

**ANNUAL REPORT
OF THE
U.S. OFFICE OF SPECIAL COUNSEL
ON
FREEDOM OF INFORMATION ACT (FOIA) ACTIVITIES
FOR FISCAL YEAR (FY) 2013**

I. BASIC INFORMATION REGARDING REPORT

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Washington, DC 20036
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2. This report is accessible online at: <http://www.osc.gov/FOIAAnnualRpt.htm>.
3. Paper copies of this report are available from OSC by writing or calling the FOIA Officer.

II. MAKING A FOIA REQUEST

1. How to Submit a FOIA Request: Send a letter to the FOIA Officer identifying as precisely as possible the documents or information to which you are seeking access. A request letter may be sent by U.S. Mail to the address above or faxed to (202) 254-3711. Alternatively, prospective requesters may send a request to the FOIA officer by e-mail at FOIArequest@osc.gov.
2. Brief description of why some requests are not granted: OSC is an investigative and prosecutorial agency. While agencies must presume that requested records are releasable, many requests are for records in agency case files, which involve: (a) allegations from current or former Federal employees, or applicants for Federal employment, of prohibited personnel practices (including reprisal for whistleblowing); (b) whistleblower disclosures to OSC from current or former Federal employees, or applicants for Federal employment; or (c) allegations of prohibited political activity (*i.e.*, Hatch Act violations) involving covered Federal, state, or local government employees. Most of these records consist of investigatory material, compiled for law enforcement purposes by, or under the supervision of, attorneys and kept in a system of records subject to the Privacy Act (5 U.S.C. § 552a). OSC has exempted the system of records from access under the Privacy Act pursuant to § 552a(k); hence, covered records in the system are exempt from disclosure under the Privacy Act to first parties (that is, complainants or others in whose name a record is kept and retrieved), although limited information may be releasable to them under FOIA. Requests from persons other than complainants for case file information are usually denied under FOIA exemptions (b)(5) and/or (b)(7), because the information: (a) is privileged (either as attorney work product, or as pre-decisional material generated as part of a deliberative process); and/or (b) was compiled for a law enforcement purpose and disclosure could reasonably be expected to interfere with enforcement proceedings, or result in an unwarranted invasion of the personal privacy of the individuals identified in the record.

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.
 - 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 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
- i. **Exemption 9:** geological information on wells

IV. Exemption 3 Statutes

A. For Initial Requests			
Statute	Type of Information Withheld	Case Citation	Total Number of Times Relied upon by Agency
B. For Appeals			
Statute	Type of Information Withheld	Case Citation	Total Number of Times Relied upon by Agency
Footnotes			

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
AGENCY OVERALL	112	149	129	132

Footnotes
 OSC recently transitioned to a new automated FOIA request tracking system, which is more sensitive than the system it replaced. Thus we are reporting 3 more requests that were pending at the beginning of FY 2013 than were reported as pending at the end of FY 2012 in last year's Annual Report.

B.(1) Disposition of FOIA Requests – All Processed Requests												
	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	
AGENCY OVERALL	12	34	15	15	-	2	-	-	11	40	-	129

Footnotes

B.(2) Disposition of FOIA Requests – "Other" Reasons for "Full Denials Based on Reasons Other than Exemptions"		
Component	Description of Other Reasons for Denials from Chart B (1) & Number of Times Those Reasons Were Relied upon	TOTAL
AGENCY OVERALL		0

	Days Pending										
AGENCY OVERALL	01/22/2013 175	10/18/2012 238	09/25/2012 254	07/31/2012 293	09/27/2010 755	09/30/2009 1003	01/28/2008 1426	07/06/2007 1565	10/16/2006 1746		08/08/2005 2044

Footnotes

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	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	14	31.54	<1	301	259	291.62	28	715	266.5	204.33	1	377

Footnotes

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	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	19	67.86	2	301	321	329.5	28	715	292	197	1	377

Footnotes

C. Processed Requests - Response Time in Day Increments

Simple Requests															
	< 1 Day	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
AGENCY OVERALL	2	41	11	6	9	5	-	1	-	-	-	-	1	-	76

Complex Requests															
	< 1 Day	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
AGENCY OVERALL	-	-	2	4	3	-	3	4	1	1	2	5	6	16	47

Requests Granted Expedited Processing															
	< 1 Day	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
AGENCY OVERALL	-	2	-	-	-	-	-	-	-	-	-	2	2	-	6

Footnotes

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
AGENCY OVERALL	29	172	196	96	261	292	7	163	201

Footnotes

E. Pending Requests - Ten Oldest Pending Perfected Requests

	10th Oldest Request and Number of Days Pending	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Request and Number of Days Pending
AGENCY OVERALL	06/23/2011 570	06/01/2011 586	06/01/2011 586	05/12/2011 599	05/11/2011 600	05/09/2011 602	05/05/2011 604	04/19/2011 616	02/04/2011 667	01/25/2011 675

Footnotes

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
AGENCY OVERALL	6	5	7	97.18	6

Footnotes

B. Requests for Fee Waiver

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	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate
AGENCY OVERALL				
Footnotes				

IX. FOIA PERSONNEL AND COSTS

	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
AGENCY OVERALL	1.00	1.00	2.00	\$266,000.00	\$0.00	\$266,000.00
Footnotes						

X. FEES COLLECTED FOR PROCESSING REQUESTS

	Total Amount of Fees Collected	Percentage of Total Costs (Rounded to nearest hundredth decimal)
AGENCY OVERALL	\$0.00	
Footnotes		

XI. FOIA Regulations (Including Fee Schedule)

OSC's FOIA regulation is linked from our FOIA Handbook webpage: <http://www.osc.gov/foia.htm>.

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
AGENCY OVERALL	122	12
Footnotes		

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 Pending at Your Agency as of Start of the Fiscal Year	Number of Consultations Received from Other Agencies During the Fiscal Year	Number of Consultations Received from Other Agencies that Were Processed by Your Agency During the Fiscal Year	Number of Consultations Received from Other Agencies that Were Pending at Your Agency as of End of the Fiscal Year
AGENCY OVERALL		2	2	
Footnotes				

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
AGENCY OVERALL										
Footnotes										

D. Comparison of Numbers of Requests from Previous and Current Annual Report – Requests Received, Processed, and Backlogged				
	NUMBER OF REQUESTS RECEIVED		NUMBER OF REQUESTS PROCESSED	
	Number Received During Fiscal Year from Last Years Annual Report	Number Received During Fiscal Year from Current Annual Report	Number Processed During Fiscal Year from Last Years Annual Report	Number Processed During Fiscal Year from Current Annual Report

AGENCY OVERALL	78	149	4	129
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Footnotes
 This is OSC's first annual report produced using a new FOIA request tracking system. The new system does not contain all of the pre-FY 2013 data, so the FY 2012 figures shown in this section are understated. The correct figures for FY 2012 are: 135 requests received, and 76 requests processed.

	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
AGENCY OVERALL	97	122

Footnotes
 This is OSC's first annual report produced using a new FOIA request tracking system. The new system does not contain all of the pre-FY 2013 data, so the FY 2012 figure shown in this section is understated. The correct figure for FY 2012 is 99 requests.

E. Comparison of Numbers of Administrative Appeals from Previous and Current Annual Report – Appeals Received, Processed, and Backlogged

	NUMBER OF APPEALS RECEIVED		NUMBER OF APPEALS PROCESSED	
	Number Received During Fiscal Year from Last Years Annual Report	Number Received During Fiscal Year from Current Annual Report	Number Processed During Fiscal Year from Last Years Annual Report	Number Processed During Fiscal Year from Current Annual Report
AGENCY OVERALL	4	9		8

Footnotes
 This is OSC's first annual report produced using a new FOIA request tracking system. The new system does not contain all of the pre-FY 2013 data, so the FY 2012 figures shown in this section are understated. The correct figures for FY 2012 are: 8 appeals received, and 6 appeals processed.

	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
AGENCY OVERALL	8	12

Footnotes

F. Discussion of Other FOIA Activities (Optional)

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