

EDATS

Electronic Document and Action Tracking System

EDATS Number: SECY-2006-0001

Initiated By: Cathy Jaegers --- 1/5/2006

Initiating Office: SECY

Originating Organizations: OMB

Originator Name: Joel D. Kaplan

Incoming Task: Memo

Incoming Document Date: 12/30/2005

Document Received Date: 1/4/2005

Addressee: Agency Heads

Requested Response Date: 1/13/2006

Subject: Implementation of the President's Executive Order, "Improving Agency Disclosure of Information"

Description:

Action Type: Letter

Priority: Medium

Signature Level: EDO

Sensitivity: None

OEDO Concurrence: YES

Urgency: NO

OCM Concurrence: NO

Incoming Accession Number:

File Routing: EDATS

Response Accession Number:

Package Accession Number:

Agency Lesson Learned: NO

Related Tasks: SECY-2006-0002

Cross Reference Numbers:
200100009
LTR-06-0002
LTR-06-0001
G20060010

Lead Assignee: OIS Assignee

OEDO Due Date: 1/13/2006 5:00 PM

Other Assignees: NONE

SECY Due Date: 1/13/2006 5:00 PM

Special Instructions:

Report a Chief FOIA Officer by 1/13/06. Note: An additional related task of Summary of the review and agency's FOIA Improvement Plan to DOJ to be added. FY06 and FY07 Reports to DOJ is being handled under WITS 200100009.

Template: SECY-017

E-RIDS: SECY-01

EDATS

Electronic Document and Action Tracking System

EDATS Number: SECY-2006-0002

Initiated By: Cathy Jaegers --- 1/5/2006

Initiating Office: SECY

Originating Organizations: OMB

Incoming Task: Memo

Addressee: Agency Heads

Subject: Implementation of the President's Executive Order, "Improving Agency Disclosure of Information"

Description:

Action Type: Letter

Signature Level: EDO

OEDO Concurrence: YES

OCM Concurrence: NO

Incoming Accession Number:

Response Accession Number:

Package Accession Number:

Related Tasks: SECY-2006-0001

Lead Assignee: OIS Assignee

Other Assignees: NONE

Special Instructions:

Summary of the review and agency's FOIA Improvement Plan to DOJ, copy to OMB and posted on website by 6/14/06. FY06 and FY07 Reports to DOJ is being handled under WITS 200100009.

Originator Name: Joel D. Kaplan

Incoming Document Date: 12/30/2005

Document Received Date: 1/4/2006

Requested Response Date: 6/14/2006

Priority: Medium

Sensitivity: None

Urgency: NO

File Routing: EDATS

Agency Lesson Learned: NO

Cross Reference Numbers:
G20060010
LTR-06-0001
LTR-06-0002
200100009

OEDO Due Date: 6/14/2006 5:00 PM

SECY Due Date: NONE

EDO Principal Correspondence Control

FROM: DUE: 01/13/06

EDO CONTROL: G20060010

DOC DT: 12/30/06

FINAL REPLY:

Joel D. Kaplan, OMB

TO:

Agency Heads

FOR SIGNATURE OF :

** GRN **

CRC NO: 06-0001

Reyes, EDO

DESC:

ROUTING:

Implementation of the President's Executive Order,
"Improving Agency Disclosure of Information"
(EDATS: SECY-2006-0001)

Reyes
Virgilio
Kane
Silber
Dean
Cyr/Burns
Olive, OEDO

DATE: 01/04/06

ASSIGNED TO:

CONTACT:

CIO

Baker

SPECIAL INSTRUCTIONS OR REMARKS:

Tasking #1: Report a Chief FOIA Officer by 1/13/06.
Tasking #2: Summary of the review and agency's
FOIA improvement plan to DOJ, copy to OMB and
posted on website by 6/14/06.

Note: FY06 and FY07 Reports to DOJ to be handled
under 200100009.

**OFFICE OF THE SECRETARY
CORRESPONDENCE CONTROL TICKET**

Date Printed: Jan 03, 2006 12:03

PAPER NUMBER: LTR-06-0001

LOGGING DATE: 01/03/2006

ACTION OFFICE: EDO

AUTHOR: Mr. Joel Kaplan

AFFILIATION: OMB

ADDRESSEE: Heads of Departments & Agencies

SUBJECT: Implementation of the President's Executive Order "Improving Agency Disclosure of Information"

ACTION: Signature of EDO

DISTRIBUTION: RF

LETTER DATE: 12/30/2005

ACKNOWLEDGED No

SPECIAL HANDLING:

NOTES: Note: ...Report due to DOJ by 06/14/06 being tracked as LTR-06-0002... Commission Correspondence - FOIA reports due 02/01/07; 02/01/08

FILE LOCATION: ADAMS

DATE DUE: 01/13/2006

DATE SIGNED:

EDO --G20060010

OFFICE OF THE SECRETARY
CORRESPONDENCE CONTROL TICKET

Date Printed: Jan 03, 2006 12:02

PAPER NUMBER: LTR-06-0002 **LOGGING DATE:** 01/03/2006
ACTION OFFICE: EDO
AUTHOR: Joel Kaplan
AFFILIATION: OMB
ADDRESSEE:
SUBJECT: Implementation of the President's Executive Order "Improving Agency Disclosure of Information" - Report containing a summary of the review and the agency's FOIA improvement plan
ACTION: Signature of Chairman
DISTRIBUTION:
LETTER DATE: 12/30/2005
ACKNOWLEDGED: No
SPECIAL HANDLING: Report due to DOJ w/copy to OMB and posted on agency's website - by 06/14/2006
NOTES:
FILE LOCATION: ADAMS w/LTR-06-0001
DATE DUE: 06/02/2006 **DATE SIGNED:**



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D. C. 20503

December 30, 2005

THE DEPUTY DIRECTOR

M-06-04

MEMORANDUM FOR HEADS OF DEPARTMENT AND AGENCIES

FROM: Joel D. Kaplan *JKL*
Deputy Director

SUBJECT: Implementation of the President's Executive Order "Improving Agency Disclosure of Information"

On December 14, 2005, the President issued Executive Order 13392, "Improving Agency Disclosure of Information" (attached). In the order, the President directed agencies to ensure citizen-centered and results-oriented Freedom of Information Act (FOIA) operations. This memorandum highlights actions required of agencies by the Executive Order and provides contact information if your agency has questions about the order.

The order requires the following actions:

- o **Designation of a Chief FOIA Officer.** By January 13, 2006, each agency shall designate a Chief FOIA Officer (Assistant Secretary level or equivalent). Agencies shall report the designation to the Department of Justice (DOJ) with a copy to OMB (see below for contact information), and post it to the agency's website.
- o **Completing the Review and Plan, and Reporting.** Each agency's Chief FOIA Officer will conduct a review of the agency's FOIA operations and draft a plan for improvement with concrete milestones for FY06 and FY07. As noted in the order, please consult with DOJ (the Office of Information and Privacy) and OMB (your RMO representative) as you develop your plan. In addition, OMB has recently issued several memoranda regarding dissemination of information via agency websites,¹ which may be helpful to consult in the development of your plan. By placing publicly-available information on its website, an agency makes it easier for the public to obtain the information, which can reduce the number of FOIA requests that the agency receives and needs to process.
 - o By June 14, 2006, each agency shall send a report containing a summary of the review and the agency's FOIA improvement plan to DOJ (with a copy to OMB) and post it to the agency's website.

¹ See, OMB Memorandum M-06-02 of December 16, 2005 ("Improving Public Access to and Dissemination of Government Information and Using the Federal Enterprise Architecture Data Reference Model") and OMB Memorandum M-05-04 of December 17, 2004 ("Policies for Federal Agency Public Websites").

- In each agency's FY06 and FY07 FOIA report to DOJ (for FY06 due February 1, 2007, and for FY07 due February 1, 2008), each agency shall include information on the agency's performance in meeting the milestones of its FOIA improvement plan.
- **Establishment of a FOIA Requester Service Center.** Each agency shall establish one or more FOIA Requester Service Centers and place contact information for the Center on the agency's website. The Centers will enable FOIA requesters to seek information concerning the status of their FOIA request and appropriate information about the agency's FOIA response.
- **Designation of Public Liaisons.** The Chief FOIA Officer shall designate one or more public liaisons and place contact information for the public liaisons on the agency's website. Public liaisons will serve as supervisory officials to whom a FOIA requester can raise concerns about the service the FOIA requester has received from the Center, following an initial response from the Center staff.

Please submit reports and designations to DOJ at Pamela.A.Maida@USDOJ.GOV, and send a copy to OMB at FOIAreporting@omb.eop.gov.

If your staff should have any questions regarding the EO and its implementation, they may call Daniel J. Metcalfe, Director of DOJ's Office of Information and Privacy, at 202.514.FOIA. If your staff should have any questions for OMB, they may call Dan Costello, in the Information Policy and Technology Branch of OMB's Office of Information and Regulatory Affairs, at 202.395.7857.

Attachment



Federal Register

Monday,
December 19, 2005

Part V

The President

Executive Order 13392—Improving
Agency Disclosure of Information

Presidential Documents

Title 3—

Executive Order 13392 of December 14, 2005

The President

Improving Agency Disclosure of Information

By the authority vested in me as President by the Constitution and the laws of the United States of America, and to ensure appropriate agency disclosure of information, and consistent with the goals of section 552 of title 5, United States Code, it is hereby ordered as follows:

Section 1. Policy.

(a) The effective functioning of our constitutional democracy depends upon the participation in public life of a citizenry that is well informed. For nearly four decades, the Freedom of Information Act (FOIA) has provided an important means through which the public can obtain information regarding the activities of Federal agencies. Under the FOIA, the public can obtain records from any Federal agency, subject to the exemptions enacted by the Congress to protect information that must be held in confidence for the Government to function effectively or for other purposes.

(b) FOIA requesters are seeking a service from the Federal Government and should be treated as such. Accordingly, in responding to a FOIA request, agencies shall respond courteously and appropriately. Moreover, agencies shall provide FOIA requesters, and the public in general, with citizen-centered ways to learn about the FOIA process, about agency records that are publicly available (e.g., on the agency's website), and about the status of a person's FOIA request and appropriate information about the agency's response.

(c) Agency FOIA operations shall be both results-oriented and produce results. Accordingly, agencies shall process requests under the FOIA in an efficient and appropriate manner and achieve tangible, measurable improvements in FOIA processing. When an agency's FOIA program does not produce such results, it should be reformed, consistent with available resources appropriated by the Congress and applicable law, to increase efficiency and better reflect the policy goals and objectives of this order.

(d) A citizen-centered and results-oriented approach will improve service and performance, thereby strengthening compliance with the FOIA, and will help avoid disputes and related litigation.

Sec. 2. Agency Chief FOIA Officers.

(a) *Designation.* The head of each agency shall designate within 30 days of the date of this order a senior official of such agency (at the Assistant Secretary or equivalent level), to serve as the Chief FOIA Officer of that agency. The head of the agency shall promptly notify the Director of the Office of Management and Budget (OMB Director) and the Attorney General of such designation and of any changes thereafter in such designation.

(b) *General Duties.* The Chief FOIA Officer of each agency shall, subject to the authority of the head of the agency:

(i) have agency-wide responsibility for efficient and appropriate compliance with the FOIA;

(ii) monitor FOIA implementation throughout the agency, including through the use of meetings with the public to the extent deemed appropriate by the agency's Chief FOIA Officer, and keep the head of the agency, the chief legal officer of the agency, and the Attorney General appropriately informed of the agency's performance in implementing the FOIA, including the extent to which the agency meets the milestones

in the agency's plan under section 3(b) of this order and training and reporting standards established consistent with applicable law and this order;

(iii) recommend to the head of the agency such adjustments to agency practices, policies, personnel, and funding as may be necessary to carry out the policy set forth in section 1 of this order;

(iv) review and report, through the head of the agency, at such times and in such formats as the Attorney General may direct, on the agency's performance in implementing the FOIA; and

(v) facilitate public understanding of the purposes of the FOIA's statutory exemptions by including concise descriptions of the exemptions in both the agency's FOIA handbook issued under section 552(g) of title 5, United States Code, and the agency's annual FOIA report; and by providing an overview, where appropriate, of certain general categories of agency records to which those exemptions apply.

(c) *FOIA Requester Service Center and FOIA Public Liaisons.* In order to ensure appropriate communication with FOIA requesters:

(i) Each agency shall establish one or more FOIA Requester Service Centers (Center), as appropriate, which shall serve as the first place that a FOIA requester can contact to seek information concerning the status of the person's FOIA request and appropriate information about the agency's FOIA response. The Center shall include appropriate staff to receive and respond to inquiries from FOIA requesters;

(ii) The agency Chief FOIA Officer shall designate one or more agency officials, as appropriate, as FOIA Public Liaisons, who may serve in the Center or who may serve in a separate office. FOIA Public Liaisons shall serve as supervisory officials to whom a FOIA requester can raise concerns about the service the FOIA requester has received from the Center, following an initial response from the Center staff. FOIA Public Liaisons shall seek to ensure a service-oriented response to FOIA requests and FOIA-related inquiries. For example, the FOIA Public Liaison shall assist, as appropriate, in reducing delays, increasing transparency and understanding of the status of requests, and resolving disputes. FOIA Public Liaisons shall report to the agency Chief FOIA Officer on their activities and shall perform their duties consistent with applicable law and agency regulations;

(iii) In addition to the services to FOIA requesters provided by the Center and FOIA Public Liaisons, the agency Chief FOIA Officer shall also consider what other FOIA-related assistance to the public should appropriately be provided by the agency;

(iv) In establishing the Centers and designating FOIA Public Liaisons, the agency shall use, as appropriate, existing agency staff and resources. A Center shall have appropriate staff to receive and respond to inquiries from FOIA requesters;

(v) As determined by the agency Chief FOIA Officer, in consultation with the FOIA Public Liaisons, each agency shall post appropriate information about its Center or Centers on the agency's website, including contact information for its FOIA Public Liaisons. In the case of an agency without a website, the agency shall publish the information on the Firstgov.gov website or, in the case of any agency with neither a website nor the capability to post on the Firstgov.gov website, in the Federal Register; and

(vi) The agency Chief FOIA Officer shall ensure that the agency has in place a method (or methods), including through the use of the Center, to receive and respond promptly and appropriately to inquiries from FOIA requesters about the status of their requests. The Chief FOIA Officer shall

also consider, in consultation with the FOIA Public Liaisons, as appropriate, whether the agency's implementation of other means (such as tracking numbers for requests, or an agency telephone or Internet hotline) would be appropriate for responding to status inquiries.

Sec. 3. Review, Plan, and Report.

(a) *Review.* Each agency's Chief FOIA Officer shall conduct a review of the agency's FOIA operations to determine whether agency practices are consistent with the policies set forth in section 1 of this order. In conducting this review, the Chief FOIA Officer shall:

(i) evaluate, with reference to numerical and statistical benchmarks where appropriate, the agency's administration of the FOIA, including the agency's expenditure of resources on FOIA compliance and the extent to which, if any, requests for records have not been responded to within the statutory time limit (backlog);

(ii) review the processes and practices by which the agency assists and informs the public regarding the FOIA process;

(iii) examine the agency's:

(A) use of information technology in responding to FOIA requests, including without limitation the tracking of FOIA requests and communication with requesters;

(B) practices with respect to requests for expedited processing; and

(C) implementation of multi-track processing if used by such agency;

(iv) review the agency's policies and practices relating to the availability of public information through websites and other means, including the use of websites to make available the records described in section 552(a)(2) of title 5, United States Code; and

(v) identify ways to eliminate or reduce its FOIA backlog, consistent with available resources and taking into consideration the volume and complexity of the FOIA requests pending with the agency.

(b) *Plan.*

(i) Each agency's Chief FOIA Officer shall develop, in consultation as appropriate with the staff of the agency (including the FOIA Public Liaisons), the Attorney General, and the OMB Director, an agency-specific plan to ensure that the agency's administration of the FOIA is in accordance with applicable law and the policies set forth in section 1 of this order. The plan, which shall be submitted to the head of the agency for approval, shall address the agency's implementation of the FOIA during fiscal years 2006 and 2007.

(ii) The plan shall include specific activities that the agency will implement to eliminate or reduce the agency's FOIA backlog, including (as applicable) changes that will make the processing of FOIA requests more streamlined and effective, as well as increased reliance on the dissemination of records that can be made available to the public through a website or other means that do not require the public to make a request for the records under the FOIA.

(iii) The plan shall also include activities to increase public awareness of FOIA processing, including as appropriate, expanded use of the agency's Center and its FOIA Public Liaisons.

(iv) The plan shall also include, taking appropriate account of the resources available to the agency and the mission of the agency, concrete milestones, with specific timetables and outcomes to be achieved, by which the head of the agency, after consultation with the OMB Director, shall measure and evaluate the agency's success in the implementation of the plan.

(c) *Agency Reports to the Attorney General and OMB Director.*

(i) The head of each agency shall submit a report, no later than 6 months from the date of this order, to the Attorney General and the OMB Director that summarizes the results of the review under section 3(a) of this order and encloses a copy of the agency's plan under section 3(b) of this order.

The agency shall publish a copy of the agency's report on the agency's website or, in the case of an agency without a website, on the Firstgov.gov website, or, in the case of any agency with neither a website nor the capability to publish on the Firstgov.gov website, in the Federal Register.

(ii) The head of each agency shall include in the agency's annual FOIA reports for fiscal years 2006 and 2007 a report on the agency's development and implementation of its plan under section 3(b) of this order and on the agency's performance in meeting the milestones set forth in that plan, consistent with any related guidelines the Attorney General may issue under section 552(e) of title 5, United States Code.

(iii) If the agency does not meet a milestone in its plan, the head of the agency shall:

(A) identify this deficiency in the annual FOIA report to the Attorney General;

(B) explain in the annual report the reasons for the agency's failure to meet the milestone;

(C) outline in the annual report the steps that the agency has already taken, and will be taking, to address the deficiency; and

(D) report this deficiency to the President's Management Council.

Sec. 4. Attorney General.

(a) *Report.* The Attorney General, using the reports submitted by the agencies under subsection 3(c)(i) of this order and the information submitted by agencies in their annual FOIA reports for fiscal year 2005, shall submit to the President, no later than 10 months from the date of this order, a report on agency FOIA implementation. The Attorney General shall consult the OMB Director in the preparation of the report and shall include in the report appropriate recommendations on administrative or other agency actions for continued agency dissemination and release of public information. The Attorney General shall thereafter submit two further annual reports, by June 1, 2007, and June 1, 2008, that provide the President with an update on the agencies' implementation of the FOIA and of their plans under section 3(b) of this order.

(b) *Guidance.* The Attorney General shall issue such instructions and guidance to the heads of departments and agencies as may be appropriate to implement sections 3(b) and 3(c) of this order.

Sec. 5. *OMB Director.* The OMB Director may issue such instructions to the heads of agencies as are necessary to implement this order, other than sections 3(b) and 3(c) of this order.

Sec. 6. Definitions. As used in this order:

(a) the term "agency" has the same meaning as the term "agency" under section 552(f)(1) of title 5, United States Code; and

(b) the term "record" has the same meaning as the term "record" under section 552(f)(2) of title 5, United States Code.

Sec. 7. General Provisions.

(a) The agency reviews under section 3(a) of this order and agency plans under section 3(b) of this order shall be conducted and developed in accordance with applicable law and applicable guidance issued by the President, the Attorney General, and the OMB Director, including the laws and guidance regarding information technology and the dissemination of information.

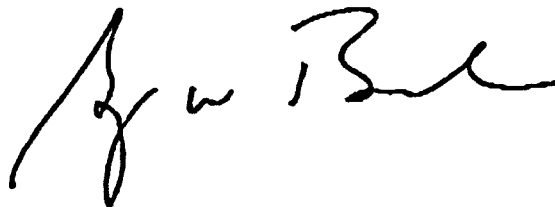
(b) This order:

(i) shall be implemented in a manner consistent with applicable law and subject to the availability of appropriations;

(ii) shall not be construed to impair or otherwise affect the functions of the OMB Director relating to budget, legislative, or administrative proposals; and

(iii) is intended only to improve the internal management of the executive branch and is not intended to, and does not, create any right or benefit,

substantive or procedural, enforceable at law or in equity by a party against the United States, its departments, agencies, instrumentalities, or entities, its officers or employees, or any other person.



THE WHITE HOUSE,
December 14, 2005.

[FR Doc. 05-24255
Filed 12-15-05; 8:45 am]
Billing code 3195-01-P