



U.S. Nuclear Regulatory Commission

**Document Intake and Review Process
Packing Slip Wizard
User's Guide**

Version 1.1

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Document Intake and Review Process (DIRP)	Version: 1.1
Packing Slip Wizard – User's Guide	Date: 10/19/2007

Revision History

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1.0 Introduction

As part of the NRC's efforts to support the Nuclear Energy Institute and their members to streamline the process of submitting license applications, a pilot is being conducted to improve some of the current paper-based processes. To do so, this wizard has been introduced to expedite and simplify the application submission process. This is being done as part of the new document intake and review solution that: 1) enables the NRC's Document Processing Center to rapidly process and profile the electronic COLA submissions, 2) provides a mechanism to ensure the integrity of the submissions, 3) eliminates the need for duplication, 4) provides easy access and navigation of submitted documents.

1.1 Acronyms and Abbreviations

ADAMS	Agencywide Documents Access and Management System
ANO	ADAMS Accession Number
COLA	Combined License Application
DIRP	Document Intake and Review Process
DCD	Design Control Document
DPC	Document Processing Center
EIS	Environmental Impact Statement
ESP	Early Site Permit
ESR	Electronic Submission Revision
FSAR	Final Safety Analysis Report
IT	Information Technology
NRO	Office of New Reactors
NRR	Office of Nuclear Reactor Regulation
OAR	Official Agency Records
Rx	New Reactors
SER	Safety Evaluation Report
SUNSI	Sensitive Unclassified Non-Safeguards Information
XML	Extensible Markup Language

1.2 Purpose

The Packing Slip Wizard is designed to be used by the various industry users who are in the process of preparing and submitting a Design Control Document (DCD) or a Combined License Application (COLA). This Wizard is one of four components that make up the entire system, and generates the XML Packing Slip required as part of these electronic submissions. Each of the Packing Slip Wizard functions is addressed in this guide.

1.3 Key Assumptions

The User must be familiar with the following assumptions in order to effectively utilize this solution:

- The focus of this pilot project is strictly to facilitate the COLA intake and review conducted by NRO. Although the impact on existing processes, procedures and policies will be carefully analyzed, this project's intent is not to replace any existing document processing

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and records management processes.

- The composition of the CD/DVD is described by an XML construct called a Packing Slip, which is generated by this tool and included on the CD/DVD. The format of the Packing Slip has been defined by the NRC and agreed upon by the applicants.

1.4 Definitions

Document	A "Document" is a compound logical entity that consists of multiple PDF files and has a single Document Type and Document identifier (i.e. "Document Number") for profiling into ADAMS. These Files may be organized into "Chapters" and/or "Sections" that are represented by folders and subfolders.
Electronic Submission Revision	For "Electronic Submission Revision" control, when parts of a "Document" are revised, all electronic Files associated with that "Document" are considered a new Electronic Submission Revision (ESR) and need to be re-submitted (i.e. if a chapter of the final safety analysis report (FSAR) is revised, the whole FSAR is now a new ESR and will be re-submitted electronically with some type of revision descriptor for the reviewer). In other words, an individual FSAR Chapter can not be revised and submitted alone - all Files in the FSAR Part must be re-submitted. Please note that this is referred to as Revision # in the Wizard.
File	A single physical "File" (e.g. a PDF file). "Files" are profiled in ADAMS and are organized into folders to represent "Documents". All "Files" belonging to a "Document" will have the same "Document Number" as part of its profile information in ADAMS.
Packing Slip	An XML construct that is included on every "Submission Media" (i.e. CD/DVD), and it describes the contents of the media ("Submission Documents" and "Reference Collections"). The XML "Packing Slip" is the main output of this Wizard tool.
Reference Document	A "Reference Document" is a "Document" that is already loaded in ADAMS as a set of OAR "Files". The submitter references it within the application as a pre-existing "Document". Generally, a "Reference Document" is a large document consisting of hundreds of individual PDF files.
Reference Records Collection	A "Reference Record" is an existing OAR, a single "File" (e.g. a PDF file), that is represented by a single Accession Number (ANO) in ADAMS. The submitter references it within the application as a pre-existing "File" that is already loaded in ADAMS as an OAR.
Submission	The complete collection of all of the "Submission Documents", "Reference Documents", Reference Records, and the "Packing Slip" that are submitted on a "Submission Media" (i.e. CDs/DVDs) by the applicants.

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Submission Document	A new "Submission" of a "Document", either for the first time or new revisions of already submitted "Documents". They are considered new "Documents" to be loaded into ADAMS as OARs. For a COLA, "Documents" are managed as Parts of the COLA (e.g. FSAR). If the content of any "Files" in the "Document" change, all "Files" for that "Document" will be re-submitted as a new "Submission Document" with a new revision number.
Submission Media	The physical digital media (i.e. CD/DVD) on which the "Submission" is stored and submitted to the NRC. A "Submission" may consist of multiple media (CDs/DVDs) volumes.

1.5 Basic Guidelines

Please note the following:

- For COLAs, a "Document" will represent a Part of the application (i.e., FSAR). All the Files associated with a specific Part will be profiled in ADAMS with the same Document Number.
- Each COLA Part is stored in a Top-Level folder which will appear at the root of the CD/DVD.
- Each COLA Part may be made up of chapters and sections that are represented by lower level sub-folders. Eventually these sections and chapters are made up of PDF files that are arranged in the lower level sub-folders.

2.0 Packing Slip and Submissions Overview

At the highest level COLA or DCD submissions will be composed of:

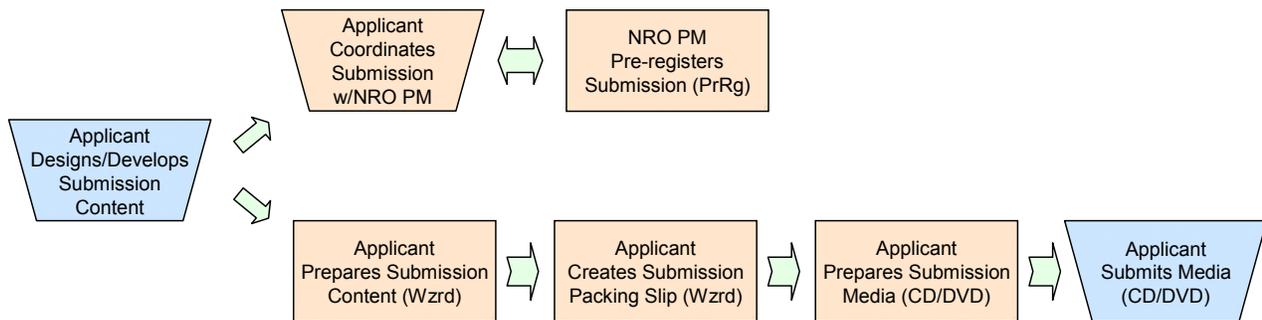
- "Submission Documents", and
- Reference Documents
- Reference Records

The Packing Slip will describe the composition of the submission (i.e. identifies in detail the "Submission Documents" and "Reference Documents" included).

2.1 Submission Process Flow

The following diagram represents the typical steps a User would follow to complete an application Submission.

Submission Process



2.2 Submission Revisions

“Submission Documents” are either being submitted for the first time or they are being revised. Therefore they have a “Revision #” associated with them. This is what we call “Electronic Submission Revision” or ESR. A COLA “Submission” may include Parts with different ESR.

“Submission Number” refers to the version of the CD/DVD as a whole, whereas ESR (Revision #) refers to the revision of the COLA Part.

Once Files have been loaded into ADAMS as OARs, they become “Reference Records” and/or “Reference Documents” each with an associated Revision #. As noted above, Reference Records and Reference Documents can be used by the submitter as a target for hyperlinks from other Files in the Submission.

The following figure illustrates the above concept:

	Submission 1	Submission 2	Submission 3	Submission 4
DOCUMENTS	PART 00, Rev. 0	PART 00, Rev. 1	PART 00, Rev. 2	PART 00, Rev. 3
	PART 02, Rev. 0	PART 01, Rev. 0	PART 01, Rev. 0	PART 01, Rev. 0
	Chapter 01 Rev. 0	Chapter 01 Rev. 0	Chapter 01 Rev. 0	Chapter 01 Rev. 0
	Chapter 02 Rev. 0	Chapter 02 Rev. 0	Chapter 02 Rev. 0	Chapter 02 Rev. 0
	Chapter 03 Rev. 0	Chapter 03 Rev. 0	Chapter 03 Rev. 0	Chapter 03 Rev. 0
	Chapter 04 Rev. 0	Chapter 04 Rev. 0	Chapter 04 Rev. 0	Chapter 04 Rev. 0
	Chapter 05 Rev. 0	Chapter 05 Rev. 0	Chapter 05 Rev. 0	Chapter 05 Rev. 0
	Chapter 06 Rev. 0	Chapter 06 Rev. 0	Chapter 06 Rev. 0	Chapter 06 Rev. 0
	Chapter 07 Rev. 0	Chapter 07 Rev. 1	Chapter 07 Rev. 1	Chapter 07 Rev. 1
	Chapter 08 Rev. 0	Chapter 08 Rev. 0	Chapter 08 Rev. 0	Chapter 08 Rev. 0
	Chapter 09 Rev. 0	Chapter 09 Rev. 0	Chapter 09 Rev. 0	Chapter 09 Rev. 0
	Chapter 10 Rev. 0	Chapter 10 Rev. 0	Chapter 10 Rev. 0	Chapter 10 Rev. 0
	Chapter 11 Rev. 0	Chapter 11 Rev. 0	Chapter 11 Rev. 0	Chapter 11 Rev. 2
	Chapter 12 Rev. 0	Chapter 12 Rev. 0	Chapter 12 Rev. 0	Chapter 12 Rev. 0
	Chapter 13 Rev. 0	Chapter 13 Rev. 0	Chapter 13 Rev. 0	Chapter 13 Rev. 0
	Chapter 14 Rev. 0	Chapter 14 Rev. 0	Chapter 14 Rev. 0	Chapter 14 Rev. 0
	Chapter 15 Rev. 0	Chapter 15 Rev. 0	Chapter 15 Rev. 0	Chapter 15 Rev. 0
		Chapter 16 Rev. 1	Chapter 16 Rev. 1	Chapter 16 Rev. 1
	Chapter 17 Rev. 0	Chapter 17 Rev. 0	Chapter 17 Rev. 0	Chapter 17 Rev. 0
	Chapter 18 Rev. 0	Chapter 18 Rev. 0	Chapter 18 Rev. 0	Chapter 18 Rev. 0
	Chapter 19 Rev. 1	Chapter 19 Rev. 1	Chapter 19 Rev. 1	
PART 03, Rev. 0	PART 03, Rev. 1	PART 03, Rev. 1	PART 03, Rev. 1	
	PART 04, Rev. 0	PART 04, Rev. 0	PART 04, Rev. 0	
	PART 05, Rev. 0	PART 05, Rev. 0	PART 05, Rev. 0	
PART 06, Rev. 0	PART 06, Rev. 0	PART 06, Rev. 1	PART 06, Rev. 1	
	PART 07, Rev. 0	PART 07, Rev. 0	PART 07, Rev. 0	
	PART 08, Rev. 0	PART 08, Rev. 1	PART 08, Rev. 1	
	PART 09, Rev. 0	PART 09, Rev. 0	PART 09, Rev. 0	
	PART 10, Rev. 0	PART 10, Rev. 0	PART 10, Rev. 0	
	PART 11, Rev. 0	PART 11, Rev. 0	PART 11, Rev. 0	
	PART 12, Rev. 0	PART 12, Rev. 0	PART 12, Rev. 0	
PART 13, Rev. 0	PART 13, Rev. 0	PART 13, Rev. 1	PART 13, Rev. 2	
	PART 14, Rev. 0	PART 14, Rev. 0	PART 14, Rev. 1	
PART 15, Rev. 0	PART 15, Rev. 0	PART 15, Rev. 0	PART 15, Rev. 0	
	Newly Added			
	Changed			
	Reference Document			
	Submission Document			

3.0 Packing Slip Wizard Installation

3.1 System Requirements

Basic required operation environment:

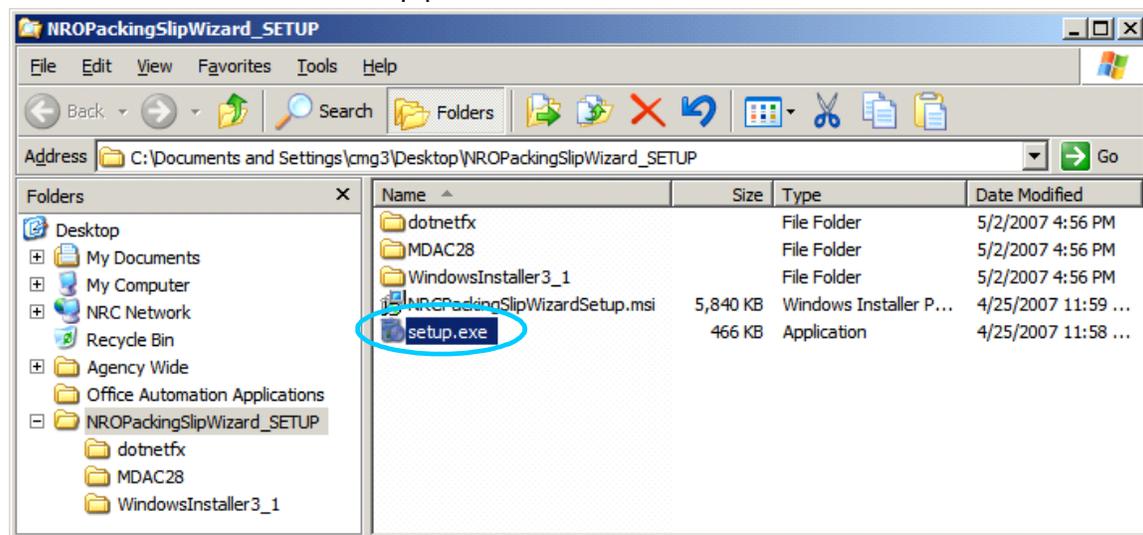
- Windows XP or Vista
- MS Office 2003 (minimum MS Excel 2003)

Optional

- Adobe Acrobat Professional (required if loading Titles from PDF files)

3.2 Software Installation

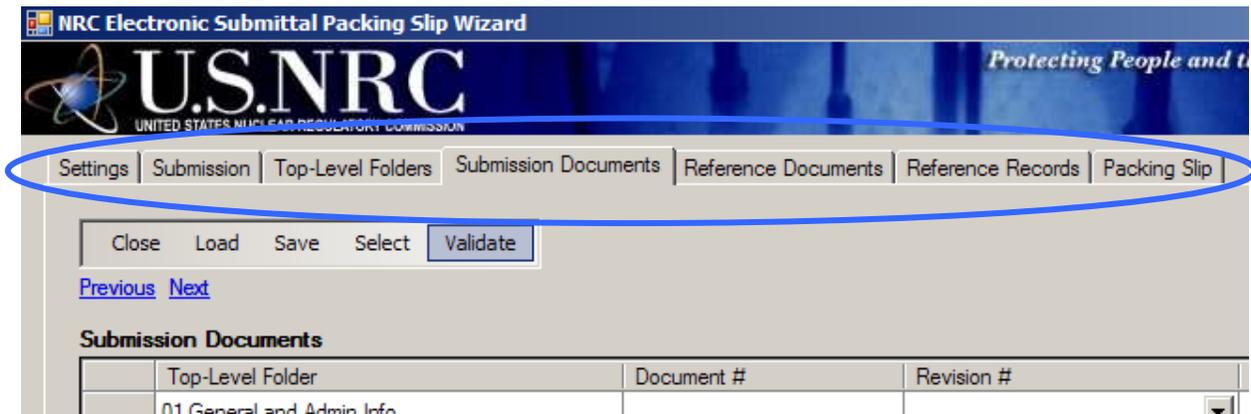
1. By placing the CD in the computer the installation wizard should launch automatically and walk you through the required steps. If the installation wizard does not invoke automatically, then double-click on “**setup.exe**” at the root of the installation CD to launch the automated set-up process.



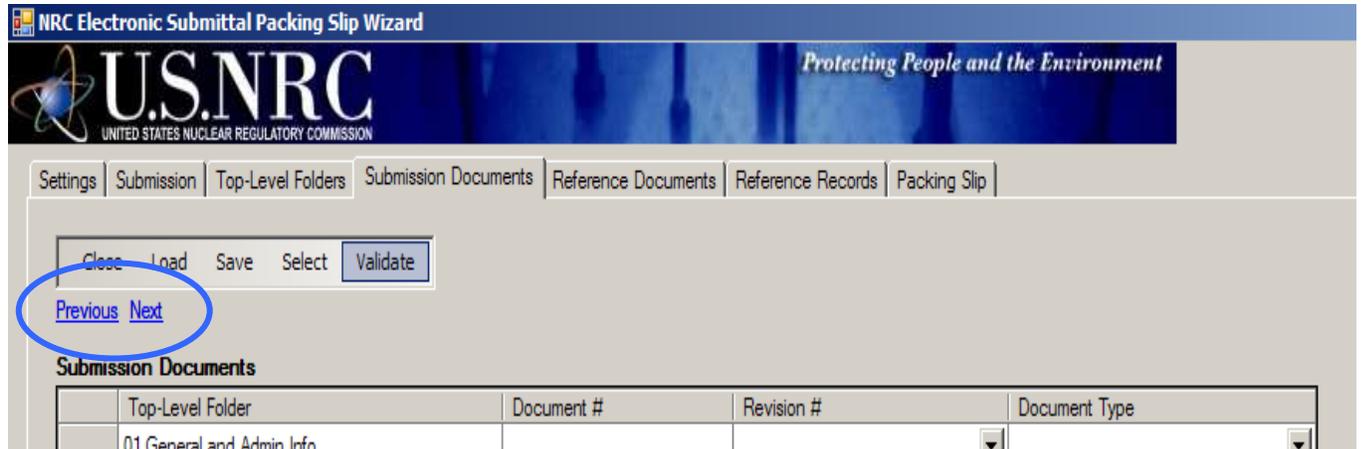
2. Follow the steps presented by the installation wizard to complete the installation process.
3. Once installed, The NRC Packing Slip Wizard icon should appear on the Windows desktop.
4. Double-click on the icon to start the NRC Packing Slip Wizard.

4.0 Packing Slip Preparation

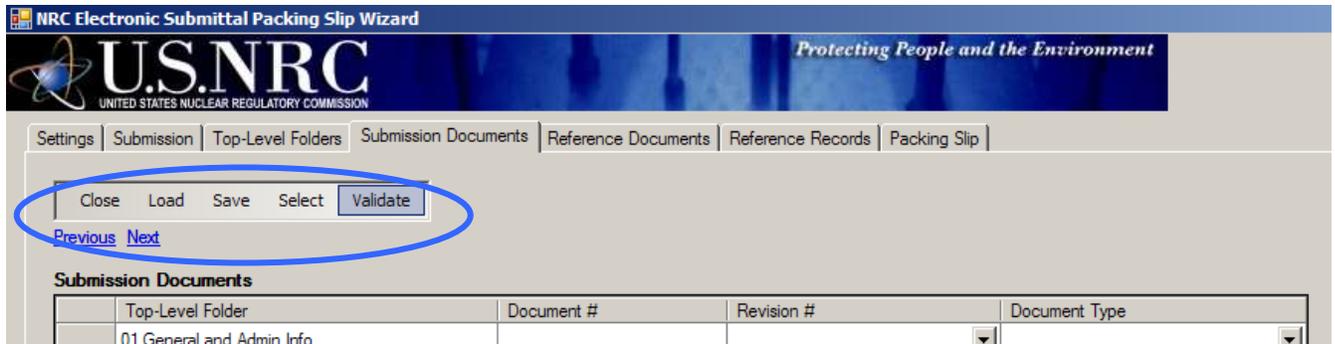
The following sections discuss each of the topic areas the user interacts with using the Wizard to prepare and produce a Packing Slip (i.e. Submission Transmittal Manifest) for the submission being processed. The Wizard was designed using “**tab**” navigation for moving between the different Packing Slip preparation topic areas. The following picture illustrates this feature:



The Wizard also provides an alternative means of navigation to the topic area tabs. The alternative provides the means to navigate sequentially, forwards and backwards among the different topic areas. The following picture illustrates this feature:



There is also a sub-menu related to every functional tab selected as shown in the example below:



These sub-menu selections may consist of one or all of the following depending on the functional tab:

- Close – Close the Wizard
- Load
 - Load properties from Excel
 - All documents
 - Current document
 - Load properties from PDF files
 - All documents
 - Current documents
- Save – Save to Excel
- Select
 - Sensitive
 - Select all
 - Clear all
 - Modified
 - Select all
 - Clear all
- Validate
 - All documents
 - Current document.

The following sections of this User's Guide are organized in the logical order in which the user is likely to access the different topic areas of the Wizard. The Wizard's tab navigation structure represents the logical steps in the sequence the user will likely enter or access the information they are preparing for their Submission.

4.1 Settings

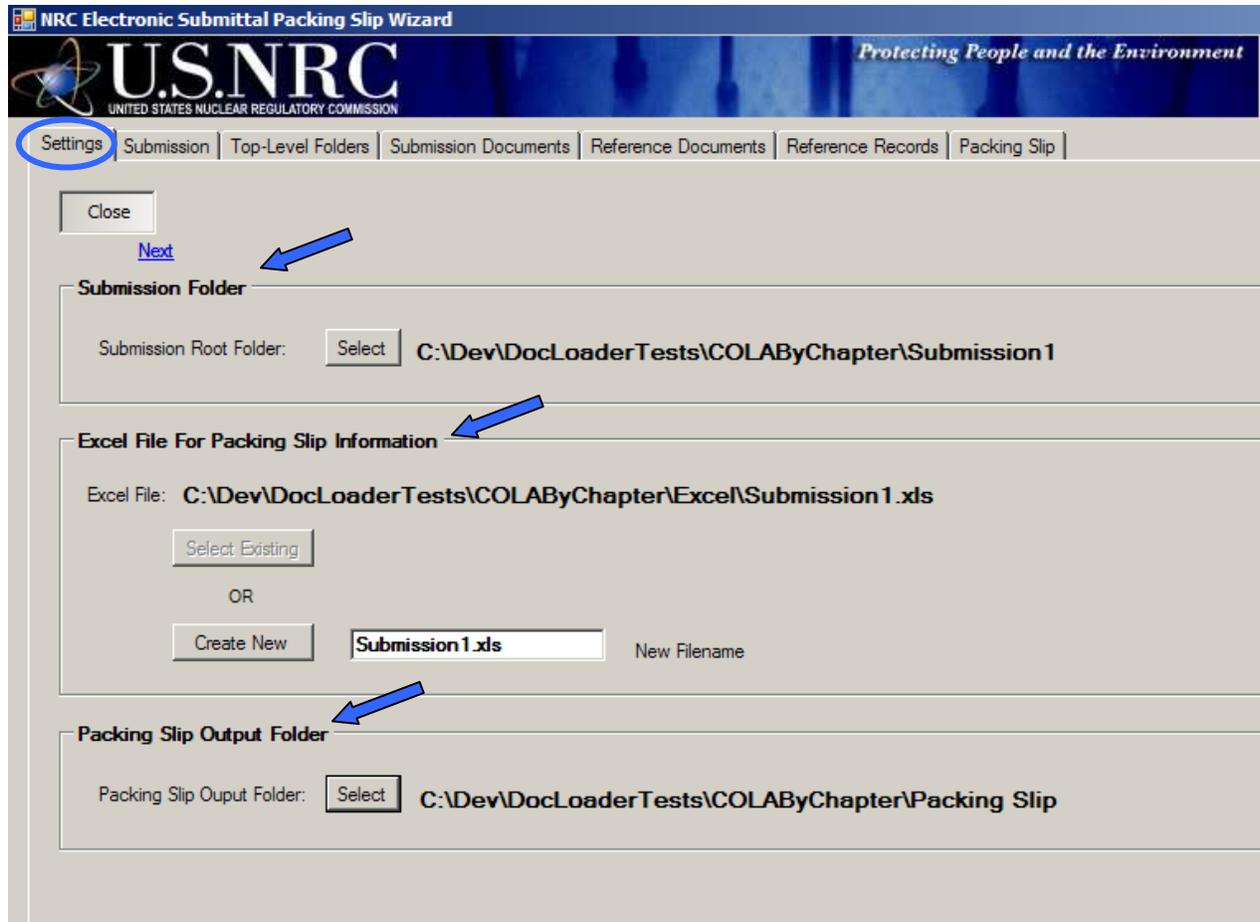
The following settings are required entries/selections before the Wizard can be used to generate the Packing Slip as shown in the Settings screenshot below:

<p>Submission Root Folder</p>	<p>This specifies the Folder that contains the Submission Files. Select the Top-Most or "Root Folder". The Wizard will read from this Folder, but will not write to it.</p> <p>This Folder may reside on a CD/DVD or on a hard drive. If the Submission is already on a CD/DVD, then select the Root Folder of the CD/DVD. If the Submission is on a hard drive, then select the Folder on the hard drive that contains the Submission Files.</p> <p>The Submission Root Folder may not contain any other files except the NRC Packing Slip File (NRCPackingSlip.xml). All Submission Files must be stored in a Sub-Folder of the Submission Root Folder.</p>
<p>Excel File</p>	<p>Please select an existing Excel File (previously created by the Wizard) or select "New" and enter the file name for a new Excel File.</p> <p>Note: Packing Slip Wizard only supports up to Excel 2003 Files.</p>
<p>Packing Slip Output Folder</p>	<p>The Wizard will create the Packing Slip in this Folder so the Folder must be writable.</p> <p>After the Packing Slip is created, you should copy the Packing Slip File (NRCPackingSlip.xml) from this Folder and burn it onto the CD/DVD's root folder.</p>

The Packing Slip Wizard stores the Packing Slip information in an Excel File. Microsoft Excel must be installed in order to use the Wizard. **Currently the Packing Slip Wizard only supports up to Excel 2003 files.**

Please save the Excel File in a safe location after each Submission so that it can be used as input for the next Submission. For each subsequent Submission, you will want to copy the previous Submission's Excel File and then use the Wizard to add information about new Submission Files.

Please do not edit in Excel while using the Wizard.



Settings Screenshot

4.2 Submission

This screen provides information that will uniquely identify the Submission at the NRC and information about how many CD/DVD Volumes the Submission contains.

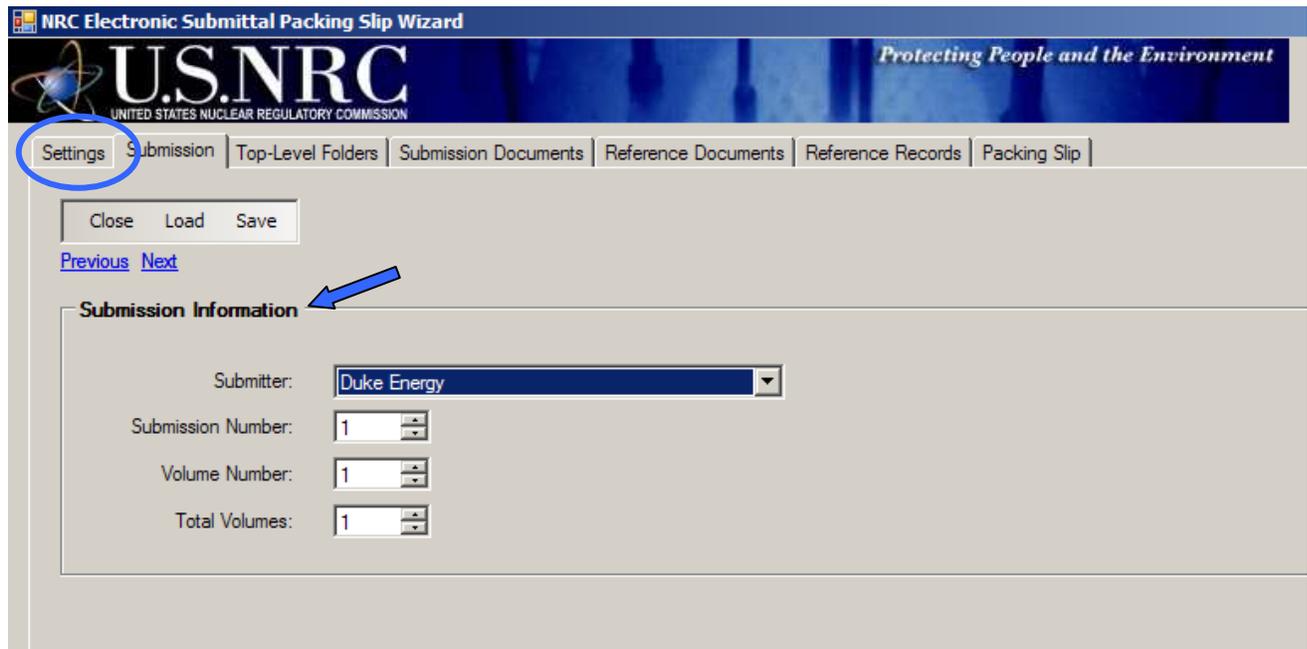
Each Submission is uniquely identified by the Submitter and the Submission Number.

If a Submission contains Multiple Volumes, a separate Packing Slip must be created for each Volume.

Please ensure that you set the Total Volumes and Volume Number correctly for each Volume in a Multi-Volume Submission. The Wizard does not validate across multiple Packing Slips in a Multi-Volume Submission.

Submitter	This specifies the organization sending the Submission to the NRC. If your organization is not listed, please notify your NRC Project Manager.
Submission Number	Select the Submission Number of this Submission. Submission Numbers should increase sequentially with each new

	Submission sent to the NRC. Do not re-use previously submitted Submission Numbers.
Volume Number	Select the Volume Number of the current CD/DVD. If there is only one CD/DVD, then set the Volume Number to 1. If there are multiple CD/DVDs, then each CD/DVD requires a separate Packing Slip and the Volume Number in each Packing Slip and the Volume Number in each Packing Slip should increase sequentially.
Total Volumes	Select the Total Volumes in the Submission. If there is only one CD/DVD, then set the Total Volumes to 1. If there are multiple CD/DVDs, then each CD/DVD requires a separate Packing Slip and the Volume Number in each Packing Slip and the Total Volumes should be the same on all of the Packing Slips and set to the total number of CD/DVDs in the Submission.



Submission Screenshot

4.3 Top-Level Folders

Each “Document” in the Submission must reside in a Top-Level Folder on the CD/DVD.

The CD/DVD Root Folder may not contain any files except the NRC Packing Slip (**NRCPackingSlip.xml**).

For example assuming the CD/DVD is on drive d:\, the General and Admin Information may be stored in a Folder named "d:\01 General and Admin Info". The Root Folder d:\ may not contain any file except the Packing Slip (“NRCPackingSlip.xml”) which will be created by the Wizard.

Each "Part" of a Combined License Application is a separate Submission Document and should be stored in a separate Top-Level Folder on the CD/DVD. So the Top-Level Folders for a Combined License Application may appear as follows (assuming the CD/DVD is on drive d:\).

d:\01 General and Admin Info
d:\02 FSAR
d:\03 Environmental Report
d:\04 Tech Specs
d:\05 Emergency Plan
d:\06 LWA-Site Redress Plan
d:\07 DCD Departures
d:\08 Safeguards and Security
d:\09 Plant Specific PRA
d:\10 ITAAC

The maximum length for the name of a Top-Level Folder is 32 characters.

The Folder Name may contain only the following characters:

- Letters (a-z, A-Z)
- Numbers (0-9)
- Dash (-)
- Space ()
- Comma (,)
- Underscore (_)

No other characters are permitted.

There are 3 types of Documents that may be contained in a Top-Level Folder on the CD/DVD.

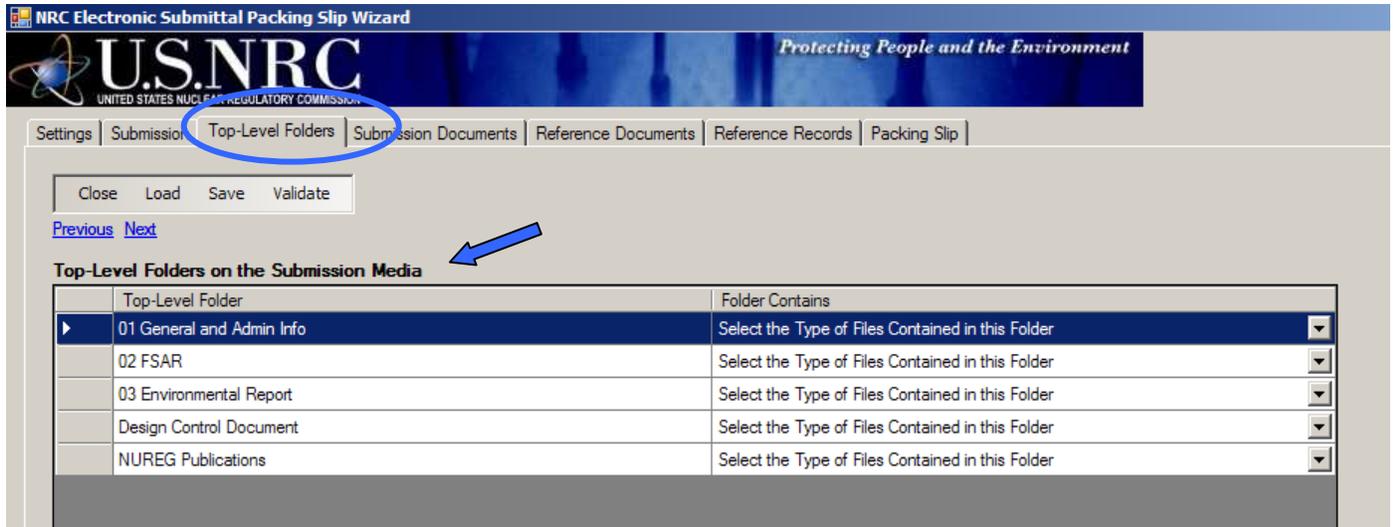
<p>Submission Document</p>	<p>A Submission Document is a Document authored by your organization and submitted to the NRC. A Submission Document consists of multiple PDF files that together constitute a revision of the Document.</p> <p>Each PDF file in the Submission Document will become an NRC Official Agency Record upon receipt by the NRC. Each PDF file in the Submission Document will be assigned a unique NRC Accession Number.</p> <p>Usually each PDF file represents a Chapter or Section of the Submission Document.</p> <p>The Submission Documents in a Combined License Application may include:</p> <ul style="list-style-type: none"> • General and Admin Information • Final Safety Analysis Report • Environmental Report • Technical Specifications • Emergency Plan • Site Redress Plan • Generic DCD Departures Report • Safeguards and Security Plans • Plant Specific PRA • ITAAC • Other • PDF Search Index <p>A Submission Document may contain Sub-Folders that contain PDF files, as it is often convenient to put each Chapter/Section of a Submission Document in a Sub-Folder. The Sub-Folder Name is subject to the same maximum length and valid characters as the Top-Level Folder Name.</p>
<p>Reference Document</p>	<p>A Reference Document is a collection of NRC Official Agency Records (PDF files) that together constitute a revision of a Document, for example a Design Control Document.</p> <p>A Reference Document might be included in the Submission if you have created hyperlinks to a Document that has already been submitted to the NRC. For example, the Final Safety Analysis Report may contain hyperlinks to a specific revision of a Design Control Document that is already approved by the NRC.</p> <p>In this case, the Design Control Document would be a</p>

	<p>Reference Document and its PDF files make up the Reference Document.</p> <p>Before hyperlinking to a Reference Document, always obtain the PDF files for the Reference Document directly from the NRC.</p> <p>It is not required to copy the actual PDF files for a Reference Document onto the CD/DVD, but it is required to create a Top-Level Folder for the Reference Document and to properly identify the Reference Document in the Packing Slip.</p> <p>A Reference Document may contain Sub-Folders with PDF files. The Sub-Folder Name is subject to the same maximum length and valid characters as the Top-Level Folder Name.</p>
<p>Reference Records Collection</p>	<p>A Reference Record is an NRC Official Agency Record that is a stand-alone Document. In this case, the entire Document is contained in one (1) PDF file. For example, a "NUREG-Series Publication" is contained in one single PDF file.</p> <p>A Reference Records Collection is a collection of Reference Records (PDF files) that may be filed in a Folder together for convenience. For example, if a number of "NUREG-Series Publications" are reference in a submission, they may be placed in a Top-Level Folder called "NUREG Publications".</p> <p>Before hyperlinking to a Reference Record, always obtain the PDF file for the Reference Record directly from the NRC.</p> <p>It is not required to copy the actual PDF files for a Reference Records Collection onto the CD/DVD, but it is required to create a Top-Level Folder for the Reference Records Collection and to properly identify each Reference Record in the Packing Slip.</p> <p>A Reference Records Collection may not contain Sub-Folders.</p>

The Top-Level Folder tab displays the following fields:

<p>Top-Level Folder</p>	<p>This field is read-only and displays the Top-Level Folders in the Submission Root Folder.</p>
<p>Folder Contains</p>	<p>Select the type of PDF files contained in the corresponding Top-Level Folder. Changing the type of PDF files in the selected Top-Level Folder will cause unsaved data to be</p>

lost on Submission Documents, Reference Documents, and Reference Records tabs.



Top-Level Folders Screenshot

4.4 Submission Documents

This screen provides information that will uniquely identify each Submission Document at the NRC.

Each Submission Document must be uniquely identified by a Document Number and a Revision Number.

Your organization may already have a scheme for assigning Document Numbers and Revisions Numbers, but if not, the following scheme may suffice.

The Document Number and Revision Number may be assigned using a simple scheme such as <PlantName>.<DocumentTypeAbbreviation>. So for the ACME Power Plant the Document Number for the FSAR and Environmental Report would be as follows:

Document #	Revision #
ACME.FSAR	1
ACME.FSAR	2

Document #	Revision #
ACME.ENVRPT	1
ACME.ENVRPT	2

Of Course, your organization can expand upon or substitute for this scheme to ensure that

the Document Number and Revision Number are unique to all Documents at the NRC.

No duplicate Document Number/Revision Number combinations are allowed per submission.

Additionally, each PDF file requires a "user-friendly" Subject Title.

The Subject Title should reflect the contents of the PDF file as it would be included in a Table of Contents listing.

Please do not include the Title of the Submission Document in the Subject Title.

It is required to include Chapter, Chapter Name, Section Number and Section Title in the Subject Title.

Chapter [Chapter #] – [Chapter Name] – Section [Section #] [Section Title]
--

The following are suitable Subject Titles for the first Chapter of a "Final Safety Analysis Report" of a Combined License Application for which each PDF file contains only one Section.

Chapter 01 – Introduction and General Description – Section 01.01 Introduction
Chapter 01 – Introduction and General Description – Section 01.02 General Plant Description
Chapter 01 – Introduction and General Description – Section 01.03 Comparison Tables
Chapter 01 – Introduction and General Description – Section 01.04 Identification of Agents and Contractors
Chapter 01 – Introduction and General Description – Appendix 01A Conformance with Regulatory Guides

In the event that a PDF file contains multiple sections, the following Subject Title naming convention is required for multi-section PDF files.

Chapter [Chapter #] – [Chapter Name] – Sections [Starting Section #] [Ending Section #]

The following example illustrates a Subject Title for a PDF containing multiple sections.

Chapter 01 – Introduction and General Description – Sections 01.05 - 01.09
--

Optionally, the Subject Titles may be automatically loaded from the PDF properties. Adobe Acrobat Professional must be installed in order to load Properties from the PDF files. The following Properties may be loaded from each PDF file:

NRCTitle	If a value for "NRCTitle" is supplied in the PDF "Custom" Properties, the value populates the "Subject Title" field in the Packing Slip Wizard.
Title	If a value for "NRCTitle" is not supplied in the PDF "Custom"

	Properties, the value for the PDF "Title" Property populates the "Subject Title" field in the Packing Slip Wizard.
Modified	If a value for "Modified" is supplied in the PDF "Custom" Properties, the value populates the "Modified" field in the Packing Slip Wizard. The valid values are "True" and "False".
Sensitive	If a value for "Sensitive" is supplied in the PDF "Custom" Properties, the value populates the "Sensitive" field in the Packing Slip Wizard. The valid values are "True" and "False".

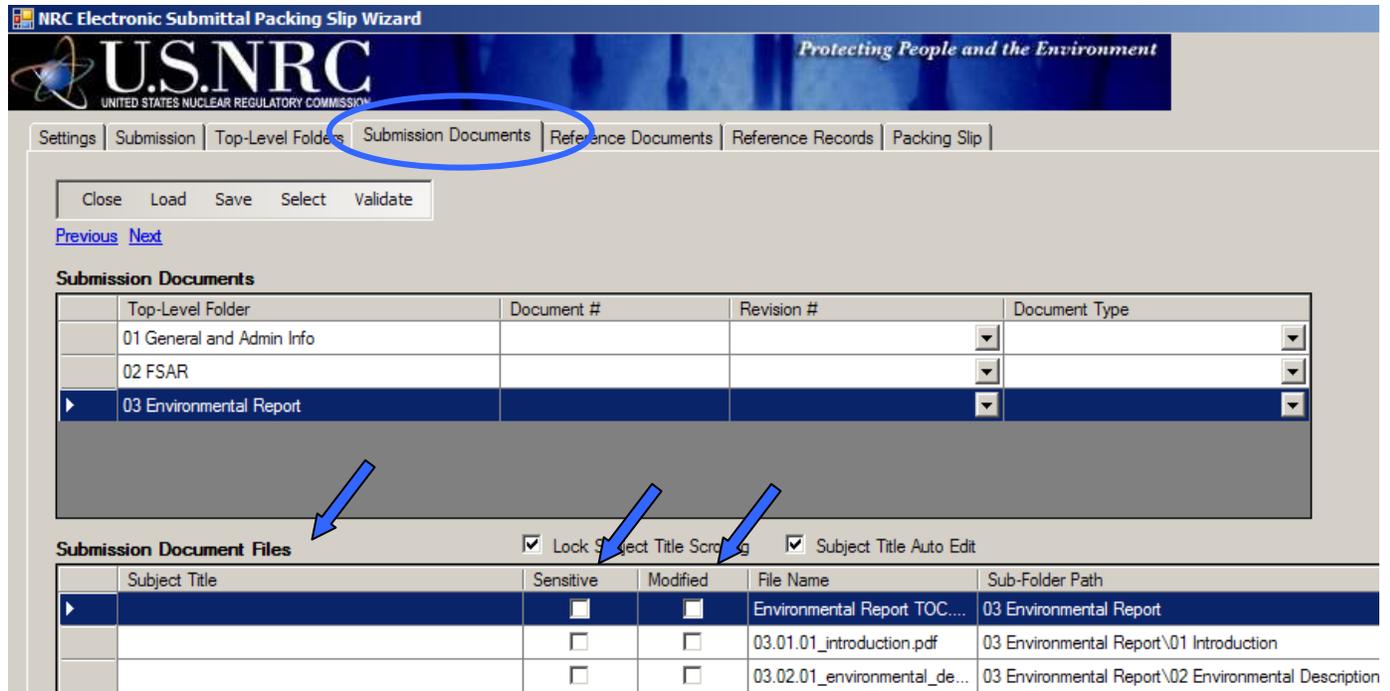
The Submission Documents data entry table includes the following fields:

Top-Level Folder	This field is read-only and displays the Top-Level Folder for each Submission Document.
Document #	<p>The Document Number and Revision Number must uniquely identify the Submission Document to the NRC.</p> <p>The Document Number is required and may be up to 20 characters in length.</p> <p>The Document Number may consist of the following characters.</p> <ul style="list-style-type: none"> • Letters (a-z, A-Z) • Numbers (0-9) • Period (.) • Dash (-)
Revision #	<p>The Document Number and Revision Number must uniquely identify the Submission Document to the NRC.</p> <p>The Revision Number is required and must be Numeric.</p> <p>Generally, Revision Numbers should increase consecutively with each new revision of the Document.</p>
Document Type	<p>Document Type is required and specifies the "Part" of the Combined License Application that is contained in the Document. Each Part of a Combined License Application should be a separate Submission Document.</p> <p>If you cannot determine the correct Document Type for your Submission Document, please notify your NRC Project Manager.</p>

The Submission Document Files data entry table includes the following fields:

Subject Title	<p>The Subject Title should reflect the contents of the PDF file as it would be included in a Table of Contents Listing.</p> <p>Please do not include the Title of the Submission Document in the Subject Title.</p>
----------------------	---

	<p>The Subject Title may not contain the following characters.</p> <ul style="list-style-type: none"> • Back Slash (/) • Forward Slash (\) • Colon (:) • Asterisk (*) • Less Than (<) • Greater Than (>) • Pipe () • Question Mark (?) • Double Quote (") <p>The Subject Title may contain up to 150 characters in length.</p>
Sensitive	<p>The Sensitive indicator is optional and may be used to indicate that a PDF file contains Proprietary or Sensitive Information that should not be released to the Public.</p>
Modified	<p>The Modified indicator is optional and may be used to indicate that a PDF file has changed since the previous Document Revision. You are not required to set the Modified indicator.</p>
File Name	<p>This field is read-only and displays the File Name for each PDF file in the Submission Document.</p> <p>The File Name may consist of the following characters.</p> <ul style="list-style-type: none"> • Letters (a-z, A-Z) • Numbers (0-9) • Period (.) • Dash (-) • Space () • Comma (,) • Underscore (_) <p>The File Name may contain up to 255 characters in length.</p>
Sub-Folder Path	<p>This field is read-only and displays the Sub-Folder Path for each PDF file in the Submission Document.</p> <p>Each Folder Name in the Sub-Folder Path is subject to the same maximum length and valid characters as the Top-Level Folder Name.</p>



Submission Documents Screenshot

4.5 Reference Documents

This screen provides information that uniquely identifies each Reference Document at the NRC.

Each Reference Document must be uniquely identified by the Document Number and the Revision Number.

The Reference Document Number and Revision Number must identify a Document that is already in ADAMS at the NRC. The most common example is a "Design Control Document" that will be referenced by a "Final Safety Analysis Report" in a Combined License Application.

No duplicate document Number/Revision Number combinations are allowed per submission.

Another example of a Reference Document is a previously submitted "Part" of a Combined License Application which is no longer being modified by your organization. You will want to include the "Part" in your Submission, but don't want to submit it as a "new" document revision. Since the Document hasn't changed since the last Submission, you may not want to assign it as a new Revision Number; instead you may include it as a Reference Document using the Document Number and Revision Number to identify it as a previously submitted Document.

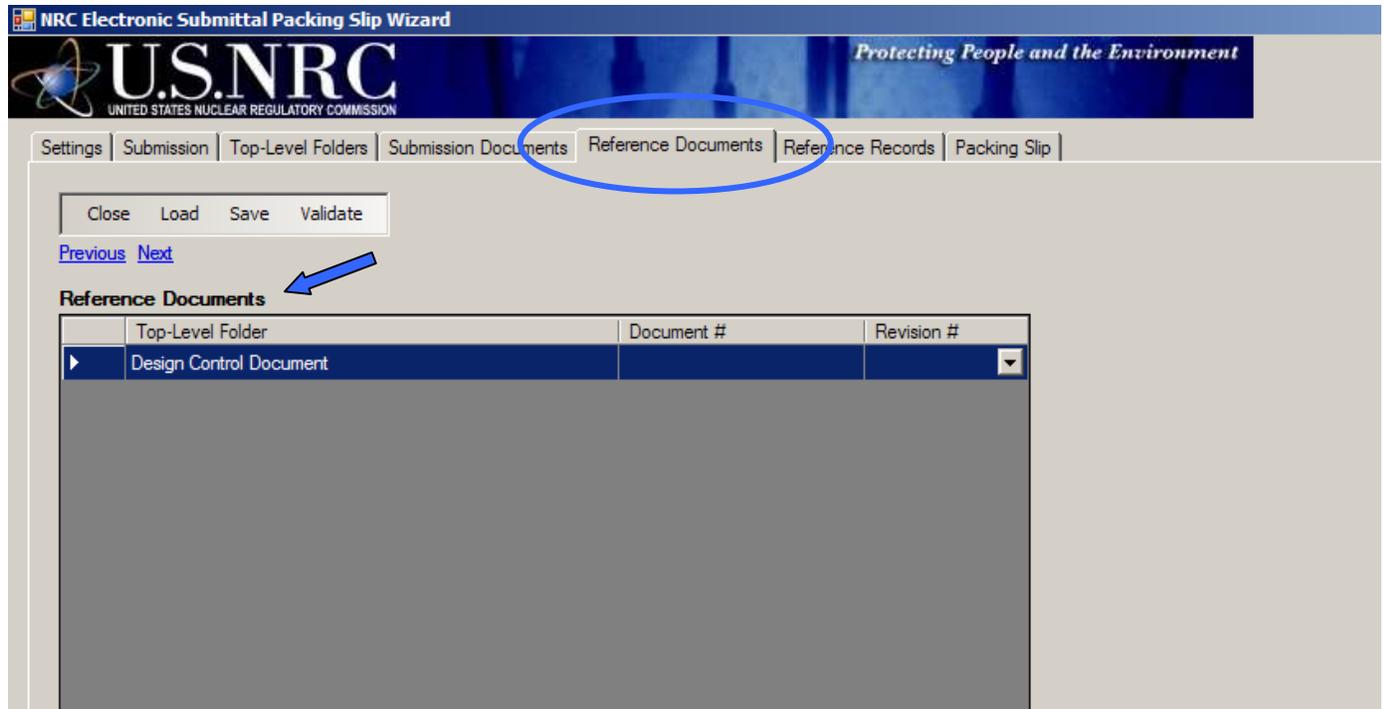
The NRC will use the Document Number and the Revision Number to locate the Reference Document in ADAMS and file its' collection of PDF files into the corresponding

Top-Level Folder in the Submission.

Before hyperlinking to a Reference Document, always obtain the PDF files for the Reference Document directly from the NRC.

The Reference Documents data entry table includes the following fields:

Top-Level Folder	This field is read-only and displays the Top-Level Folder for each Reference Document.
Document #	<p>The Document Number and Revision Number must uniquely identify the existing Reference Document in ADAMS at the NRC.</p> <p>The Document Number is required and may be up to 20 characters in length.</p> <p>The Document Number may consist of the following characters.</p> <ul style="list-style-type: none"> • Letters (a-z, A-Z) • Numbers (0-9) • Period (.) • Dash (-) • Underscore (_)
Revision #	<p>The Document Number and Revision Number must uniquely identify the existing Reference Document in ADAMS at the NRC.</p> <p>The Revision Number is required and must be Numeric.</p>



Reference Documents Screenshot

4.6 Reference Records

This screen provides information that uniquely identifies each Reference Record at the NRC.

Each Reference Record must be uniquely identified by its ADAMS Accession Number.

The Accession Number must identify an Official Agency Record that is already in ADAMS at the NRC. The most common example is a "NUREG-Series Publication".

No duplicate Accession Numbers are allowed per Reference Collection.

The NRC will use the Accession Number to locate the Official Agency Record in ADAMS and file its' PDF file into the corresponding Top-Level Folder in the Submission.

Before hyperlinking to a Reference Record, always obtain the PDF file name for the Reference Record directly from the NRC.

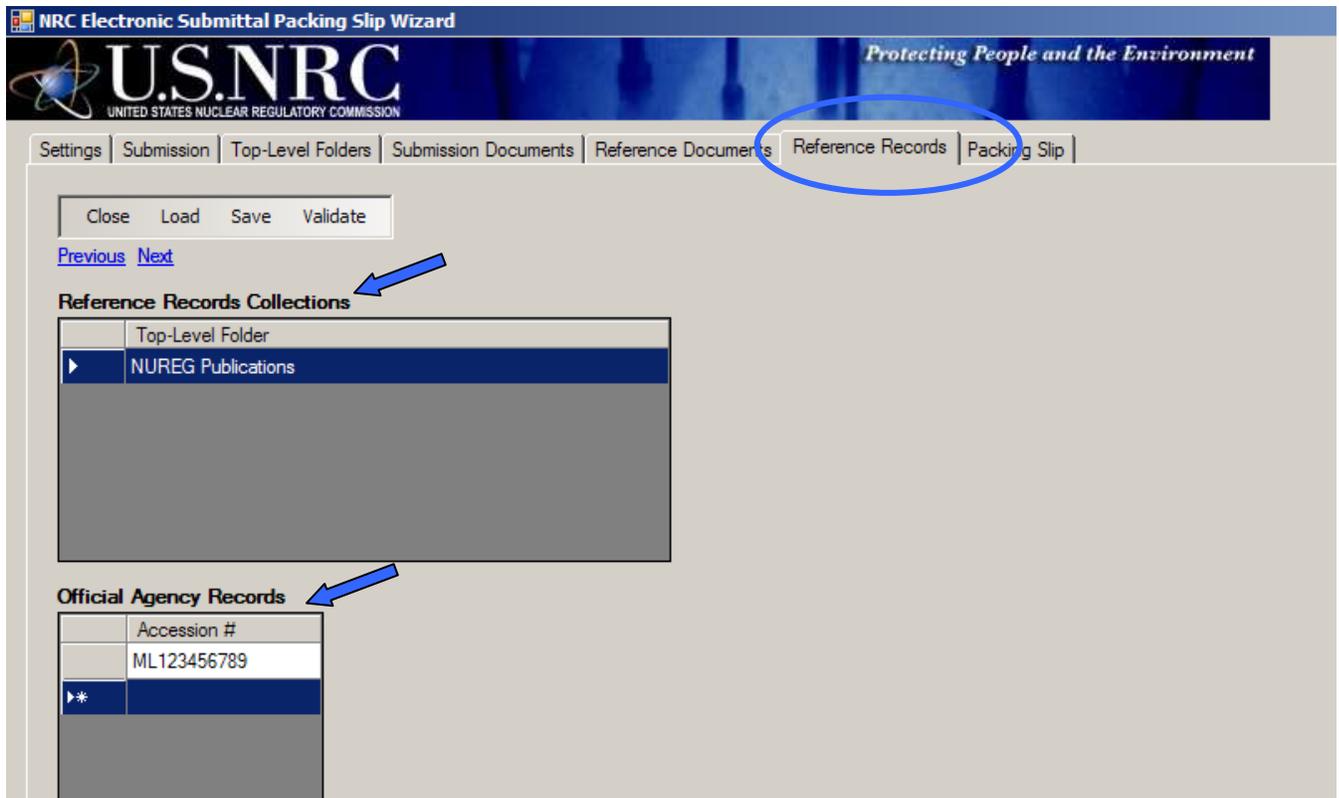
The Reference Records Collections data table includes the following fields:

Top-Level Folder	This field is read-only and displays the Top-Level Folder for each Reference Records Collection. You may group different collections of Reference Records in
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	<p>different Top-Level Folders for convenience. For example, there may be one Reference Records Collection for "NUREG Series Publications" and one Collection for articles published in the magazine "Nuclear Engineering International". So assuming the CD/DVD is on drive d:\, the corresponding Top-Level Folders might be</p> <ul style="list-style-type: none"> • d:\NUREG Publications • d:\Nuclear Engineering Intl
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The Official Agency Records data entry table includes the following fields:

Accession Number	<p>This field is required for each Reference Record in the Collection.</p> <p>The Accession Number is 11 characters long and must be specified in the following format:</p> <ul style="list-style-type: none"> • ML##### (where # represents a numeric digit) <p>If you cannot determine the Accession Number for a Reference Record, please contact your NRC Project Manager.</p>



Reference Records Screenshot

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4.7 Packing Slip

The Packing Slip tab displays and validates the Packing Slip.

If you have correctly supplied all information on previous tabs, there should not be any errors in the Packing Slip. Errors may occur in the following situations:

- PDF files have been added, deleted, renamed, or moved since the Packing Slip was created
- Folders have been added, deleted, renamed, or moved since the Packing Slip was created
- User did not visit some of the previous tabs.

After the Packing Slip has been successfully validated, it must be copied and burned onto the CD/DVD Media's Root Folder. The CD/DVD Media's Root Folder must not contain any files except the NRC Packing Slip File (NRC Packing Slip File (NRC Packing Slip.xml)).

The Packing Slip validated successfully.
Please save the Packing Slip file 'C:\Dev\DocLoaderTests\COLAByChapter\Packing Slip\NRC Packing Slip.xml' to the Root Folder Media Volume 'C:\Dev\DocLoaderTests\COLAByChapter\Submission1'.
The Packing Slip must be the only file in the Root Folder of the Submission Media. No other files should be in the Root Folder of t

```
<?xml version="1.0" ?>
- <NRCDocumentSubmission xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
  xsi:noNamespaceSchemaLocation="NRC Packing Slip.xsd" SchemaVersion="1" SubmitterName="Duke Energy"
  SubmissionNumber="1" VolumeNumber="1" TotalVolumes="1">
- <SubmissionDocuments>
- <SubmissionDocument Type="General and Admin Information">
  - <DocumentIdentifier>
    <DocumentNumber>1</DocumentNumber>
    <RevisionNumber>1</RevisionNumber>
  </DocumentIdentifier>
  - <SubmissionFolders>
  - <SubmissionFolder Name="01 General and Admin Info">
    - <SubmissionFile>
      <FileName>01.01.01_General Information.pdf</FileName>
      <Title>General Information</Title>
      <Sensitivity>Non-Sensitive</Sensitivity>
      <Modified>N</Modified>
    </SubmissionFile>
  </SubmissionFolder>
</SubmissionDocument>
</SubmissionDocuments>
</NRCDocumentSubmission>
```

Packing Slip Screenshot

4.8 PDF Search Indexes

The use and submission of PDF Search Index Files is optional.

PDF Search Index Files (.PDX files) may be included in any Submission Document in the Top-Level Folder or any Sub-Folder of the Submission Document. This approach may commonly be used to provide Search Indexes that apply to only one Submission Document, for example the FSAR.

Additionally, PDF Search Index Files (.PDX files) may be included as a separate Submission Document in a Top-Level Folder. This approach may commonly be used to provide Search Indexes that span all

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Submission Documents in the Submission.

4.9 Multi-Volume Submissions

The Wizard supports spanning a Submission Document across multiple CDs and also supports including a separate Submission Document on each CD.

Please ensure that you set the Total Volumes and Volume Number correctly for each Volume in a Multi-Volume Submission. The Wizard does not validate across multiple Packing Slips in a Multi-Volume Submission.

Multi-Volume Submissions support the following common scenarios.

1) A Submission Document that spans multiple CDs

In this case, it is imperative that the Top-Level Folder is the same on all CDs containing files for the Submission Document. Within the Top-Level Folder, files will be filed into Sub-Folders by Sub-Folder Name. So if a Sub-Folder spans multiple CDs, the same Sub-Folder should have the same name on both CDs. Not all Sub-Folders must be included on each CD, but it may be easiest to include the entire Sub-Folder structure on every CD and only place files in certain branches of the Sub-Folder hierarchy on each CD.

Let's use an FSAR as an example. An FSAR may need to span multiple CDs. In the example, the FSAR is stored in a Top-Level Folder named "\FSAR". The Top-Level Folder "\FSAR" may appear on multiple CDs.

The Sub-Folders for the FSAR may be split amongst, or duplicated across, the CDs as necessary and appropriate.

So one approach is to simply include all Sub-Folders on all CDs and only have files in some of the Sub-Folders. In this case, many of the Sub-Folders may be empty on a particular CD, but all the Sub-Folders are included on every CD.

Another approach is to include only a subset of the Sub-Folders on one CD and then the remaining Sub-Folders on another CD.

For example, using the approach that all Sub-Folders will be included on all CDs

CD 1 may include:

Folder on CD	Folder Contents on This CD
\FSAR\01 Introduction	Contains PDF Files
\FSAR\02 Site Characteristics	Contains PDF Files
\FSAR\03 Design of Structure	Empty
\FSAR\04 Reactor	Empty

And CD 2 may include

Folder on CD	Folder Contents on This CD
\FSAR\01 Introduction	Empty
\FSAR\02 Site Characteristics	Empty
\FSAR\03 Design of Structure	Contains PDF Files
\FSAR\04 Reactor	Contains PDF Files

Using the approach that specific Sub-Folders will be included on each CD

CD 1 may include:

Folder on CD	Folder Contents on This CD
\FSAR\01 Introduction	Contains PDF Files
\FSAR\02 Site Characteristics	Contains PDF Files

And CD 2 may include

Folder on CD	Folder Contents on This CD
\FSAR\03 Design of Structure	Contains PDF Files
\FSAR\04 Reactor	Contains PDF Files

2) A Separate Submission Document on each CD

It is permissible to place each Submission Document on a separate CD. So in this example, one may put an FSAR on CD 1 and an Environmental Report on CD 2. In this case, there is no spanning a Submission Document across CDs.

CD 1 may include:

Folder on CD	Folder Contents on This CD
\FSAR\01 Introduction	Contains PDF Files
\FSAR\02 Site Characteristics	Contains PDF Files
\FSAR\03 Design of Structure	Contains PDF Files
\FSAR\04 Reactor	Contains PDF Files

And CD 2 may include:

Folder on CD	Folder Contents on This CD
\Environmental Report\Chapter 01	Contains PDF Files
\Environmental Report\Chapter 02	Contains PDF Files
\Environmental Report\Chapter 03	Contains PDF Files
\Environmental Report\Chapter 04	Contains PDF Files