone, fax, copier, and computer systems. Four analysts and two administrative officers were located at SA-13 and started backlog reduction activities including research of retired records, document listing and other case processing efforts.

d. Security Upgrades:

The backlog effort required redesign of several areas of SA-2, including what had been the public FOIA Reading Room, and the redesign of SA-13. Security enhancements required new doors and entry systems, alarm systems, secure systems cabling and wiring. Certification of the new areas was key in terms of when the new teams could actually occupy the project workspace and begin the collaborative process of closing cases. By October 2002, security certification was received for the basement storage area of SA-2.

By November 2002 the SA-13 facility was ready to operate in a secure mode. By January 2003, the former Reading Room received certification.

3.A.2. Case Closure

The most challenging task facing the DUE DILIGENCE project in its early days was defining the body of cases it was to address. A series of innovative approaches to using the data in the FREEDOMS case management system were developed. The resulting data were reviewed and analyzed in great detail, and new approaches were developed to help focus the effort.

Beginning in June 2002, FREEDOMS reports were generated that listed all open cases before 2001 that met the following criteria:

- All cases pre-dating 2001 for which the Department has found no relevant records (cases in which no records are found are known as "Oglesby" cases).
- All pre-2001 cases that had searches pending only in the central foreign policy archive (SAS).
- All pre-2001 cases for which searches have been completed but which had reviews pending.
- All pre-2001 cases that remained open despite the completion of all searches and reviews.
- All pre-2001 cases that had no searches or reviews completed.
- All pre-2001 cases that had only one outstanding action

Next, the first set of pre-2002 cases targeted for backlog reduction were grouped:

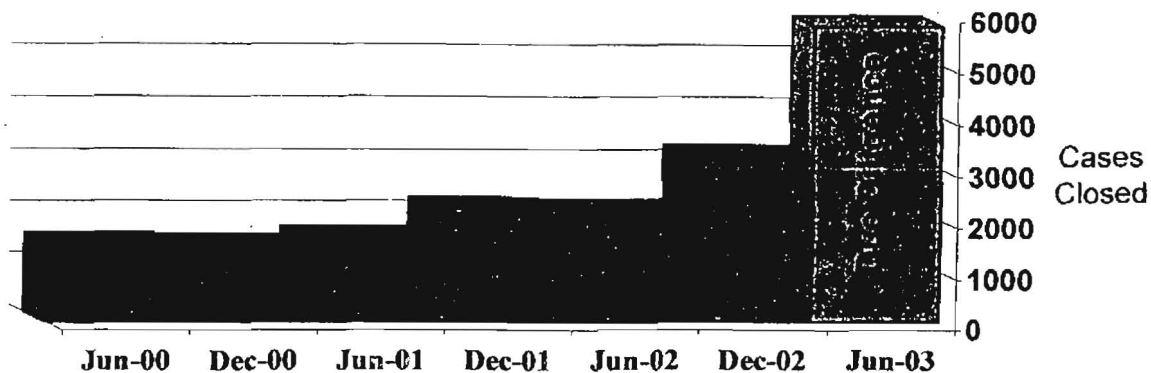
1. Number of cases with no record.
2. Number of cases with no searches and no reviews.
3. Number of cases with no searches outstanding and no documents.
4. Number of cases with no searches or reviews pending.
5. Number of cases with one ER search outstanding and no reviews pending.
6. Number of cases with no searches outstanding and one review pending.
7. Number of cases with one search and one review pending.
8. Number of all other cases.

The DUE DILIGENCE team was to address all Freedom of Information and Privacy Act requests, to include direct inquiries to the Department as well as records referred to the Department by other federal agencies.

Case file inventories and reconciliation also began in July 2002. This involved gathering case files into a single location and ensuring the inclusion in the file of all appropriate documents for the first 500 cases. This inventory effort was conducted using existing staff working overtime on nights and weekends so as not to disrupt ongoing operations.

UNCLASSIFIED

Project closing activities began in July 2002, but the level of effort applied to closing cases was greatly increased in November 2002 as soon as the preparatory data analyses, case reconciliation, contract staff training and infrastructure upgrades had been completed. When the DUE DILIGENCE effort began, the number of open cases stood at 6,214. Between June 2002 and June 2003, an additional 3,270 new cases were opened. In the same time frame, the DUE DILIGENCE team closed 5,756 cases, representing 70,000 pages released and over 1,500 reviews conducted. The May 2003 net open case level is 3,728 - a reduction from the initial 6214 benchmark of 40%.



3.A.3. Process Improvement

Throughout the course of the DUE DILIGENCE effort, the teams have engaged in ongoing dialogue to present and develop new ideas about how to streamline FOIA/PA case processing, how to decrease case processing times overall, and how to improve customer service and satisfaction among the Department of State FOIA/PA customers. Accomplishments to date in these areas are described below.

- 1. Improved Case Workload Analysis.** Specialized reports have been developed that assist with monitoring and reporting status of cases, resulting in better tracking of cases. Continued analysis of pending cases, including workload analysis, better use of statistics and systems information in managing workload. Implement additional research activities to enhance capability through use of SAS, the Internet and better liaison with other DOS offices.
- 2. Enhanced analysis of incoming requests.** The office that handles incoming requests has also enhanced its ability to analyze and narrow requests, facilitating the use of previously released materials for quick closures and helping to limit undue workload among the A/RPS/IPS/CR branches.

3. Implemented New Procedures for Invalid Requests. Modifications to procedures were made to close out cases that are invalid when they are received, rather than after a 90-day grace period previously afforded to the requester. An "invalid" request is one for which additional information is required before processing can begin. The previous procedure caused invalid cases – which had not yet begun to be processed – to show up on the backlog list. Since processing of these cases could not start until the additional information was received, displaying them as part of the backlog was inappropriate. The new procedure corrects that perception. Invalid cases are reopened and treated as all other cases once the required information is received.

4. Created new team to manage direct reply requests. A new team was established in the A/RPS/IPS area that handles incoming requests to sort through and manage the process for those requests, which are sent forward for direct response by another bureau. These records are from the Department's Bureau which maintain their own system of records. For example, this team now addresses requests that are to be directly handled by HR, PPT, DS and MED. Offloading this function from A/RPS/IPS/CR reduced the workload burden, and related backlog build up.

5. Streamlined FOIA services. The DUE DILIGENCE team coordinated closely with other offices to encourage a direct reply from the responsible office whenever possible. Most notably, the DUE DILIGENCE team added FOIA/PA Passport requests to the kinds of requests that fall into this category, thus streamlining services for a very voluminous category of requests.

6. Expanded FOIA Web Site. The DUE DILIGENCE team worked with other offices to place International Agreements and a list of the microfiche collection on the web in order to facilitate fast closure for those kinds of requests.

7. Updated and Improved Correspondence With Requesters: A/RPS/IPS uses templates for customer communications. Over the years, the number of templates grew as minor modifications to the templates were adopted by parts, but not all, of the organization. The DUE DILIGENCE team streamlined the number of templates as well as the language within the templates themselves. For all templates, redundant and erroneous language is being eliminated. The initial letter acknowledging the request has been revised to explain the new procedures for invalid requests and to encourage requesters to explore the website for previously released materials. A single, streamlined format has been established for an Oglesby letter (when a reasonable search results in no relevant documents held by the agency – a "no results" outcome). Rather than trying to tailor the letter to each individual request, the team adopted a "one-letter-fits-all" approach to Oglesby cases that provides requesters with all the information needed. Similarly, a single template approach is under review for the Release/Denial (R/D) letter that accompanies the materials provided to the requester. In some instances it has been possible to combine the R/D and cover letters into a single template. The DUE DILIGENCE team also worked with the Visa Office on its direct response to users regarding selected category of visa inquiries.

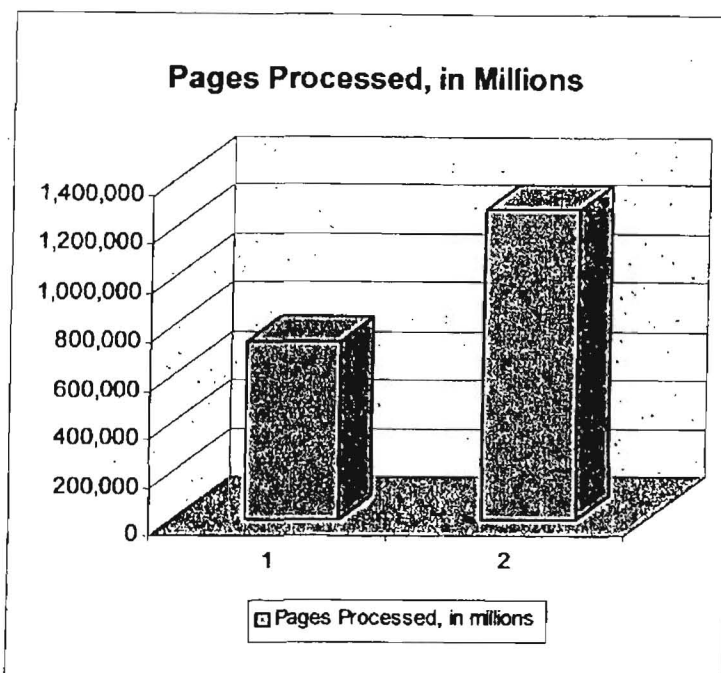
8. Improved internal system documentation of released documents. Images of released documents are stored within the FREEDOMS system. The DUE DILIGENCE team determined that the addition of watermarks to note documents that are now in the public domain would facilitate better use of the system to find previously released materials, thus expediting response to the requester and decreasing processing times. In addition, the use of watermarks on scanned documents available through the website can help facilitate a process known as "authentication" in which the Department must legally certify the authenticity of a document and that it is available for public use.

9. Improved Management of the File Room. The file room was cleaned up during the process of case file reconciliation, and new procedures implemented to ensure ready access to files by authorized staff and continuous management of the case file inventory. Efforts are underway to relocate cases that can be retired from the file room to the records storage center. At the end of FY03, funding was provided for establishing a new scanner based bar-code filing system that will streamline and expedite file services.

10. Modified Annual Report Methodology. Department reporting in the Annual Report will be changed to include counting of only FOIA and PA cases and not other request types. This is consistent with other agency reporting and will result in lower backlog numbers.

11. Improved Communication. Goals are better defined and published periodically, progress reports are underscored; production levels and progress for team/branches are reported throughout the organization. DUE DILIGENCE plans and progress updates, are stored on a public drive accessible by computer by all A/RPS/IPS personnel. There are weekly Steering Committee meetings, the results of which are communicated to the staff through regular branch-chief weekly meetings. Periodic briefings and updates are provided to the entire A/RPS/IPS organization. Improved communications with what are known as "decentralized" offices began in early 2002, to include those offices that provide direct reply to requestors resulted in the coordination of the closing of cases and updating records. Outreach to other Bureaus to explain their role in backlog reduction and responsive FOIA/PA processing was begun in June 2003. A/RPS/IPS records of backlogged cases were compared other bureau records to ascertain other bureau backlogs. At the same time, DUE DILIGENCE personnel began to be assigned to other bureaus, beginning with Consular Affairs, in order to assist them in their own internal backlog efforts.

12. Engaged the entire IPS organization in the backlog effort. Publicizing case closures statistics has spurred the organization to focus on outcome versus process in how they handle their workload. In addition, the DUE DILIGENCE team has reached out to other areas of IPS, notably the Advocacy and Oversight Branch, to assist in working on backlogged cases. Within the A/RPS/IPS/CR area, the DUE DILIGENCE has assumed all responsibility for pre-2002 cases, creating a much reduced, and more manageable workload for the regular CR processing branches, and freeing up regular CR analysts to work on current cases.



3.B. YEAR TWO PLAN

3.B.1. Infrastructure:

In Year 2, infrastructure work will focus primarily on ensuring backfills for a large number of personnel who retired during the first year of the program. As noted in the introduction to this report, it is personnel stability that is a key determinant of the Department's success in meeting the E-FOIA requirements. Timely posting and filling of key leadership vacancies will be critical to continued success in reducing the backlog. In October 03, there were five appointments to branch chief positions in the CR Division.

Additional technology infrastructure will also be conducted. An interface between the case management system, FREEDOMS, and the foreign policy archive, SAS, will be developed. This will expedite case processing by eliminating duplicate entry and scanning, and expediting retrieval of previously released documents.

Finally, additional space renovations will be made in order to provide permanent accommodations for the 23 full time permanent employees hired in the early phase of the DUE DILIGENCE project.

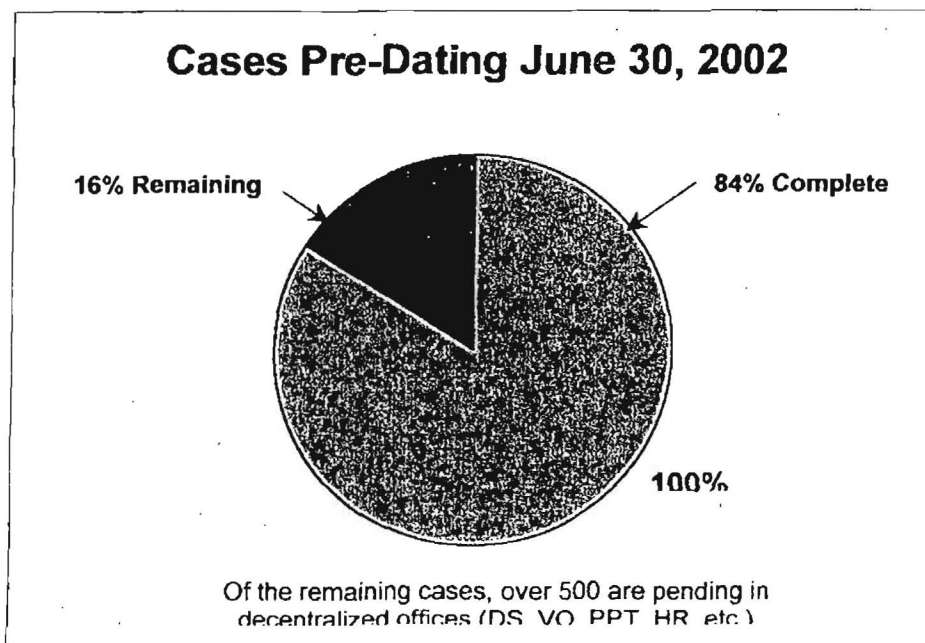
3.B.2. Process Improvement

During year two of the plan, the DUE DILIGENCE team will

1. Expand the FOIA Web Site A systematic approach will be established for selecting and posting recently released documents on the website on a regular basis. Candidates

for selection will be based not solely on repetition of demand for information. Other additional factors, notably *potential* for public interest will be considered. Nominations will be proposed on a one-page written format describing the subject, background, political or other sensitivity and public demand. The one-page review sheet will be approved by a senior reviewer expert in the topic and would be circulated among the DUE DILIGENCE Steering Committee until a permanent Web Site committee is established.

2. Continue to Streamline FOIA services among other bureaus. IPS is heavily dependent on other bureaus and offices to provide records responsive to FOIA/PA requests. For the first year of the backlog reduction project, IPS was able to effectively process to closure a large portion of those actions that were under its direct control and custody. The challenge for the second year is to bring to closure those actions pending in other bureaus and offices in the Department. Of particular concern are those offices that retain control and custody of their own unique records collections, for example DS and many of the CA bureau offices. One of our most recent accomplishments was to provide CA/OCS with two of our analysts to process requests within the OCS office. Two officers spent four months "on loan" to OCS. They were successfully able to reduce the outstanding caseload from over 230 requests to fewer than 10. We hope to build on this success and we are pleased to report that OCS has now hired an officer whose primary responsibilities will be to process FOIA/PA requests. Short-term infusion of resources is an important step in backlog reduction but investing in permanent staff provides payoff over the long term. External dependencies greatly limit our ability to achieve long-term success, but by partnering with these offices and developing ways to streamline their processes, we are confident that the value of committing resources to this requirement will be appreciated with benefit for both the Department and the requesting public.



UNCLASSIFIED

3. Visit other agencies. The DUE DILIGENCE team will visit other agencies that have programs receiving praise from the GAO in order to identify best practices and additional innovations for implementation within the State program.

4. Conduct Additional Training. A training officer will be appointed to coordinate continuous training for all FOIA/PA case officers, emphasizing customer service, production targets and lessons learned from the backlog effort in order to institutionalize the DUE DILIGENCE approach and set the stage for improved processing over the long term. Specialized training will be provided to all employees who have direct customer contact.

5. Establish a customer service plan. Among other initiatives, the Customer Service Plan will post a Department phone number on the FOIA website to assist users in making requests. Department employees who respond to calls will be provided a written script to promote consistent and accurate responses on FOIA and Privacy Act issues. The customer service plan will provide feedback to the web site to support posting more as well as rearranging existing information on the website to help users make FOIA and Privacy Act request that are better focused and contain essential information for validation. Other agency FOIA websites will be researched to compare services and assist in developing the plan.

6. Incorporate production targets into personnel performance plans. Closer linkages between employee performance requirements, backlog reduction targets and routine closure rates will be established. A more consistent standard of personnel ratings and more precise rating elements, including specific performance standards, will be established throughout IPS for program managers as well as processing staff. Team performance will be rated in addition to individual productivity. This will institutionalize the DUE DILIGENCE emphasis on production and performance throughout the organization and set the stage for continuous operational improvements.

4. Costs /Results

Costs

	<u>FY2002 - \$4.0M</u> (June 02-June 03)	<u>FY2003 - \$4.0M</u> (June 03-June 04)
Workforce (Reviewers, analysts, support)		
• Contractor	2.905	2.961
• USG (WAE & OT)	.009	.014
Technology		
• Hardware, software, programming	.460	.378
• Equipment	.319	.215
• Telecommunications (connectivity)	.150	.050
Facilities	.151	.512

UNCLASSIFIED

Results

Prior year backlog	Year 1	Year 2	Total
6,214 cases	3,728 cases	1,243 cases	-80% Backlog

5. Summary Timeline

October 2000	E-FOIA Compliance Plan
March 2001	First GAO Report
October 2001	23 New IPS positions authorized
June 2002	Funding Released to IPS for Project
Jul 2002	Operation Due Diligence Formed
Aug 2002	Due Diligence Project Plan Formulated
Aug 2002	Second GAO report
Sept 2002	Recruitment and Hiring Completed
Sept 2002	Facilities Renovation Begin
Sept 2002	New Personnel trained
Oct 2002	Due Diligence Teams Fully Operational
November 2002	Facilities renovations completed
November 2002	Second processing center opened
Dec 2002	20% reduction in Backlog
May 2003	40% reduction - 6 Weeks Ahead of schedule
June 2003	Outreach to Other Bureaus Begins
June 2003	Two contractors detailed to OCS
September 2003	Bar Code Filing System funded
September 2003	SAS/FREEDOMS integration funded
September 2003	Final renovation funded
September 2003	Customer Service Plan in place
October 2003	Other Bureau targets established
November 2003	Additional training plan in place
November 2003	DUE DILIGENCE team members augment regular processing teams
December 2003	DUE DILIGENCE team members augment other bureaus as needed
January 2004	Performance targets linked to work requirements
February 2004	Additional training initiative completed
April 2004	Push to achieve success for final 3 months
July 2004	GOAL MET: 80% of All Requests Completed

RELEASED IN FULL

Iik

~~Strategy for backlog reduction targeted for June 30, 2004~~

Current situation: To meet the 80% goal with current staff: There are approximately 2700 cases remaining in the backlog and only 15 weeks left. With 40 analysts engaged in the backlog effort, each analyst must close six cases per week over the next 15 weeks. There are 770 remaining pre July 2002 cases.

Steps:

1. Round table meetings to begin the week of February 24 with MPG, PS, PS, PM, KM and FF and the branch chiefs to analyze and review a sampling of cases, e.g, 20 cases. (Action: P.Sheils - e-mail inviting participation)
 - Oldest cases have top priority.
 - Analyze the basic steps to satisfy the request. This will focus on determining essential actions remaining to close a case. Review information already sent to the requester and determine if material reasonably satisfies the request.
 - Set up guidelines for reasonable, adequate searches to bring cases to closure. Set limits for data collection and draw up criteria to determine most effective reasonable approach to take to satisfy requests. Review and define reasonable search effort.
 - In processing do not go beyond amount requester has agreed to pay.
 - Establish a minimum goal of case closures per week for analysts/reviewers.
 - Peter Sheils will conduct weekly meetings with branch chiefs to discuss progress of post July 2002 requests.
 - FREEDOMS will be checked to determine accuracy of processing closed cases (Action: Celeste Houser-Jackson/Frank Folvary)
 - Analyze/parse/scope the backlog to assess steps to take to close cases with existing resources (Action: P. Magin/P. Scholl)
 - Re run the buckets for bucket analysis. (Action: C. Houser-Jackson. Magin, Scholl)
 - Missing cases – Sweep for missing cases, if unavailable create a Report 7 and proceed. Operation Amnesty (Action: P. Sheils e-mail for action, P.Magin /P. Scholl/Branch Chiefs for Rpt 7 and case closures)
2. Referrals:
 - All FR and PR referrals should be reassigned to the Force 2 and Force 3 teams. (Action: P.Sheils e-mail or meeting with branch chiefs)
 - All outstanding referrals prior to July 2002 should be addressed and closed within 30 days upon receipt). (Action: P. Magin/P. Scholl)
3. Decentralized Office Actions:
 - **Passport** –Of the targeted 760 plus cases (pre July02 cases), 160 cases are open because of outstanding searches to the Office of Passport. CR will take the steps to close them, if possible.

UNCLASSIFIED

- Analysis of outstanding actions: most are 3rd party requests that should be fairly simple searches and closures. How many would be actions for the National Archive, WNRC. (Action: C. Houser-Jackson, P. Sheils e-mail, T. Thian, P. Magin, R. Tynes to meet w/Passport)
 - Visa – 115 cases have search/review segments outstanding. Consular Officer, Robert Tynes, is appointed as the coordinator for heading up the effort of analyzing, managing, and assisting in the closure of these cases. Identify the reviewers who have experience in consular affairs (Robert Tynes, Bill Rierson, Bob Hennemeyer). There are 71 outstanding reviews and 115 outstanding searches. (Action: P. Sheil to appoint/discuss with R. Tynes, who will be the Action Officer.)
 - DS – identify outstanding cases (Action: C. Houser-Jackson).
4. Doc listing. Analyze/Distribute/Assign Doc Listing so that there is no slow down because of the doc listing queue. (Action: Celeste Houser Jackson/ Al Galovich)
 5. Address EAP reviewer shortfall in ODD team. All reviewers' schedules should be reviewed to ensure adequacy of expertise and availability due to WAE schedules. (Action: P. Sheils, W. Manning)
 6. Training: job related courses (FREEDOMS, case processing, Boolean logic, ASAP training, etc) would take priority over longer term career development related training for the first half of 2004. Schedule career training after 6/30/04. (Action: Branch Chiefs)
 7. Assignment and processing of cases by PP:
 - Outstanding SAS search segments transferred to PP/IA (Action: Peppe, Sheils, Branch Chiefs)
 - Train PP/IA to complete the task log. (Action: V. Bellamy, G. Hermesman, F. Folvary)
 8. Overtime – Strategy for overtime should be developed and offered. (Action: P. Sheils e-mail asking for candidates with the caveat of skills/experience required, overtime to be endorsed by the individual branch chief).

Impediments to full productivity: Currently at 15 to 20% below full staffing level.

UNCLASSIFIED

DRAFT

IIL

Strategy for backlog reduction targeted for June 30, 2004

Current situation: We have not been working at full staffing levels and have been 15 to 20% below full staffing level.

To meet the 80% goal with current staff: There are 3300 cases remaining in the backlog and 15 weeks left. With 40 analysts engaged in the backlog effort, each analyst must close six cases per week over the next 15 weeks.

Remaining pre July 2002 cases: 770

Analyze/parse/scope the backlog to assess steps to take to close cases with existing resources.

First steps:

1. Round table meetings with MPG, PS, PS, PM, KM and FF and the branch chiefs to analyze and review a sampling of cases, e.g, 20 cases with a view toward taking the steps that are necessary to satisfy the request without turning over every stone to find related information. This will serve as a focus to determine what steps are remaining in an open case where information has already been sent to the requester and where we can draw the line to satisfy the request. This will also serve to guide branch chiefs into a mindset of the adequate searches and information set to bring cases to closure cases. This will correct tendencies by reviewers and analysts to over analyze case information and draw up criteria to turn off the spigot. Establish a goal of case closures per session.

2. Decentralized Office Actions:

Passport -Of the targeted 760 plus cases (preJuly02 cases), 160 are open because of outstanding Searches to the Office of Passport. Request that the Passport Office provide IPS with the 160 open request so that we can analyze and take steps to close them here, if possible. Analysis of outstanding actions: most are 3rd party requests that should be fairly simple searches and closures. How many would be actions for the National Archive, WNRC.

Visa -115 cases have search and review segments outstanding. Consular Officer, Robert Tynes, is appointed as the coordinator for heading up the effort of analyzing, managing, and assisting in the closure of these 160 cases. Ask the Visa office to return those cases that are still outstanding. We also need to identify the reviews who have experience in consular affairs. Some officers—Robert Tynes, Pablo, Bill Rierson, Bob Hennemeyer. Outstanding are 71 reviews and 115 searches.

3. Referrals - All should be reassigned to the Force 2 and Force 3 teams. The referrals are the #1 priority. All outstanding referrals prior to July 2002 should be addressed and closed within 30 days.

UNCLASSIFIED

4. Doc listing. Ensure that there is no slow down because of the doc listing queue.
5. Address EAP reviewer shortfall. All reviewers' schedules should be reviewed to ensure adequacy of expertise and availability due to WAE schedules.
6. Processing by AO and PP- Assignment of processing to AO and PP- Consider closing referrals or other cases by PP.
7. Overtime – Strategy for overtime should be developed and offer. E-mail by Peter Sheils asking for those who are interested with the caveat of skills/experience required, endorsed by branch chief.
8. Training approved only for job related courses. –case processing training ASAP, etc.
9. Missing cases – Sweep for missing cases, if unavailable create a Report 7 and proceed to close. Operation Amnesty
10. Re run the buckets for bucket analysis.

UNCLASSIFIED

UNCLASSIFIED

RELEASED IN FULL

Im

ODD PROJECT PLAN STATISTICS - WORKLOAD REDUCTION

CLOSE <u>80%</u> OF ALL REQUESTS PRE-DATING 7/1/02	6214
CLOSE <u>80%</u> ALL REQUESTS RECEIVED* 7/02-7/04	-6896
TOTAL PROJECT WORKLOAD	13110
ODD GOAL:CLOSE <u>80%</u> OF PROJECT WORKLOAD	10488
WORKLOAD AT PROJECT CONCLUSION	2622

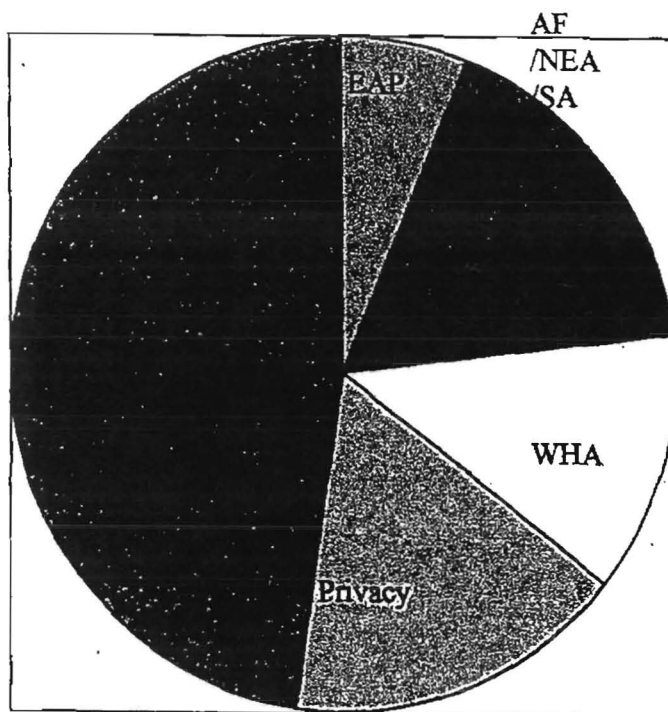
GOAL TO CLOSE 10,488 Cases - to date we have closed 8,921 with 1567 cases remaining to be closed

*Projection based on average of two prior FYs.

UNCLASSIFIED

Cases Closed Jan - June 2004

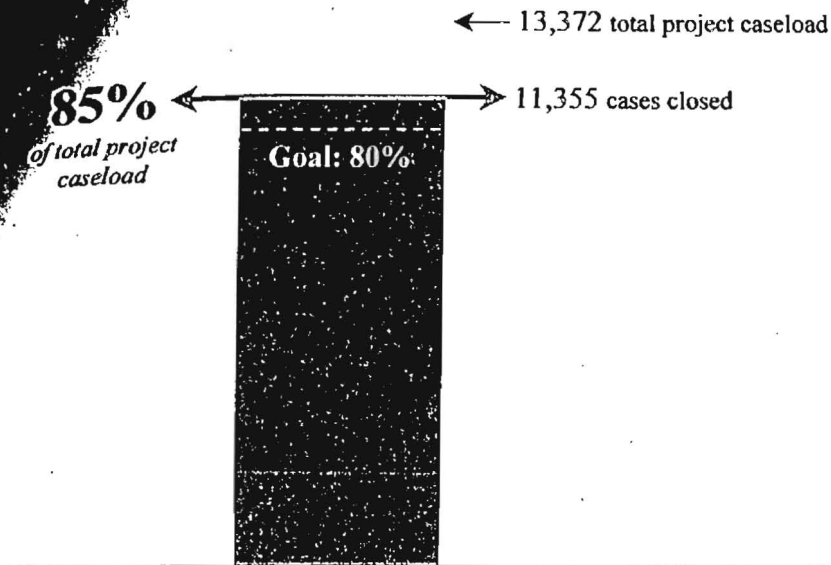
IN



- EAP 128
- AF/NEA/SA 172
- EUR 177
- WHA 261
- Privacy 342
- Backlog Teams 990

UNCLASSIFIED

FOIA Backlog Project



UNCLASSIFIED

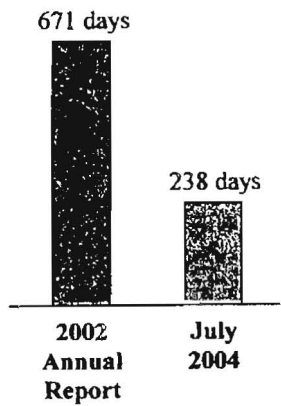
UNCLASSIFIED

Processing Time Improvement

median days per case

65%

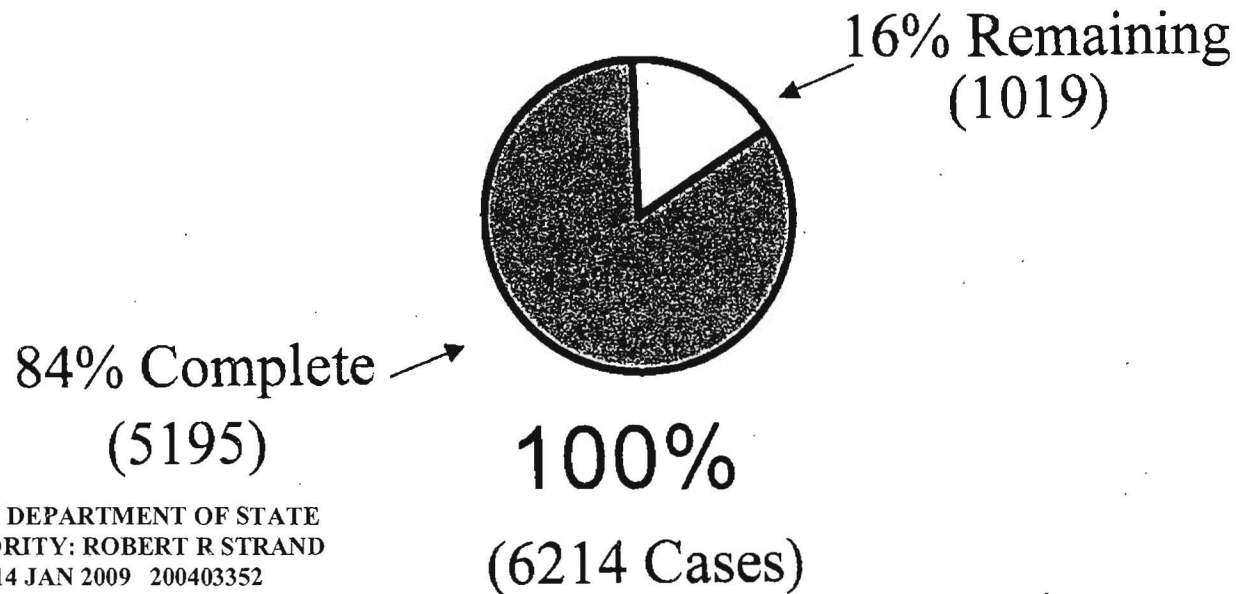
reduction in processing time



UNCLASSIFIED

IIO

Cases Pre-Dating June 30, 2002



UNITED STATES DEPARTMENT OF STATE
REVIEW AUTHORITY: ROBERT R STRAND
DATE/CASE ID: 14 JAN 2009 200403352

Of the remaining cases, over 20% are pending in decentralized offices (DS, VO, PPT, HR...)

DUE DILIGENCE Spending Summary

Summary: Operation **DUE DILIGENCE**, the project to reduce the FOIA backlog started in mid-June 2002 when the funds were made available to IPS and will conclude at the end of June 2004. A program increase of four million dollars was obligated to IPS for each year of the two-year project. The project goal is an 80% reduction in the backlog, starting with 6,214 cases and ending with 1,243 cases targeted for June 2004. As of November 2003, we have achieved an impressive 55% in backlog reduction. To accomplish this required a major investment in the infrastructure, i.e., hiring personnel, upgrading and augmenting technology and building and enhancing facilities. Building the infrastructure in record time and achieving unprecedented success in reduction goals demonstrates the value of this investment.

Obligated Funds:

2002 - \$4M *

2003 - \$4M

*Received June 2002

Actual Costs

FY 2002

FY 2003

Technology

- Non Equipment
- Equipment

.460

.378

.319

.215

.779

.593

Personnel

- McNeil
- STG
- Non-contract

2.738

2.766

.167

.195

.009

.014

Telecommunications

.150

.050

Space

.151

.512

TOTAL:

3.994

4.130

Achievements:

Technology: Hardware/software, computers and equipment for SAS/FREEDOMS Interface, classification connectivity, scanning ability.

Personnel: 23 contractors (15 case officers, admin support and reviewers), 11 Civil Service (8 full-time and 3 part-time), 2 WAEs.

Telecommunications: Voice/Data telecommunication, network equipment and services.

Space: Creating and augmenting processing centers at SA-2: establish two processing centers and multiple satellite work areas. At SA-13, creating a full service-processing center.

UNCLASSIFIED

UNCLASSIFIED