The following Annual Freedom of Information Act report covers the Period 10/01/2013, through 09/30/2014, as required by 5 U.S.C. 552.

I. BASIC INFORMATION REGARDING REPORT

1. Kevin T. Hagerty, Director
   Office of Information Resources, MA-90
   U.S. Department of Energy
   1000 Independence Avenue, SW
   Washington, DC 20585
   202-586-5955

   Alexander Morris, FOIA Officer
   FOIA Office, MA-90
   Office of Information Resources
   U.S. Department of Energy
   1000 Independence Avenue, SW
   Washington, DC 20585
   202-586-5955

3. A paper copy of the report can be obtained at the Headquarters FOIA Public Reading Room located in the Forrestal Building, 1000 Independence Avenue, SW, Washington, DC 20585, or by submitting a request to the FOIA Office. The hours of the Reading Room at Headquarters are from 9:00 a.m. to 4:00 p.m. weekdays, except federal holidays.

II. MAKING A FOIA REQUEST

1. Provide names, addresses, and telephone numbers of all individual agency components that receive FOIA requests.


2. Provide a brief description of why some requests are not granted and an overview of certain general categories of the agency's records to which the FOIA exemptions apply.

The DOE’s mission is to advance the national, economic, and energy security of the United States; to promote scientific and technological innovation in support of that mission; and to ensure the environmental cleanup of the national nuclear weapons complex. The records maintained by the DOE often involve proprietary matters, classified matters, innovation matters, and environmental matters. The DOE invokes several of the FOIA’s exemptions to protect information that is: 1) classified as restricted data or formerly restricted data; 2) proprietary; 3) personal; and 4) pre-decisional and deliberative. These types of information may not be granted under the FOIA to protect national security, proprietary interests of submitters; personal privacy of individuals, and open and frank discussion.

III. ACRONYMS, DEFINITIONS, AND EXEMPTIONS

1. Provide any agency-specific acronyms or terms used in this Report.

2. Include the following definitions of terms used in this Report:

   a. **Administrative Appeal** - a request to a federal agency asking that it review at a higher administrative level a FOIA determination made by the agency at the initial request level.

   b. **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.

   c. **Backlog** - the number of requests or administrative appeals that are pending at an agency at the end of the fiscal year that are beyond the statutory time period for a
d. **Component** - for agencies that process requests on a decentralized basis, a "component" is an entity, also sometimes referred to as an Office, Division, Bureau, Center, or Directorate, within the agency that processes FOIA requests. The FOIA now requires that agencies include in their Annual FOIA Report data for both the agency overall and for each principal component of the agency.

e. **Consultation** - the procedure whereby the agency responding to a FOIA request first forwards a record to another agency for its review because that other agency has an interest in the document. Once the agency in receipt of the consultation finishes its review of the record, it responds back to the agency that forwarded it. That agency, in turn, will then respond to the FOIA requester.

f. **Exemption 3 Statute** - a federal statute that exempts information from disclosure and which the agency relies on to withhold information under subsection (b)(3) of the FOIA.

g. **FOIA Request** - a FOIA request is generally a request to a federal agency for access to records concerning another person (i.e., a "third-party" request), or concerning an organization, or a particular topic of interest. FOIA requests also include requests made by requesters seeking records concerning themselves (i.e., "first-party" requests) when those requesters are not subject to the Privacy Act, such as non-U.S. citizens. Moreover, because all first-party requesters should be afforded the benefit of both the access provisions of the FOIA as well as those of the Privacy Act, FOIA requests also include any first-party requests where an agency determines that it must search beyond its Privacy Act "systems of records" or where a Privacy Act exemption applies, and the agency looks to FOIA to afford the greatest possible access. All requests which require the agency to utilize the FOIA in responding to the requester are included in this Report. Additionally, a FOIA request includes records referred to the agency for processing and direct response to the requester. It does not, however, include records for which the agency has received a consultation from another agency. (Consultations are reported separately in Section XII of this Report.)

h. **Full Grant** - an agency decision to disclose all records in full in response to a FOIA request.

i. **Full Denial** - an agency decision not to release any records in response to a FOIA request because the records are exempt in their entireties under one or more of the FOIA exemptions, or because of a procedural reason, such as when no records could be located.

j. **Median Number** - the middle, not average, number. For example, of 3, 7, and 14, the median number is 7.

k. **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 granted
expedited processing are placed in yet another track. Requests in each track are processed on a first in/first out basis.

i. **Expedited Processing** - an agency will process a FOIA request on an expedited basis when a requester satisfies the requirements for expedited processing as set forth in the statute and in agency regulations.

ii. **Simple Request** - a FOIA request that an agency using multi-track processing places in its fastest (non-expedited) track based on the low volume and/or simplicity of the records requested.

iii. **Complex Request** - a FOIA request that an agency using multi-track processing places in a slower track based on the high volume and/or complexity of the records requested.

l. **Partial Grant/Partial Denial** - in response to a FOIA request, an agency decision to disclose portions of the records and to withhold other portions that are exempt under the FOIA, or to otherwise deny a portion of the request for a procedural reason.

m. **Pending Request or Pending Administrative Appeal** - a request or administrative appeal for which an agency has not taken final action in all respects.

n. **Perfected Request** - a request for records which reasonably describes such records and is made in accordance with published rules stating the time, place, fees (if any) and procedures to be followed.

o. **Processed Request or Processed Administrative Appeal** - a request or administrative appeal for which an agency has taken final action in all respects.

p. **Range in Number of Days** - the lowest and highest number of days to process requests or administrative appeals.

q. **Time Limits** - the time period in the statute for an agency to respond to a FOIA request (ordinarily twenty working days from receipt of a perfected FOIA request).

3. Include the following concise descriptions of the nine FOIA exemptions:

a. **Exemption 1**: classified national defense and foreign relations information

b. **Exemption 2**: internal agency rules and practices

c. **Exemption 3**: information that is prohibited from disclosure by another federal law

d. **Exemption 4**: trade secrets and other confidential business information
e. **Exemption 5:** inter-agency or intra-agency communications that are protected by legal privileges

f. **Exemption 6:** information involving matters of personal privacy

g. **Exemption 7:** records or information compiled for law enforcement purposes, to the extent that the production of those records (A) could reasonably be expected to interfere with enforcement proceedings, (B) would deprive a person of a right to a fair trial or an impartial adjudication, (C) could reasonably be expected to constitute an unwarranted invasion of personal privacy, (D) could reasonably be expected to disclose the identity of a confidential source, (E) would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions, or (F) could reasonably be expected to endanger the life or physical safety of any individual

h. **Exemption 8:** information relating to the supervision of financial institutions

i. **Exemption 9:** geological information on wells

4. Agency Component Abbreviations

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<th>Component Abbreviation</th>
<th>Component Name</th>
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<td>Carlsbad Field Office</td>
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<td>CH</td>
<td>Chicago Office</td>
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<tr>
<td>EMCBC</td>
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<tr>
<td>GFO</td>
<td>Golden Field Office</td>
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<tr>
<td>HQ</td>
<td>Headquarters</td>
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<td>Office of Naval Reactors</td>
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DOE FOIA FY 14 Annual Report
### IV. EXEMPTION 3 STATUTES

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<th>Case Citation</th>
<th>Agency / Component</th>
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<th>Total Number of Times Relied upon by Agency Overall</th>
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<td>(Atomic Energy Act)</td>
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DOE FOIA FY 14 Annual Report
### V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS

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<th>Number of Requests Received in Fiscal Year</th>
<th>Number of Requests Processed in Fiscal Year</th>
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*BPA - After further review it was determined that this number should have been 1 less.*

*GFO - After further review it was determined that this number should have been 3 more.*

*NNSA - After further review it was determined that this number should have been 6 less.*
## V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS

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<th>Agency / Component</th>
<th>Number of Full Grants</th>
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DOE FOIA FY 14 Annual Report
| AGENCY OVERALL | 687 | 518 | 28 | 336 | 322 | 251 | 30 | 13 | 24 | 35 | 30 | 0 | 2,274 |
V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"

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V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED

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<th>Ex. 7(B)</th>
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DOE FOIA FY 14 Annual Report
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DOE FOIA FY 14 Annual Report
### VI.C.(2). REASONS FOR DENIAL ON APPEAL – REASONS OTHER THAN EXEMPTIONS

| Agency / Component | No Records | Records Referred at Initial Request Level | Request Withdrawn | Fee-Related Reason | Records not Reasonably Described | Improper Request for Other Reasons | Not Agency Record | Duplicate Request or Appeal | Request in Litigation | Appeal Based Solely on Denial of Request for Expedited Processing | Other
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DOE FOIA FY 14 Annual Report
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DOE FOIA FY 14 Annual Report
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DOE FOIA FY 14 Annual Report
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DOE FOIA FY 14 Annual Report
## VII.D. PENDING REQUESTS -- ALL PENDING PERFECTED REQUESTS

| Agency / Component | SIMPLE | | | COMPLEX | | | | EXPEDITED PROCESSING | | | |
|-------------------|--------|-----|-----|--------|-----|-----|--------|-----|-----|-----|-----|-----|
|                   | Number Pending | Median Number of Days | Average Number of Days | Number Pending | Median Number of Days | Average Number of Days | Number Pending | Median Number of Days | Average Number of Days | Number Pending | Median Number of Days | Average Number of Days |
| BPA               | 9      | 16  | 20  | 46     | 193 | 187 | 0      | 0      | 0      | 0      | 0      | 0      |
| CBFO              | 0      | 0   | 0   | 0      | 0   | 0   | 0      | 0      | 0      | 0      | 0      | 0      |
| CH                | 0      | 0   | 0   | 3      | 31  | 33  | 0      | 0      | 0      | 0      | 0      | 0      |
| EMCBC             | 17     | 34  | 70  | 3      | 138 | 131 | 2      | 115    | 115    |        |        |        |
| GFO               | 4      | 23  | 25  | 0      | 0   | 0   | 0      | 0      | 0      | 0      | 0      | 0      |
| HQ                | 102    | 53.5| 203 | 87     | 72  | 188 | 0      | 0      | 0      | 0      | 0      | 0      |
| ID                | 1      | 44  | 44  | 0      | 0   | 0   | 0      | 0      | 0      | 0      | 0      | 0      |
| NETL              | 2      | 130.5| 130 | 0      | 0   | 0   | 0      | 0      | 0      | 0      | 0      | 0      |
| NR                | 0      | 0   | 0   | 0      | 0   | 0   | 0      | 0      | 0      | 0      | 0      | 0      |
| NRLFO             | 0      | 0   | 0   | 0      | 0   | 0   | 0      | 0      | 0      | 0      | 0      | 0      |
| ORO               | 2      | 40.5| 40  | 3      | 142 | 105 | 0      | 0      | 0      | 0      | 0      | 0      |
| OSTI              | 6      | 267 | 373 | 0      | 0   | 0   | 0      | 0      | 0      | 0      | 0      | 0      |
| ROO               | 3      | 16  | 41  | 0      | 0   | 0   | 0      | 0      | 0      | 0      | 0      | 0      |
| SEPA              | 0      | 0   | 0   | 0      | 0   | 0   | 0      | 0      | 0      | 0      | 0      | 0      |
| SPR               | 1      | 30  | 30  | 0      | 0   | 0   | 0      | 0      | 0      | 0      | 0      | 0      |
| SRO               | 0      | 0   | 0   | 0      | 0   | 0   | 0      | 0      | 0      | 0      | 0      | 0      |
| SWPA              | 2      | 18.5| 18  | 0      | 0   | 0   | 0      | 0      | 0      | 0      | 0      | 0      |
| WAPA              | 2      | 11.5| 11  | 0      | 0   | 0   | 0      | 0      | 0      | 0      | 0      | 0      |
| NNSA              | 2      | 952 | 952 | 221    | 247 | 434 | 0      | 0      | 0      | 0      | 0      | 0      |
| AGENCY OVERALL    | 153    | 499 | 504.64| 363    | 175.5| 337.92| 2      | 115    | 115    |        |        |        |

DOE FOIA FY 14 Annual Report
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- CH: 0, 0, 0, 0, 0, 0, 0, 6, 31, 64
- EMCBC: 69, 69, 93, 130, 138, 142, 161, 164, 222, 280
- GFO: 0, 0, 0, 0, 0, 0, 20, 23, 23, 36
- HQ: 770, 805, 815, 851, 974, 1043, 1096, 1187, 1187, 1187
- ID: N/A, N/A, N/A, N/A, N/A, N/A, N/A, N/A, N/A, N/A
- NETL: 0, 0, 0, 0, 0, 0, 0, 0, 0, 18, 243
- NR: N/A, N/A, N/A, N/A, N/A, N/A, N/A, N/A, N/A, N/A

DOE FOIA FY 14 Annual Report
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<th>Total Number of &quot;Full-Time FOIA Staff&quot;</th>
<th>Processing Costs</th>
<th>Litigation-Related Costs</th>
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DOE FOIA FY 14 Annual Report
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### XII.D.(1). COMPARISON OF NUMBERS OF REQUESTS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- REQUESTS RECEIVED AND PROCESSED

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DOE FOIA FY 14 Annual Report
| AGENCY OVERALL | 2,077 | 2,219 | 2,048 | 2,274 |

BPA - After further review it was determined that this number should have been 1 less. Received last FY.

GFO - After further review it was determined that this number should have been 3 more. Received last FY.

NNSA - After further review it was determined that this number should have been 3 less. Received last FY.

NNSA - After further review it was determined that this number should have been 2 more. Processed last FY.
### XII.D.(2). COMPARISON OF NUMBERS OF REQUESTS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- BACKLOGGED REQUESTS

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DOE FOIA FY 14 Annual Report
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