



UNITED STATES DEPARTMENT *of* JUSTICE

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# Annual FOIA Report Preparation Handout



## Section IV: Exemption 3 Statutes (Slide 13)

### IV. Exemption 3 Statutes

Statute	Type of Information Withheld	Case Citation	Agency / Component	Number of Times Relied upon by Agency / Component	Total Number of Times Relied upon by Agency Overall
					0

### Footnotes

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



## Section V.A: Received, Processed, & Pending FOIA Requests (Slide 15)

### V. FOIA REQUESTS / A. Received, Processed and Pending FOIA Requests

Agency / Component	Number of Requests Pending as of Start of Fiscal Year	Number of Requests Received in Fiscal Year	Number of Requests Processed in Fiscal Year	Number of Requests Pending as of End of Fiscal Year
				0
				0
AGENCY OVERALL	0	0	0	0

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



# Section V.B.1: Disposition of FOIA Requests

## – All Processed Requests (Slides 16-18)

### V. FOIA REQUESTS / B. (1) Disposition of FOIA Requests - All Processed Requests

Agency / Component	Number of Full Grants	Number of Partial Grants / Partial Denials	Number of Full Denials Based on Exemptions	Number of Full Denials Based on Reasons Other than Exemptions									TOTAL
				No Records	All Records Referred to Another Component or Agency	Request Withdrawn	Fee-Related Reason	Records not Reasonably Described	Improper FOIA Request for Other Reason	Not Agency Record	Duplicate Request	Other *Explain in Chart Below	
													0
													0
AGENCY OVERALL	0	0	0	0	0	0	0	0	0	0	0	0	0

#### Footnotes




## Section V.B.2: Disposition of FOIA Requests – “Other” Reasons (Slide 19)

### V. FOIA REQUESTS / B. (2) Disposition of FOIA Requests - Other Reasons

Agency / Component	Description of "Other" Reasons for Denials from Chart B(1)	Number of Times "Other" Reason Was Relied Upon	TOTAL
			0
AGENCY OVERALL			0

#### Footnotes

**Guidance:** Total number must match total number of “other” closures in Section V.B.1 <sup>5</sup>



# Section V.B.3: Disposition of FOIA Requests – No. of Times Exemptions Applied (Slide 20)

## V. FOIA REQUESTS / B. (3) Disposition of FOIA Requests - Number of Times Exemptions Applied

Agency / Component	Ex. 1	Ex. 2	Ex. 3	Ex. 4	Ex. 5	Ex. 6	Ex. 7(A)	Ex. 7(B)	Ex. 7(C)	Ex. 7(D)	Ex. 7(E)	Ex. 7(F)	Ex. 8	Ex. 9
<input type="text"/>														
AGENCY OVERALL	0	0	0	0	0	0	0	0	0	0	0	0	0	0

### Footnotes

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



# Section VI.A: Received, Processed, & Pending Appeals (Slide 21)

## VI. ADMINISTRATIVE APPEALS / A. Received, Processed and Pending Administrative Appeals

Agency / Component	Number of Appeals Pending as of Start of Fiscal Year	Number of Appeals Received in Fiscal Year	Number of Appeals Processed in Fiscal Year	Number of Appeals Pending as of End of Fiscal Year
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0
AGENCY OVERALL	0	0	0	0

### Footnotes


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





# Section VI.B: Disposition of Administrative Appeals – All Processed Appeals (Slide 22)

## VI. ADMINISTRATIVE APPEALS / B. Disposition of Administrative Appeals - All Processed Appeals

Agency / Component	Number Affirmed on Appeal	Number Partially Affirmed & Partially Reversed/Remanded on Appeal	Number Completely Reversed/Remanded on Appeal	Number of Appeals Closed for Other Reasons	TOTAL
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0
					0
AGENCY OVERALL	0	0	0	0	0

### Footnotes






# Section VI.C.1: Reasons for Denial on Appeal – No. of Times Exemptions Applied (Slide 23)

## VI. ADMINISTRATIVE APPEALS / C. (1) Reasons for Denial on Appeal - Number of Times Exemptions Applied

Agency / Component	Ex. 1	Ex. 2	Ex. 3	Ex. 4	Ex. 5	Ex. 6	Ex. 7(A)	Ex. 7(B)	Ex. 7(C)	Ex. 7(D)	Ex. 7(E)	Ex. 7(F)	Ex. 8	Ex. 9
<input type="text"/>														
AGENCY OVERALL	0	0	0	0	0	0	0	0	0	0	0	0	0	0

### Footnotes


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



# Section VI.C.2: Reasons for Denial on Appeal – Reasons Other than Exemptions (Slide 24)

## VI. ADMINISTRATIVE APPEALS / C. (2) Reasons for Denial on Appeal - Reasons Other than Exemptions

Agency / Component	No Records	Records Referred at Initial Request Level	Request Withdrawn	Fee-Related Reason	Records not Reasonably Described	Improper Request for Other Reasons	Not Agency Record	Duplicate Request or Appeal	Request in Litigation	Appeal Based Solely on Denial of Request for Expedited Processing	Other *Explain in chart below
<input type="text"/>											
AGENCY OVERALL	0	0	0	0	0	0	0	0	0	0	0

### Footnotes




## Section VI.C.3: Reasons for Denial on Appeal – “Other” Reasons (Slide 25)

### VI. ADMINISTRATIVE APPEALS / C. (3) Reasons for Denial on Appeal - Other Reasons

Agency / Component	Description of "Other" Reasons for Denial on Appeal from Chart C(2)	Number of Times "Other" Reason Was Relied Upon	TOTAL
			0
AGENCY OVERALL			0

#### Footnotes


**Guidance:** Total number must match total number of “other” closures in Section VI.C.2<sup>11</sup>



# Section VII.A: Processed Requests – Response Time for All Perfected Requests (Slide 30)

## VII. A. Processed Requests - Response Time for All Processed Perfected Requests

Agency / Component	SIMPLE				COMPLEX				EXPEDITED PROCESSING			
	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days
AGENCY OVERALL												

### Footnotes




# Section VII.B: Processed Requests – Response Time for Perfected Requests Where Information was Granted (Slide 31)

## VII. B. Processed Requests - Response Time for Perfected Requests in Which Information Was Granted

Agency / Component	SIMPLE				COMPLEX				EXPEDITED PROCESSING			
	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days
AGENCY OVERALL												

### Footnotes




# Section VII.C: Processed Requests – Response Time in Day Increments (Slides 32-34)

## VII. C. Processed Requests - Response Time in Day Increments - Simple Requests

Agency / Component	<1-20 Days	21-40 Days	41-60 Days	61-80 Days	81-100 Days	101-120 Days	121-140 Days	141-160 Days	161-180 Days	181-200 Days	201-300 Days	301-400 Days	401+ Days	TOTAL
<input type="text"/>														0
														0
AGENCY OVERALL	0	0	0	0	0	0	0	0	0	0	0	0	0	0

### Footnotes




# Section VII.D: Pending Requests – All Pending Perfected Requests (Slides 36 & 37)

## VII. D. Pending Requests - All Pending Perfected Requests

Agency / Component	SIMPLE			COMPLEX			EXPEDITED PROCESSING		
	Number Pending	Median Number of Days	Average Number of Days	Number Pending	Median Number of Days	Average Number of Days	Number Pending	Median Number of Days	Average Number of Days
AGENCY OVERALL									

### Footnotes






## Section VII.E: Pending Requests – Ten Oldest Pending Perfected Requests (Slides 38 & 39)

### VII. E. Pending Requests - Ten Oldest Pending Perfected Requests

Agency / Component		10th Oldest Request	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Request
	Date of Receipt										
	Number of Days Pending										
AGENCY OVERALL	Date of Receipt										
	Number of Days Pending										

### Footnotes

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



# Section VIII.A: Requests for Expedited Processing (Slides 41 & 42)

## VIII. A. Requests for Expedited Processing

Agency / Component	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate	Number Adjudicated Within Ten Calendar Days
<input type="text"/>					
AGENCY OVERALL					

## Footnotes




# Section VIII.B: Requests for Fee Wavier (Slides 43 & 44)

VIII. B. Requests for Fee Waiver

Agency / Component	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
AGENCY OVERALL				

Footnotes



# Section IX: FOIA Personnel & Costs

## (Slides 46 - 48)

### IX. FOIA Personnel and Costs

Agency / Component	PERSONNEL			COSTS		
	Number of "Full-Time FOIA Employees"	Number of "Equivalent Full-Time FOIA Employees"	Total Number of "Full-Time FOIA Staff"	Processing Costs	Litigation-Related Costs	Total Costs
<input type="text"/>			0			\$0.00
			0			\$0.00
AGENCY OVERALL	0	0	0	\$0.00	\$0.00	\$0.00

### Footnotes




# Section X: Fees Collected for Processing Requests (Slide 49)

**X. Fees Collected for Processing Requests**

Agency / Component	Total Amount of Fees Collected	Percentage of Total Costs
<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>AGENCY OVERALL</b>	<b>\$0.00</b>	<b>0.00%</b>

**Footnotes**

**Guidance:** When inputting both processing costs & amount of fees collected, DOJ Tool will auto-calculate percentage of total costs



## Section XII.A: Backlogs of FOIA Requests and Administrative Appeals (Slide 50)

### XII.A. Backlogs of FOIA Requests and Administrative Appeals

Agency / Component	Number of Backlogged Requests as of End of Fiscal Year	Number of Backlogged Appeals as of End of Fiscal Year
<input type="text"/>		
AGENCY OVERALL	0	0

#### Footnotes

**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.B: Consultations on FOIA Requests – Received, Processed, and Pending Consultations (Slides 51 & 52)

## XII. B. Consultations on FOIA Requests - Received, Processed, and Pending Consultations

Agency / Component	Number of Consultations Received from Other Agencies that were <u>Pending</u> at the Agency as of <u>Start</u> of the Fiscal Year	Number of Consultations <u>Received</u> from Other Agencies During the Fiscal Year	Number of Consultations Received from Other Agencies that were <u>Processed</u> by the Agency During the Fiscal Year	Number of Consultations Received from Other Agencies that were <u>Pending</u> at the Agency as of <u>End</u> of the Fiscal Year
<input type="text"/>				0
				0
AGENCY OVERALL	0	0	0	0

### Footnotes


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





# Section XII.C: Consultations on FOIA Requests – Ten Oldest Pending Consultations (Slide 53)

XII. C. Consultations on FOIA Requests - Ten Oldest Consultations Received from Other Agencies Pending at Your Agency											
Agency / Component		10th Oldest Consultation	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Consultation
	Date										
	Number of Days										
AGENCY OVERALL	Date										
	Number of Days										

Footnotes

**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 (Slide 54)

## XII. D. 1. Comparison of Numbers of Requests from Previous and Current Annual Report

Agency / Component	NUMBER OF REQUESTS <u>RECEIVED</u>		NUMBER OF REQUESTS <u>PROCESSED</u>	
	Number Received During Fiscal Year from Last Year's Annual Report	Number Received During Fiscal Year from Current Annual Report	Number Processed During Fiscal Year from Last Year's Annual Report	Number Processed During Fiscal Year from Current Annual Report
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
AGENCY OVERALL	0	0	0	0

### Footnotes

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



## Section XII.D.2: Comparison of Nos. of Requests Backlogged (Slide 55)

### XII. D. 2. Comparison of Backlogged Requests from Previous and Current Annual Report

Agency / Component	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
<input type="text"/>		
AGENCY OVERALL	0	0

#### Footnotes


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



# Section XII.E.1: Comparison of Nos. of Appeals Received and Processed (Slide 55)

## XII. E. 1. Comparison of Numbers of Administrative Appeals from Previous and Current Annual Report

Agency / Component	NUMBER OF APPEALS <u>RECEIVED</u>		NUMBER OF APPEALS <u>PROCESSED</u>	
	Number Received During Fiscal Year from Last Year's Annual Report	Number Received During Fiscal Year from Current Annual Report	Number Processed During Fiscal Year from Last Year's Annual Report	Number Processed During Fiscal Year from Current Annual Report
<input type="text"/>				
AGENCY OVERALL	0	0	0	0

### Footnotes

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



## Section XII.E.2: Comparison of Nos. of Appeals Backlogged (Slide 54)

### XII. E. 2. Comparison of Backlogged Administrative Appeals from Previous and Current Annual Report

Agency / Component	Number of Backlogged Appeals as of End of the Fiscal Year from Previous Annual Report	Number of Backlogged Appeals as of End of the Fiscal Year from Current Annual Report
<input type="text"/>		
AGENCY OVERALL	0	0

#### Footnotes

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