

DEPARTMENT OF DEFENSE

Office of the Secretary

32 CFR Part 299

[RIN 0790-AG59]

Freedom of Information Act Program

AGENCY: National Security Agency/
Central Security Service, Defense.

ACTION: Proposed rule.

SUMMARY: This rule proposes to revise the National Security Agency/Central Security Services (NSA/CSS) regulation governing disclosure of information under the Freedom of Information Reform Act of 1986 (Pub. L. 99-570). As a component of the Department of Defense, the Departmental rules and schedules with respect to the Freedom of Information Reform Act will also be the policy of the NSA/CSS. The effect of the proposed rule is to conform to the requirements of the Electronic Freedom of Information Act Amendments of 1996, 5 U.S.C. 552, as amended by Public Law 104-231. It also incorporates guidance provided by the Department of Defense on implementation of this amended law.

DATES: Comments must be submitted by November 30, 1998.

ADDRESSES: Send comments to: Susan A. Arnold, Assistant General Counsel (Civil Litigation and Administrative Law) Office of General Counsel, National Security Agency, Fort George G. Meade, Maryland 20755-6250.

FOR FURTHER INFORMATION CONTACT: Barbara Paisley, FOIA Office, National Security Agency. (301) 688-6527.

SUPPLEMENTARY INFORMATION: This rule does not constitute a major rule within the meaning of Executive Order 12866. Neither the requirements of the Regulatory Flexibility Act, 5 U.S.C. 605(b), nor the reporting or recordkeeping requirements under the Paperwork Reduction Act of 1995 (Pub. L. 104-13) apply. It is hereby certified that this proposed rule does not exert a significant economic impact on a significant number of small entities. This determination is made based upon the fact that the rule merely updates the procedural aspects of the NSA/CSS Freedom of Information Act Program, which include guidance on how and from whom to request information pertaining to the NSA/CSS; imposes no new requirements, rights, or benefits on small entities; will have neither a beneficial nor an adverse affect on small entities, and is not a major rule under the Regulatory Flexibility Act.

List of Subjects in 32 CFR Part 299

Freedom of information.

According to title 32, chapter I, part 299 is revised to read as follows:

PART 299—NSA/CSS FREEDOM OF INFORMATION ACT PROGRAM

Sec.

- 299.1 Purpose and applicability.
- 299.2 Definitions
- 299.3 Policy
- 299.4 Responsibilities.
- 299.5 Procedures.
- 299.6 Fees.
- 299.7 Exempt records.

Authority: 5 U.S.C. 552.

§ 299.1 Purpose and applicability.

(a) This part implements 5 U.S.C. 552, as amended, and DoD 5400.7-4R¹ assigns responsibility for responding to written requests made pursuant to 5 U.S.C. 552; and provides for the review required to determine the appropriateness of classification pursuant to DoD 5200.1-R²

(b) This part applies to all NSA/CSS elements, field activities and personnel, and governs the release or denial of any information under the terms of the Freedom of Information Act (FOIA).

§ 299.2 Definitions.

Terms used in this part, with the exception of the terms in § 299.4, are defined in DoD 5400.7-R. For ease of reference, however, some terms are defined in this section.

(a) *FOIA request.* (1) A written request for NSA/CSS records, that reasonably describes the records sought, made by any person, including a member of the public (U.S. or foreign citizen/entity), an organization or a business, but not including a Federal Agency or a fugitive from the law that either explicitly or implicitly invokes 5 U.S.C. 552, as amended, DoD 5400.7-R, or NSA/CSS Freedom of Information Act Program, within the National Security Agency/Central Security Service. Requesters should also indicate a willingness to pay fees associated with the processing of their request or, in the alternative, why a waiver of fee may be appropriate.

(2) An FOIA request may be submitted by U.S. mail or its equivalent, by facsimile or electronically through the NSA FOIA Home Page on the World Wide Web (WWW) once the development of a Web-based procedure for submitting FOIA requests is completed. The Web-based system will

¹ Copies may be obtained, at cost, from the National Technical Information Service, 5285 Port Royal Road, Springfield, VA 22161.

² See footnote 1 to this section.

consist of a form to be completed by the requester, requiring name and postal mailing address. The WWW address is <http://www.nsa.gov:8080/docs/efoia/>.

(3) When a request meeting the requirements stated in this section is received by the FOIA office and there is no remaining question about fees, that request is considered perfected.

(b) *Privacy Act (PA) request.* A request submitted by a U.S. citizen or an alien admitted for permanent residence for access to records on himself/herself which are contained in a PA system of records and/or seeking an amendment to his/her records. For purposes of this part, PA request refers to a request for copies of records. Regardless of whether the requester cites the FOIA, PA or neither law, the request will be processed under both this part and NSA/CSS Regulation 10-35, Implementation of the Privacy Act of 1974.³

(c) *Agency records.* Products of data compilation, such as all books, papers, maps, and photographs, machine readable materials, including those in electronic form or format (including e-mails), or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law in connection with the transaction of public business and in NSA/CSS's possession and control at the time the FOIA request is made. The term "records" does not include:

(1) Objects or articles such as structures, furniture, vehicles and equipment, whatever their historical value or value as evidence;

(2) Intangible records such as an individual's memory or oral communication; and

(3) Personal records of an individual not subject to agency creation or retention requirements, created and maintained primarily for the convenience of an agency employee, and not distributed to other agency employees for their official use.

(4) A record must exist and be in the possession and control of the NSA/CSS at the time of the request to be subject to this part. There is no obligation to create or compile a record or obtain a record not in the possession of the NSA/CSS to satisfy an FOIA request. The NSA/CSS may compile or create a new record when doing so would be less burdensome to the Agency than providing existing records and the requester does not object.

(5) Hard copy or electronic records that are subject to FOIA requests under

³ Copies may be obtained through a FOIA request to the National Security Agency, Ft. George G. Meade, MD 20755-6000.

5 U.S.C. 552(a)(3) and are available through an established distribution system or the Internet, normally need not be processed under the FOIA. The Agency will provide guidance to the requester on how to obtain the material outside of the FOIA process. If the requester insists that the request be processed under the FOIA, then it shall be so processed.

§ 299.3 Policy.

(a) Pursuant to written requests submitted in accordance with the FOIA, the NSA/CSS will make records available to the public consistent with the Act and the need to protect government interests pursuant to subsection (b) of the Act. Oral requests for information will not be accepted. Before the Agency responds to a request, the request must comply with the provisions of this part.

(b) Requests for electronic records shall be processed and the records retrieved whenever retrieval can be achieved through reasonable efforts (in terms of both time and manpower) and these efforts would not significantly interfere with the operation of an automated information system. Reasonable efforts shall be undertaken to maintain records in forms or formats that render electronic records readily reproducible.

(c) The NSA/CSS does not originate final orders, opinions, statements of policy, interpretations, staff manuals, or instructions that affect members of the public of the type generally covered by the indexing requirement of 5 U.S.C. 552. Therefore it has been determined, pursuant to the pertinent statutory and executive order requirements, that it is unnecessary and impracticable to publish an index of the type required by 5 U.S.C. 552. However, should such material be identified, it will be indexed and placed in the library at the Cryptologic History Museum, which serves as the NSA/CSS FOIA reading room, and made available through the Internet. Copies of records which have been released under the FOIA and which NSA/CSS has determined are likely to become the subject of subsequent requests will be placed in the library of the Cryptologic History Museum. In addition, these records will be made available to the public through the Internet. An index of this material will be available in hard copy in the museum library and on the Internet.

§ 299.4 Responsibilities.

(a) The Deputy Director for Plans, Policy and Programs (DDP) is responsible for responding to FOIA

requests and for collecting fees from FOIA requesters.

(b) The Director of Policy (N5) is the NSA/CSS focal point for responding to FOIA requests. The Deputy Director of Policy (N5P) is the initial denial authority (IDA) and is responsible for:

(1) Receiving and staffing all initial, written requests for the release of information;

(2) Conducting the necessary reviews to determine the releasability of information pursuant to DoD 5200.1-R;

(3) Providing the requester with releasable material;

(4) Notifying the requester of any adverse determination, including informing the requester of his/her right to appeal an adverse determination to the appeal authority (see § 299.5(m));

(5) Assuring the timeliness of responses;

(6) Negotiating with the requester regarding satisfying his request (e.g., time extensions, modifications to the request);

(7) Authorizing extensions of time within Agency components (e.g., time needed to locate and/or review material);

(8) Assisting the Office of General Counsel (OGC) in judicial actions filed under 5 U.S.C. 552;

(9) Maintaining the FOIA reading room and the Internet home page; and

(10) Compiling the annual FOIA report.

(c) The Chief, Finance and Accounting Office (N4) is responsible for:

(1) Sending initial and follow-up bills to FOIA requesters as instructed by the FOIA office, with a copy of all bills going to the FOIA office. In cases where an estimate of fees is provided to the requester prior to the processing of his/her request, no bill will be sent. Although the FOIA office asks FOIA requesters to send payment to the FOIA office, for subsequent forwarding to the Finance and Accounting Office, payment may be received directly in the Finance and Accounting Office. Such payment may be identified by the payee as payment for a Freedom of Information Act request, by the letters "FOIA," or as payment for J9XXX/J10XXX. (FOIA requests are serialized by a one-up number beginning on October 1 of each year, e.g., J9001, J9002.);

(2) Receiving and handling all checks or money orders remitted in payment for FOIA requests crediting them to the proper account and notifying the FOIA office promptly of all payments received;

(3) Notifying the FOIA office promptly of any payments received

directly from requesters even if no bill was initiated by the Finance and Accounting Office; and

(4) Issuing a prompt reimbursement of overpaid fees to the requester upon being notified of such overpayment by the FOIA office.

(d) The Deputy Director, NSA/CSS, is the FOIA Appeal Authority required by 5 U.S.C. 552 for considering appeals of adverse determinations by the Deputy Director of Policy. In the absence of the Deputy Director, the Executive Director, NSA/CSS, serves as the Appeal Authority.

(e) The General Counsel (GC) or his designee is responsible for:

(1) Reviewing responses to FOIA requests to determine the legal sufficiency of actions taken by the Deputy Director of Policy, as required on a case-by-case basis;

(2) Reviewing the appeals of adverse determinations made by the Deputy Director of Policy. The GC will prepare an appropriate reply to such appeals and submit that reply to the NSA/CSS FOIA Appeal Authority for final decision; and

(3) Representing the Agency in all judicial actions relating to 5 U.S.C. 552 and providing support to the Department of Justice.

(f) The Deputy Director for Support Services will establish procedures to ensure that:

(1) All inquiries for information pursuant to 5 U.S.C. 552 are delivered promptly to the Deputy Director of Policy; and

(2) Any appeal of an adverse determination is delivered promptly and directly to the NSA/CSS Appeal Authority staff.

(g) The Key Components and Field Chiefs will:

(1) Establish procedures to ensure that any inquiries for information pursuant to 5 U.S.C. 552 are referred immediately and directly to the Deputy Director of Policy. Field Elements should forward, electronically, any requests received to the DIRNSA/CHCSS, ATTN: N5P; and

(2) Designate a senior official and an alternate to act as a focal point to assist the Deputy Director of Policy in determining estimated and actual cost data, in conducting searches reasonably calculated to retrieve responsive records and assessing whether information can be released or should be withheld.

(h) Military and civilian personnel assigned or attached to or employed by the NSA/CSS who receive a Freedom of Information Act request shall deliver it immediately to the Deputy Director of Policy. Individuals who are contacted by personnel at other government agencies and asked to assist in

reviewing material for release under the FOIA must direct the other agency employee to the NSA/CSS FOIA office promptly.

§ 299.5 Procedures.

(a) Requests for copies of records of the NSA/CSS shall be delivered to the Deputy Director of Policy immediately upon receipt once the request is identified as a Freedom of Information Act or Privacy Act request or appears to be intended as such a request.

(b) The Deputy Director of Policy will endeavor to respond to a direct request to NSA/CSS within 20 working days of receipt. If the request fails to meet the minimum requirements of perfected FOIA request, the FOIA office will advise the requester of how to perfect the request. The 20 working day time limit applies upon receipt of the perfected request. In the event the Deputy Director of Policy cannot respond within 20 working days due to unusual circumstances, the chief of the FOIA office will advise the requester of the reason for the delay and negotiate a completion date with the requester.

(c) Direct requests to NSA/CSS will be processed in the order in which they are received. Requests referred to NSA/CSS by other government agencies will be placed in the processing queue according to the date the requester's letter was received by the referring agency if that date is known. If it is not known when the referring agency received the request, it will be placed in the queue according to the date of the requester's letter.

(d) The FOIA office will maintain three queues ("simple," "complex" and "expedite") for the processing of records in chronological order. Cases placed in the "simple" queue require little time to process. "Complex" cases require a substantial amount of review and research prior to making a final release determination. This procedure is followed so that a requester will not be required to wait a long period of time to learn that the Agency has no records responsive to his request or to obtain records that do not require a lengthy review.

(e) Expedited processing shall be granted to a requester if he/she requests such treatment and demonstrates a compelling need for the information. A demonstration of compelling need by a requester shall be made by a statement certified by the requester to be true and correct to the best of his/her knowledge. A compelling need is defined as follows:

(1) The failure to obtain the records on an expedited basis could reasonably be expected to pose an imminent threat

to the life or physical safety of an individual.

(2) The information is urgently needed by an individual primarily engaged in disseminating information to inform the public about actual or alleged Federal Government activity. Urgently needed means that the information has a particular value that will be lost if not disseminated quickly.

(3) A request may also be expedited, upon receipt of a statement certified by the requester to be true and correct to the best of his/her knowledge, for the following reasons:

(i) There would be an imminent loss of substantial due process rights.

(ii) There is a humanitarian need for the material. Humanitarian need means that disclosing the information will promote the welfare and interests of mankind.

(4) Requests which meet the criteria for expedited treatment as defined in paragraph (e)(3) of this section will be placed in the expedite queue behind the requests which are expedited because of a compelling need (see § 299.5(e)).

(5) A decision on whether to grant expedited treatment will be made within 10 calendar days of receipt. The requester will be notified whether his/her request meets the criteria for expedited processing within that time frame. If a request for expedited processing has been granted, a substantive response will be provided within 20 working days of the date of the expedited decision. If a substantive response cannot be provided within 20 working days, a response will be provided as soon as practicable and the chief of the FOIA office will negotiate a completion date with the requester, taking into account the number of cases preceding it in the expedite queue and the complexity of the responsive material.

(f) If the Deputy Director of Policy, in consultation with the GC, determines that the fact of the existence or non-existence of requested material is a matter that is exempt from disclosure, the requester will be so advised.

(g) If the FOIA office determines that NSA/CSS may have information of the type requested, the office shall contact each Key Component reasonably expected to hold responsive records.

(h) The FOIA office will assign the requester to the appropriate fee category under 5 U.S.C. 552, as amended, DoD 5400.7-R, and NSA/CSS Freedom of Information Act Program, and, if a requester seeks a waiver of fees, the FOIA office will, after determining the applicable fee category, determine whether to waive fees pursuant to DoD 5400.7-R (see also § 299.6). If fees are to

be assessed in accordance with the provisions of 5 U.S.C. 552 and DoD 5400.7-R, the Key Component will prepare an estimate of the cost required to locate, retrieve and, in the case of commercial requesters, review the records. Cost estimates will include only direct search, duplication costs and review time (for commercial requesters) as defined in DoD 5400.7-R.

(1) If the cost estimate does not exceed \$25.00, the component shall search for and forward to the FOIA office the documents responsive to the request. Fees \$15.00 and under will be waived.

(2) If the costs are estimated to exceed \$25.00, the component shall provide an estimate to the FOIA office without conducting the search. The chief of the FOIA office will advise the requester of the costs to determine a willingness to pay the fees. A requester's willingness to pay fees will be satisfactory when the estimated fee does not exceed \$250.00 and the requester has a history of prompt payment. A history of prompt payment means payment within 30 calendar days of the date of billing. If fees are expected to exceed \$250.00, the requester will be required to submit payment before processing is continued if the requester does not have a history of prompt payment. All payments will be made by certified check or money order made payable to the Treasurer of the United States.

(3) When a requester has previously failed to pay a fee charged within a timely fashion (i.e., within 30 calendar days from the date of billing) payment is required before a search is initiated or before review is begun. When a requester has no payment history, an advance payment may be required of the requester after the case has been completed, but prior to providing the final response.

(4) If a requester has failed to pay fees after three bills have been sent, additional requests from that requester and/or the organization or company he/she represents will not be honored until all costs and interest are paid.

(i) Upon receipt of a statement of willingness to pay assessable fees or the payment from the requester, the FOIA office shall notify the NSA/CSS component to search for the appropriate documents.

(1) The component conducting the search will advise the FOIA office of the types of files searched (e.g., electronic records/e-mail, video/audio tapes, paper), the means by which the search was conducted (e.g., subject or chronological files, files retrievable by name or personal identifier) and any key words used in an electronic search.

(2) If the search does not locate the requested records, the Deputy Director of Policy shall so advise the requester and offer appeal rights.

(3) If the search locates the requested records, the holding organization will furnish copies of these records immediately to the FOIA office. The Deputy Director of Policy will make a determination as to the releasability of the records in consultation with the GC, the Legislative Affairs Office (if any information relates to members of Congress or their staffs) and other Agency components, as appropriate. This determination shall also state, with particularity, that a search reasonably calculated to locate responsive records was conducted and that all reasonably segregable, non-exempt information was released. The located records will be handled as follows:

(i) All exempt records or portions thereof will be withheld and the requester so advised along with the statutory basis for the denial; the volume of material being denied, unless advising of the volume would harm an interest protected by exemption (see 5 U.S.C. 552); and the procedure for filing an appeal of the denial.

(ii) All segregable, non-exempt records or portions thereof will be forwarded promptly to the requester.

(j) Records or portions thereof originated by other agencies or information of primary interest to other agencies found in NSA/CSS records will be handled as follows:

(1) The originating agency's FOIA Authority will be provided with a copy of the request and the stated records.

(2) The requester will be advised of the referral, except when notification would reveal exempt information.

(k) Records or portions thereof originated by a commercial or business submitter and containing information that is arguably confidential commercial or financial information as defined in Executive Order 12600 (52 FR 23781, 3 CFR 199 Comp., p. 235) will be handled as follows:

(1) The commercial or business submitter will be provided with a copy of the records as NSA/CSS proposes to release them, and the submitter will be given an opportunity to inform the FOIA office about its objections to disclosure in writing.

(2) The Deputy Director of Policy or his/her designee shall review the submitter's objections to disclosure and, if N5P decides to release records or portions thereof to the requester, provide the submitter with an opportunity to enjoin the release of such information.

(l) Records may be located responsive to an FOIA request which contain portions not responsive to the subject of the request. The non-responsive portions will be processed as follows:

(1) If the information is easily identified as releasable, the non-responsive portions will be provided to the requester.

(2) If additional review or coordination with other NSA/CSS elements or other government agencies or entities is required to determine the releasability of the information, and the processing of the material would be facilitated by excluding those portions from review, the requester should be consulted regarding the need to process those portions. If the requester states that he is interested in the document in its entirety, including those portions not responsive to the subject of his request, the entire document will be considered responsive and reviewed accordingly.

(3) If the conditions as stated in paragraph (l)(2) of this section pertain, but it not a simple matter to contact and/or reach an agreement with the requester, the non-responsive portions will be whited-out or otherwise marked to differentiate the removal of non-responsive material from the removal of exempt portions. The requester shall be advised that portions were removed as non-responsive. In addition, he/she shall be given an indication of the manner in which those portions would be treated if responsive (e.g., the information would be protected by exemptions, would require extensive review/consultation). Such a response is not considered an adverse determination. If the requester informs the FOIA office of his interest in receiving the "white-out" portions, the request will be placed in the same location within the processing queue as the original request and those portions of the documents will be processed.

(4) If the requester states in his initial request that he/she wants all non-responsive portions contained within documents containing responsive information, then the documents will be processed in their entirety.

(m) Any person advised of an adverse determination will be notified of the right to appeal within 60 days of the date of the response letter and that the appeal must be addressed to the NSA/CSS Appeal Authority, National Security Agency, Ft. George G. Meade, MD 20755-6000. The following actions are considered adverse determinations:

(1) Denial of records or portions of records;

(2) Inability of NSA/CSS to locate records;

(3) Denial of a request for the waiver or reduction of fees;

(4) Placement of requester in a specific fee category;

(5) Amount of estimate of processing costs;

(6) Denial of a request for expeditious treatment; and

(7) Non-agreement regarding completion date of request.

(n) The GC or his designee will process appeals and make a recommendation to the Appeal Authority.

(1) Upon receipt of an appeal regarding the denial of information or the inability of the Agency to locate records, the GC or his designee shall review the record and determine whether the denial was proper and/or whether an adequate search was conducted for responsive material, and make other determinations and recommendations as appropriate.

(2) If the GC or his/her designee determines that additional information may be released, the information shall be made available to the requester within 20 working days from receipt of the appeal. The conditions for responding to an appeal for which expedited treatment is sought by the requester are the same as those for expedited treatment on the initial processing of a request (see paragraph (e) of this section).

(3) If the GC or his/her designee determines that the denial was proper, the requester must be advised within 20 days after receipt of the appeal that the appeal is denied. The requester likewise shall be advised of the basis for the denial and the provisions for judicial review of the Agency's appellate determination.

(4) If a new search for records is conducted and produces additional material, the additional records will be forwarded to the Deputy Director of Policy, as the IDA, for review. Following his/her review, the Deputy Director of Policy will return the material to the GC with his/her recommendation for release or withholding. The GC will review the material on behalf of the Appeal Authority, and the Appeal Authority will make the release determination. Upon denial or release of additional information, the Appeal Authority will advise the requester that more material was located and that the IDA and the Appeal Authority each conducted an independent review of the documents. In the case of denial, the requester will be advised of the basis of the denial and the right to seek judicial review of the Agency's action.

(5) When a requester appeals the absence of a response to a request

within the statutory time limits, the GC shall process the absence of a response as it would denial of access to records. The Appeal Authority will advise the requester of the right to seek judicial review.

(6) Appeals will be processed using the same multi-track system as initial requests. If an appeal cannot be responded to within 20 working days, the requirement to obtain an extension from the requester is the same as with initial requests. The time to respond to an appeal, however, may be extended by the number of working days (not to exceed 10) that were not used as additional time for responding to the initial request. That is, if the initial request is processed within 20 working days so that the extra 10 days of processing which an agency can negotiate with the requester are not used, the response to the appeal may be delayed for that 10 days (or any unused portion of the 10 days).

§ 299.6 Fees.

(a) Upon receipt of a request, N5P shall evaluate the request to determine the fee category or status of the requester, as well as the appropriateness of a waiver or reduction of fees if requested. There are no fees associated with a Privacy Act request, except as stated in NSA/CSS Regulation 10-35, Implementation of the Privacy Act of 1974. If fees are assessable, a search cost estimate will be sent to the Key Component(s) expected to maintain responsive records. If N5P assigns a fee category to a requester which differs from that claimed by the requester or determines that a waiver or reduction of fees is not appropriate, N5P shall notify the requester of this discrepancy and of the estimated cost of processing the request. The requester will be given 30 days to provide additional substantiation for the fee status claimed or for a fee waiver or reduction. The requester will be advised that his/her request will not be processed until the discrepancy over the fee category, fee waiver or reduction, or both are resolved. He/she will also be advised of his/her right to appeal N5P's determination. A fee waiver or reduction will be granted or denied in accordance with DoD 5400.7-R and based on information provided by the requester. If the requester does not respond to N5P's initial notification of the discrepancy in fee assessment within the 30 days, N5P's determination about that requester's fee status shall be final.

(b) Fees will reflect only direct search, review (in the case of commercial requesters) and duplication costs,

recovery of which are permitted by 5 U.S.C. 552. Fees shall not be used to discourage requesters.

(c) No minimum fee may be charged.

(d) Fees will be based on estimates provided by appropriate organizational focal points. Upon completion of the processing of the request and computation of all assessable fees, the request will be handled as follows:

(1) If the actual costs exceed the estimated costs, the requester will be notified of the remaining fees due. Non-exempt information will be provided to the requester and additional fees will be collected upon the requester's agreement to pay the amount in excess. If the requester refuses to pay the amount in excess, processing of the request will be terminated with notice to the requester.

(2) If the actual costs are less than estimated fees which have been collected from the requester, the non-exempt information will be released and the FOIA office will advise Finance and Accounting Office of the need to refund funds to the requester.

(e) Fees for manual searches, review time and personnel costs associated with computer searches will be computed according to the following schedule:

Type	Grade	Hourly rate
(1) Clerical	E9/GS8 and below	\$12
(2) Professional	O1-O6/GS9-GS15	25
(3) Executive	O7/SCE/SLE/SLP	45

(f) Fees for machine time involved in computer searches shall be based on the direct cost of retrieving information from the computer, including associated input/output costs.

(g) Search costs for audiovisual documentary material will be computed as for any other record. Duplication costs will be the actual, direct cost of reproducing the material, including the wage of the person doing the work. Audiovisual materials provided to a requester need not be in reproducible format or quality.

(h) Duplication fees will be assessed according to the following schedule:

Type	Cost per page
(1) Office Copy	\$.15
(2) Microfiche25
(3) Printed Material02

§ 299.7 Exempt records.

(a) Records meeting the exemption criteria of 5 U.S.C. 552 need not be published in the **Federal Register**, made available in a reading room, or provided in response to requests made under 5 U.S.C. 552.

(b) The following nine FOIA exemptions may be used by the NSA/CSS to withhold information in whole or in part from public disclosure when disclosure would cause foreseeable harm to an interest protected by the exemption. Discretionary releases will be made whenever possible.

(1) Records specifically authorized under criteria established by an Executive Order to be kept secret in the interest of national defense or foreign policy and which are in fact properly classified pursuant to such Executive Order.

(2) Records relating solely to the internal personnel rules and practices of an agency.

(3) Records which concern matters that a statute specifically exempts from disclosure, so long as the statutory exemptions permit no discretion on what matters are exempt; or matters which meet criteria established for withholding by the statute, or which are particularly referred to by the statute as being matters to be withheld. Examples of such statutes are:

(i) The National Security Agency Act of 1959 (Public Law 86-36 Section 6);

(ii) 18 U.S.C. 798;

(iii) 50 U.S.C. 403-3(c)(6);

(iv) 10 U.S.C. 103; and

(v) 10 U.S.C. 2305(g).

(4) Records containing trade secrets and commercial or financial information obtained from a person and privileged or confidential.

(5) Interagency or intra-agency memoranda or letters that would not be available by law to a party other than an agency in litigation with the agency.

(6) Personnel and medical files and similar files, the disclosure of which, would constitute a clearly unwarranted invasion of personal privacy.

(7) Investigatory records compiled for law enforcement purposes, but only to the extent that the production of such records:

(i) Could reasonably be expected to interfere with enforcement proceedings;

(ii) Would deprive a person of the right to a fair trial or to an impartial adjudication;

(iii) Could reasonably be expected to constitute an unwarranted invasion of personal privacy of a living person, including surviving family members of an individual identified in such a record;

(iv) Could reasonably be expected to disclose the identity of a confidential

source, including a source within NSA/CSS, state, local, or foreign agency or authority, or any private institution which furnishes the information on a confidential basis, or could disclose information furnished from a confidential source and obtained by a criminal law enforcement authority in a criminal investigation or by an agency conducting a lawful national security intelligence investigation;

(v) Would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law; and

(vi) Could reasonably be expected to endanger the life or physical safety of any individual.

(8) Records contained in or related to examination, operating, or condition reports prepared by, on behalf of, or for the use of an agency responsible for the regulation or supervision of financial institutions.

(9) Geological and geophysical information and data, including maps, concerning wells.

(c) Information which has not been given a security classification pursuant to the criteria of an Executive Order, but which may be withheld from the public for one or more reasons cited in this section, shall be considered as being "For Official Use Only" (FOUO). No other material shall be considered or marked FOUO.

Dated: September 16, 1998.

L.M. Bynum,

Alternate OSD Federal Register Liaison Officer, Department of Defense.

[FR Doc. 98-26144 Filed 9-29-98; 8:45 am]

BILLING CODE 5000-04-M

ENVIRONMENTAL PROTECTION AGENCY

40 CFR Parts 52, 97 and 98

[FRL-6170-4]

Findings of Significant Contribution and Rulemakings on Section 126 Petitions and Federal Implementation Plans for Purposes of Reducing Interstate Ozone Transport

AGENCY: Environmental Protection Agency (EPA).

ACTION: Notice of proposed rulemaking (NPR); availability of proposed rule text, request for comment, and public hearing.

SUMMARY: In accordance with section 126 of the Clean Air Act (CAA), EPA is

proposing action on eight petitions filed individually by eight Northeastern States seeking to mitigate what they describe as significant transport of one of the main precursors of ground-level ozone, nitrogen oxides (NO_x), across State boundaries. Each petition specifically requests that EPA make a finding that NO_x emissions from certain stationary sources significantly contribute to ozone nonattainment problems in the petitioning State.

As described in a longer, more detailed section 126 proposed rulemaking entitled, "Findings of Significant Contribution and Rulemaking on Section 126 Petitions for Purposes of Reducing Interstate Ozone Transport" (hereafter referred to as the longer section 126 NPR), which was signed at the same time as this NPR, EPA is proposing to find that portions of certain petitions are technically meritorious under the test applicable under section 126. The EPA is proposing that the technically meritorious portions of the petitions be deemed granted or denied at certain later dates pending certain actions by the States and EPA regarding State submittals in response to the final NO_x State implementation plan call (NO_x SIP call) that EPA is issuing. The longer section 126 NPR describes the schedule and conditions under which applicable final findings on the petitions would be automatically triggered and proposes the control requirements that would apply to sources in the source categories for which a final finding is ultimately granted. The EPA is also proposing to deny certain petitions, in whole or in part. The longer section 126 NPR, which includes the statement of basis and purpose for the section 126 rulemaking proposal, is included in the rulemaking docket and will be published shortly in the **Federal Register**.

In accordance with section 110(c) of the CAA, EPA is also proposing Federal implementation plans (FIPs) that may be needed if any State fails to revise its SIP to comply with the final NO_x SIP call. The final NO_x SIP call includes emissions budgets which reflect elimination of specified amounts of NO_x emissions for the purposes of reducing NO_x and ozone transport in the eastern half of the Nation.

As described in a longer, more detailed FIP NPR entitled, "Federal Implementation Plans to Reduce Regional Transport of Ozone" (hereafter referred to as the longer FIP NPR), which was signed at the same time as this NPR, if a State fails to respond to the NO_x SIP call by not adopting and submitting to EPA a complete SIP revision by September 24, 1999, EPA

intends to take final rulemaking action on the FIP immediately thereafter. In addition, if a State submits a SIP that EPA does not find approvable, EPA intends to promulgate a FIP concurrently with finalization of its disapproval of the SIP. The longer FIP NPR, which includes the statement of basis and purpose for the FIP rulemaking action, is included in the rulemaking docket and will be published shortly in the **Federal Register**.

This short proposal on the section 126 petitions and FIPs announces the availability of the longer section 126 and FIP NPRs, which include regulatory text, requests comments on the short and long proposals, and announces the public hearing dates.

DATES: The EPA is establishing a 60-day comment period for the section 126 and the FIP NPRs, ending on November 30, 1998. Comments must be postmarked by the last day of the comment period and sent directly to the Docket Office listed in **ADDRESSES** (in duplicate form if possible). The public hearings for the section 126 and FIP proposals will be held on October 28 and 29, 1998 in Washington, DC. Please refer to **SUPPLEMENTARY INFORMATION** for additional information on the comment period and public hearing.

ADDRESSES: Comments may be submitted to the Air and Radiation Docket and Information Center (6102), Attention: Docket No. A-97-43 for the section 126 proposal and Docket No. A-98-12 for the FIP proposal, U.S. Environmental Protection Agency, 401 M Street SW, room M-1500, Washington, DC 20460, telephone (202) 260-7548. Comments and data may also be submitted electronically by following the instructions under **SUPPLEMENTARY INFORMATION** of this document. No confidential business information (CBI) should be submitted through e-mail.

The public hearings will be held at the EPA Auditorium, 401 M St., SW., Washington, DC.

Documents relevant to this action are available for inspection at the Docket Office, at the above address, between 8:00 a.m. and 4:00 p.m., Monday through Friday, excluding legal holidays. A reasonable copying fee may be charged for copying.

FOR FURTHER INFORMATION CONTACT: General questions concerning the section 126 proposal should be addressed to Carla Oldham, Office of Air Quality Planning and Standards, Air Quality Strategies and Standards Division, MD-15, Research Triangle Park, NC, 27711, telephone (919) 541-3347.