

**NATIONAL SCIENCE FOUNDATION
FREEDOM OF INFORMATION ACT REPORT
FOR OCTOBER 1, 2012 THROUGH SEPTEMBER 30, 2013**

I. BASIC INFORMATION

- a. Point of Contact:
Sandra Evans, NSF FOIA Officer
Office of the General Counsel
4201 Wilson Blvd, Room 1265
Arlington, VA 22230
(703) 292-5065

- b. Electronic Address for report:
The FY 2012 FOIA Report for the National Science Foundation (NSF) will be available as one of the choices under the References section of the FOIA page on the NSF web site:
<http://www.nsf.gov/policies/foia.jsp>.

- c. Paper Copies of report:
Paper copies can be requested from the Point of Contact listed above.

II. HOW TO MAKE A FOIA REQUEST

NSF policy is to make the fullest possible disclosure of information and records to any requester, without unnecessary expenses or delay. NSF's "Public Information Handbook" is available electronically as one of the choices under the Reference Materials section of the FOIA page on the Foundation's web site:
http://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf11012.

There are four basic agency requirements for making a FOIA request:

- 1. the request must be in writing (mailed correspondence, fax, or email) and include the requester's mailing address;
- 2. the envelope and letter content must identify the request as a FOIA request;
- 3. the request must provide enough detail to allow identification of the requested records; and
- 4. the request must include agreement to pay fees chargeable under NSF's fee schedule.

A. Agency Components:

Requests for records of the agency should be sent to the NSF FOIA Officer, Office of the General Counsel, Room 1265, 4201 Wilson Blvd, Arlington, VA 22230. Phone: 703-292-5065, Fax: 703-292-9041. Email: foia@nsf.gov.

Requests for documents maintained by the Office of the Inspector General should be addressed directly to the OIG, FOIA, Room 1135, 4201 Wilson Blvd, Arlington, VA 22230. Phone: 703-292-7100. Email: oig@nsf.gov.

B. Why some requests are not granted:

Requests for records may not be granted if the records do not exist; if records have been transferred to the ownership of the National Archives and Records Administration (NARA); if records contain predecisional information that if released would cause harm to NSF's decision-making processes; if records contain personal and/or proprietary information; if records contain information compiled for law enforcement purposes; or if the requester asked for information specifically prohibited from disclosure by other statutes.

III. ACRONYMS, DEFINITIONS, AND EXEMPTIONS

1. Agency-specific terms and acronyms:

- a. NSF - National Science Foundation – The National Science Foundation was established by Congress to promote progress in science and engineering. The agency does so primarily through grants and cooperative agreements with colleges, universities, K-12 school systems, businesses, information science organizations and other research institutions throughout the U.S.

2. Basic terms:

- 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 response.

- 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 individuals seeking records concerning themselves (i.e., “first-party” requests) when those requestors 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 is 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 entirety 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 relative 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 satisfied the requirement 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. 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 be 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.

IV. Exemption 3 Statutes

A. Exemption 3 Statutes Relied upon to Withhold Information

Statute	Type of Information Withheld	Case Citation	Number of Times Relied upon per Component	Total Number of Times Relied upon by Agency
35 U.S.C. § 122	Applications for patents; certain information pertaining to applications for patents	<u>Irons & Sears v. Dann</u> , 606 F.2d 1215, 1219-21 (D.C. Cir. 1979).	NSF # 7 OIG # 0	7
41 U.S.C. § 4702	Contractor proposals that are in the possession or control of an executive agency and that have not been set forth or incorporated by reference into contracts	<u>Sinkfield v. HUD</u> , No. 10-885, 2012 U.S. Dist. LEXIS 35233, at *13-15 (S.D. Ohio Mar. 15, 2012); <u>Hornbostel v. U.S. Dep't of the Interior</u> , 305 F. Supp. 2d 21, 30 (D.D.C. 2003), summary affirmance granted, No. 03-5257, 2004 WL 1900562 (D.C. Cir. Aug. 25, 2004).	NSF # 1 OIG # 0	1

V. FOIA REQUESTS

A. Received, Processed and Pending FOIA Requests

	Column 1	+ Column 2	- Column 3	= Column 4
	Number of Requests Pending as of Start of Fiscal Year	Number of Requests Received in Fiscal Year	Number of Requests Processed in Fiscal Year	Number of Requests Pending as of End of Fiscal Year
NSF	70	346	272	144
OIG	1	32	33	0
Agency Overall	71	378	305	144

B. (1) Disposition of FOIA Requests - All Processed Requests

	Number of Full Grants	Number of Partial Grants/Partial Denials	Number of Full Denials Based on Exemptions	Number of Full Denials Based on Reasons Other than Exemptions									TOTAL
				No Records	All Records Referred to Another Component or Agency	Request Withdrawn	Fee-Related Reason	Records not Reasonably Described	Improper FOIA Request for Other Reason	Not Agency Record	Duplicate Request	Other *Explain in chart below	
NSF	25	176	3	35	4	26	0	0	1	0	1	1	272
OIG	3	20	5	3	0	2	0	0	0	0	0	0	33
Agency Overall	28	196	8	38	4	28	0	0	1	0	1	1	305

B. (2) Disposition of FOIA Requests - "Other" Reasons for "Full Denials Based on Reasons Other than Exemptions" from Section V, B (1) Chart

	Description of "Other" Reasons for Denials from Chart B(1) & Number of Times Those Reasons Were Relied upon	TOTAL
NSF	FOIA Request not required. [1]	1
OIG	N/A	0

B. (3) Disposition of FOIA Requests - Number of Times Exemptions Applied

	Ex. 1	Ex. 2	Ex. 3	Ex. 4	Ex. 5	Ex. 6	Ex. 7(A)	Ex. 7(B)	Ex. 7(C)	Ex. 7(D)	Ex. 7(E)	Ex. 7(F)	Ex. 8	Ex. 9
NSF	0	0	8	157	9	164	1	0	1	0	0	0	0	0
OIG	0	0	0	2	7	19	4	0	17	0	1	0	0	0
Agency Overall	0	0	8	159	16	183	5	0	18	0	1	0	0	0

VI. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS

A. Received, Processed and Pending Administrative Appeals

	Number of Requests Pending as of Start of Fiscal Year	Number of Requests Received in Fiscal Year	Number of Requests Processed in Fiscal Year	Number of Requests Pending as of End of Fiscal Year
NSF	0	8	2	6
OIG	0	2	2	0
Agency Overall	0	10	4	6

B. Disposition of Administrative Appeals - All Processed Appeals

	Number Affirmed on Appeal	Number Partially Affirmed & Partially Reversed/Remanded on Appeal	Number Completely Reversed/Remanded on Appeal	Number of Appeals Closed for Other Reasons	TOTAL
NSF	2	0	0	0	2
OIG	1	0	1	0	2
Agency Overall	3	0	1	0	4

C. (1) Reasons for Denial on Appeal - Number of Times Exemptions Applied

	Ex. 1	Ex. 2	Ex. 3	Ex. 4	Ex. 5	Ex. 6	Ex. 7(A)	Ex. 7(B)	Ex. 7(C)	Ex. 7(D)	Ex. 7(E)	Ex. 7(F)	Ex. 8	Ex. 9
NSF	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OIG	0	0	0	0	1	1	0	0	1	0	0	0	0	0
Agency Overall	0	0	0	0	1	1	0	0	1	0	0	0	0	0

C. (2) Reasons for Denial on Appeal - Reasons Other than Exemptions

	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 *Explain in chart below
NSF	0	0	0	0	0	0	0	0	0	0	0
OIG	0	0	0	0	0	0	0	0	0	0	0
Agency Overall	0	0	0	0	0	0	0	0	0	0	0

C. (3) Reasons for Denial on Appeal - "Other" Reasons from Section VI, C (2) Chart

	Description of "Other" Reasons for Denial on Appeal from Chart C(2) & Number of Times Those Reasons Were Relied upon	TOTAL
NSF	N/A	0
OIG	N/A	0

C. (4) Response Time for Administrative Appeals

	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days
NSF	19	24	19	29
OIG	17	17	17	18
Agency Overall	18	20	17	29

C. (5) Ten Oldest Pending Administrative Appeals

		10th Oldest Appeal	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Appeal
NSF	Perfected Date of Ten Oldest Appeals	N/A	N/A	N/A	N/A	3/1/2013	2/27/2013	11/27/2012	11/15/2012	11/6/2012	11/2/2012
	Number of Days Pending	0	0	0	0	149	151	212	219	225	227
OIG	Perfected Date of Ten Oldest Appeals	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Number of Days Pending	0	0	0	0	0	0	0	0	0	0
Agency Overall	Perfected Date of Ten Oldest Appeals	N/A	N/A	N/A	N/A	3/1/2013	2/27/2013	11/27/2012	11/15/2012	11/6/2012	11/2/2012
	Number of Days Pending	0	0	0	0	149	151	212	219	225	227

VII. FOIA REQUESTS: RESPONSE TIME FOR PROCESSED AND PENDING REQUESTS

A. Processed Requests - Response Time for All Processed Perfected Requests

	SIMPLE				EXPEDITED			
	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days
NSF	23	33	1	209	N/A	N/A	N/A	N/A
OIG	17	21	1	105	N/A	N/A	N/A	N/A
Agency Overall	21	32	1	209	N/A	N/A	N/A	N/A

B. Processed Requests - Response Time for Perfected Requests in Which Information Was Granted

	SIMPLE				EXPEDITED			
	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days
NSF	28	37	1	209	N/A	N/A	N/A	N/A
OIG	18	19	1	51	N/A	N/A	N/A	N/A
Agency Overall	25	35	1	209	N/A	N/A	N/A	N/A

C. Processed Requests - Response Time in Day Increments

Simple Requests

	1-20 Days	21-40 Days	41-60 Days	61-80 Days	81-100 Days	101-120 Days	121-140 Days	141-160 Days	161-180 Days	181-200 Days	201-300 Days	301-400 Days	401+ Days	TOTAL
NSF	123	66	40	23	12	3	2	0	0	1	2	0	0	272
OIG	26	4	2	0	0	1	0	0	0	0	0	0	0	33
Agency Overall	149	70	42	23	12	4	2	0	0	1	2	0	0	305

Requests Granted Expedited Processing

	1-20 Days	21-40 Days	41-60 Days	61-80 Days	81-100 Days	101-120 Days	121-140 Days	141-160 Days	161-180 Days	181-200 Days	201-300 Days	301-400 Days	401+ Days	TOTAL
NSF	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OIG	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Agency Overall	0	0	0	0	0	0	0	0	0	0	0	0	0	0

D. Pending Requests - All Pending Perfected Requests

	SIMPLE			EXPEDITED		
	Number Pending	Median Number of Days	Average Number of Days	Number Pending	Median Number of Days	Average Number of Days
NSF	144	117	240	0	N/A	N/A
OIG	0	N/A	N/A	0	N/A	N/A
Agency Overall	144	117	240	0	N/A	N/A

E. Pending Requests - Ten Oldest Pending Perfected Requests

		10th Oldest Request and Number of Days Pending	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Request and Number of Days Pending
NSF	Perfected Date of Ten Oldest Appeals	7/21/2010	7/21/2010	7/21/2010	7/21/2010	7/21/2010	7/21/2010	7/21/2010	7/15/2010	7/14/2010	7/14/2010
	Number of Days Pending	802	802	802	802	802	802	802	806	807	807
OIG	Perfected Date of Ten Oldest Appeals	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Number of Days Pending	0	0	0	0	0	0	0	0	0	0
Agency Overall	Perfected Date of Ten Oldest Appeals	7/21/2010	7/21/2010	7/21/2010	7/21/2010	7/21/2010	7/21/2010	7/21/2010	7/15/2010	7/14/2010	7/14/2010
	Number of Days Pending	802	802	802	802	802	802	802	806	807	807

VIII. REQUESTS FOR EXPEDITED PROCESSING AND REQUESTS FOR FEE WAIVER

A. Requests for Expedited Processing

	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate	Number Adjudicated Within Ten Calendar Days
NSF	0	0	N/A	N/A	N/A
OIG	0	1	10	10	1
Agency Overall	0	1	10	10	1

B. Requests for Fee Waiver

	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate
NSF	0	0	N/A	N/A
OIG	0	0	N/A	N/A
Agency Overall	0	0	N/A	N/A

IX. FOIA PERSONNEL AND COSTS

A. Costs

	PERSONNEL			COSTS		
	Number of "Full-Time FOIA Employees"	Number of "Equivalent Full-Time FOIA Employees"	Total Number of "Full-Time FOIA Staff"	Processing Costs	Litigation-Related Costs	Total Costs
NSF	0	3.5	3.5	280,650	0	280,650
OIG	0	0.16	0.16	22,087	0	22,087
Agency Overall	0	3.66	3.66	302,737	0	302,737

X. FEES COLLECTED FOR PROCESSING REQUESTS

	Total Amount of Fees Collected	Percentage of Total Costs
NSF	\$956.79	0.34%
OIG	0	0.00 %
Agency Overall	\$956.79	0.30%

XI. FOIA REGULATIONS

Agencies must provide an electronic link to their FOIA regulations, including their fee schedule <http://www.gpo.gov/fdsys/pkg/FR-2013-08-29/pdf/2013-21053.pdf>.

XII. BACKLOGS, CONSULTATIONS, AND COMPARISONS

A. Backlogs of FOIA Requests and Administrative Appeals

	Number of Backlogged Requests as of End of Fiscal Year	Number of Backlogged Appeals as of End of Fiscal Year
NSF	125	0
OIG	0	0
Agency Overall	125	0

B. Consultations on FOIA Requests - Received, Processed, and Pending Consultations

	Number of Consultation Received from Other Agencies that Were Pending at NSF as of Start of the Fiscal Year	Number of Consultations Received from Other Agencies During the Fiscal Year	Number of Consultations Received from Other Agencies that Were Processed by NSF During the Fiscal Year	Number of Consultations Received from Other Agencies that Were Pending at NSF as of End of the Fiscal Year
NSF	0	1	1	0
OIG	0	0	0	0
Agency Overall	0	1	1	0

C. Consultations on FOIA Requests - Ten Oldest Consultations Received from Other Agencies and Pending at Your Agency

		10th Oldest Consultation and Number of Days Pending	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Consultation
NSF	Oldest Consultation and Number of Days Pending	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Number of Days Pending	0	0	0	0	0	0	0	0	0	0
OIG	Oldest Consultation and Number of Days Pending	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Number of Days Pending	0	0	0	0	0	0	0	0	0	0
Agency Overall	Oldest Consultation and Number of Days Pending	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Number of Days Pending	0	0	0	0	0	0	0	0	0	0

D. Comparison of Numbers of Requests from Previous and Current Annual Report - Requests Received, Processed, and Backlogged

1. Provide the number of requests received and the number of requests processed during the fiscal year from last year's Annual Report and the number of those received and processed during the fiscal year from the current Annual Report.

	Number of Requests Received		Number of Requests Processed	
	Number Received During Fiscal Year from Last Year's Annual Report	Number Received During Fiscal Year from Current Annual Report	Number Processed During Fiscal Year from Last Year's Annual Report	Number Processed During Fiscal Year from Current Annual Report
NSF	367	346	355	272
OIG	61	32	60	33
Agency Overall	428	378	415	305

2. Starting with the Annual Report for Fiscal Year 2009, provide the number of backlogged requests as of the end of the fiscal year from the previous Annual Report and the number of backlogged requests as of the end of the fiscal year from the current Annual Report.

	Number of Backlogged Requests as of End of the Fiscal year from Previous Annual Report	Number of Backlogged Requests as of End of the Fiscal Year from Current Annual Report
NSF	36	125
OIG	0	0
Agency Overall	36	125

E. Comparison of Numbers of Administrative Appeals from Previous and Current Annual Report - Appeals Received, Processed, and Backlogged

1. Provide the number of administrative appeals received and the number of administrative appeals processed during the fiscal year from last year's Annual Report and the number of those received and processed during the fiscal year from the current Annual Report.

	NUMBER OF APPEALS RECEIVED		NUMBER OF APPEALS PROCESSED	
	Number Received During Fiscal Year from Last year's Annual Report	Number Received During Fiscal Year from Current Annual Report	Number Processed During Fiscal Year from Last Year's Annual Report	Number Processed During Fiscal Year from Current Annual Report
NSF	4	8	4	2
OIG	8	2	8	2
Agency Overall	12	10	12	4

2. Starting with the Annual Report for Fiscal Year 2009, provide the number of backlogged administrative appeals as of the end of the fiscal year from the previous Annual Report and the number of backlogged administrative appeals as of the end of the fiscal year from the current Annual Report.

	Number of Backlogged Appeals as of End of the Fiscal year from Previous Annual Report	Number of Backlogged Appeals as of End of the Fiscal Year from Current Annual Report
NSF	0	0
OIG	0	0
Overall	0	0

F. Discussion of Other FOIA Activities (Optional)

1. Provide here any further information about the agency's efforts to improve FOIA administration