

PSEG NUCLEAR SECURITY
SY-AA-103-501-1001
Revision 4
PRE-ARRIVAL IN-PROCESSING ACTIONS

REVISION SUMMARY:

1. Added numbering to the sections and a Table of Contents
2. Section 1.1.
 - a. Add 'Starting with' to beginning of sentence
 - b. Change '3 weeks' to '15 days'
 - c. Add 'Electronic Personal History Questionnaire (EPHQ) after (PHQ).
 - d. Change '10 days' to '10-25 days'
3. Section 1 *Personal History Questionnaire Processing Actions* table
 - a. Update table information to reflect current process.
 - b. Add information for EPHQ's.
4. Remove Fingerprinting information
5. Move *In-Processing Fax Cover Letter for PHQ* to section 4.
 - a. Add 'or sent by a password protected e-mail' to section 4.1.
 - b. Add 'and provide this letter, along with the required PHQ, to each vendor expected to be performing work or projects on site' to section 4.3.
6. Make 'It is required that an SSIS request be submitted at least 15 days in advance for the individual completing an advance PHQ or EPHQ. The PHQ or EPHQ will not be processed by the Access Authorization Team without an SSIS request submitted and approved for the individual. It is recommended that both EPHQ's and PHQ's be submitted before the scheduled in-processing date by more than 10 days but less than 25 days' sections 2.2 and 3.2.
7. Add section 3 for the Electronic PHQ.
8. In section 5 update table to reflect current process and the addition of the EPHQ's.
9. On Attachment 1 add '**' to each cell in the last column and a note under the table, '** The EPHQ can be completed in place of the paper version of the PHQ.
10. On Attachment 2 update contacts on Fax Cover Letter.
11. On Attachment 3 add 'Have you answered every question in the criminal history section REGARDLESS of the disposition (i.e. dismissed or dropped)? **IF IT HAPPENED--INCLUDE IT!**' to the 6th bullet.
12. Create Attachment 4 Electronic Personal History Questionnaire User Instructions.

IMPLEMENTATION REQUIREMENTS

None

PRE-ARRIVAL IN-PROCESSING ACTIONS

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1. PRE-ARRIVAL PROCESSING PLAN

- 1.1. Recent changes in the access authorization requirements have presented challenges to achieving efficient in-processing. A plan has been developed to minimize the impact of these challenges. Starting with early planning elements, including identifying workers and report dates at least 15 days prior to their scheduled arrival and providing the worker with a PSEG Nuclear Personal History Questionnaire (PHQ) or Electronic Personal History Questionnaire (EPHQ) to complete and return to the Access Authorization Team 10-25 business days prior to arrival. Compliance with these actions will provide PSEG Nuclear with the best opportunity for success during personnel in-processing.

PERSONAL HISTORY QUESTIONNAIRE PROCESSING ACTIONS		
RESPONSIBLE ENTITY	DUE DATE	ACTION
Task Manager	15 days or more prior to In-Process date	Identify worker and worker In-Processing date
		Instruct worker to complete PSEG Nuclear PHQ or EPHQ (<i>see Attachment 1</i>).
		<i>Submit an Unescorted Access Request in the Security Screening Information System (SSIS) and have it approved by a manager.</i>
Worker	10-25 days prior to In-Process date	Deliver the PHQ by facsimile device or password protected e-mail with the in-processing fax cover letter (<i>see Attachment 2</i>) no later than 10 business days prior to the in-processing date to the PSEG Nuclear Access Authorization Team.
		-OR-
		Electronically submit the EPHQ to the Access Authorization Team no later than 10 business days prior to the in-processing date. (<i>See Attachment 4 for User Instructions</i>)
Access Authorization Personnel	10 days prior to In-Process date	Receive PHQ or EPHQ and review for completeness. Reject if incomplete and notify Task Manager.
		Accept fully completed PHQ or EPHQ and initiate background investigation.
	5 days or less prior to In-process date.	Receive and review completed background investigation.

CAUTION: When PHQ's are transmitted to the Access Authorization Team prior to arrival of the worker there is a risk for incomplete information that can not be corrected on the spot as is done when PHQ collection is performed in person. It is critical to our success that workers exercise excellent self-checking principles to insure every element of the PHQ has complete information prior to transmitting it to the Access Authorization Team. An incomplete PHQ cannot be submitted for a background investigation and the task manager will be notified. Please see Attachment 3 as it contains a checklist for each applicant to use to review his/her PHQ prior to submission.

2. PERSONAL HISTORY QUESTIONNAIRE CHECKLIST FOR QUALITY

- 2.1. Attachment 3 is provided as a checklist for quality and completeness. Each worker completing a PHQ is to perform a self-check prior to submitting the PHQ. This checklist highlights areas of the PHQ that people commonly miss or fail to complete appropriately. Attention to detail and use of the checklist during review of their PHQ should result in a submission that can be properly processed upon receipt by the Access Authorization Team.
- 2.2. It is required that an SSIS request be submitted and manager approved at least 15 days in advance for the individual completing an advance PHQ or EPHQ. The PHQ or EPHQ will not be processed by the Access Authorization Team without an SSIS request submitted and approved for the individual. It is recommended that either the EPHQ or the PHQ be submitted before the scheduled in-processing date by more than 10 days but less than 25 days.

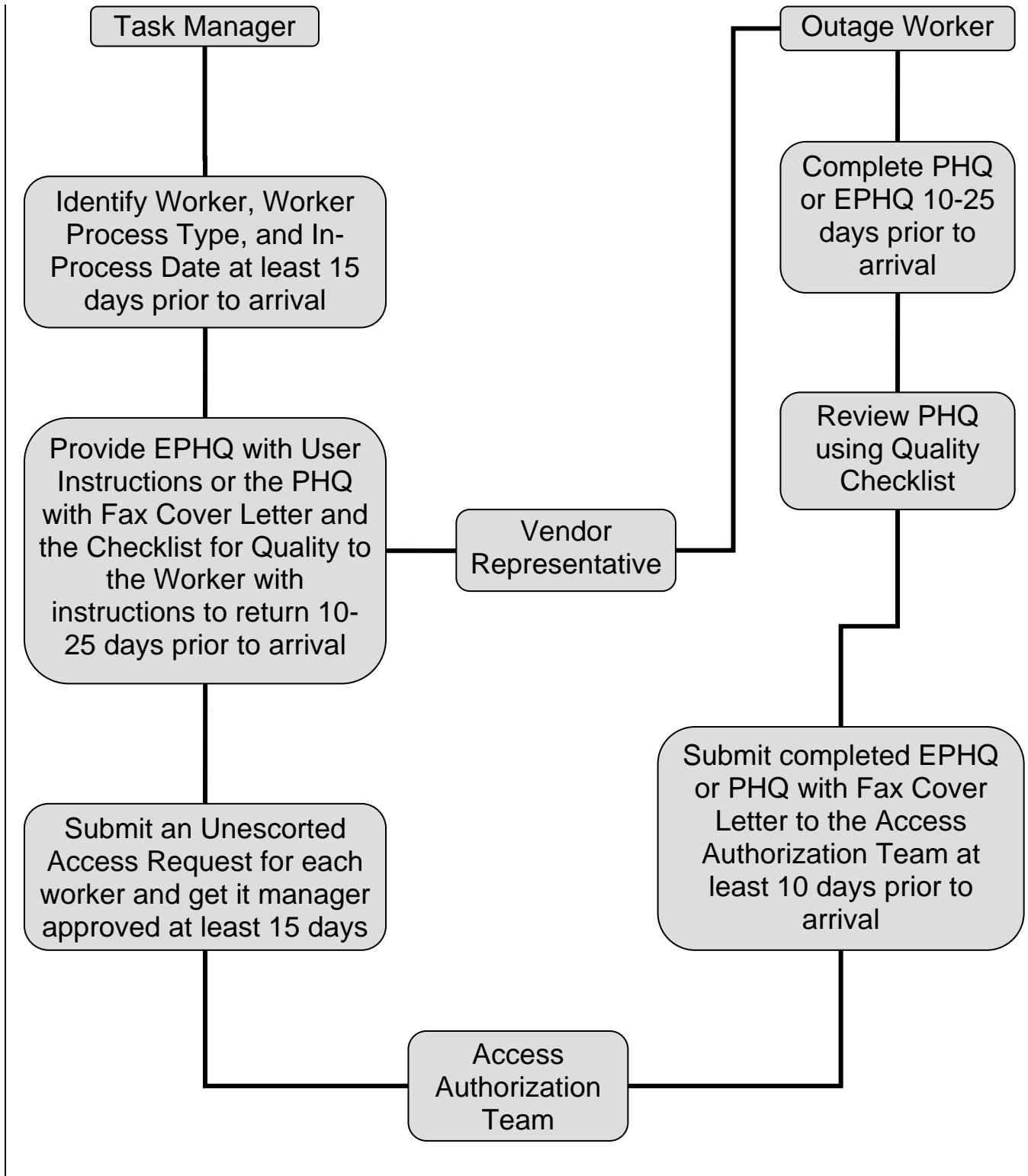
3. ELECTRONIC PERSONAL HISTORY QUESTIONNAIRE (EPHQ)

- 3.1. The EPHQ is an electronic version of the PSEG Nuclear Personal History Questionnaire that is available to incoming personnel to complete prior to reporting on site. Completing the EPHQ prior to site arrival will help to minimize the wait time for employees during in-processing. Correctly completed EPHQ's will be reviewed by the Access Authorization Team and then forwarded to the appropriate background investigation vendor to begin review. See Attachment 4 for user instructions.
- 3.2. It is required that an SSIS request be submitted and manager approved at least 15 days in advance for the individual completing an advance PHQ or EPHQ. The PHQ or EPHQ will not be processed by the Access Authorization Team without an SSIS request submitted and approved for the individual. It is recommended that either the EPHQ or the PHQ be submitted before the scheduled in-processing date by more than 10 days but less than 25 days.

4. IN-PROCESSING FAX COVER LETTER FOR PHQ

- 4.1. Attachment 2 is included to be used as a cover letter for all PHQ's that are being faxed or sent by a password protected email to the Access Authorization Team for pre-arrival processing.
- 4.2. It is essential that the Access Authorization Team be able to quickly assess certain information regarding PHQ's that arrive so they can be processed efficiently. Pre-arrival processing presents certain problems that do not occur during in person processing. The cover letter contains information that will overcome those problems.
- 4.3. It is expected that each **task manager** customize the In-Processing Fax Cover Letter and provide this letter, along with the required PHQ, to each vendor expected to be performing work or projects on site. Each PHQ submitted is expected to have a cover letter when it is transmitted to the Access Authorization Team.

5. SUMMARY OF ACTIONS FOR SUCCESS



**ATTACHMENT 1
PROCESSING TYPES AND REQUIRED PHQ**

Processing Type	Definition	Requires Background Investigation	Req. FP	Required PHQ DCRMS Form Number
Initial	Last period of unescorted access ended greater than 3 years ago or has never held unescorted access	YES	YES	SY-AA-103-502-F1**
Update	Last period of unescorted access terminated favorably greater than 365 days but less than 3 years	YES	YES	SY-AA-103-502-F2**
Reinstatement (31 to 365 Days) R1Y	Last period of unescorted access terminated favorably greater than 30 days and not more than 365 days.	YES	NO	SY-AA-103-502-F3**
Enhanced Reinstatement (31 to 365 Days) R1Y	A random selection of individuals with their last period of unescorted access terminated favorably greater than 30 days and not more than 365 days.	YES	YES	SY-AA-103-502-F3**
Reinstatement (30 Days or Less) R30 Includes those currently badged at other licensee facilities.	Last period of unescorted access terminated favorably 30 days or less.	NO	NO	SY-AA-103-502-F4**
Enhanced Reinstatement (30 Days or Less) R30 Includes those currently badged at other licensee facilities.	A random selection of individuals with their last period of unescorted access terminated favorably 30 days or less.	NO	YES	SY-AA-103-502-F4**

**** The EPHQ can be completed in place of the paper version of the PHQ.**

CAUTION: When determining which PHQ is required you must count the number of days since the workers last unescorted access was terminated at any nuclear licensee to the scheduled day of In-Processing at PSEG Nuclear. If the scheduled day of In-Processing is within 5 days of the cutoff defined for the type then have the worker complete the PHQ for the next higher processing type.

The processing type definition must apply on the day the worker is granted unescorted access at PSEG Nuclear or the worker will have to complete the appropriate PHQ type and be subject to badging delays while additional elements are completed.

ATTACHMENT 2
PSEG NUCLEAR
IN-PROCESSING FAX COVER LETTER FOR PHQ

To mail by Fed Ex:

PSEG/Access Authorization Team
 End of Alloway Creek Neck Road
 Hancocks Bridge, NJ 08038
Mail Code: N-44/Processing Center

To mail by US Mail:

PSEG/Access Authorization Team
 PO Box 236
 Hancocks Bridge, NJ 08038
Mail Code: N-44/Processing Center

SECURE FAX # 856-339-5620

STAFF	PHONE #	E-MAIL ADDRESS
Jeffrey Kerby	856-339-5616	Jeffrey.Kerby@pseg.com
Sheryleen Tyler-Sparks	856-339-5626	Sheryleen.Tyler-Sparks@pseg.com
Melanie Pio	856-339-5322	Melanie.Pio@pseg.com
Emily Nazar	856-339-5623	Emily.Nazar@pseg.com

Applicant's Name:		Cell Phone Number:	
Site Arrival Date:			

Applicant's Company Name:			
Company Contact Person:		Phone Number:	
E-mail address:			

Sponsoring PSEG Nuclear Department :			
PSEG Nuclear Task Manager:		Phone Number:	
E-mail address:			

ATTACHMENT 3
PERSONAL HISTORY QUESTIONNAIRE (PHQ) CHECKLIST FOR QUALITY
PLEASE READ THE FOLLOWING TO MAKE SURE YOUR QUESTIONNAIRE IS
COMPLETE AND ALL QUESTIONS ARE ANSWERED.

- Incomplete or illegible PHQ'S will be rejected.
- Have you followed all instructions explicitly?
- Have you filled in name on top of page 1?
- Have you initialed page 2?
- Have you listed your last name and last 4 of your SSN on the bottom of each page of the PHQ where requested?
- Have you answered every question in the criminal history section by circling YES or NO?
 1. Have you answered every question in the criminal history section REGARDLESS of the disposition (i.e. dismissed, dropped or expunged)?
 - **IF IT HAPPENED--INCLUDE IT!**
 2. Please list all details surrounding "legal action/charge" to include original charge and disposition (outcome of charge) – required dates or charge etc.
 3. You will be required to provide supporting legal/court documentation relative to all charges listed within the last 5 years.
- Have you answered every question in the self disclosure information section by circling **YES** or **NO**?
 1. Explain any **YES** answers where noted. If you have been previously denied (**1st question at top of Self Disclosure Information**) and noted **YES** to this question, please list when, where and why at bottom of page.
- Have you provided all information in the personal references section including phone numbers and full addresses? **Your references can NOT be related to you.**
- Review the Personal Data section to insure the following:
 1. You must provide your full middle name;
 2. Make sure you put Country (USA) **NOT** county,
 3. For place of birth City, State, and Country (USA) **NOT** county
 4. Nicknames are **not** considered an alias.
 5. If applicable, all passport information must be provided.
 6. All requested information must be supplied, if applicable.
- Review the Employment/Unemployment section to insure the following:
 1. **All requested information must be supplied, if applicable.**
 2. **For every previous employer you must have completed all information. (Dates, name of company, address, position, contact name and phone number, reason for leaving and eligible for rehire.)**
 3. **No gaps in work history over 30 days.**
 4. If your last access was less than 365 days ago then your unemployment reference (UE) **MUST** have physically interacted with you and have personal knowledge of YOUR activities during the unemployment timeframe claimed, **and can NOT be related to you.**
- Military is only needed if within the last 5 Years or last access at any Nuclear Plant. **You must bring in ORIGINAL DD214 with you when In-Processing, if applicable.**
- If you claimed Education in Lieu of Employment, **you must provide ANY disciplinary action, regardless of how insignificant you think it may be.**

**ATTACHMENT 4
ELECTRONIC PERSONAL HISTORY QUESTIONNAIRE (EPHQ)
USER INSTRUCTIONS**

Below are instructions for completing your Electronic PHQ. You are not required to complete the PHQ in one session; after you have created an account you can log in as many times as needed to complete it.

1. Go to following website: <https://www.electronicphq.com/>
2. Click on the Create Account link to create an account. You will need an email account to register. If you do not have an email account, you can sign up for a free one at one of these websites: www.hotmail.com, www.gmail.com, www.yahoo.com.
3. Enter the required information, and then you will be automatically logged in. Save your username and password for easy retrieval in the future.
4. On the next screen, enter the *application key* that is provided below. Enter the key exactly as it is shown below.

If your last Access from ANY Nuclear Power Plant was:	Then your application key is:
Never held Unescorted Access or has been greater than 3 years since your last access.	PSEG Initial
Greater than 365 days but less than 3 years since your last access.	PSEG Update
Greater than 30 days but less than 365 days since your last access.	PSEG R1Y
30 days or less since your last access.	PSEG R30

5. The PHQ will load on your screen.
6. Navigate through the application using the Previous and Next buttons at the bottom of the page, or the links on the left menu. Follow the instructions and fill out all required fields. **Do not use your browser back button, this will return you to the main application page.**
7. All dates for the time period specified must be provided, **gaps will not be allowed.** Enter all periods of employment, unemployment, military services and education as required (regardless of length).
8. Questions? See the FAQ section. If your question is not listed, contact the EPHQ Support team at ephq@pinnacleprof.com or 509-252-4549 between the hours of 6 AM – 5 PM Pacific Time.

**ATTACHMENT 4
ELECTRONIC PERSONAL HISTORY QUESTIONNAIRE (EPHQ)
USER INSTRUCTIONS**

Once you have submitted your PHQ, you will no longer be able to edit it. If you need to add information after it's been completed, contact Access Authorization. If any additional information is needed, Access Authorization will send you an email notification detailing the requirements and change your PHQ back to processing.

PLEASE READ THE FOLLOWING TO MAKE SURE YOUR QUESTIONNAIRE IS COMPLETE AND MAKE SURE ALL QUESTIONS ARE ANSWERED.

1. Answered every question in the criminal history sections Regardless of the disposition (i.e. dismissed, dropped or expunged).
 - a. **IF IT HAPPENED – INCLUDE IT!**
2. Provided all details surrounding any 'legal action/charge' to include original charge and disposition (outcome of charge) – required date or charge, etc.
3. You will be required to provide supporting legal/court documentation relative to all charges listed within the last 5 years.
4. Explain any **YES** answers where noted. If you have been previously denied (**1st question at the top of the Self Disclosure Information section**) and noted **YES** to this question, please provide **ALL** details.
5. Have you provided all information in the personal references section, including phone numbers and full addresses?
 - a. **Your References CAN NOT be related to you.**
6. If you claimed education in lieu of employment, you must provide ANY disciplinary actions regardless of how insignificant you think it may be.
7. All requested information must be supplied if applicable. Review the Employment/Unemployment section to ensure the following:
 - a. All requested information must be supplied, if applicable.
 - b. *For every previous employer, you **must** have completed all information. (Dates, name of company, address, position, contact name and phone number, reason for leaving and eligible for rehire.)*
 - c. **No gaps in work history.**
 - d. If your last access was less than 365 days ago then your unemployment reference (UE) **MUST** have physically interacted with you and have personal knowledge of **YOUR** activities during the unemployment timeframe claimed, **and can NOT be related to you.**
 - a.e. Military is only needed if within the last 5 years or last access at any Nuclear Power Plant. **You must bring ORIGINAL DD214 with you when In-Processing if this applies to you.**