

Checklist for Transmitting and Receiving NRC Exam Material over the Internet

Introduction - All NRC Examiners and Chief Examiners responsible for transmitting or receiving exam material over the internet should first read and become familiar with NUREG 1021, ES-201, Attachment 1. Item 3 specifically states, that exam material may be transmitted via the NRC's LAN in the resident office or it must be password protected prior to sending over the internet and the password is separately provided to the NRC Chief Examiner or recipient by mail (**not** e-mail), fax, or phone. The files do not need to be encrypted.

Scope - This document provides a means for added assurance that NRC examination related material remains secure during transmission between the NRC and licensees. Use of this document is not a regulatory requirement and shall be used on a voluntary basis. If this document is used then the Chief Examiner is responsible for determining which steps are applicable in the Guidance section. The following provisions apply to this document:

1. This document does not impose any requirements or expectations on licensees beyond those in NUREG 1021.
2. This document does not replace or eliminate the requirements of or the need to be familiar with NUREG 1021.
3. Anyone discovering a conflict shall promptly bring it to the attention of the responsible NRC Region Office or the Headquarters (HQ) Program Office.
4. NUREG-1021 always takes precedence if a conflict is identified.

Guidance - Prior to transmitting or receiving any exam material for the first time over the internet on a new exam project, the Chief Examiner shall convey to the licensee: 1) the expectation that all exam team members review and become familiar with the guidance contained in NUREG 1021, ES-201; and 2) that controls shall be implemented that are equivalent to or more secure than those contained in this checklist.

This checklist shall be completed prior to every electronic (email) transmittal of secure exam material. If the exam material is transmitted over the NRC's LAN (typically between the Region and the Resident Inspectors office) then steps 2, 3, and 4 may be marked as N/A. The completed checklists are to be retained by the Chief Examiner for the exam project until completion of examination administration. Exam materials must be password-protected and can only be sent to a single individual at the facility site or secure central exam location.

Files to be transmitted electronically: _____

Date of transmittal: _____

NRC examiner responsible for the transmittal: _____

1. Chief Examiner briefed the sender and licensee regarding exam security expectations in advance of the first exam material transmittal. Initials _____
2. Sender provided specific password to the recipient via phone, fax or mail (**not** e-mail). Initials _____
3. Sender conducted a "test" by sending a non-exam password protected document before sending actual exam material. Initials _____

4. Sender has verified that all exam files to be transmitted have been properly password protected (i.e., including all proposed exam items, associated references, and exam outlines). Sender should conduct a trial run by emailing the proposed email back to himself/herself to ensure that all attachments providing exam material are password protected. (See *Note below). Initials _____
5. Sender confirmed email recipient is on the exam security agreement (Form ES-201-3). Initials _____
6. Sender verified there is only one email recipient and his/her email address is correct. Note: The recipient must take the responsibility to share the exam material with only those individuals having a need to know and who are signed onto the exam security agreement. These individuals must be authorized access to exam material by the NRC chief examiner. Initials _____
7. A second examiner has reviewed the draft email, confirming proper address. Files are properly password protected, if applicable. Initials _____
8. Sender established phone communications with the recipient prior to sending the email. The recipient verified upon receipt that attachments containing exam material could only be opened with the use of the correct password, if applicable. Initials _____
9. Completed checklist forwarded to Chief Examiner for retention until project completion. The Chief Examiner shall be briefed regarding any occurrence of potential exam compromise. The Chief Examiner will then brief the Branch Chief as appropriate.

*Note: Consideration should be given to sending only small portions of the exam material on a single email. When large amounts of exam material must be conveyed the exam material should be express mailed using the guidance contained in NUREG 1021, ES-201, Attachment 1, item 3. The sender should notify the licensee contact of the expected delivery date and request a confirmation that the exam material has been received.