

I. BASIC INFORMATION REGARDING REPORT

1. Contact Person: Lawrence A. Ruzow, Attorney-FOIA/Privacy Act Officer, ONHIR, P.O. Box KK Flagstaff, AZ 86002; Tel: 928-779-2721 x 114; Fax: 928-774-1977; E-Mail laruzow@onhir.gov
2. Link to FOIA document
http://www.onhir.gov/Adobe_Files/FOIA--FY%202009%20Report.pdf
3. Paper copies of Report will be provided upon request. Contact Lawrence A. Ruzow for same.

II. MAKING A FOIA REQUEST

1. To make a FOIA Request: submit the request to ONHIR. We suggest you address it to Lawrence A. Ruzow, FOIA/Privacy Act Officer. Request may be submitted by letter, fax or E-Mail.
2. ONHIR Files
 - a. **We maintain a system of records called "Client Files" that contain Personally Identifiable Information ("PII")** from and about persons who have applied for Relocation Benefits. Requests for such PII must comply with the requirements of the Privacy Act, 5 U.S.C. § 552a. Such records are exempt from FOIA disclosure under Exemption 6.
 - b. **We also have "legal files" that** have been created with respect to matters that are in litigation (administrative appeals or Federal District Court) or contain documents prepared in contemplation of such litigation. In general such files or documents are exempt from FOIA disclosure under Exemption 5.

III. ACRONYMS, DEFINITIONS, AND EXEMPTIONS

1. Acronyms
 - a. ONHIR is the Office of Navajo and Hopi Indian Relocation.
 - b. CFR is the Code of Federal Regulations

c. N/A is not applicable

2. Definitions

- 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 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

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- 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 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.
 - 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. **Perfect 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. 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) 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 supervision of financial institutions
- i. **Exemption 9:** geological information on wells

IV. EXEMPTION 3 STATUTES

- A. Exemption 3 Statutes Relied upon to Withhold Information:
NONE

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V. FOIA REQUESTS

A. FOIA Requests--Received, Processed and Pending Requests

	Column 1	Column 2	Column 3	Column 4
	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	0	99	97	2

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B. (1) Disposition of FOIA Requests – All Processed Requests

	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	
AGENCY OVERALL	92	5	0										

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B. (2) Disposition of FOIA Requests – “Other” Reasons for “Full Denials Based on Reasons Other than Exemptions” from Section V, B (1)
Chart: There were no such denials.

VI. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS: NONE.

VII. FOIA REQUESTS: RESPONSE TIME FOR PROCESSED AND PENDING REQUESTS

A. Processed Requests – 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	7	12.55	1	43	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

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B. Processed Requests – Response Time for Perfected Requests in Which Information Was Granted

	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	7	12.55	1	43	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

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C. Processed Requests – Response Time in Day Increments

Simple Requests

	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 OVERALL	81	5	11	0	0	0	0	0	0	0	0	0	0	97

Complex Requests

	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 OVERALL	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

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D. Pending Requests

	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	2	36	36	N/A	N/A	N/A	N/A	N/A	N/A

E. Pending Requests – Ten Oldest Pending Perfected Requests:

Agency Overall	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
36									36	36

VIII. REQUESTS FOR EXPEDITED PROCESSING AND REQUESTS FOR FEE WAIVER

A. Requests for Expedited Processing NONE

	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate	Number Adjudicated Within Ten Calendar Days
AGENCY OVERALL	N/A	N/A	N/A	N/A	N/A

B. Requests for Fee Waiver NONE

1. Include requests for a waiver of fees made both at the initial

	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate
AGENCY OVERALL	N/A	N/A	N/A	N/A

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IX. FOIA PERSONNEL AND COSTS

PERSONNEL					COSTS
Number of "Full-Time FOIA Employees" Collateral Duty	Number of "Equivalent Full-Time FOIA Employees"	Total Number of "Full- Time FOIA Staff" (The sum of Columns 1 & 2)	Processing Costs (At initial request and appeal levels)	Litigation Related Costs	Total Agency Costs
0	.06	.06	4632	0	4632

X. FEES COLLECTED FOR PROCESSING REQUESTS: NONE

XI. FOIA REGULATIONS

Our Regulations concerning inspection of ONHIR Records is 25 CFR Part J., <http://snipurl.com/twyhh>

XII. BACKLOGS, CONSULTATIONS, AND COMPARISONS: NONE/N/A

A. Backlog of FOIA Requests and Administrative Appeals NONE

B. Consultations on FOIA Requests—NONE

C. Ten Oldest Consultations Received from Other Agencies and Pending at Your Agency Consultations on FOIA Requests - Received, Processed, and Pending Consultations—NONE/NOT APPLICABLE

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D. Comparison of Numbers of Requests from Previous and Current Annual Report – Requests Received, Processed, and Backlogged

	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
AGENCY OVERALL	4	99	4	97

	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
AGENCY OVERALL	0	2

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E. Comparison of Numbers of Administrative Appeals from Previous and Current Annual Report – Appeals Received, Processed, and Backlogged:
NONE/NOT APPLICABLE

F. Discussion of Other FOIA Activities (Optional)

- i. ONHIR continues to enhance its website to provide more information that is readily available to the public without the need for a formal FOIA Request.
- ii. ONHIR is engaging in E-Mail exchanges with Requesters to expedite information concerning Requests.
- iii. **When ONHIR receives a FOIA request from a “walk-in” person, ONHIR endeavors to either provide the requested information at the time of the person’s visit or at least obtain as much information as possible from the requester to expedite the handling of the request.**