



# **Adjudicatory Submission User's Guide**



**October 2016**

**Revision 1**



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## 1. Introduction

This document outlines step-by-step instructions for successfully submitting adjudicatory documents electronically to the NRC via the Electronic Information Exchange (EIE) process, which is available on the NRC's Web page ([www.nrc.gov](http://www.nrc.gov)), by means of the **Adjudicatory Submissions** link found under the “**Popular Documents**” section (<http://www.nrc.gov/site-help/e-submittals/adjudicatory-sub.html>).

## 2. First Time User Required Actions

To submit documents to the NRC, first-time users must successfully complete the steps described in [Section 2.1](#). These are one-time, nonrecurring steps.

### Have you performed the first time user required actions?

- Yes** See [Section 3](#) (for preparing the document for submission).  
**No** Complete [Sections 2.1](#) , prior to proceeding to Section 3.

### 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 enroll for the certificate. This is a security precaution imposed by Verisign, 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.

Follow the instructions provided in the Enrollment and Activation User Guides found at <https://pki.nrc.gov/ecs/guides.html>.



### 3. 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 "Reference Materials for Electronic Submissions" Web page (<http://www.nrc.gov/site-help/electronic-sub-ref-mat.html>).

The screenshot shows the NRC website's navigation and content area. At the top, there is a search bar and a 'REPORT A SAFETY CONCERN' button. Below the navigation menu, the breadcrumb trail reads: Home > Site Help > Electronic Submittals Application > Reference Materials for Electronic Submissions. The main heading is 'Reference Materials for Electronic Submissions'. The introductory text states: 'The information on this web page is designed to assist users in submitting documents electronically to the NRC.' A 'RELATED INFORMATION' box on the right lists: 'Electronic Maintenance and Submission of Information ("E-Rule")' and 'E-Filing Rule (EXIT)'. The main content area contains a list of links and resources:

- [Guidance for Electronic Submissions to the NRC, Revision 6.1](#)
- [Video clips to assist users in preparing PDFs in compliance with NRC guidelines. This Video clip includes the following:](#)
  - Intro
  - Download Distiller & Preflight profiles
  - Convert MS-Word document to PDF
  - Convert WordPerfect document to PDF
  - Preflight - Verification & Documentation testing
- [Simplified PDF Document Submittal Checklist as of 02/01/2010](#)
- [Desk Reference Guide for PDF Document Generation - Acrobat v. 9.0 as of 02/01/2010](#)
- [Desk Reference Guide for PDF Document Generation](#)
  - [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
    - Adobe 9.0 as of 02/01/2010
    - Adobe 10.0
    - Adobe 11.0
  - [Adobe Preflight Profiles \(Right click and select "Save Target As..." then save these with a .kfp extension\)](#)
    - Adobe 6.0
    - Adobe 7.0
    - Adobe 8.0
    - Adobe 9.0 as of 02/01/2010
    - Adobe 10.0
    - Adobe 11.0

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.



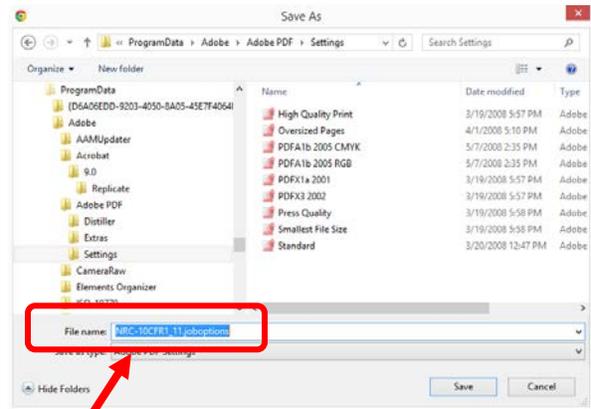
**Note:** A useful guide for PDF generation can be found by selecting the [Desk Reference Guide for PDF Document Generation](#) link, as well as [Desk Reference Guide for PDF Document Generation – Acrobat v.9.0](#).

Additionally, there are pre-configured PDF-Distiller profiles for Adobe 5/6/7/8/9/10/11 available that can be used to ensure PDF-rendered documents comply with NRC guidelines.

Simply right mouse click on the applicable Adobe version joboptions (e.g., [Adobe 9.0 as of 02/01/2010](#) ) 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.**



File name:



## 4. Submitting Adjudicatory Documents to the NRC

After successfully converting the document(s) to PDF, using the NRC-approved settings, navigate to the NRC's website ([www.nrc.gov](http://www.nrc.gov)) to begin the submittal process.

The screenshot shows the U.S. Nuclear Regulatory Commission (NRC) website homepage. At the top left is the NRC logo. The navigation bar includes links for NUCLEAR REACTORS, NUCLEAR MATERIALS, RADIOACTIVE WASTE, NUCLEAR SECURITY, PUBLIC MEETINGS & INVOLVEMENT, NRC LIBRARY, and ABOUT NRC. A search bar and a 'REPORT A SAFETY CONCERN' button are on the right. The main content area features a large banner with the text 'PROTECTING PEOPLE and the ENVIRONMENT'. Below the banner are several sections: 'Facility Locator', 'STAY CONNECTED' with social media icons, 'Spotlight' with a list of topics, 'News & Speeches' with a calendar for October 26, 2016, and 'Public Meetings' with a calendar grid. There are also sections for 'Commission Meeting Webcasts', 'Event Reports', 'ADAMS Public Documents', 'Open Government', 'The Student Corner', and 'In a Nuclear Emergency...'. At the bottom, there is a 'POPULAR DOCUMENTS' list with 'ADJUDICATORY SUBMISSIONS' highlighted in a red box. A red arrow points from this box down to the text below the page.

Scroll to the bottom of the website and click on the [Adjudicatory Submissions](#) link.



The “**Adjudicatory Submissions**” Web page will be displayed (<http://www.nrc.gov/site-help/e-submittals/adjudicatory-sub.html>).

The screenshot shows the U.S. Nuclear Regulatory Commission website. The header includes the NRC logo and tagline "Protecting People and the Environment". A navigation menu contains links for Nuclear Reactors, Nuclear Materials, Radioactive Waste, Nuclear Security, Public Meetings & Involvement, NRC Library, and About NRC. A search bar and a "REPORT A SAFETY CONCERN" button are also present. The main content area is titled "Adjudicatory Submissions" and contains the following text:

The U.S. Nuclear Regulatory Commission (NRC) regulations require the use of **electronic submittals** in the agency's hearings, consistent with the requirements and specifications set forth in the Electronic filing rule **EXIT** . Exceptions to the rule allow paper filings or filings on disc storage media only in limited circumstances.

The Adjudicatory Submissions system is one of the NRC's three existing electronic submission systems. This system is used for filings in proceedings before the Commission and Atomic Safety and Licensing Boards.

**\*Privacy Considerations:** *Unless excluded pursuant to an order of the Commission, an Atomic Safety and Licensing Board, or a Presiding Officer, documents submitted in adjudicatory proceedings will appear in the NRC's Electronic Hearing Docket, which is available to the public. Therefore, hearing participants should not include personal privacy information, such as social security numbers, in their filings unless such information is required by agency regulations [see, for example, paragraph (d)(1)(i) of 10 CFR 2.309] or other legal requirements.*

A red box highlights the link "Submit Adjudicatory Documents" in the "Related Instructional Resources" section. A red arrow points to this link from below the screenshot.

To submit Adjudicatory documents, click on the **Submit Adjudicatory Documents** link.



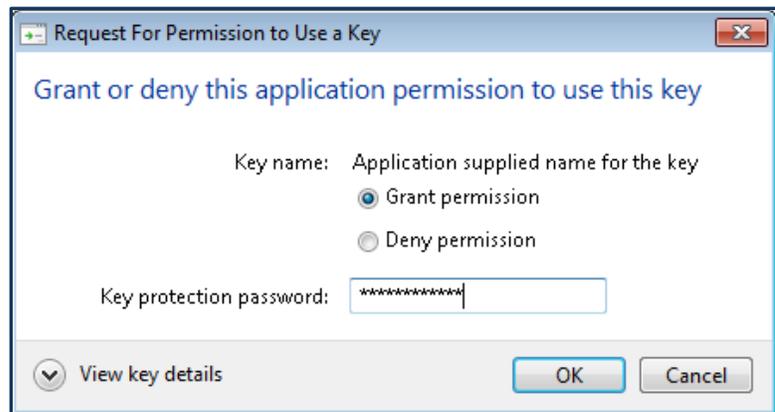
**Note:** If you have problems with the steps outlined below, try deleting your Internet cookies and files. Each time you visit a website, a cookie is created on your computer in the form of a benign text file. To delete your cookies, from your Internet Explorer window, click on the “Tools” tab, then scroll down and select “Internet Options”. Click on the “General” tab.

Within the Browsing history section, click the checkbox for “Delete browsing history on exit”, then select the **Delete** button. Ensure the following checkboxes are selected: Temporary Internet files and website files, Cookies and website data, and History. Click the **Delete** button. Click the **OK** button.

Close your Internet Explorer window. Continue with [Section 4](#) instructions.

If a *Request for Permission to Use a Key* dialogue box appears, click on the radio button for **Grant permission**. Enter the certificate password in the Key protection password.

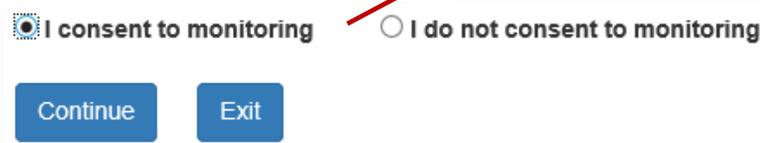
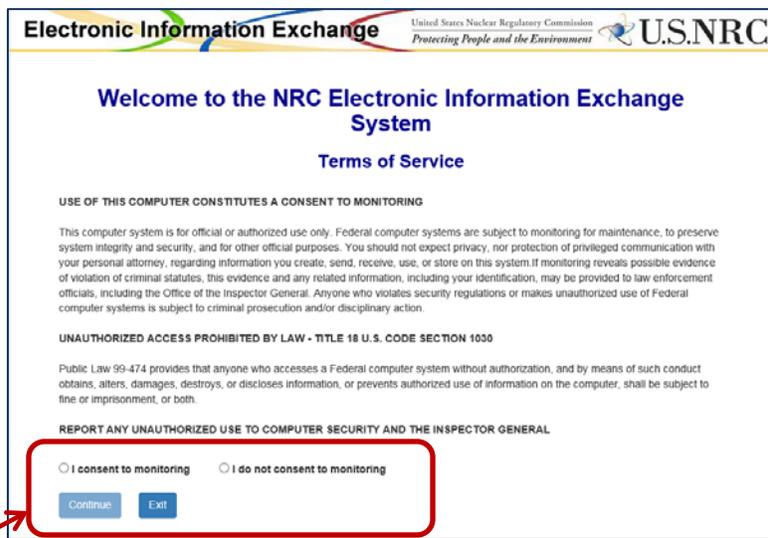
Click the **OK** button.



#### 4.1 Terms of Service

The “**Terms of Service**” page will appear:

Click on the **I consent to monitoring** radio button, then click on the **Continue** button.





### 4.1.1 First Time Users

**Note:** If not a “First Time User”, continue with [Section 4.2](#).

First Time Users will immediately be taken to the “**Rules of Behavior**” page:

- The **Certificate Information** section is auto-populated with the certificate information of the person logging into the EIE system. These fields are un-editable.

**Note:** You are not required to provide the following information, at this time, in order to use this application. However, it will help the NRC contact you in event of an errant submission or if we need to follow up with questions about your submission.



- Populate the **Contact Information** section with the certificate owner's Title, Phone, and Fax number.
- Populate the **Address** section with the certificate owner's Address, City, State, and Zip Code.

**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 period of

Accept.

Reject.

Continue Exit

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- Review the **Rules of Behavior**, and then click the **Accept** radio button, followed by clicking on the **Continue** button.

Upon accepting the Rules of Behavior, First Time Users will immediately be taken to Request Access to Proceeding (see [Section 4.3.1.](#))



## 4.2 Home

The “**Home**” page will provide system announcements about the EIE Adjudicatory system.



To easily navigate back to the “**Home**” page from any area of the adjudicatory submission application, simply select **Home** from the menu bar.

### 4.2.1 Navigation

Navigate through the **EIE Adjudicatory** options by select a link from the menu bar at the top of the form:



- **Home**, see [Section 4.2](#)
- **Request Access to Proceeding**, see [Section 4.3](#)
- **New Submission**, see [Section 4.4](#)
- **Other User Functions**, see [Section 4.5](#)
- **Help**, see [Section 4.6](#)
- **Logout**, see [Section 4.7](#)



### 4.3 Request Access to Proceeding

Select **Request Access to Proceeding** from the menu bar.



The **Request Access to a Proceeding** page will display:

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

Home Request Access To Proceeding New Submission - Other User Functions - Help Logout

### Request Access to a Proceeding

Required fields are marked with an asterisk (\*)

Please select one or more proceeding(s):

\*Proceeding Name: Aerotest Operations, Inc. 50-228-LT  
Alexander Abrahams 55-71371-SP  
All Power Reactors-EA-12-050 and 051  
Bell Bend 52-039-COL  
Bellefonte 3 and 4 52-014 and 015-COL  
Bellefonte 50-438 and 50-439-CP  
Browns Ferry - 50-259, 50-260 &50-296-LA  
Byron and Braidwood 50-454-LR

Please enter or update your profile:

|                        |                       |             |                    |
|------------------------|-----------------------|-------------|--------------------|
| First Name:            | Sandra                | Last Name:  | Miller (affiliate) |
| Email:                 | sandra.miller@nrc.gov | Expiration: | 03/13/2018         |
| *Business Affiliation: | NRC                   | Title:      |                    |
| *Phone:                | (630) 636-0310        | Fax:        | (555) 555-5555     |
| *Address 1:            | Gude Dr.              | Address 2:  |                    |
| *City:                 | Rockville             | *State:     | Maryland           |
| *Zip:                  | 12345                 |             |                    |

Please indicate your reason for accessing this proceeding (e.g., to participate as a party or party representative):

\*Reason:

Terms for Use: Providing false information to a Federal Agency may result in Prosecution.

\* By selecting this checkbox, I have read the "Terms for Use".

Submit Request



### 4.3.1 Select Proceeding Name

Please select one or more proceeding(s):

**\*Proceeding Name:**

|  |
|--|
| Aerotest Operations, Inc. 50-228-LT      |
| Alexander Abrahams 55-71371-SP           |
| All Power Reactors-EA-12-050 and 051     |
| Bell Bend 52-039-COL                     |
| Bellefonte 3 and 4 52-014 and 015-COL    |
| Bellefonte 50-438 and 50-439-CP          |
| Browns Ferry - 50-259, 50-260 &50-296-LA |
| Byron and Braidwood 50-454-LR            |

Click on the desired **Proceeding Name** from the list presented from the drop-down menu. To select more than one proceeding, hold down the “Ctrl” key, then click on all desired proceedings.

### 4.3.2 Populate Profile

**Note:** The information contained in the profile can be set for all future submissions by following the steps outlined in [Section 4.5.1](#). Completing the actions within the [Update Profile](#) section will relieve the user of completing these actions outlined below in all future submissions.

Please enter or update your profile:

|                               |                       |                    |                    |
|-------------------------------|-----------------------|--------------------|--------------------|
| <b>First Name:</b>            | Sandra                | <b>Last Name:</b>  | Miller (affiliate) |
| <b>Email:</b>                 | sandra.miller@nrc.gov | <b>Expiration:</b> | 03/13/2018         |
| <b>*Business Affiliation:</b> |                       | <b>Title:</b>      |                    |
| <b>*Phone:</b>                | (555) 555-5555        | <b>Fax:</b>        | (555) 555-5555     |
| <b>*Address 1:</b>            |                       | <b>Address 2:</b>  |                    |
| <b>*City:</b>                 |                       | <b>*State:</b>     |                    |
| <b>*Zip:</b>                  | 55555                 |                    |                    |

The following fields are un-editable, (the information if obtained from the certificate): **First Name, Last Name, Email, and Expiration.**

Populate the following fields, ensuring that all required fields, annotated with a red asterisk (\*):are completed: **Business Affiliation (required), Title (title of certificate holder is not required), Phone (required), Fax (not required), Address 1 (required), Address 2 (not required), City (required), State (required), and Zip (required).**



### 4.3.3 Populate Reason for Accessing Proceeding

Please indicate your reason for accessing this proceeding(e.g., to participate as a party or party representative):

\*Reason:

Populate the **Reason** field (*required*), indicating the reason for needing access to the selected proceeding(s).

### 4.3.4 Submit Request

**Terms for Use: Providing false information to a Federal Agency may result in Prosecution.**

\* By selecting this checkbox, I have read the "Terms for Use".

Submit Request

Before completing the request for access to a proceeding, complete the *required* action of clicking the checkbox (  ) acknowledging that the “**Terms for Use**”, which states that providing false information to a Federal Agency may result in Prosecution, have been read.

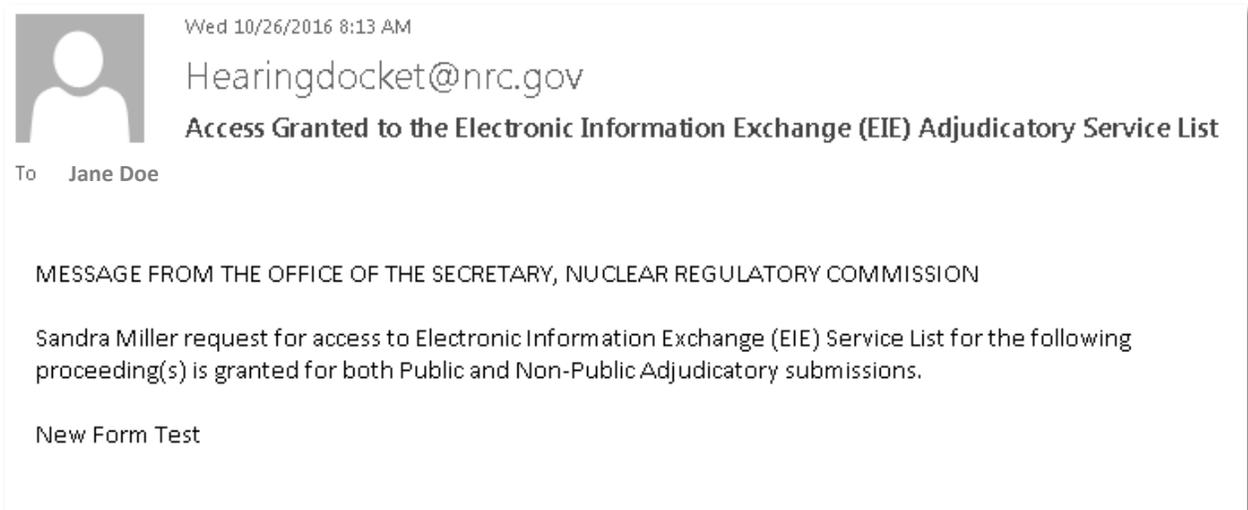
Click on the **Submit Request** button.

The screenshot shows the EIE Adjudicatory web application interface. At the top, there is a navigation bar with the following items: Home, Request Access To Proceeding, New Submission, Other User Functions, Help, and Logout. The main heading is "Request Access to a Proceeding". Below this, a message in a green box states: "Your request for accessing proceeding(s) has been submitted successfully." Below the message, there is a section titled "Please select one or more proceeding(s):". Under this section, there is a label "\*Proceeding Name:" followed by a list of proceeding names in a scrollable area. The list includes: Aerotest Operations, Inc. 50-228-LT, Alexander Abrahams 55-71371-SP, All Power Reactors-EA-12-050 and 051, Bell Bend 52-039-COL, Bellefonte 3 and 4 52-014 and 015-COL, Bellefonte 50-438 and 50-439-CP, Browns Ferry - 50-259, 50-260 & 50-296-LA, and Byron and Braidwood 50-454-LR. The "Byron and Braidwood 50-454-LR" item is highlighted in blue.

The screen will update with a message that states: **Your request for accessing proceeding(s) has been submitted successfully.**



### 4.3.5 E-mail Acknowledgement



The user will receive an email acknowledging the request has been received from [Hearingdocket@nrc.gov](mailto:Hearingdocket@nrc.gov).

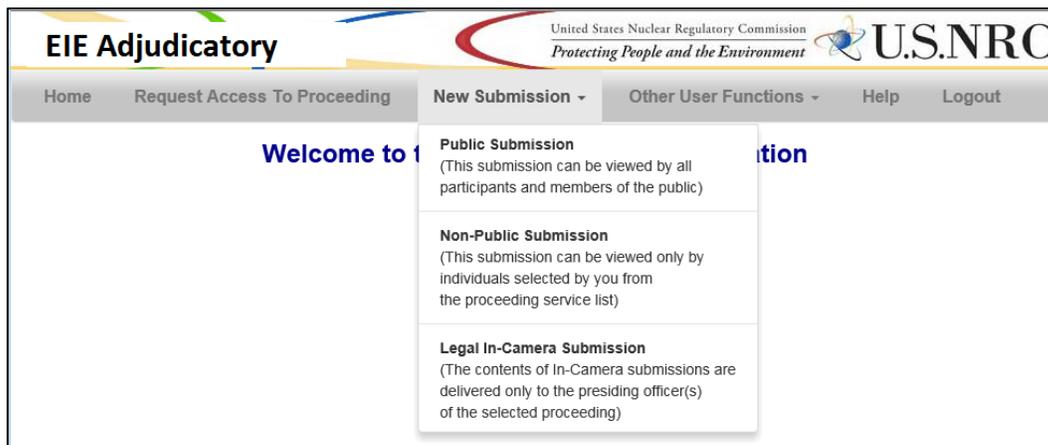
### 4.4 New Submission

Select **New Submission** from the menu bar:





#### 4.4.1 Select Submission Type



A drop-down menu will appear. Select the applicable action:

- **Public Submission** - all parties to a public proceeding will receive an e-mail notice that contains a link permitting the recipient to retrieve a copy of the submission. Subsequently (within no more than 3 business days) it will be posted in the public docket and will be available for review by the general public.
- **Non-Public Submission** - Only the presiding officers, and the hearing parties selected by the submitter will receive an e-mail notice containing a link to the submission.
- **Legal In-Camera Submission** - The contents of In-Camera Submissions are delivered only to the presiding officer(s) of the proceeding selected. Please understand that when selecting Legal In-Camera Submission, the only document type allowed when attaching documents is “Legal In-Camera Filing”.

#### 4.4.2 Select Proceeding



Using the drop-down menu, select the **Proceeding Name** (*required*), then click on the **Continue** button.



### 4.4.3 Complete Submission Form

The submission form will display:



#### NRC Electronic Adjudicatory Submissions

##### Public Submission

Required fields are marked with an asterisk (\*)

This is a public submission. That is, all parties to this proceeding will receive an e-mail notice that contains a link permitting the recipient to retrieve a copy of the submission. Subsequently (within no more than 3 business days) it will be posted in the public docket and will be available for review by the general public.

Each submission must have at least one file attached. You may attach multiple files to a single submission so long as no single file is larger than 100 mb and the aggregate size of the attached files does not exceed 100 mb.

Neither the Submission Title nor the Document Title fields may contain more than 300 characters or include any of the following characters: & " / \ < > | ? \* . A file name may not exceed 85 characters.

##### Submitter's Information

|                       |  |                                    |   |
|-----------------------|--|------------------------------------|---|
| <b>Submitter Name</b> | <input type="text" value="Sandra Miller (affiliate)"/> | <b>Submitter Affiliation</b>       | <input type="text" value="NRC"/>        |
| <b>Email Address</b>  | <input type="text" value="sandra.miller@nrc.gov"/>     | <b>Certificate Expiration Date</b> | <input type="text" value="03/13/2018"/> |

##### Proceeding Information

|                             |  |   |  |
|-----------------------------|--|---|--|
| <b>Proceeding Name</b>      | <input type="text" value="New Form Test"/> |   |  |
| <b>Presiding Officer(s)</b> | <input type="text" value="John Kang"/>     | <input type="text" value="Leon Y Shi"/> | <input type="text" value="Thomas Ryan (affiliate)"/> |

##### Submission Information

|                           |                      |
|---------------------------|----------------------|
| <b>Submission Title *</b> | <input type="text"/> |
| <b>Submission Comment</b> | <input type="text"/> |

##### Attachment File(s)

Please indicate in the check box(es) below whether the attached file(s) contain Copyright Material (CCM).

| *File Name                               | *Document Type                | *Document Title               | CCM                      | Action                                |
|--|-------------------------------|-------------------------------|--------------------------|---------------------------------------|
| <input type="button" value="Browse..."/> | <input type="text" value=""/> | <input type="text" value=""/> | <input type="checkbox"/> | <input type="button" value="Remove"/> |

**Total File Size (KB):**

##### Service List

| Name                      | Email                 | Notify                              |
|---------------------------|-----------------------|-------------------------------------|
| John Kang                 | john.kang@nrc.gov     | <input checked="" type="checkbox"/> |
| Leon Y Shi                | leon.shi@nrc.gov      | <input checked="" type="checkbox"/> |
| Thomas Ryan (affiliate)   | tom.ryan@nrc.gov      | <input checked="" type="checkbox"/> |
| EUGENIA SHYU              | EUGENIA.SHYU@NRC.GOV  | <input checked="" type="checkbox"/> |
| Sandra Miller (affiliate) | sandra.miller@nrc.gov | <input checked="" type="checkbox"/> |

##### Submitter Signature

1. If signature blocks on the submission are appropriately prepared in accord with 10 C.F.R. 2.304(d)(1), activating the "Sign" button fulfills the signature requirement of section 2.304(d). Signing this form will generate the date of signature on the line below. Filers should be aware, however, that any questions about the the timeliness of any submission will be governed by when the "Submit" button is used to actually transmit the submission to the agency.

2. The "Submit" button sends the submission to the NRC where it is first scanned for computer viruses. Following a "clean" scan, an email notice of the submission will be sent to the parties selected on the service list. If the submission does not pass the virus scan, you will be notified and asked to re-submit.

**Signature:**

**Date:**



#### 4.4.3.1 Submitter's Information

| Submitter's Information |                  |                                    |            |
|-------------------------|------------------|------------------------------------|------------|
| <b>Submitter Name</b>   | Jane Doe         | <b>Submitter Affiliation</b>       | NRC        |
| <b>Email Address</b>    | Jane.Doe@nrc.gov | <b>Certificate Expiration Date</b> | 03/13/2018 |

The **Submitter's information** section is un-editable and is obtained from the certificate.

#### 4.4.3.2 Proceeding Information

| Proceeding Information      |               |           |               |
|-----------------------------|---------------|-----------|---------------|
| <b>Proceeding Name</b>      | New Form Test |           |               |
| <b>Presiding Officer(s)</b> | John Smith    | Dane Kurt | Eleanor Vidal |

The **Proceeding information** section is un-editable. This section displays the Proceeding Name (selected in [Section 4.4.2](#)) and the Presiding Officer(s) names.

#### 4.4.3.3 Submission Information

| Submission Information    |                      |
|---------------------------|----------------------|
| <b>Submission Title *</b> | <input type="text"/> |
| <b>Submission Comment</b> | <input type="text"/> |

Populate the following fields within the **Submission Information** section:

| Field Name                                   | Description   |
|--|---|
| Submission Title<br>( <i>Required</i> )      | Enter a title for the submission.<br><br>The Submission Title may not contain more than 300 characters or include any of the following characters: & " / \ < >   ? *. |
| Submission Comments<br>( <i>if desired</i> ) | Enter any comments pertaining to the submission, if desired.  |



#### 4.4.3.4 Attach File(s)

**Attachment File(s)**

Please indicate in the check box(es) below whether the attached file(s) Contain Copyright Material (CCM).

| *File Name | *Document Type | *Document Title | CCM                      | Action                 |
|------------|----------------|-----------------|--------------------------|------------------------|
| Browse...  | ▼              |                 | <input type="checkbox"/> | <a href="#">Remove</a> |

[Add Another File](#)
Total File Size (KB):

Each submission must have at least one file attached. You may attach multiple files to a single submission so long as no single file is larger than 100 mb and the aggregate size of the attached files does not exceed 100 mb.

Populate the following fields within the **Submission Information** section:

| Field Name  | Description  |
|---|--|
| <p><b>File Name</b><br/><i>(Required)</i></p>     | <p>Use the <b>Browse</b> button to attach a document. A <i>Choose File to Upload</i> dialogue box will appear. Navigate to the document to be attached. Select the document, and then select the <b>Open</b> button. The File Name field will auto-populate.</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p><b>Note:</b> There is a limit of 85 characters.</p> </div>  |
| <p><b>Document Type</b><br/><i>(Required)</i></p> | <p>Use the drop-down menu to select the submission type:</p> <div style="border: 1px solid #ccc; padding: 10px; margin: 10px auto; width: 80%; text-align: center;"> <p style="background-color: #e6f2ff; padding: 5px; display: inline-block;">*Document Type</p></div> <div style="border: 1px solid #ccc; padding: 5px; margin: 5px auto; width: 80%; text-align: center;"> <ul style="list-style-type: none"> <li>Legal-Correspondence/Miscellaneous</li> <li>Legal-Discovery Material</li> <li>Legal-Hearing File</li> <li>Legal-Hearing Transcript</li> <li>Legal-Limited Appearance Statement</li> <li>Legal-Motion</li> <li>Legal-Order</li> <li>Legal-Petition To Intervene/Request for Hearing</li> <li>Legal-Panel/Board Issuance</li> <li>Legal-Pleading</li> <li>Legal-Pre-Filed Exhibits</li> <li>Legal-Pre-Filed Testimony</li> <li>Legal-Privilege Logs</li> </ul> </div> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p><b>Note:</b> Please understand that when selecting Legal In-Camera Submission, the only document type allowed when attaching documents is “Legal In-Camera Filing”.</p> </div> |



| Field Name   | Description  |
|--|--|
| <b>Document Title</b><br>( <i>Required</i> )                                   | Enter the title of the document being attached to the submittal form.<br><br><div style="border: 1px solid black; padding: 5px;"> <p><b>Note:</b> The document title may not contain the following characters:<br/>             &amp; " / \ &lt; &gt; :   ? *</p> </div>   |
| <b>CCM</b><br>( <i>only required is document contains copyright material</i> ) | Click on the checkbox ( <input checked="" type="checkbox"/> ) only if the document contains copyright material.<br><br>A dialogue box will appear, as follows:<br><br><div style="border: 1px solid gray; padding: 10px; margin: 10px 0;"> <div style="background-color: #f4a460; padding: 5px; display: flex; justify-content: space-between;"> <span>Copyright Material Confirmation</span> <span>×</span> </div> <p>Full-text copyright materials should contain a written legend at the top of the first page of the document indicating that it is full-text copyrighted material and/or is accompanied by a copyright release statement. Excerpts of publications would not require compliance with the above.</p> <p>I acknowledge these conditions:</p> <div style="border: 1px solid gray; height: 20px; margin: 5px 0;"></div> <div style="display: flex; justify-content: flex-end; gap: 10px;"> <span>Cancel</span> <span style="border: 2px solid red; padding: 2px 5px;">OK</span> </div> </div> <p>After reading the confirmation statement, click on the <b>OK</b> button.</p> |
| <b>Action</b>  | If an incorrectly attached file was selected, click on the <b>Remove</b> button to the right of the file attached in error   |
| <b>Total File Size</b>   | As documents are attached, the file size will automatically calculate. Ensure the file size of all documents attached does not exceed 50MB.  |



**Attachment File(s)**

Please indicate in the check box(es) below whether the attached file(s) Contain Copyright Material (CCM).

| *File Name                           | *Document Type          | *Document Title | CCM                      | Action |
|--------------------------------------|-------------------------|-----------------|--------------------------|--------|
| \\nrc.gov\NRC\HQ\Users\HQ\ Browse... | Legal-Discovery Materia | Submission One  | <input type="checkbox"/> | Remove |

**Add Another File** Total File Size (KB): 1958



**To attach additional files**, click the **Add Another File** button and then repeat the steps beginning of this [section](#).

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

The following example is after attaching a second file:

**Attachment File(s)**

Please indicate in the check box(es) below whether the attached file(s) Contain Copyright Material (CCM).

| *File Name                            | *Document Type         | *Document Title          | CCM                      | Action |
|---------------------------------------|------------------------|--------------------------|--------------------------|--------|
| \\Client\CS\NRC\Submittal T Browse... | Legal-Hearing Transcri | Submittal for User Guide | <input type="checkbox"/> | Remove |
| P:\EIE 2-5 Testing 28APRIL Browse...  | Legal-Discovery Materi | User Guide Submittal     | <input type="checkbox"/> | Remove |

**Add Another File** Total File Size (KB): 1984



#### 4.4.3.5 Public Service List

The following is an example of a **Public Service List**.

| Service List         |                       |                                     |
|----------------------|-----------------------|-------------------------------------|
| Name                 | Email                 | Notify                              |
| John Kang            | john.kang@nrc.gov     | <input checked="" type="checkbox"/> |
| Leon Y Shi           | leon.shi@nrc.gov      | <input checked="" type="checkbox"/> |
| Thomas Ryan (aff     | tom.ryan@nrc.gov      | <input checked="" type="checkbox"/> |
| EUGENIA SHYU         | EUGENIA.SHYU@NRC.GOV  | <input checked="" type="checkbox"/> |
| Sandra Miller (affil | sandra.miller@nrc.gov | <input checked="" type="checkbox"/> |

The checkboxes (  ) within the Notify column are not editable. All parties to a public proceeding will receive an e-mail notice that contains a link permitting the recipient to retrieve a copy of the submission. Subsequently (within no more than 3 business days) it will be posted in the public docket and will be available for review by the general public.

#### 4.4.3.6 Non-Public Service List

The following is an example of a **Non-Public Service List**.

| Service List         |                       |                                     |
|----------------------|-----------------------|-------------------------------------|
| Name                 | Email                 | Notify                              |
| John Kang            | john.kang@nrc.gov     | <input checked="" type="checkbox"/> |
| Leon Y Shi           | leon.shi@nrc.gov      | <input checked="" type="checkbox"/> |
| Thomas Ryan (aff     | tom.ryan@nrc.gov      | <input checked="" type="checkbox"/> |
| EUGENIA SHYU         | EUGENIA.SHYU@NRC.GOV  | <input type="checkbox"/>            |
| Sandra Miller (affil | sandra.miller@nrc.gov | <input type="checkbox"/>            |

For Non-Public submissions, only the presiding officers, and the hearing parties selected by the submitter will receive an e-mail notice containing a link to the submission. Select the checkbox (  ) within the **Notify** column for each individual to be notified of the submission.



#### 4.4.3.7 Legal In-Camera Service List

The Service List will not be presented for **Legal In-Camera** submissions. The contents are delivered only to the presiding officer(s) of the proceeding selected.

#### 4.4.3.8 Submitter Signature - Sign

**Submitter Signature**

1. If signature blocks on the submission are appropriately prepared in accord with 10 C.F.R. 2.304(d)(1), activating the "Sign" button fulfills the signature requirement of section 2.304(d). Signing this form will generate the date of signature on the line below. Filers should be aware, however, that any questions about the the timeliness of any submission will be governed by when the "Submit" button is used to actually transmit the submission to the agency.

2. The "Submit" button sends the submission to the NRC where it is first scanned for computer viruses. Following a "clean" scan, an email notice of the submission will be sent to the parties selected on the service list. If the submission does not pass the virus scan, you will be notified and asked to re-submit.

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Click on the **Sign** button. The certificate owner's name will appear as the signature, with "today's" date displayed:

**Submitter Signature**

1. If signature blocks on the submission are appropriately prepared in accord with 10 C.F.R. 2.304(d)(1), activating the "Sign" button fulfills the signature requirement of section 2.304(d). Signing this form will generate the date of signature on the line below. Filers should be aware, however, that any questions about the the timeliness of any submission will be governed by when the "Submit" button is used to actually transmit the submission to the agency.

2. The "Submit" button sends the submission to the NRC where it is first scanned for computer viruses. Following a "clean" scan, an email notice of the submission will be sent to the parties selected on the service list. If the submission does not pass the virus scan, you will be notified and asked to re-submit.

**Signature:** *Jane Doe (affiliate)* **Date:** *10/26/2016*



#### 4.4.3.9 Submitter Signature - Submit

### Submitter Signature

1. If signature blocks on the submission are appropriately prepared in accord with 10 C.F.R. 2.304(d)(1), activating the "Sign" button fulfills the signature requirement of section 2.304(d). Signing this form will generate the date of signature on the line below. Filers should be aware, however, that any questions about the the timeliness of any submission will be governed by when the "Submit" button is used to actually transmit the submission to the agency.

2. The "Submit" button sends the submission to the NRC where it is first scanned for computer viruses. Following a "clean" scan, an email notice of the submission will be sent to the parties selected on the service list. If the submission does not pass the virus scan, you will be notified and asked to re-submit.

**Signature:** *Jane Doe (affiliate)*                      **Date:**                      *10/26/2016*

**Note:** To enable the data fields to allow the user to update the submission, click on the **Unsign** button.

To complete the submission process, click on the **Submit** button.

#### 4.4.4 Submittal Received

United States Nuclear Regulatory Commission  
Protecting People and the Environment

U.S.NRC

Home   Request Access To Proceeding   New Submission -   Other User Functions -   Help   Logout

### MESSAGE FROM THE NUCLEAR REGULATORY COMMISSION - ELECTRONIC INFORMATION EXCHANGE

The NRC Electronic Information Exchange has received a document [Submission ID 53402] submitted by Sandra Miller (affiliate) that arrived on 2016-10-26 at 12:13:34. Upon successful completion of the virus scan, Sandra Miller (affiliate) and the Service List will receive an e-mail notification with a web link to view and retrieve this document. If a virus is detected, the submission will not be processed and will be deleted from the submission queue. Sandra Miller (affiliate) and the Office of the Secretary will be notified of this deletion and the Service List will not be served.

The screen will refresh and display a message that the Nuclear Regulatory Commission – Electronic Information Exchange adjudicatory submission was received.

To create another submittal, click on the **New Submission** button (see [Section 4.4.1](#)).



#### 4.4.5 E-mail Acknowledgement

The user will receive an email acknowledging the submission from [Hearingdocket@nrc.gov](mailto:Hearingdocket@nrc.gov). The following is an example of an email acknowledgement:

Subject: Re: NRC Proceeding "New Form Test"

MESSAGE FROM THE OFFICE OF THE SECRETARY, NUCLEAR REGULATORY COMMISSION

Re: NRC Proceeding "New Form Test"

The Office of the Secretary has received a Submission entitled

"for user guide"

submitted by "*name of submitter*" (affiliate) who is affiliated with NRC. It contains 1 attachment(s).

It is intended for inclusion in the referenced proceeding. It was submitted through the NRC Electronic Information Exchange (EIE) system and arrived on 10/26/2016 at 12.13 PM.

As a hearing participant, you are entitled to view and/or retrieve this Submission by visiting the following web link.

"Title of the submission" - <https://eie-ps.nrc.gov/eie/adj/downloadAttachment.eie?submissionId=53402&docId=23454> (26 KB)

If the submission contains 2 or more attachments, they will be delivered to you as a single zip file from which you may open the attachments.

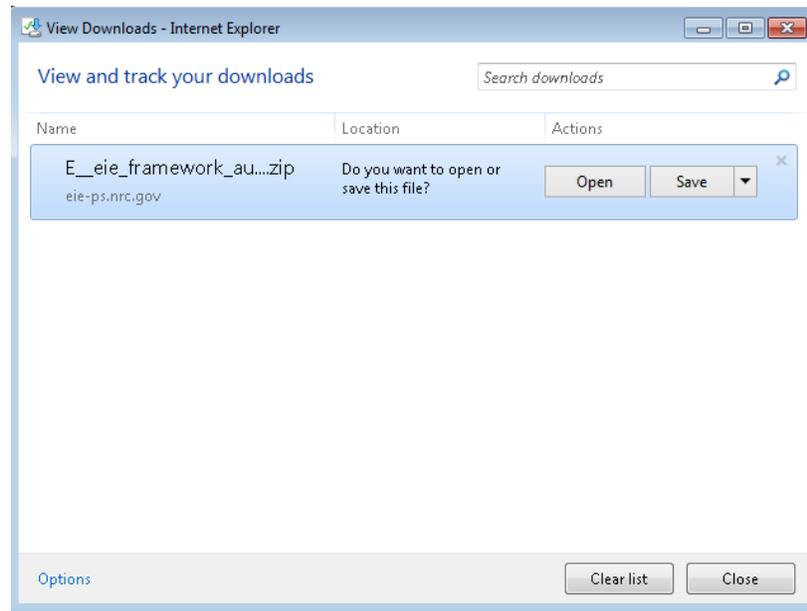
The link will remain active for 14 day(s) after which its contents will be removed from the EIE system. Not later than 3 days from the date of this message the attachment(s) will also be available through NRC Electronic Hearing Docket (EHD) web site. The web link for this site is: <http://adams.nrc.gov/ehd> and the documents can be located by browsing in the appropriate hearing folder.

Receipt of this message constitutes completion of service of this filing.

PARTIES SERVED WITH THIS SUBMISSION: "all party names will be listed here"

To view and/or retrieve the submission, select the link displayed in the email.

**Note:** For submissions containing more than 1 (one) document, after selecting the link and entering the certificate password, the following screen will appear, as the multi-document submission will be contained within a zip file:



Select the **Open** button to open the zip file and extract the documents or select the **Save** button to save the zip file.

## 4.5 Other User Functions

Select **Other User Functions** from the menu bar:





A drop-down menu will appear:

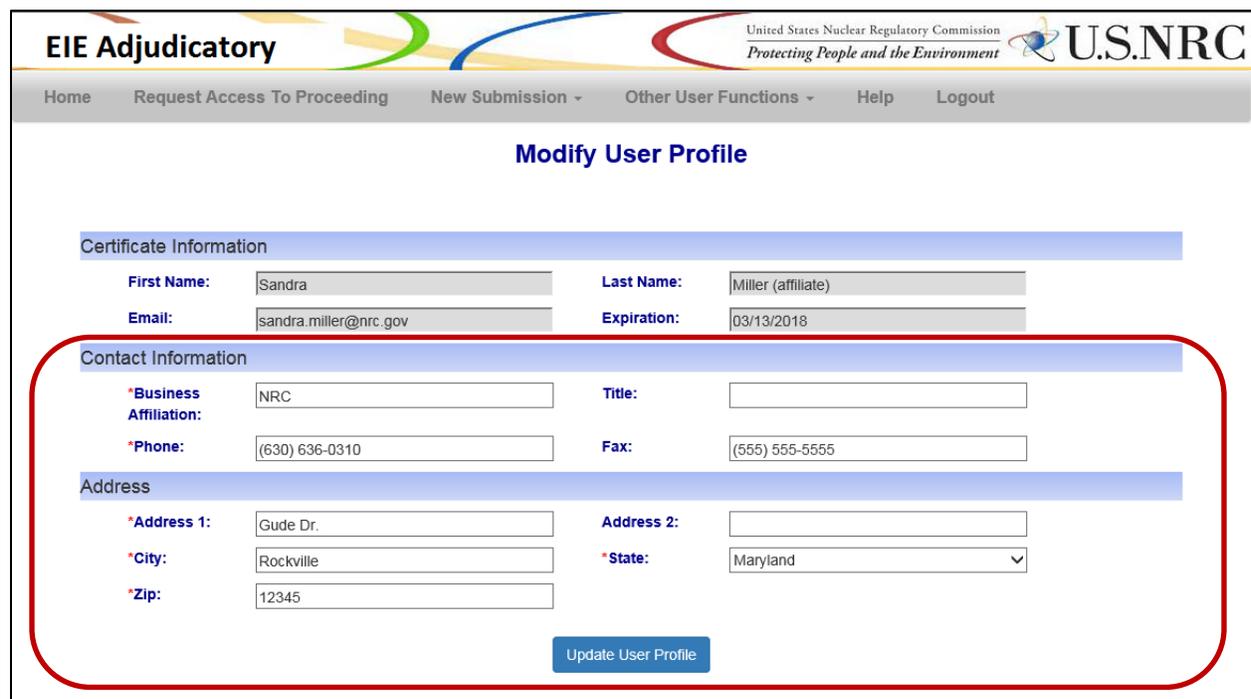


Select the applicable action:

- [Update Profile](#) (see [Section 4.5.1](#))
- [View Submission History](#) (see [Section 4.5.2](#))
- [Access Electronic Hearing Docket](#) (see [Section 4.5.3](#))

#### 4.5.1 Update Profile

The “**Modify User Profile**” page will display:





Update any editable field within the Contact Information or Address section of the form. Ensure all required fields, annotated with a red asterisk (\*), are populated.

- The Certificate Information section is auto-populated with the certificate information of the person logging into the EIE system. These fields are *un-editable*.
- Update the Contact Information section with the certificate owner's **Business Affiliation** (*required*), **Title** (*not required*), **Phone** (*required*), and **Fax** (*not required*).
- Update the Address section with the certificate owner's **Address 1** (*required*), **Address 2** (*not required*), **City** (*required*), **State** (*required*), and **Zip** (*required*).

Click on the **Update User Profile** button to save the updated information.

#### 4.5.2 View Submission History

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

Home Request Access To Proceeding New Submission Other User Functions Help Logout

### View Your Submission Status

Start Date: 10/14/2016 End Date: 10/28/2016 Search

Show 10 entries Search:

| ID    | WF Type    | # Docs | Submitter                                 | Date                | Submission Title | Proceeding Name | Status                     |
|-------|------------|--------|---|---------------------|------------------|-----------------|----------------------------|
| 51402 | Non-Public | 2      | Thomas Ryan (affiliate), tom.ryan@nrc.gov | 2016-10-20 15:19:36 | Ryan Test        | New Form Test   | TA16298A058                |
| 51386 | Non-Public | 2      | Thomas Ryan (affiliate), tom.ryan@nrc.gov | 2016-10-19 12:12:07 | Test 1           | New Form Test   | TA16298A021<br>TA16298A020 |

Previous Next

Select the **ID** button to view the submission.

**Note:** In the example above, even though the top submission has two (2) attachments, only a single accession number is shown. That is because the two attachments were added as a package and the number displayed is the package id.

In the second entry, in the example above, there are two (2) accession numbers. That is because one or both of the attachments is of document type 'Pre-filed xxx' Submissions with those docs types added individually and are not packaged.



Show 10 entries

| ID    | WF Type    | # Docs | Submitter                                 | Date                | Submission Title |
|-------|------------|--------|---|---------------------|------------------|
| 51402 | Non-Public | 2      | Thomas Ryan (affiliate), tom.ryan@nrc.gov | 2016-10-20 15:19:36 | Ryan Test        |
| 51386 | Non-Public | 2      | Thomas Ryan (affiliate), tom.ryan@nrc.gov | 2016-10-19 12:12:07 | Test 1           |

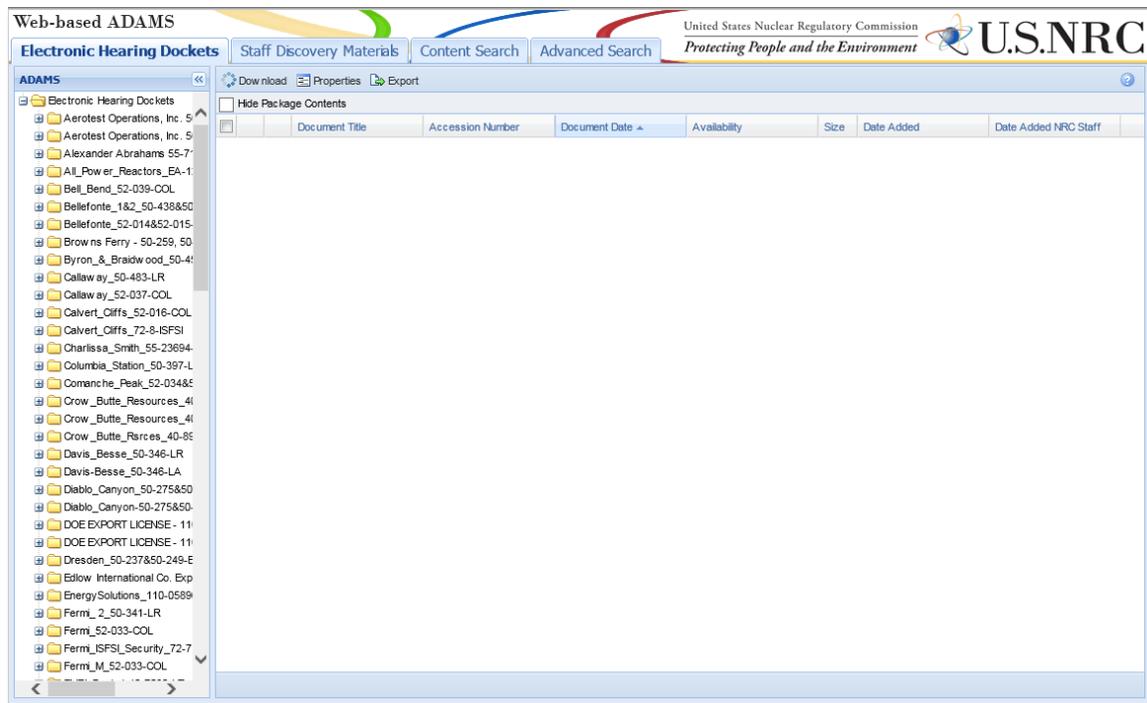
Select to expand and view all documents attached to a submittal:

| 51402       | Non-Public                    | 2                | Thomas Ryan (affiliate), tom.ryan@nrc.gov | 2016-10-20 15:19:36                | Ryan Test | New Form Test | TA16298A058 |
|-------------|-------------------------------|------------------|---|------------------------------------|-----------|---------------|-------------|
| Document ID | Document File Name            | Accession Number | Document Title                            | Document Type                      |           |               |             |
| 21456       | Pll 2014.pdf                  | TA16298A062      | Ryan Test 1A                              | Legal-Correspondence/Miscellaneous |           |               |             |
| 21455       | Ryan Complete Jul 16 Cert.pdf | TA16298A060      | Ryan Test 1                               | Legal-Correspondence/Miscellaneous |           |               |             |

Select to collapse and view as a single line item.

### 4.5.3 Access Electronic Hearing Docket

After selecting **Access Electronic Hearing Docket** from the **Other User Functions** option in the menu bar, the Electronic Hearing Docket (EHD) will display:



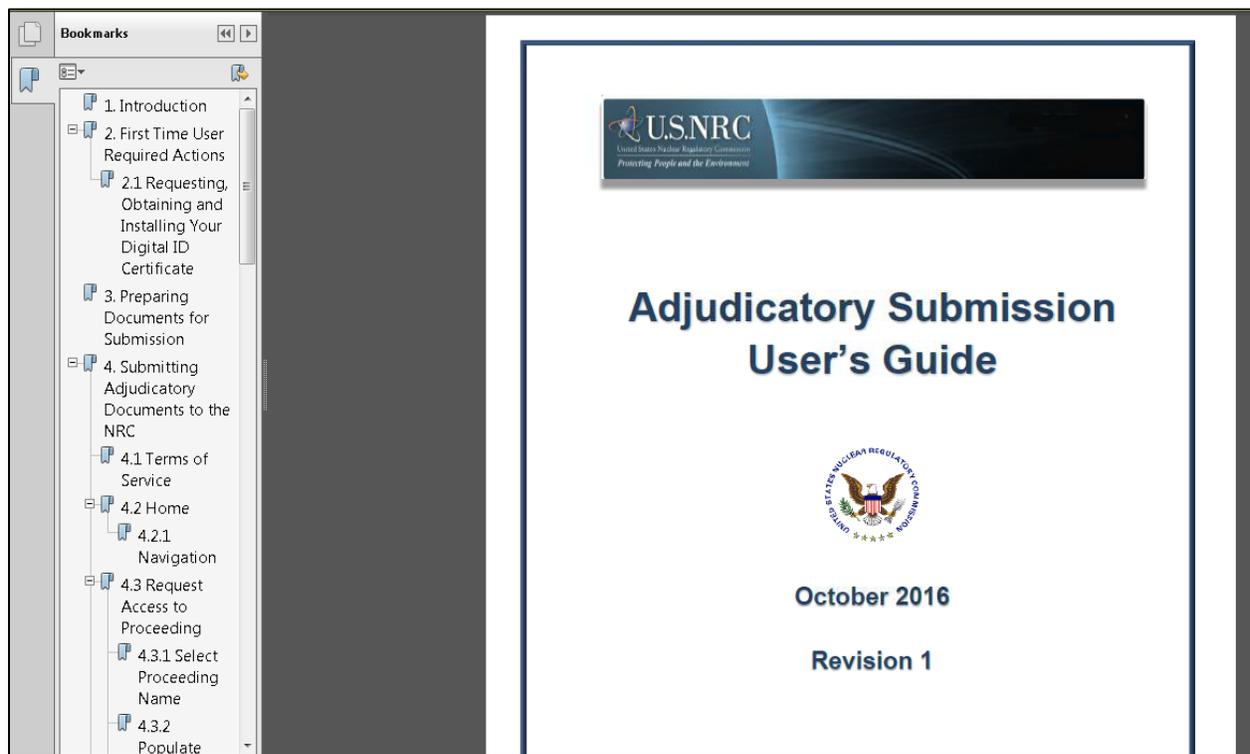


## 4.6 Help

Select **Help** from the menu bar.



This Adjudicatory Submission User Guide will open.



Bookmarks (on the left side of the screen) and links are embedded (such as within the Table of Contents) to allow for easy navigation through document.



## 4.7 Log Out

Select **Log Out** from the menu bar.



The “**Terms of Service**” page will display.

The screenshot shows the "Terms of Service" page for the NRC Electronic Information Exchange System. The page has a header with the "Electronic Information Exchange" logo and the U.S.NRC logo. The main heading is "Welcome to the NRC Electronic Information Exchange System" followed by "Terms of Service". The page contains several sections of text:

- USE OF THIS COMPUTER CONSTITUTES A CONSENT TO MONITORING**  
This computer system is for official or authorized use only. Federal computer systems are subject to monitoring for maintenance, to preserve system integrity and security, and for other official purposes. You should not expect privacy, nor protection of privileged communication with your personal attorney, regarding information you create, send, receive, use, or store on this system. If monitoring reveals possible evidence of violation of criminal statutes, this evidence and any related information, including your identification, may be provided to law enforcement officials, including the Office of the Inspector General. Anyone who violates security regulations or makes unauthorized use of Federal computer systems is subject to criminal prosecution and/or disciplinary action.
- UNAUTHORIZED ACCESS PROHIBITED BY LAW - TITLE 18 U.S. CODE SECTION 1030**  
Public Law 99-474 provides that anyone who accesses a Federal computer system without authorization, and by means of such conduct obtains, alters, damages, destroys, or discloses information, or prevents authorized use of information on the computer, shall be subject to fine or imprisonment, or both.
- REPORT ANY UNAUTHORIZED USE TO COMPUTER SECURITY AND THE INSPECTOR GENERAL**

At the bottom, there are two radio button options:  I consent to monitoring and  I do not consent to monitoring. Below these are two buttons: "Continue" and "Exit".

You may close the window or re-enter the EIE Adjudicatory system by following [Section 4.1](#).