



FOIAonline Agency User Guide

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Table of Contents

- List of Exhibits..... iv
- Revision Log vii
- 1 Submitting a Request 1
 - 1.1 New Requester Steps..... 1
 - 1.2 Frequent Requester Steps.....4
 - 1.3 Request Creation Summary.....5
- 2 Navigating the Request Details Page6
 - 2.1 Edit Requester Contact Information6
 - 2.2 Submission Details Tab6
 - 2.2.1 Request Handling6
 - 2.2.2 Request Description.....8
 - 2.2.3 Attached Supporting Files9
 - 2.3 Case File Tab 10
 - 2.3.1 Records Sub-Tab..... 10
 - 2.3.2 Consultations Sub-Tab 11
 - 2.3.3 Correspondence Sub-Tab..... 11
 - 2.3.4 Appeals Sub-Tab 11
 - 2.3.5 Financing Sub-Tab 12
 - 2.3.6 Restricted Materials Sub-Tab..... 13
 - 2.4 Admin Cost Tab..... 13
 - 2.5 Assigned Tasks Tab 13
 - 2.6 Comments Tab..... 13
 - 2.7 Review Tab 13
- 3 Making Assignments 14
 - 3.1 Assign to Me..... 14
 - 3.2 Assign to an Organization..... 15
 - 3.3 Assign to an Individual..... 17
 - 3.4 Summary 19
- 4 Perfecting a Request.....20
 - 4.1 Steps20
 - 4.2 Summary22
- 5 Estimating Costs23
 - 5.1 Steps23

5.2	Summary	26
6	Stopping the Clock	27
6.1	Stop the Clock Steps	27
7	Starting the Clock	28
7.1	Start the Clock Steps	28
7.2	Summary	28
8	Extend Due Date	29
8.1	Extend Due Date Steps	29
8.2	Summary	30
9	Adding Admin Costs	31
9.1	Adding Billable Time Steps	31
9.2	Summary	32
10	Uploading Records	33
10.1	Uploading Responsive Records	33
10.2	Summary	37
11	Apply Exemptions	38
11.1	Steps	38
11.2	Summary	38
12	Creating Tasks	39
12.1	Steps	40
12.2	Summary	43
13	Closing Tasks	44
13.1	Steps	44
13.2	Summary	45
14	Creating Correspondence	46
14.1	Correspondence Steps	46
14.2	Letters	49
14.3	Summary	51
15	Creating Comments	52
15.1	Steps	52
15.2	Summary	53
16	Add Reviewer	54
16.1	Steps	54
16.2	Summary	55
17	Interim Release	56

17.1	Steps	56
17.2	Summary	60
18	Generating an Invoice	61
18.1	Steps	61
18.2	Summary	62
19	Close a Request.....	63
19.1	Assign a Disposition Steps	63
19.2	Case File Review Steps.....	65
19.2.1	Summary	67
19.3	Final Disposition Notice Task Steps.....	67
19.4	Summary	69
20	Using the Search Function	70
20.1	Steps	70
20.2	Summary	71
21	Custom Report	72
21.1	Finding Closed Items	73
21.2	Finding Items by Disposition	74
21.3	Finding Items Assigned to an Individual.....	75
22	My Account	76
22.1	Edit Account	76
22.2	Change Password	77

List of Exhibits

Exhibit 1-1 Enter Request Received Offline	1
Exhibit 1-2 Create Request Page: Agency Selection and Contact Information	2
Exhibit 1-3 Create Request Page: Processing Fees and Description	2
Exhibit 1-4 Create Request Page: Request Fee Waiver, Request Expedited Processing,.....	3
Exhibit 1-5 Preview Request Page	4
Exhibit 1-6 Frequent Requesters - Duplication Icon	4
Exhibit 2-1 Edit Requester Contact Information.....	6
Exhibit 2-2 Submission Details - Request Handling.....	8
Exhibit 2-3 Submission Details - Request Description	8
Exhibit 2-4 Submission Details - Attached Supporting Files	9
Exhibit 2-5 Case Details - Final Preparation of Response	10
Exhibit 2-6 Case File - Consultation Sub-Tab.....	11
Exhibit 2-7 Case File - Financing Sub-Tab	12
Exhibit 2-8 Restricted Materials Sub-Tab	13
Exhibit 3-1 Assign to Me	14
Exhibit 3-2 Make Organization/Individual Assignment.....	15
Exhibit 3-3 Organization Lookup	16
Exhibit 3-4 Make Organization Assignment.....	16
Exhibit 3-5 Make Individual Assignment	17
Exhibit 3-6 Individual Lookup	18
Exhibit 3-7 Available Actual Agencies	18
Exhibit 3-8 Make Assignment to Individual	19
Exhibit 3-9 Assignment Confirmation	19
Exhibit 4-1 Perfecting Request.....	20
Exhibit 4-2 Unperfected v. Perfected Action item Menu.....	21
Exhibit 4-3 Clock Has Started	20
Exhibit 5-1 Estimate Costs	23
Exhibit 5-2 Fee Limit Notification.....	24
Exhibit 5-3 Assigned Tasks Tab – Estimate Cost Notice Created.....	24
Exhibit 5-4 Estimate Cost Task Notice – Close-out	25
Exhibit 5-5 Estimate Costs Status	26
Exhibit 6-1 Stopped Clock Icon	27
Exhibit 6-2 Stop the Clock.....	27

Exhibit 7-1 Start the Clock Action item	28
Exhibit 7-2 Start the Clock Page	28
Exhibit 8-1 Extend Due Date Page.....	29
Exhibit 8-2 Extend Due Date Task Generation Confirmation	29
Exhibit 8-3 Extend Due Date – Close-out Task	30
Exhibit 9-1 Admin Cost Tab.....	31
Exhibit 9-2 New Cost Entry	32
Exhibit 9-3 Admin Cost Entries Table.....	32
Exhibit 10-1 Select File for Upload	34
Exhibit 10-2 Add Record Without Upload	34
Exhibit 10-3 Save Records.....	36
Exhibit 10-4 Verify Uploaded Records.....	37
Exhibit 11-1 Edit Record	38
Exhibit 12-1 Task Assignment Page.....	40
Exhibit 12-2 Organization Lookup	41
Exhibit 12-3 Individual Lookup	42
Exhibit 12-4 Create Task.....	43
Exhibit 13-1 Accessing a Task	44
Exhibit 13-2 Close-out a Request Detail Task	45
Exhibit 14-1 New Correspondence Icon	46
Exhibit 14-2 Create Correspondence – No Email Address on File Warning	46
Exhibit 14-3 Email the Requester.....	47
Exhibit 14-4 Create Offline Correspondence Page.....	48
Exhibit 14-5 Case File – Correspondence Sub-Tab	49
Exhibit 14-6 Correspondence – Select a Letter Template	50
Exhibit 15-1 Number of Comments	52
Exhibit 15-2 Create a Comment Page.....	52
Exhibit 15-3 Edit Comments.....	53
Exhibit 16-1 Review Tab	54
Exhibit 16-2 New Reviewer	54
Exhibit 16-3 Individual Lookup	55
Exhibit 16-4 Multiple Assigned Reviewers.....	55
Exhibit 17-1 Interim Release Page.....	57
Exhibit 17-2 Access the Interim Release Notice Task	58
Exhibit 17-3 Interim Release – Close-out	59

Exhibit 19-1 Final Disposition Page.....	64
Exhibit 19-2 Begin Close-out Process	65
Exhibit 19-3 Review Task Details	66
Exhibit 19-4 Case File Review Comments	67
Exhibit 19-5 Final Disposition Notice Task	68
Exhibit 19-6 Complete the Final Disposition Notice Task	69
Exhibit 20-1 Search Criteria	70
Exhibit 20-2 Search Results	71
Exhibit 21-1 Custom Report	72
Exhibit 21-2 Custom Report Results-Closed Items.....	73
Exhibit 22-1 Edit Account Page.....	76
Exhibit 22-2 Change Password	77

Revision Log

Date	Version No.	Description	Author	Reviewer	Review Date
7/24/2012	0.01	Draft delivery to client	K. Cannava	J. Geiger	8/10/2012
8/22/2012	0.02	Updated screen captures	K. Cannava	J. Geiger	8/23/2013
8/27/2012	0.03	Separated the Public User Guide	B. Stephensen	P. Brandon	8/27/2012
9/11/2012	0.04	Updated some screen captures and revised the Agency User Guide	N. Joshi	P. Brandon	9/14/2012
5/05/2014	0.05	Revised the format and updated with v1.5 enhancements	K. Cannava	J. Geiger	6/06/2014
6/16/2014	0.06	Updated section 2.2	K. Cannava	J. Geiger	6/16/2014
10/15/2014	0.07	Updated with v1.6 enhancements	E. Anamisis	K. Cannava	11/21/2014
1/06/2015	0.08	Updated with v1.6.5 enhancements	K. Cannava	J. Geiger	1/09/2015
3/02/2015	0.09	Updated formatting	R. Rivas Plata	K. Cannava	3/06/2015
5/24/2016	0.10	Updated Formatting Removed Outdated Content Added Enhancements through v2.2.1	A. Davati	J. Geiger	5/24/2016

1 Submitting a Request

The public has the ability to submit FOIA requests in the system, but requesters may choose to bypass the system and submit requests to your office either via mail, fax, or email. As an agency user, you can manually enter the request into FOIAonline to make it available for tracking and reporting purposes.

Have a frequent requester who continues to submit requests outside of the system? Pre-populate a frequent requester’s contact information by locating a previously submitted request and duplicate their contact information on a new Create Request form (1.2).

1.1 New Requester Steps

The following steps are required of an agency user for requests submitted outside of FOIAonline from a new or infrequent requester:

1. While on any of the three dashboards, click the **New Request** link in the left-side menu.



Exhibit 1-1 Enter Request Received Offline

2. Conditionally Required: Select a **Sub-Agency** to route the request. Upon submission, the request will display in this office’s Unassigned Cases dashboard. (Note: You can only enter requests within FOIAonline for your agency.)
3. Enter the **Submitted Date**, which can be backdated as far back as necessary.
4. *Optional – Enter the **Perfected Date**, which can also be backdated.*

**Note: Once the Perfected Date is set, it cannot be unset. The processing clock will begin. This field cannot contain a date that is prior to the Submitted Date.*

5. Enter the requester’s **full name, mailing address**, and any additional fields provided.

Note: If an **email address is provided by the requester and it is entered on this page, then the requester will receive a system email confirmation with their tracking number. If you would like to bypass this notification but still have their email address on file, then enter the email address via the Edit Requester Information page (2.1) after the request is submitted.*

Create Request ?

The Freedom of Information Act (FOIA) is a federal law that gives the public the right to make requests for federal agency records. Agencies may withhold information according to [nine exemptions](#) contained in the statute. The FOIA applies only to federal agencies. It does not apply to records held by Congress, the courts, or by state or local government agencies. Each state has its own public access laws that should be consulted for access to state and local records.

* indicates a required field.

Agency Selection

2
3
4

? * Agency : ▼

* Sub-Agency : ▼

* Submitted Date : 📅

Perfect Date : 📅

Please do not include PII with your request description.

Please be as **specific** as possible when listing your records.

For more information, visit [this agency's FOIA website](#).

Contact Information

5

Prefix : ▼

* First Name :

Middle Initial :

* Last Name :

Organization :

Email Address :

Phone Number :

Fax Number :

* Mailing Address Location : ▼

* Address Line 1 :

Address Line 2 :

* City :

* State/Province : ▼

* Zip Code / Postal Code :

Exhibit 1-2 Create Request Page: Agency Selection and Contact Information

6. Enter the requester provided **Fee Limit**.
7. Enter the requester provided **Description** of records.

6

Processing Fees

* Will Pay Up To : \$

? * **Description :** 0/2000

7

Exhibit 1-3 Create Request Page: Processing Fees and Description

8. *Optional – If the requester has requested either a fee waiver and/or expedited processing, then switch the applicable drop-downs to **Yes**. This will display a free text field for you to enter the requester’s justification. You will also be required to select a date of the submission.*

*Note: Upon indicating either fee waiver or expedited processing, these will display in the dashboard as a **task**, which will have the same tracking number as the request. This allows either of these items to be separately evaluated and assigned from the request. Track the status of these tasks by viewing the Assigned Tasks tab (2.5).

9. *Optional – Upload any **supporting documents** provided by the requester, which can include an electronic copy of the original request.*

10. Press the **Preview** button to display the Preview page.

Request a Fee Waiver

In certain limited circumstances, individual requests are entitled to a fee waiver. The following factors must be met. If you wish to request a fee waiver include the following sections in your request. 1. A clear statement whether subject of the requested records concerns "the operations or activities of the government." 2. Whether the disclosure is "likely to contribute" to an understanding of government operations or activities. 3. The contribution to an understanding of the subject by the public is likely to result from disclosure: Whether disclosure of the requested information will contribute to "public understanding." 4. The significance of the contribution to public understanding: Whether the disclosure is likely to contribute "significantly" to public understanding of government operations or activities. 5. The existence and magnitude of a commercial interest: Whether the requester has a commercial interest that would be furthered by the requested disclosure. 6. The primary interest in disclosure.

Make Request ? No

Request Expedited Processing

In certain LIMITED circumstances, individual requests are entitled to be moved ahead of other requests on an expedited basis. The following factors must be met and certified to be true and correct: 1. Circumstances in which the lack of expedited treatment could reasonably be expected to pose an imminent threat to the life or physical safety of an individual; or 2. An urgency to inform the public about an actual or alleged Federal government activity, if the information is requested by a person primarily engaged in disseminating information to the public.

Make Request ? No

Attach Supporting Files

If you are having problems, or do not see the "Select Files" button, [switch to the basic uploader.](#)

No attachments have been added.

Exhibit 1-4 Create Request Page: Request Fee Waiver, Request Expedited Processing, and Attach Supporting Files

11. *Optional:* Press the **Edit Request** button to return to the previous page and modify any information.
12. Press the **Submit** button.



The screenshot shows a form with three main sections:

- Request a Fee Waiver:** A box containing the text "Make Request ? No".
- Request Expedited Handling:** A box containing the text "Make Request ? No".
- Attach Supporting Files:** A box containing the text "No attachments were previously added."

At the bottom of the form are three buttons: **SUBMIT** (with a red "12" above it), **EDIT REQUEST** (with a red "11" above it), and **CANCEL**.

Exhibit 1-5 Preview Request Page

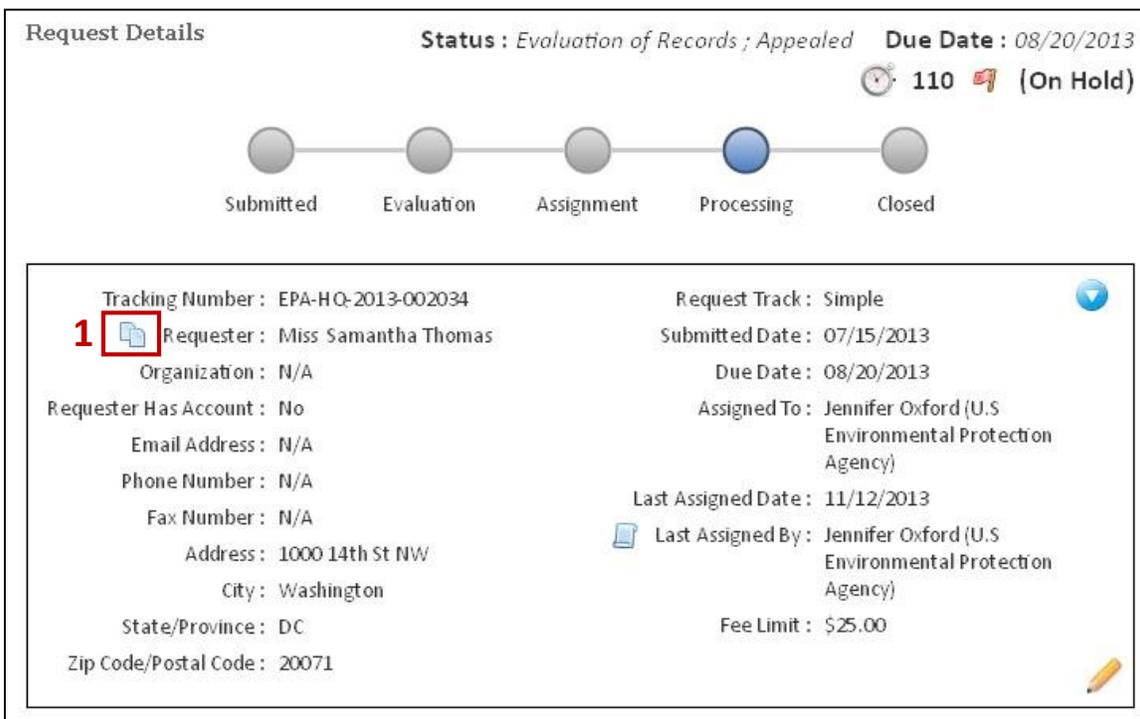
1.2 Frequent Requester Steps

Have a frequent requester? Save time entering in their contact information by searching for a previously created request in FOIAonline and pulling up the Request Details page.

1. Click the **duplication icon** next to the requester's name on the **Request Details** page to pre-populate the Create Request page with their contact information.

*Note: You will be able to edit the requester's contact information that is pre-populated on the Create Request form, **unless** the requester has a registered user account.

2. Complete steps 6-12 listed above.



The screenshot shows the "Request Details" page for a request with the following information:

- Status:** Evaluation of Records ; Appealed
- Due Date:** 08/20/2013
- Request ID:** 110 (On Hold)
- Progress Bar:** Submitted (grey), Evaluation (grey), Assignment (grey), Processing (blue), Closed (grey).
- Requester Information:**
 - Tracking Number: EPA-HQ-2013-002034
 - Requester: Miss Samantha Thomas (with a red "1" and a duplication icon next to it)
 - Organization: N/A
 - Requester Has Account: No
 - Email Address: N/A
 - Phone Number: N/A
 - Fax Number: N/A
 - Address: 1000 14th St NW
 - City: Washington
 - State/Province: DC
 - Zip Code/Postal Code: 20071
- Request Track:** Simple
- Submitted Date:** 07/15/2013
- Due Date:** 08/20/2013
- Assigned To:** Jennifer Oxford (U.S. Environmental Protection Agency)
- Last Assigned Date:** 11/12/2013
- Last Assigned By:** Jennifer Oxford (U.S. Environmental Protection Agency)
- Fee Limit:** \$25.00

Exhibit 1-6 Frequent Requesters - Duplication Icon

1.3 Request Creation Summary

Agency users can enter FOIA request information for requesters who submit outside of FOIAonline. These requests are routed in the same manner as when they are submitted by the public – the request will display in the Unassigned Cases dashboard of the agency or sub-agency that is specified on the Create Request page. Entering an email address for the requester will send the individual an email confirmation upon submission.

For requesters who frequently submit their requests offline, agency users can pre-populate the Create Request form with their contact information from a previous request by using the duplication icon.

Upon submission, the tracking number will be publicly available. Depending on your agency's configuration, the requester name, organization, description of records, and any supporting attachments may default to being withheld from the public. See section 2.2 Submission Details Tab for steps on how to flip the switch to make any or all of that information publicly available. The public will always be able to view the Tracking Number, phase diagram, and due date of any request in the system.

2 Navigating the Request Details Page

2.1 Edit Requester Contact Information

Contact information can be modified from the Request Details page for public users who do **not** have a registered account with FOIAonline.

1. Verify the requester does **not** have an account by viewing the **Requester Has Account** field.

*Note: Requesters with a registered account are responsible for updating their contact information.

2. Click the **show all details** icon.
3. Click the **pencil icon**.

Tracking Number : EPA-HQ-2014-000010	Submitted Date : 05/05/2014	2 
 Requester : John Smith	Perfected Date : 05/05/2014	
Organization : N/A	Last Assigned Date : 05/05/2014	
1 Requester Has Account : No	Fee Limit : \$25.00	
Email Address : N/A	Request Track : Simple	
Phone Number : N/A	Due Date : 06/03/2014	
Fax Number : N/A	Assigned To : Headquarters	
Address : 123 Main St	 Last Assigned By : N/A	
City : Burke		
State/Province : VA		
Zip Code/Postal Code : 22015		3 

Exhibit 2-1 Edit Requester Contact Information

4. Modify the **requester's contact information** and/or **Fee Limit**, as necessary.
5. Press the **Save Changes** button.

2.2 Submission Details Tab

The Submission Details tab contains all fields necessary for evaluation and is divided into three sections: Request Handling, Request Description, and Attached Supporting Files. In order to save modifications made on the Submission Details tab, press the **Save Changes** button at the bottom of the page (see section 2.2.3 Attached Supporting Files).

2.2.1 Request Handling

The Request Handling section contains a variety of fields necessary for request evaluation, including: the toggle to make the requester name publicly available, the request track, the requester's fee category, fee waiver and expedited processing tracking, and perfection.

1. **Requester Info Available to the Public** controls whether the requester name and organization are visible to the general public when viewing the request.
2. **Request Track** contains the values Simple and Complex. This field allows you to filter requests on the dashboard by the value selected and is used for reporting metrics.

*Note: If expedited processing is granted, then Expedited will display here and it is no longer modifiable. Expedited requests display at the top of the dashboard.

3. **Fee Category** contains the values Commercial, Media/Educational, and Other. The selection made here deducts applicable discounts from the Admin Cost tab (9) for the invoice (18).

Commercial requesters are charged for all search, review, and duplication.

Media/Educational requesters are charged for duplication, excluding the cost of the first 100 pages.

Other requesters are are charged search and duplication, excluding the cost of the first 2 hours of search and the first 100 pages.

4. **Fee Waiver Requested** tracks whether the requester submitted a fee waiver request at the time of submission.

*Note: If “No,” then a pencil icon displays. Click the pencil icon to create a fee waiver task, if necessary.

5. **Fee Waiver Status** tracks the disposition of the fee waiver task, if the fee waiver was requested. If it was not requested, then “N/A” displays.

6. **Expedited Processing Requested** tracks whether the requester submitted an expedited processing request at the time of submission.

*Note: If “No,” then a pencil icon displays. Click the pencil icon to create an expedited processing task, if necessary.

7. **Expedited Processing Status** tracks the disposition of the expedited processing task, if one exists. If one does not exist, then “N/A” displays.

8. **Request Perfected** field displays a drop-down for unperfected requests, which always defaults to No. Once the request is perfected, this field becomes read-only and the request cannot be unperfected.

9. **Perfected Date** is the date the request was perfected. This can be backdated, if necessary, at the time of perfection. Once the Request Perfected field is set to Yes, this field cannot be modified.

10. **Acknowledgment Sent Date** is an optional field to indicate when the acknowledgment letter, if applicable, was sent to the requester.

11. **Unusual Circumstances?** is tied directly to the Extend the Due Date action item (8). When the due date is extended due to unusual circumstances, that is indicated on the main page of the request.

12. **5 Day Notifications** sends a system notification to the assigned individual every 5 days the request is pending.

13. **Litigation** indicates if litigation has occurred. Select **Yes** from the drop-down to display the **Court Docket Number** field. A Court Docket Number is required when indicating litigation.

Request Handling

<p>1 Requester Info Available to the Public: <input type="checkbox"/> Yes</p> <p>2 Request Track: <input type="text" value="Simple"/></p> <p>3 Fee Category: <input type="text" value="Select Fee Category"/></p> <p>4 Fee Waiver Requested: Yes</p> <p>5 Fee Waiver Status: Pending Decision</p> <p>6 Expedited Processing Requested: <input type="checkbox"/> No</p> <p>7 Expedited Processing Status: N/A</p>	<p>8 Request Perfected: Yes</p> <p>9 Perfected Date: 03/11/2014</p> <p>10 Acknowledgement Sent Date: <input type="text"/></p> <p>11 Unusual Circumstances?: <input type="checkbox"/> No</p> <p>12 5 Day Notifications: <input type="checkbox"/></p> <p>13 Litigation: <input type="text" value="No"/></p>
---	---

Exhibit 2-2 Submission Details - Request Handling

2.2.2 Request Description

The request description is always withheld from the public initially but making the description available to the public has the potential to reduce the number of future requests.

1. **Short Description** is an optional free-text field that is only visible to the agency users.
Text entered here displays when hovering over the tracking number while on the dashboard.
2. The **Description** displays as read-only.
*Note: Text entered in this field can never be changed. If the description needs to be modified, then see item #4, the Has Description Been Modified? checkbox.
3. **Description Available to the Public** flag is set to No on default. Set this flag to Yes in order to make the description publicly searchable and viewable.
4. Check the **Has Request Been Modified?** checkbox to display a free text field that automatically populates with the original request description, but can be modified as necessary. The original description will always be preserved.

*Note: If the Description Available to the Public flag is set to Yes and the description has been modified, then the modified description displays to the public.

Request Description

1 Short Description:

2

3 Description Available to the Public: **4** Has Description Been Modified? 151/2000

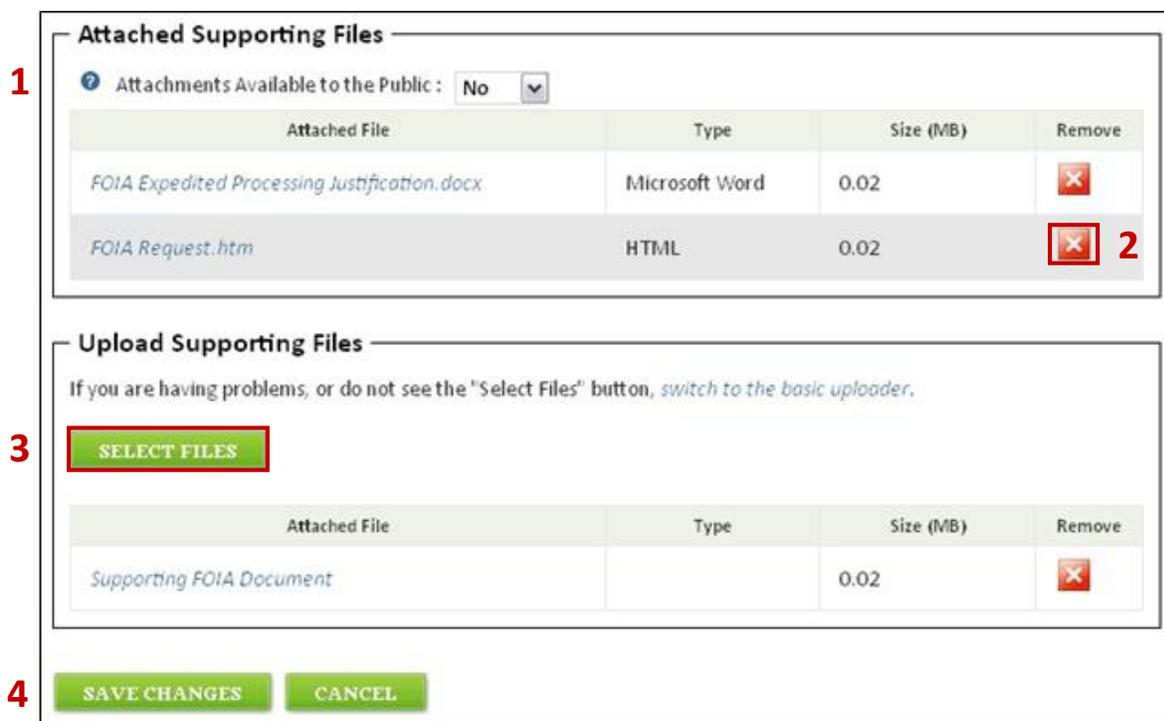
Exhibit 2-3 Submission Details - Request Description

2.2.3 Attached Supporting Files

The Attached Supporting Files section contains all attachments provided by the requester at the time of submission. These attachments can include additional justification for the request description, fee waiver and/or expedited processing, and/or an electronic copy of the original request.

Any files uploaded here are available to requesters with registered user accounts, regardless of the value selected in the Attachments Available to the Public drop-down.

1. **Attachments Available to the Public** drop-down controls whether or not the attached files will be viewable to the general public. This drop-down will default to No.
2. The **Remove** icon displays a prompt, asking you if you would like to delete the selected file.
3. The **Select Files** button in the **Upload Supporting Files** section allows you to select one or more files from your computer. Selected files display within the section and are only uploaded to the **Attached Supporting Files** section upon pressing the **Save Changes** button.
4. Press the **Save Changes** button to save any modifications made on the Submission Details tab.



Attached Supporting Files

1 ? Attachments Available to the Public: ▾

Attached File	Type	Size (MB)	Remove
FOIA Expedited Processing Justification.docx	Microsoft Word	0.02	
FOIA Request.htm	HTML	0.02	 2

Upload Supporting Files

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

3

Attached File	Type	Size (MB)	Remove
Supporting FOIA Document		0.02	

4

Exhibit 2-4 Submission Details - Attached Supporting Files

2.3 Case File Tab

The Case File tab contains a direct URL to the case, case specific information, and a series of sub-tabs that store responsive records, consultations, correspondence, appeals, invoices, and restricted materials (2.3.1-2.3.6). Case information displays as the following fields in the Case Details section:

1. **Type of Case** displays that this is a FOIA case.
2. **Fiscal Year** displays the fiscal year in which the request was submitted.
3. **Total Days Pending** is the total number of days the request has been open.
4. **Final Disposition** displays the final disposition that has been assigned to a case.
5. **Other Disposition** displays an agency approved “Other” disposition that has been assigned to a case.

*Note-Both the **Final** and **Other Disposition** fields only display once the close-out process has begun.

6. **Received Date** is based on the business day the request was received. If the request was submitted to FOIAonline at 5:01pm EST on a Friday, then the Received Date would be the following Monday.

*Note-This field is designated as the **Business Date of Receipt** for appeals.

7. **Clock Initially Started On** is the date the clock began, either manually during perfection or if the 10-day clock auto-start began.

8. **Closed Date** is the date the Final Disposition Notice was closed and the case completed.

*Note-This field only displays once the close-out process has been completed.

Submission Details
Case File
Admin Cost
Assigned Tasks
Comments (0)
Review

Direct URL : <http://ffx-epa-app1.cgifederal.com:8280/foia/action/public/view/request/8009fb04>

Case Details

1	Type of Case : FOIA	6	Received Date : 03/22/2016
2	Fiscal Year : 2016	7	Clock Initially Started On : 04/05/2016
3	Total Days Pending : 36	8	Closed Date : 05/25/2016
4	Final Disposition : Other		
5	Other Disposition : GLOMAR		

Exhibit 2-5 Case Details - Final Preparation of Response

2.3.1 Records Sub-Tab

Case Responsive Records displays all records uploaded to the case file via the Upload Responsive Records action item. This includes all release types, which includes: redacted and unredacted, releasable and un-releasable, and releasable to the requester only (10).

2.3.2 Consultations Sub-Tab

The Consultations sub-tab displays all pending and closed consultations created off of the request to system participating agencies.

Records
Consultations
Correspondence
Appeals
Financing
Restricted Materials

Consultations

3 items found, displaying all items. 1

Tracking Number	Consulted Agency	Created By	Consultation Date	Due Date	Status	Detail
CBP-2015-000023	U.S. Customs and Border Protection	Jason Brown	11/17/2014	11/17/14 	Pending	
<p><i>Description</i> : This is a FOIA request.</p> <p><i>Comments</i> : Comment</p> <p><i>Agency Opinion</i>: N/A</p>						
DOC-OS-2015-000004	Immediate Office of the Secretary	Jason Brown	11/17/2014	11/18/14 	Pending	
GSA-2015-000012	General Services Administration	Jason Brown	11/17/2014	11/17/14 	Pending	

3 items found, displaying all items. 1

Exhibit 2-6 Case File - Consultation Sub-Tab

2.3.3 Correspondence Sub-Tab

The Correspondence sub-tab contains all correspondence sent to the requester via email and all files related to correspondence (14).

2.3.4 Appeals Sub-Tab

All appeals created off the request are linked via the Appeals sub-tab. If a request is appealed, then “Appealed” text will display next to the request’s status. Appeals have unique tracking numbers.

2.3.5 Financing Sub-Tab

The Financing sub-tab contains information pertaining to any cost estimates sent to the requester, all invoices generated (18), and any payments received from the requester.

Records
Consultations
Correspondence
Appeals
Financing
Restricted Materials

Invoice

Total Amount Billed Which Has Been Sent To Requester: \$126.00

Sent	Title	Invoice Date	Amount
Yes ▾	EPA-2015-000038 Invoice 20141015.pdf	10/15/2014	\$42.00
Yes ▾	EPA-2015-000038 Invoice 20141015.pdf	10/15/2014	\$126.00

SAVE INVOICE CHANGES

Payments

Date	Amount	Type	Action
10/15/2014	\$2.00	Manual	
Total Amount Paid			\$2.00
Total Amount Owed			\$124.00

ADD PAYMENT

Exhibit 2-7 Case File - Financing Sub-Tab

2.3.6 Restricted Materials Sub-Tab

The Restricted Materials sub-tab can contain files that only individuals within your immediate office should be able to view. Individuals who exist organizationally outside your office, either above or below, cannot see any items that are uploaded to this section.

1. Press the **Restricted Materials** tab to view and upload Restricted Materials.
2. Press the **Select Files** button to select files to upload.
3. Press the **Save Changes** button to add the files to the Restricted Materials section.

1

Records
Consultations
Correspondence
Appeals
Financing
Restricted Materials

Restricted Materials ?

Attached File	Type	Added By	Remove
12-F-1159_BMDS_Appendix_F_for_2012.pdf	PDF	Jason Brown (EPA)	
1977-01-04.pdf	PDF	Jason Brown (EPA)	
operational-records-fy13.pdf	PDF	Jennifer Oxford (EPA)	

Upload Additional Files

If you are having problems, or do not see the "Select Files" button, [switch to the basic uploader](#).

2 SELECT FILES

No attachments have been added.

3 SAVE CHANGES CANCEL

Exhibit 2-8 Restricted Materials Sub-Tab

2.4 Admin Cost Tab

The Admin Cost tab displays all billable and non-billable time entered by users who performed processing work on the request (9).

2.5 Assigned Tasks Tab

The Assigned Tasks tab aggregates all system-generated and user-generated tasks created off the request (12).

2.6 Comments Tab

The Comments tab is an agency-user-only processing journal (15).

2.7 Review Tab

The Review tab is the staging area for the case file review workflow. See sections 16 Add Reviewer and 19.2 Case File Review Steps for more information.

3 Making Assignments

A newly submitted request exists in the Unassigned Cases dashboard of the specified organization, which is a group box. In order to prevent multiple individuals simultaneously processing the same request, requests should be assigned out of the group box as quickly as possible. This can be accomplished through the Make Assignment page, which displays in the following areas in the system:

1. Unassigned Cases dashboard,
2. Click the Make Assignment action item from the left-side menu on the Request Details page, and
3. The Make Assignment section displays at the bottom of the Custom Report Results.

Options 1 and 3 allow you to assign multiple items (requests, tasks, appeals, consultations, and referrals) to a single individual or organization at the same time.

The three assignment options are to yourself (3.1 Assign to Me), to another component (Assign to an Organization), or to an individual within your component (3.3 Assign to an Individual). If any tasks exist, then the tasks will not be assigned at the same time, but tasks can be assigned using the same processing steps. You cannot reassign any tasks currently assigned outside of your component.

Comments can be added directly to requests via the Make Assignment page that will populate the request's Comments tab (2.6). Comments added to tasks via the Make Assignment page will trickle up to the request.

3.1 Assign to Me

1. If you are on the **Request Details** Page: Click the **Make Assignment** action item from the left-side menu

If you are on either the **Unassigned Cases Dashboard** or **Custom Report Results**: select the items to assign by checking the Assign checkboxes in the left-most column.

2. Press the **Assign To Me** button to assign the request to your user account. The request is now accessible via your My Cases dashboard.

Make Assignment

Organization Assignment : 

Individual Assignment : 

5 Day Notifications :

Assignment Comments :

2

SAVE CHANGES

ASSIGN TO ME

CANCEL

Exhibit 3-1 Assign to Me

3.2 Assign to an Organization

1. If you are on the **Request Details Page**: Click the **Make Assignment** action item from the left-side menu.

If you are on either the **Unassigned Cases Dashboard** or **Custom Report Results**: select the items to assign by checking the Assign checkboxes in the left-most column.

2. Click **the person icon** next to the Organization Assignment field to launch the Select Organization popup.

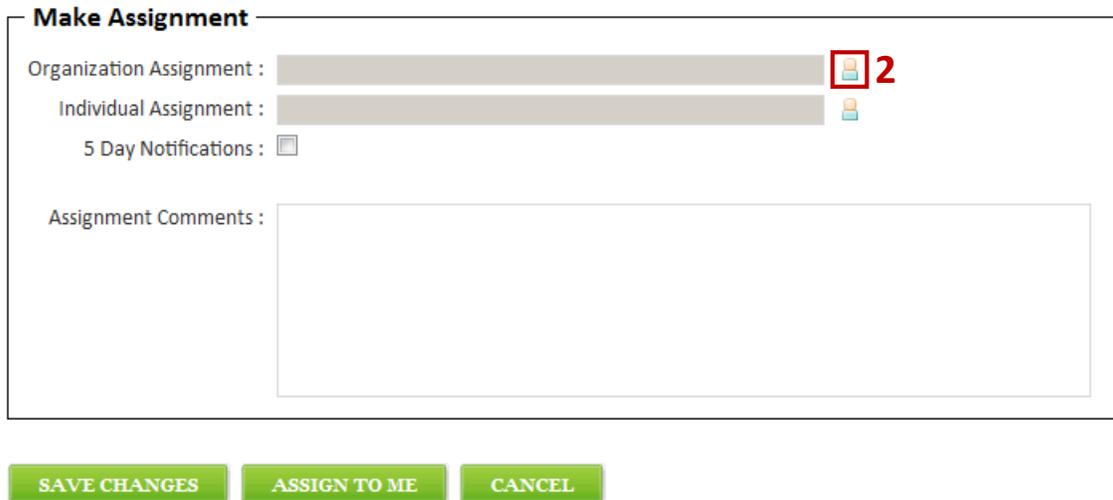


Exhibit 3-2 Make Organization/Individual Assignment

3. Enter text in either the **Acronym** or **Name** field.

*Note: The user's acting agency acronym is automatically entered in the **Acronym** field and sub-agencies display in the search results. This can be re-filtered by modifying the text.

4. Press the **Search** button.

5. Click the **radio button** for the desired organization in the first column. Only one organization can be selected at a time.

*Note: Only 5 results display at one time. Use the pagination icons to flip through the results if more than 5 items exist.

6. Press the **Select** button.

Home Search Reports Administration My Account Search FOIA requests

Select Organization

3 Search Criteria

Acronym :

Name :

4

5 Search Results

11 items found, displaying 1 to 5.

	Acronym	Name	Organization
<input type="radio"/>	HQ	Headquarters	EPA/HQ
<input type="radio"/>	R1	Region 1	EPA/R1
<input type="radio"/>	R2	Region 2	EPA/R2
<input type="radio"/>	R3	Region 3	EPA/R3
<input type="radio"/>	R4	Region 4	EPA/R4

6

Exhibit 3-3 Organization Lookup

7. *Optional - Enter a **comment** that will display in two places: 1. The assignment notification email and 2. The Comments tab (15 Creating Comments).*
8. Press the **Save Changes** button to send the item(s) to the **Unassigned Cases** dashboard of the chosen organization.

*Note: The FOIA Officer will receive a system assignment notification if their Case File Modification Alerts item is enabled on the My Account page.

Make Assignment

Organization Assignment :

Individual Assignment :

5 Day Notifications :

7 Assignment Comments :

8

Exhibit 3-4 Make Organization Assignment

3.3 Assign to an Individual

1. If you are on the **Request Details Page**: Click the **Make Assignment** action item from the left-side menu.

If you are on either the **Unassigned Cases Dashboard** or **Custom Report Results**: select the items to assign by checking the Assign checkboxes in the left-most column.

2. Click the **Individual Assignment** field or person icon to open the **Select Individual** lookup.

Make Assignment

Organization Assignment : 

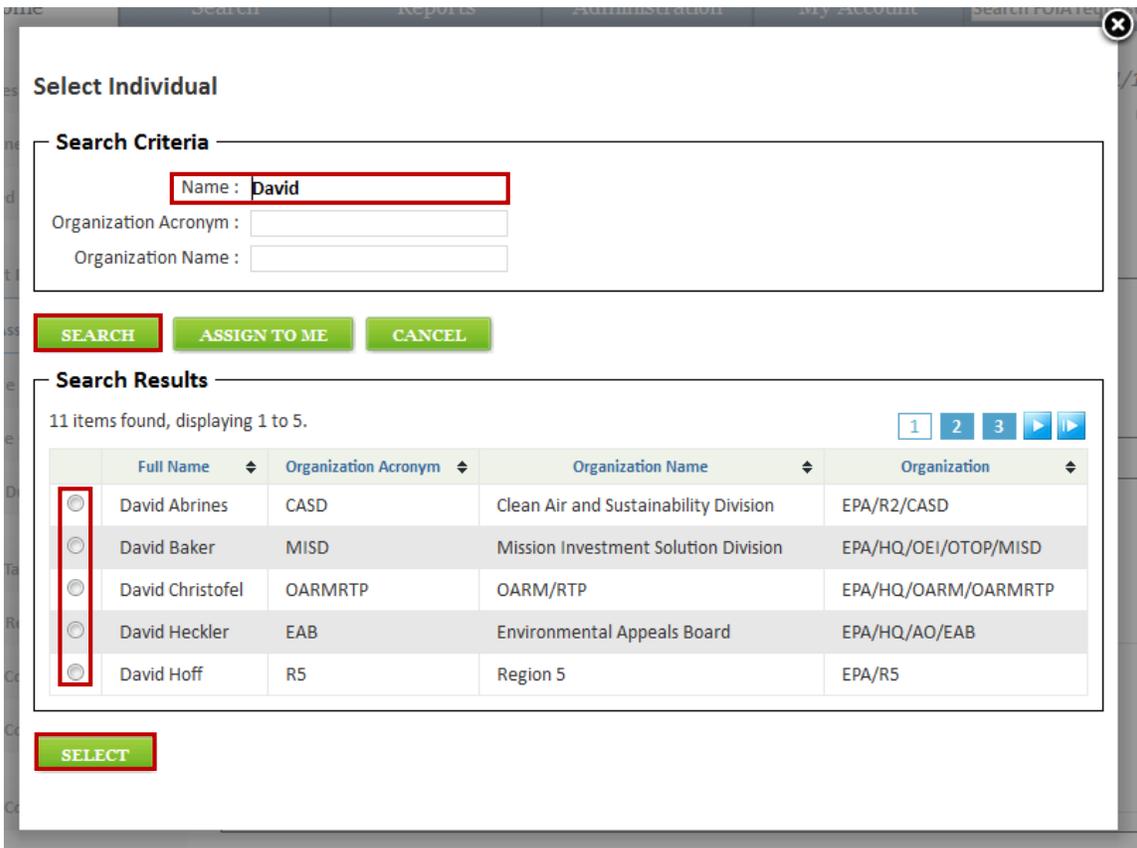
Individual Assignment : 

5 Day Notifications :

Assignment Comments :

Exhibit 3-5 Make Individual Assignment

3. Enter information into any of the following three fields to search for an individual: **Name**, **Organization Acronym**, and/or **Organization Name**.
4. Press the **Search** button.
5. Click a **radio button** for an individual in the first column. Only one individual can be selected at a time.
6. Press the **Select** button.



Select Individual

Search Criteria

3

Organization Acronym :

Organization Name :

4

Search Results

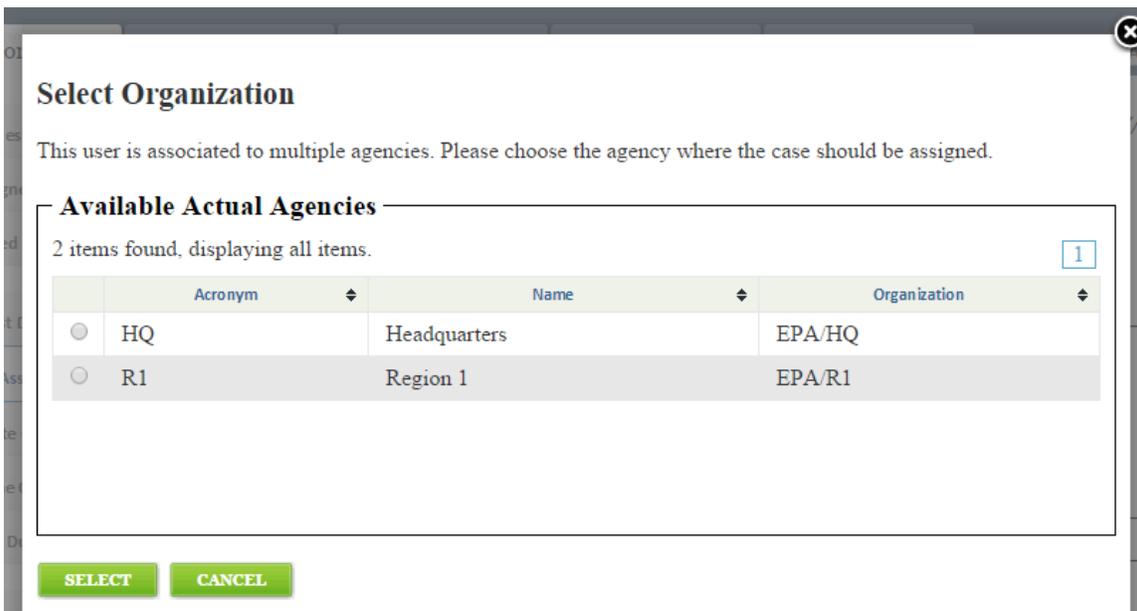
11 items found, displaying 1 to 5.

	Full Name	Organization Acronym	Organization Name	Organization
5 <input checked="" type="radio"/>	David Abrines	CASD	Clean Air and Sustainability Division	EPA/R2/CASD
<input type="radio"/>	David Baker	MISD	Mission Investment Solution Division	EPA/HQ/OEI/OTOP/MISD
<input type="radio"/>	David Christofel	OARMRTP	OARM/RTP	EPA/HQ/OARM/OARMRTP
<input type="radio"/>	David Heckler	EAB	Environmental Appeals Board	EPA/HQ/AO/EAB
<input type="radio"/>	David Hoff	R5	Region 5	EPA/R5

6

Exhibit 3-6 Individual Lookup

7. *Optional – If the selected individual has multiple actual agencies, then a popup will display with the **Available Actual Agencies** section. Click the radio button to the left of the desired agency and press the **Select** button.*



Select Organization

This user is associated to multiple agencies. Please choose the agency where the case should be assigned.

Available Actual Agencies

2 items found, displaying all items.

	Acronym	Name	Organization
<input type="radio"/>	HQ	Headquarters	EPA/HQ
<input type="radio"/>	R1	Region 1	EPA/R1

Exhibit 3-7 Available Actual Agencies

8. *Optional – Select the **5 Day Notifications** checkbox to send email notifications to the assignee every 5 days.*

9. *Optional* – Enter a **comment**, which will display in the assignment notification email and the Comments tab (15).
10. Press the **Save Changes** button.

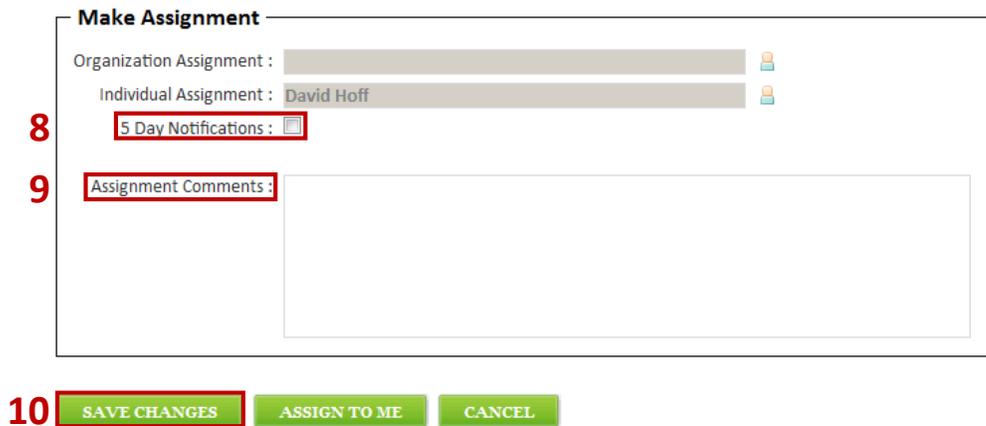


Exhibit 3-8 Make Assignment to Individual

11. *Optional* – Click the **Click Here** hyperlink in the message to return to the **Request Detail** page.

11

- The request has been successfully assigned. [Click here](#) to return to the request.

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.

Exhibit 3-9 Assignment Confirmation

3.4 Summary

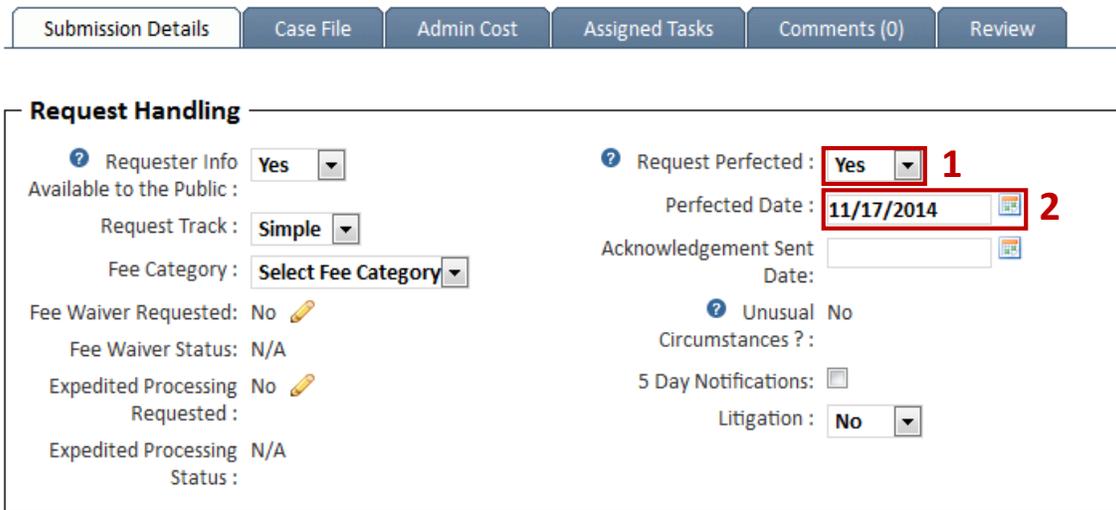
Making assignments is important in ensuring an individual takes responsibility for a request. Assigning to the user's own account allows for quick ownership of a request for immediate processing. Assigning to other individuals or organizations allows for ownership by those deemed appropriate to fulfill the request. When an assignment has been made to an individual, the request displays in their My Cases dashboard as well as the Assigned Cases dashboard for the individual who assigned the request. When an assignment has been made to an organization, the request displays in the Unassigned Cases dashboard for users in that organization. While there must be one assignee to a request, multiple parties may contribute to the request processing through the Create Task (12) function.

4 Perfecting a Request

A perfected request is one that is considered to reasonably describe the records sought and adheres to agency regulations related to request processing. While perfection is not a requirement to close-out a request, certain processing action items are only available to a perfected request. In most instances if a request is not yet perfected, then the text “(Never Started)” displays next to the number of days on the clock. Users should ensure that the perfected designation and perfected date are accurate before saving as a perfected request cannot be unperfected.

4.1 Steps

1. Select "Yes" from the **Request Details** page using the **Request Perfected** drop-down.
2. *Optional – Adjust the date of request perfection using the **Perfected Date** field. The Perfected Date field only displays when “Yes” is selected from the Request Perfected drop-down. The Perfected Date can be backdated as far back as the Submitted Date, if needed. If the perfected date is backdated, then the clock will start with a non zero number of days.*



The screenshot shows the 'Request Handling' section of a web interface. At the top, there are navigation tabs: 'Submission Details', 'Case File', 'Admin Cost', 'Assigned Tasks', 'Comments (0)', and 'Review'. Below these is the 'Request Handling' form. On the left side, there are fields for 'Requester Info' (Yes), 'Available to the Public', 'Request Track' (Simple), 'Fee Category' (Select Fee Category), 'Fee Waiver Requested' (No), 'Fee Waiver Status' (N/A), 'Expedited Processing Requested' (No), and 'Expedited Processing Status' (N/A). On the right side, there are fields for 'Request Perfected' (Yes), 'Perfected Date' (11/17/2014), 'Acknowledgement Sent Date', 'Unusual Circumstances?' (No), '5 Day Notifications' (checkbox), and 'Litigation' (No). Red boxes and numbers 1 and 2 highlight the 'Request Perfected' dropdown and the 'Perfected Date' field respectively.

Exhibit 4-1 Perfecting Request

3. Press the **Save Changes** button at the bottom of the Submission Details page.
4. The **clock** now displays with a number, counting up from 0, without the text “(Never Started).”

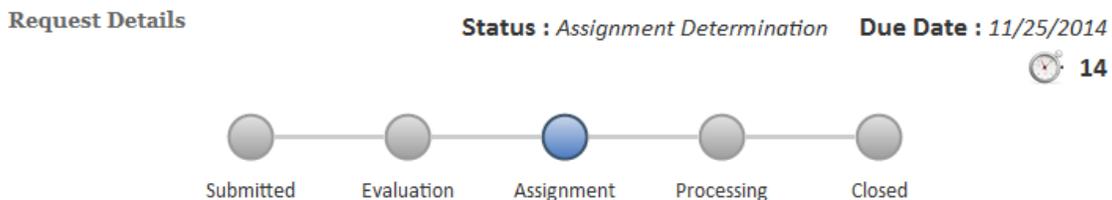


Exhibit 4-2 Clock Has Started

*Note: Now that the request is perfected, the clock starts and additional action items are available, as shown below in Exhibit 4-3 Unperfected v. Perfected Action item Menu: Stop the Clock, Extend Due Date, Upload Responsive Records, Create Consultation, Create Referral, and Generate Invoice. The clock displays the number of days since the request was perfected, minus any stoppages that were created on the request (5).

Unperfected Request

- My Cases
- Unassigned Cases
- Assigned Cases
- Request Details
- Make Assignment
- Estimate Costs
- Create Task
- Create Correspondence
- Create Comment
- Create Appeal
- Interim Release
- Transfer Request
- Export Request
- Begin Close Out Process
- Print Case File

Perfected Request

- My Cases
- Unassigned Cases
- Assigned Cases
- Request Details
- Make Assignment
- Estimate Costs
- Create Task
- Upload Responsive Records
- Create Correspondence
- Create Comment
- Create Consultation
- Create Referral
- Create Appeal
- Interim Release
- Transfer Request
- Export Request
- Begin Close Out Process
- Generate Invoice
- Print Case File

Exhibit 4-3 Unperfected v. Perfected Action item Menu

4.2 Summary

Perfecting a request is required to unlock functionality necessary to process the request beyond simple close-out. If insufficient information is provided, the request can be closed with the proper disposition, or more information can be asked of the requester through the Create Correspondence action item (14) without having to perfect the request. Once the request is perfected and the clock has started, the agency has 20 working days (30 if there are unusual circumstances) to close-out the request before it is considered backlogged, indicated by a red flag icon displayed next to the clock. The due date may be extended, however, if certain conditions arise (8).

5 Estimating Costs

Send a cost estimate to the requester at any point while the request is open. When a cost estimate is created, the system generates an Estimate Cost Notice task for the agency user to review prior to emailing the requester. The agency user has the option to mark the estimate for required payment during the close-out of the task. Cost estimates that are marked for required payment display to the requester and an agency user is given the ability to enter payments through the system. Once the task is closed, the status changes to Estimate Costs. The agency user may find this to be an appropriate time to stop the clock for fee-related reasons (see section 6 Stopping the Clock).

5.1 Steps

1. Click the **Estimate Costs** action item from the left-side menu of the **Request Details** page.
2. Enter appropriate values for the estimate fields.
3. *Optional – Press the Total button to view the total estimate, which includes any applicable fee category discounts (see 2.2.1 Request Handling).*
4. Press the **Save Changes** button to generate the Estimate Costs Notice task.

Estimate Costs

Search Estimate :	Rate 1 :	<input type="text" value="0.00"/>	hours @ \$41.00 /hr
	Rate 2 :	<input type="text" value="0.00"/>	hours @ \$28.00 /hr
	Rate 3 :	<input type="text" value="0.00"/>	hours @ \$16.00 /hr
Review Estimate :	Rate 1 :	<input type="text" value="0.00"/>	hours @ \$41.00 /hr
	Rate 2 :	<input type="text" value="0.00"/>	hours @ \$28.00 /hr
	Rate 3 :	<input type="text" value="0.00"/>	hours @ \$16.00 /hr
Computer Search/Machine Time Estimate :		<input type="text" value="0.00"/>	hours @ <input type="text" value="\$0.00"/> /hr
Computer Search/Programmer Estimate :	Rate 1 :	<input type="text" value="0.00"/>	hours @ \$41.00 /hr
	Rate 2 :	<input type="text" value="0.00"/>	hours @ \$28.00 /hr
All Postage/Administrative :	<input type="text" value="0"/>	@ <input type="text" value="\$1.00"/>	/ea
Paper Print Out :	<input type="text" value="0"/>	@ \$0.05/ea	
Pages Reproduced for File Copy :	<input type="text" value="0"/>	@ \$0.15/ea	
Microfiche Reproduced :	<input type="text" value="0"/>	@ \$0.25/ea	
Copy :	<input type="text" value="0"/>	@ \$0.15/ea	
Pre-Printed Publications :	<input type="text" value="0"/>	@ \$0.02/ea	
All Special Services :	<input type="text" value="0"/>	@ <input type="text" value="\$1.00"/>	/ea
Audiovisual Materials :	<input type="text" value="0"/>	@ <input type="text" value="\$0.00"/>	/ea
Tape/Disc/CD :	<input type="text" value="0"/>	@ \$0.05/ea	
Mailing :	<input type="text" value="0"/>	@ <input type="text" value="\$1.00"/>	/ea
Other :	<input type="text" value="0"/>	@ <input type="text" value="\$1.00"/>	/ea

3 TOTAL

4 SAVE CHANGES

CANCEL

Exhibit 5-1 Estimate Costs

- Optional – If the total estimate exceeds the requester’s fee limit, then a notification displays. Press the **Yes** button to proceed with generating the Estimate Cost Notice task.

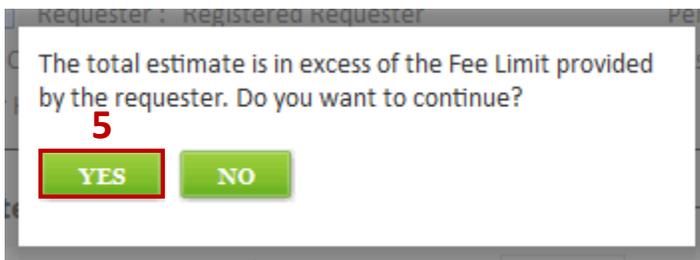
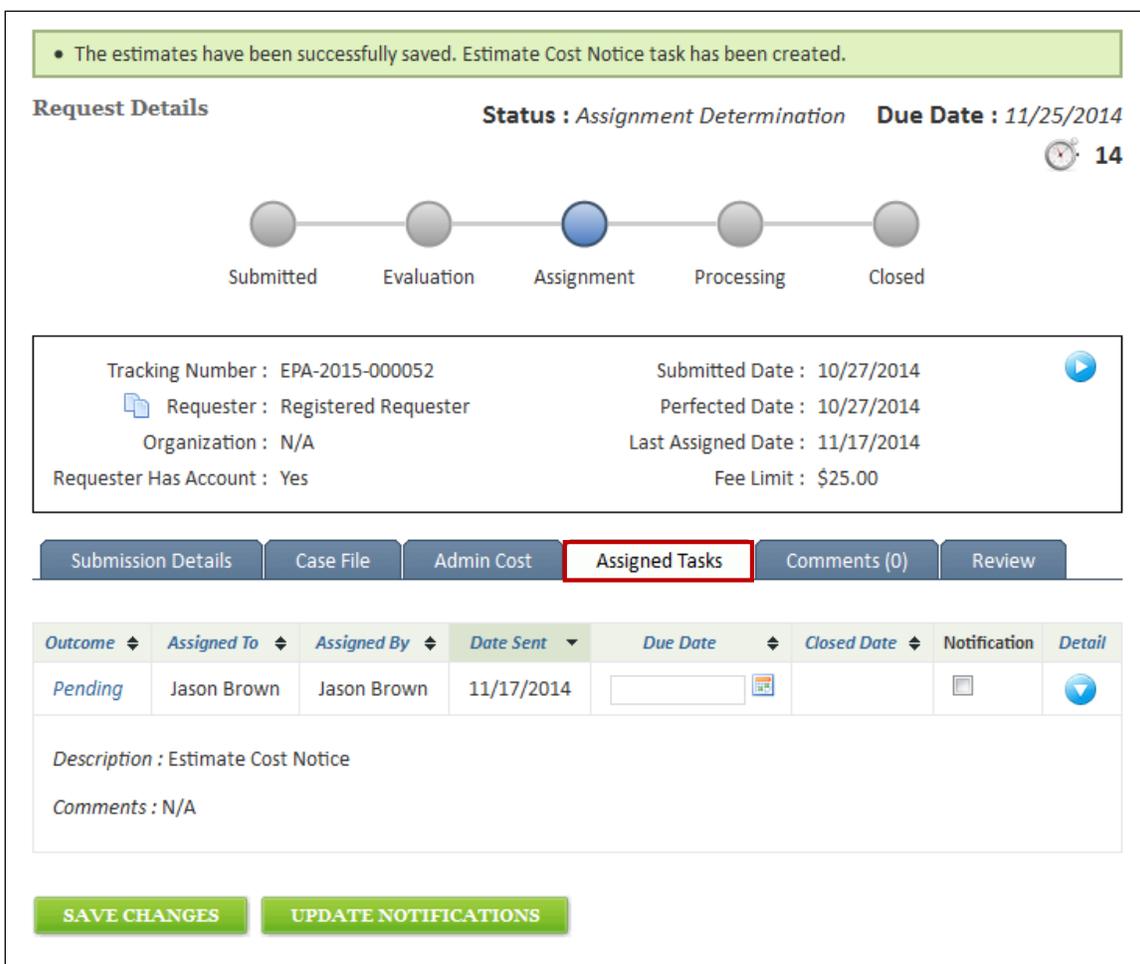


Exhibit 5-2 Fee Limit Notification

- Access the Estimate Costs Notice task from one of two locations: the **My Cases dashboard** of the request owner, or the request’s **Assigned Tasks tab**.

*Note: If the request is not assigned to an individual, then the task is accessible from the Unassigned Cases dashboard of the office the request is assigned.



• The estimates have been successfully saved. Estimate Cost Notice task has been created.

Request Details Status : *Assignment Determination* Due Date : 11/25/2014

Submitted Evaluation **Assignment** Processing Closed

Tracking Number : EPA-2015-000052	Submitted Date : 10/27/2014
Requester : Registered Requester	Perfected Date : 10/27/2014
Organization : N/A	Last Assigned Date : 11/17/2014
Requester Has Account : Yes	Fee Limit : \$25.00

Submission Details | Case File | Admin Cost | Assigned Tasks | Comments (0) | Review

Outcome	Assigned To	Assigned By	Date Sent	Due Date	Closed Date	Notification	Detail
Pending	Jason Brown	Jason Brown	11/17/2014				

Description : Estimate Cost Notice

Comments : N/A

SAVE CHANGES UPDATE NOTIFICATIONS

Exhibit 5-3 Assigned Tasks Tab – Estimate Cost Notice Created

- Click the **Close Out Task** action item from the left-side menu of the Task Details page.
- Optional – Select a **letter template** and modify the text as necessary. This will generate a PDF letter that will automatically attach to the email.
- Modify the **Email Subject** and **Email Body** fields as necessary.

*Note: The Email Body field automatically populates with the cost estimate provided on the Estimate Costs page but can be modified.

10. Select an option from the **Mark Estimate as Required?** drop-down.
11. Either press the **Send** button to send an email to the requester OR,
12. Press the **Close Without Sending** button to close the task without sending an email.

*Note: This is used in scenarios where the requester does not have an email address on file. In this case, the agency user should notify the requester of the cost estimate offline.

Close Out Task

Estimate Cost Notice

Note that this request's requester does not have an email address on file. Therefore, this notice will be sent to your email address. If you wish to send this notice to the requester, please send it via the requester's mailing address on file.

8 Letter Template :

* Email Subject : EPA-2014-000480 - Estimate Cost Notice

* Email Body :

B *I* U | | Font Size |

We estimate that the cost to find responsive records will be approximately \$205.00.
This estimate is based on about 2.0 of Search, 3.0 of Review.

9

10 * Mark Estimate As Required? :

Attach Supporting Files

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

Nothing found to display.

11 12

Exhibit 5-4 Estimate Cost Task Notice – Close-out

13. Upon closing the Estimate Cost task, the request's **Status** changes to Estimate Costs. The cost estimate is also saved to two places within the case file: Correspondence (2.3.3) and Financing (2.3.5).

Request Details

Status : Estimate Costs

Due Date : 11/05/2014



Exhibit 5-5 Estimate Costs Status

5.2 Summary

Estimate costs for a request at any point during request processing. The cost estimate factors in any applicable requester fee category discounts. A separate task is created in order to view and edit the email sent to the requester prior to sending. Once the task is closed, the request's status changes to Estimate Costs, and the correspondence is saved to the Case File – Correspondence page (2.3.3). The cost estimate is also tracked in the Case File – Financing page (2.3.5).

6 Stopping the Clock

The clock on a request may be stopped for either clarification or fee-related reasons. Doing so will keep the clock at its current time until the issue is dealt with and the clock is restarted. A log of all stoppages displays on the Stop the Clock page. Requests that are on hold display a clock icon next to the tracking number when viewing from the dashboard, as shown below, and the Request Details page.

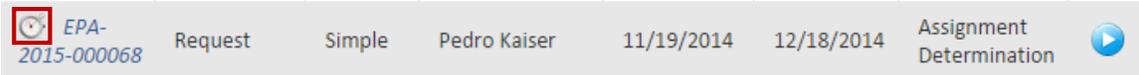


Exhibit 6-1 Stopped Clock Icon

Guidelines

- The clock can be stopped for clarification once, but only within the first 20 days.
- There are no limits on stopping the clock for fee-related reasons.

6.1 Stop the Clock Steps

1. Click the **Stop The Clock** action item from the left-side menu of the **Request Details** page.
2. Select an option from the **Reason** drop-down.
3. Enter an explanation into the **Notes** field.
4. Press the **Stop The Clock** button.

Stop the Clock

No clock stoppages have been created.

New Clock Stoppage

* Reason : Select One ▼

* Notes : Select One
Clarification
Fee-related 0/2000

STOP THE CLOCK
CANCEL

Exhibit 6-2 Stop the Clock

7 Starting the Clock

After performing the Stop the Clock action (5), the action item in the left-side menu changes to Start the Clock. This page logs all clock stoppages that have been performed on the request.

7.1 Start the Clock Steps

1. Click the **Start The Clock** action item from the left-side menu of the **Request Details** page.

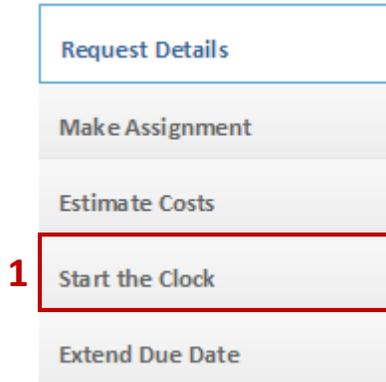


Exhibit 7-1 Start the Clock Action item

2. Press the **Start the Clock** button.

Start the Clock

<i>Date</i> ▾	<i>Duration (days)</i> ⚡	<i>Reason</i> ⚡	<i>Notes</i> ⚡
11/19/2014	Pending	Fee-related	Fee-Related



Exhibit 7-2 Start the Clock Page

7.2 Summary

Once the clock is stopped, it remains at the current number of days until it is restarted. The action item to start the clock is found where the stop the clock action item was originally listed. Once restarted, the clock may again be stopped using the same method, however, clarification will not be available if it has already been used or if 20 days has elapsed.

8 Extend Due Date

By default, the request due date is set 20 working days from the perfected date. If more time is needed, whether due to unusual circumstances or not, the due date can be extended to a new date determined by the user. If a Public Liaison, Professional, or SME performs the following steps to extend the due date, then the extension must be approved by the component's management. The system automatically generates a task and assigns it to the component's Unassigned Cases dashboard for National Team or Coordinators to approve or deny.

8.1 Extend Due Date Steps

1. Click the **Extend Due Date** action item from the left-side menu of the **Request Details** page.
2. Select Yes or No from the **Is Extension due to Unusual Circumstances?** drop-down.
*Note: If No is selected, **Requester Extension Approval** and **Date Requester Extension Approval Granted** required fields display.
3. *Optional – Change the Estimated Date of Completion if necessary.*
4. Enter an explanation into the **Extension Justification** field.
5. Press the **Extend Due Date** button.

Extend Due Date

Extend Due Date

No previous Extend Due Date actions were found.

2 * Is Extension due to Unusual Circumstances? : Yes ▾

3 * Estimated Date of Completion : 01/02/2015  

4 * Extension Justification : 0/256

5

EXTEND DUE DATE
CANCEL

Exhibit 8-1 Extend Due Date Page

6. National Team or Coordinators at this point may need to complete the **Extend Due Date Task**, if one was generated. If no approval is necessary, then the Due Date will automatically update.

6 • Extend Due Date task created successfully. Approval is needed from a Coordinator before the due date extension will be reflected.

Request Details Status : Evaluation of Records Due Date : 05/23/2014

 13



Submitted Evaluation Assignment Processing Closed

Exhibit 8-2 Extend Due Date Task Generation Confirmation

7. Once the National Team or Coordinator accesses the task, either select **Grant** or **Deny** from the **Decision** drop-down.
8. Press the **Close Out Task** button to complete the task.

*Note: If granted, then the request's Due Date will update accordingly.

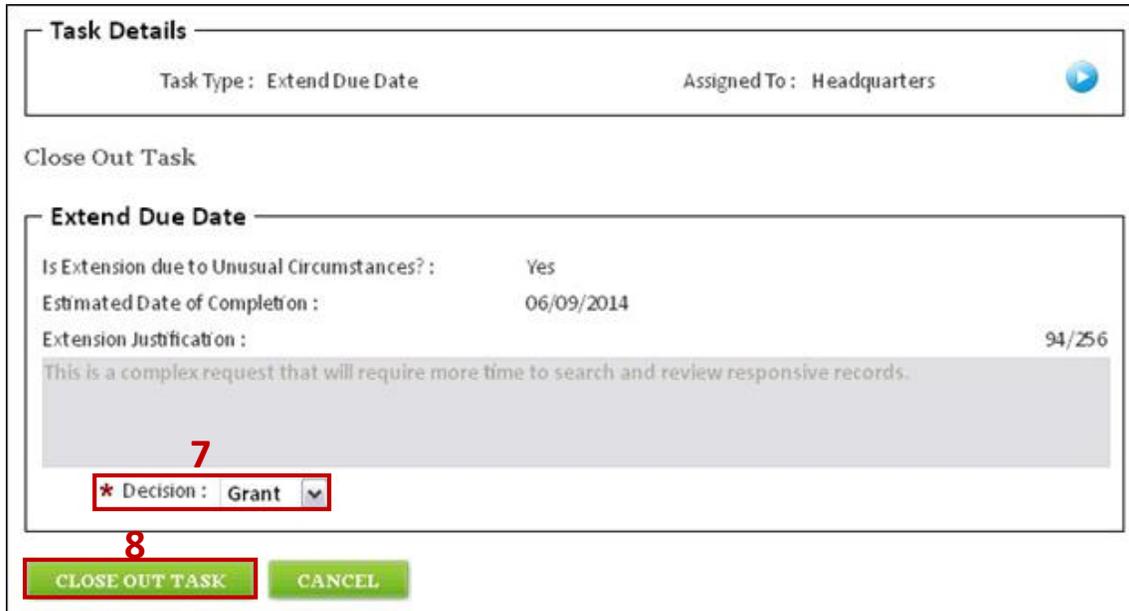


Exhibit 8-3 Extend Due Date – Close-out Task

8.2 Summary

If more time is required to process the request, extending the due date allows the date of completion to be set to a more reasonable date. However, this will not affect the 20 day clock that determines if the request is backlogged. Voluntary extension approval may be received through communication with the requester. This correspondence will be captured if communicated with a registered user through the system but can also be uploaded to the case file using “Other” Correspondence (13). Once an extension is performed, a task is created within the system for a FOIA Coordinator to approve.

9 Adding Admin Costs

Processing time entered on the Admin Cost tab populates the annual report and an invoice when it is generated. All costs incurred fulfilling requests should be recorded in this table, ranging from time spent searching for records to expenses associated to creating copies of records. The two types of costs are: billable, which are charged to the user, and non-billable, which are expenses for the agency but not present on the user invoice. Individuals who are tasked from the request (12) also have access to enter their processing time prior to closing the task. Time can also be entered for users who do not have a system account. The importance of capturing both billable and non-billable expenses results from the inclusion of these costs in the end of the year FOIA annual report.

The system automatically deducts any applicable requester discounts based on the Fee Category selected on the Submission Details tab (2.2.1). The total billable cost minus any discounts will be applied to the invoice and reflected on the Admin cost page.

9.1 Adding Billable Time Steps

1. Click the **Admin Cost** tab while on the **Request Details** page.
2. Press the **Add New Entry** button to display the **New Entry** form.

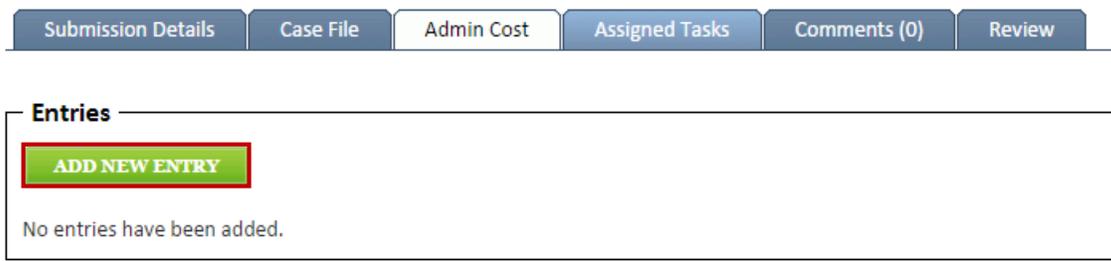


Exhibit 9-1 Admin Cost Tab

3. Select the appropriate **User Type** for the cost being entered.
 - *Note: Your user populates automatically with an administratively-set billable rate.
4. *Optional – To enter time for another user with a system account, click the **person icon** to the right of the field and search for an individual in the popup. To enter time for another user who does **not** have a system account, select **Non-System User** from the **User Type** drop-down and enter their **Loaded Rate** and **Billing Rate**.*
5. Select the appropriate **Charge Type** for the cost being entered.
6. Enter the appropriate expense information based on the **Charge Type** selected. This will either be an hourly or per quantity value. For hourly costs, time can be entered in 15 minute increments (15 minutes = 0.25).
7. Use the **Billable?** drop-down to indicate if a charge is or is not billable to the requester.
 - *Note: A required text field will display to explain non-billable costs. All non-billable costs will be charged as an agency cost to process FOIA requests.
8. Press the **Save Changes** button.

New Entry

3 * User Type : Agency User

4 * User Name : Jason Brown

? Billing Category : Rate 1

* Charge Date : 11/19/2014

5 * Charge Type : Search

6 ? * Hours : 0.00

7 * Billable? : Yes

8 **SAVE CHANGES** **CANCEL**

Exhibit 9-2 New Cost Entry

9. The **Total** displays the running total of all the billable and non-billable charges entered.
10. The **Invoice Amount** displays at the bottom of the **Entries** table. This is the total billable amount minus deductions based on the fee category (2.2.1) selected, and will display on the generated invoice (18).

*Note: View the requester’s **fee limit** in the expandable/collapsible requester contact information section (2.1).

11. *Optional* - Click the **pencil icon** to edit any existing entries.
12. *Optional* - Click the **remove icon** to remove an entry from the list.

Entries

ADD NEW ENTRY

Date	User Name	Charge Type	Hours/Quantity	Billable?	Total	Action
10/06/2014	Jason Brown	Search	3.00	Yes	\$123.00	11
10/06/2014	Lisa McKelvin	Copy	100	Yes	\$15.00	12
10/06/2014	Roger Janson	Review	1.50	Yes	\$42.00	
10/06/2014	Alison Burke	Search	2.00	No	\$56.00	
					Total \$236.00	9
					Invoice Amount \$180.00	10

Exhibit 9-3 Admin Cost Entries Table

9.2 Summary

The information entered under the Admin Cost tab is included on the invoice and, for charges designated billable, charged to the requester after close-out. All charges designated non-billable are calculated as expenses to the agency to process FOIA requests and are captured for the annual report. Any requester discounts will be automatically applied to the invoice generated by the system and are represented by the Invoice Amount on the Admin Cost tab.

10 Uploading Records

Request owners and those tasked with Request Details tasks (12) can upload responsive records to the case file of a **perfected** request (4). Records must have a release type associated to them, so it is preferable to upload records of the same release type using the Upload Responsive Records page. However, the release type can be individually modified on each record after the records are uploaded.

Files can be added to the case file in two ways: An electronic file can be uploaded, or a file can be referenced but not physically attached to the case file. Classified documents should never be uploaded, nor referenced, in FOIAonline. Sensitive documents should never be uploaded, but can be referenced using the Add Without File Upload functionality.

In ideal circumstances, high agency network connectivity and low system load, the ability to upload responsive records will rarely exceed 100MB at one time. All file types, with the exception of executable (EXE) files, are accepted.

Records marked with the release type of Unredacted – Unreleasable and Redacted – Unreleasable will never be available to the requester or to the general public. Records marked as Unredacted – Releasable and Redacted – Releasable will be available to both the requester and to the general public. Records marked as Release to Requester Only will only be available to the requester, if the requester has a registered user account and is logged in, and the general public will not be able to view these records.

Appeals staff has full access to the associated request, so having a complete case file (redacted and unredacted versions of records) provides them the information they need to evaluate the appeal without having to contact the original processor.

10.1 Uploading Responsive Records

1. Click the Upload Responsive Records action item from the left-side menu of the **Request Details** or Task Details page.

*Note: The request must be perfected in order to access this action item (see section 4 Perfecting a Request).

Electronic Record

2. Press the **Select Files** button to select a file to upload (from your computer).
3. Select a file(s) from the popup that displays and press **Open**.

*Note: Multiple files can be uploaded at the same time using the Ctrl or Shift key on your keyboard.

Upload Responsive Records

The Release Type can be modified after uploading but must be provided initially. Records should be uploaded in batches with identical release types.

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

SELECT FILES **2**

ADD WITHOUT FILE UPLOAD

No records have been uploaded.

* Release Type :

? Keywords :

SAVE CHANGES **CANCEL**

Exhibit 10-1 Select File for Upload

Referenced Record

- If no file exists for the responsive record (i.e. the record exists only in hard copy or as media), or the record is a sensitive document, press the **Add Without File Upload** button.

*Note: This functionality is also useful if the request will be denied in full and your agency has chosen not to upload records unless they will be released.

Upload Responsive Records

The Release Type can be modified after uploading but must be provided initially. Records should be uploaded in batches with identical release types.

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

SELECT FILES

ADD WITHOUT FILE UPLOAD **4**

No records have been uploaded.

* Release Type :

? Keywords :

SAVE CHANGES **CANCEL**

Exhibit 10-2 Add Record Without Upload

- All selected files are added to the **Upload Responsive Records** table.

*Note: Responsive records uploaded without a file are not hyperlinked on the Case File - Records sub-tab (as there is no associated record to display upon clicking).

6. *Optional – Change the **Record Title** field if the record name differs from the file name, or if the record does not have a physical file attached.*
7. *Optional – Press the **remove icon** to remove a record.*
8. *Optional – Press the **Cancel** button to cancel the upload process. All records on the page will not be uploaded to the case file.*
9. Select a **Release Type** to be applied to the entire batch of records being uploaded.

*Note: Responsive records will **not** be available to the general public upon uploading. The request must undergo either an interim release or final closeout in order for the appropriate records to be released. The Release Type can be individually modified after records are uploaded.

Unredacted – Unreleasable: Will *not* be available to the general public.

Unredacted – Releasable to the General Public: Will be available to the general public.

Redacted – Unreleasable: Will *not* be available to the general public.

Redacted – Releasable to the General Public: Will be available to the general public.

Release to Requester Only: Will *not* be available to the general public; will be available to the registered requester, upon logging in.

10. *Optional – Enter **keywords** that can be used to filter responsive records in the agency user's case file, and can also be used by the public (once the records are released) to search for records.*
11. Press the **Save Changes** button to upload the records to the **Case File - Records** sub-tab

Upload Responsive Records

The Release Type can be modified after uploading but must be provided initially.
Records should be uploaded in batches with identical release types.

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

6 SELECT FILES

ADD WITHOUT FILE UPLOAD

Record Title	Record File Name	Type	Size (MB)	Remove
6 foiarequestguide(10)	foiarequestguide(10).pdf	PDF	0.11	7 ✕
george-hw-bush-library-fy13	george-hw-bush-library-fy13.pdf	PDF	0.18	✕
lp-gwb-jan2014	lp-gwb-jan2014.xlsx	Microsoft Excel	0.03	✕
operational-records-fy13	operational-records-fy13.pdf	PDF	0.82	✕
Responsive Record Placeholder			0.00	✕

9 * Release Type : UU - Unredacted - Unreleasable

10 ? Keywords :

11 SAVE CHANGES CANCEL **8**

Exhibit 10-3 Save Records

12. *Optional – Modify the drop-down in the **Publish** column to change the release type.*
 *Note: Records are grouped by release type, in the following order: REQ, RR, UR, RU, and UU.
 Releasable records (REQ, RR, and UR) are highlighted.
13. *Press the **Save Changes** button.*
14. *Optional – Edit the records details, including Title and keywords, and apply exemptions by clicking the **pencil icon** to display the *Edit Responsive Record* page (see Exhibit 11-2).*

Case Responsive Records

Publish Options : UU - Unredacted - Unreleasable RR - Redacted - Releasable to the General Public
 RU - Redacted - Unreleasable RR - Redacted - Releasable to the General Public
 UR - Unredacted - Releasable to the General Public REQ - Release to Requester Only

Filter by Title or Keyword(s) : **SUBMIT** **CLEAR** Results 50 ▾
 Filter by Release Type : -- ▾

5 items found, displaying all items. 1

Publish	Title	Type	Exempt	Retention	Action	Detail
12 REQ ▾	george-hw-bush-library-fy13	PDF	N/A	Default	 	
RR ▾	foiarequestguide(10)	PDF	N/A	Default	 	
UR ▾	Responsive Record Placeholder		N/A	Default	 	
UR ▾	lp-gwb-jan2014	Microsoft Excel	N/A	Default	 	
13 RU ▾	operational-records-fy13	PDF	N/A	Default	 	

5 items found, displaying all items. 1

14 **SAVE CHANGES**

Exhibit 10-4 Verify Uploaded Records

10.2 Summary

Uploading records is the main focus in fulfilling a request. Once the records are uploaded, multiple actions can be taken, including creating referrals or consultations, adding exemptions, and performing interim releases. As task owners upload records via the task, records aggregate to the Case File – Records sub-tab so the complete list displays at all times. Task owners are only able to edit or remove records they upload; full edit access to records is restricted to the request owner (all records) or the record owner (only records he or she uploads).

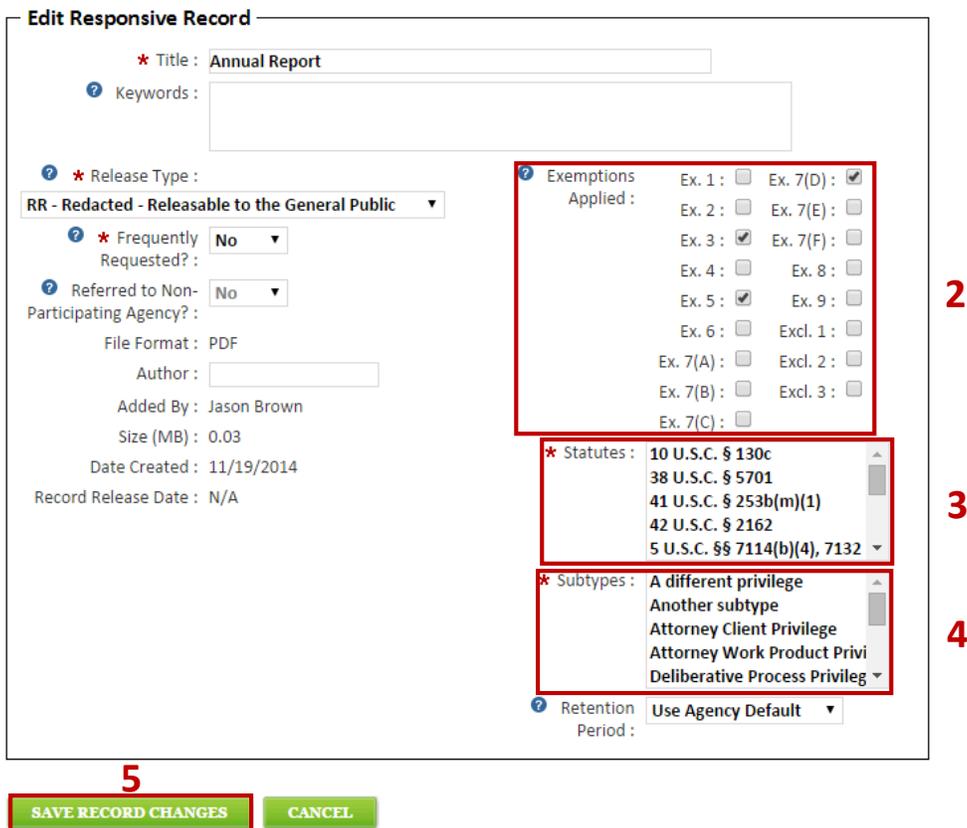
Records identified as “releasable” or “release directly to requester” are only released following either the interim release or final close-out processes.

11 Apply Exemptions

After uploading a record (10.1), access it by viewing the Case File – Records sub-tab. From here, multiple actions can be performed on a record, including applying exemptions.

11.1 Steps

1. While on the Case File – Records sub-tab, click the **pencil icon** in the Action column to display the **Edit Responsive Record** page.
2. Select the checkbox(es) of the exemption(s) you would like to apply.
3. *Conditionally Optional* –Select a pre-existing statute (multiple can be selected using the Ctrl or Shift key) after selecting exemption 3.
**Note: If no applicable statute exists, then contact your component administrator and request a new statute be added to the drop-down.*
4. *Conditionally Optional* –Select a pre-existing subtype (multiple can be selected using the Ctrl or Shift key) after selecting exemption 5.
**Note: If no applicable subtype exists, then contact your component administrator and request a new subtype be added to the drop-down.*
5. Press the **Save Record Changes** button.



The screenshot shows the 'Edit Responsive Record' form. The form includes the following fields and sections:

- Title:** Annual Report
- Keywords:** (empty text box)
- Release Type:** RR - Redacted - Releasable to the General Public
- Frequently Requested?:** No
- Referred to Non-Participating Agency?:** No
- File Format:** PDF
- Author:** (empty text box)
- Added By:** Jason Brown
- Size (MB):** 0.03
- Date Created:** 11/19/2014
- Record Release Date:** N/A
- Exemptions Applied:** A grid of checkboxes for exemptions Ex. 1 through Ex. 7(C) and Excl. 1 through Excl. 3. Ex. 7(D) and Ex. 5 are checked.
- Statutes:** A list of statutes including 10 U.S.C. § 130c, 38 U.S.C. § 5701, 41 U.S.C. § 253b(m)(1), 42 U.S.C. § 2162, and 5 U.S.C. §§ 7114(b)(4), 7132.
- Subtypes:** A list of subtypes including A different privilege, Another subtype, Attorney Client Privilege, Attorney Work Product Privilege, and Deliberative Process Privilege.
- Retention Period:** Use Agency Default

Numbered callouts on the right side of the form indicate the following sections:

- 2:** Points to the Exemptions Applied section.
- 3:** Points to the Statutes section.
- 4:** Points to the Subtypes section.
- 5:** Points to the SAVE RECORD CHANGES button.

Exhibit 11-1 Edit Record

11.2 Summary

Requests containing a record with an exemption cannot be assigned the Full Grant final disposition. Exemptions applied to records count towards reporting metrics. If the same exemption is applied to multiple records within the same request, that exemption is only counted once towards the annual report.

12 Creating Tasks

There are several different types of tasks within the system, many of which are automatically generated by the system upon performing a specific action. Types of tasks include:

- **Fee Waiver** – to adjudicate separate from the request
- **Expedited Processing** – to adjudicate separate from the request
- **Estimate Costs Notice** – to notify the requester of a fee estimate
- **Extend Due Date** – to gain approval for an extension
- **Interim Release Initial/Final Review** – to notify a reviewer that a request or referral is ready for an interim release (Initial Review tasks are generated for all but the final reviewer)
- **Interim Release Notice** – to notify the requester of an interim release
- **Initial/Final Review** – to notify a reviewer that a request or referral is ready for final close-out (Initial Review tasks are generated for all but the final reviewer)
- **Final Disposition Notice** – to notify the requester of a final disposition
- **Partial Determination Initial/Final Review** – to notify a reviewer that an appeal is ready for a partial determination (Initial Review tasks are generated for all but the final reviewer)
- **Partial Determination Notice** – to notify the requester of a partial determination
- **Request Detail** – to collaborate with other individuals or organizations

The only task type that is manually-generated is the Request Detail task. This is done via the Create Task action item in the request's left-side menu. All tasks, once generated, can be tracked from within the Assigned Tasks tab on the Request Details page. The system does not allow you to begin the closeout process if there are any pending tasks, so use the Assigned Tasks tab to keep track of any outstanding items.

Request Detail task assignments are used for agency users to collaborate with other users within the same agency. Creating tasks off a request breaks the request down into pieces that may be collaborated upon to facilitate processing.

12.1 Steps

1. Click the **Create Task** action item from the left-side menu of the **Request Details** page. There are two assignment options that allow the user to assign to an office or to an individual.
2. Press the **Add Organization** (steps 3-8) button or the **Add Individual** (steps 9-14) button to assign the task to an organization or individual, respectively.

Task Assignment

Assign to Organization

No organizations have been assigned.

ADD ORGANIZATION

Assign to Individual

No individuals have been assigned.

ADD INDIVIDUAL

Type of Task :

? * Task Description :

* Task Due Date :

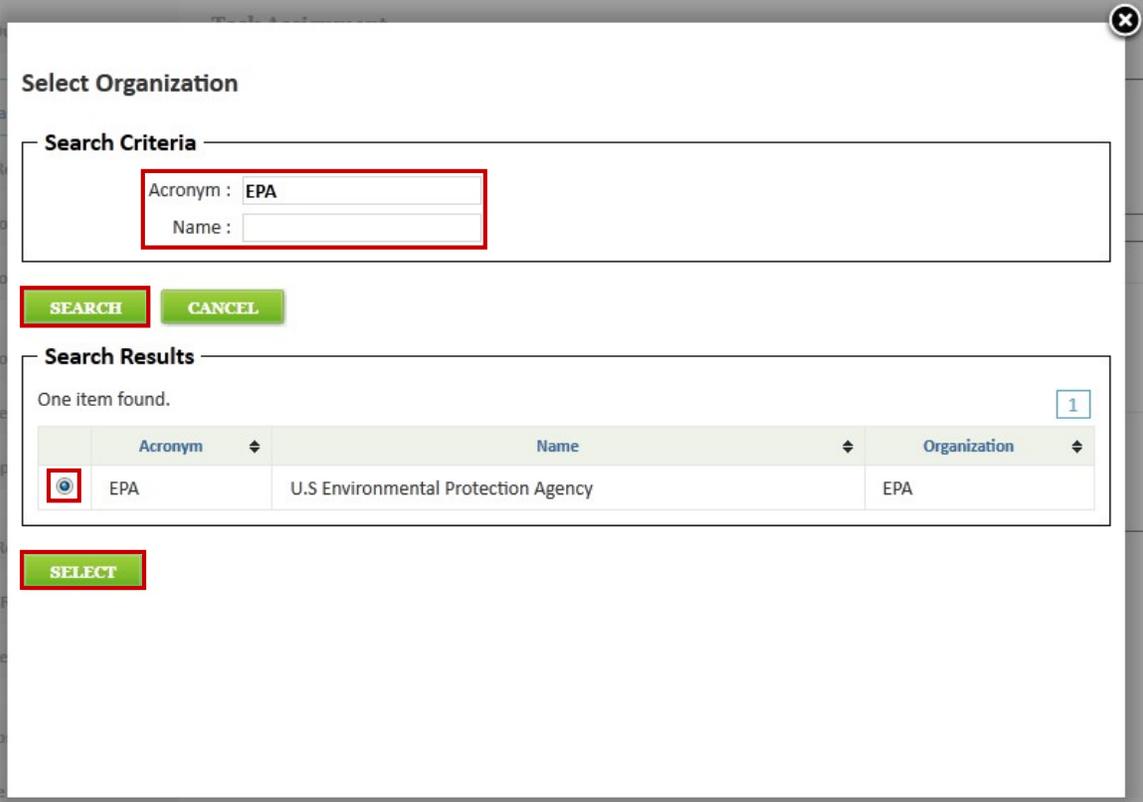
* Allow task recipient(s) to edit metadata?

CREATE TASK

CANCEL

Exhibit 12-1 Task Assignment Page

3. Press the **Add Organization** button to open the **Select Organization** lookup.
4. Enter information into the **Acronym** or **Name** field.
5. Press the **Search** button.
6. Click a radio button in the first column next to the desired result. Only one organization can be selected at a time.
7. Press the **Select** button.
8. To add another organization, repeats steps 3-7.



Select Organization

Search Criteria

Acronym : EPA
Name :

SEARCH **CANCEL**

Search Results

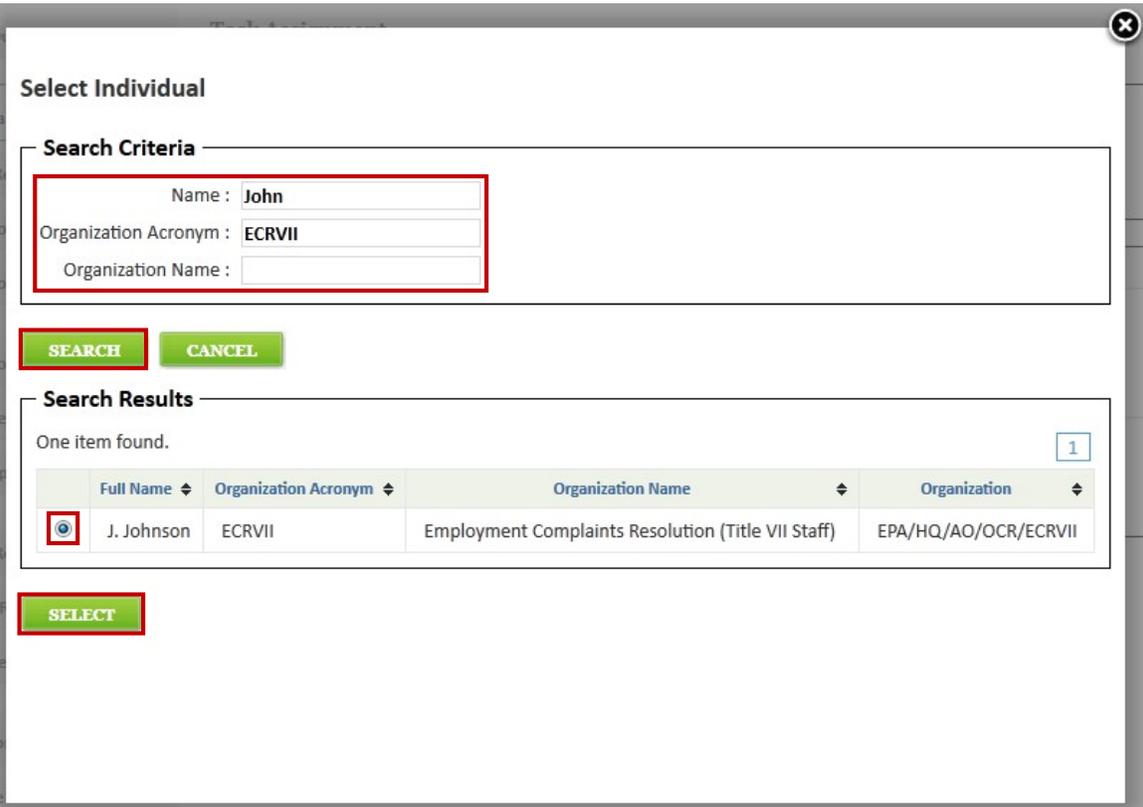
One item found. 1

	Acronym	Name	Organization
<input checked="" type="radio"/>	EPA	U.S Environmental Protection Agency	EPA

SELECT

Exhibit 12-2 Organization Lookup

9. Press the **Add Individual** button to open the **Select Individual** lookup.
10. Enter information into any of the following three fields to search for an individual: **Name**, **Organization Acronym**, and/or **Organization Name**.
11. Press the **Search** button.
12. Click a radio button in the first column next to the desired result. Only one individual can be selected at a time.
13. Press the **Select** button.
14. *Optional – If the selected individual has multiple actual agencies, then a popup will display with the **Available Actual Agencies** section. Click the radio button to the left of the desired agency and press the **Select** button.*
15. To add another individual, repeat steps 9-14.



Select Individual

Search Criteria

Name :

Organization Acronym :

Organization Name :

10

11

Search Results

One item found. 1

	Full Name	Organization Acronym	Organization Name	Organization
12 <input checked="" type="radio"/>	J. Johnson	ECRVII	Employment Complaints Resolution (Title VII Staff)	EPA/HQ/AO/OCR/ECRVII

13

Exhibit 12-3 Individual Lookup

16. *Optional-Make a selection in the Type of Task dropdown*
17. Enter a description of the task in the **Task Description** field.
18. Enter a date in the **Task Due Date**.
19. Select Yes or No from the **Allow task recipient(s) to edit metadata** drop-down.
 Selecting Yes from this drop-down grants the task recipient(s) access to edit the fields on the **Submission Details** tab of the **Request Details** page (e.g., Request Track, Fee Category, Information Publicly Available flags, etc.).
20. Press the **Create New Task** button.

*Note: All tasks have the same tracking number as their associated request.

Task Assignment

Assign to Organization

Name	Remove?
EPA - U.S Environmental Protection Agency	✕

ADD ORGANIZATION

Assign to Individual

Name	Remove?
J. Johnson (Employment Complaints Resolution (Title VII Staff))	✕

ADD INDIVIDUAL

16 Type of Task : Select Type of Task ▼ 0/256

17 ? * Task Description :

18 * Task Due Date : 📅

19 * Allow task recipient(s) to edit metadata? Select One ▼

20 CREATE TASK CANCEL

Exhibit 12-4 Create Task

12.2 Summary

Creating a task off a request allows for the request to be sent to other agency users for collaboration. The task can be sent to multiple organizations and multiple individuals. The list of all tasks that have been generated on a case displays under the Assigned Tasks tab and contains the status, who it is assigned to, and the task due date. Task recipients receive an email notification, alerting them of the new item that now exists in either their My Cases dashboard (individual assignment) or Unassigned Cases dashboard (the designated FOIA Officer of the organizationally assigned task receives this email). Tasks have the same tracking number as their associated request.

13 Closing Tasks

If someone has assigned you a task, then you will receive a system email notification. Any task assigned to you is accessible via your My Cases dashboard.

All tasks must be closed prior to beginning the request's closeout process (19). Request Detail tasks (12.1) grant the ability for the task owner to view the entire case file, bill admin time (9), upload responsive records (10), comment on the case file (15), and even create additional Request Detail tasks (12), if additional collaboration is necessary. Some tasks can also be assigned or re-assigned (2) (e.g., assigning a Fee Waiver task out of the Unassigned Cases dashboard or assigning a Request Detail task that was assigned to your organization to an individual).

Every task is closed by clicking the last action item in the left-side menu while on the Task Details page. This action item will say either "Edit or Close Out Task" if a comment can be saved on the Close Out Task page, or "Close Out Task" if there is no Save button on the Close Out Task page. The following steps outline the process to close-out a Request Detail task.

13.1 Steps

1. Click the **tracking number** of the task that exists in the dashboard to display the Task Details page.

*Note: Since tasks have the same tracking number as their associated request, pay careful attention to the **Type** column in the dashboard. **Hover** over the tracking number to display the description of the task. Dashboards can be **filtered** to display only tasks at one time. Expanding out the **Detail** row displays the type of task the item is. See section 12 for a complete list of Task Types.

My Cases Filter Results

27 items found, displaying 1 to 25.

Tracking Number	Type	Track	Requester	Assigned	Due	Status	Detail
1 EPA-2015-000064	Task	Complex	Ben Carpenter	11/19/2014	11/20/2014	Assignment Determination	
Request Detail Task							
EPA-2015-000064	Request	Complex	Ben Carpenter	11/19/2014	12/18/2014	Assignment Determination	
 EPA-2015-000068	Request	Simple	Pedro Kaiser	11/19/2014	01/02/2015	Assignment Determination	

Exhibit 13-1 Accessing a Task

2. *Optional – Upload responsive records to the case file (10).*
3. *Optional – Add a comment to the case file (15).*
4. *Optional – Create additional tasks if additional collaboration is necessary (12).*
5. *Optional – Add time to the Admin Cost tab (9).*
6. *Optional – Assign or re-assign the task (3).*
7. Click either the **Close Out Task** or **Edit or Close Out Task** action item from the left-side menu of the Task Details page.
8. Select Records Uploaded, No Records Found or Other from the **Outcome** drop-down.
9. Enter a comment in the **Comments** field. For instance, if the task description was to search for responsive records, then indicate the records uploaded, if any, or what locations/databases were searched, etc.

10. Press the **Close-out Task** button.

*Note: The task is now closed and is removed from your dashboard. The request owner is notified upon task closure, and the appropriate outcome now displays in the Assigned Tasks tab of the request.

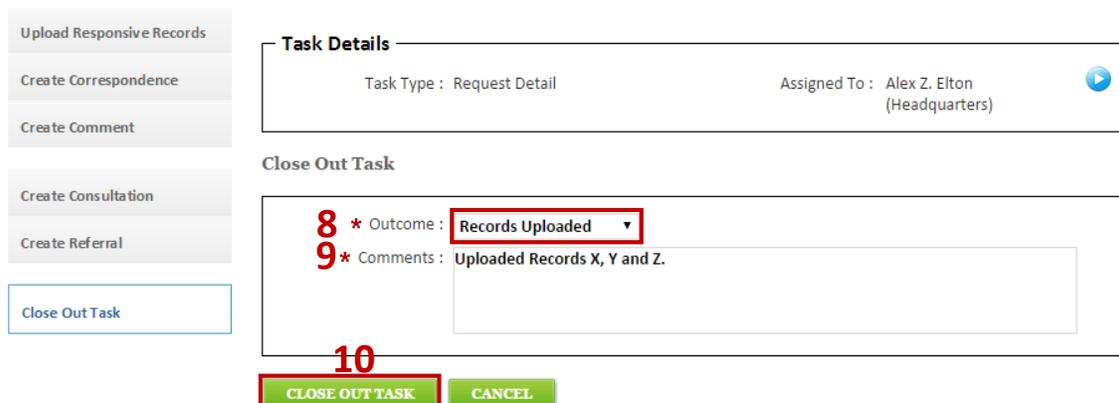


Exhibit 13-2 Close-out a Request Detail Task

13.2 Summary

If someone has individually assigned a request to you, then you will receive a system notification alerting you of the assignment. Access the task from the My Cases dashboard and perform any necessary processing. View who assigned the task to you by viewing the Task Details. All tasks must be closed prior to beginning the closeout process, so be sure to close all tasks assigned to you to allow the request owner the ability to close the request.

System-generated tasks related to a request you are processing will automatically be available in your My Cases dashboard (e.g., Interim Release Notice, Final Disposition Notice, etc.)

14 Creating Correspondence

Any communication with the requester is accomplished through the Create Correspondence action item. This section captures both system initiated and offline correspondence. If the requester has a registered user account, then system correspondence, including replies, can take place entirely within the system. When the requester replies within FOIAonline, a mail icon, shown below, displays next to the tracking number on the dashboard. Once the unread correspondence is viewed in the Case File – Correspondence tab, the mail icon no longer displays.

 EPA-2015-000052	Request	Simple	Registered Requester	11/17/2014	11/25/2014	Research Records	
---	---------	--------	----------------------	------------	------------	------------------	---

Exhibit 14-1 New Correspondence Icon

Form letters can be edited and generated from this page, for both correspondence sent directly to the requester and for correspondence being uploaded to the case file.

14.1 Correspondence Steps

1. Click the **Create Correspondence** action item from the left-side menu of the **Request Details** page.
2. Select **Correspondence to Requester** (steps 3-7) or **Other** (steps 8-11) from the **Correspondence Type** drop-down.

Correspondence to Requester

*Note: If the requester does not have an email address on file, then text will display, shown below, notifying you that the correspondence has no recipient, and therefore cannot be emailed. It will still be saved to the case file, however. If you have the requester's email address and need to add it to the case file, do so by editing their contact information (2.1).

Create Correspondence

Note that this request's requester does not have an email address on file. Therefore, this correspondence will be saved under the case file tab with no email sent. If you wish to send this correspondence to the requester, please send it via the requester's mailing address on file.

Exhibit 14-2 Create Correspondence – No Email Address on File Warning

3. *Optional* – Select a letter from the **Letter Template** drop-down.

*Note: After selecting a letter template, the **Email Body** field is replaced with letter- specific text, and a new **Letter** field displays. See 14.2 Letters for more information.
4. Enter appropriate text in the **Email Subject** field.
5. Enter a message in the **Email Body** field.

*Note: The **Body** field pre-populates with basic request information, including the date and time and the tracking number.
6. Use the **Insert** drop-down to enter request-specific information, e.g., Tracking Number, request description, submitted date, etc.
7. *Optional* – Press the **Select Files** to upload correspondence attachments from your computer to be sent along with the email to the requester.
8. Press the **Create** button.

*Note: The correspondence has been emailed to the requester if there is an email address on file. If the requester has a registered user account, then he or she will be able to reply directly from within the system to the correspondence.

Create Correspondence

Note: To add correspondence to the case file without sending it to the requester, choose Correspondence Type "Other" (attachment or letter template required).

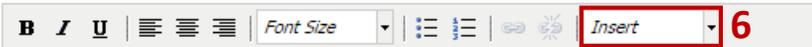
2 * Correspondence Type : **Correspondence to Requester** ▼

 ? From : FOIAonline.donoreply@example.com

 ? To : foiaregistereduser@yahoo.com

3 Letter Template : **Select Letter Template** ▼

4 * Email Subject :

5 * Email Body :  **6**

11/19/2014 04:28 PM
FOIA Request: EPA-2015-000052

Correspondence Attachments

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

7 **SELECT FILES**

Nothing found to display.

8 **CREATE** **CANCEL**

Exhibit 14-3 Email the Requester

Other

*Note: “Other” correspondence requires either at least one file to be uploaded to the **Correspondence Attachments** section, or that a letter be selected and saved.

9. *Optional – Select a letter from the **Letter Template** drop-down.*

Note: After selecting a letter template, the **Letter field displays. See 14.2 Letters for more information.*

10. *Optional - Press the **Select Files** button and select a file from your hard drive to upload. The selected file displays in a table prior to being saved to the case file.*

11. Press the **Create** button.

Create Correspondence

Note: To add correspondence to the case file without sending it to the requester, choose Correspondence Type "Other" (attachment or letter template required).

* Correspondence Type : **Other** ▼

Letter Template : **Select Letter Template** ▼

Correspondence Attachments

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

SELECT FILES

Attached File	Type	Size (MB)	Remove
annualReport (2).pdf	PDF	0.03	

CREATE **CANCEL**

Exhibit 14-4 Create Offline Correspondence Page

12. View all correspondence sent from the requester, if the requester has a registered account, and to the requester from the **Case File – Correspondence sub-tab**.

*Note: The Correspondence to Requester section includes automated correspondence, e.g., the confirmation email the requester receives upon request submission.

13. Click the **Detail icon** to expand the body of the email. If any attachments were sent with the request, including a letter, then they also display.

14. *Optional - Click the **remove icon** to delete the correspondence from the case file.*

*Note: This does **not** recall the email from the requester’s email inbox.

12

Records
Consultations
Correspondence
Appeals
Financing
Restricted Materials

Correspondence to Requester

3 items found, displaying all items. 1

Subject	From	To	Date	Detail	Remove
Final Disposition, Request EPA-2015-000038	Jason Brown	Registered Requester	10/15/2014		
<p>EPA-2015-000038 has been processed with the following final disposition: Partial grant/partial denial. 13 14</p> <p>Records were released to the public as a result of this request. You may retrieve these records immediately using the following link: View Records. Over the next 2 hours, these records are also being added to FOIAonline's search pages, further enabling you to retrieve these documents associated with your FOIA request at any time.</p> <p> EPA-2015-000038 Invoice 20141015.pdf, PDF, 0.01 MB</p>					
Interim Release, Request EPA-2015-000038	Jason Brown	Registered Requester	10/15/2014		
FOIA Request EPA-HQ-2015-000038 Submitted	System	Registered Requester	10/15/2014		

3 items found, displaying all items. 1

Other Correspondence

No correspondence has been added.

Exhibit 14-5 Case File – Correspondence Sub-Tab

14.2 Letters

Form letters that are added in the Administration Letters page (see the FOIAonline Administration Guide), are available to be selected from the Letter Template drop-down on the Create Correspondence page. Selecting a letter for “Correspondence to Requester” will send the PDF letter to the requester as an attachment to the email.

1. Select a template from the **Letter Template** drop-down to display the **Letter** field.

*Note: If this is “Correspondence to Requester,” then the Email Body field will be replaced with the letter body text.

2. The **Letter** field pre-populates with the following: agency mailing address, requester name, organization, mailing address, today’s date, Dear [requester name], letter body, Sincerely, request owner, and the request owner’s actual agency.

Modify the text as necessary, including using the **Insert** drop-down to insert request-specific information.

*Note: Once the correspondence is created, the **Letter** field is saved as a PDF, and is either attached to the email sent to the requester (“Correspondence to Requester”), or is saved to the Other Correspondence section (“Other”). View the PDF letter by expanding out the **Detail** column in the Correspondence to Requester section in the Case File – Correspondence sub-tab (see Exhibit 14-5 Case File – Correspondence Sub-Tab).

1

Letter Template : **Description of Records is too ** ▼

* Email Subject : **EPA-2015-000068 - Description of Records is too Vague**

* Email Body :

B I U | [List Icons] | Font Size ▼ | [List Icons] | [Link Icon] [Image Icon] **Insert** ▼

Thank you for submitting request EPA-2015-000068 on 11/13/2014. Unfortunately the description you provided is too vague to begin our search. Can you please narrow down the specific record or set of records you are looking for? Your request is on hold until an appropriate response is received.

2

* Letter :

B I U | [List Icons] | Font Size ▼ | [List Icons] | [Link Icon] [Image Icon] **Insert** ▼

1200 Pennsylvania Ave, NW
1401 Constitution Avenue, NW
Washington, DC 20460

Pedro Kaiser
2304 Mckinny
Falls Church, VA 22004

November 19, 2014

Dear Pedro Kaiser,

Thank you for submitting request EPA-2015-000068 on 11/13/2014. Unfortunately the description you provided is too vague to begin our search. Can you please narrow down the specific record or set of records you are looking for? Your request is on hold until an appropriate response is received.

Sincerely,

Jason Brown
U.S Environmental Protection Agency

Exhibit 14-6 Correspondence – Select a Letter Template

14.3 Summary

Correspondence is captured through the Create Correspondence action item. Capture email and system correspondence via the Correspondence to Requester type. The correspondence message, optional formal letter, and optional attachments are saved in the case file and are emailed to the requester. If the requester does not have an email address assigned to their account, then the correspondence is added to the case file but no email is sent. Capture offline correspondence (e.g., telephone conversation) via the Other correspondence type. The letter and/or the attachment is included in offline correspondence, which is added to the case file.

Correspondence is *never* available to the general public. Only “Correspondence to Requester” items are available to the requester, if they have a registered user account. “Other” correspondence is not available to the registered requester.

Automatic correspondence is also saved to the case file, e.g. Submission Confirmation, Estimate Costs Notice, Interim Release Notice, and the Final Disposition Notice.

15 Creating Comments

Comments on a case file are visible only by agency users who have access to the request. Create a comment through the Create Comment action item in the left-side menu. If any comments were entered at the time of assignment (3), they also display in this section. The number of comments that exist displays in the tab, as shown below.

Submission Details		Case File	Admin Cost	Assigned Tasks	Comments (1)	Review
Date / Time	User Name	Edit	Remove	Detail		
01/08/2015 09:16 PM	Jennifer Oxford				Sent correspondence to the requester on 12/1/2014, asking for clarification.	

Exhibit 15-1 Number of Comments

15.1 Steps

1. Click the **Create Comment** action item from the left-side menu of the **Request Details** page.
2. Enter text in the **Comment** field.
3. Press the **Save** button.

Create Comment

* Comment:

2

3 SAVE CANCEL

Exhibit 15-2 Create a Comment Page

4. Click the **pencil icon** to expand the **Edit Comment** field.
 *Note: You can only edit comments if you are either the request owner, or a user with a management role. System automated comments cannot be modified.
5. The **Comment** field pre-populates with the text, but can be modified.
6. Press the **Save Changes** button to save the modifications to the comment.

Date / Time	User Name	Edit	Remove	Detail
01/08/2015 09:16 PM	Jennifer Oxford	 4		
Sent correspondence to the requester on 12/1/2014, asking for clarification.				

5 **Edit Comment**

* Comment :

6

Exhibit 15-3 Edit Comments

15.2 Summary

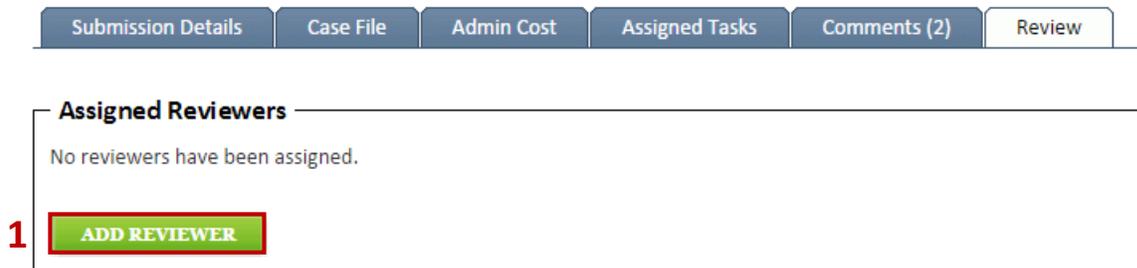
The comments are saved to the case file with a timestamp. Comments can be used for any number of reasons, including to indicate external actions that have taken place, e.g. phone calls placed to involved parties, or as a timeline for remaining actions required to close a request. Comments can be added via the Create Comment action item in the left-side menu or during the assignment process.

16 Add Reviewer

A review of the case file by another individual prior to request closure may be required by your agency or office. Even if your office does not require a case file review, it is recommended that one be performed to ensure accuracy in the released materials. The request owner may add him or herself to the Assigned Reviewers section, but this will not allow you to bypass the minimum reviewer requirement. If your office has a minimum reviewer requirement, then that must be fulfilled by adding individual(s) other than yourself. See 19.2 Case File Review Steps for more information.

16.1 Steps

1. Press the **Add Reviewer** button from the **Request Details-Review** tab.



The screenshot shows a navigation bar with tabs: Submission Details, Case File, Admin Cost, Assigned Tasks, Comments (2), and Review. Below the tabs is a section titled 'Assigned Reviewers' containing the text 'No reviewers have been assigned.' and a green 'ADD REVIEWER' button. A red '1' is placed to the left of the button, which is also outlined in red.

Exhibit 16-1 Review Tab

2. Enter information into any of the following three fields to search for an individual: **Name**, **Organization Acronym**, or **Organization Name**.

*Note: Users may also choose to assign themselves to a review position by pressing the Assign To Me button, but at least one reviewer other than the user must be assigned to begin close-out when a review is required.

There is no search restriction on individuals added to the Review tab.

3. Press the **Search** button.



The screenshot shows a form titled 'Select Individual' with a 'Search Criteria' section. It contains three input fields: 'Name', 'Organization Acronym', and 'Organization Name'. The 'Name' field is highlighted with a red box and labeled with a red '2'. Below the fields are three buttons: 'SEARCH', 'ASSIGN TO ME', and 'CANCEL'. The 'SEARCH' button is highlighted with a red box and labeled with a red '3'.

Exhibit 16-2 New Reviewer

4. Click a radio button in the first column for the desired result.
5. Press the **Select** button.

Select Individual

Search Criteria

Name :

Organization Acronym :

Organization Name :

SEARCH **ASSIGN TO ME** **CANCEL**

Search Results

2 items found, displaying all items. 1

	Full Name	Organization Acronym	Organization Name	Organization
4	<input type="radio"/> Alex Z. Elton	HQ	Headquarters	EPA/HQ
	<input type="radio"/> Alexandar Aman	OES	Office of Environmental Stewardship	EPA/R1/OES

5 **SELECT**

Exhibit 16-3 Individual Lookup

6. *Optional* – When multiple reviewers are assigned, click the **Change Review Order** icons to change the review order positions.
7. *Optional* – Press the **remove** icon to remove a reviewer.

Assigned Reviewers

Review Outcome	Review Order	Assigned Reviewer	Review Date	Change Review Order	Action
	1	Marie Bell	TBD	6	7
	2	Beverly Davis	TBD		
	3	Alex Z. Elton	TBD		

ADD REVIEWER

Exhibit 16-4 Multiple Assigned Reviewers

16.2 Summary

Reviewers are not notified upon being added to the Review tab as the review chain is being established and no action is necessary at this point in time. Once the request close-out process is initiated and the review process begins, reviewers receive a notification as with any other task assignment. All assigned reviewers are responsible for approving the Case File Review Task when the close-out process is initiated in order to close the request. The request owner may be assigned as a reviewer, but at least one other user must review the case file if a review is required.

17 Interim Release

An interim release allows for selected records to be released prior to the final disposition of the overall request. This can be useful for complex requests that generate several records and close-out of the request is dependent on a consultation that is taking longer than expected. See section 9 for how to upload responsive records.

17.1 Steps

1. Click the **Interim Release** action item from the left-side menu of the **Request Details** page.
2. *Optional* – Select the **Interim Release Notice** letter from the **Letter Template** drop-down. Modify the pre-populated formal letter that will be saved to the *Other Correspondence* section of the case file and will be attached as a PDF file to the email sent to the requester upon closing out the *Interim Release Notice Task*. See section 14.2 for more information regarding letters.
3. Verify the drop-downs in the **Publish** column. Records marked as UR and RR will be released to both the requester and the general public, and records marked as REQ will only be released to the requester, if the requester has a registered user account.

*Note: Records with a grayed out drop-down have been released during a previous interim release and cannot be “released again.”

4. *Optional* – Enter text in the **Invoice Comments/Instructions** field.

*Note: This populates the invoice that is generated (18).

5. Press the **Save Changes** button.

*Note: Upon pressing the Save Changes button, the case file review chain (19.2) will initiate, if one is required for your agency.

Interim Release ?

Letter Template : **Interim Release Notice**

B *I* U | | **Font Size** | | **Insert**

1200 Pennsylvania Ave, NW
1401 Constitution Avenue, SW
Washington, VA 20460

Janice Phillips
650 Consitution Ave
Washington, DC 20191

January 9, 2015

Dear Mrs. Janice Phillips,

EPA-HQ-2013-002023 has been approved for an interim release.

Sincerely,

Jennifer Oxford
Headquarter's

Responsive Records

Publish Options : UU - Unredacted - Unreleasable RR - Redacted - Releasable to the General Public
 RU - Redacted - Unreleasable Public
 UR - Unredacted - Releasable to the General Public REQ - Release to Requester Only

5 items found, displaying all items. Results **50** 1

Publish	Title	Type	Exempt	Retention	Action	Detail
REQ	<i>george-hw-bush-library-fy13</i>	PDF	N/A	Default		
RR	<i>foiarequestguide(10)</i>	PDF	N/A	Default		
UR	Responsive Record Placeholder		N/A	Default		
UR	<i>lp-gwb-jan2014</i>	Microsoft Excel	N/A	Default		
RU	<i>operational-records-fy13</i>	PDF	N/A	Default		

Exemptions Used

No exemptions have been applied to any records.

Invoice Comments/Instructions

67/500

Agency Invoice Instructional Text at the Level 1, modified on 10/10

SAVE CHANGES
CANCEL

2

3

4

5

Exhibit 17-1 Interim Release Page

- Once the case file review chain is complete, or if one was not required, the system generates the **Interim Release Notice** task. Access this task by clicking the tracking number from the My Cases dashboard, shown below in Exhibit 17-2 Access the Interim Release Notice Task, or via the Assigned Tasks tab of the request.

*Note: The request owner receives an email notification when the Interim Release Notice task is generated.

6	EPA-HQ-2014-000366	Task	Simple	Elisabeth Anamisis	08/07/2014	TBD	Research Records	
Interim Release Notice								

Exhibit 17-2 Access the Interim Release Notice Task

- Click the **Close Out Task** action item item in the left-side menu to display the **Close-out Task** page.
- Optional - Modify the **Subject** field.*
- Optional - Modify the **Body** field as necessary. This is the body of the email sent to the requester.*
*Note: Use the **Insert** drop-down to insert request-specific information.
- Optional – Press the **Select Files** button to attach a file from your computer to be sent with the email.*
- Select an option from the **Attach to Send** required drop-down to either attach the invoice and send the invoice to the requester, or to not attach the invoice to the correspondence and indicate the payment is not required.
- Optional – Press the **Select** button for items within the **Attach Records or Past Correspondence** section. This section can be **filtered** to display only correspondence items, or records marked as releasable or release to requester only.*
*Note: Items selected here move to the **Selected Items to Be Sent to Requester** section.
- Press the **Send** button.
- Enter your user account password in the popup and press the **OK** button. If your agency is CAC/PIV-enabled, then you will bypass this step.

Close Out Task

Interim Release Notice

Note that this request's requester does not have an email address on file. Therefore, this notice will be sent to your email address. If you wish to send this notice to the requester, please send it via the requester's mailing address on file.

8

* Subject :

* Body :

9

B I U | | | | | | |

EPA-2014-000480 has been approved for an interim release.

Records were released to the public as a result of this request. You may retrieve these records immediately using the following link: [View Records](#). Over the next 2 hours, these records are also being added to FOIAonline's search pages, further enabling you to retrieve these documents associated with your FOIA request at any time.

Attach Supporting Files

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

10

No attachments have been added.

Attach Latest Invoice?

*

Attach to Send?	Title	Amount
No <input type="button" value="v"/>	EPA-2014-000480 Invoice 20141120.pdf	\$0.00

11

Attach Records or Past Correspondence

Filter Results

3 items found, displaying all items.

Send?	Title	Type	Record Release Type
<input type="button" value="Select"/>	Interim Release, Request EPA-2014-000480.pdf	Correspondence	
<input type="button" value="Select"/>	DOC_0005796289	Record	UR
<input type="button" value="Select"/>	annualReport (2)	Record	UR

12

3 items found, displaying all items.

Selected Items To Be Sent To Requester

Title	Type	Record Release Type	Remove?
10_F_0579_PentagonParkingPassesDatabase	Record	UR	<input type="button" value="x"/>

13

Exhibit 17-3 Interim Release – Close-out

17.2 Summary

An interim release follows the same series of processes as request closure. If your office has a minimum reviewer requirement, then creating the interim release notice sends a task assignment to the first reviewer indicated under the Review tab (19.2). Once the review chain is complete, the system generates an Interim Release Notice task, which is assigned to the request owner. Once the request owner completes the task, the designated records are released and an email notification is sent to the requester. The Interim Release Notice email is stored within the Case File – Correspondence tab (14).

18 Generating an Invoice

The request's invoice is generated using information captured on the Admin Cost tab, and excludes both non-billable costs and requester-eligible discounts. The invoice is automatically generated by the system and saved to the Case File – Financing sub-tab when either an interim release or the final close-out process have begun. The request owner can preview the invoice at any time while the request is open in order to view the total cost being billed to the requester (total billable charges minus any eligible discounts). Manually generating the invoice also saves it to the Case File – Financing sub-tab.

18.1 Steps

1. Click the **Generate Invoice** action item from the left-side menu of the **Request Details** page.

*Note: Depending on your browser, you may need to press an **Open** or **OK** button in a popup that displays.

Note: The **Comments/Instructions** text can be populated when completing the first step of either the interim release (17) or the final close-out process (19.1).

2. Only billable charges display in the **Description of Costs** section.

FOIA Invoice

U.S. Environmental Protection Agency
1200 Pennsylvania Ave, NW
1401 Constitution Avenue, NW
Washington, DC 20460

Mail Payment to USEPA, FOIA and Miscellaneous Payments, Cincinnati Finance Center P.O. BOX 979078 St. Louis, MO 63197-9000		FOIA Tracking Number EPA-2015-000052																
		Invoice Date 11/20/2014																
Requester Contact Information Registered Requester 12801 Fair Lakes Cir Fairfax, VA 22033 foiaregistereduser@yahoo.com		Description of Records Requested TBD																
Request Received	Date	By																
	10/27/2014	U.S. Environmental Protection Agency																
Request Fulfilled by Agency	Date	By																
	11/20/2014	Jason Brown																
Comments/Instructions Agency Invoice Instructional Text at the Level 1, modified on 10/10																		
Request Fee Category Commercial																		
<table border="1"> <thead> <tr> <th>Description of Costs</th> <th>Quantity</th> <th>Amount (US \$)</th> </tr> </thead> <tbody> <tr> <td>Search</td> <td>2.0 hours</td> <td>\$82.00</td> </tr> <tr> <td>Review</td> <td>1.5 hours</td> <td>\$42.00</td> </tr> <tr> <td>Costs Subtotal</td> <td></td> <td>\$124.00</td> </tr> <tr> <td colspan="2">AMOUNT DUE</td> <td>\$124.00</td> </tr> </tbody> </table>				Description of Costs	Quantity	Amount (US \$)	Search	2.0 hours	\$82.00	Review	1.5 hours	\$42.00	Costs Subtotal		\$124.00	AMOUNT DUE		\$124.00
Description of Costs	Quantity	Amount (US \$)																
Search	2.0 hours	\$82.00																
Review	1.5 hours	\$42.00																
Costs Subtotal		\$124.00																
AMOUNT DUE		\$124.00																

1

2

Exhibit 18-1 Invoice

3. View the invoice again via the **Case File – Financing** tab.
4. View the **Total Amount Billed Which Has Been Sent To Requester** within the invoice section. This value is represented by the most recent invoice amount sent.
5. *Optional* - Select an option from the **Sent** drop-down menu to either mark the invoice as sent to the requester or as not sent. Press the **Save Invoice Changes** button to save any modifications.
6. *Optional* - Click the **remove icon** to delete the invoice from the case file.

3

Records
Consultations
Correspondence
Appeals
Financing
Restricted Materials

Fee Estimates Requested

Current Estimate Total : \$123.00
 Date Estimate Sent To 11/19/2014
 Requester :

Invoice

4 Total Amount Billed Which Has Been Sent To Requester: \$139.00

Sent	Title	Invoice Date	Amount	Remove
5 Yes ▾	EPA-2015-000052 Invoice 20141120.pdf	11/20/2014	\$139.00	6
5 -- ▾	EPA-2015-000052 Invoice 20141120.pdf	11/20/2014	\$124.00	

5 SAVE INVOICE CHANGES

Payments

Total Amount Owed: \$139.00

No payments to display.

ADD PAYMENT

Exhibit 18-2 Case File Financing Tab - Invoice

18.2 Summary

The invoice offers a snapshot of the billable cost information as well as all important request details. This is automatically saved to the Case File – Financing sub-tab when manually generated via the action item menu and when initiating the interim release and/or final close-out processes. Invoices can be deleted from the case file as desired.

19 Close a Request

There are two criteria every request must meet prior to beginning the close-out process: 1. The request must be assigned to an individual (3) and 2. Any tasks that exist in the Assigned Tasks tab must be closed (12). Additionally, if your office has a minimum reviewer requirement, then the proper number of reviewers, not including yourself, must be added to the Review tab (16). If your office does not have a reviewer requirement, then it is still encouraged to add an individual to the Review tab to provide a final chance to review the case file prior to releasing information to the public.

The Closeout process is a multi-step process, either 2 or 3 mandatory steps depending on your component's "minimum reviewer" requirement. Step 1 is to assign a disposition (19.1), step 2 is to complete the case file review (19.2), and step 3 is to complete the Final Disposition Notice task (19.3).

19.1 Assign a Disposition Steps

1. Click the **Begin Close Out** action item from the left-side menu of the **Request Details** page.
2. Select a disposition from the **Disposition** drop-down.

*Note: If no applicable disposition exists in the standard list of dispositions, then select **Other** from the drop-down to view the **Other Disposition** drop-down. If still no applicable disposition exists, then contact your component administrator and request a new "Other" disposition be added to the drop-down.

3. *Optional – select the **Final Disposition Notice** letter from the **Letter Template** drop-down to display the editable **Letter** field. This is pre-populated with request and agency-specific information, and the disposition dynamically updates based on the selection made in the previous field.*
4. If records are uploaded, verify the drop-down in the Publish column to ensure the correct records are being released, if applicable.
5. *Optional: Enter text in the **Comments/Instructions** field, which will populate the system generated invoice (18).*
6. Press the **Begin Close-out** button.

Final Disposition

2
3

* Disposition: **Partial grant/partial denial**

Letter Template: **Final Disposition Notice**

B I U | | | Font Size | | | Insert

1200 Pennsylvania Ave, NW
1401 Constitution Avenue, NW
Washington, DC 20460

Janice Phillips
650 Constitution Ave
Washington, DC 20191

January 9, 2015

Dear Mrs. Janice Phillips,

EPA-HQ-2013-002023 has been processed with the following final disposition: Partial grant/partial denial.

Sincerely,

Jennifer Oxford
U.S Environmental Protection Agency

Responsive Records

Publish Options : UU - Unredacted - Unreleasable RR - Redacted - Releasable to the General Public
 RU - Redacted - Unreleasable REQ - Release to Requester Only
 UR - Unredacted - Releasable to the General Public

5 items found, displaying all items. Results **50** 1

Publish	Title	Type	Exempt	Retention	Action	Detail
REQ	<i>george-hw-bush-library-fy13</i>	PDF	N/A	Default		
RR	<i>foiarequestguide(10)</i>	PDF	Ex. 2, Ex. 7(D),	Default		
UR	Responsive Record Placeholder		N/A	Default		
UR	<i>lp-gwb-jan2014</i>	Microsoft Excel	N/A	Default		
RU	<i>operational-records-fy13</i>	PDF	Ex. 7(E), Ex. 8,	Default		

4

Exemptions Used

Exemption Used	Record Title(s)
Ex. 2	<i>foiarequestguide(10)</i> ,
Ex. 7(D)	<i>foiarequestguide(10)</i> ,
Ex. 7(E)	<i>operational-records-fy13</i> ,
Ex. 8	<i>operational-records-fy13</i> ,

Invoice Comments/Instructions

67/500

Agency Invoice Instructional Text at the Level 1, modified on 10/10

5

6

BEGIN CLOSE OUT **CANCEL**

Exhibit 19-1 Final Disposition Page

7. Click the **Yes** button in the popup.

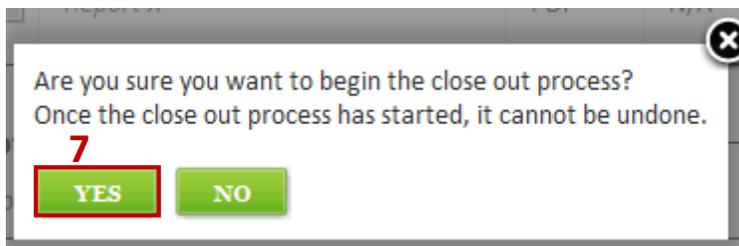


Exhibit 19-2 Begin Close-out Process

Note: The status changes to **Final Preparation of Response** and depending on your role, the left-side action menu may significantly decrease. Once the close-out process has begun, no processing is permitted. Step 1 of the close-out process is complete and the system automatically initiates step 2, the Case File Review, if applicable.

19.2 Case File Review Steps

Upon completing the first step of the close-out process, the system generates an Initial Review task for the first reviewer, if applicable. This reviewer receives both a system email notification and a task in their My Cases dashboard. The request owner can track the progress by viewing the Review tab or the Assigned Tasks tab, as the status of the review is contained in both locations. This task grants the reviewer a read-only view of the entire case file. After the reviewer inspects the final disposition that was assigned, any responsive records, and any other metadata within the request, the reviewer can choose to either Approve or Deny the review task.

Denying the review task lifts the processing restrictions that were implemented upon beginning the close-out process. The request owner can view comments provided with the case file rejection via the Assigned Tasks tab, make the necessary modifications, and initiate the close-out process again. Initial Review tasks will be sent to each reviewer in succession until all reviewers have approved their task, and conclude with the last reviewer who is assigned the Final Review task.

The role of the user assigned to review a case file before close-out is to navigate the case file and examine the metadata and records for release. If the reviewer approves of the disposition set by the processor, they can close-out the task for it to be sent to the next reviewer or back to the processor for final close-out.

1. Click the **Tracking Number link** for the Case File Review task. The Case File Review task can be identified by expanding the Details column or by hovering over the Tracking Number link.

My Cases Filter **All** Results **25**

182 items found, displaying 1 to 25. 1 2 3 4 5 ▶▶

Tracking Number	Type	Track	Requester	Assigned	Due	Status	Detail
EPA-2016-000062	Request	Simple	Ariel D	01/27/2016	02/25/2016	Assignment Determination	▶
EPA-2016-000052	Appeal	Simple	Liz Smith	01/07/2016	02/25/2016	Final Preparation of Response	▶
EPA-2016-000004	Task	Simple	Tom Cruisee	02/22/2016	02/22/2016	Final Preparation of Response	▶
Final Review							

Exhibit 19-3 Expanded Task Details

- Review the request to ensure an appropriate disposition, charges, record release type, etc. have been applied to the case file (see section 2 Navigating the Request Details Page).
- Click the **Edit or Close Out Task** link in the left-side menu.

My Cases

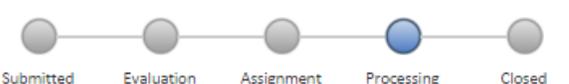
Unassigned Cases

Assigned Cases

Task Details

3 Edit or Close Out Task

Task Details Request Status : *Final Preparation of Response* Task Due Date : 02/22/2016



Request Details

Tracking Number : EPA-2016-000004 Submitted Date : 10/22/2015

Requester : Tom Cruisee Last Assigned Date : 02/22/2016

Organization : N/A Fee Limit : \$25.00

Requester Has No Account :

Task Details

Task Type : Final Review Assigned To : Jason Brown (U.S Environmental Protection Agency)

Due Date : 02/22/2016 Last Assigned Date : 02/22/2016

Task Submitted Date : 02/22/2016 Last Assigned By : Jason Brown (U.S Environmental Protection Agency)

Description : Final Review

Comments :

2

Submission Details Case File Admin Cost Assigned Tasks Comments (0) Review

Request Handling

Requester Info Available to the Public : Yes

Request Track : Simple

Fee Category : Unassigned

Fee Waiver Requested : No

Fee Waiver Status : N/A

Expedited Processing Requested : No

Expedited Processing Status : N/A

Request Perfected : No

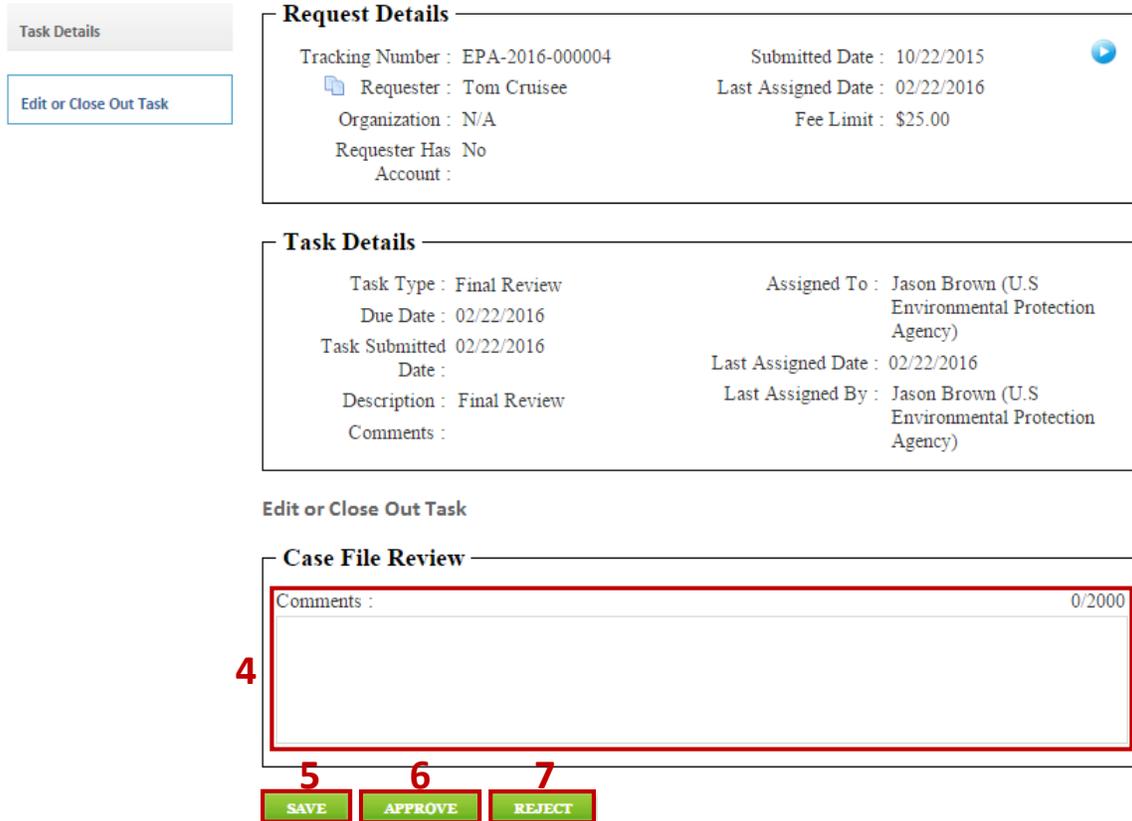
Acknowledgement Sent Date :

Unusual Circumstances : No ?

Exhibit 19-3 Review Task Details

4. *Optional* – Enter text in the Comments field.
5. If you wish to save any text entered in the Comments field and return to the task to complete at a later time, press the **Save** button.
6. Press the **Approve** button if you wish to approve the task as it is and initiate the next step in the close-out process, either sending the next reviewer a case file review task or sending the Final Disposition Notice Task to the request owner.
7. Press the **Reject** button if you wish to halt the review process and require the request owner to make any modifications. Even minor corrections necessitate a user press the **Reject** button.

*Note: A Review task that is rejected requires input to the Comments field explaining the rejection.



The screenshot displays a web interface for reviewing a task. On the left, there are two buttons: 'Task Details' (highlighted) and 'Edit or Close Out Task'. The main content area is divided into three sections:

- Request Details:** Tracking Number: EPA-2016-000004, Submitted Date: 10/22/2015, Requester: Tom Cruisee, Organization: N/A, Requester Has Account: No, Last Assigned Date: 02/22/2016, Fee Limit: \$25.00.
- Task Details:** Task Type: Final Review, Due Date: 02/22/2016, Task Submitted Date: 02/22/2016, Description: Final Review, Assigned To: Jason Brown (U.S. Environmental Protection Agency), Last Assigned Date: 02/22/2016, Last Assigned By: Jason Brown (U.S. Environmental Protection Agency).
- Case File Review:** A large text area for 'Comments' with a character count of 0/2000. A red box highlights this area, with a red number '4' to its left.

At the bottom, three green buttons are labeled '5 SAVE', '6 APPROVE', and '7 REJECT'.

Exhibit 19-4 Case File Review Comments

19.2.1 Summary

Approving an Initial Review sends the task to the next reviewer until the last reviewer, who receives the Final Review task. Approval of this task generates the Final Disposition Notice task for the request owner. This moves the request to its final processing step before officially closing the request. If information in the case file is deemed not ready for approval, it is rejected and the request owner is notified to modify the case file as appropriate. The request owner can always track the progress of the case file review by viewing the Review tab and the Assigned Tasks tab of the request.

19.3 Final Disposition Notice Task Steps

This is the final step in the request close-out process. When the case file review chain is completed, the system generates the Final Disposition Notice task and sends the request owner an email notification. When the Final Disposition Notice task is closed, all records marked for release and information included in the notice will be sent to the original requester's email address. The request will be removed from your dashboard as no closed items exist in the dashboards. Re-access the request by either searching or using the Custom Report.

1. Click the Tracking Number link for the Final Disposition Notice task. The Final Disposition Notice task can be identified by expanding the Details column or hovering over the Tracking Number link.



Tracking Number	Type	Track	Requester	Assigned	Due	Status	Detail
EPA-2015-000052	Task	Simple	Registered Requester	11/20/2014	TBD	Final Preparation of Response	

Exhibit 19-5 Final Disposition Notice Task

2. Click the **Close Out Task** action item in the left-side menu.
3. *Optional: Depending on your role (Public Liaison, Coordinator, or National Team) you will be able to backdate the request's closure date and close the task without sending an email. This ability will display in a section called **Offline Closure Date**. Select a date and press the **Close Without Sending** button.*
4. *Optional – Make changes to the **Subject** field as necessary.*
5. *Optional – Make changes to the **Body** field as necessary.*
6. *Optional – Upload supporting files to be attached to the email using the **Select File** button as necessary.*
7. Select an option from the **Attach to Send?** required drop-down to either attach and send the invoice to the requester or to not attach the invoice, indicating the payment is not required.
8. *Optional – Press the **Select** button for items within the **Attach Records or Past Correspondence** section. This section can be filtered to display only correspondence items or records marked as releasable or release to requester only.*

Note: Items selected here move to the **Selected Items to Be Sent to Requester section.*

9. Press the **Send** button.
 10. Enter your user account password in the popup and press the **OK** button.
- *Note: If your agency is CAC/PIV-enabled, then you will bypass this step.*

Close Out Task

3 **Offline Closure Date**

Offline Closure Date :

CLOSE WITHOUT SENDING

4 **Final Disposition Notice**

From : FOIAonline.donotreply@example.com
 To : foiaregistereduser@yahoo.com

5 *** Subject : Final Disposition, Request EPA-2015-000052**

*** Body :**

EPA-2015-000052 has been processed with the following final disposition: Partial grant/partial denial.

Given the nature of this request, some records are only being released to you as the requester. If you have an account in FOIAonline, you may access those records by [logging into FOIAonline](#). Otherwise, those responsive records will be sent via the method agreed upon with the FOIA processor.

6 **Attach 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.

7 **Attach Latest Invoice?**

Attach to Send?	Title	Amount
<input type="checkbox"/>	EPA-2015-000052 Invoice 20141120.pdf	\$124.00

8 **Attach Records or Past Correspondence**

Filter: All Results: 50

3 items found, displaying all items.

Send?	Title	Type	Record Release Type
<input type="checkbox"/>	Final Disposition, Request EPA-2015-000052.pdf	Correspondence	
<input type="checkbox"/>	DoD_RegionalCentersReport_FY2007	Record	UR
<input type="checkbox"/>	Record #3	Record	RR

3 items found, displaying all items.

9 **Selected Items To Be Sent To Requester**

Title	Type	Record Release Type	Remove?
Record #1	Record	UR	<input type="checkbox"/>
Record #2	Record	REQ	<input type="checkbox"/>

SEND **CANCEL**

Exhibit 19-6 Complete the Final Disposition Notice Task

19.4 Summary

With the verification of the confirmation message, the request is closed out. If the request includes the requester’s email address, then they will receive an email indicating the final disposition of their request and any records that were released with it. The request is removed from your dashboard but it may be viewed again by either using the Search function or the Custom Report (20-21).

20 Using the Search Function

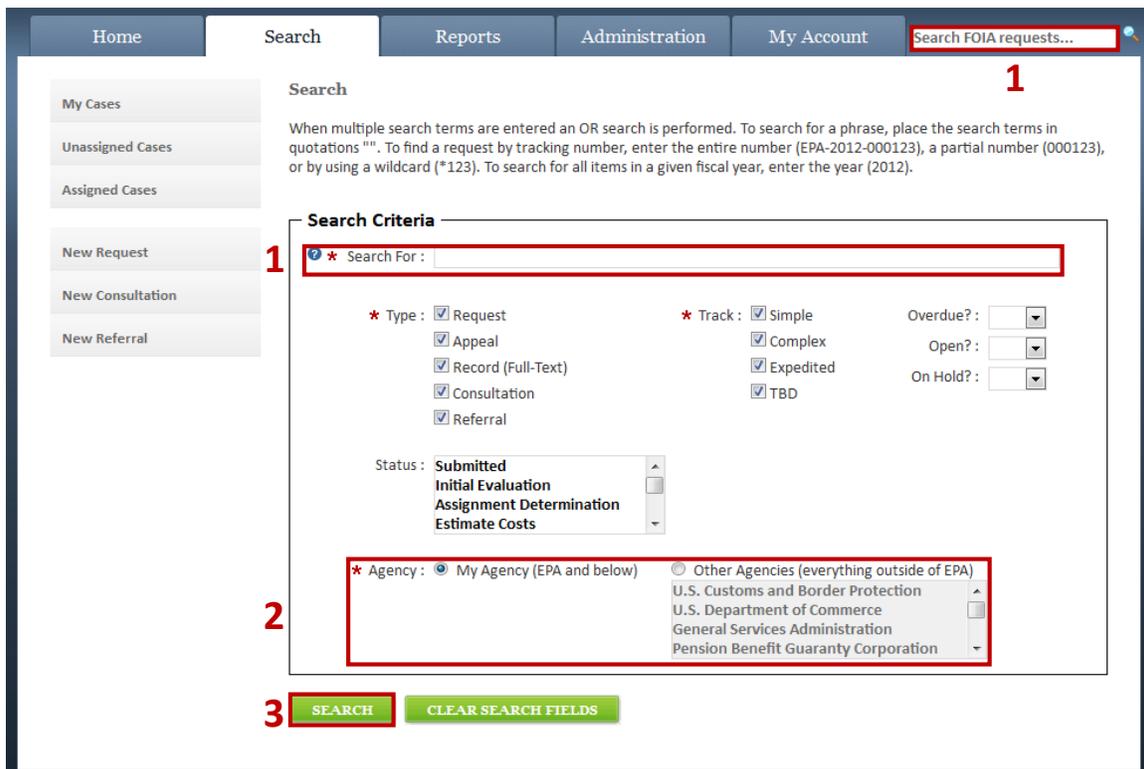
The Search function can be used to find all case files types in a variety of statuses both in your own agency and outside of your heirarchy. The Search function indexes all items within FOIAonline with full-text capabilities, so there is a two hour delay with its results. This means that a request recently created in the system may not display in the search results, or a recent status change may not reflect correctly on the results page. *This does not mean that the status is incorrect.* Also, due to the full-text indexing, the Search function can be used to find records based on the infromation contained therein.

Search Tips:

- Use Boolean search commands to find a more narrowed set of results, e.g. Superfund AND wilson.
- Use wildcards to find a more generalized set of results, e.g. Ex. EPA-2015*

20.1 Steps

1. Use either the **quick search** (to the right of the main set of page tabs) or click the **Search** tab to display the Search page and use the **Search For** field.
2. *Optional: The Agency field defaults to search for items contained within your level/office of the agency and below. Expand your search results by selecting the **Other Agencies** radio button to search for items that exist outside of your immediate agency hierarchy.*
3. Press the **Search** button.



The screenshot shows the FOIAonline Search interface. At the top, there are navigation tabs: Home, Search, Reports, Administration, and My Account. A search bar in the top right corner is labeled "Search FOIA requests..." and has a red box and the number "1" next to it. Below the tabs, the "Search" section contains a search criteria form. The form includes a "Search For" field with a red box and the number "1" next to it. Below this field are several sections of filters: "Type" with checkboxes for Request, Appeal, Record (Full-Text), Consultation, and Referral; "Track" with checkboxes for Simple, Complex, Expedited, and TBD; "Status" with a dropdown menu showing Submitted, Initial Evaluation, Assignment Determination, and Estimate Costs; and "Agency" with radio buttons for "My Agency (EPA and below)" and "Other Agencies (everything outside of EPA)", and a dropdown menu listing various agencies like U.S. Customs and Border Protection, U.S. Department of Commerce, General Services Administration, and Pension Benefit Guaranty Corporation. A red box and the number "2" are next to the Agency section. At the bottom of the form, there are two buttons: "SEARCH" and "CLEAR SEARCH FIELDS", with a red box and the number "3" next to the "SEARCH" button.

Exhibit 20-1 Search Criteria

4. Click the **Detail** icon to expand more information. The criteria contained within the item that matches the Search For field is highlighted.
5. Records are full text searchable. Click the **paper clip icon** to open or save the record file.

Search Results

You searched for the terms (EPA-HQ) from (Simple, Complex, Expedited) documents of type (Request, Appeal, Record, Referral, Consultation) from the following agencies: EPA. [Refine Search](#)

3,936 items found, displaying 1 to 25.

Results **25** ▾

1 **2** **3** **4** **5** ▶▶

Tracking Number	Type	Status	Requester	Submitted	Assigned To	Due	Detail
EPA-HQ-2012-002001	Request	Closed	Donnelle Levelle	09/20/2012	OEI	11/01/2012	 3
One of a series of requests created to test the issues uncovered by the DOJ analysis.							
EPA-HQ-2012-002001	Record	Closed	Donnelle Levelle	07/24/2013	OEI	11/01/2012	 4
EPA-HQ-2010-002001	Request	Assignment Determination	Tommy Goobson	05/05/2010	Maggie Hart	08/12/2013	
EPA-HQ-2013-002001	Request	Closed	Donnelle Jackson	10/30/2012	OEI	N/A	

Exhibit 20-2 Search Results

20.2 Summary

The Search function can be used to quickly find specific items within FOIAonline. Indexing case files and records with full-text capabilities allows users to search for information contained within such items. If more stringent search criteria is required to find the desired items, then use the Custom Report (21).

21 Custom Report

In addition to the Search function, the Custom Report, which returns results in real-time, can also be used to find items within FOIAonline. The Custom Report has a wide variety of search criteria, which allows you to perform searches from the general to the highly specific. Refer to section 21.1 21.3 for specific use cases.

Annual Report

Year-End Annual Report

Audit Log Report

Backlog Report

Workload Report

Retention Report

Expedited Processing Report

Fee Waiver Report

Overdue Cases Report

Delinquency Report

Custom Report

Custom Report

Report Criteria

Tracking Number :

Requester Name :

Requester Organization :

Assigned To Individual :

Assigned To Organization : Include Sub-Organizations?

Received Date : to

Due Date : to

Closed Date : to

Track : Simple
 Complex
 Expedited
 Unassigned

Type : Request
 Appeal
 Task
 Consultation
 Referral

Task Type :
Estimate Cost Notice
Expedited Processing
Extend Due Date

Status :
Initial Evaluation
Assignment Determination
Estimate Costs

Request Disposition :
Partial grant/partial denial
Full denial based on exemptions
No records

Appeal Disposition :
Partially affirmed & partially revers
Completely reversed/remanded
Closed for other reasons

Overdue? :

Open? :

On Hold? :

Perfected? :

Time to Process :
Within 20 days
21-40 days
41-60 days
More than 60 days

SEARCH
BACK

Exhibit 21-1 Custom Report

21.1 Finding Closed Items

1. Click the **Custom Report** link from the left-side menu while on the **Reports** tab.
2. Enter a **Closed Date** range.
3. *Optional: Use the **Type** criteria to designate the type of case file.*
4. Press the **Search** button.

Custom Report Results **10** ▼

2,250 items found, displaying 1 to 10.

Custom Report - 01/19/2016 12:53:50

<i>Assign</i>	<i>Tracking Number</i> ⚡	<i>Type</i> ⚡	<i>Requester</i> ⚡	<i>Submitted</i> ▼	<i>Assigned To</i> ⚡	<i>Due</i> ⚡	<i>Status</i> ⚡	<i>Detail</i>
<input type="checkbox"/>	EPA-R8-2015-002336	Request	Ariel Davati	09/25/2015	Jason Brown (Liaison)	10/26/2015	Closed	
<input type="checkbox"/>	EPA-2015-002332	Request	Hedley Lamarr	09/15/2015	Jason Brown	TBD	Closed	
<input type="checkbox"/>	EPA-R8-2015-002331	Request	Thomas Henry	09/15/2015	Jason Brown (Liaison)	10/15/2015	Closed	
<input type="checkbox"/>	EPA-R8-2015-002329	Request	Ariel Davati	09/15/2015	Jason Brown (Liaison)	10/22/2015	Closed	
<input type="checkbox"/>	EPA-R8-2015-002335	Request	William J. Le Petomane	09/15/2015	Jason Brown (Liaison)	10/14/2015	Closed	

Exhibit 21-2 Custom Report Results-Closed Items

21.2 Finding Items by Disposition

1. Click the **Custom Report** link from the left-side menu while on the **Reports** tab.
2. Make (a) selection(s) from either the **Request Disposition** or **Appeal Disposition** multi-selects.

Note- If a selection is made from the **Request Disposition multiselect, then the **Request** and **Referral** checkboxes in the **Type** criteria are automatically checked while the **Appeal** and **Consultation** checkboxes become read-only. If a selection is made from the **Appeal Disposition** multiselect, then the **Appeal** checkbox is automatically checked while the **Request**, **Referral**, and **Consultation** checkboxes become read-only.*
3. *Optional: Check the **Task** checkbox in the **Type** criteria to find tasks also associated to the selected disposition.*
4. *Optional: Make a selection in the **Open?** dropdown to search for items that are open or closed at the time of the search.*
5. Press the **Search** button.

Custom Report Results **25** ▾

20 items found, displaying all items. 1

Custom Report - 02/22/2016 03:21:24

Assign	Tracking Number	Type	Requester	Submitted	Assigned To	Due	Status	Detail
<input type="checkbox"/>	 EPA-2016-000055	Final Disposition Notice	Registered Requester	01/07/2016	Jason Brown	01/07/2016	Open	
<input type="checkbox"/>	 EPA-2016-000054	Final Disposition Notice	Registered Requester	01/07/2016	Jason Brown	01/07/2016	Open	
<input type="checkbox"/>	EPA-2016-000048	Final Disposition Notice	Liz Smith	01/07/2016	Jason Brown	01/07/2016	Open	
<input type="checkbox"/>	EPA-2016-000048	Appeal	Liz Smith	01/07/2016	Jason Brown	TBD	Final Preparation of Response	

Exhibit 21-3 Custom Report Results-Items Associated to a Specific Appeal Disposition

21.3 Finding Items Assigned to an Individual

1. Click the **Custom Report** link from the left-side menu while on the **Reports** tab.
2. Click the person icon to the right of the **Assigned to Individual** field to launch the **Select Individual** popup.
3. Enter information into any of the three search fields: **Name**, **Organization Acronym** and/or **Organization Name**.
4. Use the radio button to the left of the **Full Name** column to select the desired user.
5. Press the **Select** button.
6. Press the **Search** button.

Custom Report Results

5 items found, displaying all items.

Custom Report - 11/20/2014 04:28:22

Assign	Tracking Number	Type	Requester	Submitted	Assigned To	Due	Status	Detail
<input type="checkbox"/>	EPA-2015-000053	Task	Megan Turner	10/31/2014	Jason Brown	N/A	Closed	
<input type="checkbox"/>	EPA-2015-000053	Task	Megan Turner	10/31/2014	Jason Brown	N/A	Closed	
<input type="checkbox"/>	EPA-2015-000053	Request	Megan Turner	10/27/2014	Jason Brown	11/25/2014	Closed	

Exhibit 21-4 Custom Report Results-Items Assigned to an Individual

21.4 Custom Report Export

The Custom Report results can be exported to a spreadsheet using the CSV or Excel links at the bottom of the page. In addition to the fields displayed in the Custom Report table, the export contains the below fields, which can be useful for comparing and analyzing data.

- **Requester Organization** – organization the requester is affiliated with if applicable
- **Case File Assigned To** – individual or office the underlying case file is assigned to when line item is a task
- **Perfected?** – whether or not a request has been perfected or an appeal has been marked as received
- **Closed Date** – date a case file or task completes the close out process
- **Disposition** – request and appeal dispositions that have been set prior and after case file closure
- **Additional Information Fields** – agency specific fields found in the configurable Additional Information section

22 My Account

Agency users can update their contact information, email notification preferences, and change their password from the My Account page.

22.1 Edit Account

The Edit Account page contains two sections: User Information and Email Preferences. The User Information section contains contact information and the email address used for logging in.

*Note: If your agency is CAC/PIV-enabled, then you will not be able to edit your email address, since the email address is linked to the CAC/PIV card.

The Email Preferences section contains three groups of email notifications. If the toggle is checked, then email notifications are active. If the toggle is not checked, then email notifications are inactive. New system users default to receiving all notifications. The following notifications are exempt from opt-out: appeal creation, requester request modification, withdrawn requests, exported requests, 5 day notifications, and emails regarding account notification.

1. Modify the **User Information** fields as necessary.
2. The **Clock Auto-Start** toggle controls the email notification that is sent when an unperfected request's clock automatically starts after the 10th day of it remaining unassigned.
3. The **Case File Modification Alerts** toggle controls the following email notifications: individual assignment, organizational assignment (if you are the organization's designated FOIA Officer), items re-assigned from your queue, stopping and starting the clock, and due date extensions.
4. The **Case File Items Completed Alerts** toggle controls the following email notifications: request detail and review task completions.
5. Press the **Save Changes** button to apply changes.

Edit User Account

* indicates a required field.

User Information

<p>* First Name: <input type="text" value="Jennifer"/></p> <p>Middle Initial: <input type="text"/></p> <p>* Last Name: <input type="text" value="Oxford"/></p> <p>Organization: <input type="text"/></p> <p>* Email Address: <input type="text" value="Oxford.Jennifer@epa.example.c"/></p> <p>* Confirm Email Address: <input type="text" value="Oxford.Jennifer@epa.example.c"/></p> <p>Phone Number: <input type="text" value="703-555-5555"/></p> <p>Fax Number: <input type="text"/></p>	<p>? * Address: <input type="text" value="1200 Pennsylvania Ave"/></p> <p>Line 1:</p> <p>Address Line 2: <input type="text" value="Main St"/></p> <p>* City: <input type="text" value="Washington"/></p> <p>* State/Province: <input type="text" value="DC"/></p> <p>* Zip Code/Postal Code: <input type="text" value="22044"/></p>
---	---

Email Preferences

? Check notifications to receive from FOIAonline :

Clock Auto-Start : **2**

? Case File Modification Alerts : **3**

? Case File Items Completed Alerts : **4**

5 SAVE CHANGES CANCEL

Exhibit 22-1 Edit Account Page

22.2 Change Password

Passwords expire every 60 days. After a password has expired, the user is prompted to change their password upon logging in, but the password can also be updated at any time from the My Account tab. You cannot use any of your previous 24 passwords.

1. Modify the **User Information** fields as necessary.
2. The **Clock Auto-Start** toggle controls the email notification that is sent when an unperfected request's clock automatically starts after the 10th day of it remaining unassigned.
3. The **Case File Modification Alerts** toggle controls the following email notifications: individual assignment, organizational assignment (if you are the organization's designated FOIA Officer), items re-assigned from your queue, stopping and starting the clock, and due date extensions.
4. The **Case File Items Completed Alerts** toggle controls the following email notifications: request detail and review task completions.

Edit Account

Change Password

Change Password

Once you change your password it will expire in 60 days.

* indicates a required field.

Change Password

Password must be at least 12 characters and contain at least 3 of the following character types:

- Upper Case Letters
- Lower Case Letters
- Numbers
- Special Characters

* Email Address :

* Current or Temporary Password :

* New Password :

* Confirm New Password :

CHANGE PASSWORD
CANCEL

Exhibit 22-2 Change Password