FOIA ANNUAL REPORT

FOR

10/01/2023 THROUGH 12/31/2023

Tuesday, May 14, 2024

The following **Annual Freedom of Information Act** report covers the Period 10/01/2023, through 12/31/2023, as required by 5 U.S.C. 552.

I. BASIC INFORMATION REGARDING REPORT

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

II. MAKING A FOIA REQUEST

- 1. Provide names, addresses, and telephone numbers of all individual agency components that receive FOIA requests.
- 2. Provide a brief description of why some requests are not granted and an overview of certain general categories of the agency's records to which the FOIA exemptions apply.
- 3. Provide a functional electronic link to agency FOIA regulations, including the agency's fee schedule. (NOTE: Agency FOIA Regulations were formerly listed at Section XI of the human-readable version of the Report).

III. ACRONYMS, DEFINITIONS, AND EXEMPTIONS

- 1. Provide any agency-specific acronyms or terms used in this Report.
- 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 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, 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.
 - 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.
- I. **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 time period in the statute for an agency to respond to a FOIA request (ordinarily 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
- j. **Exemption 9:** geological information on wells

IV. Exemption 3 Statutes

	A. For Initial Requests									
Statute	Type of Information Withheld	Case Citation	Number of Times Relied upon per Component	Total Number of Times Relied upon by Agency						
1114	Pharmaceutical Agreement Filing; Section 1114 of the Medicare Prescription Drug, Improvement, and Modernization Act of 2003.	N	HQ : 1	1						
HSR	statute code HSR	Υ	HQ : 4	4						
6(f)	FTC Act 6(f)	Υ	HQ : 6	6						
21(f)	FTC Act 21(f)	Υ	HQ:9	9						

	B. For Appeals											
Statute	Type of Information Withheld	Case Citation	Number of Times Relied upon per Component	Total Number of Times Relied upon by Agency								
HSR	statute code HSR	Υ	HQ : 1	1								
6(f)	FTC Act 6(f)	Υ	HQ : 7	7								
21(f)	FTC Act 21(f)	Υ	HQ : 2	2								

V. FOIA REQUESTS

	A. Received, Processed and Pending FOIA Requests											
	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								
HQ	96	420	390	126								
OIG	0	0	0	0								
AGENCY OVERALL	96	420	390	126								

			B.(1)	Disposit	ion of FOI	A Request	s – All F	Processed F	Requests					
	Number of	Partial Grants/	Number of Full Denials Based on Exemptions		Number of Full Denials Based on Reasons Other than Exemptions									
				No Records	All records referred to another component or agency	Boguest	Fee- Related Reason	Not Reasonably	Improper Request for Other Reasons	NOL	Duplicate Request		TOTAL	
HQ	98	108	51	42	3	7	1	4	42	10	2	18	386	
OIG	0	0	0	0	0	0	0	0	0	0	0	0	0	
AGENCY OVERALL	98	108	51	42	3	7	1	4	42	10	2	18	386	

B.(2) Disposition of FOIA	Requests - "Other" Reasons for "Full Denials Based on Reasons Other than	Exemptions"									
Component	Component Description of Other Reasons TOTAL										
	for Denials from Chart B (1)										
	& Number of Times Those										
	Reasons Were Relied upon										

Other (Publicly Available Information) 2
HQ Aggregated Request 16 18

	B _• (3) Disposition of FOIA Requests – Number of Times Exemptions Applied																	
									Court Order	PA2								
HQ	0	1	17	6	29	101	57	32	0	2	1	1	0	0	0	0	0	0
OIG	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	0	1	17	6	29	101	57	32	0	2	1	1	0	0	0	0	0	0

VI. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS

	A. Received, F	Processed and Pending Admini	strative Appeals	
	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
HQ	4	9	11	2
OIG	0	0	0	0
AGENCY OVERALL	4	9	11	2

	B. Dis	position of Administrative A	Appeals – All Processed App	eals	
	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
HQ	9	1	0	1	11
OIG	0	0	0	0	0
AGENCY OVERALL	9	1	0	1	11

				C.(1)) Rea	sons	for De	enial on	Appea	l – Nu	mber o	f Time	s Exer	nptic	ns A	pplied		
	(b) (1)		(b) (3)		(b) (5)		(b) (7) (A)	Glomar	(b) (7) (B)	(b) (7) (C)	(b) (7) (D)	(b) (7) (E)	(b) (7) (F)	(b) (8)	` '	Speech orDebate Clause	Court Order	PA2
HQ	0	0	8	7	2	2	5	2	0	0	0	0	0	0	0	0	0	0
OIG	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	0	0	8	7	2	2	5	2	0	0	0	0	0	0	0	0	0	0

			C _• (2) Reas	ons for I	Denial on Ap	peal – Rea	sons O	ther than	Exemption	าร		
	No	Records	Request	Fee-	Records	Improper	Not	Duplicate	Request	Appeal	Other	TOTAL
	Records	referred	Withdrawn	Related	Not	Request	Agency	Request	in	Based		
		at initial		Reason	Reasonably	for Other	Record	or Appeal	Litigation	Solely on	*Explain	
		request			Described	Reasons				Denial of	in chart	
		level								Request	below	
										for		
										Expedited		
										Processing		
HQ	0	0	1	0	0	0	0	0	0	0	0	1
OIG	0	0	0	0	0	0	0	0	0	0	0	0
AGENCY	0	0	1	0	0	0	0	0	0	0	0	1
OVERALL												

	C.(3) Reasons for Denial on Appeal - "Other" Reasons								
Component Description of Other Reasons TOTAL									
	for Denials from Chart C (2)								
	& Number of Times Those								
	Reasons Were Relied upon								

	C.(4) Response Time for Administrative Appeals											
Median Average Lowest Highest Number Number Number Number of Days of Days of Days												
HQ	20	20.82	19	30								
OIG	0	0	0	0								
AGENCY OVERALL	20	20.82	19	30								

C.(5) Ten Oldest Pending Administrative Appeals

	10th Oldest Appeal and Number of Days Pending	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Appeal and Number of Days Pending
нQ	N	/A N/A	N/A	N/A	N/A	N/A	N/A	N/A	2023-12-12	2023-12-12
		0 0	0	11/4	1 0	31/4	11/4	0	12	12
OIG	N	/A N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
010		0 0	0	0	0	0	0	0	0	0
AGENCY	N	/A N/A	N/A	N/A	N/A	N/A	N/A	N/A	2023-12-12	2023-12-12
OVERALL		0 0	1 0	1 0	0	0	0	0	12	12

VII. FOIA REQUESTS: RESPONSE TIME FOR PROCESSED AND PENDING REQUESTS

	A. Processed Requests – Response Time for All Processed Perfected Requests											
SIMPLE				COMPLEX				EXPEDITED PROCESSING				
	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days		Average Number of Days		Highest Number of Days		Average Number of Days	Lowest Number of Days	Highest Number of Days
HQ	5	7.7	0	45	16	27.32	0	225	N/A	N/A	N/A	N/A
OIG	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
AGENCY OVERALL	5	7.7	0	45	16	27.32	0	225	N/A	N/A	N/A	N/A

В	B. Processed Requests - Response Time for Perfected Requests in Which Information Was Granted											
	SIMPLE				COMPLEX				EXPEDITED PROCESSING			
	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Number	Average Number of Days	Number	Highest Number of Days	Number			Highest Number of Days
HQ	6	8.45	0	45	19	36.1	1	225	N/A	N/A	N/A	N/A
OIG	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
AGENCY OVERALL	6	8.45	0	45	19	36.1	1	225	N/A	N/A	N/A	N/A

					C. Proc	essed R	equests -	Respon	se Time i	n Day Ind	rements				
	Simple Requests														
		1-20 Days					101-120 Days	121-140 Days	141-160 Days	161-180 Days	181-200 Days	201-300 Days		401+ Days	TOTAL
HQ	25	177	13	2	0	0	0	0	0	0	0	0	0	0	217
OIG	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	25	177	13	2	0	0	0	0	0	0	0	0	0	0	217
							Cor	nplex Re	quests						
		1-20 Days					101-120 Days	121-140 Davs	141-160 Days	161-180 Days	181-200 Days	201-300 Davs		401+ Days	TOTAL
HQ	2	73	14		2	1	1	0	1	1	0	3	0	0	111
OIG	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	2	73	14	13	2	1	1	0	1	1	0	3	0	0	111
						Requ	ests Grai	nted Expe	dited Pro	cessing					
	< 1	1-20	21-40	41-60	61-80	81-100	101-120	121-140	141-160	161-180	181-200	201-300	301-400	401+	TOTAL
	Day	Days	Days	Days	Days	Days	Days	Days	Days	Days	Days	Days	Days	Days	
HQ	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OIG	0		0	0	0	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

	D. Pending Requests – All Pending Perfected Requests									
	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	
HQ	36	12.5	38.56	78	42	65.81	0	0	0	
OIG	0	0	0	0	0	0	0	0	0	
AGENCY OVERALL	36	12.5	38.56	78	42	65.81	0	0	0	

	E. Pending Requests – Ten Oldest Pending Perfected Requests									
	10th Oldest Request and Number of	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Request and Number of Days Pending
	Days Pending									
шО	2023-05-22	2023-05-22	2023-05-01	2023-03-15	2023-03-08	2023-03-01	2022-11-14	2022-07-07	2022-06-17	2022-06-08
HQ	151	151	166	199	204	209	281	370	383	390
OIG	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
OIG	0	0	0	0	0	0	0	0	0	0
AGENCY	2023-05-22	2023-05-22	2023-05-01	2023-03-15	2023-03-08	2023-03-01	2022-11-14	2022-07-07	2022-06-17	2022-06-08
OVERALL	151	151	166	199	204	209	281	370	383	390

VIII. REQUESTS FOR EXPEDITED PROCESSING AND REQUESTS FOR FEE WAIVER

A. Requests for Expedited Processing

	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate	Number Adjudicated Within Ten Calendar Days
HQ	1	25	5.5	18.15	16
OIG	0	0	0	0	0
AGENCY OVERALL	1	25	5.5	18.15	16

	B. Requests for Fee Waiver							
	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate				
HQ	6	33	1	1.79				
OIG	0	0	0	0				
AGENCY OVERALL	6	33	1	1.79				

IX. FOIA PERSONNEL AND COSTS

	PE	RSONNEL		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		
HQ	23	0.00	23.00	\$2,500.00	\$0.00	\$2,500.00		
OIG	1	0.00	1.00	\$0.00	\$0.00	\$0.00		
AGENCY OVERALL	24	0.00	24.00	\$2,500.00	\$0.00	\$2,500.00		

X. FEES COLLECTED FOR PROCESSING REQUESTS

	Total Amount of Fees Collected	Percentage of Total Costs (Rounded to nearest hundredth decimal)
HQ	\$1,694.00	67.76
OIG	\$0.00	0
AGENCY	\$1,694.00	67.76
OVERALL		

XI. Exclusion Use and Proactive Disclosures

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

Agency/Component	Number of Times Subsection Used
но	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
HQ	432	0
OIG	0	0
AGENCY OVERALL	432	0

XII. BACKLOGS, CONSULTATIONS, AND COMPARISONS

A. Backlogs of FOIA Requests and Administrative Appeals					
	Number of Backlogged Requests as of End of Fiscal Year	Number of Backlogged Appeals as of End of Fiscal Year			
HQ	49	0			
OIG		0			
AGENCY OVERALL	49	0			

Discuss/Explain the backlog here(Optional)

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

	Number of Consultations Received from Other Agencies that Were <u>Pending</u> at Your 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 Your Agency During the Fiscal Year	Number of Consultations Received from Other Agencies that Were <u>Pending</u> at Your Agency as of <u>End</u> of the Fiscal Year
HQ	0	1	1	0
OIG	0	0	0	0
AGENCY	0	1	1	0

C. Consultations on FOIA Requests – Ten Oldest Consultations Received from Other Agencies and Pending at Your Agency										
	10th Oldest Consultation and Number of Days Pending	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Consultation and Number of Days Pending
нQ	N/A	N/A 0	N//							
OIG	N/A 0	N/A 0	N/A 0	N/A 0	N/A 0	N/A 0	N/A 0	N/A 0	N/A 0	N/A
AGENCY OVERALL	N/A 0	N/A 0	N/A 0	N/A 0	N/A 0	N/A 0	N/A 0	N/A 0	N/A 0	N/A

D. Comparison of Numbers of Requests from Previous and Current Annual Report – Requests Received, Processed, and							
	Backlogged						
	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			
HQ	481	420	514	390			
OIG	0	0	2	0			
AGENCY OVERALL	481	420	516	390			

	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
HQ	37	49
OIG	0	0
AGENCY	37	49
OVERALL		

E. Comparison of Numbers of Administrative Appeals from Previous and Current Annual Report – Appeals Received, Processed, and Backlogged					
	NUMBER OF APPEALS <u>RECEIVED</u> NUMBER OF APPEALS <u>PROCESSED</u>				
	Number Received During Fiscal Year from Last Year's Annual Report	During Fiscal Year from Last Year's from Current		Number Processed During Fiscal Year from Current Annual Report	
HQ	14	9	10	11	
OIG	0	0	0	0	
AGENCY OVERALL	14	9	10	11	

	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
HQ	0	0
OIG	0	0
AGENCY OVERALL	0	0

F. Discussion of Other FOIA Activities (Optional)