



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

2009-0127

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RESPONSE TYPE  FINAL  PARTIAL

REQUESTER

Ingrid Drake

DATE

JUN 08 2009

**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 **A** 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 **B,C** 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, 11555 Rockville Pike, Rockville, MD 20852-2738.
- APPENDICES **B,C** 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)**

In a telephone conversation with Ms. Mary Jean Raphael of my staff on April 3, 2009, you agreed to narrow the scope of your request to copies of the incoming and outgoing correspondence associated with the requested allegation files. In that conversation you were also informed that the records relating to your items 1, 2, 4 and 8 were released in response to a previous FOIA request, FOIA/PA-2009-0042. The released records were placed in NRC's Public Electronic Reading Room at <http://www.nrc.gov/reading-rm.html>.

The NRC does not have a Report of Investigation identified as 4-2007-183. You should write directly to the Department of Labor for records on Case No. 2007-ERA-00006.

The records identified on Appendix A are already publicly available in the NRC's Public Electronic Reading Room at <http://www.nrc.gov-reading-rm.html>. If you need assistance in obtaining these records, please contact the NRC's Public Document Room (PDR) at 301-415-4737, or 1-800-397-4209, or by e-mail to [PDR.Resource@nrc.gov](mailto:PDR.Resource@nrc.gov).

The incoming FOIA/PA-2009-0127 request is located in ADAMS at ML090930233.

SIGNATURE - FREEDOM OF INFORMATION ACT AND PRIVACY ACT OFFICER

*Donna L. Sealing*  
Donna L. Sealing

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**PART II.A -- APPLICABLE EXEMPTIONS**

APPENDICES  
**C,D**

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.
  - Low 2 Internal matters of a relatively trivial nature.
  - High 2 Disclosure would risk circumvention of a legal requirement.
- 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 253b, 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 2.390(d)(1).
  - The information was submitted by a foreign source and received in confidence pursuant to 10 CFR 2.390(d)(2).
  - Disclosure will harm an identifiable private or governmental interest.
- 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
Guy P. Caputo	Director, Office of Investigations	Appendix C/11	✓		
Elmo E. Collins, Jr.	Regional Administrator, RIV	Appendix C/1-C/10, D/1	✓		

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 A  
RECORDS ALREADY PUBLICLY AVAILABLE**

<u>NO.</u>	<u>DATE</u>	<u>ACCESSION NUMBER</u>	<u>DESCRIPTION/(PAGE COUNT)</u>
1.	8/11/06	ML062280197	Letter to Naslund, Union Electric Company from Gody, NRC, Callaway Plant – NRC Inspection Report 05000483/2006010 (15 pages)
2.	4/25/07	ML071150504	Letter to Naslund, Union Electric Company from Howell, NRC, Closure Of Investigations OI 4-2006-025 & 4-2006-035) (2 pages)
3.	4/7/09	ML091190373	Letter to Heflin, Union Electric Company From Caniano, NRC, Closure of Investigation (OI 4-2006-025) (1 page)

**APPENDIX B  
RECORDS BEING RELEASED IN THEIR ENTIRETY**

<b><u>NO.</u></b>	<b><u>DATE</u></b>	<b><u>DESCRIPTION/(PAGE COUNT)</u></b>
1.	8/9/07	Letter to Dear Sir (1 page) <b>THIS RECORD WAS RECEIVED BY THE NRC WITH INFORMATION BLACKED OUT</b>
2.	8/15/07	E-Mail from Gody to R4Allegation, fwd: Redacted's allegations (1 page)

**APPENDIX C  
RECORDS WITHHELD IN PART**

<u>NO.</u>	<u>DATE</u>	<u>DESCRIPTION/(PAGE COUNT)/EXEMPTIONS</u>
1.	4/13/06	Letter to NRC Resident from { } (6 pages) Ex. 7C
2.	5/11/06	Letter to { } from Freeman, Allegation No. RIV-2006-A-0033 (4 pages) Ex. 7C
3.	6/6/06	Letter to { } from Freeman, Allegation No. RIV-2006-A-0033 (2 pages) Ex. 7C
4.	12/8/06	Letter to { } from Freeman, Allegation No. RIV-2006-A-0033 (2 pages) Ex. 7C
5.	4/16/07	Letter to { } from Freeman, Allegation No. RIV-2006-A-0033 (5 pages) Ex. 7C
6.	8/17/07	E-Mail from { } to <a href="mailto:r4allegation@nrc.gov">r4allegation@nrc.gov</a> , Allegation No. RIV-2006-A-0033 (1 page) Ex. 7C
7.	11/15/07	Letter to { } from Freeman, Allegation Nos. RIV-2006-A-0033 and RIV-2007-A-0124 (2 pages) Ex. 7C
8.	2/21/08	Letter to { } from Freeman, Office of Investigations (OI) Investigation Into Whether Licensee Management Provided False Information to the NRC (OI 4-2008-007, Allegation RIV-2007-A-0124) and Reopening OI Investigation of Inattentive { } (OI 4-2006-025, Allegation RIV-2006-A-0033) (1 page) Ex. 7C
9.	7/2/08	Letter to { } from Freeman, Allegation Nos. RIV-2006-A-0033 & RIV-2007-A-0124 (2 pages) Ex. 7C
10.	3/26/09	Letter to { } from Caniano, Concern You Raised to the Nuclear Regulatory Commission (NRC) Regarding Callaway Plant (2 pages) Ex. 7C
11.	1/30/07	Report of Investigation Callaway Nuclear Plant: Sleeping on Duty by a { } and Potential Violations of Station Procedures (92 pages) Ex. 4, 5, 7C

APPENDIX D  
RECORDS WITHHELD IN THEIR ENTIRETY

<u>NO.</u>	<u>DATE</u>	<u>DESCRIPTION/(PAGE COUNT)/EXEMPTIONS</u>
1.	Various	Allegation RIV-2007-A-0096 (385 pages) Ex. 7A