

3. Agency Component Abbreviations

Component Abbreviation	Component Name

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
5 U.S.C. § 574(j)	Dispute-resolution communications between a party and a neutral	None	NARA	1	1
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).	NARA	11	11
10 U.S.C. §§ 1506(d), (f)	P.O.W. Debriefs	None	NARA	3	3
18 U.S.C. § 798(a)	Certain classified information pertaining to the communication, intelligence, and cryptographic devices of the United States or any foreign government	Larson v. Dep't of State, 565 F.3d 857, 868-69 (D.C. Cir. 2009); N.Y. Times Co. v. DOD, 499 F. Supp. 2d 501, 512 (S.D.N.Y. 2007); Adejumobi v. NSA, No. 07-1237, 2007 WL 4247878, at *3 (M.D. Fla. Dec. 3, 2007) aff'd per curiam, 287 F. App'x 770 (11th Cir. 2008).	NARA	1	1
18 U.S.C. §§ 2510-2520	Wiretap requests and the contents of any wire, oral, or electronic	Mendoza v. DEA, No. 07-5006, 2007 U.S. App. LEXIS 22175 (D.C.	NARA	1	1

	communication obtained through wiretaps	Cir. Sept. 14, 2007) (per curiam); Lam Lek Chong v. DEA, 929 F.2d 729, 733 (D.C. Cir. 1991); Payne v. DOJ, No. 96-30840, slip op. at 5-6 (5th Cir. July 11, 1997).			
22 U.S.C. § 2778(e)	Certain information pertaining to export license applications	Council for a Livable World v. U.S. Dep't of State, No. 96-1807, slip op. at 11 (D.D.C. Jan. 21, 1998), amended (D.D.C. Nov. 23, 1998)	NARA	1	1
26 U.S.C. §§ 6103, 6105	Certain tax return information and certain tax convention information	Church of Scientology v. IRS, 484 U.S. 9, 15 (1987)(26 U.S.C. 6103); 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 Fisheries, Inc. v. IRS, 395 F. App'x, 438, 440 (9th Cir. 2010)(unpublished disposition)(26 U.S.C. 6103, 6105); Tax Analysts v. IRS, 217 F. Supp. 2d 23, 27-29 (D.D.C. 2002)(26 U.S.C. 6105)	NARA	4	4
41 U.S.C. 253(b)(m)(1)	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	Margolin v. NASA, No. 09-CV-00421-LRH-VPC, 2011 WL 1303221, at 6* (D. Nev. March 31, 2011); Hornbostel v. US Dep't of the Interior, 305 F. Supp. 2d 21, 30 (D.D.C. 203)	NARA	1	1
41 U.S.C. 423(a)(1) Procurement Integrity Act	Contractor bid or proposal information; source selection information	Legal & Safety Employer Research, Inc. v. U.S. Dep't of the Army, No. Civ. S001748, 2001 WL 34098652, at *3-4 (E.D. Cal. May 4, 2001)(dictum)	NARA	1	1

42 U.S.C. § 2162	Restricted Data pertaining to atomic weapons and special nuclear material	Meeropol v. Smith, No. 75-1121, slip. At 53-55 (D.D.C. Feb. 29, 1984) aff'd in relevant part & remanded in part on other grounds sub nom, Meeropol v. Meese, 790 F.2d 942 (D.C. Cir. 1986)	NARA	3	3
42 U.S.C. § 2168(a)(1)(c)(FRD)	Restricted and formerly restricted data concerning atomic energy		NARA	4	4
50 U.S.C. § 402 note	National Security Agency functions and information	Houghton v. NSA, No. 09-4440, 2010 WL 1784058, at *3 (3d Cir. May 5, 2010)(per curiam); Larson v. Dep't of State, 565 F. 3d 857, 868-69 (D.C. Cir. 2009); Founding Church of Scientology v. NSA, 610 F.2d 824, 827-28 (D.C. Cir. 1979); Roman v. NSA, No. 07-CV-4502, 2009 WL 303686, at *5-6 (E.D.N.Y. Feb 9, 2009), summary affirmance granted, 354 F. App'x 591 (2d Cir. 2009).	NARA	6	6
50 U.S.C. § 403-1(i)(1) National Security Act of 1947	Intelligence sources and methods	CIA v. Sims, 471 U.S. 159, 167 (1985); Berman v. CIA, 501 F. 3d 1136, 1137-38, 1140 (9th Cir. 2007); Wolf v. CIA, 473 F. 3d 370, 378, 380 (D.C. Cir. 2007).	NARA	30	30
50 U.S.C. § 403(g)	Intelligence sources and methods; certain information pertaining to Agency employees, specifically: "the organization, names, official titles, salaries, or numbers of	Larson v. Dep't of State, 565 F.3d 857, 865 n.2 (D.C. Cir. 2009); Berman v. CIA, 501 F.3d 1136, 1137-38, 1140 (9th Cir. 2007); Makky v. Chertoff, 489 F. Supp. 2d	NARA	139	139

	personnel employed by the Agency"	421, 442 (D.N.J. 2007), aff'd on other grounds, 541 F. 3d 205 (3d Cir. 2008).			
50 U.S.C. § 421	Identities of U.S. undercover intelligence officers, agents, informants, and sources	None	NARA	2	2
Fed. R. Crim. P 6(e), enacted by Act of July 30, 1977, Pub. L. No. 95-78, 91 Stat. 319	Certain records 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).	NARA	29	29

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
NARA	7,610	12,243	13,253	6,600
				0
AGENCY OVERALL	7,610	12,243	13,253	6,600

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	
NARA	835	598	43	10,338	210	55	3	37	94	47	96	897	13,253
													0
AGENCY OVERALL	835	598	43	10,338	210	55	3	37	94	47	96	897	13,253

**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
NARA	Presidential Records Act	4	897
	Requests illegible or other instances not properly covered by procedural denials a - h	893	
AGENCY OVERALL			897

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
NARA	281	32	237	19	30	265	4	0	118	129	29	2	1	1
AGENCY OVERALL	281	32	237	19	30	265	4	0	118	129	29	2	1	1

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
NARA	7	70	63	14
				0
AGENCY OVERALL	7	70	63	14

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
NARA	39	13	5	6	63
					0
AGENCY OVERALL	39	13	5	6	63

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
NARA	2	0	4	1	3	12	0	0	7	10	4	0	0	0
AGENCY OVERALL	2	0	4	1	3	12	0	0	7	10	4	0	0	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
NARA	7	1	1	6	2	4	4	0	2	0	8
AGENCY OVERALL	7	1	1	6	2	4	4	0	2	0	8

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
NARA	Upheld reasonable search	4	8
	Presidential Records Act	1	
	Upheld reasearcher's complex queue assignment	1	
	NARA does not have legal custody of the records	1	
	Moot due to NARA responding to request while under appeal	1	
AGENCY OVERALL			8

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
AGENCY OVERALL	18.00	39.00	4.00	592.00

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

Agency / Component		10th Oldest Appeal	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Appeal
	Date of Appeal										
	Number of Days Pending										
AGENCY OVERALL	Date of Appeal	2013-09-09	2013-08-23	2013-08-16	2013-07-23	2013-07-12	2013-06-24	2013-06-24	2012-10-26	2012-06-11	2012-03-13
	Number of Days Pending	15	25	30	38	45	68	68	232	328	391

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
AGENCY OVERALL	6	42.2	<1	3994	290	718	<1	6136	6	7.5	1	22

At this time, NARA can only provide data for expedited processing of FOIA requests for our operational records. NARA's data system, Performance Measurement and Reporting System, is not programmed to calculate the processing times of FOIA requests for accessioned or Presidential records seeking expedited processing.

We track and respond to these expedited requests but cannot follow them through the life cycle to completion.

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
AGENCY OVERALL	16	334.7	<1	2696	297	686	<1	5210	5	10.67	5	22

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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
NARA	9,480	616	341	197	77	42	31	13	6	9	49	38	277	11,176
														0
AGENCY OVERALL	9,480	616	341	197	77	42	31	13	6	9	49	38	277	11,176

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
NARA	541	125	37	26	31	28	32	24	25	18	78	61	1,066	2,092
														0
AGENCY OVERALL	541	125	37	26	31	28	32	24	25	18	78	61	1,066	2,092

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
NARA	7	1	0	0	0	0	0	0	0	0	0	0	0	8
														0
AGENCY OVERALL	7	1	0	0	0	0	0	0	0	0	0	0	0	8

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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
AGENCY OVERALL	778	447.5	773.84	2962	931.5	1303.7	1	9	9

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We track and respond to these expedited requests but cannot follow them through the life cycle to completion.

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

Agency / Component		10th Oldest Request	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Request
	Date of Receipt										
	Number of Days Pending										
AGENCY OVERALL	Date of Receipt	1994-06-21	1994-06-17	1994-03-10	1994-01-04	1993-10-01	1993-10-01	1993-10-01	1993-10-01	1993-09-09	1993-08-31
	Number of Days Pending	4837	4839	4909	4954	5016	5016	5016	5016	5032	5038

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
AGENCY OVERALL	8	4	1	3	10

VIII.B. REQUESTS FOR FEE WAIVER

Agency / Component	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate
AGENCY OVERALL	12	23	3	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
NARA	9	26	35	\$3,229,555.00	\$0.00	\$3,229,555.00
			0			\$0.00
AGENCY OVERALL	9	26	35	\$3,229,555.00	\$0.00	\$3,229,555.00

X. FEES COLLECTED FOR PROCESSING REQUESTS

Agency / Component	Total Amount of Fees Collected	Percentage of Total Costs
NARA	\$365.40	0.01%
AGENCY OVERALL	\$365.40	0.01%

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
NARA	6,600	9
AGENCY OVERALL	6,600	9

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
NARA	0	2	2	0
				0
AGENCY OVERALL	0	2	2	0

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
NARA	13,345	12,243	13,746	13,253
AGENCY OVERALL	13,345	12,243	13,746	13,253

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
NARA	7,610	6,600
AGENCY OVERALL	7,610	6,600

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
NARA	61	70	60	63
AGENCY OVERALL	61	70	60	63

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
NARA	5	9
AGENCY OVERALL	5	9