



April 17, 2019

**VIA ELECTRONIC MAIL**

U.S. Department of State  
Office of Information Programs and Services  
A/GIS/IPS/RL  
SA-2, Suite 8100  
Washington, DC 20522-0208  
[FOIArequest@state.gov](mailto:FOIArequest@state.gov)

**Re: Freedom of Information Act Request**

Dear Freedom of Information Officer:

Pursuant to the Freedom of Information Act (FOIA), 5 U.S.C. § 552, and the implementing regulations of the Department of State (State), 22 C.F.R. Part 171, American Oversight makes the following request for records.

On January 16, 2019, a Japanese newspaper reported that in response to a request from Washington, D.C., Prime Minister Shinzo Abe nominated President Donald Trump for the Nobel Peace Prize for his engagement with North Korea, according to Japanese government sources.<sup>1</sup> The report said the U.S. government “informally” asked Japan to nominate Trump after his June 2018 meeting with North Korean leader Kim Jong Un, which was the first summit ever between the two nations’ leaders.

American Oversight seeks records to shed light on the administration’s potential prioritization of the President’s personal interests above diplomatic relationships.

**Requested Records**

American Oversight requests that State produce the following records within twenty business days:

All email communications of the State officials specified below (including email messages, email attachments, calendar invites, etc.) that contain the following key terms:

- i. Nobel
- ii. “Peace Prize”
- iii. Nominat\* *and* one of the following terms: Trump, President, POTUS, or DJT

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<sup>1</sup> *Abe Nominated Trump for the Nobel at Behest of Washington*, THE ASAHI SHIMBUN, Feb. 17, 2019, <http://www.asahi.com/ajw/articles/AJ201902170021.html>.



In an effort to accommodate the Department of State and reduce the number of potentially responsive records, American Oversight agrees that the search for responsive email communications may be limited to emails sent by the officials specified below. Despite this search accommodation, American Oversight still requests that complete email chains be produced, displaying both sent and received messages.

American Oversight requests that State produce responsive email communications of the officials specified below:

- i. The Secretary of State, the Deputy Secretary of State, the Chiefs of Staff and Deputy Chiefs of Staff to the Secretary and Deputy Secretary, and anyone communicating on their behalves;
- ii. Assistant Secretary Michelle Giuda, and all other political appointees\* \* in the front office of the Bureau of Public Affairs, including political appointees in the immediate office of Assistant Secretary Giuda;
- iii. Principal Deputy Assistant Secretary W. Patrick Murphy, and all other political appointees in the front office of the Bureau of East Asia and Pacific Affairs, including the immediate office of Principal Deputy Assistant Secretary Murphy; and
- iv. The following individuals and offices in the U.S. Embassy in Japan:
  - a. U.S. Ambassador to Japan William F. “Bill” Hagerty IV, and any assistant communicating on his behalf;
  - b. Joseph M. Young, Deputy Chief of Mission, and anyone else serving in the capacity of Deputy Chief of Mission;
  - c. Carolyn Glassman, Minister-Counselor for Public Affairs, and anyone else serving in the capacity of Minister-Counselor for Public Affairs;
  - d. Daniel Rochman, Minister-Counselor for the Political Section, and anyone else serving in the capacity of Minister-Counselor for the Political Section;
  - e. Michael Turner, Cultural Affairs, and anyone else serving in the capacity of Head of Cultural Affairs; and
  - f. Jonas Stewart, Press Attaché, and anyone else serving in the capacity of Press Attaché
- v. The following individuals and offices in the U.S. Embassy in Korea:
  - a. U.S. Ambassador to the Republic of Korea Harry B. Harris Jr., and any assistant communicating on his behalf;
  - b. Rob Rapson, Deputy Chief of Mission, and anyone else serving in the capacity of Deputy Chief of Mission; and
  - g. Aleisha Woodward, Minister-Counselor for Public Affairs, and anyone else serving in the capacity of Minister-Counselor for Public Affairs

Please provide responsive records from June 10, 2018, through February 28, 2019.

Please note that American Oversight is using the asterisk (\*) to designate the standard use of “wildcards” in the search for responsive records. For example, a search for “Nominat\*”

would return all of the following: nominate, nominates, nominating, nomination, nominated, etc. If State is unable to search for wildcards, please advise so that we may specifically include the variations that we would like searched.

\*\*“Political appointee” should be understood as any person who is a Presidential Appointee with Senate Confirmation (PAS), a Presidential Appointee (PA), a Non-career SES, any Schedule C employees, or any persons hired under Temporary Non-career SES Appointments, Limited Term SES Appointments, or Temporary Transitional Schedule C Appointments.

In addition to the records requested above, American Oversight also requests records describing the processing of this request, including records sufficient to identify search terms used and locations and custodians searched and any tracking sheets used to track the processing of this request. If State uses FOIA questionnaires or certifications completed by individual custodians or components to determine whether they possess responsive materials or to describe how they conducted searches, we also request any such records prepared in connection with the processing of this request.

American Oversight seeks all responsive records regardless of format, medium, or physical characteristics. In conducting your search, please understand the terms “record,” “document,” and “information” in their broadest sense, to include any written, typed, recorded, graphic, printed, or audio material of any kind. We seek records of any kind, including electronic records, audiotapes, videotapes, and photographs, as well as letters, emails, facsimiles, telephone messages, voice mail messages and transcripts, notes, or minutes of any meetings, telephone conversations or discussions. Our request includes any attachments to these records. **No category of material should be omitted from search, collection, and production.**

Please search all records regarding agency business. **You may not exclude searches of files or emails in the personal custody of your officials, such as personal email accounts.** Records of official business conducted using unofficial systems or stored outside of official files are subject to the Federal Records Act and FOIA.<sup>2</sup> **It is not adequate to rely on policies and procedures that require officials to move such information to official systems within a certain period of time; American Oversight has a right to records contained in those files even if material has not yet been moved to official systems or if officials have, through negligence or willfulness, failed to meet their obligations.**<sup>3</sup>

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<sup>2</sup> See *Competitive Enter. Inst. v. Office of Sci. & Tech. Policy*, 827 F.3d 145, 149–50 (D.C. Cir. 2016); cf. *Judicial Watch, Inc. v. Kerry*, 844 F.3d 952, 955–56 (D.C. Cir. 2016).

<sup>3</sup> See *Competitive Enter. Inst. v. Office of Sci. & Tech. Policy*, No. 14-cv-765, slip op. at 8 (D.D.C. Dec. 12, 2016) (“The Government argues that because the agency had a policy requiring [the official] to forward all of his emails from his [personal] account to his business email, the [personal] account only contains duplicate agency records at best. Therefore, the Government claims that any hypothetical deletion of the [personal account] emails would still leave a copy of those records intact in [the official’s] work email. However, policies are rarely followed to

In addition, please note that in conducting a “reasonable search” as required by law, you must employ the most up-to-date technologies and tools available, in addition to searches by individual custodians likely to have responsive information. Recent technology may have rendered State’s prior FOIA practices unreasonable. **In light of the government-wide requirements to manage information electronically by the end of 2016, it is no longer reasonable to rely exclusively on custodian-driven searches.**<sup>4</sup> Furthermore, agencies that have adopted the National Archives and Records Administration (NARA) Capstone program, or similar policies, now maintain emails in a form that is reasonably likely to be more complete than individual custodians’ files. For example, a custodian may have deleted a responsive email from his or her email program, but State’s archiving tools would capture that email under Capstone. Accordingly, American Oversight insists that State use the most up-to-date technologies to search for responsive information and take steps to ensure that the most complete repositories of information are searched. American Oversight is available to work with you to craft appropriate search terms. **However, custodian searches are still required; agencies may not have direct access to files stored in .PST files, outside of network drives, in paper format, or in personal email accounts.**

Under the FOIA Improvement Act of 2016, agencies must adopt a presumption of disclosure, withholding information “only if . . . disclosure would harm an interest protected by an exemption” or “disclosure is prohibited by law.”<sup>5</sup> If it is your position that any portion of the requested records is exempt from disclosure, American Oversight requests that you provide an index of those documents as required under *Vaughn v. Rosen*, 484 F.2d 820 (D.C. Cir. 1973), *cert. denied*, 415 U.S. 977 (1974). As you are aware, a *Vaughn* index must describe each document claimed as exempt with sufficient specificity “to permit a reasoned judgment as to whether the material is actually exempt under FOIA.”<sup>6</sup> Moreover, the *Vaughn* index “must describe *each* document or portion thereof withheld, and for *each* withholding it must discuss the consequences of disclosing the sought-after information.”<sup>7</sup> Further, “the withholding agency must supply ‘a relatively detailed justification, specifically identifying the reasons why a particular exemption is relevant and correlating those claims with the particular part of a withheld document to which they apply.’”<sup>8</sup>

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perfection by anyone. At this stage of the case, the Court cannot assume that each and every work related email in the [personal] account was duplicated in [the official’s] work email account.” (citations omitted).

<sup>4</sup> Presidential Memorandum—Managing Government Records, 76 Fed. Reg. 75,423 (Nov. 28, 2011), <https://obamawhitehouse.archives.gov/the-press-office/2011/11/28/presidential-memorandum-managing-government-records>; Office of Mgmt. & Budget, Exec. Office of the President, Memorandum for the Heads of Executive Departments & Independent Agencies, “Managing Government Records Directive,” M-12-18 (Aug. 24, 2012), <https://www.archives.gov/files/records-mgmt/m-12-18.pdf>.

<sup>5</sup> FOIA Improvement Act of 2016 § 2 (Pub. L. No. 114-185).

<sup>6</sup> *Founding Church of Scientology v. Bell*, 603 F.2d 945, 949 (D.C. Cir. 1979).

<sup>7</sup> *King v. U.S. Dep’t of Justice*, 830 F.2d 210, 223–24 (D.C. Cir. 1987) (emphases in original).

<sup>8</sup> *Id.* at 224 (citing *Mead Data Central, Inc. v. U.S. Dep’t of the Air Force*, 566 F.2d 242, 251 (D.C. Cir. 1977)).

In the event some portions of the requested records are properly exempt from disclosure, please disclose any reasonably segregable non-exempt portions of the requested records. If it is your position that a document contains non-exempt segments, but that those non-exempt segments are so dispersed throughout the document as to make segregation impossible, please state what portion of the document is non-exempt, and how the material is dispersed throughout the document.<sup>9</sup> Claims of nonsegregability must be made with the same degree of detail as required for claims of exemptions in a *Vaughn* index. If a request is denied in whole, please state specifically that it is not reasonable to segregate portions of the record for release.

**You should institute a preservation hold on information responsive to this request.** American Oversight intends to pursue all legal avenues to enforce its right of access under FOIA, including litigation if necessary. Accordingly, State is on notice that litigation is reasonably foreseeable.

To ensure that this request is properly construed, that searches are conducted in an adequate but efficient manner, and that extraneous costs are not incurred, American Oversight welcomes an opportunity to discuss its request with you before you undertake your search or incur search or duplication costs. By working together at the outset, American Oversight and State can decrease the likelihood of costly and time-consuming litigation in the future.

Where possible, please provide responsive material in electronic format by email or in PDF or TIF format on a USB drive. Please send any responsive material being sent by mail to American Oversight, 1030 15th Street NW, Suite B255, Washington, DC 20005. If it will accelerate release of responsive records to American Oversight, please also provide responsive material on a rolling basis.

### **Fee Waiver Request**

In accordance with 5 U.S.C. § 552(a)(4)(A)(iii) and 22 C.F.R. § 171.16(a), American Oversight requests a waiver of fees associated with processing this request for records. First, the subject of this request concerns the operations of the federal government, and the disclosures will likely contribute to a better understanding of relevant government procedures by the general public in a significant way.<sup>10</sup> Second, the request is primarily and fundamentally for non-commercial purposes.<sup>11</sup>

Under the public interest requirement, FOIA requesters must satisfy four factors.<sup>12</sup> American Oversight has met these four factors for the reasons set forth below. The subject matter of the requested records specifically relates to the operations or activities of the government, because it

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<sup>9</sup> *Mead Data Central*, 566 F.2d at 261.

<sup>10</sup> 22 C.F.R. § 171.16(a)(1).

<sup>11</sup> 22 C.F.R. § 171.16(a)(2).

<sup>12</sup> *D.C. Technical Assistance Org. Inc. v. U.S. Dep't of Hous. and Urban Dev. (D.C. Technical Assistance)*, 85 F.Supp.2d 46, 48-49 (D.D.C. 2000) (requested documents will contribute to “greater understanding of government activities”).

directly concerns the U.S. government's diplomatic relationship with a key ally and has the potential to shed light on, among other matters, whether the U.S. government expended diplomatic resources to secure a Nobel Prize nomination for President Trump. The requested documents will be "likely to contribute" to an understanding of specific government operations because of their potential to shed light on personal interests shaping the State Department's foreign policy decision-making in a manner not in the national interest.

Increasing the likelihood that disclosure of these records will contribute significantly to public understanding, American Oversight's objective is to reveal to the public at large any information it receives related to this FOIA request. American Oversight has the capacity to disseminate this information as it posts all records to its public websites and publishes analyses of its records. In the past, the organization has successfully informed the public of specific government activities and operations. As an example, American Oversight obtained Education Secretary DeVos's calendar entries, which revealed Secretary DeVos's frequent absences from office and the influence of charter schools and for-profit colleges on the Education Department.<sup>13</sup> The *New York Times* and CNN relied on American Oversight's analyses to report on Secretary DeVos's priorities within the Department of Education.<sup>14</sup>

Disclosure will contribute to a greater understanding on the part of the public at large about the content of the State Department's engagement with Japan on the topic of Nobel Prize nominations and, potentially, the use of government resources to secure a Nobel Prize nomination for President Trump. Disclosure will "significantly" contribute to the public's understanding of government activities or operations because little to no information is currently publicly available regarding the role of the U.S. government in encouraging Japan to nominate President Trump for a Nobel Prize. The subject of this request is a matter of public interest,<sup>15</sup> and the public's understanding of the government's activities would be enhanced through American Oversight's analysis and publication of these records.

American Oversight's request is also primarily and fundamentally for non-commercial purposes.<sup>16</sup> As a 501(c)(3) nonprofit, American Oversight does not have a commercial purpose and the release of the information requested is not in American Oversight's financial interest. American Oversight's mission is to promote transparency in government, to educate the public about

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<sup>13</sup> See *Influence & Access at the Department of Education*, AMERICAN OVERSIGHT (Oct. 27, 2017), <https://www.americanoversight.org/investigation/influence-access-at-the-department-of-education>; *Unexcused Absences: DeVos Calendars Show Frequent Days Off*, AMERICAN OVERSIGHT (Oct. 27, 2017), <https://www.americanoversight.org/unexcused-absences-devos>.

<sup>14</sup> Eric Lipton, *Betsy DeVos's School Schedule Shows Focus on Religious and Nontraditional Schools*, N.Y. TIMES, Oct. 27, 2017, <https://www.nytimes.com/2017/10/27/us/politics/betsy-devos-work-schedule-education.html>; Gregory Wallace et. al., *What Betsy DeVos's Schedule Tells Us About Her Agenda*, CNN (Oct. 29, 2017, 12:22 PM), <http://www.cnn.com/2017/10/28/politics/devos-schedules-education/index.html>.

<sup>15</sup> See *supra* note 14.

<sup>16</sup> 22 C.F.R. § 171.16(a)(2)(i)-(iii).

government activities, and to ensure the accountability of government officials. American Oversight uses the information gathered, and its analysis of it, to educate the public through reports, press releases, or other media. American Oversight also makes materials it gathers available on our public website and promotes their availability on social media platforms, such as Facebook and Twitter.<sup>17</sup> American Oversight has demonstrated its commitment to the public disclosure of documents and creation of editorial content. For example, after receiving records regarding an ethics waiver received by a senior DOJ attorney, American Oversight promptly posted the records to its website<sup>18</sup> and published an analysis of what the records reflected about DOJ's process for ethics waivers.<sup>19</sup> As an additional example, American Oversight has a project called "Audit the Wall," where the organization is gathering and analyzing information and commenting on public releases of information related to the administration's proposed construction of a barrier along the U.S.-Mexico border.<sup>20</sup>

Accordingly, American Oversight qualifies for a fee waiver.

### Conclusion

We share a common mission to promote transparency in government. American Oversight looks forward to working with State on this request. If you do not understand any part of this request, have any questions, or foresee any problems in fully releasing the requested records, please contact Dan McGrath at [foia@americanoversight.org](mailto:foia@americanoversight.org) or 202.897.4213. Also, if American Oversight's

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<sup>17</sup> American Oversight currently has approximately 12,200 page likes on Facebook and 54,100 followers on Twitter. American Oversight, FACEBOOK, <https://www.facebook.com/weareoversight> (last visited Apr. 16, 2019); American Oversight (@weareoversight), TWITTER, <https://twitter.com/weareoversight> (last visited Apr. 16, 2019).

<sup>18</sup> *DOJ Records Relating to Solicitor General Noel Francisco's Recusal*, AMERICAN OVERSIGHT, <https://www.americanoversight.org/document/doj-civil-division-response-noel-francisco-compliance>.

<sup>19</sup> *Francisco & the Travel Ban: What We Learned from the DOJ Documents*, AMERICAN OVERSIGHT, <https://www.americanoversight.org/francisco-the-travel-ban-what-we-learned-from-the-doj-documents>.

<sup>20</sup> *Audit the Wall*, AMERICAN OVERSIGHT, <https://www.americanoversight.org/investigation/audit-the-wall>.

request for a fee waiver is not granted in full, please contact us immediately upon making such a determination.

Sincerely,

A handwritten signature in blue ink, appearing to read 'MS', is positioned below the word 'Sincerely,'.

Melanie Sloan  
Senior Advisor  
American Oversight