

**2017 Chief FOIA Officer Report  
National Credit Union Administration  
Lara Rodriguez, Deputy General Counsel**

**Section I: Steps Taken to Apply the Presumption of Openness**

***A. FOIA Training***

**1. Did your FOIA professionals or the personnel at your agency who have FOIA responsibilities attend any FOIA training or conference during the reporting period such as that provided by the Department of Justice?** Yes.

**2. If yes, please provide a brief description of the type of training attended and the topics covered.** Staff attended Department of Justice training and third-party vendor training on the subject, including FOIA continuing education, advanced FOIA training, and agency training on the FOIA Improvement Act of 2016.

**3. Provide an estimate of the percentage of your FOIA professionals and staff with FOIA responsibilities who attended substantive FOIA training during this reporting period.** One hundred percent of the FOIA Officer and service center staff attended substantive FOIA training during this reporting period.

**4. If your response to the previous question is that less than 80% of your FOIA professionals attended training, please explain your agency's plan to ensure that all FOIA professionals receive or attend substantive FOIA training during the next reporting year.** Not applicable.

***C. Other Initiatives***

**6. Describe any efforts your agency has undertaken to inform non-FOIA professionals of their obligations under the FOIA?** The agency offered all employees privacy training covering their FOIA obligations in 2016.

**7. If there are any other initiatives undertaken by your agency to ensure that the presumption of openness is being applied, please describe them here.** The agency is committed to applying the presumption of openness through releases to the public, including postings on its open government page at <https://www.ncua.gov/About/Pages/open-government.aspx>.

**Section II: Steps Taken to Ensure that Your Agency Has an Effective System in Place for Responding to Requests**

***A. Processing Procedures***

**1. For Fiscal Year 2016, what was the average number of days your agency reported for adjudicating requests for expedited processing?** 4 days.

**2. If your agency's average number of days to adjudicate requests for expedited processing was above ten calendar days, please describe the steps**

**your agency will take to ensure that requests for expedited processing are adjudicated within ten calendar days or less.** Not applicable.

**4. Please provide an estimate of how many requests your agency processed in Fiscal Year 2016 that were from commercial use requesters.** 25 requests.

### ***B. Requester Services***

**6. Please provide an estimate of how often requesters sought assistance from your agency's FOIA Public Liaison.** An estimate of very few, if any, requesters sought assistance from the FOIA Public Liaison.

**7. Please provide a link to your agency's FOIA reference guide.** <https://www.ncua.gov/Resources/Documents/FOIA/FOIAHandbook.pdf>.

### ***C. Other Initiatives***

**8. If there are any other steps your agency has undertaken to ensure that your FOIA system operates efficiently and effectively, such as improving search processes, eliminating redundancy, etc., please describe them here.** FOIA staff regularly reviews all outstanding cases in light of prior requests and current information that is or could be made available on the agency's public website to find greater efficiencies to respond to requests. FOIA staff also improves search processes by communicating routinely with other internal agency offices and designated staff contacts about requests for records and information.

## **Section III: Steps Taken to Increase Proactive Disclosures**

### ***A. Posting Material***

**1. Describe your agency's process or system for identifying "frequently requested" records that should be posted online.** When a record is requested multiple times, FOIA staff identifies the record and informs the Chief FOIA Officer that it should be posted online. The FOIA staff then send the record to the agency webmaster to post it at <https://www.ncua.gov/services/Pages/freedom-of-information-act/requested-information.aspx>.

**2. Does your agency have a distinct process or system in place to identify other records for proactive disclosure? Yes. If so, please describe your agency's process or system.** If appropriate, FOIA staff discusses possibilities for proactive disclosure with the office of records.

**3. Has your agency encountered challenges that make it difficult to post records you otherwise would like to post? No.**

**4. If so, briefly explain those challenges and how your agency is working to overcome them.** Not applicable.

**5. Provide examples of material that your agency has proactively disclosed during the past reporting year, including links to the posted material.**

Examples of posted material include: detailed information on securities litigation and recoveries at

<https://www.ncua.gov/newsroom/Pages/news-2016-oct-ncua-posts-information-securities-litigation-recoveries.aspx>.

**6. Did your agency use any means to publicize or highlight important proactive disclosures for public awareness? If yes, please describe these efforts.** Yes, those efforts included press releases, social media, and email-subscription services.

### ***B. Other Initiatives***

**7. If there are any other steps your agency has taken to improve proactive disclosures, please describe them here.** The agency continues to proactively disclose information to increase the public's awareness of its mission and role through releases to the public, including postings on its open government page at <https://www.ncua.gov/About/Pages/open-government.aspx>. **For example, has your agency engaged requesters in determining how and what to post?** For example, the agency solicits comments and suggestions for improving its website at [plainwriting@ncua.gov](mailto:plainwriting@ncua.gov). **Has your agency used web analytics to inform your proactive disclosures?** No.

## **Section IV: Steps Taken to Greater Utilize Technology**

### ***A. Making Material Posted Online More Useful***

**1. Beyond posting new material, is your agency taking steps to make the posted information more useful to the public, especially to the community of individuals who regularly access your agency's website?** Yes.

**2. If yes, please provide examples of such improvements.** The agency has implemented its website featuring improved navigation and a mobile-responsive design that adapts to facilitate its viewing on various platforms, including smartphones, tablets, laptops, and desktops. Other website features and improvements include: a "Small Credit Union Learning Center" featuring training videos and materials; an online newsroom and social media hub where stakeholders can get the latest news, read articles from The NCUA Report and download graphics and photos; an "I'm a..." search function that allows users to self-identify and quickly access the agency's most frequently requested content; and a consumer section that links to the agency's consumer protection resources, consumer assistance center, share insurance information, and financial literacy materials.

### ***B. Other Initiatives:***

The agency publicly posts videos of interest to credit union system stakeholders at <https://www.ncua.gov/newsroom/Pages/videos.aspx>. The agency also has developed educational videos for credit union board members available at the Small Credit Union Learning Center at <http://go.usa/x8NGx>. In addition, the agency continually posts useful new information on its website solely for consumers [www.mycreditunion.gov](http://www.mycreditunion.gov). Moreover, the agency continually offers free webinars to credit unions and for the public on financial topics.

**3. Did your agency successfully post all four quarterly reports for Fiscal Year 2016?** Yes.

**4. If your agency did not successfully post all quarterly reports, with information appearing on FOIA.gov, please explain why and provide your**

**agency's plan for ensuring that such reporting is successful in Fiscal Year 2017.** Not applicable.

**Section V: Steps Taken to Improve Timeliness in Responding to Requests and Reducing Backlogs**

**A. Simple Track**

- 1. Does your agency utilize a separate track for simple requests?** Yes.
- 2. If so, for your agency overall in Fiscal Year 2016, was the average number of days to process simple requests twenty working days or fewer?** Yes, 4 days.
- 3. Please provide the percentage of requests processed by your agency in Fiscal Year 2016 that were placed in your simple track.** 44%.
- 4. If your agency does not track simple requests separately, was the average number of days to process all non-expedited requests twenty working days or fewer?** Not applicable.

**B. Backlogs**

**BACKLOGGED REQUESTS**

- 5. If your agency had a backlog of requests at the close of Fiscal Year 2016, did that backlog decrease as compared with the backlog reported at the end of Fiscal Year 2015?** Not applicable.
- 6. If not, explain why and describe the causes that contributed to your agency not being able to reduce its backlog.** Not applicable.
- 7. If you had a request backlog please report the percentage of requests that make up the backlog out of the total number of requests *received* by your agency in Fiscal Year 2016.** Not applicable.

**BACKLOGGED APPEALS**

- 8. If your agency had a backlog of appeals at the close of Fiscal Year 2016, did that backlog decrease as compared with the backlog reported at the end of Fiscal Year 2015?** Not applicable.
- 9. If not, explain why and describe the causes that contributed to your agency not being able to reduce its backlog.** Not applicable.
- 10. If you had an appeal backlog please report the percentage of appeals that make up the backlog out of the total number of appeals received by your agency in Fiscal Year 2016. If your agency did not receive any appeals in Fiscal Year 2016 and/or has no appeal backlog, please answer with "N/A."** Not applicable.

### ***C. Status of Ten Oldest Requests, Appeals, and Consultations***

#### **TEN OLDEST REQUESTS**

**11. In Fiscal Year 2016, did your agency close the ten oldest requests that were reported pending in your Fiscal Year 2015 Annual FOIA Report?** Yes.

**12. If no, please provide the number of these requests your agency was able to close by the end of the fiscal year, as listed in Section VII.E of your Fiscal Year 2015 Annual FOIA Report. If you had less than ten total oldest requests to close, please indicate that.** Not applicable.

**13. Of the requests your agency was able to close from your ten oldest, please indicate how many of these were closed because the request was withdrawn by the requester.** One request was closed because the request was withdrawn by the requester. **If any were closed because the request was withdrawn, did you provide any interim responses prior to the withdrawal?** No.

#### **TEN OLDEST APPEALS**

**14. In Fiscal Year 2016, did your agency close the ten oldest appeals that were reported pending in your Fiscal Year 2015 Annual FOIA Report?** Not applicable.

**15. If no, please provide the number of these appeals your agency was able to close by the end of the fiscal year, as listed in Section VII.C.(5) of your Fiscal Year 2015 Annual FOIA Report. If you had less than ten total oldest appeals to close, please indicate that.** Not applicable since there were no appeals.

#### **TEN OLDEST CONSULTATIONS**

**16. In Fiscal Year 2016, did your agency close the ten oldest consultations that were reported pending in your Fiscal Year 2015 Annual FOIA Report?** Not applicable.

**17. If no, please provide the number of these consultations your agency was able to close by the end of the fiscal year, as listed in Section XII.C. of your Fiscal Year 2015 Annual FOIA Report. If you had less than ten total oldest consultations to close, please indicate that.** Not applicable since there were no consultations.

### ***E. Additional Information on Ten Oldest Requests, Appeals, and Consultations & Plans***

**18. Briefly explain any obstacles your agency faced in closing its ten oldest requests, appeals, and consultations from Fiscal Year 2015.** Not applicable.

**19. If your agency was unable to close any of its ten oldest requests because you were waiting to hear back from other agencies on consultations you**

**sent, please provide the date the request was initially received by your agency, the date when your agency sent the consultation, and the date when you last contacted the agency where the consultation was pending.** Not applicable.

**20. If your agency did not close its ten oldest pending requests, appeals, or consultations, please provide a plan describing how your agency intends to close those “ten oldest” requests, appeals, and consultations during Fiscal Year 2017.** Not applicable.