

“Submit” or “Retrieve” hyperlink to access the form.

Once the form is displayed, users will need to fill in the fields on the form and attach the document(s) for submission to the NRC. Once the fields have been filled in and the intended documents are attached, the form must be digitally signed.

Documents submitted electronically using EIE do not need to be digitally signed by the author(s). They may be digitally signed by the person who transmits them, but the author(s) are accountable for the content of the document(s) submitted. Generally, the persons who will digitally sign documents and transmit them electronically to the NRC are the same persons who currently dispatch licensing documents through the mail to the NRC. Licensees and vendors submitting documents via EIE do not need to send confirming hard copies of the electronic documents.

NRC regulations require that some documents be filed under oath or affirmation. There are currently two acceptable methods for providing this oath using the EIE processes.

1. Documents requiring oath or affirmation may use EIE to digitally sign the affirmation on the document. Using this process, the document must conclude with a statement to this effect: “I declare under penalty of perjury that the foregoing is true and correct. Executed on [date]”.

The electronic document must be digitally signed by the person affirming this statement. This person may then transmit the document directly to the NRC using EIE or may forward the document to someone else for transmission to the NRC. In the latter case, the transmitter must also sign the document to authorize the electronic transmission.

Except as set forth below, multiple documents requiring individual digital signatures by different persons cannot be sent in a single EIE transmission. The current EIE process only allows two persons to digitally sign a single transmission. Therefore, the NRC recommends that the method described below in item 2 be used for submissions that require multiple oath and affirmations.

Note: When digitally signing a document, the submitter is actually digitally signing the transmission form, not the document. Signing the form is the equivalent of signing the document.

2. Oath or affirmation affidavits may also be created in hard copy and physically signed. The original paper copy may then be scanned to create a PDF Searchable Image (Exact) file of the original signature page. This page, with the rest of the PDF file of the entire attachment, may then be submitted via EIE.

Note: Although there are other methods available to electronically sign documents using wordprocessing and other software, these are not currently acceptable for use in signing documents for submission to the NRC because they do not provide the levels of authentication, certification, and non-repudiation that are present in the EIE process.

Documents transmitted to the NRC electronically using EIE will be time- and

date-stamped when the last bit of the transmittal is received by the EIE server. The time and date of the transmission will become part of the record in the NRC’s Agencywide Documents Access and Management System (ADAMS). The transmitter will be e-mailed a notice of receipt of the document. The notice will include the time and date the transmission was received at the NRC.

Submission of documents via EIE satisfies agency submittal requirements. The submitter need not send additional copies to NRC regions or other agency offices.

For more detailed information and step-by-step procedures on how to submit documents to the NRC using EIE, see the “EIE Submittal Procedures” on NRC’s Web site at <http://www.nrc.gov/site-help/eie.html>.

3.8 Where To Submit Documents

Documents submitted using EIE are automatically sent to the NRC Document Processing Center for processing into ADAMS. No additional information is necessary, except for submissions intended for a Region. Submissions intended for the Regions should have the Region(s) listed in the comment box contained on the submission form.

3.9 Sensitive or Non-Public Documents

Documents containing information that is deemed sensitive unclassified, specifically Proprietary Information (e.g. trade secrets, privileged, or confidential commercial or financial information), personal privacy information, or other Official Use Only information, may be submitted electronically via EIE. Documents containing Classified Information (i.e., National Security Information and Restricted Data) and Safeguards Information may not be submitted electronically via EIE.

Submissions made via EIE that contain non-public information must be clearly marked with the appropriate designation (i.e., Proprietary Information, Privacy Act Information, or Official Use Only Information). When submitting documents via EIE that contain both publicly and non-publicly available files, all of the files should be clearly marked.

3.10 Additional User Assistance (References and Contact Information)

Additional information, as well as detailed user guides can be obtained from NRC’s Web site at <http://www.nrc.gov/site-help/eie.html>.

Should you have any questions, please contact the Local Registration Authority (LRA) at 301-415-6030 or by e-mail at EIE@nrc.gov.

4.0 Guidance for CD-ROM Submissions

4.1 Who Can Participate

This guidance is intended for licensees, applicants, external entities (including Federal, State, and Local governments), vendors, and members of the public who submit documents to the NRC.

4.2 What Can Be Submitted

Documents may be submitted via CD-ROM except as noted in section 1.3.1.B. above. As mentioned in Section 1, there are also

documents that should only be submitted using CD-ROM, such as large documents exceeding 50MB and documents that contain special printing requirements. Documents containing Classified Information (i.e., National Security Information and Restricted Data) and Safeguards Information may only be submitted electronically on CD-ROM and not via EIE or e-mail.

4.3 How To Submit CD-ROMs to the NRC

Each electronic submission made on CD-ROM must be transmitted by a signed letter in paper format (see transmittal letter example below). On the first page of the transmittal letter, submitters should include the following information, if applicable:

- Organization or Individual Name/Address (Author).
- Docket Number (050-00XXX, 030,XXXXX, 110,XXXXX).
- Subject Line (a non-sensitive, brief, descriptive narrative of the subject of the submission that should include any relevant regulation upon which the submission is based).
- Any requests for withholding from public disclosure in accordance with 10 CFR 2.790.

On the last page of the transmittal letter, submitters should provide:

- The name, mailing and e-mail addresses, and phone number of a contact person who can resolve discrepancies, if any, in document submissions.
 - A complete listing of the document components (electronic files and/or physical objects) that make up the submission. The components should be listed in the order in which they appear in the document. CD-ROM submissions that require multiple CD-ROMs to transmit all of the document components should indicate the total number of CD-ROMs included in the submission.
- Each of the listed components should indicate the following information:
- The file name (as defined in Section 2.2, including file extension).
 - The size of the file.
 - Sensitivity level (e.g., publicly available, proprietary, classified, etc.).
 - A non-sensitive description of all non-document components (e.g., digital image, etc.) in the format illustrated by the example below.

In addition, If there are any special instructions regarding the use of the CD-ROM (e.g., how to open the files, access the publication, etc.), include them as part of the transmittal letter.

For electronic submissions via CD-ROMs that contain Classified Information (i.e., National Security Information and Restricted Data), sensitive unclassified information, or non-public documents, additional requirements apply as described in sections 4.3.1 and 4.3.5.

Transmittal Letter Example

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Office of the General Counsel
Hearing Division
Washington, DC 20585
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[Docket WM-00011 (PRE)]