

FOIA Resource

From: Sotelo, Alan <alan.sotelo@msci.com>
Sent: Tuesday, July 23, 2013 3:55 AM
To: FOIA Resource
Subject: FOIA: Atomic Energy Act Civil and Administrative Violations

FOIA REQUEST
Case No.: 2013-0300
Date Rec'd: 7/23/13
Specialist: Dennis
Related Case:

Dear FOIA Officer:

MSCI ESG Research is a nonpartisan organization that compiles and analyzes information on social issues for institutional investors interested in environmental stewardship practices of publicly traded companies. Pursuant to the Freedom of Information Act, MSCI ESG Research requests that the Nuclear Regulatory Commission provide MSCI ESG Research with all civil and administrative violations of the **Atomic Energy Act (AEA)** for which a monetary penalty was **assessed** for **calendar year 2012** (where the **PROPOSED CP** field is greater than 12-31-09 and less than 1-1-11). And where the Action taken by NRC to close out this case (the **"ACTION"** field) is either: "NOV" or "NOV/CP" or "CP-Order" or "Order".

MSCI ESG Research respectfully requests the data be made available at the earliest possible date. MSCI ESG Research respectfully requests information from the following fields (the field names are in **BOLD UPPER CASE** letters):

- full name of licensee ("**LICENSEE**" {also known as "LICENSEE_NAME"});
- facility name ("**FACILITY**");
- street address, city, and state of facility;
- licensee type (the type of license held by the company) ("**TYPE**");
- proposed amount of civil or administrative penalty ("**PROPOSED CP**");
- imposed amount of civil or administrative penalty ("**IMPOSED CP**");
- date in which the imposed civil or administrative penalty was proposed through the sending of a letter notifying the licensee that the case is going to court ("**IMPOSED CP DATE**");
- amount paid by the licensee ("**AMT PAID**")
- date in which licensee made the payment ("**AMT PAID DATE**").
- Highest "Severity Level" (SL) of the violations for which the facility was cited by NRC ("**HIGHEST SL**")
- Number of Severity Level 1 violations received by the facility ("**SL I**")
- Number of Severity Level 2 violations received by the facility ("**SL II**")
- Number of Severity Level 3 violations received by the facility ("**SL III**")
- Number of Severity Level 4 violations received by the facility ("**SL IV**")
- Status of case (is the case open or closed?) ("**STATUS**")
- Action taken by NRC to close out this case ("**ACTION**")

We would also like to request for a data dictionary, for the information publicly available through your office. If available, please include SIC code and CUSIP for each violator (MSCI has CUSIP license from Standard & Poor's).

Mary Jean Poole of the Nuclear Regulatory Commission Freedom of Information Act Office has assisted MSCI with this request in past years.

We respectfully request this data be made available to MSCI ESG Research in Microsoft Access or Microsoft Excel format. If it is not feasible to have the data provided in this format please provide the data in tab-delimited-text or ASCII delimited format. We also respectfully request the **most recent documenter report** for this data. This documenter report should feature a list of field definitions, record layouts as well as all other relevant documenter report elements.

MSCI ESG Research has requested and received this data from the Nuclear Regulatory Commission for all years since 1988 for independent research purposes – **please notify me immediately if the requested data is not available this year**. Also please notify me if this data can now be attained over the Internet (instead of through a Freedom of Information Act request). Thank you in advance for your assistance.

Please notify me if the costs to MSCI ESG Research will exceed \$50.

Sincerely,

Alan Sotelo
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