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The Nuclear Regulatory Commission has completed an assessment of its Agencywide Document Access and Management System (ADAMS) and issued a corrective action plan on its continued use. Chairman Richard A. Meserve directed that the assessment be conducted to address stakeholder concerns regarding the efficiency and effectiveness of the system.

The Action Plan calls for the continued use of ADAMS as the agency's system for managing its electronic records, as its primary system for the receipt and electronic distribution of incoming mail, and for the electronic dissemination of its documents to the public.

The Action Plan targets ten Challenge Areas for improvement, with the following of primary interest for the public:

- document and data integrity (Area 2),
- search and retrieval (Area 3),
- October 30, 2000 functionality, performance, and reliability (Area 4),
- public access (Area 5), and
- communications program (Area 9).

Each of the ten Challenge Areas describes a series of tasks and associated schedule to accomplish it. The time frames reflect estimated times to complete when the plan was issued to the staff on September 26, 2000. The schedule will be updated on a periodic basis as appropriate.

A list of issues raised by the public, along with the suggested interim solutions and their status, are available at the NRC public Web site (<http://www.nrc.gov/NRC/ADAMS/issuesmatrix.html>). Some of the issues will be resolved with the next public release of ADAMS, scheduled for implementation during the last quarter of the calendar year 2000.

The corrective Action Plan approved by Chairman Meserve is available at the NRC external web site (<http://www.nrc.gov/NRC/ADAMS/plan1030.html>) or by entering accession number ML003764449 in ADAMS.

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ADAMS ASSESSMENT ACTION PLAN

**Office of the Chief Information Officer
U. S. Nuclear Regulatory Commission**

October 30, 2000

Executive Summary

On May 22, 2000, Chairman Meserve ordered a two-phase assessment of issues that affect the effectiveness and efficiency of the Agencywide Documents Access and Management System (ADAMS). The Chairman directed that In Phase 1 each office identify the most important ADAMS problems it believes need to be addressed. The Chairman directed that in Phase 2 the Chief Information Officer (CIO) cluster the comments into challenge areas and develop an Action Plan to address each area.

To assist in the process, the CIO formed an ADAMS Steering Group of senior agency executives. The Steering Group focused on the nature and the significance of the problems identified by the offices, the timing and the actions required to address the most important problems, and the implications of alternative actions. Consensus was reached on ADAMS future direction with regard to "What Stays the Same" and "What Changes."

The Steering Group agreed that after completion of these steps, it would revisit other functional capabilities identified in the original ADAMS vision (e.g., electronic routing for review and concurrence) and recommend appropriate additional actions. The Steering Group presented its recommendations to the Executive Council on July 17 and obtained its endorsement. The Steering Group briefed the Chairman on July 18, 2000. Commissioner offices were briefed on the Steering Group results on July 18 and July 20, 2000. The Chairman completed his review of the ADAMS Assessment Action Plan on August 29, 2000, and then made it available to the NRC staff.

In coordination with the ADAMS Steering Group, OCIO will issue guidance to NRC Office Directors and Regional Administrators indicating when and how changes related to document entry, processing, and distribution will be implemented. Staff should continue to follow existing procedures for document entry, processing, and distribution until new guidance is issued.

ADAMS Assessment Results

What Stays the Same

- ADAMS will continue as the agency's system for electronic records.
- ADAMS will continue to be used to make NRC's documents publicly available.
- ADAMS will continue to be used for receipt and electronic distribution of incoming mail.
- ADAMS will continue as the agency's search and retrieval system for the agency's official electronic records.

What Changes

- OCIO will be responsible for completing processing of final NRC-generated records into ADAMS, with offices providing minimal profile data, and the electronic files of created documents when they are available. OCIO will scan all paper components of NRC-generated documents, complete the document profile, declare submitted final documents as official agency records, and copy publicly available documents to the public access version of ADAMS.¹

¹The mutual roles and responsibilities of the NRC staff and OCIO and procedures in processing these documents will be developed by OCIO in coordination with the offices and regions. This new approach will be phased in over several months, beginning in October 2000.

- OCIO will be responsible for ADAMS document and data integrity, relying on the electronic files and/or paper documents and minimal data provided to OCIO, which the staff should ensure are complete and accurate.²
- Documents will be entered into ADAMS when they are signed or issued unless management in an office determines that a document be entered into ADAMS earlier to support office business processes.
- Offices will suspend the use of ADAMS as the mechanism for electronic distribution of internally generated documents until business practices and software improvements have been accomplished.
- EDO/OCIO will sponsor a program to standardize business practices where possible across agency offices and regions and to identify where local office initiatives to improve individual office procedures and processes are appropriate.
- Human Resources/Professional Development Center (HR/PDC), in coordination with OCIO, will develop enhanced ADAMS training based on employee roles.
- OCIO will work with offices to implement an office-specific mentoring program.
- OCIO will continue to pursue key changes to the ADAMS software in order to correct performance, stability, and functional issues identified by end users.³and⁴

Ten challenge areas were identified by the OCIO as necessary to bring about the desired changes. A time frame of 12 to 18 months was identified as necessary to achieve all the necessary action steps associated with the challenge areas, with many significant actions being completed in the fourth quarter of FY 2000 and the first quarter of FY 2001. The areas are --

1. Transfer responsibility for completing the processing of NRC-generated documents to OCIO
2. Improve ADAMS document and data integrity
3. Improve ADAMS as a search and retrieval system
4. Improve ADAMS functionality, performance, and reliability
5. Improve public access to ADAMS
6. Improve electronic document distribution software and processes
7. Improve and standardize agency business practices
8. Improve ADAMS training and user support
9. Improve ADAMS communications program and agencywide guidance
10. Conduct "lessons learned"; chart longer term course

The Action Plan focuses on reducing the burden of the NRC staff in implementing an electronic document management system and accelerating the benefits of having electronic records available in a centralized repository for staff use. This goal is accomplished by having OCIO

²OCIO will ensure that the document profile describing the document is complete and accurate to facilitate subsequent retrieval, refine ADAMS standards needed to improve data integrity, modify templates to reflect data standards, improve data entry software, and clean up the database.

³ (3a) Release schedules are identified in the ADAMS Action Plan. (3b) NRC needs for functional requirements not delivered in a current release of the vendors COTS software will primarily be pursued through initiatives with the Vendor's Product User Group.

⁴Software upgrades will also address public access issues.

perform all document scanning and completing the document profile using minimal data provided by staff, by providing modular training courses to NRC staff in such areas as search and retrieval, and by improving software and processes that support basic document functions. This approach will move NRC employees from feeding the system to finding and retrieving documents from the system that they need to perform their daily work.

OCIO presented information to the ADAMS Steering Group regarding its plans to (1) provide additional functionality to make ADAMS easier to use and to better ensure more effective and efficient support for agency business processes and public access, (2) improve system response time and availability, and (3) increase system stability and reliability.

These improvements will be brought about through the introduction of three new releases of the ADAMS product described in the Action Plan. The first release will fix the existing ADAMS custom code to address major ADAMS deficiencies identified during the first few months of actual production use by NRC staff and the public as well as provide for planned software enhancements. ADAMS Release 4.0 will replace outdated versions of the commercial off-the-shelf (COTS) products that ADAMS is built upon in order to take advantage of product improvements made by the vendor over the past 4 years. It will provide ADAMS performance and stability improvements. ADAMS Release 5.0 will take advantage of features in the newer versions of the COTS product and will provide Web browser support, which will allow for more efficient desktop support and public/remote access without needing to use CITRIX.

The Action Plan also includes tasks to set the long-term future direction of the agency's use of electronic document management technology. In accordance with the Chairman's direction, the agency will utilize the services of a consultant to conduct an independent assessment of ADAMS. The assessment will determine whether the NRC is on an appropriate pathway to establish an electronic document management system to meet its long-term needs. The assessment will be completed within the first six months of FY 2001 so that its results are available for Commission review prior to implementing ADAMS 4.0.

ADAMS Assessment Action Plan

I. BACKGROUND

On May 22, 2000, Chairman Meserve ordered a two-phase assessment of issues that affect the effectiveness and efficiency of the Agencywide Documents Access and Management System (ADAMS).

Chairman Meserve directed that in Phase 1 each office succinctly define the important ADAMS problems it believes need to be addressed. Review of the input indicated that two actions could address about 52 percent of the comments: (1) the planned release of ADAMS 3.0 that includes the software fixes and enhancements and (2) centralization of the processing of staff-generated documents into ADAMS.

The Chairman directed that in Phase 2 the Chief Information Officer (CIO) cluster the comments into challenge areas and develop an Action Plan to address each area. To assist in this process, the CIO formed an ADAMS Steering Group consisting of the following representatives:

Stuart Reiter, Acting CIO

Bruce Mallett, Deputy Regional Administrator, Region II

John Craig, Assistant for Operations, Office of the Executive Director for Operations

Margaret Federline, Deputy Director, Office of Nuclear Regulatory Research

Martin Virgilio, Deputy Director, Office of Nuclear Material Safety and Safeguards

Roy Zimmerman, Deputy Director, Office of Nuclear Reactor Regulation

Stephen Burns, Deputy General Counsel

Annette Vietti-Cook, Secretary of the Commission

Lynn Scattolini, Director, Information Management Division, Office of the Chief Information Officer

The role of the Steering Group was to - -

- Develop a consensus on the current and future direction of the ADAMS Program
- Prioritize issues
- Discuss tradeoffs and alternative deployment approaches
- Provide advice on the refinement of the ADAMS Action Plan
- Participate in the presentation of the Action Plan to the Executive Council and the Chairman

II. APPROACH

The Steering Group first reviewed the input of the offices to the Chairman. The Steering Group discussed each major document management function. The Steering Group focused on the nature and significance of the problems, the timing and the actions required to address the most important problems, and the implications of alternative actions. Consensus was reached on ADAMS future direction with regard to "What Stays the Same" and "What Changes." Ten challenge areas were identified by the OCIO as necessary to bring about the desired changes. A time frame of 12 to 18 months was identified as necessary to achieve all the necessary action steps associated with the challenge areas, with many significant actions being completed in the fourth quarter of FY 2000 and the first quarter of FY 2001. The Steering Group agreed that

after completion of these steps, the Steering Group would revisit other functional capabilities identified in the original ADAMS vision (e.g., electronic routing for review and concurrence) and recommend appropriate additional actions.. The Steering Group presented its recommendations to the Executive Council on July 17 and obtained its endorsement. The Chairman was briefed on July 18, 2000. Commissioner offices were briefed on the Steering Group results on July 18 and July 20, 2000.

The Steering Group agreed that after completion of these steps, it would revisit other functional capabilities identified in the original ADAMS vision (e.g., electronic routing for review and concurrence) and recommend appropriate additional actions. The Steering Group presented its recommendations to the Executive Council on July 17 and obtained its endorsement. The Steering Group briefed the Chairman on July 18, 2000. Commissioner offices were briefed on the Steering Group results on July 18 and July 20, 2000. The Chairman completed his review of the ADAMS Assessment Action Plan on August 29, 2000, and then was made it available to the NRC staff.

In coordination with the ADAMS Steering Group, OCIO will issue guidance to NRC Office Directors and Regional Administrators indicating when and how changes related to document entry, processing, and distribution will be implemented. Staff should continue to follow existing procedures for document entry, processing, and distribution until new guidance is issued.

III. ADAMS ASSESSMENT -- RESULTS

What Stays the Same

- ADAMS will continue as the agency's system for electronic records.
- ADAMS will continue to be used to make NRC's documents publicly available.
- ADAMS will continue to be used for receipt and electronic distribution of incoming mail.
- ADAMS will continue as the agency's search and retrieval system for the agency's official electronic records.

What Changes

- OCIO will be responsible for completing processing of final NRC-generated records into ADAMS, with offices providing minimal profile data, and the electronic files of created documents when they are available. OCIO will scan all paper components of NRC-generated documents, complete the document profile, declare submitted final documents as official agency records, and copy publicly available documents to the public access version of ADAMS.¹
- OCIO will be responsible for ADAMS document and data integrity, relying on the electronic files and/or paper documents and minimal data provided to OCIO, which the staff should ensure are complete and accurate.²

¹The mutual roles and responsibilities of the NRC staff and OCIO and procedures in processing these documents will be developed by OCIO in coordination with the offices and regions. This new approach will be phased in over several months, beginning in October 2000.

²OCIO will ensure that the document profile describing the document is complete and accurate to facilitate subsequent retrieval, refine ADAMS standards needed to improve data
(continued...)

- Documents will be entered into ADAMS when they are signed or issued unless management in an office determines that a document be entered into ADAMS earlier to support office business processes.
- Offices will suspend the use of ADAMS as the mechanism for electronic distribution of internally generated documents until business practices and software improvements have been accomplished.
- EDO/OCIO will sponsor a program to standardize business practices where possible across agency offices and regions and to identify where local office initiatives to improve individual office procedures and processes are appropriate.
- Human Resources/Professional Development Center (HR/PDC), in coordination with OCIO, will develop enhanced ADAMS training based on employee roles.
- OCIO will work with offices to implement an office-specific mentoring program.
- OCIO will continue to pursue key changes to the ADAMS software in order to correct performance, stability, and functional issues identified by end users.³and⁴

The timing of the implementation of these changes is provided in the ADAMS Assessment Action Plan. While all of the above actions will address user feedback on issues affecting the effectiveness and efficiency of ADAMS implementation, the combination of transferring responsibility for the processing of documents into ADAMS and for document and data integrity to OCIO and installation of ADAMS Release 3.0 will address approximately 50 percent of the comments received from the staff. These actions, except for completion of the cleanup of the ADAMS database, will be completed in the first quarter of FY 2001.

ADAMS Functionality, Performance, and Reliability

OCIO presented information to the ADAMS Steering Group regarding ADAMS functionality, performance, and reliability, discussing the current situation with the system and the improvements associated with moving to the vendor's most current COTS products upon which ADAMS is built. An expanded discussion of this topic is provided as part of addressing Challenge Area 4.

IV. CHALLENGE AREAS

Ten challenge areas are identified:

1. Transfer responsibility for completing the processing of NRC-generated documents to OCIO
2. Improve ADAMS document and data integrity
3. Improve ADAMS as a search and retrieval system
4. Improve ADAMS functionality, performance, and reliability

²(...continued)

integrity, modify templates to reflect data standards, improve data entry software, and clean up the database.

³(3a) Release schedule are identified in the ADAMS Action Plan. (3b) NRC needs for functional requirements not delivered in a current release of the vendors COTS software will primarily be pursued through initiatives with the Vendor's Product User Group.

⁴Software upgrades will also address public access issues.

5. Improve public access to ADAMS
6. Improve electronic document distribution software and processes
7. Improve and standardize agency business practices
8. Improve ADAMS training and user support
9. Improve ADAMS communications program and agencywide guidance
10. Conduct "lessons learned"; chart longer term course

V. ACTION PLAN

The ADAMS Action Plan discusses each challenge area and presents the timing of key tasks to achieve challenge area results.

CHALLENGE AREA 1: Transfer Responsibility for Completing the Processing of NRC-Generated Documents to OCIO

This challenge area includes tasks related to transferring responsibility for completing the processing of NRC-generated documents from the offices and regions to OCIO. Exceptions will exist for documents that are to be entered into ADAMS sensitive libraries unless the owners of those libraries decide to allow OCIO document processing contractor staff access to their documents.

The mutual roles and responsibilities of the NRC staff and OCIO and the procedures for processing these documents (Concept of Operations) will be developed by OCIO in coordination with the offices and the regions. The process for the regions may differ as compared to headquarters as a result of logistics.

The approach taken will need to preserve the original WordPerfect electronic files so that they are available for subsequent cut and paste and retrieval by NRC users. Although the individual staff burden will be significantly reduced, there will be some ongoing staff involvement in the process. This will include providing profile data that only the NRC staff can know about a document, such as its availability, sensitivity, and viewer access rights; the electronic file where it exists; and special processing instructions, where applicable. OCIO will complete the profile, including creating a descriptive title, scan all paper pages for the staff, declare the document as an official agency record, convert the submitted file to PDF format, and copy the document to the public access version of ADAMS on the specified release date.

The plan also includes the development of an issue paper on who will be responsible for filing documents electronically.

OCIO will phase in the processing of NRC-generated documents. Phase 1 will begin during October 2000 and will provide for manning of the Document Processing Center (DPC) by the existing contractor staff to process NRC-generated documents within the current contract processing ceiling. Concurrent with this phase, OCIO will modify the contract that provides this service to acquire additional staff and will secure space and equipment to support an expanded operation. Assuming needed resources are secured on schedule, Phase 2 will begin during November 2000, thus enabling the DPC to begin processing the remaining NRC-generated documents on an ongoing basis. A schedule will be established with each office and region based on their timeline to modify their existing operating procedures and the DPC's capacity.

Tasks	Timing
Develop and refine Concept of Operations in coordination with offices.	Q4, FY 2000
Develop procedures for handling complex documents.	Q4, FY 2000 - Q1, FY 2001
Phase 1 – DPC begins processing NRC-generated documents within current contractor processing ceiling.	October FY 2001

Phase 2 - OCIO modifies contract and secures equipment, space, and contractor staff to process additional documents. DPC begins processing remaining NRC-generated documents.	November, FY 2001
Analyze and determine who should file documents electronically.	Q4, FY 2000

CHALLENGE AREA 2: Improve ADAMS Document and Data Integrity

The objectives of this challenge area are to improve the integrity of the ADAMS database for recordkeeping, access and retrieval purposes. OCIO will be responsible for completing the processing of final NRC-generated records into ADAMS, with offices providing minimal profile data, the electronic files of created documents when they are available, and properly completing a document submission form, when applicable. Offices should ensure that the electronic files and/or paper documents submitted to OCIO are a complete and accurate representation of the document that is distributed and that the minimal profile data they provide regarding document sensitivity, availability, and access rights are accurate.

In order to improve the reliability and consistency of the ADAMS database, OCIO will perform consistency checks of submitted profile data, complete the profile in accordance with a set of data standards, and QA all indexing, scanned images, and the PDF conversion process in ADAMS.

In coordination with the offices, OCIO will develop a refined set of data standards in order to improve the consistency and reliability of profiling for subsequent search and retrieval. Examples of data standards include rules for document unitization (when documents should be individually indexed and when the package feature should be used), document titling conventions (standard formats for describing different document types in the title field), and report number conventions (standard formats for constructing report numbers for different document types). In order not to delay phasing in centralized processing of staff-generated documents, OCIO will process new documents in accordance with the then-existing set of standards.

Other tasks in this challenge area involve improving the quality of the current database. The database will be cleaned up over a period of time as data standards become available.

Both OCIO and office management should provide oversight over the tasks they execute. OCIO will perform audits, provide feedback to offices on trends and areas of weakness, and concentrate its resources on improving quality and consistency in the areas of most significance to the staff and the public. To improve the completeness and timeliness of ADAMS, OCIO has developed several standard searches that it and the offices can execute to perform this role. This capability will be made available to offices and included in ADAMS training.

Tasks	Timing
Monitor the completeness and the timeliness of ADAMS as the agency's official recordkeeping system. (OCIO and offices)	Ongoing
Install and administer ADAMS Release 3.0 data quality management software.	Q1, FY 2001 - ongoing
Refine standards needed for data integrity.	Q4, FY 2000 - Q2, FY 2001
Clean up the existing database	Q2, FY 2001 - until completed

CHALLENGE AREA 3: Improve ADAMS as a Search and Retrieval System

This challenge area includes tasks related to improving ADAMS as a search and retrieval system. These tasks are subsumed under several other challenge areas but are highlighted here because of the importance of improving ADAMS as a search and retrieval system from the perspective of the end user.

As indicated in Attachment 2, the next ADAMS release, Release 3.0, is scheduled for installation in November 2000 and has a number of software fixes and enhancements designed to improve ADAMS search and retrieval functionality in searching for, viewing, and printing documents. This list has been expanded to change the default view of the result set retrieved through simple find and the document manager to provide users with more meaningful information on the documents retrieved.

The plan references all of the tasks related to Challenge Area 2 since ensuring consistent and complete cataloging of documents in ADAMS is necessary to successfully retrieve them. Both the Professional Development Center (PDC) and the ADAMS Customer Support Center staff will provide training opportunities for improving staff skills in this area.

Further improvements in search and retrieval functionality and performance are discussed as part of Challenge Area 4.

Tasks	Timing
Review user assessment input and determine whether any additional software changes should be included in ADAMS Release 3.0.	Completed
Fix full-text search feature in ADAMS Release 3.0.	November, FY 2001
Execute all subtasks under "Implement Document and Data Integrity."	Q4, FY 2000 - ongoing
Provide informal short training sessions on search and retrieval to office staff on an ad hoc basis. (ADAMS Customer Support Center staff)	Q4, FY 2000 - ongoing
Deliver ADAMS Search and Retrieval courses. (Human Resources/PDC)	Q2, FY 2001 - ongoing

CHALLENGE AREA 4: Improve ADAMS Functionality, Performance, and Reliability

This challenge area includes tasks to (1) provide additional functionality to make ADAMS easier to use and to better ensure more effective and efficient support for agency business processes and public access, (2) improve system response time and availability, and (3) increase system stability and reliability.

These improvements will be brought about through the introduction of new releases of the ADAMS product. Three product releases have been identified at this time.

ADAMS Release 3.0

Work is already well underway on the next major release of the system (ADAMS 3.0). This release will fix existing ADAMS custom code to address major ADAMS deficiencies identified during the first few months of actual production use by NRC staff and the public as well as provide for planned software enhancements. A detailed list of ADAMS 3.0 improvements is provided at Attachment 2.

ADAMS Release 4.0 and ADAMS Release 5.0

ADAMS Release 4.0 will replace outdated versions of the COTS products that ADAMS is built upon in order to take advantage of product improvements made by the vendor over the past 4 years. OCIO's first goal is to achieve ADAMS performance and stability improvements. The results of the independent assessment of ADAMS referred to in Challenge Area 10 will be made available for Commission review prior to implementing Release 4.0.

ADAMS Release 5.0 will take advantage of features in the newer versions of the COTS product that will reduce the need for the current ADAMS custom code. ADAMS Release 5.0 will provide Web browser support, which will allow for more efficient desktop support and public/remote access without needing to use CITRIX. It should be noted that the Web browser provided by the newer version of the COTS product will still provide the same Windows "look and feel" that users see under the current ADAMS implementation. It will not satisfy those public stakeholders who prefer a Web application interface similar to Yahoo or Alta Vista. It does, however, provide the basic tools that would allow such an interface to be developed if required.

OCIO will accomplish these goals in three phases:

Phase 1: Migration Assessment - Perform a detailed assessment of what it will take to migrate Releases 4.0 and 5.0. This assessment will result in a more precise plan, schedule, and cost for meeting the goals.

Phase 2: ADAMS 4.0 - Replace existing COTS items with newer COTS products with little or no change to the custom code.

Phase 3: ADAMS 5.0 - Building on ADAMS 4.0, replace as much custom code with inherent COTS functionality as possible, streamline support, and improve public access.

Tasks	Timing
Implement ADAMS 3.0: Correct problems with the existing custom code, implement planned enhancements, and include a limited number of software changes that address high-priority issues identified in the ADAMS User Assessment.	Q1, FY 2001
Migration Phase 1 - Assessment: Conduct migration study, leading to the development of detailed plans for a two-phased migration to newer versions of ADAMS COTS software (ADAMS 4.0 and ADAMS 5.0) and determine implementation schedule for ADAMS 4.0 and 5.0.	Q4, FY 2000
Migration Phase 2 - ADAMS 4.0: Replace existing COTS with latest vendor-supported versions to improve performance and stability.	FY 2001*
Migration Phase 3 - ADAMS 5.0: Use new COTS features (reduce reliance on custom code, assess advanced Web-enabling features).	TBD*

*Implementation schedule will be determined by results of migration assessment

CHALLENGE AREA 5: Improve Public Access to ADAMS

In the short term, implementation of ADAMS 3.0 will provide improvements to the public in terms of better performance and system reliability. It also will incorporate many of the software fixes requested by public users to the Public Document Room (PDR) librarians and will deliver planned software enhancements.

The public access version of ADAMS was implemented using then-existing COTS Filenet document management software. Although the NRC Web site provides public access to ADAMS, ADAMS is not a Web-based application; it is a Windows-based client-server document management computer system, which currently requires the user to download and install a plug-in software (CITRIX) for communication. In instances in which the user is in a business environment that has a firewall, it requires that the business open up some ports in its firewall to allow for communication with NRC's server. Although most organizations have made the necessary changes, this action is undesirable and is problematic for some organizations.

Filenet now has both a client-server and a Web-based version of its COTS product. The Web-based version has the same Windows-based "look and feel" of the public access version of ADAMS today but will allow for public/remote access without needing to use CITRIX or modify firewalls. NRC's transition to the newer Filenet products is described under Challenge Area 4. NRC has received feedback that the public interface could be better designed and simplified. Additionally, although some members of the public expect the robust functionality of a document management system currently delivered by the public access version of ADAMS and the former PDR Bibliographic Retrieval System, others members of the public desire a look and feel similar to Yahoo or Alta Vista.

Moving to the new versions of Filenet software will position the NRC to revisit its solutions to public access of its information since it allows us to use, as appropriate, a complement of new additional Filenet software products. These products include Web publishing software and Web portal software.

To address this challenge, OCIO will build on the agency's current Web redesign initiative and will closely interact with ADAMS stakeholders to determine their requirements for accessing ADAMS via the Web.

Tasks	Timing
Improve functionality by delivering software fixes and enhancements in ADAMS 3.0 (see Challenge Area 4).	November, FY 2001
Establish an external stakeholder focus group and determine requirements to redesign the public access system (timing dependent on budget decisions)	Q4, FY 2001 - Q1, FY 2002
Implement ADAMS 5.0 - Public access directly via Internet browser (no CITRIX), additional functionality (see Challenge Area 4)	TBD*

*Implementation date will be established as part of migration assessment.

CHALLENGE AREA 6: Improve Electronic Document Distribution Software and Processes

This challenge area includes tasks to improve electronic document distribution of (1) incoming mail and (2) NRC-generated documents that are being sent to NRC addressees and cc's. It also recognizes that being able to view and print a delivered document quickly and efficiently is an integral part of the document delivery process.

(1) Incoming Mail

The plan begins by analyzing and refining the current processes of delivering documents to either individual E-RIDS mailboxes or organizational E-RIDS mailboxes based on distribution lists and the approach established by each organization. An integral part of that analysis will be identifying improvements to the software that support the process. Potential software improvements will be addressed as part of planned releases. The November release of ADAMS 3.0 includes a more complete description in the e-mail message of the document being distributed and a number of software fixes related to viewing and printing documents. OCIO also will be installing the next version of GroupWise in the fall, which will fix the "send to" problem.

Concurrent with these improvements, the plan includes an agency initiative to improve individual office procedures and processes for handling incoming mail while standardizing processes, where possible, across agency offices and regions. This task will be executed under Challenge Area 7.

(2) NRC-Generated Documents

Use of ADAMS for internally distributing NRC-generated documents will be suspended and phased in at a later date. The tasks include analyzing NRC's document population to determine the appropriate method (e-mail, ADAMS) of efficiently distributing categories of documents and then redesigning the process. The earliest that software improvements could be considered for incorporation would be in ADAMS Release 4.0.

Tasks	Timing
Improve software and processes to receive and distribute incoming mail.	Q1, FY 2001
Evaluate and refine existing agency and individual office E-RIDS implementations.	Q4, FY 2000 - Q1, FY 2001
Install next version of GroupWise, which will fix "send to" problem.	Fall, FY 2000
Evaluate and refine existing agency approach and recommend software improvements to support internal electronic distribution of NRC-generated documents.	Q2, FY 2001 - Q3, FY 2001
Phase in electronic distribution by category using appropriate method (e-mail, ADAMS).	TBD

CHALLENGE AREA 7: Improve and Standardize Agency Business Practices

This challenge area includes tasks related to analyzing and improving core NRC business practices to optimize the effective assimilation and utilization of electronic recordkeeping and distribution technologies (ADAMS and E-RIDS). It will be led by the Office of the EDO, with the participation of appropriate stakeholder offices and OCIO.

Key elements of this effort will be to:

- Define the functional areas for business process analysis and improvement efforts (e.g., mail handling and distribution, licensing, inspection). In large part, these areas may be drawn from the NRC Enterprise Model and supporting documentation.
- Collect, document, and analyze the “as-is” state for each process. The most meaningful or helpful “as-is” model may reflect the way the process was carried out before ADAMS. The analysis will emphasize identification of areas of potential or appropriate process standardization across some domain of organizational units.
- Develop improved processes, with the goal of consistency and standardization, and an approach to implement them in a phased manner.
- Identify and address critical change management issues to accomplish successful implementation.

Tasks	Timing
Assemble agency team for initiative (OEDO).	Q4, FY 2000
Put contractor support in place.	Q1, FY 2001
Define the functional areas for business process analysis and improvement efforts.	Q1, FY 2001
Collect, document, and analyze the “as-is” state for each process area (evaluate current office practices).	TBD
Redesign and document methods and procedures.	TBD
Address change management issues and make necessary changes to enable implementation of improved processes.	TBD
Implement improved processes.	TBD

CHALLENGE AREA 8: Improve ADAMS Training and User Support

This challenge area includes tasks to improve ADAMS training and user support. In the training arena, it is designed to deliver short training modules covering both software and procedures that NRC users can register for on the basis of their roles. Building on the concept of roles, it also includes a task for offices to implement an office-specific mentoring program in which individuals who become experts in executing particular roles can provide onsite assistance to their colleagues.

The plan also provides for OCIO to incorporate many of the suggestions of offices in updates of the ADAMS Desk Reference Guide.

Tasks	Timing
Provide onsite assistance to regions and headquarters offices in using the system effectively.	Ongoing
Refine and update the ADAMS Desk Reference Guide with each new planned software release (3.0, 4.0, 5.0).	Q1, FY 2001 - FY 2001
Develop and deliver ADAMS record custodian training (Foremost).	Q4, FY 2000 - Q2, FY 2001
Design ADAMS refresher training modules on the basis of employee roles.	Q4, FY 2000
Develop and deliver training modules based on previous analysis (includes search and retrieval courses). Coordinate the schedule for providing training with other training initiatives, such as training on revised reactor oversight training.	Q4, FY 2000 - Q3, FY 2001; then ongoing
Implement an office-specific mentoring program (offices).	Q2, FY 2001 - ongoing

CHALLENGE AREA 9: Improve ADAMS Communications Program and Agencywide Guidance

To date, OCIO has communicated with the NRC staff on the ADAMS Program through the PDC ADAMS Overview course, question and answer sessions in the auditorium, participation in local office ADAMS Working Group meetings, development of an internal Web site, and meetings with office-designated ADAMS representatives called ADAMS Partners. In addition, OCIO has sponsored or participated in several meetings with the public, the industry, and industry associations regarding public access to ADAMS and NRC's electronic information exchange program. The formation of the ADAMS Steering Group and the development and update of the ADAMS Action Plan represent other more recent vehicles for communicating within the NRC.

Effective communication represents the biggest challenge of the ADAMS Action Plan, particularly in light of the significant number of other tasks to be executed by OCIO as part of the plan. OCIO will refine its communication strategy and publish a Communications Plan that addresses continued communication with both the NRC staff and the public. The offices, as well as OCIO, must strive for effective two-way communication in order to ensure the effective use of ADAMS and must show leadership as change agents.

Currently, the PDR receives feedback from the public which is provided to the ADAMS Project Team. Followup e-mails are sent and meetings are held as appropriate to provide information and a response to specific feedback. The Action Plan expands this effort by establishing an ADAMS Public Users Group of public stakeholders. It also continues NRC's holding and participating in public meetings in which the public availability of NRC documents is discussed.

The plan includes a task for evaluating and refining the current approach of working with offices collaboratively through the ADAMS Partner structure. OCIO will be asking offices to suggest ways of strengthening this structure or replacing it with an alternative approach that may be more effective now that ADAMS is operational.

OCIO will continue to coordinate with ADAMS Partners, or the replacement structure, in executing many of the tasks under the Action Plan. Where appropriate, OCIO will endeavor to incorporate stakeholder input before making changes, although this goal will need to be balanced by the need to achieve progress in executing the tasks under the ADAMS Action Plan.

Tasks	Timing
Refine and publish communications plan.	Q4, FY 2000
Meet with offices/regions to discuss input to Chairman.	Q4, FY 2000 - Q2, FY 2001
Establish ADAMS Users Group of public stakeholders.	Q1, FY 2001
Meet with public stakeholders after implementation of ADAMS Release 3.0 to obtain feedback and to provide information on plans.	Q1, FY 2001
Evaluate and refine approach to working with offices collaboratively.	Q4, FY 2000

Tasks (cont.)	Timing (cont.)
Communicate procedural changes resulting from implementation of Action Plan tasks to user community.	Ongoing
Survey employees on ADAMS semiannually.	Q2, FY 2001 - ongoing
Provide quarterly progress reports to the Steering Group and the Commission.	Ongoing
Refine and update the ADAMS Desk Reference Guide with each new ADAMS software release.	Q1, FY 2001 - ongoing
Revise and update applicable directives (in lieu of updating the existing ADAMS Policy and Procedures Handbook) (OCIO). Revise and update applicable directives, as appropriate (other offices).	Q2, FY 2001 - ongoing

CHALLENGE AREA 10: Conduct “Lessons Learned”; Chart Longer Term Course

This challenge area will assist the ADAMS Steering Group in setting the long-term future direction of the ADAMS program and the agency’s use of electronic document management technology. This assessment will be performed with the assistance of an independent consultant.

The first task captures the ADAMS post-implementation/lessons learned review, which will be conducted as an integral part of the agency Capital Planning and Investment Control (CPIC) process. The purpose of this review is to --

- Examine the project execution and results compared with the baseline cost, staffing, schedule, and performance goals laid out in the ADAMS CPIC Analysis.
- Identify what modifications to the project are now warranted to obtain the originally projected benefits and what the estimated costs of the modifications are.
- Describe what problems have been encountered and how they were solved.
- Identify what the sponsor would have done differently.
- Identify what lessons were learned that might help future projects.
- Identify how the CPIC process can be improved to incorporate lessons learned.

The remaining tasks focus on charting the future direction of the agency in terms of its use of electronic document management technology. They will entail stepping back and examining the original ADAMS vision laid out in the CPIC, examining then-current operational experience, assessing the COTS vendors’ then-current products from a capability standpoint versus NRC’s requirements, and determining how NRC wants to proceed in further incorporating document management technology in its work environment. The agency will utilize the services of a consultant to conduct an independent assessment of ADAMS to determine whether it is on an appropriate pathway to establish an electronic document management system to meet its long-term needs. This assessment will be completed within the first 6 months of FY 2001 so that the results of the assessment are available for Commission review prior to implementing ADAMS Release 4.0.

Tasks	Timing
Conduct ADAMS CPIC post-implementation review/lessons learned and issue report.	Q1, FY 2001 - Q2, FY 2001
Evaluate the use of electronic document management technology.	Q1, FY 2001 - Q2, FY 2001
Develop a phased implementation plan to address the results of the evaluation.	Q2, FY 2001 - Q3, FY 2001
Execute the phased implementation plan.	TBD