

NRC INSPECTION MANUAL

IRIB

MANUAL CHAPTER 0040

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

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0040-01 PURPOSE

01.01 Inspection Manual Chapter 0040 establishes the basic requirements and format for preparing and obtaining comments on the NRC Inspection Manual (Manual) documents, including Manual chapters, inspection procedures, guidance regarding the NRC regulations in Title 10 of the Code of Federal Regulations (10 CFR), technical guidance, and temporary instructions.

01.02 Instructions are provided on how to prepare appendixes, tables, figures, and other material for Manual documents.

01.03 Responsibilities and authorities for preparing, issuing, and revising documents for the Manual are specified.

01.04 Processes are established to prepare, revise, and issue Manual documents, including those used by the various NRC Offices that conduct inspection programs—the Office of New Reactors (NRO), the Office of Nuclear Reactor Regulation (NRR), the Office of Nuclear Material Safety and Safeguards (NMSS), the Office of Federal and State Materials and Environmental Management Programs (FSME), and the Office of Nuclear Security and Incident Response (NSIR).

0040-02 OBJECTIVES

02.01 To help managers and writers plan and develop clear, accurate, and effective Manual documents.

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

0040-03 DEFINITIONS

03.01 General

- a. Program 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 (e.g., Manual chapters, inspection procedures, guidance).
- c. Document Issuing Form. A form required to initiate creation or revision of a program document.
- d. Originating Organization. The NRC program office, division, or branch responsible for the creation and modification of a program document.

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 the objectives, requirements, and specific guidance for inspection activities, which are focused on safety, security or safeguards.
- c. Temporary Instruction (TI). A temporary inspection procedure, focused on current safety issues or concerns. TIs are issued to supplement an inspection program and generally are placed in effect for 12 months, but not longer than 24 months.
- d. Change Notice (CN). A sequentially numbered and dated transmittal document that lists new, revised, and/or deleted program documents; distributes new and revised program documents; and includes a "Remarks" section that summarizes the reasons for issuing, revising, or deleting a document. Any required special training identified in an IP or TI is also stated.
- e. Technical Guidance. A program document issued to provide specific guidance to address a particular technical question that is associated with 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 for Inspection Manual Documents

- a. Table of Contents. The introductory outline of the Manual's structure and numerical listing of the Manual's active program documents.
- b. Attachment. Material that is relevant to a document but is too detailed or extensive to be practically included directly in the body of the document. Attachments generally are in the form of a numbered table, exhibit, figure, appendix, etc.

0040-04 RESPONSIBILITIES AND AUTHORITIES

04.01 Originating Organization. Following are responsibilities of the originating organization.

- a. Develops and revises program documents necessary to carry out assigned organizational programmatic responsibilities. NRR will ensure that all Reactor Oversight Process (ROP) program documents conform with IMC 0308, "Reactor Oversight Process Basis Document," as applicable. NMSS and FSME will ensure that the Policy and Procedure (P&P) Letter 1-76 is implemented.
- b. Performs tasks consistent with internal office guidance, such as preparing memoranda, to obtain comments on proposed new and revised program documents from other organizations and stakeholders.
 - 1. ROP program documents require the approval of the Branch Chief of the Reactor Inspection Branch (IRIB) or the Performance Assessment Branch (IPAB), as applicable.
 - 2. Non-ROP program documents from NRR, NRO, NMSS, FSME, or NSIR require the approval of the director of the division responsible for the inspection program.

- c. Performs comment resolution and creates a comment resolution summary page for each program document.
- d. Identifies training needs associated with performing new or revised procedures required in an IP or a TI, as described in subsection 06.01 of this IMC.
- e. Obtains the necessary approval for any increase in the Full Time Equivalent (FTE) inspection effort specified in a program document.
- f. Informs inspectors of pending procedure change and ensures training is provided before the procedure is issued.
- g. Prepares and routes final drafts of newly created or modified program documents to the originating organization's Inspection Manual (IM) Coordinator when ready for issuance, in accordance with applicable internal office guidance.
- h. Ensures that a TI is managed by: providing guidance for follow-up and closure of the TI, including specific regional responsibilities; clearly distinguishing mandatory requirements; reviewing and analyzing TI results, giving feedback to the appropriate managers, as necessary; determining whether additional inspection is needed as follow-up to the TI; and submitting the document issuing form (Exhibit 1A, 1B, 1C, or ID) to the IM Coordinator of the originating office when initiating or deleting the TI.
- i. Conducts a review of each of its program documents to determine whether it should be revised or deleted.

04.02 For ROP (Reactor Inspection Programs)

- a. Director, Division of Inspection and Regional Support (DIRS). Coordinates inspection policies, programs, and guidance for nuclear reactors.
- b. Deputy Director, DIRS:
 - 1. Reviews regional best practices and initiatives for possible incorporation into the reactor inspection program.
 - 2. Ensures that all ROP program documents conform with IMC 0308, "Reactor Oversight Process Basis Document."
 - 3. Approves content of ROP documents necessary to carry out assigned program functions.
 - 4. Confirms ROP document meets requirements of this Manual chapter prior to signing the document issuing form (Exhibit 1A).

04.03 For Non-ROP (NRR, NRO, NMSS, FSME, and NSIR)

- a. NMSS appoints NMSS Inspection Manual Coordinator.
- b. FSME appoints FSME Inspection Manual Coordinator.
- c. NSIR appoints NSIR Inspection Manual Coordinator.
- d. NRO appoints NRO Inspection Manual Coordinator.

- e. Non-ROP Inspection Programs Deputy Director:
 - 1. Deputy director or designee approves content of documents necessary to carry out assigned program functions.
 - 2. Confirms document meets requirements of this Manual chapter prior to signing the document issuing form (Exhibit 1A, 1B,1C, or 1D).
 - 3. Approves and signs requests for comments on program documents in accordance with applicable office guidance.

04.04 Inspection Manual Coordinators, (NRO, NMSS, FSME, and NSIR)

- a. Ensure that the appropriate inspection program organizations, NRC regional offices, and other affected NRC offices are given the opportunity to comment on documents affecting their programs.
- b. Verify that the requirements of this Manual chapter are met in the preparation and approval of program documents.
- c. Ensure that the policies and procedures outlined in their office's internal guidance (e.g., P&P Letter 1-76 for NMSS and FSME) have been followed.
- d. Track the progress of draft program documents submitted to them for issuance and make the status of submitted documents available to those who submitted them, from the date of submission to the date of issuance.
- e. Accept final drafts of newly created or modified documents prepared by the originating office for submission to the NRR Manual Coordinator for final processing and issuance.

04.05 NRR Inspection Manual Coordinator

- a. Performs the same tasks as the other IM Coordinators, as described above, and in addition:
- b. Accepts final drafts of newly created or modified program documents from IM Coordinators of other offices, for issuance in the Manual. No documents should be accepted from any individual other than an IM Coordinator identified in advance by the originating office's management.
- c. Returns final drafts of program documents to the IM Coordinators of originating offices other than NRR, when further changes are required.
- d. Ensures that all format and other requirements have been met for final drafts of program documents. For program documents originating from offices other than NRR, the approvals of the office and division management will be accepted with respect to content.
- e. Assures availability of inspection program documents through the NRC's Agency wide Documents Access and Management System (ADAMS) and the NRC Web site.
- f. Updates the Inspection Procedure Authority File of NRR's Reactor Program System (RPS/IPAS).

- g. Tracks the progress of draft program documents and makes the status of submitted documents available to the IM Coordinators who submitted them, from the date of submission to the date of issuance.

0040-05 GENERAL INSTRUCTIONS 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 IMC 0308 should be written and provided to the IMC 308 owner for incorporation into the next issuance of IMC 0308, which will occur approximately every year.

Consider the impact that changes in a particular Manual document (e.g., IMC, IP, TI) will have on other Manual documents. Contact the originating office of the affected Manual document(s) and coordinate further changes that are essential to maintaining consistency within the Manual.

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 unless they are defined or explained. (Most of the program 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. Also refer to Webster's dictionary (latest edition).
- 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. An example is 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 supplemental, non-critical information.

05.02 Program Document Requirements. All drafts and final documents shall be prepared in the current version of NRC's prescribed word processor (WordPerfect or Word), be consistent with this IMC Format, and be stored in ADAMS.

- a. On the first line, centered, capitalized, and in Arial 19-point bold font, the words NRC Inspection Manual shall be entered; and flush with the right margin, the organizational code in Arial 10-point front, entered.
- b. The main body and the footer must be in Arial font 12-point, fully justified. Do not use bold, italic, shadow, or other appearances. Underline may be used for emphasis. The only exceptions are charts and graphs that may appear in the main body, and commitments, which are required to be in italics.
- c. All footers shall be the same throughout the entire document with the following format: the issue date at the left margin and the document number at the right margin. Page numbers should be located at the bottom center of each page, and numbering should restart with each new component: the body of the document with numbers alone; and exhibits, tables and attachments with a designating letter and number (e.g., the third page of Exhibit 4 as E4-3). Format requirements listed in Exhibit 5 for tab settings, margins, horizontal graphics line, footers, and page numbering, must be followed.
- d. The last page(s) of a program document should list the revision history (see section 06.06 of this IMC) to include: a brief description of the scope of the revision; training required as a result of the change; the date the training was completed; ADAMS accession number for comment resolution summary, and commitment tracking identification numbers specific to the document (see Exhibit 3).
- e. The Manual document must be placed in ADAMS. The originator should ensure version control when revising and creating Manual documents by using the ADAMS check-out and check-in procedures and other version control techniques for exclusive use of official copies from ADAMS.
- f. All new or substantially revised manual documents should be reviewed by an Agency technical editor.

05.03 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 (using the redline method of the word processing program) of the document next to the revision. 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 Revision History page as described in section 06.06 of this IMC.

05.04 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). Reference to another section of the same document should include a phrase such as 'subsection 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 6.03 of this IMC. Commitments must also be included under the commitment section of the Revision History Page.

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

05.06 Requests for Guidance, Revisions, and New Documents.

- a. Requests for guidance, new documents, 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, new documents, and revisions to 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 manager in NRO, NMSS, FSME, or NSIR.

0040-06 DOCUMENT PREPARATION AND PROCESSING

06.01 Training Considerations. When planning to revise an existing document or create a new document, assess the need for inspectors to be trained. This determination should consider whether written guidance already exists, the complexity of the activity, and the frequency in which the staff performs the activity. In general, training should be developed for activities that require a new skill, are complex in nature, or require a subject matter expert to answer questions. When training is required, the originating organization is responsible for developing the technical content and determining the most appropriate training method. Training methods include updating written guidance, conducting a teleconference or video conference, recording the training on video tape, developing computer or Web-based training, adding self-study or on-the-job training standards to existing qualification requirements, or conducting regional presentations. The selection of the training method should consider the time needed for all affected staff to complete the training, since the new or revised document should not be issued until training is complete.

06.02 Document Preparation. Develop a new document in the current version of NRC's designated word processing software, using the structure and format requirements, as applicable, contained in this Manual chapter.

Use the current official Manual document as the starting point for a revised Manual document. Retrieve the word processing version of the document from the NRC Web site and save it as a separate working file. To retrieve most recent version, follow these steps: go to the NRC internal home page, click on: (1) Organization, (2) then click on NRR, (3) then click on DIRS (in the Division pull-down menu), (4) then click on Inspection Manual Chapter (in the left menu), and (5) click on the ZIP link next to the applicable document. When the ZIP file is opened, the required document will be available in word processing format.

06.03 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). When adding the commitments of a generic requirement to a Manual 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 not use italic text type in a program document for emphasis. Spacing before and after 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. [CX]

NRR only:

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. Change Notices are located on the external NRC Web Page. [C1]

- b. To delete a generic requirement that is no longer valid, the approval of the respective division director is required.

06.04 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. Documents that will have an effect on more than one office, i.e., NRO, NMSS, FSME and NSIR, need to be routed through the appropriate IM Coordinators to ensure affected divisions and regions have had the opportunity to comment on the document. IM Coordinators in NRO, NMSS, FSME, and NSIR should follow the appropriate internal office guidance (e.g., P&P Letter 1-76). Each office's IM Coordinator shall ensure comments from regional offices and other internal stakeholders of the document have been 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 NRR Manual Coordinator prepares the memorandum requesting comments for signature by the Branch Chief of IRIB or IPAB, as applicable. The memorandum requests that comments be sent directly to the technical person, with a copy to the NRR Manual Coordinator.

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 become burdensome on their workload. Minor, non-substantive changes do not need to be sent to the regions for comment. In those cases, the comment resolution table is marked N/A. Determine if a document must be sent to the region by answering the following questions:

- a. Will the proposed document affect regional resources?
- b. Will the document significantly affect regional programs?
- c. Is a regional perspective really needed?
- d. Are the regions interested in the subject?
- e. 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 other affected offices for comments.

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

- a. Send only final drafts.
- b. Identify a technical person in the originating office who 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.
- d. For NRR program documents, address the memorandum requesting comments on the document(s) to the DRP Division Director and Deputy and the DRS Division Director and Deputy. The memorandum should also indicate that a copy will be sent to the Deputy Regional Administrator and a cognizant regional branch chief.
- 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.

06.05 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. 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. (See Exhibit 2 for an example of a comment resolution summary.)

06.06 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 NRR 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.

Note: The revision history page identifies certain commitments. In addition to being used as a mechanism for knowledge transfer and to generate the Change Notice, it also is a way to quickly identify why the document was created or modified and the last time it was reviewed. Documents not containing a revision history page will be returned to the originator for correction.

06.07 Document Issuing Package. It is the responsibility of the IM Coordinator of the originating office to ensure that all documents are correctly formatted prior to routing to the NRR Manual Coordinator. Exhibits 4 and 5 shall be used to meet this requirement. Documents failing to adhere to the guidelines provided in these exhibits will be returned to the IM Coordinator of the originating office, and then to the originator for correction, which will result in a delay in issuing the document.

Before routing the document(s) to its IM Coordinator, the originating organization shall enter the final document(s) into ADAMS and prepare a document issuing package. The document(s) and the comment resolution summary shall be entered in the ADAMS profile as non-publicly available. All program documents shall be entered into a single ADAMS package. Since the comment resolution summary will not be made publicly available, it should be entered into ADAMS separately. Owner rights to the final document(s) shall be granted to the originating office IM Coordinator and the NRR Manual Coordinator. A complete document issuing package consists of the following:

- a. An electronic copy of the final version of the document to be issued, accompanied by a signed paper copy of the document issuing form (Exhibit 1A, 1B, or 1C or 1D.)

If more than one office provides input to creating or revising a document, additional signature lines may be added to the document issuing form.

- b. A paper copy of the comment resolution summary (see Exhibit 2) and a paper copy of the final version of the document to be issued, including color copies of any graphics or exhibits that are intended to be shown in color.
- c. A completed ADAMS Document Submission Form (Form 665P) for the package that will include the final document(s) to be issued and the comment resolution summary. It is required that a Sensitive Unclassified Non-Safeguards Information (SUNSI) review be complete before a Manual document be issued; and the words, 'SUNSI Review Complete' are required in the keyword field of the ADAMS profile.

06.08 Manual Coordinator's Review. The originating organization of any NRO, NMSS, FSME, or NSIR document shall route all document packages to the respective office's IM Coordinator for review. Upon satisfactory review, the originating office's IM Coordinator then shall submit the document to the NRR Manual Coordinator. NRR documents are routed directly to the NRR Manual Coordinator. Documents submitted to the NRR Manual Coordinator that are not ready for issuance will be returned to the IM Coordinator of the originating office for corrections as required, which will result in a delay in issuing the documents. The NRR Manual Coordinator reviews the document for publication.

06.09 Final Approval. Final approval for inclusion in the Manual is given by the deputy director of the originating office. Upon final approval, the NRR Manual Coordinator shall notify the IM Coordinator of the originating office, either through an automated system or normal e-mail. The NRR Manual Coordinator will also publish the change notice on the NRC Web site.

06.10 Standard Distribution of Manual Documents. New and revised Manual documents are distributed by publication of a change notice. IM Coordinators outside of NRR shall ensure that the document gets the widest dissemination necessary in accordance with internal office policy.

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 is not required if this information is already covered in Section 01.
- d. Section 03, "Applicability". Identifies the type of facilities, operations, actions, or population for which the IMC is applicable. The applicability section is optional.
- e. Section 04, "Definitions". A definition is only necessary if the term is used in a special sense or the meaning may not be clear to the user.

- f. Section 05, “Responsibilities and Authorities”. Provides a brief description of ownerships arranged from higher to lower levels of authorities.
- g. Section 06, “Requirements”. This section is used to provide the specific instructions of the Manual chapter. Additional sections can be used beyond 06 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 the 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 individual 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 ROP (see IMC 2515).

- f. Section 06, “Procedure Completion”. Defines the minimum sample size to be inspected and reported in the Reactor Program Systems (RPS) in order to consider the procedure complete. Describes what is meant by inspection sample(s) and how samples are counted.

07.03 Temporary Instructions (TIs). A TI has the same force as an IP but is used for a once-only or initial inspection of a significant 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 1A, 1B, 1C, or 1D) and a memorandum to IRIB justifying the re-issuance. TIs are the only Manual document that use revision numbers. Revisions of other Manual documents are indicated only by the new issue date.

- a. Section 01, “Objectives”. 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. Section 02, “Applicability”. This section states which or how many facilities (e.g., two in each region) will be inspected using the TI.
- c. Section 03, “Background”. This section explains the reasons for issuing the TI. Include in this section any references that may be useful to the inspector.
- d. Section 04, “Inspection Requirements”. 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. Section 05, “Reporting Requirements”. 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 (e.g., IPE code) 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 in the TI, and estimates 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, NRO, NMSS, FSME or NSIR as required for non-ROP programs within 90 days of the expiration date of the TI.

When the stated purpose of the TI has been accomplished, the originating organization will delete the TI by submitting a document issuing form (Exhibit 1A, 1B, 1C, or 1D) to the IM coordinator.

- k. Section 11, "References". Lists documents that will be immediately helpful to the inspector in performing the TI. 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 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. Appendices 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. Background. Provides necessary information to understand the guidance of the appendix, as well as its context.
- c. Discussion. Provide necessary detailed information for the appendix.

07.06 Table. 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 Figure. 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, Office of Administration, is available to prepare figures.

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

07.09 Issue Date. The issue date is on each page of the document in the form XX/XX/XX. The actual date will be entered by the NRR Manual Coordinator before the document is issued. The issue date is placed at the lower left of the second and all subsequent document pages (as illustrated in this manual chapter).

07.10 Document Number. The document number is put at the bottom right of the second and all subsequent document 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 the issue date (XX/XX/XX). The NRR Manual Coordinator will assign and add the number and the date after the document is approved.

END

Exhibits:

1. Document Issuing Forms, , 1A, 1B, 1C, 1D
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 1A

NRR DOCUMENT ISSUING FORM (DIF)

To: NRR Manual Coordinator

1. Number and Title of Document:

2. ADAMS accession number:

3. Type of Document

Inspection Manual Chapter (IMC)
 Appendix
 Technical Guidance

Inspection Procedure (IP)
 Temporary Instruction (TI)
 10 CFR Guidance

4. Type of Action

New document

Revision

Deletion

5. ROP Basis

All program documents must conform with Inspection Manual Chapter 0308, "Reactor Oversight Process Basis Document."

Does the Program Document require a change to the ROP Basis Document?

YES

NO

If Yes, then proposed changes must be attached and submitted to the owner of IMC 0308, who will, within approximately one year from the date of submission, incorporate the revisions into IMC 0308.

6. 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

7. 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)

8. Document Sensitivity

- Safeguards Information
- Security-Related SUNSI
- Other SUNSI
- Not Sensitive

9. Route the following to the NRR Manual Coordinator:

- a. An electronic copy of the final version of the document to be issued; accompanied by a signed paper copy of the document issuing form.
- b. A paper copy of the comment resolution summary (see Exhibit 2), and a paper copy of the final version of the document to be issued, including color copies of any graphics or exhibits that are intended to be shown in color.
- c. A completed ADAMS Document Submission Form (Form 665P) for the package that will include the final document to be issued and the comment resolution summary.

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

11. Is training needed? YES NO

If "YES." Provide the type of training and date of completion: _____

12. Approval Signatures (Print AND Signature/ Organization)

a.		c.	
Originator	Date	NRR Manual Coordinator	Date
b.		d.	
Originator's Supervisor	Date	Deputy Director, DIRS	Date

Note: When placing the document into ADAMS, ensure that the NRR Inspection Manual Coordinator has "Owner" rights to the document.

END

EXHIBIT 1A (Continued)

GUIDELINES FOR THE USE OF EXHIBIT 1A*

Responsible Party	<u>Action</u>
ORIGINATOR	Completes the document issuing form. Forwards it with final document and summary of comment resolution to the originator's Supervisor
ORIGINATOR'S SUPERVISOR	Reviews for approval, signs form, and forwards to next level of review.
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 for issue documents associated with programs under their cognizance.

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

EXHIBIT 1B

FSME DOCUMENT ISSUING FORM (DIF)

To: NRR Manual Coordinator

1. Number and Title of Document:

2. Type of Document

<input type="checkbox"/>	Inspection Manual Chapter (IMC)	<input type="checkbox"/>	Inspection Procedure (IP)	
<input type="checkbox"/>	Appendix	<input type="checkbox"/>	Temporary Instruction (TI)	
<input type="checkbox"/>	Technical Guidance	<input type="checkbox"/>	10 CFR Guidance	

3. Type of Action

<input type="checkbox"/>	New document	<input type="checkbox"/>	Revision	<input type="checkbox"/>	Deletion	
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4. New TIs

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

5. Document Sensitivity

Safeguards Information
 Security-Related SUNSI
 Other SUNSI
 Not Sensitive

6. Route the following to the FSME Manual Coordinator:

- a. An electronic copy of the final version of the document to be issued; accompanied by a signed paper copy of the document issuing form.
- b. A paper copy of the comment resolution summary (see Exhibit 2), and a paper copy of the final version of the document to be issued, including color copies of any graphics or exhibits that are intended to be shown in color.
- c. A completed ADAMS Document Submission Form (Form 665P) for the package that will include the final document to be issued and the comment resolution summary.

7. Is training needed? YES NO

If "YES." Provide the type of training and date of completion: _____

8 Approval Signatures (Print AND Signature/ Organization)

a.

Originator _____ Date _____

d.

FSME Manual Coordinator _____ Date _____

b.

Originator's Supervisor _____ Date _____

e.

NRR Manual Coordinator _____ Date _____

c.

Deputy Director, FSME Date _____

9. ADAMS Accession Number: _____

Note: When placing the document into ADAMS, ensure that the FSME and NRR Inspection Manual Coordinators are given "Owner" rights to the document.

END

EXHIBIT 1B (Continued)

GUIDELINES FOR THE USE OF EXHIBIT 1B*

<u>Responsible Party</u>	<u>Action</u>
ORIGINATOR	Completes the document issuing form. Forwards it with final document and summary of comment resolution to the Originator's supervisor.
ORIGINATOR'S SUPERVISOR	Reviews for approval, signs form, and forwards to next level of review.
FSME DEPUTY DIRECTOR	Approves for issue documents associated with programs under their cognizance.
FSME INSPECTION MANUAL COORDINATOR	Reviews document for agreement with IMC 0040 requirements, administrative requirements and forwards to the NRR Manual Coordinator.
NRR INSPECTION 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).

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

EXHIBIT 1C

NMSS DOCUMENT ISSUING FORM (DIF)

To: NRR Manual Coordinator

1. Number and Title of Document:

2. Type of Document

<input type="checkbox"/>	Inspection Manual Chapter (IMC)	<input type="checkbox"/>	Inspection Procedure (IP)	
<input type="checkbox"/>	Appendix	<input type="checkbox"/>	Temporary Instruction (TI)	
<input type="checkbox"/>	Technical Guidance	<input type="checkbox"/>	10 CFR Guidance	

3. Type of Action

<input type="checkbox"/>	New document	<input type="checkbox"/>	Revision	<input type="checkbox"/>	Deletion	
--------------------------	--------------	--------------------------	----------	--------------------------	----------	--

4. New TIs

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

5. Document Sensitivity

Safeguards Information
 Security-Related SUNSI
 Other SUNSI
 Not Sensitive

6. Route the following to the NMSS Manual Coordinator:

- a. An electronic copy of the final version of the document to be issued; accompanied by a signed paper copy of the document issuing form.
- b. A paper copy of the comment resolution summary (see Exhibit 2), and a paper copy of the final version of the document to be issued, including color copies of any graphics or exhibits that are intended to be shown in color.
- c. A completed ADAMS Document Submission Form (Form 665P) for the package that will include the final document to be issued and the comment resolution summary.

7. Is training needed? ___ YES ___ NO

If "YES." Provide the type of training and date of completion: _____

8. Approval Signatures (Print AND Signature/ Organization)

a.		d.	
Originator	Date	NMSS Manual Coordinator	Date
b.		e.	
Originator's Supervisor	Date	NRR Manual Coordinator	Date
c.			
Deputy Director, NMSS	Date		

9. ADAMS Accession Number: _____

Note: When placing the document into ADAMS, ensure that the NMSS and NRR Inspection Manual Coordinators are given "Owner" rights to the document.

END

EXHIBIT 1C (Continued)

GUIDELINES FOR THE USE OF EXHIBIT 1C*

Responsible Party	<u>Action</u>
ORIGINATOR	Completes the document issuing form. Forwards it with final document and summary of comment resolution to the originator's supervisor.
ORIGINATOR'S SUPERVISOR	Reviews for approval, signs form, and forwards to next level of review.
NMSS DEPUTY DIRECTOR	Approves for issue documents associated with programs under their cognizance.
NMSS INSPECTION MANUAL COORDINATOR	Reviews document for agreement with IMC 0040 requirements, administrative requirements and forwards to the NRR Manual Coordinator.
NRR INSPECTION 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).

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

EXHIBIT 1D

NRO DOCUMENT ISSUING FORM (DIF)

To: NRR Manual Coordinator

1. Number and Title of Document:

2. Type of Document

<input type="checkbox"/>	Inspection Manual Chapter (IMC)	<input type="checkbox"/>	Inspection Procedure (IP)	
<input type="checkbox"/>	Appendix	<input type="checkbox"/>	Temporary Instruction (TI)	
<input type="checkbox"/>	Technical Guidance	<input type="checkbox"/>	10 CFR Guidance	

3. Type of Action

<input type="checkbox"/>	New document	<input type="checkbox"/>	Revision	<input type="checkbox"/>	Deletion	
--------------------------	--------------	--------------------------	----------	--------------------------	----------	--

4. New TIs

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

5. Document Sensitivity

Safeguards Information
 Security-Related SUNSI
 Other SUNSI
 Not Sensitive

6. Route the following to the NRO Manual Coordinator:

- a. An electronic copy of the final version of the document to be issued; accompanied by a signed paper copy of the document issuing form.
- b. A paper copy of the comment resolution summary (see Exhibit 2), and a paper copy of the final version of the document to be issued, including color copies of any graphics or exhibits that are intended to be shown in color.
- c. A completed ADAMS Document Submission Form (Form 665P) for the package that will include the final document to be issued and the comment resolution summary.

7. Is training needed? ___ YES ___ NO

If "YES." Provide the type of training and date of completion: _____

8 Approval Signatures (Print AND Signature/ Organization)

a.		d.	
Originator	Date	NRO Manual Coordinator	Date

b.		e.	
Originator's Supervisor	Date	NRR Manual Coordinator	Date

c.	
Deputy Director, NRO	Date

9. ADAMS Accession Number: _____

Note: When placing the document into ADAMS, ensure that the NRO and NRR Inspection Manual Coordinators are given "Owner" rights to the document.

END

EXHIBIT 1D (Continued)

GUIDELINES FOR THE USE OF EXHIBIT 1D*

<u>Responsible Party</u>	<u>Action</u>
ORIGINATOR	Completes the document issuing form. Forwards it with final document and summary of comment resolution to the Originator's supervisor.
ORIGINATOR'S SUPERVISOR	Reviews for approval, signs form, and forwards to next level of review.
NRO DEPUTY DIRECTOR	Approves for issue documents associated with programs under their cognizance.
NRO INSPECTION MANUAL COORDINATOR	Reviews document for agreement with IMC 0040 requirements, administrative requirements and forwards to the NRR Manual Coordinator.
NRR INSPECTION 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).

*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	...
FSME	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
N/A	3/17/06	Editorial changes. Completed 4 year historical CN search	None	N/A	N/A
N/A	11/18/04	This document has been revised to include feedback from inspectors and also for Editorial changes	None	N/A	N/A
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	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 lines dividing each section. One line 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 XXXXXXXXXXXX X XXXXXXXX XXXXXXXX XXXX XXXXX XXXXXXX XXXX
X XXXXXXXX X XXX XXX.

1. XXXXXXXXXXX X XXX X XXXXX XXXXXXXXXXXX XXXX XXXXXXXXXXXX XXXXXXXXXXXX X XXXXXXXX
XXXXX XXXX XXXX.

(a) Xxx XXXXXX XXXX XXXXXXXXXXXX XXXXX XXXXX XXXXXXXXXXX XXXXXXXXXXX XXXXX
XXXXXXXX XXXX XXXXXXX XXX.

(1) XXX.

02.02 XXXXXXXXXXXXXXXXXXXXX. Xxx xxxx x xxxxxxx xxxxxx xxxxxxxx xxxxxxxx x xxxx xxxxxxx
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 Arial 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 all footers are set as follows:
 - "Issue Date: XX/XX/XX" set flush left
 - "(Document number)" set flush right
- Page Numbers for Appendices, Exhibits, etc:
 - For each attachment, Exhibits, etc., set page number value to page 1 (e.g., A1-1 for Attachment 1).
- Official Use Only Document Headers/ Footers:
 - Official Use Only documents shall have the words follow the SUNSI guidance and place the required wording (e.g., "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
- Remove unnecessary WordPerfect codes (such as spaces, tabs, delay codes, etc) from document as required.
- For 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
N/A	11/28/05	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
N/A	03/05/07 CN 07-008	This document is being revised to update and clarify the processes that will be used to prepare, revise, and issue Manual documents, including processes used by the various NRC offices that conduct inspection.	None	N/A	ML 070570542