



U.S. DEPARTMENT OF STATE

FREEDOM OF INFORMATION ACT

ANNUAL REPORT

FISCAL YEAR 2021

FOIA ANNUAL REPORT

The following **Annual Freedom of Information Act** report covers the
Period 10/01/2020, through 09/30/2021, as required by 5 U.S.C. 552.

I. BASIC INFORMATION REGARDING REPORT

1. Questions about this report may be addressed to:

Eric F. Stein
Deputy Assistant Secretary
A/GIS
2201 C Street, N.W., Suite B-266
U.S. Department of State
Washington, D.C. 20520-0000

Telephone: (202) 261-8484
Fax: (202) 485-1669

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

II. MAKING A 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, 2201 C Street N.W., Suite B-266, Department of State, Washington, D.C. 20520-0000; or
 - Fax to (202) 485-1669; or
 - Email to foiarequest@state.gov; or

- On-line at the Department's website: <https://foia.state.gov>

FOIA requests must reasonably describe the Department record(s) that the requester seeks in sufficient detail to enable agency personnel to locate them with a reasonable amount of effort. To the extent possible, requesters should include specific information that may assist the Department in identifying the requested record(s), such as the date, title or name, author, recipient, subject matter, case number, file designation reference number, or timeframe. Requests seeking access to information pertaining to an individual should include the individual's full 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, to gain the broadest access to those records. More information about verification of identity and proper authorization may be found on the Department's FOIA 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 the Department's 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 the Department can reach the requester to discuss the request as necessary.

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

The Department can only process requests that comply with its 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 after receiving a request the Department determines that the request does not reasonably describe the records sought, the Department will inform the requester that the request is insufficient and may ask for additional information. If a request does not reasonably describe the records sought, the agency's response to the request may be delayed.

If the Department makes an adverse determination denying a request in any respect, it will notify the requester of that determination in writing. Adverse determinations, or denials of requests, include decisions that: the requested record is exempt from disclosure, in whole or in part; the request does not reasonably describe the records sought; the information requested is not a record subject to the FOIA; the requested record does not exist, cannot be located, or has been destroyed; or the requested record is not readily reproducible in the form or format sought by the requester. Adverse determinations also include denials involving fees or fee waiver matters or denials of requests for expedited processing.

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 the Department's website at <https://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
2201 C Street N.W., Suite B-266
Department of State
Washington, D.C. 20520-0000

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.

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

FOIA Officer
Office of General Counsel
Office of Inspector General
U.S. Department of State
1700 North Moore Street
Suite 1400
Arlington, VA 22209
Fax: (703) 284-1866
Phone: (571) 348-3815
E-mail: foia@stateoig.gov
Website: <https://www.stateoig.gov/foia>

2. The Department of State is responsible for formulating and executing U.S. foreign policy and U.S. foreign relations. Records are maintained domestically and throughout the world at posts, missions, embassies, and consulates. The Department also maintains records of applications from U.S. citizens for U.S. passports, visa requests from non-citizens, and records of its own employees, as well as other types of records. Because of the nature and scope of its records holdings, including classified and other sensitive material, the Department conducts a rigorous review to determine whether any information must be withheld under one of the nine FOIA exemptions. In implementing the Department's mission, the Department works closely with many other federal agencies and international partners. For this reason, the Department often must consult with other, and 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 by the Department to withhold information are shown in Table V.B. (3). In addition, the Department receives a large volume of FOIA referrals from other agencies, which also contributes to its 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 <https://www.ecfr.gov/cgi-bin/ECFR?page=browse> or on the Department's website at <http://www.foia.state.gov>. The most recent fee schedule is found in

the Information Access Guide at
<https://www.foia.state.gov/Request/Guide.aspx>.

III. ACRONYMS, DEFINITIONS, AND EXEMPTIONS

1. Agency-Specific Abbreviations and Basic Terms:
 - a. A/GIS/IPS – Bureau of Administration (A), 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 U.S. Government, subordinate to the 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 the Ambassador, who is the principal diplomatic representative of the United States Government, 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 U.S. Government organization, an embassy, legation, or other organization established and maintained to 1) conduct bilateral relations between the U.S. Government 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 that are of specific limited scope or objectives and that 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 Department of State organization; a Post is any Foreign Service diplomatic or consular establishment, or else an establishment having a special designation, maintained in support of a U.S. 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. Include the following 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 requests or administrative appeals that are pending at an agency at the end of the fiscal year that are beyond the statutory timeframe 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, Bureau, Center, or Directorate, within the agency that processes FOIA requests. The FOIA now 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 first forwards a record to another agency for its review because that other agency has an interest in the document. Once the agency in receipt of the consultation finishes its review of the record, it responds back to the agency that forwarded it. That agency, in turn, will then respond to the FOIA requester.

- f. **Exemption 3 Statute** - a federal statute that exempts information from disclosure and which the agency relies on to withhold information under subsection (b)(3) of the FOIA.

- g. **FOIA Request** - a FOIA request is generally a request to a federal agency for access to records concerning another person (i.e., a "third-party" request), or concerning an organization, or a particular topic of interest. FOIA requests also include requests made by requesters seeking records concerning themselves (i.e., "first-party" requests) when those requesters are not subject to the Privacy Act, such as non-U.S. citizens. Moreover, because all first-party requesters should be afforded the benefit of both the access provisions of the FOIA as well as those of the Privacy Act, FOIA requests also include any first-party requests where an agency determines that it must search beyond its Privacy Act "systems of records" or where a Privacy Act exemption applies, and the agency looks to FOIA to afford the greatest possible access. All requests which require the agency to utilize the FOIA in responding to the requester are included in this Report.

Additionally, a FOIA request includes records referred to the agency for processing and direct response to the requester. It does not, however, include records for which the agency has received a

consultation from another agency. (Consultations are reported separately in Section XII of this Report.)

- h. **Full Grant** - an agency decision to disclose all records in full in response to a FOIA request.
- i. **Full Denial** - an agency decision not to release any records in response to a FOIA request because the records are exempt in their entireties under one or more of the FOIA 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 simple requests requiring relatively minimal review are placed in one processing track and more voluminous and complex requests are placed in one or more other tracks. Requests granted expedited processing are placed in yet another track. 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** - in response to a FOIA request, an agency decision to disclose portions of the records and to withhold other portions that are exempt under the FOIA, 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. **Perfected Request** - a request for records which reasonably describes such records and is made in accordance with published rules stating the time, place, fees (if any) and procedures to be followed.
 - 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. **Time Limits** - the statutory timeframe for an agency to respond to a FOIA request is twenty working days from receipt of a perfected FOIA request.
3. Include the following concise descriptions of the nine FOIA exemptions:
 - a. **Exemption 1:** classified national defense and foreign relations information
 - b. **Exemption 2:** internal agency rules and practices

- c. **Exemption 3:** information that is prohibited 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 supervision of financial institutions
- i. **Exemption 9:** geological information on wells

4. Agency Component Abbreviations

Component Abbreviation	Component Name
DOS - Main	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); Judicial Watch, Inc. v. U.S. Dep't of State, 650 F. Supp. 2d 28, 33 (D.D.C. 2009); Smith v. DOJ, No. 81-CV-813, 1983 U.S. Dist. LEXIS 10878, at *13-14 (N.D.N.Y. Dec. 13, 1983).	DOS - Main	5762	5762
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	Hamdan v. DOJ, 797 F.3d 759, 776 (9th Cir. 2015); Freedom Watch, Inc. v. NSA, 197 F. Supp. 3d 165, 174 (D.D.C. 2016); Wickwire Gavin, P.C. v. Def. Intel. Agency, 330 F. Supp. 2d 592, 602 (E.D. Va. 2004).	DOS - Main	4	4
22 U.S.C. §§ 1461, 1461-1a (Foreign Affairs Reform and Restructuring Act)	Certain program information prepared by the United States Information Agency	Essential Info., Inc. v. USIA, 134 F.3d 1165, 1168 (D.C. Cir. 1998).	DOS - Main	5	5

22 U.S.C. § 2778(e) (Arms Export Control Act)	Certain information pertaining to export license applications	Council for a Livable World v. U.S. Dep't of State, No. 96-1807, slip op. at 11 (D.D.C. Jan. 21, 1998), amended (D.D.C. Nov. 23, 1998).	DOS - Main	2	2
41 U.S.C. § 4702 (formerly at 41 U.S.C. § 253b(m)(1))	Contractor proposals that are in the possession or control of an executive agency and that have not been set forth or incorporated by reference into contracts	Sinkfield v. HUD, No. 10-885, 2012 U.S. Dist. LEXIS 35233, at *13-15 (S.D. Ohio Mar. 15, 2012); Hornbostel v. U.S. Dep't of the Interior, 305 F. Supp. 2d 21, 30 (D.D.C. 2003), summary affirmance granted, No. 03-5257, 2004 WL 1900562 (D.C. Cir. Aug. 25, 2004).	DOS - Main	5	5
50 U.S.C. § 3605 (formerly at 50 U.S.C. § 402 note) (National Security Agency Act of 1959)	Information pertaining to the functions or organization of NSA; certain information pertaining to NSA employees	Houghton v. NSA, No. 09-4440, 2010 WL 1784058, at *3 (3d Cir. May 5, 2010) (per curiam); 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).	DOS - Main	3	3
50 U.S.C. § 3507 (formerly at 50 U.S.C. § 403g) (Central Intelligence Agency Act of 1949)	Intelligence sources and methods; certain information pertaining to Agency employees, specifically: "the organization, functions, names, official titles, salaries, or numbers of personnel employed by the Agency"	Assassination Archives & Rsch. Ctr. v. CIA, No. 18-5280, 2019 WL 691517 (D.C. Cir. Feb. 15, 2019) (per curiam); ACLU v. DOJ, 681 F.3d 61, 72-75 (2d Cir. 2012); Berman v. CIA, 501 F.3d 1136, 1137-38, 1140 (9th Cir.	DOS - Main	11	11

		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).			
50 U.S.C. § 3507 (formerly at 50 U.S.C. § 403g) (Central Intelligence Agency Act of 1949)	Intelligence sources and methods; certain information pertaining to Agency employees, specifically: "the organization, functions, names, official titles, salaries, or numbers of personnel employed by the Agency	Assassination Archives & Rsch. Ctr. v. CIA, No. 18-5280, 2019 WL 691517 (D.C. Cir. Feb. 15, 2019) (per curiam); ACLU v. DOJ, 681 F.3d 61, 72-75 (2d Cir. 2012); 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 - Main	2	2
7 U.S.C. § 1502(c)(1) (Federal Crop Insurance Act)	Certain information furnished by a producer under the Federal Crop Insurance Act.	Bush v. U.S. Dep't of Agric., No. 16-4128, 2017 WL 3568672, at *7 (N.D. Iowa Aug. 17, 2017).	DOS - Main	2	2
7 U.S.C. § 2018(c)	Information obtained pursuant to chapter 51 of title 7 of the United States Code, which concerns the handling of information submitted by applicants to the Supplemental Nutrition Assistance Program	Argus Leader Media v. USDA, 740 F. 3d 1172, 1175-76 (8Cir. 2014).	DOS - Main	1	1
18 U.S.C. § 208(d)(1)	Providing that "a copy of any determination granting an exemption under subsection (b)(1) or (b)(3) [from application of penalties for acts affecting personal financial interests determined to constitute bribery, graft, or conflicts of interest] shall be made available to the public," but exempting from this disclosure requirement "any information contained in the	Seife v. NIH, 874 F. Supp. 2d 248, 256 (S.D.N.Y. 2012).	DOS - Main	4	4

	determination that would be exempt from disclosure under section 552 of title 5”				
19 U.S.C. § 2155(g) (Trade Act)	Certain information in connection with trade negotiations that is “submitted in confidence.”	Intellectual Prop. Watch v. U.S. Trade Representative, 205 F. Supp. 3d 334, 345-46 (S.D.N.Y. 2016).	DOS - Main	2	2
20 U.S.C. § 1099c-1 (Higher Education Act)	Certain program review reports and institutional responses until the Department of Education issues a final program review determination.	Bagwell v. U.S. Dep't of Educ., 183 F. Supp. 3d 109, 126-27 (D.D.C. 2016).	DOS - Main	1	1
21 U.S.C. § 387f(c) (Tobacco Regulations Federal Retirement Reform Act)	Certain information reported to or obtained by the Secretary which is exempt from disclosure under Exemption 4 of the FOIA	Rozema v. HHS, 167 F. Supp. 3d 324, 341 (N.D.N.Y. 2016).	DOS - Main	1	1
28 U.S.C. § 652(d) (Alternative Dispute Resolution Act of 1998)	“[C]onfidential dispute resolution communications”	Yelder v. DOD, 557 F. Supp. 2d 342, 346-47 (D.D.C. 2008).	DOS - Main	1	1
39 U.S.C. § 3016(d) (Deceptive Mail Prevention and Enforcement Act)	Documentary material provided pursuant to any subpoena issued under Deceptive Mail Prevention Enforcement Act.	Gov't Accountability Project v. FDA, 206 F. Supp. 3d 420, 433 (D.D.C. 2016) (dictum).	DOS - Main	3	3
52 U.S.C. § 30109(a)(12)(A) (formerly at 2 U.S.C. § 437(a)(12)(A)) (Federal Election Campaign Act)	Any notification or investigation made under this section of the Federal Election Campaign Act pertaining to federal campaign funds	Gov't Accountability Project v. FDA, 206 F. Supp. 3d 420, 433 (D.D.C. 2016).	DOS - Main	2	2
P. L. No. 111-83 123 Stat. 2142 (Protected National Security)	Certain photographs related to the treatment of individuals engaged,	ACLU v. DOD, 901 F. 3d 125, 133, (2d Cir. 2018).	DOS - Main	1	1

Documents Act 2009)	captured, or detained after September 11, 2001.				
5 U.S.C. app. 3 § 7(b)	Names of employees who provide information or complaints to the Inspector General.	N/A	OIG	10	10
6 U.S.C. 673	Protection of voluntarily shared critical infrastructure information	The text of the statute explicitly prohibits disclosure under FOIA	OIG	11	11

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 - Main	14751	10633	9371	16013
OIG	126	50	134	42
AGENCY OVERALL	14877	10683	9505	16055

After reviewing its database, the Department of State updated the number of requests pending at the start of the Fiscal Year for the following components: DOS – Main and OIG.

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 - Main	239	4347	1844	1612	27	89	0	633	179	346	55	0	9371
OIG	19	54	15	12	4	2	0	4	5	16	3	0	134
AGENCY OVERALL	258	4401	1859	1624	31	91	0	637	184	362	58	0	9505

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 - Main	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 - Main	19	4	5812	7	102	593	18	0	169	11	62	5	0	0
OIG	8	2	21	1	19	45	5	0	35	6	5	6	0	0
AGENCY OVERALL	27	6	5833	8	121	638	23	0	204	17	67	11	0	0

VIA. 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 - Main	248	474	342	380
OIG	16	2	4	14
AGENCY OVERALL	264	476	346	394

After reviewing its database, the Department of State updated the number of appeals pending at the start of the Fiscal Year for the following component: DOS – Main.

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 - Main	224	9	38	71	342
OIG	4	0	0	0	4
AGENCY OVERALL	228	9	38	71	346

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 - Main	3	0	12	0	2	8	1	0	2	0	0	0	0	0
OIG	0	0	0	0	0	4	0	0	0	0	0	0	0	0
AGENCY OVERALL	3	0	12	0	2	12	1	0	2	0	0	0	0	0

VLC.(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 - Main	1	0	3	0	1	11	7	5	1	42	0
OIG	0	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	1	0	3	0	1	11	7	5	1	42	0

VLC.(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 - Main	N/A	0	0
OIG	N/A	0	0
AGENCY OVERALL			0

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 - Main	4	109.7	<1	1953
OIG	3.5	4	<1	10
AGENCY OVERALL	3.5	80	<1	1953

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

Agency / Component		10th Oldest Appeal	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Appeal
DOS - Main	Date of Appeal	2015-03-18	2015-03-18	2015-03-18	2015-02-02	2015-01-23	2015-01-06	2014-11-25	2014-10-28	2014-10-22	2013-12-06
	Number of Days Pending	1644	1644	1644	1675	1681	1693	1720	1739	1743	1963
OIG	Date of Appeal	2018-12-03	2018-06-25	2018-03-08	2018-01-25	2017-10-31	2017-08-24	2015-12-01	2015-02-06	2014-12-12	2013-04-18
	Number of Days Pending	690	833	909	958	964	1010	1440	1633	1673	2090
AGENCY OVERALL	Date of Appeal	2015-03-18	2015-02-06	2015-02-02	2015-01-23	2014-12-12	2014-11-25	2014-10-29	2014-10-22	2013-12-06	2013-04-18
	Number of Days Pending	1622	1633	1637	1647	1673	1687	1707	1712	1931	2090

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 - Main	3	46.82	<1	1216	41	104.86	<1	3693	181	463.81	3	1713
OIG	109.5	114.07	1	522	239	353	1	1161	N/A	N/A	N/A	N/A
AGENCY OVERALL	56	80	<1	1216	190	267	<1	3693	181	463.81	3	1713

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 - Main	167	218.88	3	983	41	100.52	<1	3693	197	601.36	3	1713
OIG	126	130	4	463	325	380.07	67	1035	283	283	283	283
AGENCY OVERALL	140	180	3	983	250	203	<1	3693	203	400	3	1713

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 - Main	721	19	9	3	3	7	5	6	7	5	14	14	42	855
OIG	15	7	2	6	8	14	13	3	3	1	6	1	3	82
AGENCY OVERALL	736	26	11	9	11	21	18	9	10	6	20	15	45	937

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 - Main	2536	1176	865	1139	648	122	84	67	94	62	190	120	416	7519
OIG	5	0	0	1	1	0	4	2	0	1	9	4	14	41
AGENCY OVERALL	2541	1176	865	1140	649	122	88	69	94	63	199	124	430	7560

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 - Main	29	6	5	1	1	1	0	1	0	3	6	5	31	89
OIG	0	0	0	0	0	0	0	0	0	0	1	0	0	1
AGENCY OVERALL	29	6	5	1	1	1	0	1	0	3	7	5	31	90

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 - Main	882	150.5	273	14506	794	960	236	507	655
OIG	14	242.5	267	23	292	335	5	343	342
AGENCY OVERALL	896	200	260	14529	480	631	241	350	550

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 - Main	Date of Receipt	2007-05-29	2007-05-29	2007-05-08	2007-05-03	2007-04-25	2007-04-23	2007-03-28	2007-03-12	2006-11-27	2006-11-26
	Number of Days Pending	3601	3601	3615	3618	3624	3626	3644	3656	3727	3727
OIG	Date of Receipt	2020-05-18	2020-04-15	2019-12-09	2019-12-04	2019-10-17	2019-01-31	2018-11-02	2018-03-12	2018-01-10	2017-11-03
	Number of Days Pending	345	368	456	459	491	671	730	895	936	980
AGENCY OVERALL	Date of Receipt	2007-05-29	2007-05-29	2007-05-08	2007-05-03	2007-04-25	2007-04-23	2007-03-28	2007-03-12	2006-11-27	2006-11-27
	Number of Days Pending	3601	3601	3615	3618	3624	3626	3644	3656	3727	3727

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 - Main	89	704	2	5.51	684
OIG	4	2	30	20	1
AGENCY OVERALL	93	706	15	12	685

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 - Main	123	6	2	13.02
OIG	4	0	20	10
AGENCY OVERALL	127	6	10	10

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 - Main	109	67.20	176.20	26410713.50	1043742.00	27454455.50
OIG	3	4.00	7.00	550453.00	0.00	550453.00
AGENCY OVERALL	112	71.20	183.20	26961166.50	1043742.00	28004908.50

X. Fees Collected for Processing Requests

Agency / Component	Total Amount of Fees Collected	Percentage of Total Costs
DOS - Main	0.00	0.0000
OIG	0.00	0.0000
AGENCY OVERALL	0.00	0.0000

XI.A. Number of Times Subsection (C) Used

Agency / Component	Number of Times Subsection Used
DOS - Main	0
OIG	0
AGENCY OVERALL	0

XI.B. Number of Subsection (A)(2) Postings

Agency / Component	Number of Records Posted by the FOIA Office	Number of Records Posted by Program Offices
DOS - Main	8595	0
OIG	0	0
AGENCY OVERALL	8595	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 - Main	14899	358
OIG	42	0
AGENCY OVERALL	14941	358

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 - Main	138	159	137	160
OIG	9	25	33	1
AGENCY OVERALL	147	184	170	161

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 - Main	Date	2015-05-22	2014-09-17	2014-08-22	2014-04-28	2014-01-09	2012-04-30	2012-04-30	2011-03-02	2011-01-20	2010-11-30
	Number of Days	1597	1767	1784	1866	1941	2366	2366	2659	2687	2721
OIG	Date	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	2021-09-29
	Number of Days	0	0	0	0	0	0	0	0	0	1
AGENCY OVERALL	Date	2015-05-22	2014-09-17	2014-08-22	2014-04-28	2014-01-09	2012-04-30	2012-04-30	2011-03-02	2011-01-20	2010-11-30
	Number of Days	1597	1767	1784	1866	1941	2366	2366	2659	2687	2721

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 - Main	8747	10633	6855	9371
OIG	272	50	186	134
AGENCY OVERALL	9019	10683	7041	9505

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 - Main	13710	14899
OIG	88	42
AGENCY OVERALL	13798	14941

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 - Main	257	474	240	342
OIG	1	2	3	4
AGENCY OVERALL	258	476	243	346

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 - Main	210	358
OIG	14	0
AGENCY OVERALL	224	358