

**Federal Trade Commission
FREEDOM OF INFORMATION ACT ANNUAL REPORT
Fiscal Year 2011
(Oct. 1, 2010 - Sept. 30, 2011)**

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I. Basic Information Regarding Report

1. Name, title, address, and telephone number of person to be contacted with questions about the report.

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Paralegal Specialist
600 Pennsylvania Avenue, N.W., Room 585
Washington, D.C. 20580
(202) 326-3475
Mkilloy@ftc.gov

2. Electronic link for access to the Report on the FTC's website:

<http://www.ftc.gov/foia/annualreports.shtm>.

3. How to obtain a copy of the report in paper form.

Federal Trade Commission
Consumer Response Center
Room 130
600 Pennsylvania Avenue, N.W.
Washington, D.C. 20580

II. Making a FOIA Request

All FOIA requests must be in the form of a written request precisely describing the records sought. Any request for nonpublic records will be handled as a FOIA request regardless of how it is identified, but requests should be identified as a "FOIA request" in order to avoid delay in processing.

FOIA requests should contain a precise description of the records sought, including the subject matter, relevant time period, and the name and address of any company to which the request pertains. Requests should also include an agreement to pay any FOIA processing fees, and the requester's address and telephone number.

1. Names, addresses, and telephone numbers of all individual agency components and offices that receive FOIA requests.

Regardless of how submitted (via mail, fax, or e-mail) requests should be addressed as follows:

Freedom of Information Act Request
Office of the General Counsel
Federal Trade Commission
600 Pennsylvania Avenue, N.W.
Washington, D.C. 20580
Facsimile number is 202-326-2477.
E-mail address is: FOIA@FTC.GOV

2. Brief description of why some requests are not granted and an overview of certain general categories of records to which the FOIA exemptions apply.

The FTC primarily receives requests for consumer complaints regarding a company's business practices and requests for records relating to the FTC's law enforcement investigations. The majority of requests that are initially denied, or partially denied, are based on personal privacy concerns reflected in FOIA Exemption 6. Many denials are also due to statutory constraints on disclosure or because disclosure would interfere with ongoing law enforcement activities.

III. Acronyms, Definitions, and Exemptions

1. Agency-specific acronyms or terms.

FOIA – Freedom of Information Act (5 U.S.C. § 552)

FTC – Federal Trade Commission

HSR – Hart Scott Rodino (Clayton Act)

FY – Fiscal Year

PA – Privacy Act (5 U.S.C. § 552a)

2. Basic terms, expressed in common terminology.

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.
- 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.

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

3. 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 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)

IV. Exemption 3 Statutes

Statute	Type of Information Withheld	Case Citation	Total Number of Times Relied upon by Agency
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15 U.S.C. § 46(f)
(Federal Trade
Comm

15 U.S.C. §18a(h)	Information submitted in connection with the premerger notification provisions of the Hart-Scott-Rodino Antitrust Improvements Act of 1976	Its use was upheld in <i>Lieberman v. FTC</i> , 771 F.2d 32 (2 nd Cir. 1985).	15
21 U.S.C. § 355	Any information or documentary material that may have been filed pursuant to the pharmaceutical agreement notification	None	3
41 U.S.C. § 253b(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	<i>Margolin v. NASA</i> , No. 09CV-00421-LRH-VPC, 2011 WL 1303221, at *6 (D. Nev. Mar. 31, 2011); <i>Hornbostel v. U.S. Dep't of the Interior</i> , 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)	1

V. FOIA Request

A. Received, Processed and Pending FOIA Requests

	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
Agency Overall	32	1523	1527	28

B. (1) Disposition of FOIA Requests- ALL Processed Request

Number of Full Grants	Number of Partial Grants & Partial Denials	Number of Denials Based on Exemptions	Number of Full Denials Based on Other Reasons than Exemption								Total
			No Records	Request Withdrawn	Fee-Related Reason	Records Not Reasonably Described	Improper FOIA Request for Other Reason	Not Agency Record	Duplicate Request	Other *See Chart	
732	440	27	228	25	15	13	9	8	16	14	1527

B. (2) Disposition of FOIA Request- “Other” Reasons for “Full Denials Based on Reasons Other Than Exemptions”

Description of “Other” Reasons for Denials from Chart B (1) & Number of Times Those Reasons Were Relied Upon	Total
Public Records	8
Glomar (The agency could neither confirm nor deny the existence of a record)	5
Burden (The resources required to process these requests would have caused an unreasonably burdensome search and review for the agency)	1

B. (3) Disposition of FOIA Requests-Number of Times Exemptions Applied

	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
Agency Total	0	1	152	66	80	383	46	0	8	10	2	0	0	0

VI. Administrative Appeals of Initial Determinations of FOIA Requests

A. Received, Processed and Pending Administrative Appeals

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
0	28	25	3

B. Disposition of Administrative Appeals- All Processed Appeals

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
17	5	2	1	25

C. (1) Reasons for Denial On Appeal-Number of Times Exemptions Applied

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
0	0	7	3	6	2	1	0	0	1	0	0	0	0

C. (2) Reasons for Denial on Appeal-Reasons Other than Exemptions

No Records Referred at Initial Request Level Request Withdrawn Fee

C. (3) Reasons for Denial on Appeal-Other Reasons

Description of "Other" Reasons for Denial on Appeal from Chart C VI(2) & Number of Times those Reasons Were Relied upon	Total
Appeal Not Received in 30 Day Time Limit	1

C. (4) Response time for Administrative Appeals

Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days
21.9	19.24	10	41

C. (5) Ten Oldest Pending Administrative Appeals

	10 th Oldest Appeal	9 th	8 th	7 th	6 th	5 th	4 th	3 rd	2 nd	Oldest Appeal
Date of Receipt of Ten Oldest Appeals	N/A	N/A	N/A	N/A	N/A	N/A	N/A	9/16/11	9/9/11	8/1/11
Number of Days Pending	N/A	N/A	N/A	N/A	N/A	N/A	N/A	10	15	44

VII. FOIA Request: Response time for Processed and Pending Requests

A. Processed Request- Response time for All Processed Perfected Requests

	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	3	5.29	1	129	26.5	49.48	1	463	16	11.4	1	

Request Granted Expedited Processing

	< 1	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
Agency total	0	0	2	0	0	0	0	0	0	0	0	0	0	0	2

D. Pending Request-All

All Pending Perfected Request

	Simple			Complex			Expedited		
	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	15	1	1.53	15	17	67.07	0	0	0

E. Pending Request-Ten Oldest Perfected Requests

10 th Oldest Request and Number of Days Pending	9 th	8 th	7 th	6 th	5 th	4 th	3 rd	2 nd	Oldest Request and Number of Days Pending
9/7/2011 16	8/31/2011 17	8/31/2011 21	8/30/2011 23	7/14/2011 33	5/25/2011 88	3/31/2011 128	3/22/2011 133	12/20/2010 196	05/12/2010 329

VIII. Request for Expedited Processing and Request for Fee Waiver

A. Request for Expedited Processing

Number Granted	Number denied	No Determination: Closed in less than 10 days	Median
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The Commission's FOIA regulations, including fee schedule, are located [regulations 16 CFR 4.11](#)

onsultations, and Comparisons

	Number of Backlogged Requests as of End of Fiscal Year	Number of Backlogged Appeals as of End of Fiscal Year
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on FOIA Requests- Received, Processed, and Pending

	Number of Consultations Received from Other Agencies	Agency from which Consultation was Received
Overall	1	The Food and Drug Administration

ending at the FTC

	Number of Consultations Pending at the End of FY2011
Agency Overall	0

**of Numbers of Requests from Previous and Current Annual Report-
d, Processed, and Backlogged**

Number of Request Received		Number of Requests Processed	
Number Received During FY2010	Number Received During FY2011	Number Processed During FY2010	Number Processed During FY2011
1294	1523	1280	1527
Number of Backlogged Requests as of End of FY 2010		Number of Backlogged Requests as of End of FY2010	

E. Comparison of Numbers of Administrative Appeals from Previous and current Annual Report- Appeals, Received, Processed, and Backlogged

	Number of Appeals Received		Number of Appeals Processed	
	Number Received During FY2010	Number Received During FY2011	Number Processed During FY2009	Number Processed During FY2010
Agency Overall	12	28	13	25

	Number of Backlogged Appeals as of End of FY 2010	Number of Backlogged Appeals as of End of FY2011