





2017 Freedom of Information Act Annual Report to the Attorney General of the United States

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I. Basic Information Regarding this Report

1. Questions regarding this report may be directed to:

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Washington, DC 20220

2. This report is publicly available and can be downloaded from [Treasury's Freedom of Information Act website](#).
3. Paper copies of this report may be obtained by contacting the Office of Privacy, Transparency, and Records at the address above.

II. Making a FOIA Request

1. Contact Information

The current names, addresses, and contact information for Treasury's FOIA Officers can be found on [Treasury's Freedom of Information Act website](#).

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(OCC)
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(703) 905-5034 Phone

Internal Revenue Service (IRS)
HQ Stop 211
P.O. Box 621506
Atlanta, GA 30362-3006
(801) 620-7638 Phone

United States Mint (Mint)
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Treasury Inspector General for Tax Administration (TIGTA)
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ATTN: FOIA Request
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2. Brief description of why requests are not granted

The Treasury Department may not grant full access to records because of several reasons. Some records are specifically exempt from disclosure pursuant to statute, such as records that contain Bank Secrecy Act information or certain tax return information. This information falls within the scope of Exemption 3. Other records and information that are obtained from private businesses and submitted in confidence or that contain proprietary information fall within the scope of Exemption 4. Internal agency communications representing the pre-decisional process, attorney work product, or attorney-client records fall within the scope of Exemption 5. Private information obtained from individuals may fall within the scope of Exemptions 6 and/or 7(C). Treasury also cites Exemption 7(E) to protect information that would disclose techniques and procedures for law enforcement investigations or prosecutions or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could be expected to risk circumvention of the law. Finally, Treasury protects information and records contained in or related to the examination or the supervision of financial institutions under the authority of Exemption 8.

3. FOIA Regulations

Treasury's FOIA regulations are codified at 31 CFR Part 1, Subpart A, and can be accessed on [Treasury's Freedom of Information Act website](#).

The Financial Stability Oversight Council (FSOC) FOIA regulations are codified at 12 CFR Part 1301.

III. Acronyms, Definitions, and Exemptions

1. Agency-specific acronyms used in this Report:

Component Abbreviation	Component Name
BEP	Bureau of Engraving and Printing
DO ¹	Departmental Offices
FinCEN	Financial Crimes Enforcement Network
Fiscal Service	Bureau of the Fiscal Service
IRS	Internal Revenue Service
MINT	United States Mint
OCC	Office of the Comptroller of the Currency
TIGTA	Treasury Inspector General for Tax Administration
TTB	Alcohol Tobacco Tax and Trade Bureau

2. Basic 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.

¹ DO includes the Offices of Domestic Finance, Economic Policy, Financial Research, General Counsel, International Affairs, Legislative Affairs, Management, Public Affairs, Tax Policy, Terrorism and Financial Intelligence, and the Treasurer of the United States. DO statistics in this report also include requests made to the Financial Stability Oversight Council, an entity chaired by the Secretary of the Treasury, the Treasury Office of the Inspector General, and the Office of the Special Inspector General for the Troubled Asset Relief Program.

- 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.
- i. **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.
 - ii. **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.
 - iii. **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.

- iv. **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.
- k. **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.
- l. **Pending Request or Pending Administrative Appeal** – a request or administrative appeal for which an agency has not taken final action in all respects.
- m. **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.
- n. **Processed Request or Processed Administrative Appeal** – a request or administrative appeal for which an agency has taken final action in all respects.
- o. **Range in Number of Days** – the lowest and highest number of days to process requests or administrative appeals.
- p. **Time Limits** – the time period in the statute for an agency to respond to a FOIA request (ordinarily 20 working days from receipt of a "perfected" FOIA request).

3. Descriptions of the nine FOIA Exemptions:

- a. **Exemption 1:** classified national defense and foreign relations information
- b. **Exemption 2:** information that is related solely to the internal rules and practices of an agency
- 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 regulation or supervision of financial institutions
- i. **Exemption 9:** geological information on wells

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
26 U.S.C. §§ 6103, 6105 (Internal Revenue Code)	Certain tax return information, to include Taxpayer Identification Numbers of third parties, and certain tax convention information	Church of Scientology v. IRS, 484 U.S. 9, 15 (1987) (26 U.S.C. § 6103); Leonard v. U.S. Dep't of Treasury, 590 F. App'x. 141, 143-44 (3d Cir. 2014) (per curiam); Pac. Fisheries, Inc. v. IRS, 395 F. App'x. 438, 440 (9th Cir. 2010) (unpublished disposition) (26 U.S.C. §§ 6103, 6105); Tax Analysts v. IRS, 217 F. Supp. 2d 23, 27-29 (D.D.C. 2002) (26 U.S.C. § 6105).	DO	42	2,322
			Fiscal Service	38	
			IRS	2,118	
			TIGTA	31	
			TTB	93	

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
31 U.S.C. § 5319 (Bank Secrecy Act)	Reports pertaining to monetary instruments transactions filed under subchapter II of chapter 53 of title 31 and records of those reports	Ortiz v. DOJ, No. 12-1674, 2014 WL 4449686, at *4 (D.D.C. Sept. 9, 2014); Rosenberg v. ICE, 13 F. Supp. 3d 92, 114-15 (D.D.C. 2014); Hulstein v. DEA, No. 10-4112, 2011 U.S. Dist. LEXIS 25788, at *7-8 (N.D. Iowa Mar. 11, 2011); Council on Am.-Islamic Relations, Cal. v. FBI, 749 F. Supp. 2d 1104, 1117 (S.D. Cal. 2010); Berger v. IRS, 487 F. Supp. 2d 482, 496-97 (D.N.J. 2007), aff'd on other grounds, 288 F. App'x 829 (3d Cir. 2008).	DO	1	1,345
			FinCEN	1,207	
			IRS	136	
			TIGTA	1	

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
41 U.S.C. § 253b(m)(1) (currently at 41 U.S.C. § 4702)	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); Margolin v. NASA, No. 09-CV-00421, 2011 WL 1303221, at *6 (D. Nev. Mar. 31, 2011); 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).	BEP	1	24
			FinCEN	1	
			Fiscal Service	6	
			IRS	15	
			MINT	1	
21 U.S.C. § 1904(e)(3)	Information related to foreign narcotics traffickers	N/A	DO	34	34
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. RDB-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).	DO	5	5

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
50 U.S.C. § 4565(c)	Information or documentary material filed with the Committee on Foreign Investment in the United States	N/A	DO	8	8
Fed. R. Crim. P. 6(e), enacted by Act of July 30, 1977, Pub. L. No. 95-78, 91 Stat. 319	Certain records that would reveal some secret aspect pertaining to grand jury proceedings	Sussman v. USMS, 494 F.3d 1106, 1113 (D.C. Cir. 2007); Fund for Constitutional Gov't v. Nat'l Archives & Records Serv., 656 F.2d 856, 867-68 (D.C. Cir. 1981); Durham v. U.S. Atty. Gen., No. 06-843, 2008 WL 620744, at *2 (E.D. Tex. Mar. 3, 2008); Cozen O'Connor v. U.S. Dep't of Treasury, 570 F. Supp. 2d 749, 776 (E.D. Pa. 2008).	DO	1	6
			IRS	5	
15 U.S.C. § 6801 (Gramm-Leach-Bliley Act)	Nonpublic personal information of customers of financial institutions	Hodes v. HUD, 532 F. Supp. 2d 108, 117 (D.D.C. 2008).	DO	3	3
18 U.S.C. § 701	Likeness of any badge, identification card, or other insignia, of the design prescribed by the head of any department or agency of the United States for use by any officer or employee thereof, or any colorable imitation thereof	Jones v. IRS, No. 06-CV-322, 2008 WL 1901208, at *3-4 (W.D. Mich. Apr. 25, 2008).	IRS	1	1

V. FOIA Requests

V.A. FOIA Requests – Received, Processed, and Pending FOIA Requests

Agency / Component	Number of Requests Pending as of Start of Fiscal Year ²	Number of Requests Received in Fiscal Year	Number of Requests Processed in Fiscal Year	Number of Requests Pending as of End of Fiscal Year
BEP	4	56	54	6
DO	607	1,178	960	825
FinCEN	20	459	415	64
Fiscal Service	15	369	339	45
IRS	916	8,255	8,506	665
MINT	3	119	117	5
OCC	76	1,609	1,614	71
TIGTA	10	260	250	20
TTB	2	129	124	7
AGENCY OVERALL	1,653	12,434	12,379	1,708

² The number of requests pending at the start of the fiscal year was updated from last year's report for DO, FinCEN, Fiscal Service, Mint, OCC, TIGTA, and TTB: DO increased by 9, FinCEN increased by 7, Fiscal Service decreased by 4, Mint increased by 3, OCC increased by 4, TIGTA decreased by 3, and TTB decreased by 1.

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	*Explain in Chart Below	
BEP	26	8	3	8	1	2	1	4	0	0	1	0	54
DO	108	130	32	94	105	122	31	109	72	87	64	6	960
FinCEN	20	73	216	66	4	8	0	3	5	12	8	0	415
Fiscal Service	54	109	3	37	22	11	19	2	42	26	14	0	339
IRS	2,244	2,349	95	864	20	385	51	26	2,171	33	248	20	8,506
MINT	42	14	2	16	7	3	4	4	21	1	3	0	117
OCC	1,259	54	28	69	7	59	60	10	18	44	6	0	1,614
TIGTA	34	88	14	10	25	3	1	1	54	12	8	0	250
TTB	22	24	11	28	1	20	5	0	1	2	10	0	124
AGENCY OVERALL	3,809	2,849	404	1,192	192	613	172	159	2,384	217	362	26	12,379

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
BEP	N/A	0	0
DO	Litigation	6	6
FinCEN	N/A	0	0
Fiscal Service	N/A	0	0
IRS	Litigation	20	20
MINT	N/A	0	0
OCC	N/A	0	0
TIGTA	N/A	0	0
TTB	N/A	0	0
AGENCY OVERALL			26

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
BEP	0	0	1	12	33	52	0	0	0	0	3	0	0	0
DO	47	6	94	239	249	498	35	1	177	7	35	2	10	0
FinCEN	2	8	1,207	18	63	125	14	0	68	38	219	1	22	0
Fiscal Service	0	1	44	57	20	243	0	0	1	0	16	0	0	0
IRS	0	8	2,132	42	513	438	426	2	925	24	1,203	5	0	0
MINT	0	6	1	12	18	41	0	0	9	0	9	2	0	0
OCC	0	7	0	40	31	39	1	0	1	0	1	0	39	0
TIGTA	0	1	31	1	8	91	3	0	88	7	15	0	0	0
TTB	0	4	93	52	35	77	3	0	2	2	8	0	0	0
AGENCY OVERALL	49	41	3,603	473	970	1,604	482	3	1,271	78	1,509	10	71	0

VI. Administrative Appeals

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 ³	Number of Appeals Received in Fiscal Year	Number of Appeals Processed in Fiscal Year	Number of Appeals Pending as of End of Fiscal Year
BEP	0	4	4	0
DO	80	21	16	85
FinCEN	3	3	0	6
Fiscal Service	0	4	3	1
IRS	3	123	120	6
MINT	0	2	2	0
OCC	1	13	12	2
TIGTA	2	12	14	0
TTB	0	0	0	0
AGENCY OVERALL	89	182	171	100

³ The number of appeals pending at the start of the fiscal year was updated from last year's report for DO, FinCEN, Fiscal Service, and IRS: DO increased by 15, FinCEN decreased by 1, Fiscal Service increased by 2, and IRS increased by 2.

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
BEP	2	2	0	0	4
DO	4	2	0	10	16
FinCEN	0	0	0	0	0
Fiscal Service	3	0	0	0	3
IRS	117	1	2	0	120
MINT	0	1	1	0	2
OCC	5	3	0	4	12
TIGTA	8	4	1	1	14
TTB	0	0	0	0	0
AGENCY OVERALL	139	13	4	15	171

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
BEP	0	0	0	0	1	0	0	0	0	0	0	0	0	0
DO	1	0	1	1	1	4	1	0	1	0	0	0	0	0
FinCEN	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Fiscal Service	0	0	0	0	0	1	0	0	0	0	0	0	0	0
IRS	0	1	41	1	25	19	25	0	19	1	21	1	0	0
MINT	0	0	0	0	2	1	0	0	1	0	1	0	0	0
OCC	0	0	0	0	1	2	1	0	1	0	1	0	2	0
TIGTA	0	0	2	0	0	9	0	0	9	2	1	0	0	0
TTB	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	1	1	44	2	30	36	27	0	31	3	24	1	2	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
BEP	3	0	0	0	0	0	0	0	0	0	0
DO	1	0	0	0	0	0	0	0	0	2	10
FinCEN	0	0	0	0	0	0	0	0	0	0	0
Fiscal Service	1	0	0	0	0	0	1	0	0	0	0
IRS	0	0	0	0	0	0	0	0	0	0	0
MINT	0	0	0	0	0	0	0	0	0	0	0
OCC	2	0	0	0	0	0	0	0	0	0	2
TIGTA	0	0	0	0	0	0	0	1	0	0	0
TTB	0	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	7	0	0	0	0	0	1	1	0	2	12

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
BEP	N/A	0	0
DO	No Component Response to Adjudicate	10	10
FinCEN	N/A	0	0
Fiscal Service	N/A	0	0
IRS	N/A	0	0
MINT	N/A	0	0
OCC	No Component Response to Adjudicate	2	2
TIGTA	N/A	0	0
TTB	N/A	0	0
AGENCY OVERALL			12

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
BEP	26.00	26.00	18.00	33.00
DO	1,889.00	1,452.00	6.00	2,256.00
FinCEN	0.00	0.00	0.00	0.00
Fiscal Service	22.00	17.00	5.00	25.00
IRS	18.00	17.64	4.00	38.00
MINT	21.00	21.00	21.00	21.00
OCC	0.00	0.00	0.00	0.00
TIGTA	16.00	14.36	3.00	20.00
TTB	0.00	0.00	0.00	0.00
AGENCY OVERALL	15.00	148.00	3.00	2,256.00

VI.C.(5). Ten Oldest Pending Administrative Appeals

Agency / Component		10th Oldest Appeal	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Appeal
BEP	Date of Appeal	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Number of Days Pending	0	0	0	0	0	0	0	0	0	0
DO	Date of Appeal	2011-07-27	2011-07-26	2011-07-20	2011-07-15	2011-06-21	2011-04-06	2011-02-02	2010-11-30	2010-09-06	2010-07-19
	Number of Days Pending	1553	1554	1558	1561	1578	1631	1675	1719	1780	1815
FinCEN	Date of Appeal	N/A	N/A	N/A	N/A	2016-10-31	2016-10-31	2016-10-31	2016-03-29	2016-03-25	2012-03-26
	Number of Days Pending	0	0	0	0	231	231	231	381	383	1388
Fiscal Service	Date of Appeal	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	2017-09-20
	Number of Days Pending	0	0	0	0	0	0	0	0	0	8
IRS	Date of Appeal	N/A	N/A	N/A	N/A	N/A	N/A	N/A	2017-09-20	2017-09-19	2017-09-11
	Number of Days Pending	0	0	0	0	0	0	0	7	8	14
MINT	Date of Appeal	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Number of Days Pending	0	0	0	0	0	0	0	0	0	0
OCC	Date of Appeal	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	2017-09-21	2017-09-11
	Number of Days Pending	0	0	0	0	0	0	0	0	6	14
TIGTA	Date of Appeal	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Number of Days Pending	0	0	0	0	0	0	0	0	0	0
TTB	Date of Appeal	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Number of Days Pending	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	Date of Appeal	2011-07-27	2011-07-26	2011-07-20	2011-07-15	2011-06-21	2011-04-06	2011-02-02	2010-11-30	2010-09-06	2010-07-19
	Number of Days Pending	1553	1554	1558	1561	1578	1631	1675	1719	1780	1815

VII. Processed and Pending FOIA Requests

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
BEP	20	33	2	259	19	71	6	726	N/A	N/A	N/A	N/A
DO	12	32	<1	733	157	305	<1	2286	N/A	N/A	N/A	N/A
FinCEN	2	6	<1	36	27	45	4	304	N/A	N/A	N/A	N/A
Fiscal Service	14	16	<1	122	25	24	2	52	41	42	26	62
IRS	N/A	N/A	N/A	N/A	19	33	1	803	39	62	2	222
MINT	14	20	<1	113	22	18	<1	40	N/A	N/A	N/A	N/A
OCC	4	9.64	<1	1508	29	41.77	<1	267	22	32	<1	104
TIGTA	20	18	<1	20	18.5	19.31	<1	186	20	23	19	30
TTB	6	12	<1	66	17	17	1	54	1	1	1	1
AGENCY OVERALL	6	18	<1	1508	14	36	<1	2286	30	52	<1	104

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
BEP	21	42	3	259	20	76	6	726	N/A	N/A	N/A	N/A
DO	32	106	<1	733	165	260	<1	2286	N/A	N/A	N/A	N/A
FinCEN	4	8	1	33	28	49	14	304	N/A	N/A	N/A	N/A
Fiscal Service	15	18	2	122	25	24	9	52	N/A	N/A	N/A	N/A
IRS	N/A	N/A	N/A	N/A	20	35	1	803	41	70	13	222
MINT	42	36.23	12	42	24	24	22	25	N/A	N/A	N/A	N/A
OCC	4	9.26	<1	1508	35	43.31	4	140	22	34.43	<1	104
TIGTA	11.5	12	1	20	20	23.59	1	186	25	25	20	30
TTB	7	8	3	16	22	19	1	31	1	1	1	1
AGENCY OVERALL	5	15	<1	1508	20	41	<1	2286	34	59	<1	104

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
BEP	19	10	4	0	0	0	1	1	0	0	1	0	0	36
DO	256	67	24	21	20	5	8	9	3	6	18	7	5	449
FinCEN	358	24	0	0	0	0	0	0	0	0	0	0	0	382
Fiscal Service	170	46	4	1	0	1	1	0	0	0	0	0	0	223
IRS	0	0	0	0	0	0	0	0	0	0	0	0	0	0
MINT	59	22	3	0	0	1	0	0	0	0	0	0	0	85
OCC	1,324	147	19	13	1	1	0	0	0	0	0	0	1	1,506
TIGTA	26	0	0	0	0	0	0	0	0	0	0	0	0	26
TTB	16	2	0	1	0	0	0	0	0	0	0	0	0	19
AGENCY OVERALL	2,228	318	54	36	21	8	10	10	3	6	19	7	6	2,726

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
BEP	8	4	1	0	0	0	0	0	0	0	0	0	1	14
DO	59	22	20	23	12	8	9	14	3	9	37	23	91	330
FinCEN	6	10	5	1	1	1	0	0	0	0	0	1	0	25
Fiscal Service	21	40	4	0	0	0	0	0	0	0	0	0	0	65
IRS	3,683	1,269	605	253	145	88	51	38	23	18	46	28	25	6,272
MINT	3	3	1	0	0	0	0	0	0	0	0	0	0	7
OCC	23	26	9	3	5	3	1	0	0	0	2	0	0	72
TIGTA	129	30	5	1	0	0	0	0	0	1	0	0	0	166
TTB	60	41	2	0	0	0	0	0	0	0	0	0	0	103
AGENCY OVERALL	3,992	1,445	652	281	163	100	61	52	26	28	85	52	117	7,054

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
BEP	0	0	0	0	0	0	0	0	0	0	0	0	0	0
DO	0	0	0	0	0	0	0	0	0	0	0	0	0	0
FinCEN	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Fiscal Service	0	4	2	1	0	0	0	0	0	0	0	0	0	7
IRS	9	10	4	4	2	0	1	2	3	1	1	0	0	37
MINT	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OCC	3	4	0	0	0	1	0	0	0	0	0	0	0	8
TIGTA	2	1	0	0	0	0	0	0	0	0	0	0	0	3
TTB	1	0	0	0	0	0	0	0	0	0	0	0	0	1
AGENCY OVERALL	15	19	6	5	2	1	1	2	3	1	1	0	0	56

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
BEP	4	12	12	2	308	308	0	N/A	N/A
DO	126	45	103	689	245	344	10	9	24
FinCEN	57	96	118	7	101	243	0	N/A	N/A
Fiscal Service	29	15	51.1	15	15	96.4	1	8	8
IRS	0	N/A	N/A	655	20	68	10	5	4
MINT	4	154.5	267.5	1	834	834	0	N/A	N/A
OCC	62	8	20	7	87.5	76	2	N/A	N/A
TIGTA	1	1	1	19	7	6	0	N/A	N/A
TTB	1	10	10	6	13	14	0	N/A	N/A
AGENCY OVERALL	284	28	85	1401	70	208	23	11	37

VII.E. Pending Reqeusts – Ten Oldest Pending Perfected Requests

Agency / Component		10th Oldest Request	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Request
BEP	Date of Receipt	N/A	N/A	N/A	N/A	2017-09-19	2017-09-19	2017-09-13	2017-09-12	2017-09-12	2015-05-11
	Number of Days Pending	0	0	0	0	9	9	13	14	14	602
DO	Date of Receipt	2012-06-14	2012-06-07	2012-05-22	2012-02-07	2011-09-21	2011-08-22	2011-05-31	2011-02-09	2010-07-27	2008-01-28
	Number of Days Pending	1331	1336	1347	1421	1514	1535	1593	1670	1809	2460
FinCEN	Date of Receipt	2016-08-26	2016-06-08	2016-05-10	2016-05-06	2016-04-01	2016-03-31	2016-03-02	2016-03-02	2015-10-02	2015-09-25
	Number of Days Pending	275	331	351	353	378	379	400	400	501	506
Fiscal Service	Date of Receipt	2017-08-03	2017-08-01	2017-07-19	2017-06-14	2017-05-25	2017-02-14	2016-10-11	2016-08-29	2016-04-14	2013-04-03
	Number of Days Pending	41	43	52	76	89	160	245	274	369	1130
IRS	Date of Receipt	2015-08-18	2015-04-27	2015-04-17	2015-04-06	2015-02-11	2014-11-12	2014-10-21	2014-09-15	2014-09-03	2014-08-08
	Number of Days Pending	533	612	618	627	664	724	739	764	772	789
MINT	Date of Receipt	N/A	N/A	N/A	N/A	N/A	2017-09-20	2017-09-06	2016-08-04	2014-10-01	2014-06-06
	Number of Days Pending	0	0	0	0	0	8	18	291	753	834
OCC	Date of Receipt	2017-07-11	2017-07-07	2017-07-06	2017-06-27	2017-06-05	2017-05-18	2017-05-16	2017-05-15	2017-04-24	2016-07-06
	Number of Days Pending	57	59	60	66	82	93	95	96	111	311
TIGTA	Date of Receipt	2017-09-28	2017-09-22	2017-09-22	2017-09-21	2017-09-19	2017-09-19	2017-09-18	2017-09-15	2017-09-15	2017-09-08
	Number of Days Pending	1	5	5	6	8	8	9	10	10	15
TTB	Date of Receipt	N/A	N/A	N/A	2017-09-28	2017-09-21	2017-09-19	2017-09-18	2017-09-07	2017-08-30	2017-08-23
	Number of Days Pending	0	0	0	2	7	9	10	17	22	27
AGENCY OVERALL	Date of Receipt	2012-06-14	2012-06-07	2012-05-22	2012-02-07	2011-09-21	2011-08-22	2011-05-31	2011-02-09	2010-07-27	2008-01-28
	Number of Days Pending	1331	1336	1347	1421	1514	1535	1593	1670	1809	2460

VIII. Requests for Expedited processing and fee Waiver

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
BEP	0	4	1	1	4
DO	10	234	1	1	243
FinCEN	0	3	1	1	3
Fiscal Service	8	44	1	3.25	40
IRS	9	41	4	6	48
MINT	0	18	1	1	18
OCC	11	3	1	5.93	11
TIGTA	3	6	4	4.11	9
TTB	1	18	1	1	19
AGENCY OVERALL	42	371	1	3	395

VIII.B. Requests for Fee Waiver

Agency / Component	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate
BEP	0	5	1	1
DO	84	342	1	1
FinCEN	0	9	1	1
Fiscal Service	19	103	1	1
IRS	115	23	4	18
MINT	0	27	1	1
OCC	14	1	1	6.27
TIGTA	0	0	N/A	N/A
TTB	0	12	1	1
AGENCY OVERALL	232	522	1	4

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
BEP	0	1.73	1.73	\$162,134.00	\$0.00	\$162,134.00
DO	23	3.6	26.6	\$3,318,917.24	\$0.00	\$3,318,917.24
FinCEN	2	0	2	\$257,674.00	\$47,796.00	\$305,470.00
Fiscal Service	2	11	13	\$1,550,548.00	\$0.00	\$1,550,548.00
IRS	10	58.33	68.33	\$6,455,448.77	\$762,708.47	\$7,218,157.24
MINT	1	0.5	1.5	\$180,930.00	\$0.00	\$180,930.00
OCC	9	0.57	9.57	\$1,836,579.72	\$0.00	\$1,836,579.72
TIGTA	10	0	10	\$188,926.72	\$0.00	\$188,926.72
TTB	1	1.61	2.61	\$207,849.51	\$0.00	\$207,849.51
AGENCY OVERALL	58	77.34	135.34	\$14,159,007.96	\$810,504.47	\$14,969,512.43

X. Fees Collected for Processing Requests

Agency / Component	Total Amount of Fees Collected	Percentage of Total Costs
BEP	\$190.03	0.12%
DO	\$131,833.99	3.97%
FinCEN	\$0.00	0.00%
Fiscal Service	\$18,615.58	1.20%
IRS	\$46,314.00	0.72%
MINT	\$0.00	0.00%
OCC	\$149,060.00	8.12%
TIGTA	\$25.40	0.01%
TTB	\$1,254.38	0.60%
AGENCY OVERALL	\$347,293.38	2.45%

XI. Use of Subsection (c) Exclusions and Proactive Disclosures

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

Agency / Component	Number of Times Subsection Used
BEP	0
DO	0
FinCEN	0
Fiscal Service	0
IRS	0
MINT	0
OCC	0
TIGTA	0
TTB	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
BEP	0	22
DO	8	139
FinCEN	1	7
Fiscal Service	5	23
IRS	4	3,069
MINT	3	0
OCC	0	99
TIGTA	2	0
TTB	19	0
AGENCY OVERALL	42	3,359

XII. Backlogs, Consultations, and Comparisons

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
BEP	1	0
DO	738	83
FinCEN	41	6
Fiscal Service	17	0
IRS	276	0
MINT	3	0
OCC	16	0
TIGTA	0	0
TTB	2	0
AGENCY OVERALL	1,094	89

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 ⁴	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
BEP	0	1	1	0
DO	16	37	44	9
FinCEN	0	39	37	2
Fiscal Service	0	1	1	0
IRS	9	116	119	6
MINT	0	0	0	0
OCC	0	0	0	0
TIGTA	0	4	4	0
TTB	0	0	0	0
AGENCY OVERALL	25	198	206	17

⁴ The number of consultations pending at the start of the fiscal year was updated from last year's report for DO and IRS: DO increased by 4, and IRS increased by 1.

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
BEP	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
DO	Date	N/A	2017-07-20	2017-03-02	2017-02-27	2016-07-08	2016-05-31	2016-05-16	2016-02-09	2015-12-18	2014-08-05
	Number of Days	0	51	149	152	310	337	347	415	449	793
FinCEN	Date	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	2017-09-29	2017-04-28
	Number of Days	0	0	0	0	0	0	0	0	1	108
Fiscal Service	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
IRS	Date	N/A	N/A	N/A	N/A	N/A	N/A	2017-09-08	2017-08-02	2017-08-02	2017-07-26
	Number of Days	0	0	0	0	0	0	15	41	41	46
MINT	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
OCC	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
TIGTA	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
TTB	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	2017-07-20	2017-04-28	2017-03-02	2017-02-27	2016-07-08	2016-05-31	2016-05-16	2016-02-09	2015-12-18	2014-08-05
	Number of Days	51	108	149	152	310	337	347	415	449	793

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
BEP	58	56	64	54
DO	894	1,178	720	960
FinCEN	417	459	399	415
Fiscal Service	280	369	284	339
IRS	8,825	8,255	8,791	8,506
MINT	97	119	97	117
OCC	1,432	1,609	1,434	1,614
TIGTA	267	260	277	250
TTB	103	129	105	124
AGENCY OVERALL	12,373	12,434	12,171	12,379

XII.D.(2). Comparison of Number 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
BEP	2	1
DO	531	738
FinCEN	3	41
Fiscal Service	0	17
IRS	334	276
MINT	0	3
OCC	23	16
TIGTA	0	0
TTB	0	2
AGENCY OVERALL	893	1,094

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
BEP	3	4	3	4
DO	18	21	26	16
FinCEN	9	3	11	0
Fiscal Service	11	4	13	3
IRS	190	123	192	120
MINT	1	2	1	2
OCC	7	13	7	12
TIGTA	15	12	15	14
TTB	4	0	3	0
AGENCY OVERALL	258	182	271	171

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
BEP	0	0
DO	63	83
FinCEN	0	6
Fiscal Service	0	0
IRS	0	0
MINT	0	0
OCC	1	0
TIGTA	0	0
TTB	1	0
AGENCY OVERALL	65	89