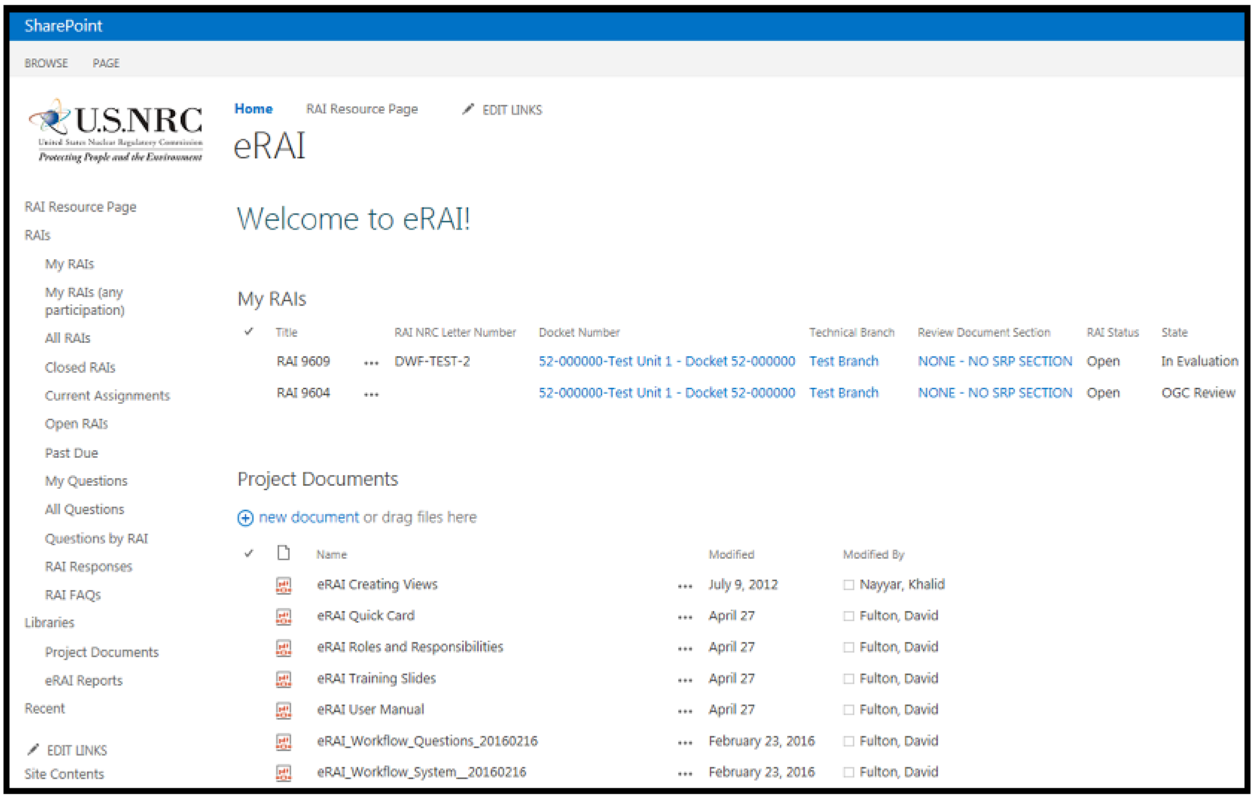
eRAI User Manual

Electronic Request for Additional Information



Version 3.1

September 2018

Version Table

Version	Version Description	Version Date	Author
1.0	Initial Release		eRAI Team
1.1	Updated to include new changes		eRAI Team
2.0	Adding new features and UI updates	18-Feb-2016	David Fulton
2.2	Updating through 4th Quarter 2016	24-Apr-2017	David Fulton
2.3	Updating through Q4 2017	05-Jan-2018	David Fulton
3.0	Updating to Version 3.0 with SharePoint 2013; FY2018.Q1 and FY2018.Q2	31-Mar-2018	David Fulton
3.1	Updated for Office Instruction CRs	September 2018	David Fulton

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Introduction

Starting in October 2007 the NRC began reviewing multiple Design Certification Documents, Combined License Applications (COLA), and Early Site Permits (ESP). During the review process, the NRC staff may produce a Request for Additional Information (RAI).

This reference guide describes the usage of the electronic Request for Additional Information (eRAI) system developed for the Office of New Reactors (NRO). This solution utilizes Microsoft SharePoint 2013, which is part of the NRO's Enterprise Project Management (EPM) solution.

The scope of this system is to provide a basic web-based tool that enables the initiation, monitoring, and tracking of these RAIs and their responses. The solution will also provide real-time and on-demand feedback to NRC staff on RAI status. The following is the list of the business processes and functions to be addressed by this solution:

- Support internal NRC staff with generating, reviewing, and issuing of RAIs.
- Support internal NRC staff with tracking RAIs and their status.
- Ensure that the RAI review processes are compliant with NRO guidelines.
- Support internal NRC staff with processing, reviewing, and evaluating the responses to RAIs.

Note: The eRAI system cannot replace communication within the staff. Detailed discussions may need to be conducted in person or separate emails.

Basic Guidelines

This reference guide describes the interactions between the NRC user, eRAI, and the Applicant for the following:

- Creating an RAI and question(s)
- Managing an RAI
- Adding question(s) to an RAI
- Managing an RAIs' question(s)
- Creating an initial RAI Word document
- Reviewing and approving an RAI
- Issuing an RAI
- Documenting the Applicant's response(s)
- Evaluating the Applicant's response(s)
- Closing an RAI
- Generating RAI reports within eRAI

Step-by-step instructions are provided in the following sections for each step in the RAI process.

About this Manual

This manual is intended to assist NRO staff in the use of eRAI for the purpose of managing the RAI process. We are assuming that you have basic computer experience and are familiar with key concepts, terminology, and processes associated with the program. Use this manual in conjunction with the e*RAI Quick Start Card* as you learn to use the application.

Purpose and Scope

This manual provides guidance on the use of the eRAI application; Describes common features; and provides step-by-step instructions for each of the key tasks performed within eRAI.

Conventions

Typographical, keyboard, menu, and symbolic conventions are used throughout this manual to help you easily find information and perform tasks in the eRAI application.

Table 0-1: Typographical Conventions

Convention	Example:
User interface widgets that you need to click or select (e.g., menu options, buttons, and drop-down list values) appear in **bold typeface**.	Click the **OK** button.
References to supporting documentation appear in *italicized typeface*.	Refer to the *eRAI Quick Card*.

Table 0-2: Keyboard and User Interface Actions

Convention	Example:
A plus sign (+) indicates you must press two keys simultaneously.	Press **Ctrl+s**
The term "click" indicates that you must click the left button on your mouse a single time.	Click the drop-down arrow to the right of the Owner Branch field.
"*Required.*" Indicates that a value must be entered in the field, or the system will not allow you to complete a task.	*Required.* In Minimum Samples, type the minimum number of samples required for the ITAAC.

Table 0-3: Symbols

Symbol	Indicates:
	A helpful tip is being provided.

Screen Shots

All screen shots and illustrated settings are provided strictly for the purpose of exposing you to specific eRAI concepts and tasks, and should only be used for that purpose when reading this manual.

Terminology

The following terms are used consistently throughout the eRAI user interface and this manual:

Item—Refers to a single SharePoint record, which is displayed as a row in a SharePoint list.

Item Header—Refers to the key fields displayed at the top of a SharePoint list.

Item Detail—Refers to the data belonging to a single item (record).

Item Identifier—Refers to the hyperlinked identifier displayed for each item header listed on the “All Items” screens. The identifier always appears in the first column for each item header.

Workflow – Refers to an automated tool for moving RAIs and Questions through the review process, by updating the record’s status and due date, as wells assigning the record to the user responsible for the next step.

1 Getting Started with eRAI

The following sections guide you through the process of accessing the eRAI application, and will provide options for obtaining assistance when using the application.

1.1 Obtaining Access to eRAI

All NRC personnel have access to the eRAI application.

1.2 Understanding Your Role

Your role determines which tasks you perform in the application.

Technical Branch Reviewer:

- Creates RAIs and Questions
- Initiates the eRAI automated Workflow
- Reviews and determines final disposition of Applicant responses to RAIs

Technical Branch Chief:

- Reviews and edits RAIs and Questions
- Approves RAIs

Technical Division Manager:

- Reviews and edits RAIs and Questions
- Approves RAIs

Chapter Project Manager (PM):

- Reviews and edits RAIs and Questions
- Approves RAIs
- May process Applicant responses to RAIs

Office of General Counsel (Non-DC RAIs):

- Reviews questions to confirm basis of regulatory information
- Makes minor edits to RAIs and Questions
- Approves RAIs

Lead Project Manager (PM):

- Reviews and edits RAIs and Questions
- Issues RAIs
- May process Applicant responses to RAIs
- Monitors the progress and provides oversight of RAIs

Licensing Branch Chief (LBC)

- Reviews and edits RAIs and Questions
- Approves RAIs

Tip: In addition to the specific tasks you perform for your role, you can often view data associated with the tasks performed by the other roles.

1.3 Logging into the Application

To login to eRAI:

1. Launch Internet Explorer.
2. In the address bar, type http://erai.nro.nrc.gov.

The application uses your NRC user ID and password to log you into the application and the eRAI main menu appears (Figure 1-1).

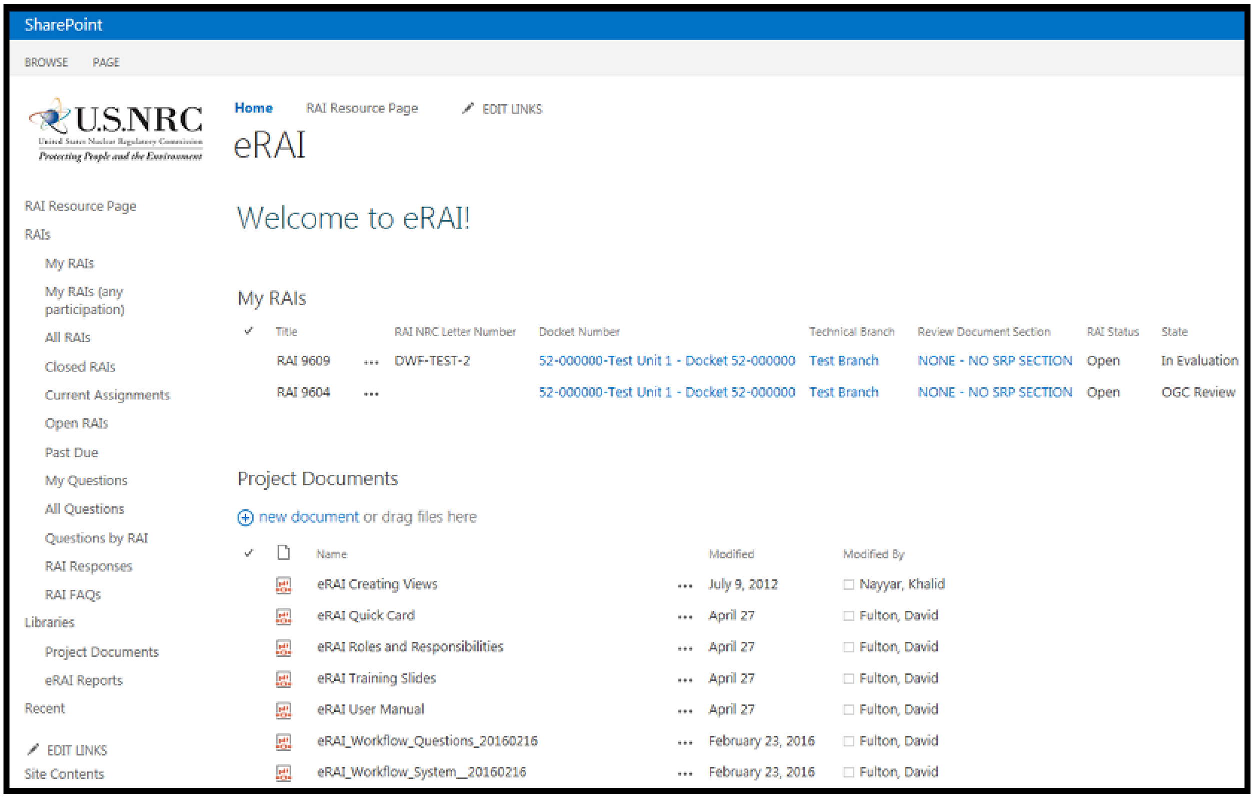


Figure 1:1: eRAI Main Menu

1.4 Getting Help

Help is available using the resources described in Table 1-1:

Table 1-1: eRAI User Assistance

Resource	Provides
RAI FAQs	Select the RAI FAQs link on the left side of the eRAI Home page.
	For help with SharePoint features, click the Help (?) Icon in the upper-right corner of the page.
	Hover your pointer over the field, or widget. If tool tip help is available, a box will appear with helpful information.
eRAI Support	Contact EPM.Resource@nrc.gov

1.5 Suggestions

Is there another topic you'd like to see here? If so, please contact the eRAI support team with your suggestions at:

EPM.Resource@nrc.gov

2 Navigating the eRAI Main Menu

Each record in eRAI, referred to as an "item" in SharePoint, corresponds to a "row" within a SharePoint list ("table"). The items in eRAI can be viewed individually, or several can be viewed together as a list.

2.1 Accessing List Views from the Navigation Pane

The Navigation Pane (Figure 2-1), provides a group of standardized list views, which have been filtered and organized to support common tasks. The following standard list views are available:

- My RAIs: All RAIs in which your name appears in either the **Created By** or **Assigned To** fields.
- My RAIs (any participation): All RAIs in which your name appears in any of the following fields:
  - Technical Branch Reviewer
  - Technical Branch Chief
  - Technical Division Manager
  - Chapter PM
  - Licensing Branch Chief
  - Project Manager
  - OGC
  - Assigned To
  - Created By
- All RAIs: All RAIs created in eRAI, regardless of their Status, and your participation.
- Closed RAIs: All RAIs created in eRAI, with a Status of "Closed".
- Current Assignments: All RAIs assigned to you.
- Open RAIs: All RAIs with a Status of "Open".
- Past Due: All RAIs with an "Open" Status and a "Current Review Due Date" in the past.
- My Questions: All questions created by you in eRAI.
- All Questions: All questions in eRAI, regardless of Status.
- Questions by RAI: All questions in eRAI, regardless of Status, grouped by RAI.
- RAI Responses: All responses for questions in eRAI.
- RAI FAQs: Answers to frequently asked questions about eRAI.

These standard views are available to all users, and are known in SharePoint as “Public Views”. To view the list, click on the hyper-linked list name. In addition to the items/records, each list will have an item header, which is the fields considered most important for reviewing the items/records in that list. You can sort and filter the list by the various fields in the item header. If you hover your pointer over a field, a drop-down symbol will appear. Click on the symbol and select from the sorting and filtering options provided.

If none of these views meet your need, then you can create your own, which is referred to as a “Personal View”. Creating a “Personal View” is covered in Section 3.6 of this guide.

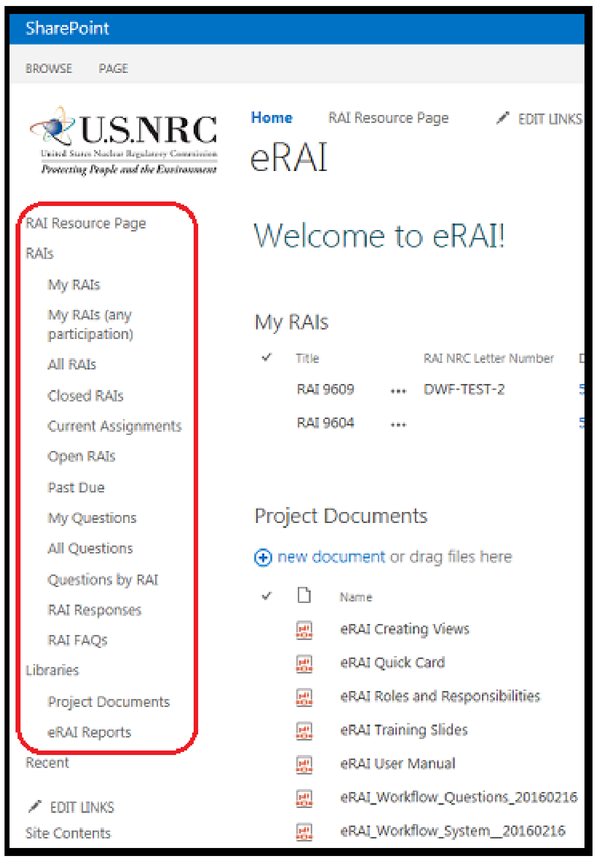


Figure 2:1: Navigation Pane

2.2 Other Resources in the Navigation Pane

In addition to the standard list views, the Navigation Pane (Figure 2-1) also provides access to other resources:

- RAI Resource Page:
  - Provides access to:
    - RAI Resources, e.g., the Office Instruction, and Quality Checklist.
    - eRAI Resources, e.g., the User Manual and Quick Card.
  - Covered in detail, in Section 15 of this guide.
- Project Documents:

   - Provides access to eRAI support documents, such as this manual, the QuickCard, and workflow diagrams.
   - Click the **Name** to open the file.
- eRAI Reports:
   - This link will take you to the eRAI reporting page.
   - Covered in detail, in Section 14 of this guide.

2.3 Returning to the eRAI Home Page

The eRAI **Home** link will take you back to the eRAI Home Page, from anywhere in the application.

Starting from any List, click the **Home** link (Figure 2-2) to return to the eRAI Home Page.

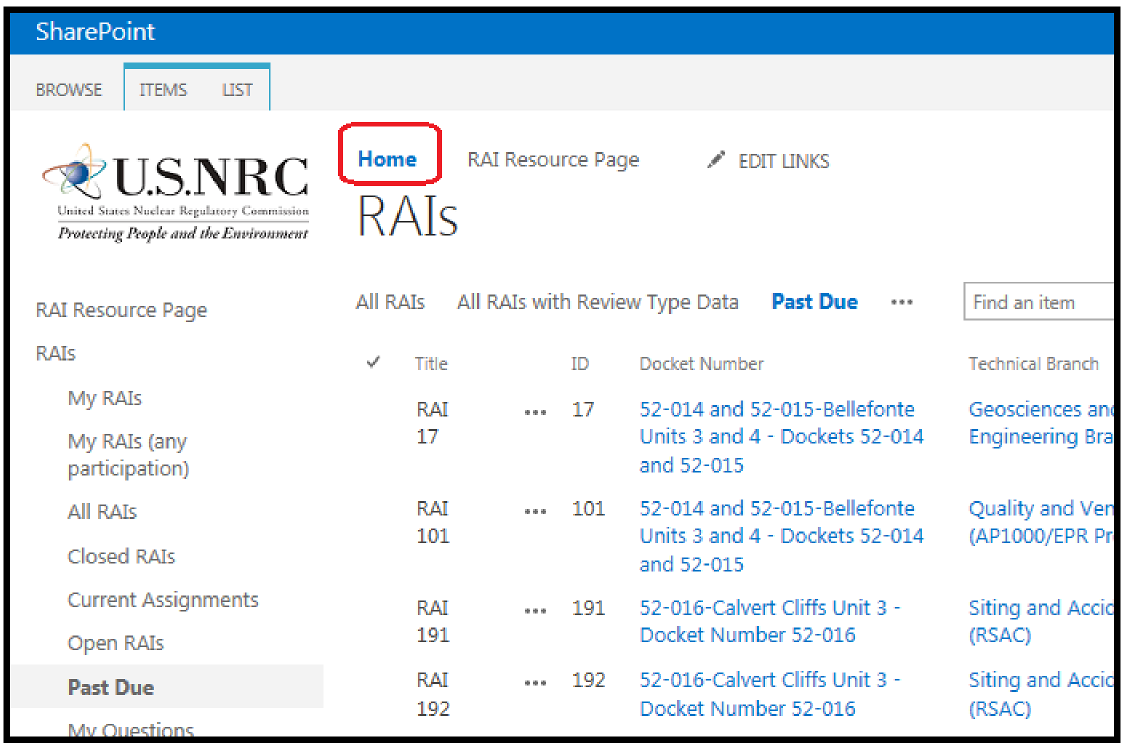


Figure 2:2: eRAI Home Link

Starting from any RAI, or Question, record:

1. Click the **Browse** tab (Figure 2-3), to display the eRAI **Home** link.

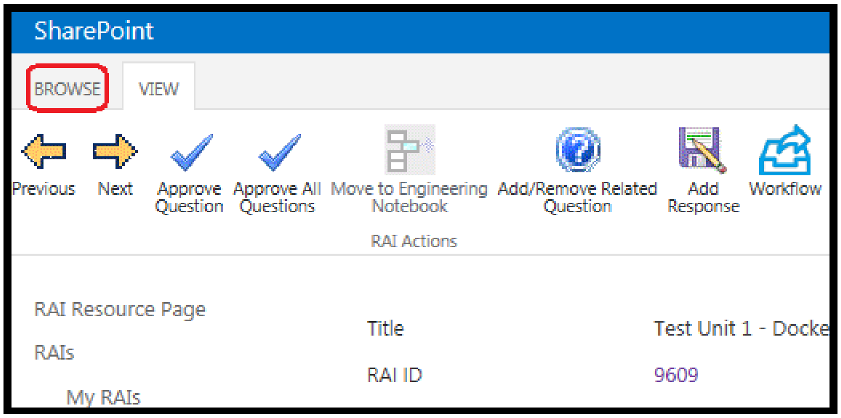


Figure 2:3: Browse to Home

2. Click the **Home** link to return to the eRAI Home Page.

Tip: Clicking the **U.S. NRC** logo will return you to the eRAI Home Page.

3 Working with RAI Records

The following fields are available for each RAI:

- Title
- ID
- Attachments
- Docket Number
- Review Document Section
- Application Section
- Technical Branch
- Technical Branch Reviewer
- Technical Branch Chief
- Technical Division Manager
- Chapter PM
- Licensing Branch Chief
- Project Manager
- OGC (Only for Non-DC RAIs)
- RAI Issue Date
- RAI Due Date
- RAI Close-Out Date
- RAI Status
- Current Review Start Date
- Current Review Due Date
- Application Accession #
- RAI NRC Letter Number
- RAI Accession No
- ADAMS References
- Engineering Notebook
- EPM Project Risk
- Revision Number
- State
- Assigned To
- Last Actioned By
- Content Type
- Created
- Created By
- Modified
- Modified By
- Revision Number
- Version

3.1 eRAI Lists

You can display a list of records in eRAI, using the links in the Navigation Pane. For example, click the **My RAIs** link, and the My RAIs list will be displayed (Figure 3-1)**.**

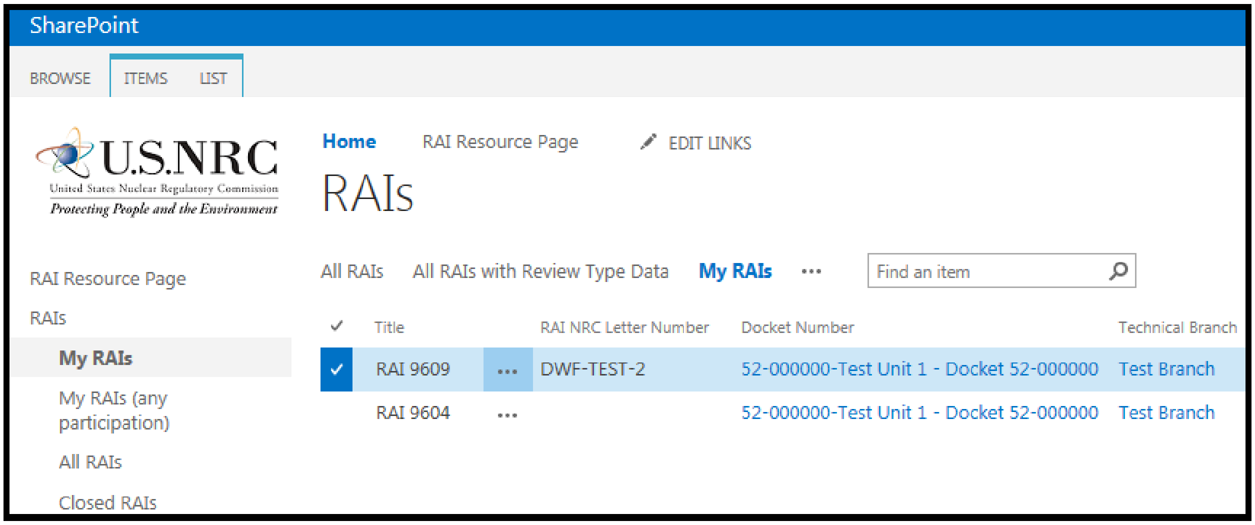


Figure 3:1: My RAIs List

Once the list is displayed, you have several options available to you (Figure 3-2).

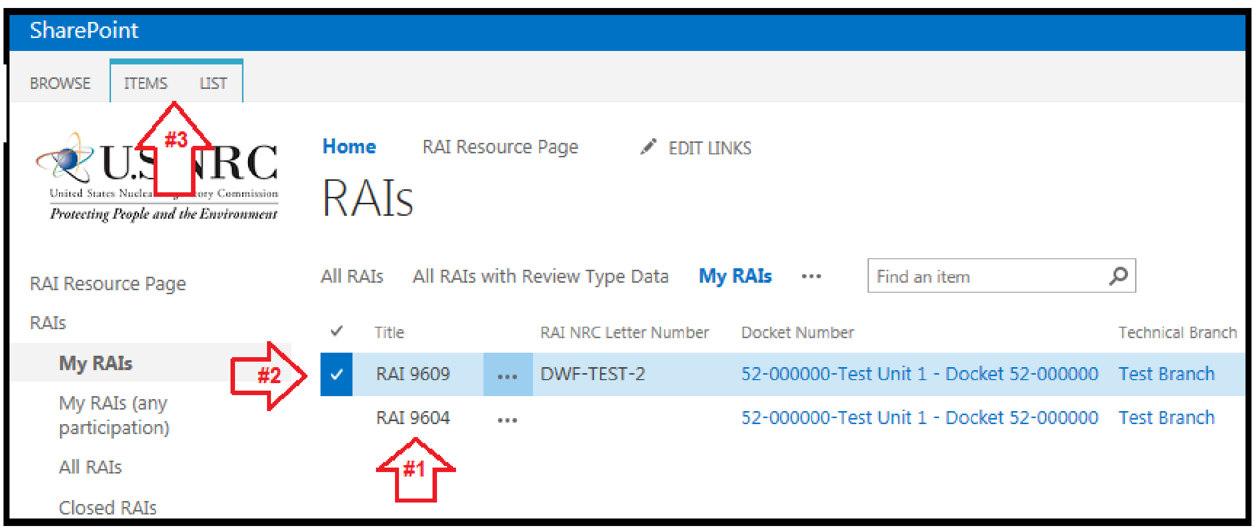


Figure 3:2: My RAIs List

For example:

1. You can open an RAI record, by clicking a value in the **Title** column.
2. You can hover your pointer over an RAI record, and select it, by clicking and putting a checkmark to the left of the **Title** field.
3. If you selected one or more records, as described in #2, then you can click either the **ITEMS** or the **LIST** tab, which will allow you to perform various tasks. For example, see the **ITEMS** tab in Figure 3-3

Tip: You can select multiple RAI records in #2 above.

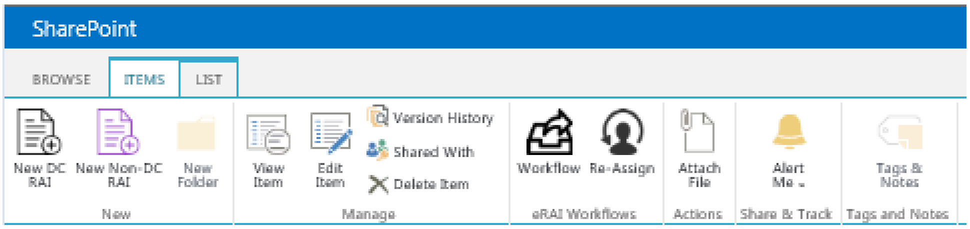


Figure 3:3: Items Ribbon

3.2 eRAI Detail Records

If you are looking for a record in a list, and it does not appear immediately, then use the vertical scroll bar on the right of the screen, and scroll down until you find it.

If you do not find the record by the time you reach the bottom of the page, and you see a pagination control (Ex. “1 – 100 ►”), then there are additional records to display. You can click on the arrow(s) to page forward and backward through the list to find your record.

Tip: Use the **Search** field to locate records using specific search criteria. For details, (Section 3.5.6 Using Field Values to Search for Items in eRAI on Page 16).

3.3 Viewing eRAI Detail Records

To view an eRAI Detail Record:

1. Start from one of the lists, for example the **My RAIs** list (Section 3.1 eRAI Lists on Page 11).
2. Click the **Title** (Figure 3-2) for the RAI record that you want to view.

The RAI Detail record opens, displaying all of information for the RAI.

Tip: Use the vertical scroll bar on the right to scroll down to the questions for the RAI.

3.4 Deleting Records in eRAI

Assuming you have permission to do so, eRAI provides you with two ways to delete items.

You can delete an item, whether it be an RAI, a Question, or a Response, while you are viewing it:

1. Locate the **Manage** section of the ribbon at the top of the screen.
2. Click the **Delete Item** button (Figure 3-4)

You can also delete one or more items simultaneously:

1. Starting from the appropriate list, select the items(s), which you want to delete (See Section 3.1 eRAI Lists on page 11).
2. Click the **ITEMS** tab in the SharePoint ribbon at the top of your screen.
3. Locate the **Manage** section of the ribbon at the top of the screen.
4. Click the **Delete Item** button.

The item(s) will be deleted.

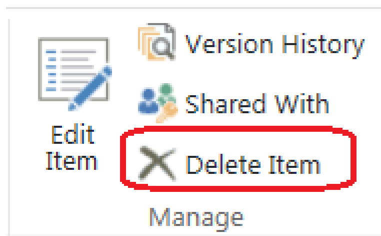


Figure 3:4: Delete Item

3.5 Entering Values in Fields and Using Field Values for Searching

The eRAI application provides the following types of fields:

- Checkbox
- Drop-down list
- Date Picker
- Text
- People Picker

Tip: Required fields, which are indicated by a blue asterisk (*), <u>must</u> be populated. eRAI will <u>not</u> allow you to save unless <u>all</u> required fields are populated.

3.5.1 Selecting and Clearing Checkboxes

Simply click a checkbox to select <u>or</u> de-select the field.

3.5.2 Entering a Value Using a Drop-down List

To select a value:

1. Click the arrow to the right of the drop-down field. A list of valid values for the field will open (Figure 3-5):

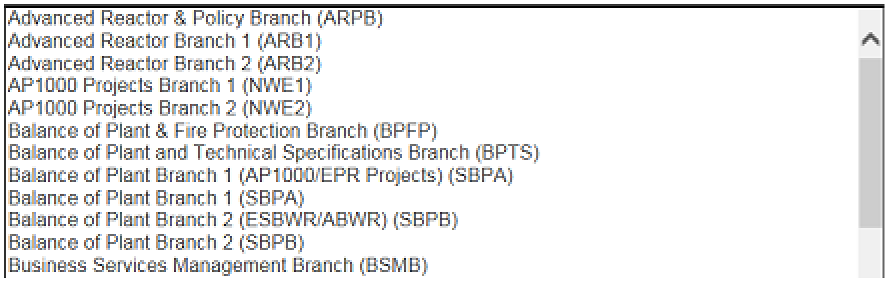


Figure 3:5: Technical Branch Drop-Down Menu

2. Use the vertical scroll bar to locate the correct value.
3. Click the value to select it, and close the drop-down list.

The value is selected and populates in the field.

3.5.3 Entering a Date

To enter a date:

1. Click the **Calendar** icon, to open the Date Picker, and display a calendar, which will display the current date.

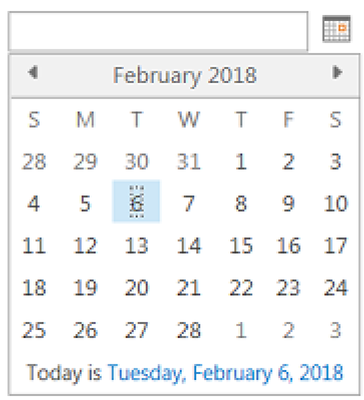


Figure 3:6: Date Picker

2. Use the left and right arrows (surrounding the name of the month) to scroll to the proper month.
3. Click a date to enter it in the date field, and close the Date Picker.

3.5.4 Entering Text

To enter text into a field:

1. Place your cursor in the upper left corner of the text field.
2. Begin typing.
3. When you are finished, tab out of the field, or select another field.

To copy text into a field:

1. Select and copy the text in the source file (document, spreadsheet, etc.) or field.
2. Place your cursor in the destination text field.
3. Right click, then select **Paste** (or press **Ctrl+v**).

Tip: If a Spell Check icon appears to the right of the field, select the **Spell Check** icon, then ignore or change the spelling of each of the words presented. When spell check is complete, click **OK** to close the Spell Check dialog box.

3.5.5 Picking People

To enter a person to a record in eRAI:

1. Click on the name field.
2. Begin typing the person's last name, and the system will suggest people based on what you've typed.
3. Locate the correct name in the list.
4. Click the name to select it, and close the field.

3.5.6 Using Field Values to Search for Items in eRAI

You can use SharePoint's built in Search feature, and certain field values, to find items in eRAI. SharePoint's search feature is similar to popular search engines like Google, Bing, etc.

To search for an item:

1. In the **Search this site** field, in the upper right corner of the screen (Figure 3-7), and type the term that you are looking for. For example, if you know the RAI ID, you can search for that specific RAI record. You can also search for groups of RAI records. For example, if you are searching for items for "South Texas Project Units 3 and 4", you might enter "south texas". If searching for items belonging to the "PRA & Severe Accidents Branch (SPRA)", you might enter "spra".
2. Click the **Search** icon, or press the **Enter** button on your keyboard.

The Search Site results page appears with a list of hyperlinks to the items that matched your search criteria. Click the link for any item that you want to view.

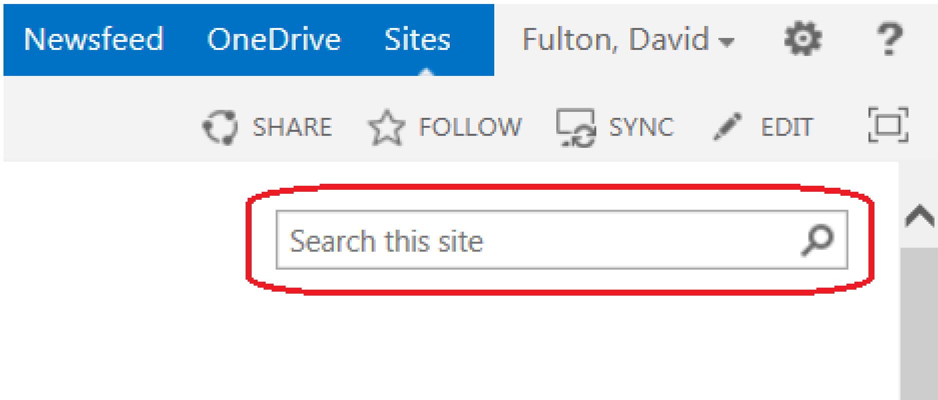


Figure 3:7: Search This Site Field

3.6 Creating a Personal View

As mentioned in Section 2.1, there may be times when the standard lists provided in the left navigation menu, will not suit your needs. In those instances, Personal Views will allow you to capture and present information to according to your requirements.

To create a personal view:

1. Start from one of the existing lists, e.g., the **All RAIs** list, if you want a list of RAI records.
2. Click the **LIST** tab at the top of the page.
3. Click the **Create View** button (Figure 3-8).

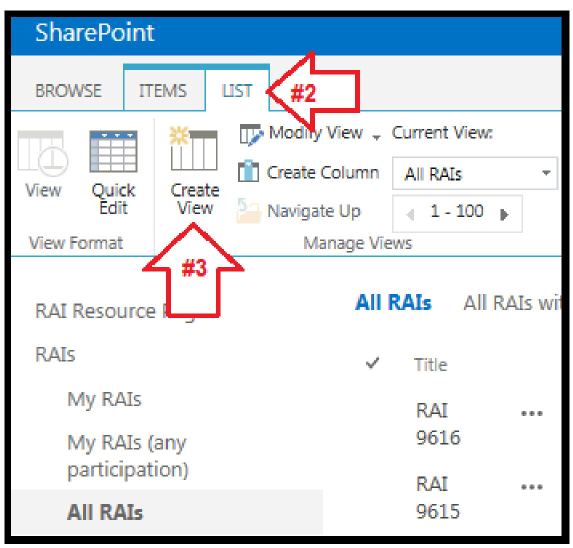


Figure 3:8: Create a View

4. On the **Settings > View Type** screen, click the **Standard View** link if you want to create your own view from "scratch". Otherwise, you can click one of the links from the **Start from an existing view** list, e.g., **Open RAIs**.

***Tip*:** Frequently, you will find that an existing view is very close to what you need. In those cases, it is more efficient to start from an existing view.

5. Enter a name for your view, e.g., "Open RAIs for My Tech Branch", in the **View Name** field.
6. In the **Columns** section, you will see three fields: **Display**, **Column Name** and **Position from Left** (Figure 3-9). The **Column Name** field lists the columns that are available to use in your view. The **Display** column determines whether the **Column Name** value will be included in your view. The **Position from Left** column determines where a **Column Name** value will appear in your view.
7. Click the **Display** field to:
    a. Check it, if you want to <u>include</u> the **Column Name** in your view
    b. Clear it, if you want to <u>exclude</u> the **Column Name** from your view.
8. Click the drop-down button for the **Position from Left** field, and select the order (from left to right) of each **Column Name** in your view.

Figure 3:9: Columns Display

9. Scroll to the **Filter** section.
10. If starting from scratch, click the second radio button (**Show items only when the following is true**). Otherwise, skip to Step #11.
11. Under **Show the items when column**, select the column that you want to use for your filter.
12. Select a condition for your filter, by using the drop down menu for the 2nd field, e.g., 'is equal to'.
13. Type the value for your filter, e.g., "Open", <u>exactly</u> as it appears in eRAI (Figure 3-10).
14. Select the **And**, or the **Or**, radio button (This is an optional step, that you'll use <u>only</u> if you want to filter on more than one column).
15. Select a value for the **When column** field (<u>only</u> if you want to filter by more than one column).
16. If you are filtering by more than one column, then you'll need to select a condition, e.g., "is equal to", for each additional column.
17. If you are filtering by more than one column, then you'll need to enter the value(s) for each additional column, <u>exactly</u> as it/they appear(s) in eRAI.
18. Use the vertical scroll bar to scroll to the bottom of the page and then click **OK.**

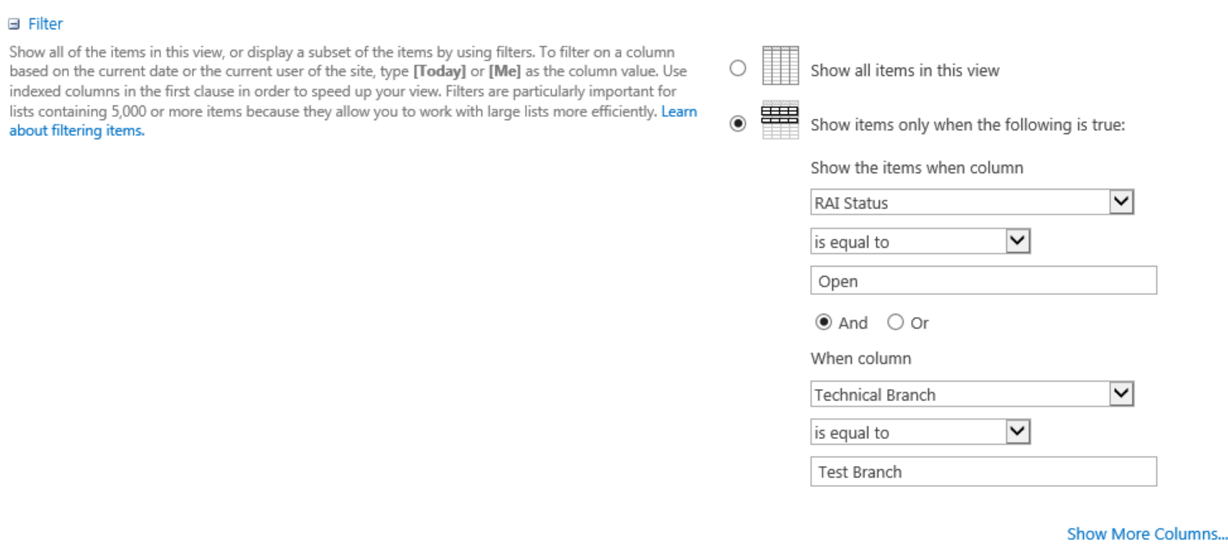


Figure 3:10: Filter Criteria

Tip: When using more than one column in your filter, selecting **And** will return only items that meet all of your filter's parameters, but selecting **Or** will return items that meet any of your filter's parameters.

3.7 Additional SharePoint Features

The Microsoft SharePoint environment is a robust web content and document management system that provides additional features within the eRAI application. SharePoint's user interface allows you to search file structures, databases, and documentation in order to retrieve useful information; associate files and documents (attachments) with key records; highlight certain types of information for future reference (tags and notes); and obtain assistance using online help.

Tip: For help with SharePoint features, click the Help (?) Icon in the upper-right corner of the page.

Enter the RAI ID for the RAI you wish to locate, and click the **Search** icon (Figure 3-11).

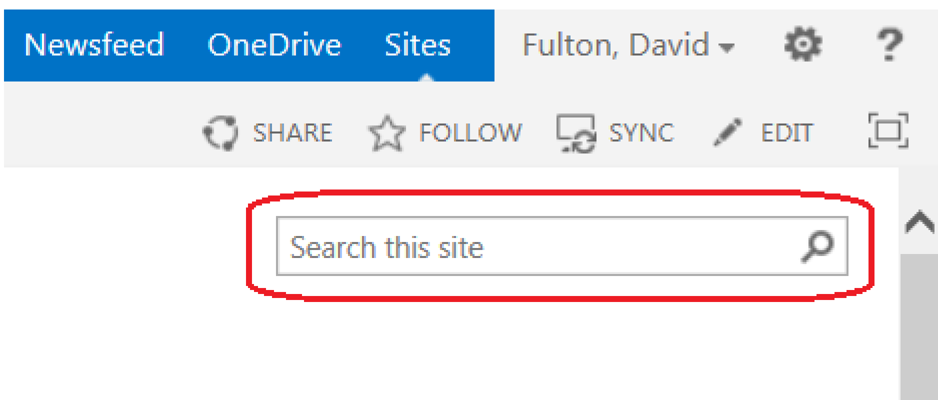


Figure 3:11: Search Icon

3.8 Modify an RAI

You can edit an existing RAI by clicking the **Title** of the RAI, either from search results or any RAI list, and then clicking on the **Edit Item** button (Figure 3-12).

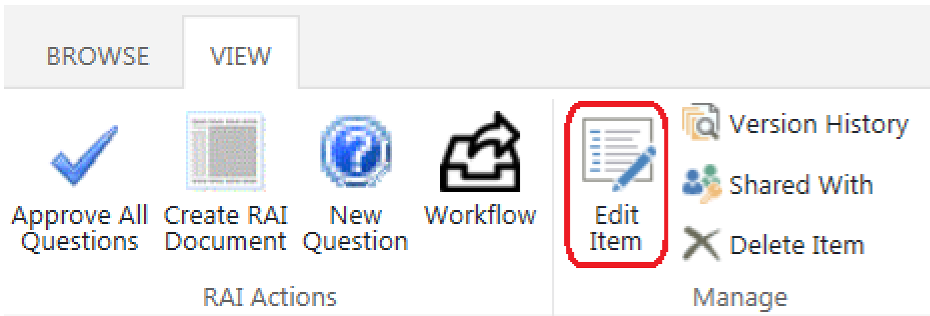


Figure 3:12: Edit Item

3.9 Transferring a Question from one RAI to another RAI

To transfer a Question from one RAI to another RAI:

1. On the eRAI Main Menu, click on **All RAIs** link in the left Navigation Pane.
2. The All RAIs List screen appears.
3. To select the RAI with the question that you wish to transfer, click the **Title** column associated with that item. The RAI screen opens.
4. Use the vertical scroll bar to scroll to the bottom of the screen to see the **Questions for RAI** section.
5. Click on the **Title** to view a question.

Tip: Before you transfer a question, make note of the **RAI ID** for the RAI that you are transferring the question from, and the RAI that you are transferring the question to (Figure 3-13).

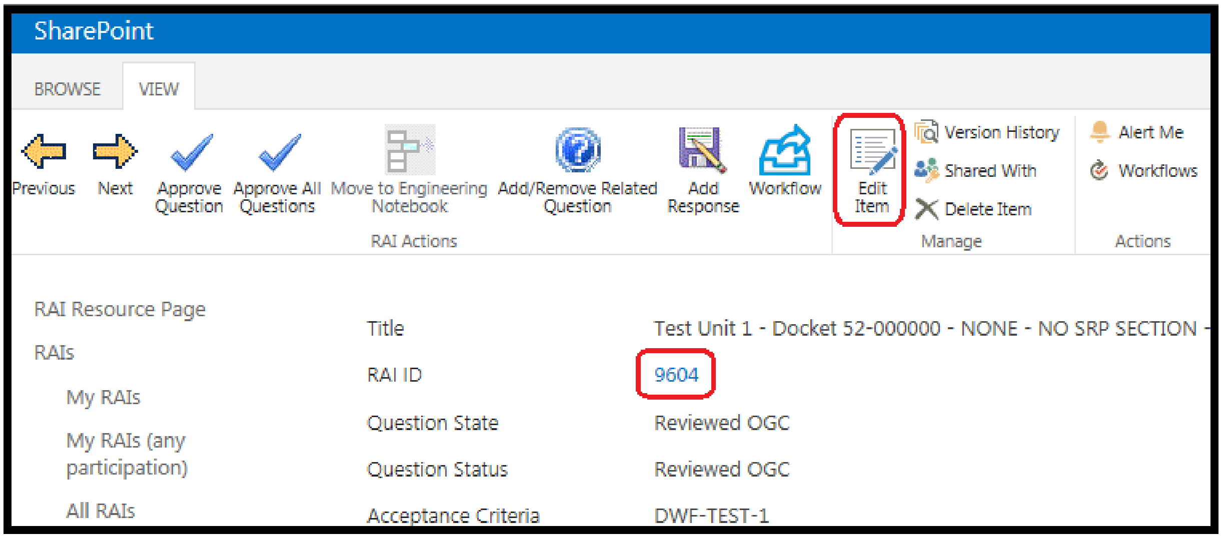


Figure 3:13: Edit Question

6. Click the **Edit Item** button on top of the page (Figure 3-13).
7. Click the **RAI ID** field and then select the new RAI ID for the question, using the drop-down list (Figure 3-15).

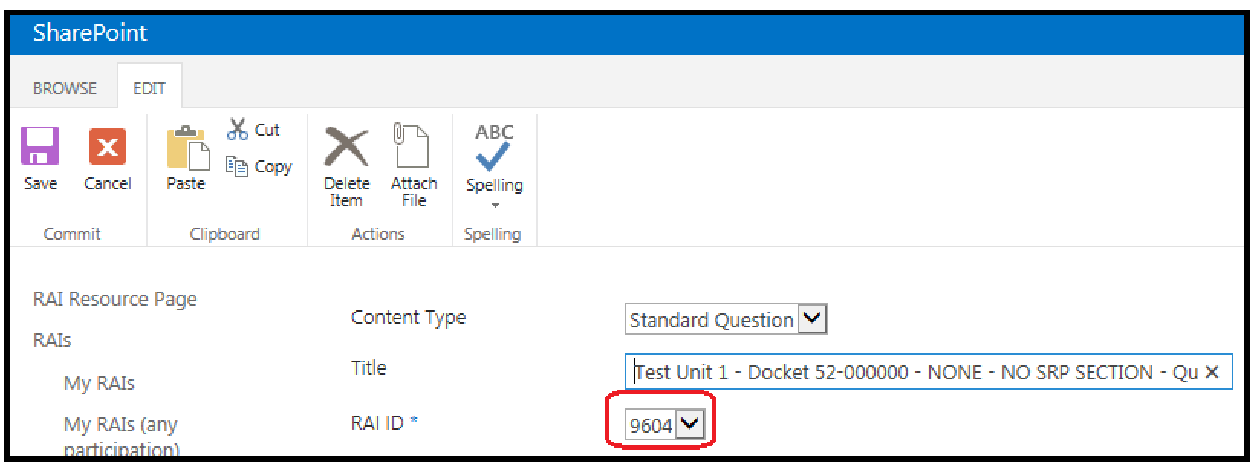


Figure 3:14: Change RAI ID

8. Use the vertical scroll bar to scroll to the bottom of the screen and click **Save.**
9. The question will be transferred to the selected RAI, and the RAI ID field will be updated with the new RAI ID.

To make sure the Question was transferred from one RAI to another RAI:

10. On the eRAI Main Menu, click the **All RAIs** link in the left Navigation Pane.
11. The All RAIs List screen opens.

12. To Select the RAI where the Question was transferred, click on the **Title** column associated with that item. The RAI screen opens.
13. Use the vertical scroll bar to scroll to the bottom of the screen to see the Questions for RAI section. (Figure 3-17).

Figure 3:15: RAI Question

14. Click on the **Title** of the question to view that question.
15. Use the vertical scroll bar to scroll to the bottom of the screen and click **Close** to return to All RAIs List screen.

Tip: We recommend that you enter an explanation for the transfer in the question's **Notes** field.

3.10 Deleting an RAI Question

To remove a question from an RAI:

1. Click the **Title** of the RAI that you wish to remove the question from.
2. Click the Question **Title**.
3. From the Question View screen, click the **Delete Item** button in the View Ribbon (Figure 3-18). You will receive a message confirming that you want to send the item to the Recycle Bin.
4. Click **OK** and the Question will be deleted.

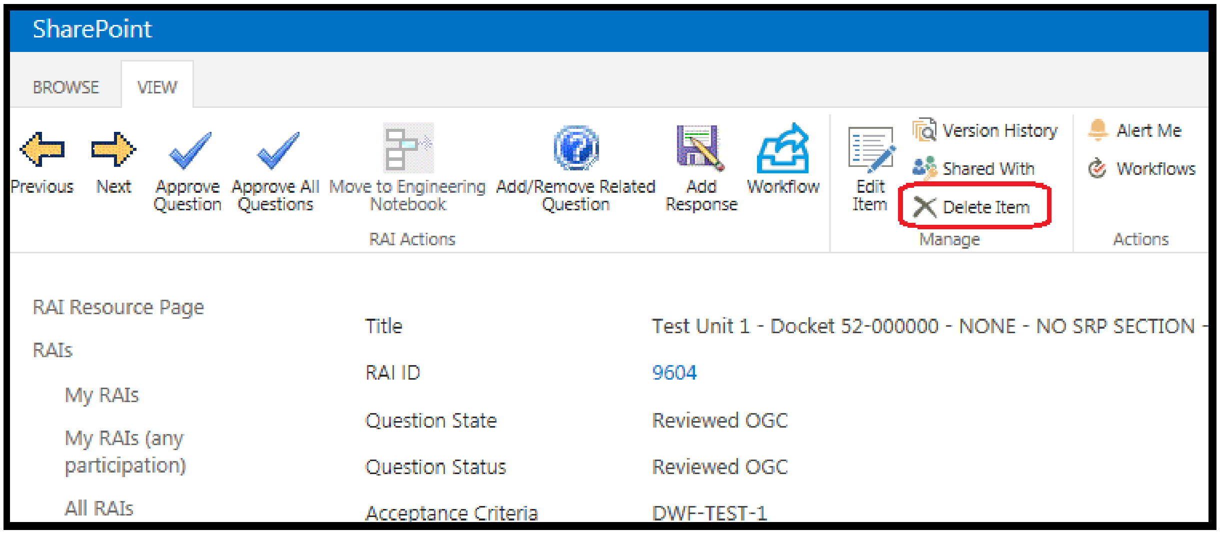


Figure 3:16: Delete Item

3.11 Add Related Question

To add a related question to an RAI:

1. Click the **Title** for the question that you want to add the related question under.
2. Under the View Tab, click the **Add/Remove Related Question** button. The **Select Related Questions** window pops up (Figure 3-19).
3. For **Question ID**, type in the ID of the existing question which you would like to search for and Click **Search**. The Question will appear in the **Questions to select from** window.
4. If you do not know the Question ID, you can browse through the list in the **Questions to select from** window, using the vertical scroll bar. By default, the **Limit to Docket Related Questions** and **Limit to Section Questions** filters are selected. You can broaden the list by unchecking one, or both of those filters. There is also a **Limit to Design Center Questions** filter.
5. Click the **Select** check-box for the related question(s), then click the **Add** button. The question will be moved to the **Related Questions** list.
6. Click the **Save** button at the bottom of the window (Figure 3-19). A confirmation window will appear, indicating that "Changes have been saved."

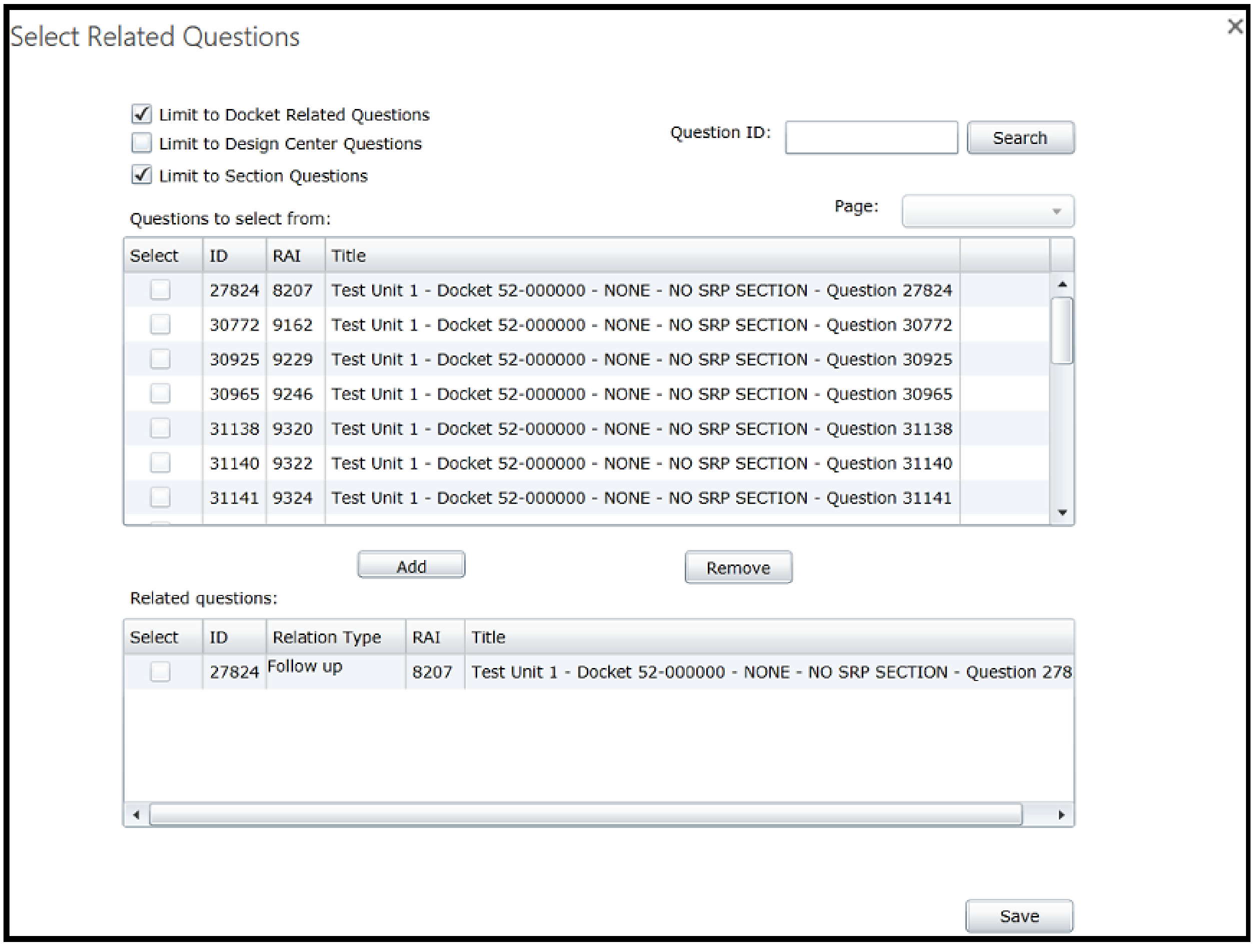


Figure 3:17: Add/Remove Related Questions

3.12 Remove Related Question

To remove a Related Question from an RAI:

1. Click on the **Title** for the Question with the Related Question that you want to remove.
2. Under the View Ribbon, click the **Add/Remove Related Question** button to open the **Select Related Questions** (Figure 3-19) dialog.
3. In the **Related Questions** window, clear the **Select** check-box for the question that you want to remove, and then click the **Remove** button. The question is removed from the **Related Questions** window.
4. Click the **Save** button at the bottom of the screen and a confirmation window will appear indicating that "Changes have been saved."

3.13 Reopening a Closed Question

This process allows the Project Manager to reopen a Closed Question, after a subsequent

Response has been received from the Applicant, which changes the disposition of the question.

1. Open the RAI by clicking its **Title** in an RAI list.
2. Scroll to the bottom of the screen to see the **Questions for RAI** section.
3. Click the **Title** of the Question to be reopened and the response added.
4. Click the **Add Response** button at the top of the screen (Figure 3-21).

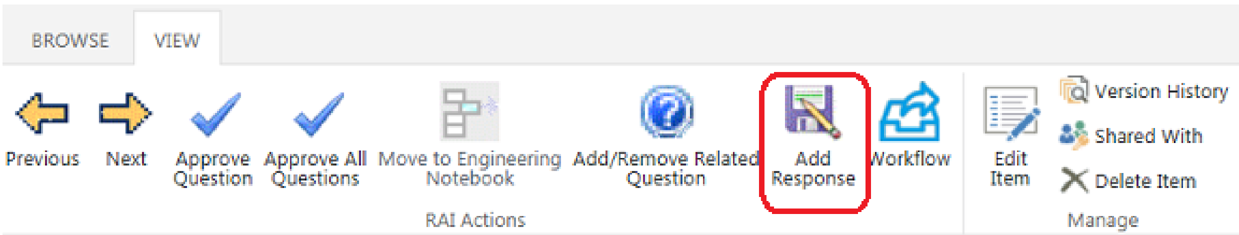


Figure 3:18: Add Response Button

5. Enter the Applicant's Response in the **Answer** field.
6. Enter the **Response Date**.
7. Enter the **Response Accession Number.**
8. Select the **Response Type**, either **"**Full", "Final", or **"**Partial".
9. Click **Save**.
10. You will be returned to the **Question View** screen.
11. Click the **Workflow** button (Figure 3-22), which opens the **eRAI Workflow** screen.

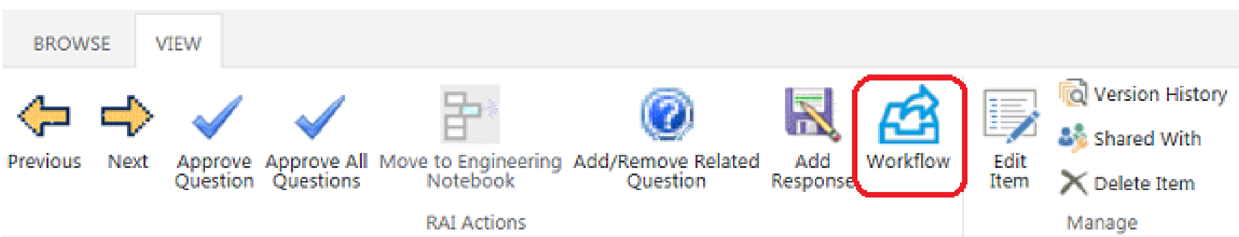


Figure 3:19: Workflow Action Button

12. The **eRAI Workflow** dialog asks "Would you like to start a new workflow instance and transition it to In Evaluation?" The **Assign To** and **Due Date** fields are already set. Click the **Start** button (Figure 3-23).

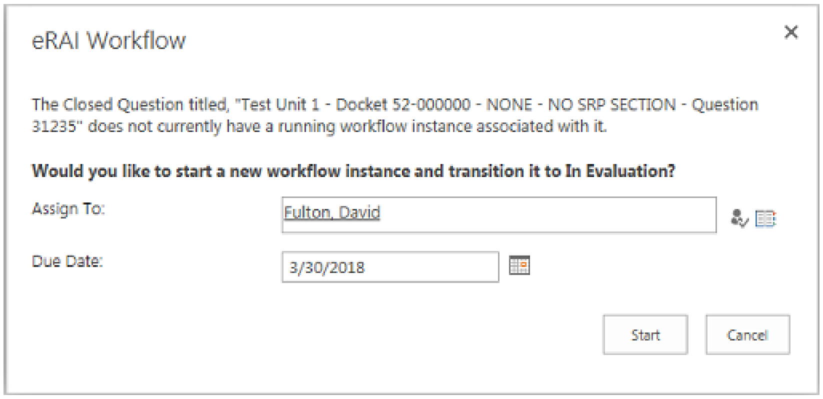


Figure 3:20: PM Resubmits Question for Evaluation

3.14 Re-Assigning an RAI

This process allows the user to assign an RAI to someone else.

1. Starting from the **Items** tab of any RAI list, select a RAI by clicking the adjacent check-box. Then the click the **Re-Assign** button on the Items Ribbon (Figure 3-24).

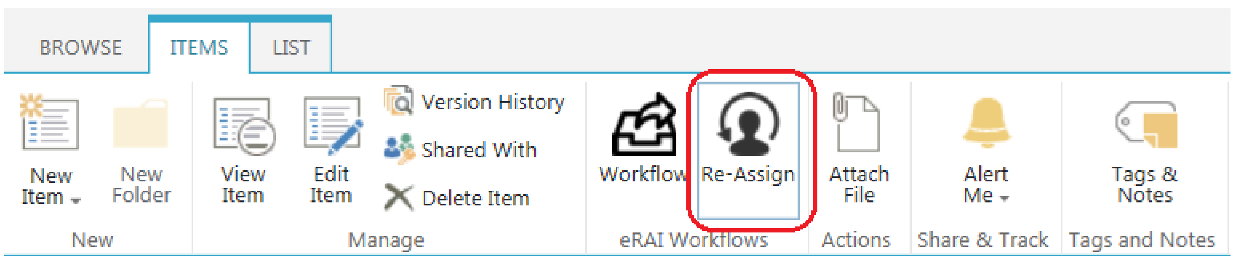


Figure 3:21: Re-Assign RAI

2. The **eRAI Workflow Redirect** dialog window will open displaying the Title, Activity, User, and Start Date for the RAI workflow. If you do not know the name of the user that you want to you re-assign the RAI workflow to, exactly as it appears in eRAI, then skip to Step 3. If you do know the name of the user, type it in the **New User** field (Figure 3-25), exactly as it appears in eRAI, e.g., “Fulton, David”, and then skip to Step 7.

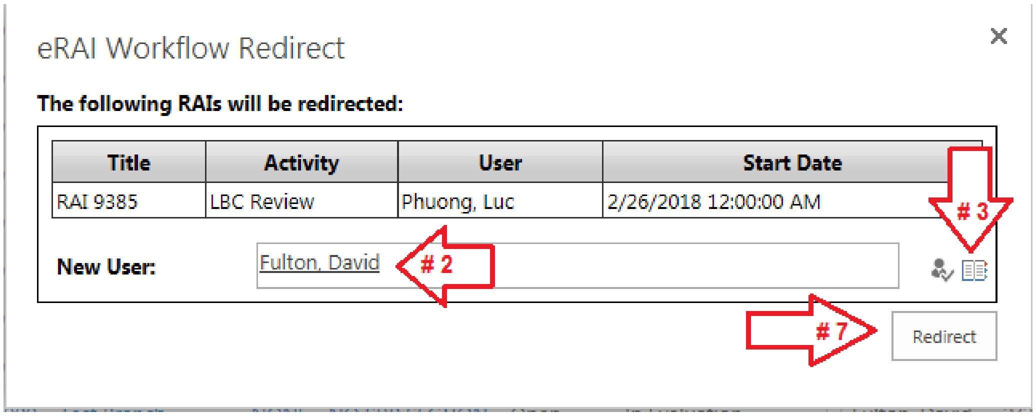


Figure 3:22: RAI Workflow Redirect

3. Click the User Lookup icon (Figure 3-25) to open the **Select People** dialog window (Figure 3-26).

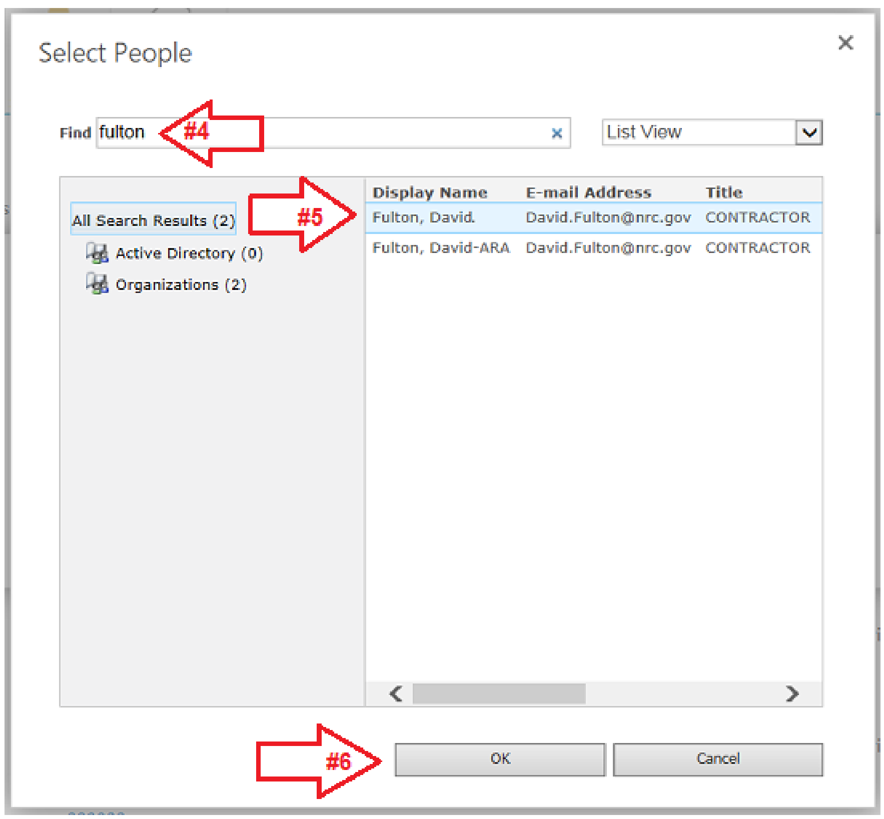


Figure 3:23: Select User to Re-Assign RAI Workflow

4. Type the first or last name of the user in the **Find** field, and click the magnifying glass icon, or press the “Enter” key on your keyboard (Figure 3-26).
5. Find the name of the user in the list, and click on their name to select them (Figure 3-26).

6. Click the **OK** button (Figure 3-26), to save your selection, and close the **Select People** dialog.
7. Click the **Redirect** button (Figure 3-25) to re-assign the RAI workflow to the user that you selected.

The RAI Activity is now assigned to the new user, and the Workflow stays intact.

***Tip*:** This feature is available from any RAI-based list, which includes the: “My RAIs”, “My RAIs (any participation)”, “All RAIs”, “Closed RAIs”, “Current Assignments”, “Open RAIs”, and “Past Due” lists.

4 Start of RAI Process: Technical Branch Reviewer (TBR) Creates an RAI

To create an RAI:

1. On the eRAI Main Menu, click on **All RAIs** link in the left Navigation Pane.
2. The All RAIs List screen appears.
3. Click the **Items** tab in the upper left corner of the screen under List Tools.
4. Click the **New DC RAI** button, or the **New Non-DC RAI** button (Figure 4-1).

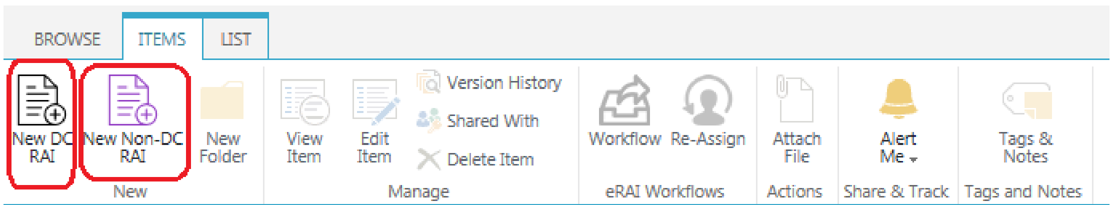


Figure 4:1: Create a New DC or Non-DC RAI

For a Design Certification (DC), and other review process that do <u>not</u> require a hearing, Office of General Counsel (OGC) concurrence is <u>not</u> required. In those cases, select **DC RAI,** and you will notice the **OGC** field is <u>not</u> displayed. For any review that <u>does</u> require OGC concurrence, choose **Non-DC RAI**, to include the **OGC** field, and to include the OGC in the concurrence workflow.

5. The RAI – New Item screen appears (Figure 4-2)

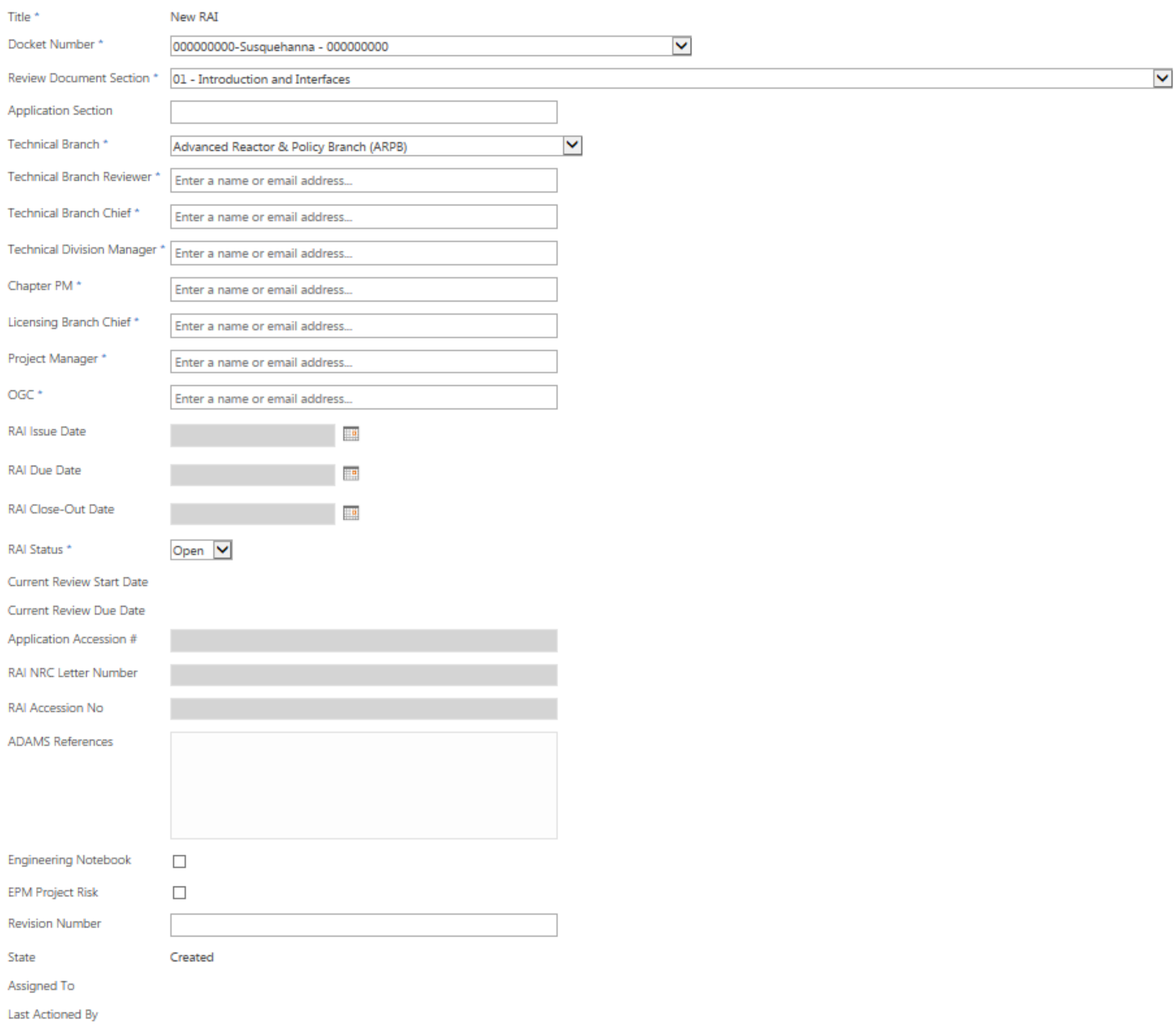


Figure 4:2: New RAI Screen

6. Specify the following for the new item:
    - *Required:* **Docket Number** (Select from drop-down list).
    - *Required:* **Review Document Section** (Select from drop-down list).
    - **Application Section** (Type in the free-text field).
    - *Required:* **Technical Branch** (Select from drop-down list).
    - *Required*: **Technical Branch Reviewer** (Begin typing a name the field and select from the list that generates).
    - *Required:* **Technical Branch Chief** (Begin typing a name the field and select from the list that generates).
    - *Required:* **Technical Division Manager** (Begin typing a name in the field and select from the list that generates).
    - *Required:* **Chapter PM** (Begin typing a name the field and select from the list that generates).
    - *Required:* **Licensing Branch Chief** (Begin typing a name the field and select from the list that generates).
    - *Required:* **Project Manager** (Begin typing a name the field and select from the list that generates).
    - *Required (only for Non-DC RAI):* **OGC** (Begin typing a name the field and select from the list that generates).
    - Verify the **RAI Issue Date** is blank and disabled.
    - Verify the **RAI Due Date** is blank and disabled.
    - Verify the **RAI Close-Out Date** is blank and disabled.
    - *Required:* Verify that the **RAI Status** is set to “Open”.
    - Verify the **Application Accession #** is blank and disabled.
    - Verify the **RAI NRC Letter Number** is blank and disabled.
    - Verify the **RAI Accession No** is blank and disabled.
    - Verify the **ADAMS References** is blank and disabled.
    - Select the **Engineering Notebook** (if applicable**).**
      Selecting or checking the checkbox for Engineering Notebook indicates that an RAI has an Engineering Notebook and to indicate that there are engineering notes outside the system
    - Select the **EPM Project Risk** (if applicable**).**
      Selecting or checking the checkbox for EPM Project Risk indicates that the RAI represents a risk to the project and budget.
    - Enter the **Revision Number** (if applicable).
    - Verify that the **State** is set to “Created” and disabled.
    - Verify that the **Assigned To** is blank and disabled.
    - Verify that the **Last Actioned By** is blank and disabled.
7. Click **Save**.

***Tip*:** Required fields, which are indicated by a blue asterisk (*), must be populated. eRAI will not allow you to save a record unless all required fields are populated.

4.1 TBR Adds Question(s) to an RAI

After the Technical Branch Reviewer (TBR) creates a new RAI, then they will need to add at least 1 question to the RAI.

1. On the eRAI Main Menu click on **All RAIs** link in the left Navigation Pane.
2. The All RAIs List screen opens.
3. To select the RAI to which you wish to add a question(s), click on the **Title** of the RAI. The RAI screen opens. Or, you can click on My RAIs to find your most recently created RAI.
4. In the top left corner of the screen under the View Ribbon, click the **New Question** button. (Figure 4-3), to open the Question Detail page (Figure 4-4).

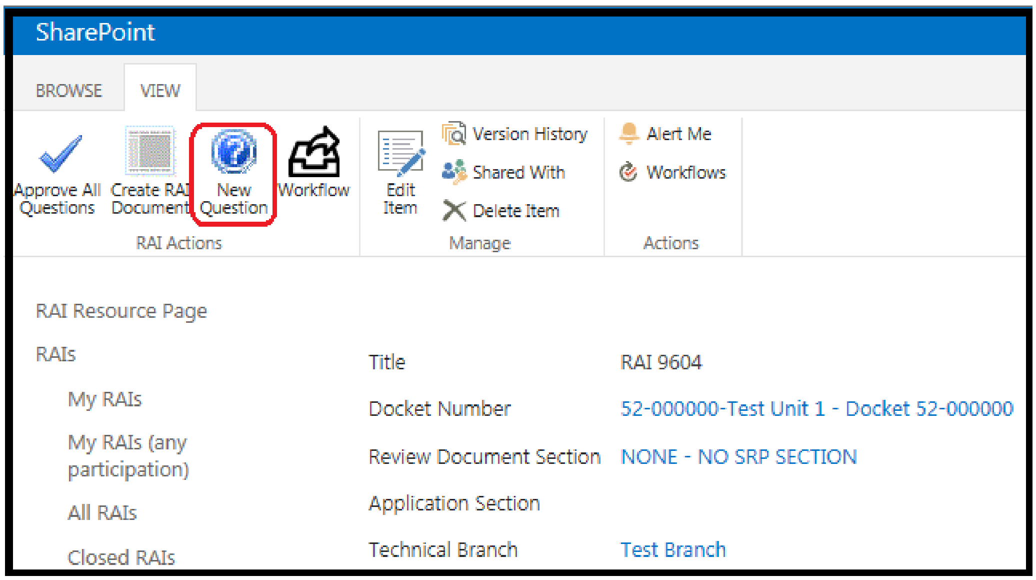


Figure 4:3: Adding a New Question

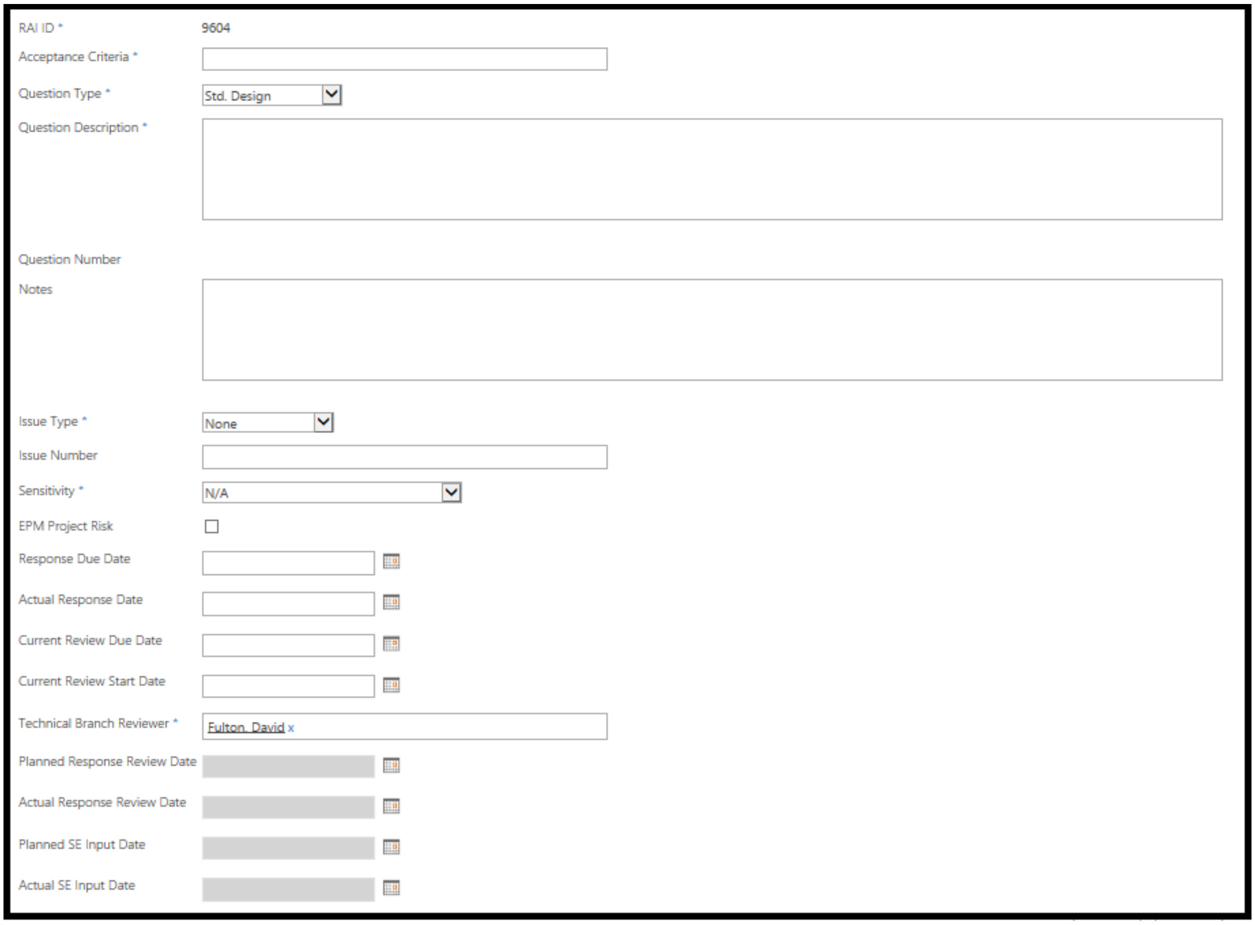


Figure 4:4: Question Detail Page

5. Specify the following for the New Question:
    a. *Required:* **Acceptance Criteria** (Type in the free-text field).
    b. *Required:* **Question Type** (Select from drop-down list).
    c. *Required:* **Question Description** (Type in the free-text field).
    d. **Notes** (Optional free-text field).
    e. *Required:* **Issue Type** (Select from drop-down list if applicable).
    f. **Issue Number** (Type in the free-text field).
    g. *Required:* **Sensitivity** (Select from drop-down list if applicable).
    h. **EPM Project Risk** (Select from drop-down list if applicable).
    i. **Response Due Date** (Select from date-picker).
    j. **Actual Response Date** (Leave blank. It will be updated later.).
    k. **Current Review Due Date** (Select from date-picker).
    l. **Current Review Start Date** (Select from date-picker).
    m. *Required:* **Technical Branch Reviewer** (Should be automatically populated with the TBR's name).
    n. **Planned Response Review Date** (See Tips 2 & 3 below.).
    o. **Actual Response Review Date** (See Tip 2 below.).

   p. **Planned SE Input Date** (See Tip 2 below.).
   q. **Actual SE Date** (See Tip 2 below.).

6. Click the **Save** button.

***Tips*:**

1. Required fields, which are indicated by a blue asterisk (*), must be populated. eRAI will not allow you to save a record unless all required fields are populated.
2. If the **Issue Type** is “None” or “Environmental”, then the fields described in 6.n. – 6.q. (above) are disabled.
3. If the **Issue Type** is “SER Open Item”, or “Confirmatory Item: the **Planned Response Review Date** (6.n. above) is automatically set to 30 calendars days from the **RAI Issue Date**.
4. The new question will be added to the **Questions for RAI** section at the bottom of the RAI screen (Figure 4-5).
5. If you change the **Sensitivity** field from the default value (“N/A”), to any of the other available values, the system will present a pop-up with the reminder “DO NOT add any SUNSI, Proprietary, or SGI content into the eRAI system.” (Figure 4-6).

Figure 4:5: RAI Question

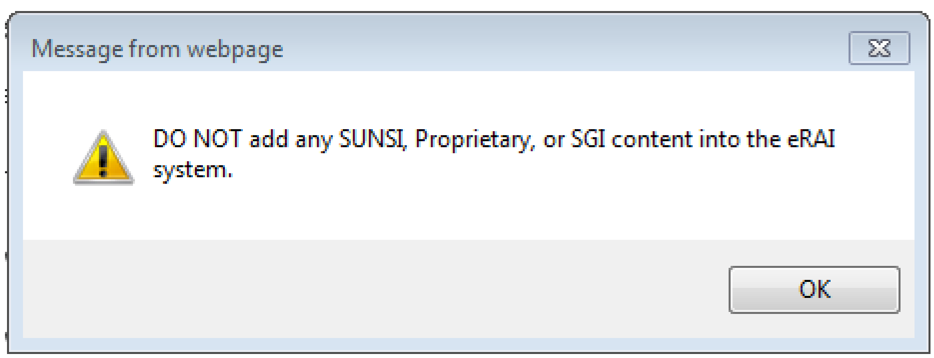


Figure 4:6: SUNSI Warning

4.1.1 Viewing Questions for an RAI

After the TBR creates a new RAI and adds the relevant questions, the RAI and its questions may be viewed as follows:

1. On the eRAI Main Menu Click on **All RAIs** link in the left Navigation Pane. Alternatively, you can select the **My RAIs** link to bring up your most recent RAIs.
2. Click an RAI **Title**, to open that RAI.

3. Use the vertical scroll bar to scroll down the screen and view the details of the RAI. The question(s) will be at the bottom, in the **Questions for RAI** section.
4. Click the **Title** of a question to view that question.
5. Click **Close** to return to the All RAIs List screen, or click the **RAI ID** at the top of the screen, to return to the **RAI Details** page.

4.2 TBR Sends the RAI to Technical Branch Chief Review

Once you have created a new RAI and added your questions, follow the steps below to start the Workflow:

1. Open the RAI.
2. To send the RAI for Technical Branch Chief (TBC) review, click the **Workflow** button at the top left corner of the RAI screen (Figure 4-7).

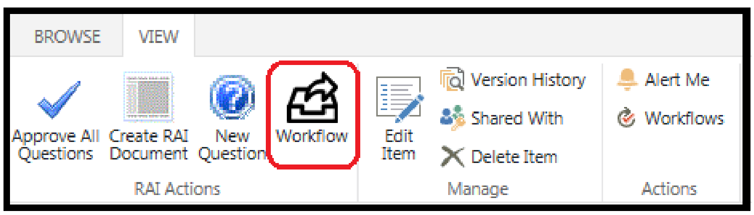


Figure 4:7: RAI Workflow Button

3. On the **Workflow** screen, click **Start** to begin the Workflow process and send an email notification to the TBC**,** with a copy of the email to the PM (Figure 4-8).

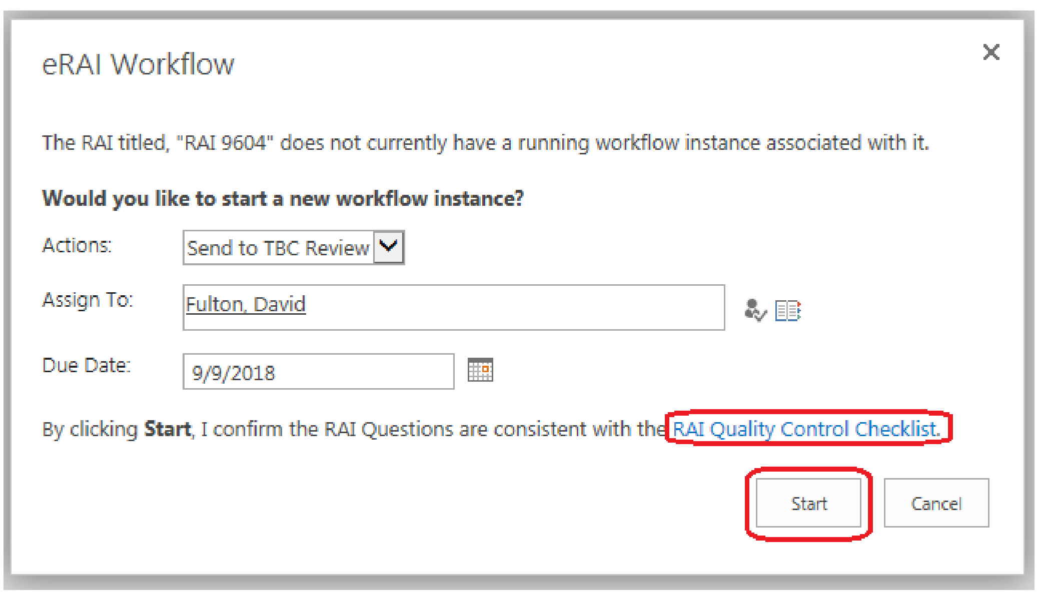


Figure 4:8: Start of Workflow

4. The email will inform the TBC that the RAI has been assigned to them for review, and provide a hyperlink to access the RAI.
5. You will be returned to the RAI screen.

Tips: If you click the **RAI Quality Control Checklist** hyperlink, the latest version of the checklist will open from ADAMS.

4.3 TBC Reviews the RAI and Returns it to the TBR

If the TBC reviews the RAI and Question(s) and determines that the RAI or RAI Question(s) needs to be edited, they will send the RAI back to the TBR. In this case, please follow steps 1-8 in this section to send the RAI back to the TBR.

If the TBC concurs with the RAI and the RAI Question(s), they will approve the question(s) and move the RAI forward in the Workflow for Technical Division Manager Review. In this case please skip the steps below and refer to Section 5.1 TBR Reviews and Edits the RAI and Question(s).

1. On the eRAI Main Menu, click on **All RAIs** link in the left Navigation Pane.
2. The All RAIs List screen opens.
3. Click the **Title** of the RAI that you wish to review.
4. Click the **Workflow** button at the top left corner of the RAI screen (Figure 4-9) to open the **eRAI Workflow** screen.

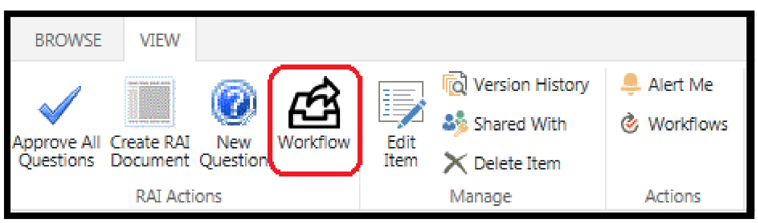


Figure 4:9: RAI Workflow Button

5. Click the **Actions** dropdown box and select ‘Send back to Technical Branch Review’ (Figure 4-10).
6. Changing the **Actions** field value will automatically change the **Assign To** field value to the TBR. If you want to assign the workflow to another user, then continue with this step. Otherwise, skip to Step 7.
    a. To assign the workflow to another user, click the address book icon to the right of the **Assign To** field (Figure 4-10).
    b. Next type the person’s name in the **Find** field. A list of suggested users will be generated (Figure 4-11).
    c. Click a name in the list to select it (Figure 4-11).

d. Click the **OK** button in the bottom right corner of the Select People window (Figure 4-11).

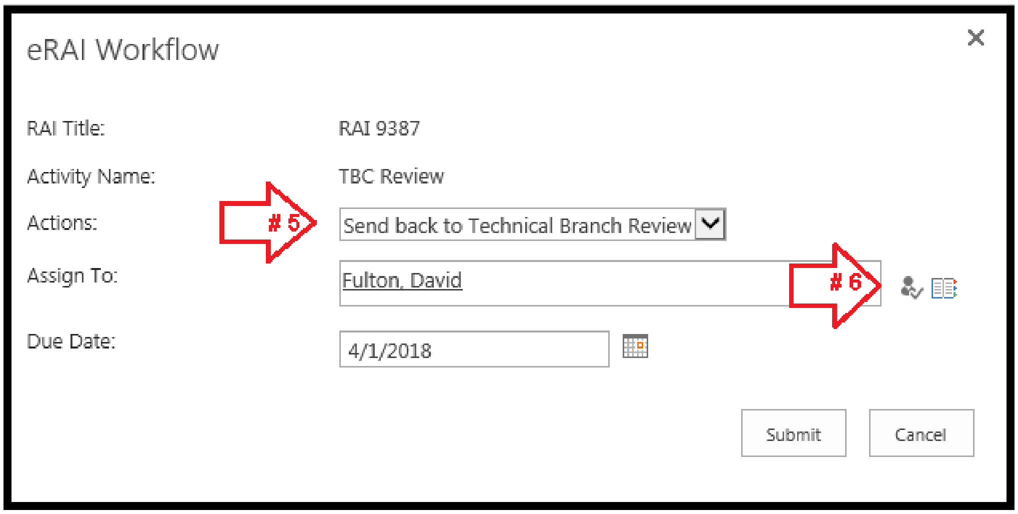


Figure 4:10: RAI Workflow

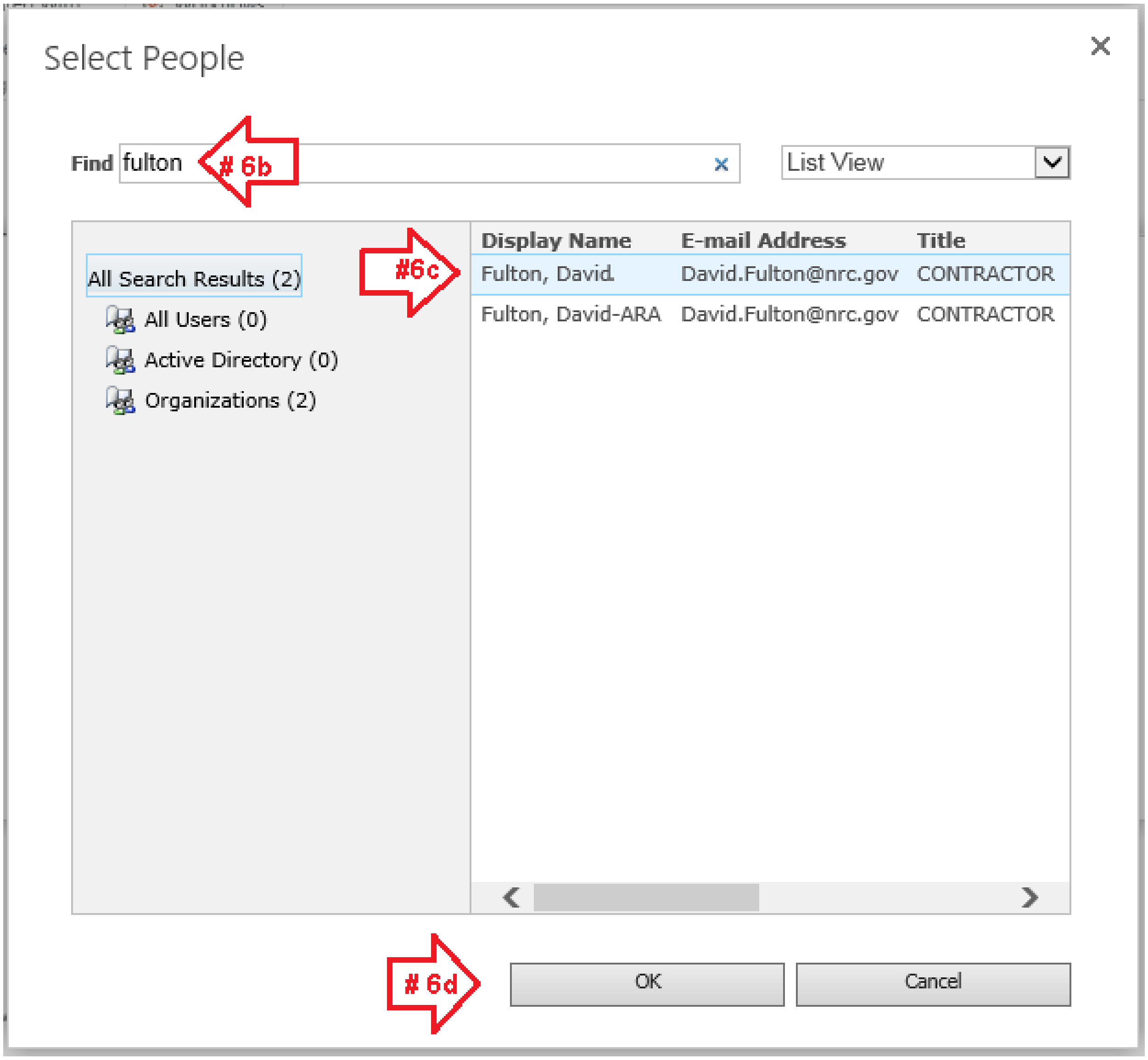


Figure 4:11: Select People

7. Click the **Submit** button to send the RAI back in the Workflow process, to the TBR, (Figure 4:12) and send an email notification to the TBR (Figure 4:13). The email notification will inform the TBR that the RAI has been assigned to them, and provide a link to the RAI. The system will also send a copy of the email to the PM.

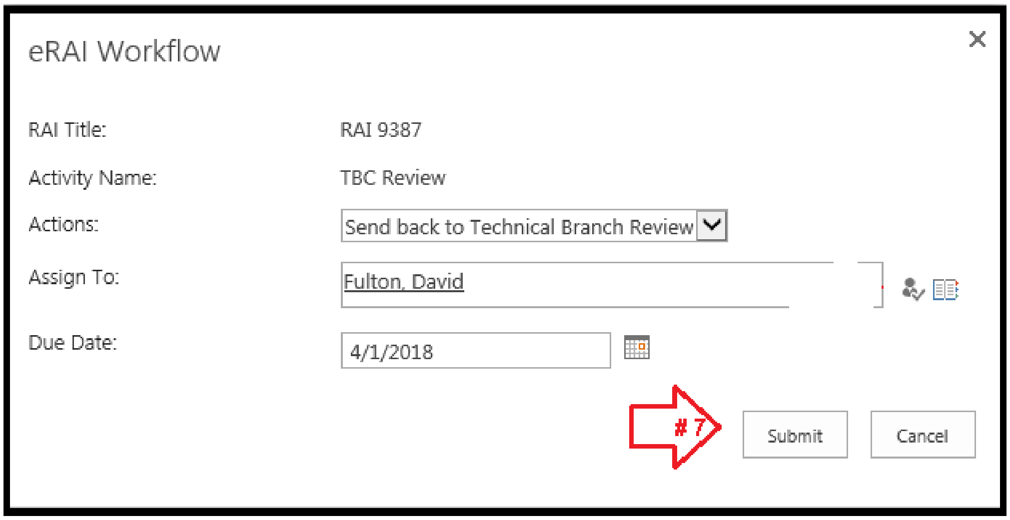
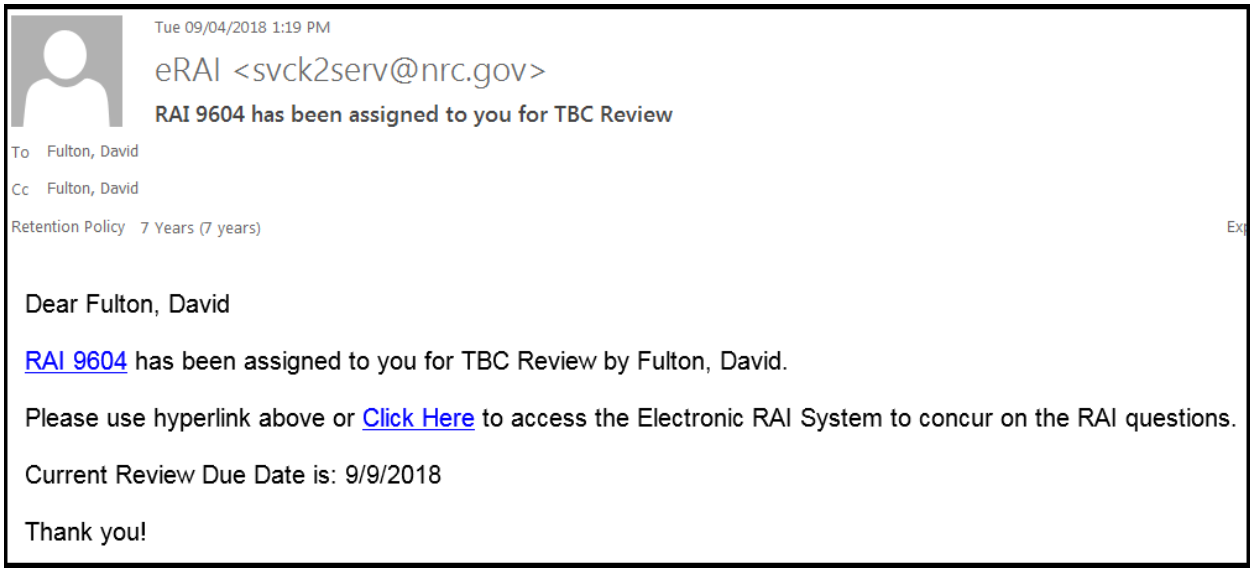


Figure 4:12: Submitting the RAI Workflow

8. You will be returned to the **RAI** screen.



Tue 09/04/2018 1:19 PM

eRAI <svck2serv@nrc.gov>

RAI 9604 has been assigned to you for TBC Review

To Fulton, David

Cc Fulton, David

Retention Policy 7 Years (7 years)

Dear Fulton, David

RAI 9604 has been assigned to you for TBC Review by Fulton, David.

Please use hyperlink above or Click Here to access the Electronic RAI System to concur on the RAI questions.

Current Review Due Date is: 9/9/2018

Thank you!

Figure 4:13: Workflow Notification Email

5 TBR Edits the RAI and Question(s) Before Sending to TBC Review

After the TBC sends the RAI back to TBR, the TBR will review the RAI and the RAI Questions based on Industry proposal and regulatory requirements, policies, guidelines and applicable precedents.

5.1 TBR Reviews and Edits the RAI and Question(s)

If any question(s) need to be edited, then follow these steps:

1. Click the **RAI ID** hyperlink that was sent as an email link by the TBC using the Workflow.
2. Use the vertical scroll bar to scroll to the bottom of the screen to view the **Questions for RAI** section.
3. Click on the **Title** and then click the **Edit Item** button, on top of the screen, to open the question in edit mode (Figure 5:1).

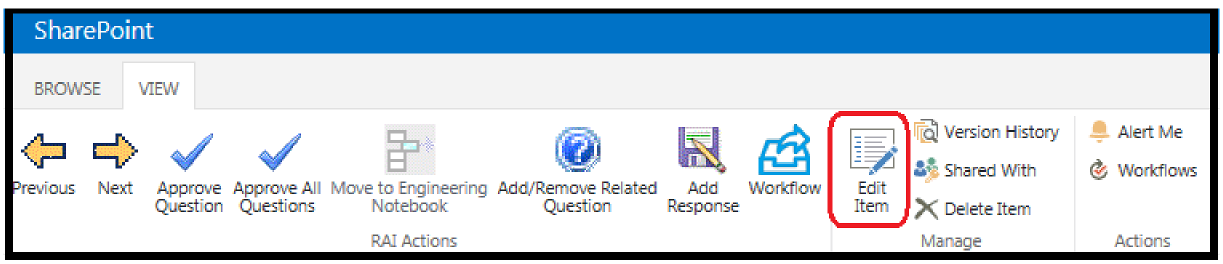


Figure 5:1: Edit Question

4. Make your changes, and then click **Save.**
5. Click the **RAI ID** to be returned to the RAI screen.

5.2 Workflow – TBR Sends the RAI for TBC Review

Once the TBR has edited the RAI and RAI Question(s), the TBR will follow the steps in Section 4.3, TBR Initiates the RAI Workflow and passes the RAI to Technical Branch Chief to send the RAI back to the TBC.

6 TBC Reviews the RAI and Question(s)

After the TBR sends an RAI for TBC Review, an email will be sent out to TBC to inform them that the RAI is waiting for review. The TBC reviews the RAI and the RAI Questions and when they concur with the question(s), the TBC approves the Question(s).

6.1 TBC Edits and Approves All Question(s)

1. Click the **RAI ID** hyperlink included in the email from the TBR.

2. Use the vertical scroll bar to scroll to the bottom of the screen to view the **Questions for RAI** section.
3. Click on the Question **Title** and then the **Edit Item** button, on top of the screen (Figure 6-1) to open the question in edit mode.

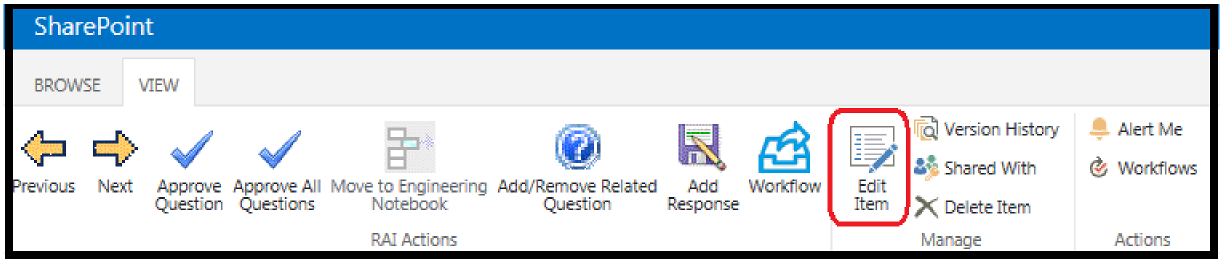


Figure 6:1: Edit Item Button.

4. Make your changes and then use the vertical scroll bar to scroll to the bottom of the screen and click **Save** to be returned to the **Question** screen.
5. Click the **RAI ID** to return to the RAI screen.
6. Repeat Steps 2 – 5 for each question.
7. After all of the Questions have been reviewed and edited, click on the **Approve All Questions** button at the top left of the RAI screen to approve all questions at once. If there is only 1 question, then that question will be approved (Figure 6-2).

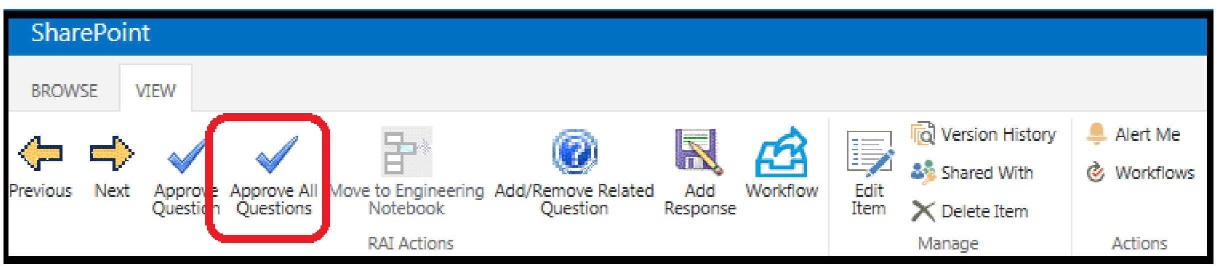


Figure 6:2: Approve Question Button

6.1.1 Alternate Method – TBC Edits and Approves Question(s) Individually

1. Click the **RAI ID** hyperlink in the email notification from the TBR.
2. Use the vertical scroll bar to scroll to the bottom of the screen to view the **Question for RAI** section.
3. Click the Question **Title**.
4. Click the **Edit Item** button, on top of the screen (Figure 6-3) to open the question in edit mode.

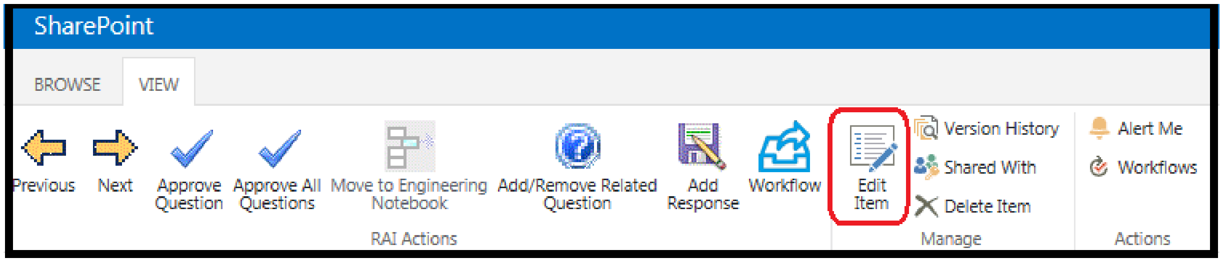


Figure 6:3: Edit Item Button

5. Make your changes and then use the vertical scroll bar to scroll to the bottom of the screen and click **Save**.
6. You will be returned to the Question screen.
7. Click the **Approve Question** button at the top of the screen (Figure 6-4)

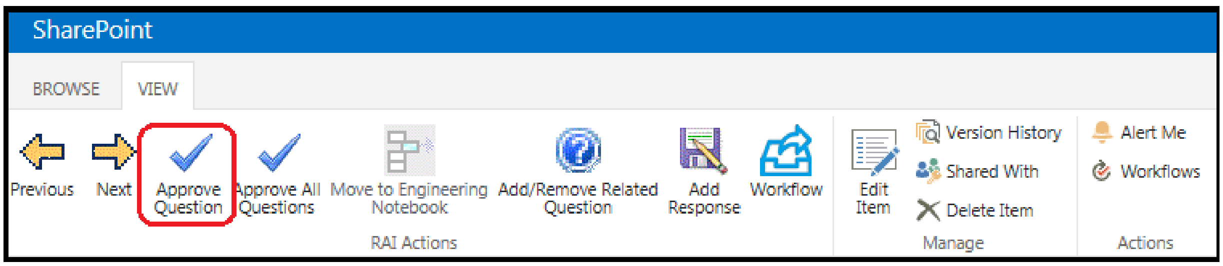


Figure 6:4: Approve Question Button

8. Click the **Next** button at the top of the screen (Figure 6-5) to view the next Question.

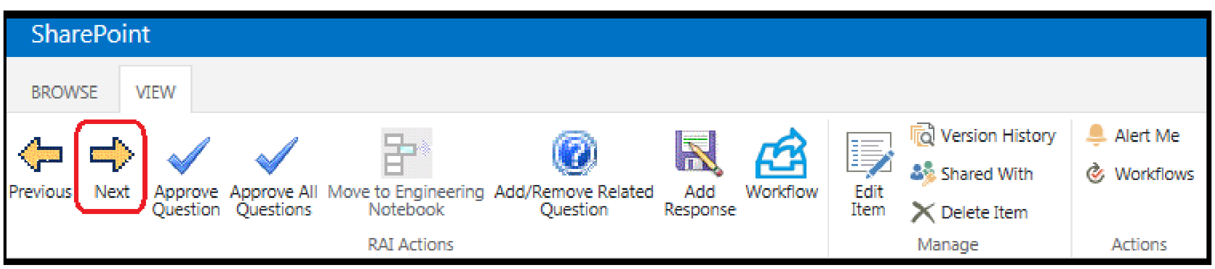


Figure 6:5: Next Question Button

9. Repeat steps 4-8 for each question.
10. Upon approving the last question, click **RAI ID** (Figure 6-6) to return to the RAI screen.

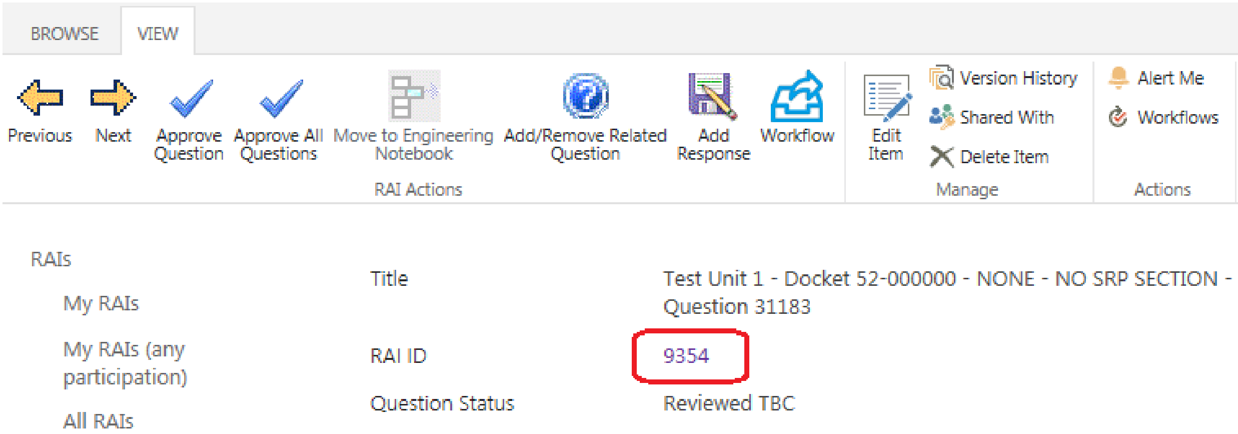


Figure 6:6: RAI ID Field

6.2 Workflow – TBC Sends the RAI to Technical Division Manager Review

Once the TBC has reviewed and approved the RAI and RAI Question(s) they will follow the steps below to send the RAI to Technical Division Manager (TDM) Review:

1. Navigate to the RAI that you wish to send for TDM Review.
2. Click the **Workflow** button to open the Workflow screen, and send the RAI for TDM Review (Figure 6-7).

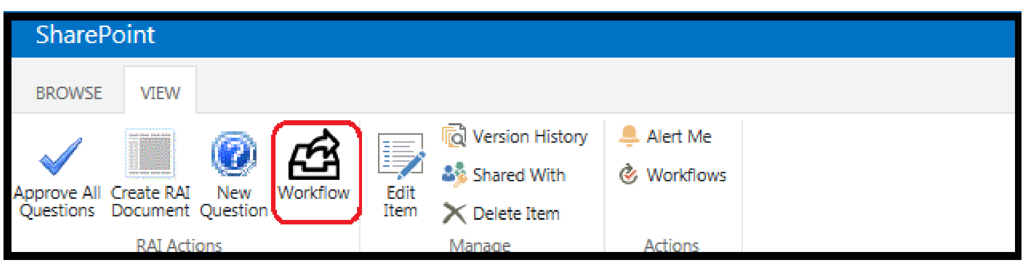


Figure 6:7: RAI Workflow Button

3. Verify that the **Actions**, **Assign To**, and **Due Date** values on the Workflow screen are correct, and then click the **Submit** button to assign the RAI to the TDM, and return to the RAI screen (Figure 6-8).

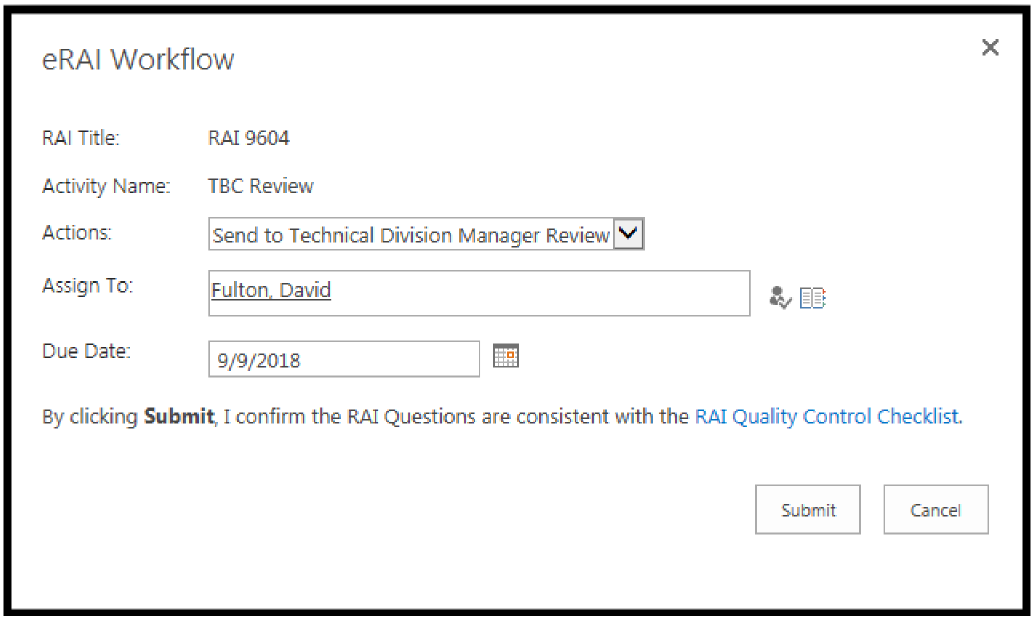


Figure 6:8: eRAI Workflow Dialogue

***Tip*:** If you have not approved all of the RAI's questions, then the workflow dialog will display the warning "All Questions must be approved for the 'Submit' button to be activated.", and you will not be able to send the RAI to the TDM.

7 Technical Division Manager Reviews the RAI and RAI Questions

When the TBC sends an RAI for TDM review, an email will be sent to the TDM, to inform them that the RAI is awaiting review. The email includes an active hyperlink to the relevant RAI. The TDM reviews the RAI and the RAI Question(s) and upon concurrence, the TDM approves the Question(s).

7.1 TDM Edits and Approves Question(s)

1. Click the **RAI ID** hyperlink that was provided in email from the TBC.
2. Use the vertical scroll bar to scroll to the bottom of the screen to view the **Questions for RAI** section.
3. **Click** the Question **Title** and then **click** the **Edit Item** button at the top of the screen, (Figure 7-1).

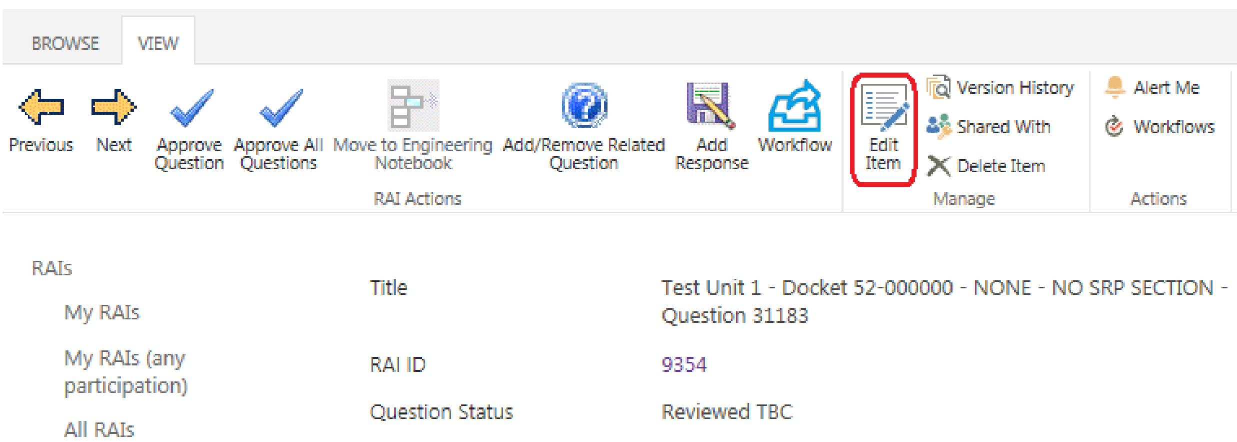


Figure 7:1: Edit Item Button

4. Make your changes, and then use the vertical scroll bar to scroll to the bottom of the screen and click **Save** to be returned to the Question screen.
5. Click the **Approve Question** button at the top left corner of the RAI screen (Figure 7-2).

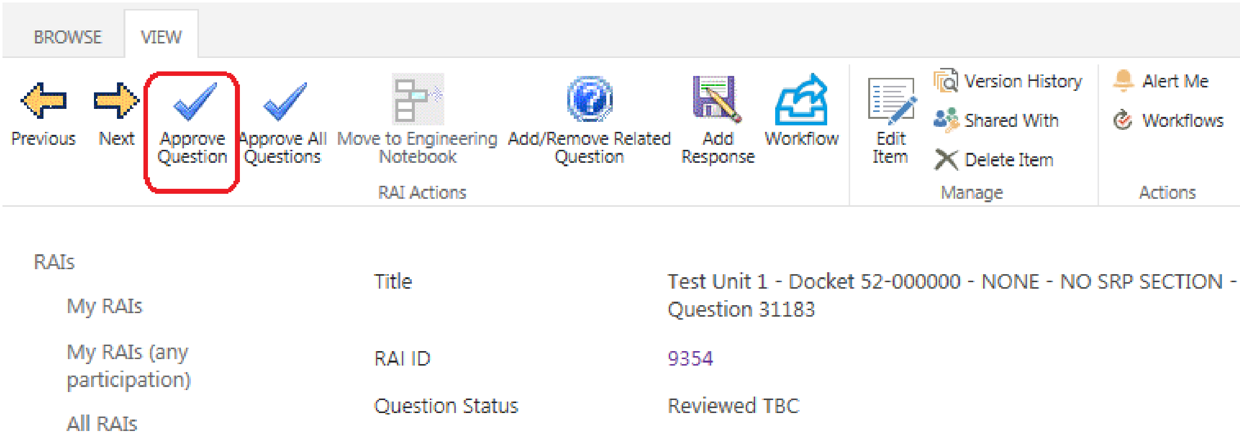


Figure 7:2: Approve Question Button

6. Click the **RAI ID** to return to the RAI screen.
7. Follow steps 2-6 to edit and approve any other questions in the RAI.

7.2 Workflow - TDM Sends RAI to Chapter PM Review

Once the TDM has approved the RAI Question(s), they will use the following steps to send the RAI to the Chapter PM for review:

1. On the eRAI Main Menu, click the **All RAIs** link in the left Navigation Pane to open the All RAIs list.
2. Click the **Title** of the RAI that you wish to review.
3. Send the RAI for Chapter PM Review by clicking the **Workflow** button at the top of the RAI screen (Figure 7-3).

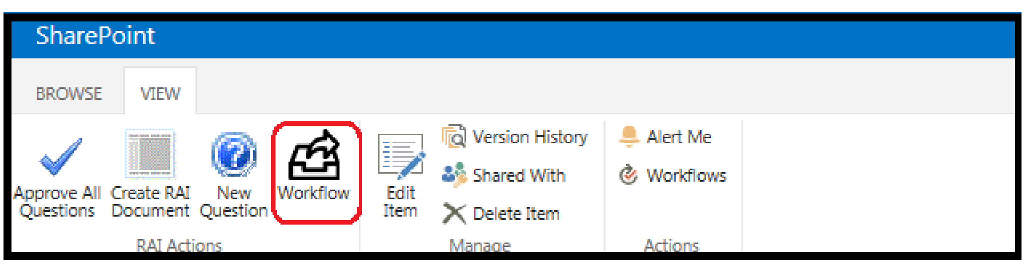


Figure 7:3: RAI Workflow Button

4. The **eRAI Workflow** dialog opens. **Click** the **Submit** button to send the RAI to the Chapter PM for review, and send an email notification to the Chapter PM (Figure 7-4) and return to the RAI screen.

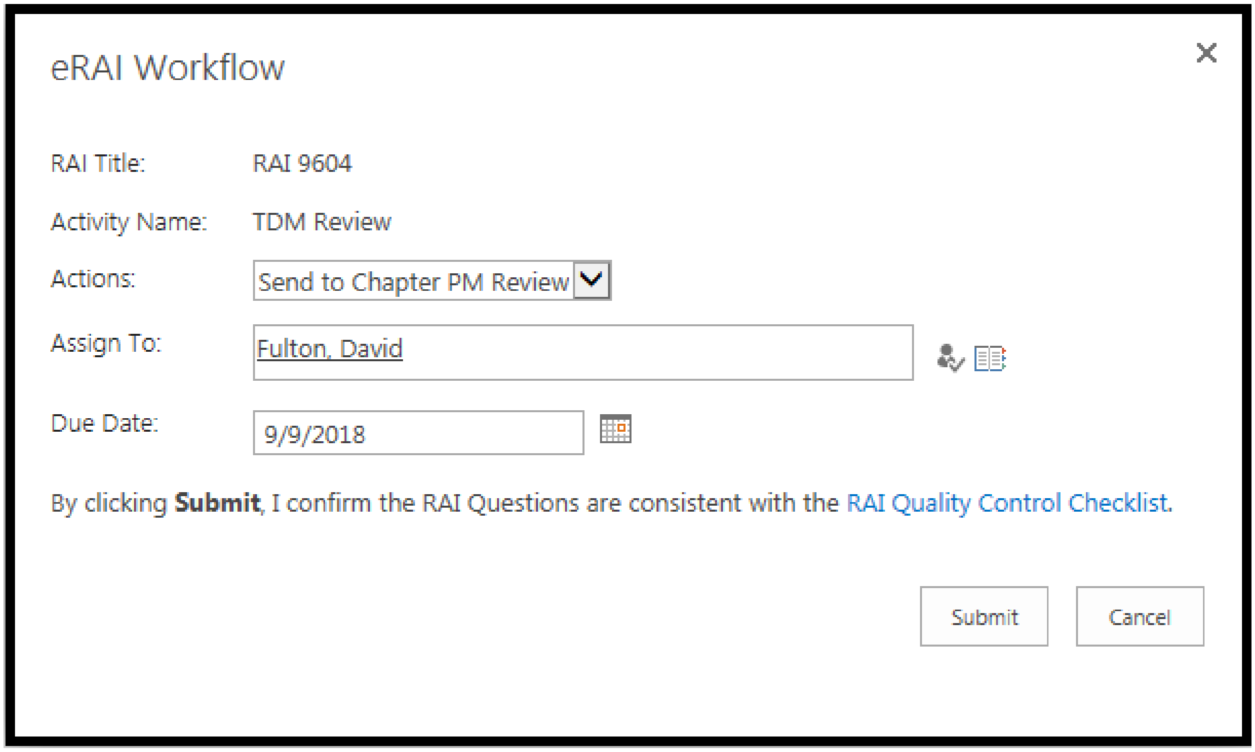


Figure 7:4: eRAI Workflow

Tip:

1. Instead of sending to RAI to the Chapter PM, you can also send the RAI back for TBC Review. In that case, you will need to ensure that the appropriate changes are made to the **Actions**, **Assign To**, and **Due Date**, fields on the Workflow screen in Step 4.
2. If you have not approved all of the RAI's questions, then the workflow dialog will display the warning "All Questions must be approved for the 'Submit' button to be activated.", and you will not be able to send the RAI to the Chapter PM.

8 Chapter PM Reviews the RAI and RAI Question(s)

When the TDM sends an RAI for Chapter PM Review, an email will be sent out to the Chapter PM to inform them that the RAI is waiting for review. The email includes a hyperlink to the relevant RAI. The Chapter PM reviews the RAI and the RAI Question(s) and upon concurrence, the Chapter PM approves the Question(s).

8.1 Chapter PM Edits and Approves Question(s)

1. Click the RAI ID hyperlink that was provided in the email from the TDM.
2. Use the vertical scroll bar to scroll to the bottom of the screen to view the **Questions for RAI** section.
3. Click the **Question Title** and then click the **Edit Item** button at the top of the screen, (Figure 8-1).

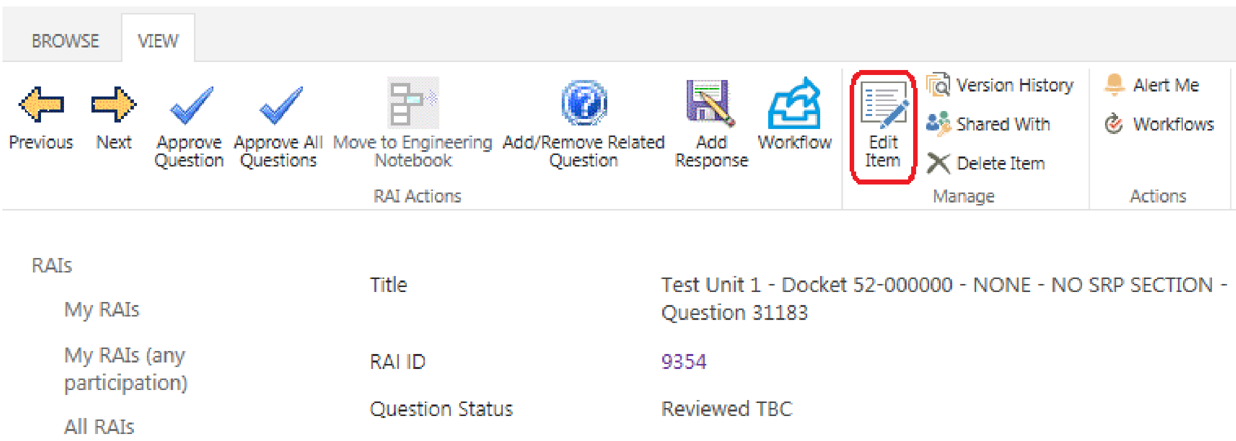


Figure 8:1: Edit Item Button

4. Make your changes, and then use the vertical scroll bar to scroll to the bottom of the screen and click the **Save** button to be returned to the Question screen.
5. Click the **Approve Question** button at the top left corner of the **Question** screen (Figure 8-2).

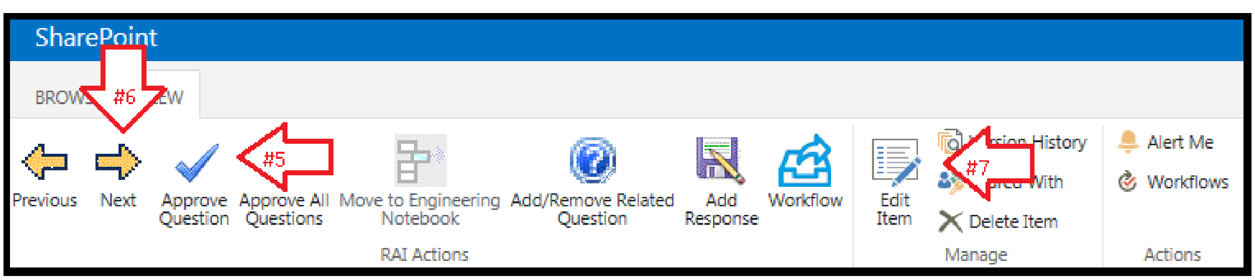


Figure 8:2: Question Ribbon

6. If there is more than one Question, then click the **Next** button (Figure 8:2) to move to the next Question, and continue to Step 7. Otherwise, skip to Step 9.

7. Click the **Edit Item** button (Figure 8:2); Make your changes; Click the **Save** button to return the **Question** screen.
8. Repeat Steps 6 & 7 until all of the questions have been edited and/or approved.
9. Click the **RAI ID** to return to the **RAI** screen.

8.2 Workflow – Chapter PM Sends the RAI to the Licensing Branch Chief (LBC) for Review

Once the Chapter PM has approved the RAI Question(s) they will follow the steps below to send the RAI to Licensing Branch Chief:

1. Open the RAI.
2. Send the RAI for LBC Review by clicking the **Workflow Action** button at the top left of the RAI screen (Figure 8:3).

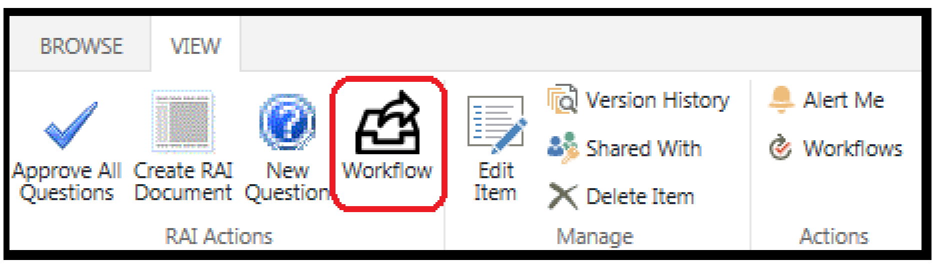


Figure 8:3: RAI Workflow Button

4. The **eRAI Workflow** screen (Figure 8-4) opens. **Click** the **Submit** button to send the RAI to the LBC for review, and send an email notification to the LBC and return to the RAI screen.

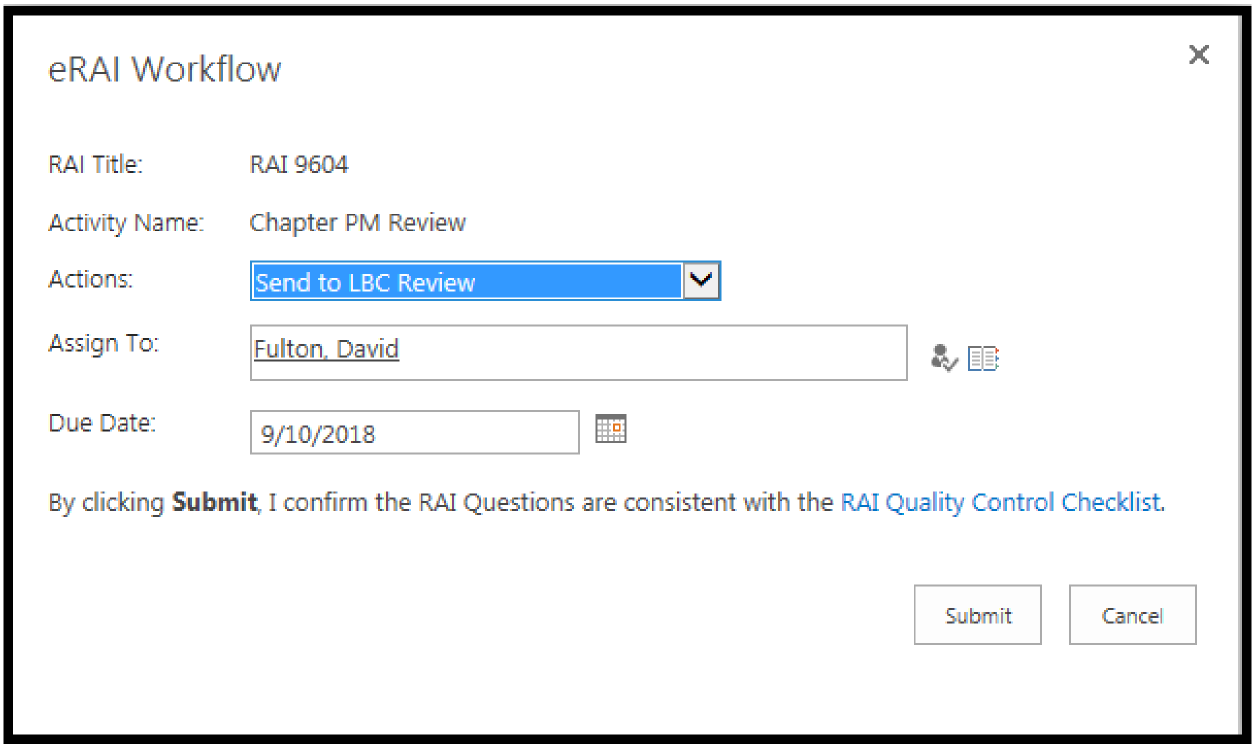


Figure 8:4: Workflow Screen

***Tip*:**

1. Instead of sending to RAI to the LBC, you can also send it back for Technical Branch Review, or TBC Review. In either case, you will need to ensure the **Actions**, **Assign To**, and **Due Date** fields, on the Workflow screen (Step 4) are correctly updated.
2. If you have not approved all of the RAI's questions, then the workflow dialog will display the warning "All Questions must be approved for the 'Submit' button to be activated.", and you will not be able to send the RAI to the LBC.

9 LBC Reviews the RAI and RAI Question(s)

When the Chapter PM sends an RAI to the LBC for review, an email will be sent out to the LBC to inform them that the RAI is waiting for review. The email includes a hyperlink to the RAI. The LBC reviews the RAI and the RAI Question(s) and upon concurrence, approves the Question(s). Then they will send to RAI to the OGC, if it's a Non-DC RAI, or to the Project Manager (PM) if it's a DC RAI.

9.1 LBC Edits and Approves Question(s)

1. Click the **RAI ID** hyperlink that was provided in the email notification.
2. Use the vertical scroll bar to scroll to the bottom of the screen to view the **Questions for RAI** section.
3. Click the question **Title** for the question you want to review.
4. Click the **Edit Item** button, at the top of the screen (Figure 9-1), to open the question in edit mode.

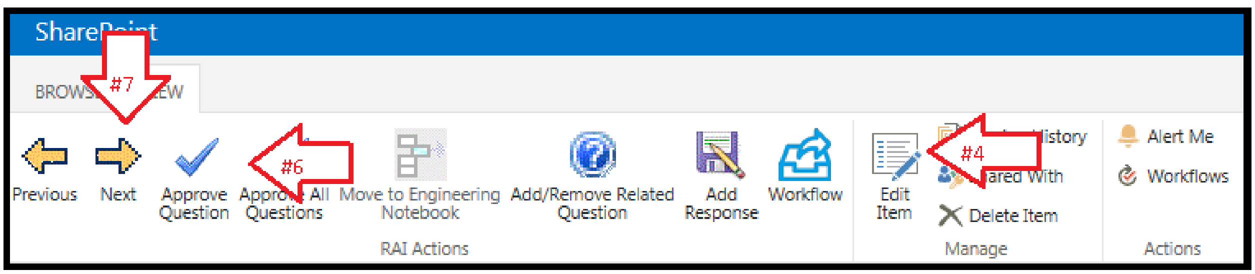


Figure 9:1: Question Ribbon

5. Make your changes, then use the vertical scroll bar to scroll to the bottom of the screen and click the **Save** button to save your changes and return to the Question screen.
6. Click the **Approve Question** button at the top left of the screen (Figure 9-1).
7. If the RAI has more than one question, then click the **Next** button to move to the next question. Otherwise, skip to Step# 9.
8. Repeat steps 4-7 for each question in the RAI.
9. Once all of the questions are edited and/or approved, click the **RAI ID** to return to the RAI screen.

9.2 Workflow – LBC Sends the RAI Forward for Review

Once the LBC concurs with the RAI, they send the RAI forward for review using the following steps:

1. Open the RAI that you want to send on for review.

2. Click the **Workflow** button at the top left of the RAI screen (Figure 9-3) to open the Workflow dialog.

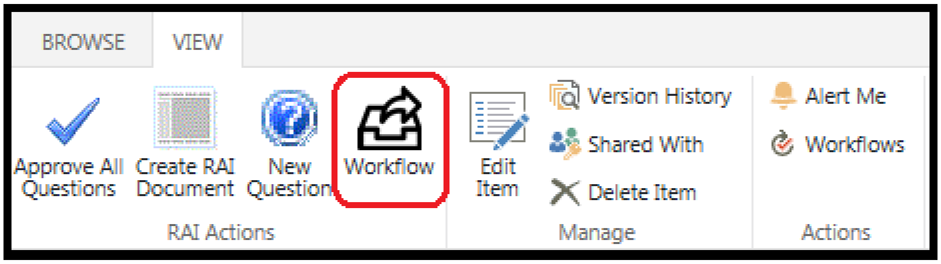


Figure 9:2: Workflow Button

3. You'll notice that the default value for the **Action** field will be "Send to OGC Review" for a Non-DC RAI (Figure 9-3), or "Send to Final Review" for a DC RAI (Figure 9-4). In either case, click the **Submit** button to send the RAI forward for review, and send the email notification.

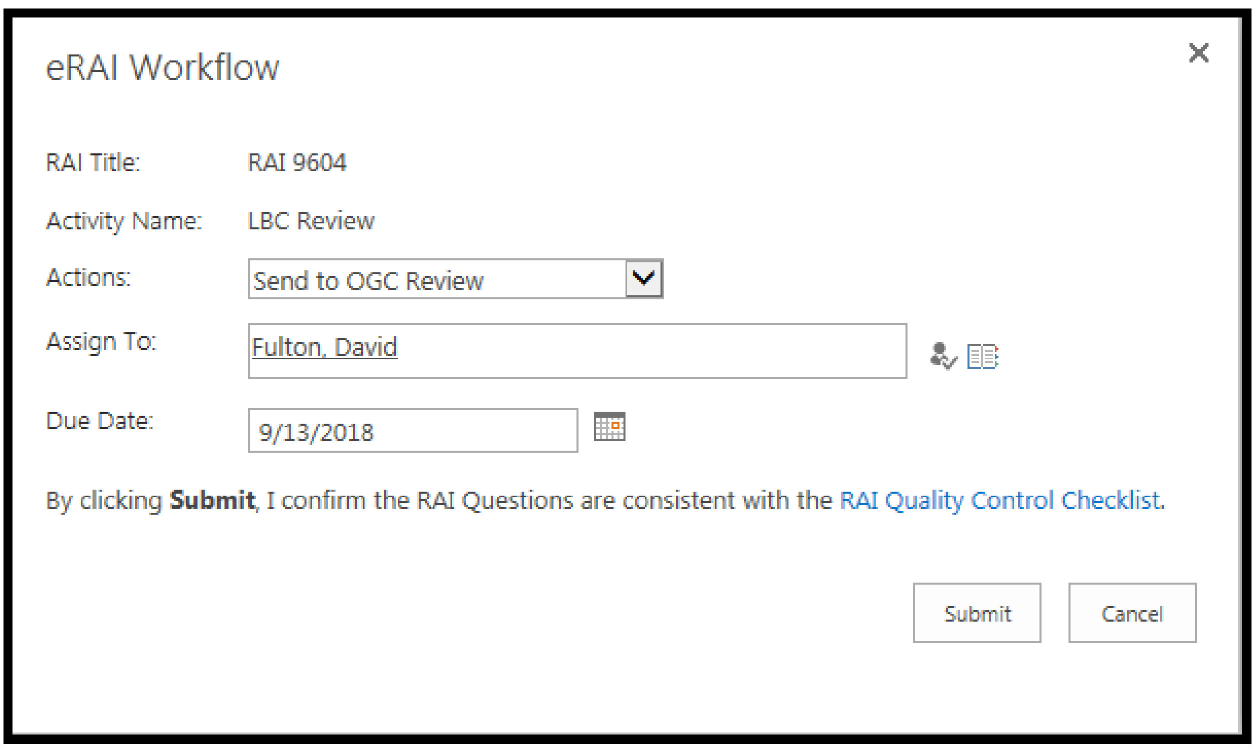


Figure 9:3: Send to OGC Review

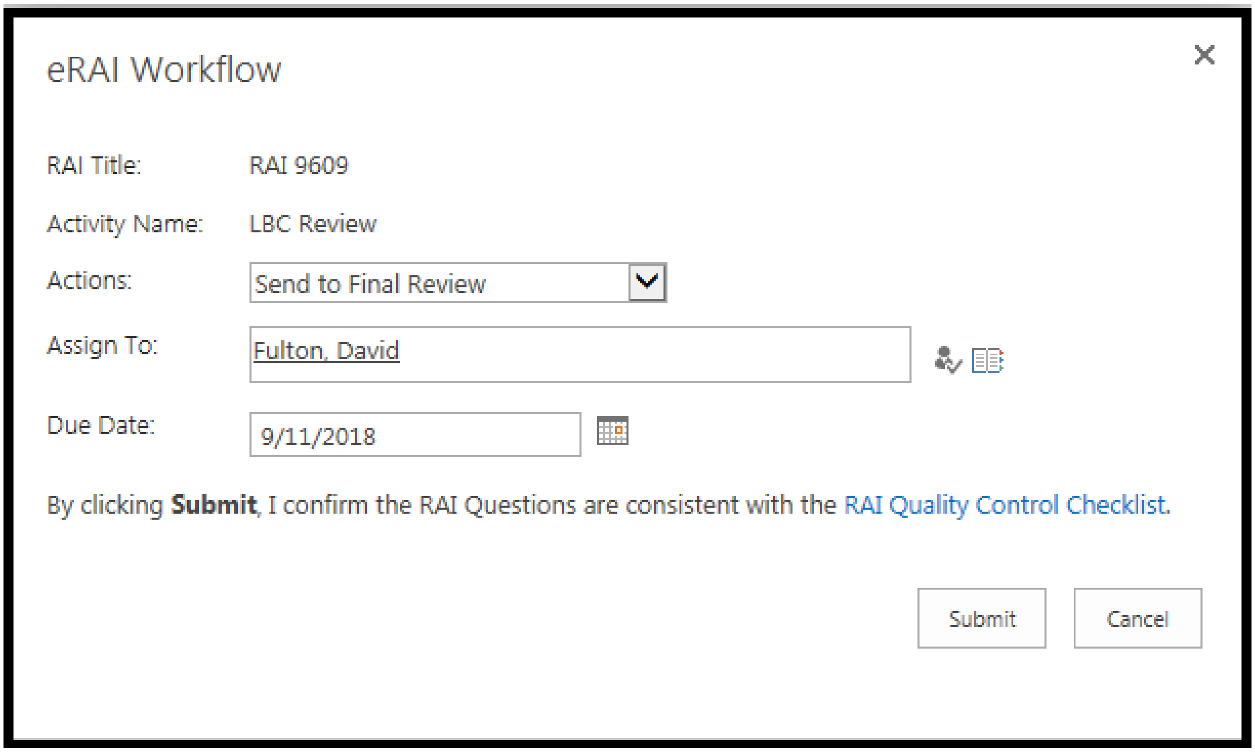


Figure 9:4: Send to Final Review

Tips:

1. For a Non-DC RAI, the email to the OGC will also be copied to the Chapter PM and the OGC Resource Mail Box.
2. You can also send the RAI back to the Chapter PM for review. During Step 3 (above), you will need to change the **Actions** field to "Send back to Chapter PM Review", and ensure that the **Assign To** and **Due Date** fields are updated correctly. Then you can click the **Submit** button.

10 OGC Reviews a Non-DC RAI and Question(s)

When the LBC sends a Non-DC RAI for OGC review, an email is sent to the OGC to inform them that the RAI is waiting for review. The OGC reviews the RAI and the RAI Question(s) and confirms that there is a regulatory basis for issuing the RAI. If they concur, the OGC approves the Question(s) and forwards the RAI.

10.1 OGC Edits and Approves Question(s)

1. Click the **RAI ID** hyperlink that was provided in the email from the LBC.

2. Use the vertical scroll bar to scroll to the bottom of the screen and view the **Questions for RAI** section.
3. Click the **Title** to open a question.
4. Click the **Edit Item** button at the top of the screen (Figure 10-1) to open the question in edit mode.

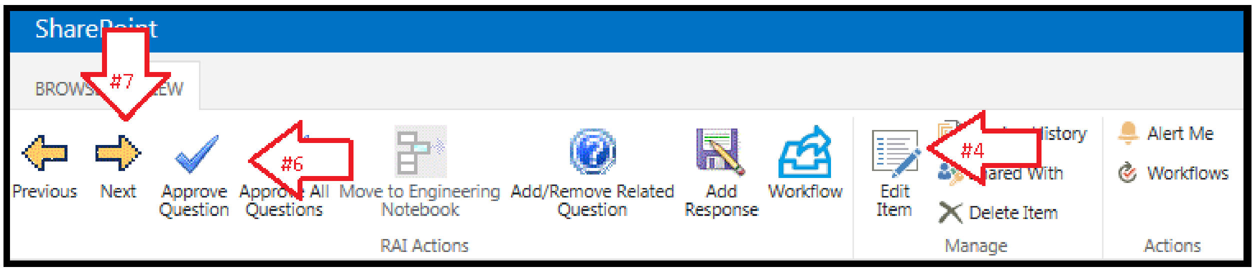


Figure 10:1: Question Ribbon

5. Make your changes and then click **Save**.
6. Click the **Approve Question** button at the top left of the Question screen (Figure 10:1).
7. If your RAI has more than one question, then click the **Next** (Figure 10:1) button to move to the next question. Otherwise, skip to Step# 9.
8. Repeat Steps 4-7 for each of the remaining questions.
9. Once all of the questions have been edited/approved, click the **RAI ID** to return to the RAI screen.

10.2 Workflow – OGC Sends a Non-DC RAI to Final Review

Once the OGC has reviewed the RAI and RAI Question(s) sent by the LBC, they will follow the steps below to send the RAI to the PM for Final Review:

***Tip*:** The OGC can also send the RAI and the RAI Question(s) back to Chapter PM or to PM for final review.

1. Open the RAI that you wish to review and/or approve.
2. Click the **Workflow** button at the top left of the RAI screen (Figure 10-3) to open the **Workflow** dialog.

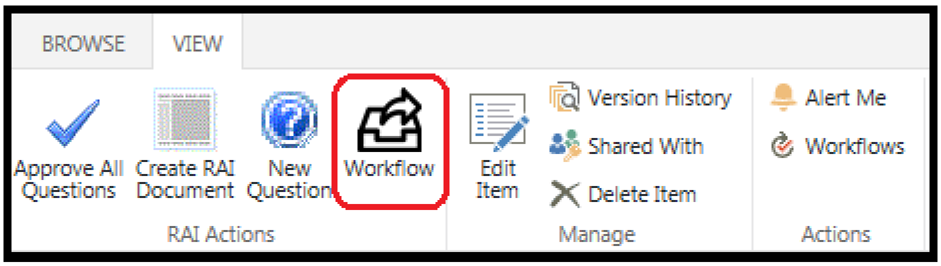


Figure 10:2: RAI Ribbon

3. Click the **Submit** button to send the RAI to the PM for Final Review, send the PM an email notification, and return to the RAI screen.

11 PM Reviews the RAI and RAI Question(s)

The PM reviews the RAI and the RAI Questions for overall accuracy, and for information that needs to be sent out to the Industry, before issuing the RAI**.**

11.1 PM Edits and Approves Question(s)

1. Click the **RAI ID** hyperlink that was provided in the email notification you received.
2. Use the vertical scroll bar to scroll down to view the **Questions for RAI** section.
3. Click the **Title** of the question you want to review/edit.
4. Click the **Edit Item** button at the top of the screen, (Figure 11-1).

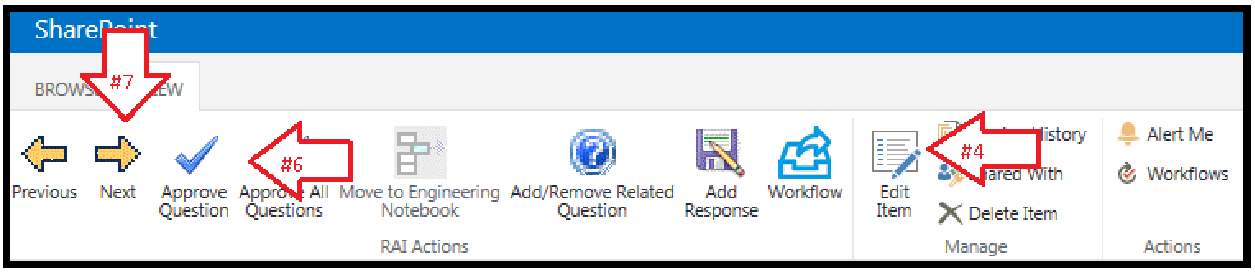


Figure 11:1: Question Ribbon

5. Make your changes, and then scroll to the bottom of the screen and click the **Save** button.
6. Click the **Approve Question** button at the top left of the RAI screen (Figure 11-1), and then click the **OK** button on the “This question is approved” dialog that will open.
7. If the RAI has more than one question, then click the **Next** button (Figure 11-1) to move to the next question. Otherwise, skip to Step# 9.
8. Repeat Steps 4-7 for each of the other questions for the RAI.
9. Once you have edited and/or approved all of the questions, click the **RAI ID** to return to the RAI screen.

11.2 PM Assigns RAI NRC Letter Number

After the PM has approved the RAI question(s)**,** they will enter the **RAI NRC Letter Number** before Issuing the RAI. Follow the steps below to enter the **RAI NRC Letter Number**:

1. If you are not already there, navigate to the RAI to which you want to add the RAI NRC Letter Number.
2. Click the **Edit Item** button, at the top of the screen, (Figure 11-2).

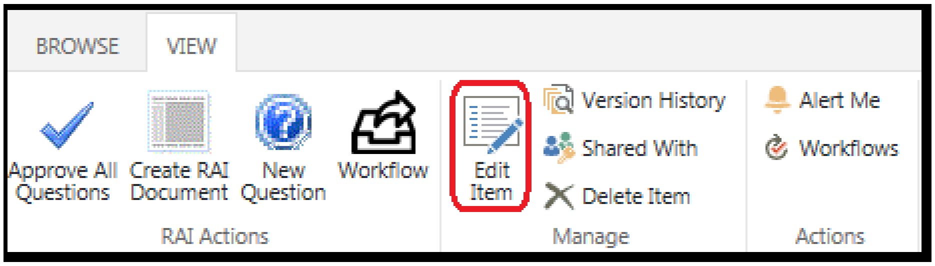


Figure 11:2: Edit RAI

3. Enter the **RAI NRC Letter Number**.
4. Scroll to the bottom of the screen and click the **Save** button.

11.3 Workflow – PM Issues RAI

Issuing an RAI in the eRAI system generates the RAI as a MS Word document. The PM will edit, and finalize the RAI. The finalized RAI will be sent to the applicant, loaded into ADAMS as an Official Agency Record (OAR), and published to PARS.

Once the PM has reviewed the RAI, approved the RAI Question(s), and has entered the RAI NRC Letter Number, the PM will follow the steps below to Issue RAI.

1. If you are not already there, navigate to the RAI that you wish to issue.
2. Click the **Workflow** button at the top left of the RAI screen (Figure 11-3).

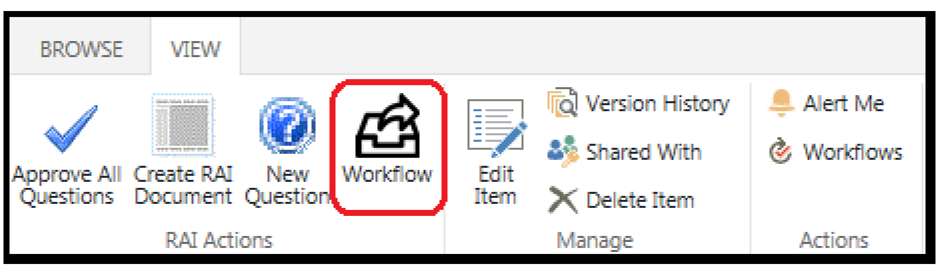


Figure 11:3: RAI Ribbon

3. Click the **Submit** button to issue the RAI, and generate the RAI as a MS Word file, which will be sent to you as an email attachment.
4. You will receive an email, with subject line “RAI XXX has been marked as Issued”, which will contain the RAI document. You will finalize the RAI, and then convert it from MS Word format, to an Adobe PDF file.
5. Upload the PDF copy of the RAI to ADAMS, and notify the Applicant that the RAI is awaiting response.

6. Make the ADAMS OAR available to the public and publish it to PARS via the existing operating procedures.
7. Document the issuance of the RAI by entering the accession number into the RAI Accession No field in eRAI.

11.4 Project Manager (PM) creates RAI Document prior to issuance of the RAI.

This process allows the PM to create an initial RAI word document at any time before issuing the RAI.

To create an Initial RAI Word document the PM will follow the steps below:

1. If you are not already there, navigate to the RAI for which you want to create an Initial RAI Document.
2. Click the **Create RAI Document** button in the top left of the RAI screen to generate the RAI as a MS Word file, which will be sent to you as an email attachment. (Figure 11-4)
3. Click the **OK** button to return to the RAI screen.

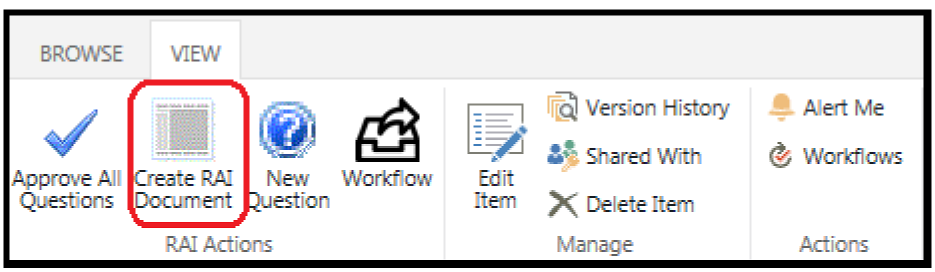


Figure 11:4: Create RAI Document Button

4. You will receive an email, with subject line "*RAI Document"*, which will contain the RAI document as a MS Word file.

12 Receiving the Applicant's Response to RAI

The process of evaluating an applicant's response to an RAI begins when the PM receives the response. The PM will document the Applicant's response in eRAI, and then initiate the Workflow to send the RAI to the Technical Branch for review.

12.1 PM Documents Applicant's Response

1. If you are not already there, navigate to the RAI, for which you wish to add the applicant's response.
2. Scroll to the bottom of the screen to see the **Questions for RAI** section.
3. Click the **Title** of the question to which the response will be added
4. Click the **Add Response** button on top of the screen (Figure 12-1) to open the **Add Response to Question(s)** screen.

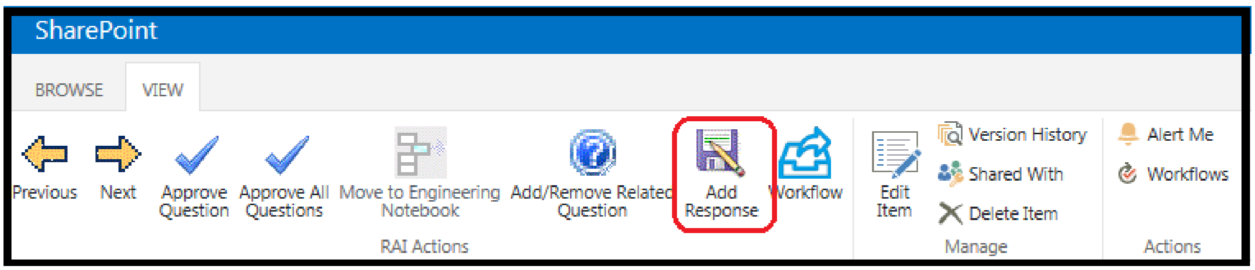


Figure 12:1: Add Response Button

5. At the top of the **Add Response to Question(s)** screen you will see a table, which will list your question, along with any other questions associated with the RAI record (Figure 12-2).

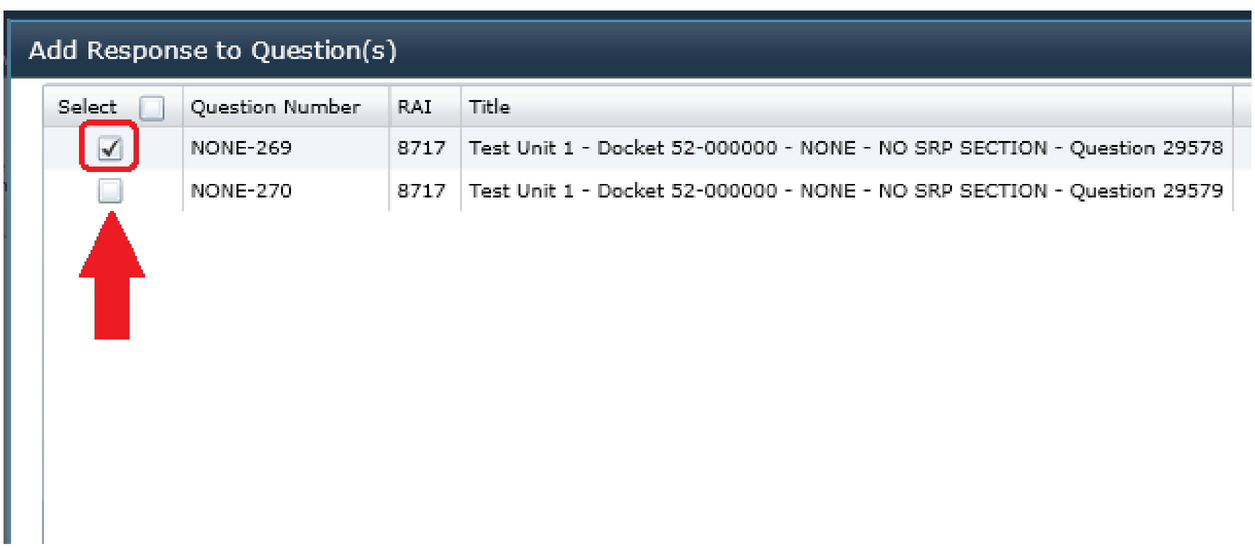


Figure 12:2: Select Question(s) for Response

6. The question that you used to initiate adding the Applicant’s Response will be selected by default (Figure 12-2). If the Response applies to the other associated question(s), you can click their **Select** check-box.
7. Enter the text of the Applicant’s response into the **Answer** field (Figure 12-3).
8. Click the calendar icon to open the date-picker, and select the **Response Date** value (Figure 12-3).
9. Enter the ML number in the **Response Accession Number** field (Figure 12-3).
10. Click the drop-down to select a value in the **Response Type** field (Figure 12-3).
11. Click the **Save** button to update the question(s)

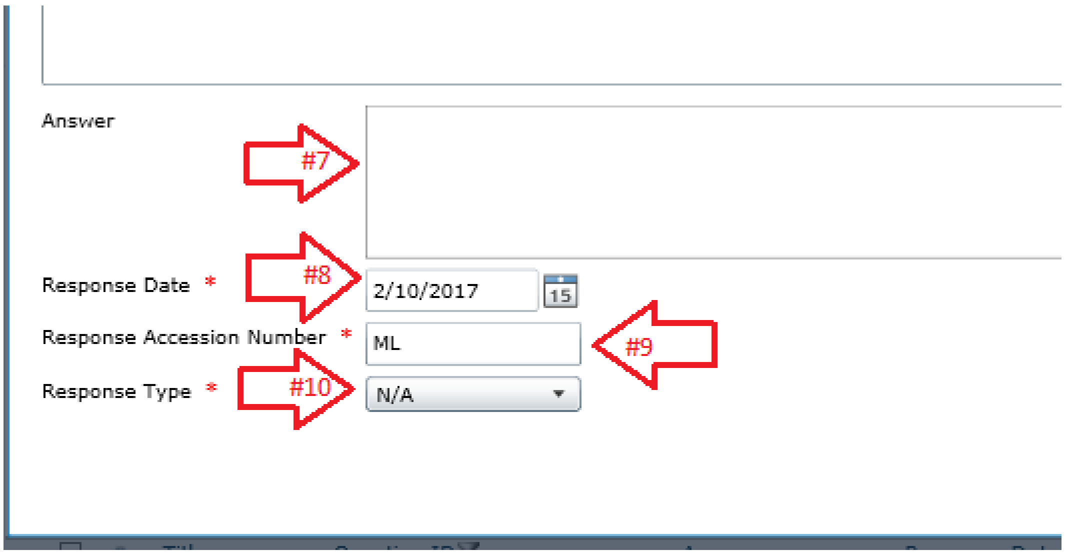


Figure 12:3: Enter Applicant's Response

12. If the Applicant’s response includes items such as diagrams, charts, or images, you can attach them to the Response, by scrolling to the **Responses** section at the bottom of the Question screen, and clicking the **Title** of the Response.
13. Next, click the **Attach File** button at the top of screen to add them as attachments (Figure 12-4).

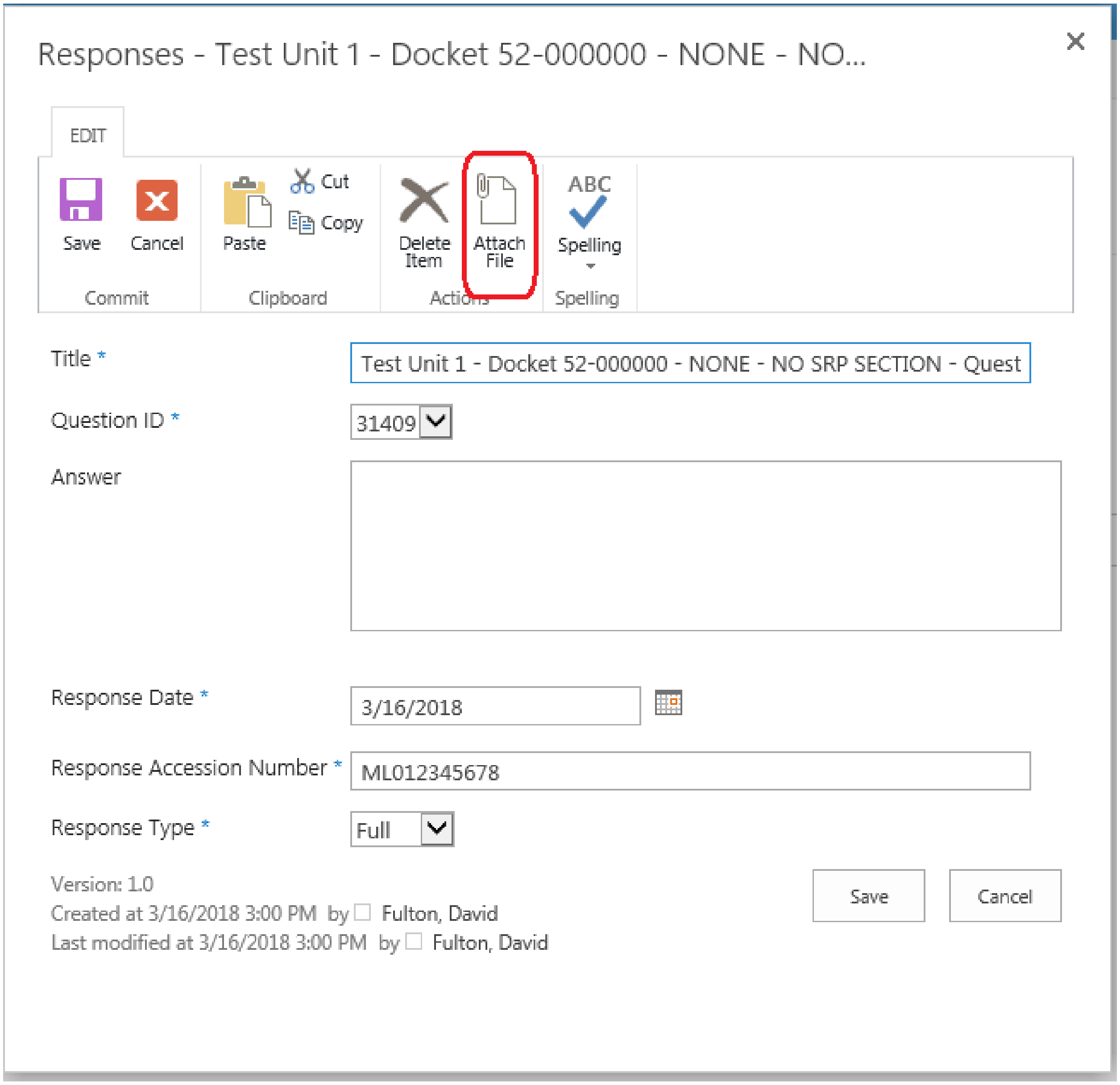


Figure 12:4: Attach File Button

14. Click the **Browse** button to locate the file in a folder on your PC, or the network.
15. Select the file and then click the **Open** button to return to Browse window and then click the **OK** button to attach the file and return to RAI Response screen.
16. Repeat Steps 12-14 for each attachment.
17. If you want to attach the files to all of the associated questions, then you will need to repeat Steps 12-15 for each question individually.

12.2 Workflow – PM Submits Response(s) to Tech Staff for Evaluation

After adding the Response(s) provided by the Applicant, the PM will follow the steps below to **Submit Responses to Tech Staff for Review**:

1. Navigate to the RAI that you wish to **Submit Responses to Tech Staff for Review**.
2. Scroll down to the Questions for RAI section, and click the **Title** of the question for which a response was submitted.
3. Click the **Workflow** button on the top right of the tool bar (Figure 12-5).

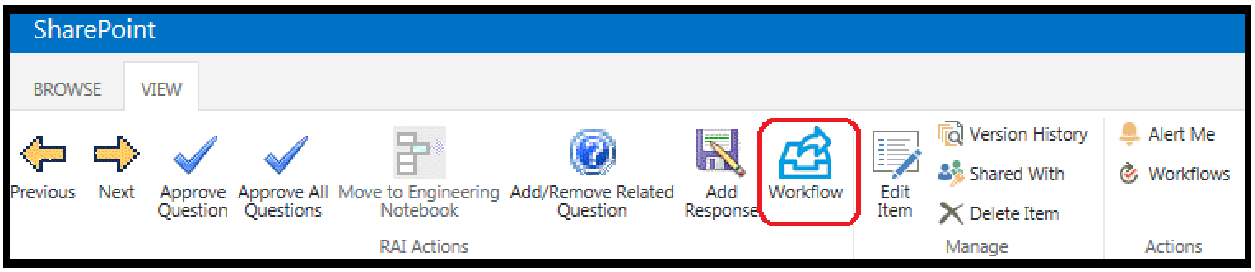


Figure 12:5: Workflow Button

4. Confirm that the **Actions** field is set to **Submit Responses to Tech Staff for Review** (Figure 12-6).

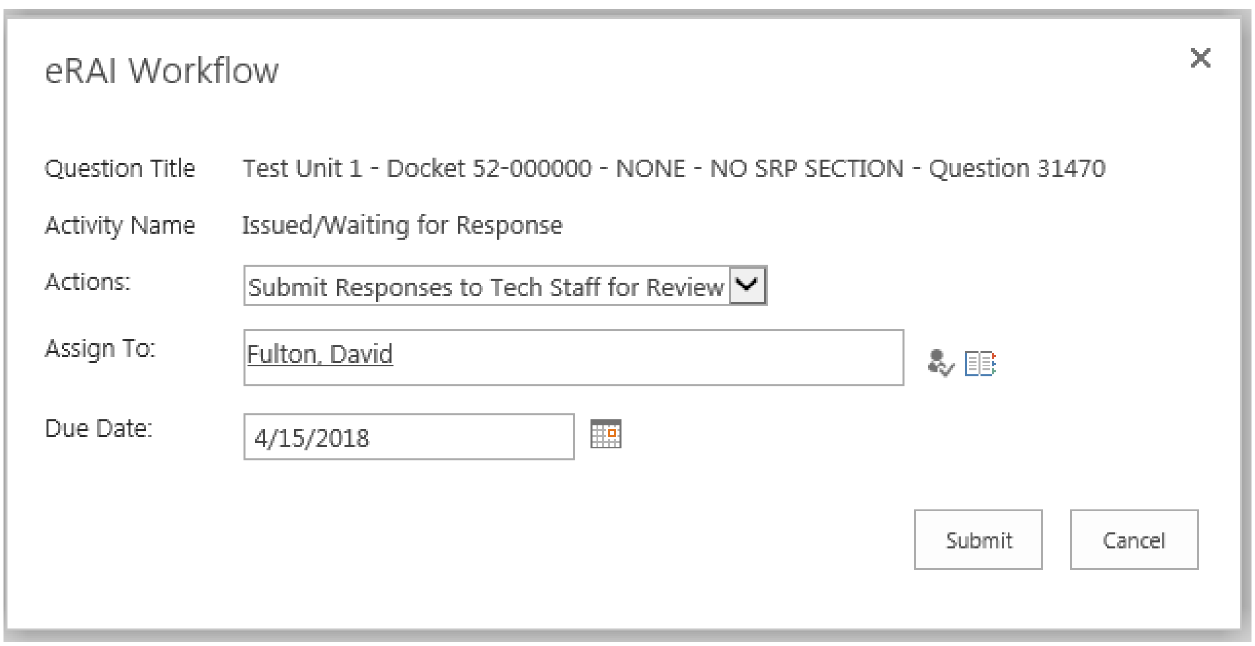


Figure 12:6: Workflow Dialog

5. Click the **Submit** button assign the RAI to the TBR, and send the TBR an email notification that the response is ready for their review. The system will also send the copy of the email to the PM.

13 Workflow: Review of Response

This process allows the reviewers to evaluate the responses to ensure they are reasonable and complete from a technical and regulatory standpoint. The official response will be submitted by the Applicant "under oath or affirmation" through the DCD and scanned into ADAMS. The PM may link to this record in ADAMS. After the official response is submitted, this process also allows the PM to compare preliminary and official responses.

1. Click the **RAI ID** hyperlink to the **Question(s)** and **Response(s)** that need to be reviewed.
2. Scroll down to the bottom of the screen to see the **Questions for RAI** section.
3. Click the **Title** for the question to be reviewed, and scroll to the bottom of the screen to see the **Responses** section.
4. Review the **Response(s)** to determine if it is reasonable and complete from a technical and regulatory standpoint.
5. Return to the Question Detail screen for the response that was reviewed.
6. Click the **Workflow** button in the Ribbon at the top of the screen (figure 12-1).

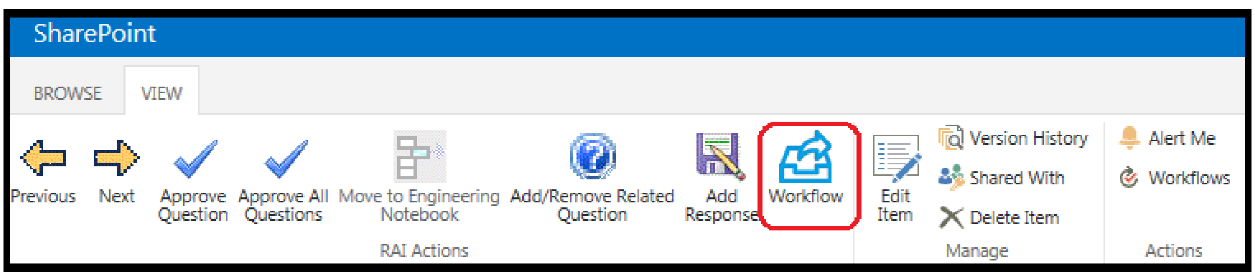


Figure 13:1: Workflow Button

7. Click the **Actions** field to open the drop-down menu, and select the appropriate action for the question before clicking the **Submit** button (Figure 13-2).

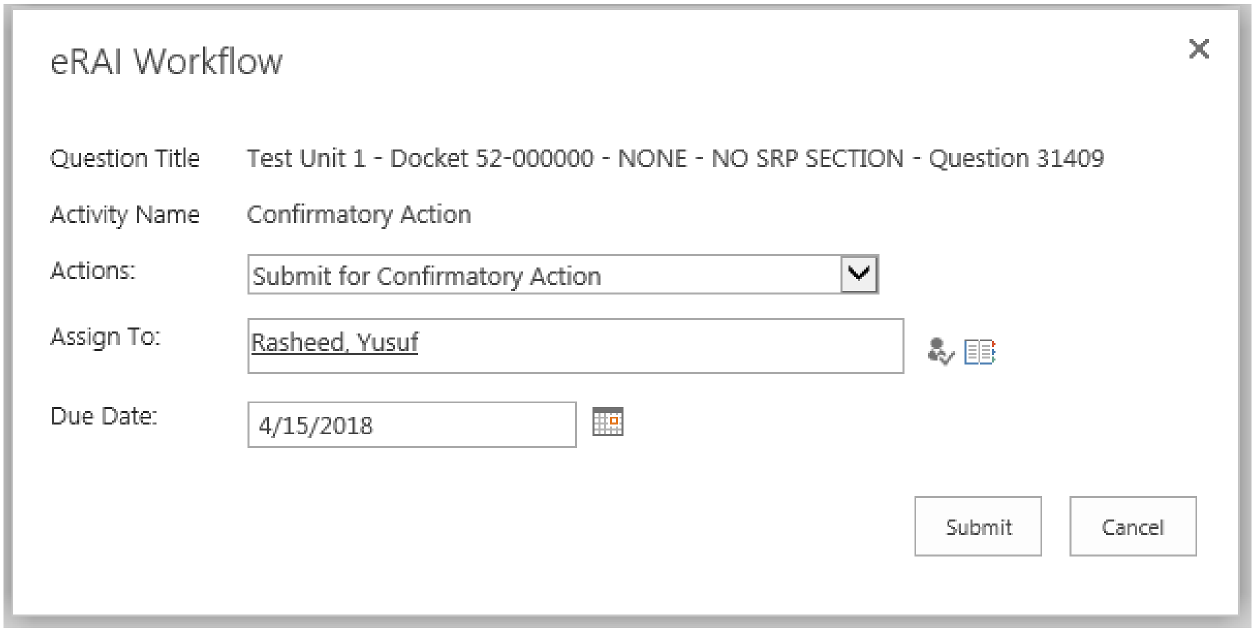


Figure 13:2: Workflow Dialog

The options available in the **Actions** field are:

- Submit for Confirmatory Action: Follow up actions or additional information is needed.
- Submit to Waiting for Response Supplemental: NRC has reviewed the initial response submitted by the applicant and has determined that the response is not complete. Therefore, a new response will be submitted to NRC.
- Submit for Resolved – Closed: The response is reasonable and complete from a technical and regulatory standpoint.
- Submit for Unresolved – Closed: The response is unsatisfactory.
- Submit to Supplemental Response Tech Staff Review: NRC has received a supplemental response from the Applicant.

***Tips*:**

1. The evaluation process includes comparing the preliminary and official responses, and resolving any discrepancies in eRAI.
2. The value chosen for the Actions field will determine the email notification that eRAI sends to the PM.
3. eRAI will automatically change the State of the RAI to “Closed”, once all of the questions for the RAI are closed.

8. The PM then receives a notification email that depending on the action chosen, and will either close the Question or leave it open while more information is gathered.

Once all Questions for a particular RAI are marked as closed, the system will automatically close that RAI, and the PM will receive an email notification (Figure 13-3).


Mon 2/26/2018 3:23 PM

eRAI <svck2serv@nrc.gov>

RAI 9386 has been closed

To Fulton, David

Retention Policy 7 Years (7 years) Expires 2/24/2025

Dear Fulton, David

RAI 9386 has been closed by Fulton, David.

Please use hyperlink above or Click here to access the Electronic RAI system to view the RAI questions.

Thank you!

Figure 13:3: RAI has been closed email

***Tip*:** The system will <u>not</u> close the RAI automatically, if the RAI and its questions were closed and then reopened.

14 Processing Management Reports

NRO Managers and eRAI users can generate management reports that can be viewed online or exported to one of several standard formats. The exported report data can be stored and archived in a digital format, or imported into other applications for distribution and analysis.

14.1 Displaying the eRAI Reports Menu

To display the eRAI Reports Menu:

Click the **eRAI Reports** link in the Left Navigation Pane to open the eRAI Reports menu (Figure 14-1).

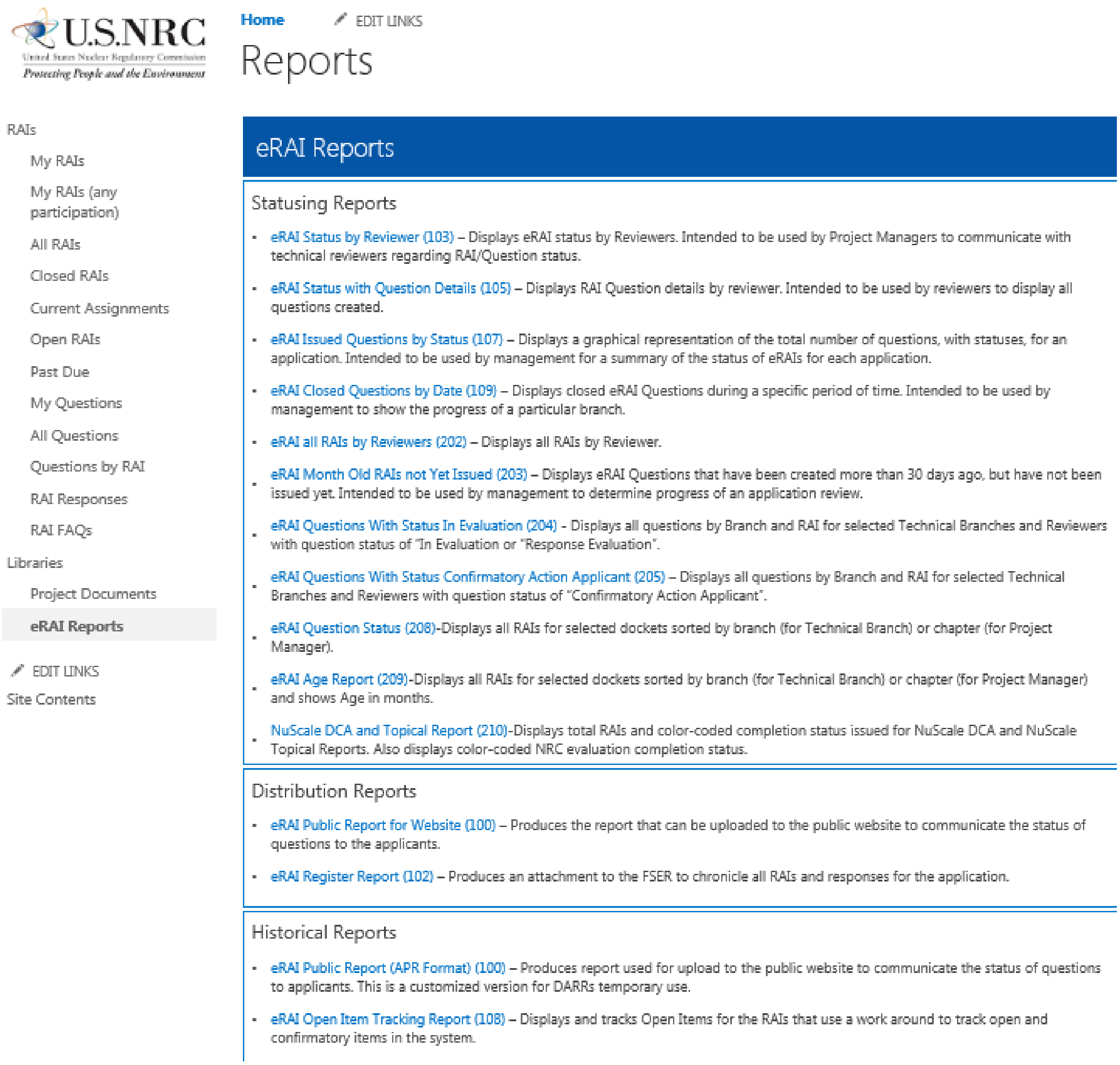


Figure 14:1: eRAI Reports

14.2 Generating a Report

The eRAI Reports menu groups reports into 3 categories:

1. Statusing Reports
2. Distribution Reports
3. Historical Reports

To generate a report:

1. Review the list of reports, and their descriptions, to find the report you need.
2. Click the hyperlinked report name.
3. Use the fields in the Parameters section on the right side of the page to define the parameters for your report (Figure 13-2).
4. Click the Apply button at the bottom right of the window (Figure 13-2).

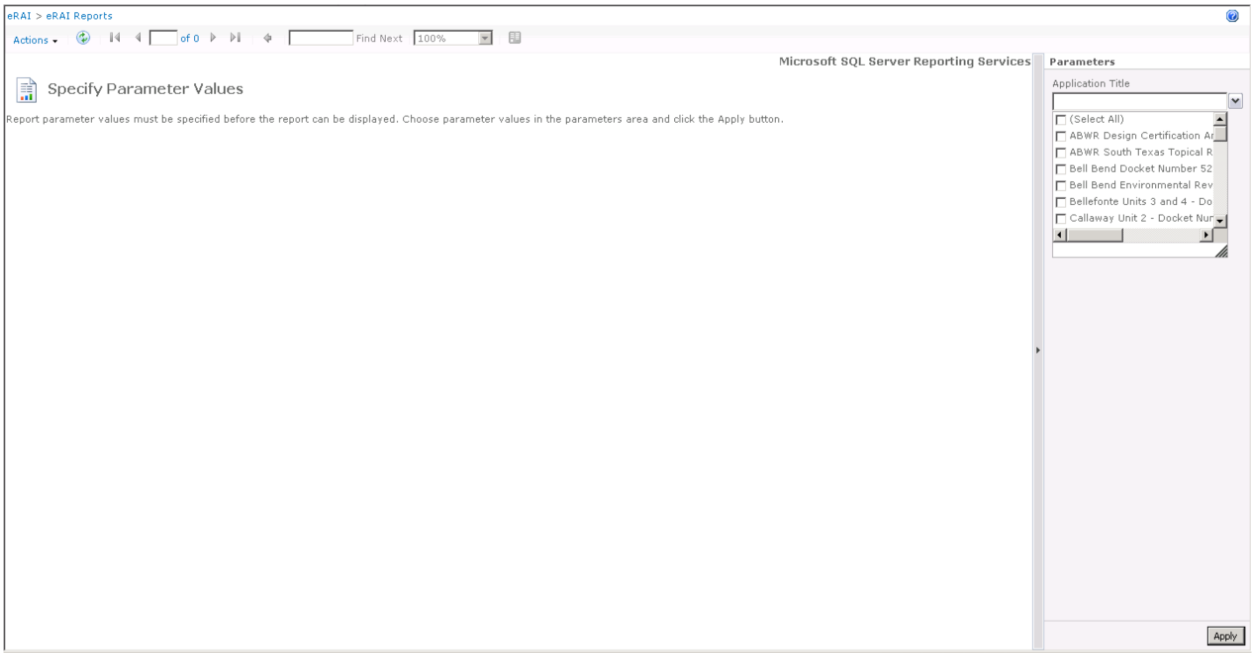


Figure 14:2: Reports Parameters

14.3 Exporting Report Data

eRAI allows you to use your report on screen, and to export your report output to several formats.

Table 14-1: Report Output Format

Format:	Features:
Print	Sends the output to a printer
CSV	Generates the eRAI report as comma delimited data fields which can be read, formatted, and analyzed in Microsoft Excel.
PDF	Generates the eRAI report in a format that can be processed by Adobe Acrobat.
MHTML	Generates the eRAI report in a format that can be archived as a web page, readable by web browsers.
Excel	Generates the eRAI report in Microsoft Excel's spreadsheet format.
TIFF	Generates the eRAI report in an image file that can be used by publishing or design software
MS Word	Generates the eRAI report as a Microsoft Word document.

Tip: If you want to be able to use Excel's data analysis features, e.g., filtering, sorting, formulas, and pivot tables, then select the CSV format, not Excel.

To export report data:

1. Generate a report as described in Section 13.2
2. Click the **Actions** drop-down in the upper left corner of the screen
3. If you want to print the report as it appears on screen, then click **Print**, otherwise, skip to Step 4
4. If you want to export the report data, then click **Export** to open the Export menu
5. Click an option in the Export menu and follow the instructions to either:
   a. Open the report on screen
   b. Save the report to a local or network drive

15 RAI Resource Page

The **RAI Resource Page** provides access to all documents associated with the RAI Process, and the eRAI System, from one location. To open the page, click the **RAI Resource Page** link at the top of the left-navigation menu on the eRAI Home Page.

- RAI Process Documentation:
  - RAI Job-Aid.
  - RAI Quality Checklist.
  - Quality RAI Examples.
  - RAI Office Instruction.
  - Diagram of RAI Review and Approval Process through Initial Issuance.
- eRAI System Documentation:
  - eRAI User Manual.
  - eRAI Quick Card.
  - eRAI System Workflow Diagram.

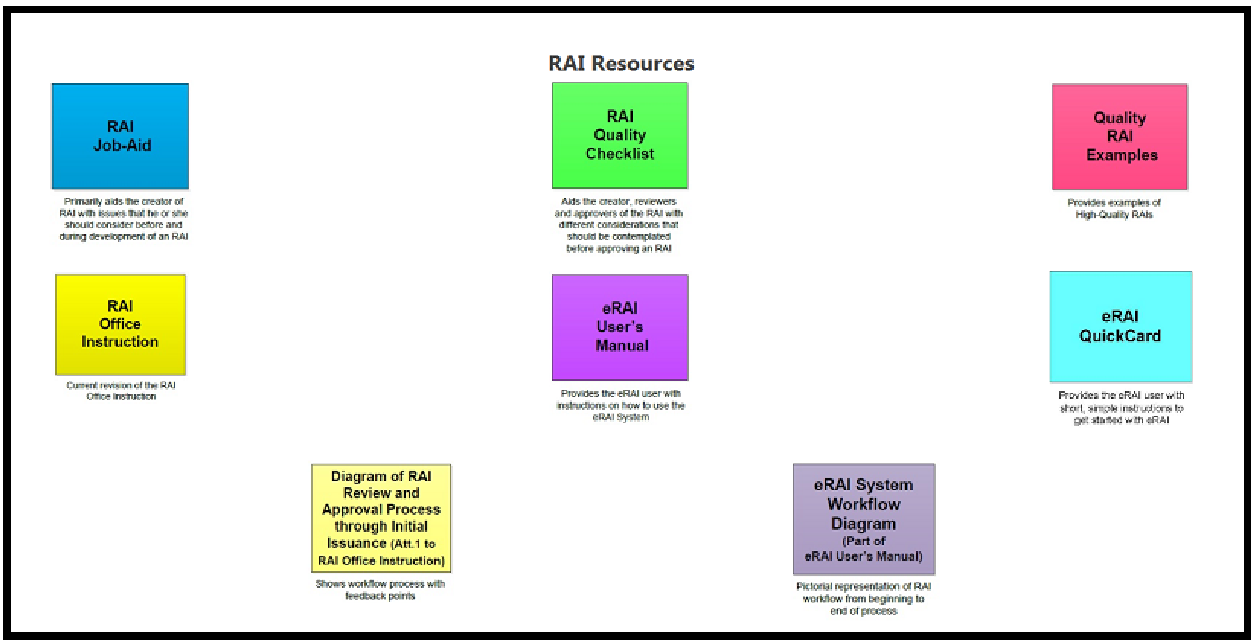


Figure 15:1: RAI Resource Page

To view any of the resources, simply click the icon, and the document will open in a new browser window. When you're done, simply close that window.

Tip: Each icon is a hyperlink to the official copy, which is stored in ADAMS (RAI Process Documentation), or in eRAI (eRAI System Documentation).

Acronyms

eRAI—Electronic Request for Additional Information

TBR—Technical Branch Reviewer

TBC—Technical Branch Chief

TDM – Technical Division Manager

OGC—Office of General Counsel

LBC—Licensing Branch Chief

PM—Project Manager

OAR—Official Agency Record

ADAMS—Agency (Wide) Documents Access and Management System

PARS – Publicly Available Records System

Appendix A: RAI Information

Field	Brief Description
Review Type	In the context of the eRAI system, the Review Type refers to the type of the review being conducted, i.e., DC or NON-DC RAI. DC is a Design Certification review that does not Require OGC approval. All other types of Reviews are considered NON-DC.
RAI ID	RAI Identification, used internally by the solution Key Attribute
RAI Title	RAI Identification
Docket Number	Combination of NRC assigned unique number & Application Title
Review Document Section Number	Chapter and Section number of the Standard Review Plan section associated with the RAI's questions
Application Section	Chapter and Section number of the submitted Application associated with the RAI's questions
Technical Branch	Technical branch and section of the reviewing organization within the NRC
Technical Branch Reviewer	Reviewer creating the RAI
Technical Branch Chief	Technical Branch Chief reviewing the RAI
Chapter PM	Project Manager having responsibility for a particular section(s) of the application

Field	Brief Description
Licensing Branch Chief	Licensing Branch Chief reviewing the RAI
Project Manager	Project Manager having overall responsibility for the application
OGC	Counsel reviewing the RAI
RAI Issue Date	RAI Issue Date
RAI Due Date	Due date for the response to the RAI
RAI Close-Out Date	Date when RAI is closed overall
RAI Status	The status of the RAI. The user should have 2 choices: a) Open b) Closed
Current Review Start Date	Date the RAI enters into the current state in the workflow
Current Review Due Date	Date the RAI current state review is due to be completed
Application Accession #	ADAMS Accession Number for the Application
RAI NRC Letter Number	The RAI number assigned by the Project Manager to the Official Agency Record when an RAI is issued. The field can accept alpha-numeric entries
RAI Accession No	ADAMS Accession Number for the RAI
ADAMS References	ADAMS Accession Numbers for Related to RAI Document(s) / Packages(s)
Engineering Notebook	An indicator on whether an RAI has an Engineering Notebook and to indicate that there are engineering notes outside the system
EPM Project Risk	An Indicator that the RAI represents a risk to the project and budget. A Risk is a matter which has not caused to date but is assessed as potentially having impact.
Revision Number	Revision identifier (Legacy Field from eRAI 1.0)
State	The current state of the record in the workflow
Assigned To	The next person/group in the workflow notified and assigned a task who has an action to perform on this RAI
Last Actioned By	The last person who has performed a workflow action on the RAI.

Appendix B: Question Information

Field	Brief Description
Question ID	Question ID, used internally by the solution Key Attribute
Question Title	The title of the question. System generated.
RAI ID	RAI Identification
Question Status	The current status of the question. The user should have 11 choices: a) Pending Review: The RAI has been created. b) Reviewed TBC: The TBC has reviewed/approved the RAI and the Question. c) Reviewed Chapter PM: The Chapter PM has reviewed/approved the RAI and the Question. d) Reviewed OGC: The OGC has reviewed/approved the RAI and the Question. e) Reviewed LBC: The Licensing Branch Chief has reviewed/approved the RAI and the Question. f) NRC Concurred: The RAI and Question have passed Final Review by the PM. g) Issued/Waiting for Response: The RAI has been issued to the applicant for response and the OAR has been created. h) In Evaluation: The applicant has provided a response and the response is being evaluated by the NRC. i) Confirmatory Action: The NRC agrees with applicant's response, but some action is required because part of the response is not complete, e.g., FSAR change has not been formally submitted. j) Resolved – Closed: NRC has accepted applicant's response and no additional issues or concerns remain for the question. k) Unresolved – Closed: Applicant's response did not adequately resolve the issue, and NRC has issued a follow-up question. For more information refer to the Question Status Flowchart found in eRAI Project Documents
Acceptance Criteria	Specific acceptance criteria related to the question
Question Type	This is for a COL review within the Design Center Review Approach to track standard questions within a design center for subsequent COLs. The user should have 3 choices: a) Std. Design b) Application Specific c) N/A The field should default to the value "Std. Design" for a new Question.

Field	Brief Description
Question Description	A detailed description of the RAI question
Question Number	The system generated number of the question within the RAI
Answer	A detailed description of the RAI answer from the applicant
Issue Type	This refers to a situation where an issue has arrived. An issue is a matter that causes an increase in work cost (hours) and/or overall duration The issue type of the question. The user should have 4 choices. a)None b)SER Open Item c)Confirmatory Item d)Environmental The field should default to the value “None” for a new Question.
Issue Number	If issue has a number, it will go here.
Sensitivity	Sensitivity of the question. The user should have 5 choices. a)N/A b)SUNSI (for tracking only) c)SUNSI – Standard (for tracking only) d) SUNSI – Plant Specific (for tracking only) e) SGI (for tracking only)
Actual Response Date	The date of actual response by the applicant
Response Accession #	ADAMS Accession Number for the applicant’s response
Attachments	Attachments documents to the responses

Appendix C: Answer Information

Field	Brief Description
Question ID	Question ID, used internally by the solution Key Attribute
Answer	A detailed description of the RAI answer from the applicant
Response Date	The date of actual response by the applicant
Response Accession Number	ADAMS Accession Number for the applicant's response
Response Type	Type of Response. The user should have 4 choices. a) N/A – Not Applicable (Default Value) b) Partial - Response that addresses only a portion of the question asked. c) Full - Indicates that the response addressed all points, but not in final form d) Final - Response that represents a final communication.

Appendix D: eRAI System RAI States and Question Statuses