

## FREEDOM OF INFORMATION ACT ANNUAL REPORT

### **I. BASIC INFORMATION REGARDING REPORT**

1. Name, title, address, and telephone number of person(s) to be contacted with questions about the Report.

Ebony Griffin, Government Information Specialist, U.S. Small Business Administration, FOIA/PA Office, 409 3<sup>rd</sup> Street, SW, Washington, DC 20416, 202-401-8203

2. Electronic link for access to the Report on the agency website.

[https://www.sba.gov/about-sba/sba\\_performance/open\\_government/foia/sba\\_foia\\_annual\\_reports](https://www.sba.gov/about-sba/sba_performance/open_government/foia/sba_foia_annual_reports)

3. How to obtain a copy of this Report in paper form.

Through the website above, [foia@sba.gov](mailto:foia@sba.gov), or by mail at SBA FOI/PA Office, 409 3<sup>rd</sup> Street, SW, Washington, DC 20416

## **II. MAKING A FOIA REQUEST**

1. Names, addresses, and telephone numbers of all individual agency components that receive FOIA requests.
2. Brief description of why some requests are not granted and an overview of certain general categories of the agency's records to which the FOIA exemptions apply.

Information created and/or maintained at the SBA commonly involves businesses requesting or receiving assistance. Therefore, the most frequently cited exemptions are 4, 5, and 6, when requests are made by third parties.

### III. ACROONYMS, DEFINITIONS, AND EXPEMPTIONS

#### 1. Agency- specific acronyms or terms used in this Report.

SBA – U.S. Small Business Administration

#### 2. Definitions of terms used in this Report.

- a. **Administrative Appeal** – a request to a federal agency asking that it review at a higher administrative level a FOIA determination made by the agency at the initial request level.
- b. **Average Number** – the number obtained by dividing the sum of a group of numbers by the quantity of numbers in the group. For example, of 3, 7, and 14, the average number is 8.
- c. **Backlog** - the number of requests or administrative appeals that are pending at an agency at the end of the fiscal year that are beyond the statutory time period for a response.
- d. **Component** – for agencies that process requests on a decentralized basis, a “component” is an entity, also sometimes referred to as an Office, Division, Bureau Center or Directorate, within the agency that processes FOIA requests. The FOIA now requires that agencies include their Annual FOIA Report data for both the agency overall and for each principal component of the agency.
- e. **Consultation** – the procedures 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. The 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 “system 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.
- k. **Multi-Track Processing** – a system in which simple requests requiring relatively minimal review are placed in one processing track and more voluminous and complex requests are placed in one or more other tracks. Requests granted expedited processing are placed in yet another track. Requests in each track are processed on a first in/first out basis.
  - i. **Expedited Processing** – an agency will process a FOIA request on an expedited basis when a requester satisfies the requirements for expedited processing as set forth in the statute and in agency regulations.
  - ii. **Simple Request** – a FOIA request that an agency using multi-track processing places in its fastest (non-expedited) track based on the low volume and/or simplicity of the records requested.
  - iii. **Complex Request** – a FOIA request that an agency using multi-track processing places in a slower track based on the high volume and/or complexity of the records requested.
- l. **Partial Grant/Partial Denial** – in response to a FOIA request, an agency decision to disclose portions of the record and to withhold other portions that are exempt under the FOIA, or to otherwise deny a portion of the request for a procedural reason.
- m. **Pending Request or Pending Administrative Appeal** – a request or administrative appeal for which an agency has not taken final action in all respects.
- n. **Perfected Request** – a request for records which reasonably describes such records and is made in accordance with published rules stating the time, place, fees (if any) and procedures to be followed.

- o. **Processed Request or Processed Administrative Appeal** – a request or administrative appeal for which an agency has taken final action in all respects.
  - p. **Range in Number of Days** – the lowest and highest number of days to process requests or administrative appeals.
  - q. **Time Limits** – the time period in the statute for an agency to respond to a FOIA request (ordinarily twenty working days from receipt of a perfected FOIA request).
3. Concise descriptions of the nine FOIA exemptions:
- a. **Exemption 1:** classified national defense and foreign relations information
  - b. **Exemption 2:** internal agency rules and practices
  - c. **Exemption 3:** information that is prohibited from disclosure by another federal law
  - d. **Exemption 4:** trade secrets and other confidential business information
  - e. **Exemption 5:** inter-agency or intra-agency communication 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 disclose the identity of a confidential source, (E) would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions, or (F) could reasonably be expected to endanger the life or physical safety of any individual
  - h. **Exemption 8:** information relating to the supervision of financial institutions
  - i. **Exemption 9:** geological information on wells

IV. EXEMPTION 3 STATUTES

| 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 |
|---------|------------------------------|---------------|--------------------|---|---|
| N/A     | N/A                          | N/A           | SBA                | 0   | 0   |
|         |                              |               |                    |   |   |
|         |                              |               |                    |   |   |

**V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS**

| Agency / Component | Number of<br>Requests<br>Pending as of<br>Start<br>of Fiscal Year | Number of<br>Requests<br>Received<br>in Fiscal Year | Number of<br>Requests<br>Processed<br>in Fiscal Year | Number of<br>Requests<br>Pending as of End<br>of Fiscal Year |
|--------------------|---|---|--|--|
| SBA                | 30  | 1,306   | 1,312  | 24   |
|                    |   |   |  | 0  |
| AGENCY OVERALL     | 30  | 1,306   | 1,312  | 24   |

# **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 |       |
| SBA                | 980                   | 162  | 18   | 100   | 7   | 11                | 0                  | 8                                | 5                                      | 12                | 9                 | 0                             | 1,312 |
|                    |                       |  |  |   |   |                   |                    |                                  |  |                   |                   |                               | 0     |
| AGENCY OVERALL     | 980                   | 162  | 18   | 100   | 7   | 11                | 0                  | 8                                | 5                                      | 12                | 9                 | 0                             | 1,312 |



**V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS  
BASED ON REASONS OTHER THAN EXEMPTIONS"**

| Agency /<br>Component | Description of "Other" Reasons for Denials from Chart B(1) | Number of Times<br>"Other" Reason<br>Was Relied Upon | TOTAL |
|-----------------------|--|--|-------|
| SBA                   | N/A  | 0  | 0     |
|                       |  |  |       |
| AGENCY<br>OVERALL     |  |  | 0     |
|                       |  |  |       |

**V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED**

| Agency /<br>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 |
|-----------------------|-------|-------|-------|-------|-------|-------|----------|----------|----------|----------|----------|----------|-------|-------|
| SBA                   | 0     | 0     | 0     | 94    | 6     | 79    | 1        | 0        | 0        | 0        | 0        | 0        | 0     | 0     |
|                       |       |       |       |       |       |       |          |          |          |          |          |          |       |       |
| AGENCY<br>OVERALL     | 0     | 0     | 0     | 94    | 6     | 79    | 1        | 0        | 0        | 0        | 0        | 0        | 0     | 0     |

**VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS --  
RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEALS**

| Agency / Component | Number of Appeals<br>Pending as of Start<br>of Fiscal Year | Number of<br>Appeals Received<br>in Fiscal Year | Number of<br>Appeals Processed<br>in Fiscal Year | Number of Appeals<br>Pending as of End<br>of Fiscal Year |
|--------------------|--|---|--|--|
| SBA                | 1  | 21  | 22   | 0  |
|                    |  |   |  | 0  |
| AGENCY OVERALL     | 1  | 21  | 22   | 0  |

**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 |
|--------------------|---------------------------|---|---|--|-------|
| SBA                | 9                         | 9   | 4   | 0  | 22    |
|                    |                           |   |   |  | 0     |
| AGENCY OVERALL     | 9                         | 9   | 4   | 0  | 22    |

**VI.C.(1). REASONS FOR DENIAL ON APPEAL -- NUMBER OF TIMES EXEMPTIONS APPLIED**

| Agency /<br>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 |
|-----------------------|-------|-------|-------|-------|-------|-------|----------|----------|----------|----------|----------|----------|-------|-------|
| SBA                   | 0     | 0     | 0     | 4     | 1     | 4     | 0        | 0        | 0        | 0        | 0        | 0        | 0     | 0     |
|                       |       |       |       |       |       |       |          |          |          |          |          |          |       |       |
| AGENCY<br>OVERALL     | 0     | 0     | 0     | 4     | 1     | 4     | 0        | 0        | 0        | 0        | 0        | 0        | 0     | 0     |

#### VI.C.(2). REASONS FOR DENIAL ON APPEAL -- REASONS OTHER THAN EXEMPTIONS

[illegible]

**VI.C.(3). REASONS FOR DENIAL ON APPEAL -- "OTHER" REASONS**

| Agency /<br>Component | Description of "Other" Reasons for Denial on Appeal from Chart C(2) | Number of Times<br>"Other" Reason<br>Was Relied Upon | TOTAL |
|-----------------------|---|--|-------|
| SBA                   | N/A   | 0  | 0     |
|                       |   |  |       |
| AGENCY<br>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 |
|--------------------|-----------------------|------------------------|-----------------------|------------------------|
|                    |                       |                        |                       |                        |
|                    |                       |                        |                       |                        |
| AGENCY OVERALL     | 14.50                 | 16.00                  | 10.00                 | 29.00                  |



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

[illegible]

## VII.A. FOIA REQUESTS -- RESPONSE TIME FOR ALL PROCESSED PERFECTED REQUESTS

[illegible]

**VII.B. PROCESSED REQUESTS -- RESPONSE TIME FOR PERFECTED REQUESTS IN WHICH INFORMATION WAS GRANTED**

[illegible]

### VII.C. PROCESSED SIMPLE REQUESTS -- RESPONSE TIME IN DAY INCREMENTS

[illegible]

### VII.C. PROCESSED COMPLEX REQUESTS -- RESPONSE TIME IN DAY INCREMENTS

[illegible]

### VII.C. PROCESSED REQUESTS GRANTED EXPEDITED PROCESSING -- RESPONSE TIME IN DAY INCREMENTS

[illegible]

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     | 24             | 3                     | 6                      | 0              | N/A                   | N/A                    | 0                    | N/A                   | N/A                    |

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

| Agency /<br>Component |                           | 10th Oldest<br>Request | 9th        | 8th        | 7th        | 6th        | 5th        | 4th        | 3rd        | 2nd        | Oldest<br>Request |
|-----------------------|---------------------------|------------------------|------------|------------|------------|------------|------------|------------|------------|------------|-------------------|
|                       | Date of Receipt           |                        |            |            |            |            |            |            |            |            |                   |
|                       | Number of Days<br>Pending |                        |            |            |            |            |            |            |            |            |                   |
| AGENCY<br>OVERALL     | Date of Receipt           | 2014-09-30             | 2014-09-29 | 2014-09-26 | 2014-09-25 | 2014-09-24 | 2014-09-23 | 2014-09-22 | 2014-09-19 | 2014-09-18 | 2014-09-18        |
|                       | Number of Days<br>Pending | 4                      | 5          | 6          | 6          | 7          | 7          | 10         | 10         | 24         | 24                |



### VIII.A. REQUESTS FOR EXPEDITED PROCESSING

| Agency /<br>Component | Number Granted | Number Denied | Median Number of<br>Days to<br>Adjudicate | Average Number<br>of Days to<br>Adjudicate | Number<br>Adjudicated<br>Within Ten<br>Calendar Days |
|-----------------------|----------------|---------------|---|--|--|
|                       |                |               |   |  |  |
|                       |                |               |   |  |  |
| AGENCY<br>OVERALL     | 2              | 1             | 2   | 24   | 2  |

## VIII.B. REQUESTS FOR FEE WAIVER

| Agency /<br>Component | Number Granted | Number Denied | Median Number of<br>Days to<br>Adjudicate | Average Number<br>of Days to<br>Adjudicate |
|-----------------------|----------------|---------------|---|--|
|                       |                |               |   |  |
|                       |                |               |   |  |
| AGENCY<br>OVERALL     | 7              | 0             | 11  | 12   |

IX. FOIA PERSONNEL AND COSTS

| Agency /<br>Component | PERSONNEL                                   |   |  | COSTS            |                             |                |
|-----------------------|---|---|--|------------------|-----------------------------|----------------|
|                       | Number of "Full-<br>Time FOIA<br>Employees" | Number of<br>"Equivalent Full-<br>Time FOIA<br>Employees" | Total Number of<br>"Full-Time FOIA<br>Staff" | Processing Costs | Litigation-Related<br>Costs | Total Costs    |
| SBA                   | 3   | 12  | 15   | \$1,636,885.00   | \$0.00                      | \$1,636,885.00 |
|                       |   |   | 0  |                  |                             | \$0.00         |
| AGENCY<br>OVERALL     | 3   | 12  | 15   | \$1,636,885.00   | \$0.00                      | \$1,636,885.00 |

## X. FEES COLLECTED FOR PROCESSING REQUESTS

| Agency / Component | Total Amount of Fees Collected | Percentage of Total Costs |
|--------------------|--------------------------------|---------------------------|
| SBA                | \$40,748.25                    | 2.49%                     |
|                    |                                |                           |
| AGENCY OVERALL     | \$40,748.25                    | 2.49%                     |

## **XI. FOIA REGULATIONS**

<http://www.sba.gov/content/part-102-record-disclosure-and-privacy>

## XII.A. BACKLOGS OF FOIA REQUESTS AND ADMINISTRATIVE APPEALS

| Agency / Component | Number of Backlogged<br>Requests as of End of<br>Fiscal Year | Number of Backlogged<br>Appeals as of End of<br>Fiscal Year |
|--------------------|--|---|
| SBA                | 0  | 0   |
|                    |  |   |
| AGENCY OVERALL     | 0  | 0   |

**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 |
|--------------------|---|--|--|---|
| SBA                | 0   | 3  | 3  | 0   |
|                    |   |  |  | 0   |
| AGENCY OVERALL     | 0   | 3  | 3  | 0   |

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

[illegible]



**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 |
| SBA                | 4,933   | 1,306   | 4,946  | 1,312  |
|                    |   |   |  |  |
| AGENCY OVERALL     | 4,933   | 1,306   | 4,946  | 1,312  |

*In previous years, our agency received a large volume of request for (Loss Verification Loan Reports) from our Office of Disaster Assistance. Our number of received and processed requests are significantly lower because there was not a major disaster within the FY and we are proactively providing those Loss Verification loan reports to applicants.*

**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 |
|--------------------|--|---|
| SBA                | 1  | 0   |
|                    |  |   |
| AGENCY OVERALL     | 1  | 0   |

**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<br>During Fiscal Year from<br>Last Year's Annual<br>Report | Number Received<br>During Fiscal Year from<br>Current Annual Report | Number Processed<br>During Fiscal Year from<br>Last Year's Annual<br>Report | Number Processed<br>During Fiscal Year from<br>Current Annual Report |
| SBA                | 13   | 21  | 12  | 22   |
|                    |  |   |   |  |
| AGENCY OVERALL     | 13   | 21  | 12  | 22   |

**XII.E.(2). COMPARISON OF NUMBERS OF ADMINISTRATIVE APPEALS FROM  
PREVIOUS AND CURRENT ANNUAL REPORT -- BACKLOGGED APPEALS**

| Agency / Component | Number of Backlogged<br>Appeals as of End of the<br>Fiscal Year from Previous<br>Annual Report | Number of Backlogged<br>Appeals as of End of the<br>Fiscal Year from Current<br>Annual Report |
|--------------------|--|---|
| SBA                | 0  | 0   |
|                    |  |   |
| AGENCY OVERALL     | 0  | 0   |