

POLICY ISSUE (Information)

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FOR: The Commissioners

FROM: Luis A. Reyes
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SUBJECT: AGENCYWIDE DOCUMENTS ACCESS AND MANAGEMENT SYSTEM:
SEMI-ANNUAL PROGRESS REPORT FOR JANUARY - JUNE 2006

PURPOSE:

To provide an update on accomplishments related to the Agencywide Documents Access and Management System (ADAMS) during the period January through June 2006 and to report on current initiatives.

BACKGROUND:

This is the fifth ADAMS semi-annual report. It covers the first six months of 2006 and uses the "ADAMS Quality Measures and Value Statements" framework to provide the status of progress on ADAMS initiatives.

The ADAMS Quality Measures and Value Statements framework, Enclosure 1, is based on 13 measures of quality grouped into four 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.

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DISCUSSION:

The ADAMS Program Initiatives Progress Report, Enclosure 2, shows that there were three main areas of activity during this reporting period. Listed chronologically, these are:

(1) ADAMS Release 4.3.2.a, (2) ADAMS Release 4.3.2.a.1, (3) and ADAMS 5.0 Project Progress. Other areas of activity are described in Enclosure 2.

(1) ADAMS Release 4.3.2.a.

The deployment of ADAMS Release 4.3.2.a, was completed in March of 2006. The changes associated with this release are described in Enclosure 3. These improvements were associated with the servers only and were transparent at the user's desktop.

(2) ADAMS Release 4.3.2.a.1

The deployment of ADAMS Release 4.3.2.a.1, was completed in April of 2006. The change associated with this release is described in Enclosure 4. The change was limited to the Document Processing Center only.

(3) 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 first half of 2006, the ADAMS project team continued 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).

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Enclosures:

1. ADAMS Quality Measures and Value Statements
2. ADAMS Program Initiatives Progress Report # 5
3. ADAMS Release 4.3.2.a Changes
4. ADAMS Release 4.3.2.a.1 Changes

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Enclosures:

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

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*see previous Concurrence

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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	OIS 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.

ADAMS PROGRAM INITIATIVES PROGRESS REPORT # 5

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS System Information Technology (IT) Components		
Availability	<p><u>ADAMS 4.3.2.a Upgrade</u> Upgraded the ADAMS server software to incorporate Configuration Control Board approved changes. [Q2/FY06]</p> <p><u>ADAMS 4.3.2.a.1 Upgrade</u> Upgraded the ADAMS Document Processing Center desktop software to incorporate a Configuration Control Board approved change. [Q3/FY06]</p> <p><u>Server Improvements</u> Installed new hardware and software to improve system availability. [Q3/FY06]</p> <p>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.</p>	
Performance	<p><u>Server Improvements</u> Installed new hardware and software to improve system performance. [Q3/FY06]</p>	<p><u>ADAMS 5.0</u> Continue 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>

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS System Information Technology (IT) Components (Continued)		
Functionality	<p><u>ADAMS 4.3.2.a Upgrade</u> Upgraded the ADAMS server software to incorporate Configuration Control Board approved changes. [Q4/FY05]</p> <p><u>ADAMS 4.3.2.a.1 Upgrade</u> Upgraded the ADAMS Document Processing Center desktop software to incorporate a Configuration Control Board approved change. [Q1/FY06]</p>	<p><u>ADAMS 5.0</u> Continue 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> <p><u>ADAMS 4.4 Upgrade</u> Continue working towards a successful deployment of the next major maintenance release of ADAMS.</p>
Ease of Use		<p><u>ADAMS 5.0</u> Continue 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>
ADAMS Support Services		
Policy and Procedures		
Training and Documentation	<p><u>DPC Forms 665</u> The DPC document submittal forms 665S and 665P were modified in accordance with the new SUNSI requirements. [Q2 FY06]</p>	
Support Services	<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. [Q4 FY06 – Q1 FY07]</p>

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS Support Services (Continued)		
User Input		<p>Staff and Public User Satisfaction Survey-Under Preparation 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>
ADAMS Document Capture and Distribution Services		
Timeliness of Document Processing	<p><u>ADAMS 4.3.2.a and 4.3.2.a.1 Upgrade</u> Upgrade included DPC processing improvements. See Enclosure 4. [Q2/FY06]</p>	

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS Document Capture and Distribution Services (Continued)		
Timeliness of Incoming Document Delivery to the Staff		
Timeliness of Public Release		<p>OIS is compiling statistical data to show the percentage of documents of each office that were released to the public in accordance with NRC's published policy. OIS will be sharing the data with each office and helping them understand the policy. [Q2/FY06]</p>
ADAMS Collections and Profile Data		
Completeness of Document Collections	<p><u>ADAMS Quality Control</u> Developed a more systematic approach for ensuring completeness and accuracy of the ADAMS record collections. [Ongoing]</p>	<p><u>ADAMS Quality Control</u> Develop a more systematic approach for ensuring completeness and accuracy of the ADAMS record collections. [Ongoing]</p>
Quality of Profile Data	<p><u>Unscheduled Profile Data Review</u> In late March 2006, the NRC learned that a document containing an individual's Social Security Number (SSN) was publicly available in PARS. This incident raised concerns that other documents containing personal privacy information may also be in PARS. OIS conducted searches over a period of six weeks and initially identified and removed 2,607 documents in PARS that contained a pattern similar to a SSN. The documents were all reviewed and 80 were found to actually contain SSNs. The 80 documents containing SSNs were removed from PARS and the remaining 2,524 documents were restored to PARS.</p> <p><u>Profile Data Review</u> Reviewed uncontrolled fields in ADAMS for accuracy and addressed problems with associated Quality Assurance efforts. [Ongoing]</p>	<p><u>Profile Data Review</u> Review uncontrolled fields in ADAMS for accuracy and address any problems with associated Quality Assurance efforts. [Ongoing]</p> <p><u>OIS Reminder</u> OIS will be reminding staff that it is their responsibility to review documents for sensitive information and that personal privacy information is not to be made publicly available. Additionally, OIS is evaluating the feasibility of custom code that will search documents ready to be made public for specific patterns which may indicate that a document contains personal privacy information before they are released to the public. [Ongoing]</p>

ADAMS RELEASE 4.3.2.a CHANGES

All changes in this release were for the server-side of ADAMS and did not require a desktop or client-side upgrade.

Digital Data Management System (DDMS) exhibits

A new ADAMS utility was developed and deployed to auto-populate the ADAMS document profile fields for newly submitted documents and place them into the proper document folders, significantly reducing the processing time and simplifying production of transaction reports and system configuration.

High Level Waste (HLW) and Electronic Hearing docket (EHD) Issues

There were five solutions incorporated in this release to assist the HLW and EHD processes . These include:

- (1) modifying the publishing code to prevent multiple copies of packages being produced,
- (2) utilizing Opalis scheduling software to add data logging to the publishing process,
- (3) utilizing the Opalis scheduling software to either continue or halt the publishing process, according to the 'Publish' status,
- (4) modified the ADAMS code to add a user friendly interface to automatically execute the parsing of an XML file created by the HLW/EHD Panagon Web Published (PWP) process via the DDMS data input program,
- (5) replaced a Microsoft Grid Control application with Infragistics DataGrid/Comb/DropDown (OLEDB) control application to assist the DPC in editing the ADAMS Custom Value List (CVL).

ADAMS RELEASE 4.3.2.a.1 CHANGE

This release was for a select, Document Processing Center (DPC) only, ADAMS desktop/client-side upgrade and did not require any change to the NRC agency-wide ADAMS desktop/client-side of the application.

Document Processing Center (DPC) Custom Value List (CVL) Editor

A single change was incorporated for this release, which was deployed only to the DPC, it was not deployed agency-wide. This single change modified the code in the ADAMS Custom Value List (CVL) editor tool. This code change added a popup menu with the option to copy and paste entries into the ADAMS CVL when the DPC needs to modify values in that list. All changes made by the DPC to this CVL will be saved upon closing the list editor tool.

The DPC only has access to this list and this change did not affect any other agency process.