MANUAL CHAPTER 0040

PREPARING, REVISING, AND ISSUING DOCUMENTS FOR THE NRC INSPECTION MANUAL

Page Intentionally Blank

TABLE OF CONTENTS

Page Intentionally Blank

0040-01   PURPOSES

01.01   To establish the format and basic requirements for preparing and obtaining comments on NRC Inspection Manual documents including manual chapters, inspection procedures, Part 10 of the Code of Federal Regulations (10 CFR) guidance, technical guidance, and temporary instructions.

01.02   To describe how to prepare appendixes, tables, figures, and other material for manual documents.

01.03   To specify the responsibilities and authorities for preparing, issuing, and revising the NRC Inspection Manual.

0040-02   OBJECTIVES

02.01   To help managers and writers in planning and developing clear, accurate, and effective inspection manual documents.

02.02   To ensure consistency in the format and content of manual documents.

0040-03   DEFINITIONS

03.01   General.

   a.   Document. A manual chapter, inspection procedure, 10 CFR guidance, technical guidance, or temporary instruction.

   b.   Manual Part. A major subject area into which the manual is divided. Each part of the manual is subdivided into areas such as inspection manual chapters, inspection procedures, and guidance.

   c.   NRC Inspection Manual. The compilation of documents that define the policies, procedures, and programs for conducting inspections.

03.02   Types of Inspection Manual Documents.

   a.   Inspection Manual Chapter (IMC). A document containing written administrative or inspection program statements of policy. A manual chapter for an inspection program defines the program through a listing of inspection procedures, which is normally appended to the manual chapter.

   b.   Inspection Procedure (IP). A statement of requirements and guidance for inspection activities, which are focused on safety.

   c.   Temporary Instruction (TI). A temporary inspection procedure focused on current safety issues or concerns. TIs are issued to supplement an inspection program and are generally in effect for 12 months, but not longer than 24 months.

   d.   Change Notice (CN). A transmittal document that lists new, revised, and deleted manual documents, distributes the new and revised documents, and includes information on updating and maintaining the manual. Any special training required to perform an IP or TI is stated in the change notice in the Remarks section.

e. Technical Guidance. Document issued to provide guidance for a technical question that requires more guidance than is given by or referenced in an inspection procedure.

f. 10 CFR Guidance. A guidance document on acceptable approaches to particular issues involving rules and regulations in 10 CFR. These guidance documents are also found in Part 9900 of the manual.

03.03 Support Information of Inspection Manual Documents.

a. Attachment. Material that is relevant to a document but is too detailed or extensive to be included directly in the body of the document. This may be accomplished in the form of a table, figure, appendix, etc.

b. Table of Contents. An outline of the manual's structure and a numerical listing of the manual documents.

0040-04   RESPONSIBILITIES AND AUTHORITIES

04.01 Originating Organization.   Each program document identifies the originating organization with the organization's code against the right margin of the first page above the title.

a. Develops and revises manual documents necessary to carry out assigned organizational programmatic responsibilities.

b. Obtains the necessary approval for any increase to the Full Time Equivalence (FTE). This requires Nuclear Reactor Regulation (NRR) or applicable office management approval. The source of any new inspection hours must be clearly stated (i.e., headquarters, region).

c. Identifies any training needs associated with performing the required procedure.

d. If training is required, works with respective Training Coordinator to arrange for inspectors to get any specialized training necessary to perform the IP or TI requirements beyond the basic training for inspectors (specified in IMC 1245 or IMC 1246). Specialized training requirements are to be stated in the IP or TI and summarized in the change notice. Ensures that the effective dates of documents accommodate required training periods since training is required to be completed prior to issuance.

e. Ensures consistent and proper punctuation, capitalization, spelling, grammar, and format. As for all NRC documents, the usage and editorial style are based on the Government Printing Office Style Manual (latest edition), the NRC Editorial Style Guide (NUREG-1379), and Webster's dictionary (latest edition).

f. Ensures that all Reactor Oversight Process (ROP) program documents conform with IMC 0308, "Reactor Oversight Process Basis Document" as applicable.

g. Ensures that all documents follow the format requirements contained in this manual chapter.

h. Provides guidance on following up and closing TIs, including regional responsibilities. Clearly distinguishes mandatory requirements from those that are optional. Reviews and analyzes TI results, giving feedback to applicable office

directors and the regions as necessary. Determines whether additional inspection is needed. Submits a document issuing form (Exhibit 1) to Reactor Inspection Branch (IRIB) to delete TIs when completed.

i. Obtains approval before asking for review and comment on new and revised manual documents from:

   1. ROP program documents require the approval of Deputy Director, Division of Inspection and Regional Support.

   2. Other inspection programs such as Nuclear Material Safety and Safeguards (NMSS) or non-ROP Nuclear Security and Incident Response (NSIR) documents require the approval of the director of the division responsible for the inspection program.

j. Creates or updates the revision history section of the document with a brief description of the scope of the revision. This section shall also include training required as a result of the change, date the training was completed, ADAMS accession number for comment resolution summary, and commitment tracking identification numbers specific to the document (Exhibit 3).

k. Routes completed document to the IRIB Manual Coordinator when ready for issuance according to applicable office guidance. Documents submitted to the Manual Coordinator that are not ready for issuance will be returned to the originator for corrections as required.

l. Triennially review inspection manual documents to determine whether they should be revised or deleted.

04.02 Reactor Inspection Programs: Director, Division of Inspection and Regional Support (DIRS). Coordinates inspection policies, programs, and guidance for nuclear reactors.

04.03 Reactor Inspection Programs: Deputy Director, Division of Inspection and Regional Support, (DIRS).

a. Ensures that all inspection program documents conform with NRC policies.

b. Reviews regional procedures and initiatives for possible incorporation into the reactor inspection program.

c. Ensures that all ROP program documents conform with IMC 0308 "Reactor Oversight Process Basis Document."

04.04 Non-ROP Inspection Programs: Responsible Manager.

a. Division director or designee approves content of documents necessary to carry out assigned program functions.

b. Confirms document meets requirements of this manual chapter prior to signing the Document Issuing Form.

04.05 Originating Organization: Responsible Branch Chief. Approves and signs requests for comments on documents according to specific office guidance.

04.06 Manual Coordinator, IRIB.

a. Ensures that the appropriate organizations, NRC regional offices, and other NRC offices have been given the opportunity to comment on documents for the inspection programs.

b. Verifies that the requirements of this manual chapter are met in the preparation and approval of manual documents.

c. Updates the Inspection Procedure Authority File of NRR's Reactor Program System (RPS/IPAS).

d. Assures availability of inspection program documents through ADAMS and the NRC's Web site.

04.07   Training Coordinator, IRIB/NMSS/NSIR.

a. Coordinates all specialized training needs for power reactor, materials and safeguards inspections for their respective organizations.

b. Assists originating organization with determining if training is needed.

c. If training is required, assist in determining what type of training is needed and how the training will be done. When training is required, the originating organization develops the technical content of the training and provides it to their respective Training Coordinator in electronic and hard copy format.

d. Informs inspectors of pending procedure change and ensures training is provided before the procedure is issued.

0040-05   GUIDANCE FOR ALL DOCUMENT TYPES

All ROP program documents must conform with IMC 0308, "Reactor Oversight Process Basis Document." If changes or revisions alter the scope or basis of a program document, appropriate updates to the ROP Basis Document are required. Once the need for a basis change is recognized, the appropriate changes to the ROP Basis Document should be drafted and approved as part of the document approval and issuing process.

05.01   Plain Writing Guidance. State clearly what the inspector is to do. Use specific and objective words. State who, what, when, where, and why. State conditions, limitations, and exceptions separately. Write in a readable style in simple English. It is not just desirable for an inspector to understand your writing, it is mandatory.

a. Use short words, short sentences, and short paragraphs. If possible, avoid words that are not in common use outside of the NRC (most of the documents are publicly available). Divide long drawn-out sentences into two or more sentences. Try to limit paragraphs to 10 lines or less. Reorganize material to break lengthy, complex paragraphs into several paragraphs or a list.

b. Read and edit draft material from the user's perspective. Replace wordy prepositions ("in the vicinity of") with one-word prepositions ("near").

c. For further guidance, refer to NUREG-1379, "NRC Editorial Style Guide," and the Government Printing Office Style Manual (latest edition). These references can be found under the Plain Language Action Plan on the internal website.

d. Terminology must be consistent. Do not use two or more words for the same idea, concept, or activity. Except for abbreviations in common use, show the complete

word, title, or phrase the first time it is used with the abbreviation in parenthesis immediately after. For example, service water system operational performance inspection (SWSOPI).

e.   The originator must make clear what is mandatory of inspectors and what is discretionary. For example, use "must," "shall," and "will" to indicate mandatory requirements and "can," "may," "might," and "should" to convey discretion.

f.   Since web links can change, the insertion of a web link in a document is not preferred and should normally only be used to provide additional information.

05.02   Revisions to Documents.   When manual documents are revised, the entire document is reissued. Changes must be identified by placing a vertical line in the margins of the document next to the revision by using WordPerfect's alternating margin option of the redline feature. In the case of a total rewrite of a document, it is not necessary to use the redline feature. Revisions are issued by a change notice. Major changes to the document must be noted in the Remarks section of the change notice.

05.03   References.   References must be directly relevant to the document and essential to its completion. References may not be used simply to convey historical information. References to another inspection program document must include the type of document, the number, and the section or appendix (e.g., IMC 2500-05.01; IMC 2500, Appendix A). References to another section of the same document should state so (e.g., Section 04.01 of this IMC).

Any commitment being added to a document (such as requirements of a generic letter) shall also be listed in the section where it appears and identified with a commitment tracking number as described in section 6.02 of this manual chapter.

05.04   Word Processing Guidance.   All drafts and final documents shall be prepared in the current version of WordPerfect and the IMC Format.

The main body of every document prepared for the manual must be in Arial font 12-point, fully justified.   Do not use bold, italic, shadow, or other appearances. Underline may be used for emphasis.

05.05   Incorporating Other Documents. Documents from the NRC or other agencies may be incorporated into manual documents when necessary to conduct the inspection program.

05.06   Requests for Guidance, Revisions, and New Documents.

a.   Requests for guidance and revisions to documents applicable to the ROP should be initiated using the Feedback Process, as described in IMC 0801. This process will track the requests through the evaluation and editing periods.

b.   Requests for guidance, revision or new documents other than those applicable to the ROP should be addressed to the Deputy Director, DIRS/ NRR for reactor inspection programs or to the applicable NMSS/ NSIR manager for nonreactor inspection programs.

0040-06   HOW TO DEVELOP OR REVISE EXISTING DOCUMENTS

06.01   Document Preparation. When planning to revise or create a new document, assess the need for inspectors to be trained. Not accounting for this may result in considerable delays in issuing the document. To ensure that procedures are issued in a timely fashion, all training methods should be considered. This may include more detailed change

summaries, scheduled conference calls for Q&A sessions, and web-based training. Contact the respective Training Coordinator with questions regarding the need for and types of training required. Once training needs are determined coordinate development, timing, and delivery of training with the Training Coordinator.

Develop a new document in the current version of WordPerfect using the structure and format requirements, as applicable, contained in this manual chapter.

To revise a document, retrieve the WordPerfect version of the document from the NRC Internal Web site and save it as a separate working file. To obtain a WordPerfect copy of the most recent version go to http://www.nrc.gov/reading-rm/doc-collections/insp-manual/ and click on the required section (For example the Manual Chapters link). Next, click on the Change Notice link for the applicable document. Once the Change Notice page opens, click on the ZIP file at the top of the page. When the ZIP file is opened the required document will be available in WordPerfect format.

06.02   Incorporating Generic Requirements.

    a.   There are instances when specific inspection requirements are placed in an inspection procedure to satisfy a generic requirement (e.g. identified in a Generic Letter or Bulletin).

        To ensure that generic inspection requirements are not inadvertently deleted through a revision to a procedure, a review of the revision history section shall be performed. If the revision history does not cover a minimum of 4 years, then a review of the change notices from the past 4 years for that document shall be performed and the results documented in the revision history page. [C1] Change Notices are located on the external NRC Web Page.

    b.   When adding the commitments of a generic requirement to a document the requirement shall be identified as follows:

        1.   The text that defines the commitment shall be italicized. This is a specific exception to the requirement to not use this text type to add emphasis to the reader. Spacing prior to and following the text should be such that the information clearly stands out within the document.

        2.   A commitment tracking number shall be assigned using the next sequential number available for that procedure. This number shall be bracketed and entered following the italicized text and the commitment tracking number added to the revision history page. For example:

        Text describing the specified commitment. [C1]

    c.   To delete a generic requirement that is no longer valid, the approval of the respective Division Director is required.

06.03   Regional and Office Comments.   Drafts of new or substantially revised inspection program documents must be sent for review and comment to offices that will be affected by the changes. Each office shall ensure comments from regional offices and other internal stakeholders of the document are obtained according to the applicable office guidance. It is the responsibility of the originating office to obtain comments, perform comment resolution, and create a comment resolution summary page for each document. For NRR documents, the originator prepares memoranda requesting comments for signature by the Deputy Director, DIRS/NRR. The memoranda requests that comments be sent directly to the originator with a copy to the Deputy Director, DIRS/NRR.

The purpose of the commenting period is to resolve issues specific to the proposed change to the document. Comments outside the scope of the proposed change are not appropriate for this process and should be submitted using the methods described in section 05.06 of this manual chapter.

Comments from the regions are important because the regions implement the inspection programs. However, requests for their comments must be controlled so they do not to become burdensome on their workload. Minor, non-substantive changes do not need to be sent to the regions for comment.   Determine if a document must be sent to the region by answering the following:

Will the proposed document affect regional resources?

Will the document significantly affect regional programs?

Is a regional perspective really needed?

Are the regions interested in the subject?

Does the document represent a major policy change?

If the answer to any of the questions is "yes," then a draft of the document should be sent to all regions and contributing offices for comments.

The rules for sending draft documents to the regions for comments are:

a.   Send only final drafts.

b.   Identify a person the regions can contact to discuss the document.

c.   Prepare the request far enough in advance of the document's deadline to allow for review of not less than 30 calendar days. If a deadline requires a shorter comment period, send the request and the draft document to the regions electronically.

d.   Address the memorandum requesting comments on the document to the Deputy Regional Administrator. For NRR program documents, the memorandum should also indicate that copies will be sent to the Directors, Divisions of Reactor Projects and Reactor Safety.

e.   For requests for regional comments on new or revised manual chapters that involve major policy changes, send a copy to the Office of the Deputy Executive Director for Regulatory Programs and the Office of the Inspector General.

06.04   Comment Resolution.   The originating office will include a copy of all substantive written comments received with their disposition briefly noted in the document issuing package (See Exhibit 2). The originator will then enter the final version of the comment resolution summary into ADAMS and the accession number shall be entered on the revision history page. Since comment resolution occurs prior to the final issuance of a document this information should not normally be made publicly available.

06.05   Update or Create Revision History Page. Maintaining a revision history page will ensure that requirements are not inadvertently deleted. If a revision history page does not already exist for the document it shall be created by the originator using Exhibit 3 as an example. The document issued date will be filled in by the IRIB Manual Coordinator prior to issuing the final document. The training completion date (if training is required) in all cases shall be prior to the document issue date.

06.06   Document Issuing Package. It is the responsibility of the originator to ensure that all documents are correctly formatted prior to routing to the IRIB Manual Coordinator. Exhibit 5 shall be used as a minimum to meet this requirement.

Prior to routing the document to the IRIB Manual Coordinator the final document shall be entered into ADAMS. At this point in the process, the document shall be characterized as non-publicly available. Since the comment resolution summary will not be made publicly available, it shall be entered into ADAMS separately. Author rights shall be granted to the respective office Manual Coordinator and the IRIB Manual Coordinator. Once the document is entered in ADAMS, complete the document package and route to the Manual Coordinator. A complete package consists of the following:

a.   An electronic and the signed paper copy of the document issuing form (Exhibit 1).

b.   A copy of the ADAMS Document Submission form (Form 665) and paper copy of the comment resolution summary (Exhibit 2).

c.   A paper copy of the final document to be issued including any graphics or exhibits.

d.   A copy of the ADAMS Document Submission form for the final version of the document.

06.07   Manual Coordinator's Review.   NMSS and NSIR documents are routed to the respective Manual Coordinator for review prior to routing to NRR. NRR documents are routed directly to the IRIB/ NRR Manual Coordinator. Documents submitted to the Manual Coordinator that are not ready for issuance will be returned to the originator for corrections as required. The IRIB/NRR Manual Coordinator reviews the document for publication.

06.08   Final Approval.   Final approval for inclusion in the manual is given by the Deputy Director, DIRS.

06.09   Standard Distribution of Manual Documents.   Standard distribution of new or revised documents is done by a change notice when the new or revised documents are issued.

0040-07   DOCUMENT TYPES AND FORMATS

07.01   Inspection Manual Chapters (IMCs)   IMCs are used to describe inspection programs and include the following:

a.   Table of Contents. Due to the amount of information provided in an inspection manual chapter, a table of contents shall be included to allow the user to make more efficient use of the document.

b.   Section 01, "Purpose". Provides a broad statement of the topic covered by the manual chapter.

c.   Section 02, "Objectives". Used to state the aim of the program or functions covered by the manual chapter This section may not be required if this information is already covered in Section 01.

d.   Section 03, "Definitions". Definitions are only necessary if the term is used in a special sense or the meaning may not be clear to the user.

e.   Section 04, "Responsibilities and Authorities". Provides a brief description of ownerships arranged from higher to lower levels of authorities.

f.   Section 05, "Requirements". This section is used to provide the specific instructions of the manual chapter. Additional sections can be used beyond 05 as required to provide better structure to the document.

07.02   Inspection Procedures (IPs)   IPs describe the activities to be performed by an inspector to implement a part of an inspection program. IPs include the following sections:

a.   Section 01, "Inspection Objective(s)". States the objective(s) of the IP.

b.   Section 02, "Inspection Requirement(s)". Describes the requirements for completing this procedure and achieving its objectives. This section may specify systems, components, and records to be inspected. This section may also specify inspection methods such as sampling (including sample sizes), observation, records review, and interviews. The IP should not involve excessive reviews of documents. Some auditing of documents (e.g., reports, analyses) may be necessary, but the emphasis should be on inspecting equipment and observing licensee activities. Ensure it is clear to the inspector what portions are mandatory and what, if any, are optional. Ensure each inspection requirement has a specific number or letter assigned to it for identification purposes in the Inspection Guidance section of the IP if the two sections are separate.

> Note: Requirements and Guidance are both required in an IP, however they can be written as one section OR two separate sections according to specific organizational needs.

c.   Section 03, "Inspection Guidance". This section may offer general as well as specific guidance on inspection requirements. Specific guidance is intended to directly help the inspector in performing the requirements stated in Section 02 of the procedure. It explains how individual requirements can be accomplished and alerts the inspector to potential problems. For new procedures, the guidance section can be used to tell the inspector how the originating office intended the requirements to be accomplished. For existing procedures, the guidance should reflect experience gained or problems encountered in performing the inspection. If no guidance is given for a requirement, use the phrase "No inspection guidance."

d.   Section 04, "Resource Estimate". An estimate of the average time needed to complete the inspection (not including preparation and documentation time). This estimate is for broad resource planning and is not intended as a measure for judging the inspector's or the region's performance. Actual inspections may require substantially more or less time, depending on the circumstances.

e.   Section 05, "References". Lists documents that will be immediately helpful to the inspector in performing the inspection procedure. If documents have been fully referenced in the text, this section may be omitted. The last item in references to NRC documents is the ADAMS accession number (e.g., ML003717333). Regulatory guides and industry standards and codes do not need an ADAMS accession number.

The reference section is not intended to be a historical listing of documents about the inspection area. It should be limited to those references directly relevant to performing the procedure. Manual documents should not reference documents, policies, or practices of the Institute of Nuclear Power Operations (INPO).

Procedures for the risk-informed baseline inspection program for reactors may include requirements and guidance in attachments to the procedures. For this program, the attachments correspond to "inspectable areas" within the "cornerstones of safety" that form the foundation of the Reactor Oversight Process (see IMC 2515).

    f.   <u>Section 06, "Procedure Completion"</u>. Defines the minimum sample size to be inspected and reported in the Reactor Programs System (RPS) in order to consider the procedure complete. Describes what is meant by inspection sample(s) and how samples are counted.

07.03   <u>Temporary Instructions (TIs)</u>   A TI has the same force as an IP but is used for a once-only or initial inspection of a safety issue, or a one-time collection of information. It is usually in effect for 12 months but never longer than 24 months. If a TI will be in effect for more than 24 months, the originator must provide a special justification. TIs may require follow up inspections. TI requirements are mandatory. TIs are issued by a Change Notice and are printed on blue paper for easy identification in the manual.

Each TI has an expected completion date and an expiration date. If the stated purpose of the TI has not been accomplished by the expiration date, the originating organization may revise the TI and reissue it. The revised TI must be accompanied by a document issuing form (Exhibit 1) and a memorandum to IRIB justifying the re-issuance. TI's are the only manual document that use revision numbers. Revisions of other manual documents are indicated only by the new issue date.

    a.   <u>Section 01, "Objectives"</u>. This section states whether the TI is being issued only for information-gathering purposes. An information-gathering TI must be accompanied by a memorandum of justification to IRIB stating why the information is needed, what will be done with it, and why it cannot be obtained by other means.

        The Objectives section also states if the TI is being issued to verify licensee responses to a generic letter or bulletin. If this is the case then the TI verifies that the requirements will specifically obtain the information requested by the generic letter or bulletin.

    b.   <u>Section 02, "Applicability"</u>. This section states which or how many facilities (e.g., two in each region) will be inspected using the TI.

    c.   <u>Section 03, "Background"</u>. This section explains the reasons for issuing the TI. Include in this section any references that may be useful to the inspector.

    d.   <u>Section 04, "Inspection Requirements"</u>. TIs emphasize observing activities, not reviewing documents. TI requirements should be performance based, clearly stated, and focused on the implementation of programs and procedures.

        A TI based on safety evaluation reports (SERs) should state whether the SERs are available. If the SERs have not all been issued, the TI should state when the remaining SERs will be issued.

    e.   <u>Section 05, "Reporting Requirements"</u>. TI results typically are documented in inspection reports, and the TI must specify the information to be documented. This section tells where the inspection results will be documented if not in a routine inspection report. It also specifies any non-standard distribution of reports documenting the TI inspections.

f.   Section 06, "Completion Schedule". A TI should include an expected date for completion of the inspection. This date should be reasonable and should precede the expiration date of the TI.

g.   Section 07, "Expiration". This section states the effective duration of the TI. It is typically between 12 and 24 months from the issue date.

h.   Section 08, "Contact". This section gives the name and phone number of a technical contact (and the lead project manager, if one is assigned) to answer questions about the TI.

i.   Section 09, "Statistical Data Reporting". This section identifies the charge codes for the TI and, if necessary, the inspection procedure and code to which an inspector should charge time for any follow-up inspections after the TI has been completed.

j.   Section 10, "Originating Organization Information". This section identifies the organization responsible for the technical content of the TI, lists any special training needed to complete the inspection requirements identified by the TI, and gives the estimate of the average time needed to complete the inspection.

When the originating organization determines that the stated purpose of the TI has been accomplished, it prepares a final report. The report documents the information obtained and the conclusions reached from reviewing the inspection results. The report may also recommend additional inspections or changes to the inspection program. The originating organization sends the final report to the regions, IRIB and the Director, NRR or NSIR as required for ROP programs, or Director, NMSS or NSIR as required for non-ROP programs within 90 days of the expiration date of the TI.

k.   Section 11, "References". Lists documents that will be immediately helpful to the inspector in performing the inspection procedure. If documents have been fully referenced in the text, this section may be omitted.

07.04   Technical Guidance and 10 CFR Guidance Documents. Part 9900 of the inspection manual is used to communicate technical guidance to the regions. A technical guidance document is distributed by change notice. The regions should review the document and ensure that inspectors are aware of it. Technical guidance documents that apply to licensee activities covered by program inspection procedures are incorporated into the procedures during their next revision or periodic review. The organizational unit responsible for the manual document is responsible for updating the inspection procedures. Guidance specific to one procedure or to a few procedures should be included in Section 03 of those procedures, rather than in Part 9900.

a.   Purpose. Briefly explain why guidance is being provided

b.   Background. Provides necessary information to understand the guidance and its context.

c.   Discussion. This section explains the required technical guidance.

07.05   Appendix. An appendix may contain additional instructional material. Appendixes must pertain to the manual chapter, inspection procedure, or temporary instruction to which they are appended. They should not contain policies, responsibilities, or requirements, which are to be covered in the basic document.

a.   Purpose. Briefly explain why an appendix is being provided.

b. <u>Background</u>. Provides necessary information to understand the guidance of the appendix, as well as its context.

c. <u>Discussion</u>. Provide necessary detailed information for the appendix.

07.06 <u>Table</u>.   Every table should have a number (Table 1, 2, etc.) and should be cited in the text by that number. In general, tables should have titles.

07.07 <u>Figure</u>.   Every figure should have a number (Figure 1, 2, etc.) and should be cited in the text by that number. In general, figures should have titles. The NRC Graphic Services Section is available to prepare figures.

07.08 <u>Exhibit</u>.   Every exhibit should be numbered (Exhibit 1, 2, etc.) and should be cited in the text by that number.

07.09 <u>Issue Date</u>.   The issue date is on each page of each document in the form XX/XX/XX. The actual date will be entered by the IRIB Manual Coordinator before the document is issued. The issue date is placed on the lower left of every odd-numbered page and on the lower right of every even-numbered page (as illustrated in this manual chapter).

07.10 <u>Document Number</u>. The document number is put at the bottom of the second and all subsequent pages of a document at the bottom right of odd-numbered pages and at the bottom left of even-numbered pages. Revisions of manual documents have the same number as the original document. New manual documents use Xs for the document number (IP XXXXX) and for the issue date (XX/XX/XX). The IRIB Manual Coordinator will assign and add the number and the date after the document is approved.

07.11 <u>Technical Editing</u>. All new or substantially revised manual documents should be reviewed by an Agency technical editor.

END

Exhibits:
 1. Document Issuing Form
 2. Example of Comment Resolution Summary
 3. Example of Revision History Page
 4. Example of Document Formatting
 5. Format Requirements Checklist

Attachment:
 1. Revision History for IMC 0040

EXHIBIT 1

INSPECTION MANUAL DOCUMENT ISSUING FORM (DIF)

To: Chief, IRIB/NRR

1. Number and Title of Document:

2. Type of Document

☐	Inspection Manual Chapter (IMC)	☐	Inspection Procedure (IP)
☐	Appendix	☐	Temporary Instruction (TI)
☐	Technical Guidance	☐	10 CFR Guidance

3. Type of Action

☐ New document   ☐ Revision   ☐ Deletion

4. ROP Basis

All program documents must conform with Inspection Manual Chapter 0308, "Reactor Oversight Process Basis Document." If changes or revisions alter the scope or basis, appropriate updates to the ROP Basis Document are required to be submitted in parallel for approval with this document.

Does the Program Document require a change to the ROP Basis Document?   ☐ YES   ☐ NO

If Yes, then proposed changes to the ROP Basis Document must be submitted by the program document lead for approval with the program document.

5. Baseline Inspection Procedures

If a new IP is being prepared for the baseline inspection program, give the cornerstone to which it applies, the estimated direct inspection effort (DIE) needed to perform the procedure (with any variations for number of reactor units), and the inspection frequency.

Baseline Program: ☐ Yes   ☐ No   Cornerstone: _____

Frequency of Inspection: _____   (Quarterly, annually, biennially, etc.)

Annual average DIE: _____ 1-unit   _____ 2-unit   _____ 3-unit sites

6. New TIs

If a TI is being issued, state the applicability of the TI (i.e., number of plants, types of plants, or specific plants)

7. Has document been screened for appropriate security requirements?

a. None Required _____   b. Sensitive _____

c. Safeguards _____   d. Official Use Only _____

8. Route to the IRIB Manual Coordinator the following:
1) An electronic and the signed paper copy of the document issuing form.
2) A copy of the ADAMS Document Submission form (Form 665) and paper copy of the comment resolution summary
3) A paper copy of the final document to be issued including any graphics or exhibits.
4) A copy of the ADAMS Document Submission form for the final version of the document.

9. List any feedback forms associated with this document revision:

10. Approval Signatures (Print AND Signature/ Organization)

a.   d.

| Originator | Date | IRIB Manual Coordinator | Date |

b.   e.

| Originator's Supervisor | Date | Deputy Director, DIRS | Date |

c.   f.

NMSS/ NSIR Responsible Manager Date
(NMSS/ NSIR programs as applicable)

11.   Change notice number and issue date: _____

END

EXHIBIT 1 (Continued)

GUIDELINES FOR THE USE OF EXHIBIT 1*

Responsible Party	Action
ORIGINATOR	Completes the document issuing form. Forwards it with final document and summary of comment resolution to originator's section chief or branch chief.
ORIGINATOR'S SECTION CHIEF	Reviews for approval, signs form, and forwards to next level of review or to the IRIB Manual Coordinator.
NMSS RESPONSIBLE MANAGER	Approves for issue documents associated with programs under their cognizance.
IRIB/NRR MANUAL COORDINATOR	Reviews document for agreement with IMC 0040 requirements, administrative requirements, and technical content. Resolves problems with the originator or originator's supervisor and if necessary, returns document for further processing. Prepares change notice and assigns numbers to new documents (manual chapters, inspection procedures, temporary instructions).
DIRS/NRR DEPUTY DIRECTOR	Approves all documents before they are issued.

*Note: A document issuing form is required for every document issued.

EXHIBIT 2
Example of Comment Resolution Summary

RESOLUTION OF COMMENTS FOR
IMC XXXX (Date)

Source	Comment	Added	Remarks
R-I	The first comment is stated or paraphrased.	Yes	No remarks necessary if comment incorporated in full.
R-I	Second comment is stated or paraphrased.	No	Explain why comment not incorporated into program document.
R-II	No comments		
R-III	Xxxx xxxxx xxxx xxx xx.	Yes	Explain why if comment only partially incorporated.
R-IV	Xxx xxxxx xxx xxxx.	Yes	
NMSS	Xxxx xxxx xxxxx xx.	Yes	

Exhibit 3
Example of Revision History Sheet

Commitment Tracking Number	Issue Date	Description of Change	Training Needed	Training Completion Date	Comment Resolution Accession Number
C-1 Reference: Generic Letter (GL) 04-01	6/16/04	Incorporate comments of GL 04-01	Web-based training for all power reactor inspectors	4/20/04	N/A
N/A	11/18/04	Editorial changes	None	N/A	N/A
N/A	3/17/06	Editorial changes. Completed 4 year historical CN search	None	N/A	ML 060905000

EXHIBIT 4

EXAMPLE OF DOCUMENT FORMATTING

NRC INSPECTION MANUAL ABCD

MANUAL CHAPTER XXXX

TITLE (All CAPS)

XXXX-01   PURPOSE (All CAPS starting at third tab)

Two spaces dividing each section. One space dividing paragraphs and subsections.

XXXX-02   OBJECTIVE(S) (OR POLICY)

Sections may be subdivided and paragraphed as follows (do not use 02.01 unless there is an 02.02):

02.01   Subsections. Numbered consecutively. Titles are underlined with a period at the end. Further subdivisions formatted and numbered as shown below.

   a.   Xxxxxxxx xxxxxx xxxx xxxxxxxxxx x xxxxxxx xxxxxxx xxxx xxxxx xxxxxx xxxx x xxxxxxx x xxx xxx.

      1.   Xxxxxxxxx x xxx x xxxxx xxxxxxxxxx xxxx xxxxxxxxxx xxxxxxxxx x xxxxxxx xxxxx   xxxx xxxx.

         (a)   Xxx xxxxxx xxxx xxxxxxxxx xxxxx xxxxx xxxxxxxx xxxxxxxx xxxxx xxxxxxx xxxx xxxxxx xxx.

            (1)   Xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx.

02.02   Xxxxxxxxxxxxxxxxxx. Xxx xxxx x xxxxxxx xxxxx xxxxxxxx xxxxxxxxx x xxxx xxxxxx xx xxxx.

EXHIBIT 5

FORMAT REQUIREMENTS CHECKLIST

☐ Confirm page margins are established as follows:

    ☐ First page top margin at 0.50"
    ☐ All following top page margins at 0.75"
    ☐ Bottom page margin for all pages at 0.50"
    ☐ Left and right page margins at 1.0"

☐ Confirm tab setting established at the following locations:

    ☐ 1.19", 1.56", 2.00", 2.44", 2.88", 3.25", 3.69", 4.13", 4.50", 4.94", 5.38", 5.81", 6.19", 6.63", 7.06"

The tab settings can be established by performing the following:

    • Pull down the Format menu
    • Highlight Line and select Tab Set
    • Click on Clear All
    • Confirm Tab Type is "left"
    • Set Tab Position at 0.170" selected from left margin (relative)
    • Click box to select "repeat every" feature and change value to 0.420"

☐ Confirm document type on Title page is all CAPS selected to Universal Bold font size 19

☐ Confirm organization code on same line as document type is selected to Arial 10 font

☐ Confirm document title is all CAPS selected to Arial 12 font

☐ Confirm horizontal graphics line above and below document title line (6.50" length)

☐ Confirm Font throughout main body of document is Arial 12

☐ Confirm Justification is selected to Full

☐ Confirm footers set as follows:

Page 1 Footer:
    ☐ "Issue Date: XX/XX/XX" set flushed left
    ☐ "(Document number)" set flushed right
    ☐ Footer placement set for odd numbered pages

Page 2 Footer:
- ☐ "(Document number)" set flushed left
- ☐ "Issue Date: XX/XX/XX" set flushed right
- ☐ Footer placement set for even numbered pages

Footers for Appendices, Exhibits, etc:
- ☐ For each attachment, set page number value to page 1 and treat as a new Page 1 Footer described above. The document number shall also include the title of the attachment. For example: "0040 Exhibit 5"

☐ Official Use Only Document Headers/ Footers:
- ☐ Official Use Only documents shall have the words "Official Use Only centered at the uppermost and lowermost margin of all applicable pages.

☐ Page numbering shall be accomplished in the following manner and not as part of a footer to prevent formatting discrepancies. Confirm page numbering is established by performing the following:

- • Pull down the Format menu
- • Highlight Page and select Numbering...
- • Set Position to be Bottom Center
- • Select the desired format as applicable

☐ Remove unnecessary WordPerfect codes (such as spaces, tabs, delay codes, etc) from document as required.

☐ For Inspection Manual Chapters, confirm Table of Contents at beginning of document using WordPerfect Table of Contents feature. Update as required for document revisions.

ATTACHMENT 1

Revision History for IMC 0040

Commitment Tracking Number	Issue Date	Description of Change	Training Required	Training Completion Date	Comment Resolution Accession Number
C1 Reference: Davis-Besse Lessons Learned Task Force Item 3.1.2(3) and Problem Identification Form 2005-008	02/02/04	Revised to ensure that revisions of inspection procedures do not inadvertently delete inspection requirements that were added as a result of an event or occurrence that had generic applicability.	None	N/A	N/A
	XX/XX/05	Complete rewrite of document structure, add requirement for revision history page, minor revision to DIF. Completed 4 year historical CN search	None	N/A	ML 053210329