

**RESPONSE TO FREEDOM OF
INFORMATION ACT (FOIA) / PRIVACY
ACT (PA) REQUEST**

2003-0378

3

RESPONSE TYPE ☐ FINAL ☒ PARTIAL

REQUESTER

Christopher Schmitt

DATE

JAN 14 2004

PART I. - INFORMATION RELEASED

- ☐ No additional agency records subject to the request have been located.
- ☐ Requested records are available through another public distribution program. See Comments section.
- ☐ APPENDICES ☐ Agency records subject to the request that are identified in the listed appendices are already available for public inspection and copying at the NRC Public Document Room.
- ☒ APPENDICES ☒ Agency records subject to the request that are identified in the listed appendices are being made available for public inspection and copying at the NRC Public Document Room.
- ☐ Enclosed is information on how you may obtain access to and the charges for copying records located at the NRC Public Document Room, 2120 L Street, NW, Washington, DC.
- ☒ APPENDICES ☒ Agency records subject to the request are enclosed.
- ☐ Records subject to the request that contain information originated by or of interest to another Federal agency have been referred to that agency (see comments section) for a disclosure determination and direct response to you.
- ☒ We are continuing to process your request.
- ☐ See Comments.

PART I.A - FEES

AMOUNT *

\$

* See comments
for details

- ☐ You will be billed by NRC for the amount listed. ☐ None. Minimum fee threshold not met.
- ☐ You will receive a refund for the amount listed. ☐ Fees waived.

PART I.B - INFORMATION NOT LOCATED OR WITHHELD FROM DISCLOSURE

- ☐ No agency records subject to the request have been located.
- ☒ Certain information in the requested records is being withheld from disclosure pursuant to the exemptions described in and for the reasons stated in Part II.
- ☒ This determination may be appealed within 30 days by writing to the FOIA/PA Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001. Clearly state on the envelope and in the letter that it is a "FOIA/PA Appeal."

PART I.C COMMENTS (Use attached Comments continuation page if required)

SIGNATURE - FREEDOM OF INFORMATION ACT AND PRIVACY ACT OFFICER

Carol Ann Reed

(6-1998)

**RESPONSE TO FREEDOM OF INFORMATION
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PART II.A -- APPLICABLE EXEMPTIONS

APPENDICES

E,F,G

Records subject to the request that are described in the enclosed Appendices are being withheld in their entirety or in part under the Exemption No.(s) of the PA and/or the FOIA as indicated below (5 U.S.C. 552a and/or 5 U.S.C. 552(b)).

- ☐ Exemption 1: The withheld information is properly classified pursuant to Executive Order 12958.
- ☐ Exemption 2: The withheld information relates solely to the internal personnel rules and procedures of NRC.
- ☐ Exemption 3: The withheld information is specifically exempted from public disclosure by statute indicated.
- ☐ Sections 141-145 of the Atomic Energy Act, which prohibits the disclosure of Restricted Data or Formerly Restricted Data (42 U.S.C. 2161-2165).
- ☐ Section 147 of the Atomic Energy Act, which prohibits the disclosure of Unclassified Safeguards Information (42 U.S.C. 2167).
- ☐ 41 U.S.C., Section 253(b), subsection (m)(1), prohibits the disclosure of contractor proposals in the possession and control of an executive agency to any person under section 552 of Title 5, U.S.C. (the FOIA), except when incorporated into the contract between the agency and the submitter of the proposal.
- ☐ Exemption 4: The withheld information is a trade secret or commercial or financial information that is being withheld for the reason(s) indicated.
- ☐ The information is considered to be confidential business (proprietary) information.
- ☐ The information is considered to be proprietary because it concerns a licensee's or applicant's physical protection or material control and accounting program for special nuclear material pursuant to 10 CFR 2.790(d)(1).
- ☐ The information was submitted by a foreign source and received in confidence pursuant to 10 CFR 2.790(d)(2).
- ☒ Exemption 5: The withheld information consists of interagency or intraagency records that are not available through discovery during litigation. Applicable privileges:
- ☒ Deliberative process: Disclosure of predecisional information would tend to inhibit the open and frank exchange of ideas essential to the deliberative process. Where records are withheld in their entirety, the facts are inextricably intertwined with the predecisional information. There also are no reasonably segregable factual portions because the release of the facts would permit an indirect inquiry into the predecisional process of the agency.
- ☐ Attorney work-product privilege. (Documents prepared by an attorney in contemplation of litigation)
- ☒ Attorney-client privilege. (Confidential communications between an attorney and his/her client)
- ☐ Exemption 6: The withheld information is exempted from public disclosure because its disclosure would result in a clearly unwarranted invasion of personal privacy.
- ☐ Exemption 7: The withheld information consists of records compiled for law enforcement purposes and is being withheld for the reason(s) indicated.
- ☐ (A) Disclosure could reasonably be expected to interfere with an enforcement proceeding (e.g., it would reveal the scope, direction, and focus of enforcement efforts, and thus could possibly allow recipients to take action to shield potential wrongdoing or a violation of NRC requirements from investigators).
- ☐ (C) Disclosure would constitute an unwarranted invasion of personal privacy.
- ☐ (D) The information consists of names of individuals and other information the disclosure of which could reasonably be expected to reveal identities of confidential sources.
- ☐ (E) Disclosure would reveal techniques and procedures for law enforcement investigations or prosecutions, or guidelines that could reasonably be expected to risk circumvention of the law.
- ☐ (F) Disclosure could reasonably be expected to endanger the life or physical safety of an individual.
- ☐ OTHER (Specify)

PART II.B -- DENYING OFFICIALS

Pursuant to 10 CFR 9.25(g), 9.25(h), and/or 9.65(b) of the U.S. Nuclear Regulatory Commission regulations, it has been determined that the information withheld is exempt from production or disclosure, and that its production or disclosure is contrary to the public interest. The person responsible for the denial are those officials identified below as denying officials and the FOIA/PA Officer for any denials that may be appealed to the Executive Director for Operations (EDO).

DENYING OFFICIAL	TITLE/OFFICE	RECORDS DENIED	APPELLATE OFFICIAL		
			EDO	SECY	IG
Joseph R. Gray	Associate General Counsel for Licensing and Regulations	Appendix E,F		✓	
Sandy M. Joosten	Executive Assistant, Office of the Secretary	Appendix G		✓	

Appeal must be made in writing within 30 days of receipt of this response. Appeals should be mailed to the FOIA/Privacy Act Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, for action by the appropriate appellate official(s). You should clearly state on the envelope and letter that it is a "FOIA/PA Appeal."

**APPENDIX E
RECORDS WITHHELD IN PART**

<u>NO.</u>	<u>DATE</u>	<u>DESCRIPTION/(PAGE COUNT)/EXEMPTIONS</u>
1.	10/24/01	E-Mail from Burns to Hassell, et al, Draft Announcement on Screening Documents (1 page) (Release) attaching draft announcement (2 pages) Exemption 5

APPENDIX F
RECORDS BEING WITHHELD IN THEIR ENTIRETY

<u>NO.</u>	<u>DATE</u>	<u>DESCRIPTION/(PAGE COUNT)/EXEMPTIONS</u>
1.	Undated	Draft Commission Paper on Denial of Petition for Rulemaking submitted by Ohio Citizens for Responsible Energy, Inc. (31 pages). Exemption 5
2.	10/22/02	Memorandum from E.Neil Jensen, OGC and K.Barber, OGC to J.Gray, OGC on Whether NRC may impose legally-binding, generic design basis threat requirements, including safeguards information, through rulemaking. (25 pages) Exemption 5
3.	04/17/03	E-Mail from G.Mizuno, OGC to S.Crockett, OGC on Potential New Reactor Applicants - Access to DBT Adversary Characteristics for Design. (4 pages). Exemption 5
4.	04/18/03	E-Mail from G.Mizuno, OGC to S.Crockett, OGC, J.Goldberg, OGC, J.Moore, OGC, M.Rothschild, OGC and S.Treby, OGC on Potential New Reactor Applicants - Access to DBT Adversary Characteristics for Design. (4 pages) Exemption 5
5.	04/18/03	E-Mail from G.Mizuno, OGC to J.Goldberg, OGC on Potential New Reactor Applicants. (1 page) Exemption 5
6.	04/18/03	E-Mail from G.Mizuno, OGC to S.Crockett, OGC on Potential New Reactor Applicants. (1 page) Exemption 5
7.	04/18/03	E-Mail from G.Mizuno, OGC to J.Goldberg, OGC on Potential New Reactor Applicants. (1 page) Exemption 5
8.	04/18/03	E-Mail from G.Mizuno, OGC to J.Goldberg, OGC on Potential New Reactor Applicants. (1 page) Exemption 5
9.	04/18/03	E-Mail from G.Mizuno, OGC to L.Chandler, OGC on Potential New Reactor Applicants. (4 pages) Exemption 5
10.	04/22/03	E-Mail from G.Mizuno, OGC to L.Chandler, OGC and J.Goldberg, OGC on Potential New Reactor Applicants. (4 pages) Exemption 5

11. 07/08/03 GSM Draft on Possible Alternatives for Rulemaking Involving SGI. (1 page) **Exemption 5**
12. 07/14/03 Draft Parallel Procedures for Protecting Safeguards Information in Rulemaking Proceeding. (3 pages) **Exemption 5**
13. 07/14/03 Model Confidentiality and Non-Disclosure Order. (3 pages) **Exemption 5**
14. 07/17/03 Alternatives for Parallel Rulemaking Procedures involving Safeguards Information. (7 pages) **Exemption 5**
15. 07/17/03 GSM Draft Q's for Stuart Aly, DOD. (3 pages) **Exemption 5**
16. 07/17/03 E-Mail from G.Mizuno, OGC to J.Lubbers, American U. on Questions on Military and Foreign Affairs Exception to APA Section 553. (1 page) **Exemption 5**
17. 07/18/03 E-Mail from G.Mizuno, OGC to J.Goldberg, OGC on Fingerprinting under Section 149 of the AEA. (1 page) **Exemption 5**
18. 07/18/03 E-Mail from G.Mizuno, OGC to J.Arildsen, NSIR and M.Burrell, NSIR on FBI Fingerprinting. (1 page) **Exemption 5**
19. 07/18/03 E-Mail from G.Mizuno, OGC to J.Arildsen, NSIR and M.Burrell, NSIR on FBI Fingerprinting. (2 pages) **Exemption 5**
20. 07/23/03 E-Mail from M.Rothschild, OGC to G.Mizuno, OGC on Regulatory History of 10 CFR 50.13. (1 page) **Exemption 5**
21. 07/23/03 E-Mail from G.Mizuno, OGC to C.Kohl, DOJ on APA Military and Foreign Affairs Exception. (1 page) **Exemption 5**
22. 07/25/03 E-Mail from G.Mizuno, OGC to T.Rothschild, OGC on S.1043 and Fingerprinting. (2 pages) **Exemption 5**
23. 07/28/03 E-Mail from G.Mizuno, OGC to J.Gray, OGC, E.N.Jensen, OGC, J.Lieberman, OGC, M.Rothschild, OGC and S.Treby, OGC on Draft slides for Presentation to Office of Federal Register. (7 pages) **Exemption 5**

24. 07/28/03 E-Mail from G.Mizuno, OGC to J.Gray, OGC, E.N.Jensen, OGC, J.Lieberman, OGC, M.Rothschild, OGC and S.Treby, OGC on Redraft of Rulemaking Alternatives. (8 pages) **Exemption 5**
25. 07/28/03 GSM Draft on NRC Proposal for Incorporation by Reference of Safeguards Information, OFR Briefing Slides. (6 pages) **Exemption 5**
26. 07/30/03 GSM Draft on NRC Proposal for Incorporation by Reference of Safeguards Information, OFR Briefing Slides. (6 pages) **Exemption 5**
27. 08/01/03 E-Mail from G.Mizuno, OGC to S.Crockett, OGC, J.Goldberg, OGC, J.Gray, OGC, E.N.Jensen, OGC, J.Lieberman, OGC, M.Rothschild, OGC and S.Treby, OGC on Next version of Alternatives for Rulemaking. (11 pages) **Exemption 5**
28. 08/04/03 E-Mail from S.Fonner, OGC to J.Gray, OGC on Revision of Fingerprinting provisions of S. 1043. (3 pages) **Exemption 5**
29. 08/05/03 E-Mail from G.Mizuno, OGC to S.Fonner, OGC and J.Gray, OGC on Revision of fingerprinting provisions of S.1043. (1 page) **Exemption 5**
30. 08/05/03 E-Mail from G.Mizuno, OGC to S.Fonner, OGC on Revision of fingerprinting provisions of S.1043. (1 page) **Exemption 5**
31. 08/05/03 E-Mail from G.Mizuno, OGC to S.Fonner, OGC on Revision of fingerprinting provisions of S.1043. (2 pages) **Exemption 5**
32. 08/06/03 GSM Draft on Alternatives for Design Basis Threat Rulemaking involving Safeguards Information. (10 pages) **Exemption 5**

**APPENDIX G
RECORDS WITHHELD IN THEIR ENTIRETY**

<u>NO.</u>	<u>DATE</u>	<u>DESCRIPTION/(PAGE COUNT)/EXEMPTIONS</u>
1.	5/21/02	E-Mail from Stauss re: SRM for COMSECY-02-001 (1 page) Exemption 5
2.	1/25/02	E-Mail from Stauss re: SRM for COMSECY-01-0030 (1 page) Exemption 5
3.	1/4/02	E-Mail from Stauss re: SRM for COMSECY-01-0030 (1 page) Exemption 5