



Department of the Treasury

FY2019 Freedom of Information Act Annual Report



FY2019 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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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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United States Mint (Mint)
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Ms. Amy Jones
ATTN: FOIA Request
TIGTA Chief Counsel
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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 classified. Others 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. Still 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 deliberative 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 relies on 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.

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 entirety 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
31 U.S.C. § 5319 (Bank Secrecy Act)	Reports pertaining to monetary instruments transactions filed under sub-chapter II of chapter 53 of title 31 and records of those reports	Turner v. Dep't of Treasury, No. 15-00007, 2017 WL 1106030 at *7 (E.D. Cal. Mar. 23, 2017); Yunes v. DOJ, 263 F. Supp. 3d 82, 87 (D.D.C. 2017); 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).	FinCEN	103	209
			IRS	103	
			TIGTA	1	
			OCC	2	
26 U.S.C. § 6103	Certain tax return information, to include Taxpayer Identification Numbers of third parties, and certain tax convention information.	N/A	TIGTA	14	1898
			TTB	22	
			DO	4	
			IRS	1858	
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	4	4

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. § 6105	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); Elec. Privacy Info. Ctr. v. IRS, 910 F.3d 1232 (D.C. Cir. 2018); 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).	IRS	35	35
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).	IRS	2	3
			Fiscal Service	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
Fed. R. Crim. P. 6(e), enacted by Act of July 30, 1977, Pub. L. No. 95-78, § 2 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); Sorin v. DOJ, No. 18-99, 2018 WL 6431027 (2d Cir. Dec. 6, 2018) (per curium); Widi v. McNeil, No. 12-CV-00188, 2016 WL 4394724, at *23 (D. Me. Aug 16, 2016); 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).	IRS	7	7
31 U.S.C. § 3730(b)(2)	Records pertaining to civil actions for false claims against the United States Government.	N/A	DO	5	5
50 U.S.C. § 4565(c) (formerly at 50 U.S.C. app. § 2170 (c))	Information or documentary material filed with the Committee on Foreign Investment in the United States	N/A	DO	1	1
21 U.S.C. § 1904(e)(3)	Information related to foreign narcotics traffickers	N/A	DO	1	1

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
BEP	17	70	67	20
DO	1192	1195	1301	1086
FinCEN	30	222	226	26
Fiscal Service	52	415	400	67
IRS	724	8128	8006	846
MINT	9	113	111	11
OCC	134	1430	1447	117
TIGTA	13	225	222	16
TTB	9	138	141	6
AGENCY OVERALL	2180	11936	11921	2195

**After reviewing its database, Treasury adjusted the number of requests pending as of the start of the Fiscal Year.*

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	
BEP	13	17	2	15	3	3	1	7	3	1	2	0	67
DO	199	160	26	118	118	333	10	117	25	87	103	5	1301
FinCEN	16	58	78	33	0	1	0	9	19	8	3	1	226
Fiscal Service	60	162	5	59	13	13	11	5	39	31	2	0	400
IRS	1929	2238	104	590	20	341	59	18	2134	26	538	9	8006
MINT	20	24	4	31	1	5	1	5	2	12	6	0	111
OCC	1194	52	21	58	1	33	13	18	22	31	4	0	1447
TIGTA	16	64	13	19	30	7	0	3	58	6	6	0	222
TTB	27	22	23	22	0	30	5	2	2	1	7	0	141
AGENCY OVERALL	3474	2797	276	945	186	766	100	184	2304	203	671	15	11921

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
DO	Litigation	5	5
FinCEN	Litigation	1	1
IRS	Litigation	9	9
AGENCY OVERALL			15

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	3	3	3	5	14	0	0	6	1	4	3	0	0
DO	7	0	25	23	49	73	5	0	31	1	7	0	0	0
FinCEN	1	0	96	4	14	36	8	0	6	7	44	0	0	0
Fiscal Service	0	0	2	12	5	140	0	0	0	0	0	0	0	0
IRS	0	14	1874	38	458	437	453	2	852	14	1112	4	0	0
MINT	0	5	0	4	4	24	0	0	14	0	1	2	0	0
OCC	0	14	1	31	26	40	1	1	1	0	0	0	33	0
TIGTA	0	0	14	0	12	69	5	0	69	3	11	0	0	0
TTB	0	0	19	13	8	25	1	0	0	0	3	0	0	0
AGENCY OVERALL	8	36	2034	128	581	858	473	3	979	26	1182	9	33	0

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*	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	1	1	0
DO	101	19	9	111
FinCEN	2	0	0	2
Fiscal Service	2	7	4	5
IRS	3	101	101	3
MINT	3	5	5	3
OCC	0	9	9	0
TIGTA	2	6	8	0
TTB	0	0	0	0
AGENCY OVERALL	113	148	137	124

**After reviewing its database, Treasury adjusted the number of appeals pending as of the start of the Fiscal Year.*

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	1	0	0	0	1
DO	6	1	2	0	9
FinCEN	0	0	0	0	0
Fiscal Service	4	0	0	0	4
IRS	99	0	2	0	101
MINT	5	0	0	0	5
OCC	5	1	1	2	9
TIGTA	3	2	1	2	8
TTB	0	0	0	0	0
AGENCY OVERALL	123	4	6	4	137

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	0	0	0	0	0	0	0	0	0	0
DO	0	0	1	0	1	3	0	0	0	0	0	0	0	0
FinCEN	0	0	1	0	0	0	0	0	0	0	1	0	0	0
Fiscal Service	0	0	0	0	0	0	0	0	0	0	0	0	0	0
IRS	0	2	51	2	20	14	19	0	14	0	17	1	0	0
MINT	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OCC	0	0	0	0	1	1	0	0	0	0	0	0	3	0
TIGTA	0	0	2	0	0	4	0	0	0	0	0	0	0	0
TTB	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	0	2	55	2	22	22	19	0	14	0	18	1	3	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	0	0	0	0	0	0	0	0	0	0	0
DO	0	0	0	0	0	0	0	0	0	0	0
FinCEN	0	0	0	0	0	0	0	0	0	0	0
Fiscal Service	0	0	0	0	0	0	0	0	0	0	0
IRS	18	0	0	0	0	17	0	0	0	0	0
MINT	2	0	0	0	0	0	0	0	0	0	0
OCC	0	0	0	0	0	1	0	1	0	0	0
TIGTA	0	0	0	0	0	0	0	0	1	1	0
TTB	0	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	20	0	0	0	0	18	0	1	1	1	0

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	N/A	0	0
FinCEN	N/A	0	0
Fiscal Service	N/A	0	0
IRS	N/A	0	0
MINT	N/A	0	0
OCC	N/A	0	0
TIGTA	N/A	0	0
TTB	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
BEP	23	23.0	23	23
DO	17	452.2	<1	2024
Fiscal Service	51	43.3	14	57
IRS	12	13.41	4	37
MINT	20	23.0	16	41
OCC	18	17.33	<1	37
TIGTA	19	19	7	37
AGENCY OVERALL	16	44.1	<1	2024

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

Agency / Component	Date of Appeal/ Number of Days Appeal	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	2012-06-20	2012-06-19	2012-06-18	2012-02-23	2011-11-03	2011-09-01	2011-07-26	2011-07-15	2011-04-06	2010-06-09
	Number of Days Pending	1827	1828	1829	1910	1984	2027	2054	2061	2131	2275
FinCEN	Date of Appeal	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	2017-09-29	2012-03-26
	Number of Days Pending	0	0	0	0	0	0	0	0	502	1888
Fiscal Service	Date of Appeal	N/A	N/A	N/A	N/A	N/A	2019-09-30	2019-09-07	2019-07-08	2018-01-16	2017-12-12
	Number of Days Pending	0	0	0	0	0	1	17	60	431	453
IRS	Date of Appeal	N/A	N/A	N/A	N/A	N/A	N/A	N/A	2019-09-19	2019-09-19	2019-09-17
	Number of Days Pending	0	0	0	0	0	0	0	7	7	9

Agency / Component	Date of Appeal/ Number of Days Appeal	10th Oldest Appeal	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Appeal
MINT	Date of Appeal	N/A	N/A	N/A	N/A	N/A	N/A	N/A	2019-05-22	2018-02-28	2017-11-07
	Number of Days Pending	0	0	0	0	0	0	0	91	401	476
OCC	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
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	2012-06-20	2012-06-19	2012-06-18	2012-02-23	2011-11-03	2011-09-01	2011-07-26	2011-07-15	2011-04-06	2010-06-09
	Number of Days Pending	1827	1828	1829	1910	1984	2027	2054	2061	2131	2275

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	11	12.3	<1	41	51	157.5	5	1006	N/A	N/A	N/A	N/A
DO	<1	3.6	<1	191	248	346.9	<1	1911	262	269.7	12	555
FinCEN	2	3.7	<1	22	44	85.5	1	313	N/A	N/A	N/A	N/A
Fiscal Service	11	10.0	<1	21	25	27.9	1	137	12	12.0	12	12
IRS	<1	<1	<1	<1	20	39	<1	1164	18	24	5	62
MINT	7	8.5	<1	21	55	61.9	5	114	N/A	N/A	N/A	N/A
OCC	3	13.1	<1	412	35	35	<1	70	20.5	32.38	9	118
TIGTA	2	3.16	<1	25	14	14.56	<1	56	N/A	N/A	N/A	N/A
TTB	1	2.8	<1	16	15	21.5	<1	105	N/A	N/A	N/A	N/A
AGENCY OVERALL	3	11.1	<1	412	23	56.2	<1	1911	31	110.2	5	555

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	15	13.8	4	22	33	132.3	5	1006	N/A	N/A	N/A	N/A
DO	5	11.6	<1	191	115	232.3	<1	1884	206	178.0	12	331
FinCEN	3	4.5	<1	22	93	101.6	6	313	N/A	N/A	N/A	N/A
Fiscal Service	13	12.2	<1	21	25	28.8	1	137	12	12.0	12	12
IRS	<1	<1	<1	<1	23	41	<1	1164	22	29	11	62
MINT	10	11.7	<1	20	54	55.7	42	71	N/A	N/A	N/A	N/A
OCC	2	11.74	<1	412	70	70	70	70	25	23.2	16	34
TIGTA	4	4.4	2	7	17	16.75	3	56	N/A	N/A	N/A	N/A
TTB	1	2.8	<1	16	22	24.8	<1	76	N/A	N/A	N/A	N/A
AGENCY OVERALL	5	11.4	<1	412	25	50.8	<1	1884	22	34.4	11	331

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	29	2	1	0	0	0	0	0	0	0	0	0	0	32
DO	385	0	0	0	0	0	0	0	0	1	0	0	0	386
FinCEN	139	10	0	0	0	0	0	0	0	0	0	0	0	149
Fiscal Service	226	9	0	0	0	0	0	0	0	0	0	0	0	235
IRS	0	0	0	0	0	0	0	0	0	0	0	0	0	0
MINT	96	1	0	0	0	0	0	0	0	0	0	0	0	97
OCC	1217	85	34	19	13	5	6	5	3	1	4	3	2	1397
TIGTA	52	1	0	0	0	0	0	0	0	0	0	0	0	53
TTB	18	0	0	0	0	0	0	0	0	0	0	0	0	18
AGENCY OVERALL	2162	108	35	19	13	5	6	5	3	2	4	3	2	2367

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	4	7	1	2	1	0	0	0	1	0	2	3	3	24
DO	86	59	42	32	19	14	17	7	15	17	93	68	266	735
FinCEN	14	7	2	2	5	2	1	2	2	2	3	2	2	46
Fiscal Service	43	63	11	1	1	3	1	1	0	0	0	0	2	126
IRS	3176	1272	621	294	151	89	70	41	22	20	47	19	39	5861
MINT	1	0	3	1	1	1	0	0	0	0	0	0	0	7
OCC	1	0	0	1	0	0	0	0	0	0	0	0	0	2
TIGTA	109	6	3	0	0	0	0	0	0	0	0	0	0	118
TTB	64	25	8	2	2	1	0	0	0	0	0	0	15	117
AGENCY OVERALL	3498	1439	691	335	180	110	89	49	40	39	145	92	327	7034

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	1	0	0	1	0	0	0	0	0	0	5	2	2	11
FinCEN	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Fiscal Service	1	0	0	0	0	0	0	0	0	0	0	0	0	1
IRS	8	2	1	1	0	0	0	0	0	0	0	0	0	12
MINT	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OCC	4	3	0	0	0	1	0	0	0	0	0	0	0	8
TIGTA	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TTB	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	14	5	1	2	0	1	0	0	0	0	5	2	2	32

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	1	60	60.0	15	184	269.9	0	N/A	N/A
DO	10	88	97.7	952	391	459.8	36	441	388.8
FinCEN	0	N/A	N/A	15	293	359.2	0	N/A	N/A
Fiscal Service	0	N/A	N/A	30	450	450.9	0	N/A	N/A
IRS	0	N/A	N/A	840	23	70	6	94	140
MINT	0	N/A	N/A	1	131	131.0	0	N/A	N/A
OCC	104	32	115	1	277	277	1	36	36
TIGTA	1	1	1	8	4	5.38	0	N/A	N/A
TTB	0	N/A	N/A	N/A	N/A	N/A	0	N/A	N/A
AGENCY OVERALL	116	32	112.1	1862	166	279.2	43	351	345.9

VII.E. PENDING REQUESTS -- TEN OLDEST PENDING PERFECTED REQUESTS

Agency / Component	Date of Appeal/Number of Days Appeal	10th Oldest Appeal	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Appeal
BEP	Date of Receipt	2019-06-04	2019-06-04	2019-03-21	2019-01-09	2018-12-20	2018-06-18	2018-06-08	2017-10-05	2017-09-13	2016-10-28
	Number of Days Pending	82	82	134	183	195	323	329	497	513	732
DO	Date of Receipt	2013-10-17	2013-10-17	2013-10-17	2013-08-22	2013-07-26	2012-05-22	2011-05-27	2011-02-09	2010-07-27	2008-01-28
	Number of Days Pending	1493	1493	1493	1531	1550	1846	2093	2169	2303	2931
FinCEN	Date of Receipt	2019-01-31	2018-10-29	2018-10-11	2018-06-05	2018-03-23	2018-01-10	2018-01-10	2017-06-20	2017-05-09	2016-03-11
	Number of Days Pending	168	231	243	332	383	433	433	572	601	893
Fiscal Service	Date of Receipt	2018-02-27	2018-02-27	2018-02-27	2018-02-27	2018-02-27	2018-02-12	2018-01-10	2017-06-14	2016-09-29	2013-04-03
	Number of Days Pending	401	401	401	401	401	411	433	576	752	1630
IRS	Date of Receipt	2017-03-07	2017-02-02	2016-06-15	2016-06-07	2016-03-18	2016-03-15	2016-03-08	2015-08-18	2015-04-27	2014-10-21
	Number of Days Pending	647	669	828	834	890	893	898	1035	1114	1241

Agency / Component	Date of Appeal/Number of Days Appeal	10th Oldest Appeal	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Appeal
MINT	Date of Receipt	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	2019-06-05
	Number of Days Pending	0	0	0	0	0	0	0	0	0	81
OCC	Date of Receipt	2016-01-26	2018-01-25	2018-01-19	2017-11-28	2017-11-09	2017-11-03	2017-10-23	2017-10-17	2017-10-10	2016-07-06
	Number of Days Pending	422	423	427	462	473	477	486	490	495	812
TIGTA	Date of Receipt	N/A	2019-09-30	2019-09-30	2019-09-27	2019-09-26	2019-09-24	2019-09-24	2019-09-23	2019-09-12	2019-09-09
	Number of Days Pending	0	0	0	1	2	4	4	5	12	15
TTB	Date of Receipt	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 Receipt	2013-10-17	2013-10-17	2013-08-22	2013-07-26	2013-04-03	2012-05-22	2011-05-27	2011-02-09	2010-07-27	2008-01-28
	Number of Days Pending	1493	1493	1531	1550	1630	1846	2093	2169	2303	2931

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	16	<1	<1	16
DO	17	216	<1	<1	231
FinCEN	0	28	<1	<1	28
Fiscal Service	1	34	<1	<1	35
IRS	12	19	5	5	29
MINT	0	22	<1	<1	22
OCC	9	6	21	13.47	7
TIGTA	0	3	6	5	3
TTB	0	24	<1	<1	24
AGENCY OVERALL	39	368	<1	<1	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	0	N/A	N/A
DO	1	2	2	4.33
FinCEN	0	0	N/A	N/A
Fiscal Service	0	0	N/A	N/A
IRS	77	17	3	10
MINT	0	0	N/A	N/A
OCC	8	1	<1	2.56
TIGTA	1	0	<1	<1
TTB	0	0	N/A	N/A
AGENCY OVERALL	87	20	2	2.7

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	1.70	1.70	335501.00	0.00	335501.00
DO	22	11.50	33.50	6959231.70	767588.18	7726819.88
FinCEN	2	5.00	7.00	339589.40	117254.50	456843.90
Fiscal Service	2	11.00	13.00	1177171.41	0.00	1177171.41
IRS	10	47.04	57.04	6073152.69	503097.42	6576250.11
MINT	1	0.00	1.00	100081.00	0.00	100081.00
OCC	9	0.60	9.60	2111726.00	0.00	2111726.00
TIGTA	0	4.40	4.40	592650.00	7023.00	599673.00
TTB	1	0.57	1.57	217972.71	0.00	217972.71
AGENCY OVERALL	47	81.81	128.81	17907075.91	1394963.10	19302039.01

X. Fees Collected for Processing Requests

Agency / Component	Total Amount of Fees Collected	Percentage of Total Costs
BEP	\$125.20	0.0004
DO	\$18,792.59	0.0027
FinCEN	\$0	0.0000
Fiscal Service	\$15,680.74	0.0133
IRS	\$30,164.20	0.0050
MINT	\$0	0.0000
OCC	\$133,450.00	0.0632
TIGTA	\$1,095.68	0.0018
TTB	\$0	0.0000
AGENCY OVERALL	\$199,308.41	0.0111

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	8
DO	5	117
FinCEN	1	18
Fiscal Service	4	21
IRS	3	2693
MINT	3	72
OCC	105	346
TIGTA	3	20
TTB	42	59
AGENCY OVERALL	166	3354

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	13	0
DO	991	93
FinCEN	15	1
Fiscal Service	37	3
IRS	369	0
MINT	1	3
OCC	68	0
TIGTA	0	0
TTB	1	0
AGENCY OVERALL	1495	100

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
BEP	1	1	2	0
DO	19	36	35	20
FinCEN	1	32	33	0
Fiscal Service	0	2	2	0
IRS	5	77	75	7
MINT	0	0	0	0
OCC	0	0	0	0
TIGTA	0	5	5	0
TTB	0	1	1	0
AGENCY OVERALL	26	154	153	27

**After reviewing its database, DO adjusted the number of consultations pending as of the start of the Fiscal Year.*

XII.C. CONSULTATIONS ON FOIA REQUESTS -- TEN OLDEST CONSULTATIONS RECEIVED FROM OTHER AGENCIES AND PENDING AT THE AGENCY

Agency / Component	Date of Appeal/ Number of Days Appeal	10th Oldest Appeal	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Appeal
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	2019-04-26	2019-03-21	2018-10-16	2018-09-18	2018-07-31	2018-07-02	2018-06-06	2017-12-01	2017-02-27	2014-08-05
	Number of Days	108	134	237	257	292	312	328	456	649	1289
FinCEN	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
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	2019-09-30	2019-09-27	2019-09-25	2019-09-17	2019-08-21	2019-08-20	2019-07-02
	Number of Days	0	0	0	0	1	3	9	27	28	62
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

Agency / Component	Date of Appeal/ Number of Days Appeal	10th Oldest Appeal	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Appeal
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	2019-04-26	2019-03-21	2018-10-16	2018-09-18	2018-07-31	2018-07-02	2018-06-06	2017-12-01	2017-02-27	2014-08-05
	Number of Days	108	134	237	257	292	312	328	456	649	1259

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	66	70	67	67
DO	1256	1195	936	1301
FinCEN	575	222	572	226
Fiscal Service	382	415	383	400
IRS	7912	8128	7861	8006
MINT	143	113	151	111
OCC	134	1430	1767	1447
TIGTA	254	225	261	222
TTB	122	138	122	141
AGENCY OVERALL	10844	11936	12120	11921

**After reviewing its database, DO adjusted the number of requests received as of the start of the Fiscal Year.*

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
IRS	282	369
OCC	67	68
TIGTA	0	0
BEP	14	13
DO	1098	991
FinCEN	22	15
Fiscal Service	26	37
MINT	0	1
TTB	3	1
AGENCY OVERALL	1512	1495

**After reviewing its database, DO adjusted the number of backlogged requests as of the start of the Fiscal Year.*

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	4	1	4	1
DO	25	19	12	9
FinCEN	1	0	2	0
Fiscal Service	10	7	9	4
IRS	110	101	113	101
MINT	9	5	6	5
OCC	0	9	11	9
TIGTA	12	6	10	8
TTB	0	0	0	0
AGENCY OVERALL	171	148	167	137

**After reviewing its database, DO adjusted the number appeals received as of the start of the Fiscal Year.*

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
IRS	0	0
OCC	0	0
TIGTA	0	0
BEP	1	0
DO	84	93
FinCEN	1	1
Fiscal Service	2	3
MINT	2	3
TTB	0	0
AGENCY OVERALL	90	100

**After reviewing its database, DO adjusted the number of backlogged appeals as of the start of the Fiscal Year.*