

3701:1-37-09 Background investigations.

- (A) Initial investigation: before allowing an individual unescorted access to category one or category two quantities of radioactive material or to the devices that contain the material, licensees shall complete a background investigation of the individual seeking unescorted access authorization. The scope of the investigation must encompass at least the seven years preceding the date of the background investigation or since the individual's eighteenth birthday, whichever is shorter. The background investigation must include at a minimum:
- (1) Fingerprinting and an FBI identification and criminal history records check in accordance with rule 3701:1-37-10 of the Administrative Code;
 - (2) Verification of true identity: licensees shall verify the true identity of the individual who is applying for unescorted access authorization to ensure that the applicant is who he or she claims to be. A licensee shall review official identification documents (e.g., driver's license; passport; government identification; certificate of birth issued by the state, province, or country of birth) and compare the documents to personal information data provided by the individual to identify any discrepancy in the information. Licensees shall document the type, expiration, and identification number of the identification document, or maintain a photocopy of identifying documents on file in accordance with rule 3701:1-37-12 of the Administrative Code. Licensees shall certify in writing that the identification was properly reviewed, and shall maintain the certification and all related documents for review upon inspection;
 - (3) Employment history verification: licensees shall complete an employment history verification, including military history. Licensees shall verify the individual's employment with each previous employer for the most recent seven years before the date of application;
 - (4) Verification of education: licensees shall verify that the individual participated in the education process during the claimed period;
 - (5) Character and reputation determination: licensees shall complete reference checks to determine the character and reputation of the individual who has applied for unescorted access authorization. Unless other references are not available, reference checks may not be conducted with any person who is known to be a close member of the individual's family, including but not limited to the individual's spouse, parents, siblings, or children, or any individual who resides in the individual's permanent household. Reference checks under this chapter must be limited to whether the individual has been and continues to be trustworthy and reliable;
 - (6) The licensee shall also, to the extent possible, obtain independent information to corroborate that information provided by the individual (e.g., seek references not supplied by the individual); and
 - (7) If a previous employer, educational institution, or any other entity with which the individual claims to have been engaged fails to provide information or indicates an inability or unwillingness to provide information within a time frame deemed appropriate by the licensee but at least after ten business days of the

request or if the licensee is unable to reach the entity, the licensee shall document the refusal, unwillingness, or inability in the record of investigation; and attempt to obtain the information from an alternate source.

(B) Grandfathering:

- (1) Individuals who have been determined to be trustworthy and reliable for unescorted access to category one or category two quantities of radioactive material under the fingerprint orders may continue to have unescorted access to category one and category two quantities of radioactive material without further investigation. These individuals shall be subject to the reinvestigation requirement.
- (2) Individuals who have been determined to be trustworthy and reliable under the provisions of 10 CFR 73 as published in 10 CFR 73, Code of Federal Regulations, January 1, 2012 or the security orders for access to safeguards information, safeguards information-modified handling, or risk-significant material may have unescorted access to category one and category two quantities of radioactive material without further investigation. The licensee shall document that the individual was determined to be trustworthy and reliable under the provisions of 10 CFR 73 or a security order. Security order, in this context, refers to any order that was issued by the U.S. nuclear regulatory commission that required fingerprints and a FBI criminal history records check for access to safeguards information, safeguards information-modified handling, or risk significant material such as special nuclear material or large quantities of uranium hexafluoride. These individuals shall be subject to the reinvestigation requirement.

- (C) Reinvestigations: licensees shall conduct a reinvestigation every ten years for any individual with unescorted access to category one or category two quantities of radioactive material. The reinvestigation shall consist of fingerprinting and a FBI identification and criminal history records check in accordance with rule 3701:1-37-10 of the Administrative Code. The reinvestigations must be completed within ten years of the date on which these elements were last completed.

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