

## **PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE**

### **WELCOME**

Sample Company Access Authorization has been notified that you are applying for unescorted access at Sample Company. Please read the directions carefully within this Personal History Questionnaire and provide the requested information accurately and completely. The following are additional instructions that will minimize delays in processing your background and issuance of your badge to Sample Company Plant.

### **General Information About Completing the PHQ**

1. All questions must be accurately answered and all blanks must be filled in including dates, reasons for leaving, disciplinary actions, etc., on employment, military and educational history.
2. All employments must be listed regardless of the length of the employment or how many hours were worked at that job.
3. If unemployed within the scope of the background, unemployment periods must be documented and activities included that you participated in during that period. Activities provided must be representative of the period documented.
4. Education periods, if applicable, must be broken down into semesters. Semester breaks must be listed as unemployment with activities provided or listed as employment, if you worked during breaks. Remember to also list any summer classes or intersessions that were taken.
5. Three references, if requested, must be provided per directions on the PHQ with daytime phone numbers and permanent addresses. Please provide references that know you from different aspects of your life, for example a co-worker, a neighbor and a friend, if possible.
6. Any substance abuse issues or any arrests or other legal actions within the scope of the period requested must be disclosed on the PHQ and detailed written description of the event provided on the PHQ. Willful omission or intentional falsification of information provided on the PHQ will be grounds for permanent denial of unescorted access.

### **Items to Bring Upon Report to Sample Company**

When you report to site on your first day, please bring:

- A valid, unexpired government issued picture ID.
- If you have military history within the scope of the PHQ, bring your original, undeleted DD-214.
- Any court disposition records for any legal proceedings against you listed within the PHQ that were dismissed or otherwise dispositioned with less than a guilty verdict.
- If you are a union worker and are travelling out of state to work at Sample Company, it may be advantageous to bring your employer issued check stubs, or copies of your W-2 tax forms covering the period of the PHQ with you.

### **Moving Around the PHQ**

Each page contains buttons to help you navigate through the PHQ. The "Previous" button will take you to the previous page of the PHQ. The "Next" button will take you to the next page. If you click the "Next" button and the page does not change it means that there is an error on the page.

### **Handling Errors**

The fields on the PHQ are validated when you leave a field or when you navigate away from the page. Remember, you will not be able to move on to the next page of the PHQ until all errors on the current page are resolved. Fields that have errors are colored red. Clicking in a red field will display a message that will help you fix the error.

### **Getting Help**

Each page of the PHQ has a button labeled "Help." Clicking that button will open a new window (or tab) and you will see help related to the current page of the PHQ.

If you have any questions regarding the completion of your PHQ, please call Sample Company Access Authorization at 555-555-5555 to talk to a Reviewing Official prior to submitting the forms.

By my signature below, I certify that I have read and understand the information contained on this page.

<u>TEST TEST</u>	<u>TEST1</u>	<u>08/23/2024</u>
Applicant's Full Name	SECURE ID	Date Signed

**PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE****PADS CONSENT**

1. Sample Company has my consent to:

- a. Collect personal information about me in order to verify the information's accuracy;
- b. Conduct a background investigation (BI) in accordance with U. S. Nuclear Regulatory Commission (NRC) regulations to verify information I have provided on a Personal History Questionnaire and other information, including social media, as necessary;
- c. Take my fingerprints and associated information/biometrics. In addition, I understand that:
  - 1) The Federal Bureau of Investigation's (FBI's) acquisition, preservation, and exchange of fingerprints and associated information is generally authorized under 28 U.S.C. 534. Depending on the nature of my application, supplemental authorities include Federal statutes, State statutes pursuant to Pub. L. 92-544, Presidential Executive Orders, and federal regulations. Providing my fingerprints and associated information is voluntary; however, failure to do so may affect completion or approval of my application for unescorted access authorization (UAA) or fitness for duty authorization (FFDA).
  - 2) Certain determinations, such as UAA/FFDA, may be predicated on fingerprint-based background checks. My fingerprints and associated information/biometrics may be provided to the employing, investigating, or otherwise responsible agency, and/or the FBI for the purpose of comparing my fingerprints to other fingerprints in the FBI's Next Generation Identification (NGI) system or its successor systems (including civil, criminal, and latent fingerprint repositories) or other available records of the employing, investigating, or otherwise responsible agency. In addition to the FBI's NGI, my fingerprints and associated biographic identifiers may be compared against fingerprints in the Department of Homeland Security's (DHS') Automated Biometric Identification System (IDENT) or replacement system Homeland Advanced Recognition Technology (HART). Comparison of my fingerprints and biometric data against information in the DHS IDENT/HART systems will be run on a search-only basis, with no retention or enrollment of my information in those systems. The FBI may retain my fingerprints and associated information/biometrics in NGI after the completion of this application and, while retained, my fingerprints may continue to be compared against other fingerprints submitted to or retained by NGI.
  - 3) During the processing of my application and for as long thereafter as my fingerprints and associated information/biometrics are retained in NGI, my information may be disclosed pursuant to my consent, and may be disclosed without my consent as permitted by the Privacy Act of 1974 and all applicable Routine Uses as may be published at any time in the Federal Register, including the Routine Uses for the NGI system and the FBI's Blanket Routine Uses. Routine uses include, but are not limited to, disclosures to: employing, governmental or authorized non-governmental agencies responsible for employment, contracting, licensing, security clearances, and other suitability determinations; local, state, tribal, or federal law enforcement agencies; criminal justice agencies; and agencies responsible for national security or public safety.
- d. Retain personal information provided for investigation; and
- e. Transfer information from other licensees, or approved contractor/vendors (approved C/V) as necessary, including: (i) information pertaining to the denial of unescorted access authorization (UAA) or unescorted access (UA), fitness-for-duty authorization (FFDA), safeguards information access (SGIA) or unescorted access to a nuclear power plant under construction (i.e., construction access (CON)), or unescorted access to an Independent Spent Fuel Storage Installation (i.e., ISFSI access (ISFSI)) to determine whether to certify UAA, grant UA/FFDA to a U. S. NRC-licensed facility and to allow me to maintain such access; or (ii) information pertaining to denial of access to Safeguards Information.

2. With the exception of CHRI collected under 10CFR 73.57, the information collected will only be used for the purposes of determining UAA/UA in accordance with 10 CFR 73.56, Personnel Access Authorization Requirements for Nuclear Power Plants, separate FFDA in accordance with 10 CFR Part 26, Fitness for Duty Programs, access to a nuclear power plant under construction, access to an ISFSI, and/or access to Safeguards Information in accordance with 10 CFR 73.21, 73.22 or 73.23, Protection of Safeguards Information, unless I provide a separate release to the licensee or approved C/V for another purpose. CHRI may only be used for the purposes of determining whether a person is suitable for unescorted access to a nuclear power plant or for access to Safeguards Information, and may not be used for any other purpose.

TEST TESTTEST108/23/2024

Applicant's Name    SECURE ID    Date Signed

## **PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE**

### **PADS CONSENT**

3. I understand that evidence of criminal conduct detected during the conduct of a background investigation must be reported to the appropriate law enforcement agency by the licensee or contractor/vendor (C/V).
4. I authorize the use of signed copies of this consent to be used in place of an originally signed consent document.
5. The NRC requires that the information collected be used in determining that an individual is trustworthy, reliable, and fit for duty prior to certifying UAA, granting UA/FFDA, while maintaining UAA/UA; granting access to a nuclear power plant under construction or granting access to an ISFSI; and before granting access to safeguards information. The results of this determination must be available to other NRC licensed facilities.
6. Any of the following actions related to the providing and sharing the personal information is sufficient cause for denial or unfavorable termination of UAA/UA/FFDA, access to a nuclear power plant under construction, access to an ISFSI, and/or access to Safeguards Information:
  - a. Refusal to provide written consent for the background investigation and/or suitable inquiry;
  - b. Refusal to provide information or the falsification of any personal information required under 10 CFR 73.56, Personnel Access Authorization Requirements for Nuclear Power Plants, 10 CFR 26, Fitness-for-Duty Programs, and/or 10 CFR 73.21, 73.22 or 73.23, Protection of Safeguards Information, including, but not limited to, the failure to report any previous denial or unfavorable termination of authorization;
  - c. Refusal to provide written consent for the sharing of personal information with other licensees or other entities required under 10 CFR 73.56, Personnel Access Authorization Requirements for Nuclear Power Plants 10 CFR Part 26, Fitness-for-Duty Programs, and/or 10 CFR 73.21, 73.22 or 73.23, Protection of Safeguards Information; and
  - d. Failure to report any legal actions in accordance with 10 CFR 73.56(g).
7. I understand that the domestic commercial nuclear industry uses a computerized, restricted-access data system, the Personnel Access Data System (PADS), to share information necessary to process applications of workers for UAA/UA/FFDA/SGIA to nuclear facilities, access to a nuclear power plant under construction, access to an ISFSI, and/or access to Safeguards Information. I further understand that this system is intended to permit nuclear facility licensees and their accepted contractors/vendors to meet regulatory requirements mandating that certain information be available to any facility licensee by retaining certain access information in a central computer database.
8. I understand that the information may be transferred, electronically or otherwise, to other licensees and contractor/vendors or the agents of each. This information will include, but is not limited to:
  - a. Name and Social Security Number;
  - b. Place of birth and physical characteristics;
  - c. Dates when any of the following are completed: background investigation, psychological evaluation, fitness-for-duty testing, suitable inquiry checks;
  - d. Dates when UAA/UA, access to a nuclear power plant construction site, and/or access to Safeguards Information has been authorized or terminated;
  - e. Date of any denial of UAA/UA, access to a nuclear power plant under construction, and/or access to Safeguards Information and the company holding the relevant information;
  - f. Dates associated with FFD testing (pre-access, post-event, for cause and follow-up) and treatment;
  - g. Annual radiation exposure history;
  - h. Respiratory equipment qualification/fit testing;
  - i. Medical qualification for respirator use;
  - j. Data concerning training required for UAA/UA/FFDA, access to a nuclear power plant construction site, access to an ISFSI, access to Safeguards Information and work qualification; and
  - k. Direction to seek additional information directly from another licensee.

<u>TEST TEST</u>	<u>TEST1</u>	<u>08/23/2024</u>
Applicant's Name	SECURE ID	Date Signed

## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### PADS CONSENT

9. I understand that information contained within FBI CHRI obtained for UAA/UA and SGIA purposes will be restricted to the NRC, nuclear licensee facilities regulated by the NRC, and myself, and that the criminal history information will not be released to contractor/vendors or their agents.
10. I authorize any individual, organization, institution, or entity that now has, or obtains in the future, access-related information about me (examples of which are provided in paragraph 8), whether or not such information is included in the PADS database, to release any such information in order to perform the investigation and evaluation required for UAA/UA/FFDA, access to a nuclear power plant construction site, access to an ISFSI, and/or access to Safeguards Information.
11. I authorize the entry into the PADS computer database of any information collected for the purpose of processing my application for, or continued maintenance of, UAA/UA/FFDA, access to a nuclear power plant construction site, access to an ISFSI, and/or access to Safeguards Information. I authorize the transfer of such information, electronically or otherwise, to other NRC nuclear facility licensees and contractors/vendors. I authorize such licensees and contractors/vendors to use the database information for the purpose of determining my eligibility for UAA/UA, for access to a nuclear power plant construction site, access to an ISFSI, for compliance with 10 CFR 810, Assistance to Foreign Atomic Energy Activities, and/or for access to Safeguards Information.
12. I understand that information obtained pursuant to this Consent shall be treated as confidential. The release of access-related information about me shall be limited to regulatory agencies and such employees of NRC facility licensees and their contractors/vendors who have been designated as having a "need to know" the information in order to do their jobs. The following is a listing of individuals that may access information without my consent in order to perform their official duties:
  - a. Myself or my representative, when I have designated the representative in writing for specified UAA/UA/FFDA, nuclear power plant construction site access, ISFSI access, safeguards information access and/or FFD matters;
  - b. Assigned Medical Review Officers (MROs) and MRO staff;
  - c. NRC representatives;
  - d. Appropriate law enforcement officials under court order;
  - e. A licensee, contractor/vendor, or their agents who have a need to have access to the information to perform their assigned duties under the UAA/UA/FFDA program, nuclear power plant construction site access, ISFSI access, safeguards information access, and/or FFD programs, including determinations of fitness, access authorization or FFD program audits, and some human resources functions;
  - f. The presiding officer in a judicial or administrative proceeding that is initiated by the subject individual;
  - g. Persons deciding matters under access authorization, safeguards or FFD program appeal process; and
  - h. Other persons pursuant to court order.
13. I understand that all information about me in the database will be maintained as securely as reasonably practicable for a period of at least 5 years after UAA/UA/FFDA, access to a nuclear power plant construction site, access to an ISFSI, and/or access to Safeguards Information is last terminated. The types of records maintained include documentation collected during the administration of the access authorization, safeguards and FFD programs.
14. All documents pertaining to a 5 year or permanent denial of UAA/UA/FFDA required by 10 CFR Part 26 will be retained by a licensee making the denial or unfavorable termination of UAA/UA/FFDA for 40 years or the NRC determines that the records are no longer needed.
15. The records of FFD training and examinations conducted under 10 CFR Part 26 and 10 CFR 73.21, 73.22, or 73.23 will be maintained for at least 3 years.
16. Records identified are normally maintained at Sample Company.

<u>TEST TEST</u>	<u>TEST1</u>	<u>08/23/2024</u>
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# **PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE**

## **PADS CONSENT**

17. In accordance with 28 CFR 16.34, Procedure to obtain change, correction or updating of identification records -- If, after reviewing my identification record, I believe that it is incorrect or incomplete in any respect and wish changes, corrections or updating of the alleged deficiency, I may make application directly to the agency which contributed the questioned information. I may also direct my challenge as to the accuracy or completeness of any entry on my record to the FBI, Criminal Justice Information Services (CJIS) Division, ATTN: SCU, Mod. D-2, 1000 Custer Hollow Road, Clarksburg, WV 26306. The FBI will then forward the challenge to the agency which submitted the data requesting that agency to verify or correct the challenged entry. Upon the receipt of an official communication directly from the agency which contributed the original information, the FBI CJIS Division will make any changes necessary in accordance with the information supplied by that agency. For information regarding retention and redress of information from the DHS IDENT/HART systems, please refer to the DHS System of Records Notices (SORNs) and HART Privacy Impact Assessment (PIA), and for information regarding the DHS IDENT/HART interoperability with FBI's NGI, please refer to DHS Interoperability PIA found at <https://www.dhs.gov/compliance>.
18. I understand that I have a right to review information collected and maintained by Sample Company to assure it is accurate and complete and to correct any inaccurate or incomplete information.
19. I understand that, upon my written request to Sample Company, and at no cost to me, I will be provided, within 10 business days, with a printed copy of the information about me which is recorded in the Personal Access Data System (PADS) database. If, after my review of such information, I can show that any of the information is incorrect or incomplete, such information will be corrected and/or completed as soon as is reasonably practical.
20. I understand that at any time and upon written notice to Sample Company, I may withdraw this Consent, but this will also constitute a withdrawal of my request for UAA/UA/FFDA/SGIA/CON/ISFSI. I understand that any processing activities that were initiated before receipt of my withdrawal of consent shall continue and the resulting information will be retained in the database. No new inquiries shall be initiated after receipt of my withdrawal of consent. Thereafter, licensees and PADS participants are not permitted to retrieve information from the database other than my name, date of birth, identification number, and the fact that my consent has been withdrawn, unless I provide a currently valid Consent or the information sought is required by NRC regulation.
21. I hereby release Sample Company, other licensees, PADS participants, NEI, and the officers, employees, representatives, agents, and records custodians of each as well as the officers, employees, representatives, agents, and records custodians of any entity or individual supplying or using such information from any and all liability based on their authorized receipt, disclosure, or use of the information obtained pursuant to this Consent and to determine my eligibility for unescorted access authorization/unescorted access to nuclear facilities, access to a nuclear power plant under construction, access to an ISFSI, FFDA and/or access to Safeguards Information.
22. I understand that this Consent is not intended to and does not affect any right or responsibility that I, my employer (if not Sample Company), or Sample Company may have under Section 211 of the Energy Reorganization Act of 1974, as amended. I further understand that nothing herein (1) affects my right or my responsibility to bring potential safety concerns to my employer (if not Sample Company), Sample Company, or the NRC; or (2) prohibits me from participating in any proceeding or investigation regarding such a potential safety concern.
23. I also understand that information obtained pursuant to this Consent may be disclosed by Sample Company in a judicial or administrative proceeding arising out of my access to and/or employment at any Sample Company facility.
24. I have read and understand this Consent and authorize Sample Company to take such actions as are described herein or specified by PADS procedures. While I understand that UAA/UA/FFDA, access to a nuclear power plant construction site access to an ISFSI, and/or access to Safeguards Information is dependent upon my accepting the regulatory requirements of the UAA/UA/FFDA/SGIA/CON program, the statements made by me in this Consent and my decision to sign this Consent are voluntary. The statements were not induced by any promise nor have I been subjected to any threat, duress or coercion to sign this Consent.

<u>TEST TEST</u>	<u>TEST1</u>	<u>08/23/2024</u>
Applicant's Name	SECURE ID	Date Signed

# PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

## OVERVIEW

All information provided will be treated as PERSONAL-CONFIDENTIAL and observed only by persons with an authorized NEED-TO-KNOW.

In order to meet the requirements of the Nuclear Regulatory Commission (NRC), the licensee or approved contractor/vendor (approved C/V) to which you are applying for unescorted access authorization (UAA), unescorted access (UA), fitness-for-duty authorization (FFDA), construction access (CON) and/or access to safeguards information (SGIA) requires that you consent to undergo a background screening process. The purpose of the screening process is to determine your trustworthiness and reliability to work within the protected and vital areas of a nuclear power plant (NPP). Information from this form will be used to conduct a background investigation for access authorization purposes as required by the NRC.

You must provide all information requested in a complete and accurate manner. Your signature on the document is your certification that the information you have provided is complete and correct. Providing deliberate or willful misleading statements to any NPP with the intent to gain access is a violation of Federal regulations. Any misrepresentation, deliberate misstatement, falsification or willful omission may constitute cause for denial or revocation of UAA/UA/FFDA/CON/SGIA. Failure to report and list reasons for any previous suspension, revocation or denial of UAA/UA/FFDA/CON/SGIA at a NPP or other entity subject to either the NRC UAA/UA/FFDA/CON/SGIA regulations may be sufficient cause for denial or revocation of UAA/UA/FFDA/CON/SGIA. If such an instance is detected Sample Company is required to advise the NRC. The NRC may investigate you and, if appropriate, criminal and civil sanctions may be imposed against you if deemed material by the NRC. When such instances have previously occurred, the result has been a lengthy (five-year) or permanent exclusion from work at nuclear power plants in the United States.

The facts concerning your criminal history or fitness-for-duty record may be subject to interpretation due to varying categorizations of similar offenses between States. It is therefore required that you disclose all information that has any potential for being considered as derogatory to minimize the likelihood of discrepancies between the information you provided and that obtained from other sources. All information requested is needed for the purpose established by NRC regulations or Orders. Results of the investigation will be available as specified in your signed Consent form, to entities authorized by the NRC pursuant to UAA/UA/FFDA/CON/SGIA regulations. In some of the sections of the PHQ you are required to provide your personal information; in other sections you will be required to acknowledge that you understand certain on-going requirements or personal responsibilities. The information requested may include any or all of the following topics: verification of identity, self-disclosure data, employment/unemployment history (including military service and/or education in lieu of employment), criminal history, credit history, character references, residences, and fitness-for-duty history. When not in use, your written information is stored in a secure environment, which may include being electronically placed in a secure database, to prevent unauthorized disclosure of personal information.

The licensee requesting the completion of this document may require your Social Security Number (SSN), the last 4 digits of your SSN and/or provide you with a protected unique identification number or password linked to you for use on this form. The NRC requires the verification of true identity and you will be required to disclose your SSN that will be maintained for the same period as your personal information contained on this PHQ.



**PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE****NOTIFICATION OF LEGAL ACTION**

Individuals applying for, certified for, granted or maintaining Unescorted Access Authorization (UAA), or Unescorted Access (UA), or Fitness-for-Duty Authorization (FFDA), or construction access (CON), or safeguards information access (SGIA) at nuclear power plants must report legal actions from the time the individual signs the Personal History Questionnaire (PHQ) up to and including the time that the individual UAA/UA/FFDA is terminated. Legal actions will be judged based upon the potential to impact upon your trustworthiness. This is part of the Behavioral Observation Program (BOP).

ANY DELIBERATELY FALSIFIED OR OMITTED INFORMATION WILL RESULT IN THE DENIAL OF UNESCORTED ACCESS AND, UNDER 10 CFR 50.5 (DELIBERATE MISCONDUCT) MAY BE SUBJECT TO NRC ENFORCEMENT ACTION IN ACCORDANCE WITH PROCEDURES IN 10 CFR PART 2, SUBPART B

IF YOU DESIRE A CONFIDENTIAL INTERVIEW UPON PROVIDING INFORMATION REGARDING CRIMINAL HISTORY YOU MUST CONTACT ACCESS AUTHORIZATION

To comply with regulatory requirements, you are required to report ANY legal action (except minor traffic and civil offenses), to \_\_\_\_\_ no later than \_\_\_\_\_, and in writing to \_\_\_\_\_ no later than \_\_\_\_\_. Failure to report a legal action as required may result in denial, suspension, revocation, or withdrawal of UAA/UA or FFDA, and disciplinary action up to and including discharge.

A legal action is defined as:

- A formal action taken by a law enforcement authority or court of law, including being held, detained, taken into custody, charged, arrested, indicted, fined, forfeited bond, cited, or convicted for a violation of any law, regulation or ordinance.
- This includes felony, misdemeanor, serious traffic offenses, serious civil charges or military charges but does not include minor misdemeanors such as parking tickets or minor civil actions such as zoning violations or minor traffic violations such as moving violations when the individual was not physically taken into custody.
- It also includes the mandated implementation of a plan for treatment or mitigation in order to avoid a permanent record of an arrest or convictions in response to the following:
  1. The use, sale or possession of illegal drugs (including controlled substances determined to be illegal under federal law, such as marijuana, but deemed legal under a state law);
  2. The abuse of legal drugs or alcohol; or
  3. The refusal to take a drug or alcohol test.
- This does not include minor misdemeanors such as parking tickets, minor civil actions, such as zoning violations, or minor traffic violations such as moving violations when the individual was not physically taken into custody, provided the legal action did not include use, sale, or possession of illegal drugs; abuse of legal drugs or alcohol; or refusal to take a drug or alcohol test.

By my signature below, I certify that I have read this notification and understand my obligation to report legal actions from the signing of this document until authorization is terminated. I also understand that any falsified or omitted information will result in the denial of access, and any other consequences imposed by Federal Law (10 CFR 50.5 "Deliberate Misconduct").

TEST TEST      TEST1      08/23/2024  
Applicant's Full Name    SECURE ID    Date Signed

## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### INSTRUCTIONS FOR THE COMPLETION OF THE PERSONAL HISTORY QUESTIONNAIRE

Unless otherwise instructed, you are required to complete all portions of this PHQ to be considered for unescorted access authorization, unescorted access, fitness-for-duty authorization, construction access or safeguards information access (UAA/UA/FFDA/CON/SGIA) to a/an Sample Company nuclear plant. Some questions are followed by requests for additional data. Enter all dates in the format two-digit month, two-digit day and four-digit year (MM/DD/YYYY). After completing and before submitting, review the questionnaire to ensure there are no omissions. This form is self-validating and any field containing an incorrect or missing value will be highlighted in red. For more information on the error, click in a red field and a description of the error will be displayed.

I have read and understand the instructions for filling out this PHQ. Yes

I understand that by entering my Secure ID that I am providing my electronic signature. Yes

Have you ever applied for or been granted UAA/UA/FFDA at a nuclear power plant? No

If Yes, last UAA/UA/FFDA was terminated at

Plant Name on: Date Reason

Is the UAA/UA/FFDA information above correct? No

Please provide corrected information. Note: This is for informational use only. ePHQ will validate data based on the information provided by the plant.

Do you currently maintain UAA/UA/FFDA at a nuclear power plant? Yes

My UAA/UA/FFDA is current at

Copper

Plant Name

Last UAA/UA/FFDA was terminated at

Plant Name on: Date

Reason

Have you ever applied for or been granted access to a nuclear power plant under construction? Yes

If Yes, last period of access was terminated *Favorable* at

Nebraska 08/01/2020

Plant Name on: Date

Reason

Have you ever applied for or been granted access to Safeguards Information at a nuclear power plant or nuclear power plant under construction? Yes

If Yes, last period of Safeguards Information Access was terminated *Favorable* at

Xcel 08/01/2021

Plant Name on: Date

Reason





## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### PERSONAL DATA

Permanent Address:

Floor Str      Angeles      California      15669  
 Number-Street-Apartment No.      City      State      Zip Code

United States      (123)456-7890      12  
 Country      Telephone number      Extension

To assist in contacting you if additional information is needed, provide as available:

(123)456-7890      (123)456-7890      \_\_\_\_\_  
 Daytime local telephone number      Cell phone number/pager      E-mail address

Personal Description:

4      5      6      brown      black      Female      Native American  
 Height      Height      Weight      Eye color      Hair color      Gender M/F      Race  
 (ft)      (inch)      (lbs)

Do you have a valid, unexpired US Driver's license?

US Driver's License Information

Yes

55533663      California      08/24/2025  
 Driver license number      State      Expiration date

Do you have a valid, unexpired state-issued ID?

State-issued ID Information

\_\_\_\_\_  
 ID Number      State      Expiration date

\_\_\_\_\_  
 No Driver's License Explanation

## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### PERSONAL DATA

List all residences where you have lived since 09/2017. Include any address where you received mail if different from residence address (i.e. P.O. Box, Mail Services, etc.). Click the Add Residence button to add additional residences.

Your current residence:

<u>10/2022</u>	<u>PRESENT</u>	<u>Floor Str 667</u>	<u>Angeles</u>	<u>California</u>	<u>15669</u>
From	To	Number - Street - Apartment No.	City	State	Zip code
(MM/YYYY)	(MM/YYYY)				
<u>United States</u>					
Country					

Your next most recent residence:

<u>05/2020</u>	<u>10/2022</u>	<u>Sun Strret 556</u>	<u>Angeles</u>	<u>California</u>	<u>14556</u>
From	To	Number - Street - Apartment No.	City	State	Zip code
(MM/YYYY)	(MM/YYYY)				
<u>United States</u>					
Country					

Your next most recent residence:

<u>03/2019</u>	<u>05/2020</u>	<u>Vallarta 345</u>	<u>Guadalajara</u>	<u>Unknown/Foreign</u>	<u>45633</u>
From	To	Number - Street - Apartment No.	City	State	Zip code
(MM/YYYY)	(MM/YYYY)				
<u>Mexico</u>					
Country					

Your next most recent residence:

<u>09/2017</u>	<u>03/2019</u>	<u>Real de Minas 556</u>	<u>Zapopan</u>	<u>Unknown/Foreign</u>	<u>56222</u>
From	To	Number - Street - Apartment No.	City	State	Zip code
(MM/YYYY)	(MM/YYYY)				
<u>Mexico</u>					
Country					

## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### PERSONAL REFERENCES

List three persons who are available for immediate contact, who can comment on your character and reputation and who have had recent (within the past 6 months) contact with you. They may be friends, neighbors, or other persons with whom you have frequent personal and/or business relationships. Provide home address (actual street address), not post office box numbers. If you do not know the Zip Code for a reference, enter the word UNKNOWN. List telephone numbers and email address where each reference can be contacted.

1.

<u>Jobs</u>	<u>Steve</u>	<u>05/2020</u>	<u>Associate</u>
Last Name	First Name	Known since (MM/YYYY)	Relationship to Applicant

<u>Apple Street</u>	<u>Angeles</u>	<u>California</u>	<u>45633</u>	<u>United States</u>
Home Address Number - Street - Apartment No.	City	State	Zip code	Country

<u>(123)456-7890</u>	<u>Daytime</u>			
Telephone Number	Type	Telephone Number	Type	E-mail address

2.

<u>Smith</u>	<u>Will</u>	<u>02/2015</u>	<u>Friend</u>
Last Name	First Name	Known since (MM/YYYY)	Relationship to Applicant

<u>Flowers Street 53</u>	<u>Angeles</u>	<u>California</u>	<u>56323</u>	<u>United States</u>
Home Address Number - Street - Apartment No.	City	State	Zip code	Country

<u>(123)456-7890</u>	<u>Evening</u>			
Telephone Number	Type	Telephone Number	Type	E-mail address

3.

<u>Fills</u>	<u>Catherine</u>	<u>10/2005</u>	<u>Other</u>
Last Name	First Name	Known since (MM/YYYY)	Relationship to Applicant

<u>Constituyentes 45</u>	<u>Zapopan</u>	<u>Unknown/Foreign</u>	<u>12345</u>	<u>Mexico</u>
Home Address Number - Street - Apartment No.	City	State	Zip code	Country

<u>1234567890</u>	<u>Both</u>			
Telephone Number	Type	Telephone Number	Type	E-mail address

## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### LEGAL ACTIONS

**CAUTION: Providing false or deliberate misleading statements or omissions of fact may be sufficient grounds for denial of unescorted access.**

List all legal actions since your 18th birthday. Additionally, if you were fingerprinted report the occurrence, and if you currently have any criminal charges pending, report the charge. You must list felony, misdemeanor, or serious traffic offenses including guilty pleas and "nolo contendere" (meaning no contest); any suspended sentences, pretrial diversions, dismissals, "nolle prosequi" (meaning not prosecuted), serious civil charges, military charges (including court martial or non-judicial punishment), and criminal history record expungement but does not include minor misdemeanors such as parking tickets or minor civil actions such as zoning violations or minor traffic violations such as moving violations when you were not physically taken into custody (You may omit non-injury traffic or parking offenses but you must include any alcohol/drug-related traffic offenses.)

Since your 18th birthday, have you:

1. Been held, detained, taken into custody, charged, arrested, indicted, fined, forfeited bond, cited, or convicted for a violation of any law, regulation or ordinance (e.g. felony, misdemeanor, traffic or military criminal history, etc.) or do you now have such a case pending? Yes
2. Been charged, arrested or convicted of an alcohol-related offense (e.g. driving under the influence (DUI) / driving while intoxicated (DWI)), or have such a case pending or of a controlled substance-related offense (including controlled substances determined to be illegal under federal law, such as marijuana, but deemed legal under a state law)? No
3. Been charged, arrested or convicted of an infraction of the law for which you were fined more than \$500? No
4. Failed to appear in court for any offense(s)? No
5. Are you currently under indictment, on probation, parole, work release, or subject to any other control of a court order of protection (e.g. Sex Offender Registry)? No
6. Are there any additional legal actions to disclose? No

If you answered Yes to any question above, explain all occurrences and specific details in the space provided. Click the Add Legal Action button to add additional legal actions. (Note: You may be asked to provide supporting documentation.)

Legal Action:

08/08/2021	N/A	Dismissed
Date	Type	Current status

St Johns in Massachussets

Court or Agency involved and location

Speeding

Offense

Is this drug and/or alcohol related? No

Associated Question(s):

Applies to Question 1 above?	Yes
Applies to Question 2 above?	No
Applies to Question 3 above?	No
Applies to Question 4 above?	No
Applies to Question 5 above?	No
Applies to Question 6 above?	No

Explain the circumstances surrounding the case:

*I was on vacation and I was driving my rent car. I exceeded the speed allowed*

## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### SELF-DISCLOSURE INFORMATION

The Nuclear Regulatory Commission requires that the company investigate your previous employment history and make inquiries of employers to determine whether or not there are any fitness-for-duty (FFD) concerns that must be explored and evaluated prior to certifying UAA, granting UA/FFDA and/or construction access or granting safeguards information access.

Answer each question by clicking the circle next to either Yes or No as it pertains to you. For each Yes answer include the specific type of issue, duration and resolution including but not limited to the reason for an unfavorable termination or denial of UAA/UA/FFDA and/or safeguards information access. Details may include but are not limited to date, name and location name of the employer or potential employer involved (to whom you applied for employment), nature of the violation, any hearing, penalty imposed or other disposition.

In the past 5 years or since your 18th BIRTHDAY, whichever period is shorter, have you:

1. violated a licensee or employer's fitness-for-duty policy? Yes

08/15/2020   New Newsphere

Date

Location

I forgot use identification

Description of Incident

Apply for an extra ID

Resolution

2. been denied or had unescorted access authorization terminated unfavorably at any place of employment or at any nuclear power plant for any reason including fitness-for-duty policy violation or been unfavorably terminated from any employment for a fitness-for-duty reason? No

Date

Location

Description of Incident

Resolution

3. used, sold or possessed illegal drugs (Including controlled substances determined to be illegal under federal law, such as marijuana, but deemed legal under a state law)? No

Date

Location

Description of Incident

Resolution

4. abused legal drugs or alcohol? Yes

08/08/2022   Los Angeles

Date

Location

I was driving with more than a cup of alcohol

Description of Incident

My driver license was revoked

Resolution

5. ever subverted or attempted to subvert a drug or alcohol testing program? No

Date

Location

Description of Incident

Resolution





9. been subject to employment action taken for alcohol or drug abuse involving any of the following:

A change in job responsibilities or removal from a job?

No

Date

Location

Description of Incident

Resolution

Mandated implementation of a plan for substance abuse treatment in order to avoid a change in or removal from a job?

No

Date

Location

Description of Incident

Resolution

10. Are you currently in a fitness-for-duty follow-up testing program?

Yes

08/23/2024   Los Angeles

Date

Location

I am attending a program in order to get back my license

Description of Incident

Assisting to the program

Resolution

## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### NRC ESCALATED ENFORCEMENT ACTION

Occasionally, the NRC takes enforcement action against individuals working under the NRC's jurisdiction. When the NRC loses reasonable assurance that an individual is willing or able to comply with NRC requirements, typically demonstrated by deliberate misconduct, the agency may issue an enforcement order that includes a prohibition against all or some forms of NRC licensed activities. In addition, the NRC may engage in alternative dispute resolution with an individual who the NRC believes has willfully violated NRC requirements. Through alternative dispute resolution, the NRC may issue a confirmatory order that includes an agreed-upon period of prohibition from all or some types of NRC-licensed activities. In less significant cases, the agency may issue a notice of violation to an individual.

ANY DELIBERATELY FALSIFIED OR OMITTED INFORMATION WILL RESULT IN THE DENIAL OF UNESCORTED ACCESS AND, UNDER 10 CFR 50.5 (DELIBERATE MISCONDUCT) MAY BE SUBJECT TO NRC ENFORCEMENT ACTION IN ACCORDANCE WITH PROCEDURES IN 10 CFR PART 2, SUBPART B

IF YOU DESIRE A CONFIDENTIAL INTERVIEW UPON PROVIDING THIS INFORMATION YOU MUST CONTACT ACCESS AUTHORIZATION

Have you ever been issued an NRC Escalated Enforcement Action?

Yes

07/12/2023   Los Angeles

Date

Location

I used an invalid Id card

Reason

The card was removed

Resolution

By my signature below, I certify that I understand that any falsified or omitted information will result in the denial of access, and any other consequences imposed by Federal Law (10 CFR 50.5 "Deliberate Misconduct").

TEST TEST

TEST1

08/23/2024

Applicant's Full Name

SECURE ID

Date Signed

## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

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### EMPLOYMENT/UNEMPLOYMENT HISTORY

Did you serve in the Military as your primary job within the last five (5) years, since your 18th birthday, or since you last held UAA/UA which was terminated favorably, whichever period is shorter? Yes

In the past 5 years, were you enrolled, with education as your primary activity, in an educational institution in lieu of employment? Yes

---

Are you affiliated with a union? Yes

Union Affiliation

<u>Heart1</u>	<u>1256</u>	<u>Lost members</u>	<u>1(223)456-7890</u>
Craft	Local #	Business agent name	Telephone number

---

Have you been fired, involuntarily terminated, or forced to leave any job or position, except as a part of a reduction in force, during the past five (5) years? Yes

If Yes, explain the circumstances and reason for leaving in the appropriate employment section on the following page.

## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### EDUCATION IN LIEU OF (INSTEAD OF) EMPLOYMENT

(NOTE: You may be required to provide a copy of your official educational institution transcript)

If you are presently enrolled in an educational institution, "Present" is an acceptable value for the "To" date field.

ENROLLMENT:

Attended:

Universidad de Guadalajara

Name of Educational  
Institution

Av Revolucion 345

Address of Educational Institution

Guadalajara

City

Unknown/Foreign

State

56333

Zip code

Mexico

Country

Bachelor

Computer Engineer

Degree

Major / Field of study

Were you the subject of any disciplinary action at this education institution?

Yes

If Yes, provide details:

*I was involved in some student's groups against the University and teachers*

Did you graduate?

Yes

If No, provide reason for leaving:

Comments:

*I could finish everything*

Semesters:

05/05/2020

05/05/2022

From

To

## ENROLLMENT:

Attended:

Los Angeles UniversityName of Educational  
InstitutionUN Strees 45

Address of Educational Institution

Los Angeles

City

California

State

12345

Zip code

United States

Country

BachelorMedicine

Degree Major / Field of study

Were you the subject of any disciplinary action at this education institution?

No

If Yes, provide details:

Did you graduate?

No

If No, provide reason for leaving:

*I decided to move of field of study to engineer*

Comments:

*No comments*

Semesters:

05/05/2018 05/05/2020

From

To

If you had any semester breaks, excluding winter-spring breaks (as defined by the educational institution's calendar), or had any additional employers during the education period, document those periods on the employment/unemployment section of this PHQ.



## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### MILITARY SERVICE AS EMPLOYMENT

If you are presently serving in the armed forces, "Present" is an acceptable value for the "To" date field.

Do you have the DD Form 214 you received upon discharge?

No

If Yes, bring the Original DD Form 214 with you when you first come to site. (A copy will be retained and the original will be returned to you after authentication).

Service period:

10/11/2019    05/05/2020  
From                      To

Type of Service:

National Guard/Reserves weekend/weekly training only

Reason for Discharge:

None

Character of Service:

Honorable

Explain:

United States    Fifty zone  
Country Served      Branch

Karl Stevensons                      (562)378-9456                      Base 1  
Name of Supervisor or Commander    Telephone number    Last Command / Duty Station / Base / Unit  
(123)456-7890  
Telephone number

Fun Street                                      Los Angeles                      California                      58963                      United States  
Address of Duty Station / Base / Unit      City                      State                      Zip code                      Country

None  
Your Grade or Rank at discharge    Job location (If different than address listed above)

Do you have the DD Form 214 you received upon discharge?

Yes

If Yes, bring the Original DD Form 214 with you when you first come to site. (A copy will be retained and the original will be returned to you after authentication).

Service period:

01/01/2016   08/24/2019  
From                      To

Type of Service:

National Guard/Reserves weekend/weekly training only

Reason for Discharge:

None

Character of Service:

Honorable

Explain:

—

United States   Third Zone  
Country Served                      Branch

Mr Kevin Jhonson                      (459)632-5890                      Base 6  
Name of Supervisor or Commander   Telephone number   Last Command / Duty Station / Base / Unit  
(123)456-7890  
Telephone number

Fun Street                      Los Angeles                      California                      12345                      United States  
Address of Duty Station / Base / Unit                      City                      State                      Zip code                      Country

none                      none  
Your Grade or Rank at discharge                      Job location (If different than address listed above)

If you had any breaks in military service during the reported period of greater than 30 days or any additional employers, document those periods on the employment/unemployment section of this PHQ.

## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### EMPLOYMENT/UNEMPLOYMENT HISTORY

Provide employment or unemployment information for the past five (5) years, since your 18th birthday, or since you last held unescorted access which was terminated favorably, whichever period is shorter.

Start with your current or most recent employment or unemployment period and work back in time. For your most current employment or unemployment "Present" is an acceptable value for the "To" date field. Do not leave any gaps. List self-employment and any employment in a foreign country. List full company name (avoid abbreviations). Job sites must be listed for each employer. If you worked multiple job sites while employed by a single employer, list them in the Comments field for that employment. If a former employer is no longer in business or if you were self-employed, provide the names of two people who can verify that information (e.g., former supervisor, co-worker, customer, client, neighbor, etc.). Do not list union local unless you are a business agent. Do not list an unemployment office. Click the Add Employment button to add an employment period. Click the Add Unemployment button to add an unemployment period.

Note: If you held a contract with the licensee or other company, report the contract period as employment and list the contract administrator in the "Contact" field.

#### EMPLOYMENT:

<i>Software WWW Company</i>	<i>02/02/2023</i>	<i>08/23/2024</i>
Name of employer	From	To

<i>Yellow Str 45</i>	<i>Los Angeles</i>	<i>California</i>	<i>85963</i>	<i>United States</i>
Address	City	State	Zip code	Country

<i>Analyst Sr</i>	<i>Los Angeles</i>
Position held / Job title	Job location (If different than address listed above)

<i>Laura Thomson</i>	<i>(123)456-7890</i>
Contact Name	Telephone number

#### Self-Employed

Reason for Termination

Person Who Can Verify Activities:

<i>Thomson</i>	<i>Laura</i>	<i>(123)456-7890</i>
Last Name	First Name	Telephone Number

Eligible for Rehire:

Yes

Reason:

Comments:

*I am good employee*

## EMPLOYMENT:

<u>LHTBB Company</u>	<u>01/01/2021</u>	<u>02/02/2023</u>
Name of employer	From	To

<u>Call Str 677</u>	<u>Los Angeles</u>	<u>California</u>	<u>12345</u>	<u>United States</u>
Address	City	State	Zip code	Country

<u>Reviewer Code</u>	<u>Los Angeles</u>
Position held / Job title	Job location (If different than address listed above)

<u>Mr John Calvis</u>	<u>(123)456-7890</u>
Contact Name	Telephone number

Terminated/Fired  
Reason for Termination

Person Who Can Verify Activities:

<u>                    </u>	<u>                    </u>	<u>                    </u>
Last Name	First Name	Telephone Number

Eligible for Rehire:

Yes

Reason:

Comments:

I moved to the other company

## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### CREDIT HISTORY

Within the past seven (7) years or since your 18th birthday, whichever is less, have you had any of the following?

A delinquent payment? No

Date	Amount	Reason
------	--------	--------

A bankruptcy? No

Date	Amount	Reason
------	--------	--------

A financial judgment against you? No

Date	Amount	Reason
------	--------	--------

A charge off? Yes

08/01/2022	400	License drievr
Date	Amount	Reason

A tax lien or a tax lien from not filing federal or state income taxes? Yes

08/01/2023	1200	My company did not pay on time
Date	Amount	Reason

Other financial difficulties within the past seven (7) years (e.g. accounts currently in collection, etc.)? No

Date	Amount	Reason
------	--------	--------

Do you have a credit history documented in a national credit bureau file?

Yes

Your credit will be checked through the national credit agencies. NOTE: If you have placed a security freeze on your credit file, the credit file must be unfrozen in order for the required credit check to be completed. Changing the status of your credit file is your responsibility.

If you do not have an established credit history (e.g. loans, credit cards, etc.), list three sources of credit within the past seven (7) years or since your 18th birthday, whichever is less (e.g., landlords, local gas station, a bank, department store charge account or any personal sources of credit).

Explain why you have no credit history and any problems you have experienced with any creditor during the past seven (7) years.

1. Credit Reference:

From To

Name of creditor Telephone number

Address of creditor City State Zip code Country

Comments:

2. Credit Reference:

From To

Name of creditor Telephone number

Address of creditor City State Zip code Country

Comments:

3. Credit Reference:

From To

Name of creditor Telephone number

Address of creditor City State Zip code Country

Comments:



**PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE**

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**FOREIGN TRAVEL**

In the past 5 years or since your 18th birthday, whichever period is shorter, have you traveled Yes to any foreign country? Do not include travel when in the service of any US government agency (e.g., US Military, State Department, etc.)

**FOREIGN TRAVEL LOCATIONS**

Provide the following detailed information regarding foreign travel. If your trip encompassed multiple countries please disclose each country in the "Purpose" field.

---

<u>10/10/2019</u>	<u>11/10/2019</u>	<u>Afghanistan</u>	<u>Training</u>
Departure from US	Return to US	Country Name	Purpose

---

## **PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE**

### **FINGERPRINT INFORMATION FOR FBI CRIMINAL HISTORY**

The Nuclear Regulatory Commission regulation (10 CFR 73.57) which implements Public Law 99-399 "Omnibus Diplomatic Security And Anti-Terrorism Act Of 1986" requires licensees to take the fingerprints of persons seeking unescorted access to nuclear power facilities or access to safeguards information and submit those prints to the FBI (through the NRC), requesting criminal history checks.

In accordance with 28 CFR 16.34, Procedure to obtain change, correction or updating of identification records -- If, after reviewing your identification record, you believe that it is incorrect or incomplete in any respect and wish changes, corrections or updating of the alleged deficiency, you should make application directly to the agency which contributed the questioned information. You may also direct your challenge as to the accuracy or completeness of any entry on your record to the FBI, Criminal Justice Information Services (CJIS) Division, ATTN: SCU, Mod. D-2, 1000 Custer Hollow Road, Clarksburg, WV 26306. The FBI will then forward the challenge to the agency which submitted the data requesting that agency to verify or correct the challenged entry. Upon the receipt of an official communication directly from the agency which contributed the original information, the FBI CJIS Division will make any changes necessary in accordance with the information supplied by that agency.

Your criminal record or personal information collected and maintained as a result of the fingerprints may not be disclosed to persons other than yourself, your authorized representative, or to those who have a need to know the information in performing assigned duties in the process of granting or denying unescorted access to the nuclear power facility or access to safeguards information. The information obtained from a criminal history record check will be made available to any other NRC licensee pursuant to an access clearance for you at another facility.

In accordance with 28 CFR 16.32, Procedure to obtain an identification record, you may obtain a copy thereof by submitting a written request via the U.S. mail directly to the FBI, Criminal Justice Information Services (CJIS) Division, ATTN: SCU, Mod. D-2, 1000 Custer Hollow Road, Clarksburg, WV 26306. Such request must be accompanied by satisfactory proof of identity, which shall consist of name, date and place of birth and a set of rolled-inked fingerprint impressions placed upon fingerprint cards or forms commonly utilized for applicant or law enforcement purposes by law enforcement agencies.

Criminal history information obtained through the FBI may also be made available for examination by authorized representatives of the NRC in the course of their duties to determine compliance with regulations and laws. The criminal history record information will be retained as required by regulation after UAA/UA to the nuclear power facility or to safeguards information has been denied or terminated.

I have the following additional comments concerning criminal history:

<u>TEST TEST</u>	<u>TEST1</u>	<u>08/23/2024</u>
Applicant's Full Name	SECURE ID	Date Signed

## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### ACKNOWLEDGEMENT STATEMENT

I have read, understand and acknowledge the purpose of this personal history statement (PHQ) and that I have furnished the requested information under the stated conditions. I have read and understand the above information concerning NRC required fingerprints and criminal history record.

The information that I have provided in this PHQ is correct and complete to the best of my knowledge and belief. I make this statement with knowledge that any false or misleading statement or omission of any fact may be sufficient cause for denial of UAA/UA/FFDA/CON/SGIA. I understand that the information I have provided in this form will be verified by authorized background investigators and will be used only for access authorization purposes.

I understand that if I am certified UAA or granted UA/FFDA/CON/SGIA, it is my responsibility, under the Behavioral Observation Program (BOP), to report any legal action in accordance with company procedures. I must also report any legal actions from the time I complete this PHQ until I am certified UAA or granted UA/FFDA/CON/SGIA. An evaluation will be made regarding the impact of the legal action on my UAA/UA/FFDA/CON/SGIA. The determination of what constitutes a legal action is a matter of state law but, in general, the term legal action means:

*A formal action taken by a law enforcement authority or court of law, including being held, detained, taken into custody, charged, arrested, indicted, fined, forfeited bond, cited, or convicted for a violation of any law, regulation or ordinance this includes felony, misdemeanor, serious traffic offenses, serious civil charges or military charges but does not include minor misdemeanors such as parking tickets or minor civil actions such as zoning violations or minor traffic violations such as moving violations when the individual was not physically taken into custody, and includes the mandated implementation of a plan for treatment or mitigation in order to avoid a permanent record of an arrest or convictions in response to the following: (1) The use, sale or possession of illegal drugs (including controlled substances determined to be illegal under federal law, such as marijuana, but deemed legal under a state law); (2) The abuse of legal drugs or alcohol; or (3) The refusal to take a drug or alcohol test.*

Upon arrival to the site, I will also report any changes to the self-disclosure section of this PHQ to the designated licensee personnel.

I have been advised of my right to request to review the information developed to assure its accuracy and completeness. I understand that the information collected during the conduct of the background investigation will be retained and must be made available to any other nuclear power plant where I may request access. It will only be used in determining my eligibility for UAA/UA/FFDA/CON/SGIA. This information will be retained for a period of time after the last termination of my UAA/UA/FFDA/CON/SGIA or the denial of my UAA/UA/FFDA/CON/SGIA.

I have the following additional comments concerning this statement:

yes

The information I have provided on this PHQ is accurate and correct and I acknowledge that I am to report any changes to my legal action reporting and self-disclosure upon arrival to the site.

<u>TEST TEST</u>	<u>TEST1</u>	<u>08/23/2024</u>
Applicant's Full Name	SECURE ID	Date Signed

**PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE****CONSENT****NOTICE TO APPLICANT OF INTENT TO OBTAIN AN INVESTIGATIVE CONSUMER REPORT**

In connection with your application for unescorted access for Sample Company nuclear plants, Sample Company is required by the Nuclear Regulatory Commission (NRC) to procure certain background information concerning you which may be contained in an investigative consumer report. An investigative consumer report may contain information regarding your creditworthiness, credit standing, credit capacity, character, general reputation, personal characteristics, mode of living, military and criminal background. This information may be gathered from personal interviews with your neighbors, friends and/or associates, including former employers.

Before we may procure an investigative consumer report, you must authorize such procurement in writing. You have the right to decline authorization for Sample Company to procure an investigative consumer report. However, you will not be considered further for unescorted access if you so decline.

In the course of gathering background information, your former employers will be asked questions concerning you including but not limited to the following:

1. What were the dates of your former employment?
2. What position(s) did you hold?
3. Were you ever demoted or otherwise disciplined? If so, what were the circumstances?
4. Did you perform your job in a satisfactory manner?
5. Under what circumstances did you leave?
6. Would the employer rehire you?

**RELEASE TO PROCURE AN INVESTIGATIVE CONSUMER REPORT**

This form includes a release that will allow Sample Company to obtain an investigative consumer report. Please read the release carefully before signing it and indicating your choice regarding disclosure. Please note that the release authorizes us to obtain an investigative consumer report now and at any other time during your unescorted access to Sample Company nuclear plants.

This form may be reproduced or photocopied and such copies shall be as effective as the original consent which I have signed.

The report received may contain non-updated, non-criminal public records.

I understand that I will be furnished a summary of consumer rights, as appropriate, under Section 615 of the Fair Credit Reporting Act before any adverse action is taken regarding my application based in whole or in part on that consumer report.

I have read the "Notice to Applicant" on this form. I understand that I have the right to decline authorization for Sample Company to procure an investigative consumer report concerning me. I understand that the investigative consumer report may contain information concerning my creditworthiness, credit standing, credit capacity, character, general reputation, personal characteristics, mode of living, military and criminal background. I also understand that this information may be gathered from personal interviews with my neighbors, friends and/or associates, including former employers. As disclosed on this form, I understand the nature and scope of the investigation that is going to be made into my background.

Understanding these rights, by signing below, I authorize Sample Company to procure an investigative consumer report concerning me.

<u>TEST TEST</u>	<u>TEST1</u>	<u>08/23/2024</u>
Applicant's Full Name	SECURE ID	Date Signed

## **PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE**

### **A Summary of Your Rights Under the Fair Credit Reporting Act**

Para informacion en espanol, visite [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) o escriba a la Consumer Financial Protection Bureau, 1700 G Street N.W., Washington, DC 20552.

The federal Fair Credit Reporting Act (FCRA) promotes the accuracy, fairness, and privacy of information in the files of consumer reporting agencies. There are many types of consumer reporting agencies, including credit bureaus and specialty agencies (such as agencies that sell information about check writing histories, medical records, and rental history records). Here is a summary of your major rights under the FCRA. For more information, including information about additional rights, go to [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) or write to: Consumer Financial Protection Bureau, 1700 G Street N.W., Washington, DC 20552.

You must be told if information in your file has been used against you. Anyone who uses a credit report or another type of consumer report to deny your application for credit, insurance, or employment - or to take another adverse action against you - must tell you, and must give you the name, address, and phone number of the agency that provided the information.

You have the right to know what is in your file. You may request and obtain all the information about you in the files of a consumer reporting agency (your "file disclosure"). You will be required to provide proper identification, which may include your Social Security number. In many cases, the disclosure will be free. You are entitled to a free file disclosure if:

- a person has taken adverse action against you because of information in your credit report;
- you are the victim of identity theft and place a fraud alert in your file;
- your file contains inaccurate information as a result of fraud;
- you are on public assistance;
- you are unemployed but expect to apply for employment within 60 days.

In addition, all consumers are entitled to one free disclosure every 12 months upon request from each nationwide credit bureau and from nationwide specialty consumer reporting agencies. See [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) for additional information.

You have the right to ask for a credit score. Credit scores are numerical summaries of your credit-worthiness based on information from credit bureaus. You may request a credit score from consumer reporting agencies that create scores or distribute scores used in residential real property loans, but you will have to pay for it. In some mortgage transactions, you will receive credit score information for free from the mortgage lender.

You have the right to dispute incomplete or inaccurate information. If you identify information in your file that is incomplete or inaccurate, and report it to the consumer reporting agency, the agency must investigate unless your dispute is frivolous. See [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) for an explanation of dispute procedures.

Consumer reporting agencies must correct or delete inaccurate, incomplete, or unverifiable information. Inaccurate, incomplete or unverifiable information must be removed or corrected, usually within 30 days. However, a consumer reporting agency may continue to report information it has verified as accurate.

Consumer reporting agencies may not report outdated negative information. In most cases, a consumer reporting agency may not report negative information that is more than seven years old, or bankruptcies that are more than 10 years old.

Access to your file is limited. A consumer reporting agency may provide information about you only to people with a valid need - usually to consider an application with a creditor, insurer, employer, landlord, or other business. The FCRA specifies those with a valid need for access.

You must give your consent for reports to be provided to employers. A consumer reporting agency may not give out information about you to your employer, or a potential employer, without your written consent given to the employer. Written consent generally is not required in the trucking industry. For more information, go to [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore).

You may limit "prescreened" offers of credit and insurance you get based on information in your credit report. Unsolicited "prescreened" offers for credit and insurance must include a toll-free phone number you can call if you choose to remove your name and address from the lists these offers are based on. You may opt-out with the nationwide credit bureaus at 1-888-5-OPTOUT (1-888-567-8688).

**PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE**

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**A Summary of Your Rights Under the Fair Credit Reporting Act**

The following FCRA right applies with respect to nationwide consumer reporting agencies: CONSUMERS HAVE THE RIGHT TO OBTAIN A SECURITY FREEZE

You have a right to place a "security freeze" on your credit report, which will prohibit a consumer reporting agency from releasing information in your credit report without your express authorization. The security freeze is designed to prevent credit, loans, and services from being approved in your name without your consent. However, you should be aware that using a security freeze to take control over who gets access to the personal and financial information in your credit report may delay, interfere with, or prohibit the timely approval of any subsequent request or application you make regarding a new loan, credit, mortgage, or any other account involving the extension of credit.

As an alternative to a security freeze, you have the right to place an initial or extended fraud alert on your credit file at no cost. An initial fraud alert is a 1-year alert that is placed on a consumer's credit file. Upon seeing a fraud alert display on a consumer's credit file, a business is required to take steps to verify the consumer's identity before extending new credit. If you are a victim of identity theft, you are entitled to an extended fraud alert, which is a fraud alert lasting 7 years.

A security freeze does not apply to a person or entity, or its affiliates, or collection agencies acting on behalf of the person or entity, with which you have an existing account that requests information in your credit report for the purposes of reviewing or collecting the account. Reviewing the account includes activities related to account maintenance, monitoring, credit line increases, and account upgrades and enhancements.

You may seek damages from violators. If a consumer reporting agency, or, in some cases, a user of consumer reports or a furnisher of information to a consumer reporting agency violates the FCRA, you may be able to sue in state or federal court.

Identity theft victims and active duty military personnel have additional rights. For more information, visit [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore).



## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### A Summary of Your Rights Under the Fair Credit Reporting Act

States may enforce the FCRA, and many states have their own consumer reporting laws. In some cases, you may have more rights under state law. For more information, contact your state or local consumer protection agency or your state Attorney General. For information about your federal rights, contact:

TYPE OF BUSINESS:	CONTACT:
1.a. Banks, savings associations, and credit unions with total assets of over \$10 billion and their affiliates.  b. Such affiliates that are not banks, savings associations, or credit unions also should list, in addition to the CFPB:	a. Consumer Financial Protection Bureau 1700 G Street NW Washington, DC 20552  b. Federal Trade Commission: Consumer Response Center - FCRA 600 Pennsylvania Avenue, NW Washington, DC 20580 (877) 382-4357
2. To the extent not included in item 1 above: a. National banks, federal savings associations, and federal branches and federal agencies of foreign banks  b. State member banks, branches and agencies of foreign banks (other than federal branches, federal agencies, and Insured State Branches of Foreign Banks), commercial lending companies owned or controlled by foreign banks, and organizations operating under section 25 or 25A of the Federal Reserve Act  c. Nonmember Insured Banks, Insured State Branches of Foreign Banks, and insured state savings associations  d. Federal Credit Unions	a. Office of the Comptroller of the Currency Customer Assistance Group 1301 McKinney Street, Suite 3450 Houston, TX 77010-9050  b. Federal Reserve Consumer Help Center P.O. Box 1200 Minneapolis, MN 55480  c. FDIC Consumer Response Center 1100 Walnut Street, Box #11 Kansas City, MO 64106  d. National Credit Union Administration Office of Consumer Financial Protection (OCFP) Division of Consumer Compliance Policy and Outreach 1775 Duke Street Alexandria, VA 22314
3. Air carriers	Asst. General Counsel for Aviation Enforcement & Proceedings Aviation Consumer Protection Division Department of Transportation 1200 New Jersey Avenue, SE Washington, DC 20590
4. Creditors Subject to the Surface Transportation Board	Office of Proceedings, Surface Transportation Board Department of Transportation 395 E Street S.W. Washington, DC 20423
5. Creditors Subject to the Packers and Stockyards Act, 1921	Nearest Packers and Stockyards Administration area supervisor
6. Small Business Investment Companies	Associate Deputy Administrator for Capital Access United States Small Business Administration 409 Third Street, SW, Suite 8200 Washington, DC 20416
7. Brokers and Dealers	Securities and Exchange Commission 100 F Street NE Washington, DC 20549
8. Federal Land Banks, Federal Land Bank Associations, Federal Intermediate Credit Banks, and Production Credit Associations	Farm Credit Administration 1501 Farm Credit Drive McLean, VA 22102-5090
9. Retailers, Finance Companies, and All Other Creditors Not Listed Above	Federal Trade Commission: Consumer Response Center 600 Pennsylvania Avenue, NW Washington, DC 20580 (877) 382-4357

## **PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE**

### **FAIR CREDIT REPORTING ACT DISCLOSURE AND AUTHORIZATION STATEMENT**

For the purpose of evaluating my application for or maintenance of, nuclear power plant authorization (UAA/UA/FFDA), I understand the Company, Sample Company, may obtain or have prepared a consumer report or investigative consumer report concerning my prior employment, military record, education, credit worthiness, credit standing, credit capacity, character, general reputation, personal characteristics, criminal background record, or mode of living.

I understand that upon written request to Sample Company, I will be informed whether an investigative consumer report was requested, and given full information as to the nature and scope of this investigation. I understand that an investigative consumer report is a report in which information concerning my character, general reputation, personal characteristics, or mode of living is obtained through personal interviews with neighbors, friends, or associates with whom I am acquainted.

By signing below, I am authorizing Sample Company to obtain a consumer or investigative consumer report on me as part of the Company's screening process for access authorization. During the period in which I retain access authorization, I further authorize the Company to obtain additional consumer or investigative consumer reports on me to evaluate my trustworthiness and reliability for purposes of determining continued unescorted access authorization.

By my signature below, I also acknowledge that Sample Company has provided me with a summary of my rights under the Federal Fair Credit Reporting Act (attached copy prepared by the Consumer Financial Protection Bureau).

I have read and understand this Consent and authorize Sample Company to take such actions as are described herein.

<u>TEST TEST</u>	<u>TEST1</u>	<u>08/23/2024</u>
Applicant's Full Name	SECURE ID	Date Signed

## PERSONAL HISTORY QUESTIONNAIRE (PHQ) AND SELF-DISCLOSURE

### Authorization to Obtain Personal Information

I understand that Sample Company will obtain and use information that I provide to verify my alien immigration status through the Department of Homeland Security, U.S. Citizenship and Immigration Service (DHS-USCIS) Systematic Alien Verification for Entitlements (SAVE) program for the sole purpose of gaining access to or maintaining access at the Sample Company, nuclear facility. I understand that Sample Company shall not use the SAVE program for the purpose of complying, or assisting any person or entity to comply, with the employment eligibility verification requirements of section 274A of the immigration and Nationality Act, 8 U.S. C. section 1324a. On this basis, I authorize DHS-USCIS to release information to Sample Company regarding me pursuant to the Privacy Act, 5 U.S. C. Section 552a.

I understand that if the information provided to Sample Company cannot be confirmed through the initial SAVE program verification, it may be necessary for me to provide additional information including copies of immigration documentation needed to complete a more thorough review by DHA-USCIS.

I understand that I may access information regarding me by submitting a written request to DHA-USCIS. I understand that Sample Company shall not disclose any information provided by DHS-USCIS to any other person or entity without the prior written consent of DHA-USCIS.

Home Address:

<u>Floor Str</u>	<u>Angeles</u>	<u>California</u>	<u>15669</u>	<u>United States</u>
Home Address Number - Street - Apartment No.	City	State	Zip code	Country

Are you authorized to work in the United States?

Yes

<u>1234</u>	<u>08/02/2023</u>
Port of Entry	Date of Entry

<u>88966336</u>	<u>08/16/2029</u>
I-94 Number	Date of Expiration

<u>Tourist</u>	<u>112568555</u>	<u>08/30/2028</u>
Visa Type	Visa Number	Expiration Date

I have read and understand this Authorization as described herein.

<u>TEST TEST</u>	<u>TEST1</u>	<u>08/23/2024</u>
Applicant's Full Name	SECURE ID	Date Signed