

**February 9, 2000**

**SECY-00-0032**

**FOR:** The Commissioners

**FROM:** Stuart Reiter /RA/  
Acting Chief Information Officer

**SUBJECT:** SUBMISSION OF THE ANNUAL FREEDOM OF INFORMATION ACT REPORT

**PURPOSE:**

This paper provides the Commission a copy of the annual Freedom of Information (FOIA) Report for the NRC for Fiscal Year (FY) 1999.

**BACKGROUND:**

In accordance with the Electronic Freedom of Information Act Amendments of 1996, Public Law 104-231, 101 Stat. 3048, I have forwarded NRC's Annual Report on the Administration of the FOIA to the Office of Information and Privacy, Department of Justice (DOJ).

Each year, Federal agencies must send their fiscal year annual report to DOJ, Office of Information and Privacy, and identify the World Wide Web location in the report. The DOJ is charged with establishing a single point of access for all annual FOIA reports and will notify Congress when this task is completed.

Contact:  
Carol Ann Reed, OCIO  
301-415-6874

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The 1999 Annual FOIA Report is attached and will be placed on the NRC Web site by February 14, 2000. The Uniform Resource Locator (URL) for the NRC's FY 99 Annual FOIA Report will be <<http://www.nrc.gov/NRC/RULES/foia1999.html>>.

Stuart Reiter  
Acting Chief Information Officer

Attachment: Annual FOIA Report - FY 99

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Acting Chief Information Officer

Attachment: Annual FOIA Report - FY 99

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OFFICE	FOIS/ISB/IMD/OCIO	C	ISB/IMD/OCIO	IMD/OCIO	OCIO			
NAME	G-Rammling		Carol Ann Reed, Acting	FFGoldberg, Acting	S Reiter, Acting			
DATE	02/ /00		02/ /00	02/ /00	02/ /00			02/ /00

OFFICIAL RECORD COPY

**UNITED STATES NUCLEAR REGULATORY COMMISSION  
ANNUAL FREEDOM OF INFORMATION ACT REPORT  
FISCAL YEAR 1999**

**I. Basic Information Regarding Report**

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

Carol Ann Reed  
Freedom of Information Act and Privacy Act Officer  
Mail Stop T-6 D8  
United States Nuclear Regulatory Commission  
Washington, DC 20555-0001  
Telephone: 301-415-7169 Fax: 301-415-5130

**B. Electronic address for report on the World Wide Web**

[www.nrc.gov/NRC/FOIA/foia.html](http://www.nrc.gov/NRC/FOIA/foia.html)

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

Contact the U.S. Nuclear Regulatory Commission (NRC) Public Document Room (PDR) 2120 L Street, NW, Lower-Level, Washington, DC 20555-0001, telephone 202-634-3273 or 1-800-397-4209, E-mail [PDR@NRC.GOV](mailto:PDR@NRC.GOV) or by fax at 202-634-3343

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

Freedom of Information Act and Privacy Act Officer  
Mail Stop T-6 D8  
U.S. Nuclear Regulatory Commission  
Washington, DC 20555-0001  
Telephone: 301-415-7169 Fax: 301-415-5130  
E-mail: [FOIA@NRC.GOV](mailto:FOIA@NRC.GOV)

**B. Brief description of agency's response-time ranges.**

56% within 4 weeks  
66% within 6 weeks  
75% within 8 weeks

**C. Brief description of why some requests are not granted.**

To protect privacy (48%)

To prevent compromise of a pending investigation or proceeding (11%)

To protect the agency's pre-decisional deliberative process or attorney-client privilege, or attorney work products (26%)

To protect proprietary information (6%)

**III. Definitions of Terms and Acronyms Used in the Report**

**A. Agency-specific acronyms or other terms.**

**B. Basic terms, expressed in common terminology.**

1. FOIA/PA request -- Freedom of Information Act/Privacy Act request. A FOIA request is generally a request for access to records concerning a third party, an organization, or a particular topic of interest. A Privacy Act request is a request for records concerning oneself; such requests are also treated as FOIA requests. (All requests for access to records, regardless of which law is cited by the requester, are included in this report.)
2. Initial Request -- a request to a federal agency for access to records under the Freedom of Information Act.
3. Appeal -- a request to a federal agency asking that it review at a higher administrative level a full denial or partial denial of access to records under the Freedom of Information Act, or any other FOIA determination such as a matter pertaining to fees.
4. Processed Request or Appeal -- a request or appeal for which an agency has taken a final action on the request or the appeal in all respects.
5. 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 in each track are processed on a first-in/first-out basis. A requester who has an urgent need for records may request expedited processing (see below).
6. Expedited processing -- an agency will process a FOIA request on an expedited basis when a requester has shown an exceptional need or urgency for the records which warrants prioritization of his or her request over other requests that were made earlier.

7. Simple request -- a FOIA request that an agency using multi-track processing places in its fastest (nonexpedited) track based on the volume and/or simplicity of records requested.
8. Complex request -- a FOIA request that an agency using multi-track processing places in a slower track based on the volume and/or complexity of records requested.
9. Grant -- an agency decision to disclose all records in full in response to a FOIA request.
10. Partial grant -- an agency decision to disclose a record in part in response to a FOIA request, deleting information determined to be exempt under one or more of the FOIA's exemptions; or a decision to disclose some records in their entireties, but to withhold others in whole or in part.
11. Denial -- an agency decision not to release any part of a record or records in response to a FOIA request because all the information in the requested records is determined by the agency to be exempt under one or more of the FOIA's exemptions, or for some procedural reason (such as because no record is located in response to a FOIA request).
12. Time Limits -- the time period in the Freedom of Information Act for an agency to respond to a FOIA request (ordinarily 20 working days from proper receipt of a "perfected" FOIA request).
13. "Perfected" request -- a FOIA request for records which adequately describes the records sought, which has been received by the FOIA office of the agency or agency component in possession of the records, and for which there is no remaining question about the payment of applicable fees.
14. Exemption 3 statute -- a separate federal statute prohibiting the disclosure of a certain type of information and authorizing its withholding under FOIA subsection (b)(3).
15. Median number -- the middle, not average, number. For example, of 3, 7, and 14, the median number is 7.
16. 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.

**IV. Exemption 3 Statutes**

**A. List of Exemption 3 statutes relied on by agency during current fiscal year.**

**1. Brief description of type(s) of information withheld under each statute.**

42 U.S.C. 2167, Unclassified Safeguards Information  
42 U.S.C. 2161-2165, Restricted or Formerly Restricted Data  
41 U.S.C. 253B(m)(1), Contractor Proposals

**2. Statement of whether a court has upheld the use of each statute. If so, then cite example.**

No FOIA litigation involving the above statutes.

**V. Initial FOIA/PA Access Requests**

**A. Numbers of initial requests.**

1.	Number of requests pending as of end of preceding fiscal year (09/30/98)	56
2.	Number of requests received during current fiscal year	379
3.	Number of requests processed during current fiscal year	382
4.	Number of requests pending as of end of current fiscal year (09/30/99).	53

**B. Disposition of initial requests.**

1.	Number of total grants	162
2.	Number of partial grants	86
3.	Number of denials	22

**a. number of times each FOIA exemption used (counting each exemption once per request)**

(1) Exemption 1	4
(2) Exemption 2	2
(3) Exemption 3	4
(4) Exemption 4	9
(5) Exemption 5	41
(6) Exemption 6	35
(7) Exemption 7(A)	17
(8) Exemption 7(B)	0
(9) Exemption 7(C)	41
(10) Exemption 7(D)	5
(11) Exemption 7(E)	2
(12) Exemption 7(F)	0
(13) Exemption 8	0
(14) Exemption 9	0

4.	Other reasons for nondisclosure (total)	112
a.	no records	41
b.	referrals	1
c.	requests withdrawn	38
d.	fee-related reason	18
e.	records not reasonable described	2
f.	not a proper FOIA request for some other reason	8
g.	not an agency record	2
h.	duplicate request	0
i.	other (specify) (neither confirm nor deny)	2

## VI. Appeals of Initial Denials of FOIA/PA Requests

### A. Number of appeals.

1.	Number of appeals received during fiscal year	13
2.	Number of appeals processed during fiscal year	13

### B. Disposition of appeals.

1.	Number completely upheld	2
2.	Number partially reversed	4
3.	Number completely reversed	1
a.	number of times each FOIA exemption used (counting each exemption once per appeal)	
	(1) Exemption 1	0
	(2) Exemption 2	0
	(3) Exemption 3	0
	(4) Exemption 4	0
	(5) Exemption 5	1
	(6) Exemption 6	1
	(7) Exemption 7(A)	1
	(8) Exemption 7(B)	0
	(9) Exemption 7(C)	2
	(10) Exemption 7(D)	1
	(11) Exemption 7(E)	1
	(12) Exemption 7(F)	0
	(13) Exemption 8	0
	(14) Exemption 9	0



4.	Other reasons for nondisclosure (total)	6
	a. no records	3
	b. referrals	0
	c. requests withdrawn	3
	d. fee-related reason	0
	e. records not reasonable described	0
	f. not a proper FOIA request for some other reason	0
	g. not an agency record	0
	h. duplicate request	0
	i. other (specify)	0

**VII. Compliance with Time Limits/Status of Pending Requests**

**A. Median processing time for requests processed during the year.**

1.	Simple requests (Track A).	
	a. number of requests processed	365
	b. median number of days to process	17
2.	Complex requests (specify for any and all tracks used).	
	a. number of requests processed	17
	b. median number of days to process	75
3.	Requests accorded expedited processing.	
	a. number of requests processed	0
	b. median number of days to process	n/a

**B. Status of pending requests.**

1.	Number of requests pending as of end of current fiscal year: 53
	Track A 49
	Track B 4
2.	Median number of days that such requests were pending as of that date:
	Track A 38
	Track B 198

## VIII. Comparisons with Previous Year(s)

	<b>FY 98</b>	<b>FY 99</b>	<b>% Change FY 98 to FY 99</b>
A. Number of requests received	461	379	-18%
B. Number of requests processed	448	382	-15%
C. Median number of days requests were pending as of end of fiscal year	51	48	-6%
D. Other statistics significant to agency	n/a	n/a	n/a
E. Other agency efforts to improve timeliness of FOIA performance and to make records available to the public:			

List of FOIA requests by subject that were completed during the year are placed on the FOIA Homepage of the NRC Web site.

Training on the entire FOIA process was provided for staff offices' FOIA Coordinators.

In addition to providing general public access to material release under the FOIA, in FY 99 the NRC placed over 75,000 of its official agency records in its Public Document Room. This extensive voluntary document release program has resulted in more than 2.5 million documents being made publicly available.

## IX. Costs/FOIA Staffing

### A. Staffing levels.

1. Number of full-time FOIA personnel	9
2. Number of personnel with part-time or occasional FOIA duties (in total work-years)	6
3. Total number of personnel (in work-years)	15

**B. Total costs (including staff and all resources).**

1.	FOIA processing (including appeals)	\$ 1,350,659	
2.	Litigation-related activities (estimated)	\$ 11,500	
3.	Total costs	\$ 1,362,159	
4.	Comparison with previous year(s):	* \$ 1,463,785	-7%
	* Corrected figure due to error in salary computations for FY 98		

**C. Statement of additional resources needed for FOIA compliance:**

None. Current resources are adequate.

**X. Fees**

<b>A. Total amount of fees collected by agency for processing requests</b>	\$34,513
<b>B. Percentage of total costs</b>	2.5%

**XI. FOIA Regulations**

10 CFR Part 9: [www.nrc.gov/NRC/CFR/Part009/index.html](http://www.nrc.gov/NRC/CFR/Part009/index.html)

**Fee Schedule (1999)**

**Search and Review**

SES/Commissioners (ES-4)	\$69.44/hr.	\$1.16/min
Professional (GG-13/6)	\$36.93/hr	\$0.62/min
Clerical (GG-7/7)	\$18.00/hr	\$0.30/min

**Duplication:** \$0.20 per page

**Minimum fee:** \$20.00 (No fee will be charged unless total fee is equal to or greater than \$20.00)