



UNITED STATES DEPARTMENT *of* JUSTICE

Overview of the Annual Freedom of Information Act Report and Quarterly FOIA Reports



Agenda

- Annual FOIA Report
 - Statutory Requirements
 - Overview of Process and General Guidance
 - Section-by-Section Overview of the Annual Report
 - Tips and Tricks
- Quarterly FOIA Reports



5 U.S.C. § 552(e)

FOIA requires agencies to submit a report to the Attorney General each year covering the preceding fiscal year.

Statute provides that the Attorney General:

- In consultation with the Director of OMB, shall develop reporting and performance guidelines for these reports, and
- May establish additional requirements for reports that may be useful.



Posting Raw Data

- The raw, statistical data used in the agency's Annual FOIA Report must be made available for public inspection without charge in an electronic, aggregated, searchable format, that may be downloadable in bulk.
- OIP issued [guidance](#) in 2016 on how agencies can meet this requirement.



Open Government Directive

- Requires agency Annual FOIA Reports to be published in a machine-readable, open format, in addition to the regular human-readable format.
- Accordingly, DOJ requires agencies to provide their data in a specified NIEM-XML format for uniformity and uploading onto FOIA.gov.



Using FOIA.gov to Complete the Annual FOIA Report

- Agencies are required to submit their report to OIP using the FOIA.gov Annual Report Tool.
- Each agency has at least one Agency Manager account holder who will be able to create and submit the agency's report.
- If agencies require assistance using the FOIA.gov tool, contact OIP.



FOIA.gov Annual Report Tool

- Has built-in math and logic checks to assist agencies in compiling their data.
- Generates the charts for the human-readable version of the report and the machine-readable NIEM-XML.
- Agencies **must** use the charts produced by the tool as the basis of their human readable reports to ensure consistency between the two versions.



Annual FOIA Report Handbook

Explains the legal, procedural, and technical requirements for the Annual FOIA Report:

- Chapter I: Describes the scope and overall process for completing the report.
- Chapter II: Provides guidance for FOIA professionals regarding data entry and case management, which also apply to the Annual FOIA Report.
- Chapter III: Provides step-by-step instructions for completing the report in FOIA.gov.

Posted on OIP's Reports page: <https://www.justice.gov/oip/reports-1>



Using Raw Data to Prepare Report

- We encourage agencies to review their raw data before aggregating the metrics for the FOIA.gov Annual Report Tool, to the extent feasible.
- For decentralized agencies, this includes reviewing each component's data.
- Validating the raw data first, if feasible, reduces discrepancies in the consolidated report.



Using Raw Data to Prepare Report

By beginning with the raw data, agencies can:

- Address discrepancies pertaining to individual requests and update the tracking system early in the review process.
- Consolidate and clear the final report more efficiently.
- Improve data quality by identifying requests that need refinement in how they are labeled for tracking and closure.



Using Raw Data to Prepare Report:

Agencies can identify potential corrections earlier in the process, such as:

- Discrepancies in numbers of pending requests, appeals, and consultations across fiscal years
- Perfected dates
- “Other” dispositions used
- Ex. 3 statutes used (see Ex. 3 [charts](#))
- Calculate medians, averages, # of days
- Ensure requests have all applicable data entered



Overview of Process for Fiscal Year 2023

1. **After September 30**, begin verifying your raw data and completing the Annual Report in FOIA.gov.
2. Resolve any validation errors in FOIA.gov.
3. Submit the draft report to OIP in FOIA.gov by **no later than November 13, 2023**.
 - Notify OIP by emailing DOJ.OIP.FOIA@usdoj.gov once your agency submits the report.



Overview of Process for Fiscal Year 2023

4. Make any necessary corrections resulting from the OIP review process.
5. Use the charts provided by OIP to complete the human-readable version of your Annual FOIA Report.



Overview of Process for Fiscal Year 2023

- 6. Before March 1**, post both the open format NIEM-XML and human-readable versions of your Annual FOIA Reports on your website and provide the links to OIP for aggregation on DOJ's website.
- 7. Post the raw data for the FY 2023 report on your website.** Agencies will be required to provide a link to their raw data in their Chief FOIA Officer Reports.



Scope - Types of Requests

Continue to give incoming requests the potential benefit of access under both the FOIA and the Privacy Act (PA).

Do include PA requests in the Annual Report when FOIA applies. FOIA applies when:

- A search goes beyond PA “system of records,” and so involves a FOIA search, or
- PA exemptions apply to the records, so access under the FOIA is considered.



Scope - Types of Requests

Do not include Privacy Act requests in the Annual Report when:

- You do not use the FOIA in any way to process the request.
- You search exclusively within PA “system of records”, and you do not claim any PA exemptions.



General Guidance Points for Sections

IV – XII

- Ensure accurate data and reliable systems so that the Report is accurate and meaningful.
- **All fields are required**, even if your agency does not have data to report in a particular section. Enter N/A or 0 as indicated in the guidance.
- Carefully follow the directions in the DOJ Annual FOIA Report Handbook.



General Guidance Points for Sections IV – XII

- For processing times and days pending, count days from receipt of a perfected request; use working days, unless otherwise stated.
- Section V of the Report reflects both perfected & non-perfected “purported” requests, whereas Section VII (“Response Time”) reflects perfected requests only.




FOIA.gov Access and Home Page

- Go to admin.foia.gov
- Log in using Max.gov (PIV or authenticator app)
- Refer to the Agency Manager Guide for instructions
- From the Home page you can:
 - Edit your agency's information
 - Create or Upload an Annual Report
 - Create Quarterly Reports
 - See status of existing reports



Logging into the FOIA.gov Tool

 National FOIA Portal

Log in

Username *

Enter your National FOIA Portal username.

Password *

Enter the password that accompanies your username.

[Login via MAX.gov](#)

Note: All agency users, except National Railroad Passenger Corporation (Amtrak), are required to login via MAX.gov authentication.



Creating or Uploading a Report

Annual FOIA Report

[Add new Annual FOIA Report](#)

[Upload Annual FOIA Report data](#)





Agency Info

- Agency Name
- Agency Abbreviation
- Component Check Boxes
- Report Year
- Date

Guidance: Decentralized agencies should check off the acronyms for all components that are reporting this year. Centralized agencies should check off the only acronym that appears.



Create Annual FOIA Report Data ☆

[Home](#) » [Add content](#)

Agency Info *

IV. Exemption 3 Statutes

V.A. FOIA REQUESTS — RECEIVED, PROCESSED AND PENDING FOIA REQUESTS

V.B.(1). DISPOSITION OF FOIA REQUESTS — ALL PROCESSED REQUESTS

V.B.(2). DISPOSITION OF FOIA REQUESTS — "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"

V.B.(3). DISPOSITION OF FOIA REQUESTS — NUMBER OF TIMES EXEMPTIONS APPLIED

VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS — RECEIVED, PROCESSED, AND

Agency Info

If the agency's FOIA information is reported by 'component' (sub-organization, office, division), the components must be defined here. Component abbreviations entered here are available throughout this workbook in each component. Select all active components that should appear in your agency's report. If a component is added, data must be entered in all fields for that component. Components that are not selected will remove all data fields for the component.

Agency *

Agency Abbreviation

Components

Select all active components.

FOIA Annual Report Year

Date Prepared

Date must be formatted as YYYY-MM-DD

E.g. 1979-01-29

Components

Antitrust

ATF

BOP

Civil

Civil Rights

COPS

Criminal

CRS

DEA



Reporting Features

- **Cloning a Previous Year's Report:**
Agencies may “clone” an existing report and automatically or manually clear the old data so components are easily populated throughout each report section.
- **Adding Placeholders for Components**
When creating a new blank report, the Add Placeholder button allows agencies to add all components section-by-section.



Reporting Features

- To clone an existing report, please contact OIP. Please follow the instructions in the Handbook carefully to ensure you remove old data.
- Cloning is most useful for decentralized agencies that cannot upload an XML file.



Reporting Features

- DOJ Annual FOIA Report Handbook includes instructions on how to add placeholders for all components to each section.
- This is useful for agencies building their reports from scratch (not cloning or uploading an XML).

Add placeholders for component data below

Use this button when starting a new report, to quickly add placeholders for all of the components that you have selected in the checkboxes above.



Reporting Features

- **Split Form View** This functionality gives agencies two options for adding or editing data: the "Default" view of all the tabs and a "Split" view, showing each tab individually.



Reporting Features

- DOJ Annual FOIA Report Handbook includes instructions on how to view the report in default or split view.
- Split view is best suited for agencies with a lot of components that experienced significant slowness in adding components, adding Ex. 3 statutes, saving, or otherwise editing data.





Section IV: Exemption 3 Statutes

- Statute Citation
- Type of Information Withheld
- Case Citation (if applicable)
- Number of Times Relied Upon by Agency/Component
- Total Number of Times Relied Upon by Agency

Guidance: “Total” must be equal to/greater than total Ex. 3 citations in Section V.B.3



Section IV: Exemption 3 Statutes

STATUTE [Show row weights](#)

✚ Statute

Statute	Statute
Agency/Component	<input type="text"/>
	Type of Information Withheld
	<input type="text"/>
	Case Citation
	<input type="text"/>

STATUTE [Show row weights](#)

✚ Statute [Remove](#)

Statute	Show row weights
Agency/Component	AGENCY/COMPONENT INFORMATION
	✚ Statute Ag... Remove
	Agency/Component - None - ▾
	Number of Times Relied Upon by Agency/Component <input type="text"/>
	Add Statute Agency Details

Guidance: “Total” must be equal to/greater than total Ex. 3 citations in Section V.B.3



Section V: Types of Requests

For charts in this Section, include all “purported” FOIA requests, both perfected and non-perfected.



Section V.A: Received, Processed, & Pending FOIA Requests

1. Number of Requests Pending as of Start of FY
2. Number of Requests Received During FY
3. Number of Requests Processed During FY
4. Number of Requests Pending as of End of FY

Guidance: $1. + 2. - 3. (\text{must}) = 4.$

This is auto-calculated for you.



Section V.A: Received, Processed, & Pending FOIA Requests

<p>IV. Exemption 3 Statutes</p> <p>V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS</p> <p>V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS</p> <p>V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"</p> <p>V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED</p>	<p>FOIA REQUESTS V. A.</p> <p>✚ FOIA Requests V. A.</p> <p>Agency/Component - None - ▾</p> <p>Number of Requests Pending as of Start of Fiscal Year <input type="text"/></p> <p>Number of Requests Received in Fiscal Year <input type="text"/></p> <p>Number of Requests Processed in Fiscal Year <input type="text"/></p> <p>Number of Requests Pending as of End of Fiscal Year <input type="text"/></p>
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Guidance: 1. + 2. - 3. (must) = 4.



Section V.B.1: Disposition of FOIA Requests – All Processed Requests

Dispositions to use when records were located and processed for release:

- Full Grant
- Partial Grant/Partial Denial
- Full Denial Based On Exemptions



Section V.B.1: Disposition of FOIA Requests – All Processed Requests

Whenever possible, use “Full Grant,” “Partial Grant/Partial Denial,” or “Full Denial” dispositions to close a FOIA request.

Guidance: Partial Grant/Partial Denial should be used when information is released, even if the “partial denial” is based on a procedural reason.



Section V.B.1: Disposition of FOIA Requests – All Processed Requests

Procedural Dispositions:

- No Records
- All Records Referred
- Request Withdrawn
- Fee-Related Reasons
- Records not Reasonably Described
- Improper FOIA Request
- Not an Agency Record
- Duplicate Request
- Other*



Section V.B.1: Disposition of FOIA Requests – All Processed Requests

FOIA REQUESTS V. B. (1)

FOIA Requests V. B. (1)

Agency/Component
Number of Full Denials Based on Reasons Other than Exemptions
Agency/Component: - None -
Number of Full Grants: <input type="text"/>
Number of Partial Grants/Partial Denials: <input type="text"/>
Number of Full Denials Based on Exemptions: <input type="text"/>
Total: <input type="text"/>

The total must match the number entered in the V.A.

FOIA Requests V. B. (1)

Agency/Component
Number of Full Denials Based on Reasons Other than Exemptions
No Records: <input type="text"/>
All Records Referred to Another Component or Agency: <input type="text"/>
Request Withdrawn: <input type="text"/>
Fee-Related Reason: <input type="text"/>
Records Not Reasonably Described: <input type="text"/>
Improper FOIA Request for Other Reason: <input type="text"/>
Not Agency Record: <input type="text"/>
Duplicate Request: <input type="text"/>
Other*: <input type="text"/>

*Explain in chart V.B.(2).



Section V.B.2: Disposition of FOIA Requests – “Other” Reasons

- Component/Agency
- Description of “Other” Reason
- Number of Times each “Other” Reason Used
- Total Number of “Other” Closures

Guidance: Total number must match total number of “other” closures in Section V.B.1 ³⁸



Section V.B.2: Other-Other FOIA Requests

– “Other” Reasons

Procedural Dispositions:

- Aggregate Cases
- Court Sealed
- Directed Requester to Another Entity Subject to the FOIA
- Litigation
- Unable to Locate or Contact Requester
- Directed Requester to Publicly Available Information
- Referred Not Responsive



Section V.B.2: Disposition of FOIA Requests – “Other” Reasons

Agency/Component
"Other" Reasons for Denials
<div><p>FOIA REQUEST B.2 INFORMATION</p><p>+ FOIA Requests V. B. (2) Other Deni...</p><p>Description of "Other" Reasons for Denials from Chart B(</p><p>Directed Requester to Publicly Available Information</p><p>Number of Times "Other" Reason Was Relied Upon</p><p>5</p><p>+ FOIA Requests V. B. (2) Other Deni...</p><p>Description of "Other" Reasons for Denials from Chart B(</p><p>Litigation</p><p>Number of Times "Other" Reason Was Relied Upon</p><p>10</p><p>Add FOIA Requests V. B. (2) Other Denials Details</p></div>

Guidance: Total number must match total number of “other” closures in Section V.B.1 ⁴⁰



Section V.B.3: Disposition of FOIA Requests – No. of Times Exemptions Applied

- Total number of times the agency applied each exemption during the fiscal year

Guidance: Count each exemption only once per request.



Section V.B.3: Disposition of FOIA Requests – No. of Times Exemptions Applied

IV. Exemption 3 Statutes	FOIA REQUESTS V. B (3)
V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS	+ Number of Times Exemptions Applied
V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS	Agency/Component - None -
V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"	Ex. 1
V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED	Ex. 2
VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEAL	Ex. 3
VI.B. DISPOSITION OF ADMINISTRATIVE APPEALS -- ALL PROCESSED APPEALS	Ex. 4
VI.C.(1). REASONS FOR DENIAL ON APPEAL -- NUMBER OF TIMES EXEMPTIONS APPLIED	Ex. 5
VI.C.(2). REASONS FOR DENIAL ON APPEAL -- REASONS OTHER THAN EXEMPTIONS	Ex. 6
VI.C.(3). REASONS FOR DENIAL ON APPEAL -- "OTHER" REASONS	Ex. 7(A)
VI.C.(4). RESPONSE TIME FOR ADMINISTRATIVE APPEALS	Ex. 7(B)
VI.C.(5). TEN OLDEST PENDING ADMINISTRATIVE APPEALS	Ex. 7(C)
VII.A. FOIA REQUESTS -- RESPONSE TIME FOR ALL PROCESSED PERFECTED REQUESTS	Ex. 7(D)
VII.B. PROCESSED REQUESTS -- RESPONSE TIME FOR PERFECTED	Ex. 7(E)
	Ex. 7(F)
	Ex. 8
	Ex. 9

Guidance: Count each exemption as only applying once for each request



Section VI.A: Received, Processed, & Pending Appeals

1. Number of Appeals Pending as of Start of FY
2. Number of Appeals Received During FY
3. Number of Appeals Processed During FY
4. Number of Appeals Pending as of End of FY

Guidance: $1. + 2. - 3. \text{ (must) } = 4.$

This will be auto-calculated.



Section VI.A: Received, Processed, & Pending Appeals

Agency Info *	
IV. Exemption 3 Statutes	AGENCY OVERALL ADMINISTRATIVE APPEALS VI. A. OF APPEALS PENDING AS OF START OF FISCAL YEAR
V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS	+ Administrative Appeals VI. A.
V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS	Agency/Component - None - ▾
V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"	Number of Appeals Pending as of Start of Fiscal Year <input type="text"/>
V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED	Number of Appeals Received in Fiscal Year <input type="text"/>
	Number of Appeals Processed in Fiscal Year <input type="text"/>
	Number of Appeals Pending as of End of Fiscal Year <input type="text"/>

Guidance: 1. + 2. - 3. (must) = 4.



Section VI.B: Disposition of Administrative Appeals – All Processed Appeals

- Number Affirmed on Appeal
- Number Partially Affirmed & Partially Reversed/Remanded on Appeal
- Number Completely Reversed/Remanded on Appeal
- Number Closed for Other Reasons
- Total



Section VI.B: Disposition of Administrative Appeals – All Processed Appeals

Agency Info *	
IV. Exemption 3 Statutes	
V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS	
V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS	ADMINISTRATIVE APPEALS VI. B.
V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"	+ Administrative Appeals VI. B.
V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED	Agency/Component - None - ▾
VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEALS	Number Affirmed on Appeal <input type="text"/>
	Number Partially Affirmed & Partially Reversed/Remanded on Appeal <input type="text"/>
	Number Completely Reversed/Remanded on Appeal <input type="text"/>
	Number of Appeals Closed for Other Reasons <input type="text"/>
	Total <input type="text"/>
	The total must match the number entered in section VI.A 'Number of Appeals Processed' agency overall.



Section VI.C.1: Reasons for Denial on Appeal – No. of Times Exemptions Applied

- Total number of times the agency applied each exemption during the fiscal year on appeal

Guidance: Count each exemption as only applying once for each appeal



Section VI.C.1: Reasons for Denial On Appeal – No. of Times Exemptions Applied

IV. Exemption 3 Statutes	ADMINISTRATIVE APPEALS VI. C. (1)
V.A. FOIA REQUESTS --- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS	+ Number of Times Exemptions ... Agency/Component <input type="text" value="- None -"/>
V.B.(1). DISPOSITION OF FOIA REQUESTS --- ALL PROCESSED REQUESTS	Ex. 1 <input type="text"/>
V.B.(2). DISPOSITION OF FOIA REQUESTS --- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"	Ex. 2 <input type="text"/>
V.B.(3). DISPOSITION OF FOIA REQUESTS --- NUMBER OF TIMES EXEMPTIONS APPLIED	Ex. 3 <input type="text"/>
VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS --- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEALS	Ex. 4 <input type="text"/>
VI.B. DISPOSITION OF ADMINISTRATIVE APPEALS --- ALL PROCESSED APPEALS	Ex. 5 <input type="text"/>
VI.C.(1). REASONS FOR DENIAL ON APPEAL --- NUMBER OF TIMES EXEMPTIONS APPLIED	Ex. 6 <input type="text"/>
VI.C.(2). REASONS FOR DENIAL ON APPEAL --- REASONS OTHER THAN EXEMPTIONS	Ex. 7(A) <input type="text"/>
VI.C.(3). REASONS FOR DENIAL ON APPEAL --- "OTHER" REASONS	Ex. 7(B) <input type="text"/>
VI.C.(4). RESPONSE TIME FOR ADMINISTRATIVE APPEALS	Ex. 7(C) <input type="text"/>
VI.C.(5). TEN OLDEST PENDING ADMINISTRATIVE APPEALS	Ex. 7(D) <input type="text"/>
VI.A. FOIA REQUESTS --- RESPONSE TIME FOR ALL PROCESSED PERFECTED	Ex. 7(E) <input type="text"/>
	Ex. 7(F) <input type="text"/>
	Ex. 8 <input type="text"/>
	Ex. 9 <input type="text"/>



Section VI.C.2: Reasons for Denial On Appeal – Reasons Other than Exemptions

- No Records
- Records Referred at Initial Request Level
- Request Withdrawn
- Fee-Related Reasons
- Records not Reasonably Described
- Improper FOIA Request
- Not Agency Record
- Duplicate Request /Appeal
- In Litigation
- Appeal Based Solely on Denial of Req. for Exp. Processing
- Other*



Section VI.C.2: Reasons for Denial On Appeal – Reasons Other than Exemptions

IV. Exemption 3 Statutes	ADMINISTRATIVE APPEALS VI. C. (2)
V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS	+ Administrative Appeals VI. C (2)
V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS	Agency/Component - None -
V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"	No Records <input type="text"/>
V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED	Records Referred at Initial Request Level <input type="text"/>
VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEAL	Request Withdrawn <input type="text"/>
VI.B. DISPOSITION OF ADMINISTRATIVE APPEALS -- ALL PROCESSED APPEALS	Fee-Related Reason <input type="text"/>
VI.C.(1). REASONS FOR DENIAL ON APPEAL -- NUMBER OF TIMES EXEMPTIONS APPLIED	Records Not Reasonably Described <input type="text"/>
VI.C.(2). REASONS FOR DENIAL ON APPEAL -- REASONS OTHER THAN EXEMPTIONS	Improper FOIA Request for Other Reason <input type="text"/>
VI.C.(3). REASONS FOR DENIAL ON APPEAL -- "OTHER" REASONS	Not Agency Record <input type="text"/>
VI.C.(4). RESPONSE TIME FOR ADMINISTRATIVE APPEALS	Duplicate Request or Appeal <input type="text"/>
VI.C.(5). TEN OLDEST PENDING ADMINISTRATIVE APPEALS	Request in Litigation <input type="text"/>
VII.A. FOIA REQUESTS --	Appeal Based Solely on Denial of Request for Expedited Processing <input type="text"/>
	Other* <input type="text"/>
	* Explain in chart VI.C.(3).
	<input type="button" value="Add Administrative Appeals VI. C (2)"/>
	Agency Overall No Records <input type="text"/>



Section VI.C.3: Reasons for Denial On Appeal – “Other” Reasons

- Component/Agency
- Description of “Other” Reason
- Number of Times each “Other” Reason Used
- Total Number of “Other” Closures

Guidance: Total number must match total number of “other” closures in Section VI.C.2⁵¹



Section VI.C.3: Reasons for Denial on Appeal – “Other” Reasons

- Agency Performed Adequate Search
- Appeal Withdrawn
- Component has no request
- Improper Appeal
- Moot
- No component response to adjudicate
- Records deemed unresponsive
- Unable to locate or contact requester
- Untimely



Section VI.C.3: Reasons for Denial on Appeal – “Other” Reasons

If a component or the agency does not have other reasons to list, users should enter "N/A" for the Description and "0" for the Number of Times "Other" Reason was Relied Upon.

[Show row weights](#)

ADMINISTRATIVE APPEALS VI. C. (3)

+ Administrative Appeals VI. C (3) [Remove](#)

Agency/Component	
"Other" Reasons Information	<p>Show row weights</p> <p>ADMINISTRATIVE APPEAL VI.C.3 INFORMATION</p> <p>+ Administrative A... Remove</p> <p>Description of "Other" Reasons for Denials from Chart B(1)</p> <input type="text"/>
	<p>Number of Times "Other" Reason Was Relied Upon</p> <input type="text"/>

[Add Administrative Appeals VI. C \(3\) Other Denials Details](#)

[Add Administrative Appeals VI. C \(3\)](#)

Agency Overall Total

Footnotes (VI.C.(3.))

Guidance: Total number must match total number of “other” closures in Section VI.C.2



Section VI.C.4: Response Time for Administrative Appeals

- Median number of days to process
- Average number of days to process
- Lowest number of days to process
- Highest number of days to process



Section VI.C.4: Response Time for Administrative Appeals

<p>Agency info</p> <p>IV. Exemption 3 Statutes</p> <p>V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS</p> <p>V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS</p> <p>V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"</p> <p>V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED</p> <p>VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEALS</p> <p>VI.B. DISPOSITION OF ADMINISTRATIVE APPEALS -- ALL PROCESSED APPEALS</p> <p>VI.C.(1). REASONS FOR DENIAL ON APPEAL -- NUMBER OF TIMES EXEMPTIONS APPLIED</p> <p>VI.C.(2). REASONS FOR DENIAL ON APPEAL -- REASONS OTHER THAN EXEMPTIONS</p> <p>VI.C.(3). REASONS FOR DENIAL ON APPEAL -- "OTHER" REASONS</p> <p>VI.C.(4). RESPONSE TIME FOR ADMINISTRATIVE APPEALS</p> <p>VI.C.(5). TEN OLDEST PENDING ADMINISTRATIVE APPEALS</p>	<p style="text-align: right;">Show row weights</p> <p>ADMINISTRATIVE APPEALS VI. C. (4)</p> <p>⊕ Administrative Appeals VI. C (4) Remove</p> <p>Agency/Component - None - ▾</p> <p>Median Number of Days <input type="text"/></p> <p>Average Number of Days <input type="text"/></p> <p>Lowest Number of Days <input type="text"/></p> <p>Highest Number of Days <input type="text"/></p> <hr/> <p>This is the first section in which the "Agency Overall" information cannot be calculated from component information, and must be entered manually.</p> <p style="text-align: center;">Add Administrative Appeals VI. C (4)</p> <p>Agency Overall Median Number of Days <input type="text"/></p> <p>Agency Overall Average Number of Days <input type="text"/></p> <p>Agency Overall Lowest Number of Days <input type="text"/></p> <p>Agency Overall Highest Number of Days <input type="text"/></p> <p>Footnotes (VI.C.(4).) <div style="border: 1px solid gray; height: 60px; width: 100%;"></div></p> <p><small>Allows entry of any free-format notes associated with this section of the report.</small></p>
--	--



Section VI.C.5: Ten Oldest Pending Administrative Appeals

- Ten oldest pending administrative appeals at agency/component
- Date each administrative appeal was received and number of days pending as of the end of the fiscal year

Guidance: Data must be here if there are any pending appeals at the end of the fiscal year ⁵⁶



Section VI.C.5: Ten Oldest Pending Administrative Appeals

ADMINISTRATIVE APPEALS VI. C. (5)

Oldest Days Remove

Agency/Component
- None -

Oldest	Date	Number of Days Pending
2nd	<input type="text"/>	<input type="text"/>
3rd	<input type="text"/>	<input type="text"/>
4th	<input type="text"/>	<input type="text"/>
5th	<input type="text"/>	<input type="text"/>
6th	<input type="text"/>	<input type="text"/>
7th	<input type="text"/>	<input type="text"/>
8th	<input type="text"/>	<input type="text"/>
9th	<input type="text"/>	<input type="text"/>
10th	<input type="text"/>	<input type="text"/>

Add Oldest Days

Agency Overall Oldest Appeal

Agency Overall 2nd	<input type="text"/>
Agency Overall 3rd	<input type="text"/>
Agency Overall 4th	<input type="text"/>
Agency Overall 5th	<input type="text"/>

Agency Overall Date of Appeal

Date must be formatted as YYYY-MM-DD
E.g. 1979-01-29

Agency Overall Number of Days Pending

Guidance: Data must be here if there are any pending appeals at the end of the fiscal year



Section VII: FOIA Requests: Response Time for Processed & Pending Requests

- Include response times for perfected requests only.
- Begin counting from date of receipt of the perfected request.
- All agencies are required to have an expedited track.



Section VII: FOIA Requests: Response Time for Processed & Pending Requests

- If using a multi-track system, report for each track separately and use no more than the three designated tracks: simple, complex, and expedited.
- If not using multi-track system, must report separately requests which have been granted expedited processing.



Sections VII: Special Instructions

- If not using multi-track processing, report requests in either the simple or complex track, whichever best characterizes majority of the requests processed.
- For Sections VII.A/VII.B – if agency has no data to report for a specific track, input “N/A” instead of zero.



Section VII.A: Processed Requests – Response Time for All Perfected Requests

- Simple, Complex, & Expedited Processing Tracks
- For each Track, must report:
 - Median number of days to process
 - Average number of days to process
 - Lowest number of days to process
 - Highest number of days to process



Section VII.A: Processed Requests – Response Time for All Perfected Requests

<p>IV. Exemption 3 Statutes</p>	<p>PROCESSED REQUESTS VII. A.</p>
<p>V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS</p>	<p>⊕ Processed Requests VII. Remove</p>
<p>V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS</p>	<p>Simple Agency/Component</p> <p>Complex - None - ▾</p> <p>Expedited Processing</p>
<p>V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"</p>	<p>Median Number of Days</p> <p>Average Number of Days</p> <p>Lowest Number of Days</p> <p>Highest Number of Days</p>
<p>V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED</p>	<p>Add Processed Requests VII.</p>
<p>VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEALS</p>	<p>Agency Overall -- Simple</p> <p>Agency Overall -- Complex</p> <p>Agency Overall -- Expedited Processing</p>
<p>VI.B. DISPOSITION OF ADMINISTRATIVE APPEALS -- ALL PROCESSED APPEALS</p>	<p>Agency Overall Median Number of Days</p> <p>Agency Overall Average Number of Days</p> <p>Agency Overall Lowest Number of Days</p> <p>Agency Overall Highest Number of Days</p>
<p>VI.C.(1). REASONS FOR DENIAL ON APPEAL -- NUMBER OF TIMES EXEMPTIONS APPLIED</p>	<p>Footnotes (VII.A.)</p>
<p>VI.C.(2). REASONS FOR DENIAL ON APPEAL -- REASONS OTHER THAN EXEMPTIONS</p>	
<p>VI.C.(3). REASONS FOR DENIAL ON APPEAL -- "OTHER" REASONS</p>	
<p>VI.C.(4). RESPONSE TIME FOR ADMINISTRATIVE APPEALS</p>	
<p>VI.C.(5). TEN OLDEST PENDING ADMINISTRATIVE APPEALS</p>	



Section VII.B: Processed Requests – Response Time for Perfected Requests Where Information Was Granted

- Simple, Complex, & Expedited Processing Tracks
- For each Track, must report:
 - Median number of days to process
 - Average number of days to process
 - Lowest number of days to process
 - Highest number of days to process



Section VII.B: Processed Requests – Response Time for Perfected Requests Where Information Was Granted

<p>Agency Info *</p>	<p>"AGENCY OVERALL" information cannot be calculated from component information, and must be entered. Enter "N/A" for Median, Average, Lowest or Highest Number of Days if there are no requests for that track.</p>										
<p>IV. Exemption 3 Statutes</p>	<p align="right">Show row weights</p>										
<p>V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS</p>	<p>PROCESSED REQUESTS VII. B.</p>										
<p>V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS</p>	<p>+ Processed Requests VII. Remove</p>										
<p>V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"</p>	<table border="1"> <tr> <td data-bbox="753 767 1023 810"> <p>Simple</p> </td> <td data-bbox="1023 767 1676 810"> <p>Agency/Component -- None --</p> </td> </tr> <tr> <td data-bbox="753 810 1023 853"> <p>Complex</p> </td> <td data-bbox="1023 810 1676 853"> <p>Median Number of Days <input type="text"/></p> </td> </tr> <tr> <td data-bbox="753 853 1023 896"> <p>Expedited Processing</p> </td> <td data-bbox="1023 853 1676 896"> <p>Average Number of Days <input type="text"/></p> </td> </tr> <tr> <td data-bbox="753 896 1023 940"> <p><input type="text"/></p> </td> <td data-bbox="1023 896 1676 940"> <p>Lowest Number of Days <input type="text"/></p> </td> </tr> <tr> <td data-bbox="753 940 1023 983"> <p><input type="text"/></p> </td> <td data-bbox="1023 940 1676 983"> <p>Highest Number of Days <input type="text"/></p> </td> </tr> </table>	<p>Simple</p>	<p>Agency/Component -- None --</p>	<p>Complex</p>	<p>Median Number of Days <input type="text"/></p>	<p>Expedited Processing</p>	<p>Average Number of Days <input type="text"/></p>	<p><input type="text"/></p>	<p>Lowest Number of Days <input type="text"/></p>	<p><input type="text"/></p>	<p>Highest Number of Days <input type="text"/></p>
<p>Simple</p>	<p>Agency/Component -- None --</p>										
<p>Complex</p>	<p>Median Number of Days <input type="text"/></p>										
<p>Expedited Processing</p>	<p>Average Number of Days <input type="text"/></p>										
<p><input type="text"/></p>	<p>Lowest Number of Days <input type="text"/></p>										
<p><input type="text"/></p>	<p>Highest Number of Days <input type="text"/></p>										
<p>V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED</p>	<p>Add Processed Requests VII.</p>										
<p>V.I.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEALS</p>	<table border="1"> <tr> <td data-bbox="732 1206 995 1249"> <p>Agency Overall Simple</p> </td> <td data-bbox="995 1206 1676 1249"> <p>Agency Overall Median Number of Days <input type="text"/></p> </td> </tr> <tr> <td data-bbox="732 1249 995 1292"> <p>Agency Overall -- Complex</p> </td> <td data-bbox="995 1249 1676 1292"> <p>Agency Overall Average Number of Days <input type="text"/></p> </td> </tr> <tr> <td data-bbox="732 1292 995 1335"> <p>Agency Overall -- Expedited Processing</p> </td> <td data-bbox="995 1292 1676 1335"> <p>Agency Overall Lowest Number of Days <input type="text"/></p> </td> </tr> <tr> <td data-bbox="732 1335 995 1378"> <p><input type="text"/></p> </td> <td data-bbox="995 1335 1676 1378"> <p>Agency Overall Highest Number of Days <input type="text"/></p> </td> </tr> </table>	<p>Agency Overall Simple</p>	<p>Agency Overall Median Number of Days <input type="text"/></p>	<p>Agency Overall -- Complex</p>	<p>Agency Overall Average Number of Days <input type="text"/></p>	<p>Agency Overall -- Expedited Processing</p>	<p>Agency Overall Lowest Number of Days <input type="text"/></p>	<p><input type="text"/></p>	<p>Agency Overall Highest Number of Days <input type="text"/></p>		
<p>Agency Overall Simple</p>	<p>Agency Overall Median Number of Days <input type="text"/></p>										
<p>Agency Overall -- Complex</p>	<p>Agency Overall Average Number of Days <input type="text"/></p>										
<p>Agency Overall -- Expedited Processing</p>	<p>Agency Overall Lowest Number of Days <input type="text"/></p>										
<p><input type="text"/></p>	<p>Agency Overall Highest Number of Days <input type="text"/></p>										
<p>V.I.B. DISPOSITION OF ADMINISTRATIVE APPEALS -- ALL PROCESSED APPEALS</p>	<p>Footnotes (VII.B.) <input type="text"/></p>										
<p>V.I.C.(1). REASONS FOR DENIAL ON APPEAL -- NUMBER OF TIMES EXEMPTIONS APPLIED</p>											
<p>V.I.C.(2). REASONS FOR DENIAL ON APPEAL -- REASONS OTHER THAN EXEMPTIONS</p>											
<p>V.I.C.(3). REASONS FOR DENIAL ON APPEAL -- "OTHER" REASONS</p>											
<p>V.I.C.(4). RESPONSE TIME FOR ADMINISTRATIVE APPEALS</p>											
<p>V.I.C.(5). TEN OLDEST PENDING ADMINISTRATIVE APPEALS</p>											



Section VII.C.1: Processed Requests – Response Time in Day Increments

For Each Track – Simple, Complex, Expedited

- Total number of requests processed in the simple track by amount of time to process
- 13 periods, from 1-20 days to 401+ days
- Number of requests in each time period added together equals total number of requests in simple track



Section VII.C.: Processed Requests – Response Time in Day Increments

IV. Exemption 3 Statutes	PROCESSED REQUESTS VII. C. (1)
V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS	+ Processed Requests VII. C.
V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS	Agency/Component - None - ▼
V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"	<1-20 Days <input type="text"/>
V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED	21-40 Days <input type="text"/>
VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEAL	41-60 Days <input type="text"/>
VI.B. DISPOSITION OF ADMINISTRATIVE APPEALS -- ALL PROCESSED APPEALS	61-80 Days <input type="text"/>
VI.C.(1). REASONS FOR DENIAL	81-100 Days <input type="text"/>
	101-120 Days <input type="text"/>
	121-140 Days <input type="text"/>
	141-160 Days <input type="text"/>



Sections VII.C: Special Instructions

- If no data to report in any of the Section VII.C charts, input zero for each of the time periods.
- The total number of requests captured in charts VII.C.1, VII.C.2, & VII.C.3 should be equal to or less than the total number of requests processed from Section V.B.1.



Section VII.D: Pending Requests – All Pending Perfected Requests

For Each Track – Simple, Complex, Expedited

- For each Track report:
 - Number of requests pending
 - Median number of days pending
 - Average number of days pending



Section VII.D: Special Instructions

- If no requests pending in a particular track at the end of the fiscal year, input “0” for number pending and “N/A” for median and average number of days pending.
- If the agency has perfected requests pending at the end of the fiscal year, this data must be equal to or less than the number pending in section V.A.



Section VII.D: Pending Requests – All Pending Perfected Requests

Agency Info *

IV. Exemption 3 Statutes

V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS

V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS

V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"

V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED

VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS

"AGENCY OVERALL" information cannot be calculated from component information, and must be entered. If there are no pending requests for a track, enter "0" for number pending and "N/A" for Median and Average Number of Days.

[Show row weights](#)

PENDING REQUESTS VII. D.

⊕ Pending Requests VII. D.

Remove

Agency/Component

- None - ▼

Simple

Complex

Expedited Processing

Number Pending

Median Number of Days

Average Number of Days



Section VII.E: Pending Requests – Ten Oldest Pending Perfected Requests

- Ten oldest pending perfected requests at agency/component
- Date each request was received and number of days pending as of the end of the fiscal year

Guidance: If there is data in Section VII.D, then data must be reported in this section



Section VII.E: Special Instructions

- If no requests to list in this chart, or fewer than ten to report, input “N/A” into the “Date of Receipt” field and input “0” for the “Number of Days Pending.”
- If one of the requests listed in this chart for your agency has been tolled, please enter requests in order based on the number of days pending.



Section VII.E: Pending Requests – Ten Oldest Pending Perfected Requests

"AGENCY OVERALL" information cannot be calculated from component information, and must be entered. In the date field enter the date the request was received. If there are no pending perfected requests for a component, enter "N/A" for Date of Receipt and "0" for Days Pending.

[Show row weights](#)

PENDING REQUESTS VII. E.

⊕ Oldest Days Remove

Agency/Component
- None -

Oldest	Date	Number of Days Pending
2nd	<input type="text"/>	<input type="text"/>
3rd	<input type="text"/>	<input type="text"/>
4th	<input type="text"/>	<input type="text"/>
5th	<input type="text"/>	<input type="text"/>
6th	<input type="text"/>	<input type="text"/>
7th	<input type="text"/>	<input type="text"/>
8th	<input type="text"/>	<input type="text"/>
9th	<input type="text"/>	<input type="text"/>
10th	<input type="text"/>	<input type="text"/>

Date must be formatted as YYYY-MM-DD
E.g. 1979-01-29

Guidance: If there is data in Section VII.D, then data must be reported in this section



Section VIII: Requests for Expedited Processing & Requests for Fee Waiver

- Report only requests for expedited processing and requests for fee waiver which the agency adjudicated during the fiscal year, i.e. granted or denied.
- Do not report requests which became moot for various reasons and were thus, neither granted or denied.



Section VIII.A: Requests for Expedited Processing

- Expedited Processing – count calendar days starting the day the request for expedition is received through the day you provide notice to the Requester of your determination to grant or deny the request.



Section VIII.A: Requests for Expedited Processing

- Number of Requests Granted
- Number of Requests Denied
- Median Number of Days to Adjudicate
- Average Number of Days to Adjudicate
- Number Adjudicated within 10 Calendar Days



Section VIII.A: Requests for Expedited Processing

V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS	REQUESTS VIII. A.
V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS	✚ Requests VIII. A.
V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"	Agency/Component <input type="text" value="- None -"/>
V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED	Number Granted <input type="text"/> Must contain non-negative integers.
VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEAL	Number Denied <input type="text"/> Must contain non-negative integers.
VI.B. DISPOSITION OF ADMINISTRATIVE APPEALS -- ALL PROCESSED APPEALS	Median Number of Days to Adjudicate <input type="text"/> Must contain non-negative decimal numbers, or the special value "N/A".
	Average Number of Days to Adjudicate <input type="text"/> Must contain non-negative decimal numbers, or the special value "N/A".
	Number Adjudicated Within Ten Calendar Days <input type="text"/> Must contain non-negative decimal numbers, or the special value "N/A".



Section VIII.B: Requests for Fee Waiver

- Fee Waiver – count working days from the day you determine that fees will be assessed, if a fee waiver was requested, through the day you make the determination whether to grant or deny the fee waiver.
- If no fees are assessed, request for fee waivers are moot & should not be counted.



Section VIII.B: Requests for Fee Waiver

- Number of Requests for Fee Waiver Granted
- Number of Requests Fee Waiver Denied
- Median Number of Days to Adjudicate Request
- Average Number of Days to Adjudicate Request



Section VIII.B: Requests for Fee Waiver

IV. Exemption 3 Statutes	REQUESTS FOR FEE WAIVER VIII. B.
V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS	✚ Requests VIII. B.
V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS	Agency/Component <input type="text" value="- None -"/>
V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"	Number Granted <input type="text"/> Must contain non-negative integers.
V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED	Number Denied <input type="text"/> Must contain non-negative integers.
VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEAL	Median Number of Days to Adjudicate <input type="text"/> Must contain non-negative decimal numbers, or the special value "N/A". Average Number of Days to Adjudicate <input type="text"/> Must contain non-negative decimal numbers, or the special value "N/A".



Section VIII Special Instructions

- If no requests for either expedited processing or fee waiver were adjudicated during the fiscal year, then the “Median” or “Average” number of days to adjudicate in either Section VIII.A or VIII.B should be reported as N/A instead of zero.



Section IX: FOIA Personnel & Costs

1. Number of “Full-Time” FOIA Employees
2. Number of “Equivalent Full-Time FOIA Employees”
3. Total Number of “Full-Time” FOIA Staff
4. Processing Costs
5. Litigation-Related Costs
6. Total Costs

Guidance: 1. + 2. = 3. 4. + 5. = 6.



Section IX Special Instructions

- “Equivalent full-time FOIA employee” – created by adding together the % of time dedicated to FOIA duties by employees performing less than full-time FOIA work. Each time 100% is reached, the time expended is counted as one "equivalent full-time FOIA employee."
- If an agency processed FOIA requests during the fiscal year, some amount of personnel data must be reported.



Section IX Special Instructions

- **Processing Costs** – Administrative cost for processing both initial requests and administrative appeals.
- If an agency processed FOIA requests during the fiscal year, processing costs data must be reported.
- Agency budgets will be helpful resources to determine processing and litigation costs.



Section IX Special Instructions

- **Litigation-Related Costs** – Sum of all costs expended by the agency in litigating FOIA requests.
- Includes salaries of personnel involved in FOIA litigation, litigation overhead, attorney fees and costs, and any other FOIA litigation-related expenses.



Section IX: FOIA Personnel & Costs

<p>IV. Exemption 3 Statutes</p>	<p>FOIA PERSONNEL AND COSTS IX.</p>	
<p>V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS</p>	<p>✚ FOIA Personnel and Costs IX.</p> <p>Agency/Component <input type="text" value="- None -"/></p>	
<p>V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS</p>	<p>PERSONNEL</p>	<p>Number of "Full-Time FOIA Employees" <input type="text"/></p>
<p>V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"</p>	<p>COSTS</p>	<p>Number of "Equivalent Full-Time FOIA Employees" <input type="text"/></p> <p>Total Number of "Full-Time FOIA Staff" <input type="text"/></p>
<p>V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED</p>	<p>Add FOIA Personnel and Costs IX.</p>	
<p>VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEALS</p>	<p>Agency Overall PERSONNEL</p>	<p>Agency Overall Number of "Full-Time FOIA Employees" <input type="text"/></p>
<p>VI.B. DISPOSITION OF ADMINISTRATIVE APPEALS -- ALL PROCESSED APPEALS</p>	<p>Agency Overall COSTS</p>	<p>Agency Overall Number of "Equivalent Full-Time FOIA Employees" <input type="text"/></p> <p>Agency Overall Total Number of "Full-Time FOIA Staff" <input type="text"/></p>
<p>VI.C.(1). REASONS FOR DENIAL ON APPEAL -- NUMBER OF TIMES EXEMPTIONS APPLIED</p>	<p>Footnotes (IX.)</p>	
<p>VI.C.(2). REASONS FOR DENIAL ON APPEAL -- REASONS OTHER THAN EXEMPTIONS</p>	<p><input type="text"/></p>	
<p>VI.C.(3). REASONS FOR DENIAL</p>		



Section X: Fees Collected for Processing Requests

- Total Amount of Fees Collected
- Percentage of Total Processing Costs (calculated by taking amount of fees collected divided by processing costs)

Guidance: When inputting both processing costs & amount of fees collected, percentage of total costs will be auto-calculated.



Section X: Fees Collected for Processing Requests

FEES X.

✚ Fees X.

Agency/Component
- None - ▾

Total Amount of Fees Collected
\$

Percentage of Total Costs

The "Percentage of Total Costs" field is calculated by compari

Add Fees X.

Agency Overall Total Amount of Fees Collected
\$

Agency Overall Percentage of Total Costs

The "Percentage of Total Costs" field is calculated by comparing th

Footnotes (X.)

Guidance: When inputting both processing costs & amount of fees collected, percentage of total costs will be auto-calculated.



Section XI.A: Number of Times Subsection (c) Used

- Number of times the agency or component used a FOIA subsection (c) exclusion.
- Most agencies do not use exclusions; all exclusion use must be approved by OIP.
- Decentralized agencies must account for each of their components when reporting.



Section XI.A: Number of Times Subsection (c) Used

Agency intro	Show row weights
IV. Exemption 3 Statutes	SUBSECTION XI. A.
V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS	✚ Subsection XI... Remove
V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS	Agency/Component <input type="text" value="- None -"/> ▼
V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"	Number of Times Subsection Used <input type="text"/>
V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED	Add Subsection XI. A.
VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS	Agency Overall Number of Times Subsection Used <input type="text"/>
	Footnotes (XI.A.) <input type="text"/>



Section XI.B: Number of (a)(2) Records Posted

- Provide the sum of all (a)(2) records posted to your agency's FOIA webpage.
- Provide an estimate of all (a)(2) records posted to the agency's webpage outside the FOIA office by your agency's program offices.



Section XI.B: Number of (a)(2) Records Posted – FOIA.gov Tool

View Edit Delete Revisions Generate docx XML

Home » FOIA-90 test karen

Title *
FOIA-90 test karen

Agency Info *	<p>XI.B. Number of Subsection (A)(2) Postings</p> <p>If the component field is filled in, all other editable columns must be filled in. All values must be non-negative integers. To add a component click "Add" above the "Agency Overall" fields. The "Agency Overall" field(s) will be autocalculated as you enter data in this section.</p> <p>Show row weights</p> <p>SUBSECTION XI. B.</p> <p>+ Subsection XI. B. Remove</p> <p>Agency/Component - None -</p> <p>Number of Records Posted by the FOIA Office <input type="text"/></p> <p>Number of Records Posted by Program Offices <input type="text"/></p> <p>Add Subsection XI. B.</p> <p>Agency Overall Number of Records Posted by the FOIA Office <input type="text"/></p> <p>Agency Overall Number of Records Posted by Program Offices <input type="text"/></p> <p>Footnotes (XI.B.) <input type="text"/></p> <p>Allows entry of any free-format notes associated with this section of the report.</p>
IV. Exemption 3 Statutes	
V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS	
V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS	
V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"	
V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED	
VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEAL	
VI.B. DISPOSITION OF ADMINISTRATIVE APPEALS -- ALL PROCESSED APPEALS	
VI.C.(1). REASONS FOR DENIAL ON APPEAL -- NUMBER OF TIMES EXEMPTIONS APPLIED	
VI.C.(2). REASONS FOR DENIAL ON APPEAL -- REASONS OTHER THAN EXEMPTIONS	



Section XII.A: Backlogs of FOIA Requests and Administrative Appeals

- Number of Backlogged Requests as of End of FY
- Number of Backlogged Appeals as of End of FY

Guidance: Data must be less than or equal to # pending at end of FY in Section V.A (requests) & in Section VI.A (appeals)



Section XII.A: Backlogs of FOIA Requests and Administrative Appeals

[Show row weights](#)

FOIA REQUESTS AND ADMINISTRATIVE APPEALS XII. A.

✚ FOIA Requests an... Remove

Agency/Component
- None - ▼

Number of Backlogged Requests as of End of Fiscal Year

Number of Backlogged Appeals as of End of Fiscal Year

Must contain non-negative integers, or the special value "N/A".

Guidance: Data must be less than or equal to no. pending at end of FY in Section V.A (requests) & in Section VI.A (appeals)



Section XII.B: Consultations on FOIA Requests – Received, Processed, and Pending Consultations

1. Number of Consultations Pending at Start of FY
2. Number of Consultations Received in FY
3. Number of Consultations Processed in FY
4. Number of Consultations Pending at End of FY

Guidance: 1. + 2. – 3. (must) = 4.



Section XII.B Special Instructions

- Count only consultations received at agency, not those consultations that were sent by your agency to another agency.



Section XII.B: Consultations on FOIA Requests – Received, Processed, and Pending Consultations

FOIA REQUESTS AND ADMINISTRATIVE APPEALS XII. B.

FOIA Requests and Administra... Remove

Agency/Component
- None - ▼

Number of Consultations Received from Other Agencies that were Pending at the Agency as of Start of the Fiscal Year

Number of Consultations Received from Other Agencies During the Fiscal Year

Number of Consultations Received from Other Agencies that were Processed by the Agency During the Fiscal Year

Number of Consultations Received from Other Agencies that were Pending at the Agency as of End of the Fiscal Year

Guidance: 1. + 2. – 3. (must) = 4.



Section XII.C: Consultations on FOIA Requests – Ten Oldest Pending Consultations

- Ten oldest pending consultations at agency/component
- Date each consultation was received and number of days pending as of the end of the fiscal year

Guidance: Chart must contain data if Section XII.B lists consultations pending at end of FY ⁹⁸



Section XII.C: Consultations on FOIA Requests – Ten Oldest Pending Consultations

FOIA REQUESTS AND ADMINISTRATIVE APPEALS XII. C.

Oldest Days Remove

Agency/Component
- None -

Oldest	Date	Number of Days Pending
2nd	<input type="text"/>	<input type="text"/>
3rd	<input type="text"/>	<input type="text"/>
4th	<input type="text"/>	<input type="text"/>
5th	<input type="text"/>	<input type="text"/>
6th	<input type="text"/>	<input type="text"/>
7th	<input type="text"/>	<input type="text"/>
8th	<input type="text"/>	<input type="text"/>
9th	<input type="text"/>	<input type="text"/>
10th	<input type="text"/>	<input type="text"/>

Date must be formatted as YYYY-MM-DD
E.g. 1979-01-29

Guidance: Chart must contain data if Section XII.B lists consultations pending at end of FY



Section XII.D.1: Comparison of Nos. of Requests Received and Processed (Previous to Current Annual Report)

- Number of requests received/processed during FY from last year's Annual Report
- Number of requests received/processed during FY from current Annual Report

Guidance: Numbers for previous FY should come directly from previous Annual Report ¹⁰⁰



Section XII.D.1: Comparison of Nos. of Requests Received and Processed

FOIA REQUESTS AND ADMINISTRATIVE APPEALS XII. D. (1).

FOIA Requests and Admi... Remove

Agency/Component
- None - ▾

NUMBER RECEIVED	Number Received During Fiscal Year from Last Year's Annual Report
NUMBER PROCESSED	<input type="text"/>
	Number Received During Fiscal Year from Current Annual Report
	<input type="text"/>

Guidance: Numbers for previous FY should come directly from previous Annual Report



Section XII.D.2: Comparison of Nos. of Requests Backlogged (Previous to Current Annual Report)

- Number of requests backlogged as of end of FY from last year's Annual Report
- Number of requests backlogged as of end of FY from current Annual Report

Guidance: Numbers for previous FY should come directly from previous Annual Report ¹⁰²



Section XII.D.2: Comparison of Nos. of Requests Backlogged

[Show Row Weights](#)

FOIA REQUESTS AND ADMINISTRATIVE APPEALS XII. D. (2).

✚ FOIA Requests an... Remove

Agency/Component
- None - ▼

Number of Backlogged Requests as of End of the Fiscal Year from Previous Annual Report

Number of Backlogged Requests as of End of the Fiscal Year from Current Annual Report

Guidance: Numbers for previous FY should come directly from previous Annual Report



Section XII.E.1: Comparison of Nos. of Appeals Received and Processed (Previous to Current Annual Report)

- Number of appeals received/processed during FY from last year's Annual Report
- Number of appeals received/processed during FY from current Annual Report

Guidance: Numbers for previous FY should come directly from previous Annual Report ¹⁰⁴



Section XII.E.1: Comparison of Nos. of Appeals Received and Processed

[show row weights](#)

FOIA REQUESTS AND ADMINISTRATIVE APPEALS XII. E. (1).

✚ FOIA Requests and Admi... Remove

Agency/Component
- None - ▼

NUMBER RECEIVED	Number Received During Fiscal Year from Last Year's Annual Report
NUMBER PROCESSED	<input type="text"/>
	Number Received During Fiscal Year from Current Annual Report
	<input type="text"/>

Guidance: Numbers for previous FY should come directly from previous Annual Report



Section XII.E.2: Comparison of Nos. of Appeals Backlogged (Previous to Current Annual Report)

- Number of appeals backlogged as of end of FY from last year's Annual Report
- Number of appeals backlogged as of end of FY from current Annual Report

Guidance: Numbers for previous FY should come directly from previous Annual Report ¹⁰⁶



Section XII.E.2: Comparison of Nos. of Appeals Backlogged

[show row weights](#)

FOIA REQUESTS AND ADMINISTRATIVE APPEALS XII. E. (2).

✚ FOIA Requests and Admi... Remove

Agency/Component
- None - ▼

Number of Backlogged Requests as of End of the Fiscal Year from Previous Annual Report

Number of Backlogged Requests as of End of the Fiscal Year from Current Annual Report

Guidance: Numbers for previous FY should come directly from previous Annual Report



Validating and Saving the Report

- Validating will flag any errors throughout the report in red
- Review and correct any errors
- Save the report before closing
- Do not close the window before it returns to the “Home” screen
- If you must step away from the computer, save to prevent losing data if your session times out



Validating and Saving the Report

XII.E.(2). COMPARISON OF NUMBERS OF ADMINISTRATIVE APPEALS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- BACKLOGGED APPEALS

Current state: Draft

Change to:

[Schedule a status change](#)

[Delete](#)



Submission of Data & Review by OIP

- Agencies must submit their Annual Report to OIP by no later than November 13th.
- Members of OIP's Compliance Team will review the submission and advise agencies of any outstanding issues prior to clearing.



Status and Submitting the Report to OIP

[Upload Annual FOIA Report data](#)

Existing Annual FOIA Reports

Title	Report Year ▼	Authored by	Last Change	Status	Action
Karen test report 8/22	2019	karen.n.hopkins@usdoj.gov	08/22/2019 - 14:55	Draft	Edit
test 2 karen 8/22 foia-37	2019	karen.n.hopkins@usdoj.gov	08/22/2019 - 13:03	Submitted to OIP	

Note: Once a report is “Submitted to OIP” you will not be able to edit the report.

XII.E.(2). COMPARISON OF NUMBERS OF ADMINISTRATIVE APPEALS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- BACKLOGGED APPEALS

Current state: Draft

Change to: ▼

Schedule a s

[Delete](#)

(A blue arrow points to the 'Submitted to OIP' option in the dropdown menu.)



Submission of Data & Review by OIP

- Once the report has been approved, OIP will provide agencies with the charts for Sections IV through XII of their human-readable report and the final XML file.
- Agencies will then add the first three sections of the human-readable report outlined in the Annual FOIA Report Handbook to the charts and provide the relevant information for those sections.



Completing the Human-Readable Version: Adding Sections I – III of the Report

I. Basic Information Regarding Report

- Provide name, title, address, and telephone number of person(s) to be contacted with questions about the Report.
- Provide an electronic link for access to the Report on the agency FOIA website.
- Explain how to obtain a copy of the Report in paper form.



Completing the Human-Readable Version: Adding Sections I – III of the Report

II. Making a FOIA Request

- Provide Components' contact information for receiving requests.
- Provide description of why some requests are not granted & the general categories of exempt records at the agency.
- Provide electronic link to the agency's FOIA regulations, including the fee schedule.



Completing the Human-Readable Version: Adding Sections I – III of the Report

III. Acronyms, Definitions & Exemptions

- Agency acronyms and definitions of terms used in the Report.
- Concise descriptions of the Exemptions.



Posting the Report

Once cleared by OIP, agencies must post both versions of their Annual Report (NIEM-XML and human-readable) on their FOIA website and send OIP the links to the Reports.

The links will be posted on OIP's website, and the data will be made available on FOIA.gov.

Agencies must maintain previous Reports on their websites for at least seven years.



Tips and Tricks

- Grey fields are auto-calculated.
- Red tabs/fields mean there is a validation error that needs to be addressed.
- Some validation occurs in real time; some occurs after clicking validate; recommend entering all data before validating.
- Build a shell report before you start entering data to save time on data entry.
- When editing, suggest making all changes at once, rather than incrementally, to save load time.



Questions on the Annual Report?

If you have any questions regarding this presentation, the Annual FOIA Report Handbook, or the completion of your Annual Report, please contact OIP's Compliance Team.

Phone: (202) 514-FOIA (3642)

Email: DOJ.OIP.FOIA@usdoj.gov



UNITED STATES DEPARTMENT *of* JUSTICE

Quarterly FOIA Reports



Quarterly FOIA Report Guidance

- OIP issued updated quarterly report guidance in 2021.
- Guidance provides that Agency Managers now submit their Quarterly Report data directly into FOIA.gov.
- Agencies do not need to post the files on their websites.
- Overall data points and deadlines remain the same.



Updated Quarterly FOIA Report Guidance

- Previously, agencies entered data into an online generator that provided a .zip file for posting on the agency website.
- Now, agencies enter their data into FOIA.gov and “Submit to OIP.”
- OIP will then “publish” all data after the deadline.



Updated Quarterly FOIA Report Guidance

Data points remain the same:

- Number of Ten Oldest Requests Closed for agency overall
- Number of requests received during the reporting period
- Number of requests processed during the reporting period
- Number of requests in an agency's backlog₁₂₂ at the end of the reporting period



Quarterly FOIA Report Posting Deadlines

- Quarter 1: January 26
- Quarter 2: April 26
- Quarter 3: July 26
- Quarter 4: October 25



Updated Quarterly FOIA Report Guidance

- Once your data is ready, Agency Managers should log into www.FOIA.gov.
- Once logged in, select “Create Quarterly FOIA Report Data” on your home page.
- A new blank quarterly report will appear.



Updated Quarterly FOIA Report Guidance

1. Enter your agency
2. Select components
3. Enter Fiscal Year and Quarter

The screenshot displays a web form for reporting FOIA data. It is divided into several sections:

- Agency info ***: A sidebar menu with three options: "Agency data *", "Component data", and "Agency Overall".
- Agency ***: A dropdown menu currently showing "Department of Justice (1276)".
- Components**: A list of checkboxes for selecting specific components: Antitrust, ATF, BOP, Civil, Civil Rights, and COPS. All are currently unchecked.
- Fiscal Year ***: A text input field containing the value "2021".
- Quarter ***: A dropdown menu currently showing "Q4".



Updated Quarterly FOIA Report Guidance

1. Enter your agency data in each of the tabs. You may add component placeholders.
2. Submit to OIP when final.

The screenshot displays the FOIA report submission interface. It features four main tabs: "Agency info", "Agency data", "Component data", and "Agency Overall". The "Agency data" tab is active, showing a "Ten Oldest Pending Requests" section with a text input field containing "10" and a question: "Did your agency have 10 or more perfected requests pending at the end of the last fiscal year?". Below this are two bullet points: "If so, please select the number 10." and "If your agency had fewer than 10, please select the correct number." A "Ten Oldest Requests Closed" section is partially visible below.

The "COMPONENT DATA" table is shown with the following structure:

COMPONENT DATA	
+	Quarterly Component Data Remove
Agency/Component *	Antitrust
Number of requests received *	0
Number of requests processed *	0
Number of requests backlogged *	0
Add Quarterly Component Data	

The "Current state" dropdown menu is open, showing the following options: "Draft", "Submitted to OIP", "Preview", and "Delete". The "Current state" is currently set to "Draft".

Updated Quarterly Report Guidance has detailed instructions ¹²⁶



UNITED STATES DEPARTMENT *of* JUSTICE

Questions?