

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

| | | |
|---------|---|----|
| 0040-01 | PURPOSE | 1 |
| 0040-02 | OBJECTIVES | 1 |
| 0040-03 | DEFINITIONS | 1 |
| 03.01 | General | 1 |
| 03.02 | Types of Inspection Manual Documents | 2 |
| 03.03 | Support Information for Inspection Manual Documents | 2 |
| 0040-04 | RESPONSIBILITIES AND AUTHORITIES | 2 |
| 04.01 | Originating Organization | 2 |
| 04.02 | For ROP (Reactor Inspection Programs) | 3 |
| 04.03 | For Non-ROP (NRR, NRO, NMSS, FSME, and NSIR) | 4 |
| 04.04 | Inspection Manual Coordinators, (NRO, NMSS, FSME, and NSIR) | 4 |
| 04.05 | NRR Inspection Manual Coordinator | 5 |
| 0040-05 | GENERAL INSTRUCTIONS FOR ALL DOCUMENT TYPES..... | 5 |
| 05.01 | Plain Writing Guidance | 6 |
| 05.02 | Program Document Requirements..... | 6 |
| 05.03 | Revisions to Documents | 7 |
| 05.04 | References | 7 |
| 05.05 | Incorporating Other Documents | 8 |
| 05.06 | Requests for Guidance, Revisions, and New Documents..... | 8 |
| 0040-06 | DOCUMENT PREPARATION AND PROCESSING | 8 |
| 06.01 | Training Considerations | 8 |
| 06.02 | Document Preparation | 8 |
| 06.03 | Incorporating Generic Requirements | 9 |
| 06.04 | Regional and Office Comments | 9 |
| 06.05 | Comment Resolution | 11 |
| 06.06 | Update or Create Revision History Page | 11 |
| 06.07 | Document Issuing Package | 11 |
| 06.08 | Manual Coordinator’s Review | 12 |
| 06.09 | Final Approval..... | 12 |
| 06.10 | Standard Distribution of Manual Documents..... | 12 |
| 0040-07 | DOCUMENT TYPES AND FORMATS | 12 |
| 07.01 | Inspection Manual Chapters (IMCs)..... | 12 |
| 07.02 | Inspection Procedures (IPs)..... | 13 |
| 07.03 | Temporary Instructions (TIs)..... | 14 |
| 07.04 | Technical Guidance and 10 CFR Guidance Documents..... | 16 |
| 07.05 | Appendix..... | 16 |
| 07.06 | Table..... | 16 |
| 07.07 | Figure..... | 16 |
| 07.08 | Exhibit..... | 16 |
| 07.09 | Issue Date..... | 16 |
| 07.10 | Document Number..... | 17 |

Exhibit 1-B – FSME Document Issuing Form (DIF)
Exhibit 1-C – FSME Document Issuing Form (DIF)
Exhibit 1-D – NRO Document Issuing Form (DIF)
Exhibit 2 – Example of Comment Resolution Summary
Exhibit 3 – Example of Revision History Page
Exhibit 4 – Example of Document Formatting
Exhibit 5 – Format Requirements Checklist
Exhibit 6 – Guidance for Using Word
Attachment 1 – Revision History for IMC 0040

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, revision, or deletion 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. An IMC for an inspection program defines the program through a listing of inspection procedures, which is normally appended to the IMC.
- 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 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 to 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 deputy 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 to 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 IMC 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 **director** approves content of documents necessary to carry out assigned program functions.
 - 2. Confirms document meets requirements of this IMC 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 IMC 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 to 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 0308 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, or 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 Microsoft Office Word), be consistent with this IMC Format, and be stored in ADAMS. Through December 31, 2007, Manual documents may be submitted to the NRR Manual Coordinator in either WordPerfect or Word. Beginning January 1, 2008, all documents must be submitted in Word. (Exhibit 6 provides guidance in using Word to prepare Manual documents.)

- a. Format requirements listed in Exhibit 5 for tab settings, margins, horizontal graphics line, footers, and page numbering, must be followed.

- b. On the first line, centered, capitalized, and in Arial 19-point bold font, the words NRC Inspection Manual shall be entered; and **against** the right margin, the organizational code in Arial 10-point font, entered.
- c. The main body and the footer must be in Arial 12-point font, 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 (**see subsection 06.03 of this IMC**).
- d. 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 **table of contents (if any) in lower-case Roman numerals**; the body of the document with **Arabic numbers**; and exhibits, tables and attachments with a designating **prefix (letter or letter/number combination)**, **hyphen**, and number (e.g., the third page of Exhibit 4 as E4-3).
- e. The last page(s) of a program document should list the revision history (see subsection 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).
- f. 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.
- g. 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 (see subsection 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 subsection 06.03 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, "Reactor Oversight Process Feedback Program." 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 IMC.

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 the 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 type of Manual document, 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 to 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 (e.g., [CX]); and the commitment tracking number, added to the revision history page.
- b. To delete a generic requirement that is no longer valid, the approval of the respective division director is required.

For IMC 0040, the following commitment applies:

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]

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 **Feedback Process** (see subsection 05.06 of this IMC).

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 **column of the revision history page** is marked N/A (see subsection 06.06 of this IMC). 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 documents 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 list the accession number on the revision history page. The comment resolution summary should not normally be 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 issue 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.

Before routing the document to its IM Coordinator, the originating organization shall enter the final document into ADAMS and prepare a document issuing package. The document and the comment resolution summary shall be entered into an ADAMS package and profiled as non-publicly available. Owner rights to the final document 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 to be issued and the comment resolution

summary. It is required that a Sensitive Unclassified Non-Safeguards Information (SUNSI) review be completed before a Manual document is 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 correction, as required. The NRR Manual Coordinator reviews the document for publication.

06.09 Final Approval. Final approval of program documents for inclusion in the Manual is given by the deputy director of the originating office. The NRR Manual Coordinator will 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 IMC, a table of contents shall be included to allow the user to make more efficient use of the document. Pages of the Table of Contents shall be numbered with lower-case Roman numerals.
- b. Section 01, "Purpose." Provides a broad statement of the topic covered by the IMC.
- c. Section 02, "Objectives." Used to state the aim of the program or functions covered by the IMC. 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 IMC. 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 as 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). TI requirements are mandatory. A TI has the same force as an IP but is used for a once-only or initial inspection of a significant issue or for 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. 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 documents 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., **Inspection Procedure Authority System (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 to the 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 a 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 IMC, IP, or TI 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. Provide 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 and is placed at the lower left of the page (as illustrated in this IMC). The

issue date is omitted from the first page of an IMC that contains a Table of Contents. The actual date will be entered by the NRR Manual Coordinator before the document is issued.

07.10 Document Number. The document number is put at the bottom right of all pages containing an issue date. Revisions of Manual documents have the same number as the original document. The NRR Manual Coordinator is responsible for assigning numbers for new Manual documents. Office Inspection Manual Coordinators and NRR document originators should request the NRR Manual Coordinator to reserve numbers for new Manual documents before the document issuing package is prepared.

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
6. Guidance for Using Word

Attachment:

Revision History for IMC 0040

Exhibit 1-A – NRR Document Issuing Form (DIF)

To: NRR Manual Coordinator

1. Number and Title of Document: _____

2. ADAMS accession number: _____

3. 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 |

4. Type of Action

- New document Revision Deletion

5. ROP Basis

All program documents must conform to 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 comment resolution summary 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 Manual documents, when appropriate. Signs form and forward to DIRS/NRR Deputy Director. |
| DIRS/NRR DEPUTY DIRECTOR | Approves for issue, all NRR documents. |

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

Exhibit 1-B – FSME Document Issuing Form (DIF)

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

- New document Revision 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 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 comment resolution summary 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. Signs form and forwards to the FSME Manual Coordinator. |
| FSME INSPECTION MANUAL COORDINATOR | Reviews document for agreement with IMC 0040 requirements, administrative requirements, signs form , 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 through communication with the FSME IM Coordinator and, if necessary, returns document for further processing. Prepares change notice and assigns numbers to new Manual documents, when appropriate. |

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

Exhibit 1-C – 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

- New document Revision 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. _____ Originator | _____ Date | d. _____ NMSS Manual Coordinator | _____ Date |
| b. _____ Originator's Supervisor | _____ Date | e. _____ 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 comment resolution summary 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. Signs form and forwards to the NMSS Manual Coordinator. |
| NMSS INSPECTION MANUAL COORDINATOR | Reviews document for agreement with IMC 0040 requirements, administrative requirements, signs form , 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 through communication with the NMSS IM Coordinator and, if necessary, returns document for further processing. Prepares change notice and assigns numbers to new Manual documents, when appropriate. |

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

Exhibit 1-D – 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

- New document Revision 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. _____ NRO Technical Lead | Date | e. _____ CCIB Branch Chief | Date |
|--------------------------------|------|-------------------------------|------|

| | | | |
|-------------------------------|------|----------------------------|------|
| b. _____ CCIB Program Lead | Date | f. _____ Director, DCIP | Date |
|-------------------------------|------|----------------------------|------|

| | | | |
|---|------|------------------------------------|------|
| c. _____ NRO Technical Lead's Supervisor | Date | g. _____ NRR Manual Coordinator | Date |
|---|------|------------------------------------|------|

| | |
|--|------|
| d. _____ NRO Manual Coordinator (CCIB Inspection Procedures Team Leader) | 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> |
|--|---|
| NRO TECHNICAL LEAD | Completes the document issuing form. Forwards it with final document and comment resolution summary to the CCIB Program Lead . |
| CCIB PROGRAM LEAD | Reviews for approval, signs form, and forwards to Technical Lead's Supervisor . |
| NRO TECHNICAL LEAD'S SUPERVISOR | Reviews for approval, signs form, and forwards to the NRO Inspection Manual Coordinator (CCIB Inspection Procedures Team Leader) . |
| NRO INSPECTION MANUAL COORDINATOR (CCIB INSPECTION PROCEDURES TEAM LEADER) | Reviews document for agreement with IMC 0040 requirements, administrative requirements, signs form , and forwards to the CCIB Branch Chief . |
| CCIB BRANCH CHIEF | Reviews for approval, signs form, and forwards to the Director, DCIP . |
| DIRECTOR, DCIP | Approves for issue, NRO documents . Signs form and forwards to the NRR Inspection Manual Coordinator . |
| NRR INSPECTION MANUAL COORDINATOR | Reviews document for agreement with IMC 0040 requirements, administrative requirements, and technical content. Resolves problems through communication with the NRO IM Coordinator and, if necessary, returns document for further processing. Prepares change notice and assigns numbers to new Manual documents, when appropriate . |

*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 Page

| 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 |
| | | | | | |
| | | | | | |
| | | | | | |

NRC INSPECTION MANUAL

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.

b. XXXXXX, "XXXX." XXXXXXXX XXXXXX XXXX XXXXXXXXXXXX X XXXXXXXX XXXXXXXX XXXX XXXXX
XXXXXXXX XXXX X.

1. XXXXXXXXX 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 XXXXXX XXX.

(1) XXXXX XXXXXXXXXXX XXXXXXXXXXXXXXX XXXXXXXXXXX XXXXX XX XXXXXXXXXXXX.

02.02 XXXXXXXXXXXXXXXXXXXX. Xxx XXXX X XXXXXXX XXXXX XXXXXXXXXXX XXXXXXXXXXX X XXXX
XXXXXXXX XX XXXX.

Exhibit 5 – Format Requirements Checklist

Note: Refer to Exhibit 6 for instructions on how to format using Word.

Page one margins:

- Top and bottom margins at 0.50"
- Left and right margins at 1.0"

Margins for following pages:

- Top margin at 0.75"
- Bottom margin at 0.50"
- Left and right margins at 1.0"

Tab settings:

- Relative to left margin: 0.19", 0.56", 1.00", 1.44", 1.88", 2.25", 2.69", 3.13", 3.50", 3.94", 4.38", 5.19", 5.63", 6.06"
- Default tab stops: 0.42"

Page one requirements:

- Line 1: NRC Inspection Manual in all CAPS in bold Arial 19-point font, centered; and originating organization code in Arial 10-point font, against the right margin.

Example:

NRC INSPECTION MANUAL

IRIB

- Line 2: Document title in all CAPS in Arial 12-point font, centered with horizontal line (6.50 inch width) above and below document title.

Example:

MANUAL CHAPTER 0040

- Lines 3 and 4: Blank
- Line 5: Document Name in all CAPS in Arial 12-point font, centered.

Example:

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

Exhibit 5 (Continued)

Body of document:

- 12-point Arial font (including footers)
- Justification set to full

Page numbers:

- When there is a table of contents, do not number the title page before it.
- Number the table of contents with lower-case Roman numerals (i, ii, iii).
- Number the body of the document with Arabic numerals (1, 2, 3).
- Number each new section following the body with its own prefix (e.g., E1 for Exhibit 1, Att1 for Attachment 1), followed by a hyphen, and then an Arabic numeral. Begin renumbering with page 1 for each new section (E1-1, Att1-1).

Footers:

- 'Issue Date: XX/XX/XX' against left margin
- Page number in center
- '(Document Number)' against right margin

Official Use Only Document Headers/ Footers:

- 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.

Table of Contents:

- List titles and page numbers for main body of document
- List section titles without page numbers for remainder of document

Exhibit 6 – Guidance for Using Word

Word does not duplicate all of the functions of WordPerfect. The following new format requirements reflect the capabilities of Word:

- Text that was previously flush at the right (e.g., organizational code on the title page and the document number in the footer) should be displayed as close to the right margin as possible by setting the right-most margin appropriately.
- Entries in the table of contents for the main body of the document shall list titles and page numbers. For attachments that follow the main body, only the titles shall be listed. (See Table of Contents section below for instructions on creating a table of contents.)
- Create a new section each time the page numbering or formatting changes. New sections should be created for the title page, table of contents, main body, and each attachment (using the commands: **Insert/Break/Next Page or Continuous**).

Note: Word commands are in bold font.

First page:

- For 1st line only ('NRC Inspection Manual' and organization code), set left tabs at 1.5" and 6.13." If organizational code is longer than 4 letters, set the second tab closer to the left margin.
- To create the horizontal lines above and below the document title: **View/Toolbars/Drawing/AutoShapes/Lines**. Draw the line with the mouse. Verify that the length is 6.50" by right clicking, then **Format AutoShape/Size** and adjusting the width, if necessary.

Body of document:

- Use styles (**Format/Styles and Formatting**) to create new styles for sections, subsections, etc. Highlight with the mouse similar sections and click on the corresponding style name to apply the selected style to the highlighted text.

Note: In IMC 0040, new styles are created for Lettered, Numbered, Header 01, Header 02, and Appendix Title.

Footers:

- View/Header and Footer**.
- Set tabs from Center alignment at 3.0", 4.0", and 5.96." Longer document numbers will require a smaller right-most tab position.
- Select Arial 12-point font.

Exhibit 6 (Continued)

Margins:

- File/Page Setup.** Enter margins (see Exhibit 5).

Page numbering in Table of Contents and Main Body:

- Insert/Page Numbers/Bottom of Page (Footer), Alignment Center.**
- Click Format to select number format.

Sections after the Main Body (e.g., Attachment, Appendix, Figure, Table):

- Create a new section by inserting a page break (**Insert/Break/Next Page**).
- If the document contains a table of contents:
 - Create and assign a new style (**Format/Styles and Formatting**) for the titles of all sections following the main body.

Note: In IMC 0040, the style Appendix Title was created for titles of all sections following the table of contents.

- Enter the footer as follows:
 - View/Header and Footer** to display Header/Footer toolbar.
 - In the Header and Footer toolbar, select **Page Setup/Layout** and then 'Section start at New Page' and 'Apply to this section.'
 - In the footer, type of the prefix associated with the section immediately before the page number (e.g., E6-).
 - On the main menu: **Insert/Page Numbers/Format**, 'Start at 1.'
 - On Header and Footer toolbar, click on 'Link to Previous,' to remove the link from the previous footer. (This is a toggle switch.)

Table of Contents:

- In the Outline View (**View/Outline**):
 - Assign Level 1 to the sections:
Example: 0040-01 PURPOSE
 - Assign Level 2 to the 1st line of the subsections that are to be listed in the Table of Contents.
Example: 03.01 General
- In the Print Layout View (**View/Print Layout**):
 - Create and assign a style (e.g., Header 01) to the number and name of every section heading at the 1st level.
Example: 0040-01 PURPOSE is assigned the style Header 01 by **Format/Style/New Style/Enter Header 01**. Click and select with the mouse all other 1st level section numbers and names and click on Header 01.
 - In the Print Outline View, select with the mouse, the numbers and titles associated with each of the subsections that are to be listed in the table of contents. Depress ALT + SHIFT + O, and then select Level 2.

Exhibit 6 (Continued)

- Automatically generate the Table of Contents:
 - Click on the page of the document (it should be a separate section) where the Table of Contents is to appear.
 - Insert/Reference/Index and Tables/Table of Contents.**
 - Check only 'Show page numbers' and 'Right align page numbers' and enter show levels: '2,' and 'tab leader:.....'.
 - Click on Options and check 'Styles,' and 'Table Entry Fields,' and enter for the 'TOC level;': Header 01: 1 and Block Text: 2.
 - Click OK to generate Table of Contents.
- To list names of sections following the main body after the Table of Contents:
 - Position the mouse at the end of the generated Table of Contents section.
 - Insert Reference/Index and Tables/Table of Figures.**
 - Uncheck all boxes so that no page numbers will display.
 - Click options and then check boxes 'Style' and 'Table Entry Fields' with the style name assigned to titles of the attachments (e.g., Appendix Title) displayed.
 - Click OK to generate List of Figures without page numbers.
- To change for mat to Arial 12-point font:
 - Select text to be formatted with mouse
 - Format/Font/Select** 'Arial,' 'Regular, and '12.' Uncheck all check boxes.

To display redline:

- Double-click on the TRK button (located left of center on bottom toolbar) to turn on and off redline.
- View Toolbars/Reviewing** to display reviewing toolbar and select in the Show pull-down menu 'Final' and 'Insertions and Deletions.'
- Under **Show Options:**
 - Select Insertions/Color and Changed Lines/Outside Border.
 - To show strikeouts (for documents going out for comment), select Deletions/Color.
 - To not show strikeouts (for final drafts being issued), select Deletions/None.

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 |

| | | | | | |
|-----|-----------------------|--|------|-----|-------------|
| N/A | 06/20/07 CN 07-020 | This document has been revised to establish deadlines for submission of Manual documents in WordPerfect and Word formats; update the Office of New Reactors' document issuing form, pursuant to Feedback Form 0040-1144; and provide greater clarity and incorporate editorial changes in response to Feedback Form 0040-1128. It also serves as a template for a Manual document in Word. | None | N/A | ML071580749 |
| | | | | | |