

POLICY ISSUE (Information)

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FOR: The Commissioners

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SUBJECT: AGENCYWIDE DOCUMENTS ACCESS AND MANAGEMENT SYSTEM:
SEMI-ANNUAL PROGRESS REPORT FOR JANUARY-JUNE 2005

PURPOSE:

To provide an update on accomplishments related to the Agencywide Documents Access and Management System (ADAMS) during the period January through June 2005 and to report on current initiatives.

BACKGROUND:

This ADAMS semi-annual report, covering the first six months of 2005, is the third that uses the "ADAMS Quality Measures and Value Statements" framework to communicate progress on ADAMS initiatives. The first covered the first six months of 2004 and was sent to the Commission in August 2004; the second, covering the last six months of 2004, was submitted in March 2005. The framework is based on 13 measures of quality grouped into four key ADAMS

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components that contribute value to the staff and members of the public who use the system. Improving ADAMS based on these components enhances the usefulness of ADAMS and, thereby, increases NRC's efficiency and effectiveness in achieving the agency's regulatory mission. The staff intends to continue reporting progress on ADAMS activities, measuring user satisfaction, and planning future ADAMS activities. The staff includes a list of the enhancements in ADAMS release 4.3.

DISCUSSION:

There were five major areas of activity during this reporting period. These five areas are: (1) ADAMS release 4.3, (2) continuing development of a Web-based search interface to the ADAMS Main Library, (3) implementing the ADAMS quality control audit plan, (4) moving to ADAMS 5.0 (the next generation of ADAMS), and (5) the Sensitive Information Screening Project (SISP).

(1) ADAMS Release 4.3

One of the major planned activities was the deployment of ADAMS release 4.3, which was completed in March 2005. The primary improvements and features of this upgrade to the ADAMS Main Library include more flexible password controls, a new version of the document viewer, an enhanced search tool, and an expanded report capability offering users multiple document formats. Each of these enhancements is described in Attachment 3.

To assist staff with the new release, a revised version of the ADAMS Desk Reference Guide was made available both electronically and in paper format. Changes in the ADAMS 4.3 software are clearly highlighted in the new Desk Reference Guide and information on the SISP review process is also included. The ADAMS Desk Reference Guide can be found in the Main Library in the ADAMS Documentation folder under the ADAMS Desk Reference Guide 4.3 update folder. It is also available on the ADAMS documentation page on the NRC's Internal Web site. The guide provides step-by-step instructions for using ADAMS to conduct day-to-day business and includes detailed screen shots of each step. In addition to the "how to" software instructions, the guide contains the agencywide business rules associated with using ADAMS to store Official Agency Records (OARs), route documents, record concurrences, declare documents as OARs, and make documents publicly available.

(2) Web-based Search Interface to the ADAMS Main Library

Also during this reporting period, OIS staff have continued work on the development of a Web-based search interface to the ADAMS Main Library. This new interface is based on the same software products being used to provide Web-based access to the ADAMS Publicly Available Records System (PARS) library.

The interface to the ADAMS Main Library will provide additional functionality to the staff that is not available to the public, such as the ability to save their search criteria and search results for later use. A brief controlled usability study was conducted in February 2005 and interface design changes were made based on the study's results. A more comprehensive pilot evaluation began in May 2005 when representatives from NRC offices were given desktop access to this new ADAMS search tool for use in day-to-day activities. This pilot user group

continues to provide sound input with respect to their experience in using the new search tool. The OIS staff interface team will use the information gained from the pilot user group to tailor the interface to the needs of the users. Deployment to NRC staff is currently planned for December 2005.

(3) ADAMS Quality Control Audit Plan

During this reporting period, OIS completed an ADAMS quality control audit plan and began its implementation. Using contractor support, OIS is reviewing records captured in ADAMS to determine if offices are placing records in ADAMS according to the recordkeeping system designations made in the ADAMS records disposition schedules. The staff is also checking for problems with record completeness, consistent processing, problematic trends, inconsistencies, and major gaps in ADAMS recordkeeping. We will conduct site reviews with office staff to address any gaps. A final report on the ADAMS quality control audit plan will be completed by the end of FY 2005.

(4) ADAMS 5.0

OIS has put together a project team to plan and implement the next generation of ADAMS, known as ADAMS 5.0. This new version will have a Web-based user interface and will include capture of e-mail records. The project team is working on a project management plan that will be used to guide the project.

ADAMS 5.0 will bring a number of improvements to the existing NRC environment, such as: moving to a completely Web-based approach, intuitive and powerful search tools for locating documents and information, better integration with office automation tools, and better workflow tools that will allow the NRC to leverage the benefits of an enterprise document management system for improved business processes. A guiding principle of ADAMS 5.0 will be to replace the custom programming associated with the current version of ADAMS with the "out of the box" capabilities of the underlying vendor products. This will reduce the cost of maintaining ADAMS 5.0 and make it easier to upgrade when vendors release newer versions of their products.

During the first half of FY 2005, OIS staff worked on planning the ADAMS 5.0 development and deployment efforts. The first phase will start in the late 4th quarter of FY 2005 and concentrate on revalidating and revising the ADAMS requirements and identifying custom-developed functionality in the current version of ADAMS that can be replaced by "out of the box" functionality offered by the latest version of the underlying software. The result of this work will serve as the baseline for an alternatives analysis and business case. If this study shows that the best alternative is to use the latest version of the current software of ADAMS 5.0 and the business case is approved, a pilot conversion of the Legacy and Public Legacy Libraries will occur in the fourth quarter of FY 2006. During this time, NRC staff and the public will have the opportunity to "test drive" the pilot implementations. Anticipated completion of the pilot is scheduled for the end of the second quarter of FY 2007.

(5) The Sensitive Information Screening Project (SISP)

A major agency activity during this reporting period that impacted both staff efforts regarding ADAMS and the public's usage of PARS was the "Sensitive Information Screening Project" (SISP). This activity involved additional security review of publicly-available documents by agency experts to ensure that potentially sensitive information was removed from the agency Web site. ADAMS was temporarily unavailable to the public while the review was conducted. Citrix-based access to PARS was restored on December 7, 2004; Web-based access to PARS was restored on February 4, 2005. To date, of the approximately 380,000 documents originally in PARS, over 259,000 have been restored. An abbreviated chronology of the shutdown of the public library and the SISP restoration efforts are as follows:

<u>October 25, 2004</u>	Commission suspended public access to ADAMS and staff starts SISP. Public access to the Electronic Hearing Docket and Licensing Support Network also was suspended.
<u>December 7, 2004</u>	Staff completed review and restored access to the majority of reactor-related documents.
<u>December 30, 2004</u>	Staff completed review and restored access to documents related to uranium enrichment facilities proposed by LES and USEC, Inc., and to new reactors.
<u>February 4, 2005</u>	Staff completed review and restored Web access to the ADAMS public library.
<u>March 16-8, 2005</u>	Staff completed review and restored access to 29,300 WM-00011 (Yucca Mountain) HLW Documents in PARS.
<u>June 2-16, 2005</u>	Staff completed review and restored access to a total of 67,012 non-docket related documents (including 25,633 packages) in PARS.

The SISP review and restoration of documents to PARS presented many challenges for the OIS and program office staff involved in the ADAMS program, including staff in the Public Document Room working to assist the public, staff in the ADAMS Support Center assisting the program offices in conducting the reviews and modifying record profiles, and information technology (IT) staff working on approaches to temporarily block and then restore access to portions of the database as reviews were completed. SISP screening procedures were posted on the Web to communicate the latest information to the staff involved in the SISP review process for newly-generated or received documents. This information has been updated on a regular basis to ensure that the most recent guidance is always available to the staff. This practice has helped the SISP review process become fully integrated into agency business processes.

COORDINATION:

This paper has no legal or resource implications and has, therefore, not been reviewed by OGC or OCFO.

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- Attachments:
1. ADAMS Quality Measures and Value Statements
 2. ADAMS Program Initiatives Progress Report #3
 3. ADAMS Release 4.3 Enhancements

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*see previous concurrences

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ADAMS QUALITY MEASURES AND VALUE STATEMENTS

ADAMS Component	Quality Measure	Value Statement
ADAMS System Information Technology (IT) Components	Availability	ADAMS is available when I need to use it.
	Performance	ADAMS response time is adequate for me to interact efficiently with the system.
	Functionality	ADAMS provides the functions I need to interact efficiently and effectively with the system.
	Ease of Use	The ADAMS user interface makes it easy for me to use the system.
ADAMS Support Services	Policy and Procedures	ADAMS policies and procedures are clear, up to date, and readily available to me.
	Training and Documentation	ADAMS training and documentation makes me aware of my roles and responsibilities related to records management and ADAMS, and helps me use the system efficiently and effectively.
	User Support	Support for using ADAMS is easily available, timely, and accurate.
	User Input	OCIO is soliciting my feedback and working to continuously improve the value of ADAMS.
ADAMS Document Capture and Distribution Services	Timeliness of Document Processing	The documents I work on are processed by the Document Processing Center in a timely manner.
	Timeliness of Incoming Document Delivery to the Staff	As an NRC staff member, I can rely on ADAMS to deliver incoming documents to me and/or my staff in a timely manner.
	Timeliness of Public Release	As a member of the public, I can rely on ADAMS to provide newly released documents to me in a timely manner in the ADAMS Publicly Available Records System (PARS) library and, for certain document types, on the NRC Web site.
ADAMS Collections and Profile Data	Document Collection Completeness	I have confidence that the collection of documents in each ADAMS library is complete.
	Quality of Profile Data	I have confidence that the profile data is accurate and complete.

Attachment 1

ADAMS PROGRAM INITIATIVES PROGRESS REPORT #3

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS System Information Technology (IT) Components		
Availability	<p><u>Re-Deployment of the Public ADAMS Library</u> Web-based PARS redeployed after the SISP Task Force began its document review. [Q2/FY05]</p> <p><u>ADAMS 4.3 Upgrade</u> Upgraded the ADAMS desktop software as one step in the plan to bring the ADAMS software to the most recent supported version. [Q2/FY05]</p>	<p><u>Server Improvements</u> Acquire new hardware and software to improve system availability. [Q4/FY05]</p> <p><u>System Security</u> Complete ADAMS Security re-accreditation so that ADAMS can continue to operate securely. [Q2/FY06]</p> <p><u>Filenet Software Upgrade.</u> The software platform for all ADAMS Main Library will be upgraded to version 5.4. [Q4/FY05]</p>
Performance	<p><u>Release of Web-based Search for the ADAMS Publically Available Records System Library (PARS)</u> Upgraded web-based search interface for PARS to latest vendor version to maintain stability and correct a problem with certain search results. [Q2/FY05]</p> <p><u>Hardware Upgrade for Main Library Storage</u> Upgraded the disk array that contained the ADAMS documents to a Hitachi SAN (Storage Area Network) in order to maintain vendor support and increase storage capacity. [Q2/FY05]</p>	<p><u>Server Improvements</u> Acquire new hardware and software to improve system performance. [Q4/FY05]</p> <p><u>Improve Access to PDF Files</u> Implement byte-serving for PDF files and a new package interface to shorten document download time. [Q2/FY06]</p> <p><u>Convert TIFF to PDF Files</u> Convert older TIFF files in ADAMS to PDF to shorten document download time. [Q1/FY06]</p>

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS System Information Technology (IT) Components (Continued)		
Functionality	<u>ADAMS 4.3 Upgrade</u> Major changes included: <ul style="list-style-type: none"> • Enhanced password controls • Upgraded the ADAMS Viewer capabilities. • Enhanced Find tool • Upgraded the “Create Report” functionality making it possible to produce reports containing large numbers of documents. [Q2/05]	<u>ADAMS 4.4 Upgrade</u> Define what functions and features are to be included in the next release of ADAMS. [Q3/FY06]
Ease of Use	<u>Web-based Search for the ADAMS Main Library</u> Developed, tested, and implemented a pilot project to provide input toward the design of the Web-based Search of the ADAMS Main Library for the staff. [Q3/FY05]	<u>Web-based Search for the ADAMS Main Library</u> Deploy Web-based search of the ADAMS Main Library. [Q1/FY06]
ADAMS Support Services		
Policy and Procedures	<u>Update of information about handling of e-mails as Federal records</u> Updated guidance for the staff in the <i>ADAMS Desk Reference Guide, rev.4.</i> [Q3/FY05]	<u>Update of MD 3.4, “Release of Information to the Public”</u> Update guidance for the staff on what documents to make public. [FY05]
Training and Documentation	<u>ADAMS Desk Reference Guide</u> Updated instructions for the staff for release 4.3. [Q3/FY05] <u>SISP Web Site</u> Created and maintained Intranet site as a central source of guidance for SISP review and document profiling.	
Support Services	<u>ADAMS Support Center Assistance</u> Provided support to offices in developing search strategies and electronic document handling approaches in support of SISP reviews.	<u>ADAMS Support Center Staff Assistance</u> Continue to support program offices during the document sensitivity review process and all other needs. [Q1-4/FY05]

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS Support Services (Continued)		
User Input	<p><u>Semi-Annual Meetings of the ADAMS Public Users Group</u> Provided opportunities for feedback through presentations at this and other stakeholder forums. [Ongoing] The last meeting was July 20, 2005.</p> <p><u>ADAMS NRC Public User Surveys</u> Finished analysis of feedback, made it available in ADAMS, and posted it on the public Web site. [Q2/FY05]</p> <p><u>Web-based Search for the ADAMS Main Library</u> Deployed Pilot of Web-based search of the ADAMS Main Library for the staff. [Q3/FY05]</p>	<p><u>2nd Public User Satisfaction Survey-Under Preparation</u> To be conducted in FY06 [Q4/FY06]</p> <p><u>Semi-Annual Meetings of the ADAMS Public Users Group</u> Provide opportunities for feedback Presentations at this and other stakeholder forums. The next ADAMS Public Users Group meeting is scheduled for January 18, 2006. [Ongoing]</p> <p><u>Web-based access to the ADAMS Main Library</u> Evaluate the pilot (staff input) for the design of the Web-based search of the ADAMS Main Library for the staff. [Q4/FY05]</p>
ADAMS Document Capture and Distribution Services		
Timeliness of Document Processing	<p><u>Process Improvements for EIE Submittals</u> Changed procedures by DPC for processing EIE submittals to streamline indexing electronic documents and reduce document processing time. [Q3/FY05]</p>	<p><u>Desk Reference Guide for EIE Submitters</u> Develop Desk Reference Guide to support EIE submitters. Guide gives step-by-step instructions for "rendering" PDF files (from commonly used commercial wordprocessing, spreadsheet, and presentation applications) that comply with the specifications and parameters prescribed in NRC's electronic submission guidance document. [Q4/FY05]</p>

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS Document Capture and Distribution Services (Continued)		
Timeliness of Incoming Document Delivery to the Staff	None.	<u>Special Pick-up Service for Incoming EDO Mail</u> Institute a new document pickup service (six scheduled runs per day) for the OEDO which will significantly increase the speed of processing EDO-controlled correspondence into ADAMS. [Q4/FY05]
Timeliness of Public Release	None.	<u>Update of MD 3.4, "Release of Information to the Public"</u> Update guidance to the staff on what documents to make public. [FY05]
ADAMS Collections and Profile Data		
Completeness of Document Collections	<u>ADAMS Records Quality Control Audit</u> Developed an audit plan and began conducting the audit. [Q3/FY05]	<u>ADAMS Quality Control</u> Develop a more systematic approach for ensuring completeness and accuracy of the ADAMS record collections. [FY05] <u>Conduct ADAMS Records Quality Control Audit</u> Complete the audit and issue the audit report. [Q4/FY05]
Quality of Profile Data	None.	<u>Profile Data Review</u> Review uncontrolled fields in ADAMS for accuracy and address any problems with associated Quality Assurance efforts (ongoing). [FY05]

ADAMS RELEASE 4.3 ENHANCEMENTS

Password Controls

The password controls for ADAMS have been enhanced to provide additional flexibility for expired passwords. To comply with Federal Information Security Management Act (FISMA) requirements, staff are required to change their Main Library password at least once every 90 calendar days. If the password is not changed within the 90 day period, the password will expire, but with this upgrade staff are given one grace logon before being locked out of the library. This is helpful when staff are unable to change their password (e.g. because of travel, leave).

New Viewer

There are some changes in the user interface of the Viewer, including a new menu structure, toolbar and Multiple Document Interface (viewing multiple documents simultaneously). An intermittent problem with the viewer displaying documents with color pages also was corrected.

ADAMS Find Tool

The enhanced Find tool enables staff to stop and then continue the display of a search results list. Users can now simply click on the Stop button to temporarily stop the display and then click on the Go button to resume the list where it left off.

Create Reports

The Create Reports feature has been expanded to include creating reports in the Crystal Reports format as well as with WordPerfect. This enhanced capability will provide users with more options when creating reports.