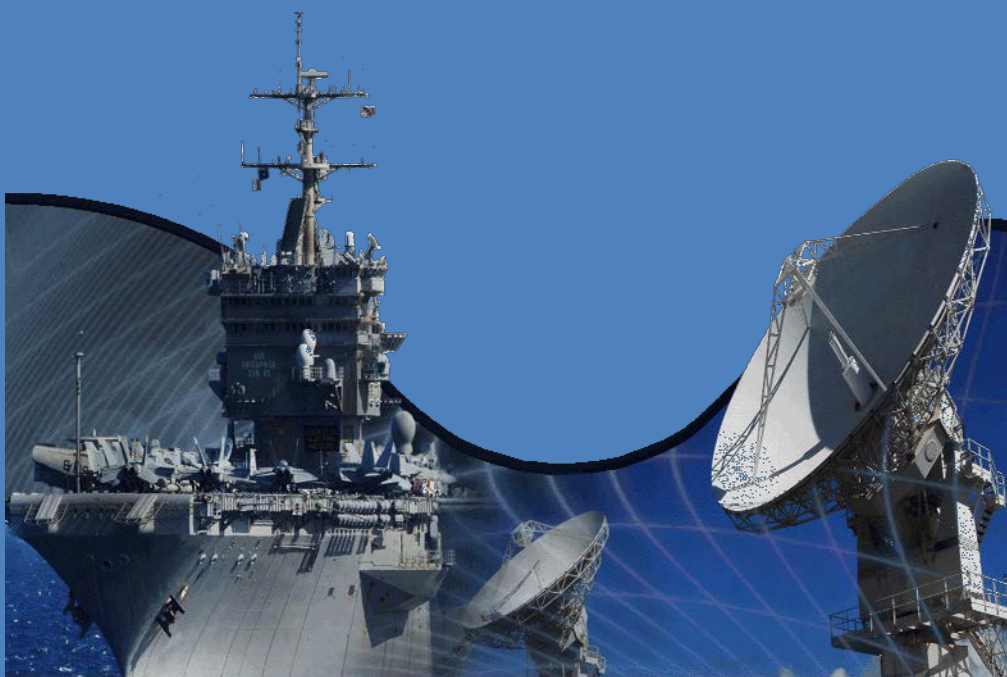# NAVY FOIA BUSINESS PROCESS & FOIAONLINE INTERGRATION TRAINING

WRITTEN BY

DEPARTMENT OF THE NAVY

PA/FOIA PROGRAM OFFICE (DNS-36)

FOIA TEAM

TABLE OF CONTENTS

Revision 0.15   6/4/2014

Disclaimer: This presently is drafted for internal use within DNS-36 Office, as revisions are made we will develop an Standard Operating Procedures (SOPs) for widespread use.

DEPARTMENT OF THE NAVY
CHIEF INFORMATION OFFICER
1000 NAVY PENTAGON
WASHINGTON DC 20350-1000

12 December 2013

MEMORANDUM FOR DIRECTOR NAVY STAFF
DIRECTOR, MARINE CORPS STAFF

Subj: DEPARTMENT OF THE NAVY IMPLEMENTATION OF FOIAONLINE

Effective 1 February 2014, all new and open Department of the Navy (DON) Freedom of Information Act (FOIA) requests will be processed through the FOIAonline tracking and management tool. This web-based tool, managed by the Environmental Protection Agency (EPA) and used by several Federal agencies, will provide a cost effective shared service that automates the tracking and reporting associated with FOIA processing.

Per standard practice, appropriate redactions will be applied prior to document release. Exceptions to releasing specific documents to the FOIAonline repository may be granted on a case-by-case basis by the applicable Navy or Marine Corps FOIA office.

FOIA offices currently using the Naval Sea Systems Command e-FOIA tool and commands that are employing other FOIA tools or methods will continue using their respective system until 31 January 2014.

Training information, including dates for web-based training via Defense Connect Online, will be provided under separate correspondence. My points of contact for FOIAonline implementation are Ms. Suzette Buttram, suzette.buttram@navy.mil, (703) 695-1970 and Mr. Steve Muck, steven.muck@navy.mil, (703) 695-1297.
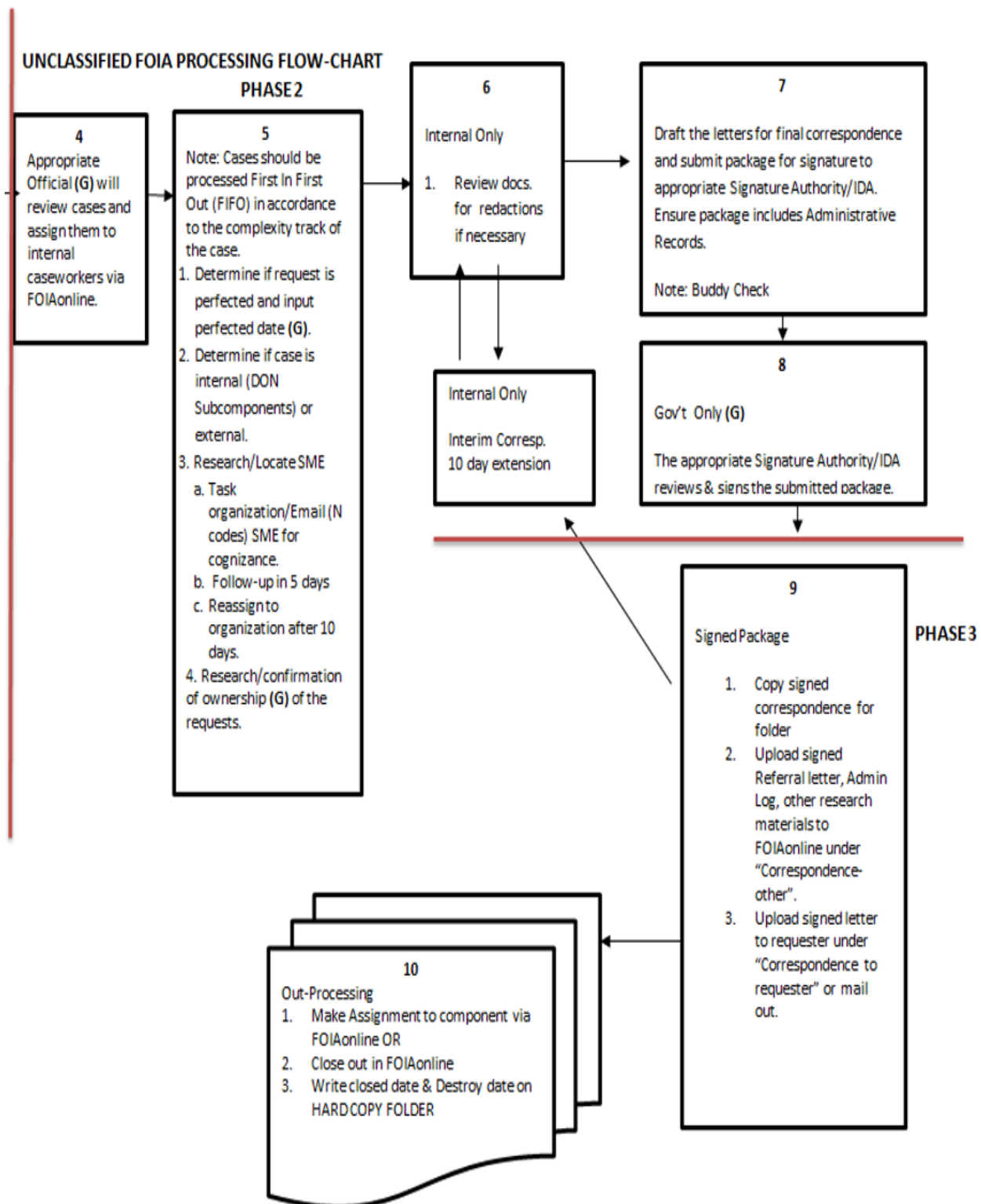
Terry A. Halvorsen
Department of the Navy
Chief Information Officer

Copy to:
DON/AA
CNO (DNS-36)
OPNAV N2/N6
HQMC C4
HQMC (ARSF)
NAVSEASYSCOM

UNCLASSIFIED FOIA PROCESSING FLOW-CHART
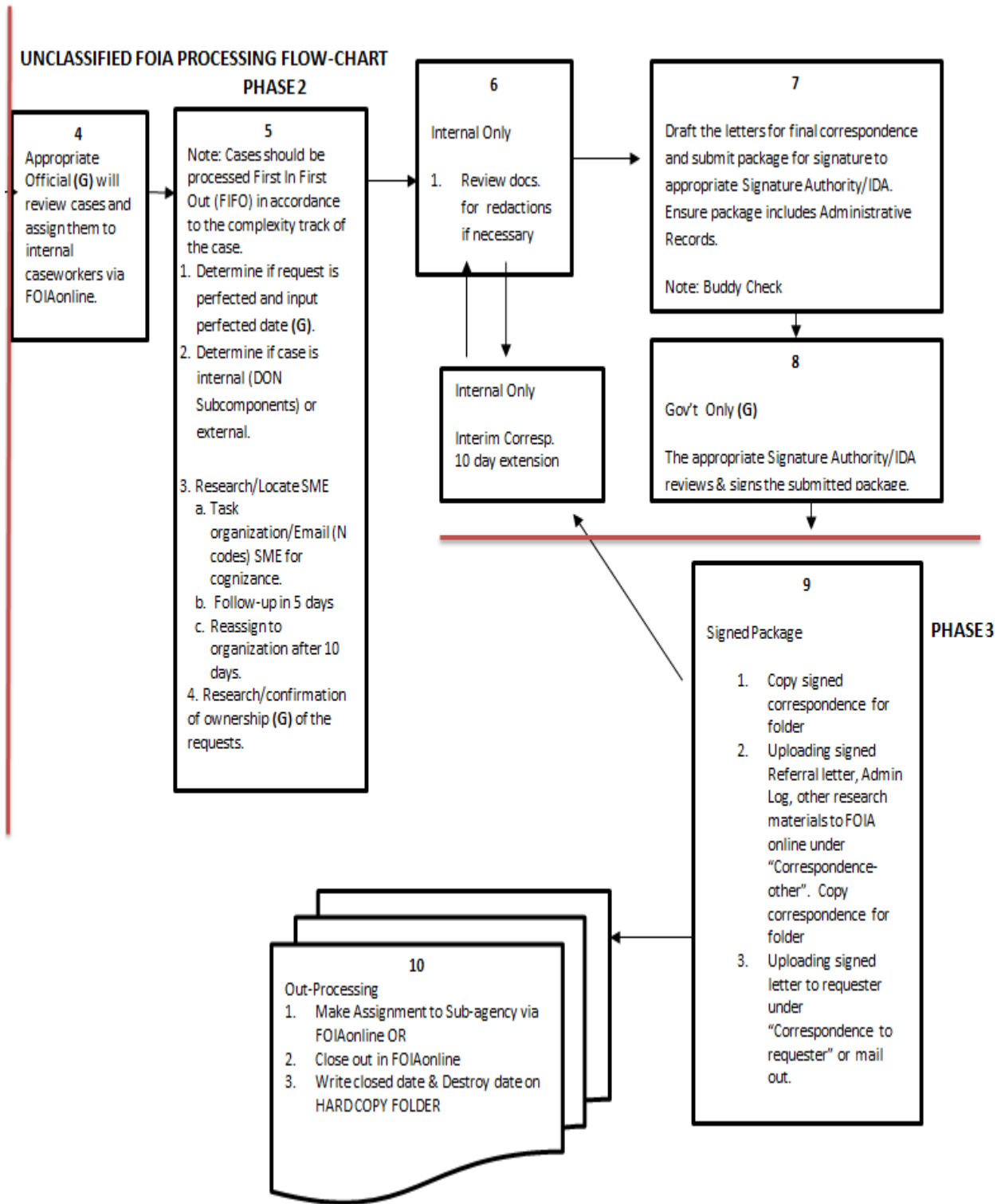### PHASE 2

4
Appropriate Official **(G)** will review cases and assign them to internal caseworkers via FOIAonline.

5
Note: Cases should be processed First In First Out (FIFO) in accordance to the complexity track of the case.
1. Determine if request is perfected and input perfected date **(G)**.
2. Determine if case is internal (DON Subcomponents) or external.
3. Research/Locate SME
   a. Task organization/Email (N codes) SME for cognizance.
   b. Follow-up in 5 days
   c. Reassign to organization after 10 days.
4. Research/confirmation of ownership **(G)** of the requests.

6
Internal Only
1. Review docs. for redactions if necessary

Internal Only

Interim Corresp. 10 day extension

7
Draft the letters for final correspondence and submit package for signature to appropriate Signature Authority/IDA. Ensure package includes Administrative Records.

Note: Buddy Check

8
Gov't Only **(G)**

The appropriate Signature Authority/IDA reviews & signs the submitted package.

9
Signed Package   PHASE 3

1. Copy signed correspondence for folder
2. Upload signed Referral letter, Admin Log, other research materials to FOIAonline under "Correspondence-other".
3. Upload signed letter to requester under "Correspondence to requester" or mail out.

10
Out-Processing
1. Make Assignment to component via FOIAonline OR
2. Close out in FOIAonline
3. Write closed date & Destroy date on HARDCOPY FOLDER

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UNCLASSIFIED FOIA PROCESSING FLOW-CHART

PHASE 2

4
Appropriate Official **(G)** will review cases and assign them to internal caseworkers via FOIAonline.

5
Note: Cases should be processed First In First Out (FIFO) in accordance to the complexity track of the case.
1. Determine if request is perfected and input perfected date **(G)**.
2. Determine if case is internal (DON Subcomponents) or external.

3. Research/Locate SME
    a. Task organization/Email (N codes) SME for cognizance.
    b. Follow-up in 5 days
    c. Reassign to organization after 10 days.
4. Research/confirmation of ownership **(G)** of the requests.

6
Internal Only

1. Review docs. for redactions if necessary

Internal Only

Interim Corresp. 10 day extension

7
Draft the letters for final correspondence and submit package for signature to appropriate Signature Authority/IDA. Ensure package includes Administrative Records.

Note: Buddy Check

8
Gov't Only **(G)**

The appropriate Signature Authority/IDA reviews & signs the submitted package.

PHASE 3

9
Signed Package

1. Copy signed correspondence for folder
2. Uploading signed Referral letter, Admin Log, other research materials to FOIA online under "Correspondence-other". Copy correspondence for folder
3. Uploading signed letter to requester under "Correspondence to requester" or mail out.

10
Out-Processing
1. Make Assignment to Sub-agency via FOIAonline OR
2. Close out in FOIAonline
3. Write closed date & Destroy date on HARD COPY FOLDER

Disclaimer: This presently is drafted for internal use within DNS-36 Office, as revisions are made we will develop an Standard Operating Procedures (SOPs) for widespread use.

FOIAONLINE OVERVIEW

Login

- FOR CAC USERS - https://foiaonline.regulations.gov/foia/action/registered/home. Select your "DoD Email" certificate to proceed to FOIAonline.

- FOR NON-CAC USERS - https://foiaonline.regulations.gov/foia/action/public/home. At the top of the window, there will be an area to input your login email and password.

General Terms and Concepts

- Main Tab Menu (Figure 1) is arrayed near the top of the page, listing the various functionalities.

    - **Home** – For agency users, "Home" encompasses all FOIA-processing actions.
    - **Search** – Encompasses all actions related to finding a specific case.
    - **Reports** – Encompasses actions developed for specific reporting purposes.
    - **Administration** – This tab is role-restricted. Encompasses actions related to site management and user management.
    - **My Account** – Encompasses actions related to updating your user information and setting preferences.

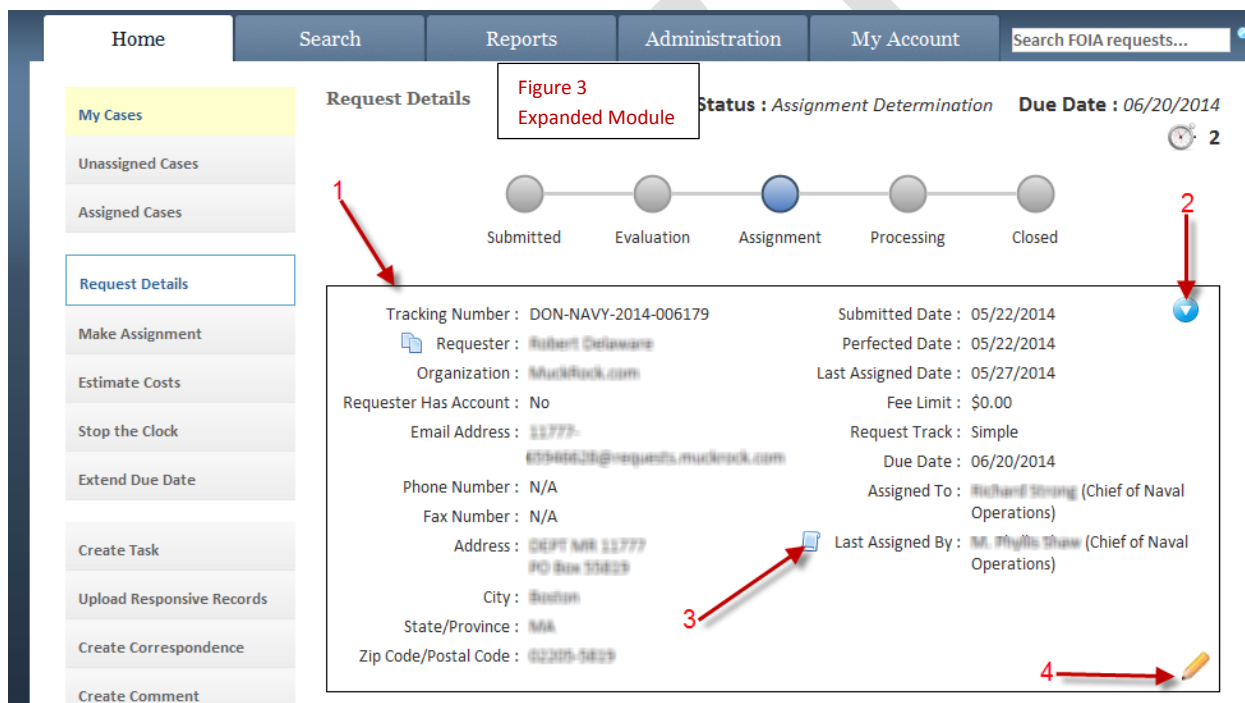- **Action Menu** (2) – A column of grey "tabs" on the left-hand side of the page. The Action Menu lists all available actions on the current tab. The action menu will change based on the tab selected.

Figure 1

Welcome, Richard Strong   SIGN OFF   Print Page

Glossary   FAQs   Resources   About

FOIAonline

| Home | Search | Reports | Administration | My Account | Search FOIA requests... |

My Cases

Unassigned Cases

Assigned Cases

New Request

New Consultation

New Referral

Welcome to the FOIAonline Agency Portal.

The Agency Portal allows users to view requests created by the public and create requests which were received outside the system. Access existing requests through the My Cases, Unassigned Cases, or Assigned Cases dashboards to the left of the page, or the "Search FOIA requests..." box in the upper-right corner. Likewise, requests, consultations (from a non-participating agency), and referrals (from a non participating agency) can be created using the corresponding actions to the left of the page.

Help Desk (9:00 am - 5:00 pm ET, M-F) | Toll-Free: (855) 246-FOIA (855-246-3642) | Local: (703) 412-3082 | Email Support
Privacy and Security Notice | Accessibility Statement

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- Home Tab Action Buttons
  - My Cases – This dashboard is available to all users. Displays all cases assigned to the current user.
  - Unassigned Cases – This dashboard is role-restricted. Displays all cases assigned to organizations rather than to individuals. For sites with subcomponents, the "agency" drop-down menu allows the user to view all unassigned cases at Headquarters, or for a particular subcomponent.
  - Assigned Cases –Displays all cases assigned to an individual and all cases assigned to a subcomponent.
  - New Request, New Consultation and New Referral allow you to manually create new cases received by your agency (e.g. through email and postal mail).

My Cases Action Button (Figure 2) **-** Here you will see everything assigned to you specifically.

- Tracking Number (1) - this number will not change when making assignments, tasks, referrals or consultations. If you select a tracking number it will bring you to the main page of the request.
- Type, Track, Requester, Assigned, Due, Status are all self-explanatory.

NOTE: Task is an action required from your office to support a FOIA request. Tasks are catch-all category of various actions and coordination conducted in support of a request. Tasks are tied to a "parent" case, and are a part of the administrative log. The tracking number is identical to that of the parent case. **A task is not a FOIA request.**

- Detail (2) – selecting this will give you a short version of the case description without having to open each individual case.
- Above the First Tracking Number you will see **"# items found"** (3), this is the number of items assigned to you (requests, consultations, referrals, tasks and appeals).
- Filter (4) - This drop down allows you to filter out the requests by type or track.
- Results (5) - This drop down allows you to select the number of cases per page.

| Home | Search | Reports | Administration | My Account | Search FOIA requests... |

My Cases — Figure 2

33 items found, displaying 1 to 25.

Filter: All — Results: 25

Tracking Number	Type	Track	Requester	Assigned	Due	Status	Detail
DON-NAVY-2014-006179	Task	Simple	Robert Delaware	05/27/2014	TBD	Assignment Determination	▶
DON-NAVY-2014-006179	Request	Simple	Robert Delaware	05/27/2014	06/20/2014	Assignment Determination	▶
DON-NAVY-2014-006084	Request	Complex	Eddie D. Enns	05/21/2014	06/18/2014	Assignment Determination	▶
DON-NAVY-2014-006029	Request	Simple	Joyce E. Battle	05/21/2014	06/17/2014	Assignment Determination	▶
DON-NAVY-2014-006008	Request	Simple	Hugh F. Gallagher	05/16/2014	06/16/2014	Assignment Determination	▶
DON-NAVY-2014-005790	Consultation	TBD	Nikita	05/12/2014	06/10/2014	Initial Evaluation	▶

Selecting a Tracking Number brings you to Initial Page of Request (Figure 3)

- Module (1) – Is an individual "segment" of an Action/Page. Modules are indicated by black-bordered boxes, often with a title in the upper left-hand corner (i.e. **Request Handling, Description, Additional Information, Upload Supporting Files (Figures 4 & 5))**

- Detail Button (🔵) (2) –Selecting this button will expand or collapse the module (pointed to the right is collapsed, pointed down is expanded).
    - Selecting the Detail button gives a more in depth detail to that particular section.
    - Select the Detail button in the right hand corner of the first box. This box gives you the requesters' additional information used for judging Perfection.
    - Select the Scroll (3) next to "Last Assigned By:" To view entire assignment history.
    - Select the "Pencil" (✏️) (4) in the lower right hand corner, this allows you to edit the information within that box. Not all Modules are editable.

Figure 3 Expanded Module

Tabs on the initial page of the request (Request Details) (Figure 4)- In addition to the main tab menu, many pages have "sub-tab" menus, in support of the specific action or case selected.

- Case File (1), Admin Cost (2), Assigned Tasks (3), Comments (0) (#) indicates number of comments (4), Review (5)
- **Appellate Authority** (6)- See page 22e
- **Acknowledgement sent** (7) - if the Requester provided an email address the system will automatically generate. If no email was provided the date would be the day the acknowledgement letter was sent.
- **5 Day Notifications** (8) –checking this box will enable the system to generate an email to remind the case worker every 5 days that the case is still pending.
- **Short Description** (9) – Title of the request.
    a. Box beneath the title (10) – a short description of the request. (up to 2000 characters). "Requester Info Available to the Public:" should be changed to Yes when appropriate.
    NOTE: Per DON Policy, Post for public Release should be the norm not the exception.
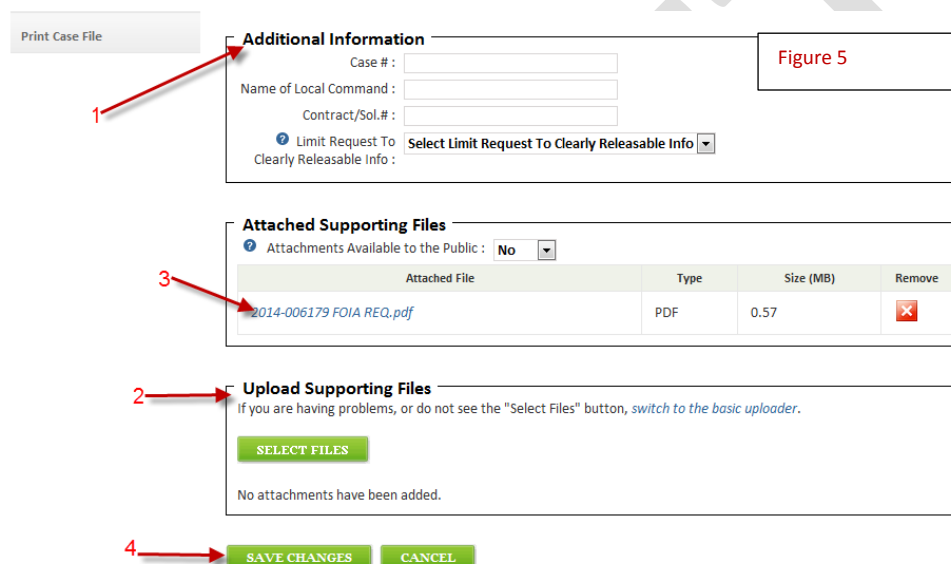
Figure 4
Collapsed Module

Initial Page of Request Continued (Figure 5)

- Additional Information Module (1) – In this module put in addition information such as if referred by FBI etc. their case number.
- Upload Supporting Files (2) – here the requester can upload any file they feel is relevant to the request if they are creating the request themselves. If the request came in through other avenues (e.g. email, postal mail) after creating the request you should upload any documents they included as well as the request itself.
- ⚠️NOTE: NEVER upload any of your work, emails or correspondence. This is for Internal Communication ONLY.
- Attached Supporting Files (3) – here is where you will see supporting files uploaded.
- **SAVE CHANGES** (4) – ALWAYS SELECT **SAVE** CHANGES BEFORE MOVING ON OR THE ATTACHEMENTS WILL FOLLOW YOU TO YOUR NEXT PAGE OR CASE.

Print Case File

Additional Information

Case # :
Name of Local Command :
Contract/Sol.# :
Limit Request To Clearly Releasable Info : Select Limit Request To Clearly Releasable Info ▼

Figure 5

Attached Supporting Files

Attachments Available to the Public : No ▼

Attached File	Type	Size (MB)	Remove
2014-006179 FOIA REQ.pdf	PDF	0.57	❌

Upload Supporting Files

If you are having problems, or do not see the "Select Files" button, *switch to the basic uploader.*

SELECT FILES

No attachments have been added.

SAVE CHANGES   CANCEL

Additional Case Tabs (Figure 6)

- Selecting **"Case File"** (Figure6) (1) - Opens a whole new row of tabs (2)
- **Records Tab**(Figure 6)(2)
  - When responsive records are uploaded using the action button "Upload Responsive Records" (3) must be reviewed, redacted and cleared for release ability then assigned a "Publish options" (4). The "Publish options" can be set next to the record up loaded (5).
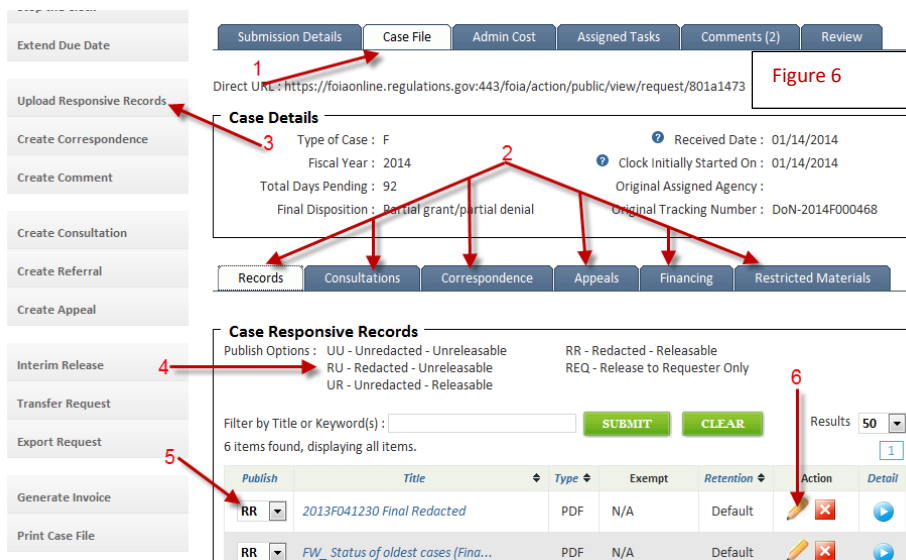
Figure 6

- **Selecting Exemptions** (Figure 7)
  - Selecting the pencil (6) in Figure 6 open a new window to select Exemptions.
  - Select appropriate Exemptions (1) and applied keywords (2). (Figure 7)
  - Select SAVE RECORD CHANGES (3). (Figure 7)

Figure 7

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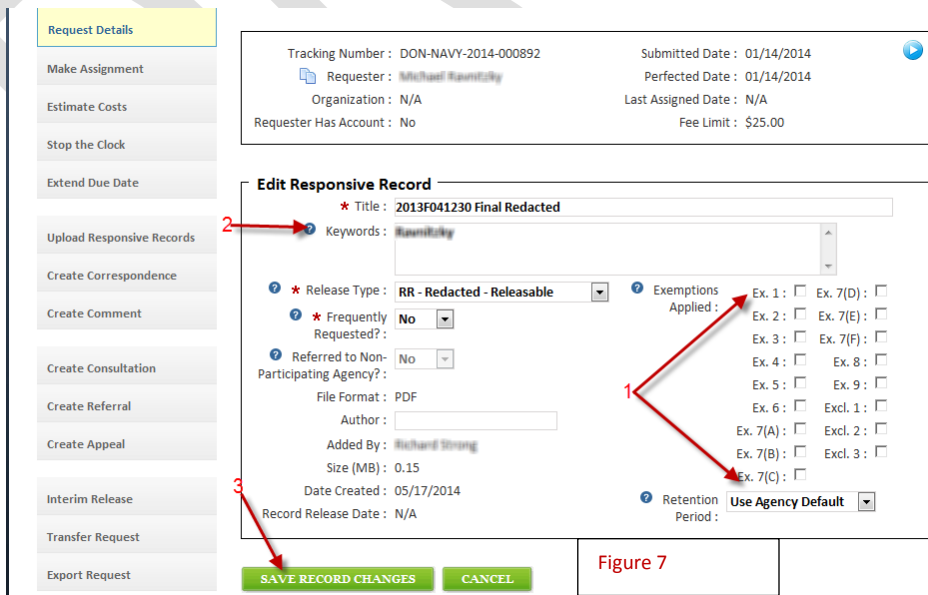
- **Consultation Tab:** (Figure 6)(2)Using the "**Create Consultations**" Action button to coordinate with another command, the consultation documentation will be maintained as part of the command.
- **Correspondence Tab:** (Figure 6)(2) "Correspondence to Requester" all correspondence between the agency and the requester is maintained here. (Figure 8)
  - o Select "**Create Correspondence**" action button (1).
  - o Select Correspondence Type from the drop down (2)
    - ➢ "Correspondence to Requester" generates an email to the requester when saved. For use when the requester has provided an email address.
    - ➢ "Other" will save the document to the Correspondence section and the document will need to be sent through the U.S. Postal system. Any other documents may be saved as "Other" as well (e.g. emails with other components).
    - ➢ Both correspondences above will be saved in the system for the administrative record.
  - o If your Echelon II has populated Boiler Plate letters select the Letter for use from the "Letter Template" drop down (3).
  - o The "Email Subject:" line (4). Most users just copy the second line in the Email Body provided. (i.e. DON-NAVY-2014-xxxxxx)
  - o "Email Body:" (5) box is used for any free text you wish to send.
  - o "Correspondence Attachments" are where you will attach any records or documents you wish to send to the requester (i.e. Response Letter to Requester, Records or Documents that have been requested and are releasable). Click "Select Files" (6) choose the file you are sending, click "**Create**" (7) at the bottom of the page.

    ⚠ **WARNING:** If you selected "Correspondence to the Requester" (2) from the drop down the Email with all the attachments will be sent once the CREATE button is pushed.

Figure 8

Disclaimer: This presently is drafted for internal use within DNS-36 Office, as revisions are made we will develop an Standard Operating Procedures (SOPs) for widespread use.

- **Appeals Tab** (Figure 6)(2)**:** This is where any appeals that have been filed while the case is still being worked will be filed. All red asterisks (*) must be filed in when using this section.
- **Financing Tab** (Figure 6)(2)**:** In this section you will any invoices you created using the "Estimate Cost' Action button and any payments already received.
- **Restricted Materials**(Figure 6)(2) **:** Self-explanatory.

Request Details **- Action Button takes you back to the Request details page.**

- **Admin Cost Tab:** (Figure 9) This tab is used to add costs to your invoice. All Red Asterisks (*) must be fill in. under "Charge Type" (1) is a drop down menu with 15 items to choose from.

Figure 9

- Assigned Tasks (Figure 10) Tasks are created using the Create Task action button (1).
  - o Outcome (2) – "pending" means it's not completed yet, "other" means something has been done with it.
  - o Assigned To (3) – Self-explanatory.
  - o Assigned By (4) – Self-explanatory. **Note**: It can be the requester themselves if they are requesting Expedited Processing or a Fee Waiver.
  - o Date Sent (5) – Date Task was assigned.
  - o Due Date (6) – Date Task is due to be completed.
  - o Notification (7) – selecting this box generates an email reminder the task is still pending.
  - o ▶ (8) – Expanded view of the Task and Response. SAVE CHANGES

Figure 10

- Comments (1) Can be used as an additional log. Phone conversations, Face to Face conversations or any other information the User (i.e. Caseworker, Reviewer) wants to place in the comments.
- Review When closing a case a reviewer may be required depending on your office Policy. Recommend not setting a Reviewer until you are ready to close the case. If the case is re-assigned with a Reviewers already set then it will transfer with the case.

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BEGIN CLOSE OUT PROCESS

- Ensure that the proper number of Reviewers are assigned in the **"Review"** sub tab. **No reviewers should have been assigned prior to this step.**
- Select [Begin Close out Process] from the Action Menu.
- Select the appropriate option from the drop-down menu in the **"Final Disposition"** module. **This disposition will be reported to Congress.**
- Review the information in the **"Responsive Records"** and **"Exemptions Used"** modules for accuracy. If necessary, make the appropriate changes, than repeat the process.
- (If applicable) Enter appropriate text into the **"Invoice Comments/Instructions"** module.
- Click the green "[BEGIN CLOSE OUT]" button.
- The Review Sequence will begin.
  - o A **"Case File Review"** Task will be created for the First Reviewer in the Reviewer Order.
  - o If a **Case File Review** Task is Rejected, the Review Sequence will be aborted. The closeout process will have to be restarted from the beginning.
  - o After all **Case File Review** Tasks are approved, the Review Sequence will conclude and a **"Final Disposition Notice"** task will be sent to [My Cases].
- In the **Final Disposition Notice task**, select [Close Out Task] from the Action Menu.
  - ➢ If the requester does not have an email address, ensure that the **Final Disposition Letter** has been added to **"Correspondence" "Other"**
    - i. Enter the Date the **Final Disposition Letter** was sent in the **"Offline Closure Date"** module.
    - ii. Click the [CLOSE WITHOUT SENDING] button. This will Close Out the **Final Disposition Notice Task** and the FOIA request.
    - iii. Send Hand copy of Final Disposition Notice Letter, a copy of the Initial Request and any Documents or Records being released to the Requester through regular postal mail.
  - ➢ The **"Final Disposition Notice"** module reflects the "**Create Correspondence**" module (Figure 8). The "Attach Supporting Files" module reflects the **"Correspondence Attachments"** module (Figure 8).
  - ➢ (If applicable) Select the appropriate Invoice(s) for the **"Attach Invoice"** module.

  - ➢ Click the [SEND] button. This will Close Out the **Final Disposition Notice Task** and the FOIA request. FOIAonline will send the Final Disposition Letter to the requester.

REPORTS (Figure 11)

Figure 11

1. **Annual Report** (Figure 11a) **–** When using this function ensure your Time Period from date (2) is far reaching (i.e. 1/1/2000) to present (3) to ensure to capture all old case information. **The Annual Report function does not return historical data.** Data is current to the date of the Report. When running this Report you will need to select each portion separately from the drop down menu (4) (i.e. "Ten Oldest Requests" run Report, then "10 Oldest Consultations" run report)
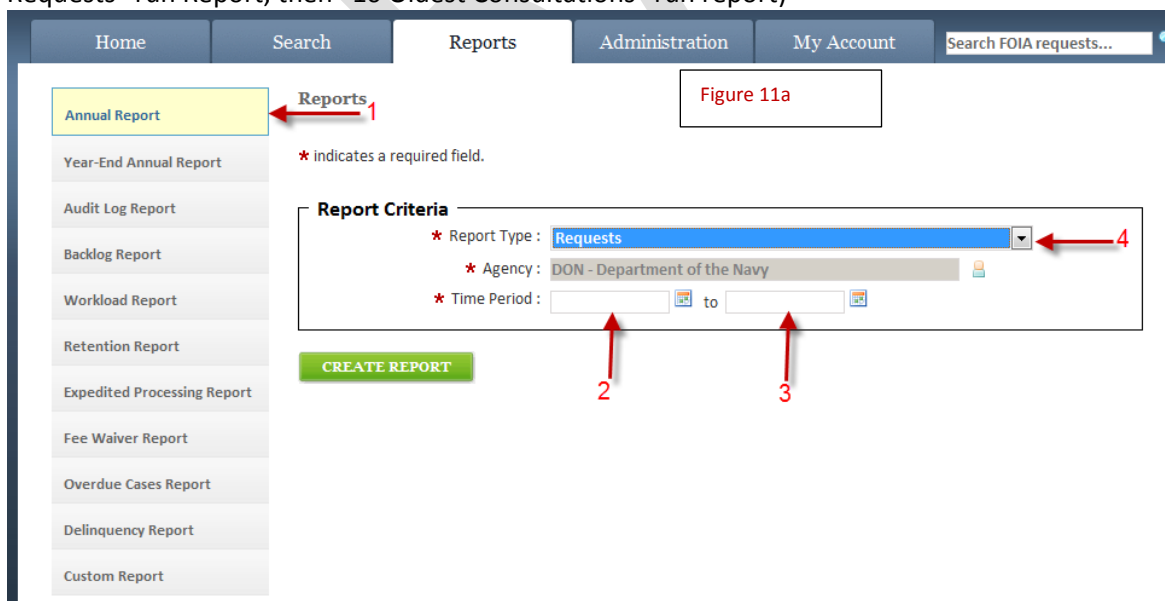

Figure 11a

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2. **Year-End Annual Report –** A Resource-Intensive Report, designed to generate the Annual Report for submission to Congress.

3. **Audit Log Report –** Shows all actions taken on a specific case and/or over a certain time period.

4. **Backlog Report –** Shows all Backlogged Requests.

5. **Workload Report –** Shows all Requests, Appeals, Referrals, Consultations, and Tasks assigned to users.

6. **Record Retention Report –** Shows the Retention Date of All Cases

7. **Expedited Processing Report –** Shows All Requests for Expedited Processing and the Status of the Expedited Processing Request.

8. **Fee Waiver Report –** Shows All Requests for Fee Waivers and the Status of the Fee Waiver Request.

9. **Overdue Cases Report –** Shows All Cases that Remain Open Past the Due Date, including whether that request has any Open Tasks.

10. **Delinquency Report-** Returns information on Requesters that have not paid invoices for past Requests.

11. **Custom Report -** Function similar to an "Advanced" Search.

UPLOADED DOCUMENTS VISABILITY:

	Public	Requester	Public After Closure	Internal Only
Other Correspondence				X
Correspondence to Requester		X		
Attached Supporting Files	Y/N	X		
Responsive Documents – RR-Redacted- Releasable			X	
Responsive Documents – RU-Redacted- Un-Releasable				X
Responsive Documents – UR-Un-Redacted- Releasable			X	
Responsive Documents – UU-Un-Redacted-Un-Releasable				X
Responsive Documents – REQ- Release to Requester Only		X		
Description	Y/N	X		
Modified Description (Overrides Description)	Y/N	X		
Short Description (Subject)				X

⚠️<u>WHAT TO UPLOAD WHERE</u>⚠️

Upload Supporting Files	Correspondence "Other"	Correspondence to Requester
FOIA Requests	Draft Acknowledgment Letter	Final Acknowledgment Letter
Attachments that came with the FOIA request	Emails	Final Response Letter to Requester
Envelope in which the request came in.	Research Materials	
	Draft Response Letter to Requester	
	Admin Log/Phone log	
Upload Responsive Records	**Restricted Materials**	
Records (potentially) responsive to FOIA requests	Sensitive (unclassified) records that should not be viewable to parent site(s)	
"Placeholders" for responsive records that cannot be uploaded		

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DNS-36

Business Process

Revision 0.15   6/4/2014

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In-Processing for Manual FOIA Requests (Received from any channel other than FOIAonline)

Initial Review Process

ALL REQUESTS MUST BE SUBMITTED IN WRITING

MAIL ROOM HRS 0700-1530

1. Group Email box must be regularly monitored for new requests. At a minimum, it must be checked at open (0900) and close (1500) of business hours. Mail run pick up is at 1300.
2. Inspect received items for correct address and note received date on packaging.
3. **Inspect condition of package for compromise of contents. This includes identification of classified material and confirmation of appropriate handling.**
4. Open package to inspect contents (retain packaging until log in is complete).
5. Check to see if content is FOIA related.
6. Deliver checks, classified material, etc. to the appropriate Government Official.
7. Check FOIA requests to see if they include the requester's contact information.
8. If Request does not include contact information, Request is not Actionable. Retain for filing/reference.
9. If request does include contact information, Date stamp item on the bottom right of the request. Indicate manner of receipt (i.e. mail, fax, email, etc.). Items received after 1500 are considered to be received on the next business day.
10. ⚠️**Identify and secure Personal Identifiable Information (PII) in accordance with Privacy Act requirements.**
    a. Hard copies must use a Privacy Act Cover Sheet
    b. Electronic copies must be stored with the appropriate safeguards (e.g., encrypted, all PII appropriately removed, secured storage).
    c. If PII is removed, a copy of the original information (with PII intact) must be retained.
11. Ensure that request is available both as a hard copy (for the case folder) and as a PDF file (for FOIAonline).
12. If not available in either form, the hard copy/PDF must be created for filing uses.
13. Case Folders are color-coded:
    a. Green – Media and High Visibility/Significant FOIA
    b. Pink - Consult
    c. Red - Tasker
   d. Purple - Classified
    e. Manila - All Other

Manual Log-In Process for Requests received through means other than FOIAonline.

2. Log on to FOIA Online.

3. Select "New Request" (Figure 12) from the action panel on the left-hand side.

Figure 12
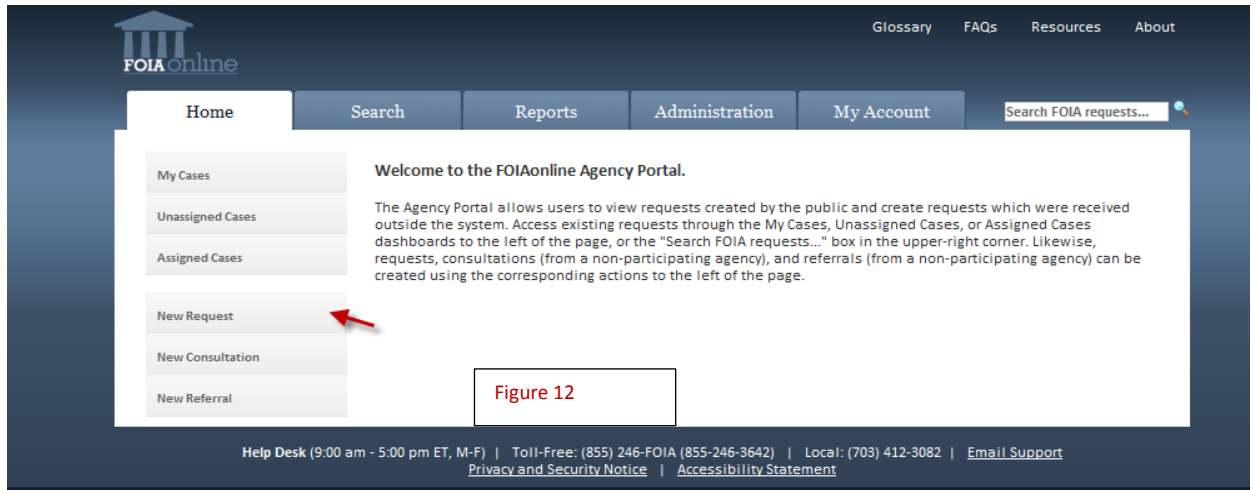
4. Input the following information:
    a. **Agency/Sub-Agency Selection**: **(Refers to Command or Component)**
        - Agency: Automatically defaulted to Department of the Navy.
        - Sub-Agency: Select the name of the component you fall under (("Chief of Naval Operations" or "United States Marine Corps"). If the selected Sub-Agency has subcomponents, another drop-down menu will appear. Ensure that the appropriate Sub-component is selected.
        NOTE: As a component is selected a new drop down may appear, if this happens continue to drill down the components until you get the one you want (Figure 13). If you know where the request should go you can drill down to assign all the way to an Echelon 5 in some instants.
        - Submitted Date: Must match the request date stamp.
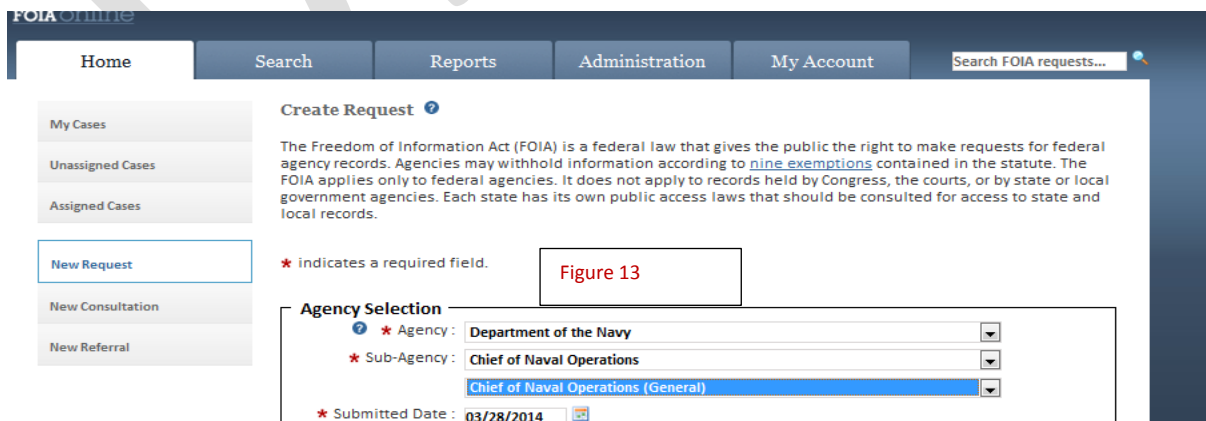
Figure 13

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b. **Contact Information** (Figure 14) :
- Input required fields (i.e., First Name, Last Name, Mailing Address).
- If requester is an Organization, input the Organization name (i.e. Centurion Solutions).
- Input email address and phone number (if available).

Note: "Mailing Address Location" allows you to select U.S., military, or international address formats.

Figure 14

c. **Additional Information**: (Figure 15) (Optional) Used to track internal handling considerations.
d. **Processing Fees** (Figure 15): Input the dollar amount the requester agrees to pay.
If requester agrees to pay but does not list an amount, input $25.00.
If no agreement is stated, input $0.00.
e. **Description** (Figure 15): Provide a brief description (appropriate for public release) of what is being requested. (up to 2,000 characters) **NOTE: Per DON Policy, Post for public Release should be the norm not the exception.**

Figure 15

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Request a Fee Waiver (Figure 16): Yes/No. If yes, include any associated reasoning and/or refer to Attached Supporting Files (up to 2,000 characters). A Fee Waiver task will be created along with the New Request.

      f.   **Request Expedited Processing** (Figure 16): Yes/No. If yes, include any associated reasoning and/or refer to Attached Supporting Files (up to 2,000 characters). An Expedited Processing Task will be created along with the New Request.

NOTE: Fee Waiver and Expedited Processing will create a Task. The Tasks are separate from the Request. When assigning a Request ensure you assign the task with it.

Request a Fee Waiver

You must indicate your willingness to pay all fees or those up to a specified amount or provide a justification to support a fee waiver. Agreements to pay fees are considered to be up to $250, unless another amount is specified. Currently we charge search, review (for commercial requesters only), and duplication costs. The fee schedule is located here.

Make Request ? No

Figure 16

Request Expedited Processing

Under certain conditions, you may be entitled to have your request processed on an expedited basis. Please see agency specific regulations for the criteria that the agency uses to grant a request for expedited processing.Under certain conditions, you may be entitled to have your request processed on an expedited basis. Please see agency specific regulations for the criteria that the agency uses to grant a request for expedited processing.

Make Request ? No

5. Ensure all Required Fields are filled in. Required fields are marked with a red asterisk (*).
6. Press the PREVIEW button and review what you have entered. If required information has not been input in all the required fields a red box will appear describing what is missing. (Figure 17)

Figure 17

- Description is required.
- Address Line 1 is required.
- City is required.
- First Name is required.
- Last Name is required.
- A U.S. zip code must be in the form 12345 or 12345-6789.
- State/Province is required.
- Agency/Sub-Agency is required.

* indicates a required field.

Agency Selection

* Agency : Department of the Navy

* Sub-Agency : Select a Sub-Agency

* Submitted Date : 05/29/2014

Perfected Date :

7. Press the SUBMIT button at the bottom of the screen.
8. Review Request details.
9. Record the Tracking Number on the Case Folder and on the hard copy request.

10. **Input the following additional information**:

    Request Handling Module:

    a. Requester Info Available to the Public: Yes/No.

       Unless the request is being processed under both the FOIA and the Privacy Act (32 CFR 701.7), select Yes.

    b. Request Track: As per DON Policy.

    c. Request Perfected: Yes/No.

       A Perfected Request must:
       - Cite or imply FOIA;
       - Reasonably describe the records being sought so that a knowledgeable Official of the Agency can conduct a search with reasonable effort;
       - If fees are applicable, the Requester should include a statement regarding willingness to pay fees or request a waiver/reduction of fees.

    d. Perfected Date: If initially perfected, must match the request date stamp.

       Once a request is Perfected, it cannot be "Un-Perfected." The statutory 20-day time limit is based upon the Perfected Date.

    e. Appellate Authority: OGC/JAG.

       - OGC cognizance:
         - legal advice and services to SECNAV and the Civilian Executive
         - Assistants on all matters affecting DON
         - business and commercial law
         - real and personal property law
         - intellectual property law
         - fiscal law
         - civilian personnel and labor law
         - environmental law
         - other legal services as required
         - litigation involving the areas enumerated above and oversight of all litigation affecting the DON
       - JAG cognizance:
         - military law
         - all matters not under OGC

    f. Fee category is determined on the basis of the intended use of the records.

       - Commercial
         - One who seeks information for a use or purpose that furthers the commercial, trade, or profit interest of the requester
       - Media/Educational
         - Media - Any person actively gathering news for an entity that is organized and operated to publish or broadcast news to the public

- Educational - A school or other educational institution which operates a program or programs of scholarly research
- Scientific - An institution that is not operated on a "commercial" basis and that is operated solely for the purpose of conducting scientific research, the results of which are not intended to promote any particular product or industry

g. Acknowledgment Sent: the date the Acknowledgement Letter was sent to the requester. Acknowledgment Letter is automatically generated by the tool if an email address is provided from the requester. If no email is provided Acknowledgment Letter must be sent within 5 days as required by DoD and DON policy. Template available in Appendix A1

h. 5 Day Notification: When enabled, the assigned Caseworker will receive reminder emails every 5 days.

i. Litigation: Whether the request is the subject of litigation.

Request Description

1. Short Description: Input in parenthesis any special handling considerations (⚠️**i.e., PII, Classified, High Visibility**). "Short Description" is a field for internal use and reference. Use standardized "keywords" for searching and retrieval purposes. For the example, the request pertains to records related to an individual, and contains PII.

2. Upload PDF FOIA request and any additional documents provided by the requester to "Attached Supporting Files."

UPLOAD SUPPORTING FILE: To upload an Attached Supporting File, click on the SELECT FILES under **"Upload Supporting Files"** and select the file. The file will be uploaded and appear under **"Attached Supporting Files."**

3. Press the green "**SAVE CHANGES**" button at the bottom of the screen.

   ⚠️<mark>**WARNING: You must save changes for the attachment(s) to be saved to the case file. If you do not save changes, then the attachment(s) will carry over to the next FOIA request opened or created.**</mark>

   Additionally, the Requester can see all files in "Attached Supporting Files," whether or not the Supporting Files are set to be viewable to the public.

4. Select Print Page in the top right corner of FOIAonline and print the snapshot of the FOIAonline Request for the Case File.

5. Create the Administrative Log for the case file.

In-Processing for Requests, Referrals, Consultation and Tasks Received Through FOIAonline

1. Log on to FOIAonline.
2. Select "Unassigned Cases" (Figure 18) from the Action Buttons on the left-hand side.
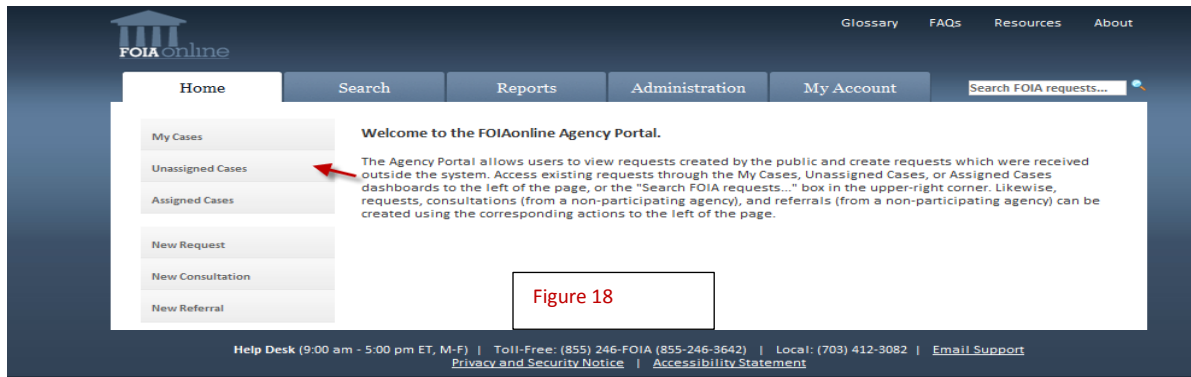
Figure 18

3. FOIAonline will display all Unassigned Cases (Figure 19). You can filter case type by selecting the column labeled "Type" (i.e. Requests, Referrals, Consultations or Tasks).

4. **In-Processing Requests**
   a. Click on the Tracking Number of the Oldest Case.

Figure 19

   b. On the "Request Details" page, (Figure 20)The first box at the top that lists the Tracking Number(1) and Requester Name(2), click on ⓔ to expand and see the rest of the requester information.

Figure 20

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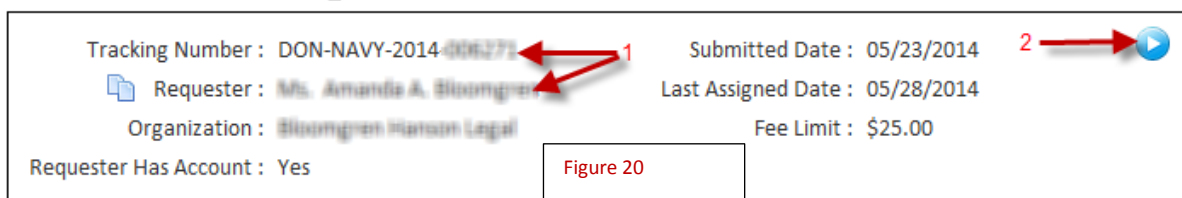
5. Input the following additional information:

    Request Handling:

- Requester Info Available to the Public: Yes/No.
  Unless the request is being processed under both the FOIA and the Privacy Act (32 CFR 701.7), select Yes.

- Request Track: As per agency policy.

- Request Perfected: Yes/No.

- A perfected request must have (page 22)

- Perfected Date: If initially perfected, must match the request date stamp.

Once a request is perfected, it cannot be "un-perfected." The statutory 20-day time limit is based upon the perfected date.

- Appellate Authority: OGC/JAG (page 22).

- Fee Category (page 22).

Request Description

6. Review the description provided by the Requester (Figure 21).

7. Short Description: Input in parenthesis any special handling considerations (⚠️i.e., PII, Classified, High Visibility). "Short Description" is a field for internal use and reference. Use standardized "keywords" for searching and retrieval purposes. For the example below, the request pertains to records related to an individual, and contains PII.

8. ⚠️**If PII is contained in the description**, at the bottom to the right of box, check the check box that states **"*Has Request Been Modified*?"** A text box will appear. Copy the original FOIA request and "X" out the PII that is being removed as appropriate for public viewing of what the requester is requesting (up to 2,000 characters).

Figure 21

9. Press [SAVE CHANGES] button at the bottom of the screen.

    ⚠️<mark>WARNING:</mark> **You must save changes for the attachment(s) to be saved to the case file. If you do not save changes, then the attachment(s) will carry over to the next FOIA request opened or created.**

10. Select Print Page in the top right corner of FOIA Online and print the snapshot of the FOIA Online request for the hard copy folder created for the case.
11. Create the ADMIN Log.
12. The appropriate official will assign cases to component or caseworker (ex. NAVSEA or John Smith).

New Referral received through FOIAonline

1. Select "New Referral". Input the following information:
   a. **Agency Selection**: Please note that Agency, Sub-Agency and Submitted Date are prefilled. "Perfected Date" is set by the caseworker or component.
   b. **Contact Information**: Input First Name, Last Name, Mailing Address, which are the required fields of the FOIA requester. Input email address and phone number (if available).
   c. **Additional Information**: Input the Referring Agency's Cases and the Name of the Referring Agency.
   d. **Processing Fees**: Input the dollar amount the requester is willing (agrees) to pay. If requester agrees to pay but does not list an amount input $25.00. If no agreement is stated input $0.00.
   e. **Description**: Provide a brief description as appropriate for public viewing of what the requester is requesting (up to 2,000 characters)
   f. **Comments:** Input the required action (i.e. review docs for release)
   g. **Request a Fee Waiver**: Select "Yes/No". If yes, include any associated reasoning and/or refer to supporting files (up to 2,000 characters).
   h. **Request Expedited Processing**: Select "Yes/No". If yes, include any associated reasoning and/or refer to supporting files (up to 2,000 characters).
   i. **Attached Responsive Record:** Upload Responsive Documents. These are subject to being released to the requester/public. Check for PII. ⚠
   j. **Attached Supporting Files**: Upload the Referring Memo, the FOIA request. ⚠If the Referring Memo or FOIA request contains Personal Identifiable Information (PII) please sanitize PII before uploading.
2. Ensure all red asterisks are filled in (*).
3. Select the **SUBMIT** button at the bottom of the screen.
4. Write down the tracking number that is generated on FOIA request and hardcopy folder.

New Consultation received through FOIAonline

1. Select "New Consultation".
2. Upload the Referring Memo, the FOIA request, and any Responsive Documents. ⚠️If the Referring Memo, FOIA request, or Responsive Documents contains Personal Identifiable Information (PII) please sanitize PII before uploading.
3. Input the following information under New Consultation:
   a. **Agency**: Please note that Agency, Sub-Agency and Consultation Date are prefilled. Input the following:
      Received from: the agency that sent the consult
      Submittal Date: the date on the Referring Memo
      Due Date: count out 20 days and use that date
   b. **Request Description**: Provide a brief description as appropriate for public viewing of what the requester is requesting (up to 2,000 characters)
   c. **Comments:** Input the required action (i.e. review docs for release)
   d. **Agency Opinions:** Leave blank, this is filled in when we know which command has cognizance. Our office can provide our response.
   e. **Attached Files**: Should be able to see the documents uploaded in step 2.
4. Ensure all red asterisks are filled in (*).
5. Select CREATE at the bottom of the screen.
6. Write down the tracking number that is generated.

NOTE: The only time you will select the **CREATE AND COMPLETE** button is when you have reviewed the documents and you know exactly which Command they go to. You will repeat step 1-3 but in the second field box for Sub-Agency you will select from the dropdown the appropriate Component or sub0component. You will at this time provide the office response in Agency Opinions. In step 5, you will select the **CREATE AND COMPLETE** button. This will send the consult over to the agency and will not appear in your office unassigned cases.
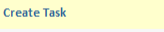
Caseworker Processing

For internal reporting purposes, Caseworker will need to create a spreadsheet to track Tasks and to capture Case Number; Date Case was Assigned, Where case was assigned to (i.e. Command, Sub-component, Requester, Agency), and Closed Date.

Initial Assessment

1. Select "My Cases" from the Action Menu.
2. Select the FOIA requests on a first in, first out (FIFO) basis, according to date of receipt. By default, cases are sorted according to the age of the case. **Generally,** the last entry on the last page is the "first in."
3. Review the FOIA request to determine if your office would be expected to maintain responsive records.

   For Requests outside Your Office Cognizance:

   a. Determine which office would be expected to maintain responsive records.
      If a DON Component, create a Cognizance Task for the office expected to maintain responsive records.
   b. To task for cognizance:

      i. Select **Create Task** from the "Action Buttons on the left.
         NOTE: Request must be perfected before a new task can be created.
      ii. In the **Task Assignment** box select the **ADD ORGANIZATION**. Select the organization accordingly.
      iii. Task Description: Standard Verbiage for the Cognizance Task is available in Appendix B.
      iv. Task Due Date: 10 days after "Perfected Date."
      v. 5 Day Notification: When enabled, the assigned user will receive reminder emails every 5 days.
      vi. Allow task recipient(s) to edit metadata?: Yes/No. Select No.
      vii. Press the **CREATE TASK** button at bottom of the screen.
   c. The tasked office will respond accordingly
   d. Upon completion of the task, caseworker will receive an email notification of task completion. The case file in FOIAonline will be updated accordingly. **There is no "at a glance" indication that a task has been completed.**
   e. If task resulted in a negative response, repeat steps b-d.
   f. If task confirms cognizance, Draft Correspondence and then Make Assignment.

For Requests under Your Office Cognizance:

Responses to Cognizance Tasks:
a) Cognizance Tasks are assigned to the Organization (Component/Sub-component). They will be viewable in "Unassigned Cases."
b) Select the Cognizance Task.
c) In the Task Detail box, click on the blue button with the white triangle inside on the right side of the box to expand to display the task message.
d) Review the FOIA request in "Case File" > "Supporting Files."
e) Click on "Edit or Close Out Task" on the left side panel.
f) Under the "Close Out Task" section, under "Outcome," select "Other" from the drop down menu (or "Record Uploaded" if applicable).
g) In the "Comments" section, advise whether your office would hold responsive records and/or other offices expected to hold responsive records.
h) Click on the green "CLOSE OUT TASK" at the bottom of the screen. The task will be completed, with your response sent to the tasking office.
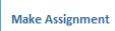**If you do not complete the Cognizance Task by the Task Due Date, the tasking office is authorized to assign the request to your office. You are responsible for all requests assigned to your office, including determination of cognizance.**

Draft Correspondence

1. Draft formal correspondence (See Appendix for recommended correspondence verbiage).
2. Print official draft(s) and place hard copy in case file.
3. Case file (with draft(s)) to be reviewed by the appropriate official (IDA/Release Authority/Other) for signature.
4. If corrections are needed, repeat steps 1-4.
   If no corrections are needed, draft letters will be signed. **Digital CAC signatures are not to be used for correspondence outside DoD.**
5. (If applicable) Scan signed letter(s).
6. Upload correspondence to FOIAonline **(See: "Create Correspondence")**

THE FINAL DISPOSITION LETTER <u>**SHOULD NOT**</u> **BE SENT THROUGH "CREATE CORRESPONDENCE." THE FINAL DISPOSITION LETTER IS SENT AS PART OF THE CLOSEOUT PROCESS.**

Make Assignment- * When making an assignment to another office within DON, DNS-36 has created a spread sheet to track; Case Number, Date Re-Assigned, Assigned to which office. FOIAonline does not track cases you have re-assigned in your Work Load Report. It is recommended that each office create something similar to clarify your individual workloads.

1. On the "Request Details" page, select [Make Assignment] from the Action Menu.
2. In the "Make Assignment" module, click on the icon to the right of the grey bar next to "Organization Assignment" or "Individual Assignment".

a. Organization Assignment is normally used for most assignments.

b. Individual Assignment is normally reserved for assignments within your office.

3. A search pop-up will appear.

a. When you click **SEARCH** The "Search Results" module will display all applicable results. 5 results will be displayed per page, with a ⏵ next to each result.

b. Once the proper office is selected, click the green "Select" button.

4. Click the green "**Save Changes**" button at the bottom of the screen.

5. Upon successful assignment, a green notice should appear at the top, indicating that the case will be assigned.

a. If assigned to an organization, the request will be visible on that office's "Unassigned Cases".

b. If assigned to an individual, an email notification will be sent to the assigned individual and the request will be visible on that user's "My Cases".

Assign Reviewers

1. From the "Request Details" page, select **Review**.

2. Select **ADD REVIEWER**.

3. Choose the individual for review (as with "Individual Assignment"). **Assigned reviewers should reflect the office approval chain for FOIA responses, including IDA (if applicable).**

4. To remove a reviewer, click ❌ next to the reviewer name.

5. Reviewers will be arranged in a Review Order. Each review must be completed before the next individual in the Review Order is assigned.

6. Review Order can be modified by clicking ⏵ next to each reviewer's name.

<u>Closeout</u>

2) Ensure that the proper Reviewers and proper number of Reviewers are assigned **Review**. **No reviewers should have been assigned prior to this step.**

3) Select "Begin Close Out Process" from the Action Menu.

4) Select the appropriate option from the drop-down menu in the "Final Disposition" module. **This disposition will be reported to Congress.**

5) Review the information in the "Responsive Records" and "Exemptions Used" modules for accuracy. If necessary, make the appropriate changes, than repeat steps 1-4.

6) (If applicable) Enter appropriate text into the "Invoice Comments/Instructions" module.

7) Click the green "Begin Close Out" button.

8) The Review Sequence will begin

a. A "Case File Review" task will be created for the first Reviewer in the Reviewer Order.

b. If a Case File Review task is approved, a Case File Review task will be created for the next Reviewer in the Reviewer Order.

c. If a Case File Review task is rejected, the Review Sequence will be aborted. The closeout process will have to be restarted from step.
   NOTE: A Case File Review must have comments in order to be rejected.

d. After all Case File Review tasks are approved, the Review Sequence will conclude and a **"Final Disposition Notice"** task will be created for the caseworker.

9) In the Final Disposition Notice task, select Close Out Task from the Action Menu.

   a. If the requester does not have an email address, ensure that the Final Disposition Letter has been added to the "Correspondence".

      i. Enter the date the Final Disposition Letter was sent in the "Offline Closure Date" module.

      ii. Click the CLOSE WITHOUT SENDING button. This will close out the Final Disposition Notice Task and the FOIA request.

   b. The **"Final Disposition Notice"** module reflects the "**Create Correspondence**" module. The **"Attach Supporting Files"** module reflects the **"Correspondence Attachments"** module. (If applicable) Select the appropriate invoice(s) for the **"Attach Invoice"** module.

   c. Click SEND button. This will close out the Final Disposition Notice Task and the request. FOIAonline will send the Final Disposition Letter to the requester.

Case File Review

1. Select the "My Cases" from the Action Menu.
2. Review the task and proposed closure action.
3. Select "Edit or Close Out Task" from the Action Menu.

   a. If the request and proposed response is not acceptable:

      i. Indicate the deficiencies in the "Case File Review" module.

      ii. Click the green "Reject" button. The Review Sequence will be aborted. **A Case File Review must have comments in order to be rejected.**

   b. If the request and proposed response is acceptable:

      i. Add comments to the "Case File Review" module if desired.

      ii. Click the green "Approve" button. A Case File Review task will be created for the next Reviewer in the Reviewer Order. If you are the last Reviewer, the Review Sequence will conclude and a "Final Disposition Notice" task will be created for the caseworker.

   c. If the Case File Review was sent to you in error:

      i. Indicate the reason you should not be included in the review chain.

      ii. Click the green "Reject" button. The Review Sequence will be aborted to allow the Caseworker to make the appropriate changes.
      Clicking on the green "Save" button will not complete the task, and any comments will not be visible by the caseworker.

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4. Within Request Details click on the Case Files tab and then under Case Close Out Details section select Close Date. Final Disposition will already be prefilled. Press the **SAVE** button.
5. Select "Close Out Task" from the left side panel.
6. Scroll down to Final Disposition Notice and check to send attached invoice check box.
7. Press SEND button at the bottom.
8. The case has been closed and the response has been sent and updated to the requesters FOIA Online account/Email.

Once Final Disposition is made the public can see any documents listed in "Attached Supporting Files" and publication type marked UR and RR. The FOIA requester is the only one who can see responsive records with publication type REQ-Requester Only.

Exemptions

To apply exemptions within FOIAonline do the following:

a) Select Upload Responsive Records from the Action Buttons on left side panel.
b) Under Upload Responsive Record, click on "Add Without File Upload" button.
c) Record title: input file name.
d) Select release type and add keywords (if applicable).
e) Click on **SAVE**.
f) Go back to Request Details-and select Case Files tab and then scroll down to "Case Responsive Record" tab (you should see the responsive document upload without the file) then click on the pencil to expand the box.

For FOIA Related and CAC card Issues Contact:

NAVY PA/FOIA PROGRAM OFFICE (DNS-36) POC

Department of Navy
Office of Chief of Naval Operation
2000 Navy Pentagon Washington DC 20350-2000
FOIA Service Center   202-685-0412   FOIA Fax   202-685-6577
FOIA EMAIL: DONFOIA-PA@navy.mil

PRIVACY: DON-CIO is the Navy's Senior Official for Privacy. POC, Steve Muck, 703-695-1297.
BREACH REPORTING : Don.Privacy.fct@navy.mil & SOC@US-CERT.GOV

Appellate authorities for DON:
Contact OCG for business and commercial law, contracts, grants, civilian personnel issues, and environmental matter.

General Counsel of the Navy
1000 Navy Pentagon RM 4E635, Washington, DC 20350-1000
April.christensen@navy.mil   202-685-6949 or Richard.zeigler@navy.mil   703-614-7426

Contact JAG for military law, military justice, operational law, Fleet exercises, Sea Trials, Munitions, Activities of military personnel, Mishap reports, Critical Infrastructure information Detainee operations NCIS investigations, any other matter not under OGC cognizance.

Office of the Judge Advocate General
NJAG Code 14
1322 Patterson Avenue SE, Suite 3000, Building 33, Washington Navy Yard, DC 20374-5066
Matthew.roush@navy.mil   202-685-5452.

For Technical Related Issues Contact FOIAonline Tech Support at 1-855-246-3642.

APPENDIX A

A1

DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

5720
Ser DNS-36**XX**/14U**SER #**
DD MM YY

NAME
ADDRESS

Dear **XXXXXXXX**:

SUBJECT: YOUR FREEDOM OF INFORMATION/PRIVACY ACT CASE NUMBER
　　　　　DON-NAVY-2014-**XXXXXX**

　　　　This acknowledges receipt of your Freedom of Information Act (FOIA) request dated **XXXXXXX**. Your request was received in our office on **XXXXXXX** assigned case number DON-NAVY-2014-**XXXXXXX**.

　　　　Questions regarding the action this office has taken during the initial processing of your request may be directed to our FOIA/PA service center at (202) 685-0412.

　　　　　　　　　　　　　　　　　Sincerely,
　　　　　　　　　　　　　　　　　DON FOIA/PA REQUESTER SERVICE CENTER
　　　　　　　　　　　　　　　　　Department of the Navy
　　　　　　　　　　　　　　　　　DON FOIA/PA Program Office DNS-36
　　　　　　　　　　　　　　　　　2000 Navy Pentagon
　　　　　　　　　　　　　　　　　Washington, DC 20350-2000
　　　　　　　　　　　　　　　　　FOIA/PA Service: (202) 685-0412
　　　　　　　　　　　　　　　　　Fax: (202) 685-6577
　　　　　　　　　　　　　　　　　Email: donfoia-pa@navy.mil

Disclaimer: This presently is drafted for internal use within DNS-36 Office, as revisions are made we will develop an Standard Operating Procedures (SOPs) for widespread use.

A2

DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

5720
Ser DNS-36**XX**/14U**SER #**
DD MM YY

NAME
ADDRESS

Dear **XXXXXXXX**:

SUBJECT: YOUR FREEDOM OF INFORMATION/PRIVACY ACT CASE NUMBER
DON-NAVY-2014-**XXXXXX**

As you were previously apprised by the United States Federal Bureau of Investigation (FBI)case number FBI FOI/PA **XXXXXX** your **MM DD YY**, Freedom of Information Act (FOIA/PA) request was referred to this Department for action.

That referral was received by this Department on **MM DD YY** and assigned case number DON-NAVY-2014- **XXXXXX**.

Questions regarding the action this office has taken during the initial processing of your request may be directed to our FOIA/PA service center at (202) 685-0412.

Sincerely,
DON FOIA/PA REQUESTER SERVICE CENTER
Department of the NavY
DON FOIA/PA Program Office DNS-36
2000 Navy Pentagon
Washington, DC 20350-2000
FOIA/PA Service: (202) 685-0412
Fax: (202) 685-6577
Email: donfoia-pa@navy.mil

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A3

Verbiage for Tasking Cognizance

Due to the Task Description only allowing 256 characters, please use the following:

Review request and advise whether your office would hold responsive records, and any other offices that might hold responsive records. In light of 5 U.S.C. § 552 (a)(6)(A)(ii), this request will be assigned to your office if no response by task Due Date.

A4

DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

5720
Ser DNS-36XX/14USER #
DD MM YY

From: Chief of Naval Operations (DNS-36)
To: Commander/Director, Receiving Office

Subj: FREEDOM OF INFORMATION ACT/PRIVACY ACT (FOIA/PA) REQUEST OF REQUESTER
      (POC FOR CORPORATE REQUESTERS); FOIA/PA CASE NUMBER DON-NAVY-2014-000000

Ref: (a) EMAIL/PHONCON CNO (DNS-36XX) I. Lastname/OfficeCode I. Lastname of DD MM YY
      (b) SECNAVINST 5720.42F

Encl: (1) Requester's FOIA/PA request of DD MM YY

1. As agreed per reference (a), enclosure (1) is forwarded for action as a matter under your partial cognizance and for direct response to the requester in accordance with reference (b) and DON FOIA guidance. The requester has not been notified of this action.

2. Enclosure (1) was received by this office on DD MM YY. Questions concerning this matter may be directed to Case Worker at (202) 685-XXXX or caseworker.email@navy.mil.

                              Sincerely,

                              ROBIN PATTERSON
                              Head, DON FOIA/PA Program Office

A5

DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

5720
Ser DNS-36XX/14USER #
DD MM YY

Full Name
Company
Address/Apt/Room/Floor
City/State/Zip

Dear Title LastName:

SUBJECT: YOUR FREEDOM OF INFORMATION ACT/PRIVACY ACT REQUEST;
    FOIA/PA CASE NUMBER DON-NAVY-2014-000000

This is in reference to your Freedom of Information Act/Privacy Act (FOIA/PA) request dated Month D, YYYY (copy attached). Your request was received in our office on Month D, YYYY.

We have determined that the information you are seeking may be maintained by the Commander, Naval Air Systems Command (NAWCAD), located at 47076 Liljencrantz Road, Bldg 435, Patuxent River, MD 20670. Therefore, we have forwarded your request to that office for action and direct response to you.

Questions regarding the action this office has taken during the initial processing of your request may be directed to our FOIA/PA service center at (202) 685-0412.

Sincerely,

ROBIN PATTERSON
Head, DON FOIA/PA Program Office

Revision 0.15   6/4/2014

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DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

5720
Ser DNS-36XX/14USER #
DD MM YY

Full Name
Company
Address/Apt/Room/Floor
City/State/Zip

Dear Title LastName:

SUBJECT: YOUR FREEDOM OF INFORMATION ACT REQUEST;
FOIA CASE NUMBER DON2014F000436; FOIA/PA TRACKING
NUMBER DON-NAVY-2014-000000

This is in reference to your Freedom of Information Act (FOIA) request dated January 6, 2014(copy attached). Your request was received in our office on Month D, YYYY.

Please be advised that, as of February 1, 2014, DON joined FOIAonline as a participating agency. As a result of this transition, the tracking number of your FOIA request has been changed from Case Number DON2014F00436 to DON-NAVY-2014-000411.

We have determined that the information you are seeking may be maintained by the Commander, Naval Air Systems Command (NAWCAD), located at 47076 Liljencrantz Road, Bldg 435, Patuxent River, MD 20670. Therefore, we have forwarded your request to that office for action and direct response to you.

Questions regarding the action this office has taken during the initial processing of your request may be directed to our FOIA service center at (202) 685-0412. For questions regarding the current status of your request, please contact a FOIA Coordinator at NAWCAD directly at (301)342-2130.

Sincerely,

ROBIN PATTERSON
Head, DON FOIA/PA Program Office

Revision 0.15   6/4/2014

Disclaimer: This presently is drafted for internal use within DNS-36 Office, as revisions are made we will develop an Standard Operating Procedures (SOPs) for widespread use.

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DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

5720
Ser DNS-36XX/14USER #
DD MM YY

MEMORANDUM FOR REFERRED OFFICE

Subj: FREEDOM OF INFORMATION ACT/PRIVACY ACT (FOIA/PA)
       REQUEST OF REQUESTER(POC FOR CORPORATE REQUESTERS);
       FOIA/PA CASE NUMBER DON-NAVY-2014-000000

Ref: (a) SECNAVINST 5720.42F/DOD 5400.07R/5 U.S.C. § 552

Encl: (1) Requester's FOIA/PA Request of DD MM YY
       (2) CNO ltr Ser DNS-36XX/14UXXXXXX of DD MM YY
       (3) DD Form 2086

1. Enclosure (1) is forwarded for action as a matter partially under your cognizance. Enclosure (2) is provided for your information.

2. Please respond directly to the requester within 20 working days as prescribed by reference (a). The requester has not been notified of this action.

3. Upon completion, please fill out enclosure (3) and provide it along with a copy of your response to DNS-36. You may fax this material to this office at (202) 685-6580, or email it to DONFOIA-PA@navy.mil.

4. Enclosure (1) was received by this office on DD MM YY. Questions concerning this matter may be directed to Case Worker at (202) 685-XXXX or caseworker.email@navy.mil.

                              Sincerely,

                              ROBIN PATTERSON
                              Head, DON PA/FOIA Program Office

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DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

5720
Ser DNS-36XX/14USER #
DD MM YY

Full Name
Company
Address/Apt/Room/Floor
City/State/Zip

Dear Title LastName:

SUBJECT: YOUR FREEDOM OF INFORMATION ACT/PRIVACY ACT REQUEST;
FOIA/PA CASE NUMBER DON-NAVY-2014-000000

Please be advised that we anticipate fees to exceed the amount you have agreed to pay. We consider you to be an "other" requester and thus entitled to the first two hours of search and, if applicable, 100 pages free of charge. You have agreed to pay up to [Amount] in fees. [Amount] falls below the minimum threshold for fee assessment, so, in accordance with 32 CFR 701.48, no fees will be assessed. In our initial search, we identified approximately[Number] pages of potentially responsive records. Under normal circumstances, we estimate that one minute is required per page in order to retrieve records and determine responsiveness. [If additional factors require a greater expenditure of search time, describe those factors here.] Therefore, we estimate [Time] hours will be required for this action. This time is considered "Search" time, and will be assessed accordingly. Since our last correspondence, [Time] hours have been spent processing your request. In that time, we have retrieved [Number] pages of potentially responsive records and confirmed the responsiveness of [Number] of those pages. In light of our current staffing and case burden, we anticipate that, once all fee issues are resolved, we are able to process your request at the rate of [Time] hours per day, and estimate that all search will be completed within [Days] business days. We will advise you within that time frame if we determine that more time will be required to determine responsiveness of all records.

Under normal circumstances , we estimate that an additional five minutes will be required per page for each responsive record, in order to determine releasability. [If additional factors require a greater expenditure of review time, describe those factors here.] This time is considered "Review" time, and will not be assessed. We are unable to provide an estimated date of completion before the search is concluded. Once the full scope of responsive records has been determined, we will advise you of an anticipated date of completion.

If you are not satisfied with this time frame, you may wish to narrow the scope of your request, in order to reduce the total number of records that must be reviewed to determine responsiveness

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and/or releasability. Alternately, you may wish to prioritize the separate portions of your request so that we can review the records you deem most important first, and produce responsive records on a rolling basis.

On the basis of our estimate, the cost of processing your request is estimated to be [Amount]. As an "Other" requester, you are entitled to the first 2 hours of search and 100 pages of duplication without charge. Therefore, fees are estimated at [Time] hours of search at the "professional" rate of $44.00, for a total of [Amount]; and [Number] pages of duplication for a total of [Amount], amounting to a final total of [Amount] in fees. DOD FOIA regulations require a written commitment from requesters to pay all assessable fees for the processing of requests, or as an alternative, an agreement to limit the scope of the request in order to reduce the amount of processing fees. (See DOD 5400.7-R, § C1.4.2; and 32 C.F.R. § 286.28 (e)(2)(i)(A)) If you wish to proceed with your request as worded, we ask that you forward a check or money order to this Office payable to the U.S. Treasury in the amount of [Amount], citing the case number above. When we receive a written commitment and this payment, we will commence processing your request.

In accordance with 32 CFR 701.8 (d)(1), we will not proceed further with your request until these fee concerns are resolved. If we do not hear from you within twenty (20) workdays of the date of this letter (i.e., by [Date]), we will conclude our search for responsive records. Because review of records already determined to be responsive will not incur additional fees, we will continue processing your request with regard to those records, and up to 100 pages of these responsive records will be provided accordingly, free of charge.

Sincerely,

ROBIN PATTERSON
Head, DON PA/FOIA Program Office

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