



**UNITED STATES
NUCLEAR REGULATORY COMMISSION**
WASHINGTON, D.C. 20555-0001

July 8, 2019

ALL AGREEMENT STATES, VERMONT

FINGERPRINT CARD RESULTS PROCESS IMPROVEMENT (STC-19-041)

Purpose: To inform the Agreement States, as well as any States with pending Agreement State applications, of a process improvement available to licensees that currently submit fingerprint cards to the U.S. Nuclear Regulatory Commission (NRC) in accordance with the background investigation requirements in Title 10 of the *Code of Federal Regulations* (10 CFR) Part 37, "Physical Protection of Category 1 and Category 2 Quantities of Radioactive Material."

Background: The NRC's Criminal History Program staff has and continues to support a licensee's electronic submittal of fingerprints, via the Electronic Information Exchange (EIE) process, which is available on the NRC's "Electronic Submittals Application" Web page (<https://www.nrc.gov/site-help/e-submittals.html>) and returns results digitally. However, many materials licensees have had to rely on submission of hard-copy fingerprint cards via mail and in turn, wait for the results through the mail.

Discussion: The NRC is introducing a new voluntary service for materials licensees who possess risk-significant quantities of radioactive material¹ that are required to comply with 10 CFR Part 37. In accordance with 10 CFR 37.25, a materials licensee must include as part of its initial background investigation and reinvestigation, fingerprinting and a Federal Bureau of Investigation (FBI) identification and criminal history records check.

The Criminal History Program staff is now able to return results via electronic means to those materials licensees who submit hard-copy fingerprint cards for processing and who wish the staff to expedite delivery of the return results. Fingerprint card submitters, who are the licensees' Reviewing Officials (RO), may opt for this new process in order to gain efficiency and security benefits. This process will reduce the time between fingerprint card submission and licensees' receipt of the results by eliminating the delay incurred in the Criminal History Program staff printing and mailing the results to licensees. Additionally, ROs can more securely receive the results without the possibility of this information being inadvertently lost or misplaced during the mailing process. Lastly, this new process improvement is available at no cost to the licensees.

New Process Details:

1. Only approved ROs may apply to obtain a digital certificate² for this process. Criminal History Program staff will verify that the individual applying for the digital certificate is the

¹ Risk-significant quantities of radioactive material are defined as those meeting the thresholds for Category 1 and Category 2 as included both in the International Atomic Energy Agency Code of Conduct on the Safety and Security of Radioactive Sources and in 10 CFR Part 37.

² Regardless of whether a digital certificate has previously been issued by the NRC to the fingerprint card submitter (the RO) for use of another system (such as the National Source Tracking System, Web-Based Licensing, etc.), a new certificate will need to be issued.

- approved RO on file. Instructions on how to obtain and install a digital certificate are available at the following address: <https://pki.nrc.gov/ecs/apps/eie/dcc-eie-ch.html>.
2. Following digital certificate installation, the RO may log into the EIE Criminal History system at the following address: <https://eie.nrc.gov/eie/ch/app.eie>. Upon first log-in, the RO will be asked to acknowledge the system 'Rules of Behavior' instructions and will then be taken to the user profile page which includes an opportunity to request that the certificate be affiliated with the user's facility. Criminal History Program staff will enable the affiliation and send a confirmation e-mail to the RO.
 3. Following the RO's submittal of a hard-copy fingerprint card, the Criminal History Program staff will deliver the FBI fingerprint result files to the RO via secure e-mail link. The link is 'locked' through the use of the NRC-issued digital certificate. The key to opening the results file is the certificate itself which is installed on the fingerprint card submitter's desktop. The e-mail with the results file is launched to the submitter within minutes of its return from the FBI.
 4. The RO may then open the link in the e-mail notice to download the results to its local desktop. PLEASE NOTE: This link will be disabled after 14 days and the criminal history results report will be deleted from the EIE system. The RO must make local copies of any reports that it wishes to retain for recordkeeping purposes.

We encourage users to contact the NRC Help Desk at 866-672-7640 for assistance in acquiring and installing a new certificate, if necessary. Detailed questions about the steps in the process can be directed to Doreen Turner in the Criminal History Program (Doreen.Turner@nrc.gov or 301-415-7553).

To facilitate dissemination of this process improvement, we would appreciate your assistance in providing this correspondence or the enclosed flyer to your applicable materials licensees.

If you have any questions on this correspondence, please contact the individual named below:

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Enclosure: New Digital Fingerprint Card
Results Process Flyer

SUBJECT: FINGERPRINT CARD RESULTS PROCESS IMPROVEMENT(STC-19-041)

DATE: JULY 8, 2019

DISTRIBUTION:

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NEW Digital Fingerprint Card Results Process

Getting to Paperless

The U.S. Nuclear Regulatory Commission (NRC) has a new voluntary service for materials licensees who possess risk-significant quantities of radioactive material that submit fingerprints for a Federal Bureau of Investigation (FBI) identification and criminal history records check. The NRC Criminal History Program staff is going **green** by being able to now return results via electronic means to those materials licensees who submit hard-copy fingerprint cards for processing.

What does this mean for you?

There's no better time than today for fingerprint card submitters (Reviewing Officials (ROs)) to opt for this new process to **gain efficiency and security benefits**. This process will reduce the time between fingerprint card submission and licensees' receipt of the results by eliminating the delay incurred in receiving the results by mail. Additionally, ROs can more securely receive the results without the possibility of this information being inadvertently lost or misplaced during the mailing process. Lastly, this new process improvement is **free**!

How does this work if you opt for this new process?

1. The approved RO applies to obtain a digital certificate¹. Criminal History Program staff will verify that the individual applying for the digital certificate is the approved RO on file. Instructions on how to obtain and install a digital certificate are available at the following address: <https://pki.nrc.gov/ecs/apps/eie/dcc-eie-ch.html>.
2. Following digital certificate installation, the RO may log into the EIE Criminal History system at the following address: <https://eie.nrc.gov/eie/ch/app.eie>. Upon first log-in, the RO will be asked to acknowledge the system 'Rules of Behavior' instructions and will then be taken to the user profile page which includes an opportunity to request that the certificate be affiliated with the user's facility. Criminal History Program staff will enable the affiliation and send a confirmation e-mail to the RO.
3. Following the RO's submittal of a hard-copy fingerprint card, this new **fast and paperless** process will result in the RO receiving the FBI fingerprint result via secure e-mail link.
4. The RO may then open the link in the e-mail notice to download the results to its local desktop. PLEASE NOTE: This link will be disabled after 14 days and the results report will be deleted from the EIE system. The RO must make local copies of reports that it wishes to retain for recordkeeping purposes.

Please don't hesitate to contact the NRC Help Desk at 866-672-7640 for assistance in acquiring and installing a new certificate, if necessary. Detailed questions about the steps in the process can be directed to Doreen Turner in the Criminal History Program (Doreen.Turner@nrc.gov or 301-415-7553).

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