

# POLICY ISSUE INFORMATION

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SECY-06-0016

FOR: The Commissioners

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SUBJECT: AGENCYWIDE DOCUMENTS ACCESS AND MANAGEMENT SYSTEM:  
SEMI-ANNUAL PROGRESS REPORT FOR JULY - DECEMBER 2005

## PURPOSE:

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

## BACKGROUND:

This is the fourth ADAMS semi-annual report. It covers the last six months of 2005 and uses the "ADAMS Quality Measures and Value Statements" framework to provide the status of progress on ADAMS initiatives. The first report covered the first six months of 2004 and was sent to the Commission in August 2004, the second covered the last six months of 2004 and was submitted in March 2005, and the last covered the first six months of 2005 and was submitted in August 2005.

The ADAMS Quality Measures and Value Statements framework, Enclosure 1, is based on 13 measures of quality grouped into 4 key ADAMS 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 mission. The staff intends to continue reporting progress on ADAMS activities, measuring user satisfaction, and planning future ADAMS activities based on this framework.

DISCUSSION:

The ADAMS Program Initiatives Progress Report, Enclosure 2, shows that there were five major areas of activity during this reporting period. Listed chronologically, these are: (1) ADAMS Release 4.3.1, (2) upgrade of the ADAMS FileNet servers to version 5.4, (3) ADAMS Release 4.3.2, (4) Staff Interface Portal deployment and, (5) planning activities for ADAMS 5.0.

(1) ADAMS Release 4.3.1

A major activity was the deployment of ADAMS Release 4.3.1, which was completed in August 2005. The changes associated with this release are described in Enclosure 3.

(2) Upgrading ADAMS FileNet servers to version 5.4

This server-side only upgrade was required to stay current with the vendor's supported software release. The upgrade was planned, coordinated and executed by FileNet representatives and Infrastructure and Computer Operations Division and Information and Records Services Division support personnel. This upgrade affected only software utilized by the server-side computer operations hardware and was transparent to ADAMS users.

(3) ADAMS Release 4.3.2

Another major activity was the deployment of ADAMS Release 4.3.2, which was completed in November 2005. The changes associated with this release are described in Enclosure 4.

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

During this reporting period, staff deployed the Staff Interface Portal search capability for the ADAMS Main Library. This new interface is based on the same software product being utilized to provide Web-based access to the ADAMS Publicly Available Records System library. The interface to the ADAMS Main Library provides additional functionality to the staff, such as the ability to save their search criteria and search results for later use.

(5) ADAMS 5.0 Project Progress

By deploying ADAMS 5.0, the staff will improve the existing NRC ADAMS environment with a completely Web-based interface, intuitive and powerful search tools for locating documents and information, and better integration with office automation tools to allow NRC to leverage the benefits of an enterprise document management system for improved business processes. As a guiding principle of ADAMS 5.0, staff will replace as much custom programming as possible with the "out-of-the-box" capabilities of underlying vendor products. This should reduce the cost of maintaining ADAMS 5.0 and make it easier to upgrade when vendors release newer versions of products.

During the second half of fiscal year 2005, the ADAMS project team began work on the ADAMS 5.0 system requirements specification, reviewed last year's cost projections in light of new information, developed a proposal for an ADAMS 5.0 governance structure that increases the participation of NRC offices in the project, evaluated the feasibility of moving to a search tool included with the commercial-off-the-shelf document management system versus a third-party tool, and reviewed the general project approach for ADAMS 5.0. The result of this work will serve as the baseline for the business case to move forward with the ADAMS 5.0 project.

COORDINATION:

This paper has no legal or resource implications and has, therefore, not been reviewed by the Office of the General Counsel (OGC) or the Office of the Chief Financial Officer (OCFO).

***/RA/***

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Executive Director  
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Enclosures:

1. ADAMS Quality Measures and Value Statements
2. ADAMS Program Initiatives Progress Report # 4
3. ADAMS Release 4.3.1 Changes
4. ADAMS Release 4.3.2 Changes

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\*see previous Concurrence

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## ADAMS QUALITY MEASURES AND VALUE STATEMENTS

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

## ADAMS PROGRAM INITIATIVES PROGRESS REPORT # 4

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
<b>ADAMS System Information Technology (IT) Components</b>		
<b>Availability</b>	<p><u>ADAMS 4.3.1 Upgrade</u> Upgraded the ADAMS desktop software to incorporate Configuration Control Board approved changes. [Q4/FY05]</p> <p><u>ADAMS 4.3.2 Upgrade</u> Upgraded the ADAMS desktop software to incorporate Configuration Control Board approved changes. [Q1/FY06]</p> <p><u>Server Improvements</u> Acquired new hardware and software to improve system availability. [Q4/FY05]</p> <p><u>Filenet Software Upgrade</u> The software platform for all ADAMS Content Service Libraries was upgraded to version 5.4 to maintain vendor support. [Q4/FY05]</p>	<p><u>System Security</u> Complete ADAMS Security re-accreditation so that ADAMS can continue to operate securely. [Q1/FY08] <sup>1</sup></p>
<b>Performance</b>	<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>Convert TIFF to PDF Files</u> Converted older TIFF files in ADAMS to PDF to shorten document download time and position ourselves to remove custom code when we develop ADAMS 5.0. [Q1/FY06]</p> <p><u>Server Improvements</u> Acquired new hardware and software to improve system performance. [Q4/FY05]</p>	<p><u>ADAMS 5.0</u> Began the Capital Planning and Investment Control (CPIC) process for the ADAMS 5.0 project. ADAMS 5.0 will have a Web-based interface, intuitive and powerful search tools, and better integration with office automation tools.</p>

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<sup>1</sup>The Office of Information Services (OIS) implemented a Security Tiger Team that developed a schedule to address certification and accreditation for priority agency systems in which ADAMS was not identified as a priority system. OIS granted ADAMS the Interim Approval to Operate (IATO) until May 31, 2008. In accordance with the current Tiger Team schedule, we expect to have ADAMS re-accreditation completed before the IATO expires.

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
<b>ADAMS System Information Technology (IT) Components (Continued)</b>		
<b>Functionality</b>	<p><u>ADAMS 4.3.1 Upgrade</u> Upgraded the ADAMS desktop software to incorporate Configuration Control Board approved changes. [Q4/FY05]</p> <p><u>Filenet Software Upgrade.</u> The software platform for all ADAMS Content Service Libraries was upgraded to version 5.4 to maintain vendor support. [Q4/FY05]</p> <p><u>ADAMS 4.3.2 Upgrade</u> Upgraded the ADAMS desktop software to incorporate Configuration Control Board approved changes. [Q1/FY06]</p>	<p><u>ADAMS 4.4 Upgrade</u> Define what functions and features are to be included in the next release of ADAMS. [Q3/FY06]</p> <p><u>ADAMS 5.0</u> Began the CPIC process for the ADAMS 5.0 project. ADAMS 5.0 will have a Web-based interface, intuitive and powerful search tools, and better integration with office automation tools.</p>
<b>Ease of Use</b>	<p><u>Web-based Search for the ADAMS Main Library</u> Deployed Web-based search capability, Staff Interface Portal (SIP) for the ADAMS Main Library. [Q1/FY06]</p>	<p><u>ADAMS 5.0</u> Began the CPIC process for the ADAMS 5.0 project. ADAMS 5.0 will have a Web-based interface, intuitive and powerful search tools, and better integration with office automation tools.</p>
<b>ADAMS Support Services</b>		
<b>Policy and Procedures</b>	<p><u>Notification to NRC Staff of Potential for Hidden Text in PDF Files</u> NRC staff has been notified of the potential for there to be hidden text in NRC's PDF files and methods to prevent that from occurring. [Q1/FY06]</p>	<p><u>OIS Activities Related to the Potential for Hidden Text in PDF files</u> OIS will be meeting with the IT Coordinators for each Office and region to discuss the potential for hidden text in PDF files. OIS also is preparing a communication to our external stakeholders about this issue and will be updating the guidance on electronic submissions. [Q2/FY06]</p>
<b>Training and Documentation</b>	<p><u>HLW Training</u> Provided PDF training sessions in Las Vegas, NV, and at NRC Headquarters for prospective parties who plan to submit documents to the High-Level Waste proceeding. [Q4/FY05]</p> <p><u>PDF/EIE Submittal</u> Provided PDF/EIE submittal training to the 5<sup>th</sup> Annual UFSAR (Updated Final Safety Analysis Report) attendees at Clearwater Beach, FL. [Q1/FY06]</p>	
<b>Support Services</b>	<p><u>ADAMS Support Center Assistance</u> Provided support to offices with problems using ADAMS. [Ongoing]</p>	<p><u>ADAMS Support Center Staff Assistance</u> Continue to support program offices. [Q1–Q4/FY06]</p>

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
<b>ADAMS Support Services (Continued)</b>		
<b>User Input</b>	<p><u>Semiannual Meeting of the ADAMS Public Users Group</u> held on July 20, 2005. Provided opportunities for feedback through presentations at this stakeholder forum. [Q4/FY05]</p> <p><u>Web-Based Access to the ADAMS Main Library</u> Evaluated the pilot (staff input) for the design of the Web-based Staff Interface Portal (SIP) search capability of the ADAMS Main Library for the staff. [Q4/FY05]</p>	<p><u>Staff and Public User Satisfaction Survey-Under Preparation</u> to be conducted in FY06. [Q4/FY06]</p> <p><u>PDR to Develop LISTSERV</u> As a result of the July 20, 2005 ADAMS Public User Group Meeting, a listserv will be created to communicate ADAMS — related issues with the public in lieu of formal meetings. [Ongoing]</p>
<b>ADAMS Document Capture and Distribution Services</b>		
<b>Timeliness of Document Processing</b>	<p><u>ADAMS 4.3.2 Upgrade</u> Upgrade included DPC processing improvements. See Enclosure 4. [Q1/FY06]</p> <p><u>Desk Reference Guide for EIE Submitters</u> Developed Desk Reference Guide to support EIE submitters. Guide gives step-by-step instructions for “rendering” PDF files (from commonly used commercial word processing, 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
<b>ADAMS Document Capture and Distribution Services (Continued)</b>		
<b>Timeliness of Incoming Document Delivery to the Staff</b>	<u>Special Pick-up Service for Incoming EDO Mail</u> Instituted 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]	
<b>Timeliness of Public Release</b>	None.	
<b>ADAMS Collections and Profile Data</b>		
<b>Completeness of Document Collections</b>	<u>ADAMS Quality Control</u> Developed a more systematic approach for ensuring completeness and accuracy of the ADAMS record collections. [Ongoing]  <u>ADAMS Records Quality Control Audit</u> Completed the audit and issued the audit report. [Q4/FY05]	<u>ADAMS Quality Control</u> Develop a more systematic approach for ensuring completeness and accuracy of the ADAMS record collections. [Ongoing]
<b>Quality of Profile Data</b>	<u>ADAMS 4.3.2</u> Implemented a new document class enabling the DPC to enter documents more efficiently. [Q1/FY06]  <u>Profile Data Review</u> Reviewed uncontrolled fields in ADAMS for accuracy and addressed problems with associated Quality Assurance efforts. [Ongoing]  <u>CDTS Collection Added to ADAMS</u> The Commission Decision Tracking System (CDTS) has been made available in ADAMS to preserve the structure and content of the original Commission-level tracking system and to facilitate decommissioning of obsolete hardware and unsupported software from the original server/desktop application. [Q3/FY05]	<u>Profile Data Review</u> Review uncontrolled fields in ADAMS for accuracy and address any problems with associated Quality Assurance efforts. [Ongoing]

## **ADAMS RELEASE 4.3.1 CHANGES**

### CITRIX Issues

Several CITRIX issues were resolved involving printing, viewing, and creating reports using the Crystal Reports format.

### Viewer Issues

The staff corrected the problems with a user viewing multiple documents simultaneously and multiple users viewing the same document. The viewers' filters were upgraded to view more file types.

The ADAMS viewer had several problems printing various file types (e.g., WPD and TIF) that have been corrected. As a result, the entire document can be printed and multiple copies can be made. Printing problems from the ADAMS viewer were corrected. The default directory for saving documents from the ADAMS viewer was corrected.

### GroupWise 6.5

ADAMS was upgraded to interface properly with GroupWise version 6.5.

### Send Issue

A problem sending multiple files from ADAMS was eliminated, and ADAMS users are now able to send, via GroupWise, multiple links to ADAMS documents to other users, as designed.

## **ADAMS RELEASE 4.3.2 CHANGES**

### Security

An upgrade was made to the ADAMS password software to meet agency security compliance requirements.

The High-Level Waste (HLW) security barrier code was modified to prevent nonpublicly available Protective Order File (POF) documents from being published to the publicly available HLW-EHD.

### FIND Function

The staff fixed the "Content Searching" in the "FIND" function to provide more consistent search results using the recently upgraded libraries.

### Adobe Interface

ADAMS now interfaces with the new Adobe viewer to display PDF documents faster than before.

### DPC Processing

A functional improvement was made to the submission of documents to the Document Processing Center (DPC); thus the DPC can more efficiently process documents as Official Agency Records (OARs).

The security rights of all documents submitted to the DPC have been modified to include the DPC as "Owners" to alleviate processing burdens. Also, a new document class "DPC Production" has been added to allow a more efficient method of DPC document processing.