U.S.NRC
United States Nuclear Regulatory Commission
Protecting People and the Environment

Criminal History User Guide

September 2012

Revision 1

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1. Introduction

This document outlines step-by-step instructions for successful electronic transmittal of background check information (e.g., fingerprints) to the Nuclear Regulatory Commission (NRC), as required by 10 CFR Part 73.57, via the Electronic Information Exchange (EIE) process, which is available on the NRC's "Electronic Submittals" Web page (http://www.nrc.gov/site-help/e-submittals.html).

If users are experienced in submitting documents electronically, precede to Appendix A, Advanced Users Guide.

2. First Time User Required Actions

To submit background check information to the NRC, first-time users must successfully complete the steps described in Sections 2.1 (which include 2.1.1, 2.1.2 and 2.1.3). These are one-time, nonrecurring steps.

2.1 Requesting, Obtaining and Installing Your Digital ID Certificate

In undertaking the multi-step process of requesting, obtaining, and installing a digital certificate, it is important to be aware that you must pick up (and later renew) your digital ID certificate from the *same PC* where you initially enrolled for the certificate. This is a security precaution imposed by Versign, the digital certificate issuer. Therefore, it is important that you enroll for the certificate from a PC where you receive e-mail for the e-mail address that will be associated with your digital ID certificate.

2.1.1 Requesting an NRC Approval Code

Prior to starting the Digital ID enrollment process, you must have an NRC Approval Code. If you do not have an NRC Approval Code, Criminal History Program participants should call (301) 492-3531 or send an email request to the NRC's Criminal History Program staff at: CrimHist.Resource@nrc.gov with the following basic information: your name, email address, phone number, organization, role in the organization and reason for submitting documents to the NRC.

2.1.2 Requesting a Digital ID Certificate

Important:

For ***all*** Internet Explorer versions below 9.0, users must be aware that additional actions are required prior to successfully completing the enrollment process. For Internet Explorer users only, the security settings must be set to "Medium". See Section 6 "Digital ID Certificate Enrollment Steps" within the NRC's Digital ID Certificates Guide located on the NRC's Obtain a Digital ID Certificate Website (http://www.nrc.gov/site-help/e-submittals/apply-certificates.html) for detailed step-by-step instructions on changing the security settings and requesting a certificate.

Additionally, Google Chrome, Mozilla Firefox 4.0 and 5.0 do not work for the Forms Viewer.

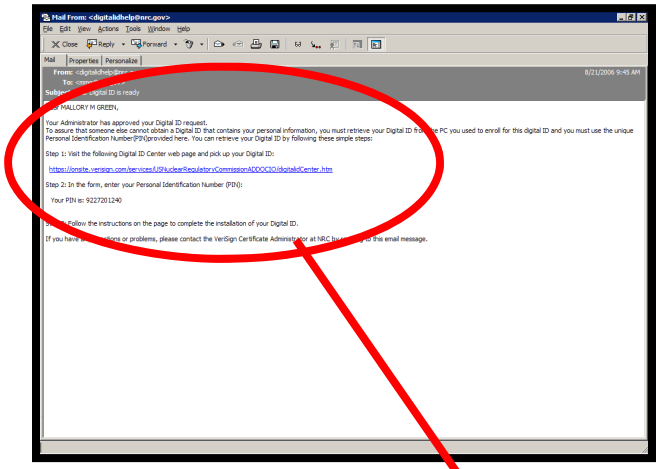
Once you have obtained an approval code (see Section 2.1.1), to enroll for an NRC issued digital ID certificate, go to the NRC's "Electronic Submittals / NRC's Digital ID Center" website (https://onsite.verisign.com/services/USNuclearRegulatoryCommissionADDOCIO/digitalidCenter.htm)

Select the ENROLL link and complete the form.

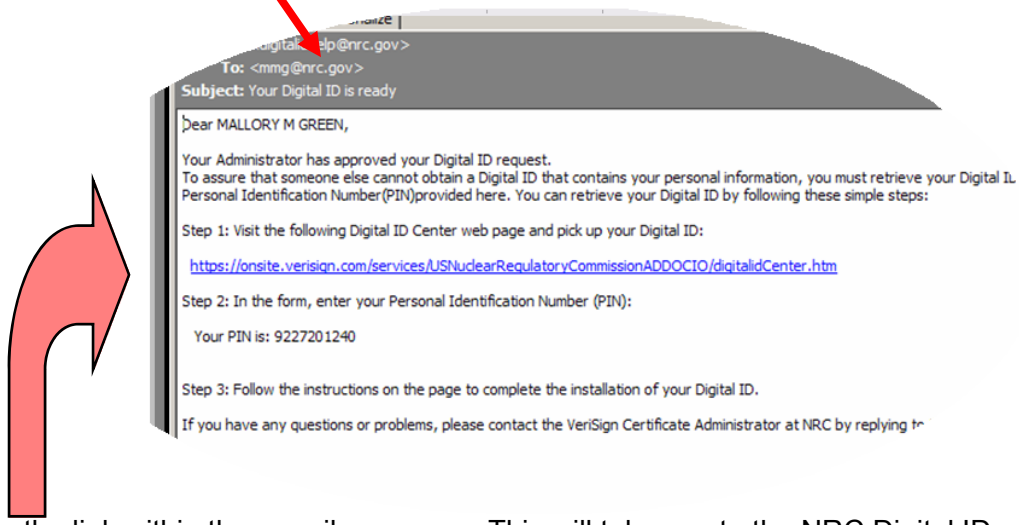
2.1.3 Installing the Digital ID Certificate

You will receive a "Your Digital ID is ready" e-mail if your digital ID certificate request is approved. This e-mail will contain both a VeriSign-provided Personal ID Number (PIN) and a link to NRC's Digital ID Center.

To pick up and install your digital ID certificate, open the "**Your Digital ID is ready**" e-mail message.



Copy the PIN (provided in the e-mail message). An easy copying method is to highlight the PIN then simultaneously press the Ctrl key on the keyboard and the C key.



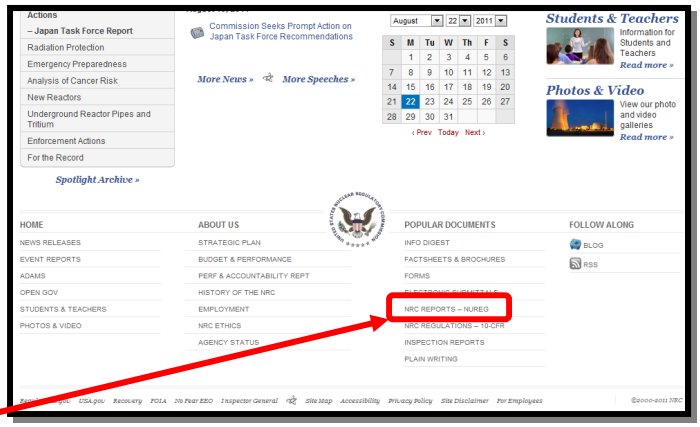
Next, click on the link within the e-mail message. This will take you to the NRC Digital ID Center's "**PICK UP ID**" web page.

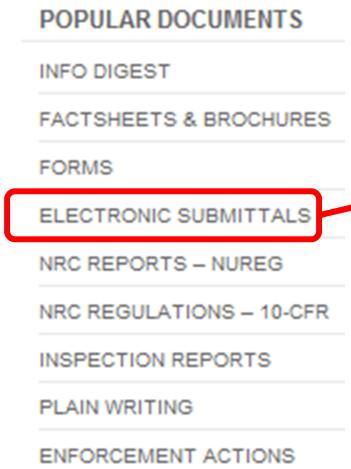
See Section 7 "Digital ID Certificate Installation Steps" within the NRC's Digital ID Certificates Guide to complete the installation process.

3. Submissions

3.1 Access the Criminal History Application

Navigate to the NRC's Website (www.nrc.gov). Scroll to the bottom of the page and select the Electronic Submittals link (within the "Popular Documents" Section).



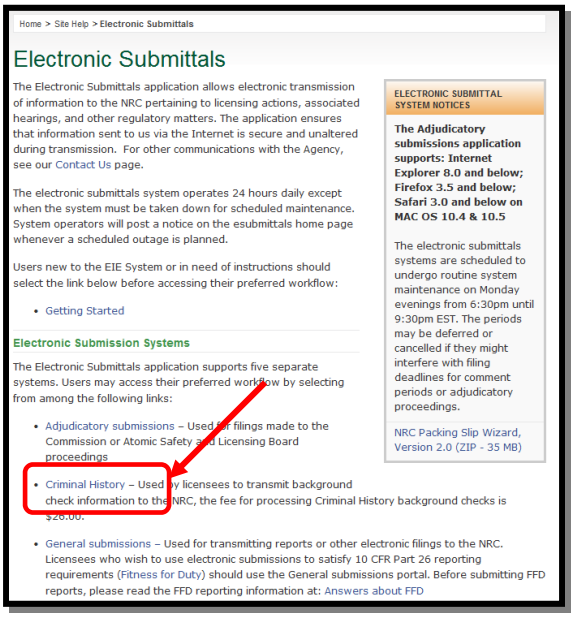


From the "Electronic Submittals" Web page, select:

- Criminal History
- A **Choose a digital certificate** dialogue box will appear. Click **on** the certificate and then select the OK 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.

  Select the OK button to proceed.

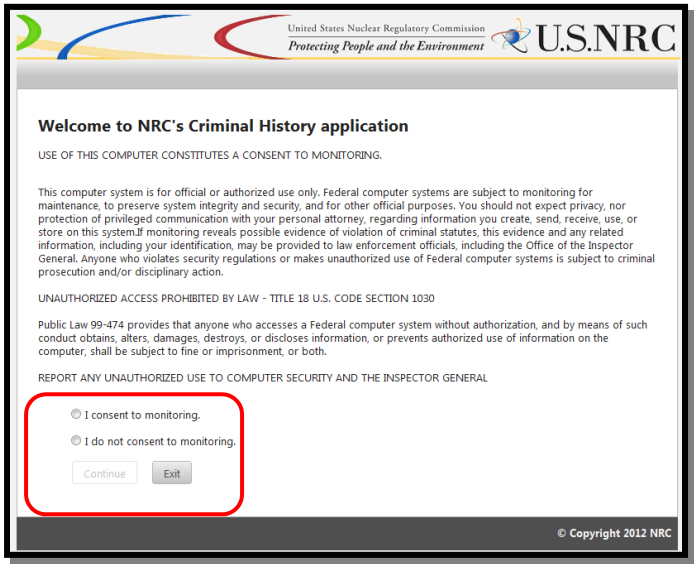


3.2 Consent to Monitoring

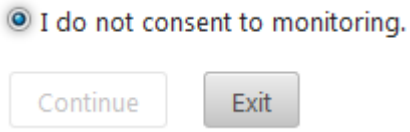
The user must recognize that the use of a federal computer system constitutes consent to monitoring and is for official or authorized use only. Should monitoring reveal possible evidence of violation of criminal statues or Public Law, your identification may be provided to the appropriate law enforcement officials and subjects you to criminal prosecution, fine, imprisonment, or other disciplinary action.

The following options are provided to the user:

- To acknowledge and proceed select the radio button for I consent to monitoring.
- Select the Continue button.



Note: When selecting "I do not consent to monitoring", the only option offered is to select the **Exit** button:



3.3 First Time Users

3.3.1 Request Access to Criminal History

First time users to Criminal History will receive the "Request Access to Criminal History" page. If you are not a first time user, continue with Section 3.4, "Welcome to the NRC Criminal History" page.

This page contains the users profile information. All required fields, annotated with an asterisk (*) must be populated

The "Certificate Information" is pre-populated with information extracted from your Certificate. These fields are not editable.

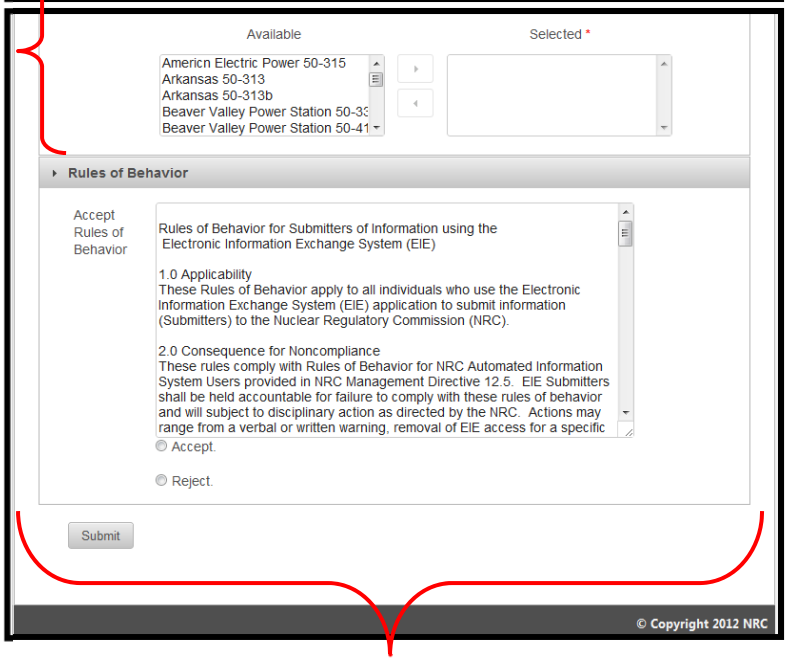
"Contact Information" and "Address" sections are text fields (with the exception of **State**, which contains a drop down menu to select from).

"Facilities" section: within the **Available** box, click on (to highlight) the Facility access is desired.

Note: To select more than one Facility, hold down the ***Ctrl*** key as you click on each Facility.

Select the arrow (this will move the highlighted item(s) to the **Selected** box.

Note: If an error was made, select the Facility within the **Selected** box, then select the arrow.

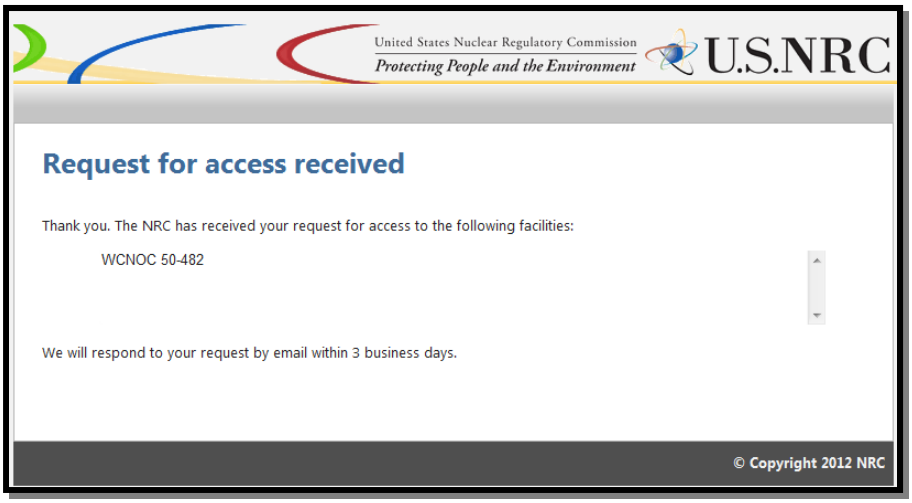


After reading the information provided within the "Rules of Behavior" section, select the radio button for:

Accept. (To proceed, you *must* select **Accept**.)

Select the Submit button.

After completing and submitting the form, a "Request for access received" page is displayed.



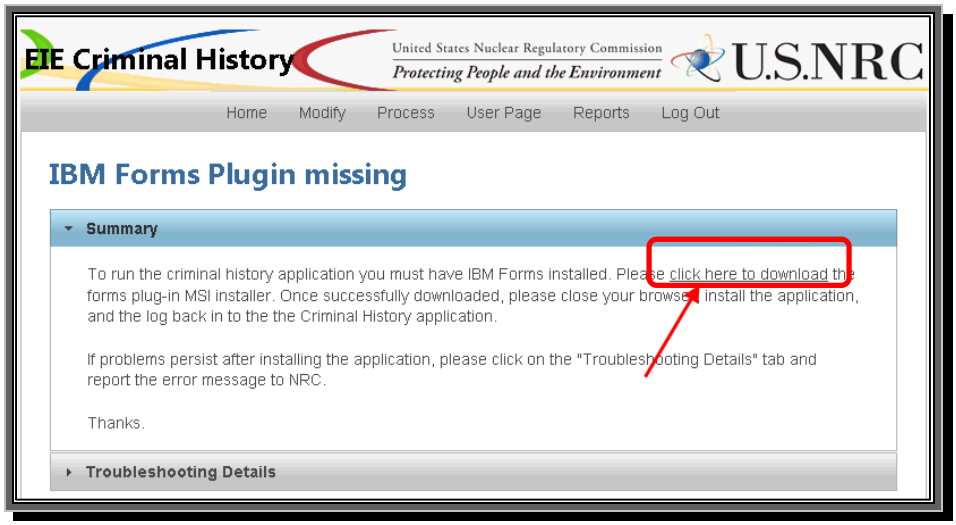
The requestor will receive an e-mail from CrimHist.Resource@nrc.gov acknowledging the request for access was received.

Within three (3) business days, the requestor will receive an email communicating access was granted or withheld. If granted, the user will be provided a link (https://eieprod.nrc.gov/CH) to proceed with the Criminal History submission process.

3.3.2 Install the signing Active X plug in

Upon initial log in users will be asked to install an Active-X plug-in that will enable the signing function on the submission form. If the plug in not already installed in the browser, the user will see the following message:

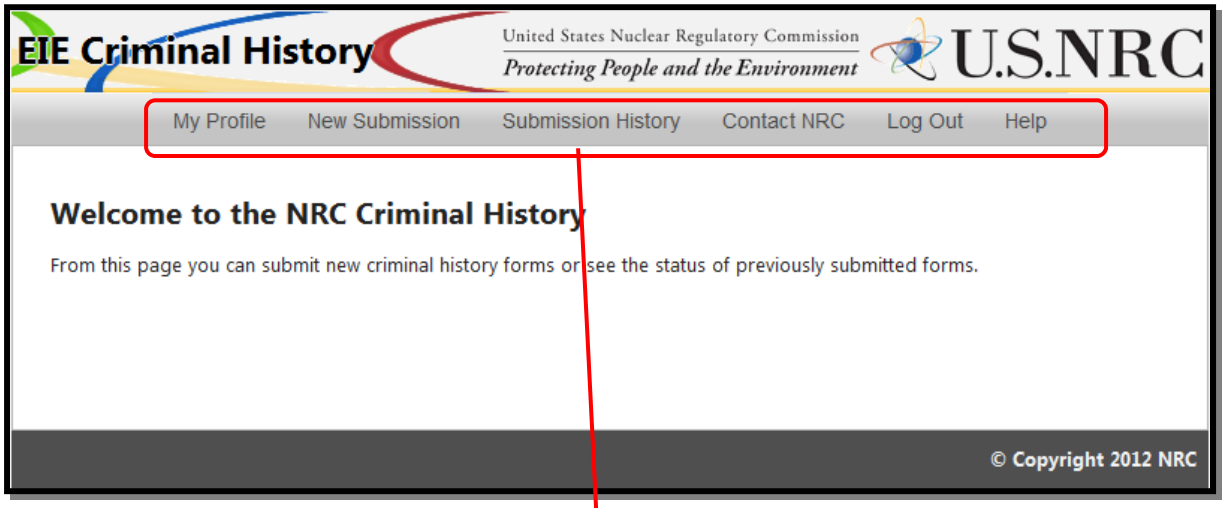
Select the click here to download link and follow the instructions in the Installation Wizard screens that follow.



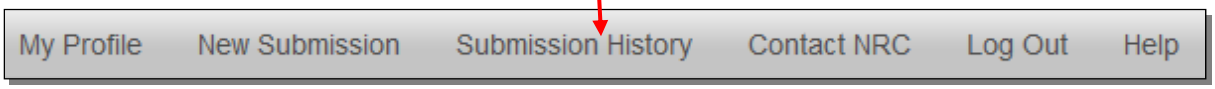
Note: Depending on the security rights users are permitted this installation may require the assistance of a local System Administrator.

3.4 Welcome to the NRC Criminal History

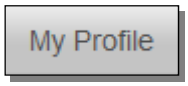
Once access to a Facility has been granted and the plug in installed, upon logging into Criminal History and accepting consent to monitoring, the user will be presented with the following page:



The following options are available:



3.4.1 My Profile

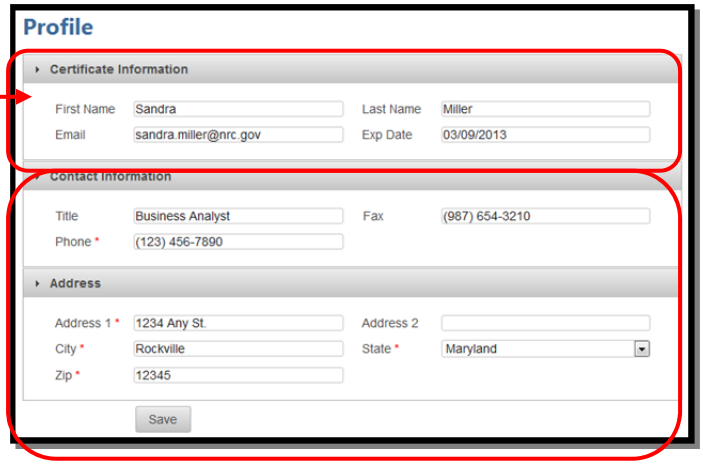
Within the menu bar, click on 

to display the "Profile" page. The following options are available to the user:

- Updating the user profile (see Section 3.4.1.1)
- Requesting additional access to a facility (see Section 3.4.1.2)

3.4.1.1 Updating My Profile

The "Certificate Information" section contains information obtained from your certificate. The four fields (**First Name**, **Last Name**, **Email** and **Exp. Date**) can *not* be edited.



All fields within the "Contact Information" or "Address" sections (with the exception of **State**) are text fillable fields. To update a text fillable field, click within the appropriate field, highlight (to delete) the existing information, then type the revised information into the field.

To revise the **State** field, click on the drop-down menu, then select the appropriate State.

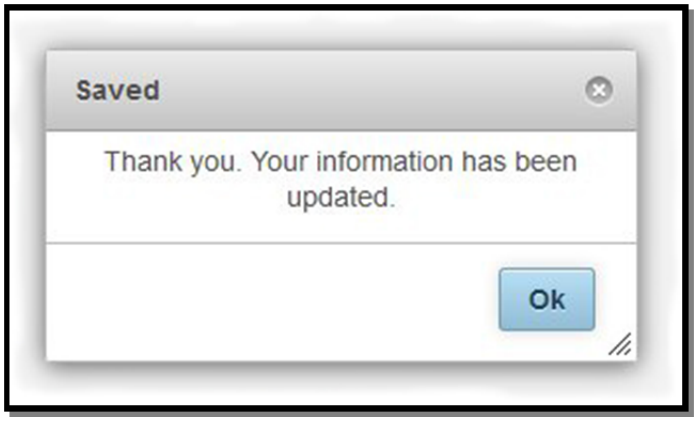
After updating all necessary fields, click the

button.

A "Saved" dialogue box will display.

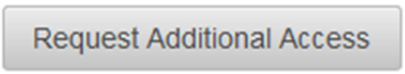
Click the

button.



3.4.1.2 Request Additional Access

Within the "Facilities" section, click on the

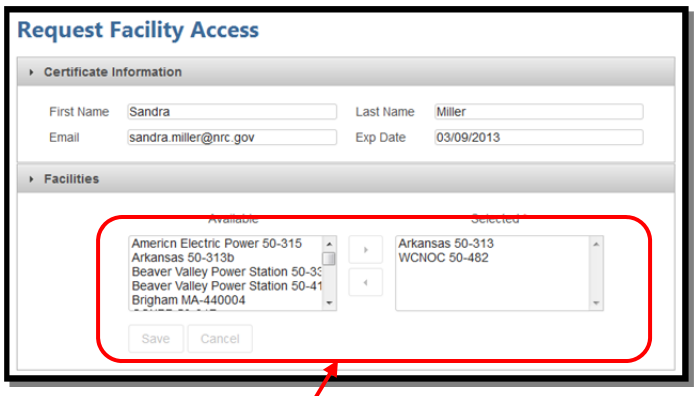


button.

The "Request Facility Access" page will appear.

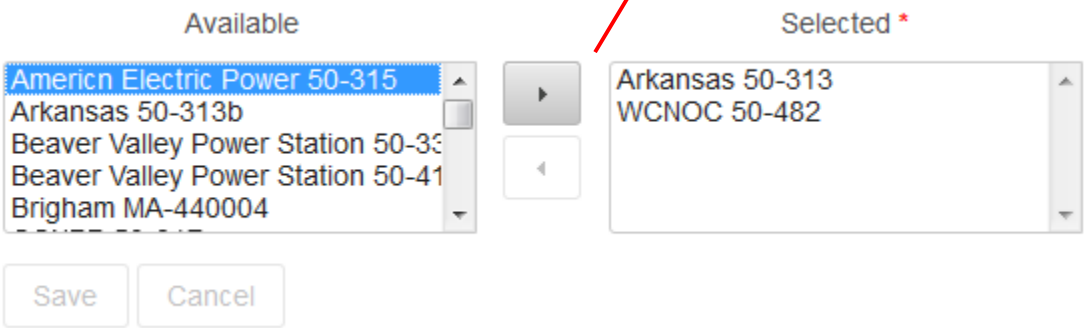
The fields listed within the "Certificate Information" section can *not* be edited.

Within the "Facility" section, click on (to highlight) a Facility from the **Available** box.



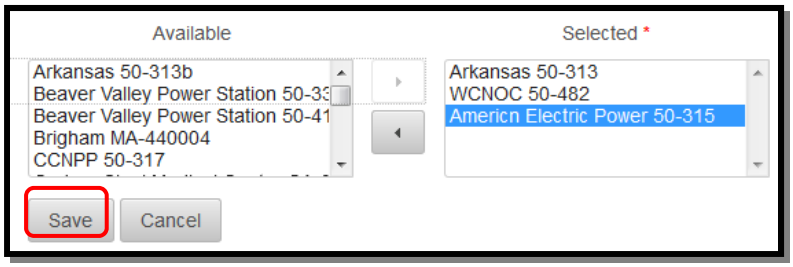
> **Note**: To select more than one Facility, hold down the ***Ctrl*** key as you click on each Facility.

Select the arrow to move the highlighted item(s) to the **Selected** box.



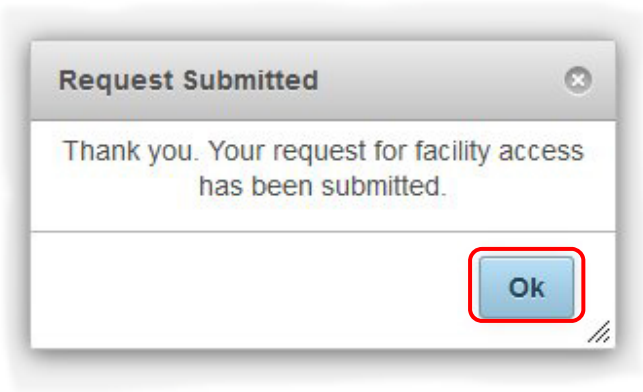
> **Note**: If an error was made, select the Facility within the **Selected** box, then select the arrow.

Click the Save button.



A "Request Submitted" dialogue box will appear.

Click the Ok button.



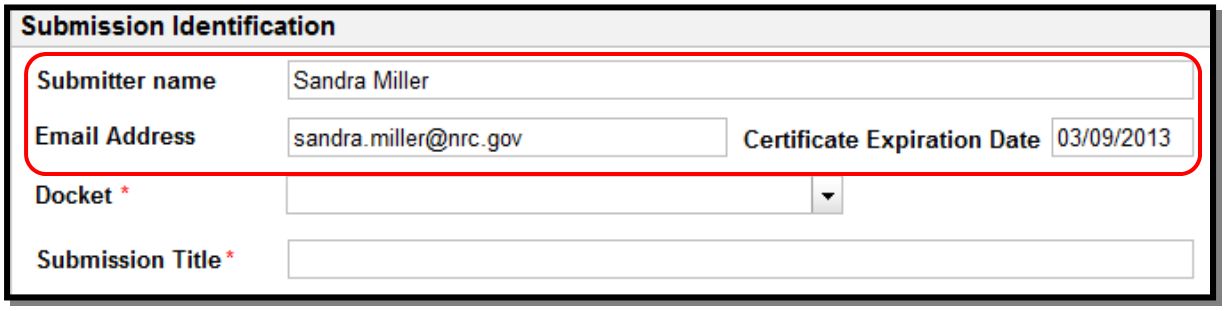
3.4.2 New Submission

Google Chrome, Mozilla Firefox 4.0 and 5.0 do not work with New Submissions. Additionally, Apple Macintosh computer (Mac) is not supported.

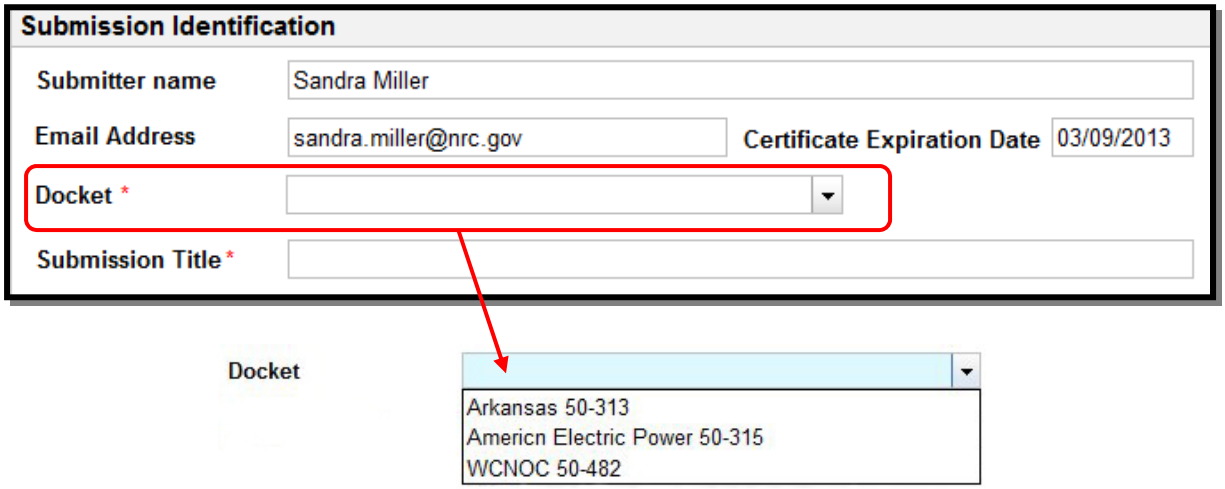
Within the menu bar, click on New Submission to display the "Criminal History Submission" page.

All required fields (annotated with an asterisk [*]) must be populated.

3.4.2.1 Submission Identification Section



Within the "Submission Identification" section of the form, the **Submitter name**, **Email Address** and **Certificate Expiration Date** fields are auto-populated with information retrieved from your Certificate. These fields can not be edited.



Docket field (required) – Select the facility for which you wish to make your submission from the drop down menu.

Submission Identification

Submitter name	Sandra Miller		
Email Address	sandra.miller@nrc.gov	**Certificate Expiration Date**	03/09/2013
Docket *			
Submission Title *			

The Submission Title is included on the response form, therefore, the user should enter within the **Submission Title** field (required) information that will be an aid upon receipt of the response form.

As an example, a title could be “4 Files submitted at 10:00am on March 22, 2012”.

3.4.2.2 Attachments and Payment Section

3.4.2.2.1 Attaching Files

Attachments and Payment

Add File Attachments...		Remove File Attachments...	
# of files attached	0	**Amount Due**	$0.00
Select Payment		**Pay.gov Receipt #**	
		Transaction Date	

Select the Add File Attachments... button.

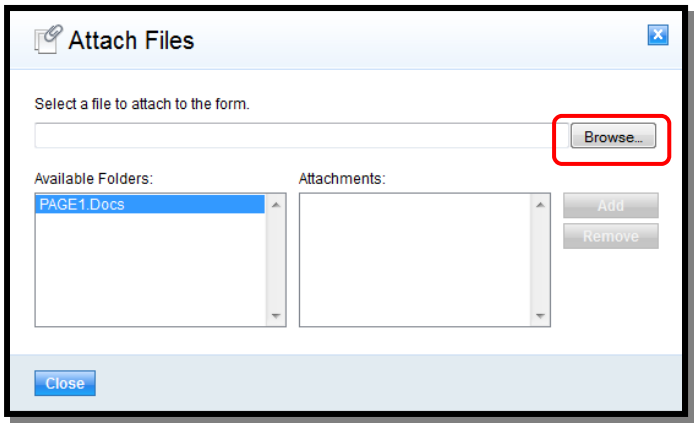
> **Note**: ***.nist***, ***.eft*** and ***.nst*** are the *only* three acceptable file formats that can be attached to the form.
>
> At a minimum, one (1) file must be attached.
>
> At present, we recommend that users attach no more than 10 files to one submission form. That number will expand as we gain experience with the system.

An "Attach Files" dialogue box will appear.

Select the Browse... button.

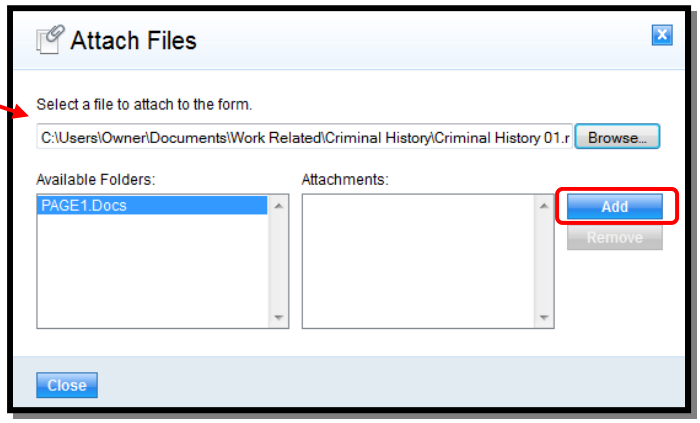
A "File Upload" dialogue box will appear. Locate and click on the appropriate ***.nist*** or ***.eft*** or ***.nst*** file.

Select the **Open** button.



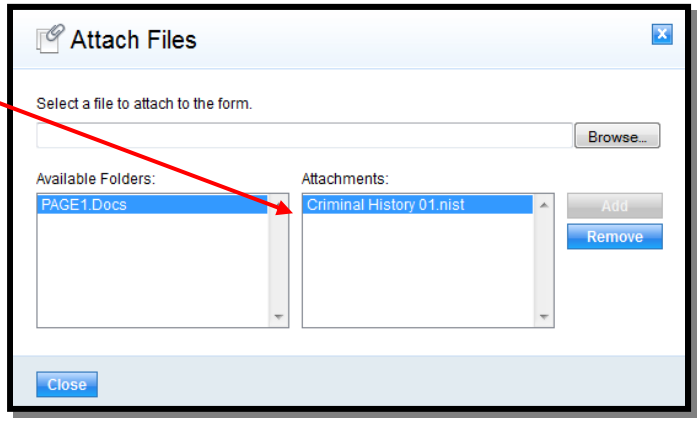
The file will appear within the **Select a file to attach to the form** field.

Select the Add button.



The file will then appear within the **Attachments** box.

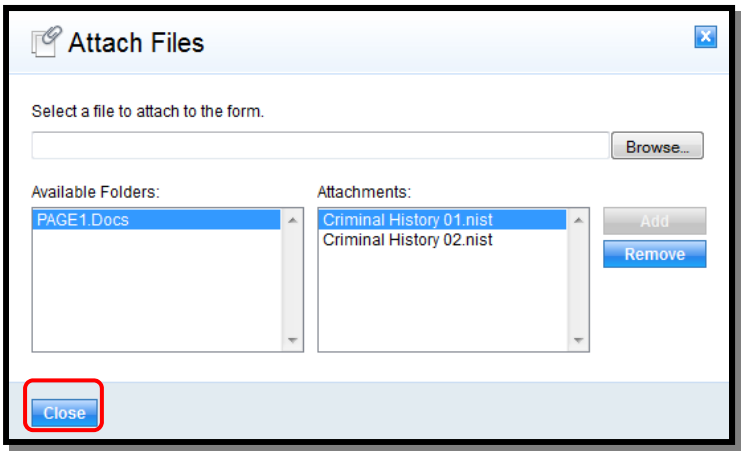
Note: If the wrong file was attached, select the Remove button, then select the OK button to confirm the deletion.

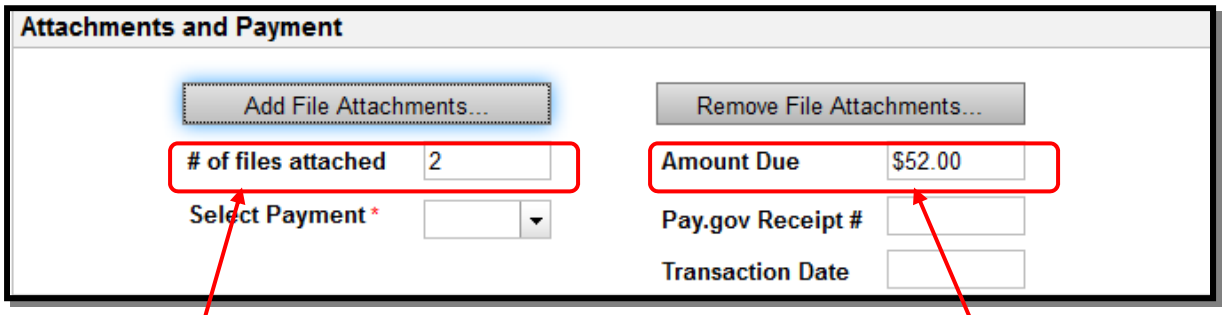


Note: To attach additional files, repeat the steps beginning at the top of this page with selecting the Browse... button.

Unlike the previous system users may attach only one file at a time so the 'Browse>Select>Open Add' sequence must be complete for each file.

After attaching the required ***.nist .nst*** or ***.eft*** file(s), select the Close button.





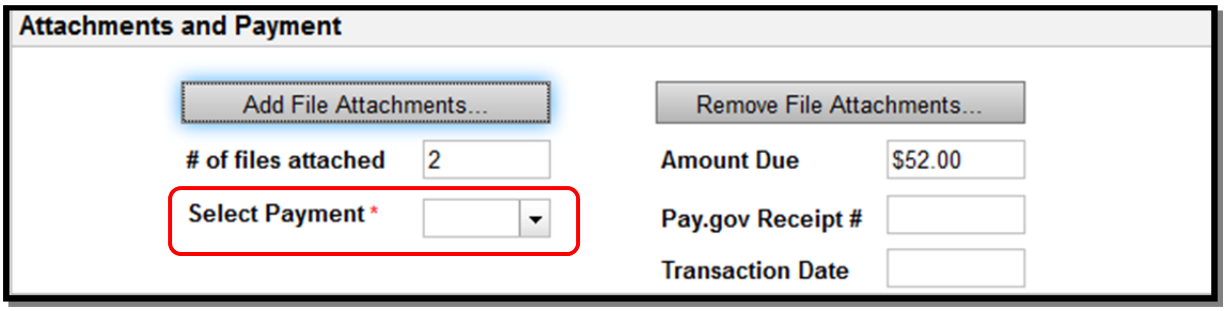
The **# of files attached** field will populate with the total number of files attached to the submission.

Additionally, the **Amount Due** field will auto-populate with the fee amount.

These two fields: **# of files attached** and **Amount Due**, cannot be edited by the user.

Note: Select the Remove File Attachments... button, if files were attached in error. At the "Remove Attachments" dialogue box, click on the file to be removed, then select the Remove button.

3.4.2.2.2 Payment



The amount due for *each* file attached is $26.00

There are three (3) methods of payment:

- Credit card (pay.gov)
- Check or
- Money Order

Note:	For Check and Money Order payments, the submission cannot be processed until payment has been received.

Within the **Select Payment** field (required), click on the drop-down to display the three (3) payment types.

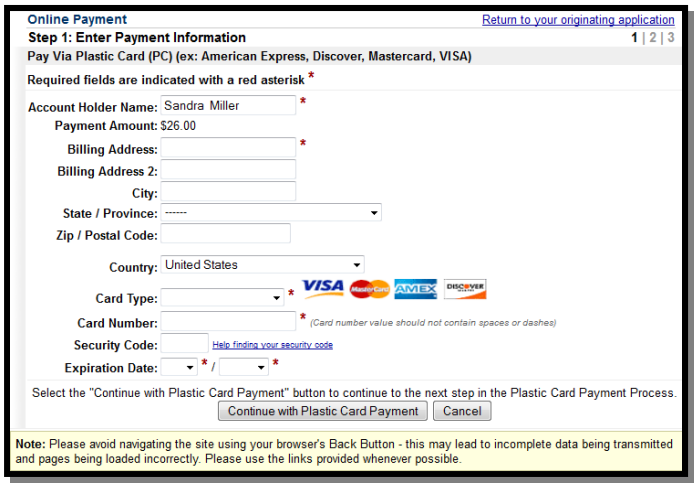
Scroll down and select the appropriate one.

- For Check and Money Order payments, continue with Section 3.4.2.3
- For Credit Card (pay.gov) payments, continue with the instructions below.

The "Online Payment, Step 1: Enter Payment Identification" page will appear.

Populate all required fields (*) (Account Holder Name, Billing Address, Card Type, Card Number, Expiration Date.)

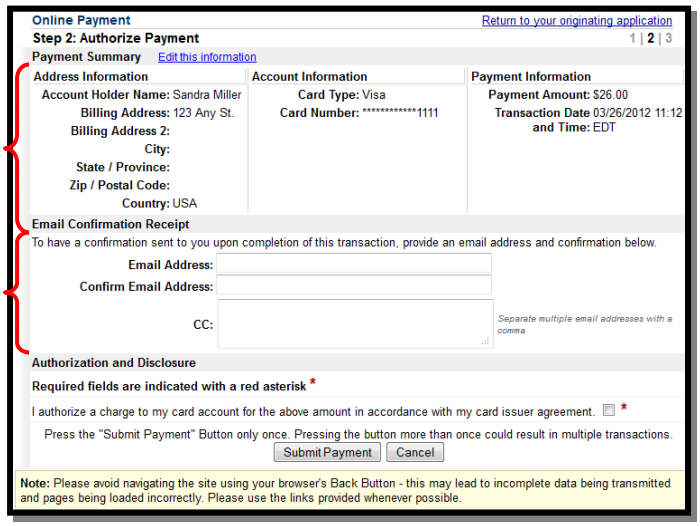
Select the Continue with Plastic Card Payment button.

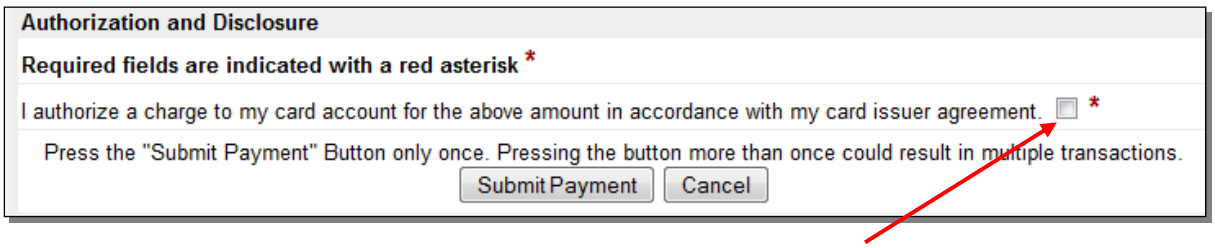


The "Online Payment, Step 2: Authorize Payment" page will appear.

Verify the information listed is accurate. If not, select the link: Edit this information.

It is highly recommended to populate the **Email Address** and **Confirm Email Address** fields. Enter additional emails (if desired) within the **CC:** field.





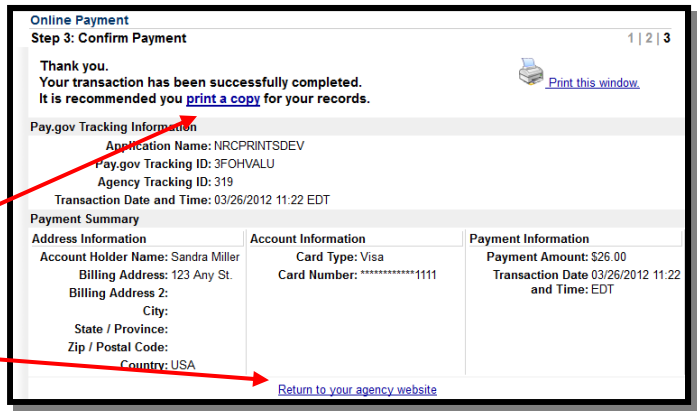
Select the checkbox (☑) to **authorize a charge to my card account**.

Select the Submit Payment button.

The "Online Payment, Step 3: Confirm Payment" page will appear.

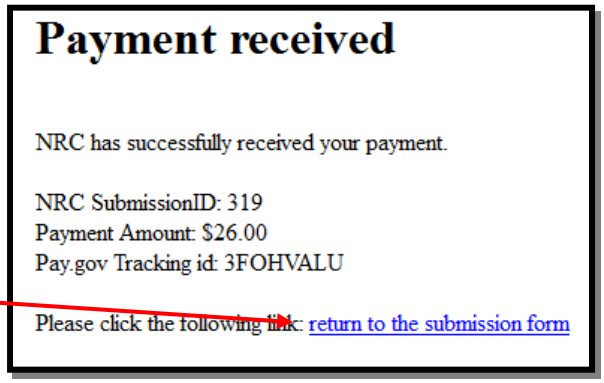
To print the payment information for your records, select the print a copy link.

To complete the submittal, select the Return to your agency website link (continue with the instructions below).



The page will update stating the Payment was received and will list the NRC Submission ID number, the amount paid and the Pay.gov Tracking ID number.

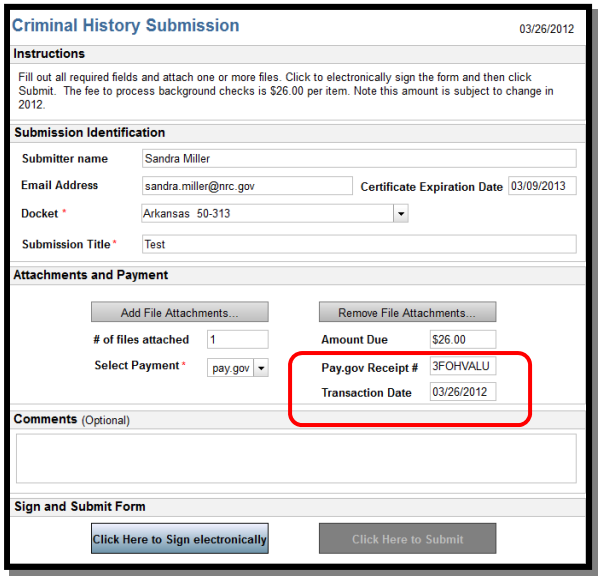
Click on the return to the submission form link.



The "Criminal History Submission" page will display with the **Pay.gov Receipt #** field and the **Transaction Date** field populated.

After the **Pay.gov Receipt #** field is populated, the user may neither *add* nor *delete* files from the submission.

Note: An email will be delivered from paygovadmin stating the payment has been submitted. If you have any questions regarding the payment, contact: Pay.gov Customer Service by phone at (800) 624-1373 or by email at pay.gov.clev@clev.frb.org.



3.4.2.3 Comments Section

Within the **Comments** field, enter any information that may be useful to assist the NRC in processing the submission.

3.4.2.4 Sign and Submit Form Section

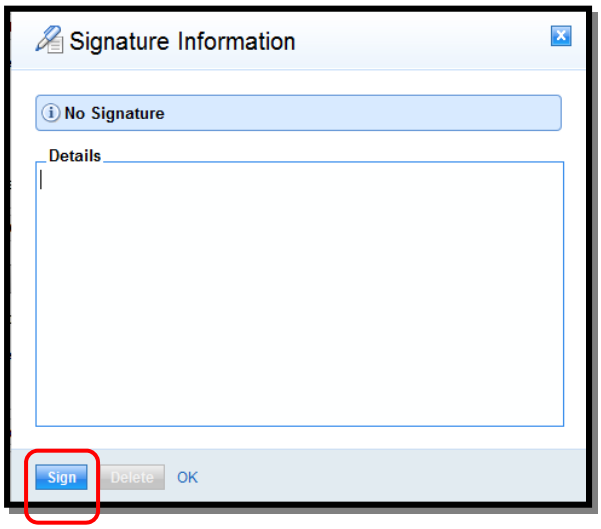
Upon populating all required fields, the **Click Here to Sign electronically** button becomes activated.

Click on the **Click Here to Sign electronically** button

A "Signature Information" dialogue box appears.

Select the

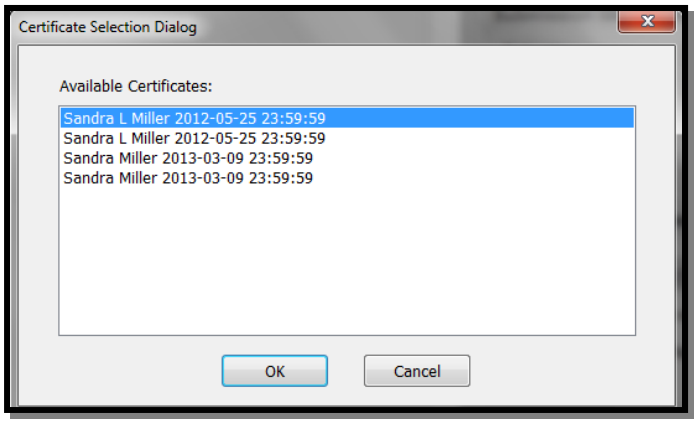
button.



A “Certificate Selection Dialog” box will appear.

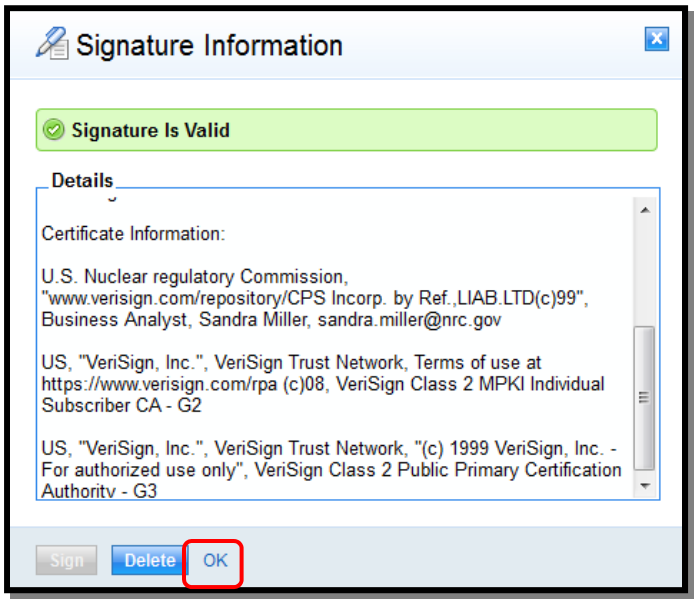
First, click on the applicable certificate.

Then, select the OK button.



The “Signature Information” dialogue box will appear, stating the Signature is Valid and the Details box populated.

Select: OK



The button will update, displaying the certificate user’s name and email address.

Click on the **Click Here to Submit** button.

The screen will update with a message that the submission was received.

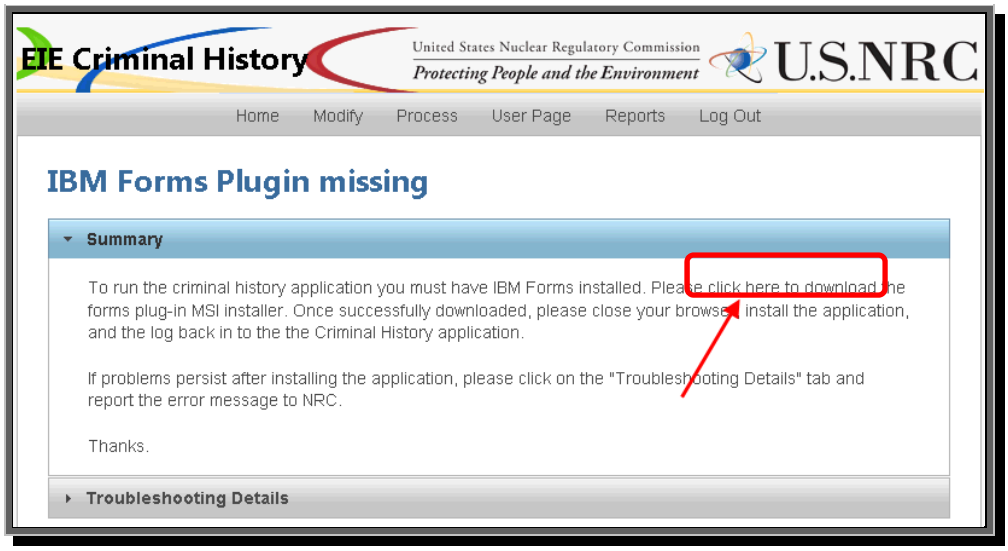
Based on the type of payment selected, the user will receive the following email:

Check or Money Order: Acknowledgement of submission - payment *pending*. The email will list the Submission number as well as the number of attachments. Additionally, the email will state that payment has not yet been received and the submission can not be processed until payment has been received.

Credit Card (Pay.gov): Acknowledgement of submission - payment *received*. The email will list the Submission number as well as the number of attachments.

3.4.2.4.1 First-Time Users

When attempting to sign the form, first-time users will need to install an Active-X plug-in that will enable the signing function on the submission form. If the plug in not already installed in the browser, the user will see the following message:



Select the click here to download link and follow the instructions in the Installation Wizard screens that follow.

Note: Depending on the security rights users are permitted this installation may require the assistance of a local System Administrator.

3.4.3 Submission History

Within the menu bar, click on Submission History to display "My Criminal History Submissions" page, which is primarily a reporting device for users.

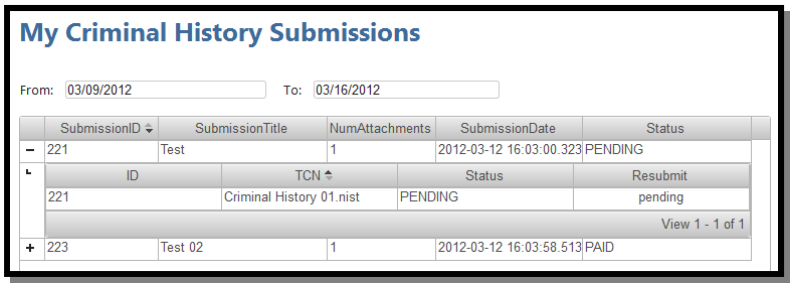
Users can see a history of what they submitted and when.

Within the **Status** field, items at PENDING are awaiting payment (vs. items at PAID status).

Additionally, this page provides users the ability to resubmit a form.

Note: Clicking within a column header (i.e. SubmissionID, Submission Title, etc.) allows for sorting in descending and ascending order. The only exception to this rule is the NumAttachments header.

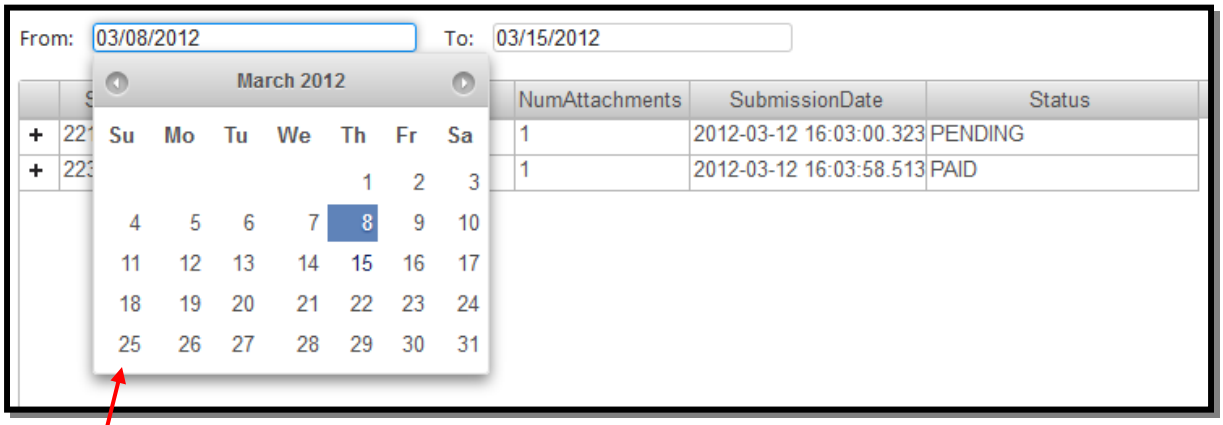
To reveal additional information regarding the submission, click on the **+** to the left of the SubmissionID column:



3.4.3.1 Refine Submission List

The **From** and **To** fields are auto-populated. The **To** field contains "today's" date, while the **From** field is seven (7) days prior to "today's" date.

To refine or expand the list presented, the user may click within the **From** and/or **To** fields.

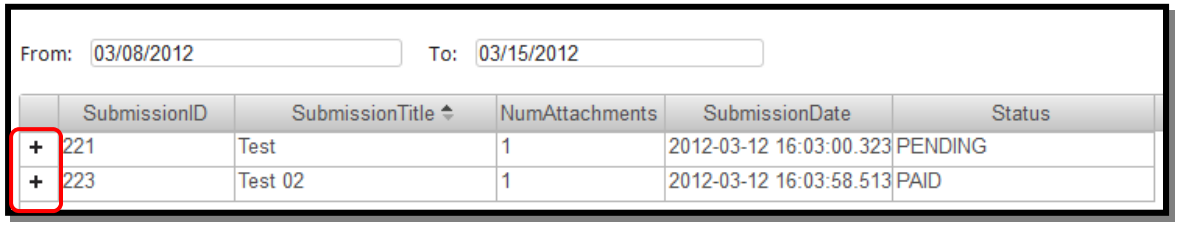


A calendar will appear.

- <u>To expand the results</u>, delete the date listed. By performing this action in both fields, all submissions made by the user will be displayed.
- <u>To revise the results</u>, click on a desired date and the field will update (this action can be performed in both date fields to narrow the results even further).

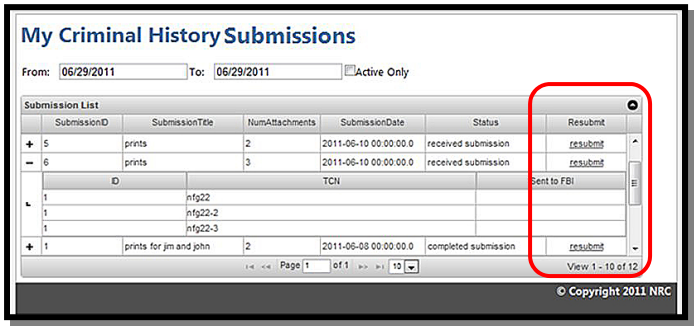
3.4.3.2 Resubmit Submission

To resubmit, there must be a reason, such as the FBI sent a message stating they couldn't read the prints, therefore, you must resubmit.



After being informed by the FBI that a resubmit is required, from "My Criminal History Submissions" page, expand the Submission by clicking on the **+** to the left of the SubmissionID column.

Within the "Resubmit" column, select the Resubmit link for the item the FBI responded to.



The "Criminal History Resubmission" page is displayed.

The following fields are auto-populated and disabled:

- Submitter name
- Email Address
- Certificate Expiration Date
- Docket
- Submission Title

A file must be attached to the resubmission. Select the

Add File Attachment...

button.

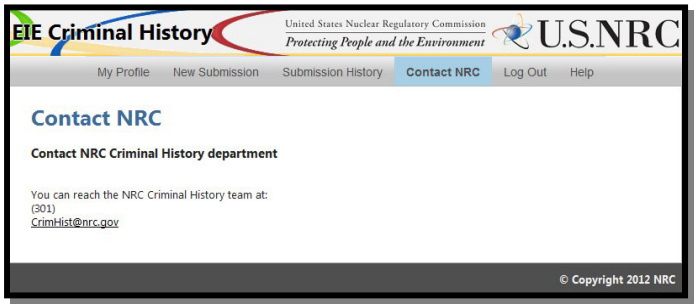
Note: Only one file may be attached to the resubmission form.

See Section 3.3.2.2.1 to attach files.

Click on the Click Here to Sign button.

3.4.4 Contact NRC

Within the menu bar, click on Contact NRC to display the "Contact NRC" page. Phone number and email contact information is provided.



The Criminal History email address is as an HTML hyperlink. By selecting this link, an email is created using the users default email client. It is pre-populated with the email address CrimHist@NRC.gov in the **To** field. The **Title** field is pre-populated with "NRC Request".

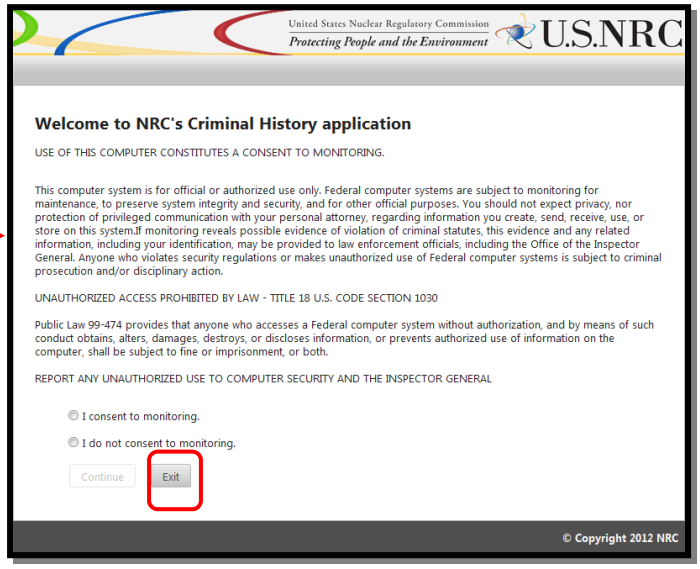
3.4.5 Logout

Within the menu bar, click on Log Out.

The "Welcome to NRC's Criminal History application" page will display.

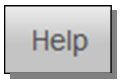
Select the Exit button.

The www.NRC.gov homepage will display.



You may close your internet browser.

3.4.6 Help

Within the menu bar, click on 

to display the “Help Center”.

A link to the complete step-by-step user guide is provided as well as links to subject specific instructions.