

SUMMARY OF ANNUAL FOIA REPORTS FOR FISCAL YEAR 2016

Every year, the Office of Information Policy (OIP) compiles a summary of the information contained in the Annual FOIA Reports that are prepared by each of the federal agencies subject to the FOIA. The Annual FOIA Reports contain detailed statistics on agencies' FOIA activities, including the number of FOIA requests and appeals received, processed, and pending.

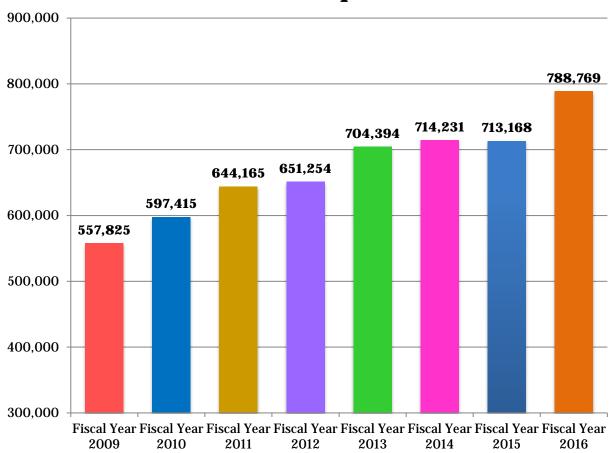
As in past years, in addition to preparing this summary OIP has uploaded all of the data from agencies' FY 2016 Annual FOIA Reports to <u>FOIA.gov</u> where it can easily be viewed online, compared with data from previous fiscal years, as well as across different agencies, and downloaded in an open (CSV) format. The purpose of this summary is to provide an overall picture of FOIA activities across the government.

FOIA REQUESTS

Number of Requests Received

In FY 2016, the federal government overall received a record high 788,769 FOIA requests. This is a 10.6% increase of 75,601 requests from the 713,168 requests received during FY 2015. $^{\rm 1}$

Total Number of Requests Received



The Department of Homeland Security (DHS) continued to receive the most requests, with a total of 325,780 requests received in FY 2016. This is a 15.9% increase from the number of requests received by DHS in FY 2015, and it is the first time DHS has received over 300,000 requests. The Department of Justice (DOJ), the Department of Defense (DOD), the National Archives and Records Administration (NARA), and the

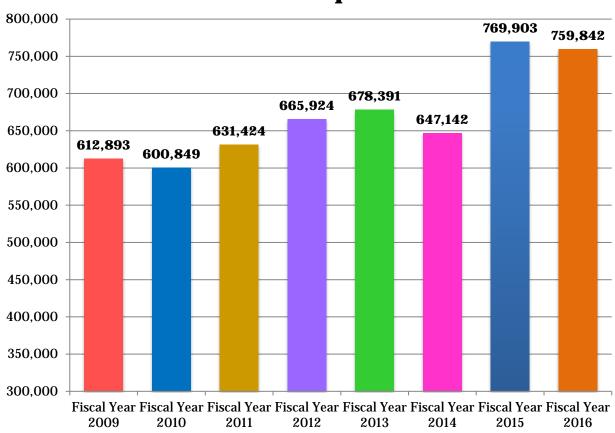
¹ In accordance with the <u>2008 Guidelines for Agency Preparation of Annual FOIA Reports</u>, in order to provide a clear report of agency FOIA activities, beginning in Fiscal Year 2009 agencies were instructed not to include Privacy Act requests in their Annual FOIA Reports unless the FOIA was utilized in any way to process the request. Accordingly, Fiscal Year 2009 marks the beginning point for the comparisons noted in this summary.

Department of Veterans Affairs (VA) received the second through fifth most requests during the fiscal year, receiving 73,103, 53,544, 49,966, and 34,459, respectively. Combined, these five agencies received 536,852 requests, which accounts for 68% of all requests received across the government during the fiscal year. Of the remaining federal agencies, the Department of Health and Human Services (HHS), the Social Security Administration (SSA), the Department of State (State), and the Department of Agriculture (USDA) received more than 20,000 requests (34,232, 29,631, 27,961, and 23,870, respectively). Eighteen agencies received between 1,000 and 20,000 requests, with another twenty-six receiving between 100 and 957 requests. Sixty-two agencies received less than 100 requests.

Number of Requests Processed

Collectively, the government overall processed 759,842 requests in FY 2016, which is a slight decrease of 1.3% from FY 2015. This figure is the second highest number of requests processed and is also the second time that agencies have processed more than 700,000 requests in a fiscal year.

Total Number of Requests Processed



Four of the five agencies that received the most requests in FY 2016 also processed the most requests: DHS (310,549), DOJ (71,854), DOD (52,332), and NARA (50,205). HHS processed the fifth most requests (36,190). These five agencies processed 521,130 requests,

representing over 68% of the requests processed by the government in FY 2016. Notably, NARA processed 26,614 more requests in FY 2016 than in the prior fiscal year. Of the remaining one-hundred and ten agencies, eleven -- the Environmental Protection Agency (EPA), the Office of Personnel Management (OPM), the Department of Transportation (DOT), the Department of the Treasury (Treasury), State, the Securities and Exchange Commission (SEC), the Department of Labor (DOL), the Equal Employment Opportunity Commission (EEOC), USDA, SSA, and VA -- processed between 10,000 and 34,000 requests. An additional eleven agencies processed between 1,000 and 7,000 requests, with eighty agencies processing between one and 970 requests. Seventeen of these agencies processed fewer than twenty requests.

Disposition of Requests

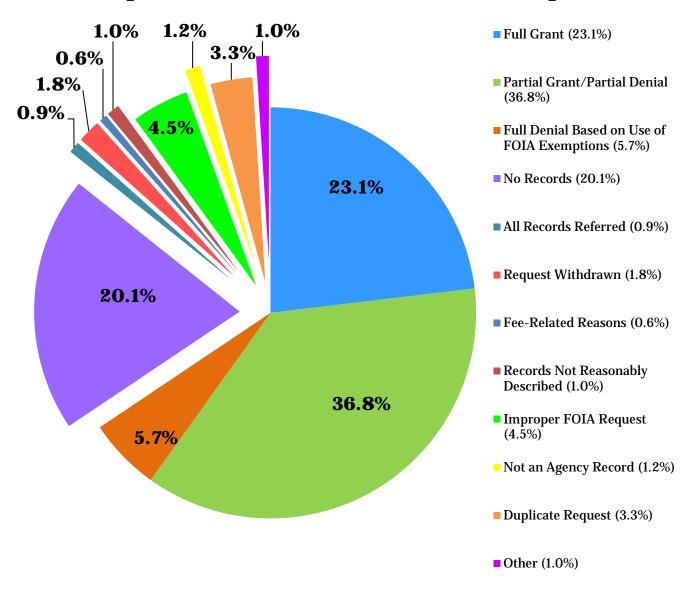
Pursuant to the <u>2008 guidance on the content of agency Annual FOIA Reports</u>, DOJ instructed agencies to include in their reports a complete breakdown of the disposition of each request processed. All requests processed by an agency fall into two overarching categories:

- 1) Requests that are closed after being substantively processed with decisions made to release or withhold information based upon the FOIA's exemptions, and
- 2) Requests that are closed for administrative or procedural reasons, such as when no records are located or when all the responsive records are referred to another agency for handling.

As noted above, in FY 2016 the government overall processed 759,842 requests. Of those requests, 497,906 (65.5%) requests fell into the first category and were reviewed by agency FOIA professionals to determine if information could be disclosed. It is important to note that it is only in response to these requests that agencies are in a position to determine whether to release or withhold information and so they form the universe of requests used to calculate the "release rate" discussed below.

As shown in the chart below, of the remaining requests processed by agencies during FY 2016, 261,936 or 34.5% were closed for procedural or administrative reasons. This includes requests where no records were located, which accounted for 20.1% of all processed requests. Less than 2% of all requests processed were withdrawn by the requester, and less than 1% of requests were closed for fee related reasons, such as when a requester declined to pay estimated fees that were assessed under the FOIA's fee provisions.

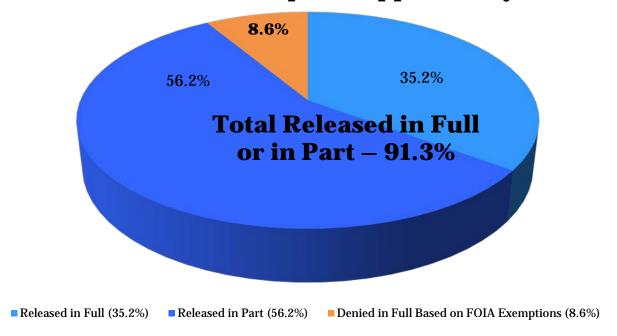
Disposition of All Processed FOIA Requests



Release Rate

For FY 2016, the government overall had a release rate of over 91.3%, which marks the eighth year in a row that the number of responses to FOIA requests where agencies provided a release of information either in full or in part exceeded 91% of the requests processed for a disclosure determination. As noted above, 497,906 requests were processed for a disclosure determination in FY 2016. In response to those requests, agencies released records in full 35.2% of the time (175,309), and released records in part 56.2% of the time (279,602). Only 8.6% (42,995) of requests processed for a disclosure determination resulted in a full denial.

Disposition of Fiscal Year 2016 Requests Based on Exemption Applicability



Seventy-five agencies, including ten of the fifteen departments – DOT (98.6%), USDA (97.9%), DHS (97.6%), Department of Energy (DOE) (97.2%), Department of the Interior (DOI) (95.3%), Department of Commerce (DOC) (94.4%), DOJ (93.5%), Treasury (93.4%), DOD (92.8%), and HUD (92.5%) -- released records in full or in part in response to 90% or more of the requests that they processed for exemption applicability. Another sixteen agencies, including the Department of Education (ED) (89.7%), and DOL (82.6%) made either a full or partial release of information in response to 80% or more of such requests.

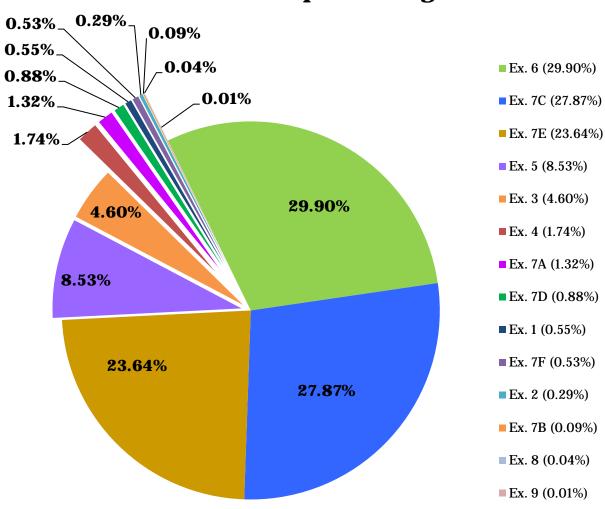
Notably, thirty-two agencies, including USDA and DOT, and DOJ released records in full with no information withheld in response to over 69% of requests processed for exemption applicability. Six additional agencies released records in full in response to over 60% of these requests.

Eight agencies — the American Battle Monuments Commission, the Farm Credit System Insurance Corporation, the Inter-American Foundation, the National Council on Disability, the National Capital Planning Commission, the Postal Regulatory Commission, the Selective Service System, and the U.S. African Development Foundation -- released records in full in response to 100% of the requests that they processed for exemption applicability. In total, thirty agencies were able to release records in full or in part in response to 100% of such requests.

Use of Exemptions

The FOIA includes nine exemptions from disclosure that protect important interests such as national security, personal privacy, and certain law enforcement interests. As has been the case for many years, the FOIA's privacy exemptions, Exemption 6 (29.90%) and 7(C) (27.87%), were the most cited FOIA exemptions in FY 2016. Over half of the exemptions cited by agencies were those two exemptions. Exemption 7(E) (23.64%), which protects law enforcement techniques, procedures, and guidelines, was the third most used exemption. Exemption 5, which protects inter- or intra-agency privileged material was used only 8.53% of the time when exemptions were cited in FY 2016.

Total Exemption Usage



The least cited FOIA exemption in FY 2016 was Exemption 9 (0.01%), which is used to protect geological and geophysical information concerning wells. Six agencies - EPA, DOI, USDA, NARA, DOD, and VA - asserted Exemption 9 in their processing of requests during FY 2016. Exemption 8 (0.04%) which concerns information on the supervision of financial institutions, was the second least cited exemption in FY 2016.

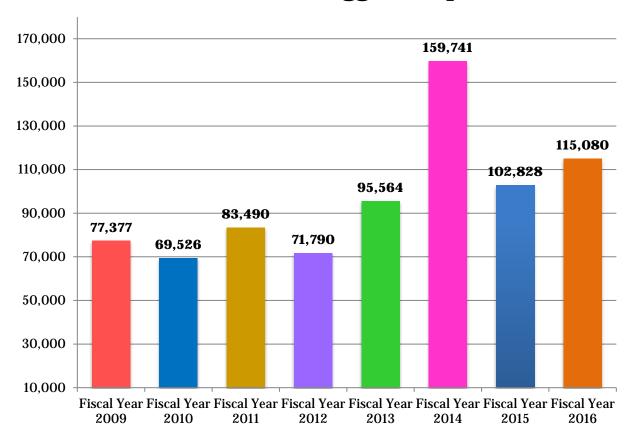
Exemption 3 incorporates into the FOIA the nondisclosure provisions of other statutes passed by Congress. As an aid for agencies in properly applying this exemption as well as to aid requesters in understanding the scope of the material covered, OIP posts a chart of all the Exemption 3 statutes that agencies have reported in their Annual FOIA Reports. Additionally, in an effort to make this information more useful and accessible, OIP also posts these charts in both portable document (PDF) and open (CSV) formats. OIP will once again post the chart of all the Exemption 3 statutes that were cited during FY 2016 on the <u>FOIA Resources</u> page of its website.

Backlogged Requests

The total number of backlogged requests across the government at the end of FY 2016 was 115,080, which is an 11.9% increase from the number of backlogged requests reported at the end of FY 2015. $^\circ$

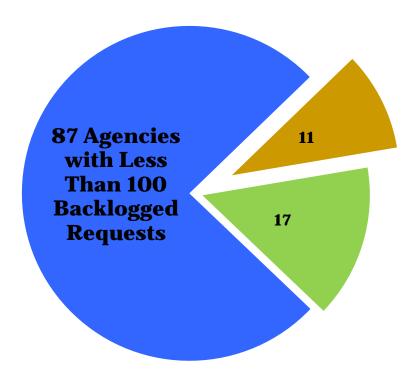
² A request is reported as "backlogged" when it has been pending at an agency longer than the statutory time period of twenty working-days, or if unusual circumstances are present, up to thirty working-days.

Number of Backlogged Requests



The vast majority of agencies (eighty-seven) reported low backlogs of fewer than 100 requests. Seventy-one agencies reported a request backlog of below twenty requests. Notably, forty-four of these agencies reported that they did not have any backlog of requests. Moreover, a total of twenty-nine agencies including four departments -- HHS, DOD, DOC, and DOE -- reported reducing their request backlogs from the numbers reported at the end of FY 2015. NARA (5,393 request decrease), HHS (1,226 request decrease), and SEC (342 request decrease) reported the largest reductions of backlog. Following them, DOD, the National Labor Relations Board, and the National Transportation Safety Board reduced their request backlogs by 258, 145, and 77 requests, respectively.

Number of Backlogged Requests in FY 2016



■1,000+ Requests (11 agencies) ■100 to 999 Requests (17 agencies) ■0 to 99 Requests (87 agencies)

DHS reported the highest number of backlogged requests (46,788), but it should be noted that DHS also continued to receive the most requests. As noted above, for the first time, DHS received a record high of over 300,000 requests in FY 2016. The next highest number of backlogged requests were reported by the following agencies: State (22,664), DOJ (10,644), DOD (9,235), HHS (4,519), DOT (3,593), and VA (3,278). The collective backlog of pending requests at these seven agencies (100,721) accounts for over 87.5% of the total pending request backlog across the entire government.

Emphasizing the importance of agencies' efforts to reduce backlogs and improve timeliness, for the 2016 Chief FOIA Officer Reports OIP continued to require those agencies that had a request backlog of over 1,000, and that did not reduce that backlog, to provide a plan for achieving backlog reduction in the year ahead. For the 2017 Chief FOIA Officer Reports, OIP followed-up this effort by asking those agencies that were required to provide plans in 2016 to report on the progress made in implementing those plans. Agencies that continued to have a backlog of over 1,000 requests at the end of FY 2016 were also directed to provide a plan for backlog reduction in their 2018 Chief FOIA Officer Reports. These plans, and further discussion on the causes that contributed to the increase of backlogs at some agencies, can be found in the 2015, 2016, and 2017 agency Chief FOIA Officer Reports located on the Reports page of OIP's website.

Ten Oldest Pending Requests

A distinct aspect of backlog reduction involves the closing of the oldest pending requests at an agency. After reviewing agencies' 2012, 2013, 2015, and 2016 Chief FOIA Officer Reports, OIP issued agency-wide guidance that called attention to the importance of agencies closing their ten oldest pending requests each year. Every year OIP also scores agencies on their efforts to close their ten oldest pending requests in the

"Our sustained efforts to close these requests . . . every year is essential to reducing the age of the government's backlogs and resolving those cases that have been lingering for years."

OIP Guidance for Further Improvement August 13, 2013

Department's annual assessment of agencies' FOIA adminstration. At the end of FY 2016, the ten oldest pending requests across the government dated between 1993 and 1998, and were all pending at NARA.3 Thirty-two agencies reported having no pending requests at the end of FY 2016; therefore, these thirty-two agencies did not have any "10 oldest" pending requests to report. Of the agencies that did have pending requests to report, twenty-three had less than ten to report.

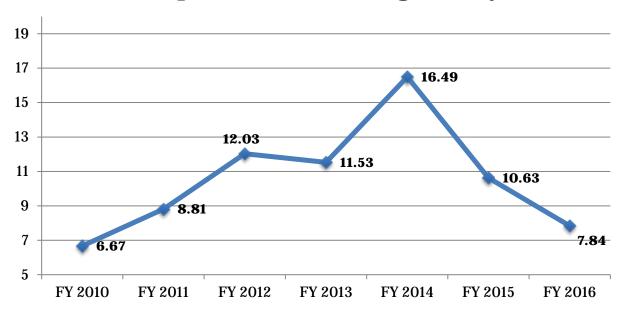
Requests for Expedited Processing

In FY 2016, the government overall made a decision to grant or deny 10,409 requests for expedited processing. This is a 41.6% increase from the total number of expedited processing determinations made during FY 2015 (7,353).

In making these determinations, agencies overall granted 1,483 requests for expedited processing and denied 8,926. Across the government, agencies averaged 7.84 days to adjudicate requests for expedited processing. This is 26.2% decrease from the average time agencies took to adjudicate requests for expedited processing in FY 2015 (10.63). Sixty-nine of the one-hundred and fifteen agencies reported adjudicating requests for expedited processing during FY 2016, and of those, sixty reported that the were able to adjudicate these requests within an average of ten calendar days or less. In total, agencies adjudicated 80.6% (8,391) of all requests for expedited processing made during FY 2016 within ten calendar days.

³ The oldest pending requests are calculated by the number of days the requests have been pending.

Average Time to Adjudicate Requests for Expedited Processing (in days)

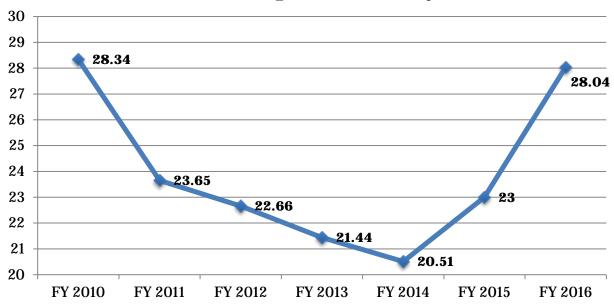


Average Processing Time for Simple Requests

The average processing time for simple track requests for agencies that reported data in this field in their FY 2016 Annual FOIA Report was 28.04 days.4 This is an increase of 21.9% from the average of 23 days that was reported in FY 2015. Sixty-six agencies, including five departments -- USDA, ED, Treasury, DOI, and DOD -- reported processing their simple track requests within an average of twenty days or less. Fourteen agencies, including DOL, VA, HHS, and DOJ reported processing these requests between an average of 20.8 days and thirty days. A total of twenty-three agencies reported an average processing time for simple track requests that was above thirty days.

⁴ For purposes of the Annual FOIA Report, agencies were instructed to break down their response times by three processing tracks: Simple, Complex and Expedited. Agencies that did not have multi-track processing, reported all of their non-expedited requests as either simple or complex, whichever best characterized the majority of the requests they processed that year. Similarly, agencies that had more than three tracks (including the expedited track), categorized their non-expedited requests as either simple or complex, whichever best characterized the majority of the requests they processed that year.

Average Processing Time for Simple Track Requests (in days)



The Harry S. Truman Scholarship Foundation (1 day) and the Administrative Conference of the United States (1.28 days) reported the lowest average processing times for simple requests.

Because of the strong correlation between the type of request that is made and the ability of the agency to respond to that request more quickly, in 2012 OIP established a milestone for agencies that addresses whether the agency overall responded to requests in its simple track within an average of twenty working days or less. Agencies were once again required to report on this metric in their 2017 Chief FOIA Officer Reports, and they will be scored on their success in this area in OIP's upcoming 2017 Assessment of Agency Chief FOIA Officer Reports.

Average Processing Time for Complex Requests

Complex requests typically seek a high volume of material or require additional steps to process such as the need to search for records in multiple locations. Complex requests necessarily take longer to process than more targeted "simple" requests. The average processing time for complex track requests for agencies that reported data in this field in their Annual FOIA Reports was 128.47 days. This is an increase of 6.67 days from the average processing time reported in FY 2015. A total of six agencies reported processing their complex track requests in an average of twenty working days or less. Another six agencies including the DOL processed their complex track requests between an average of twenty days and thirty days. Forty-three agencies, including eleven departments -- Treasury, DOI, VA, USDA, ED, DHS, HUD, DOT, HHS, DOC, DOD -- processed their complex track requests between an average of thirty-two days and 160 days.

Average Processing Time for Expedited Requests

Due to the nature of expedited track requests, which can either be simple or complex in their scope, comparisons of average processing times are necessarily imperfect. For those agencies that reported data for this field, however, the average processing time for expedited requests in FY 2016 was 51.91 days. This is a decrease of 2.59 days from the average of 54.5 days reported for FY 2015. Twenty-three agencies including HUD (10.78 days) and DOT (19.42 days) reported processing their expedited requests within an average of twenty days or less. Six other agencies, including the EEOC (22 days), DHS (26.71 days), and DOI (29 days), reported processing their expedited requests under an average of thirty days. Of the fifty agencies that reported data in this field for FY 2016, all but seven processed such requests within an average of 85 days or less.

CONSULTATIONS ON FOIA REQUESTS

Consultations Received, Processed, and Pending

During FY 2016, fifty-three agencies received documents on consultation from another agency. Agencies in receipt of such consultations are asked to provide their views on the disclosablity of records that are being processed by another agency. A total of 6,159 consultations were received by agencies in FY 2016. DOD received the most consultations across the government with 2,259. The Central Intelligence Agency (CIA) (1,182) and DOJ (806) received the second and third most consultations across the government. Collectively, these three agencies accounted for nearly 69% (4,247) of all consultations received by the government in FY 2016. Only four other agencies -- DHS (415), State (284), Treasury (235), and DOE (159) -- received more than 100 consultations during FY 2016. Together, these seven agencies received nearly 87% of all consultations across the government.

During FY 2016, agencies collectively processed 5,615 consultations. As with the number of consultations received, DOD processed the most consultations during the fiscal year. The 2,019 consultations processed by DOD amounts to almost 36% of the total number of consultations processed by the entire government in FY 2016. CIA (871) and DOJ (840) were the only two agencies to process more than 800 consultations. Together, these three agencies processed 66.4% of all consultations across the government. DHS (393), State (280), Treasury (245), and DOE (114) were the only other agencies to have processed more than 100 consultations in FY 2016. These seven agencies together processed 84.8% of all the consultations processed by the government. Out of these seven agencies, DOJ and Treasury were able to process more consultations than they received.

At the conclusion of the fiscal year, the government overall had 3,125 consultations that remained pending. DOD (1,547) and CIA (652) reported having the highest number of pending consultations at the end of the fiscal year. These two agencies together accounted for over 70% of all pending consultations at the end of FY 2016. Of the remaining twenty-two agencies with pending consultations at the end of FY 16, only four -- State (284), DHS (209), DOJ (157), and DOE (145) -- had more than 100 consultations pending at the end of the fiscal year. Treasury (30) is the only other agency that had more than twenty

consultations pending at the end of the fiscal year, with the remaining seventeen agencies reporting having between one and nineteen.

Ten Oldest Pending Consultations

OIP issued <u>guidance</u> in 2012 stressing the importance of agencies closing their ten oldest consultations, and calling on agencies to "assess the steps needed to respond on any pending consultations, identify any barriers to doing so, and devise strategies that will allow for the consultations to be finished prior to the close of the fiscal year." OIP continued to issue <u>guidance</u> related to this topic in <u>2014</u>, <u>2015</u>, and <u>2016</u>.

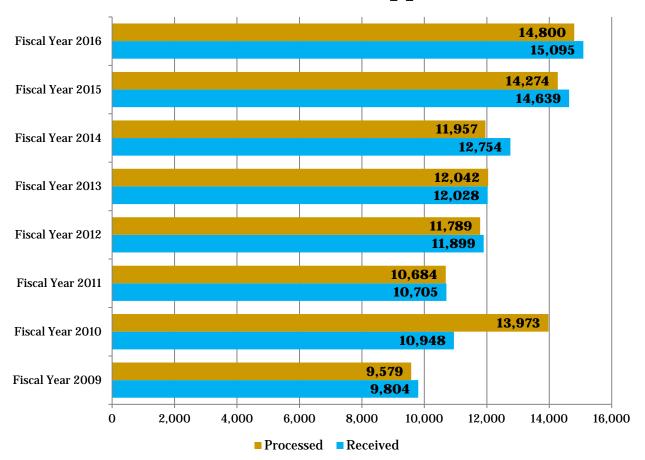
Fourteen of the twenty-four agencies that had pending consultations at the end of FY 2016 reported that their oldest pending consultation was dated during calendar years 2015 or 2016. The government's overall ten oldest pending consultations at the end of FY 2016 are dated between 2007 and 2008 and are all pending at CIA and DOD.

ADMINISTRATIVE APPEALS

Number of Administrative Appeals Received and Processed

In FY 2016, the government overall received a record high 15,095 appeals, which is 3.1% more than the 14,639 appeals received in FY 2015. For the third consecutive year, DHS received the highest number of appeals across the government. During FY 2016, DHS received 5,608 appeals, which accounts for over 37% of all the appeals received government-wide. DOJ (3,342) and DOD (1,074) received the second and third highest number of appeals. Along with the SEC (653), these agencies were the only agencies to receive more than 500 appeals in the fiscal year and collectively they accounted over 70% of all appeals received by the government. Twenty agencies, including twelve departments --VA, DOL, USDA, HHS, Treasury, DOI, State, DOT, DOC, ED, HUD, and DOE -- received between seventy and 430 appeals during FY 2016, with another forty-seven agencies receiving between one and fifty-six appeals. Forty-four agencies received no appeals during the fiscal year.

Administrative Appeals

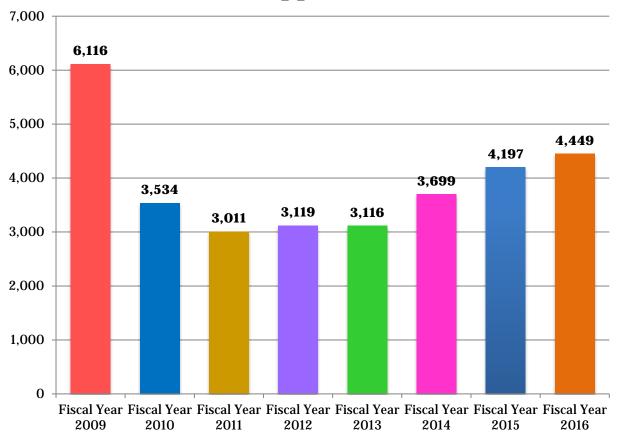


The government overall processed a record high 14,800 appeals during FY 2016, which is an increase of 3.7% from the 14,274 processed during FY 2015 and the second consecutive year that over 14,000 appeals have been processed. The three agencies that received the most appeals also processed the most appeals: DHS (5,691), DOJ (3,460), and DOD (790). These three agencies together processed over 67% of the total number of appeals processed by the entire government in FY 2016. Fifteen agencies processed between 105 and 670 appeals, and another twenty-one agencies processed between ten and ninety-five. Seventy-six agencies processed less than ten appeals, and of those, forty-four processed none.

Backlogged Administrative Appeals

The overall backlog of administrative appeals increased from 4,197 at the end of FY 2015 to 4,449 at the end of FY 2016.

Number of Backlogged Administrative Appeals



DOD reported the highest number of backlogged appeals with 1,016 and was followed by USDA (521) and State (469). Eighteen agencies overall reduced their backlog of appeals at the end of FY 2016. Seventy-eight of the one-hundred and fifteen agencies subject to the FOIA closed FY 2016 with no pending appeals in their backlog.

Ten Oldest Pending Administrative Appeals

The oldest pending administrative appeal across the government is pending at the Office of Special Counsel (OSC). The remaining nine oldest appeals are pending at DOD, OSC, CIA, and USDA. Seventy-three agencies reported having no pending administrative appeals at the end of the fiscal year. Of the remaining agencies, sixteen had less than ten pending appeals and six only had one or two appeals to list as their oldest. Four agencies reported that their oldest appeal had been pending for twenty days or less.

Processing Time for Administrative Appeals

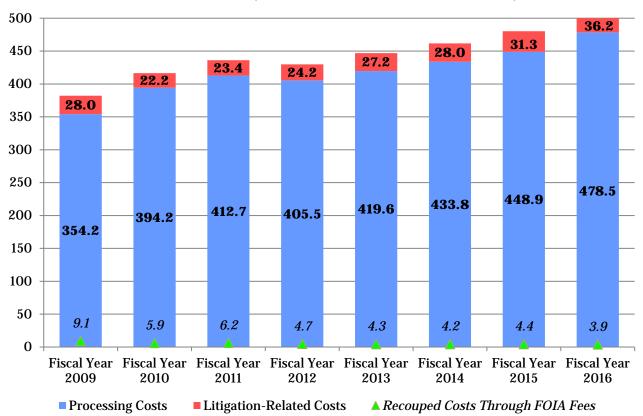
The average processing time for adjudicating appeals for those agencies that reported data in this field of their FY 2016 Annual FOIA Report is 55.1 days. This is an improvement of over 23 days from the average of 78.83 days reported in FY 2015. The average processing time for the agencies that processed the most appeals were 21.91 days (DHS), 52.83 days (DOJ), and 164.54 days (DOD). State had the highest overall processing time for appeals with an average of 548.51 days, and was followed by HHS at 452.68 days and OMB at 403 days. OSC reported the fourth highest average processing time of 396.17 days, followed by EPA with 270.8 days. Along with these five agencies, seven additional agencies reported an average processing time above 200 days. Eight agencies, including four departments -- USDA, Treasury, DOD, and VA-- reported an average processing time for appeals between 100 and 199 days. Twenty-one agencies, including DOE, reported an average processing time of twenty days or fewer.

STAFFING LEVELS & COSTS

During FY 2016, 4,263.76 "full-time FOIA staff" were devoted to the administration of the FOIA throughout the government. ⁵ The total estimated cost of all FOIA related activities across the government was \$514,614,589.00. Nearly 93% (\$478,455,050.17) of the total costs was attributed to the processing of requests and appeals by agencies. Roughly 7% was reported to have been spent on litigation-related activities. By the end of the fiscal year, agencies reported collecting a total of \$3,870,921.51 in FOIA fees. The FOIA fees collected in FY 2016 amounts to less than 1% of the total costs related to the government's FOIA activities.

⁵ This includes both full-time FOIA professionals and the cumulative percentages of the time spent on FOIA by personnel who work on FOIA as a part of their duties.

Approximate Cost of All FOIA Related Activities (in millions of dollars)



EXCLUSIONS

During FY 2016, exclusions were invoked by only two agencies, DOJ (93) and the SEC (5).6 When compared to the 497,906 requests reviewed by the government this past fiscal year for exemption applicability, exclusions were used in response to 0.02% of requests processed for disclosure.

PROACTIVE DISCLOSURES

Approximately 12,838,959 records that qualified as subsection (a)(2) records were posted online during FY 2016.7 Over 98% (12,664,149) of these records were made available

⁶ As a result of the FOIA Improvement Act of 2016, this past year agencies began reporting the number of "exclusions" invoked in their Annual FOIA Report. *See* 5 U.S.C. § 552(e)(1)(P) (2014), *amended by* FOIA Improvement Act of 2016, Pub. L. No. 114-185, 130 Stat. 538. Previously, the number of exclusions invoked by each agency was reported in agencies' Chief FOIA Officer Reports.

⁷ As a result of the FOIA Improvement Act of 2016, this past year agencies began reporting in their Annual FOIA Report the "number of records that were made available for public inspection in an electronic

by agency program offices outside of the FOIA office. NARA (10,950,488) reported the highest number of proactive disclosures in this category. The FOIA offices across the government reported posting 174,810 subsection (a)(2) records online. Among the FOIA offices, DOT (68,595) reported posting the highest number of proactive disclosures.

CONCLUSION

In response to receiving the over 700,000 requests for the fourth year in a row, the government overall processed nearly 760,000 requests in FY 2016. The government continued to maintain a high release rate of over 91% for the eighth year in a row. Agencies were also able to improve the average processing time for requests for expedited processing to 7.84 days. In addition, the average processing time for appeals was improved by over 23 days. With these achievements in mind, there is work to be done to make further improvements in FY 2017. Agencies should focus on ensuring that their simple track requests are responded to within an average of twenty working days. Further, agencies with high backlogs of FOIA requests should continue their efforts to reduce those backlogs. Agencies should also continue to focus on reducing the age of their backlogs by closing the ten oldest pending requests and consultations that were reported in their FY 2016 Annual FOIA Reports.