



U.S. DEPARTMENT OF STATE

FREEDOM OF INFORMATION ACT

ANNUAL REPORT

FISCAL YEAR 2016

I. BASIC INFORMATION REGARDING REPORT

1. Questions about this report may be addressed to:

Eric F. Stein
Director, Office of Information Programs and Services
A/GIS/IPS, SA-2, Room 5073
U.S. Department of State
Washington, D.C. 20522-8100

Telephone: (202) 663-2190
Fax: (202) 663-2764

2. This report is available on our web site at <http://www.foia.state.gov>.
3. Paper copies of this report may be requested by contacting A/GIS/IPS at the above address.

II. MAKING A FREEDOM OF INFORMATION ACT (FOIA) REQUEST

1. FOIA requests to the Department must be in writing. Requests may be submitted in any of the following ways to the Office of Information Programs and Services (IPS):
 - Mail to: Office of Information Programs and Services, A/GIS/IPS, SA-2, Department of State, Washington, D.C. 20522-8100; **or**
 - Fax to (202) 261-8579; **or**
 - On-line at our website: <http://www.foia.state.gov>

FOIA requests should describe the records sought as precisely as possible and include details such as a specific topic, a time frame for the records' creation, and (if applicable) the domestic or overseas post or office where they were created or received. The more specific the request, the more quickly it can be processed and the greater the likelihood that responsive records (if any exist) can be located and reviewed. Requests seeking access to information pertaining to an individual should include the individual's complete name, date and place of birth, and citizenship status (if known). A request for records about oneself must include verification of identity. A request for records about an individual other than the requester should include verification of identity with properly executed authorization from the subject individual or evidence of the individual's death, as appropriate, in order to gain the greatest access to those records. More information about verification of identity and proper authorization is found on our website. If such documentation cannot be provided, the request should indicate that fact. The request should also indicate the requester's willingness to pay applicable fees or provide appropriate justification to support a fee waiver. Guidance regarding fees and fee waiver requests is also available on our website.

If mailing or faxing a FOIA request, the envelope or subject line of the fax coversheet should be clearly labeled: "Freedom of Information Act Request." It is important that all requests include a

valid daytime telephone number, e-mail address, or both, where we can reach the requester to discuss the request as necessary.

Requests may also be made on-line at the Department's FOIA website (<http://www.foia.state.gov>). This site contains an electronic request tool and helpful tips to assist requesters in formulating their requests.

We can only process requests that comply with our published regulations. The Department is unable to process requests that do not contain enough information to permit the Department to locate the requested records or that otherwise do not comply with Department regulations.

If necessary, we will contact the requester by telephone or e-mail to obtain whatever additional information is needed to validate a request. If we cannot reach the requester within a reasonable amount of time, we will send a letter to the requester explaining what is needed and ask the requester to resubmit the request with the additional information.

We make every attempt to promptly advise the requester of the case number assigned to the request and whether the request is valid pursuant to the Department's regulations.

If information is withheld, the requester will be notified of the approximate amount of information withheld, the basis for the withholding, and how to file an administrative appeal. For more information about filing an appeal, please visit our website at <http://www.foia.state.gov>. You may also contact the Department's FOIA office by calling (202) 261-8484, or writing to the following address:

Office of Information Programs and Services
A/GIS/IPS, SA-2
Department of State
Washington, D.C. 20522-8100

The Office of Inspector General (OIG) is a separate component within the Department of State. The OIG directly responds to requests for records that are exclusively OIG-related, such as those related to OIG inspections, audits, or investigations. Although OIG receives and processes its own FOIA requests, appeals of OIG FOIA responses are handled by IPS.

FOIA requests for OIG records must be made in writing by mail, fax or e-mail as follows:

U.S. Department of State
Office of Inspector General
Office of General Counsel
Washington, DC 20522-0308
ATTN: FOIA Officer

Fax: (202) 663-0390
Phone: (202) 663-0383

E-mail: oigfoia@state.gov

Website: <http://oig.state.gov/foia/>; <http://oig.state.gov/foiaappeals>

2. The Department of State is responsible for formulating and executing U.S. foreign policy and U.S. foreign relations. Records are maintained throughout the world at posts, missions, embassies, and consulates, as well as domestically. The Department also maintains records of applications from U.S. citizens for U.S. passports, visa requests from non-citizens abroad, and records of its own employees, as well as other types of documents. Because of the nature and scope of the Department's records holdings, including sensitive and classified records, review of records is rigorous, and records, or portions of them, are withheld when one of the nine FOIA exemptions applies. In implementing the Department's mission, we work closely with many other Federal agencies and international partners. For this reason, the Department often must first consult with other, at times multiple, Federal agencies and foreign governments that have an interest in the records, which adds time and complexity to the FOIA process. The exemptions most often relied upon to withhold information are shown in Table V.B.3. In addition, we receive a large volume of FOIA referrals from other agencies, which also contributes to the Department's FOIA processing workload.
3. The Department's FOIA regulations are codified at 22 C.F.R. Part 171. These regulations are available through the Government Printing Office's (GPO) website at <http://www.gpoaccess.gov/cfr/index.html> or on our website at <http://www.foia.state.gov>. The most recent fee schedule is found in the Information Access Guide at <http://www.foia.state.gov>.

III. ACRONYMS, DEFINITIONS, AND EXEMPTIONS

1. Agency-Specific Acronyms and basic terms:
 - a. **A/GIS/IPS** – Bureau of Administration (A), Deputy Assistant Secretary for Global Information Services (GIS), Office of Information Programs and Services (IPS).
 - b. **Consulate** – A type of Post; a Consulate is the office and staff of a Consul, who is a diplomatic representative of the United States government, subordinate to an Ambassador, operating from a facility located within a major city of a foreign country.
 - c. **Embassy** – A type of Post; an Embassy is the office and staff of an ambassador, who is the principal diplomatic representative of the United States government, holding Chief of Mission (COM) authority, typically operating from a facility located within the capital city of a foreign country.
 - d. **Mission** – A Mission is a USG Organization; an embassy, legation, or other organization established and maintained to 1.) conduct bilateral relations between the Government of the United States and another government or authority, or multilateral relations with a group of governments or an international organization, or 2.) represent the U.S. Government in negotiations and other diplomatic initiatives which are of specific limited scope or objectives, and which have other sovereignties or authorities as parties. The U.S. mission is an integrated structure, headed by a Chief of Mission or equivalent authority.

- e. **Post** – A type of DOS Organization; a Post is any Foreign Service diplomatic or consular establishment, or else an establishment having a special designation, maintained in support of a United States Mission. It is further designated by a Post Type such as Embassy, Consulate, Branch Office, etc., for diplomatic or consular posts, or as a Specially Designated Post for an establishment that has a special purpose that is not primarily diplomatic or consular.
- f. **OIG** – Office of Inspector General.

2. Definitions of terms used in this report:

- a. **Administrative Appeal** – a request to a federal agency asking that it review at a higher administrative level a FOIA determination made by the agency at the initial request level.
- b. **Average Number** – the number obtained by dividing the sum of a group of numbers by the quantity of numbers in the group. For example, of 3, 7, and 14, the average number is 8.
- c. **Backlog** – the number of perfected requests or administrative appeals that are pending at an agency at the end of the fiscal year that are beyond the statutory time period for a response.
- d. **Component** – for agencies that process requests on a decentralized basis, a “component” is an entity, also sometimes referred to as an Office, Division, Post, Bureau, Center, or Directorate, within the agency that processes FOIA requests. The FOIA requires that agencies include in their Annual FOIA Report data for both the agency overall and for each principal component of the agency.
- e. **Consultation** – the procedure whereby the agency responding to a FOIA request forwards information to another agency for review because the other agency has an interest in the information. When the agency in receipt of the consultation completes its review, it advises the agency that initiated the consultation of its release determination. The initiating agency will then respond to the FOIA requester.
- f. **Exemption 3 Statute** – a federal statute that specifically exempts information from disclosure, which an agency relies on to withhold information under Exemption 3 of the FOIA, 5 U.S.C. § 552(b)(3), in response to a request. Many Exemption 3 statutes contain non-discretionary prohibitions against disclosure, such as one found in the Immigration and Nationality Act.
- g. **FOIA Request** – an information access request processed under the Freedom of Information Act by the federal agency in receipt of the request. FOIA requests may seek access to records concerning another person (i.e., a “third-party” request), an organization, or a particular topic of interest. FOIA requests also include requests made by individuals seeking records concerning themselves (i.e., “first-party” requests) when

those individuals are not subject to the Privacy Act of 1974 (i.e., individuals who are neither U.S. citizens nor lawful permanent residents). Federal agencies process first-party requests submitted by U.S. citizens and lawful permanent residents under both the FOIA and the Privacy Act in order to provide the greatest degree of access to the requested information. Additionally, a FOIA request includes records referred to the agency from another agency for processing and direct response to the requester (see Section V of this report).

- h. **Full Grant** – an agency decision to disclose in full all records located in response to a FOIA request.
- i. **Full Denial** – an agency decision not to disclose any records in response to a FOIA request because the records are exempt in their entirety under one or more of FOIA’s nine exemptions, or because of a procedural reason, such as when no records could be located.
- j. **Median Number** – the middle, not average, number. For example, of 3, 7, and 14, the median number is 7.
- k. **Multi-Track Processing** – a system in which requests are placed in different processing tracks on the basis of the complexity of the search and/or review of the responsive material. For example, requests placed in the simple request track are anticipated to require relatively minimal search time to locate responsive records, which will result in a small amount of material to review. The complex request track contains requests that require multiple searches that are anticipated to locate more voluminous responsive records for review. Requests granted expedited processing are placed in a separate queue. Requests in each track are processed on a first-in/first-out basis.
 - i. **Expedited Processing** – an agency will process a FOIA request on an expedited basis when a requester satisfies the requirements for expedited processing as set forth in the statute and in agency regulations.
 - ii. **Simple Request** – a FOIA request that an agency using multi-track processing places in its fastest (non-expedited) track based on the low volume and/or simplicity of the records requested.
 - iii. **Complex Request** – a FOIA request that an agency using multi-track processing places in a slower track based on the high volume and/or complexity of the records requested.
- l. **Partial Grant/Partial Denial** – an agency decision to withhold exempt information appearing in a portion or portions of the responsive records in response to a FOIA request, or to otherwise deny a portion of the request for a procedural reason.
- m. **Pending Request or Pending Administrative Appeal** – a request or administrative appeal for which an agency has not taken final action in all respects.

- n. **Perfect Request** – a request for records which reasonably describes the requested information and is made in accordance with the agency’s published regulations.
- o. **Processed Request or Processed Administrative Appeal** – a request or administrative appeal for which an agency has taken final action in all respects.
- p. **Range in Number of Days** – the lowest and highest number of days to process requests or administrative appeals.
- q. **Referral** – the procedure whereby the agency responding to a FOIA request forwards information that originated with another agency to that agency for its review. When the originating agency completes its review of the referred information, it responds directly to the FOIA requester.
- r. **Time Limits** – the time period contained in the FOIA within which an agency must respond to a FOIA request (ordinarily twenty working days from the date of receipt of a perfected FOIA request).

3. Concise descriptions of the nine FOIA exemptions:
 - a. **Exemption 1:** classified national defense and foreign relations information
 - b. **Exemption 2:** internal personnel rules and practices of an agency
 - c. **Exemption 3:** information that is specifically exempted from disclosure by another federal law
 - d. **Exemption 4:** trade secrets and other confidential business information
 - e. **Exemption 5:** inter-agency or intra-agency communications that are protected by legal privileges
 - f. **Exemption 6:** information involving matters of personal privacy
 - g. **Exemption 7:** records or information compiled for law enforcement purposes, to the extent that the production of those records (A) could reasonably be expected to interfere with enforcement proceedings, (B) would deprive a person of a right to a fair trial or an impartial adjudication, (C) could reasonably be expected to constitute an unwarranted invasion of personal privacy, (D) could reasonably be expected to disclose the identity of a confidential source, (E) would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions, or (F) could reasonably be expected to endanger the life or physical safety of any individual
 - h. **Exemption 8:** information relating to the regulation or supervision of financial institutions
 - i. **Exemption 9:** geological or geophysical information on wells

3. Agency Component Abbreviations

Component Abbreviation	Component Name
DoS	Department of State
OIG	Office of Inspector General

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
8 U.S.C. § 1202(f) (Immigration and Nationality Act)	Certain records pertaining to the issuance or refusal of visas to enter the United States	Medina-Hincapie v. Dep't of State, 700 F.2d 737, 741-42 (D.C. Cir. 1983); DeLaurentiis v. Haig, 686 F.2d 192, 194 (3d Cir. 1982); Beltranena v. U.S. Dep't of State, 821 F. Supp. 2d 167, 177-78 (D.D.C. 2011); Badalamenti v. U.S. Dep't of State, 899 F. Supp 542, 547 (D. Kan. 1995); Jan-Xin Zang v. FBI, 756 F. Supp. 705, 711-12 (W.D.N.Y. 1991); Smith v. DOJ, No. 81-CV-813, 1983 U.S. Dist. LEXIS 10878, at *13-14 (N.D.N.Y. Dec. 13, 1983); Holy Spirit Ass'n for Unification of World Christianity, Inc. v. U.S. Dep't of State, 526 F. Supp. 1022, 1031 (S.D.N.Y. 1981).	DoS	6,067	6,067
10 U.S.C. § 424	Organization or any function of, and certain information pertaining to, employees of the Defense Intelligence Agency, the National Reconnaissance Office, and the National Geospatial-Intelligence Agency	Physicians for Human Rights v. DOD, No. RBD-08-273, 2011 WL 1495942, at *7 (D.D.C. Apr. 19, 2011); Miller v. DOJ, 562 F. Supp. 2d 82, 112 (D.D.C. 2008); Wickwire Gavin, P.C. v. Def. Intelligence Agency, 330 F. Supp. 2d 592, 602 (E.D. Va. 2004).	DoS	4	4
50 U.S.C. § 402 note (National Security Agency Act)	Information pertaining to the functions or organization of NSA; certain information pertaining to	ACLU v. DOJ, 681 F.3d 61, 72-75 (2d Cir. 2012); Elec. Priv. Info. Ctr. V. NSA, 678 F.3d 926, 931 (D.C.	DoS	2	2

of 1959)	NSA employees	Cir. 2012); Houghton v. NSA, 378 F. App'x 235, 238-39 (3d Cir. 2010) (per curiam); Lahr v. NTSB, 569 F.3d 964, 985 (9th Cir. 2009); Larson v. Dep't of State, 565 F.3d 857,868-69 (D.C. Cir. 2009); Founding Church of Scientology v. NSA, 610 F.2d 824, 827-28 (D.C. Cir. 1979); Roman v. NSA, No. 07-CV-4502, 2009 WL 303686, at *5-6 (E.D.N.Y. Feb. 9, 2009), summary affirmance granted, 354 F. App'x. 591 (2d Cir. 2009).			
50 U.S.C. § 403g (Central Intelligence Act of 1949)	Intelligence sources and methods; certain information pertaining to CIA employees, specifically: "the organization, functions, names, official titles, salaries, or numbers of personnel employed by the Agency."	Larson v. Dep't of State, 565 F.3d 857, 865 n.2 (D.C. Cir. 2009); Berman v. Cia, 501 F.3d 1136, 1137-38, 1140 (9th Cir. 2007); Makky v. Chertoff, 489 F. Supp. 2d 421, 442 (D.N.J. 2007), aff'd on other grounds, 541 F.3d 205 (3d Cir 2008).	DoS	3	3

V.A. FOIA REQUESTS -- 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
DoS	11,722	27,856	15,386	24,192
OIG	9	105	96	18
AGENCY OVERALL	11,731	27,961	15,482	24,210

**The Department of State's FOIA Annual Report for FY 2015 reported that the number of cases pending at the end of the fiscal year for State was 21,750. As a result of our data reconciliation and validation efforts, we have determined that the number of pending requests at the start of FY 2016 in our primary case management system was 11,722. The overall number of cases pending action at that time was closer to the 21,750 number previously reported.*

V.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	
DoS	874	2,155	7,117	863	243	309	1	2,614	397	753	60	0	15,386
OIG	10	39	9	23	1	0	4	7	2	1	0	0	96
AGENCY OVERALL	884	2,194	7,126	886	244	309	5	2,621	399	754	60	0	15,482

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

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

V.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
DoS	243	1	6,067	58	300	437	18	2	85	10	68	6	0	0
OIG	1	0	0	1	23	43	2	0	29	0	1	2	0	0
AGENCY OVERALL	244	1	6,067	59	323	480	20	2	114	10	69	8	0	0

VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- 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
DoS	385	139	36	488
OIG	9	9	6	12
AGENCY OVERALL	394	148	42	500

**The Department of State's FOIA Annual Report for FY 2015 reported that the number of appeals pending at the end of the fiscal year for State was 393. As a result of our data reconciliation and validation efforts, we have determined that the number should have been 394; that corrected number is reflected here.*

VI.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
DoS	4	12	13	7	36
OIG	1	1	0	4	6
AGENCY OVERALL	5	13	13	11	42

VI.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
DoS	26	3	21	2	20	24	17	0	18	16	17	0	0	0
OIG	0	0	0	0	0	2	0	0	2	0	1	0	0	0
AGENCY OVERALL	26	3	21	2	20	26	17	0	20	16	18	0	0	0

VI.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
DoS	1	0	1	0	0	1	0	0	0	0	5
OIG	0	0	1	0	2	0	0	0	0	0	1
AGENCY OVERALL	1	0	2	0	2	1	0	0	0	0	6

VI.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
DoS	Records Referred on Appeal	1	5
	Records deemed non-responsive on appeal	4	
OIG	Improper appeal	1	1
AGENCY OVERALL			6

VI.C.(4). RESPONSE TIME FOR ADMINISTRATIVE APPEALS

Agency / Component	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days
DoS	284.92	548.51	<1	1,523.61
OIG	40.00	118.33	25.00	480.00
AGENCY OVERALL	284.92	548.51	<1	1,523.61

VI.C.(5). TEN OLDEST PENDING ADMINISTRATIVE APPEALS

Agency / Component		10th Oldest Appeal	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Appeal
DoS	Date of Appeal	2011-07-03	2011-05-12	2011-05-12	2011-02-23	2011-02-11	2010-11-15	2010-09-01	2010-07-14	2009-09-14	2007-08-07
	Number of Days Pending	1319	1355	1355	1411	1418	1478	1528	1563	1771	2300
OIG	Date of Appeal	2015-08-05	2015-07-10	2014-04-04	2014-03-19	2014-02-28	2014-02-11	2013-05-30	2013-04-26	2013-04-18	2013-03-28
	Number of Days Pending	292	310	628	640	653	665	840	863	869	884
AGENCY OVERALL	Date of Appeal	2011-07-03	2011-05-12	2011-05-12	2011-02-23	2011-02-11	2010-11-15	2010-09-01	2010-07-14	2009-09-14	2007-08-07
	Number of Days Pending	1319	1355	1355	1411	1418	1478	1528	1563	1771	2300

VII.A. FOIA 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
DoS	166	342	2	1871	392	517	9	2642	135	139	18	359
OIG	16	20.1	3	66	27	37.27	4	155	8	15.33	4	66
AGENCY OVERALL	166	342	2	1871	392	517	9	2642	135	139	18	359

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
DoS	106	276	11	1781	437	562	9	2642	168	165	18	357
OIG	23	26.44	3	50	23	30.29	4	135	8	18.17	4	66
AGENCY OVERALL	106	276	11	1781	437	562	9	2642	168	165	18	357

VII.C. PROCESSED SIMPLE REQUESTS -- RESPONSE TIME IN DAY INCREMENTS

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
DoS	22	112	84	40	28	21	79	31	23	14	57	77	255	843
OIG	17	4	5	0	0	0	0	0	0	0	0	0	0	26
AGENCY OVERALL	39	116	89	40	28	21	79	31	23	14	57	77	255	869

VII.C. PROCESSED COMPLEX REQUESTS -- RESPONSE TIME IN DAY INCREMENTS

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
DoS	17	50	42	30	83	65	203	1,334	1,059	2,058	1,919	2,045	2,602	11,507
OIG	17	22	3	3	0	4	3	0	0	0	0	0	0	52
AGENCY OVERALL	34	72	45	33	83	69	206	1,334	1,059	2,058	1,919	2,045	2,602	11,559

VII.C. PROCESSED REQUESTS GRANTED EXPEDITED PROCESSING -- RESPONSE TIME IN DAY INCREMENTS

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
DoS	1	7	2	0	0	1	2	0	7	0	2	3	0	25
OIG	8	0	0	0	1	0	0	0	0	0	0	0	0	9
AGENCY OVERALL	9	7	2	0	1	1	2	0	7	0	2	3	0	34

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
DoS	1544	378.94	583.91	22444	505.02	653.33	186	385.35	351.74
OIG	0	N/A	N/A	18	147	121.33	0	N/A	N/A
AGENCY OVERALL	1544	378.94	583.91	22462	505.02	653.33	186	385.35	351.74

We have included 16,190 referrals from DHS/USCIS in this chart; however, all of the cases have not been entered into the Department's case management system. Therefore, the median and average numbers of days do not reflect those cases.

VII.E. PENDING REQUESTS -- TEN OLDEST PENDING PERFECTED REQUESTS

Agency / Component		10th Oldest Request	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Request
DoS	Date of Receipt	2006-10-10	2006-09-21	2006-09-20	2006-09-15	2006-09-13	2006-09-08	2006-09-08	2006-08-24	2006-08-22	2006-06-27
	Number of Days Pending	2508	2520	2521	2524	2526	2529	2529	2539	2541	2580
OIG	Date of Receipt	2016-03-07	2016-03-07	2016-03-07	2016-02-22	2016-02-22	2016-02-22	2016-02-11	2016-02-11	2016-01-28	2016-01-04
	Number of Days Pending	147	147	147	157	157	157	163	163	173	190
AGENCY OVERALL	Date of Receipt	2006-10-10	2006-09-21	2006-09-20	2006-09-15	2006-09-13	2006-09-08	2006-09-08	2006-08-24	2006-08-22	2006-06-27
	Number of Days Pending	2508	2520	2521	2524	2526	2529	2529	2539	2541	2580

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
DoS	64	566	5	6.69	534
OIG	9	1	9	10	8
AGENCY OVERALL	73	567	9	10	542

VIII.B. REQUESTS FOR FEE WAIVER

Agency / Component	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate
DoS	623	344	1	3.6
OIG	0	0	N/A	N/A
AGENCY OVERALL	623	344	1	3.6

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
DoS	75	52.66	127.66	\$17,415,160.30	\$1,285,054.00	\$18,700,214.30
OIG	1	1.8	2.8	\$368,000.00	\$0.00	\$368,000.00
AGENCY OVERALL	76	54.46	130.46	\$17,783,160.30	\$1,285,054.00	\$19,068,214.30

X. FEES COLLECTED FOR PROCESSING REQUESTS

Agency / Component	Total Amount of Fees Collected	Percentage of Total Costs
DoS	\$1,042.55	0.01%
OIG	\$331.00	0.09%
AGENCY OVERALL	\$1,373.55	0.01%

XI.A. NUMBER OF TIMES SUBSECTION (C) USED

Agency / Component	Number of Times Subsection (C) Used
DoS	0
OIG	0
AGENCY OVERALL	0

XI.B. NUMBER OF SUBSECTION (A)(2) POSTINGS

Agency / Component	Number of (a)(2) Records Posted by the FOIA Office	Number of (a)(2) Records Posted by Program Offices
DoS	34,304	0
OIG	0	0
AGENCY OVERALL	34,304	0

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
DoS	22,647	457
OIG	17	12
AGENCY OVERALL	22,664	469

The number of backlogged requests includes an estimated 16,190 referrals received from DHS/USCIS that were not entered into the Department's case management system [see Section V.A]. The estimate is included in the number of requests backlogged as of the end of the fiscal year.

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
DoS	280	282	278	284
OIG	0	2	2	0
AGENCY OVERALL	280	284	280	284

** In FY 2015, the Department's case management system tracked FOIA requests filed directly with the Department, those that were received from another agency for consultation, and those that were referred from another agency for processing and direct response by the Department to the requester. The tracking system was modified for FY 2016 and this chart only lists consultations.*

***As reported in the Department of State's FOIA Annual Report FY 2015, the number of consultations pending at the end of the fiscal year was 3,256. As a result of our data reconciliation and validation efforts, we have determined that the number reported here – 280 – is correct.*

XII.C. CONSULTATIONS ON FOIA REQUESTS -- TEN OLDEST CONSULTATIONS RECEIVED FROM OTHER AGENCIES AND PENDING AT THE AGENCY

Agency / Component		10th Oldest Consultation	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Consultation
DoS	Date	2014-02-04	2014-01-29	2014-01-10	2013-12-18	2013-08-26	2013-07-15	2013-04-15	2013-03-26	2013-03-07	2013-01-29
	Number of Days	670	674	686	701	779	809	872	886	899	925
OIG	Date	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Number of Days	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	Date	2014-02-04	2014-01-29	2014-01-10	2013-12-18	2013-08-26	2013-07-15	2013-04-15	2013-03-26	2013-03-07	2013-01-29
	Number of Days	670	674	686	701	779	809	872	886	899	925

**XII.D.(1). COMPARISON OF NUMBERS OF REQUESTS FROM PREVIOUS AND CURRENT ANNUAL REPORT --
REQUESTS RECEIVED AND PROCESSED**

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
DoS	24,747	27,856	13,913	15,386
OIG	90	105	89	96
AGENCY OVERALL	24,837	27,961	14,002	15,482

XII.D.(2). COMPARISON OF NUMBERS OF REQUESTS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- BACKLOGGED REQUESTS

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
DoS	11,722	22,647
OIG	9	17
AGENCY OVERALL	11,731	22,664

** The Department of State's FOIA Annual Report for FY 2015 reported that the number of cases pending at the end of the fiscal year for State was 21,750. As a result of our data reconciliation and validation efforts, we have determined that the number should have been 11,722; that corrected number is reflected here.*

XII.E.(1). COMPARISON OF NUMBERS OF ADMINISTRATIVE APPEALS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- APPEALS RECEIVED AND PROCESSED

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
DoS	242	139	118	36
OIG	1	9	0	6
AGENCY OVERALL	243	148	118	42

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

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
DoS	367	457
OIG	9	12
AGENCY OVERALL	376	469

