



Quick Start Guide
For Internal NRC Staff only

Electronic Submission Instructional Guide



April 2, 2008

Revision 0

Table of Contents

1. INTRODUCTION	3
2. FIRST TIME USER REQUIRED ACTIONS.....	3
2.1 INSTALL THE WORKPLACE FORMS™ VIEWER FOR YOUR WEB BROWSER.....	3
2.2 DIGITAL ID CERTIFICATE.....	7
2.2.1 Requesting a PIN	7
2.2.2 Requesting a Digital ID Certificate	7
3. PARTICIPATING IN THE NRC HEARING PROCESS (FOR ADJUDICATORY HEARINGS ONLY).....	13
4. PREPARING DOCUMENTS FOR SUBMISSION.....	14
4.1 FOR ADOBE ACROBAT DISTILLER 6.0, 7.0 & 8.0 PROFESSIONAL – ADDING A NEW PROFILE.....	16
5. SUBMITTING DOCUMENTS TO THE NRC	17
5.1 ADJUDICATORY SUBMITTALS.....	20
5.1.1 Removing Documents from a “Completed” Adjudicatory Hearing Submission	31
5.2 NON-ADJUDICATORY (GENERAL) SUBMITTALS.....	31
5.2.1 Author Information	33
5.2.2 Addressee Information	34
5.2.3 File Information	35
5.2.4 Signature.....	39
5.2.5 Submit	41
6. REVIEWING SUBMITTED ADJUDICATORY DOCUMENTS VIA E- MAIL NOTIFICATION	44
7. REVIEWING DOCUMENTS IN THE ELECTRONIC HEARING DOCKET (EHD)	45
Appendix A: Quick Start Guide (for Advanced Users).....	48

1. Introduction

This document outlines step-by-step instructions for successfully submitting documents electronically to the NRC via the Electronic Information Exchange (EIE) process, which is available on the NRC's "Electronic Submittals" Web page (by means of the "Adjudicatory Documents" link or the "General Submissions" link found under the "Submit Documents" section).

If users are experienced in submitting documents electronically, proceed to [Appendix A, Quick Start Guide for Advanced Users](#).

2. First Time User Required Actions

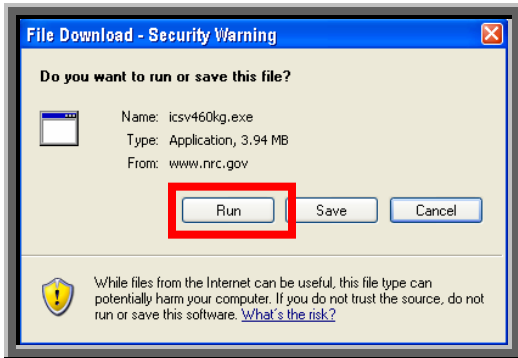
In order to submit documents to the NRC, first time users must successfully complete [Sections 2.1](#) and [2.2](#) (which include [Sections 2.2.1](#) and [2.2.2](#)). These are one-time, nonrecurring steps.

Have you performed the first time user required actions?

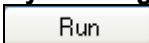
Yes See [Section 3](#), for Adjudicatory Hearings only or [Section 4](#) (for preparing the document for submission).

No Complete [Sections 2.1](#) and [2.2](#) (which include [Sections 2.2.1](#) and [2.2.2](#)).

2.1 Install the Workplace Forms™ Viewer for your Web Browser



From the NRC's "Electronic Submittals / Install the Workplace Forms™ Viewer for Your Web Browser" website (<http://www.nrc.gov/site-help/e-submittals/install-viewer.html>), click on the Download the Workplace Forms™ Viewer install program.

A **File Download – Security Warning** window will appear. Click on the  button.



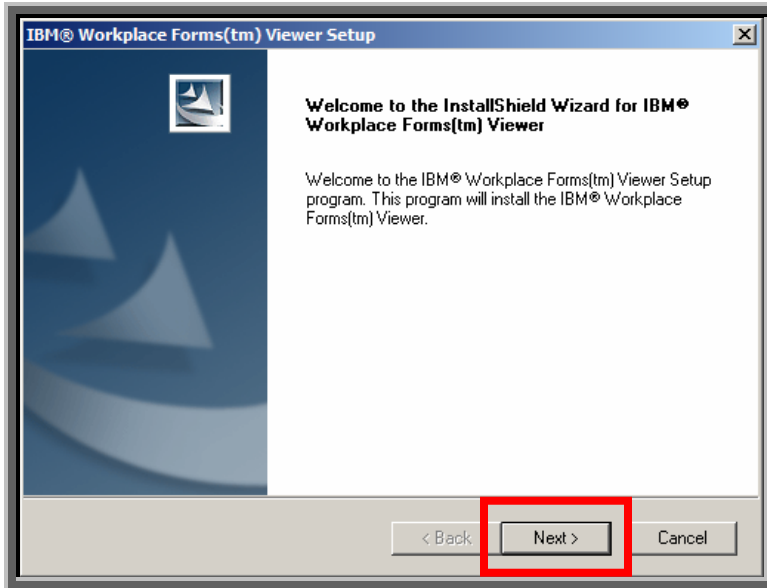
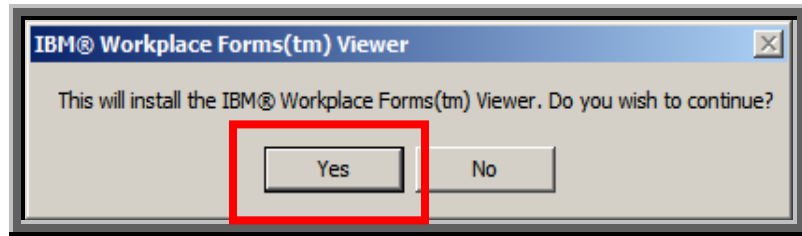
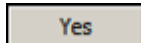
An **Internet Explorer – Security Warning** window will open.

Click on the  button.



An IBM Workplace Forms(tm) Viewer window will appear.

Click on the



The IBM® Workplace Forms(tm) Viewer Setup window will appear.

Click on the



button.

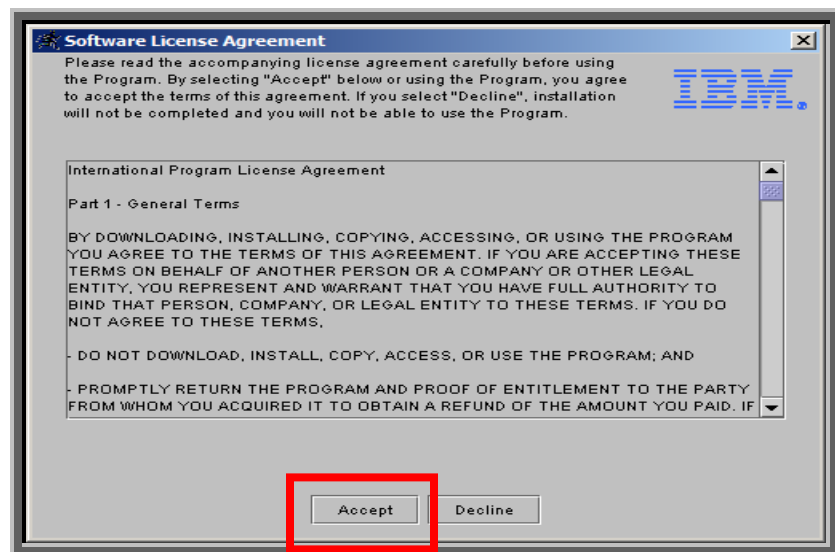


The Software License Agreement window will appear. Read the agreement.

Click on the

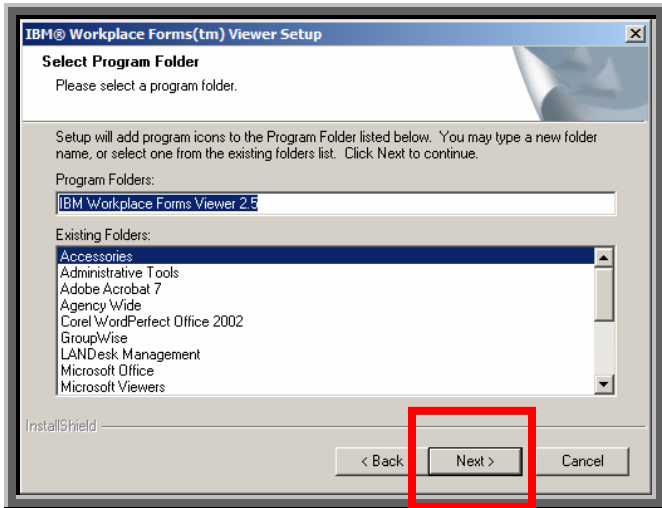
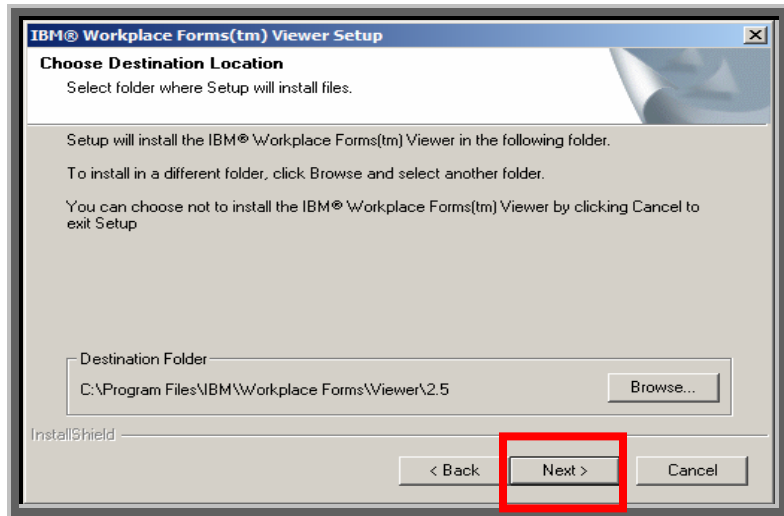


button.



The **Choose Destination Location** window will then appear.

Accept the default destination folder (C:\Program Files\IBM\Workplace Forms\Viewer\2.5) by clicking on the **Next >** button.



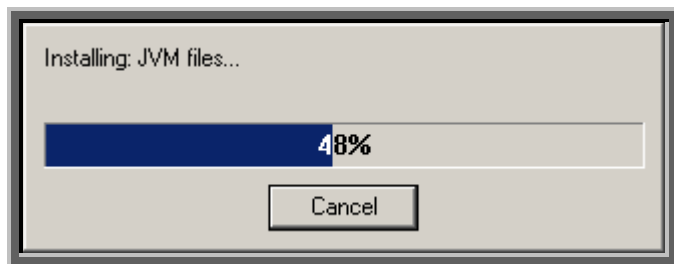
A **Select Program Folder** window will appear.

Accept the default (*Accessories*) within the Existing Folders, by clicking on the **Next >** button.



A status bar will appear to alert you of installation in progress.

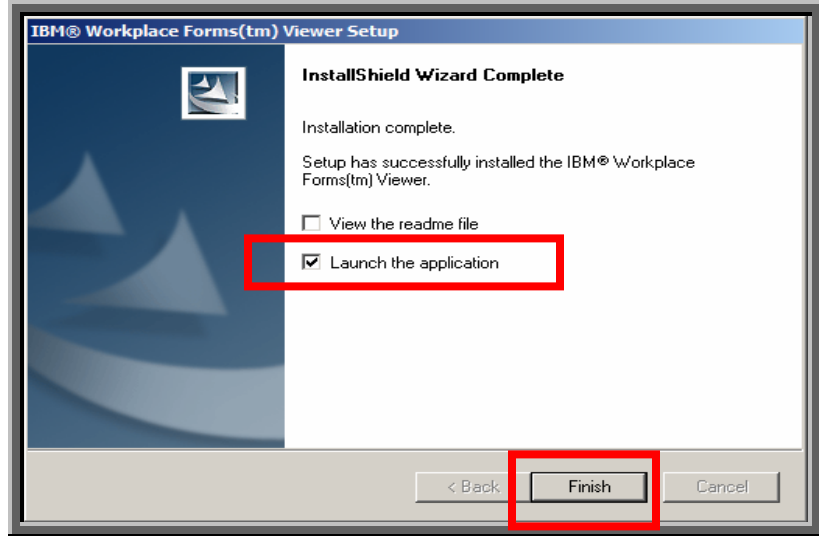
Allow this to run.



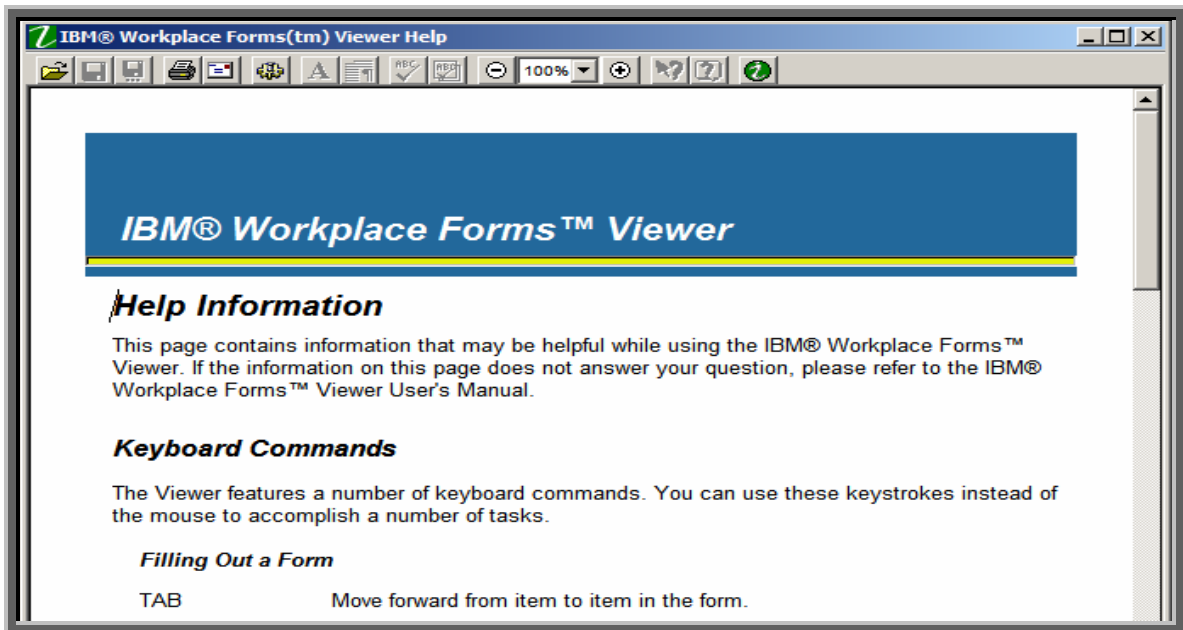
When the installation is complete, the **InstallShield Wizard Complete** window appears:

To use the **Workplace Forms™ Viewer**, ensure “Launch the application” is selected (☑).

Click on the **Finish** button.



A **Help Information** window appears:



Review the information for helpful tips about the use of the **Workplace Forms™ Viewer**.

Close the **Help Information** window by clicking on the **Close** button (✕), located in the upper right hand corner of the screen.

The Viewer has now been successfully installed. The EIE application, which is available on the NRC’s “Electronic Submittals” Web page (<http://www.nrc.gov/site-help/e-submittals.html>) will invoke the viewer as required.

2.2 Digital ID Certificate

2.2.1 Requesting a PIN

Prior to starting the Digital ID enrollment process, you must have a PIN code since this is a required field in the electronic enrollment form. Notify your IT Coordinator who must make a request to the CSC Helpdesk. After that, you must present your NRC issued badge to the Helpdesk and sign an end-user agreement. The CSC will then issue you a PIN code to enroll for your certificates. The PIN is only valid for seven days; therefore, if the certificate is not obtained within the seven day period, the user must begin the process of obtaining a certificate over. The remaining steps will be completed from your desktop via the web browser

2.2.2 Requesting a Digital ID Certificate



You must complete the enrollment process to obtain a Digital ID from your NRC workstation!



After receiving your PIN, to obtain a certificate, open Internet Explorer and access following URL: <https://www.nrc.gov/certificates>.

The NRC's Internal Staff Digital ID Center webpage will appear.

NOTE: Answer "Yes" if prompted to install plug-ins from Microsoft, VeriSign, or Citrix.

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ENROLL...

- [for Encryption and Signing Digital ID](#)
- [for Encryption Digital ID only](#)
- [for Signing Digital ID only](#)

Under **ENROLL...**, click on: [for Encryption and Signing Digital ID](#)

The Enrollment form will be displayed:



Enrollment

[Help with this Page](#)

Complete the Enrollment form, populating the following required fields: **First Name, Last Name, Your E-mail Address, PIN, and Challenge Phrase.**

Helpful Tips:

- ◆ When entering **Your E-mail Address**, ensure to correctly enter your **NRC E-mail Address** before submitting your request.
- ◆ Document the **Challenge Phrase** and keep it in a secure location. You will need this phrase to use self-service features such as certificate renewal or certificate revocation.

Complete Enrollment Form

Enter your Digital ID information

Fill in all required fields. Fields marked with an asterisk (*) are included with your Digital ID and are viewable in the certificate's details.

First Name: * (required) Nickname or middle initial allowed (Example: Jack B.)	<input type="text"/>
Last Name: * (required) (example -- Doe)	<input type="text"/>
Your E-mail Address: * (required) (example -- xyz@nrc.gov)	<input type="text"/>
PIN: (required)	<input type="text"/>

Challenge Phrase

The Challenge Phrase is a unique phrase that protects you against unauthorized action on your Digital ID. Do not share it with anyone. *Do not lose it.* You will need it when you want to revoke or renew your Digital ID.


Enter Challenge Phrase: (required) Do not use any punctuation.	<input type="text"/>
--	----------------------

Digital ID Subscriber Agreement

By submitting this enrollment form or using an NRC Digital ID, you are confirming that you have read and signed the NRC Staff Digital Certificate Subscriber Agreement.

When you submit this Digital ID application by clicking **Submit**, your browser will generate the public and private keys for your Signing Digital ID. The browser will also prompt you to set up a password to protect your private key. Your private key is a secret file that you will use to digitally sign e-mail. Your public key will become part of your Signing Digital ID; your associates can use it to verify your digital signature.

Your Signing private key and password are stored on your computer and are not transmitted to the Certification Authority that creates your Digital ID. Your Encryption private key is transferred to you and is also held in escrow by the NRC PKI.

 If all the information above is correct, click **Submit** to continue.

<input type="button" value="Submit"/>	<input type="button" value="Cancel"/>
---------------------------------------	---------------------------------------

Copyright © 1998-2002, VeriSign, Inc. All rights reserved.



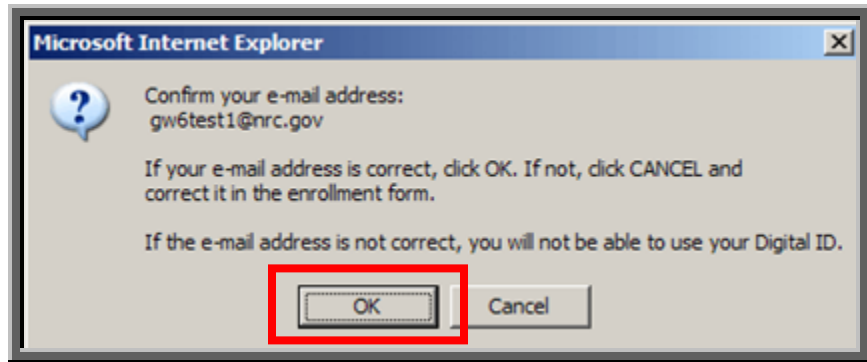
After verifying the fields were populated correctly, scroll to the bottom of the screen, read the

subscriber agreement and click on the

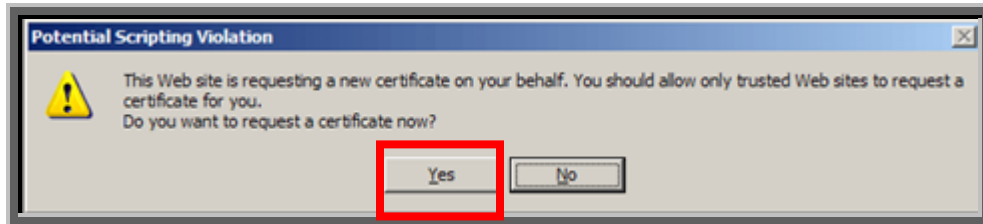
Submit

button to submit your application.

When prompted to confirm your email address, review the information for accuracy and click on the button.



NOTE: If the information is incorrect, click on the button to restart the process.



When prompted regarding requesting a certificate, click on the button to request the certificate. This is the first of two certificates you will receive during the enrollment process.

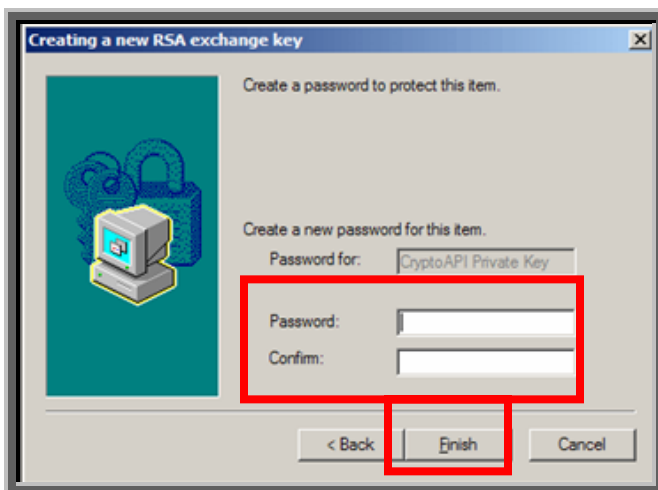
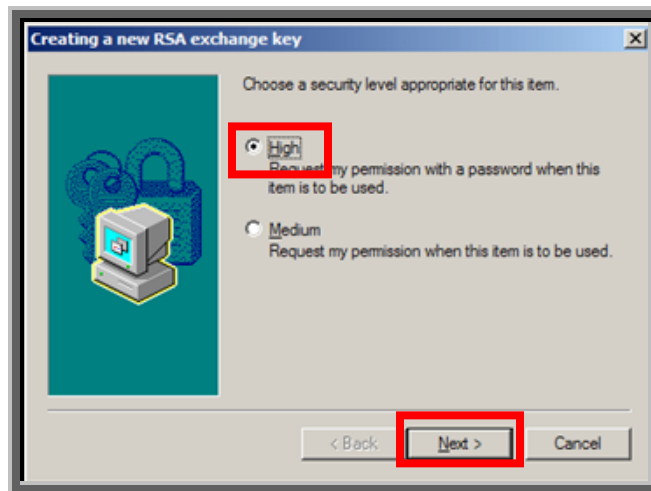


When prompted to create the RSA exchange key, click on the button.




Select: 

Then click on the  button to continue.



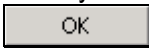
Create and enter a **Password** for this key (re-enter the password within the **Confirm** field).

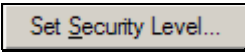
Click on the  button.

Note: Commit to memory this password as it will be necessary to periodically enter the password at various times during the life of the certificate. If the password is forgotten, it cannot be reset. A new certificate must be requested.

Do **NOT** use the **Remember Password** option. Whenever this certificate is used by the system, you will be prompted to enter this password.



Verify that the Security Level is now set to **High** and click  to continue.

NOTE: If not, click on the  button, then repeat the steps on this page.

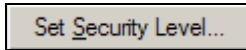


While the certificates are being generated, a status message, is displayed.

Please wait while the Digital ID is being issued ...


NOTE: Do not close your browser during this time or you will not receive your Digital ID. Also, do not press **Stop** or **Refresh**.

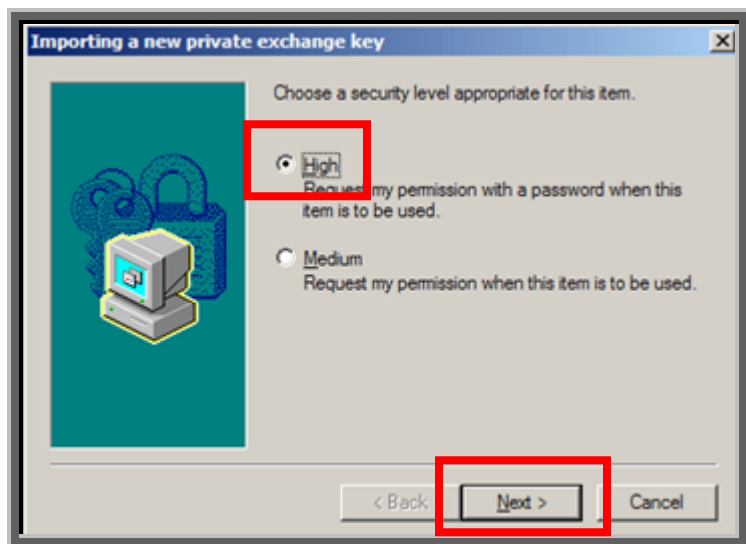


When prompted to create *another* RSA exchange key, this is for your *second* certificate. Click on the  button.




Select: 

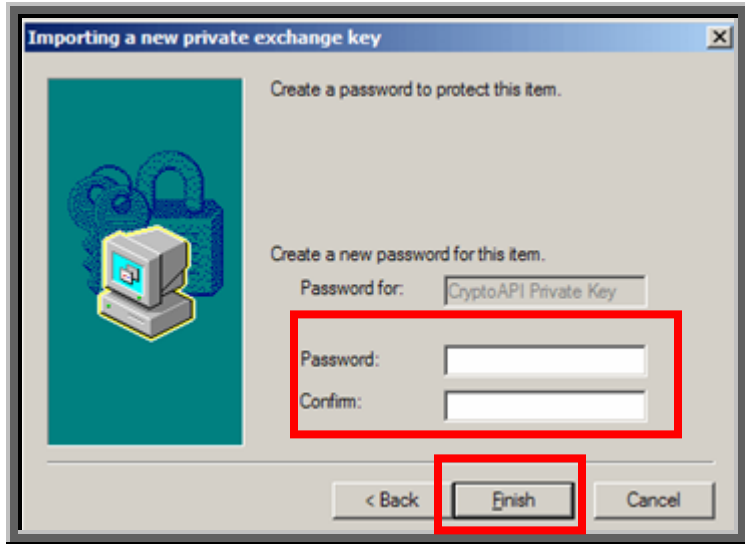
Then click on the  button to continue.



Create and enter a **Password** for this key (re-enter the password within the **Confirm** field).

Click on the  button.

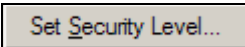
Note: Commit to memory this password as it will be necessary to periodically enter the password at various times during the life of the certificate. If the password is forgotten, it cannot be reset. A new certificate must be requested.

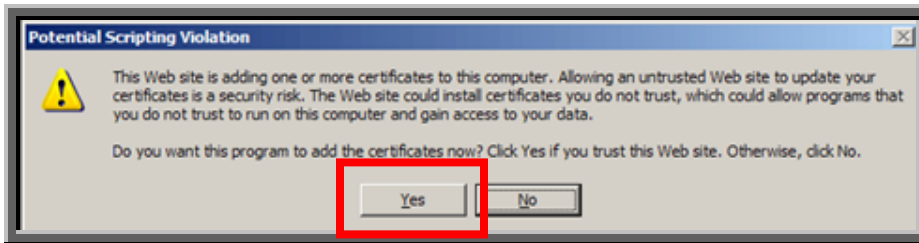


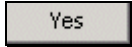
Do **NOT** use the **Remember Password** option. Whenever this certificate is used by the system, you will be prompted to enter this password.



Verify that the Security Level is now set to **High** and click  to continue.

NOTE: If not, click on the  button, then repeat the steps beginning with the last step on [Page 11](#).



When prompted about requesting a certificate, click on the  button.

If both certificates were successfully installed, a message displays stating your digital IDs are installed. If not, note the error code at the bottom of the Web page and attempt to enroll again. If you still experience problems enrolling, call the Customer Support Center for assistance.

NOTE: For additional guidance related to the digital ID, see the “**NRC’s Remote Access System User Documentation**” Guide.



Note: To locate the detailed step-by-step instructions on exporting a certificate from one computer and importing a certificate to another computer, from the Electronic’s Submittals webpage (<http://www.nrc.gov/site-help/e-submittals.html>), select the [NRC’s Digital IDs Guide](#) link (located on the left hand side of the webpage).

3. Participating in the NRC Hearing Process (For Adjudicatory Hearings Only)

The process for participating in an NRC adjudicatory hearing generally begins with individuals or entities reviewing a Federal Register notice announcing the opportunity to petition to be involved as a party or interested governmental entity in a particular hearing regarding an NRC licensing or enforcement proceeding. Specific instructions will be provided within the Federal Register announcement on how to be a party to a hearing.

To review the Federal Register, first navigate to www.nrc.gov, which is the NRC’s Website.



Public Meeting Schedule
Commission Schedule
Conferences & Symposia
Documents for Comment
Brochures & Fact Sheets
Involving Stakeholders
Info Quality Guidelines
Rulemaking Process
Licensing
Enforcement
Hearing Process
Hearing Applications

Place the cursor over the **Public Meetings & Involvement** button, located on the right hand side of the screen. A drop-down list of options will be presented. Scroll down and select **Hearing Applications**.

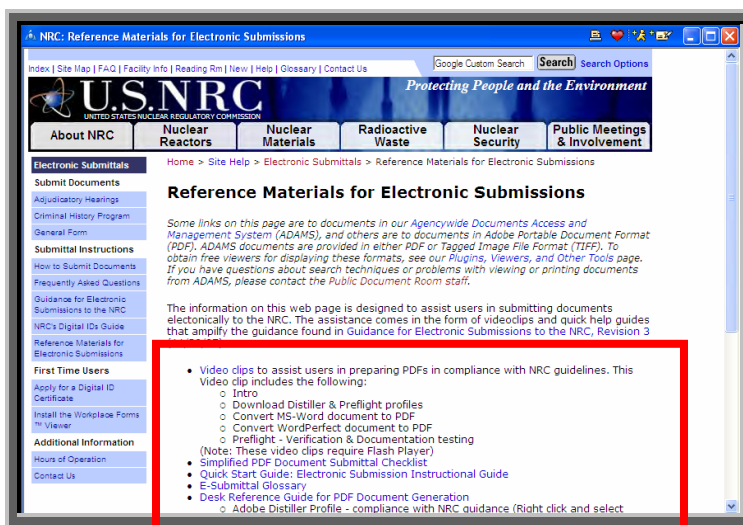
The “Hearing Opportunities and License Applications” webpage (<http://www.nrc.gov/about-nrc/regulatory/adjudicatory/hearing-license-applications.html>) will be displayed, which includes a list of Federal Register hearing opportunity notices for current major NRC licensing and enforcement proceedings.

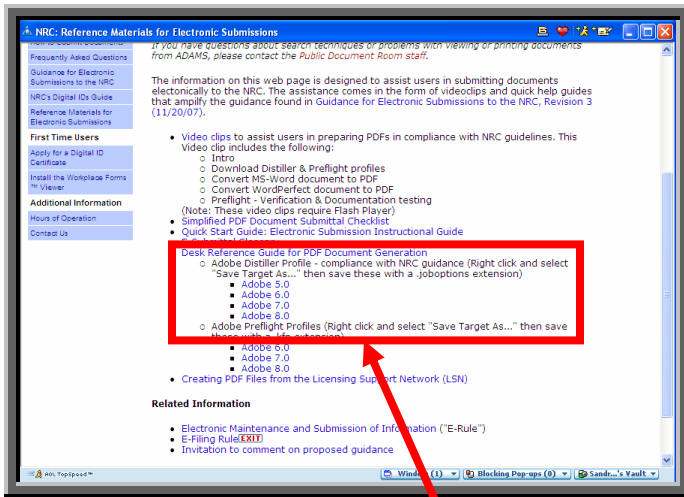


4. Preparing Documents for Submission

As stated in the NRC’s guidance document for electronic submissions, electronic documents should be submitted in Portable Document Format (PDF). The document “Guidance for Electronic Submissions to the NRC” along with additional instructions on PDF settings, as well as PDF generation, can be found on the NRC’s “Electronic Submittals” Web page (<http://www.nrc.gov/site-help/e-submittals.html>) under the heading “Submittal Instructions”. Click on the “Reference Materials for Electronic Submissions” link.

The instructional information provided on this website is available in PDF documents and on video clips to assist users in preparing PDFs that comply with NRC guidelines.





Additionally, there are pre-configured PDF-Distiller profiles for Adobe 5/6/7/8 available on the “Electronic Submittals” Web page that can be used to ensure PDF-rendered documents comply with NRC guidelines.

- o Adobe Distiller Profile - compliance with NRC guidance (Right click and select "Save Target As..." then save these with a .joboptions extension)
 - Adobe 5.0
 - Adobe 6.0
 - Adobe 7.0
 - Adobe 8.0

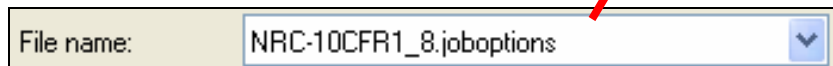
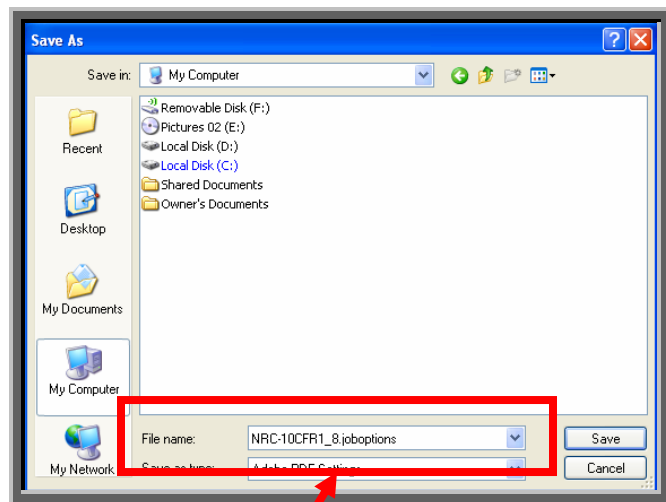


Simply right mouse click on the applicable Adobe version joboptions and select “Save Target As...”.

Save to the following file path location:

C:\Program Files\Adobe\Acrobat <x.0>\Distillr\Settings

Ensure the file extension is: **.joboptions**.



Do you have Adobe Acrobat Distiller 6.0, 7.0 or 8.0 Professional?

Yes See [Section 4.1](#), Adding a New Profile

No See [Section 5](#), Submitting Documents to the NRC

4.1 For Adobe Acrobat Distiller 6.0, 7.0 & 8.0 Professional – Adding a New Profile

To add a new profile, follow these instructions:

Launch Acrobat Distiller (either from **Start/Program/Acrobat Distiller 6.0/7.0/8.0** or select **Advanced/Acrobat Distiller** from Adobe Acrobat 6.0/7.0/8.0 Professional).

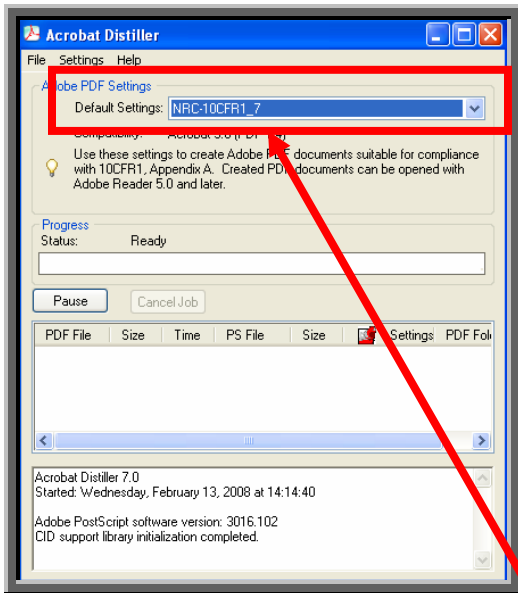
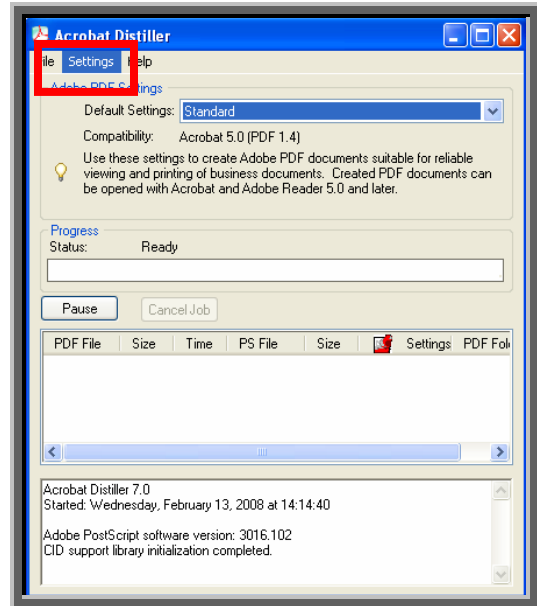
The **Acrobat Distiller** window pops up. From the main menu, click on **Settings** and from the drop-down menu, select:

Add Adobe PDF Settings...


An **Add Adobe PDF Settings** dialogue box will appear.

Navigate to the file path location of the saved Adobe version joboptions (C:\Program Files\Adobe\Acrobat <x.0>\Distillr\Settings). Select the new profile you have downloaded (e.g. **NRC-10CFR1_7.joboptions**), then click on

Open button.



The **Acrobat Distiller** dialogue box will reappear with the newly loaded profile as the **Default Settings** selection.

Close the dialogue box by selecting the  button.

Default Settings: **NRC-10CFR1_7**

5. Submitting Documents to the NRC

After successfully converting the document(s) to PDF using the NRC-approved settings (as discussed in [Section 4](#)), to begin the submittal process, first navigate to www.nrc.gov, which is the NRC's Website.

The screenshot shows the U.S. Nuclear Regulatory Commission (NRC) website homepage. At the top, there is a navigation bar with links for Index, Site Map, FAQ, Facility Info, Help, Glossary, and Contact Us, along with a Google Custom Search box. The main header features the NRC logo and the tagline "Protecting People and the Environment". Below the header is a horizontal menu with categories: About NRC, Nuclear Reactors, Nuclear Materials, Radioactive Waste, Nuclear Security, and Public Meetings & Involvement. On the left side, there is a vertical menu with options: Employment (NRC #1), Report a Safety Concern, Event Reports, News & Information, Electronic Reading Room, Business with NRC, For the Record, and Budget. The "Business with NRC" option is highlighted with a red box, and its dropdown menu is open, showing options: Contracting, Electronic Submittals, FOIA Requests, License Fees, and NRC Forms. A red arrow points from the "Electronic Submittals" option in the dropdown to a larger, detailed view of the dropdown menu shown below the screenshot. The main content area includes a photo of NRC staff, a "Key Topics" section with links to Emergency Preparedness, Irradiated Gemstones, Naturally-Occurring and Accelerator-Produced Radioactive Material (NARM) Toolbox, New Reactor Licensing, Radiation Protection, and Reactor License Renewal, and a "News Releases and Speeches" section dated February 13, 2008, with a link to "Browns Ferry Unit 1 Nulant to Receive Additional NRC Oversight".

This image shows a detailed view of the "Business with NRC" dropdown menu. The menu is a vertical list of options: Contracting, Electronic Submittals, FOIA Requests, License Fees, and NRC Forms. The "Electronic Submittals" option is highlighted with a blue background.

Place your mouse cursor over the **Business with NRC** button, located on the left hand side of the screen.

A drop-down list of options will be presented. Scroll over and select **Electronic Submittals**.

The “Electronic Submittals” page will be displayed. Under the heading **Submit Documents** are links that lead to webpages where Adjudicatory and Non-Adjudicatory documents can be submitted:

The screenshot shows the U.S. Nuclear Regulatory Commission (NRC) website's "Electronic Submittals" page. The page header includes the NRC logo and navigation links. The main content area is titled "Electronic Submittals" and contains several sections:

- Submit Documents**: A section with a list of links:
 - Adjudicatory Documents - High-Level Waste, Reactors, Materials or other hearings (highlighted with a red box)
 - Non-Adjudicatory Documents
 - Criminal History
 - General Submissions (highlighted with a red box)
- Electronic Submittal System Notices**: A sidebar box containing information about Revision 1 to the Guidance for Electronic Submissions to the NRC (9/11/2007) and instructions for adjudicatory submission users.

Red arrows point from the highlighted links to explanatory text at the bottom of the page.

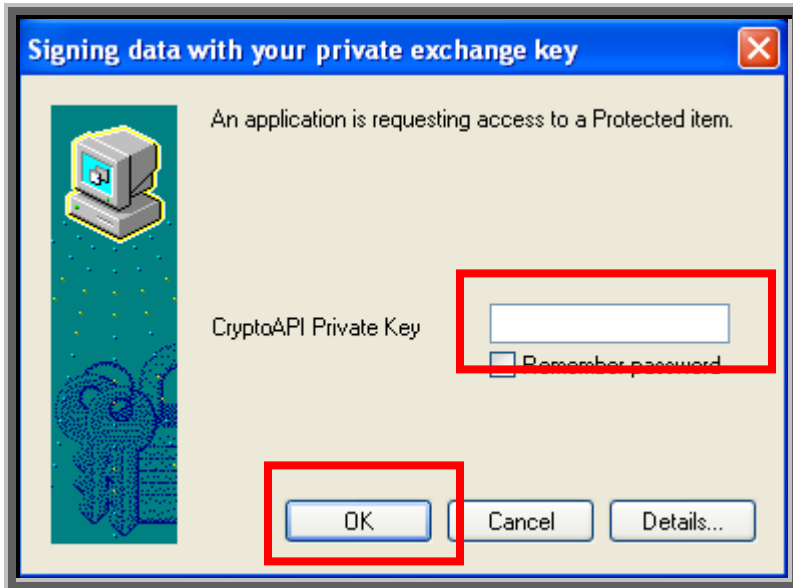
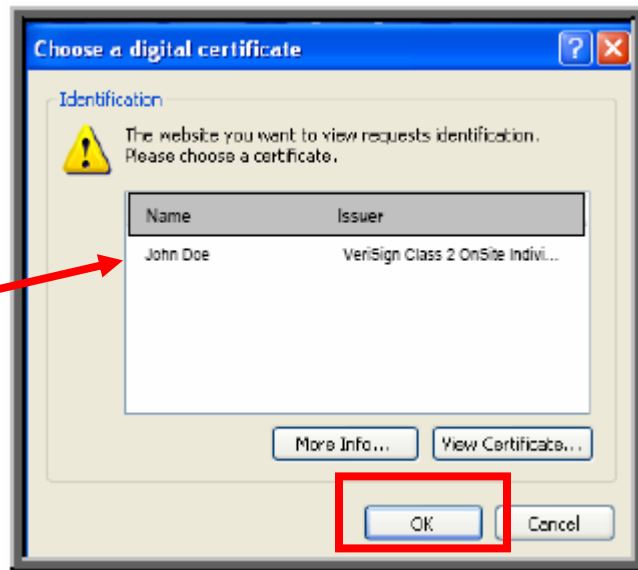
To submit documents related to High-Level Waste, Reactors, Materials and other hearings, click on the [Adjudicatory Documents](#) link.

To submit Non-Adjudicatory Documents click on the [General Submissions](#) link.

A **Choose a digital certificate** dialogue box will appear.

Click on the certificate.

Click on the button.



A **Signing data with your private exchange key** dialogue box will appear.

Within the blank **CryptoAPI Private Key** field, enter the certificate password you created when you imported the certificate.

Click on the button

Are you submitting Adjudicatory documents or Non-Adjudicatory (General) documents?

Adjudicatory Documents See [Section 5.1](#)

General Submissions See [Section 5.2](#)

5.1 Adjudicatory Submittals

The “Docket/Hearing Description Selection” screen will be displayed:

Under **A. Select Docket/Hearing Description**, click on the drop-down button.

A list of Dockets that you have access to will be displayed.

Select the appropriate docket for your submittal.

US Nuclear Regulatory Commission

Docket/Hearing # Selection

Instructions
Please select the hearing to which you are directing this submission. You must also select a filing status before submitting.

A. Select Docket/Hearing Description:
GP Test A 50-345-OLA

B. Is this submission governed by a protective order or being submitted under seal?

Yes, this submission can be viewed only by individuals selected by me from the hearing service list and/or those designated in a protective order.

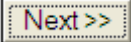
No, this submission can be viewed by all participants and members of the public.

Note: By default, the members and staff of the Atomic Safety and Licensing Board associated with this case and members of the staff of the NRC Office of the Secretary will receive notice of this submission. This is necessary for them to complete required case administration and docket management functions.

Next >>

Under **B. Is this submission governed by a protective order or being submitted under seal?**:

- ♦ If the submittal is non-public, meaning there are restrictions as to who can view the documents because it is being submitted pursuant to a protective order or in camera, click on the radio button for **Yes, this submission can be viewed only by individuals selected by me from the hearing service list and/or those designated in a protective order.**
- ♦ If the submittal is public, meaning there are no restrictions as to who can view the document, click on the radio button for **No, this submission can be viewed by all participants and members of the public.**

After making these selections, click on the  button.

Note: The instructions on this page are for non-public (i.e., protective order file (POF)) submittals only. If you have a public submittal, continue with the instructions on the next page.

US Nuclear Regulatory Commission

Electronic Service List Recipients

Instructions
Please select the name(s) of those who are to receive notice of this submission. **At a minimum, the ASLBP, Hearing Docket, and the judges assigned to this hearing must be checked**

Service List for Hearing: **GP Test A 50-345-OLA**

Last Name	First Name	Email	Notify
Crouse	Ray	rwc2@nrc.gov	<input type="checkbox"/>
Marks	Donald	ddm1@nrc.gov	<input type="checkbox"/>
Miller	Sandra	slm7@nrc.gov	<input type="checkbox"/>
Raimist	Scott	sar2@nrc.gov	<input type="checkbox"/>
Ryan	Tom	tpr@nrc.gov	<input type="checkbox"/>
Rybos	Charles	CGR@nrc.gov	<input type="checkbox"/>
Welkie	Andrew	axw5@nrc.gov	<input type="checkbox"/>

<< Back Next >>

For non-public (POF) submittals only:

The “Electronic Service List Recipients” screen will be displayed.

Select (☑) (within the **Notify** column, located on the far right portion of the screen) only those individuals who are to receive an e-mail notification of this new submittal. This allows you to control who actually receives this non-public information.

After selecting all appropriate individuals, scroll to the bottom of the screen and click on the

 button.

The Submittal Form will be displayed. All required fields that must be populated to submit documents to the NRC successfully are annotated with a red asterisk (*).

Adjudicatory Docket Submission Form - Reactors, Materials and Other Hearings

* Fields marked with a red asterisk are required fields

ASLBP Description

Author Name *

Author Affiliation *

Document Type *

Panel Judges

Service List

Document Date *

Document Title *

Party Identifier

Check if this is part of a multi-part submission

Select A Bundle

Check if this is the final part of your multi-part submission. (For example, Part 3 of 3)

THIS SUBMISSION IS SUBJECT TO LIMITED DISTRIBUTION

*

* Note : All required fields denoted by red asterisk must be completed and (1) one or more files must be attached to the form before it can be submitted

- ◆ The **ASLBP Description** field will auto-populate with the docket selected from the Docket/Hearing Description Selection screen.
- ◆ Enter the **Author's Name** for the document(s) to be submitted and the **Author's Affiliation**, which would be the organization the author is representing.
- ◆ The next selection to be made is the **Document Type**. The document type would describe what the document is, such as a transcript or a pleading. Be aware that if you are submitting numerous documents, they must all be of the same document type.
- ◆ The **Panel Judges** field will auto-populate with the individuals associated with the Docket selected, therefore, no action is required for this field.
- ◆ The button below the Panel Judges field will read if this is to be a non-public (POF) submittal. If this is to be a public submittal, the button will read: . Each time a submittal is made to the NRC from the "Electronic Submittals" webpage, by virtue of being on the service list and selected to receive the submittal, individuals associated with a particular docket will receive an e-mail message informing them of the submittal and allowing them to view the files (see [Section 6](#)).

For public submittals only:

For a public filing, there is no action required relative to this service list. However, if you would like to review the list, simply click on the [View Service List](#) button.

<< Back to Main Form

Service List Recipients

* Note: All EIE submittals are sent to the Office of the Secretary, the Atomic Safety and Licensing Board associated with this case, and the NRC's Document Processing Center

Last Name	First Name	Email
ASLBP		aslbp_hlw_adjudication@nrc.gov
Conner	Frank	fcc2@nrc.gov
Docket	Hearing	hearingdocket@nrc.gov
Fan	David	daf@nrc.gov
Johnson	Sesin	saj2@nrc.gov
Miller	Sandra	slm7@nrc.gov
OCAAMAIL	OCAAMAIL	OCAAMAIL@NRC.GOV
Ryan	Tom	tpr@nrc.gov

When the review of the service list is complete, click on the **<< Back to Main Form** button located at the upper left portion of the screen.

For non-public (POF) submittals only:

You may view and update the recipients' list by clicking on the

[Modify Service List](#)

button and then by clicking within the boxes on the far right portion of the screen to select () or deselect () an individual's name.

* Note: All EIE submittals are sent to the Office of the Secretary, the Atomic Safety and Licensing Board associated with this case, and the NRC's Document Processing Center

Service List Recipients

Last Name	First Name	Email	
<input type="text" value="Crouse"/>	<input type="text" value="Ray"/>	<input type="text" value="rwc2@nrc.gov"/>	<input type="checkbox"/>
<input type="text" value="Marks"/>	<input type="text" value="Donald"/>	<input type="text" value="ddm1@nrc.gov"/>	<input checked="" type="checkbox"/>
<input type="text" value="Miller"/>	<input type="text" value="Sandra"/>	<input type="text" value="slm7@nrc.gov"/>	<input checked="" type="checkbox"/>
<input type="text" value="Raimist"/>	<input type="text" value="Scott"/>	<input type="text" value="sar2@nrc.gov"/>	<input type="checkbox"/>
<input type="text" value="Ryan"/>	<input type="text" value="Tom"/>	<input type="text" value="tpr@nrc.gov"/>	<input type="checkbox"/>
<input type="text" value="Rybos"/>	<input type="text" value="Charles"/>	<input type="text" value="CGR@nrc.gov"/>	<input type="checkbox"/>
<input type="text" value="Welkie"/>	<input type="text" value="Andrew"/>	<input type="text" value="axw5@nrc.gov"/>	<input type="checkbox"/>

When the review and/or updating of the service list is complete, click on the

button located at the upper left portion of the screen.

Adjudicatory Docket Submission Form - Reactors, Materials and Other Hearings

* Fields marked with a red asterisk are required fields

ASLBP Description


Author Name *

Author Affiliation *

Document Type *

Panel Judges

Service List

Document Date * 

Document Title *

Party Identifier

Check if this is part of a multi-part submission


Select A Bundle

Check if this is the final part of your multi-part submission. (For example, Part 3 of 3)

THIS SUBMISSION IS SUBJECT TO LIMITED DISTRIBUTION

*

* Note : All required fields denoted by red asterisk must be completed and (1) one or more files must be attached to the form before it can be submitted

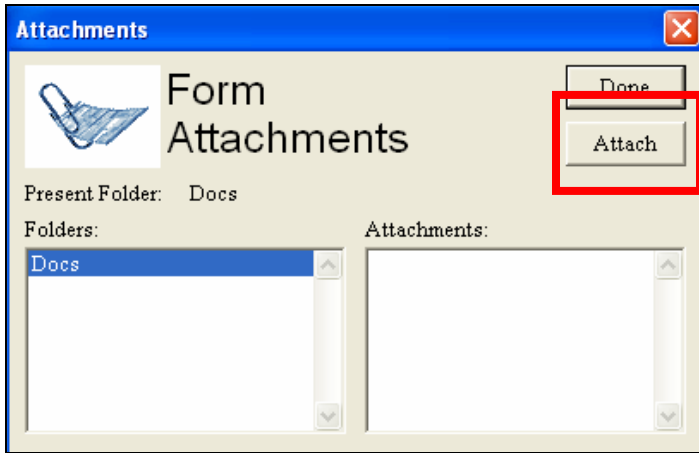
Next select the **Document Date**, which is within the box highlighted in red above. Simply click on the calendar button () to the right of the Document Date field. A calendar will be presented. Single-click on the applicable date that you are filing the submission to populate the field.

The **Document Title**, which also is within the box highlighted in red above, will need to be populated as well.

Each party has an assigned three-letter code and although it is not required, this code should be entered within the **Party Identifier** field.

Note: The Adjudicatory Submittals currently cannot support a bundle submission to denote the filing of individual segments of a pleading or other submission that, exceed 50 megabytes (MB) in size. Bundle submissions should be available for adjudicatory filings in Fall, 2008.

To begin selecting files to be attached to the submittal, scroll down to locate and click on the **Attach File...** button.



An **Attachments** dialogue box will appear.

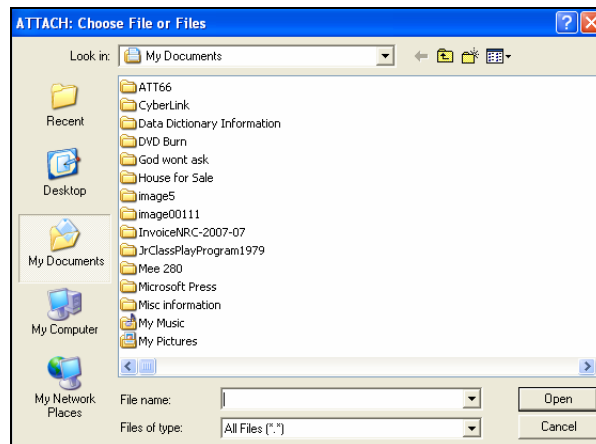
Click on the **Attach** button.

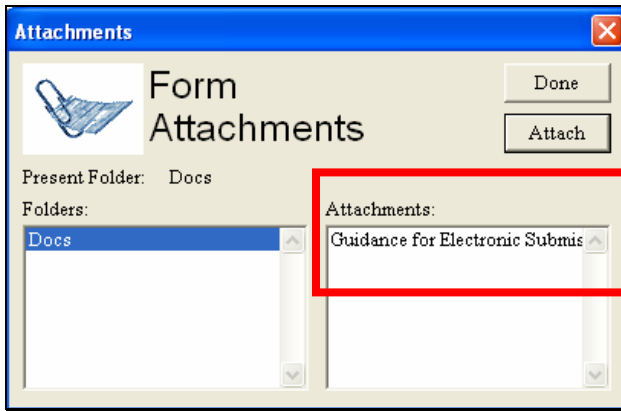


An **ATTACH: Choose File or Files** dialogue box will appear.

Navigate to the file path location of the document to be attached. After locating the document, click **on** the document 's file name.

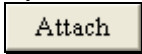
Then click on the **Open** button.



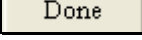


The file name for the document selected will appear within the **Attachments** section (located on the right side of the Attachments dialogue box).

Note: If you are attaching more than one document to the submittal, you would again click on the



Attach button to navigate to the next document. You would repeat the steps of attaching documents until all documents have been attached for this submission. Be aware of agency guidance that, with the exception of prefiled testimony and evidentiary materials, all pleadings and other filings should be submitted as a single file and that the size limitation for the entire submittal package is 50 MB.

After attaching all required documents for the submission, click on the  button. You will then return to the Docket/Hearing Description Selection screen.



Note: Be aware that if the wrong file was attached, you may remove this by clicking on the

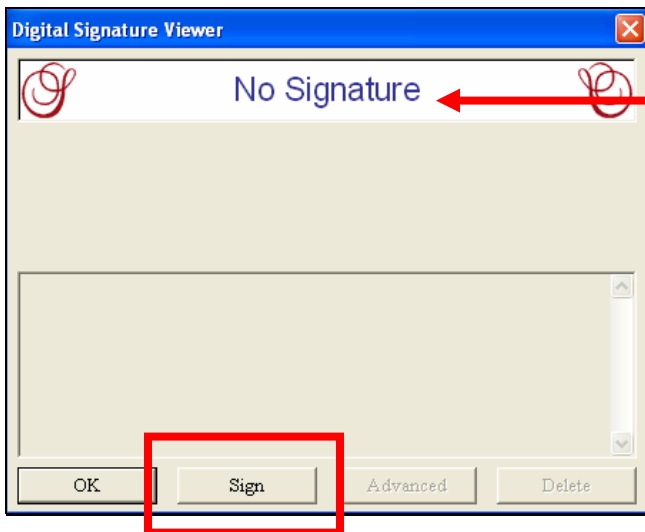


Remove File... button.


After completing the form, click on the **Signed By (Click to Sign)** button.

Please note that although the EIE system only allows one individual to sign a submission digitally, there are specific provisions in the agency's EIE rules and guidance permitting and governing the use of multiple signatories to an adjudicatory submission.

Signed By (Click to Sign)

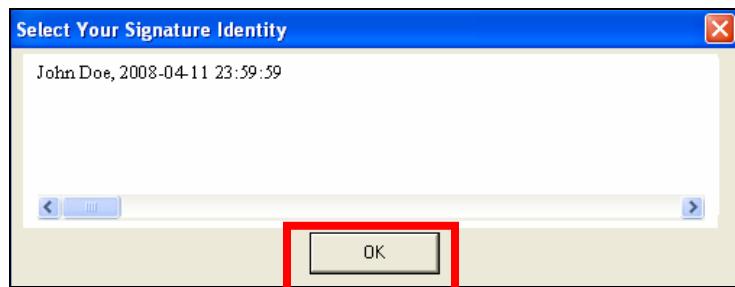


The **Digital Signature Viewer** dialog box will be displayed with the caption '**No Signature**'. This indicates that the form has not been signed.

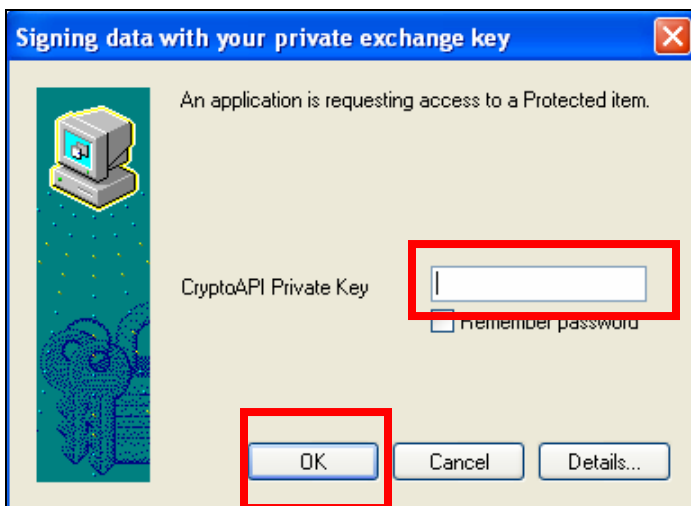
To sign the form, simply click on the  button.



If you receive a **Select Your Signature Identity** dialog box then, click on the applicable digital ID certificate (multiple certificates may be listed).




Click on the .

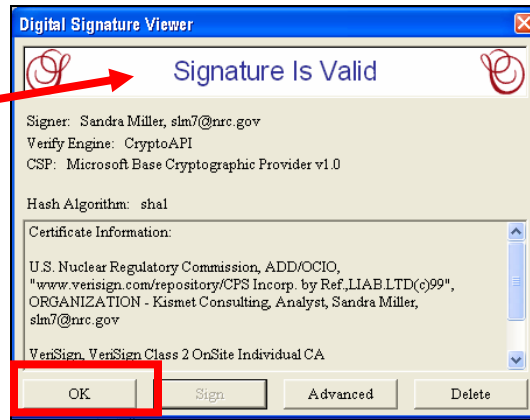


A **Signing data with your private exchange key** dialog box will appear.

Enter the certificate password within the "CryptoAPI Private Key" field.

Click on the  button.

The system will validate your certificate and the prompt at the top of the window will change to 'Signature is Valid'.



Click on the  button.

A screenshot of the 'Adjudicatory Docket Submission Form - Reactors, Materials and Other Hearings'. The form contains several fields: ASLBP Description (GP Test A 50-345-OLA), Author Name (John Doe), Document Date (17 Sep 2007), Author Affiliation (DOE), Document Title (Submittal Test Document), Document Type (Legal-Pleading), Panel Judges (Ray Crouse), and Service List (View Service List). There are checkboxes for 'Check if this is part of a multi-part submission' and 'Check if this is the final part of your multi-part submission'. A yellow box contains the text: 'THIS SUBMISSION WILL BE MADE AVAILABLE TO ALL PARTICIPANTS AND THE GENERAL PUBLIC'. At the bottom, there are buttons for 'Attach File...', 'Save File...', 'View...', and 'Remove File...'. A red box highlights the 'Served By (Click to Sign)' button, with a red arrow pointing to it.

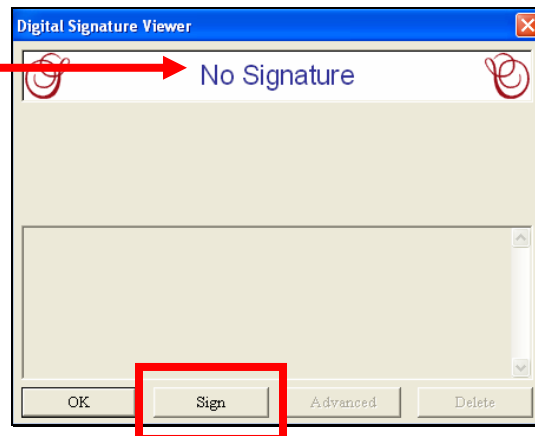
The **Signed by (Click to Sign)** button will now display the name and e-mail address of the signer.


If the signer wishes to also be the individual responsible for serving the document, he/she can now click on the **Served By (Click to Sign)** button.

It is also possible to e-mail the digitally signed form with the submission attached to another individual with a digital certificate who is responsible for completing service of the submission.

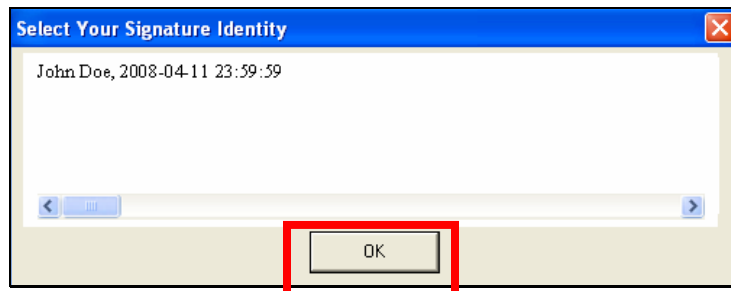


As was the case in digitally signing the submission, the Digital Signature Viewer will display the caption 'No Signature'. This indicates that the form has not been signed.

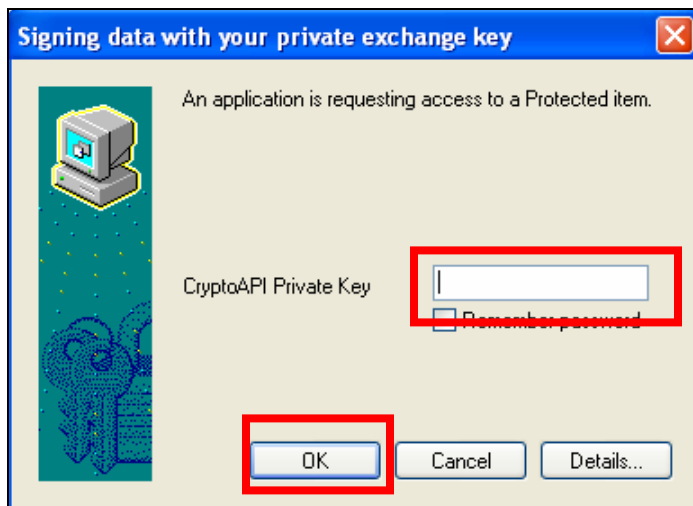


To sign the form, simply click on the  button.

If you receive a **Select Your Signature Identify** dialogue box then, click **on** the applicable digital ID certificate (multiple certificates may be listed).

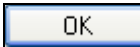


Click on the 




A Signing data with your private exchange key dialogue box will appear.

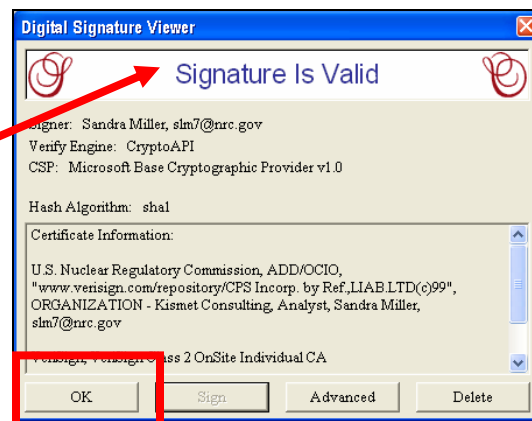
Enter the certificate password within the "CryptoAPI Private Key" field.

Click on the  button.



The system will validate your certificate and the prompt at the top of the window will change to **'Signature is Valid'**.

Click on the  button.



The **Signed by (Click to Sign)** button will now display the name and e-mail address of the signer.

And last, to transmit the submittal to the NRC, click on the



button.

Note: Submissions made using the Adjudicatory Hearing form are served immediately via e-mail notification to the hearing participants (see [Section 6](#)).

This completes the steps that must be taken to submit an Adjudicatory document to the NRC successfully. Thereafter, the submitter will receive an e-mail acknowledging EIE system receipt of his/her submission.

5.1.1 Removing Documents from a “Completed” Adjudicatory Hearing Submission


If, after completing the submittal process, it is determined that the wrong file was attached to the submission in error, it cannot be retracted through the electronic submittal system. You must contact NRC personnel directly to request that your submission be deleted.

To request removal of an Adjudicatory Hearing submission, contact: hearingdocket@nrc.gov.

5.2 Non-Adjudicatory (General) Submittals

The General Submittal Form will be displayed. All required fields, which must be populated in order to successfully submit documents to the NRC, are annotated with a red asterisk (*).

Display Extract Remove Sign & Submit a Document(s)

 Nuclear Regulatory Commission
Electronic Information Exchange

Docket Number * License Number LSN Doc#

AUTHOR INFORMATION

Affiliation *
Name Last Name, First Name, Middle Initial *
eMail

ADDRESSEE INFORMATION

Destination NRC Headquarters Document ▼

FILE INFORMATION

Document Date *
Title
Availability Select Option ▼
Est. Page Count
Doc. Sensitivity Select a Sensitivity ▼
Comments
Attach Document(s)

SIGNATURE

Digital Signature

SUBMIT

Secure Transmission Authorization *

Submit / Update *

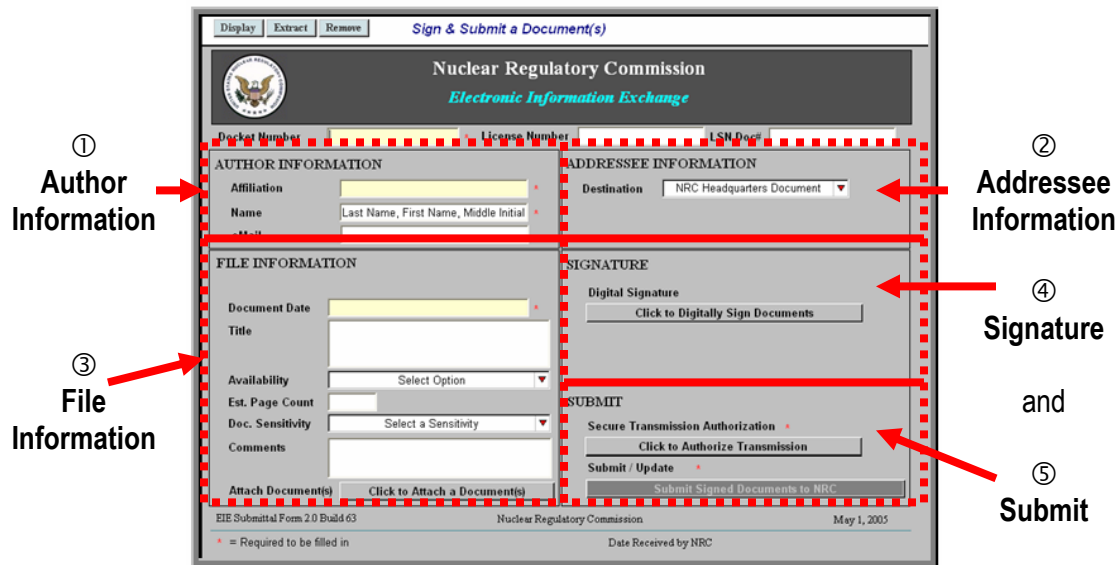
EIE Submittal Form 2.0 Build 63 Nuclear Regulatory Commission May 1, 2005
* = Required to be filled in Date Received by NRC

Docket Number * License Number LSN Doc#

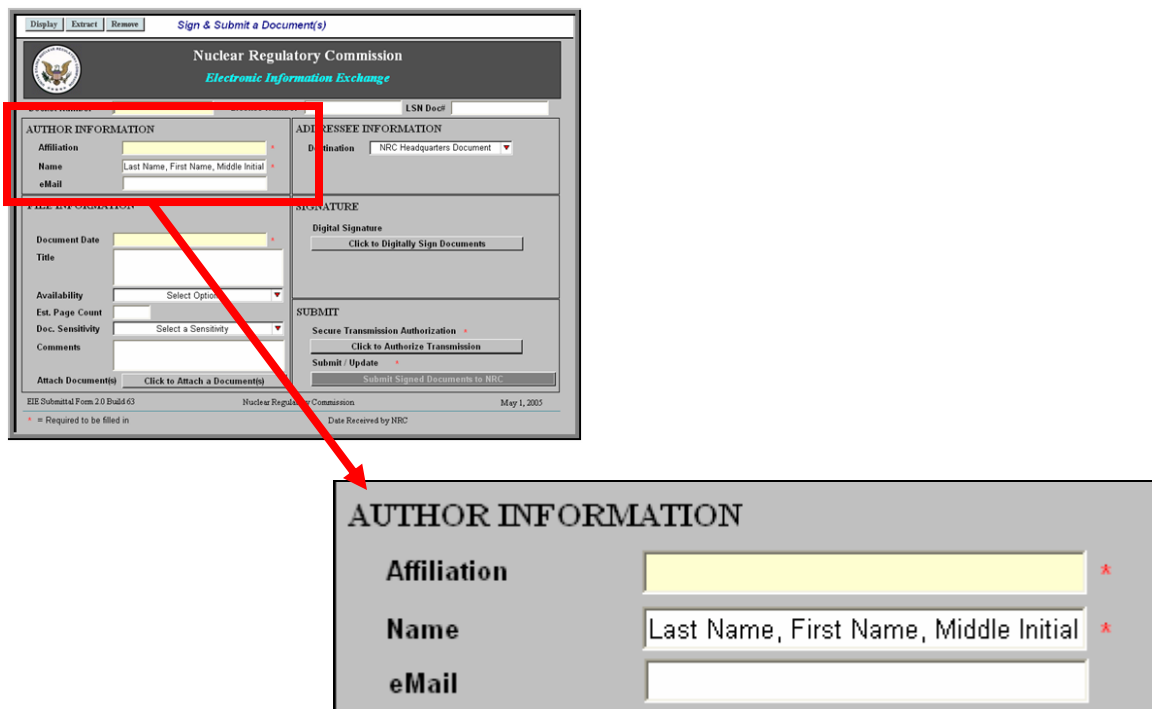
Within the **Docket Number** * field, which is a required field, enter the appropriate docket for the submittal you are making.

Although the **License Number** field and the **LSN Doc#** field are not required, if you know this information, you may populate these two fields.

There are five sections within the submittal form, which must be populated:



5.2.1 Author Information



The first section to be populated is the **Author Information** section. Be aware that the **Affiliation** field and the **Name** field are required fields, while the **e-mail** field is not a required field.

- ◆ Within the **Affiliation** field, enter the organization the author is representing.
- ◆ Within the **Name** field, enter the author's last name, followed by the author's first name and then middle initial.
- ◆ Populate the **e-mail** field with the author's e-mail address. It is encouraged to populate this field to aid the NRC staff in contacting the author with any questions regarding the submittal.

5.2.2 Addressee Information

The screenshot shows the 'Sign & Submit a Document(s)' interface for the Nuclear Regulatory Commission's Electronic Information Exchange. The 'ADDRESSEE INFORMATION' section is highlighted with a red box. A red arrow points from this section to a larger, detailed view of the 'ADDRESSEE INFORMATION' section below. In this detailed view, the 'Destination' dropdown menu is open, showing a list of six options: Electronic Hearing Docket (EHD), NRC Headquarters Document Control Desk (DCD), NRC Region I - Nuclear Material Section B, NRC Region II - Material/Licensing Inspection Section, NRC Region III - Material Licensing Section, and NRC Region IV - Material Radiation Protection Section. The 'NRC Headquarters Document Control Desk (DCD)' option is currently selected and highlighted in blue.

The next section to be populated is the **Addressee Information** section.

Within the **Destination** field, you must select to whom this document will be sent. By clicking on the drop-down button, a list of six areas will be revealed:

- ♦ Electronic Hearing Docket (EHD)
- ♦ NRC Headquarters Document Control Desk (DCD)
- ♦ NRC Region I – Nuclear Material Section B
- ♦ NRC Region II – Material/Licensing Inspection Section
- ♦ NRC Region III – Material Licensing Section
- ♦ NRC Region IV – Material Radiation Protection Section

Scroll to select the appropriate destination.

After making the selection, the field will be populated with your choice.

Within the **Availability** field, you must select whether the submittal you are making can be made publicly available or whether the submittal is private and would not be made available to the general public.

Availability	Select Option ▼
	Non-Publicly Available
	Publicly Available
	Select Option

Click on the drop-down button. Scroll to select the appropriate availability. After making the selection, the field will be populated with your choice.



Next, enter the estimated number of pages within the **Est. Page Count** field.

Est. Page Count	<input type="text"/>
------------------------	----------------------



Within the **Doc. Sensitivity** field, you are, again, offered a drop-down menu with the following three choices:

Doc. Sensitivity	Select a Sensitivity ▼
	Public - Non-sensitive/Unclassified
	Classified
	Proprietary
	Select a Sensitivity

- ♦ **Public – Non-sensitive/Unclassified** (which means the document can be viewed by the general public),
- ♦ **Classified** (which is information that can not be made publicly available due to its sensitive content)
- ♦ **Proprietary** (such as trade secrets, privileged or confidential commercial or financial information. This information must not be made publicly available).

Click on the drop-down button and scroll to select the appropriate sensitivity of the document attached to the submittal. After making the selection, the field will be populated with your choice.

FILE INFORMATION

Document Date

Title

Availability

Est. Page Count

Doc. Sensitivity

Comments

Attach Document(s)

Next is the **Comments** field. Enter any type of information that would be useful to the processing of your submittal.

Comments



You will now begin to attach document(s) to the submittal form. Be aware that the size limitation for the entire submittal package is 50 MB.

FILE INFORMATION

Document Date

Title

Availability

Est. Page Count

Doc. Sensitivity

Comments

Attach Document(s)

To begin, click on the button to the right of the **Attach Document(s)** field.



Attachments

Form Attachments

Present Folder: Docs

Folders: Docs

Attachments:

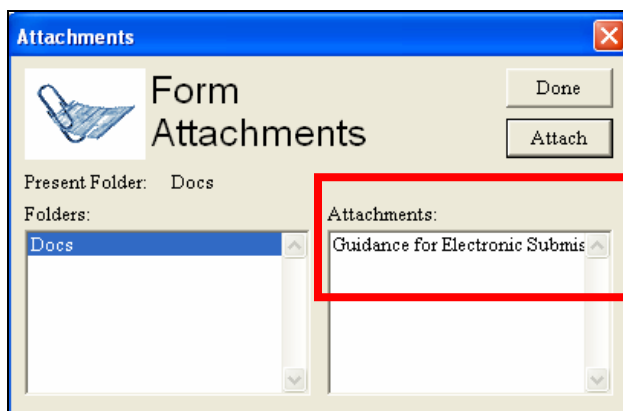
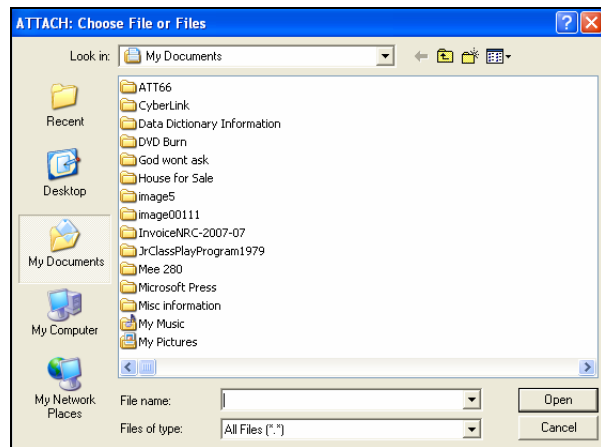
An **Attachments** dialogue box will appear.

Click on the button.


An **ATTACH: Choose File or Files** dialogue box will appear.

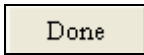
Navigate to the file path location of the document to be attached. After locating the document, click **on** the document name.

Then click on the  button.




The document selected will appear within the **Attachments** section (located on the right side of the Attachments dialogue box).

Note: If you are attaching more than one document to the submittal, you would again click on the  button to navigate to the next document. You would repeat the steps of attaching documents until all documents have been attached for this submission. Be aware that the size limitation for the entire submittal package is 50 MB.

After attaching all required documents for this submission, click on the  button. You will then return to the Docket/Hearing Description Selection screen.



Note: Be aware that if the wrong file was attached, you may remove this by clicking on the  button, which is located at the upper left hand portion of the General Submittal screen.

5.2.4 Signature

Display | Export | Remove | Sign & Submit a Document(s)

Nuclear Regulatory Commission
Electronic Information Exchange

Docket Number License Number LSM Doc#

AUTHOR INFORMATION
Affiliation
Name Last Name, First Name, Middle Initial
eMail

ADDRESSSEE INFORMATION
Destination NRC Headquarters Document

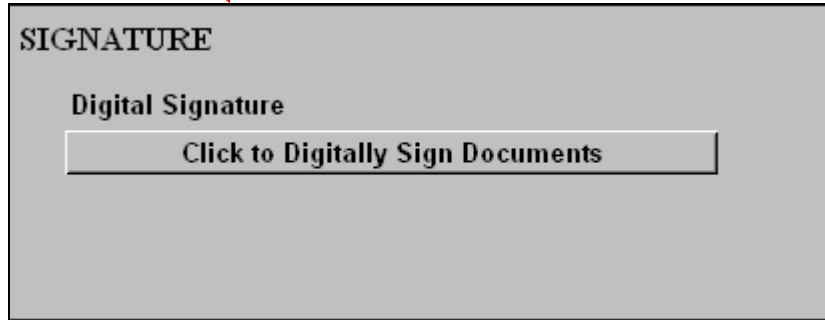
FILE INFORMATION
Document Date
Title
Availability Select Option
Est. Page Count
Doc. Sensitivity Select a Sensitivity
Comments

ATTACH DOCUMENT(S) Click to Attach a Document(s)

SIGNATURE
Digital Signature
Click to Digitally Sign Documents

SUBMIT
Secure Transmission Authorization
Click to Authorize Transmission
Submit / Update
Submit Signed Documents to NRC

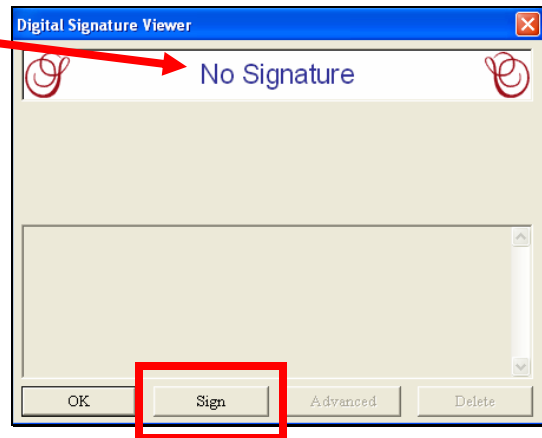
EIE Submitted Form 2.0 Bz4463 Nuclear Regulatory Commission May 2005
* Required to be filled in Date Received by NRC



To successfully submit the document(s), you must sign the transmission. To accomplish this, click on the **Click to Digitally Sign Documents** button, within the **Signature** section.



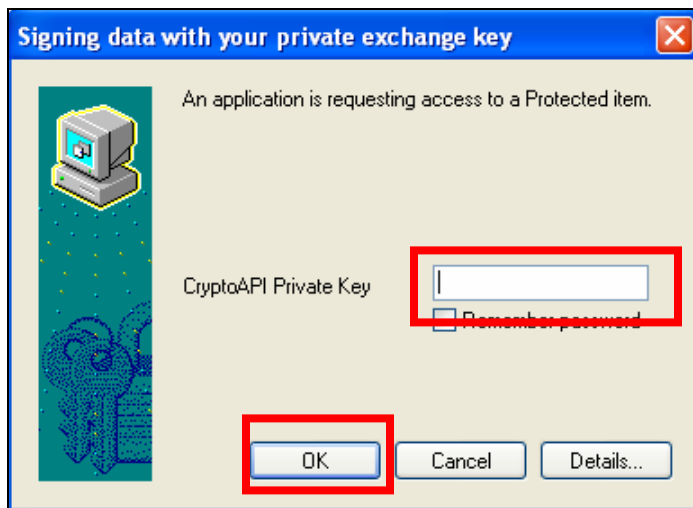
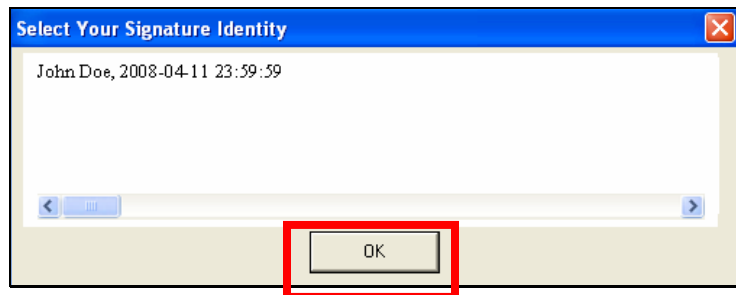
The Digital Signature Viewer will display the caption **'No Signature'**. This indicates that the form has not been signed.



To sign the form, simply click on the **Sign** button.

If you receive a **Select Your Signature Identity** dialogue box then, click **on** the applicable ID (multiple ID's may be listed).

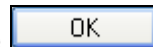
Click on the



A Signing data with your private exchange key dialogue box will appear.

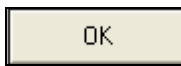
Enter the certificate password within the "CryptoAPI Private Key" field.

Click on the

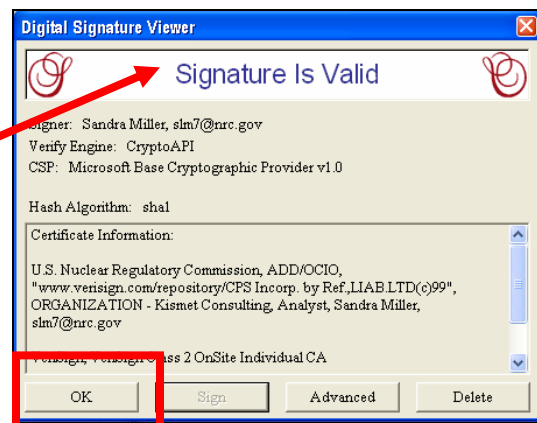


The system will validate your certificate and the prompt at the top of the window will change to **'Signature is Valid'**.

Click on the



button.



Within the "Signature" section, the "Click to Digitally Sign Documents" button will be updated to reveal your name and e-mail address as the signer.

5.2.5 Submit

The last of the five sections to be populated is the **Submit** section.

Sign & Submit a Document(s)

Nuclear Regulatory Commission
Electronic Information Exchange

Docket Number License Number LSH Doc#

AUTHOR INFORMATION
Affiliation
Name Last Name, First Name, Middle Initial
eMail

ADDRESSEE INFORMATION
Destination NRC Headquarters Document

FILE INFORMATION
Document Date
Title
Availability Select Option
Est. Page Count
Doc. Sensitivity Select a Sensitivity
Comments

ATTACH DOCUMENT(S)
Click to Attach a Document(s)

SIGNATURE
Digital Signature
Click to Digitally Sign Documents

SUBMIT
Secure Transmission Authorization *
Click to Authorize Transmission
Submit / Update *
Submit Signed Documents to NRC

EIE Submit Form 2.0 Build 63 Nuclear Regulatory Commission May 1, 2005
* Required to be filled in Date Received by NRC

SUBMIT

Secure Transmission Authorization *

Click to Authorize Transmission

Submit / Update *

Submit Signed Documents to NRC

To secure the transmission, click on the

Click to Authorize Transmission

The Digital Signature Viewer will display the caption 'No Signature'. This indicates that the form has not been signed.

Digital Signature Viewer

No Signature

OK Sign Advanced Delete

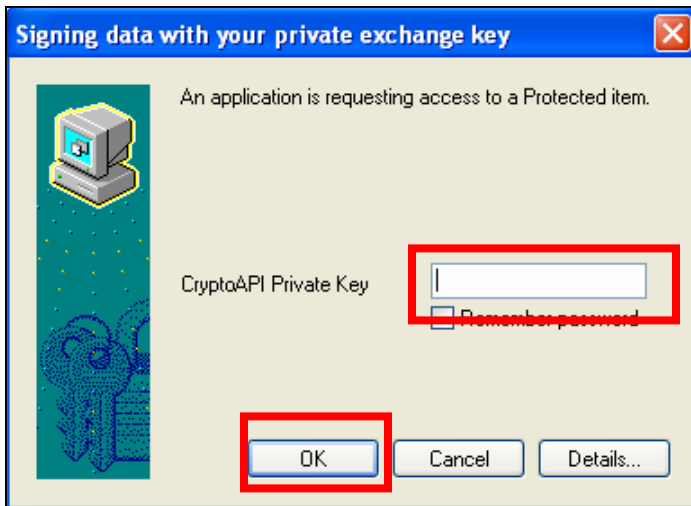
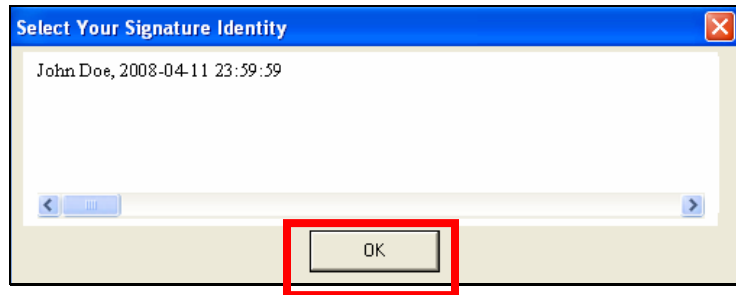
To sign the form, simply click on the

Sign

button.

If you receive a **Select Your Signature Identify** dialogue box then, click **on** the applicable ID (multiple ID's may be listed).

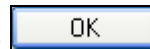
Click on the



A Signing data with your private exchange key dialogue box will appear.

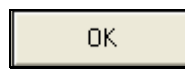
Enter the certificate password within the "CryptoAPI Private Key" field.

Click on the

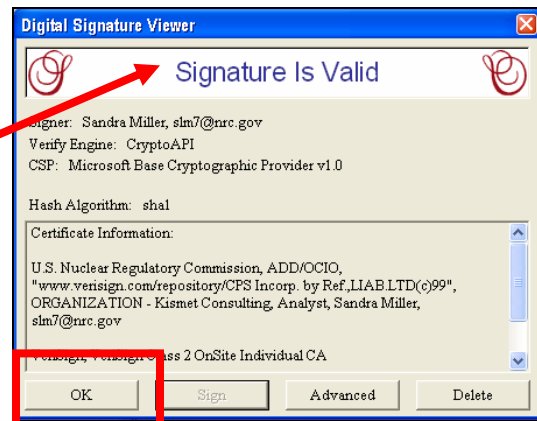


The system will validate your certificate and the prompt at the top of the window will change to 'Signature is Valid'.

Click on the



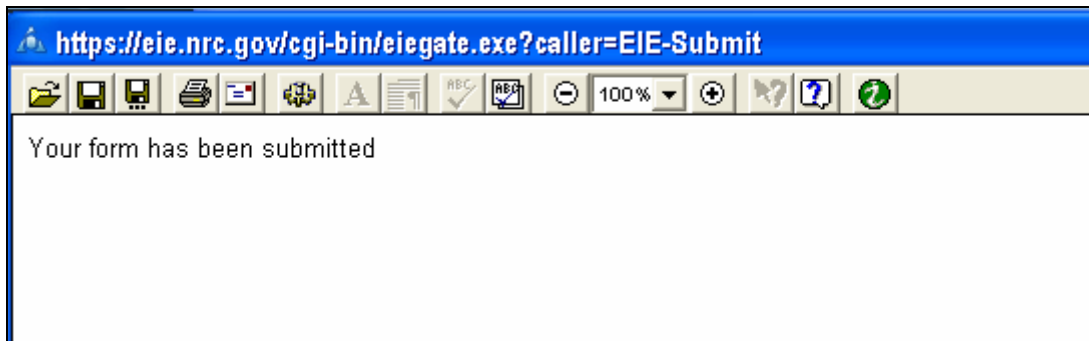
button.



Within the “Signature” section, the “Click to Authorize Transmission” button will be updated to reveal your name and e-mail address as the signer.

Additionally, the **Submit Signed Documents to NRC** button is now activated.

The final step is to transmit the submittal to the NRC. To do this, simply click on the **Submit Signed Documents to NRC** button.



A screen will appear with the statement: **Your form has been submitted.** At this point, if you desire, you may save or print this screen for your records.

This completes the steps, which must be taken to successfully submit a non-adjudicatory (general) document to the NRC.

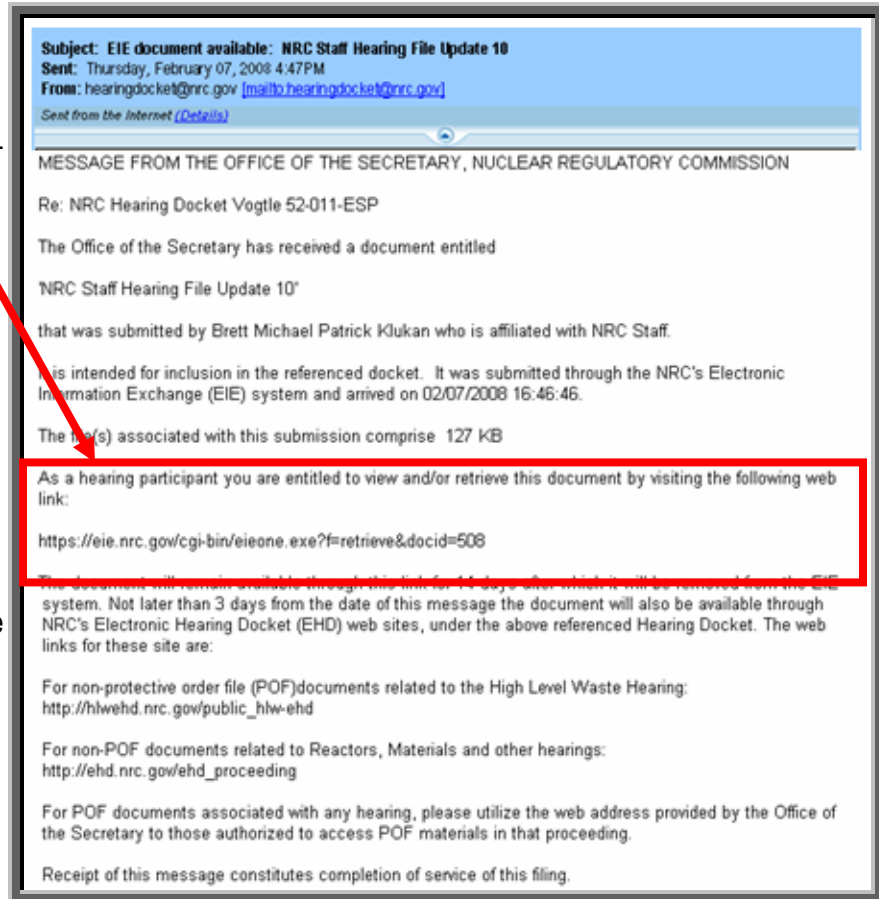
6. Reviewing Submitted Adjudicatory Documents via E-mail Notification

Each time a submittal is made to the NRC from the “Electronic Submittals” webpage, individuals designated on the service list associated with the particular docket in which the filing is being made will receive an e-mail message informing them of the submittal and allowing them to view the files:

A link to the submitted document(s) will be provided within the e-mail notification, allowing participants to review and/or retrieve the document(s).

The link to the submitted document(s) will remain active for 14 days.

After the 14 days, the document will be viewable via the NRC’s Electronic Hearing Docket (EHD) web sites. The web links to these sites are:



- ♦ For publicly available, non-POF documents related to the High Level Waste Hearing: http://hlwehd.nrc.gov/public_hlw-ehd
- ♦ For publicly available, non-POF documents related to Reactors, Materials and other hearings: http://ehd.nrc.gov/ehd_proceeding.

Note: Although the title or other header information regarding a POF document will not be available in the publicly-available EHD, generally a publicly available letter or other submission noting the filing of such a non-public document will be included in the EHD. Additionally, participants authorized to access such non-public POF materials will be able to reach those submissions through the following separate POF portions of the EHD web site that are accessible only by those with a digital ID certificate and presiding officer authorization.

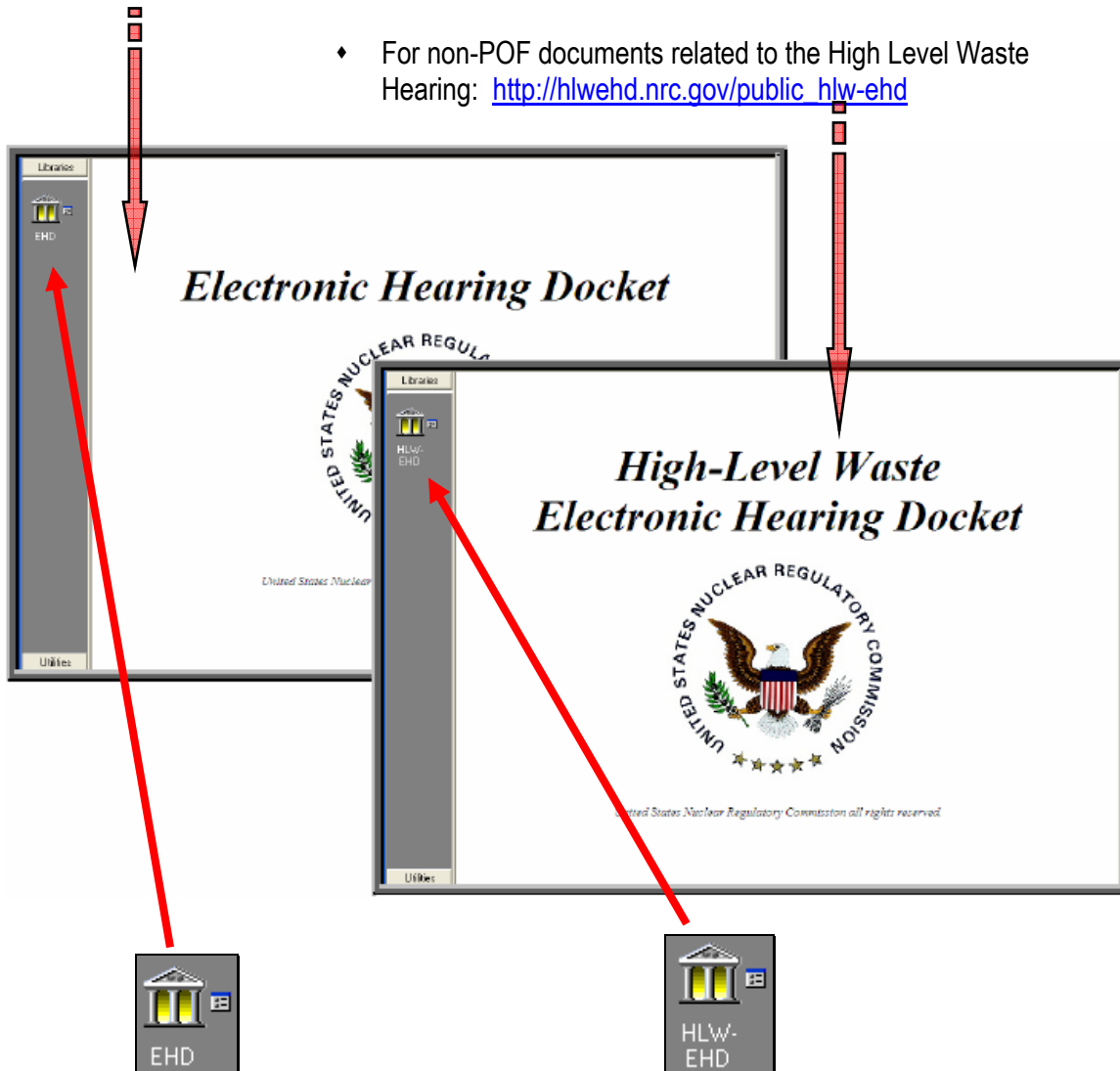
- High-Level Waste Hearing: http://hlwehd.nrc.gov/public_hlw-ehd
- Reactors, Materials, and Other Hearings: [Need Cite]

7. Reviewing Documents in the Electronic Hearing Docket (EHD)

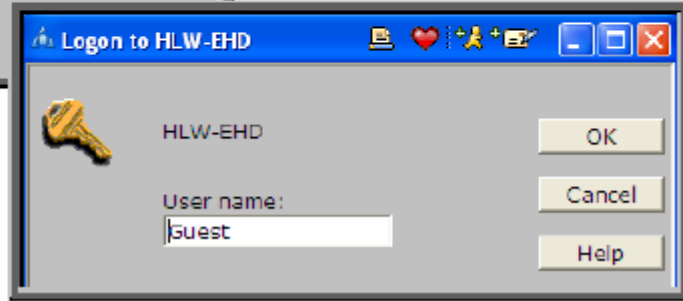
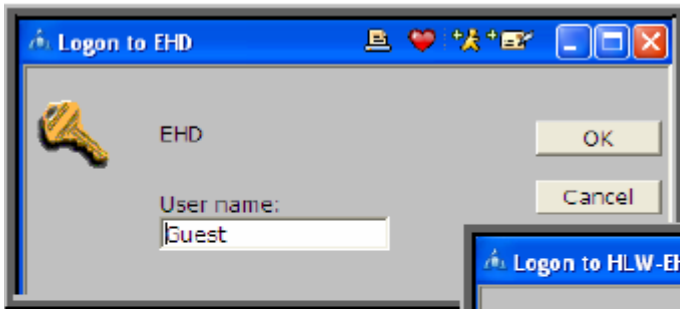
To review submitted documents via EHD, navigate to the applicable web site:

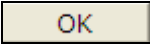
- ♦ For non-POF documents related to Reactors, Materials and other hearings:
http://ehd.nrc.gov/ehd_proceeding.

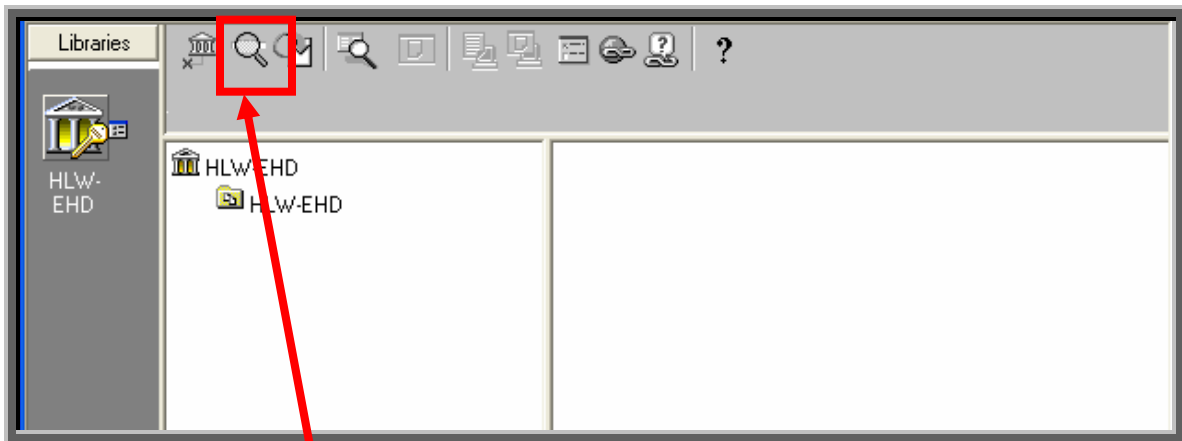
- ♦ For non-POF documents related to the High Level Waste Hearing: http://hlwehd.nrc.gov/public_hlw-ehd



To enter the site, click on the applicable icon.



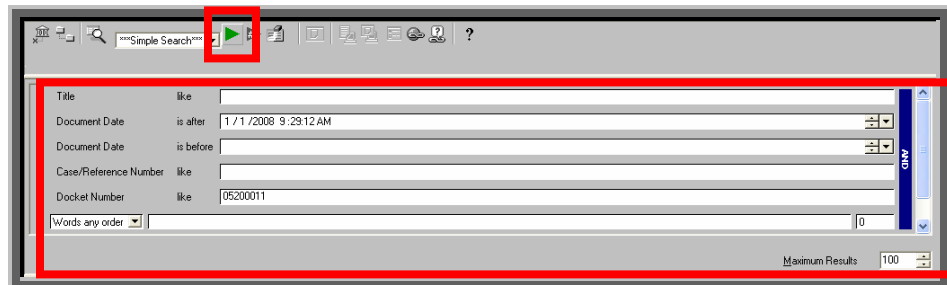
To enter, click on the  button.



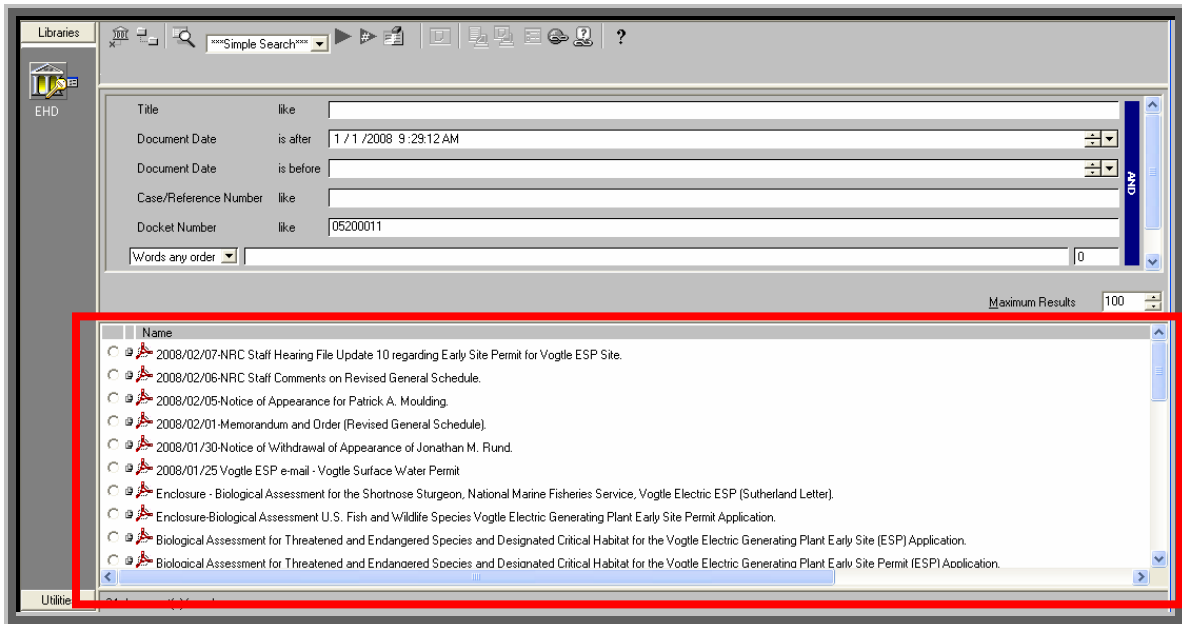
Click on the **Search** () button.



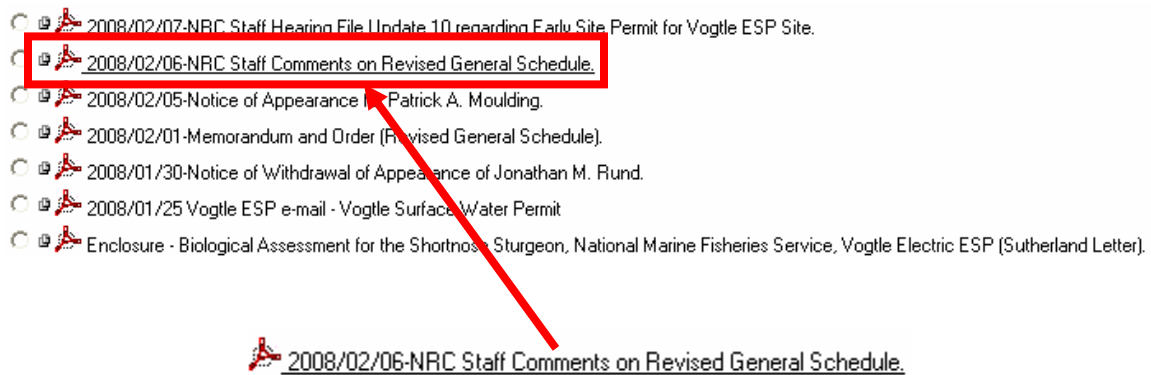
Populate the applicable search information.



Then select the **Search Now** () button.



The search results will be displayed in the lower half of the screen.



To view a document, simply click on the document link.

Appendix A: Quick Start Guide for Advanced Users

1. Introduction

This document provides a brief overview of the process for successfully submitting documents electronically to the NRC via Electronic Information Exchange (EIE), which is available on the NRC's "Electronic Submittals" Web page (by means of the "Adjudicatory Documents" link or the "General Submissions" link found under the "Submit Documents" section).

2. Participating in the NRC Hearing Process (For Adjudicatory Hearings Only)

The process for participating in an NRC adjudicatory hearing generally begins with individuals or entities reviewing a Federal Register notice announcing the opportunity to petition to be involved as a party or interested governmental entity in a particular hearing regarding an NRC licensing or enforcement proceeding. Specific instructions will be provided within the Federal Register announcement on how to participate in the hearing. This includes instructions on how to obtain the digital certificate and forms viewer necessary to access the NRC EIE website so as to be able to submit a hearing petition and other filings in the proceeding electronically. Filing adjudicatory submissions via EIE is required unless a waiver is timely sought and granted.

To review the Federal Register hearing opportunity notices for current major NRC licensing and enforcement proceedings, navigate to <http://www.nrc.gov/about-nrc/regulatory/adjudicatory/hearing-license-applications.html>.

3. Preparing Documents for Submission

As the NRC's guidance document for electronic submissions indicates, electronic documents should be submitted to the agency in Portable Document Format (PDF). The document "Guidance for Electronic Submissions to the NRC," which provides additional instructions on PDF settings and PDF document generation, can be found on the NRC's "Electronic Submittals" Web page (<http://www.nrc.gov/site-help/e-submittals.html>) under the "Submittal Instructions" and "Reference Materials for Electronic Submissions" links.

The instructional information provided on this website is available in PDF document form and in video clips to assist users in preparing PDF documents in compliance with NRC guidelines.

Additionally, there are pre-configured PDF-Distiller profiles for Adobe 5/6/7/8 available on the "Reference Materials for Electronic Submissions" Web page: <http://www.nrc.gov/site-help/electronic-sub-ref-mat.html>.

4. Submitting Documents to the NRC

After successfully converting the document(s) to PDF using the NRC approved settings (as discussed in [Section 3](#)), to begin the submittal process, navigate to the “Electronic Submittals” page, <http://www.nrc.gov/site-help/e-submittals.html>.

Under the “Submit Documents” heading are links that allow for the submission of either Adjudicatory or Non-Adjudicatory documents:

- ♦ To submit documents related to High-Level Waste, Reactors, Materials and other hearings, click on the [Adjudicatory Documents](#) link, then fill out the screens displayed, attaching all applicable documents to be submitted to the NRC.
- ♦ To submit Non-Adjudicatory Documents click on the [General Submissions](#) link, then fill out the screen displayed, attaching all applicable documents to be submitted to the NRC.

5. Reviewing Submitted Adjudicatory Documents via E-mail Notification

Each time a submittal is made to the NRC from the “Electronic Submittals” webpage, in addition to an e-mail being sent to the submitter acknowledging receipt of the submission, individuals whose e-mail addresses previously have been included on the service list associated with the case in which the filing is made will receive an e-mail message that informs them of the submittal and allows them to view the files.

A link to the submitted document(s) will be provided within the service e-mail notification that allows participants to review and/or retrieve the document(s). The link will remain active for 14 days, after which the document(s) can be viewed via the NRC’s Electronic Hearing Docket (EHD) web sites (see [Section 6](#)).

6. Reviewing Documents in the Electronic Hearing Docket (EHD)

To review submitted adjudicatory documents via EHD, navigate to the applicable web site:

- ♦ For publicly available documents related to High-Level Waste, Reactors, Materials and other hearings: http://ehd.nrc.gov/ehd_proceeding.
- ♦ For documents that are not publicly available because they were submitted pursuant to a protective order or in camera, parties authorized to have access to such filings can view them at:
 - High-Level Waste Hearing: http://hlwehd.nrc.gov/public_hlw-ehd
 - Reactors, Materials, and Other Hearings: [Need Cite]