

NOTE: This appendix will not be printed in the Code of Federal Regulations

Appendix A
United States Nuclear Regulatory Commission (NRC)
Guidance for Electronic Submissions to the Commission

INDEX:

1.0 Introduction

- 1.1 Background
- 1.2 Scope
- 1.3 Applicable Transactions
 - 1.3.1 Exceptions to Electronic Submission
 - 1.3.2 Electronic Forms and Payments
 - 1.3.3 Submissions Requiring Oath or Affirmation
 - 1.3.4 10 CFR Part 2 Submissions
 - 1.3.5 Freedom of Information Act and Privacy Act Requests

2.0 Parameters for Electronic Files Submitted to the NRC

- 2.1 File Formats
- 2.2 Naming Conventions
- 2.3 File Size Limitations
- 2.4 Security/Access Settings
- 2.5 Resolution
- 2.6 Settings for Creating PDF Formatted Text and Graphic Files
- 2.7 Use of Color
- 2.8 Files with Special Printing Requirements
- 2.9 File Linkages
- 2.10 Viruses
- 2.11 Macros
- 2.12 Copyrighted information
- 2.13 Copies
- 2.14 Segmentation of Large Documents
- 2.15 Sensitive or Non-Public Documents

3.0 Guidance for EIE Submissions

- 3.1 Who Can Participate
- 3.2 What can be submitted
- 3.3 How to Register
- 3.4 What is Needed to Participate
- 3.5 How to Obtain a Digital Signature Certificate
- 3.6 How to Obtain Software Plug-ins
- 3.7 How to Submit Documents
- 3.8 Where to Submit Documents
- 3.9 Sensitive or Non-Public Documents
- 3.10 Additional User Assistance (references and contact information)

4.0 Guidance for CD-ROM Submissions

- 4.1 Who Can Participate
- 4.2 What Can be Submitted
- 4.3 How to Submit CD-ROMs to the NRC
 - 4.3.1 Sensitive or Non-Public Documents
 - 4.3.2 Oath or Affirmation

- 4.3.3 Living Documents
 - 4.3.4 CD-ROM File Format
 - 4.3.5 Packaging/Labeling
 - 4.3.6 Copies
 - 4.3.7 Rejection of Submissions
- 4.4 Where to Submit the CD-ROMs
- 4.5 Additional User Assistance (references and contact information)

5.0 E-mail Submissions

- 5.1 Who Can Participate
- 5.2 What Can be Submitted
- 5.3 Rejection of Submissions
- 5.4 How to Send E-mail
- 5.5 Where to Submit E-mail

6.0 Facsimile Submissions

- 6.1 Who Can Participate
- 6.2 What Can be Submitted
- 6.3 How to Send Facsimiles (Faxes)
- 6.4 Where to Submit Facsimiles (Faxes)
- 6.5 Facsimile Locations and User Assistance

7.0 Additional Resources

- 7.1 User Assistance
- 7.2 References

1.0 Introduction

1.1 Background

On (insert the date of publication in the Federal Register), the Nuclear Regulatory Commission (NRC) promulgated a final rule on electronic submission of information to the agency. This rule modified many NRC regulations to explicitly authorize electronic communications with the agency. The final rule stated that the NRC would issue specific guidance on acceptable procedures for electronic submissions. That guidance is contained in this document. This guidance document is the controlling source of information on electronic submissions to the NRC and supersedes *NRC Regulatory Issue Summary 2001-05, Guidance on Submitting Documents to the NRC by Electronic Information Exchange or on CD-ROM*, and the August 10, 2001, letter issued to certain fuel cycle facilities extending to them the option of electronic submissions in many instances. The NRC plans to update this guidance periodically to reflect changes in technology and agency experience by posting the latest version of the document on NRC's Web site at <http://www.nrc.gov>. While the Commission encourages the submission of electronic documents, submission of paper documents remains acceptable.

1.2 Scope

This guidance document governs the electronic submission of documents to the NRC. It includes the required procedures for corresponding electronically with the NRC via the Internet using Electronic Information Exchange (EIE), by CD-ROM, or by e-mail. It also includes procedures for corresponding by facsimile (fax). It does not address outgoing NRC communications.

NRC's Electronic Information Exchange (EIE) allows NRC to exchange information related to official agency business with its customers and other Federal agencies across the Internet. The EIE system uses a public key infrastructure and digital signing technology to authenticate documents and validate the identity of the person submitting the information. That is, the system ensures that the exchanged information is secure and that the person submitting the material is, in fact, who is indicated. It requires the use of digital signatures and certain software plug-ins. Procedures for acquiring a digital signature for communicating with the NRC via EIE can be found at Section 3.5, and procedures for acquiring the required software can be found at Section 3.6.

The NRC has enhanced its EIE system capabilities with a robust engine for facilitating the transmission process. The NRC encourages its user community to use EIE and evaluate its enhanced capabilities.

1.3 Applicable Transactions

Documents or other information submitted under oath or affirmation, or other documents where secure transfer is either required or appropriate, should be submitted over the Internet using EIE or submitted on CD-ROM. While e-mail and facsimiles are not appropriate for most submissions required by NRC regulations, they may be used for certain other correspondence and communications with the NRC, such as rulemaking petitions and comments on rulemaking proceedings, communications with States and

other Federal agencies, requests for enforcement actions under 10 CFR 2.206, and Freedom of Information Act (FOIA) requests and appeals, but not for information covered under the Privacy Act.

E-mail may be addressed to either specific individuals named as contacts in Federal Register Notices or other agency communications, or to the office specified in the regulation or communication specific to the document(s) being submitted; to addresses the NRC Web site provides for individual program offices or specific agency functions or services; or to the Office of Public Affairs. Individual program offices may be contacted through the NRC Web site at <http://www.nrc.gov> by selecting specific contact pages from "Contact Us" on the home page. The Office of Public Affairs may be reached through the "Contact Us" on the home page or at OPA@nrc.gov (use upper case where indicated). The sender will not receive an e-mail confirmation of receipt of the submission except for those communications using EIE.

1.3.1 Exceptions to Electronic Submission

- A. All communications with the NRC may be submitted electronically via the Internet using Electronic Information Exchange except for the following:
 - 1. Classified information (i.e., National Security Information and Restricted Data), and Safeguards Information. This information may only be submitted electronically on CD-ROM.
 - 2. "Immediate" or "prompt" notifications to the NRC that NRC regulations require be made by telephone or telefax up to one week before or after an event (e.g., 10 CFR 30.50 or 30.55(c)).
 - 3. Notice of filing of bankruptcy petition, whether voluntary or involuntary (e.g., 10 CFR 30.34(h)(1)).
 - 4. Hearing requests, and documents pertaining to hearings or associated appeals, including, but not limited to, those associated with hearings conducted under 10 CFR Parts 2, 4, 10, 12, 13, 14, 16, 19, 25, 76, 81, 110, 140, and 150. Separate rules or guidance addressing procedures for electronic communications in hearings will be issued in the future for public comment. (Nothing in this guidance document precludes presiding officers from their current practice of authorizing electronic communications on a case-by-case basis.)
 - 5. Documents served on the NRC as a participant in Federal Court proceedings or in non-NRC administrative proceedings (such as administrative proceedings before the Merit Systems Protection Board, unless electronic submission is authorized by rule or order issued by a Federal Court or Agency).
 - 6. NRC contractor proposals or invoices submitted in response to specific contractual requirements. (Because Federal Acquisition Regulation guidance as contained in Section 30 of the Office of Federal Procurement Policy Act [41 USC 426] allows the Federal Government to use electronic commerce whenever practical, guidance for electronic submittal of proposals and invoices will be addressed in individual procurements. Further guidance for submission of these documents will be issued at a later date.)

7. Financial assurance instruments to meet decommissioning cost requirements and prescribed by regulation at 10 CFR 30.35(e) and (f); 10 CFR 40.36 (d) and (e); and 10 CFR 70.25 (e) and (f) (including surety bonds, letters of credit, lines of credit, and insurance).

8. Documents with special printing requirements. (See section 2.8). This information may only be submitted electronically on CD-ROM.

9. Segmented documents or files larger than 50 megabytes (MB) (See Section 2.14). This information may only be submitted electronically on CD-ROM.

B. All communications with the NRC may be submitted electronically on CD-ROM except for the following:

1. "Immediate" or "prompt" notifications to the NRC that NRC regulations require be made by telephone or telefax up to one week before or after an event (e.g., 10 CFR 30.50 or 30.55(c)).

2. Notice of filing of bankruptcy petition, whether voluntary or involuntary (e.g., 10 CFR 30.34(h)(1)).

3. Hearing requests, and documents pertaining to hearings or associated appeals, including, but not limited to, those associated with hearings conducted under 10 CFR Parts 2, 4, 10, 12, 13, 14, 16, 19, 25, 76, 81, 110, 140, and 150. Separate rules or guidance addressing procedures for electronic communications in hearings will be issued in the future for public comment. (Nothing in this guidance document precludes presiding officers from their current practice of authorizing electronic communications on a case-by-case basis.)

4. Documents served on the NRC as a participant in Federal Court proceedings or in non-NRC administrative proceedings (such as administrative proceedings before the Merit Systems Protection Board, unless electronic submission is authorized by rule or order issued by a Federal Court or Agency).

5. NRC contractor proposals or invoices submitted in response to specific contractual requirements. (Because Federal Acquisition Regulation guidance as contained in Section 30 of the Office of Federal Procurement Policy Act [41 USC 426] allows the Federal Government to use electronic commerce whenever practical, guidance for electronic submittal of proposals and invoices will be addressed in individual procurements. Further guidance for submission of these documents will be issued at a later date.)

6. Financial assurance instruments to meet decommissioning cost requirements and prescribed by regulation at 10 CFR 30.35(e) and (f); 10 CFR 40.36(d) and (e); and 10 CFR 70.25(e) and (f) (including surety bonds, letters of credit, lines of credit, and insurance).

1.3.2 Electronic Forms and Payments

Each form referred to in the NRC regulations can be found on the NRC Web site at <http://www.nrc.gov> in PDF format for viewing and printing by selecting "Forms" from the Index found on the home page and selecting the specific form required.

Financial payments required by regulations can be submitted electronically. Copies of NRC Form 628 to establish financial authorization electronically can be found at the NRC Web site at <http://www.nrc.gov> by selecting "Forms" from the index found on the home page. Payments by credit card of civil penalties, Part 171 annual fees, Part 170 licensing and inspection fees, and other fees, may be done by completing the authorization form included with the invoice or civil penalty. A copy of the form may be printed from the NRC Web site at <http://www.nrc.gov> by selecting "Forms" from the index found on the home page and selecting "NRC Form 629, Authorization for Payment by Credit Card."

1.3.3 Submissions Requiring Oath or Affirmation

Submissions requiring oath or affirmation may be submitted electronically using EIE or on CD-ROM. (See Sections 3.7 and 4.3.2 of this guidance document.) These include the following:

1. Documents that by statute must be submitted under oath or affirmation (e.g., pursuant to section 182 of the Atomic Energy Act of 1954, as amended, 42 USC 2232). Generally, oath or affirmation requirements apply to applications for a license, amendments to a license, some licensee responses to Notices of Violation (NOV), and certain letters of transmittal. NRC's regulations in 10 CFR Parts 2 and 50 implement these statutory requirements; certain regulations require an oath or affirmation for submission of documents (see, e.g., 10 CFR 50.54(f) and 10 CFR 50.30(b)).
2. Documents that must be sent by certified mail (e.g., 10 CFR Part 30, Appendix A II. C. 2).

1.3.4 10 CFR Part 2 Submissions

Rulemaking petitions, comments filed in rulemaking proceedings (10 CFR Part 2, Subpart H), and requests for enforcement action under 10 CFR 2.206 may be submitted via EIE, CD-ROM, or e-mail. Other documents submitted pursuant to 10 CFR Part 2, Subpart B, "Procedure for Imposing Requirements By Order, or for Modification, Suspension, or Revocation of a License, or for Imposing Civil Penalties," may be submitted via EIE or CD-ROM. Submission of all other documents covered under Part 2 are excluded from the scope of this guidance document. Separate rules or guidance addressing procedures for electronic communications in hearings will be issued in the future for public comment.

1.3.5 Freedom of Information Act and Privacy Act Requests

All Freedom of Information Act (FOIA) and Privacy Act requests and appeals may be submitted electronically by EIE, CD-ROM, facsimile, or e-mail. However, e-mail requests may not reveal personal privacy information.

2.0 Parameters for Electronic Files Submitted to the NRC

Unless otherwise noted, all electronic documents submitted to the NRC, including all enclosures or attachments that are documents, should meet the file format specifications delineated in this section. Note: any electronic file that can be converted to PDF format (spread sheets, slide presentations, etc.) are considered documents by the NRC and are subject to these specifications.

Submittals may also contain other forms of electronic information including data files, computer models, and video or audio clips that are not considered documents. These files are not required to conform to the file format specifications established for documents.

2.1 File Formats

Electronic materials should be submitted in PDF or otherwise meet the specifications delineated in this section.

The following table defines the particular PDF output file formats and their use when submitting electronic documents to the NRC:

Preferred PDF Output File Format

File Format	Version	Filename Extension	Recommended Use
Adobe® Acrobat Portable Document Format (PDF) Formatted Text and Graphics (Formerly known as PDF Normal). Options should be set according to the settings described in Section 2.6.	Current or 2 previous	pdf	Textual documents converted from native applications only *, **
Adobe® Acrobat PDF Searchable Image (Exact) [formerly known as PDF Original Image with Hidden Text]. Options should be set according to the settings described in Section 2.6.	Current or 2 previous	pdf	Textual documents converted from scanned documents
Adobe® Acrobat PDF Image Only. Options should be set according to the settings described in Section 2.6.	Current or 2 previous	pdf	Preferred format for graphic-, image-, and forms-oriented documents (not for capture of text)

* Textual documents scanned from original paper copies converted to PDF Formatted Text and Graphics result in capture of only a text file that contains OCR conversion errors. This inaccurate representation of the original document is not acceptable for capture by the NRC as an archival record. If the native format of a document is not available for creating a PDF file, the NRC recommends that Searchable Image (Exact)

PDF be generated from a scanned image of the document. This will create a PDF file that contains a 100% accurate representation of the original document which will be acceptable for transfer to the National Archives.

** Adobe® PDF Formatted Text and Graphics files that contain embedded images of text will not be accepted. These files are usually a result of cutting and pasting images of text instead of the text itself, from one document to another while creating documents using word processing applications. This practice results in a picture of the text being created that is not full text searchable. However, images of text that are intended as a graphical representation only and are not meant to convey the information contained in the text will be accepted.

Note: Adobe has recently established a fourth PDF output file format (PDF Searchable Image (Compact)) that uses compression techniques to reduce file sizes of images. This is not an acceptable format for submission to the NRC because it uses lossy compression techniques that do not result in a true and accurate representation of the original document.

Images originally created in a Tagged Image File Format (TIFF) that are primarily graphic-oriented in nature may be converted to PDF for submission to NRC using the PDF Image Only format as described above.

The NRC recommends that the results of spreadsheet applications be converted to one of the acceptable PDF file formats. The NRC staff may also require spreadsheet data to perform additional calculations/analyses. Spreadsheet data may be submitted using the following acceptable formats.

File Format	Version	Filename Extension	Preferred Use
Microsoft® Excel®	Current or 2 previous	xls	Spreadsheet calculations
Corel® QuattroPro	Current or 2 previous	wb3	Spreadsheet calculations
Lotus® 1-2-3	Current or 2 previous	wk3/wk4	Spreadsheet calculations

When submitting an electronic file using one of the acceptable formats, do not change the default, three-character extension for the file (e.g., a document prepared as "license_amendment.pdf" should be submitted with the ".pdf" file extension and a document prepared as a Microsoft Excel spreadsheet should be submitted with the "xls" file extension).

2.2 Naming Conventions

Documents submitted to the NRC must:

- Conform to ISO 9660 format, including following the Joliet Extension.
- Have filenames that are limited to 49 characters (including the "." and the three-character filename extension).

- Retain the default three-character file extension associated with the format in which the document was created (Example: for files created to conform to Adobe's Portable Document Format, ".pdf"; for files created using Microsoft Excel, ".xls").
- Include a three-digit numeric prefix (e.g., 001, 002, 003) in the filename that designates the correct order of the files contained in the submission, followed by the name of the file (Example: "001filename of first document.pdf").
- Filenames should be based on the logical breakpoint used for segmentation of the document (e.g., chapter, section, , etc.) as described in Section 2.14.

File Naming Example Table:

Document Title	File Name
Multiple File Documents	
Chapter 1, Section 1 Estimate of Long-Term Geo-chemical Behavior	001_1.1 Estimate of Long-Term Geochem Behavior.pdf
Chapter 2, Section 2 Estimate of Long-Term Geo-chemical Behavior	002_2.2 Estimate of Long-Term Geochem Behavior.pdf
Appendix A Estimate of Long-Term Geo-chemical Behavior	003_Ap A Estimate - Long-Term Geochem Behavior.pdf
Single File Documents	
Attachment II, CAL-EBS-NU-000017 Rev 003 Calculation, Radiolytic Specie Generation from Internal Waste Package Criticality	001_Att 2 CAL-EBS-NU-000017 R003.pdf
List and Schedule for Model Validation Reports related to Criticality	001_List_Sched for MVRs related to Criticality.pdf

2.3 File Size Limitations

Large-size files create challenges for both the NRC staff and the public when viewing or downloading the documents. Therefore, the NRC requests that submitters make every effort to limit the size of each file to 50MB. If a document exceeds 50MB, it should be created using logical breaks in the document (e.g., file broken up into individual chapters - See Section 2.14).

Additionally, small-size files are problematic as well. Large volumes of files require significant resources to capture and profile in electronic document management systems. Therefore, the NRC encourages submitters to combine files that are components of larger documents to create 50MB files that can be more economically and efficiently managed.

The maximum size of a document submittal to the NRC depends on the method of transmission. For example, submitters may use EIE to submit PDF files and/or accepted spreadsheet files (See Section 3.2) that do not exceed 50MB, including all

attachments. Submitters should use the CD-ROM transmission method in all other cases unless e-mail or facsimile is an appropriate option. (See Sections 5.2 and 6.2). The use of compression techniques (zipped files, downsized files, etc.) is not allowed for electronic files submitted to the NRC because they use lossy compression techniques that do not result in a true and accurate representation of the original document. The table below summarizes the size limitations based on the method of file transmission:

Method of Transmission	Size Limitations
Electronic Information Exchange (EIE)	Less than or equal to 50MB ⁺
CD-ROM	50MB or less per individual file on CD ⁺⁺ , ⁺⁺⁺
E-mail	Less than or equal to 10MB ⁺

⁺ Total, combined size of message and attachments comprised of PDF file(s) and accepted spreadsheet format file(s). Note: Oversize drawings and other files with special printing requirements (Section 2.8), regardless of the file size, should be provided on CD-ROM.

⁺⁺ The total CD capacity may be used but submitters are urged to limit individual files to 50MB or less.

⁺⁺⁺ In some cases a single page document or object (e.g., oversize color drawing) may exceed the 50MB file size limit. Submission of oversize files (in excess of the 50MB limit) are allowed in these instances.

2.4 Security/Access Settings

Submissions should not contain any security settings, password protections, or any other attributes that will preclude full NRC access to and use of the files. NRC's internal security and archival processes will maintain the integrity of the materials that are submitted.

2.5 Resolution

To comply with NARA Standards, PDF documents should be created using the following resolution guidelines:

- Bi-tonal (black and white) PDF resolution, not less than 300 pixels per inch (ppi)
- Color PDF resolution, not less than 300 ppi
- Grayscale PDF resolution, not less than 300 ppi

Adobe® Acrobat “downsampling” (an optimization option available in Adobe Acrobat) may result in images with resolutions less than acceptable for submission to the NRC. Therefore, its use is not recommended.

2.6 Settings for Creating PDF Formatted Text and Graphic Files

Adobe® Acrobat 5.0 provides four default optimizations when creating PDFs. These are eBook, Press, Print, and Screen. The NRC has reviewed these optimizations and has established a custom optimization that strikes a balance between print and screen optimizations. This custom optimization provides adequate retrieval response time for viewing online while providing sufficient clarity and resolution for printing. The settings established for this custom optimization are listed below and should be used on all submittals to the NRC. The settings are specific to Adobe® Acrobat 5.0. However, when PDF creation software other than Adobe® Acrobat 5.0 is used, the PDF creation software should be configured with values equivalent to those listed below. All fonts should be embedded in the PDF file to ensure compliance with NARA guidelines.

SETTINGS

Options		Recommendation Optimal on 5.0
General Options		
	Compatibility	5.0
	Optimize for Fast Web	X
	Embed Thumbnails	
	Auto-Rotate	
	Binding	Left
	Resolution (dpi)	300
Compression		
	Color Images	Bicubic Downsampling (NOT SELECTED)
	For images above	300 dpi
	Compression	Zip
	Quality	8-bit
	Grayscale	Bicubic Downsampling (NOT SELECTED)
	For images above	300 dpi
	Compression	Zip
	Quality	8-bit
	Monochrome	Bicubic Downsampling (NOT SELECTED)
	For images above	450 dpi
	Compression	CCITT – Group 4
	Anti-Alias to Gray	Not Selected
	Compress Text & Line Art	Selected
Font		
	Embed All Fonts ¹	X
	Subset embedded fonts when percent of characters used is less than 100 %	
	When Embedding Fails	Warn & Continue
Color		
	Setting File	None

	Color Management Policy	Tag Everything for Color Management
	Intent:	Default
	Gray	None
	RGB	SRGB IEC61966-2.1
	CMYK	US Web Coated (SWOP)v2
	Preserve Overprint Settings	X
	Preserve Under Color Removal	X
	Transfer Function	Preserve
	Preserve Halftone	
Advanced Options		
	Prologue.ps & Epilogue.ps	
	Allow PS to Override Job Options	X
	Preserve Level 2 Semantics	X
	Save Job Ticket	X
	Illustrator Mode	X
	Gradients to Smooth Shades	X
	ASCII Format	
	Process DSC Comments	X
	Log DSC Warnings	
	Resize for EPS	X
	Preserve EPS Info	X
	OPI Comments	X
	Preserve Doc Info from DSC	X

¹You must check the license(s) for any font(s) you intend to embed, to verify that embedding is allowed. In some cases, the program will warn you if a font is not licensed for embedding, but this varies by vendor. Fonts must be embedded to comply with NARA guidelines.

2.7 Use of Color

The NRC discourages the use of color because it significantly increases file size. If the use of color adds no value to the understanding of the information presented, its use should be avoided. If color is required to make the document understandable, its limited use is acceptable. Examples of color documents that meet this criteria are graphs, bar-charts, and engineering drawings that depend exclusively on the differences in color to understand the information and data being presented.

2.8 Files with Special Printing Requirements

Documents that contain electronic files with special printing requirements, such as requiring the use of a plotter or other special equipment to print, oversize drawings or graphics that require a paper size larger than 11 inches by 17 inches, or other enhancements such as 3D images, etc., may only be submitted electronically via CD-ROM as separate files. If special software components (e.g., printer drivers) are

necessary, include those components, their configuration parameters, and any hardware configuration requirements on the same CD-ROM.

2.9 File Linkages

Files containing objects (e.g., pictures, tables, spreadsheets, and images of text) using link protocols such as Object Linking and Embedding (OLE), Dynamic Data Exchange (DDE), or any other object linking between electronic files are not practicable for the NRC to accept because the relationships among links in multiple file submissions are lost when captured in ADAMS or other agency electronic recordkeeping systems. However, links within a single electronic PDF file are acceptable.

2.10 Viruses

Files received by the NRC will be checked for viruses prior to acceptance. Any submission identified as having a virus will be rejected and returned to the submitter with an explanation of why the submittal was rejected.

2.11 Macros

Macros in files such as Microsoft® Excel are sometimes detected as viruses. Therefore, the use of macros should be limited because a file identified as having a virus will be rejected and returned to the submitter with an explanation of why the submittal was rejected.

2.12 Copyrighted Information

Submitting information electronically to the NRC shall be deemed to constitute authority for the NRC to place a copy of the information on its public document database and for the NRC to reproduce and distribute sufficient copies to carry out its official responsibilities. NRC use of the information specified herein does not constitute authority for others to use the information outside applicable requirements of copyright law.

2.13 Copies

Licensees and vendors submitting documents via EIE do not need to send confirming hard copies of the electronic documents. In instances where the NRC requires a paper copy for accessibility or other reasons, it will make every effort to produce the copy using NRC resources. However, in those instances where the agency is unable to successfully generate an accurate paper copy from the electronic submittal, the NRC may require a paper copy from the submitter. This will be handled on a case-by-case basis.

Many NRC regulations require submission of copies of documents to multiple NRC locations (e.g., Headquarters, Regional Offices, etc.). This practice continues for submissions that are made on CD-ROM. However, only a single copy of the CD-ROM is

required to be submitted to each location. Submissions made via EIE do not require submission to multiple locations.

2.14 Segmentation of Large Documents

Submitters should use the CD-ROM method of transmission (Section 4.0) for documents with file sizes greater than 50MB. Divide the document into file segments of 50MB or less at logical breakpoints such as:

- a. Chapters
- b. Sections
- c. Subsections
- d. Appendices
- e. Exhibits or attachments
- f. Charts, tables, or formulae
- g. For large transcripts, the end of a witness' testimony or session recess

If the recommended file size cannot be achieved, consider moving the graphics (which are often large files) to an appendix or attachment. Any graphic or other large object that exceeds the 50MB limit and that cannot logically be divided should not be segmented. Note: Oversize drawings and other files with special printing requirements (Section 2.8), regardless of the file size, should be provided on CD-ROM.

Additionally, small-size files are problematic as well. Large volumes of files require significant resources to capture and profile in electronic document management systems. Therefore, the NRC encourages submitters to combine files that are components of larger documents to create larger files that can be more economically and efficiently managed.

When CD-ROMs are submitted, use electronic folders to organize the contents at the chapter level consistent with the file name guidance outlined in Section 2.2. The numeric portion of the file name should be sequential across all folders. This means:

- Each chapter must have its own folder which should then contain all files associated with that Chapter, including sections, subsections, and graphics (either embedded within those sections/subsections or provided separately).
- The sections/subsections should be placed in logical sequential order within a folder.
- Separate folders may be created for appendices, exhibits, or attachments. Each item should have the file name reflect the folder where it resides, if practical, in conjunction with complying with the file name guidance in Section 2.2

If multiple CD-ROMs are submitted, place the Table of Contents for the entire submission on each CD-ROM in a multi-set submission.

2.15 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 or on CD-ROM. Documents containing Classified Information (i.e., National Security Information and Restricted Data) and Safeguards Information may be submitted electronically only on CD-ROM, but not via EIE or e-mail (see sections 3.9 and 4.3.1).

3.0 Guidance for EIE Submissions

3.1 Who Can Participate

Applicants, licensees, external entities (including Federal, State, and Local governments), vendors and members of the public who submit documents to the NRC may do so via EIE. The EIE is designed to ensure that electronic documents can be transmitted via the Internet in a secure and unalterable manner. Submittals such as those that are required to be submitted under oath or affirmation may be safely transmitted via EIE. Applicants, licensees, vendors etc. must designate individuals who will have the responsibility for originating, signing, or sending documents to the NRC in compliance with regulatory requirements.

3.2 What can be submitted

Documents may be submitted via EIE except as noted in Section 1.3.1.A. and must qualify according to the following criteria:

- the file format is PDF and/or an acceptable spreadsheet format - See Section 2.1, and
- the entire submission is less than 50MB

3.3 How to Register

The NRC provides for overall administration of the EIE process through the designated Local Registration Authority (LRA). The LRA creates and maintains an Authorized Certificate List (ACL) consisting of authorized internal and external EIE participants. Each participant must send an ACL containing the name and e-mail addresses of individuals who will be submitting digitally signed documents to the NRC. The ACL must be sent to the NRC in a signed paper form to the following address:

Local Registration Authority (T6 C30)

Electronic Information Exchange
U.S. Nuclear Regulatory Commission
Washington, D.C. 20555-0001

Upon receipt of the ACL, the NRC will e-mail to each individual named a unique personal identification number (PIN) to be used in applying for a digital certificate. Once received, the digital certificate will then enable individual users to digitally sign documents and submit them in a secure manner. The PIN number will be sent approximately 3 to 5 business days after receipt of the ACL. Participants may add or delete names from the ACL by written notification to the NRC using the above address. The LRA will use the ACL to validate authorized individuals requesting digital signature certificates. The LRA may be contacted via e-mail at EIE@nrc.gov.

3.4 What is Needed to Participate

Participating individuals in the EIE initiative may use their existing workstations with standard desktop configuration. The recommended workstation configuration requires a Pentium 133 MHZ (or higher) with a minimum of 32 MB of RAM, 20 MB of available disk space, and access to the World Wide Web (Web) through an Internet Service Provider (ISP). The operating system should be either Windows NT/2000 or Windows 95 (or higher). In addition, each workstation must be equipped with browser software, consisting of either Netscape Navigator or Communicator (version 4.6 or higher) or Microsoft Internet Explorer (version 5.0 or higher). Other browser types, such as AOL or Mosaic, are not currently supported for use in the EIE system.

To utilize EIE, each individual must obtain a digital signature certificate (Digital ID) in order to digitally sign and submit the form used to transmit documents and to access the EIE external server to retrieve documents as needed. (See Section 3.5 of this guidance document.) Additionally, there is a software plug-in that must be downloaded and installed. Each process and step required to set up a computer or workstation to use EIE is described in the sections below. The processes and steps described are specific to both Netscape Navigator/Communicator 4.6 or higher and Microsoft Internet Explorer 5.0 or higher.

3.5 How to Obtain a Digital Signature Certificate

To obtain a Digital ID, authorized participants must first complete and submit an enrollment form. VeriSign, Inc. acts as the NRC's Certificate Authority (CA) and provides the NRC with a Digital Certificate (ID) enrollment page on its Web site. The NRC provides VeriSign Onsite Digital Certificates (ID's) at no cost to participants. The steps for obtaining a Digital Certificate are provided on the EIE home page at <http://www.nrc.gov/site-help/eie.html>. After accessing the EIE home page, click on the "Request / Retrieve Certificate" hyperlink and follow the step-by-step prompts.

3.6 How to Obtain Software Plug-ins

To utilize the EIE system, users must download and install one software plug-in. The software plug-in can be obtained from the EIE home page on the NRC Web site at <http://www.nrc.gov/site-help/eie.html>. The specific plug-in required is the Internet Form Viewer, which is a required plug-in regardless of the browser used. To successfully download and install the plug-in, simply go to the EIE home page and click on the "EIE Start Up" hyperlink and follow the step-by-step procedures provided.

3.7 How to Submit Documents

Documents eligible for submission to the NRC are restricted to specific formats. No documents with special attributes (e.g., documents with special printing requirements, such as requiring the use of a plotter or other special equipment to print, or other enhancements such as 3D images, etc.) will be accepted via EIE. The acceptable formats for electronic submission via EIE are listed in Section 2.1 above. The submission of documents to the NRC using EIE will require the use of the NRC's EIE form. The EIE form is a document based on Extensible Mark-up Language (XML). It allows participants to sign, enclose, submit, and verify documents via the Internet. The document to be submitted or transmitted must be presented as an enclosure to the form. The form can be accessed by going to the NRC Web site at <http://www.nrc.gov/site-help/eie.html>. Once there, select either the "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

Author

United States Department of Energy
Office of the General Counsel
Hearing Division
Washington, DC 20585

September 18, 2005

Docket

WM-00011(PRE)

United States Nuclear Regulatory Commission
Atomic Safety and Licensing Board
Attn: Document Control Desk
11555 Rockville Pike
Rockville, MD 20852

Subject

Enclosed is DOE's Response to Interrogatories Related to Quality Control Procedures.

Request to Withhold from Public Disclosure

The file named "004 Figure 371 Plan View Main Excavation.pdf" contains business proprietary information and the USDOE requests that this file be withheld from public disclosure.

Contact

Name	Saranne Smith
Mailing Address	Hearing Division US Department of Energy Washington, DC 20585
E-Mail Address	SESSmith@usdoe.gov
Phone Number	202-555-1111

Document Components:

A total of two CD-ROMs are included in this submission. The CD-ROM labeled "DOE03-001 Evaluation Quality Control Parts 1, 2, and 3" contains the following files:

- 001 Evaluation Quality Control (1 of 3).pdf 48,321,678 bytes, publicly available
- 002 Evaluation Quality Control (2 of 3).pdf 47,421,178 bytes, publicly available
- 003 Evaluation Quality Control (3 of 3).pdf 49,223,167 bytes, publicly available
- 004 Figure 371 Plan View Main Excavation.pdf 101,175,297 bytes, proprietary

The CD-ROM labeled "DOE03-002 Figure 371 Plan View Main Excavation - Proprietary" contains the following file:

004 Figure 371 Plan View Main Excavation.pdf 101,175,297 bytes, proprietary

Non-Document Description Example

Figure 371 Plan View Main Excavation

This single page, over-sized engineering drawing is referenced in "Evaluation Quality Control" part 2 of 3. The drawing is done in 6 colors and is useful when printed using 24" by 36" paper stock or viewed on a large high resolution monitor using PDF reader software. It has been scanned at 300 dpi resolution and output in PDF 1.3 using the Image Only option. Figure 371 is the only file on the CD-ROM labeled "DOE03-002 Figure 371 Plan View Main Excavation" and is located as the first file on the CD-ROM.

Sincerely,

J. Doe, Attorney for DOE

cc: Provide list of parties served

4.3.1 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 on CD-ROM. Documents containing Classified Information (i.e., National Security Information and Restricted Data) and Safeguards Information may also be submitted electronically on CD-ROM.

Submissions made on CD-ROM must be accompanied by a transmittal letter (see Section 4.3) that contains information regarding the sensitivity level of the transmitted documents. This letter should contain a listing of each file contained in the submission, with a description and the sensitivity for each file clearly marked.

When submitting documents via CD-ROM that contain both publicly and non-publicly available files, all of the files should be included on a CD-ROM. In addition, a separate CD-ROM must be provided that contains only the publicly available files. Each CD-ROM must be clearly labeled indicating its availability. Files contained on CD-ROMs labeled as "Publicly Available" will be released to the public.

CD-ROMs containing Classified Information must be processed and produced on systems approved under the provisions of 10 CFR 95.49. Each CD-ROM must be clearly labeled as containing classified information.

The mailing package containing CD-ROMs with documents containing Proprietary, personal privacy, or Official Use Only Information must be marked and transmitted in accordance with the requirements set forth in 10 CFR 2.790(b). Packages containing Safeguards Information must comply with the requirements of 10 CFR 73.21(e), 73.21(g), and 73.21(h), as appropriate. CD-ROMs containing Classified Information (i.e., National Security Information or Restricted Data) must be packaged and submitted to the NRC in accordance with the requirements contained in 10 CFR 95.37, 95.39, and 95.41.

4.3.2 Oath or Affirmation

NRC regulations require that some documents be filed under oath or affirmation. If such a document is submitted on CD-ROM, either the transmittal letter or the first page of the document contained on the CD-ROM must contain the oath and the signature of the person swearing to the accuracy of the information submitted. Specifically, the letter or first page of the document contained on the CD-ROM must include the following statement with the signature of the person affirming it:

"I declare under penalty of perjury that the foregoing is true and correct.
Executed on [date]".

If the oath or affirmation is submitted on the transmittal letter, it must contain the original signature of the person swearing to the accuracy of the information. If submitted as part of the document contained on the CD-ROM, the page containing the signature must be provided as a scanned PDF Searchable Image (Exact) file along with the PDF version of the entire document being submitted.

4.3.3 Living Documents

Many large documents historically submitted to the NRC have been maintained as living documents and have used a page-replacement approach for update. Paper submissions can still use this approach for providing updates to living documents.

In the electronic environment, this approach is not practicable. Consequently, if a submitter chooses to make electronic submission of these documents, all subsequent updates must be submitted as total replacements. The updated version must include a list of changed pages and each changed page must include both a change indicator for the area changed, (for example, a bold line vertically drawn in the margin adjacent to the portion actually changed,) and a page change identification including either the date of change, change number, or both.

4.3.4 CD-ROM File Format

The acceptable file formats are stated in Section 2.1. However, for text-oriented documents, the preferred file formats are Portable Document Format (PDF) Formatted Text and Graphics and PDF Searchable Image (Exact). PDF Image Only is preferred for submission of graphic/image documents. PDF files should be scanned at the resolutions stated in Section 2.5 of this document.

Large documents made up of multiple files, folders, etc., often require the inclusion of a search engine on the CD-ROM to facilitate navigation, search, and retrieval of the document. The inclusion of the search engine enables the user to access the material contained on the CD-ROM without having to rely on other software in the user's resident environment. The NRC encourages the inclusion of these search engines to facilitate the use of the materials in stand-alone mode. However, only those products that do not require the end-user to purchase a license to use the products are acceptable.

4.3.5 Packaging/Labeling

When submitting documents that contain both publicly and non-publicly available files, all of the files should be included on a CD-ROM. In addition, a separate CD-ROM must be provided that contains only the publicly available files. Each CD-ROM must be clearly labeled indicating its availability. CD-ROMs labeled as "Publicly Available" will be released to the public (sent to the Public Document Room, where they are available for inspection and copying). The mailing package containing CD-ROMs with documents comprised of Proprietary, personal privacy, or Official Use Only Information must be marked and transmitted in accordance with the requirements set forth in 10 CFR 2.790(b). Packages containing Safeguards Information must comply with the requirements of 10 CFR 73.21(e), 73.21(g), and 73.21(h), as appropriate. CD-ROMs containing Classified Information (i.e., National Security Information or Restricted Data) must be packaged and submitted to the NRC in accordance with the requirements contained in 10 CFR 95.37, 95.39, and 95.41.

Subsequent to the events of September 11, 2001, much of the incoming mail addressed to the Federal government is irradiated prior to delivery. Irradiation of CD-ROMs containing electronic information may result in damage to the media and its contents. Therefore, packages containing CD-ROM submissions should be clearly marked "CONTENTS CONTAIN CD-ROMs. DO NOT IRRADIATE."

4.3.6 Copies

Many NRC regulations require submission of copies of documents to multiple NRC locations (e.g., Headquarters, Regional Offices, etc.). This practice continues for submissions that are made on CD-ROM. However, only a single copy of the CD-ROM is required to be submitted to each location.

4.3.7 Rejection of Submissions

It is not practicable for the NRC to accept:

- Any submission that contains a virus.
- Files submitted that are compressed.
- File formats other than those listed in Section 2.1. Note: Submittals may also contain other forms of electronic information including data files, computer models, and video or audio clips that are not considered documents. These files are not required to conform to the file format specifications established for documents.
- CD-ROMs that contain both publicly and non-publicly available files on a single CD, unless a second CD with only publicly available information is also provided.
- CD-ROMs containing OLE (Object Linking and Embedding), DDE (Dynamic Data Exchange), or any other object linking.
- Any inconsistencies, including omissions, between the transmittal letter and the files or physical objects received.

4.4 Where to Submit the CD-ROMs

Send CD-ROMs with transmittal letter to the mailing address specified in the regulation, order, or other document governing the submission of that particular application, report or correspondence. CD-ROMs containing Classified Information (i.e., National Security Information and Restricted Data) must be marked in accordance with 10 CFR 95.37 and mailed to the appropriate NRC Classified mailing address (See 10 CFR Part 73, Appendix A for a listing of addresses.)

4.5 Additional User Assistance (references and contact information)

Information can be found by visiting the NRC's Web site at <http://www.nrc.gov/site-help/eie.html>. Under the heading "Related Information," find the section "CD-ROM Submittal Procedures."

For assistance or to discuss problems with making CD-ROM submissions of electronic filings, contact the Document Processing Services Section at 301-415-2488 during the NRC's normal business hours (7:30 a.m. to 4:15 p.m. eastern time) or e-mail EIE@nrc.gov.

5.0 E-mail Submissions

5.1 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.

5.2 What Can be Submitted

Documents (except for communications with States and other Federal agencies) submitted by e-mail, including the text of the e-mail, should contain only information that could be made available to the public and may be used for:

- Rulemaking petitions and comments in rulemaking proceedings.
- Requests for enforcement action under 10 CFR 2.206, which may be sent to 2206PETITIONS@NRC.GOV.
- All Freedom of Information Act (FOIA) and Privacy Act requests and appeals may be submitted electronically by e-mail. However, e-mail requests may not reveal personal privacy information.
- Responses to Federal Register Notices or other agency communications where NRC has provided a specific e-mail address.

Multiple document attachments are acceptable, but the e-mail cannot exceed the 10MB size limitation, and the e-mail must include the required information as listed in Section 5.4.

In addition, the NRC provides a listing of contacts on the NRC Web site at <http://www.nrc.gov> that can be used for a variety of e-mail communications to the agency by selecting “Contact Us” from the home page. Documents can be submitted by e-mail for the purposes identified on the Web site, and should be sent to the specific e-mail address provided for each form of communication.

5.3 Rejection of Submissions

File submissions that do not meet the parameters outlined in this document, especially as outlined in Section 2.0, will be rejected and will require re-submission. If the e-mail (with attachments) exceeds the 10MB size requirement or contains a virus, the sender will receive an automated “Undelivered Mail” notice stating the reason for the delivery rejection.

If the documents do not comply with other file parameters outlined in Section 2.0 (e.g., unknown file format, compressed files, incorrect naming convention, corrupt/unreadable file or if it contains macros identified as potential viruses), the intended recipient may notify the addressee to re-submit the document(s). Finally, the body of the e-mail message/text must include the required information as listed in Section 5.4.

5.4 How to Send E-mail

Files sent via e-mail must be sent as an attachment to the e-mail message in order to retain the original formatting of the document(s). The e-mail message must include the name of a contact person who can respond to questions about the submission, along with the contact person's daytime phone number, mailing, and e-mail address. The e-mail must also identify/describe each document attached to the e-mail message. The format used to generate each of the identified file(s) must also be listed.

5.5 Where to Submit E-mail

E-mail may be addressed to either specific individuals named as contacts or to the office specified in the regulation or communication specific to the document(s) being submitted, to addresses the NRC Web site provides for individual program offices or specific agency functions or services, or to the Office of Public Affairs. Individual program offices may be contacted by using the addresses found at the NRC Web site at <http://www.nrc.gov>, and selecting "Contact Us" from the home page. The Office of Public Affairs may also be contacted through the "Contact Us" page or at OPA@nrc.gov. The Office of the Secretary of the Commission may be contacted at 2206PETITIONS@NRC.GOV for 2.206 petitions (use upper case where indicated). The sender will not be e-mailed a confirmation of receipt of the submission.

6.0 Facsimile (Fax) Submissions

6.1 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.

6.2 What Can be Submitted

Documents (except for communications with States and other Federal agencies) submitted by fax should contain only information that could be made available to the public and may be used for:

- Rulemaking petitions and comments in rulemaking proceedings.
- Requests for enforcement action under 10 CFR 2.206.

- All Freedom of Information Act (FOIA) and Privacy Act requests and appeals may be submitted electronically by facsimile. However, requests submitted by fax may not reveal personal privacy information.
- Responses to Federal Register Notices or other agency communications where NRC has provided for response by fax.
- Responses to NRC licensing-related questions.
- Information from export/import license applicants and licensees.

6.3 How to Send Facsimiles (Faxes)

Faxes must include the name of a contact person who can respond to questions about the submission, along with the contact person's daytime phone number and mailing or e-mail address.

6.4 Where to Submit Facsimiles (Faxes)

The NRC has established centralized receipt points (see listing of fax locations provided in Section 6.5) for official submissions transmitted by fax at each of the Regional Offices and at NRC Headquarters. All official transmissions should be sent to one of these official receipt points to ensure that they are captured as official records of the agency.

6.5 Facsimile Locations and User Assistance

<u>LOCATION</u>	<u>FAX NUMBER</u>	<u>USER ASSISTANCE & VERIFICATION</u>
Headquarters (24-Hour Operation)	301-415-7010 OR 301-415-7020	301-415-7000
Office of International Programs	301-415-2395	301-415-1787
Office of the Secretary	301-415-1101	301-415-1966
Freedom of Information Act and Privacy Act Officer	301-415-5130	301-415-7169
Region 1	610-337-5324	610-337-5270
Region 2	404-562-4900	404-562-4827
Region 3	630-515-9915	630-829-9556
Region 4	817-860-8210	817-860-8100

7.0 Additional Resources

7.1 User Assistance

To obtain general information about accessing documents filed electronically (viewing, printing, and downloading), contact the NRC Public Document Room (PDR) during business hours.

You may contact the PDR librarians by any of the following means:

Telephone:	1-800-397-4209 or 301-415-4737
TTY (hearing impaired):	1-800-635-4512
Facsimile:	301-415-3548
E-mail:	pdr@nrc.gov
U. S. Mail:	Public Document Room, (O1F13) U. S. Nuclear Regulatory Commission Washington, DC 20555-0001
Onsite at the PDR:	One White Flint North 11555 Rockville Pike (first floor) Rockville MD
Hours of PDR operation:	
Reading Room	7:45 a.m. - 4:15 p.m. eastern time, Federal Workdays
Telephone Service	8:30 a.m. - 4:15 p.m., eastern time, Federal Workdays

7.2 References

NRC, EIE Web site; <http://www.nrc.gov/site-help/eie.html>

The Code of Federal Regulations, Title 10 - Energy <http://www.nrc.gov>. Select "Code of Federal Regulations" from the Index found on the home page.

Freedom of Information Act, 5 U.S.C. 552

Privacy Act, 5 U.S.C. 552a