

3. Agency Component Abbreviations

| Component Abbreviation | Component Name |
|------------------------|------------------------------------|
| SBA | U.S. Small Business Administration |

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 Fisheries, Inc. v. IRS, 395 F. App'x. 438, 440 (9th Cir. 2010) (unpublished disposition) (26 U.S.C. §§ 6103, 6105); Tax Analysts v. IRS, 217 F. Supp. 2d 23, 27-29 (D.D.C. 2002) (26 U.S.C. § 6105). | SBA | 13 | 13 |

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 |
|--------------------|---|--|---|---|
| SBA | 94 | 1,430 | 1,500 | 24 |
| AGENCY OVERALL | 94 | 1,430 | 1,500 | 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| | | | | No Records | All Records Referred to Another Component or Agency | Request Withdrawn | Fee-Related Reason | Records not Reasonably Described | Improper FOIA Request for Other Reason | Not Agency Record | Duplicate Request | Other *Explain in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 | 888 | 181 | 13 | 192 | 1 | 85 | 10 | 19 | 9 | 30 | 70 | 2 | 1,500 |
| AGENCY OVERALL | 888 | 181 | 13 | 192 | 1 | 85 | 10 | 19 | 9 | 30 | 70 | 2 | 1,500 |

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 |
|--------------------|--|--|-------|
| SBA | Unable to Locate or Contact Requester | 2 | 2 |
| AGENCY OVERALL | | | 2 |

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 |
|--------------------|-------|-------|-------|-------|-------|-------|----------|----------|----------|----------|----------|----------|-------|-------|
| SBA | 0 | 2 | 13 | 36 | 76 | 83 | 0 | 0 | 9 | 0 | 1 | 0 | 5 | 0 |
| AGENCY OVERALL | 0 | 2 | 13 | 36 | 76 | 83 | 0 | 0 | 9 | 0 | 1 | 0 | 5 | 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 |
|--------------------|--|---|--|--|
| SBA | 1 | 28 | 21 | 8 |
| AGENCY OVERALL | 1 | 28 | 21 | 8 |

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 | 14 | 1 | 4 | 2 | 21 |
| AGENCY OVERALL | 14 | 1 | 4 | 2 | 21 |

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 |
|--------------------|------------|---|-------------------|--------------------|----------------------------------|------------------------------------|-------------------|-----------------------------|-----------------------|---|-------------------------------|
| SBA | 1 | 1 | 1 | 1 | 0 | 0 | 0 | 1 | 0 | 0 | 0 |
| AGENCY OVERALL | 1 | 1 | 1 | 1 | 0 | 0 | 0 | 1 | 0 | 0 | 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 |
|--------------------|---|--|-------|
| SBA | 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 |
|--------------------|-----------------------|------------------------|-----------------------|------------------------|
| AGENCY OVERALL | 33.00 | 43.76 | <1 | 207.00 |

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 | N/A | N/A | 2017-09-29 | 2017-09-28 | 2017-09-21 | 2017-09-12 | 2017-08-16 | 2017-08-04 | 2017-07-03 | 2017-06-22 |
| | Number of Days Pending | 0 | 0 | 0 | 1 | 6 | 13 | 31 | 39 | 62 | 69 |

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 | 5 | 14.3 | <1 | 335 | 9 | 21.6 | 1 | 70 | 1 | 1.71 | <1 | 4 |

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 | 5 | 13.42 | <1 | 335 | 70 | 70 | 70 | 70 | 1 | 1.4 | <1 | 2 |

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 |
|--------------------|------------|------------|------------|------------|-------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|-----------|-------|
| SBA | 1,143 | 167 | 58 | 36 | 22 | 9 | 9 | 8 | 0 | 0 | 5 | 3 | 0 | 1,460 |
| AGENCY OVERALL | 1,143 | 167 | 58 | 36 | 22 | 9 | 9 | 8 | 0 | 0 | 5 | 3 | 0 | 1,460 |

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 | 10 | 18.8 | 0 | N/A | N/A | 0 | N/A | N/A |

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 | 2017-08-08 | 2017-08-07 | 2017-08-04 | 2017-08-01 | 2017-07-24 | 2017-07-19 | 2017-06-13 | 2017-03-28 | 2017-03-09 | 2016-10-25 |
| | Number of Days Pending | 37 | 38 | 39 | 42 | 48 | 51 | 76 | 130 | 143 | 234 |

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 | 7 | 23 | 1 | 8.5 | 22 |

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 | 36 | 32 | 8 | 12.94 |

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 |
| SBA | 3 | 0 | 3 | \$317,779.00 | \$0.00 | \$317,779.00 |
| AGENCY OVERALL | 3 | 0 | 3 | \$317,779.00 | \$0.00 | \$317,779.00 |

X. Fees Collected for Processing Requests

| Agency / Component | Total Amount of Fees Collected | Percentage of Total Costs |
|--------------------|--------------------------------|---------------------------|
| SBA | \$38,653.22 | 12.16% |
| AGENCY OVERALL | \$38,653.22 | 12.16% |

XI.A. Number of Times Subsection Used

| Agency / Component | Number of Times Subsection Used |
|--------------------|---------------------------------|
| SBA | 0 |
| AGENCY OVERALL | 0 |

XI.B. Number of Subsection Postings

| Agency / Component | Number of Records Posted by the FOIA Office | Number of Records Posted by Program Offices |
|--------------------|---|---|
| SBA | 4 | 231 |
| AGENCY OVERALL | 4 | 231 |

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 |
|--------------------|--|---|
| SBA | 13 | 2 |
| AGENCY OVERALL | 13 | 2 |

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 | 4 | 4 | 0 |
| AGENCY OVERALL | 0 | 4 | 4 | 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 |
| SBA | 1,116 | 1,430 | 1,075 | 1,500 |
| AGENCY OVERALL | 1,116 | 1,430 | 1,075 | 1,500 |

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 | 21 | 13 |
| AGENCY OVERALL | 21 | 13 |

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 |
| SBA | 47 | 28 | 51 | 21 |
| AGENCY OVERALL | 47 | 28 | 51 | 21 |

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 |
|--------------------|---|--|
| SBA | 0 | 2 |
| AGENCY OVERALL | 0 | 2 |

