



General Form Submission User's Guide



July 2016

Revision 6



Table of Contents

1.	INTRODUCTION.....	3
2.	FIRST TIME USER REQUIRED ACTIONS	3
2.1	REQUESTING, OBTAINING AND INSTALLING YOUR DIGITAL ID CERTIFICATE.....	3
3.	PREPARING DOCUMENTS FOR SUBMISSION.....	4
4.	SUBMITTING NON-ADJUDICATORY DOCUMENTS TO THE NRC.....	6
4.1	WELCOME / TERMS OF SERVICE	8
4.1.1	First Time Users	9
4.2	HOME	10
4.3	UPDATE PROFILE	11
4.4	NEW SUBMISSION.....	12
4.4.1	Submitter's Information.....	13
4.4.2	Submission Information	13
4.4.3	Attachment File(s)	15
4.4.4	Submitter's Signature	16
4.4.5	Submission Received	17
4.5	E-MAIL ACKNOWLEDGEMENT	17
4.6	SUBMISSION HISTORY	18
4.7	LOG OUT.....	19



1. Introduction

This document outlines step-by-step instructions for successfully submitting non-adjudicatory documents electronically to the NRC via the Electronic Information Exchange (EIE) process, which is available on the NRC's "**Electronic Submittals Application**" Web page, by means of the **General submissions** link found under the "**Electronic Submission Systems**" section (<http://www.nrc.gov/site-help/e-submittals.html>).

2. First Time User Required Actions

To submit documents to the NRC, first-time users must successfully complete the steps described in [Sections 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](http://www.nrc.gov/site-help/electronic-sub-ref-mat.html)" Web page (<http://www.nrc.gov/site-help/electronic-sub-ref-mat.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 search bar is located in the top right. Below the header is a navigation menu with categories: NUCLEAR REACTORS, NUCLEAR MATERIALS, RADIOACTIVE WASTE, NUCLEAR SECURITY, PUBLIC MEETINGS & INVOLVEMENT, NRC LIBRARY, and ABOUT NRC. The main content area is titled "Reference Materials for Electronic Submissions" and contains a list of 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.



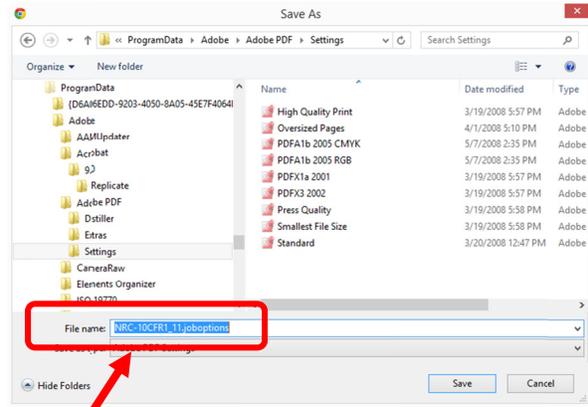
Note: A useful guide for PDF generation can be found by selecting the [Desk Reference Guide for PDF Document Generation](#) link, as well as [Desk Reference Guide for PDF Document Generation – Acrobat v.9.0](#).

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: NRC-10CFR1_11.joboptions



4. Submitting Non-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) to begin the submittal process.

Scroll to the bottom of the website and click on the **Electronic Submittals Application** link.



HOME | FAQ | GLOSSARY | FACILITY LOCATOR | WHAT'S NEW | SITE HELP | INDEX A-Z | CONTACT US | EMAIL UPDATES | LISTEN TO PAGE

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

Enter term or ADAMS #

REPORT
A SAFETY CONCERN

NUCLEAR REACTORS | NUCLEAR MATERIALS | RADIOACTIVE WASTE | NUCLEAR SECURITY | PUBLIC MEETINGS & INVOLVEMENT | NRC LIBRARY | ABOUT NRC

- SITE HELP
- Search Results
 - Index A-Z
 - Site Map
 - What's New On Our Site
 - Plugins, Viewers, and Other Tools
 - Special Features
 - Electronic Submittals Application**
 - NRC Site Accessibility
 - Contact the NRC Webmaster
 - Privacy Policy
 - Site Disclaimer
 - For Developers



Spotlight

CHOOSE A SECTION

Home > Site Help > Electronic Submittals Application

Electronic Submittals Application

The Electronic Submittals application allows electronic transmission of information to the NRC pertaining to licensing actions, associated hearings, and other regulatory matters. The application ensures that information sent to the NRC via the Internet is secure and unaltered during transmission. For other communications with the NRC, see our [Contact Us](#) page.

The Electronic Submittals application operates 24 hours daily except when the application must be taken down for scheduled maintenance. System operators will post a notice on the Electronic Submittals home page whenever a scheduled outage is planned.

Users new to the Electronic Submittals application or in need of instructions should select the link below before accessing their applicable system:

- [Getting Started](#)

Electronic Submission Systems

The Electronic Submittals application supports three separate systems. Users may access their applicable system by selecting from among the following links:

- [Adjudicatory submissions](#) – Used for filings made to the Commission or Atomic Safety and Licensing Board proceedings
- [Criminal History](#) – The NRC has deployed a new Criminal History submissions application to support enhanced security requirements and improve information flow between submitters and the NRC. The new application will require installation of an Active X plug in to enable digital signing of submissions. Instructions on how to install it are available in the [Criminal History Quick Start Guide](#). There is also a Criminal History Users' Guide available at this location: [Criminal History Users' Guide](#). The fee, subject to periodic adjustment, is currently \$26.00 per check requested.

- [General submissions](#) – Used for transmitting reports or other electronic filings to the NRC. Licensees who wish to use electronic submissions to satisfy 10 CFR Part 26 reporting requirements (*Fitness for Duty*) should use the General submissions portal. Before submitting FFD reports, please read the FFD reporting information at: [Answers about FFD](#)

IMPORTANT ANNOUNCEMENT

On Monday evening, May 4, the NRC is introducing a new form technology for the General Submissions workflow. The new form will simplify system interactions and require no changes to users' normal operating routine or configuration. **During the changeover period from 6PM to 9:30PM EDT, we ask that users refrain from attempting to make submissions to the system.**

If you need a new certificate go to this link: [Request a Certificate](#) and select the option to which you wish access. The site will walk you through the process. After you complete the process the NRC system manager will review and approve your request and you'll receive an e-mail with instruction on the steps necessary to install your certificate.

Please direct questions to the Help Desk at: 866-672-7640.

The “**Electronic Submittals Application**” Web page will be displayed. Under the heading **Electronic Submission Systems**, to submit Non-Adjudicatory Documents click on the **General submissions** 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** field.

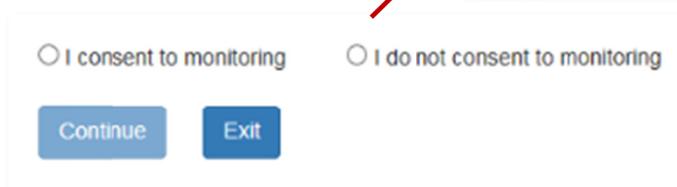
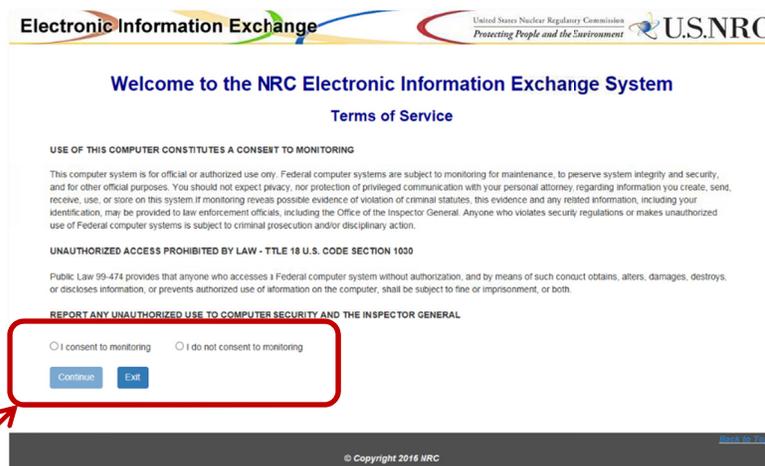
Click the **OK** button.



4.1 Welcome / Terms of Service

The “**Welcome / 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

For first time users, the “**Rules of Behavior**” page will appear. Review the Rules of Behavior.

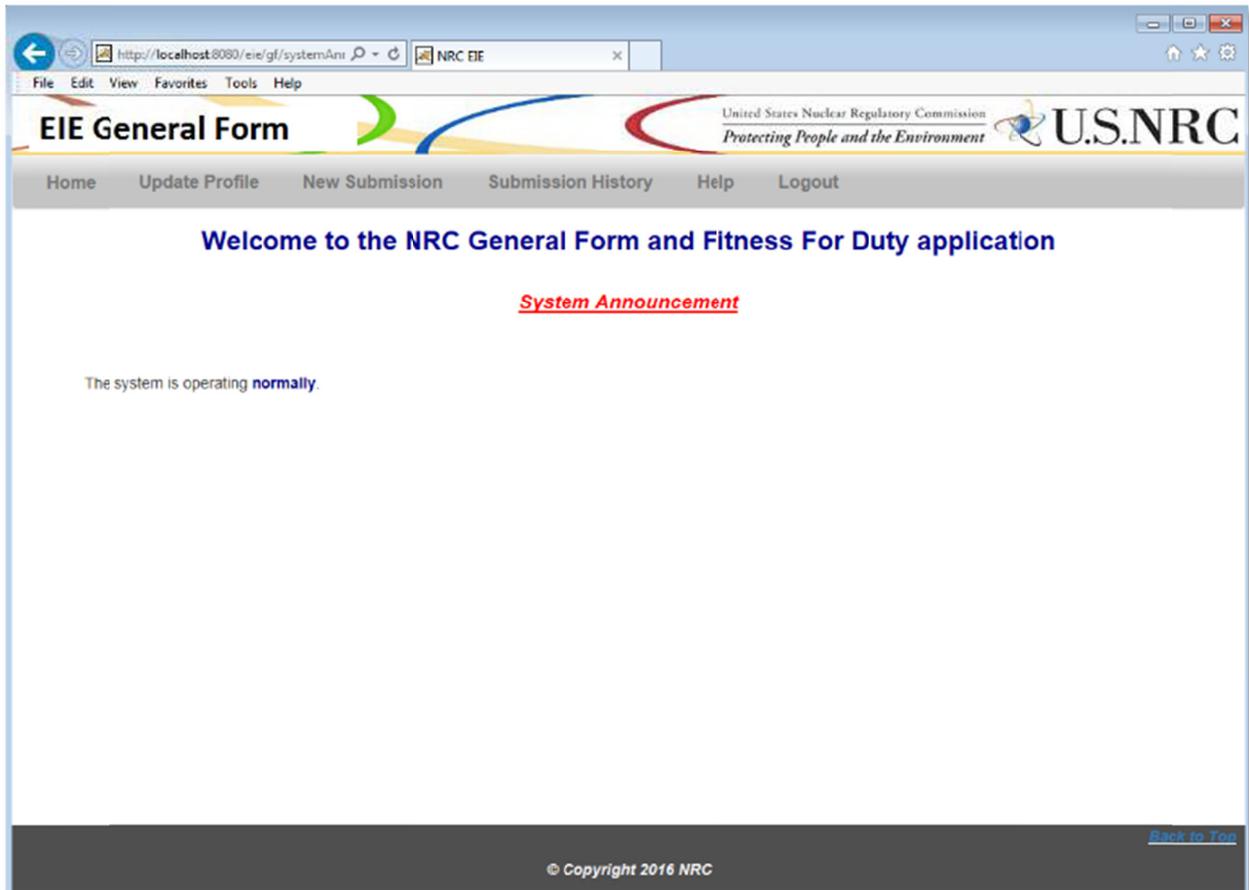
After reviewing the Rules of Behavior, click the **Accept** radio button and then click on the **Continue** button. The “**Create User Profile**” page will be displayed.

If necessary, update any field requiring new or corrected information. Then click on the **Create User Profile** button.



4.2 Home

The “**Home**” page will provide announcements about the General Form application.



Navigate through the **EIE General Form** by selecting any of the following links from the menu bar at the top of the form:





4.3 Update Profile

After selecting **Update Profile** from the menu bar, the “**Modify User Profile**” page will be displayed. Update any editable fields within the **Contact Information** or **Address** section of the form.

EIE General Form

United States Nuclear Regulatory Commission
Protecting People and the Environment

U.S.NRC

Home Update Profile New Submission Submission History Help Logout

Modify User Profile

Certificate Information

First Name: John Last Name: Doe
Email: john.doe@nrc.gov Expiration: 12/31/2099

Contact Information

Title: Fax: (555) 555-5555
Phone: (301) 123-4567

Address

Address 1: Address 2:
City: State: Maryland
Zip: 55555

Update User Profile

© Copyright 2016 NRC [Back to Top](#)

- 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 Title, Phone, or Fax number.
- Update the **Address** section with the certificate owner’s Address, City, State, and Zip Code.

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



4.4 New Submission

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



The “**New Submission**” page will display:

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

Home Update Profile **New Submission** Submission History Help Logout

New Submission

* Required field

Submitter's Information

Submitter Name Email Address
Certificate Expiration Date

Submission Information

Submission Title *
Submission Type *
Submission Comment
Availability * Submission Date
Docket Number Project Number

If you selected the Submission Type "Other", please enter the Destination and Purpose below:

Submission Destination
Submission Purpose

Attachment File(s)

Each submission must have at least one file attached. You may attach multiple files to a single submission so long as no single attachment exceeds 100 MB and the aggregate size of the attachments does not exceed 100 MB. Each file name should not exceed 85 characters and the Document Title field may not contain the following characters: &"/*\|<>:;?*. The attachment file type must be either PDF, XLSX, or XLS file type.

File Name *	Document Title *	Action
<input type="text" value=""/> <input type="button" value="Browse"/>	<input type="text"/>	<input type="button" value="Remove"/>

Total File Size (KB):

Submitter Signature

The "Submit" button sends the submission to the NRC where it is first scanned for computer viruses. Upon "clear" scan, an email notice of receipt will be sent to the submitter. If the submission does not pass the virus scan, you will be notified and asked to re-submit.

Signature: _____ Date: _____



4.4.1 Submitter's Information

* Required field

Submitter's Information

Submitter Name **Email Address**

Certificate Expiration Date

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

4.4.2 Submission Information

Submission Information

Submission Title *

Submission Type *

Submission Comment

Availability * **Submission Date**

Docket Number **Project Number**

If you selected the Submission Type "Other", please enter the Destination and Purpose below:

Submission Destination

Submission Purpose

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

Field Name	Description
Submission Title <i>(Required)</i>	Enter a title for the submission.
Submission Type <i>(Required)</i>	<p>Use the drop-down menu to select the submission type:</p> <div style="border: 1px solid black; padding: 5px;"> <p>10 CFR Part 13 (Program Fraud Civil Remedies) 10 CFR Part 25 (Fitness for Duty and Annual Fatigue Reporting) 10 CFR Part 40 (Domestic Source Material Licensing) 10 CFR Part 50 (Licensing of Production and Utilization Facilities) 10 CFR Part 52 (Licenses, Certifications and Approvals for Nuclear Power Plants) 10 CFR Part 70 (Licensing of Special Nuclear Material) 10 CFR Part 73 (Physical Protection of Plants and Materials) 10 CFR Part 110 (Export and import of Nuclear Equipment and Material) Other</p> </div> <p>Note: If selecting "Other" as the Submission Type, the Submission Destination and Purpose fields become <i>required</i> fields.</p>



Field Name	Description
Submission Comment (if desired)	Enter any comments pertaining to the submission, if desired.
Availability (Required)	Use the drop-down menu to select the availability of the submittal: <div data-bbox="760 535 1122 640" style="border: 1px solid gray; padding: 5px; display: inline-block;"> Publicly Available Non-Publicly Available </div>
Submission Date (auto-populated)	The submission date will default to “today’s” date.
Docket Number (optional)	Enter a docket number for the submittal, if applicable.
Project Number (optional)	Enter a project number for the submittal, if applicable.
If selecting the Submission Type “Other”, please enter the Destination and Purpose below:	
Submission Destination (Required if “Other” is Submission Type)	Enter the receiving party of this submission.
Submission Purpose (Required if “Other” is Submission Type)	Enter the purpose of this submission.



4.4.3 Attachment File(s)

Attachment File(s)

Each submission must have at least one file attached. You may attach multiple files to a single submission so long as no single attachment exceeds 100 MB and the aggregate size of the attachments does not exceed 100 MB. Each file name should not exceed 85 characters and the Document Title field may not contain the following characters: & * / \ < > : | ? *. The attachment file type must be either PDF, XLSX, or XLS file type.

File Name *	Document Title *	Action
<input type="text" value="Browse..."/>	<input type="text"/>	<input type="button" value="Remove"/>

Total File Size (KB):

Each submission must have at least one (1) file attached. Populate the following fields within the **Attachment File(s)** section:

Field Name	Description
File Name (Required)	Use the Browse 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 Open button. The File Name field will auto-populate. Note: Each File Name should not exceed 85 characters. The attachment type must be either a PDF, XLSX, or XLS file type.
Document Title (Required)	Enter the title of the document being attached to the submittal form. Note: The document title may not contain the following characters: & " / \ < > : ? *
Total File Size (KB)	As documents are attached, the file size will automatically calculate. Ensure that no single attachment exceeds 100 MB and the aggregate size of the attachments does not exceed 100 MB.

Attachment File(s)

Each submission must have at least one file attached. You may attach multiple files to a single submission so long as no single attachment exceeds 100 MB and the aggregate size of the attachments does not exceed 100 MB. Each file name should not exceed 85 characters and the Document Title field may not contain the following characters: & * / \ < > : | ? *. The attachment file type must be either PDF, XLSX, or XLS file type.

File Name *	Document Title *	Action
C:\TestFile\Getting Started 1.pdf <input type="button" value="Browse..."/>	Getting started document #1	<input type="button" value="Remove"/>

Total File Size (KB):

To attach additional files, click on the **Add Another File** button. Repeat the actions described above for populating the File Name and Document Title fields.



Note: If an incorrectly attached file was selected, click on the **Remove** button to the right of the file attached in error.

4.4.4 Submitter's Signature

Submitter Signature

The "Submit" button sends the submission to the NRC where it is first scanned for computer viruses. Upon "clean" scan, an email notice of receipt will be sent to the submitter. 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

The "Submit" button sends the submission to the NRC where it is first scanned for computer viruses. Upon "clean" scan, an email notice of receipt will be sent to the submitter. If the submission does not pass the virus scan, you will be notified and asked to re-submit.

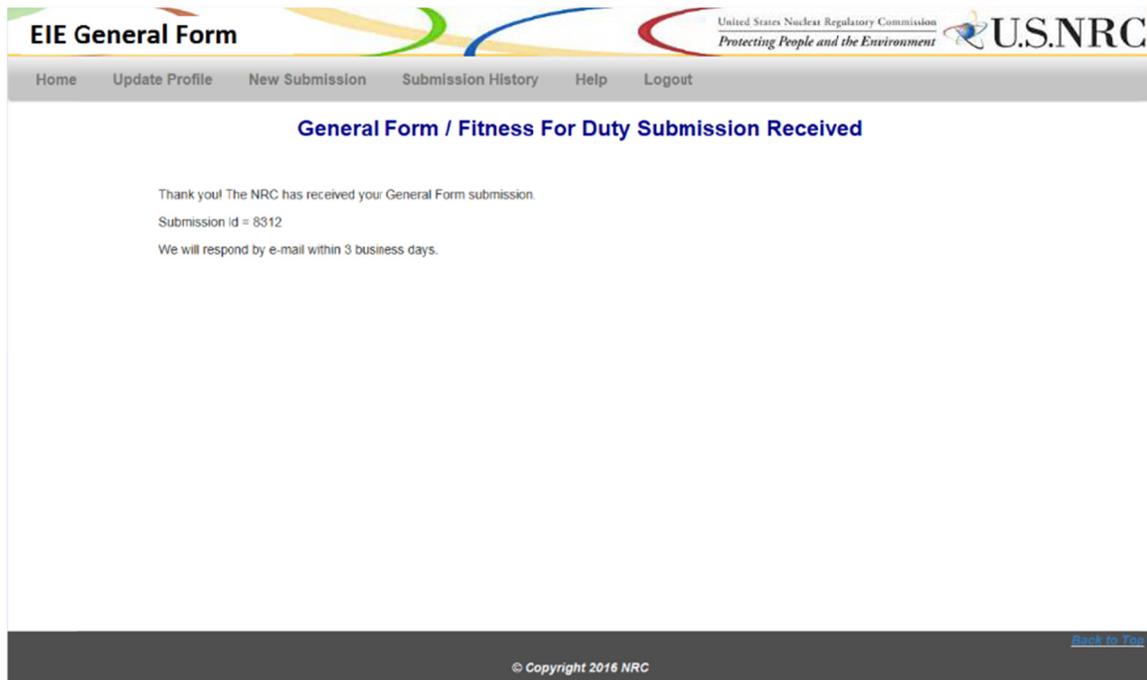
Signature: *John Doe* **Date:** 05/27/2016

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

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



4.4.5 Submission Received



The screen will refresh and display a message that the General Form / Fitness for Duty Submission was Received.

4.5 E-mail Acknowledgement

The user will receive an email acknowledging the submission. The following is an email acknowledgement example:

The NRC received your General Form submission on: XX/XX/XXXX at XX:XX AM. It is being tracked as submission ID# XXX.

If it is a 'Publicly Available' submission after 6 work days from today the submission's attached document(s) will be available for viewing and download from the Agency's Public Web Based ADAMS website (<http://adams.nrc.gov/wba>) by searching for the following document accession number(s): [ML#####, ML#####]. If this is a 'Non-Public submission the submission's attachment(s) will be retained in NRC's document management system (ADAMS) and will not be published to the public website.

Should you have questions about this submission please contact our Help Desk by phone at 866-672-7640 or by e-mail at mshd.resource@nrc.gov. When doing so, please refer to the Submission ID# shown above.

Note: The Help Desk is staffed daily from 9:00AM to 7:00PM Eastern Time Monday through Friday (except for Federal holidays)

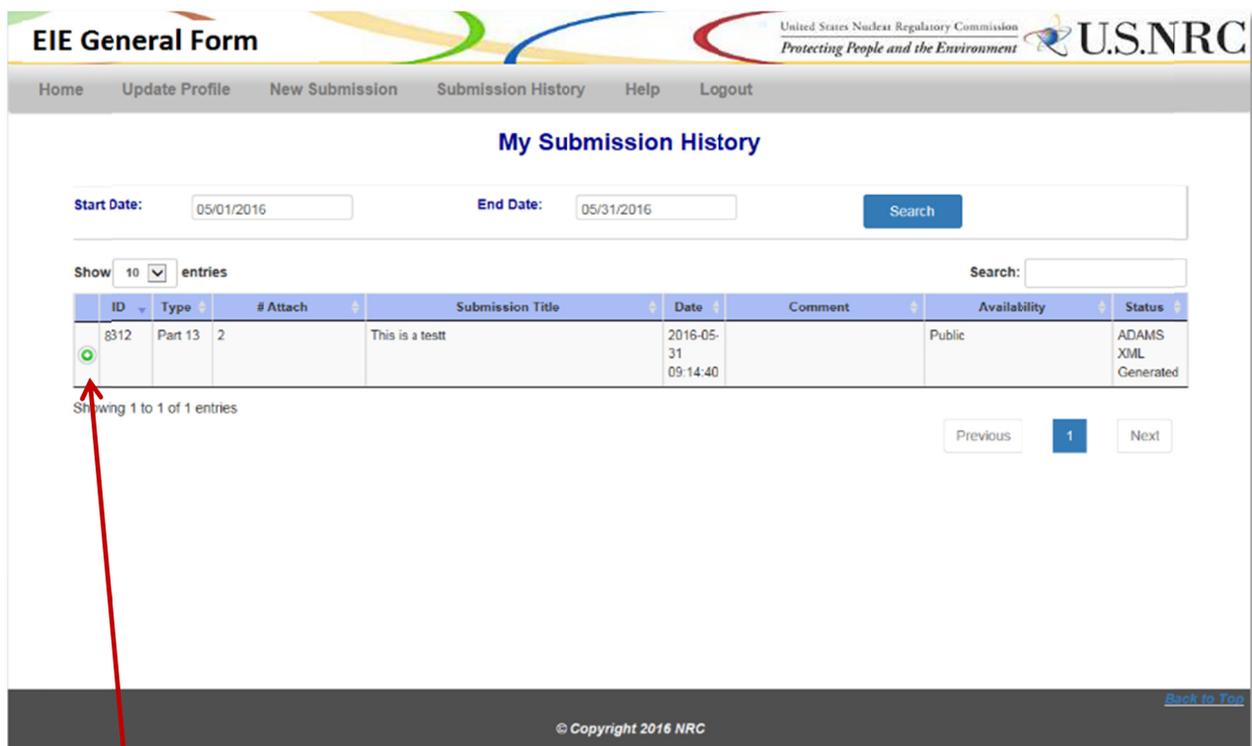


4.6 Submission History

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



The “**Submission History**” page will display.



Select  to expand and view all documents attached to a submission.



Start Date: End Date:

Show entries Search:

ID	Type	# Attach	Submission Title	Date	Comment	Availability	Status
8312	Part 13	2	This is a test	2016-05-31 09:14:40		Public	ADAMS XML Generated

Document ID	Document File Name	Accession Number	DocumentTitle
12926	Getting Started 2.pdf		Getting Started
12925	Dynamic.pdf		Dynamic

Showing 1 to 1 of 1 entries

4.7 Log Out

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



The “**Welcome / Terms of Service**” page will display (see [Section 4.1](#)).

The image shows a web page titled 'Welcome to the NRC Electronic Information Exchange System Terms of Service'. The page header includes the NRC logo and the slogan 'Protecting People and the Environment'. The main content area contains the following 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

I consent to monitoring I do not consent to monitoring

© Copyright 2016 NRC [Back to Top](#)