Criminal History
User Guide

October 2012

Revision 2

Table of Contents

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).

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

<table>
<tr><td></td><td>

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.
</td></tr>
</table>

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.
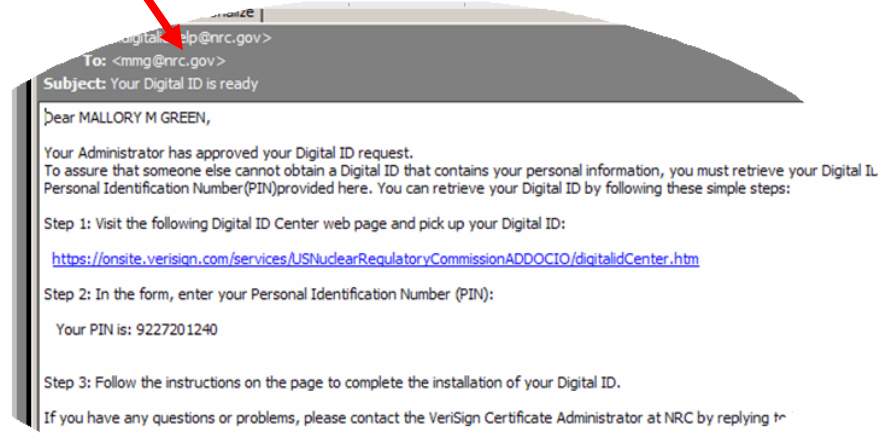
To pick up and install your digital ID certificate, open the "**Your Digital ID is ready**" e-mail message.
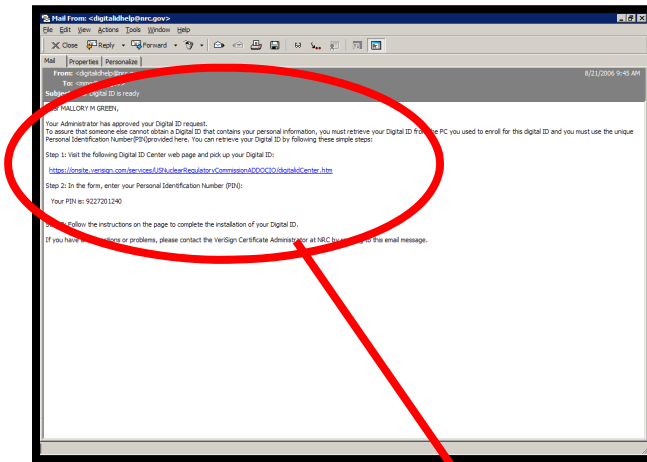
Copy the PIN (provided in the e-mail message). An easy copying method is to highlight the PIN then

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.
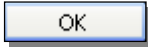
3. Submissions
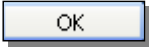
3.1   Access the Criminal History Application

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).
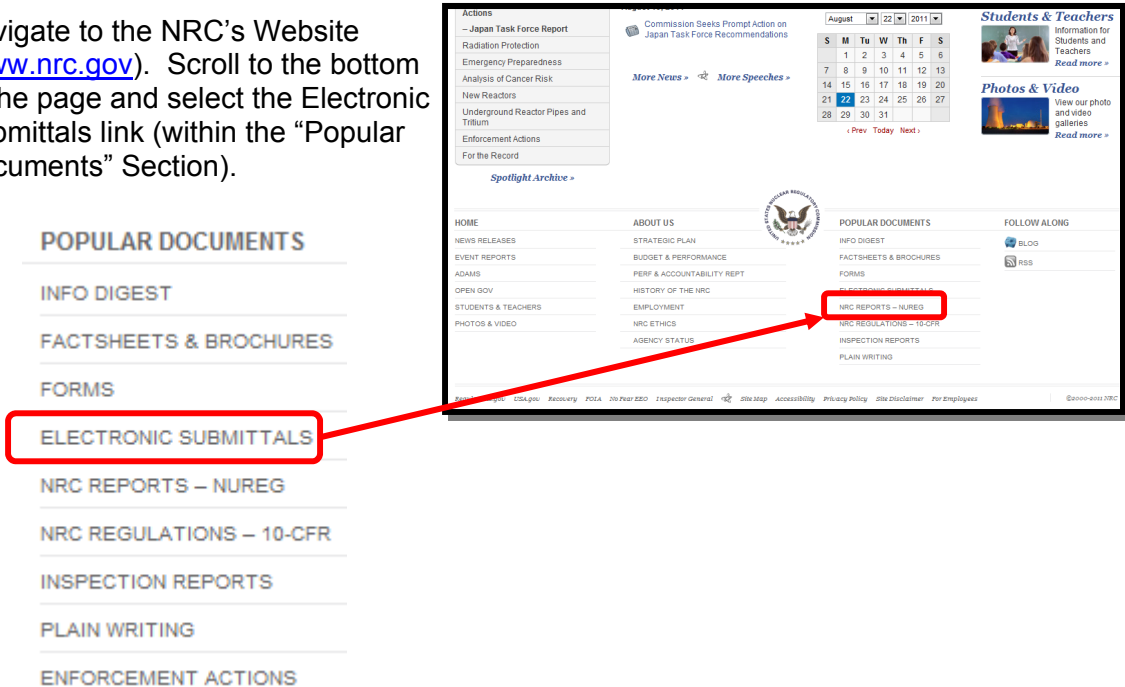

From the "Electronic Submittals" Web page, select:

♦   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.
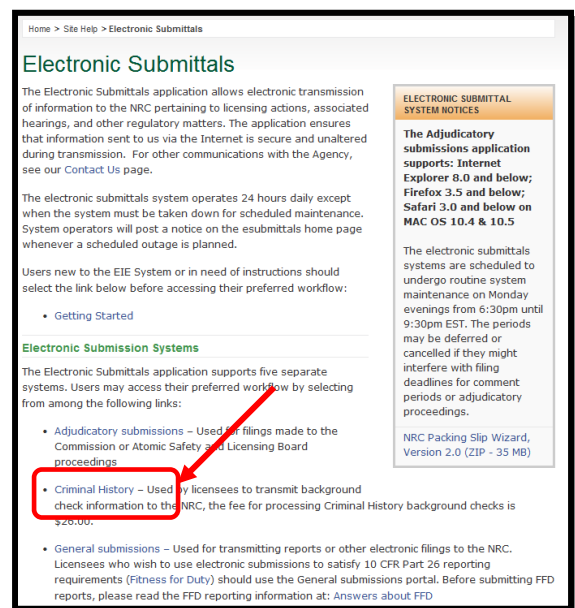
3.2   Consent to Monitoring

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:

⦿ I do not consent to monitoring.

[Continue]   [Exit]

Continue as follows:

* First Time Users: See Section 3.3.1 (Request Access to Criminal History)
* First time installing the Active X plug: See Section 3.3.2 (Install the Signing Active X plug in)
* Continuous users: See Section 3.4 (Welcome to the NRC Criminal History Page).

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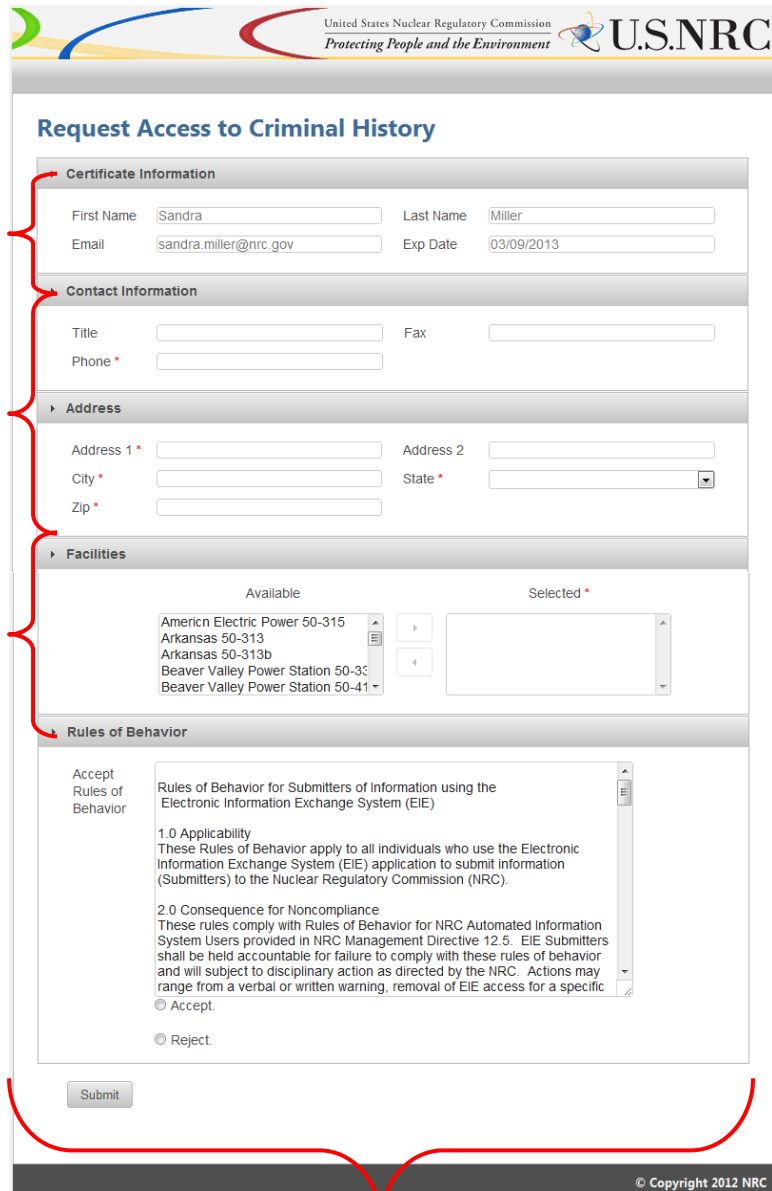
"Contact Information" and "Address" sections are text fields (with the exception of **State**, which contains a drop down menu to select from).

"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.

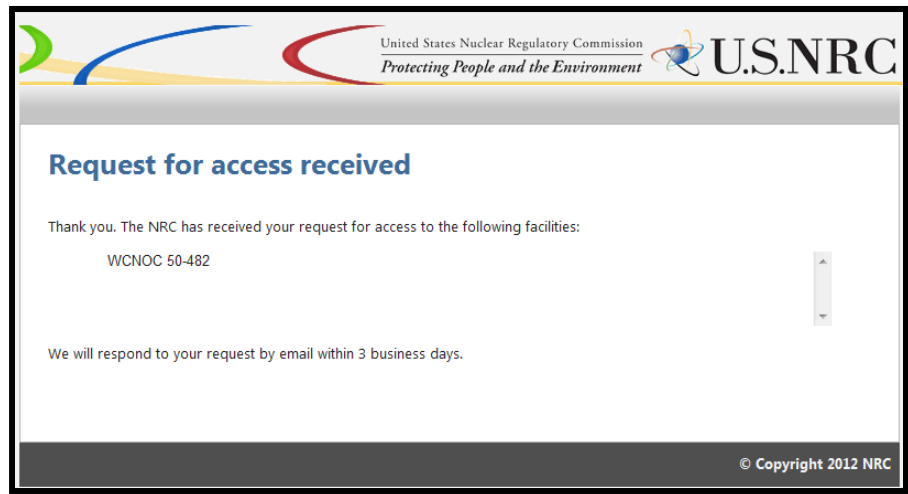**Note:** If an error was made, select the Facility within the **Selected** box, then select the [◀] arrow.

Request Access to Criminal History

Certificate Information

| First Name | Sandra | Last Name | Miller |
| Email | sandra.miller@nrc.gov | Exp Date | 03/09/2013 |

Contact Information

| Title | | Fax | |
| Phone * | | | |

Address

Address 1 *		Address 2	
City *		State *	
Zip *			

Facilities

Available

Americ Electric Power 50-315
Arkansas 50-313
Arkansas 50-313b
Beaver Valley Power Station 50-33
Beaver Valley Power Station 50-41

Selected *

Rules of Behavior

Accept Rules of Behavior

Rules of Behavior for Submitters of Information using the Electronic Information Exchange System (EIE)

1.0 Applicability
These Rules of Behavior apply to all individuals who use the Electronic Information Exchange System (EIE) application to submit information (Submitters) to the Nuclear Regulatory Commission (NRC).

2.0 Consequence for Noncompliance
These rules comply with Rules of Behavior for NRC Automated Information System Users provided in NRC Management Directive 12.5. EIE Submitters shall be held accountable for failure to comply with these rules of behavior and will subject to disciplinary action as directed by the NRC. Actions may range from a verbal or written warning, removal of EIE access for a specific

○ Accept.

○ Reject.

Submit

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.

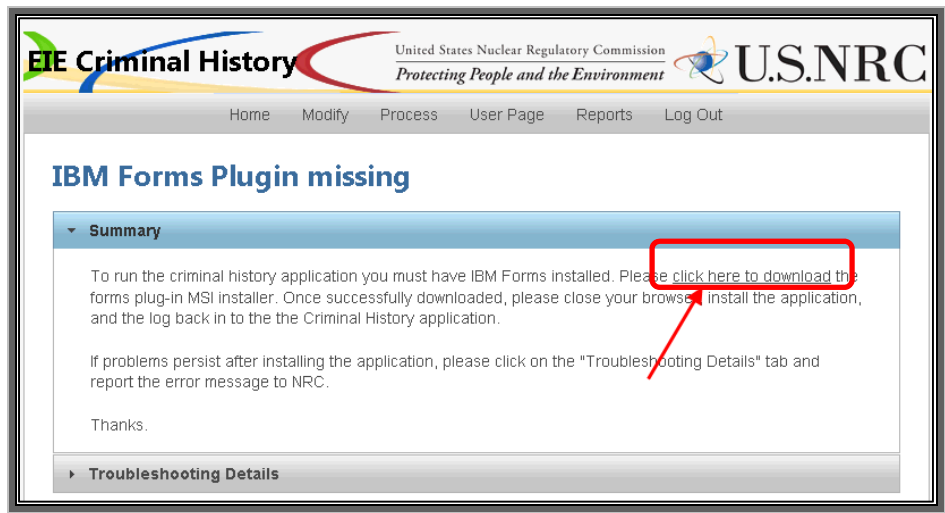After completing and submitting the form, a "Request for access received" page is displayed.

Request for access received

Thank you. The NRC has received your request for access to the following facilities:

WCNOC 50-482

We will respond to your request by email within 3 business days.

© Copyright 2012 NRC

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.

IBM Forms Plugin missing

▼ Summary

To run the criminal history application you must have IBM Forms installed. Please click here to download the forms plug-in MSI installer. Once successfully downloaded, please close your browser, install the application, and the log back in to the the Criminal History application.

If problems persist after installing the application, please click on the "Troubleshooting Details" tab and report the error message to NRC.

Thanks.

▶ Troubleshooting Details

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 "Home" page:
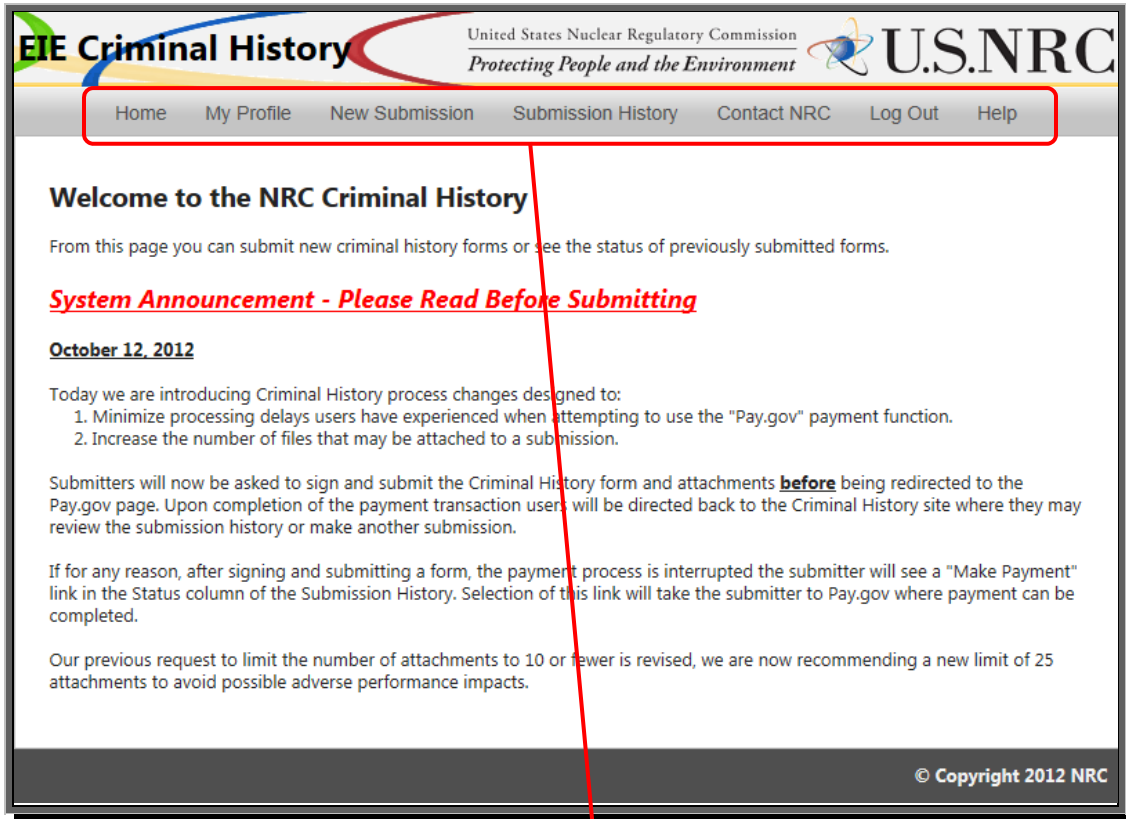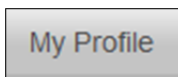
The following options are available:
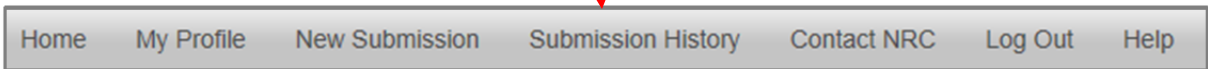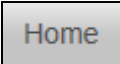
3.4.1 My Profile
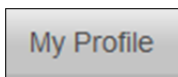
Within the menu bar, click on [My Profile] to display the "Profile" page. The following options are available to the user:

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

Note: Click on [Home] to redisplay the "Welcome to the NRC Criminal History" page shown above.

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 [Save] button.

A "Saved" dialogue box will display.

Click the [Ok] button.

3.4.1.2 Request Additional Access

Within the "Facilities" section, click on the

Request Additional Access

button.
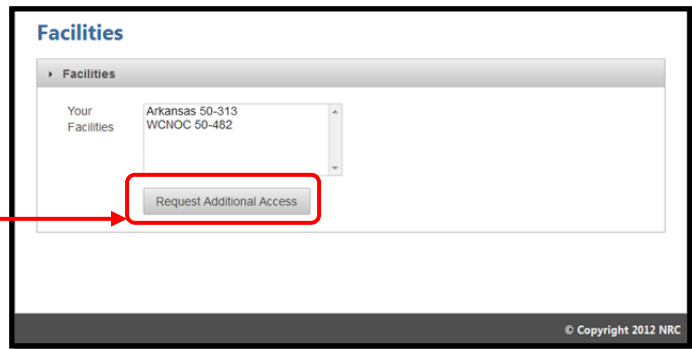
The "Request Facility Access" page will appear.

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.

Fill out all required fields (annotated with a red asterisk [*]) and attached one more files. You must electronically sign the form and then submit to complete your submission. The fee to process background checks is $26.00 per item.

Note: This amount is subject to change in 2012.

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:

Submission Title *	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 *	▼		
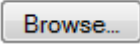
Select the Add File Attachments... button.

Note: *.nist*, *.nst* and *.eft* are the *only* three (3) acceptable file formats that can be attached to the form.

At a minimum, one (1) file must be attached.

! We recommend that you attach no more than *ten (10)* files to each submission.

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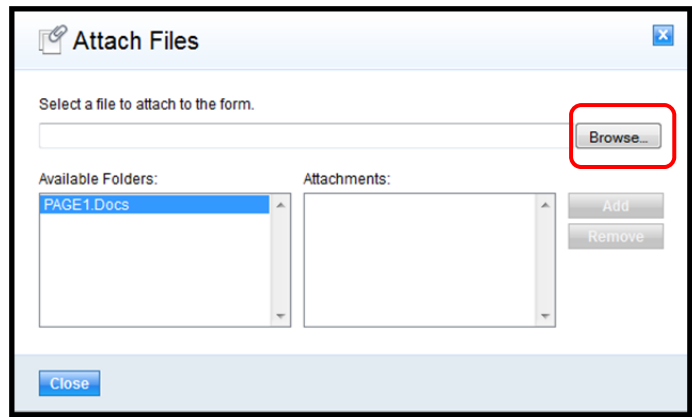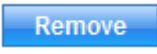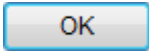
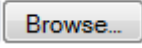The file will appear within the **Select a file to attach to the form** field.

Select the Add button.
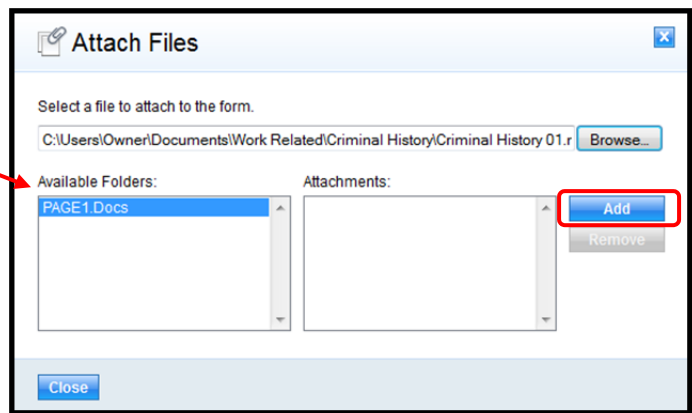
The file will then appear within the **Attachments** box.

**Note:** If the wrong file was attached, select the Remove button, then select the OK button to confirm the deletion.
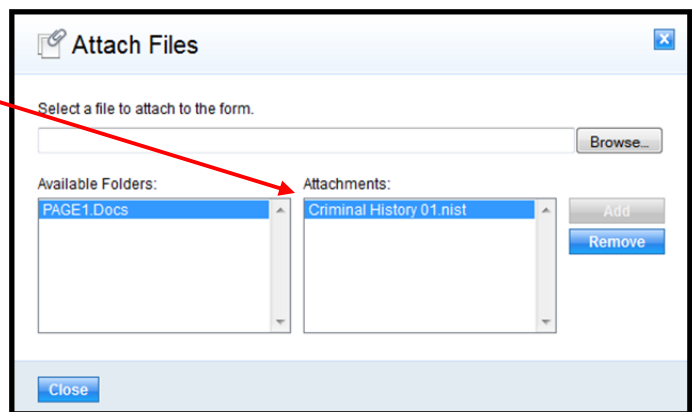
To attach additional files, repeat the steps beginning at the top of this page with selecting the Browse... button.

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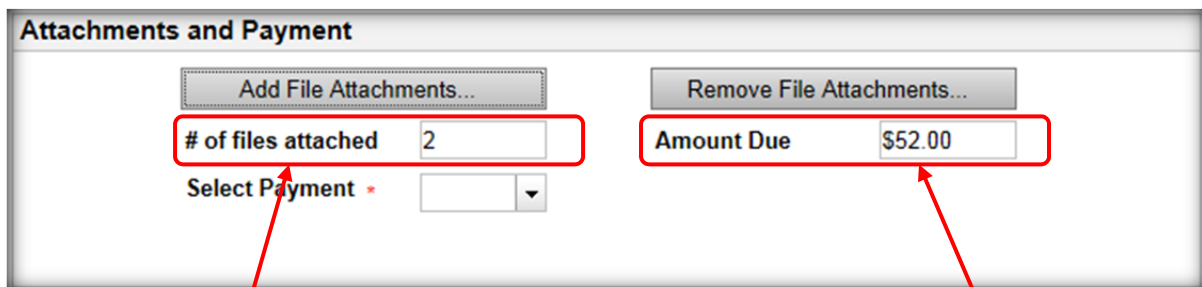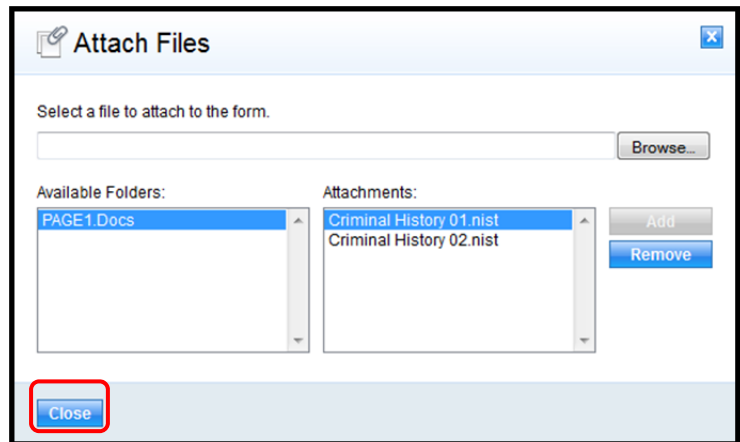
The **# of files attached** field will populate with the total number of files attached to the submission.

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

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

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.

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

⬩ For Credit Card (pay.gov) payments, continue with the instructions below.

Upon selecting the drop-down for pay.gov, a message will appear in red, as shown in the above example. Complete Sections 3.4.2.3 and 3.4.2.4 before proceeding to Section 3.4.2.5, Complete Online Pay.Gov Payment.

3.4.2.3 Comments Section

Comments

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

Note: First Time Users, see Section 3.4.2.4.1 prior to signing the form.

Sign and Submit Form

| Click Here to Sign electronically | Click Here to Submit |

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

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

A "Signature Information" dialogue box appears.

Select the **Sign** button.

Signature Information

(i) **No Signature**

Details

Sign   Delete   OK

A "Certificate Selection Dialog" box will appear.

First, click on the applicable certificate.

Then, select the [OK] button.
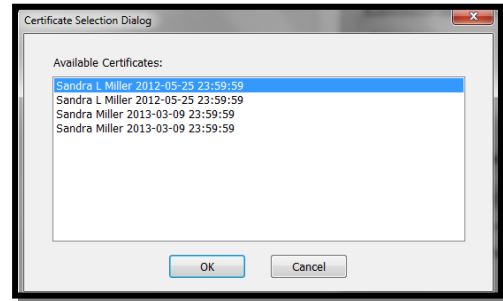
The "Signature Information" dialogue box will appear, stating the Signature is Valid and the Details box populated.

Select: OK
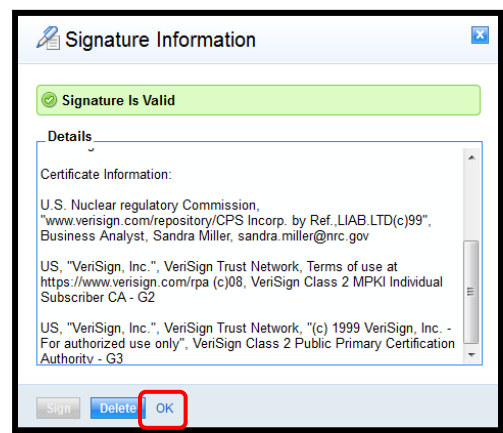
Sign and Submit Form

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

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

Note: If paid via Pay.Gov, continue with Section 3.4.2.5.
If paid via Check or Money Order, continue below.

A "Criminal History Submission Received" page will display when paying via Check or Money Order. The submittal process is completed.

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.

3.4.2.4.1 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:
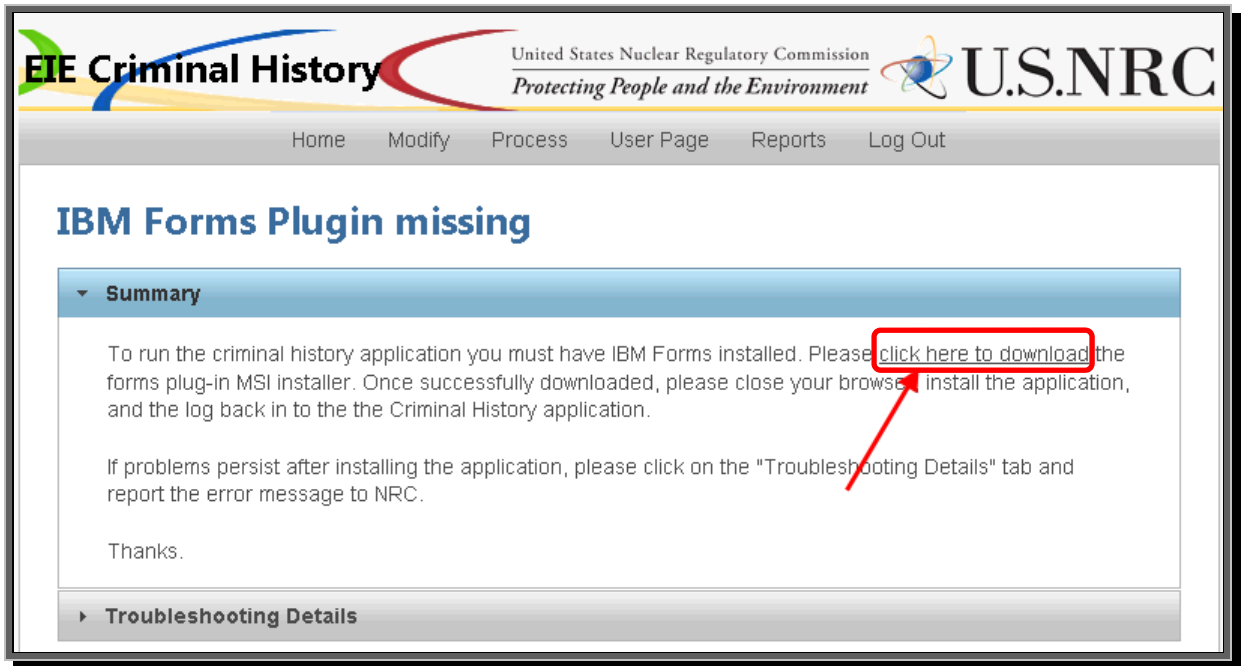
Select the click here to download link and follow the instructions in the Installation Wizard screens that follow.

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

3.4.2.5   Complete Online Pay.Gov Payment

The "Online Payment, Step 1: Enter Payment Information" 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 screen will update with a message that the payment was received.

> **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.

3.4.2.6 Email Acknowledgements

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.

3.4.3 Submission History

Within the menu bar, click on 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).

Users can see a history of what they submitted and when. It also allows the ability to resubmit and finish a submission.

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

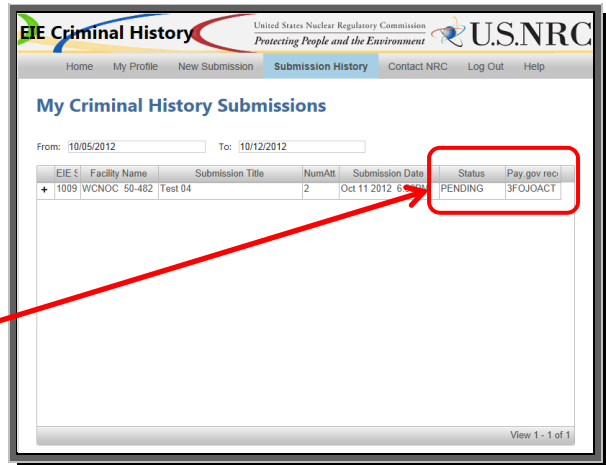Fields may be expanded to reveal the full field information:
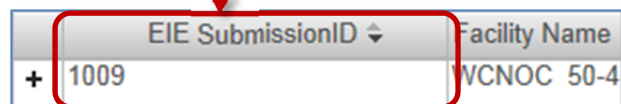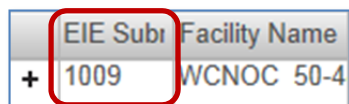
Within the **Status** field, items at PENDING are awaiting payment (vs. items at PAID status).

Within the **Pay.gov receipt** field, payments made via credit card are provided the Pay.Gov Tracking ID #.

Status	Pay.gov receipt
PENDING	
PENDING	3FOJOBRP
PENDING	3FOJOACT

Payments made via Check or Money Order, the **Pay.gov receipt** field will be blank.

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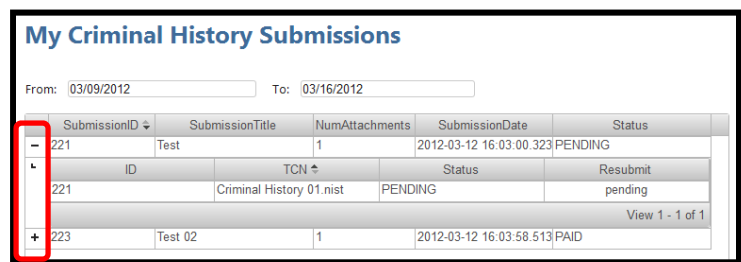
3.4.3.1 Refine Submission List

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.
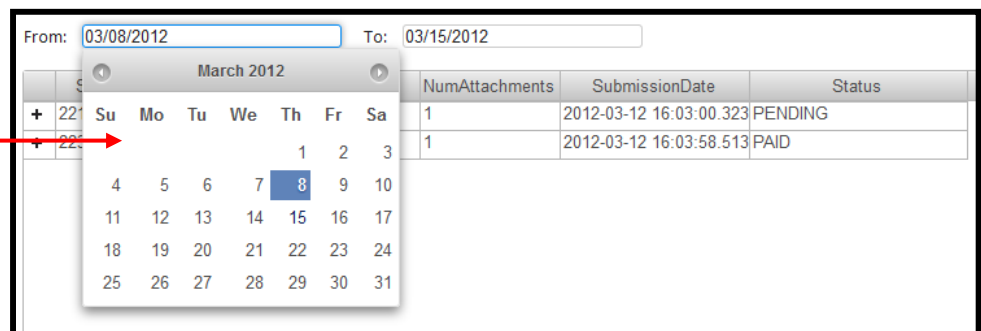
♦ <u>To expand the results</u>, delete the date listed. By performing this action in both fields, all submissions made by the user will be displayed.

♦ <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 could not read the prints, therefore, a resubmittal must be performed.

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

Only one file must be attached to the resubmission. Select the
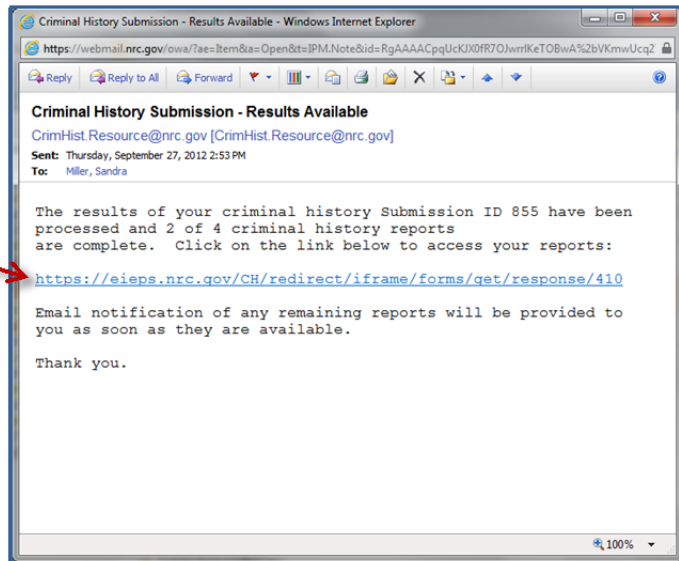
Add File Attachment... button.

See Section 3.4.2.2.1 to attach files.


Click on the   Click Here to Sign   button.

3.4.4 Retrieving Responses

When the results are available, an email will be delivered from CrimHist.Resource@nrc.gov with the subject: **Criminal History Submission - Results Available**.

Select the link provided within the email message.

Follow the certificate log in process to access the "Welcome to NRC's Criminal History application" page.

Select the **I consent to monitoring** radio button, followed by selecting the [Continue] button.
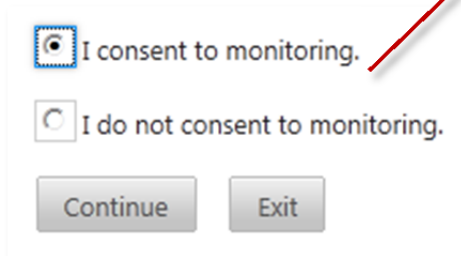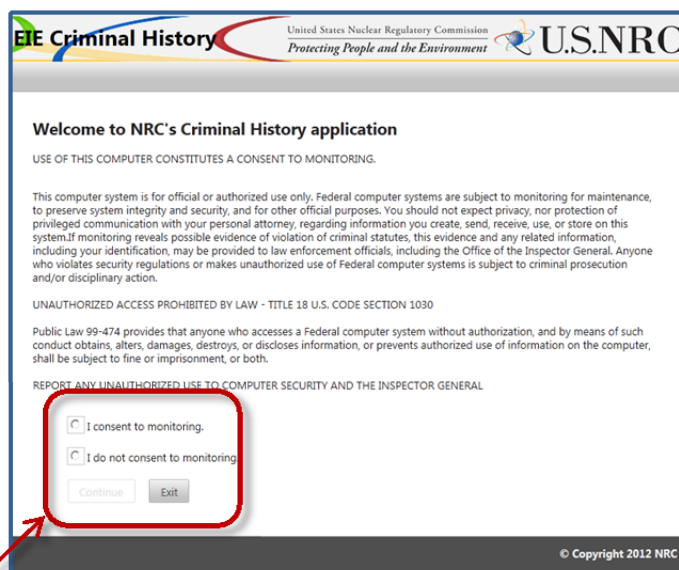
Comments (Optional)

There are 2 files attached to this response. The remaining 2 file(s) will be sent as soon as available.

The "Criminal History Response" page will display.

Information will be provided within the **Comments** field stating the number of files attached.

In the example above, 2 files are attached to the response, while the other 2 files will be sent at a later time.
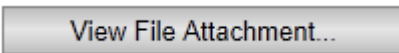
In the example below, the final 2 files are attached, which completes the responses for this submission.

Comments (Optional)

There are 2 files attached to this response. This completes the responses for this submission

Select the

View File Attachment...

button.
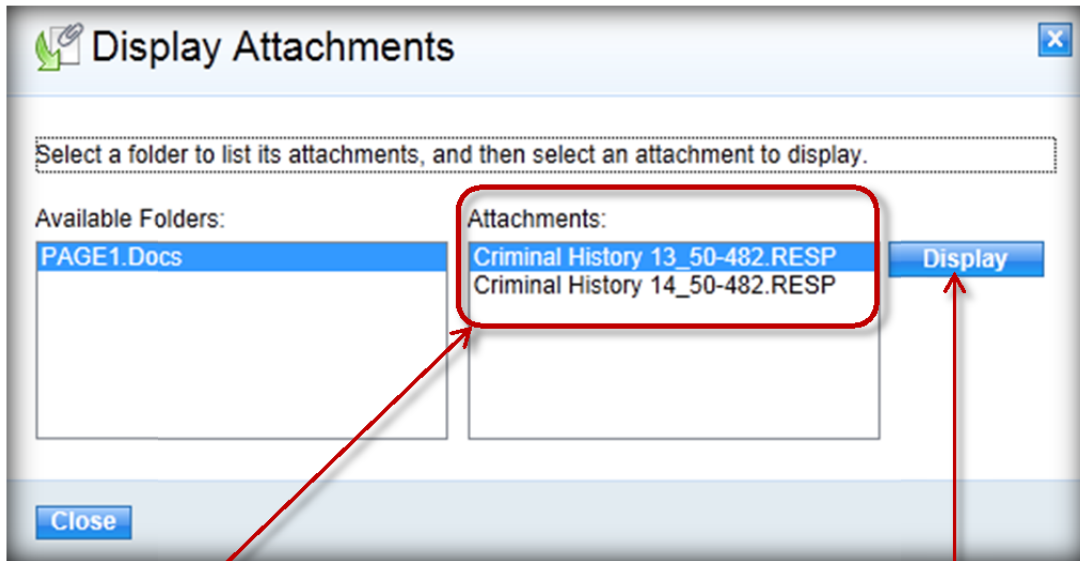
Select the attachment to be viewed.

Then select the Display button.
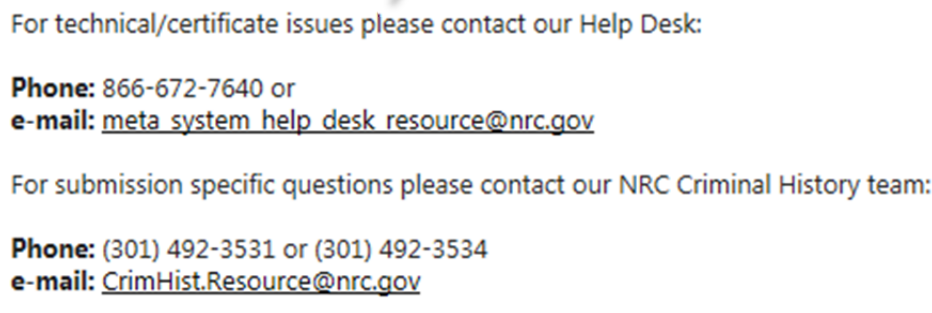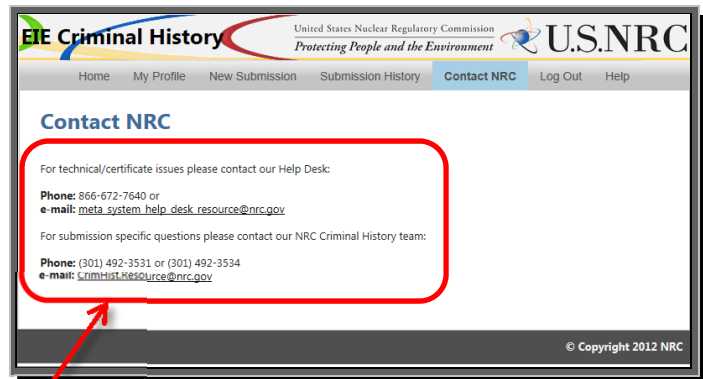
The response will be displayed for your review.

3.4.5 Contact NRC

Within the menu bar, click on

[Contact NRC] to display the "Contact NRC" page. Phone number and email contact information is provided.

For technical/certificate issues please contact our Help Desk:

Phone: 866-672-7640 or
e-mail: meta_system_help_desk_resource@nrc.gov

For submission specific questions please contact our NRC Criminal History team:

Phone: (301) 492-3531 or (301) 492-3534
e-mail: CrimHist.Resource@nrc.gov

The Criminal History email address is an HTML hyperlink. By selecting this link, an email is created using the users default email client. The **To** field is populated with CrimHist.Resource@NRC.gov and the **Subject** field are populated with "NRC Criminal History Request".

3.4.6 Logout

Within the menu bar, click on

[Log Out].

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

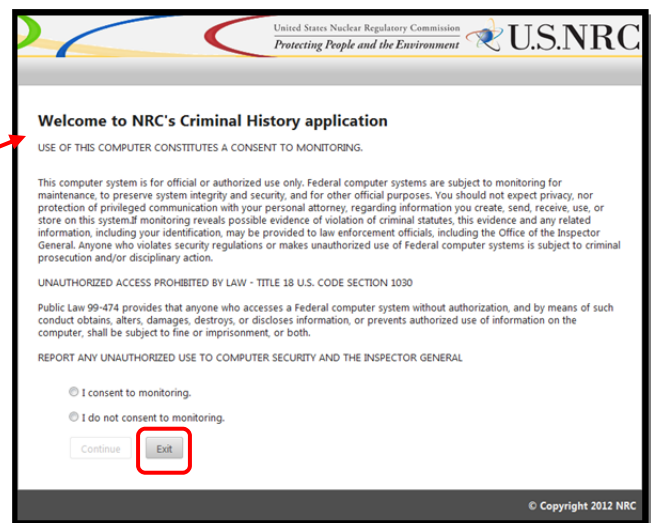Note: To return to the Criminal History page, select the Back button.
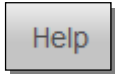
Select the [Exit] button.

The "Electronic Submittals" page (http://www.nrc.gov/site-help/e-submittals.html) will display. You may close your internet browser.

3.4.7 Help

Within the menu bar, click on

Help

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.

Troubleshooting:

Several users have experienced Criminal History processing interruptions. These occur after completion of signing and submitting the Criminal History form, but before completing the pay.gov payment transaction. We know this has caused extra work and frustration for our submitters. To alleviate this problem we have inserted a link in the "My Criminal History Submissions" page that allows users to complete their interrupted submissions without having to initiate a new submission to resend fingerprint files. The process is outlined in the following frames.

Normal Process Flow:

1. A user has filled out the Criminal History submission form and has selected the **pay.gov** payment option.

Figure 1

2. *The user completes the Sign and Submit form.*

Attachments and Payment

Add File Attachments...		Remove File Attachments...
# of files attached	1	**Amount Due**	$26.00
Select Payment ✱	pay.gov ▾		

Please complete your submission, including signing and submitting. You will be redirected to pay.gov to complete payment after you have made your submission.

Comments (Optional)

Sign and Submit Form

| Sandra Miller (affiliate), sandra.miller@nrc.gov | Click Here to Submit |

Figure 2

Interruption:

3. At this point the payment has not yet been processed. Now, for some reason (timeout error, page cannot be displayed message, etc.) the Pay.Gov form does not reload. Here is an example of an error message you might receive:
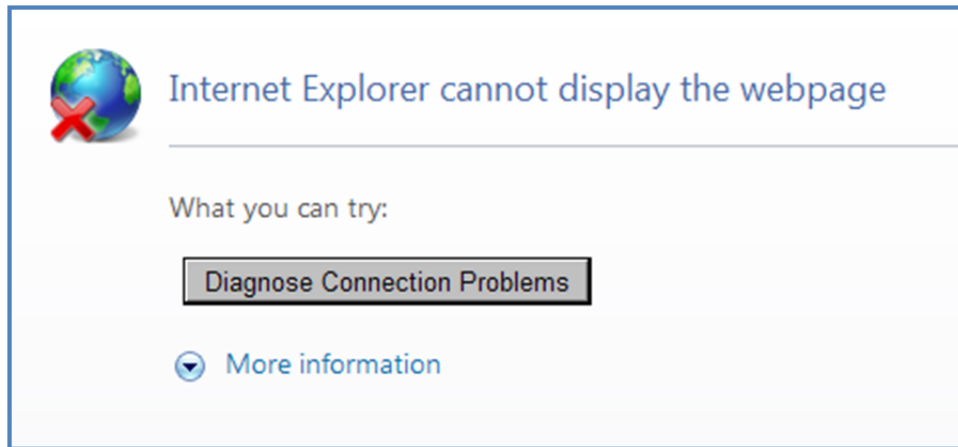

Internet Explorer cannot display the webpage

What you can try:

Diagnose Connection Problems

⌄ More information

Figure 3

4. The submission is now incomplete.

Solution:

5. Return to the Criminal History application and select the [Submission History] tab. On the page there will be a record of the submission with a link in the Status column titled: "Make Payment". This indicates the process has been interrupted and the submission is incomplete.

Status
Make Payment

EIE Criminal History — United States Nuclear Regulatory Commission — *Protecting People and the Environment* — **U.S.NRC**

Home | My Profile | New Submission | **Submission History** | Contact NRC | Log Out | Help

My Criminal History Submissions

From: 10/06/2012   To: 10/13/2012

	EIE S	Facility Name	Submission Title	NumAtt	Submission Date	Status	Pay.gov rec
+	1020	WCNOC 50-482	Test C	2	Oct 13 2012 4:44PM	Make Payment	
+	1019	WCNOC 50-482	Test B	2	Oct 13 2012 4:43PM	Make Payment	
+	1011	WCNOC 50-482	Test 06	1	Oct 12 2012 9:50AM	PENDING	
+	1010	WCNOC 50-482	Test 05	2	Oct 12 2012 9:43AM	PENDING	3FOJOBRP
+	1009	WCNOC 50-482	Test 04	2	Oct 11 2012 6:59PM	PENDING	3FOJOACT

Figure 4

6. Select the "Make Payment" link. The system will reload the "Online Payment Step 1: Enter Payment Information" form (see Figure 5).

Figure 5

Resumption of the Normal Process Flow:

7. Continue with Section 3.4.2.5, Complete Online Pay.Gov Payment.

8. The system will process the submission form. While it is processing the word 'PAID' will initially appear *in the Status column for the submission* and the Pay.gov receipt will be displayed.

Figure 6

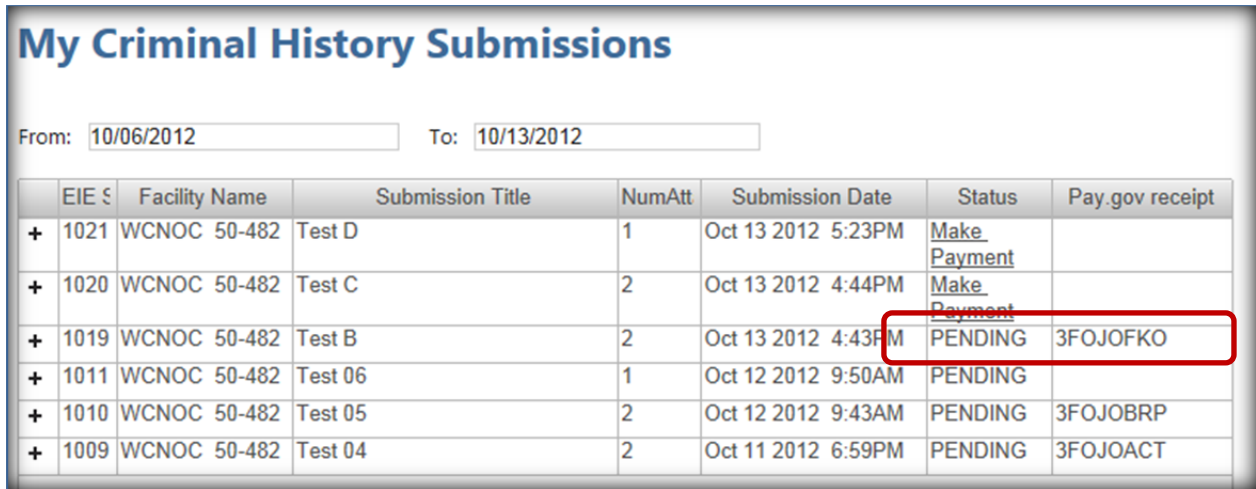9. When processing is complete the Status will update to 'PENDING'.

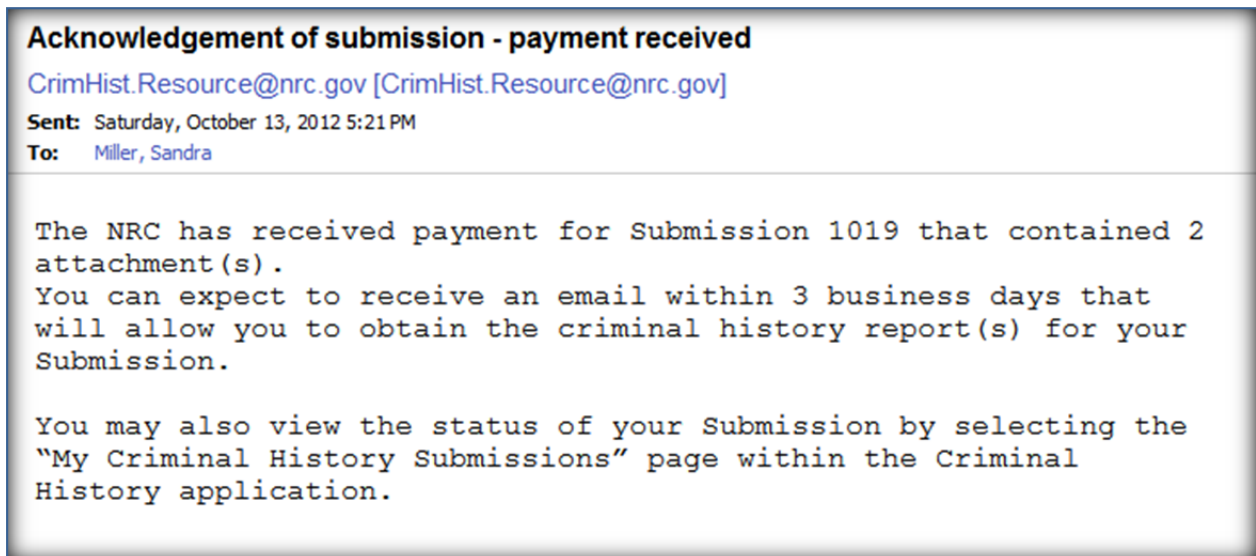| Note: | It will be necessary to refresh the browser to see this update. |

Figure 7

10. At the same time the Status changes to 'PENDING' the system will dispatch an e-mail confirming NRC's receipt of the submission.

Figure 8