

FOIA Improvement Plan
Amendment 1.1 (3/29/07)

Goal	Step	Measure	FY06 Milestone	FY07 Milestone	FY08 and Beyond Milestone
Improve Customer Service	Monitor and improve DOI/bureau FOIA web sites using customer feedback	80% FOIA websites maintained and updated using best practices and customer feedback as appropriate			* 6/30/2008
	Benchmark FOIA web site best practices	Select applicable best practices identified by FIT team	9/30/2006		
	Review, update and redesign web sites in accordance with DOI and the bureaus' standards	DOI FOIA web site redesigned as appropriate			*12/31/2007
	Monitor and continue to improve web sites based on customer feedback	Bureaus sites have been inspected and 75% meet improvement recommendations		9/30/2007	
Improve Customer Service	Revise DOI Reference Guide in accordance with EO, and DOI regulations	Revision completed and posted to DOI FOIA website		*8/1/2007	
Improve Customer Service	Develop guidance for compliance of FOIA web sites	Audit reveals 80% web sites meet DOI FOIA standards			2/22/2008
	Develop audit guidance	Guidance published		12/29/2006	
	Conduct annual audit of all DOI FOIA web sites	Audit process initiated			10/19/2007
Improve Customer Service	Develop on-line form for requestors to submit requests with return receipt	On-line request form available with return receipt for use by the public			*12/31/2007
	Research availability of existing forms and best practices	Research conducted	9/30/2006		
	Develop request form	Forms for use on bureau websites		** 12/15/2006 *9/30/2007	
	Require all bureaus have electronic FOIA mailboxes	Electronic FOIA mailboxes established by bureaus	9/30/2006		
Improve Customer Service	Develop DOI on-line customer comment forum	Customer comment forum completed and available to the public for suggesting improvements to FOIA program			8/29/2008
	Analyze feedback from customer comments	Issue guidance to improve program based on customer comments as appropriate			On-going
Improve Customer Service	Develop frequently asked questions (FAQS) and responses	Responses to FAQs developed and available to the public via DOI/bureau FOIA web sites		3/30/2007	
Improve Customer Service	Provide toll free FOIA number for requestors when available (Waiver Request in Process)	Toll free number in service		** 12/29/2006 *9/30/2007	
Improve Customer Service	Initiate a customer feedback survey given appropriate funding/resources	Survey initiated			9/30/2008

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Eliminate FOIA Backlogs	Develop bureau backlog reduction plans - Bureau of Indian Affairs (BIA) - Fish and Wildlife Service (FWS) - Office of Inspector General (OIG)	* Proposed plans reduce/eliminate backlog by FY09 (percentage is based on per year reduction of existing backlog)	BIA 0%, FWS 34%, **OIG 25% 9/30/2006	BIA 40%, FWS 67%, * OIG 0% 9/30/2007	BIA 40/100 % 9/30/09, FWS 100% 9/30/08, *OIG 25% 9/30/08, 50% 9/30/2009
	Conduct reviews to identify backlog areas	Backlogs identified	5/5/2006		
	Meet w/ bureaus having large backlogs and require their submission of an elimination/reduction plan	Meetings held	5/5/2006		
	Review causes of FOIA backlogs and identify ways to eliminate or reduce	Backlog reviews completed and bureaus with large backlogs submit elimination plans	6/15/2006		
Eliminate FOIA Backlogs	Monitor bureau backlogs quarterly and develop remedial actions if needed	Initiate quarterly remedial actions	9/30/2006		
		Quarterly reviews completed	On-going	On-going	On-going
		Additional Bureau plans for backlog reduction if needed	On-going	On-going	On-going
Eliminate FOIA Backlogs	Eliminate / Reduce FOIA Appeals Backlog	Backlog elimination or reduction achieved	0% by 9/30/2006	*10% 9/30/2007	* 20% 9/30/2008 *30% 9/30/2009
Build/Retain Highly Skilled FOIA Workforce	Develop consistent FOIA personnel standards	FOIA personnel standards and guidance issued and implemented			* 7/31/2009
	Establish team to review personnel issues and identify best practices	Team established	7/14/2006		
	Establish core competencies for FOIA processors linked to FOIA processor grade structure standards, performance evaluations and career ladders	Core competency analysis completed	9/20/2006		
		FOIA processing grade structure and career ladders developed			* 7/30/2008
		Standard PD developed		* 9/30/2007	
		FOIA Processors' performance standards developed		**11/30/2006	* 12/31/2007
		Guidance for implementation issued by DOI			* 4/30/2008
		Guidance implemented by bureaus			11/1/2008

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	Establish model FOIA performance standards for other individuals (e.g. supervisors of FOIA processors).	Performance standards developed			* 12/31/2008
		Guidance for implementation of standards issued by DOI			* 12/31/2008
		Guidance implemented by bureaus			* 4/30/2009
	Establish workload guidance for supervisors of FOIA processors & FOIA program managers for staffing purposes to include collateral duty issues pertaining to FOIA personnel	Research conducted and data gathered	9/20/2006		
		Workload guidance developed			* 10/31/2007
		Workload guidance issued by DOI			* 12/31/2007
		Guidance implemented by bureaus			11/1/2008
Build/Retain Highly Skilled FOIA Workforce	Establish FOIA recognition program	First recognition awards issued			*12/31/2008
Build/Retain Highly Skilled FOIA Workforce	Establish FOIA Certification Program	Complete certification of first group of FOIA personnel			* 9/30/2008
	Develop core competencies and training required for FOIA coordinators, including criteria required for various levels of proficiency.	List of core competencies, knowledge, and training required	9/20/2006		
	Develop procedures and guidance for certification program implementation of core competencies	Procedures and guidance for program implementation issued			* 3/31/2008
	Implementation and monitoring	First group of FOIA personnel certified			* 9/30/2008
Build/Retain Highly Skilled FOIA Workforce	Conduct required annual DOI-wide FOIA training to include session on improving customer service	DOI training with FOIA Officers/Coordinators and attorneys held - objectives fully met		6/29/2007	5/25/2008
	Identify training and networking sessions for next FY as resources allow		9/15/2006	9/15/2007	9/15/2008
	Propose agenda items for training and networking		9/15/2006	9/15/2007	9/15/2008
	Evaluate Feedback from (previous year's) training			8/1/2007	8/1/2008

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Build/Retain Highly Skilled FOIA Workforce	Develop online computer based training (CBT) for FOIA	Online training fully developed and implemented with pilot roll out to 50% of defined audience 1st year; pass rate of 80% 1st year			9/30/2008
	Identify training needs and targeted audience			* 8/31/2007	
	Define requirements			*9/28/2007	
	Research the availability of existing training materials			*9/28/2007	
	Issue RFP & evaluate proposals for a contract to develop a training module				*2/29/2008
	Award contract				*4/30/2008
	Develop training module				*7/31/2008
	Implement and monitor training				9/30/2008
Build/Retain Highly Skilled FOIA Workforce	Establish DOI approved electronic library of training materials	Library of DOI approved training materials published on Intranet for training and knowledge management			11/30/2007
	Issue guidance requiring that all training materials be approved by Department	Guidance approved and issued	9/30/2006		
	Establish procedures for posting and maintaining approved training materials to DOI Intranet	Procedures in place to ensure training materials are accurate, up-to-date, and consistent with all laws and regulations		3/30/2007	
Build/Retain Highly Skilled FOIA Workforce	Establish in-house FOIA training and networking program	In-house FOIA training and networking program is functional			* 9/30/2007
	Write syllabus	Syllabus completed	9/22/2006		
	Establish administrative vehicle for payment through DOI University	Agreements established	9/22/2006		
	Develop training materials	Training materials completed and available for use	9/22/2006		
	Announce availability of training	Training announcements issued	9/22/2006		
Improve & Streamline FOIA Processing	Develop recommendations for streamlining approval process and signatory authority for FOIA responses while ensuring compliance	Implementation of streamlined approval process in practice			* 12/31/2007
		Position Paper Issued		** 12/01/2006 * 9/30/2007	
		Issue Guidance on streamlined process			* 12/31/2007

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Improve & Streamline FOIA Processing	Make multi-track processing mandatory	DOI guidance updated and issued to require multi-track processing		11/1/2006	
Improve & Streamline FOIA Processing	Communicate "Lessons Learned" (LL) to FOIA staff	Initiate Lessons Learned and integrate with training		4/30/2007	On-going
		Update Guidance with Lessons Learned		9/30/2007	On-going
		FOIA Tool Box with Lessons Learned established for FOIA processors and made available electronically		9/30/2007	On-going
Improve & Streamline FOIA Processing	Explore options for streamlining SOL reviews for certain categories of information/documentation	Implementation of streamlined SOL reviews are in practice			* 3/01/2008
		Options discussed		** 11/15/06 * 7/31/2007	
		Decision made		* 9/30/2007	
		Guidance issued			* 12/31/2007
Improve & Streamline FOIA Processing	Develop SOL checklist of steps necessary before submitting package for SOL review	Checklist posted to FOIA Intranet			* 12/31/2007
		SOL Checklist distributed to all FOIA Officers			* 12/31/2007
Improve Communication Consistency	Ensure effective communication mechanisms for FOIA Officers, attorneys, program staff, and upper management to process FOIA in accordance with the law	Effective communication mechanisms fully functional across Department			12/1/2007
	Establish DOI FOIA team to promote collaborative effort (policy, procedures, training) OCIO, bureau FOIA & SOL staff offices	Team established	8/8/2006		
	Conduct meetings/briefings with upper management to improve visibility of FOIA program	Briefings and meetings held as needed		1/26/2007 * On-going	* On-going
	Develop FOIA Intranet site	FOIA Intranet site available to FOIA personnel		12/29/2006	
	Establish mailbox whereby FOIA personnel can request guidance on specific topics	Mailbox operational		*6/30/2007	

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	Develop centralized FOIA mailing list (direct line of communication)	Mailing list developed and used to distribute guidance and information to FOIA personnel	9/22/2006		
	Identify points of contact for primary program areas/offices in each bureau	List of contacts posted on Intranet w/ ongoing updates		6/30/2007	
	Publish Information Management Newsletter to include FOIA updates	Issuance of newsletter/update memorandum	9/26/2006	* On-going	* On-going
Improve Dept. Communication & Consistency	Update DOI's FOIA regulations to include EO mandates and other required changes and issue proposed rule	Final rule published in the Federal Register			9/28/2008
	Issue proposed rule	Proposed rule issued		9/28/2007	
Improve Dept. Communication & Consistency	Revise DOI FOIA Handbook to include EO mandates (with particular emphasis on providing good customer service) and other required changes	Revised handbook posted to Intranet			*9/30/2008
Improve Dept. Communication & Consistency	Develop electronic correspondence templates, including acknowledgment letters to assist in processing with emphasis on enhancing service to the public	FOIA officers and coordinators have full access to electronic templates *(Incorporates Goal VII "Employ Viable Technical Solutions" step and milestone from original plan)		**12/29/2006	* 12/31/2007
	Review and update letters in DOI FOIA Handbook, supplement where necessary	Post to DOI FOIA Intranet		**12/29/2006	* 12/31/2007
Improve Dept. Communication & Consistency	Develop FOIA litigation highlights and update on continual basis	FOIA litigation highlights distributed to FOIA personnel and attorneys and posted on DOI Intranet		* 9/30/2007	
Improve Dept. Communication & Consistency	Develop procedures to evaluate Departmental FOIA program to ensure compliance	Compliance program fully functional			9/30/2008
	Plan and develop program; Implement procedures	Additional chapter in DOI FOIA Handbook documents new compliance procedures			12/29/2007
	Develop viable schedule and checklist for conducting program compliance audits	Regular audits conducted			9/30/2008

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Optimize Structural Organization	Bureaus conduct reviews to determine optimal organizational structure for program effectiveness, to include: identifying alternative structural organization, evaluating associated costs, developing a cost-effective organizational recommendation, determining feasibility of multi-bureau processing centers	Reviews completed and report issued by bureaus to Chief FOIA Officer w/ recommendations (methodology for completing analytical program analysis is included in report)			* 12/31/2008
	DOI issues guidance to bureaus/offices for conducting reviews of FOIA office structure	Bureaus begin reviews			* 6/30/2008
	Implement changes to bureau FOIA program structures as appropriate	Bureau directives updated as appropriate			* 6/30/2009
		Departmental Manual revised as appropriate			*6/30/2009
Optimize Structural Organization	Define responsibilities of and determine final organizational structure for Requester Service Center and Public Liaison organization within DOI	FOIA Requester Service Centers and Public Liaisons established and contact information posted to FOIA website	6/2/2006		
	Establish bureau/office FRSCs and Public Liaisons	Bureau and office FRSCs and Public Liaisons established and posted to the FOIA website	6/2/2006		
	Develop plan and submit to obtain budget approval	Approved plan for DOI Customer Service Center, funding and implementation	9/29/2006	* ON HOLD	
	Provide training to FRCs and liaisons	Guidance on roles and responsibilities issued	9/29/2006		
	Develop log for tracking incoming calls from requesters	Bureau tracking initiated	9/29/2006	* On-going	* On-going
	Develop Secretarial Order (SO)/ Departmental Manual (DM) change implementing OCIO FOIA structural change	SO/DM issued	9/29/2006	* ON HOLD	
Optimize Structural Organization	Bureaus identify and define strategies for dealing with unexpected/unplanned FOIA workloads	Strategies approved and ready for action as needed			10/30/2008
	Define strategies				

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	Submit action plan to DOI FOIA Office that outlines strategies	Action plan presented to DOI Chief FOIA Officer			8/29/2008
Employ Viable *Technology Solutions	Implement technology solution based on cost benefit analysis	Enhanced EFTS <u>or</u> COTS technology is deployed		8/29/2007	
	Conduct cost benefit analysis	Recommendations issued	9/8/2006		
	Make decision Re: best tracking system solution	Decision made (<u>Continue w/ EFTS</u>)	9/29/2006		
	Implement solution in 2007	Implementation of selected technology solution begins		4/25/2007	
Employ Viable *Technology Solutions	Establish standards for electronic redaction processing	Standards in place			*4/30/2008
	Issue Directive including use of scanning and redaction technology	Directive issued			* 4/30/2008
	Bureaus comply with technology guidance	Bureaus in compliance			*6/30/2008
Employ Viable *Technology Solutions	Deploy desired new FOIA technology functionality for BIA and SOL	Solution deployed			4/25/2008
	Develop recommendations for technical solution that would enable BIA and SOL to track requests electronically	Recommendations issued			11/30/2007
		Decision made			12/28/2007
		Implementation begins			4/25/2008
Employ Viable *Technology Solutions	Complete enhancement to EFTS to facilitate bureau/office preparation of the annual report	Completed and in use	7/20/2006		

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