

**ANNUAL REPORT
OF THE
U.S. OFFICE OF SPECIAL COUNSEL (OSC)
ON
FREEDOM OF INFORMATION ACT (FOIA) ACTIVITIES
FOR FISCAL YEAR 2001**

I. BASIC INFORMATION ABOUT THIS REPORT

- A. OSC contact person for questions about this report: Marlene A. Cleaveland, FOIA Officer, U.S. Office of Special Counsel, 1730 M Street, N.W., Suite 201, Washington, D.C. 20036-4505, telephone (202) 653-8971.
- B. Electronic address for report on World Wide Web:
<http://www.osc.gov/forms.htm#foia>.
- C. Requesting a paper copy of this report: Download or print from OSC website (see I.B. above) or request it from OSC contact person (see I.A. above).

II. HOW TO MAKE A FOIA REQUEST

- A. Names, addresses, and telephone numbers of all individual agency components and offices that receive FOIA requests: Marlene A. Cleaveland, FOIA Officer, U.S. Office of Special Counsel, Planning and Advice Division, 1730 M Street, N.W., Suite 201, Washington, D.C. 20036-4505; telephone (202) 653-8971; fax (202) 653-5161.
- B. Brief description of agency's response-time ranges: Median processing time is 54 working days.
- C. Brief description of why some requests are not granted: OSC is an investigative and prosecutorial agency. Most requests are for records in agency case files, involving: (a) allegations of prohibited personnel practices (including retaliation against Federal employees for whistleblowing); (b) disclosures to OSC by Federal employees of fraud, waste, or abuse; and (c) allegations of prohibited political activity (*i.e.*, Hatch Act violations) against 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 Privacy Act access provisions, pursuant to § 552a(k) of the statute. For that reason, covered records in the system are exempt from disclosure to first parties –that is, complainants, or subjects of investigation – under the Privacy Act; limited information, however, may be releasable to them under FOIA. Requests by third parties – individuals other than complainants or subjects – for records in OSC case

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files are typically denied because the records were compiled for a law enforcement purpose, and because disclosure could reasonably be expected to result in an unwarranted invasion of the personal privacy of the individuals identified in the records under 5 U.S.C. § 552(b)(7)(C). Additionally, all parties may be denied access under 5 U.S.C. § 552(b)(5), as appropriate, for records that are subject either to the attorney work product privilege, or to the deliberative process privilege because they contain evidence of OSC's predecisional, deliberative process.

III. DEFINITION OF TERMS AND ACRONYMS USED IN THIS REPORT

A. Agency-specific Acronyms and Other Terms

1. OSC - U.S. Office of Special Counsel
2. FOIA - Freedom of Information Act
3. PA - Privacy Act
4. FY - Fiscal Year (October 1 through September 30)

B. Basic Terms

1. FOIA/PA Request. Freedom of Information Act/Privacy Act request. A FOIA request is generally a request for disclosure of records about a third party, an organization, or a particular topic of interest. A Privacy Act request is a request for records covered by that act about oneself; such requests are also treated as FOIA requests. (All requests for records, regardless of which access statute is cited by a requester, are covered by this report.)
2. Initial Request. A request to OSC for records under FOIA.
3. Appeal. A request to OSC asking for review at a higher administrative level of a full denial or partial denial of a FOIA request, or any other FOIA determination, such as a decision about fees.
4. Processed Request or Appeal. A request or appeal for which OSC has taken a full and final action on a request or appeal.
5. 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 in each track are processed on a first-in/first-out basis. A requester who has an urgent need for

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records may request expedited processing (see III.B.6 below). OSC is currently using multi-track processing. Publication of revised FOIA regulations reflecting that fact could not be accomplished in FY 2001, but will occur by the end of 2002.

6. *Expedited Processing.* OSC will process a FOIA request on an expedited basis when a requester has shown an exceptional need or urgency for the records that warrant giving his or her request priority over other requests that were received earlier.
7. *Simple Request.* A FOIA request that a federal agency using multi-track processing places in its fastest track (though not on an expedited processing basis), based on the volume and/or simplicity of records requested.
8. *Complex Request.* A FOIA request that a federal agency using multi-track processing places in a slower track based on the volume and/or complexity of records requested.
9. *Grant.* An OSC decision to disclose all records in full in response to a FOIA request or FOIA appeal.
10. *Partial Grant.* An OSC decision to disclose a record in part in response to a FOIA request or FOIA appeal, redacting information determined to be exempt under one or more of the FOIA's exemptions; or a decision to disclose some records in their entirety, but to withhold others in whole or in part.
11. *Denial.* An OSC decision not to release any part of a record in response to a FOIA request or FOIA appeal because all information in the record is exempt from disclosure under one or more FOIA exemptions, or for another authorized reason (e.g., because no record is located in response to a FOIA request, or because the requester sought answers to questions instead of actual records).
12. *Time Limits.* The time period in the FOIA for an agency to respond to a FOIA request (ordinarily 20 working days from proper receipt of a "perfected" FOIA request).
13. *Perfected Request.* A FOIA request for records that adequately describes the records sought, which has been received by OSC's FOIA office, and for which there is no remaining question about the payment of applicable fees.

14. Exemption 3 Statute. A separate federal statute prohibiting the disclosure of a certain type of information and authorizing its withholding under FOIA exemption (b)(3).
15. Median Number. The middle, not average number. For example, of 3, 7, and 14, the median number is 7.
16. 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.
17. Working Days. Days excepting Saturdays, Sundays, and legal public holidays.

IV. EXEMPTION 3 STATUTES RELIED ON BY OSC DURING FISCAL YEAR 2001 0

V. INITIAL FOIA/PA ACCESS REQUESTS

A. Numbers of Initial Requests

1. Numbers of requests pending at the end of preceding fiscal year 53
2. Numbers of requests received during current fiscal year 150
3. Number of requests processed during current fiscal year..... 160
4. Number of requests pending at the end of current fiscal year 43

B. Disposition of Initial Requests

1. Number of total grants 50
2. Number of partial grants 37
3. Number of denials 29
 - a. Number of times each FOIA exemption used (counting each exemption once per request):
 - (1) Exemption 1 0
 - (2) Exemption 2 36

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(3) Exemption 3	0
(4) Exemption 4	0
(5) Exemption 5	49
(6) Exemption 6	7
(7) Exemption 7(A)	16
(8) Exemption 7(B)	0
(9) Exemption 7(C)	65
(10) Exemption 7(D)	0
(11) Exemption 7(E)	0
(12) Exemption 7(F)	0
(13) Exemption 8	0
(14) Exemption 9	0
4. Other reasons for nondisclosure in whole or in part (total)	44
a. No records	21
b. Referrals	1
c. Request withdrawn	3
d. Fee-related reason	0
e. Records not reasonably described	0
f. Not a proper FOIA request for some other reason	0
g. Not an agency record	0
h. Duplicate request	0

i. Other (specify):

- 1) Files destroyed prior to FOIA request in accordance with National Archives Records Administration guidelines 2
- 2) File lost or unable to be located 2
- 3) Request(s) misdirected 7
- 4) Questions posed as FOIA request(s) (not request for actual records)/no requirement to create records 1
- 5) Neither confirm nor deny existence of records 7

VI. APPEALS OF INITIAL DENIALS OF FOIA/PA REQUESTS

A. Number of Appeals

- 1. Number of appeals pending at the end of preceding fiscal year 18
- 2. Number of appeals received during current fiscal year 7
- 3. Number of appeals processed during current fiscal year 8
- 4. Number of appeals pending at end of current fiscal year 17

B. Disposition of Appeals

- 1. Number completely upheld 5
- 2. Number partially reversed 3
- 3. Number completely reversed 0
 - a. Number of times each FOIA exemption used (counting each exemption once per appeal):
 - (1) Exemption 1 0
 - (2) Exemption 2 0
 - (3) Exemption 3 0

(4) Exemption 4	0
(5) Exemption 5	2
(6) Exemption 6	0
(7) Exemption 7(A)	2
(8) Exemption 7(B)	0
(9) Exemption 7(C)	4
(10) Exemption 7(D).....	0
(11) Exemption 7(E)	0
(12) Exemption 7(F)	0
(13) Exemption 8	0
(14) Exemption 9	0

4. Other reasons for nondisclosure in whole or in part (total):

a. No records.....	0
b. Referrals	0
c. Request withdrawn.....	0
d. Fee-related reason.....	0
e. Records not reasonably described	0
f. Not a proper FOIA request for some other reason	0
g. Not an agency record	0
h. Duplicate request:	0
i. Other (specify)	0

VII. COMPLIANCE WITH TIME LIMITS/STATUS OF PENDING REQUESTS

A. Median Processing Time For Requests Processed During FY 2001

- 1. Simple requests:
 - a. number of requests processed 70
 - b. median number of working days to process 14
- 2. Complex requests:
 - a. number of requests processed 90
 - b. median number of working days to process 54
- 3. Requests accorded expedited processing:
 - a. number of requests processed 0
 - b. median number of working days to process 0

B. Status of Pending Requests at the End of FY 2001

- 1. Number of requests pending at the end of FY 2001 43
- 2. Median number of working days such requests were pending at the end of FY 2001 36

VIII. COSTS/FOIA STAFFING

A. Staffing Levels

- 1. Number of full-time FOIA personnel 0
- 2. Number of personnel with part-time or occasional FOIA duties (in total work-years) 1.5
- 3. Total number of personnel (in work-years) 1.5

B. Total Costs (including staff and other resources)

- 1. FOIA processing (including requests and appeals)..... \$ 65,868.30
- 2. Litigation-related activities \$562.30
- 3. Total costs..... \$ 66,430.00

X. FEES

A. Total amount of fees collected by OSC for processing requests \$ 300.00
(total fees charged: \$583.26)

B. Percentage of total costs.....0.45%

XI. REGULATIONS (INCLUDING FEE SCHEDULE)

OSC's FOIA regulation, including a fee schedule, is codified at 5 C.F.R. § 1820. OSC also provides information about the making and processing of FOIA requests at its Web site (<http://www.osc.gov/foia.htm>), pursuant to the Electronic FOIA Amendments of 1996.