



UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

June 26, 2001

Information Manufacturing Corporation
Attn: Richard Throne
310 State Route 956
Rocket Center, WV 26726-9229

SUBJECT: REQUEST FOR QUOTE FOR DELIVERY ORDER NO. 1 UNDER THE CISSCO-II BLANKET PURCHASE AGREEMENTS FOR DOCUMENT PROCESSING FUNCTIONAL AREA SUPPORT (RFPA NO. CIO-01-179-002)

Dear Mr. Throne:

The NRC is soliciting offers under the CISSCO-II blanket purchase agreements for the subject delivery order. The full scope of work anticipated is as set forth in the enclosed statement of work (Enclosure 1). Enclosure 1 also contains special requirements unique to the order. A draft copy of the Document Processing Center (DPC) Standard Operating Procedures and a time and motion study on the DPC input process are provided as reference documents (Enclosure 2 and 3). To respond to this request, your organization will be required to provide (1) an oral presentation, (2) documentation in support of the oral presentation, (3) a cost proposal, and (4) a subcontracting plan. Your cost proposal and written documentation must be submitted in one original and three copies, no later than 3:00 p.m. on July 6, 2001, to the US Nuclear Regulatory Commission, Attn: Sally Adams, IT Acquisition Management Branch - T7-12, Division of Contracts and Property Management, Washington, DC 20555. Proposals delivered by hand, including delivery by any express mail services or special delivery services which use a courier or other person to deliver the responses in person to the NRC, should be addressed in accordance with the foregoing and delivered to 11545 Rockville Pike, Rockville, MD 20852.

The offer must conform to the format requested in the following sections and shall contain a statement indicating the period of time the offer is in effect (not less than 60 days). Your offer must also communicate your unconditional assent to any special requirements unique to the order. Offers will only be accepted on an all or none basis for this order.

Oral Presentation

We have scheduled your organization to perform an oral presentation from 1:30 - 3:30 p.m. on July 12, 2001. The location for the presentation is the NRC One White Flint North building located at 11555 Rockville Pike, Rockville, Maryland. The time and date established for this presentation are firm and not subject to change. The purpose of the presentation is to permit the NRC to evaluate your organization's capabilities with regard to its requirement for document processing support.

We prefer that the presentation be made by the planned project manager responsible for the effort, and that members of the proposed team be available to answer questions. Three NRC

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technical staff members and the Contract Specialist will be in attendance at the oral presentation in addition to your staff.

Your organization's presentation shall be performed in accordance with the instructions outlined below and shall not exceed 2 hours in duration. Your organization should anticipate NRC staff interaction in the form of questions and open dialog throughout the presentation. We plan for a 1-hour presentation interspersed with up to 1-hour of interactive dialog.

Your presentation should not be elaborate or structured for a large audience. Handouts shall be limited to copies of visuals being used in the presentation. Any other material will not be accepted or considered for the purpose of evaluation.

You are prohibited from taping or recording your oral presentation. The NRC will not tape or record the presentations.

The oral presentation may not contain any reference to cost/price.

Your oral presentation shall address, at a minimum, the following topics:

1. PERSONNEL/TEAM CAPABILITY

The objective of this part of the oral presentation shall be to clearly discuss the extent to which the proposed team has the capability to perform the effort as described in the statement of work for this solicitation. You should address the overall mix of labor and availability of personnel with knowledge and experience in document processing systems and procedures.

Supporting documentation: proposed staffing plan

2. TECHNICAL/MANAGEMENT APPROACH

The objective of this part of the oral presentation shall be to clearly discuss the proposed transition plan, and management plan as they relate to performance of the effort described in the statement of work. Innovations in teaming and subcontracting to accomplish the effort and support small business goals should also be discussed. Proposed customer satisfaction metrics should also be presented.

Supporting Documentation: transition plan, management plan, and subcontracting/teaming plan.

3. QUALITY ASSURANCE

The objective of this part of the oral presentation shall be to clearly discuss the quality assurance program proposed for this effort.

Supporting documentation: QA Program Plan

Evaluation

The Government will award an order to the responsible contractor whose proposal will offer the best value to the Government, price and other factors considered. Technical merit is more important than cost.

The following factors will be used to evaluate offers:

1. PERSONNEL/TEAM CAPABILITY (40)

Extent to which the offeror demonstrates that the proposed team/personnel possess the capabilities to perform the work described in the statement of work for this solicitation.

2. TECHNICAL/MANAGEMENT APPROACH (40)

Extent to which the offeror demonstrates a thorough understanding of the required tasks and deliverables described in the statement of work and the extent to which the offeror demonstrates a coherent and innovative plan to accomplish the order requirements, resolve problems, accomplish transition without interruption of services, support NRC small business goals, assure quality deliverables, meet schedules, and ensure the availability of qualified personnel and project teams to successfully perform the effort.

3. QUALITY ASSURANCE (20)

Extent to which the offeror demonstrates it possesses current adequate plans and policies for quality assurance (QA) and the extent to which the offeror provides qualified staff to implement the plans.

Supporting Documentation

The following documentation in support of your presentation must be submitted no later than **3:00 p.m. on July 6, 2001**. Documentation, excluding the subcontracting plan (Enclosure 2), shall not exceed 100 double-spaced, one-sided, 8.5"x11" pages in total length. Any information in excess of this limit will not be considered for the purpose of the evaluation.

Transition Plan. You shall describe your approach to effectively transition performance and management of the effort from the expiring contract(or) without interruption of services.

Program Management Plan. You shall describe, at a minimum, your organization's planned approach to performance of the effort described in the SOW. The plan shall also describe management and administrative controls your organization will employ to meet the cost, performance, and schedule requirements of the effort. The plan should provide your organization's proposed customer service satisfaction metrics. NRC proposed metrics are included in an attachment to the SOW.

Staffing Plan. You shall identify the proposed organizational resources to be dedicated to the effort, including staffing projections at the task level. The plan shall address the availability of personnel with knowledge and experience in document processing and the software associated with the effort described in the SOW. The plan shall also indicate all proposed subcontract personnel or teaming arrangements in relation to the effort/task that they are proposed to perform. You are also required to identify any current/former NRC employees who have been or will be involved, directly or indirectly, in developing the proposal, or in negotiating on behalf of your firm, or in managing, administering or performing any orders, consultant agreement or subcontract resulting from this proposal (list name, title, and date individual left NRC and provide a brief description of the individual's role under this proposal). If there are no current/former NRC employees involved, a negative statement is required.

Quality Assurance Program Plan. You shall describe your organization's proposed approach for assuring the quality of all services and deliverables required in the SOW.

Subcontracting Plan in accordance with Enclosure 2, if applicable.

Cost Proposal

Your labor hour (ceiling) price quote must provide a breakdown by task of labor hours, by labor category, hours, and fixed rates; and must provide a total (ceiling) for each task. As this order is expected to exceed the maximum ordering threshold, a price reduction is hereby requested in accordance with GSA's special ordering procedures. (You must indicate the discount from the prices contained in your GSA Federal Supply Schedule contract if offered.) You must also provide a separate consolidated summary of the total ceiling price of the order inclusive of all task ceilings and any anticipated travel.

Any estimated levels of effort provided in the SOW are advisory and not to be considered as the sole basis for development of a staffing plan.

For the purpose of uniformity in quotes, offerors shall assume travel expenses in the amount of \$4,000.00 for the entire 2-year period of performance.

Questions and Documentation Review

It shall be the obligation of the offeror to exercise due diligence to discover and to bring to the attention of the Contracting Officer at the earliest possible time, but prior to **3:00 p.m. EST on July 2, 2001**, any ambiguities, discrepancies, inconsistencies, or conflicts between the Statement of Work and other documents attached hereto or incorporated by reference herein. All questions shall be provided in writing by e-mail or fax and received by 3:00 p.m. EST on July 2, 2001. The closing date will not be extended for the purpose of responding to questions received after that date.

Th NRC will endeavor to answer questions regarding this order before the documentation due date.

June 26, 2001

The NRC may award an order without discussions. Should discussions be required, they will be held by conference call.

Should you have any questions regarding this request, contact Sally Adams at (301) 415-6588 or by e-mail to saa2@nrc.gov.

Sincerely,



Mark J. Flynn, Contracting Officer
Information Technology Acquisition
Management Branch
Division of Contracts and Property Management
Office of Administration

Enclosures:

1. SOW
2. DPC SOP
3. Time and Motion Study
4. Subcontracting plan
5. Security Form (NRC 187)

STATEMENT OF WORK FOR AGENCYWIDE DOCUMENTS ACCESS AND MANAGEMENT SYSTEM (ADAMS) DOCUMENT PROCESSING SUPPORT

C.1 Background

On April 1, 2000, the Agencywide Documents Access and Management System (ADAMS) became a U. S. Nuclear Regulatory Commission (NRC) official record keeping system, enabling the NRC to manage unclassified, official programmatic and administrative records of lasting business value to NRC in an electronic, rather than in a paper-based system. ADAMS software, a combination of FileNet Integrated Product Suite Services and NRC custom written software code, is used for document capture, retrieval, distribution, electronic document submittals, and the management of NRC records.

C.2 Objective

The objective of this Statement of Work (SOW) is to outline the NRC requirements for contractor support to process documents into ADAMS and perform database maintenance tasks.

C.3 Scope

The Contractor shall provide support for the following thirteen (13) tasks. Each task is subsequently delineated into subtask requirements.

Task #1 - Project Management. The contractor shall provide overall Project Management. Project Management includes, but is not limited to, coordination of Task Areas 2 through 13, administration of staff and program directives, program status reporting, quality assurance, and labor hour and cost management accounting and reporting.

Task #2 - RIDS Code Assignment. The contractor shall assign ADAMS electronic Regulatory Information Distribution System (RIDS) codes to documents received for processing into ADAMS, whether received in paper or electronic format. The RIDS interfaces with GroupWise e-mail to provide each recipient on standard RIDS lists with an electronic notification that documents have been processed and are available in ADAMS.

Task #3 - Document Preparation. The contractor shall prepare documents received in paper form for scanning and shall reassemble the documents after the scanning process has been completed. The contractor shall prepare documents submitted electronically and documents submitted with partial electronic and partial paper files, ensuring that the documents are complete and in the proper order for processing into ADAMS. The contractor shall assemble and forward all the paper copies of documents completed that day to the NRC File Center or appropriate Regional location.

Task #4 - Document Scanning/Imaging. The contractor shall generate Tagged Image File Format (TIFF) images from paper documents received for processing. The contractor shall link the TIFF images with the associated ADAMS profile and the text generated from the scanned image under Task Area #5 Optical Character Recognition (OCR) Text Conversion. During the

course of this order, the NRC may direct the contractor to switch from TIFF to a PDF format for the archival storage of images and OCR text.

Task #5 - Optical Character Recognition (OCR) Text Conversion. The contractor shall zone images for Optical Character Recognition (OCR) conversion to create searchable text for input into ADAMS. The contractor shall use the appropriate software to create American Standard Code of Information Exchange (ASCII files) format from scanned images (TIFF format).

Task #6 - Document Indexing/Linking Image, Text, Profiles. The contractor shall complete ADAMS profile and security data for both externally and internally generated documents submitted to the Headquarters Document Processing Center (DPC) or the Regional Capture/Intake Stations for processing into ADAMS.

A Document Profile must be completed for every document entered into ADAMS. ADAMS document profiles contain information about the document such as author, title, docket number, availability, etc. The profile provides consistent data fields of information needed to identify, locate, list, and manage documents.

Externally Generated Documents:

For externally generated documents received from the Document Control Desk (DCD) or via Electronic Information Exchange (EIE), the contractor shall complete the entire ADAMS profile and security data. Before forwarding documents to the DPC for final processing, the Regional Capture/Intake Station staff will create a minimum profile and add the Document Processing Center as "Owners" under Security rights. The contractor shall complete the profile, add additional security data and declare as Official Agency Records (OARs), in accordance with established guidelines and procedures.

Internally Generated Documents:

In most cases, the NRC staff will add internally generated documents to ADAMS by creating a minimum profile and adding the Document Processing Center as "Owners" under Security rights prior to submitting them to the DPC. The contractor shall complete the profile, add additional security data, and declare as OARs in accordance with established guidelines and procedures. There will be instances where internally generated documents currently exist only in paper form and are used as attachments or enclosures to internally generated documents. In these instances, the contractor shall scan the documents, complete the profile, add additional security data, and declare as OARs in accordance with established guidelines and procedures. The contractor shall also send an electronic notification to the NRC staff submitting documents, informing them when processing of their documents has been completed.

Task #7 - Document Distribution. The contractor shall perform electronic RIDS document distribution services. RIDS is used to provide NRC staff an electronic notification of the availability for specified externally and internally generated documents. The contractor shall also provide e-mail notification to the NRC staff submitting documents, informing them when processing of their documents has been completed. There will remain a requirement to distribute some externally and internally generated paper documents or objects.

Task #8 - Replicating Publicly Available Documents To ADAMS PARS. The contractor shall perform the processes required to copy publicly available documents/packages to the ADAMS Publicly Available Records Library (PARS) located on the NRC external WEB server. This includes searching the ADAMS Main Library and copying documents that meet the criteria for release to the public into the daily temporary folder for replication to PARS and copying documents processed by the DPC, from the DPC "Completed Docs for RM" folder into a daily temporary replication folder for replication to PARS.

Task #9 - Filing Official Agency Records In ADAMS. The contractor shall electronically file Day-Forward and Backlog Official Agency Record (OAR) documents and packages into the ADAMS File Plan, close-out completed and/or terminated case files in the File Plan, and add new subject and case files to the ADAMS File Plan, as needed. Filing statistics for this task shall be maintained separately from other tasks, differentiating between Day-Forward and Backlog activities, and shall be included in both the Daily Production Indicators Report and the Monthly Progress Report. The contractor shall maintain and report labor hours and other associated costs for this task separately from other tasks in its monthly invoices.

Task #10 - ADAMS Document Retrofit. The contractor shall retrofit historical documents into ADAMS as directed by the NRC Project Officer. This task shall be considered a special project under this order. Document processing statistics for this task shall be maintained separately from other tasks and shall be included in both the Daily Production Indicators Report and the Monthly Progress Report. The contractor shall maintain and report labor hours and other associated costs for this task separately from other tasks in its monthly invoices.

Task #11 - Database Cleanup. The contractor shall perform database cleanup in accordance with guidance to be provided by the NRC Project Manager. The contractor shall maintain separate statistics for this task and include in the Daily and Monthly Status Reports the total number of records that required review, the number of records reviewed during the reporting period, changes required to each record, if any, and the number of records remaining that require review. The NRC estimates that 2 FTE/4,000 staff-hours will be required during the first order year to complete this task.

Task #12 - User Support Services. The contractor shall provide User Support Services to NRC staff to assist in generating reports from NUDOCS, the ADAMS Legacy Library, and the ADAMS Main Library. In addition, the contractor shall assist in reviewing ADAMS Templates to ensure all appropriate information is incorporated into the DPC standard operating procedures (SOP) Manual and that the information presented is consistent with NRC policy and guidance related to ADAMS document processing.

Task #13 - ADAMS Database Maintenance. The contractor shall perform ADAMS database maintenance in accordance with guidance to be provided by the NRC Project Officer. Tasks associated with ADAMS database maintenance include maintaining ADAMS Controlled Value Lists (CVLs), ADAMS folders, and ADAMS enforced rules.

C.4 Statement Of Work

The contractor shall furnish qualified personnel and other services necessary to perform the requirements described in this statement of work (SOW) in accordance with NRC standard operating procedures (SOP) and policies. The NRC shall provide space in the TWFN Facility for the NRC Headquarters DPC. The NRC will also provide system documentation, routine office supplies, maintenance agreements for Government Furnished Equipment (GFE), and computer hardware and software to accomplish the initiatives under this order. It is the contractor's responsibility to remain technically competent with software and equipment used by the NRC and to provide required training for contractor personnel. If processing backlogs occur, the NRC Project Officer shall make a determination whether additional effort is required to reduce the backlog and will provide written direction to the contractor.

When directed by the NRC Project Officer, the contractor shall provide CD-ROM authoring and copying services. Upon written notification from the NRC Project Officer, the contractor shall be prepared to provide CD-ROM authoring and copying services that include, but may not be limited to, authoring CD-ROMs from paper documents, making additional CD-ROM copies required to complete distribution to recipients on RIDS standard distribution lists, and providing CD-ROM copying services to the NRC staff on an ad-hoc basis.

Travel Requirements: The contractor shall attend meetings at the NRC Headquarters and deliver and/or pick up documents from local area service providers. The contractor may be required to travel to the NRC Regional Offices to provide training for NRC staff. It is estimated that one 3-day trip for one person to each of the 4 regional offices may be required for each year of this order.

Personnel Requirements: The contractor shall provide qualified and competent personnel to perform the tasks and functional activities delineated in this SOW. The contractor's personnel shall act in a courteous, responsive, and professional manner at all times.

Personnel Security Requirements: All contractor personnel working under this task order require an ADP Security Level II Clearance.

Hours of Operation and Holiday Schedule: The NRC core business hours are from 7:30 a.m. to 4:15 p.m. daily, Monday through Friday, except Federal holidays. The contractor may propose alternative work schedules that will result in their operations having a minimal impact on use of the system by others. Proposed alternative work schedules will be evaluated and implemented if acceptable to the NRC. The holiday schedule for contractor personnel shall conform to the "Federal Holiday" schedule, unless otherwise approved in writing by the NRC Project Officer.

Transition Plan: The contractor shall provide a final Transition Plan that outlines plans and schedules for transition of the DPC support effort without interruption in service from the current contractor to the new Contractor by August 29, 2001. The Plan is due to the NRC Project Officer within 5 workdays of the date of order award.

Tasks:

4.1 Task #1 - Project Management

Project Management shall encompass coordination of Tasks 2 through 12 and overall administration of staff, facility, and program directives. The contractor Project Manager shall project productivity, quality standards, and responsiveness to the NRC's requirements for all task order deliverables. The contractor Project Manager shall have ultimate responsibility for data entry and operational reporting. The contractor Project Manager shall institute cost controls, allocate resources, and provide input to the NRC Project Officer on new initiatives associated with future program direction. The contractor shall maintain all operating procedures, manuals, contingency plans, and other documentation relating to this delivery order. The contractor shall maintain a master copy of all documentation at a remote facility.

At the direction of the NRC Project Officer, the contractor Project Manager shall provide tours of the Document Processing Center (DPC) facility and demonstrations on ADAMS document processing functions. The contractor Project Manager or other contractor staff shall attend meetings associated with ADAMS document processing and meetings on ADAMS application that have a direct relationship to DPC operations as necessary. Prior to termination of this delivery order, the contractor shall provide transition support to any follow-on contractor.

4.1.1 Task Management

The contractor Project Manager shall ensure efficient day-to-day operations. The contractor shall implement contractor staff work schedules that ensure the successful performance of all tasks, and shall maintain a level of qualified personnel that are cross trained to ensure the successful performance of each task daily.

4.1.2 Processing Reviews/Technology Impact Assessments

The contractor shall provide input to the NRC on the impact of employing new technology, e.g. text and image scanning and expert systems incorporated into ADAMS by the NRC. The contractor, as requested by the NRC Project Officer, shall provide analyses of the current document processing operation, including proposed procedure changes, estimated implementation costs, and production level impact. The contractor shall perform document processing reviews related to document processing activities, document handling, quality assurance programs, etc., that are performed under the task order. The contractor shall also analyze current industry document processing methods with a view toward improving the efficiency and effectiveness of document processing operations.

4.1.3 Standard Operating Procedures (SOP)

The contractor shall follow the Document Processing Center (DPC) Standard Operating Procedures and shall provide trained staff to implement these procedures, utilizing government supplied software and hardware to fulfill requirements identified by the NRC.

4.1.4 Quality Control Procedures/Quality Assurance

The contractor shall follow quality control procedures provided in the DPC SOP Manual for each task, conducting quality control inspections at various points throughout the process. These quality assurance inspections shall ensure that all pages are scanned correctly and the image quality is acceptable for viewing in ADAMS; the text file is acceptable for ADAMS term search indexing; data input are consistently input into the ADAMS document profile and security fields; RIDS distributions are correct and complete; and the PDF files retain the document integrity of the original native format.

The contractor shall also develop and implement quality control procedures for internally generated documents. This includes procedures for ensuring that documents submitted by the NRC staff in mixed format, consisting of electronic files and paper documents and documents consisting of multiple electronic files, are packaged and entered into ADAMS in the order defined by the NRC staff.

The contractor shall submit a draft QA Program Plan that includes proposed metrics to measure the contractor's performance in all Task areas. The proposed metrics must be approved by the NRC Project Officer prior to implementation. The contractor shall include the results of contractor performance for the previous month in the Monthly Progress Report. The contractor shall include corrective actions being taken to improve contractor performance where the contractor is not meeting the established metric. The contractor shall submit a proposed QA Program Plan Manual to the NRC Project Officer for review and approval within 15 workdays of the date of order award.

4.1.5 NRC Headquarters Document Processing Center (DPC) SOP

The contractor shall maintain the NRC ADAMS Document Processing Center (DPC) SOP Manual cited throughout this order and make it available in ADAMS. The contractor shall submit an updated DPC SOP within six months after order start date. When the DPC SOP Manual requires modification, the contractor shall submit the proposed changes to the NRC Project Officer for review and approval. The contractor shall update the manual and make it available in ADAMS within thirty (30) days of the NRC Project Officer's approval of the change(s) to the process.

4.1.6 Contractor Staff Training

The contractor shall provide in-house, "on the job" training to new contractor employees for all tasks under this order. The training shall employ a hands-on approach. The contractor shall institute a cross training program to ensure adequate backup personnel are available to successfully perform each task on a daily basis.

4.1.7 Managing Government Furnished Equipment (GFE)

The NRC shall provide equipment and routine office supplies required to perform the initiatives under this task order. The contractor shall establish an accounting/control system for all Government Furnished Equipment (GFE) and supplies. Reports of GFE and supply usage shall be furnished to the NRC annually or at the direction of the NRC Project Officer. A list of

GFE to be assigned will be incorporated at award of this order.

4.2 Task #2 - RIDS Code Assignment

The Electronic Regulatory Information Distribution System (e-RIDS) is a subsystem of ADAMS that is used to distribute electronic notification that documents have been processed and are available for viewing in ADAMS. The RIDS interfaces with the GroupWise e-mail message system to send electronic notification to designated recipients, based on the assigned RIDS and Docket Number (if applicable). The RIDS code used to launch the electronic notification is entered into the appropriate data field during the creation of the ADAMS profile.

The contractor shall code up to 200 documents each work day. If any documents are not coded on the same day they are received by the RIDS Code Unit, the contractor shall code these documents first on the following work day. If the contractor meets the 1,000 production level prior to close of business, and additional documents are available for processing, the contractor shall ensure that the RIDS Code staff process as many as possible of the remaining documents during the time remaining on that work day.

In the event that a weekly volume of incoming documents exceeds the 1,000 weekly requirement, the contractor shall immediately notify the NRC Project Officer of the document backlog expected to occur, noting the approximate number of documents. If processing backlogs occur, the NRC Project Officer shall make a determination whether additional effort is required to reduce the backlog and will provide written direction to the contractor.

4.2.2 Operations

The operations subtask includes document receipt (both paper and electronic), document coding, and quality control.

4.2.2.1 Document Receipt

At Headquarters, the NRC DCD, and Office of the Secretary (SECY) shall serve as the central control points for the contractor to pick up externally generated incoming paper documents for processing. In the Regions, the Regional Capture/Intake Stations will assume that role. The contractor shall make a minimum of six pickups daily from the NRC DCD, NRC File Center, and SECY. In addition, the contractor shall receive externally generated documents in electronic format from NRC stakeholders via the NRC Electronic Information Exchange (EIE) program.

NRC staff-generated documents will be provided to the contractor as single electronic files (stand-alone documents), multiple electronic files (two or more electronic files document packages), mixed packages (combination of electronic file(s) and paper) or paper documents that are only available in paper. Detailed procedures for the receipt of externally and NRC staff-generated documents are contained in the DPC SOP manual.

There shall be two processing categories for externally generated documents received by the DPC for processing.

- "Expedited" - processing completed within three to six working hours after receipt by DPC

- "Normal" - processing completed within eight working hours after receipt by DPC

Processing is complete for an externally-generated document when the e-RIDS notification is distributed.

There shall be two processing categories for NRC staff-generated documents received by the DPC for processing.

- "Immediate Release" - processing completed within four working hours after receipt by the DPC
- "Normal" - processing completed within eight working hours after receipt by the DPC

For NRC staff-generated documents, processing is complete after document is declared "Official Agency Records" (OARs) and the e-mail notification to staff is sent.

The contractor shall track and verify the return of all paper documents provided to the contractor after processing has been completed (i.e., image processing, text processing, indexing and distribution, if appropriate). The contractor shall receive and process all documents submitted in electronic form under the NRC "Electronic Information Exchange" initiative in accordance with the DPC SOP manual. In conjunction with the NRC Project Officer, the contractor Project Manager will establish a mechanism for monitoring the turn-around requirements for documents. The results shall be included in the Monthly Progress Report.

4.2.2.2 Document Coding

The contractor shall review each incoming document submitted for ADAMS processing to determine and assign the appropriate RIDS Code. For incoming paper documents, the code is to be hand written in the lower right corner of each document. Detailed procedures are contained in the DPC SOP Manual.

The NRC Document Control Desk (DCD) staff will serve as Technical Advisors, addressing questions or resolving problems the contractor staff may encounter when assigning codes. The NRC staff shall be responsible for maintaining the RIDS distribution database.

4.3 Task #3 - Document Preparation

4.3.1 Document Preparation

The contractor shall prepare documents for scanning by removing all staples, binders, paper clips etc. The document preparation staff shall provide documents to the scanning staff for processing by processing category. The contractor shall implement procedures to review each document to ensure that all referenced enclosures or attachments are included prior to scanning and shall report any discrepancies to the DCD for resolution.

On average, approximately 5 documents received daily by the RIDS distribution staff will require special handling. Documents requiring special handling are those that contain proprietary information. The contractor shall handle, mark, protect and transmit documents containing proprietary information in accordance with procedures set forth in NRC Management

Directive 12.6 "NRC Unclassified Sensitive Information Security Program," available through the NRC Web site.

4.3.2 Document Recompilation/Final Document Disposition

After completing the scanning and quality control process, the contractor shall restore each document to its original form (assembled in the order in which it was received, stapled where appropriate, placed back in binders as received, etc.) The contractor shall deliver all completed documents to the NRC File Center, or forward them to the appropriate Regional location, by COB each day.

4.4 Task #4 - Document Scanning/Imaging

4.4.1 Scanning/Imaging

The contractor shall create approximately 5,000 scanned images (pages) daily from paper documents received from the DCD or the NRC staff. Document scanning shall result in a Tagged Image File Format (TIFF) image of the document pages to be linked with the ADAMS document profile and the text generated from the scanned image under Task #5. After the image is created, the scanning staff shall provide the image to the text processing staff for processing based on priority. The contractor shall provide various levels of scanning services. For simple scanning the contractor shall scan a document and send the scanned image (or its location in ADAMS) to the requestor. Normal scanning is performed on paper documents that are received for regular processing. For expedited scanning the contractor shall scan a document and send the scanned image (or its location in ADAMS) to the requestor within four hours from time of receipt. Complex scanning services require the contractor to scan portions of a document and package it with electronic portions of the document. Offsite commercial scanning services may be required to facilitate processing large voluminous material within specified time constraints or to meet special ad hoc requirements. The contractor may use a scanning service bureau, provided prior approval is received from the NRC Project Officer.

The contractor shall create up to 5,000 scanned images each work day. If there are any documents that are not scanned on the same day they are received by the imaging department, the contractor shall process these documents first on the following work day. If the contractor meets the 5,000 scanned image requirement prior to close of business, and additional documents are available for processing, the contractor shall ensure that the imaging staff process as many as possible of the remaining documents during the time remaining on that work day. If insufficient documents are received to allow the contractor to meet the daily requirement, the contractor shall process documents designated for processing as Special Projects by the NRC Project Officer to achieve the daily requirement.

4.4.2 Quality Control

The contractor shall perform a quality control check on all images created to ensure they are acceptable for the OCR text conversion process. Detailed procedures are contained in the DPC SOP Manual.

4.5 Task #5 - Text Processing

4.5.1 Text Conversion

Images received for text processing shall require conversion into American Standard Code of Information Exchange (ASCII) text. The contractor shall use the automated zoning features (no manual process) contained in NRC provided software to zone images for Optical Character Recognition (OCR) to create searchable text for input into ADAMS. The contractor shall perform text processing in accordance with procedures contained in the DPC SOP Manual. The contractor shall convert up to 5,000 scanned images (TIFF format) each workday. If any images are not processed on the same day they are received by the text processing department, the contractor shall process these pages first on the following work day. During the course of this delivery order the NRC may direct the contractor to switch from TIFF to PDF file format for image capture.

If the contractor meets the 5,000 image conversion requirement prior to close of business, and additional images are available for processing, the contractor shall ensure that the text processing staff convert as many as possible of the remaining images during the time remaining on that work day. If insufficient images are received to allow the contractor to meet the daily requirement, the contractor shall process documents designated for processing as Special Projects by the NRC Project Officer to achieve the daily requirement.

4.5.2 Quality Control

The contractor shall perform a minimum quality control check on the ASCII text after the OCR conversion process has been completed. This quality control check shall be limited to ensuring the general format of the resulting ASCII text is acceptable for use in building the ADAMS term search index. Detailed procedures are contained in the DPC SOP Manual.

4.6 Task #6 - Document Indexing

4.6.1 Document Indexing

ADAMS document indexing involves identifying and entering all information necessary to complete ADAMS document profiles and declaring specified documents as Official Agency Records (OARs). This includes all data elements required for document distribution, tracking, and identification. All document indexing shall be performed in accordance with the procedures contained in the DPC SOP manual. The contractor shall enter the document profile contents into the database and update and correct existing records that have not been previously declared OARs. Data entry shall be performed by the contractor using on-line access to the database (Direct Entry).

The contractor shall index up to 400 (200 external/200 internal) unique documents (ADAMS Accession Numbers) each work day. The NRC estimates that approximately 80% of NRC-generated documents received for processing will be in electronic format and the contractor shall not be required to perform scanning, or OCR conversion on these documents.

If the contractor meets the 400 production level prior to close of business, and additional documents are available for processing, the contractor shall ensure that the indexing staff process as many as possible of the remaining documents during the time remaining on that

work day. If the documents received are insufficient to allow the contractor to meet the daily requirement, the contractor shall use documents designated for processing as Special Projects by the NRC Project Officer to achieve the daily requirement.

4.6.2 Quality Control

The contractor shall perform a quality control check after each profile is completed to ensure all completed information is correct. Detailed procedures are contained in the DPC SOP Manual. The contractor shall also perform a quality control check on internally generated documents to ensure that documents submitted by the NRC in mixed format consisting of electronic files and paper documents and documents consisting of multiple electronic files are packaged and entered into to ADAMS in the order defined by the NRC staff.

4.7 Task #7 - Document Distribution

4.7.1 E-RIDS Document Distribution

There are two processing categories established under ADAMS document processing. Expedited, which requires that processing be completed within three (3) to six (6) work hours of receipt by the DPC and normal which requires that processing be completed within eight (8) work hours of receipt by the DPC.

The contractor shall distribute up to 200 documents each work day via e-RIDS. If any documents are not processed on the same day they are received by the Distribution Unit, the contractor shall process these documents first on the following work day. If the contractor meets the 200 production level prior to close of business, and additional documents are available for processing, the contractor shall ensure that the distribution staff process as many as possible of the remaining documents on that work day. In the event that a weekly volume of documents to be distributed exceeds the 1,000 weekly requirement, the contractor shall immediately notify the NRC Project Officer of the document backlog expected to occur, noting approximate number of documents. If backlogs occur, the NRC Project Officer shall make a determination whether additional effort is required to reduce the backlog and will provide written direction to the contractor.

4.7.2 E-Mail Notifications

The contractor shall notify NRC staff members when processing has been completed for their specific documents. This could result in sending out up to 200 e-mail messages each work day. If any documents are not processed on the same day they are received by the Distribution Department, the contractor shall process these documents first on the following work day. If the contractor meets the 200 production level prior to close of business, and additional documents are available for processing, the contractor shall ensure that the distribution staff process as many as possible of the remaining documents on that work day. In the event that a weekly volume of documents to be distributed exceeds the 1,000 weekly requirement, the contractor shall immediately notify the NRC Project Officer of the document backlog expected to occur, noting approximate number of documents. If backlogs occur, the NRC Project Officer shall make a determination whether additional effort is required to reduce the backlog and will provide written direction to the contractor.

4.7.3 Quality Control

The contractor shall review each E-RIDS notification to ensure that the distribution codes and docket numbers are correct and that manual adjustments to the distribution list have been made when appropriate. The contractor shall review each e-mail notification to ensure that notifications are being sent to the appropriate NRC staff member and the appropriate document is attached to the message.

4.8 Task #8 - Replicating Publicly Available Documents To ADAMS PARS

Currently, the process for releasing publicly available documents to the public is not automated. This process will be automated in a future release of ADAMS software. Therefore, until written notification is provided to the contractor by the NRC Project Officer, the contractor shall employ the following process to replicate publicly available document/packages to the ADAMS Publicly Available Records System (PARS) located on the NRC external WEB server daily.

The contractor shall copy up to 400 publicly available documents/packages to daily temporary replication folders for subsequent copying into "Recently Released Documents" replication folders for replication to the ADAMS Publicly Available Records Library (PARS) located on the NRC external WEB server daily. Detailed procedures are contained in the DPC SOP manual.

4.8.1 Copying Documents From DPC "Completed Docs For RM" Folder

After processing has been completed on each document or package, the contractor shall copy individual publicly available documents and publicly available document packages into the DPC "Completed Docs For RM" folder. Each morning the contractor shall create a daily temporary replication folder (i.e. Rep-Temp-current date) into which it will copy individual publicly available documents or document packages from the DPC "Completed Docs For RM" folder. From the "Document Manager" window, the contractor shall navigate to the OCIO/HQ Document Processing Center/HQ DPC ADAMS Processing/Completed Docs for RM folders where the daily temporary replication folder will be created.

From the DPC "Completed Docs For RM" folder, the contractor shall sort documents by the "Date to Be Released" field. After sorting the documents by release date, the contractor shall block and copy all individual documents or document packages with the current and earlier day's release date into the daily temporary replication folder (i.e. Rep-Temp-current date). Document packages must be blocked and copied separately from individual documents.

After individual documents and document packages are copied to the daily temporary replication folder (i.e. Rep-Temp-current date), the contractor shall open another "Document Manager" window and navigate to the "Recent Released Documents/Month/Day Replication" folders. The contractor shall then block and copy all individual documents or document packages from the daily temporary replication folder (i.e. Rep-Temp-current date) into the next working day's "Recent Released Documents" replication folder. Document packages must be blocked and copied separately from individual documents.

The contractor shall unfile documents from the DPC "Completed Docs For RM" folder after the current day's documents to be released are copied to the daily temporary replication folder (i.e. Rep-Temp-current date). The contractor shall monitor the DPC "Completed Docs For RM"

throughout the work day for documents that need to be released that day.

The contractor shall follow the above process for replicating publicly available documents or packages processed into ADAMS under 4.10 - Task 10 - ADAMS Document Retrofit. The replication of publicly available retrofit documents and packages must be completed prior to searching the ADAMS Main Library for publicly available documents and packages that meet the criteria for replication.

4.8.2 Searching ADAMS Main Library

The contractor shall use ADAMS advanced search capabilities to search the ADAMS Main Library separately to identify both individual documents and document packages that meet the criteria as defined in the SOP for replication to PARS. The contractor shall perform the first search each morning and periodically throughout the day with the last search being performed at 4:30 p.m.

The contractor shall create a daily temporary search replication folder (i.e. Search-Rep-Temp-current date) into which individual publicly available documents or document packages will be copied from search results after the search has been performed. From the "Document Manager" window, the contractor shall navigate to the OCIO/HQ Document Processing Center/HQ DPC ADAMS Processing/Search-rep-Temp -(Date) where the daily temporary replication folder will be created. After creating the daily temporary search replication folder (i.e. Search-Rep-Temp-current date), the contractor shall block and copy all individual documents or document packages with the current or earlier day's release date into the daily temporary replication folder (i.e. Search-Rep-Temp-current date). Document packages must be blocked and copied separately from individual documents.

After individual documents and document packages are copied to the daily temporary replication folder (i.e. Search-Rep-Temp-current date), the contractor shall open another "Document Manager" window and navigate to the "Recent Released Documents/Month/Day Replication" folders. The contractor shall then block and copy all individual documents or document packages from the daily temporary replication folder (i.e. Search-Rep-Temp-current date) into the next working day's "Recent Released Documents" replication folder. Document packages must be blocked and copied separately from individual documents.

4.8.3 Maintaining Daily Temporary Replication Folders

The contractor shall maintain the daily temporary replication folders. The contractor shall keep the daily temporary folders for two weeks after their creation. After the two week period, the contractor shall perform a comparison of the contents of each replication folder created by the contractor against the contents of the same daily replication folders maintained on ADAMS PARS and if they contain the same number of documents, the contractor can delete the folder it created.

4.9 Task #9 - Filing Official Agency Records In ADAMS

The contractor shall perform electronic filing of certain Day-Forward and all Backlog Official Agency Record (OAR) documents and packages into the ADAMS File Plan, close-out completed and/or terminated case files in the File Plan, and add new subject and case files to the ADAMS File Plan, when needed.

The contractor shall file all office and regional OARs, from the order start date forward, except for the Day-Forward programmatic OARs of the Office of Nuclear Material Safety and Safeguards (NMSS), the Office of Nuclear Reactor Regulation (NRR), the Office of International Programs (OIP), the Office of Nuclear Regulatory Research (RES), and the Office of State and Tribal Programs (STP), for which the NRC File Center will file the records. The contractor shall also file all Backlog OARs generated from April 1, 2000, up to the order start date, including those of NMSS, NRR, OIP, RES and STP.

Filing OARs is accomplished in ADAMS using additional rights provided to the Records Managers group members. A Records Manager files an OAR document or package via the records classification tools of the ForeMost records management software that is an integrated component of ADAMS.

The ADAMS File Plan is an hierarchical records classification scheme located in the ForeMost software that is used to electronically file all OAR documents and packages. The File Plan is organized by Office, Records Series, Sub-Series (if any), and subject file area or specific case file. Documents are filed in the File Plan from the ADAMS Document Manager or the ADAMS Find result list by navigating the Plan and "choosing" the appropriate file folder. Filing a document or package in the ADAMS File Plan assigns a File Code to the document that places it under records management control. Documents often require filing in multiple file locations depending on how they are used and to whom they serve as official agency records. Files management activities, such as adding or modifying File Plan case or subject file folders, entering case file closure dates, and conducting File Code searches, are performed using various ForeMost software applications.

National Archives and Records Administration (NARA) regulations require that official records only be dispositioned (destroyed or transferred to the National Archives) in accordance with NARA-approved records disposition schedules. Filing OARs in the ADAMS File Plan links them to a subject or case file folder with a File Retention Code and corresponding retention period that is based on a NARA-approved records disposition schedule. All OARs are "Filed to ForeMost" to meet these NARA records management requirements.

4.9.1 File Documents/Packages in the ADAMS File Plan

Using ADAMS, the contractor shall retrieve OAR documents and packages to be filed, determine the correct file location and assign the appropriate File Code(s) from the ADAMS File Plan, and unfile the documents from the ADAMS Main Library RM NewRecords Folder. The contractor shall file all documents and packages for all headquarters and regional offices that are not the filing responsibility of the NRC File Center (programmatic Day-Forward records of NMSS, NRR, OIP, RES, and STP), and all Backlog OARs, including those for NMSS, NRR, OIP, RES, and STP.

Only OARs, documents and packages declared as Official Agency Records, shall be filed in the ADAMS File Plan. The contractor shall file OAR documents and packages in two categories: Day-Forward Filing - OARs dated award as of the order start date or later, and Backlog Filing - OARs dated 04/01/00 to the order start date. The contractor shall centrally file OARs from the NRC Headquarters DPC located in the TWFN Facility.

Day-Forward Filing. The contractor shall file all OAR documents and packages for all headquarters and regional offices that are not the filing responsibility of the NRC File Center. The records series for which the contractor shall have Day-Forward Filing responsibility are identified in ML010860046, "Records Filed in The ADAMS File Plan," Part 1, "Record Series Filed by the Document Processing Center." NRC estimates that 104,000 new OAR documents and packages are created annually (400 per day times 260 days). Approximately 52.5% of these OARs (54,600 items annually, or 210 items daily) comprise the contractor's filing responsibility, based on the current ratio of NRC File Center to Non-NRC File Center OARs.

Backlog Filing. The contractor shall file Backlog OAR documents and packages dated from 04/01/00 to the order start date for all headquarters and regional offices, including those for which the NRC File Center has Day-Forward Filing responsibility (ML010860046, "Records Filed in The ADAMS File Plan," Part 2, "Records Series Filed by the NRC File Center"). As of 05/01/01, the OAR Backlog consisted of 77,719 documents and packages in ADAMS that had been declared OARs since 04/01/00, but have not yet been filed to ForeMost. This represents a monthly increase in the OAR Backlog of 5,994 OARs. The contractor shall file at a minimum, 130 Backlog OARs each day. The NRC estimate for completion of the entire OAR Backlog filing into the ADAMS File Plan is three years. Accordingly, the daily Backlog filing requirement spread over three years would be 130 OARS (33,964 OARs divided by 260 days per year).

Upon completing a one-month period to become proficient with the ForeMost filing activity, the contractor shall file 340 OARs daily (210 Day-Forward plus 130 Backlog OARs). The priority shall be to file Day-Forward OARs first, then to file Backlog OARs in the order of the earliest OAR to the most recent. Sub-Tasks 4.9.1.1 through 4.9.1.3, apply to both Day-Forward Filing and Backlog Filing.

ML010860046, "Records Filed in The ADAMS File Plan," contains the list of Day-Forward records series that are filed by the contractor (Part 1) and by the NRC File Center (Part 2). Backlog OARs will span both parts. The following are the basic steps to file documents in the ADAMS File Plan.

1. Find/identify the documents/packages to be filed using standard ADAMS search functions.
2. Right-click on each document or package and review Properties to determine where to file. If necessary, view the document to make filing decision.
3. Click-on "File to ForeMost".
4. Enter ForeMost password (ForeMost software is activated).
5. Navigate the ADAMS File Plan to the appropriate subject or case file folder and select "Choose," or simply enter the appropriate File Code, if known.
6. "Unfile" document from ADAMS Main Library RM NewRecords Folder.

4.9.1.1 Retrieving Documents to Be Filed

ADAMS documents and packages are filed in the ADAMS File Plan ("Filed to ForeMost") from opened ADAMS folders and search result lists. Only OARs can be filed to ForeMost. The primary source of documents and packages for filing will be from performing searches against the RM NewRecords Folder. However, OARs to be filed in multiple File Plan folders that have already been filed to one File Plan folder will often be unfiled from the RM NewRecords Folder and will require separate searches. The contractor must develop various search strategies, or series of searches, to generate the necessary result lists of OARs that must be filed to ForeMost. Some OARs will be filed after being identified by the responsible office contact through the NRC Task Manager. Understanding the description of records contained in the NARA approved records disposition schedules and developing successful strategies to identify groups of OARs for filing to ForeMost are required for efficient filing operations. In addition to searching and retrieving documents to file in the ADAMS File Plan, documents may be presented to the contractor for filing in response to audits, QC reviews, changes in an office's filing requirements, and instructions from a responsible office contact.

4.9.1.2 Assign File Codes from the ADAMS File Plan

The contractor shall evaluate the ADAMS profile data, match the data to the NARA-approved records disposition schedules, and assign the proper subject or case file File Code(s) from the ADAMS File Plan.

The ADAMS File Plan is an hierarchical records classification scheme in the ADAMS records management software used for filing documents. The File Plan is organized by Office, Records Series, Sub-Series (if required), and specific case or subject file folders from which an ADAMS Record Custodian assigns a File Code to each document. The ADAMS File Plan differs from typical paper file plans in that its case file and subject file categories are only broken down to the level required to implement a records series' authorized disposition. Accordingly, there is only one case file folder for each case file within a records series, and there is only one subject file folder for each fiscal year in a subject file series. Case file and subject file folders are not broken down into sub-categories because all of the documents can be dispositioned at the same time in the higher level folder.

All OAR documents and packages are filed in either case file or subject file type folders. Documents are filed only in the lowest hierarchical level of the File Plan. Reference the descriptions of records contained in the ADAMS records schedules that have been submitted to NARA for approval. These descriptions can also be viewed in ADAMS and ForeMost within the File Plan. Also, reference the current ADAMS File Plan at ML010740286.

4.9.1.3 Unfile Documents from the RM NewRecords Folder

The contractor shall remove OAR documents and packages from the ADAMS NewRecords Folder using the "unfile" option. The contractor shall remove the OARs immediately after all File Codes are assigned, so that they and others know that the assignment task has been completed for that record. The contractor shall not remove multiple dispositioned OARs that have not yet been filed by the NRC File Center, so the File Center staff can retrieve the OARs from the RM NewRecords Folder for filing. In those instances, it is the File Center's

responsibility to remove the OAR from the RM NewRecords Folder after they file the OAR in the ADAMS File Plan.

4.9.2 Close Out Completed And/Or Terminated Case Files

The contractor shall enter the date of case file closure (event date) for each case file that closes for which it has filing responsibilities. The event date to be used is described in the authorized disposition portion of the NARA approved records disposition schedule. The event date will often be contained in a final close-out document that is created for the case file. Records series that contain vague or non-existent case file closure dates shall be identified by the contractor, so that the NRC Task Manager can coordinate requests for case file closure dates with the responsible offices and provide them to the contractor for entry into the File Retention Code section of the ForeMost case file folder. The following are the basic steps to close out case files in the ADAMS File Plan.

1. Open the ForeMost software, navigate the ADAMS File Plan to the appropriate case file.
2. Click the edit icon on the toolbar to enter the folder edit mode.
3. Click the retention code button to enter the File Retention Code edit mode.
4. Enter the date of case file closure (event date) into the 9th data field.
5. Click the "OK" button to exit the File Retention Code screen.
6. Click the "Update" button to effect the change and to exit the edit file mode.

4.9.3 Maintain the ADAMS File Plan

The contractor shall create new subject and case file folders in the ADAMS File Plan areas for which they have filing responsibility. New subject file folders for the next fiscal year shall be created annually for each organization's active subject file type series. New case file folders shall be created for each new case file required. New case files are typically added to the end of the list of existing case files.

4.9.4 Develop and Maintain File References

The contractor shall develop and maintain cross references of the file locations for different types of documents to ensure filing efficiency. The references shall reflect the ADAMS File Plan, ADAMS Templates, NARA's General Records Schedules, NRC's records schedules, NRC office filing procedures, and other files and records management guidance provided by the NRC Task Manager. Similar references documenting successful search strategies for each records series shall be created and maintained to ensure file retrieval efficiency. At a minimum, references must be maintained showing the file location by document type, and search criteria used to identify documents for filing by records series. Additional references, such as file location by Regulatory Information Distribution System (RIDS) codes, should be developed if the contractor determines them to contribute to greater efficiency of operations. The contractor shall submit to the NRC Project Officer a filing reference aid based on operational experience, ADAMS Templates, tailored searches, ADAMS records series, document types, etc., six months after delivery order award.

4.9.5 Quality Control

The contractor shall perform quality control (QC) checks of its OAR retrieving, filing, File Plan updating, and case file closing actions to ensure proper filing decisions and File Plan maintenance. QC shall include, but not be limited to, sufficient ADAMS searches and reviews of OARs to ensure that all OARs under the contractor's filing responsibility are identified and filed correctly in the File Plan. QC procedures will be incorporated in the contractor's Standard Operating Procedures for Filing Documents and Packages in the ADAMS File Plan.

4.9.6 Reporting Requirements

The contractor shall include a full accounting of OAR filing, case file closeout, and new file folder creation statistics in the Daily Production Indicators Report provided to the NRC Project Officer. The information provided shall include the total number of Day-Forward and Backlog OARs available for filing and the number of Day-Forward and Backlog OARs filed daily. The contractor shall include a summary of the work performed under task #9 and a discussion of related plans and operational problems in the Monthly Progress Report to the NRC Project Officer.

4.9.7 Personnel Requirements

The contractor shall provide personnel capable of accomplishing the filing and related files maintenance requirements that are identified in this task. The personnel must be capable of understanding Federal records management principles, Federal records management regulations, and the NRC's Records Management Program (NRC Management Directive 3.53) to determine the ownership of records, the records series to which they belong, and their proper file location(s) in the ADAMS File Plan. The personnel must be capable of understanding what constitutes an official Federal record, when the same record must be filed in multiple locations based on how it is used, the implications of ADAMS being an official record keeping system, and the basic requirements and objectives of filing OARs to the ADAMS File Plan. The personnel must become familiar with NRC record keeping practices and proficient in developing and refining ADAMS searches based on the description of records contained in the ADAMS records schedules to generate desired result lists of documents to be filed. The personnel must have sufficient analytical skills to evaluate each record and its characteristics to determine the proper filing location(s) in the ADAMS File Plan.

4.9.8 Contractor Staff Training

The NRC shall provide initial training on filing OARs in the ADAMS File Plan, entering event dates in the File Retention Codes of closed case files, creating new subject and case file folders, and using the other features of the ForeMost records management software. The NRC is allowing a one-month learning period to allow the contractor to review the pertinent references, develop searches to retrieve documents for filing, develop initial filing references and standard operating procedures, and to obtain a basic level of operational expertise. The contractor shall provide subsequent in-house, "on the job" training to new contractor employees tasked with filing OARs in the ADAMS File Plan using ForeMost. The contractor shall employ hands-on approach training and shall institute a cross training program to ensure adequate backup personnel successfully perform each filing and files maintenance task on a daily basis.

4.10 Task #10 - ADAMS Document Retrofit

The contractor shall perform document processing tasks associated with retrofitting documents into ADAMS. The purpose of this task is to continue retrofitting paper documents that require full processing into ADAMS.

This task shall be considered a special project under this order. Document processing statistics for this task shall be maintained separately from other tasks and shall be included in both the Daily Production Indicators Report and the Monthly Progress Report. The contractor shall maintain and report labor hours and other associated costs separately from other tasks in its monthly invoices.

The contractor shall provide support in the following five subtask requirements.

4.10.1 Document Receipt and Preparation

The NRC File Center shall serve as the central control point for the contractor to pick up documents for processing and to deliver documents after processing. The contractor shall be responsible for tracking and verifying that documents received for processing are returned to the File Center. The contractor shall process documents in the order that they are received and shall return documents repackaged in the order and condition received from the File Center.

The contractor shall implement procedures for notifying the NRC Project Officer when documents available for processing fall below a five-day work level to ensure that the flow of documents to the contractor is sufficient for the contractor to meet daily production requirements.

4.10.1.1 Document Preparation

The contractor shall prepare documents for scanning by removing all staples, binders, paper clips etc., to enable document scanning. The contractor shall implement procedures to review each document to ensure that all referenced enclosures or attachments are included for each document prior to scanning and report any discrepancies to the File Center for resolution.

4.10.1.2 Document Reconciliation

After the scanning and quality control process has been completed, the contractor shall restore each document to its original form and container for return to the NRC File Center.

4.10.1.3 Final Document Disposition

Procedures for preparing documents for pickup by the contractor will require the File Center staff to insert documents into boxes, number the boxes and arrange each shipment into batches. The contractor shall develop procedures for ensuring the return of all documents in the same container and batch as received from the NRC, after processing has been completed.

4.10.2 Document Scanning/Imaging

4.10.2.1 Scanning/Imaging

The NRC estimates that the contractor shall create approximately 1,900 scanned images daily from paper documents received from the NRC File Center. Document scanning shall result in a Tagged Image File Format (TIFF) image of the document pages to be associated with the ADAMS document profile and the text generated from the scanned image under Subtask 4.10.4. If the contractor meets the 1,900 scanned image requirement prior to close of business, and additional documents are available for processing, the contractor shall ensure that the imaging staff process as many as possible of the remaining documents during the time remaining on that work day.

4.10.3 Quality Control

The contractor shall perform a quality control check on all images created to make sure they are acceptable for the OCR text conversion process. Detailed procedures are contained in the DPC SOP Manual.

4.10.4 Optical Character Recognition (OCR) Text Conversion

4.10.4.1 Text Conversion

Images received for text processing shall require conversion into American Standard Code of Information Exchange (ASCII) text. The contractor shall use the automated zoning features (no manual process) contained in NRC provided software to zone images for Optical Character Recognition (OCR) to create searchable text for input into ADAMS. The contractor shall perform text processing in accordance with procedures contained in the DPC SOP manual.

The contractor shall convert up to 1,900 scanned images (TIFF format) each workday. If any images are not processed on the same day they are received by the text processing department, the contractor shall process these pages first on the following work day. If the contractor meets the 1,900 image conversion requirement prior to close of business, and additional images are available for processing, the contractor shall ensure that the text processing staff convert as many as possible of the remaining images during the time remaining on that work day.

4.10.4.2 Quality Control

The contractor shall perform a minimal quality control check on the ASCII text after the OCR conversion process has been completed. This quality control check shall be limited to ensuring the general format of the resulting ASCII text is acceptable for use in building the ADAMS term search index. Detailed procedures are contained in the DPC SOP Manual.

4.10.5 Document Indexing

4.10.5.1 Document Indexing

The contractor shall index up to 95 unique documents (ADAMS Accession Numbers) each work day. If the contractor meets the 95 production level prior to close of business, the contractor shall ensure that the indexing (profiling) staff process as many of the remaining documents as possible during the remainder of that work day. The contractor shall also use retrofit documents to meet the daily production requirements as defined in Task 4.6 - Document Indexing when an insufficient number of current documents are available to meet that requirement.

4.10.5.2 Quality Control

The contractor shall perform a quality control check after the profile is completed to ensure all completed information is correct. Detailed procedures are contained in the DPC SOP Manual.

4.10.5.3 Quality Assurance

The contractor shall perform quality assurance inspections at various points throughout the process. These quality assurance inspections shall ensure that all pages are scanned correctly and the image quality is acceptable for viewing in ADAMS, the text file is acceptable for ADAMS term search indexing, and there is consistency in data input into the ADAMS document profile.

4.11 Task #11 - Database Cleanup

The contractor shall perform database cleanup activities associated with profiles entered into ADAMS between November 1, 1999, and April 1, 2001. The NRC estimates that 2 FTE will be required to complete this task during the first order year. This is a finite collection of profiles that requires review to ensure the data adheres to the standards for profiling established with the NRC ADAMS Templates and data format requirements. Detailed steps of the database cleanup project will be provided by the ADAMS QA Program Manager in an ADAMS Database Cleanup Plan.

4.12 Task #12 - User Support Services

The contractor shall provide User Support Services to NRC Staff to assist in generating reports from NUDOCS, the ADAMS Legacy Library, and the ADAMS Main Library. The contractor shall process and maintain records of all ad hoc reports or special printout requests. The contractor shall provide statistics on requests for ad hoc reports or special printout requests in the Monthly Status Reports.

4.13 Task #13 - ADAMS Database Maintenance

The contractor shall perform ADAMS Database Administration activities in accordance with guidance to be provided by the NRC Task Manager. Tasks associated with ADAMS database maintenance include maintaining the ADAMS Controlled Value Lists (CVLs), ADAMS folders, and ADAMS enforced rules.

The NRC will provide the training necessary for the contractor to assume the responsibility for performing ADAMS Database Maintenance. In addition, the NRC will provide the contractor with written procedures to be used when adding new values or modifying existing values to the CVLs.

4.13.1 Maintenance of ADAMS Controlled Value Lists

Controlled Value Lists provide a vehicle to define specific values that can be selected by personnel creating ADAMS profiles. The values contained in that list are the only acceptable values for populating the related field. Any value not on the list will be rejected by the system as invalid.

The contractor shall, upon direction from the NRC, add new values or modify existing values contained in specified CVLs based on changing requirements. The contractor may be authorized to add new values unilaterally to some specified CVLs (i.e., Addressee and Author Affiliations) based on formatting criteria and rules provided by the NRC. The contractor shall, within 4 work hours, provide the ADAMS IM Team with a list of new values they have added to facilitate updates to the Thesaurus posted to the NRC Website or other location.

4.13.2 ADAMS Folders

In addition to the normal process of moving documents from folders created to move documents through the production environment, there are folders created that facilitate the replication process to make documents available to the public. This process is not automated and requires a degree of effort to create and delete folders, assign security rights to folders, and manually copy and unfile documents into and from various replication folders.

The contractor shall, at the direction of the NRC, create and delete folders, and assign specified access rights to folders to facilitate the public availability of documents on the public server. The contractor shall copy and unfile documents from folder to folder in accordance with general guidance provided by the NRC to facilitate the replication of publicly available documents to the public server.

4.13.3 ADAMS Rules

ADAMS provides a facility to create "rules" that are executed upon declaring a document an Official Record. These rules perform a comparison of values included in the document profile to validate their appropriateness and report inconsistencies or conflicts that must be resolved before the system will accept the document as an Official Record.

The contractor shall, upon direction of the NRC, create additional "rules" or modify existing rules to address the document processing requirements of the agency. The contractor may propose additional rules to the NRC to address document processing issues.

D. Special Order Requirements

1. Reporting Requirements

The contractor shall maintain an accurate account of all expenditures, direct labor hours, direct labor hours per activity, other direct (non labor) charges, indirect costs, and all resources expended or projected. These records shall be maintained in a systematic manner that allows accurate prediction of future efforts and costs, and shall be available for NRC inspection without prior notice.

In addition to the deliverables required under this order, the contractor shall submit a Daily Production Indicators Report and Monthly Status Report.

Daily Production Indicators Report

The contractor shall provide a Daily Production Indicators Report to the NRC Project Officer and other designated NRC staff (see Attachment 1 Contract Deliverables) that gives a full accounting of document handling and processing statistics for each previous day's task. Document handling and processing statistics for Task 9 - File Documents/Packages In The ADAMS File Plan and Task 10 - ADAMS Document Retrofit shall be reported separately from other processing tasks.

Daily Production Indicators Report shall include but not be limited to:

- number of documents received daily by processing priority (normal or expedited);

- number of documents processed daily;

- number of accession numbers created daily;

- number of images generated daily;

- number of publicly available documents replicated to public server;

- number of documents filed electronically daily;

- and a list of rejected documents and the cause for rejection.

Monthly Status Report

The contractor shall provide a Monthly Status Report to the NRC Project Officer, Contracting Officer, and other designated NRC staff (see Attachment 1), by the 15th of each month. The report shall provide a summary of the work performed under each task, including appropriate statistics, for the previous month.

The information provided in the report shall include but not be limited to:

- identification of the BPA number, order number, and task;

- the period covered by the report

- a summary of work performed during the reporting period for each task, including appropriate statistics and plans for the next reporting period;

- a discussion of project plans, hardware problems, current operational problems, and the proposed corrective action, and analysis of the impact on other tasks within the scope of the SOW;

- a prospective listing of project deliverables and their schedule;

results from Quality Assurance sampling of data elements

and a status of expenditures under the order for the reporting period, cumulative expenditures to date, funds obligated to date, and balance of funds required to complete the order.

The contractor shall provide on a monthly basis and as part of the Monthly Status Report, a section that includes the same information categories required in the Daily Production Indicators Report summarized as a monthly snapshot.

2. Delivery Order and Project Orientation

The Government will provide a Delivery Order Orientation for Contractor personnel at NRC Headquarters offices.

3. Meetings and Travel

The Contractor may be required to travel to any of the NRC sites identified in Section C of this Delivery Order. The contractor must receive prior approval from the NRC Delivery Order Manager for all travel. No foreign travel is expected or required during the duration of this Delivery Order.

4. Security

- a. Security/Classification Requirements Form. The attached NRC Form 187 (See Attachments) furnishes the basis for providing security and classification requirements to prime contractors, subcontractors, or others (e.g., bidders) who have or may have an NRC contractual relationship that requires access to classified information or matter, access on a continuing basis (in excess of 30 or more days) to NRC Headquarters controlled buildings, or otherwise requires NRC photo identification or card-key badges.
- b. It is the contractor's duty to safeguard National Security Information, Restricted Data, and Formerly Restricted Data. The contractor shall, in accordance with the Commission's security regulations and requirements, be responsible for safeguarding National Security Information, Restricted Data, and Formerly Restricted Data, and for protecting against sabotage, espionage, loss, and theft, the classified documents and material in the contractor's possession in connection with the performance of work under this contract. Except as otherwise expressly provided in this contract, the contractor shall, upon completion or termination of this contract, transmit to the Commission any classified matter in the possession of the contractor or any person under the contractor's control in connection with performance of this contract. If retention by the contractor of any classified matter is required after the completion or termination of the delivery order and the retention is approved by the contracting officer, the contractor shall complete a certificate of possession to be furnished to the Commission specifying the classified matter to be retained. The certification must identify the items and types or categories of matter retained, the conditions governing the retention of the matter and their period of retention, if known. If the retention is approved by the contracting officer, the

security provisions of the delivery order continue to be applicable to the matter retained.

- c. In connection with the performance of the work under this contract, the contractor may be furnished, or may develop or acquire, proprietary data (trade secrets) or confidential or privileged technical, business, or financial information, including Commission plans, policies, reports, financial plans, internal data protected by the Privacy Act of 1974 (Pub. L. 93-579), or other information which has not been released to the public or has been determined by the Commission to be otherwise exempt from disclosure to the public. The contractor agrees to hold the information in confidence and not to directly or indirectly duplicate, disseminate, or disclose the information in whole or in part to any other person or organization except as may be necessary to perform the work under this contract. The contractor agrees to return the information to the Commission or otherwise dispose of it at the direction of the contracting officer. Failure to comply with this clause is grounds for termination of this contract.
- d. **Regulations.** The contractor agrees to conform to all security regulations and requirements of the Commission which are subject to change as directed by the NRC Division of Facilities and Security and the Contracting Officer. These changes will be under the authority of the FAR Changes clause referenced in this document.
- e. **Definition of National Security Information.** The term National Security Information, as used in this clause, means information that has been determined pursuant to Executive Order 12958 or any predecessor order to require protection against unauthorized disclosure and that is so designated.
- f. **Definition of Restricted Data.** The term Restricted Data, as used in this clause, means all data concerning design, manufacture, or utilization of atomic weapons; the production of special nuclear material; or the use of special nuclear material in the production of energy, but does not include data declassified or removed from the Restricted Data category pursuant to Section 142 of the Atomic Energy Act of 1954, as amended.
- g. **Definition of Formerly Restricted Data.** The term Formerly Restricted Data, as used in this clause, means all data removed from the Restricted Data category under Section 142-d of the Atomic Energy Act of 1954, as amended.
- h. **Security Clearance Personnel.** The contractor may not permit any individual to have access to Restricted Data, Formerly Restricted Data, or other classified information, except in accordance with the Atomic Energy Act of 1954, as amended, and the Commission's regulations or requirements applicable to the particular type or category of classified information to which access is required. The contractor shall also execute a Standard Form 312, Classified Information Nondisclosure Agreement, when access to classified information is required.
- i. **Criminal Liabilities.** It is understood that disclosure of National Security Information, Restricted Data, and Formerly Restricted Data relating to the work or services ordered hereunder to any person not entitled to receive it, or failure to safeguard

any Restricted Data, Formerly Restricted Data, or any other classified matter that may come to the contractor or any person under the contractor's control in connection with work under this contract, may subject the contractor, its agents, employees, or subcontractors to criminal liability under the laws of the United States. (See the Atomic Energy Act of 1954, as amended, 42 U.S.C. 2011 et seq.; 18 U.S.C. 793 and 794; and Executive Order 12958.)

- j. **Subcontracts and Purchase Orders.** Except as otherwise authorized in writing by the contracting officer, the contractor shall insert provisions similar to the foregoing in all subcontracts and purchase orders under this contract.
- k. **In performing the delivery order work, the contractor shall classify all documents, material, and equipment originated or generated by the contractor in accordance with guidance issued by the Commission. Every subcontract and purchase order issued hereunder involving the origination or generation of classified documents, material, and equipment must provide that the subcontractor or supplier assign classification to all documents, material, and equipment in accordance with guidance furnished by the contractor.**
- l. **Site Access Badge Requirements.** During the life of this contract, the rights of ingress and egress for contractor personnel must be made available, as required, provided that a badge is issued after favorable adjudication from the Personnel Security Branch, Division of Facilities and Security (PERSEC/DFS). In this regard, all contractor personnel whose duties under this delivery order require their presence on-site shall be clearly identifiable by a distinctive badge furnished by the Government. The Project Officer shall assist the contractor in obtaining the badges for the contractor personnel. It is the sole responsibility of the contractor to ensure that each employee has a proper Government-issued identification/badge at all times. All prescribed identification must be immediately (no later than three days) delivered to PERSEC/DFS for cancellation or disposition upon the termination of employment of any contractor personnel. Contractor personnel must have this identification in their possession during on-site performance under this contract. It is the contractor's duty to assure that contractor personnel enter only those work areas necessary for performance of delivery order work, and to assure the safeguarding of any Government records or data that contractor personnel may come into contact with.
- m. **Security Requirements for Information Technology Services.** The proposer/contractor must identify all individuals and propose the level of Information Technology (IT) approval for each, using the following guidance. The NRC sponsoring office shall make the final determination of the level, if any, of IT approval required for all individuals working under this contract.

The Government shall have and exercise full and complete control over granting, denying, withholding, or terminating building access approvals for individuals performing work under this contract.

Contractor Security Requirements for Level I

Performance under this delivery order will involve prime contractor personnel, subcontractors or others who perform services requiring direct access to or operate agency sensitive information technology systems or data (IT Level I).

The IT Level I involves responsibility for the planning, direction, and implementation of a computer security program; major responsibility for the direction, planning, and design of a computer system, including hardware and software; or the capability to access a computer system during its operation or maintenance in such a way that could cause or that has a relatively high risk of causing grave damage; or the capability to realize a significant personal gain from computer access. Such contractor personnel shall be subject to the NRC contractor personnel security requirements of NRC Management Directive (MD) 12.3, Part I and will require a favorably adjudicated Limited Background Investigation (LBI).

A contractor employee shall not have access to NRC facilities, sensitive information technology systems or data until he/she is approved by Personnel Security Branch, Division of Facilities and Security (PERSEC/DFS) first for temporary access (based on a favorable adjudication of their security forms and checks) and final access (based on a favorably adjudicated LBI) in accordance with the procedures found in NRC MD 12.3, Part I. The individual will be subject to a reinvestigation every 10 years. Timely receipt of properly completed security applications is a delivery order requirement. Failure of the contractor to comply with this condition within the ten work-day period may be a basis to void the notice of selection. In that event, the Government may select another firm for award.

The contractor shall submit a completed security forms packet, including the SF-86, "Questionnaire for National Security Positions," and fingerprint charts, through the Project Officer to PERSEC/ DFS for review and favorable adjudication, prior to the individual performing work under this contract. The contractor shall assure that all forms are accurate, complete, and legible (except for Part 2 of the questionnaire, which is required to be completed in private and submitted by the individual to the contractor in a sealed envelope), as set forth in MD 12.3 which is incorporated into this delivery order by reference as though fully set forth herein. Based on PERSEC review of the applicant's security forms and/or the receipt of adverse information by NRC, the individual may be denied access to NRC facilities, sensitive information technology systems or data until a final determination is made of his/her eligibility under the provisions of MD 12.3. Any questions regarding the individual's eligibility for IT Level I approval will be resolved in accordance with the due process procedures set forth in MD 12.3 Exhibit 1 and E. O. 12968.

In accordance with NRCAR 2052.204-70 "Security," IT Level I contractors shall be subject to the attached NRC Form 187 which furnishes the basis for providing security requirements to prime contractors, subcontractors or others (e.g., bidders) who have or may have an NRC contractual relationship which requires access to or operation of agency sensitive information technology systems or remote development and/or analysis of sensitive information technology systems and data or other access to such systems and data; access on a continuing basis (in excess

of 30 days) to NRC Headquarters controlled buildings; or otherwise requires NRC photo identification or card-key badges.

Contractor Security Requirements for Level II

Performance under this delivery order will involve contractor personnel that develop and/or analyze sensitive information technology systems or data or otherwise have access to such systems and data (IT Level II).

The IT Level II involves responsibility for the planning, design, operation, or maintenance of a computer system and all other computer or IT positions. Such contractor personnel shall be subject to the NRC contractor personnel requirements of MD 12.3, Part I, which is hereby incorporated by reference and made a part of this delivery order as though fully set forth herein, and will require a favorably adjudicated Access National Agency Check with Inquiries (ANACI).

A contractor employee shall not have access to NRC facilities, sensitive information technology systems or data until he/she is approved by PERSEC/DFS first for temporary access (based on a favorable review of their security forms and checks) and final access (based on a favorably adjudicated ANACI) in accordance with the procedures found in MD 12.3, Part I. The individual will be subject to a reinvestigation every 10 years. Timely receipt of properly completed security applications is a delivery order requirement. Failure of the contractor to comply with this condition within the ten work-day period may be a basis to void the notice of selection. In that event, the Government may select another firm for award.

The contractor shall submit a completed security forms packet, including the SF-86, "Questionnaire for National Security Positions," and fingerprint charts, through the Project Officer to the NRC PERSEC/DFS for review and favorable adjudication, prior to the individual performing work under this contract. The contractor shall assure that all forms are accurate, complete, and legible (except for Part 2 of the questionnaire, which is required to be completed in private and submitted by the individual to the contractor in a sealed envelope), as set forth in MD 12.3. Based on PERSEC review of the applicant's security forms and/or the receipt of adverse information by NRC, the individual may be denied access to NRC facilities, sensitive information technology systems or data until a final determination is made of his/her eligibility under the provisions of MD 12.3. Any questions regarding the individual's eligibility for IT Level II approval will be resolved in accordance with the due process procedures set forth in MD 12.3 Exhibit 1 and E. O. 12968.

In accordance with NRCAR 2052.204-70 "Security," IT Level II contractors shall be subject to the attached NRC Form 187 which furnishes the basis for providing security requirements to prime contractors, subcontractors or others (e.g. bidders) who have or may have an NRC contractual relationship which requires access to or operation of agency sensitive information technology systems or remote development and/or analysis of sensitive information technology systems and data or other access to such systems and data; access on a continuing basis (in excess of 30 days) to NRC Headquarters controlled buildings; or otherwise requires NRC photo identification or card-key badges.

- n. **Cancellation or Termination of IT Access/Request.** When a request for investigation is to be withdrawn or canceled, the contractor shall immediately notify the Project Officer by telephone in order that he/she will contact the PERSEC/DFS so that the investigation may be promptly discontinued. The notification shall contain the full name of the individual, and the date of the request. Telephone notifications must be promptly confirmed in writing to the Project Officer who will forward the confirmation to the PERSEC/DFS. Additionally, PERSEC/DFS must be immediately notified when an individual no longer requires access to NRC sensitive automated information technology systems or data, including the voluntary or involuntary separation of employment of an individual who has been approved for or is being processed for access under the NRC Personnel Security Program.

5. Billing Instructions for Delivery Order No. 1

General: The contractor shall prepare vouchers or invoices as prescribed herein. **FAILURE TO SUBMIT VOUCHERS/INVOICES IN ACCORDANCE WITH THESE INSTRUCTIONS WILL RESULT IN REJECTION OF THE VOUCHER/INVOICES AS IMPROPER.**

Form: Claims shall be submitted on the payee's letterhead, voucher/invoices, or on the Government's Standard Form 1034, "Public Voucher for Purchases and Services Other than Personal," and Standard Form 1035, "Public Voucher for Purchases Other than Personal--Continuation Sheet." These forms are available from the U.S. Government Printing Office, 710 North Capitol Street, Washington, DC 20401.

Number of Copies: An original and three copies shall be submitted. Failure to submit all the required copies will result in rejection of the voucher/invoice as improper.

Designated Agency Billing Office: Vouchers/Invoices shall be submitted to the following address:

U.S. Nuclear Regulatory Commission
Division of Contracts and Property Management - T-7-I-2
Washington, DC 20555-0001

A copy of any invoice which includes a purchase of property valued at the time of purchase at \$5,000 or more, shall additionally be sent to:

Chief, Property Management Branch
Division of Facilities and Property Management
Mail Stop - T-7-D-27
Washington, DC 20555-0001

HAND-DELIVERY OF VOUCHERS/INVOICES IS DISCOURAGED AND WILL NOT EXPEDITE PROCESSING BY THE NRC. However, should you choose to deliver vouchers/invoices by hand, including delivery by any express mail service or special delivery service which uses a courier or other person to deliver the vouchers/invoices in person to the NRC, such vouchers/invoices must be addressed to the above Designated Agency Billing Office and will only be accepted at the following location:

U.S. Nuclear Regulatory Commission
One White Flint North - Mail Room
11555 Rockville Pike
Rockville, MD 20852

HAND-CARRIED SUBMISSIONS WILL NOT BE ACCEPTED AT OTHER THAN THE ABOVE ADDRESS

Note that the official receipt date for hand-delivered vouchers/invoices will be the date it is received by the official agency billing office in the Division of Contracts.

Agency Payment Office: U.S. Nuclear Regulatory Commission
Division of Accounting and Finance GOV/COMM
Mail Stop T-9H4
Washington, DC 20555

Frequency: The contractor shall submit a voucher or invoice monthly only after the NRC's acceptance of services rendered or products delivered in performance of the delivery order unless otherwise specified in the contract.

Preparation and Itemization of the Voucher/Invoice: To be considered a proper voucher/invoice, all of the following elements must be included:

1. BPA/Contract number and delivery order number.
2. Sequential voucher/invoice number.
3. Date of voucher/invoice.
4. Payee's name and address. (Show the name of the contractor and its correct address. In addition, when an assignment of funds has been made by the contractor, or a different payee has been designated, include the name and address of the payee). Indicate the name and telephone number of the individual responsible for answering questions which the NRC may have regarding the voucher/invoice.
5. Description of articles or services, quantity, unit price, total amount, and cumulative amount.

For labor-hour delivery orders with a ceiling, provide a breakdown by task of labor hours by labor category, hours, fixed rate, current period dollars, and cumulative hours and dollars billed to date as authorized under the delivery order. For example:

<u>Category</u>	<u>Current Hours</u>	<u>Fixed Rate</u>	<u>Current Total Billed</u>	<u>Cumulative Hours</u>	<u>Cumulative Total Billed</u>
Sr. Scientist	100	35.00	\$3,500.	500	\$17,500.
Engineer	100	25.00	2,500.	100	2,500.
Total			\$6,000.		\$20,000.

Invoices for the DPC order shall be broken down by task. You must also provide a consolidated summary (cover sheet) of the total amount billed inclusive of all tasks. The summary must contain the cumulative amount invoiced to date.

6. For contractor acquired property list each item purchased costing \$50,000 or more and having a life expectancy of more than 1 year and provide: (1) an item description, (2) manufacturer, (3) model number, (4) serial number, (5) acquisition cost, (6) date of purchase, and (7) a copy of the purchasing document.
7. Weight and zone of shipment, if shipped by parcel post.
8. Charges for freight or express shipments. Attach prepaid bill if shipped by freight or express.
9. Instructions to consignee to notify the Contracting Officer of receipt of shipment.
10. Travel Reimbursement (if applicable)

The contractor shall submit claims for travel reimbursement as a separate item on its fixed-price invoice/voucher in accordance with the following:

Travel reimbursement. Total costs associated with each trip must be shown in the following format:

<u>Start Date</u>	<u>Destination</u>	<u>Costs</u>
From:	From:	
To:	To:	\$

Provide supporting documentation (receipts) for travel expenditures in excess of \$75.00 in an attachment to the invoice/voucher.

Billing of Cost After Expiration of Order: If costs are incurred during the delivery order period and claimed after the order has expired, the period during which these costs were incurred must be cited. To be considered a proper expiration voucher/invoice, the contractor shall clearly mark it "EXPIRATION VOUCHER" or "EXPIRATION INVOICE."

Currency: Billings may be expressed in the currency normally used by the contractor in maintaining his accounting records and payments will be made in that currency. However, the U.S. dollar equivalent for all vouchers/invoices paid under the order may not exceed the total U.S. dollars authorized under the order.

Supersession: These instructions supersede any previous billing instructions.

6. Customer Satisfaction Requirements

The Contractor is required to perform the effort described in this statement of work in a manner that is satisfactory to the NRC and that will ensure program success. The Performance Evaluation Plan attached to the SOW identifies the areas in which performance is critical to the success of this effort and the satisfaction of the NRC as a client, and indicates the manner in which performance will be rated.

Customer satisfaction under this order will be assessed by the NRC Project Officer on a quarterly basis as it relates to each of the areas in the Performance Evaluation Plan. The NRC PO will complete the Performance Evaluation Report to provide a rating recommendation to the CO (with a copy to the Contractor) for action. A deduction of 1 percent of the total quarterly order billing will be taken for each rating of "unsatisfactory" on the Performance Evaluation Report for up to a total deduction of 9 percent. The Contractor shall address ratings of "poor" and "unsatisfactory" in writing within 30 days of receiving a copy of the report and describe the means for improvement in any area receiving these ratings. Customer satisfaction in relation to all critical areas shall be discussed at each monthly status meeting.

7. Project Officer

The Contracting Officer's authorized technical representative hereinafter referred to as the project officer for this order is:

Name: *

Address: U.S. Nuclear Regulatory Commission
Mailstop
Washington, DC 20555

Telephone Number: (301) 415-*

- a. Performance of the work under this order is subject to the technical direction of the NRC project officer. The term "technical direction" is defined to include the following:
 1. Technical direction to the contractor which shifts work emphasis between areas of work or tasks, authorizes travel which was unanticipated in the Schedule (i.e., travel not contemplated in the Statement of Work or changes to specific travel identified in the Statement of Work), fills in details, or otherwise serves to accomplish the contractual statement of work.
 2. Provide advice and guidance to the contractor in the preparation of drawings, specifications, or technical portions of the work description.
 3. Review and, where required by the order, approval of technical reports, drawings, specifications, and technical information to be delivered by the contractor to the Government under the order.

- b. Technical direction must be within the general statement of work stated in the order. The project officer does not have the authority to and may not issue any technical direction which:
1. Constitutes an assignment of work outside the general scope of the order or associated BPA.
 2. Constitutes a change as defined in the "Changes" clause of the GSA contract.
 3. In any way causes an increase or decrease in the total fixed price or the time required for performance of any orders.
 4. Changes any of the expressed terms, conditions, or specifications of the order or associated BPA.
 5. Terminates the order, settles any claim or dispute arising under the order, or issues any unilateral directive whatever.
- c. All technical directions must be issued in writing by the project officer or must be confirmed by the project officer in writing within ten (10) working days after verbal issuance. A copy of the written direction must be furnished to the CO. A copy of NRC Form 445, Request for Approval of Official Foreign Travel, which has received final approval from the NRC must be furnished to the CO.
- d. The contractor shall proceed promptly with the performance of technical directions duly issued by the project officer in the manner prescribed by this clause and within the project officer's authority under the provisions of this clause.
- e. If, in the opinion of the contractor, any instruction or direction issued by the project officer is within one of the categories as defined in paragraph (c) of this section, the contractor may not proceed but shall notify the CO in writing within five (5) working days after the receipt of any instruction or direction and shall request the CO to modify the order or associated BPA accordingly. Upon receiving the notification from the contractor, the CO shall issue an appropriate modification or advise the contractor in writing that, in the CO's opinion, the technical direction is within the scope of this article and does not constitute a change under the "Changes" clause.
- f. Any unauthorized commitment or direction issued by the project officer may result in an unnecessary delay in the contractor's performance and may even result in the contractor expending funds for unallowable costs under the order or associated BPA.
- g. A failure of the parties to agree upon the nature of the instruction or direction or upon the contract action to be taken with respect thereto is subject to 52.233-1 - Disputes.
- h. In addition to providing technical direction as defined in paragraph (b) of the section, the project officer shall:
1. Monitor the contractor's technical progress, including surveillance and assessment of performance, and recommend to the CO changes in requirements.

2. Assist the contractor in the resolution of technical problems encountered during performance.
3. Review all costs requested for reimbursement by the contractor and submit to the CO recommendations for approval, disapproval, or suspension of payment for supplies and services required under orders.
4. Assist the contractor in obtaining the badges for the contractor personnel.
5. Immediately notify the Personnel Security Branch, Division of Facilities and Security (PERSEC/DFS) (via e-mail) when a contractor employee no longer requires access authorization and return the individual's badge to PERSEC/DFS within three days after their termination.

8. Period of Performance

This order shall be effective for two years, from * through *.

9. Consideration and Obligation

The total estimated amount (ceiling) of this order is \$*

The amount presently obligated with respect to this order is \$*. The Contracting Officer may increase this amount from time to time by unilateral modification to the order. The obligated amount shall, at no time, exceed the order ceiling. When and if the amount(s) paid and payable to the Contractor hereunder shall equal the obligated amount, the Contractor shall not be obligated to continue performance of the work unless and until the Contracting Officer shall increase the amount obligated. Any work undertaken by the Contractor in excess of the obligated amount specified above is done so at the Contractor's sole risk.

It is estimated that the amount currently allotted will cover performance of the effort through *

10. FAR 52.232-7, "Payments under Time-and-Material and Labor-Hour Contracts"

FAR 52.232-7 is applicable and hereby incorporated into this order.

*To be completed at award.

**Contract Deliverables
Order No. 1**

Deliverable	Delivery Requirement	Delivery Point and Copy Requirements
Updated ADAMS Document Processing Center Standard Operating Procedures	Six (6) Months After Order Start Date	NRC Project Officer: 2 copies Contracting Officer: 1 copy
Changes to ADAMS Document Processing Center Standard Operating Procedures	Thirty (30) Days After NRC Project Officer Approves Change	NRC Project Officer: 2 copies
List of Government Furnished Equipment (GFE)	Annually or at NRC Project Officer Direction	NRC Project Officer: 2 copies Contracting Officer: 1 copy
Daily Production Indicators Report	Each Morning by 10:00 am	NRC Project Officer: 2 copies
Monthly Progress Report	15 th of Each Month (for previous month)	NRC Project Officer: 2 copies Contracting Officer: 1 copy
Final Transition Plan	5 Work Days After Order Award	NRC Project Officer: 2 copies Contracting Officer: 1 copy
QA Program Plan	15 Work Days After Order Award	NRC Project Officer: 2 copies

Customer Satisfaction Requirements (Proposed)

The Contractor is required to perform the effort described in the statement of work in a manner that is satisfactory to the NRC and that will ensure program success. The Performance Evaluation Plan below identifies the areas in which performance is critical to the success of this effort and the satisfaction of the NRC as a client, and indicates the manner in which customer satisfaction will be rated.

Performance Evaluation Plan (Proposed)

<p><u>Timeliness</u></p> <ul style="list-style-type: none"> -Reports shall be delivered on time, in accordance with the schedule -documents shall be processed within the time indicated under each task -Response to technical direction must be within the time indicated by the NRC PO -Problems must be resolved within the time agreed upon by the NRC PO 	<p><u>Quality</u></p> <ul style="list-style-type: none"> -Reports shall contain accurate information -Effort shall be performed by qualified contractor personnel with minimal interruption in services to NRC staff -Problems shall be identified and resolved efficiently -Solutions are effective 	<p><u>Management</u></p> <ul style="list-style-type: none"> -Management shall effectively plan, schedule, and monitor the effort -Administrative issues shall be addressed within the time requested -Administrative issues shall be addressed in a cooperative manner -Communication shall be clear, productive, and timely -Effective small/small disadvantaged business subcontracting program -Cost estimates are accurate -Effort is being performed within budget -Current, accurate, and complete billings
<p>Excellent</p> <p>Services and deliverables are provided in accordance with the schedule</p>	<p>There are no quality problems</p>	<p>Response to inquiries, technical/service/administrative issues is effective and responsive</p>
<p>Good</p> <p>Delays are anticipated, promptly brought to the attention of the NRC PO and do not impact achievement of delivery order objectives</p>	<p>Quality does not impact achievement of delivery order objective</p>	<p>Response to inquiries, technical/service/administrative issues is usually effective and responsive</p>

Poor Delays require major Agency resources to ensure achievement of delivery order objectives	Poor quality requires major Agency resources to ensure achievement of delivery order objectives	Response to inquiries, technical/service/administrative issues is marginally effective and responsive Cost issues require major Agency resources to ensure achievement of delivery order objectives
Unsatisfactory Delays are compromising the achievement of delivery order objectives	Unsatisfactory quality compromises the achievement of delivery order objectives despite use of Agency resources	Response to inquiries, technical/service/administrative issues is not effective and responsive Cost issues are compromising performance of delivery order objectives

Customer satisfaction under this order will be assessed by the NRC Project Officer on a quarterly basis as it relates to each of the areas in the Performance Evaluation Plan. The NRC PO will complete a Performance Evaluation Report (provided below) to provide a rating recommendation to the CO (with a copy to the Contractor) for action. A deduction of 1 percent of the total quarterly order billing will be taken for each rating of "unsatisfactory" on the Performance Evaluation Report (see below) under the order for up to a total deduction of 9 percent. The Contractor shall address ratings of "poor" in writing within 30 days of receiving a copy of the survey and describe the means for improving in any area receiving a rating of "poor." Customer satisfaction in relation to all critical areas shall be discussed at each monthly status meeting.

Performance Evaluation Report (Proposed)

TIMELINESS					
Factors/Ratings	Excellent	Good	Poor	Unsatisfactory	Not Applicable
1. Completion of tasks, milestones, and deliverables/reports on schedule					
2. Responsive to technical direction					
3. Ability to identify and solve problems expeditiously					
QUALITY					
4. Technical performance, accuracy of reports					
MANAGEMENT					
5. Effective management of the effort					
6. Cooperative and responsive to administrative issues					
7. Effective and timely communication					
8. Accuracy of cost estimates and ability to control costs					
9. Effective planning, scheduling, and monitoring					

Draft

ADAMS Document Processing Center

Standard Operating Procedures

Version 2.0

Release Date: June 2001

Prepared Under TAC: C90224

Prepared by

COMPUTER SCIENCES CORPORATION

Federal Sector, Civil Group

15245 Shady Grove Road

Rockville, MD 20850

Prepared for

CISSCO Program

**Applications Development Division
Office of the Chief Information Officer
U.S. Nuclear Regulatory Commission
Washington, D.C. 20555-0001**

Under

FEDSIM Contract Number: GS00K96AJD0012

Task Order: K0096AJ9611

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1. INTRODUCTION

1.1 Background

The United States Nuclear Regulatory Commission (NRC) receives paper and electronic documents (from both the U.S. Postal Service and commercial delivery services) at several locations in NRC Headquarters and in each of the Regional offices. The volume and types of documents received vary at each location. As part of the Agencywide Documents Access and Management System (ADAMS), a Document Intake and Capture System converts paper documents received at the NRC into an electronic format. The electronic documents are stored in the appropriate ADAMS libraries and made available to authorized NRC staff.

The Document Processing Center (DPC) is the focal point for ADAMS entry of hard copy (paper) and soft copy (electronic) documents and related materials that originate inside and outside the Agency.

1.2 Objective

The objective of this document is to describe DPC functions and tasks related to preparing and processing documents and other materials for entry into an ADAMS library.

1.3 Scope

This document addresses activities of personnel working in the Headquarters Document Processing Center. It does not cover activities at Auxiliary Document Processing Centers, Regional Central Document Processing Centers, or local walk-up stations.

1.3.1 Identification

This document is accurate for Release 2.3 of ADAMS.

1.3.2 System Overview

As the NRC's new electronic record system, ADAMS reduces the need to maintain paper-based record collections. Developed at the request of the NRC's Office of the Chief Information Officer (OCIO) for use by NRC staff, ADAMS also allows the staff to search its electronic document repository, including the Legacy Library, from their workstations. The Legacy Library contains data records and microfilm addresses migrated from the Nuclear Documents System (NUDOCS).

The Official Agency Records (OARs) in ADAMS are stored in five electronic libraries. All NRC employees (end users) who have access to the NRC network have access to two of these: the Main Library and the Legacy Library. A smaller subset of end users, designated by an Office Director, has access to the three sensitive libraries.

The mission and function of the Headquarters Central DPC, under the control and guidance of the NRC's Information Management Division (IMD) of OCIO, is to capture internally- and externally-generated paper and electronic documents to become OARs in ADAMS. This

includes creating bit-map image files of documents, performing Optical Character Recognition (OCR), adding image and text files to ADAMS, creating the ADAMS document profile, and performing quality control functions on images. The DPC sends electronic notification of documents processed through ADAMS to the appropriate office or staff.

Before a document is added to ADAMS, a local Windows NT folder scheme is employed to manage documents during the scan and image inspection functions. This folder scheme acts as a set of manual work queues, keeping track of both the work in progress and the work completed. DPC personnel must be careful to follow the scheme for selecting documents from folders, moving them, and deleting them when they are finished with their work. This folder scheme provides a front-end "assembly line" operation in the DPC for putting documents into ADAMS.

1.4 Assumptions

It is assumed that all ADAMS DPC personnel have working knowledge of Windows NT and GroupWise 5.5. It is also assumed that all DPC personnel can access a common network drive to pass processed documents along after completion of each step.

1.5 Applicable Documents

The following publications contain related information:

- *ADAMS Desk Reference Guide - OCIO, (IMD), March 3, 2000.*
- *ADAMS Document Capture and Intake Project Definition and Analysis Document, Version 2, Revision 1. August 3, 1999.*
- *ADAMS Policy and Procedure Handbook, Revision 1, DRAFT. July 1, 1999.*
- *ADAMS Requirements Specification (1998-0287). August 17, 1998.*
- *ADAMS User Guide - End User, Release 1.1, Revision 1. June 25, 1999.*
- *ADAMS User Guide - End User, Release 2.1, Revision 2. October 8, 1999.*
- *ADAMS User Guide - End User, Release 2.2, Draft 2. October 6, 1999.*
- *Concept of Operations for the Agencywide Documents Access and Management System (ADAMS), Revision 1, June 1, 1998.*
- *Profile Relationships Analysis for the ADAMS Production System. May 28, 1999*
- *System Development and Life-cycle Management (SDLCM) Methodology Handbook, Version 2.2, December 1999.*
- *System Development and Life-cycle Management (SDLCM) Methodology Procedures, Standards, and Forms, Version 1.2, December 1999, Standard S-6051.*

2.0 SOFTWARE SUMMARY

In conjunction with document scanners, various imaging software packages convert paper documents into Tagged Image File Format (TIFF) files and an OCR is performed on the .tiff file to create American Standard Code Information Interchange (ASCII) text files. The exclusive purpose of ASCII text is to provide the ability to search the content of document files.

2.1 Software Organization and Overview of Operation

In order to follow the procedures stated in this document, DPC workstations must be configured as follows:

- Windows NT Operating System
- Scanner software (Watermark, HP Laser Jet, CAD Image)
- OCR software
- ADAMS Document Manager and ADAMS Viewer
- Novell GroupWise messaging (e-mail)
- Connectivity to NRC local area network (LAN) and ADAMS libraries with appropriate access level
- Microsoft Structured Query Language (SQL), Server file transfer protocol (FTP) tools.

The DPC operation is essentially a linear one, where incoming materials (documents, objects, and electronic files) are prepared for entry and processing into an ADAMS library. With the exception of the initial manual step (document preparation), the output from each step is passed to the next station for further processing in the Windows NT Explorer or ADAMS environment.

Specific performance characteristics of software packages are described elsewhere in documentation accompanying those packages.

2.2 Contingencies and Alternate States and Modes of Operation

DPC personnel should comply with troubleshooting guides accompanying the hardware and software. If problems persist or appear to relate to the operating system, network, or messaging (e-mail), contact the NRC Help Desk at 301-415-1234.

2.3 Security and Privacy

See the ADAMS Security Plan, release date December 16, 1998.

2.4 Assistance and Problem Reporting

For general ADAMS software problems, contact the NRC Help Desk at 301-415-1234.

The DPC scanner technicians are trained to respond to minor problems that result from normal operation such as paper jamming, cleaning rollers, releasing paper, etc. In addition, all production scanners and their attendant software have service agreements to provide maintenance support at all levels. Serious problems are reported immediately to the supervisor authorized to contact a maintenance technician.

3.0 ACCESS TO THE HARDWARE AND SOFTWARE

3.1 First-Time Users of the Hardware and Software

Users must complete a formal ADAMS orientation session and be familiar with the general concepts of ADAMS, as well as Windows NT and NRC LAN environments.

Additionally, scanner users must be familiar with the operation and features of both the high-speed scanner and the large-format scanner, as well as the attendant software.

3.2 Initiating a Session

3.2.1 General

If the workstation is attached to a scanner, power up the scanner first, followed by the PC workstation. Log onto the NRC LAN.

Conduct performance/maintenance checks (including any hardware counters for scheduled maintenance, such as the Fujitsu abrasion counter) and execute any necessary pre-operation test scans or other recommended activities in accordance with hardware operator manuals:

- Fujitsu Model 3099 EX/GX High Volume Scanner
- CalComp ScanPlus III Wide Format Scanner Model 610C.

3.2.2 Connect to ADAMS

This procedure applies to all DPC personnel performing scanning and subsequent processing.

From the taskbar on the Windows NT desktop (Figure 3-1), select **Start | ADAMS | ADAMS Document Manager**.



Figure 3-1. Windows NT Desktop.

The ADAMS FileNET logon dialog box will appear (Figure 3-2).

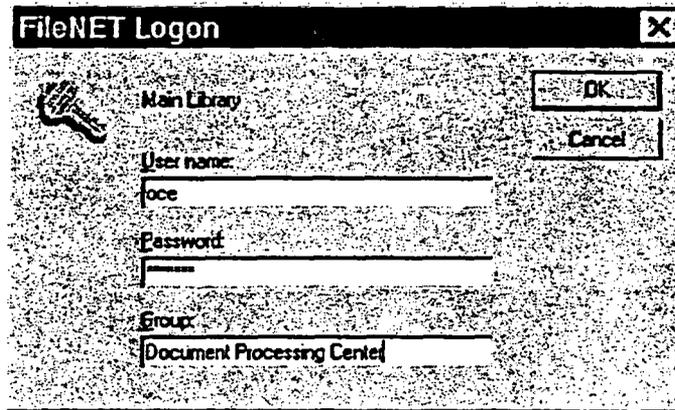


Figure 3-2. FileNET Logon.

Logon with your user name and password. Make sure the Group field contains Document Processing Center.

Upon successful logon, the ADAMS Document Manager window will appear (Figure 3-3).

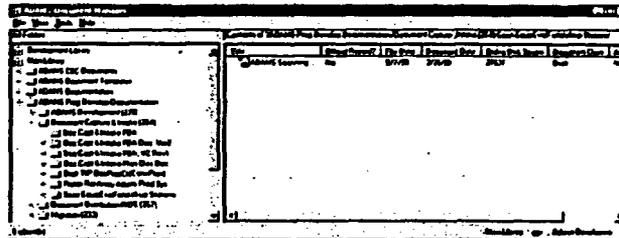


Figure 3-3. ADAMS Document Manager.

3.3 Stopping and Suspending Work

Close ADAMS by clicking on **File | Exit** in the ADAMS Document Manager menu bar.

Stop and suspend work in accordance with specific hardware and software operator and user manuals. This includes manually powering down equipment as appropriate, unless instructions call for or recommend an automatic / programmed sleep mode (e.g., HP5Si printers).

If work suspension is prompted by an error message, note the message by the heading or a specified error number, if it gives you the option. Also note the option you have chosen.

4.0 DOCUMENT RECEIPT AND PREPARATION

Paper documents (and occasional compact disks (CD's)) are initially submitted to the Document Receipt and Preparation (DRP) area within the DPC for processing into ADAMS. This is accomplished by DPC staff performing six pick-up / drop-off runs each work day to transport documents among the DPC and the NRC's Document Control Desk (DCD), the NRC File Center, and the NRC's Office of the Secretary (SECY). Upon receipt, each document is assigned the appropriate distribution code, which is only required for Expedite (Priority) and Normal (Routine) documents. Documents are prepared for scanning by removing staples, bindings, etc., and adding scan cover or package divider sheets that carry specific document instructions.

4.1 Conventions

Examples of cover and divider sheets are shown in Appendix B.

DRP staff determine and assign document file names. The names are based on the type of action required to process each document effectively. Each filename is assigned in a consecutively numbered sequence, which provides a controlled vehicle for tracking documents through the various DPC processing stages. Understanding these designations affects the way documents are scanned, inspected, profiled, and distributed. While the electronic file naming of documents does not actually occur until the scanning stage, it is necessary for the DPC to establish file names prior to scanning. This process assists in the tracking and efficient handling of all hard copy documents throughout the DPC stations.

The original file name, which is assigned and entered into ADAMS for each document, becomes a permanent part of each document profile. This original file name is a searchable field in ADAMS that plays an important role at the DPC, as documents occasionally become lost in ADAMS due to a variety of reasons, and the only way to relocate them is through a search of the original file name. In addition, this provides a means by which documents being researched can immediately be identified as having been or not been processed through the DPC.

Different file naming conventions are used to distinguish specific document prioritization and processing methods. Effective document processing, by type, is supported by having specific drop-off and pick-up points designated within the Scanning and Image Inspection teams.

4.1.1 Document Prefixes

Document prefixes follow the major document types. The term 'document type' refers to the composition of the document, not its office of origin or its particular composition.

Description of Document Flows:

Normal (Routine) Documents - Required to be processed within 8 hours of receipt.

Expedite (Priority) Documents - Required to be processed within 6 hours of receipt.

Complex Documents - Paper documents submitted for entry into ADAMS, to be packaged with other documents already in ADAMS. These are typically documents submitted by NRC staff to the DPC under the *ADAMS Document Submission form 665*. The form is

scanned and accompanies the respective document through the various DPC task areas, because it contains specific instructions needed to process the document.

Retrofit Documents - Documents created prior to the inception of ADAMS. This is a separate flow of documents that is tracked independent of all current flow documents.

Scan Only Documents - Documents processed into ADAMS only to the draft profile stage. The paper document is returned to the NRC employee who submitted the document request for follow-on processing.

Non Public - This is a designation for documents stored in ADAMS that may be accessed by NRC staff only.

The following table shows examples of prefixes used within the DPC.

SAMPLE PREFIXES				
Document Type	Sample File Name	Letters	Notes	Forms
Expedite (Priority)	P117061	P	Documents to be expedited (within 6 hours). This classification is reserved for documents with distribution codes: ADM02, NMSS06, YE03 & OIP02.	DPC-022_Priority
Expedite (Priority) Non-public	XP117061	XP	Designates expedite (priority) documents that are not part of the public domain.	DPC-022_Priority; (DPC-031_PROP signals private or proprietary information)
Normal (Routine)	R117061	R	Documents to be processed within eight hours.	DPC-023_Routine
Normal (Routine) Non-public	XR117061	XR	Designates normal (routine) documents that are not part of the public domain.	DPC-023_Routine; (DPC-031_PROP signals private or proprietary information)
Complex	C117061	C	Paper document submitted for adding to ADAMS, commonly packaged with an already existing ADAMS document.	DPC-021_Complex
Complex Non-Public	XC117061	XC	Designates complex documents that are not part of the public domain.	DPC-021_Complex; (DPC-031_PROP signals private or proprietary information)

Document Type	Sample File Name	Letters	Notes	Forms
Retrofit	X117061	X	Pre-ADAMS existing documents that have been submitted for processing into ADAMS.	DPC-024_Retrofit
Retrofit Non-Public	XX117061	XX	Designates retrofit documents that are not part of the public domain.	DPC-024_Retrofit; (DPC-031_PROP signals private or proprietary information)
Scan Only	S117061	S	Documents that are scanned, image inspected, OCR'd (text file created) and added to ADAMS in "draft" form only. Paper is returned to the submitter.	DPC-025_SCAN_OCR

4.1.2 Document Suffixes

Document suffixes designate different varieties of documents received. The following describes characteristics of documents to be processed into ADAMS.

Package - A single collection of two or more documents, each having a separate accession number. A package is issued a preliminary separate scan number (e.g., R123456), which is entered into ADAMS as the package title at the Image Inspection stage. Each document contained within this package will be assigned a suffix to the package root number (e.g., R123456-01, R123456-02, etc.), which will be used as original file names for the document image files when they are scanned.

Oversize Documents - Pages that are larger than 11" x 17" are pulled from the parent (8½" x 11") document and replaced with a placeholder target, which displays the exact title of the oversized page. The Oversize Document page is scanned as a single image file and is processed into ADAMS under its own Accession Number, which will be packaged with the parent document to which it belongs.

Color Documents - Documents that contain one or more pages requiring color scanning for comprehension. Black and white documents containing color pages are initially scanned as one complete bitonal (black & white) image file. Color pages are then scanned independently to form single image color files, which are ultimately merged into the parent image file in place of the respective bitonal images by the Image Inspection staff. These single color image files have no accession number, since they are ultimately merged into the parent document image file prior to being added to ADAMS.

Simplex or Duplex - Although this category is not reflected in the chart below, it affects the process requirements. 'Simplex' means single sided page to be processed. 'Duplex' means text on both sides of a page.

Do Not Scan - Any document page(s) with conditions or obstacles that would inhibit proper scanning will carry this cover to ensure that they are not scanned. Typically, the Doc Prep staff would create a photocopy of the page(s) to be scanned in place of the

problem page(s). If photocopying is not possible, a target page describing the page(s) or object, along with an explanation, is created and scanned in its place.

The following table shows example suffixes and the associated DPC forms.

SAMPLE SUFFIXES				
Document Type	Title	File Name	Notes	Forms
Single	P117061	P117061	Single Document	DPC-028_Pack_Div
Package	P117062		Folder in ADAMS	N/A - Folder is electronic directory, only created for packages.
Document	P117062-01	P117062-01.tif	doc 1 of package	DPC-028_Pack_Div - if stand alone Document.
Document 2 nd Part	P117062-02	P117062-02.tif	doc 2 of package	Uses DPC-023_Routine or DPC-022_Priority, etc., with the identical number of the mother document but with the section extension (-02).
Color	P117062-02-C1	P117062-02-C1.tif	color w/ doc 2.	N/A - "Color" just written on top target and the number of color documents to be scanned
Oversize	P117062-02-D1	P117062-02-O1.tif	oversize w/ doc2	DPC-026_Oversize;
Document - END	P117062-03X	P117062-03.tif	"X" indicates the last document in the package.	DPC-028_Pack_Div

4.2 Processing Procedures – Document Receipt and Preparation

These steps are to ensure that document paper copies are in a physical condition ready to be fed through the scanning device. This ready condition includes proper completion and insertion of all cover sheets and targets, with special instructions.

4.2.1 Distribution Procedures

The document preparation process begins by sorting the documents into the Expedite (Priority), Normal (Routine), Complex, and Scan / OCR Only in-baskets.

Note: Retrofit documents are imported from a segregated collection maintained exclusively in the NRC File Center.

The distribution process continues as follows:

1. Determine the distribution code (Expedite (Priority) and Normal (Routine) documents only) and write it on the first page of the document, on the lower right corner, in blue or black ink. Document distribution codes are selected based on document content, matched to the definition (using keyword search) in the ADAMS Distribution Codes Listing table. In document package situations, the distribution code is written only on the first page of the first document within the package. A document package generally contains a forwarding document and one or more enclosures.
2. Review the document to determine whether it is to be made public or non-public. Externally generated documents are assumed to be public unless clearly noted in the transmittal letter or accompanied by an affidavit indicating that it is non-public or proprietary. Internally generated NRC documents are assumed to be non-public unless the "copies to" portion of the document states either 'public' or 'PDR.' In cases where some documents in a package are public and some are non-public, the entire package is considered non-public.
3. Review the instructions for documents submitted under the NRC 665 form for completeness and accuracy. They MUST include the following: ADAMS Template Number, availability, document sensitivity, release date (if applicable), and document security / access level. In addition, ensure that the information was recorded in the proper area of the form. If any information is missing or is in question, contact the NRC staff member who submitted the document (listed at the top of the form). Be sure to record the specific "C" scan ID number at the upper right corner of the ADAMS Document Submission form, and always end it with "-X".
4. Attach the appropriate type of scan ID cover sheet (Priority, Routine, Complex, Scan / OCR or Retrofit), with a preassigned scan ID number printed on it, to the top of each document.

In package situations, after affixing a specifically-numbered scan ID cover sheet to the first document, insert a generic (no specific ID number but has a R, P, C, S or X prefix) scan cover sheet at the beginning of each document in the package. Blank cover sheets within packages will be filled in later by the document preparation person. Be sure to precede all prefixes on blank cover sheets with an "X" (i.e., XP, XR, XC, XS, or XX) if they are non-public.

5. Place a pink divider sheet at the end of each stand-alone document or package and bind each with a paper clip or rubber band, with the cover sheet on top.
6. Forward documents to the designated "ready for prep" processing area, keeping the documents segregated into specific (R, P, C S and X) groups.

4.2.2 Document Preparation Procedures

Once distribution codes and cover sheets and divider sheets are applied, the Document Preparation person selects documents from the "ready for prep" in-basket. This person proceeds to prepare the document(s) for scanning by doing the following:

1. Remove staples and ring binders, smooth creases, cut glued binders, create / insert oversize page placeholder targets, etc.
2. If the original document has curls, folds, tears, photographs, or a non-compatible size/weight, make a photocopy of the questionable pages. The originals that will not scan will remain in the document behind the photocopied version with "Do Not Scan Target" (DPC-030) affixed to the first "non-scannable" original page.

In the table below are some examples of items that may not successfully scan.

Non-compatible Document Conditions
Paper with clips
Paper with wet ink
Paper with unequal thickness (such as an envelope)
Paper with large rumples or curls
Paper with folds or tears
Tracing paper
Coated paper
Carbon paper
Carbonless paper
Paper smaller than 76 mm x 63 mm size or larger than A3
Items other than paper: clothes, metal foil, or OHP film
Photographic paper
Paper with notches on its side
Oddly shaped paper

3. For stand-alone documents, follow the steps below. Stand-alone documents are easily identified, as they will not have any other scan cover sheets inserted anywhere within the document.
 - 3a. Count the number of pages in the document and record on the cover sheet. Do not count the cover sheet at the beginning of the document or divider sheet at

the end. Documents with information on both sides of a page must have all pages double counted, regardless of whether all are double sided or not. For documents that contain duplex (double-sided) pages, circle YES adjacent to the "Double-Sided Pages?" query statement on the cover sheet. Otherwise, circle NO.

- 3b. If oversized pages exist, circle YES adjacent to the "Oversized Pages?" query statement on the cover sheet. Otherwise, circle NO. Count the number of oversized pages and record on the appropriate line on the cover sheet. Create and insert oversized placeholder sheets for each oversized page, specifically listing the oversized page's title. On the lower right corner of the first oversized page and corresponding placeholder target in a document, write "D-1." Repeat for every succeeding oversized page in the document, incrementing by one (i.e., D-2, D-3, etc.).
 - 3c. Insert PROP target between the scan cover sheet and the first page of the document for all documents identified as containing proprietary material.
 - 3d. In "large document" cases, where there may be hundreds of pages, divide the document into sections such that each part is approximately 200 pages in size. Every attempt should be made to create breakpoints where document sections or tabs exist, not in the middle of a paragraph or sentence, if at all possible. In these situations, follow the packaging instructions that follow.
4. For packages, use the procedures below. Packages are easily identified by the generic scan cover sheets (no specific ID number but has a R, P, C, S or X prefix) that were inserted between later pages.
- 4a. Add the extension (-01) to the unique Scan ID number listed on the first scan cover sheet (on top of the first document) in the package.
 - 4b. Count the number of pages in the first document and record on the cover sheet. (Exclude the cover page in the count, and remember to count all front and back pages for duplex documents.) Duplex documents must have all pages double counted, regardless whether all are double sided or not. For documents that contain double-sided pages, circle YES adjacent to the "Double-Sided Pages?" query statement on the cover sheet. Otherwise, circle NO.
 - 4c. If oversized pages exist, circle YES adjacent to the "Oversized Pages?" query statement on the cover sheet. Otherwise, circle NO. Count the number of oversized pages and record on the appropriate line on the cover sheet. Create and insert oversized placeholder sheets for each oversized page, specifically listing the oversized page's title. On the lower right corner of the first oversized page and corresponding placeholder target in a document, write "D-1." Repeat for every succeeding oversized page in the document, incrementing by one (i.e., D-2, D-3, etc.). If multiple documents contain oversized pages within a package, this numbering sequence should be restarted for each document.

- 4d. Repeat the preceding steps for each succeeding document within the package. Be sure to apply the appropriate extension to the Scan ID on the subsequent document's scan cover sheet in the package (i.e., -02, -03, etc.). Note that the last document Scan ID in the package must be truncated with an "X" (e.g., -03X).
 - 4e. Insert "PROP" target between the scan cover sheet and first page of the document for all documents identified as containing proprietary material.
 - 4f. Bind each document or package with a paper clip or rubber band, such that all pages stay intact until they are actually scanned.
5. When documents are completely prepped and ready for scanning, proceed to the scanning station and log each document into the corresponding scanning "Log In" sheet. Record the total number of image files to be created for each document (two or more for packages) and the total number of pages to be scanned. Place documents for scanning in the corresponding "Scan Ready" in-basket.

The Doc Prep Team Leader compiles the daily scanning logs and provides the total number of documents and pages delivered to the scanning activity for each document flow (R, P, C, and S) to the designated Production Control Coordinator.

4.2.2.1 Documents from Regional Offices

Procedures for processing documents submitted by NRC Regional Offices are basically the same as those followed for all other documents. The only difference is that the paper documents must be returned to the Regional office from which they were submitted. The specific Regional Office and submitting staff member will be noted on the "ADAMS Document Submission" form 665 that accompanies these documents. Return the documents by bundling all contents, affixing a label with name and region, and routing it to the DCD.

4.2.2.2 Physical Objects

Physical objects (non-scannable) received by the Document Processing Center are assumed to be accompanied by a document (such as a memo) with enough information to index the object. Follow the procedures below.

1. Tag objects with special handling cover sheets and, upon completion of processing, forward the package (including all accompanying physical objects) to the appropriate NRC File Center.
2. Insert a target sheet to note the removal of a tagged object with special handling cover sheet.
3. Process the rest of the document as normal.

4.2.2.3 Electronic Media (diskettes, CD, data tapes)

Occasionally, the DCD forwards documents containing document files, either whole or in part, on CD or diskettes. At the Doc Prep stage, the files are reviewed for size and compatibility with ADAMS and then, if possible, added to ADAMS.

Regardless of whether or not the files are added to ADAMS, add a note in the profile comment field (often of the document's forwarding letter) to indicate that files were received on CD and that copies were provided to the NRC Public Document Room and File Center. If diskettes are received, copies are not made. Only the original diskette is forwarded to the NRC File Center.

In the case of a CD, it is the responsibility of the DPC staff member performing distribution via the Electronic Regulatory Information Distribution System (E-RIDS) at the end of the DPC production line to affix a label on the paper distribution form that reads, "ATTENTION DCD. PLEASE CREATE AND PROVIDE COPIES OF ATTACHED CD TO ALL RECIPIENTS."

4.2.2.4 Rejected Document Handling

Documents and packages should be rejected for the following reasons:

- proprietary not flagged
- incomplete document or package
- missing document criteria (no issue date, etc.)
- other criteria as identified during preparation.

Contact the Document Control Desk for disposition instructions of rejected documents.

4.2.3 Paper Document Recompile

The paper copies of documents that have been scanned and image inspected are forwarded to the DPC Distribution Coordinator. Once the electronic distribution of a document has been completed, a paper distribution sheet, which lists recipients, is produced and attached to the top of the document. All pages contained in a document, including the distribution sheet, are bound (stapled, clipped, rubber-banded, returned to ring binder(s), etc.) for return to the NRC's DCD. As part of this action, all scan ID cover sheets and document divider sheets are removed. Recompiled documents are placed in a basket cart that is escorted by a DPC staff member to the DCD on a regular schedule.

4.2.4 Messages

Alert scanner operators (via a note on topmost package or document cover sheet) of identified potential problems with documents to be scanned, such as tears, holes, unusual document material properties (color, dimensions, shape, paper thickness, etc.), tape used to repair damage, etc.

4.3 Quick-Reference Guide

Not applicable to this section.

5.0 SCANNING AND QUALITY CONTROL

Paper documents that have been prepared for scanning are delivered to the designated "scan ready" holding area within the scanning section. Scan operators select and process documents through the scanning task area based on document flow type. DPC staff scan documents according to scanning procedures and any instructions that may exist on the submission form or on the scan cover and divider sheets. Electronic image files produced as a result of scanning are in a TIFF format and stored on a LAN drive that is accessible by the DPC staff. Scanned paper documents are delivered to the designated holding area within the Image Inspection section for further processing. Scan operators are responsible for performing a re-scan of documents identified as deficient, in part or in whole, by the image inspectors.

5.1 Capabilities

The scanner hardware, associated software and ADAMS functionality are all accessible via the Windows NT desktop. Upon completion of the scan process, which includes saving the image file output, the document is immediately available for Image Inspection.

5.2 Conventions

This document addresses the processes of converting various forms of NRC paper documents into TIFF formats. User guides referencing scanner hardware and commercial, off-the-shelf (COTS) software are available in the scanning task area.

5.3 Scan Processing Procedures

The scanner operators are responsible for general maintenance and operation of the scanners. They are required to produce tiff image files at a resolution of 300 dpi for black and white (bitonal) images and 150 dpi for color and grayscale images. Output image files are to be limited in size to 200 images for bitonal (100 images for color), which are saved to the appropriate folder on the DPC drives on the LAN and are accessible by Image Inspection staff for subsequent processing.

After scanning, the scanner operator performs an abbreviated QC of the image file to look for blank images, folded edges or clipped documents, etc. The operator enhances or re-scans the document where applicable. The completed file is saved to the appropriate folder.

Note: In performing the following steps, scanning can only be done one document at a time. Batch scanning of multiple documents is not presently available.

5.3.1 Production Scanner Procedures

Incoming documents are handled based on their different processing requirements. Documents prepped for scanning are placed in the corresponding "scan ready" basket. Documents are processed in the following order, (highest to lowest):

P	Expedite	Priority
C	Complex	Immediate Release
C	Complex	Normal
S	Scan / OCR, and	Routine
R	Normal	

Documents of the same types (all single sided or double sided) should be processed together in groups to minimize the need for constant settings changes. Smaller documents (fewer than 25 pages) should be processed first to avoid their delay through the rest of the DPC operations.

Follow the procedures below to scan a common document:

1. Always turn the scanner on first, then turn on the computer.
2. Log onto the NRC Network using your preassigned User ID login and password. At the Main Menu screen, click on the Start button, and select ADAMS I ADAMS Viewer. The ADAMS Viewer window will appear (Figure 5-1), with a series of menu items at the top. The ADAMS Viewer's Scan Menu selection is used to perform scan operations.

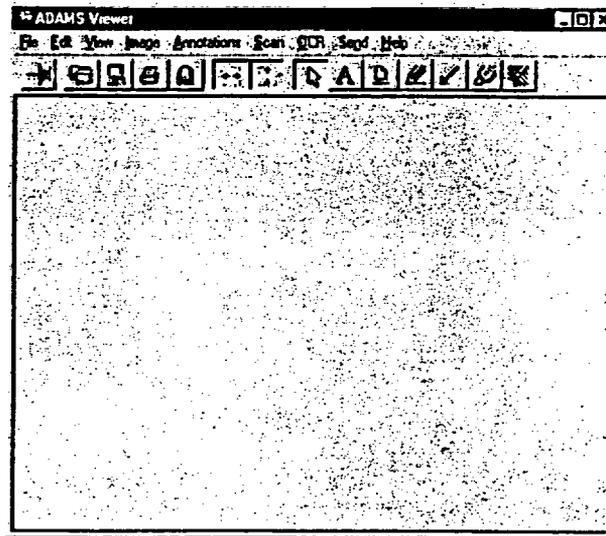


Figure 5-1. ADAMS Viewer.

3. Select a document from the tray of incoming documents.
4. Become familiar with the scanner by using the orientation guide on the scanner bin.

5. From the menu bar, select **Scan | Scan Setup** to make scanner adjustments (contrast, brightness, paper size, simplex vs. duplex, etc.). The Scanner Settings window will appear (Figure 5-2).
6. Set the page size to one of three modes; 8 ½ X 11; 8 ½ X 14; or 11 X 17, based on the actual dimensions of the pages to be scanned. Be sure the "Dots per inch" setting is always at 300.

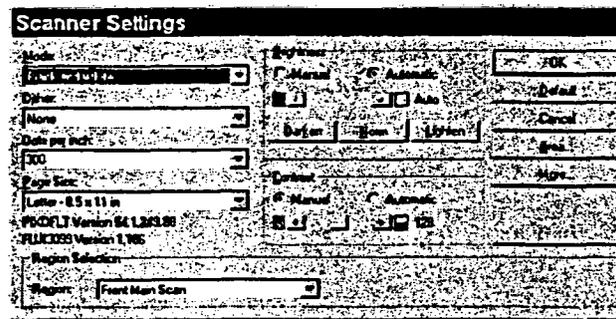


Figure 5-2. Scanner Settings.

Brightness settings should normally be locked on the "automatic" option. If scanning dark pages, adjust brightness toward "lighten," and to accommodate light pages, adjust brightness toward "darken." direction. When finished adjusting Scan Settings, click **OK**.

Remember: If the incoming hard copy material is a package consisting of several documents (as indicated on the cover sheet and as divided by separator sheets), you must scan each section as a single document.

7. The Scan Double-Sided dialog box will appear, with the following message: "This scanner supports automatic double-sided (duplex) scanning. Do you wish to enable duplex scanning?" Click the Enable Duplex Scanning check box to scan double-sided pages; or leave it unchecked for single-sided. Press **OK** when ready to proceed.

Note: Once you select simplex or duplex, the scanner continues in that mode until you change it through Scan Setting. It is better to scan several single-sided or double-sided documents in a row to reduce the need to change settings between documents.

8. Upon returning to the ADAMS Viewer screen, remove the paper clip from the document to be scanned and place it into the scanner's automatic document feeder (ADF) face up with the document footer at the front of the scanner. Select **Scan | Scan** from the ADAMS Viewer tool bar. The scanning will continue until all pages have been fed.

If the scanner process fails, check the document feeder for a mis-feed. Return the questionable pages to the top of the remaining portion of document to be scanned. Select **Scan | Scan** from the ADAMS viewer again (Figure 5-1), being sure to click on **NO** at the "Scan into a new document ('No' to scan into the current document)?" window prompt.

Once complete, the screen will prompt you to click **OK**. Remove the document from the scanner's stacker.

To view the images of all scanned pages, click on the thumbnail icon in the ADAMS Viewer tool bar. Something similar to Figure 5-3 will appear.

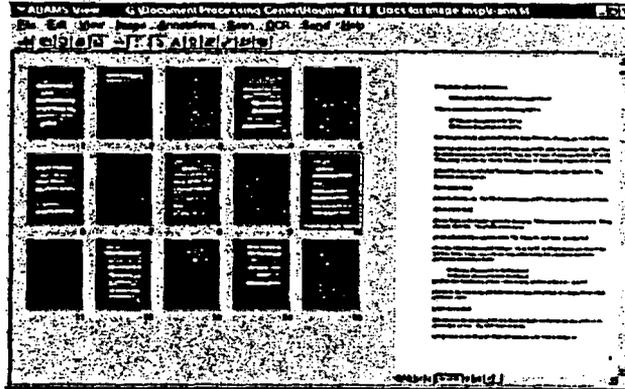


Figure 5-3. ADAMS Viewer with Document Loaded.

9. Before saving the document image file, check the images displayed on the screen for the following:
 - Obvious mis-scan (due to feeder jam)
 - Mismatch between the number of pages indicated on the Scan Cover sheet and the pages indicator at the bottom of the image display screen (for example, look for any scanned target sheets)
 - Overly light or dark scanned pages.

If any of these conditions exist, do not save the document. Do one of the following:

- If the entire document scanned unacceptably, return the document to the scanner ADF and go back to Step 8.
- If select pages need to be re-scanned, highlight the thumbnail image of the page in question, which should appear to the right of the thumbnails as the primary view image. Position the mouse pointer on the large image window and press the keyboard's Delete key.
- If select pages need re-scanning, place the page(s) to be re-scanned in the scanner ADF and position the mouse pointer on the thumbnail image that precedes the desired image to be replaced. Select **Scan | Scan** (Figure 5-3). The system will prompt you to scan into a new document. Click on **NO** at the "Scan into a new document ('No' to scan into the current document)?" window prompt. The replacement pages will appear on the screen when they are scanned. Once all pages/images have been scanned and are in an acceptable image form, proceed to Step 10.

10. To save a scanned document, select **File | Save as Local** (see Figure 5-3). The **Save As Local File** window will appear (Figure 5-4). Save the file in the appropriate folder. See the Inspection Supervisor for folder names and locations.

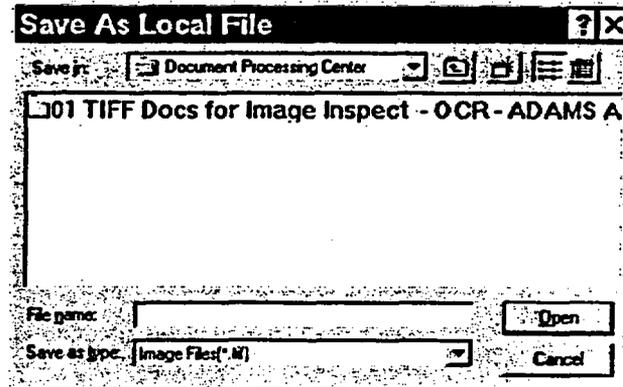


Figure 5-4. Save as Local File.

11. Fill out the scanning Log Sheet as each document is scanned. Record the image count of each document under the appropriate document type column (Priority, Routine, Complex, Scan/OCR or Retrofit). In package situations, after recording image counts for each document within the package, draw a circle around all package document image numbers to indicate that they belong to one package.
12. Type the document file name to match the unique ID (scan ID) on the Scan Cover sheet. If it is a document to be contained in an ADAMS package, remember to add the appropriate document extension (e.g., P123456-01, P123456-02, etc.).
13. If you have already saved the document and realize you need to re-scan some or all of it, back to Step 8. If not, go on to Step 14.
14. Prepare to scan the next document by removing the paperclip and placing it in the scanners ADF, as described in Step 8. Be sure to note any instructions on the cover sheet that may vary from the previously scanned document and, if so, adjust the scanner setting accordingly.
15. Proceed to scan the document by selecting **Scan | Scan** option from the drop-down menu, at which point, you will be asked, "Scan into a new document ('No' to scan into the current document)?" To scan a document and create a new image file, click **Yes**. To continue working in the current document, click **No**.

Once all pages have been scanned and images appear correctly, save the file, record the document on the log sheet, set the paper copy aside for delivery to the Image Inspection section, and proceed to scan the next document(s).

5.3.2 Color Scanning Procedures

Documents containing color pages are initially scanned as bitonal (black and white) images along with the rest of the document. (See Section 5.3.1.) Once a document of this type has been scanned and saved, review the document to identify and tag each page that must be scanned and preserved in color. Each page to be color scanned has a color reference number (e.g., C01, C02, C03, etc.) hand written in the lower right corner, in sequence. Pages are turned sideways within the document to show their location, which facilitates scanning.

Follow the procedures below to scan a color page:

1. The HP6250 color scanner remains on at all times, though when not in use reverts to a "sleep" mode to preserve the life of the lamp. Turn on the supporting PC and type in your NRC LAN user ID and password.
2. From the desktop, click on the **Precisionscan Pro** icon.
3. Place the first color page to be scanned face down on the glass surface of the HP scanner.
4. From the top of the **ADAMS Viewer** (Figure 5-1), select **Scan | Preview**. This will activate the scanner, and an image of the page will display on the scanner.
5. Select **Scan | Load Settings** (Figure 5-5). When the Load Settings dialog box appears (Figure 5-5), select **TRUE COLOR | Load**. The previewed image will become readjusted and display according to the preset true color load settings.

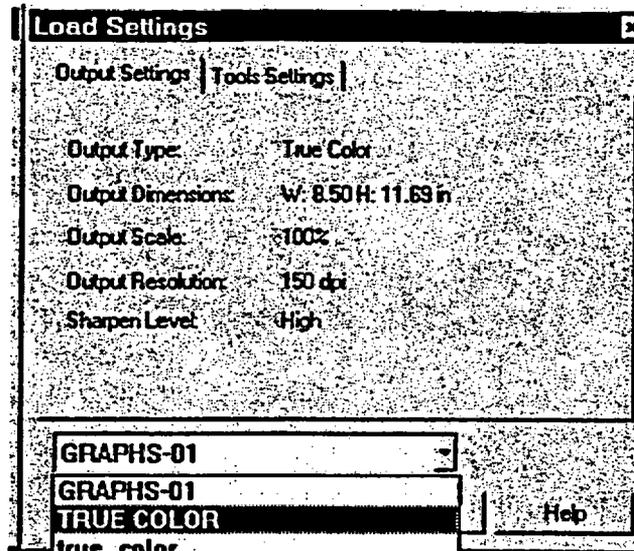


Figure 5-5. Load Setting.

6. Select Scan | Save As (Figure 5-6). Something similar to Figure 5-6 will appear. Proceed to scan each document and save them to the appropriate folder with the appropriate file name and extension. Save each image file under the primary document file name listed on the scan cover sheet with the corresponding "C" number extension (e.g., R123456-C01). This file name shall follow the "K:\ 01 TIFF Docs for Image Insp - OCR - ADAMS AddColors" general path already existing.

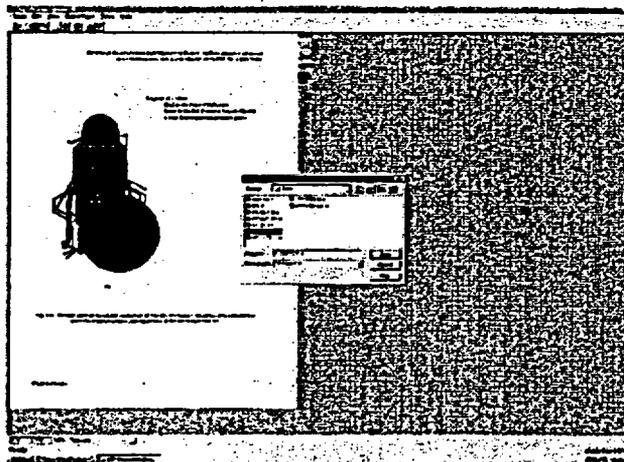


Figure 5-6. HP ScanPro Save As.

7. Proceed to scan the remainder of color pages by placing the next consecutively numbered page face down on the scanner and go back to Step 4.

Note: Occasionally (every 100 images or so) go to the *C:\WINDOWS\TEMP* directory and delete all the files, which were created during the scanning process.

Upon completing all color scanning for a document, deliver the paper document to the Image Inspection Supervisor for special processing.

5.3.3 Large Format Scanner

Pages that are larger than 11" x 17" in size are replaced with a placeholder target (form DPC-026), which provides a pointer guide to the scanner operator and others throughout the process. This placeholder target includes the title of the oversize page that is included in the document package contents. A copy of this placeholder target can be found in Appendix B.

At the conclusion of the production scanning process of the regular-sized pages, move the document to the oversized scanning station. Oversize pages to be scanned will have a "D" number (e.g., D01, D02, D03) handwritten by DRP staff in the lower right corner of the page, near the title block.

Follow the procedures below to scan over-sized pages:

1. Turn on the CalComp Scan Plus III 610C oversize scanner by switching the rocker switch located on the scanner's right rear side. Turn on the supporting PC and enter your NRC LAN user ID and password.
2. From the Windows NT desktop (Figure 3-1), click on the **Color Scanning** icon.
3. The CAD Image/SCAN - Scan Station will appear (Figure 5-7).

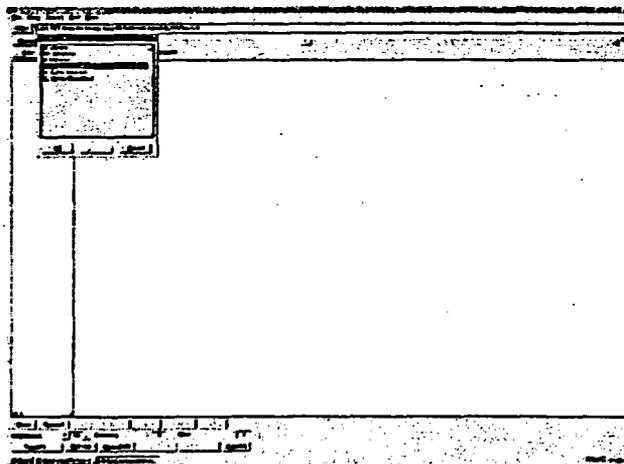


Figure 5-7. CAD Image/SCAN - Scan Station.

4. Type in the file name of the oversize page to be scanned, which is the scan ID number listed on the document cover sheet plus the "D" number written on the oversize page (e.g., R123456-D01). This shall follow the "K:\01TIFF Docs for Image Insp - OCR - ADAMS Add\OVERSIZE\" general path already appearing.

5. Click on the "Scan Width" option button at the top of the Main Menu, and the following "Window Offset and Size" dialog box will appear (Figure 5-8):

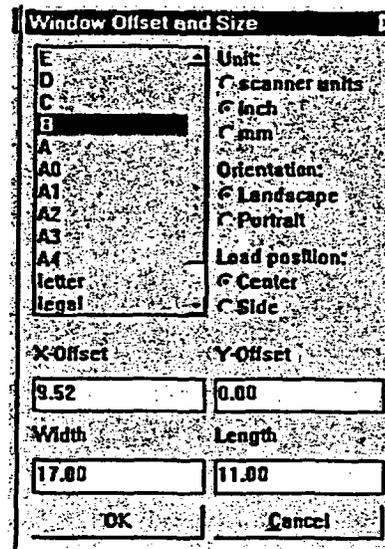


Figure 5-8. Window Offset and Size.

6. Set the width and length dimensions of the oversize page to be scanned, and click OK. You will return to the CAD Image / Scan Viewer (Figure 5-7). The next steps will take place at this viewer.
- Note:** Dimensions of each oversize page to be scanned are determined by using a tape measure, located at the oversize scanner station.
7. Call up the mode screen option by clicking on the corresponding option button located at the bottom of the screen, and select RGB Color 24 Bit (for color pages) or GR Graytone (for pages containing shades of gray). Click OK.
 8. Position the page face down and feed the top of it centered into the feeder until the sensors activate the drive rollers and feed about three inches of the page into the scanner.
 9. Click on the Scan option button, located at the top of the screen, and click on the second (overlay) Scan button. Click on the Scan button that now appears at the bottom of the screen, and the oversize page will begin to feed through the scanner.
 10. As the oversize page feeds through the scanner, the image will display on the monitor. Watch as the image develops, to ensure that all sides of the page are captured. If the image does not match the paper, measure the oversize page and recheck or reset the scan width settings. Reposition the page back in the scanner and make sure it is centered properly. At the completion of the process, the image will be in the viewing window.

Note: Make sure to review the image carefully, because once the image is saved into ADAMS, it will be too big for the ADAMS Viewer to view.

11. Repeat the process for all oversize pages contained in the document. Upon completion, log the total number of oversize pages scanned and return all oversize pages (in folded form) back into the main document. Due to special processing requirements, you must forward the document to the Image Inspection supervisor.

5.3.4 Re-Scanning of Documents Returned by Image Inspectors

Documents that need to be re-scanned, in whole or in part, will be delivered by the Image Inspector directly to one of the scanning operators, so the Inspector can effectively convey the problem(s) encountered to the scanner operator.

1. Access re-scan image files by navigating to the appropriate folder. Select and open the file that corresponds with the document to be re-scanned.
2. Identify the pages to be re-scanned within the paper document and locate the corresponding images within the image file, using the ADAMS Viewer screen (in thumbnail mode—Figure 5-3). Follow the instructions for deleting/replacing images, as described in Section 5.3.1, Step 9.
3. Place the first hard copy page from the document into the scanner's ADF. Position the mouse on the image that PRECEDES the location of the new page. Select **Scan | Scan**.
4. When each new page has been scanned and inserted, be sure to delete any images that were to be replaced, and save the revised document under the SAME file name. Immediately return the paper version of the document containing the re-scanned page(s) to the Image Inspector who had submitted it for modification.

5.4 Messages

See the hardware and COTS software user guides for error, diagnostic, and information messages.

5.5 Quick-Reference Guide

Not applicable to this section.

6.0 IMAGE INSPECTION, OPTICAL CHARACTER RECOGNITION (OCR), AND ADD TO ADAMS

Following the creation of TIFF image files from scanned paper documents, the image files are inspected for quality, completeness and cosmetic appearance, OCR'd, and added to the ADAMS database. In cases where images are identified as being deficient (e.g., too light or dark, folded corners, missing backside(s), etc.), the image inspector returns the document to the scanning section and provides specific re-scanning instructions to an available scanner operator. For image files that meet quality standards, an OCR process is performed to create an ASCII text file. The final step is to add the image file (with the text file linked) into the ADAMS Main Library in a draft class form, which is forwarded to the next processing team, Profiling, for completion into an official class form.

6.1 Capabilities

The OCR software and ADAMS functionality are accessible via the Windows NT desktop, so that when a processing step is completed, the output from that process (e.g., scanned image) is immediately available electronically for subsequent steps.

Image Inspection Workstations, as well as all other Workstations located within the DPC, are essentially equipped with the same software that enables Image Inspection to be performed throughout the DPC.

6.2 Conventions

The "original file name," which is assigned and entered into ADAMS for each document, becomes a permanent part of each document profile. This "original file name" is a searchable field within ADAMS that plays an important role at the DPC, as documents occasionally need to be found in ADAMS due to system malfunctions and can only be relocated through a search of the original file name. In addition, this provides a means by which documents being researched in ADAMS can immediately be determined as having been processed through the DPC, or not.

Different file naming conventions are used to distinguish specific document prioritization and different processing methods. File name types can telegraph the processing flow followed at the time it was entered into ADAMS, which aids in resolving controversial situations.

6.3 Processing Procedures

These steps are to ensure that paper documents submitted to the DPC for processing into TIFF image file and ASCII text file form are efficiently and effectively converted and added to ADAMS in a draft doc type class. This ready condition includes conversion of black and white pages into bitonal image form, color pages into color image form (as needed), and conversion of oversize (larger than 11" x 17") pages into a grayscale or color form.

6.3.1 Image Inspection

Once the document is scanned and saved, it is ready for image inspection.

After logging into ADAMS (see Section 3.2.2), select **Tools | ADAMS Viewer** from the top of the ADAMS Document Manager menu bar (Figure 3-3). A blank ADAMS viewer screen will appear, with a series of menu items displayed at the top (Figure 5-1).

Select **File | Open Local File** from the ADAMS Viewer menu bar, and navigate to *J:\Document Processing Center\01 TIFF Docs for Image Inspect-OCR-ADAMS Add* folder. This is similar to the Save as Local File dialogue box, found in Figure 5-4.

The Image Inspector prepares to inspect an image file by retrieving the next document to be processed from the designated paper document holding area within the Image Inspection section. Selection should be based on the established document prioritization.

All documents processed through the Image Inspection processing area are logged into the "Image Inspection/OCR/Minimum Profile Worklog" (DPC-047). Image Inspectors record document information (file name, number of images, and accession number) as they complete each document and submit their report to the Image Inspection Supervisor at the end of the day. In turn, the Supervisor totals all daily reports and submits a summary report to the DPC Operations Manager.

Color and oversize documents are recorded independently on a log located in the Image Inspection Supervisor's office. This provides a vehicle to identify documents in progress that may require additional processing time. This information needs to be conveyed to the NRC staff member who submitted a document with color or oversize pages.

1. Proceed with the following set of instructions to image inspect, OCR, and perform an ADAMS add for each document in a package, if a package situation exists. If necessary, follow the package instructions provided in Section 6.6.1 to create the ADAMS package, and copy the documents into the package.
2. After selecting the file corresponding to the scan ID listed on the paper document cover sheet, double-click the file to open the document image file. Click the thumbnail icon in the menu bar to view all the images on the screen together. A copy of this window is included in this document as Figure 5-3.
3. Always delete the Scan ID Target, End of Document Target, any attachment sheets, and any completely blank pages. Do NOT delete any images that contain only page numbers, as they are part of the document. Pages scanned upside down need to be rescanned. Do not use the "180 degree rotate" option.
4. Check the page count on the cover sheet against the number of images displayed on the screen (found on the thumbnails or the bottom of the main image screen).

Review the image file and confirm that there is an image for every page in the paper document. Often, you can follow the pagination order within a document. Images that

appear to be missing must be checked against the paper document to confirm their presence or absence. In cases where a page was not scanned, save the image file in the local *MISSING PAGE* folder, return the paper document to the scanning team, and provide clear instructions on what needs to be done. Always complete the inspection of the entire image file to identify all pages that may have been missed when the document was initially scanned. Do not OCR or add to ADAMS at this time.

If you identify a page missing within the paper portion of a document, bring it to the attention of the Image Inspection Supervisor, who will determine whether the document should be returned to the DCD for research and retrieval of the page(s).

Note: Image files of documents returned to the DCD for missing pages are held in a "Missing Pages" folder until remedial action is completed and the paper document is returned to the DPC.

Note: In cases where a rejected document was part of a package, all other documents within the package should be image inspected and added to ADAMS; however, due to the strict order of documents added to packages, a package should not be created until all documents to be packaged are complete and present, which is described under package Instructions. See Section 6.6.1.

5. Proceed to scroll through the document image file either by clicking on the thumbnail page display or by clicking on the advance arrow icon at the bottom of the image screen.

Watch for cut or missing information from any part of the images, particularly in the margin areas. This type of problem is most likely a scanner alignment malfunction, which needs to be reported to the Image Inspection supervisor immediately.

If an image appears too light or dark, but the pages are of a legible quality, flag the pages, record the image number, and return to the scanning section for rescan, once the entire image file has been inspected.

Black streaks on images that do not exist on the paper copy are most likely due to a smudge or streak on the scanner's lamp glass cover. Report this to the Image Inspection Supervisor immediately, so the scanner responsible can be identified and the problem corrected. All images/pages with this type of defect must be identified and returned to scanning for reprocessing.

6. Make necessary adjustments:

- To adjust images that with a slightly rotated appearance, select **Image | De-skew** from the drop-down menu on the ADAMS Viewer (shown with the document loaded in Figure 5-3).
- To rotate images, select **Image | Rotate**.

Note: All images, including landscape images, must be reoriented or rotated so that they display in a "right reading" manner on the screen.

- To delete pages, be sure that the desired image is displayed on the right side of the screen, position the cursor anywhere within it, and left-click. Make sure that this is the correct image before you press the Delete key.
- Do not delete PROP target images. These are included as the first image of document image files designated as proprietary, so the profiler can clearly identify them as such.

6.3.2 Image Inspection Complete, Ready to Perform OCR

Once an image file has been inspected, an OCR of the image file is performed to generate an ASCII text file of the document, which will be used exclusively for search purposes.

1. With the image file still displayed in the ADAMS Viewer (shown with the document loaded in Figure 5-3), select the OCR option in the tool bar located at the top of the screen "OCR | Document". This will activate the OCR engine, which will individually display each image (Figure 6-1) as it processes each into an ASCII text form. As the OCR process proceeds, the miniature representation of each page will be highlighted in yellow.
2. Once this image-to-text conversion has completed, the OCR Document window (Figure 6-1) will disappear and the image file will appear as it had before the OCR process had been selected. Upon completion, the document is ready to be added to the ADAMS Main Library, described under Section 6.4.

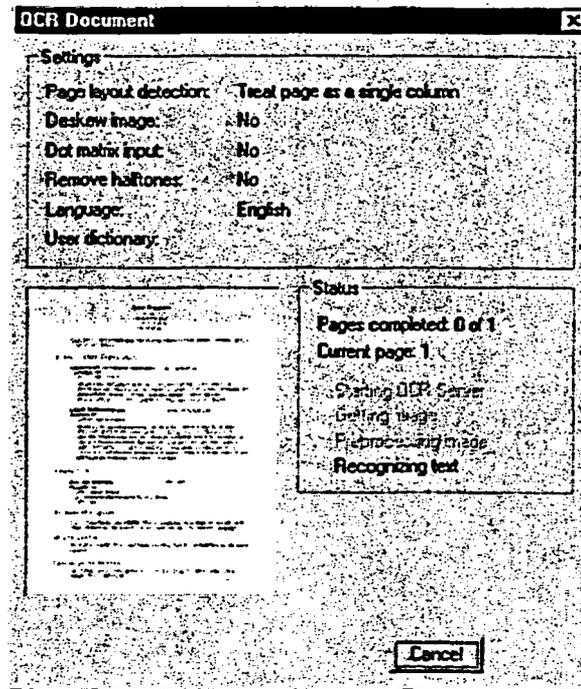


Figure 6-1. OCR Document.

6.3.3 When a Document Fails to Complete OCR Processing

There are several causes that can prevent the OCR process from completing in a document. Common problems encountered include images that are not of a strictly text appearing nature, such as picture, graphs, diagrams, tables, hand writing, etc. To avoid the risk of OCR failure and to save considerable processing time, Image Inspectors are instructed to do the following.

1. Once a "graphics intense" file has been inspected in its entirety and is ready to be OCR'd (all images present), save it under its original file name to the local folder from which you accessed it.
2. In the ADAMS Viewer with the now-saved image file open (Figure 5-3), scroll through the image file and delete all images that are primarily of a graphical nature, such as tables, pictures, graphs, etc. After reviewing and deleting all desired images, attempt an OCR of the image file.

Note: In the ADAMS Viewer, when the error message "Error saving OCR" appears, a partial text file was created and exists in the PC's C:\ADAMS\Cache folder. Depending on the size of the document and at what point in the document the OCR failed, the partial file may or may not be worth salvaging.

3. If the OCR process completes, open the C:\ADAMS\Cache folder and locate the OCR file created by date/time, which should be within the last few minutes. Be sure to Exit

the document that was being viewed in the ADAMS Viewer. . . Do not save. In NT Explorer, highlight, right-click and rename the file to the Scan ID number with an "ocr" extension (e.g., XR115602.ocr). Cut and paste this OCR document file to the local drive where the TIFF document resides.

4. In the Adams Viewer, open the TIFF file (e.g., XR115602.tif) of the document just OCR'd. Under the "File" option in the tools bar, select ADAMS Add. "Link to existing ADAMS Document" will appear. Click on NO. Either a profile screen will appear to be completed in draft form, or a specific path to a folder will need to be set, if this is the initial "ADAMS Add" for the day. Complete the profile by following instructions described under Section 6.4.
5. After completing the profile, navigate to the folder where the new document was saved. Perform a "check out" of the document, and check in the corresponding OCR, as described in the following section (6.3.4).

6.3.4 Merging TIFF and Related Text Files for ADAMS Add When Normal OCR Process Falls

This procedure assumes that the text (OCR) file has been completed and the TIFF file has already been added to ADAMS, as described in the preceding section.

1. Navigate to the Document Manager folder (Figure 3-3) where the desired TIFF document resides (there should be no "T" in the icon) and highlight the document. Right-click and select **Check-out**.
2. A Check-out box will appear, similar to Figure 5-4. Navigate to the \05 Check-out\ folder, and click on **Save**.
3. Return to the document in the Document Manager folder, which should now appear with a red check mark to the left of the icon. Right-click on the document and select **Check In**.
4. When the Check In box appears, navigate to the OCR file to be checked in (e.g., R123456.ocr) and click on **Save**.
5. The completed minimum profile will appear in a few seconds. Uncheck the **Keep Local** box at the top of the Profile screen. Click on **Next | Next | OK** on the subsequently appearing screens. This will complete the adding of the text (OCR) file to the corresponding image file and profile. This can be confirmed by the presence of a "T" in the document's icon.

6.3.5 Merging Two OCR (Text) Files Due to Errors

Occasionally, larger document image files fail to complete the OCR process. Before proceeding, consult with the Image Inspection Supervisor to determine the feasibility of proceeding with this merge process. If this option is chosen, go to the OCR file and open it in WordPerfect.

Use the paper copy and shadow through the text file to locate the point at which the text file terminated. Mark the paper document where the file terminated, and save the text file under the scan ID number plus an "A" (for part A) and the ".ocr" extension.

Note: Be sure to save this as an ASCII file, not WordPerfect.

Return to the ADAMS Viewer and open the image file that OCR'd partially. Delete all of the images in the first part of the document image file that successfully OCR'd.

Click on the OCR option in the tool bar to begin the OCR process on the remaining images in the document.

Once complete, return to the C:\ADAMS\cache folder and locate the OCR file just created. Rename it with the document's scan ID number plus a "B" (for part B) and the ".ocr" extension.

Use WordPerfect to open B.OCR, block highlight/copy all text, then close. Open A and position the cursor at end of the text, then right click and paste. Save the file as an ASCII DOS Text file. The file name should be the Scan ID.OCR (e.g., XR115602.ocr). Copy the OCR file to the directory where the TIFF file (e.g., XR115602.tif) resides.

Go to Section 6.3.4 to complete the process for adding document files to ADAMS.

6.3.6 Adding Color Images to TIFF Files

Note: You will need to delete all files in the PC's cache and recycle bin. This procedure is based on the assumptions that black and white TIFF files contain all the pages in the document and that individual color files contain only one image each. Color files should have the same name as the parent file, with the only difference being "-C01" added to the file name (e.g., XR115602-C01.TIF).

1. Perform the usual image inspection. Save the document as a local file, and click on **Yes** to overwrite the existing file.
2. When you OCR the document, **DO NOT** add it to ADAMS. Instead, go to **Start | Explorer | ADAMS | Cache**. Locate the OCR file. Rename it (Scan ID.OCR) and copy it to the folder where the corresponding .TIFF file resides..
3. Retrieve the TIFF file. Delete each black and white page that has a corresponding color page. Save the TIFF file and click **Yes** to overwrite the existing document. Click on the "pin" symbol in the tool bar at the top, which is located directly below the File option, then select **Edit | Copy**.
4. Open a second viewer in the ADAMS Document Manager. Minimize both, so they can be viewed side-by-side. One viewer is for the parent file (e.g., XR115602.TIF), and the other is for the color files (e.g., XR115602-C01.TIF).
5. Select the first color document to be copied, rotating the color image, if necessary. Click on **Edit | Copy**.

3. The Availability field, located four fields below the accession number, will appear as non-public, as this is the default. Leave it set as non-public unless otherwise specified on an accompanying ADAMS Document Submission (665) form.
4. Type the corresponding Scan ID number (e.g., P123456-01) in the Title field, located immediately below the Accession Number field. This is a temporary title until the profile is completed in the next (Profiling) task area.

Note: In multiple document "package" situations, be sure to include extensions (e.g., -01) immediately following the primary Scan ID number of each document, and for the last document in a package, follow the extension with an "X," to indicate that it is the last document in the package (e.g., -05X).

5. Scroll down to the Document Sensitivity field located near the bottom of the profile. Click on the extreme right side of the data field to display the drop-down menu. Select Non Sensitive, unless otherwise specified on an accompanying ADAMS Document Submission (665) form. Click on Next at the bottom of the profile to proceed to the Document Properties screen (Figure 6-3).

6.5 Add Document Security and Access Levels

At the Document Security screen (Figure 6-3), the "Groups" button should be selected. Click on the Name drop-down box for a list of group names. Select Document Processing Center as the first group, and click on the Access Level drop-down box. Select Owners and click on ADD. "Document Processing Center" should appear as an Owner in the Document Security window above.

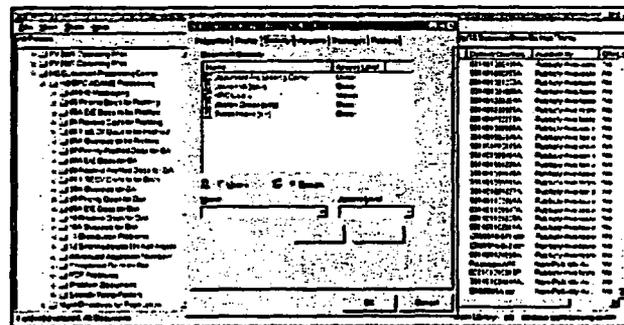


Figure 6-3. Document Properties (Security).

Note: In this or any blank field with a pick list (fields having a down scroll button on the right side), you can type the first letter of the desired value (in this case, "D") to activate the list beginning with "D," then select "Document Processing Center."

Repeat this process and select "NRC Users" from the Name drop-down menu, but this time, select "Viewers" from the Access Level menu in stead of "Owners."

"Document Processing Center as Owners" and "NRC Users as Viewers" are the two groups typically added to a document security and access levels, unless other groups or individual users are otherwise specified on an accompanying ADAMS Document Submission (665) form.

Click on **OK**, located at the bottom of the Profile Screen (Figure 6-2), once all document securities and access levels have been selected and set.

The last screen to appear when adding a document to ADAMS is Add Document (Figure 6-4), which displays the name / title of the document being added. To finish adding the document to ADAMS, click on the **OK** button located at the bottom of the screen. The Add Document screen will close, and a blank ADAMS Viewer will display (Figure 5-1).

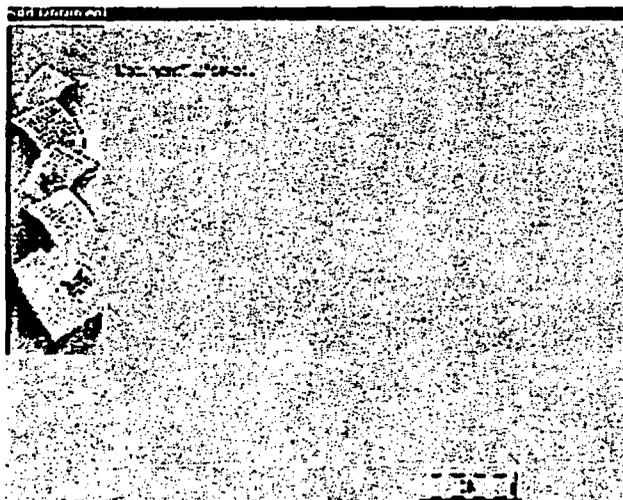


Figure 6-4. Add Document.

Verify that the document successfully made it into the designated ADAMS folder by navigating to the appropriate folder in the ADAMS Manager, and when located, ensure that a red "T" appears within the icon. If the document does not appear, or if it appears without a red "T" in the icon, consult with the Image Inspection supervisor immediately.

Continue with the next document to be image inspected from the ADAMS viewer.

6.6 Adding NRC-Submitted Electronic Media Files

Documents are occasionally submitted to the DPC with electronic file enclosures, typically contained on a CD-ROM or Diskette. Provided the electronic files submitted are in a format that is compatible with ADAMS, and there are not an excessive number of files, the electronic files are added to ADAMS along with any paper portion (scanned) that accompanied the electronic files, such as the forwarding letter. The process followed for adding electronic document files to ADAMS is similar to adding scanned document files, though the incoming electronic files are not opened or viewed prior to adding them to ADAMS.

1. To add electronic document files to ADAMS, display the CD or diskette contents using NT Explorer.
2. Highlight and copy the first document to be added to ADAMS.
3. Navigate to the folder where the document is to be added into ADAMS and paste.
4. When the draft profile displays within a few seconds, the ADAMS add can be completed essentially in the same manner as described previously, where the file name/title will be an extension of the primary document (e.g., R123456-02,03).

The table below lists document file types and extensions that can be added to ADAMS:

File Types that can be declared as Official Agency Records	
File Type	File Extension
WordPerfect™	.wpd
Microsoft™ PowerPoint™	.ppt
Corel™ Quattro Pro	.wb1, .wb2, .wb3
Lotus™ 1-2-3	.wk3 <u>or</u> .wk4
Tagged Image File Format	.tif
Portable Document Format	.pdf
Microsoft Excel	.xls
Microsoft Word	.doc
ASCII	.txt
ADAMS Desk Reference Guide, March 3, 2000	
Corel Presentations / Show	

In an effort to convey to the users the fact that a document was or was not added to ADAMS from an electronic submission, one of the following applicable messages is included in the profile comment field:

CD-ROM Files NOT ADDED TO ADAMS: (too many files)

Message: Files contained on CD -ROM submitted with document were not added to ADAMS. A copy of the CD was provided to the NRC Public Document Room (if publicly available) and File Center.

CD-ROM Files ADDED TO ADAMS:

Message: Files contained on CD submitted with document were added to ADAMS. A copy of the CD-ROM was provided to the NRC Public Document Room (if publicly available) and File Center.

CD-ROM files NOT ADDED TO ADAMS: (non ADAMS compliant)

Message: Files contained on CD-ROM submitted with document were not ADAMS compliant. A copy of the CD-ROM was provided to the NRC Public Document Room (if publicly available) and File Center.

Diskette files NOT ADDED TO ADAMS: (too many files)

Message: Files contained on Diskette submitted with document were not added to ADAMS. The Diskette was forwarded to the NRC File Center.

Diskette files ADDED TO ADAMS:

Message: Files contained on Diskette submitted with document were added to ADAMS. The Diskette was forwarded to the NRC File Center.

Diskette files NOT ADDED TO ADAMS: (non ADAMS compliant)

Message: Files contained on Diskette submitted with document were not ADAMS compliant. The Diskette was forwarded the NRC File Center.

6.6.1 Creating and Adding Packages to ADAMS

In situations where documents are part of a package, as indicated by numeric filename extensions (e.g., 'P100001-01' rather than 'P100001'), follow these instructions after logging into ADAMS.

A document package generally contains a forwarding letter and one or more enclosures. When packaged documents are scanned, they are named using the Scan ID # and a sequential number for each document in the package, (e.g., P123456-01, P123456-02, etc.). The last enclosure in the package has an "X" at the end of the sequential number (e.g., P123456-05X).

When an image file is selected to image inspect, the lowest sequential extension is processed first, and each progressively sequentially numbered document that is part of the package is inspected until all enclosures have been processed and added to ADAMS.

Note: Forwarding letters or letters of transmittal (typically the first paper(s) in a document package) should be included as an independent part of the document package and profiled under its own accession number.

Once all documents to be packaged (in a single package) have been image inspected, OCR'd, and added to ADAMS, it is time to create the package and copy all related documents into the package as contents.

In the ADAMS Document Manager (Figure 3-3), navigate to Main Library\OCIO\HQ Document Processing Center\ HQ DPC ADAMS Processing\ then to the specific folder within which the previously-inspected documents (to be packaged) were saved:

- 05 Priority Docs to be Profiled
- 06 Routine Docs to be Profiled.

This is the source folder containing documents to complete the Official Class Profile (See Figure 6-5, below).

Note: The package profile will be named the primary scan ID number (e.g., P123456), which should never carry an extension like the documents that will be added to its contents.

Position the cursor within the folder window, right click and select New | Package from the Shortcut menu, as displayed in Figure 6-5.

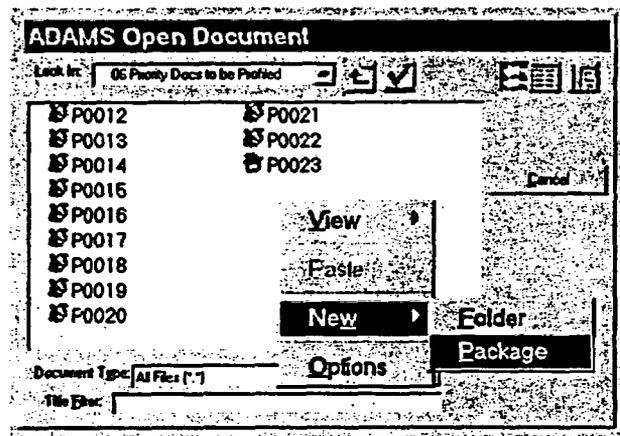


Figure 6-5. ADAMS Open Document.

The Add Package profile screen appear, as displayed in Figure 6-6.

Package Properties		Value
Accession Number		M1932770137
Title		
Comment		
Official Record?		No
Date Added		10/1/99 2:31:14 PM
Added By User		user2
Added By Group		NRC Users

Figure 6-6. Add Package.

Enter the primary Scan ID number without any -01, -02 extensions (e.g., P123456) in the Title field and click on Next at the bottom of the screen. This will prompt the Add Package Security screen to appear, as displayed in Figure 6-3.

Add the same groups/users and access levels to the document security as included for the documents that will be contained in the package.

Click on OK at the bottom of the screen once all document security selections have been made. This will prompt the Document Manager screen to appear, including the documents to be packaged and the new package.

6.6.2 Placing Documents into a Package

Note: It is very important to ensure the cover (transmittal or forwarding) letter for the package is the first item placed in the package contents. If the package is going to become an OAR, the first document placed in the package should be the cover letter. The Public Availability and Release Date in the profile of the cover letter determines the Public Availability and Release Date of the Package. Once items are copied to a package, the order of contents are presumed to be correct.

- At the the ADAMS Open Document screen (Figure 6-5), highlight the first document (e.g., P123456-01) to be copied into the Document Package.
- Right-click and select Copy from the Shortcut menu.

- Next, highlight the package and double (left) click to access the Contents portion of the Package Properties window (Figure 6-7).

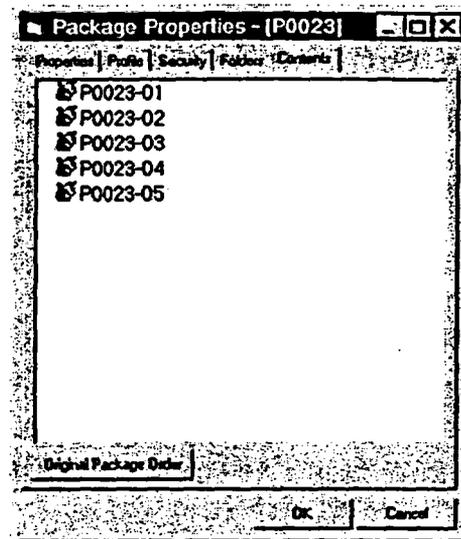


Figure 6-7. Package Properties.

- Position the cursor in the Contents window, right-click, and select Paste from the Shortcut menu.
- As soon as the copied files appear in the package window (contents), click on OK at the bottom of the screen, and the Document Manager folder where the remaining documents to be copied are, will appear (Figure 3-3).
- Highlight the rest of the documents to be copied into the package's contents, and copy. Highlight and open the package contents, and paste. Within a few seconds, all documents copied should appear in the package contents.

Note: The order in which the documents are copied is the order in which they will remain once "pasted" into the package contents.

- After all documents have been copied to the document package, return to the Document Manager folder from where the documents were copied and unfile all documents that were just copied into the package by selecting each/all files, right clicking, and selecting Unfile.

6.6.3 Inserting Oversize Pages

Treat oversize page files as separate documents.

1. Image inspect image files containing oversize pages, to make sure that drawing placeholder targets are in place of oversized pages. Scanned placeholder targets will be numbered sequentially (D-1, D-2, D-3, etc.), and these numbers will also be included

on the lower right hand corner of the oversize page. After inspection of a document containing oversize pages is complete, it is added to ADAMS, where it is saved to the \06A Oversize for Profiling\ folder. All related document package files will be saved to the same folder, even if they do not have oversized drawings.

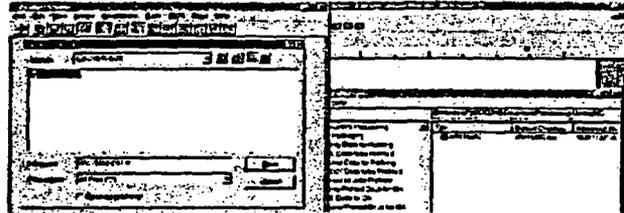


Figure 6-8. ADAMS Viewer & Document Manager, Side by Side

2. To add scanned oversize page files to ADAMS, open both ADAMS Viewer and ADAMS Document Manager, positioned side by side, as shown in Figure 6-8, above.
3. Navigate to the source drive K: ... \01 Tiff Docs\Image\Inspection\Oversized\ folder in the ADAMS viewer.
4. Navigate to the destination folder ... \06A Oversized for Profiling in the ADAMS Document Manager where ADAMS oversize document files are to be saved.
5. To add a drawing to ADAMS, you will use the copy and past procedure. **DO NOT OPEN** an oversize image file.
6. In the ADAMS Viewer (shown with a document loaded in Figure 5-3), right click on the first drawing, e.g., P123456-01-D1, and select **Copy** from the Shortcut menu.
7. Position cursor within the Document Manager folder's window and **Right Click | Paste**.

Note: This may take several seconds to complete.

8. When the draft profile screen appears, complete the minimum profile as described previously, being sure to enter the title exactly as the image file is named (e.g., P123456-01-D1).
9. Proceed to add the remaining oversize page files into ADAMS.

Once all document files have been added to the ADAMS Document Manager - 06A Oversized for Profiling, a package can be created. Refresh the Document Manager folder and copy all corresponding documents into the package. Below is an example of the order in which documents would be placed into a package.

<u>Package</u>	<u>P110999</u>	
1.	P110999-01	First document with 3 drawings
2.	P110999-01-D1	
3.	P110999-01-D2	

- | | | |
|----|---------------|----------------------------------|
| 4. | P110999-01-D3 | |
| 5. | P110999-02 | Second document with no drawings |
| 6. | P110999-03X | Last document with no drawings |
| 7. | P110999-03-D1 | |
| 8. | P110999-03-D2 | |

6.7 Messages

See hardware and COTS software user guides for error, diagnostic, and information messages.

6.8 Quick-Reference Guide

Not applicable to this section.

7.0 DOCUMENT PROFILING

The profile group handles profiling of both scanned documents and documents submitted electronically.

For documents submitted by the NRC and already added to ADAMS, profilers open the document in ADAMS and update the minimum profile with complete profile information in accordance with NRC business rules.

For DPC documents (paper documents scanned into ADAMS by the DPC), profilers create the profile according to the directions given on NRC Form 665, for NRC-issued documents, and the directions on the template.

Once the documents are profiled, QA reviews the profile in ADAMS and ensures that the information is correct. Once corrected, the document is ready for distribution.

7.1 Capabilities

The scanner hardware and associated software, the OCR software, and ADAMS functionality are all accessible via the Windows NT desktop, so that when a processing step is completed, the output from that process (e.g., scanned image) is immediately available electronically for subsequent steps.

ADAMS provides on-line tables of data that are accessible to the profiler. These tables offer a type-ahead feature that presents the profiler with the first complete value already used matching the characters input.

7.2 Conventions

This document addresses the processes of converting specified documents and materials for storage into ADAMS. See user guides accompanying both scanner hardware and COTS software for specifics of operation and implementation of the following procedures. The ADAMS Desk Reference Guide and on-line templates provide specific directions as to the information that should be input into each profile field.

7.3 NRC Electronic Documents Receipt & Routing

NRC staff place their completed electronic documents or packages that are ready for DPC processing in either of two folders under the Main Library | ADAMS DPC Processing Folder:

- Immediate Public Release for DPC
- Normal Processing for DPC

Folder selection is determined by the document's (or package's) processing priority: Immediate Release requires a 4-hour turnaround by the DPC, while Normal processing requires an 8-hour turnaround.

Upon detecting a new item in either of the folders, the DPC Profiling Manager copies them to DPC-controlled folders for action by the DPC staff:

- immediate release items are copied to the OCIO | HQ Document Processing Center | NRC Docs for DPC Processing | 01 Imm. Release for Profiling
- normal/non-expedited items are copied to both --
 - the OCIO | HQ Document Processing Center | NRC Docs for DPC Processing | 02 Normal Docs for Profiling | *appropriate dated subfolder*
 - AND
 - the OCIO | HQ Document Processing Center | NRC Docs for DPC Processing | 99 E-mails to be Sent-Normal | *appropriate dated subfolder*.

After copying each item (document or package), the Profiling Manager unfiles each from the folder where NRC staff originally placed them.

The Profiling Manager will manually maintain and update a daily DPC Log form entitled "DOCUMENTS SUBMITTED TO DPC THROUGH 'NRC DOCS FOR DPC PROCESSING' FOLDERS." This form tracks each item's Time In (detection by the Profiling Manager), Accession number, Availability (whether or not public), submitter's NRC e-mail ID, and any appropriate remarks.

As each log sheet/form is filled throughout the work day, the Profiling Manager passes a copy of the filled-in form to the Distribution Code Assignment (DCA) Clerk (see Section 7.5).

Prior to the end of the workday, filled-in originals of the log/form are passed to the DPC Operations Manager for statistics gathering.

7.4 Profiling Procedures

Documents that have passed Image Inspection-OCR-ADAMS Add have been placed in appropriate folders, depending on their priority. Different priorities have different turnaround times. Specifically:

- Priority - 3-6 hours;
- Normal - eight hours;
- Immediate Release - four hours.

Additionally, certain types of documents require one or more special additional or different steps in their handling. These documents, and the subsection where their unique handling is explained, are:

- Profiling Externally-authored Paper Documents -- 7.4.1
- Documents Requiring Special Security Instructions -- 7.4.2

- **Document Containing Oversize Pages -- 7.4.3**
- **Profiling NRC-authored Paper Documents -- 7.4.4**
- **Profiling NRC-authored Electronic Documents -- 7.4.5**
- **Profiling NRC-authored Mixed Paper and Electronic Documents -- 7.4.6**
- **Profiling Documents Submitted via NRC's EIE -- 7.4.7**

The following sequential steps address the overall process of profiling documents that have been added to ADAMS:

1. **Log on to ADAMS, and you should see the ADAMS Document Manager and the Main Library (Figure 3-3).**
2. **Navigate to one of the following:**

Main Library\OCIO\HQ Document Processing Center\NRC Docs for DPC Processing
OR
Main Library\OCIO\HQ Document Processing Center\HQ DPC ADAMS Processing
3. **Navigate through the subfolders, in priority order, until you locate a subfolder that contains unprofiled documents.**
4. **Click on the Date Added column twice to arrange the documents in ascending order by date and time.**
5. **Size the ADAMS Document Manager window so that it is small enough to keep it from blocking view later on.**
6. **If the oldest document is a stand-alone and is not checked out, highlight it, right-click and select Checkout from the shortcut menu (Figure 7-1). If the oldest document is a package and is not checked out, right-click and select Contents from the shortcut menu. Right-click on the first document in the package and select Checkout from the Shortcut menu.**

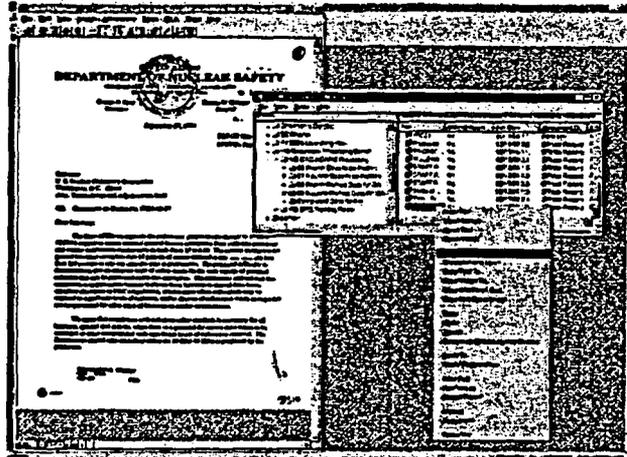


Figure 7-1. Selecting Checkout.

The Checkout file to screen will appear. This is similar to Figure 5-4.

7. Click File | Save, to save the TIFF file to your hard drive. Note that a red check mark will appear by the document on the Document Manager screen or in the package contents to alert other Document Processing Center staff that the document is being worked on.

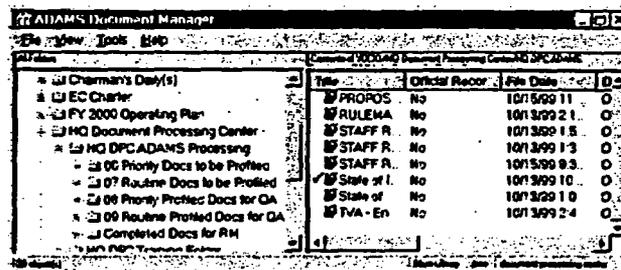


Figure 7-2. Checked-Out File.

8. At the ADAMS Document Manager (Figure 7-2), right-click the document title and select View Image from the Shortcut menu (Figure 7-3).

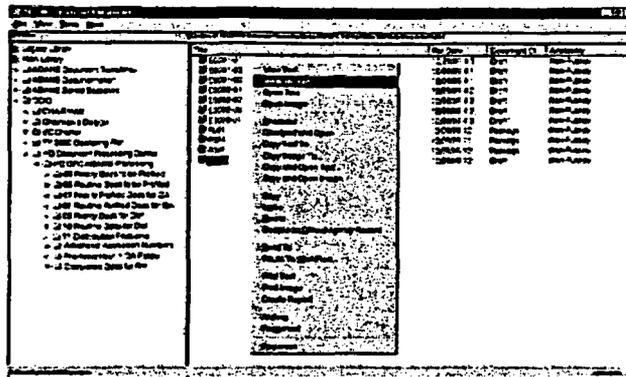


Figure 7-3. Selecting View Image.

9. The ADAMS Viewer will open with the selected document. Manually position the ADAMS Viewer window on one half of the desktop screen.
10. Return to the ADAMS Document Manager (Figure 3-3) window or package contents and right-click the same document. This time, select Properties from the Shortcut menu. In the Document Properties window, click the Profile tab. The Profile window will appear for the document (Figure 7-4).
11. Resize and position the profile window manually on the other half of the desktop screen so that both the document and profile can be viewed at the same time. (If the ADAMS Document Manager window is showing, click the ADAMS Viewer window to bring it forward.) Your workstation window should resemble the screen shown below, with the document image on one side (left or right), and the document profile on the other.

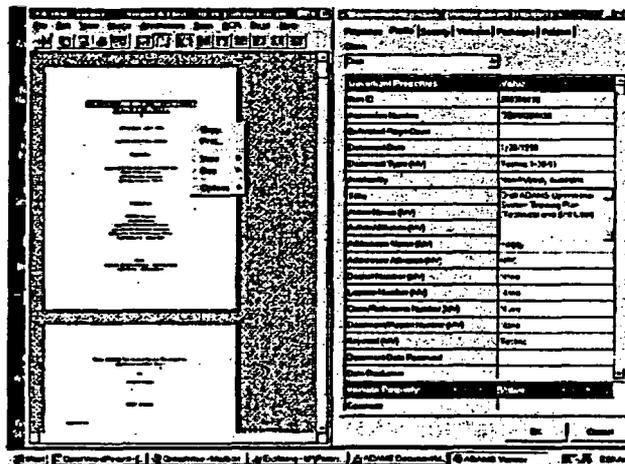


Figure 7-4. ADAMS Viewer (Document Properties Profile).

12. From the ADAMS Viewer Menu Bar, select View | Zoom In or Zoom Out. Repeat until the image's text is suitably legible.

13. Retrieve the hard copy of the appropriate template for the document to be profiled.
14. Change the **Class** field to **Official Record**, which will change the number of required fields.
15. While viewing the document, fill in each field of the profile as appropriate, using the template as a guide.
16. To copy and paste text from the Viewer Image to the Profile template, do the following:
 - On the Viewer menu bar, select **Image | Select**. A crossbar (+) will appear on the document text where you first positioned the cursor.
 - Click, hold and drag to select the desired text. The selected area will display in reverse video – white letters on black background.
 - On the Viewer menu bar, select **OCR | Selection to Clipboard**.
 - On the Profile Template, position the cursor at the beginning of the desired field and press **Ctrl+V**, or right-click and select **Paste**. The information copied from the document image is pasted into the field.
 - Edit as required to remove spaces and align text.
17. Review the data input on the profile for errors and typos.
18. In the Document Properties window, click the **Security** tab. The profile tab window will be replaced by the Document Properties Security tab information window (Figure 7-5).

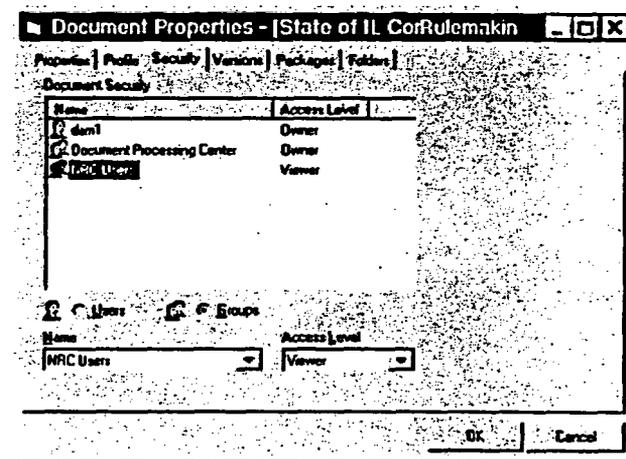


Figure 7-5. Document Properties (Security).

19. Click on **Users**, then click on the **Name** field. Press the alpha key for your first initial, then scroll down to your logon ID. Select your logon ID.
20. Click the **Access Level** field and select **Owner**. A list of owners will appear.
21. Click **Add** to be added to the Document Security box.

22. Close the image in the ADAMS Viewer and click **OK** on the Properties screen. You will return to the ADAMS Document Manager or package contents (Figure 3-3).
23. For a package, repeat the entire profiling process for each document and for the package container. (Exception: Only the first document in a package needs to be checked out).
24. In the ADAMS Document Manager, copy the document or package to the appropriate folder for QA by highlighting the file, right-clicking, and selecting **Copy**. The file will still be checked out, but it can be copied to the QA folder.
25. Next, position the cursor on the appropriate QA folder, right-click, and select **Paste**.
26. After the document/package is pasted in the QA folder, once again highlight the document in the profiling folder, right-click and select **Cancel Checkout**. If it is a package, select **Contents**, right-click on the first document, and select **Cancel Checkout** (Figure 7-6).

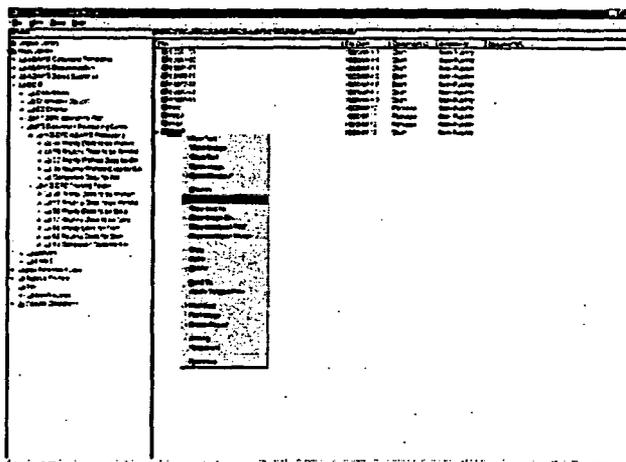


Figure 7-6. Document Manager (Cancel Checkout).

27. The Cancel Checkout window will appear asking, "Do you want to remove local file?"
28. Click **Yes**. The red checkmark will be removed from the document in both the profiling and the QA folder.
29. Right-click the document and select **Unfile** to remove it from the profiling folder. The Confirm Unfiling of Document window will appear, asking, "Unfile Document?" Click **Yes**.

7.4.1 Externally-Authored Paper Documents

Externally-authored paper documents received in the DPC are scanned as ordinary paper documents; however, if the document was initially received directly by an NRC person and then forwarded to the DPC to add the document to ADAMS, the number of the profiling template to be used may be handwritten on the lower-left corner of the first page of the document. If so, use that template for profiling the document. If no template number is found written on the document's first page, the profiler must determine the appropriate template to follow.

The release date for externally-authored paper documents is six working days after the document is profiled.

7.4.2 Special Security Instructions

Certain externally-authored documents require special security access rights on the document's Properties Security tab based on the NRC addressee. Externally-authored documents addressed to NRC EDO, OGC, OIP, RES and SECY require the profiler to modify the document's security tab in accordance with Appendix C.

7.4.3 Oversize Pages

Oversize pages -- blueprints, engineering drawings, and the like -- are each handled as a separate document for purposes of adding to ADAMS. Thus, for example, a single letter report accompanied by one or more oversize engineering drawings is automatically handled as a package.

Because of the enormous TIFF image file size for scanned oversize documents, it is not practical to attempt to view that scanned image on line when profiling the oversize sheet as a document. The hard copy original documents will be used while profiling instead of viewing the on-line image.

7.4.4 Profiling NRC-Authored Paper Documents

All NRC-authored paper documents are sent to the DPC accompanied by an ADAMS Document Submission Form (NRC Form 665). The form itself should be scanned as a separate document, but only for the purpose of viewing during the profiling of the document. Once normal profiling is completed, forward the scanned image of the form to QA with the document. The Form can be deleted once QA is complete.

The Availability field, Sensitivity field, and Date To Be Released field entries are indicated on the form. There should also be a notation of what template to follow for profiling the document.

7.4.5 Profiling NRC-authored Electronic Documents

NRC-authored electronic documents are added to ADAMS by NRC staff. During this process, the NRC submitter fills in the Availability, Sensitivity and Date To Be Released fields on the profile. The number of the template to follow will be entered in the Keyword field by the NRC submitter. Profilers simply complete the profile process.

7.4.6 Profiling NRC-authored Mixed Paper and Electronic Documents

The NRC will add the electronic documents to ADAMS and forward the paper document, along with the ADAMS Document Submission form (NRC Form 665), to the DPC for processing.

The form will be scanned for viewing purposes to aid in the profiling of the package. The form will contain information concerning Availability, Sensitivity, Date to be Released, and which template to use for all accompanying paper and electronic documents.

7.4.7 EIE

Electronic Information Exchange, or EIE, documents are those submitted to the NRC via the NRC web site. These documents are always accompanied by an electronic signature, which provides security to both the sender and to the NRC as recipient.

A document and its accompanying electronic signature are treated as separate documents, and as such are added together into ADAMS as a package.

Profile the document first, selecting the appropriate template. Second, profile the digital signature. When you profile the digital signature, use the template for the document, with the following exceptions:

- For the title, type "Digital Signature for" followed by a description of the accompanying document's content (This may or may not be the document's title or subject line.)
- For the document type, select "Digital Signature/Certificate."

7.5 E-Mail Notification Procedures for Normal Electronic Documents

The DCA Clerk continually monitors the dated subfolders under OCIO | HQ Document Processing Center | NRC Docs for DPC Processing | 99 E-Mails to be Sent-Normal. Using the "DOCUMENTS SUBMITTED TO DPC THROUGH 'NRC DOCS FOR DPC PROCESSING' FOLDERS" list described in Section 7.3, the DCA Clerk determines that a given document or package has been declared an OAR.

The DCA Clerk then sends an e-mail to the NRC document submitter upon the occasion of each document or package being declared an Official Agency Record (OAR).

To send an e-mail for one or more documents submitted by the same person, click on the title of each in the Document Manager while holding down the Ctrl key. Right click and select Send To.

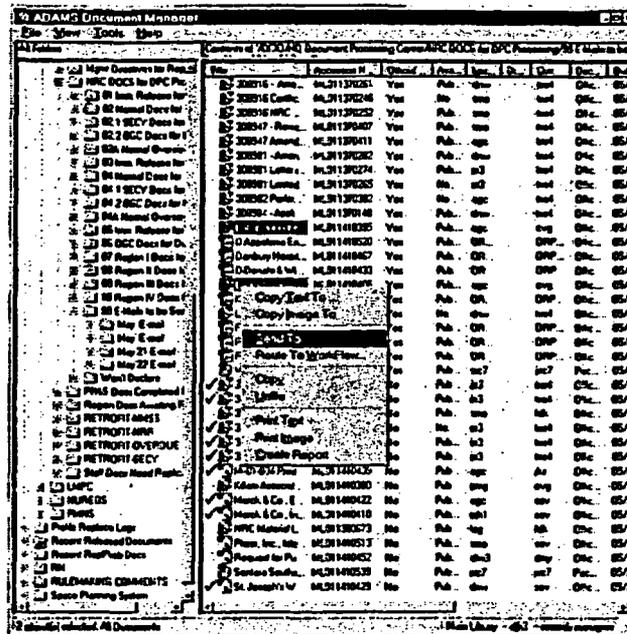


Figure 7-7. ADAMS Document Manager (Send To).

When the Address Book window appears, click on the OK button. This will start the process of creating an e-mail to send to the NRC document submitter. Enter the name of the document's submitter in the To field of the e-mail. Input "HQ DPC Processing is Complete" in the subject block. List the accession numbers of the documents in the message block. Click on the Send button. An example is shown below.

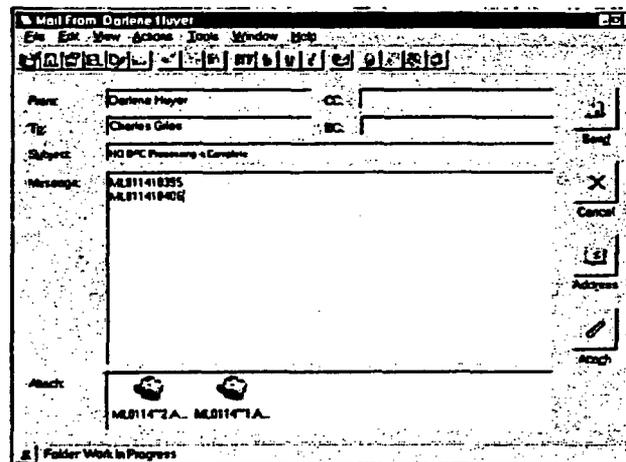


Figure 7-8. GroupWise E-Mail.

Once the e-mail notification has been sent, the DCA Clerk places a check mark on the right side of each document's or package's entry on the list and unfiles the document/package from

the dated folder under OCIO | HQ Document Processing Center | NRC Docs for DPC Processing | 99 E-Mails to be Sent-Normal.

When a workday's folder has been processed, the Profiling Manager checks the log against the contents of the folder to confirm that all processing has been completed.

As each dated folder is emptied, the Profiling Manager renames them to an appropriate date to accommodate incoming documents and packages awaiting processing.

7.6 Messages

See hardware and COTS software user guides for error, diagnostic, and information messages.

7.7 Quick-Reference Guide

Not applicable to this section.

8.0 DOCUMENT PROFILING QUALITY ASSURANCE

Once profiling is complete, the document profile undergoes a quality assurance (QA) check.

8.1 Capabilities

The scanner hardware and associated software, the OCR software, and ADAMS functionality are all accessible via the Windows NT desktop, so that when a processing step is completed, the output from that process (e.g., scanned image) is immediately available electronically for subsequent steps.

Both the Scanning Workstations and the Scanning QA Workstations are equipped with the same software.

8.2 Conventions

This document addresses the processes of converting specified incoming documents and materials for storage in ADAMS. See user guides accompanying both scanner hardware and COTS software for specifics of operation and implementation of the following procedures.

8.3 Processing Procedures

These stations perform QA review of the profile on the documents just added to ADAMS.

Documents that have been through the scanning, image inspection-OCR-ADAMS Add, and profiling processes will receive a final check by the QA group. After documents pass the QA Check, the QA person will copy the document into the distribution folders for E-RIDS distribution. If no distribution is required, a publicly available document is copied into the Completed Docs for RM folder in preparation for loading to the Public Access Server, and non-publicly available documents are unfiled from the QA folder.

Profiled externally-generated documents have been placed in either the 07 Priority Profile Docs for QA (4-hour turnaround time) or the 08 Routine Profile Docs for QA (8-hour turnaround time) folder, depending on their priority. It is important to choose the oldest file date document first.

Note: Check the 07 Priority Profile Docs for QA folder first and, if it is empty, go to the 08 Routine Profile Docs for QA folder. (QA may have a schedule assigning specific individuals to the Priority and Routine Docs folders.)

Profiled internally-generated documents have been placed in the QA Folders located in Main Library\OCIO\HQ Document Processing Center\NRC Docs for DPC Processing. These folders are broken down into Immediate Release, Normal, SECY, OGC (Office of the General Counsel), and Oversize sub-folders. Immediate Release documents have the highest priority. When working in these folders, it is important to choose the oldest file date document first.

Packages of documents that include the forwarding document and all of the enclosures can be identified by an icon of a box with a bow on it. Each document within the package must be QA'd individually.

8.3.1 Document Selection and Checkout

After logging into ADAMS, navigate to the appropriate QA folder via the ADAMS Document Manager (Figure 3-3).

To determine the oldest document, click on the File Date column heading and sort the documents in ascending order (oldest to the most recent).

Since documents must be checked out to be worked on, highlight the document, right-click, and select **Checkout** from the Shortcut menu.

Check out a document from ADAMS Document Manager. The Checkout file to screen will appear. This is similar to the Save as Local File dialogue box, found in Figure 5-4. Click **Save**.

A red check will be placed to the left of the document icon, to notify others that the document has been selected and the profile is in the process of being QA'd. See Figure 7-2.

Size the ADAMS Document Manager window so that it is small enough to keep it from blocking your view later on.

8.3.2 Viewing the Document Image

In the ADAMS Document Manager (Figure 3-3), right-click on the document and select **View Image** if you are QA'ing a scanned document (if you are QA'ing an electronic document, select **View**). The ADAMS Viewer (Figure 5-3) will open with the selected document. Manually position the Viewer on one half of the desktop.

Right-click on the document again and select **Properties**. The profile template will appear. Manually position the Profile window on the other half of the desktop so both the viewer and profile can be viewed at the same time (Figure 7-4). (If the ADAMS Document Manager window is showing, click on the ADAMS Viewer window to bring it forward.)

From the Viewer menu bar, select **View | Zoom In**. Repeat until the font is of the desired size.

8.3.3 Performing Quality Assurance Check of Profile

Complete a QA check of all fields in the Profile (more defined QA checks will be established, as profiling procedures are refined). Continue to perform the same QA checks as was done for ARMS-indexed records.

In situations where a specific template (annotated in the Keyword field of the profile) is referenced, follow instructions as described for that particular template.

A list of the profile fields is provided in the *ADAMS Policy and Procedure Handbook*, listing the description and system uses, input values, and required fields for specific document classes.

For documents submitted under a paper cover Form 665, the form will have been scanned and will accompany the image file. Follow instructions on Form 665 and upon declaring the document, delete the Form 665 image file from ADAMS.

Listed below are some specific field entries to check when QA'ing SECYs:

Document Class	Official Record
Document Type	Commission SECY Paper
Availability	Public (already Input)
Addressee name	blank
Addressee Affiliation	(Office Codes from NRC Phone Book for Commissioners)
License Number	License number, if on document
Case/Reference Number	Any tracking number
Document/Report Number	SECY-YY-XXX
Vital Record	No (default)
Media Type	Electronic (default)
Date to be Released	Current date (only fill in on Publicly Available documents)
Distribution Code	Blank
Text Source	Native application
Official Record	No (default)
Document Sensitivity	Non-sensitive (already input)

When the minimum profile is first created, the document class assigned is *draft*. When the profiler completes the profile, the class should be changed to *Official Record*, which requires more profile field entries. The required fields appear in red on the profile screen and must have an entry or the profile cannot be saved. Some fields are multi-value fields (indicated with (MV) after the field name), which means you can have multiple entries in the field.

Check the Date To Be Released field in the Profile and use the dates as noted:

1. Release of newly received documents from external entities will be the sixth working day after being added to ADAMS.
2. Release of NRC-generated documents addressed to external entities will be the sixth working day after the date of the document.

Release of NRC-generated documents to other NRC addressees or no specific addressee will be the sixth working day from the date of the document.

8.3.4 Performing QA Check of Security

Following the QA check of the Document Properties Profile tab, check the Document Properties Security tab to ensure that NRC Users have been designated as Viewers, unless specifically instructed not to; also, add your own login ID to Security. To check document security, click the Security tab at the top of the Document Properties Profile screen (Figure 7-4). The Document Properties (Security) box will appear (Figure 7-5).

Enter your login in the Document Properties (Security) box by typing the first initial of your login ID in the Name box and selecting your login from the list. Click on the Access Level and select Owner. When you click Add, your login with an access level of Owner appears in the Security Box. Click OK.

8.3.5 Returning Document to ADAMS

In the appropriate QA folder (Figure 7-4), right-click on the document and select Cancel Checkout.

8.3.6 Declaring the Document as an Official Agency Record

After it has been determined that the document is ready to be declared an OAR, right-click on the document in the QA folder of the Document Properties Profile window (Figure 7-4) and select Declare as Official Agency Record. The ADAMS PRV - PreCondition screen will appear (Figure 8-1).

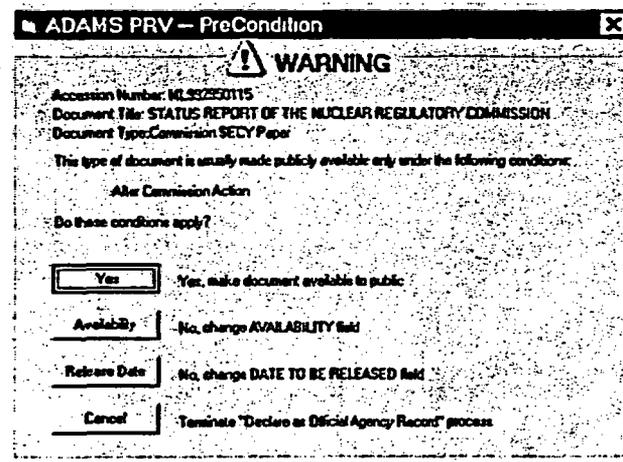


Figure 8-1. ADAMS PRV-PreCondition.

An ADAMS PRV - PreCondition window will appear, asking if specific conditions apply.

- If so, click Yes to continue and make the document an OAR.
- If the availability of the document is not correct and needs to be changed, or if the Release Date needs to be entered, do so and then click Yes.

The ADAMS Public Release Validation window will appear (Figure 8-2). Click Yes if all criteria are met.

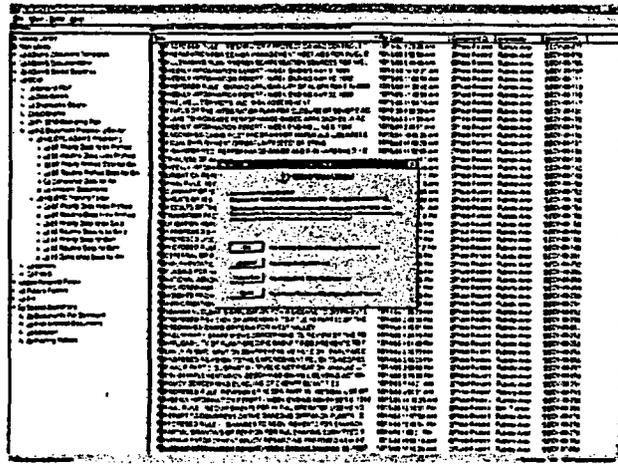


Figure 8-2. ADAMS Public Release Validation

The ADAMS Official Records Processor Warning message will appear (Figure 8-3). Click OK.

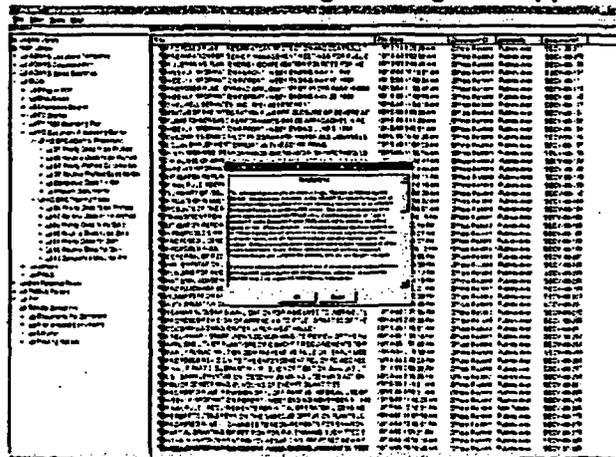


Figure 8-3. ADAMS Official Records Processor Warning.

Select **View | Refresh** or press **F5** to refresh the screen. The icon for the document will be changed to an Acrobat Reader icon, indicating that the file is now declared an OAR. The exception to the icon transformation is if the document was scanned from paper (TIFF), then the icon will remain the same.

Another way to verify that a document successfully declared to be an OAR is to display the "Official Record" field option, which will display either a "Yes" or a "No."

Right-click the document and select **Copy** from the Shortcut menu. If the document has no Distribution Code, paste the document to the Completed Docs for RM folder by navigating to

the correct folder, right-clicking and selecting **Paste**. Return to the QA folder, select the file, right-click, and select **Unfile**.

8.3.7 Copying Documents to the Distribution Folder

For documents with distribution codes, after documents have been declared OARs, right-click on the document in the 07 Priority (or 08 Routine) Profiled Docs for QA folder within the ADAMS Document Manager (Figure 3-3) and select **Copy**. Click on the 09 Priority (or 10 Routine) Docs for Dist folder, right-click, and select **Paste**.

8.3.8 Quality Assurance of Document Packages

Packages of documents that include the forwarding document and all of the enclosures can be identified by an icon that looks like a box with a bow on it. Each document within the package must be QA'd individually. Some document packages are received with split availabilities, such as a public forwarding document and nonpublic enclosures or nonpublic proprietary enclosures.

The following procedures outline the steps to QA such packages.

1. In the ADAMS Document Manager (Figure 3-3), open the appropriate QA folder. Select the oldest document by clicking on the file date. Right-click on the package icon, and click on **Contents**.
2. The Package Properties window (Figure 6-8) will open, displaying the package contents. Right-click on the first document in the package and select **View**. Right-click again and select **Properties**. At the Document Properties window (Figure 6-3), click on **Profile**. QA the profile and each document in the package, in turn.
3. Click on the **Package Properties Security** tab and add your login ID with an access level of "Owner." You do not have to add your ID to each document in the package.

8.4 Messages

See hardware and COTS software user guides for error, diagnostic, and information messages.

8.5 Quick-Reference Guide

There is no guide applicable to this chapter.

9.0 DISTRIBUTION

Following QA inspection of the document profile, the document (hard copy and any accompanying non-document materials) is returned to the Document Control Desk.

9.1 Capabilities

The scanner hardware and associated software, the OCR software, and ADAMS functionality are all accessible via the Windows NT desktop, so that when a processing step is completed, the output from that process (e.g., scanned image) is immediately available electronically for subsequent steps.

Both the Scanning Workstations and the Scanning QA Workstations are equipped with the same software.

9.2 Conventions

This document addresses the processes of converting specified incoming documents and materials for storage in ADAMS. See user guides accompanying both scanner hardware and COTS software for specifics of operation and implementation of the following procedures.

9.3 Distribution Procedures

Documents that have been through scanning, Image Inspection-OCR-ADAMS Add, Profiling, and Quality Assurance and have been declared OARs are now ready for distribution to the designated individuals based on the Distribution Code assigned to the document.

Documents ready for distribution are placed in 09 Priority Docs for Dist or the 10 Routine Docs for Dist folders, depending on their priority. Documents in the 09 Priority Docs for Dist folder have a four-hour turnaround time and documents in the 10 Routine Docs for Dist folder have an eight-hour turnaround time; therefore, it is important to choose the oldest document first, based on file date and time.

After the documents are distributed, the publicly available documents must be copied to the Completed for RM folder and unfiled from the 09 Priority Docs for Dist or 10 Routine Docs for Dist folder. All non-publicly available documents are unfiled from the distribution folders.

In order to distribute the ADAMS documents, sign on to ADAMS in the Distribution Users group, then navigate to Main Library\OCIO\HQ Document Processing Center\HQ DPC ADAMS Processing\09 Priority Docs for Dist or 10 Routine Docs for Dist.

Once there, complete the following steps.

1. Select the oldest item in the 09/10 Priority/Routine Docs for Distribution folder in the ADAMS Document Manager (Figure 3-3). To determine the oldest document, click on the File Date column to put the documents in ascending order by date and time.

2. Highlight the oldest document to be distributed, right-click, and select **Distribute**. A pop-up screen titled **Select a Document** will appear (Figure 9-1).

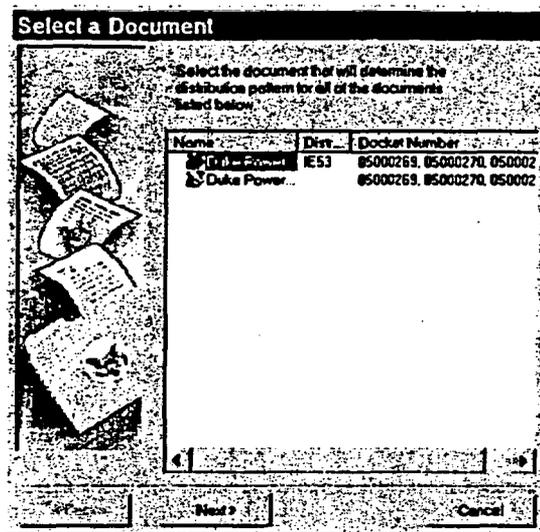


Figure 9-1. Select a Document.

3. Highlight the document with a distribution code next to it and click **Next**. A pop-up screen titled **Distribution Choices** will appear (Figure 9-2).

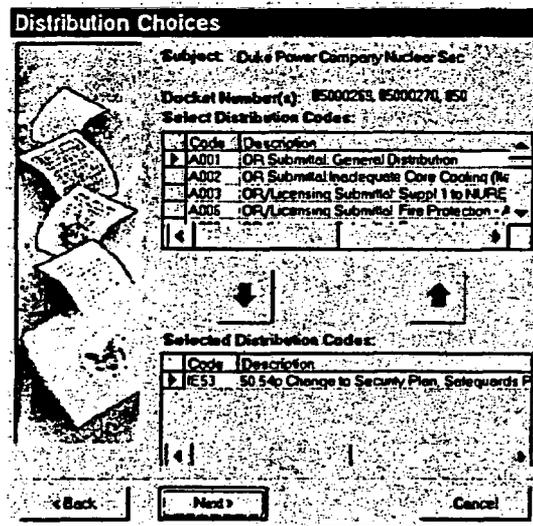


Figure 9-2. Distribution Choices.

4. This screen will show the distribution code currently entered in the document profile "Selected Distribution Codes" field.
 - Compare the displayed code against the handwritten code on the first page of the paper document.

- If the displayed code is incorrect, highlight the entry in that field and click on the up arrow. To enter the correct code, scroll through the listed codes. When the desired code is highlighted, click on the down arrow to add the code.
 - If no code is shown in that field, scroll through the listed codes. When the desired code is highlighted, click on the down arrow to add the code.
5. Click Next. A pop-up screen titled "Check Recipients" will appear (Figure 9-3).

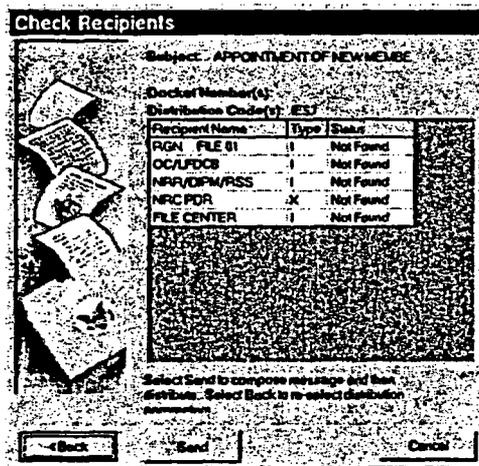


Figure 9-3. Check Recipients.

6. Inspect the list of recipients and ensure that the correct distribution code is being used. Click on Send. The Address Book will appear (Figure 9-4).

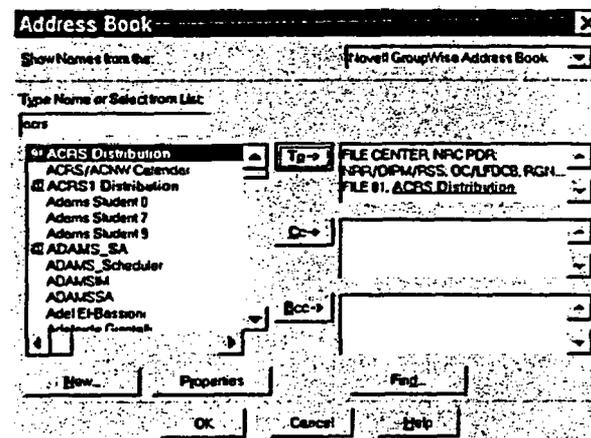


Figure 9-4. Address Book.

7. The list of distribution recipients will appear in the "To" field.

8. When you determine that the distribution pattern is satisfactory, click on OK. A GroupWise e-mail screen will appear. (See Figure 7-8 on page 7-11.)
9. The bottom of the screen (Figure 9-5) will show the list of recipients in the To: field and two icons representing e-mail attachments. One is the document being distributed; the other is a distribution sheet, named "distr-#.txt," where # represents a number that changes with each distribution. Highlight the "distr-#.txt" document and right-click.

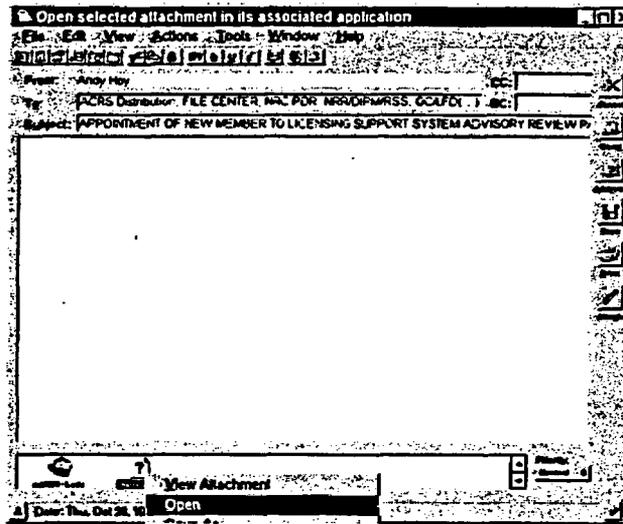


Figure 9-5. Open Selected Attachment in its Associated Application.

10. From the shortcut menu that appears when you have right-clicked, select Open. The distribution sheet will open in Notepad (Figure 9-6).

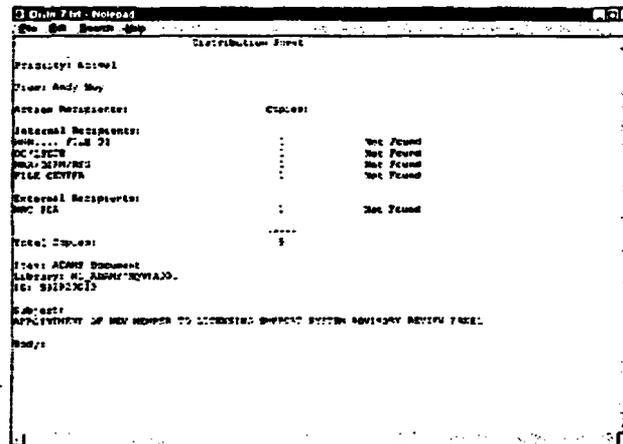


Figure 9-6. Notepad (w/ Distribution Sheet).

11. If a notation on the first page of the document image (e.g. ADD ACRS, 1 copy) or additional distribution information found in the "Notes" section of the above sheet

indicates any additional distribution recipients needing to be added to the list, enter the additional recipients in the appropriate column and change the "Total Copies" number.

12. From the Notepad menu, select **File | Print** to produce a copy of the distribution sheet.
13. Retrieve the distribution sheets from the printer and attach to the original documents in preparation for forwarding to the NRC.

In cases where paper documents are accompanied by a CD, affix a pre-printed label to the distribution sheet that reads "Attention DCD - Create and Provide CD copies to the NRC Public Document Room and File Center."

14. To complete the distribution process:
 - In the ADAMS Document Manager (Figure 3-3), navigate to the 09/10 Priority/Routine Docs for Dist folder, right-click on the document and select **Copy** from the Shortcut menu; then
 - (If publicly available) Navigate to the Completed Docs for RM folder, right-click, and select **Paste**; and,
 - Navigate to the 09/10 Priority/Routine Docs for Dist folder and unfile the document.

9.4 Messages

See hardware and COTS software user guides for error, diagnostic, and information messages.

9.5 Quick-Reference Guide

There is no quick reference guide for this chapter.

10.0 DOCUMENT REPLICATION

Once QA inspection is complete, publicly available documents are copied to the Completed Docs for RM folder, where they are stored until their document release date matches the current date.

10.1 Capabilities

The scanner hardware and associated software, the OCR software, and ADAMS functionality are all accessible via the Windows NT desktop, so that when a processing step is completed, the output from that process (e.g., scanned image) is immediately available electronically for subsequent steps.

Both the Scanning Workstations and the Scanning QA Workstations are equipped with the same software.

10.2 Conventions

This document addresses the processes of converting specified incoming documents and materials for storage in ADAMS. See user guides accompanying both scanner hardware and COTS software for specifics of operation and implementation of the following procedures.

10.3 Processing Procedures

These stations perform replication of publicly available documents to the public server on the date that they are scheduled to become publicly available.

Documents that are publicly available, have been QA'ed, and have been declared OARs by the DPC QA group will be stored in the Completed Docs for RM folder. Each day, all date-eligible documents in this folder must be copied to both a temporary folder and a daily replication folder. The purpose of the temporary folder is to establish a holding area for files to reside in while the replication process takes place. On a periodic basis, these temporary folders will be purged after successful replication of all files has been confirmed.

Documents that are declared OARs by NRC staff are identified by a set of daily searches and copied to both a temporary search folder and the daily replication folder.

10.3.1 Replication from the Completed Docs for RM Folder

After logging into ADAMS, navigate to the Main Library/OCIO/HQ Document Processing Center/HQDPC ADAMS Processing/Completed Docs for RM folder in the ADAMS Document Manager (Main Library - Completed Docs for RM) (Figure 10-1).

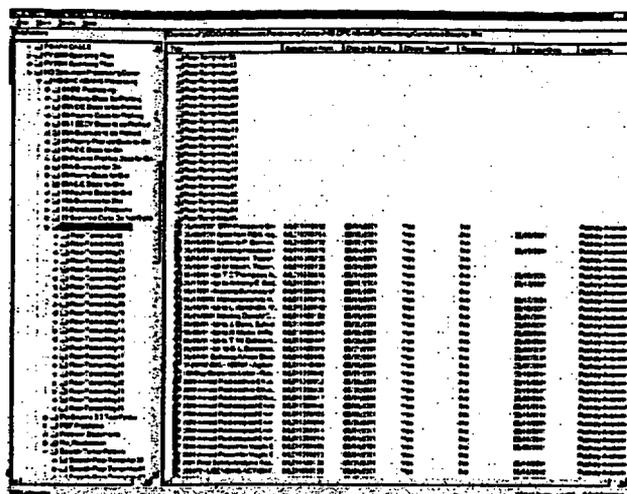


Figure 10-1. ADAMS Document Manager (Main Library - Completed Docs for RM).

To determine the eligible documents, click on the Date to be Released column heading and sort the documents in ascending order. OARs with a release date of the current day, or earlier, are eligible to be replicated to the public server.

Highlight all packages that meet these replication criteria, and copy them to appropriate Daily Replication Temp Folder. This folder will be found as a sub-folder within Completed Docs for RM (e.g., Completed Docs for RM/Rep-Temp-May11). After you have copied the packages, unfile the packages from the Completed Docs for RM folder.

Highlight all individual documents that meet these replication criteria, and copy them to same Daily Replication Temp Folder. After completing the document copying, unfile the documents from the Completed Docs for RM folder.

Highlight all packages in the Daily Replication Temp Folder and copy them to the appropriate Daily Replication Folder. This folder will be found as a sub-folder within Main Library/Recent Released Documents Folder (e.g., Main Library/Recent Released Documents/May 2001/May 11), and will be named with the date of the following work day. The packages will now be replicated to the public server when the replication process is run by Computer Operations.

Highlight all individual documents in the Daily Replication Temp Folder and copy them to same Daily Replication Folder. The documents will now be replicated to the public server.

10.3.2 Replication from the Daily Replication Search

Every day, two searches are performed to identify packages and documents that are eligible to be replicated, via ADAMS Find.. These searches are designed to identify eligible NRC staff generated documents processed outside of the DPC folder structure. These searches are run at least four times per day, commencing at 8:30 AM and ending at 4:30 PM. The parameters of these searches are constructed as follows, using the ADAMS Advanced Find utility.

Package Search (Figure 10-2):

Current Version Date is greater than 03/31/2000
Availability is equal publicly available
Official Record is equal yes
Replicated is equal no
Doc Type is equal package
Date to be Released is greater than 12/31/1999
Date to be Released is less than (Tomorrow's date)

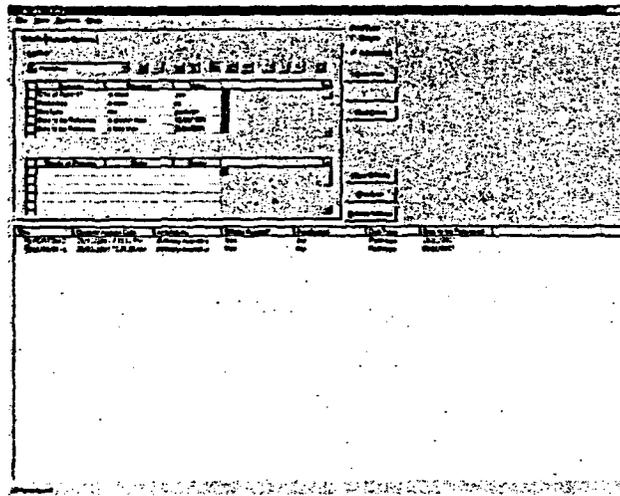


Figure 10-2. ADAMS Find (Package Search).

Document Search (Figure 10-3):

Current Version Date is greater than 03/31/2000
Availability is equal publicly available
Official Record is equal yes
Replicated is equal no
Document Sensitivity like non-sensit*
Date to be Released is greater than 12/31/1999
Date to be Released is less than (Tomorrow's date)

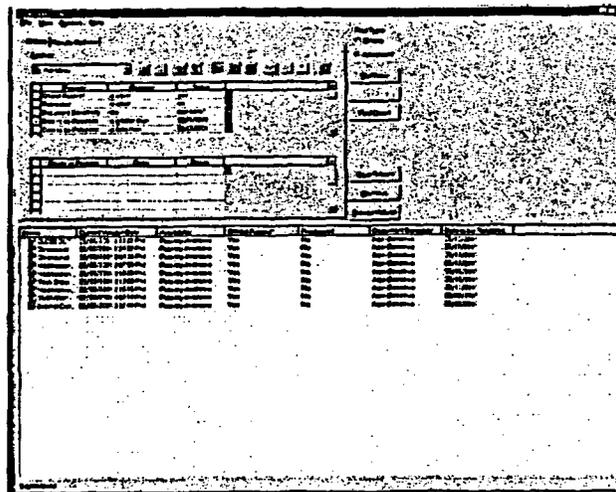


Figure 10-3. ADAMS Find (Document Search).

As each group of search results is displayed, highlight groups of packages or documents and copy them to the appropriate temporary folder located as a sub-folder within the HQ DPC ADAMS Processing folder (e.g. HQ DPC ADAMS Processing/Search-Rep-Temp-May11). Packages and documents may be copied to the same search temp folder.

After all eligible packages and documents have been copied to the search temp folder, they must be copied to the appropriate Daily Replication Folder. This will be the same folder into which the Completed for RM/Rep-Temp-(current date) documents and packages were copied.

Note: After all packages and documents have been copied to the Daily Replication folder, it is important not to unfile from any of the temporary folders.

Repeat these searches throughout the day, with a final search at 4:30 PM. With each search, copy the packages and documents to the appropriate Temp and Replication folders.

10.4 Messages

See hardware and COTS software user guides for error, diagnostic, and information messages.

10.5 Quick-Reference Guide

There is no quick reference guide for this chapter.

APPENDIX A. ACRONYMS

ADAMS. Agencywide Documents Access and Management System.
ADF. Automatic Document Feeder.
ASCII. American Standard Code Information Interchange.
CAD. Computer Aided Design.
CD. Compact Disk.
COTS. Commercial, Off-the-Shelf.
DCA. Distribution Code Assignment.
DCD. Document Control Desk.
DPC. Document Processing Center.
DPI. Dots per inch.
DRP. Document Receipt and Preparation
E-RIDS. Electronic Regulatory Information Distribution System.
FTP. File Transfer Protocol.
GR. Grey scale.
HP. Hewlett-Packard.
ID. Identification.
IMD. Information Management Division of OCIO (see below).
LAN. Local Area Network.
MV. Multi-Value.
NRC. United States Nuclear Regulatory Commission.
NT. New Technology, part of Windows NT, Microsoft's operating system in use at the NRC.
NUDOCS. Nuclear Documents System.
OAR. Official Agency Record.
OCR. Optical Character Reader.
OCIO. The NRC's Office of the Chief Information Officer.
OGC. Office of the General Counsel.
PC. Personal Computer.
PRV. Public Release Validation.
QA. Quality Assurance.
QC. Quality Control.
RGB. Red-Green-Blue, i.e., color printing.
SDLCM. The NRC's Software Development Life Cycle Management methodology.
SECY. The NRC's Office of the Secretary.
SQL. Structured Query Language.
TIFF. Tagged Image File Format.

APPENDIX B. FORMS

The following pages contain the forms and cover sheets used at the DPC. They are:

Form #	Title	Format
	DPC-021-022-023-024-025-QP-Incrementing	Quattro Pro
DPC-021	Complex Target - (paper version for hand numbering)	WordPerfect
DPC-022	Priority Target - (paper version for hand numbering)	WordPerfect
DPC-023	Routine Target - (paper version for hand numbering)	WordPerfect
DPC-024	Retrofit Target - (paper version for hand numbering)	WordPerfect
DPC-025	SCAN_OCR Target - (paper version for hand numbering)	WordPerfect
DPC-026	Oversize Target - (paper version for hand numbering)	WordPerfect
DPC-027	Attachment Target	WordPerfect
DPC-028	Document/Package Divider Flag	WordPerfect
DPC-029	Non Public Target	WordPerfect
DPC-030	Do Not Scan Target	WordPerfect
DPC-031	Prop Target	WordPerfect
DPC-036	Proprietary Info Target	WordPerfect
DPC-037	Priority Log	Quattro Pro
DPC-038	Routine Log	Quattro Pro
DPC-039	Scan OCR Log	Quattro Pro
DPC-040	Retrofit Log	Quattro Pro
DPC-041	Complex Log	Quattro Pro
DPC-042	Request Scan Form	WordPerfect
DPC-043	Request For DPC Services Form	WordPerfect
DPC-044	DPC Daily Documents Received - Production Report	WordPerfect
DPC-045	Expedited Target	WordPerfect
DPC-046	Precautions Target	WordPerfect
DPC-047	Image Inspection/OCR/Minimum Profile Work Log	WordPerfect
DPC-048	Color and Oversize Image Log	WordPerfect
DPC-049	Daily Document / Image Production Report	WordPerfect

Individual Originals for these documents are saved on the G: drive of the DPC. They are in either WordPerfect or Quattro Pro format.

The path is: \\GDNWFS1\NRC\Document Processing Center\SOP_HQ\Output DPC.

DPC - 022

PRIORITY DOCUMENT

DOCUMENT'S SCAN ID # P 101100

TOTAL PAGES IN DOCUMENT: _____

DOCUMENT CONTAINS:
(CIRCLE YES OR NO)

DOUBLE SIDED PAGES? YES NO
OVERSIZE PAGES? YES NO

IF YES, RECORD TOTAL # OF OVERSIZI PAGES INCLUDED IN DOCUMENT : _____

ACCESSION # _____

DPC - 023

ROUTINE DOCUMENT

DOCUMENT'S SCAN ID # R 102100

TOTAL PAGES IN DOCUMENT: _____

DOCUMENT CONTAINS:
(CIRCLE YES OR NO)

DOUBLE SIDED PAGES? YES NO
OVERSIZE PAGES? YES NO

IF YES, RECORD TOTAL # OF OVERSIZI PAGES INCLUDED IN DOCUMENT : _____

ACCESSION # _____

DPC - 025

OCR/SCAN DOCUMENT

DOCUMENT'S SCAN ID # R 102100

TOTAL PAGES IN DOCUMENT: _____

DOCUMENT CONTAINS:
(CIRCLE YES OR NO)

DOUBLE SIDED PAGES? YES NO
OVERSIZE PAGES? YES NO

IF YES, RECORD TOTAL # OF OVERSIZI PAGES INCLUDED IN DOCUMENT : _____

ACCESSION # _____

DPC - 024

RETROFIT DOCUMENT

DOCUMENT'S SCAN ID # R 102100

TOTAL PAGES IN DOCUMENT: _____

DOCUMENT CONTAINS:
(CIRCLE YES OR NO)

DOUBLE SIDED PAGES? YES NO
OVERSIZE PAGES? YES NO

IF YES, RECORD TOTAL # OF OVERSIZI PAGES INCLUDED IN DOCUMENT : _____

ACCESSION # _____

DPC - 021

**COMPLEX
DOCUMENT**

DOCUMENT'S SCAN ID # R 102100

TOTAL PAGES IN DOCUMENT: _____

DOCUMENT CONTAINS:
(CIRCLE YES OR NO)

DOUBLE SIDED PAGES?	YES	NO
OVERSIZE PAGES?	YES	NO

IF YES, RECORD TOTAL # OF OVERSIZE PAGES
INCLUDED IN DOCUMENT: _____

ACCESSION # _____

COMPLEX DOCUMENT

DOCUMENT'S

SCAN ID # **C** _____

TOTAL PAGES IN DOCUMENT: _____

Document Contains:

(Circle Yes or No)

Double-Sided Pages?: Yes No

Oversized Pages?: Yes No

**IF YES, RECORD TOTAL # OF OVERSIZED PAGES
IN DOCUMENT** _____

ACCESSION # _____

(Filled Out by Image QC)

PRIORITY DOCUMENT

DOCUMENT'S

SCAN ID # P _____

TOTAL PAGES IN DOCUMENT: _____

Document Contains:

(Circle Yes or No)

Double-Sided Pages?: Yes No

Oversized Pages?: Yes No

**IF YES, RECORD TOTAL # OF OVERSIZED PAGES
IN DOCUMENT** _____

ACCESSION # _____

(Filled Out by Image QC)

ROUTINE DOCUMENT

DOCUMENT'S

SCAN ID # **R** _____

TOTAL PAGES IN DOCUMENT: _____

Document Contains:

(Circle Yes or No)

Double-Sided Pages?: Yes No

Oversized Pages?: Yes No

IF YES, RECORD TOTAL # OF OVERSIZED PAGES
IN DOCUMENT _____

ACCESSION # _____

(Filled Out by Image QC)

RETROFIT DOCUMENT

DOCUMENT'S

SCAN ID # **X** _____

TOTAL PAGES IN DOCUMENT: _____

Document Contains:

(Circle Yes or No)

Double-Sided Pages?: Yes No

Oversized Pages?: Yes No

**IF YES, RECORD TOTAL # OF OVERSIZED PAGES
IN DOCUMENT** _____

ACCESSION # _____

(Filled Out by Image QC)

SCAN/OCR DOCUMENT

DOCUMENT'S

SCAN ID # S _____

TOTAL PAGES IN DOCUMENT: _____

Document Contains:

(Circle Yes or No)

Double-Sided Pages?: Yes No

Oversized Pages?: Yes No

**IF YES, RECORD TOTAL # OF OVERSIZED PAGES
IN DOCUMENT** _____

ACCESSION # _____

(Filled Out by Image QC)

**THIS PAGE IS AN
OVERSIZED DRAWING
OR FIGURE**

**THAT CAN BE VIEWED AT
THE RECORD TITLED:
10-S-01-1 Emergency Classification
Flowchart attachment IV Page 2 of 2**

**WITHIN THIS PACKAGE...OR,
BY SEARCHING USING THE
DRAWING NUMBER:
10-S-01-1**

NOTE: Because of this page's large file size, it may be more convenient to copy the file to a local drive and use the Imaging (Wang) viewer, which can be accessed from the Programs/Accessories menu.

ATTACHMENT

BINDER/VOLUME #:

ATTACHMENT

DOCUMENT /PACKAGE DIVIDER

NON-

PUBLIC

**DO
NOT
SCAN**

PROP

PROPRIETARY INFORMATION

NOTICE

THE ATTACHED DOCUMENT CONTAINS OR IS CLAIMED TO CONTAIN PROPRIETARY INFORMATION AND SHOULD BE HANDLED AS NRC SENSITIVE UNCLASSIFIED INFORMATION. IT SHOULD NOT BE DISCUSSED OR MADE AVAILABLE TO ANY PERSON NOT REQUIRING SUCH INFORMATION IN THE CONDUCT OF OFFICIAL BUSINESS AND SHOULD BE STORED, TRANSFERRED, AND DISPOSED OF BY EACH RECIPIENT IN A MANNER WHICH WILL ASSURE THAT ITS CONTENTS ARE NOT MADE AVAILABLE TO UNAUTHORIZED PERSONS.

COPY NO. _____

DOCKET NO. _____

CONTROL NO. _____

REPORT NO. _____

REC'D W/LTR DTD. _____

PROPRIETARY INFORMATION

DPC PRIORITY LOG

Document Receipt and Prep					
Document Scan ID#	Package Document Count	Total Page Count	Oversize Page Count	Accession Number	Processing Complete (mm/dd/yyyy)
P 100961					
P 100962					
P 100963					
P 100964					
P 100965					
P 100966					
P 100967					
P 100968					
P 100969					
P 100970					
P 100971					
P 100972					
P 100973					
P 100974					
P 100975					
P 100976					
P 100977					
P 100978					
P 100979					
P 100980					
P 100981					
P 100982					
P 100983					
P 100984					
P 100985					
P 100986					
P 100987					
P 100988					
P 100989					
P 100990					
P 100991					
P 100992					
P 100993					
P 100994					
P 100995					
P 100996					
P 100997					
P 100998					
P 100999					
P 101000					
P 101001					

DPC ROUTINE LOG

Document Receipt and Prep					
Document Scan ID#	Package Document Count	Total Page Count	Oversize Page Count	Accession Number	Processing Complete (mm/dd/yyyy)
R 112281					
R 112282					
R 112283					
R 112284					
R 112285					
R 112286					
R 112287					
R 112288					
R 112289					
R 112290					
R 112291					
R 112292					
R 112293					
R 112294					
R 112295					
R 112296					
R 112297					
R 112298					
R 112299					
R 112300					
R 112301					
R 112302					
R 112303					
R 112304					
R 112305					
R 112306					
R 112307					
R 112308					
R 112309					
R 112310					
R 112311					
R 112312					
R 112313					
R 112314					
R 112315					
R 112316					
R 112317					
R 112318					
R 112319					
R 112320					
R 112321					

DPC SCAN/OCR LOG

Document Receipt and Prep					
Document Scan ID#	Package Document Count	Total Page Count	Oversize Page Count	Accession Number	Processing Complete (mm/dd/yyyy)
S 100001					
S 100002					
S 100003					
S 100004					
S 100005					
S 100006					
S 100007					
S 100008					
S 100009					
S 100010					
S 100011					
S 100012					
S 100013					
S 100014					
S 100015					
S 100016					
S 100017					
S 100018					
S 100019					
S 100020					
S 100021					
S 100022					
S 100023					
S 100024					
S 100025					
S 100026					
S 100027					
S 100028					
S 100029					
S 100030					
S 100031					
S 100032					
S 100033					
S 100034					
S 100035					
S 100036					
S 100037					
S 100038					
S 100039					
S 100040					
S 100041					

DPC RETROFIT LOG

Document Receipt and Prep					
Document Scan ID#	Package Document Count	Total Page Count	Oversize Page Count	Accession Number	Processing Complete (mm/dd/yyyy)
X 102021					
X 102022					
X 102023					
X 102024					
X 102025					
X 102026					
X 102027					
X 102028					
X 102029					
X 102030					
X 102031					
X 102032					
X 102033					
X 102034					
X 102035					
X 102036					
X 102037					
X 102038					
X 102039					
X 102040					
X 102041					
X 102042					
X 102043					
X 102044					
X 102045					
X 102046					
X 102047					
X 102048					
X 102049					
X 102050					
X 102051					
X 102052					
X 102053					
X 102054					
X 102055					
X 102056					
X 102057					
X 102058					
X 102059					
X 102060					
X 102061					

DPC COMPLEX LOG

Document Receipt and Prep

Document Scan ID#		Package Document Count	Total Page Count	Oversize Page Count	Accession Number	Processing Complete (mm/dd/yyyy)
C	100001					
C	100002					
C	100003					
C	100004					
C	100005					
C	100006					
C	100007					
C	100008					
C	100009					
C	100010					
C	100011					
C	100012					
C	100013					
C	100014					
C	100015					
C	100016					
C	100017					
C	100018					
C	100019					
C	100020					
C	100021					
C	100022					
C	100023					
C	100024					
C	100025					
C	100026					
C	100027					
C	100028					
C	100029					
C	100030					
C	100031					
C	100032					
C	100033					
C	100034					
C	100035					
C	100036					
C	100037					
C	100038					
C	100039					
C	100040					
C	100041					

REQUEST FOR SCANNING SERVICES

HEADQUARTERS DOCUMENT PROCESSING CENTER (HQDPC)

To Be Completed by Requester:

Date: _____

Requester's Name and User ID: _____

Mail Stop: _____ Phone extension: _____

- I certify that the attached document is the "Official Record" copy or a "Designated Original" copy of the "Official Record." (Required in order to receive service!).

Service Requested:

- Scan pages exceeding 8 ½ by 14 inches.
 Scan document(s) / document package exceeding 6 pages in length.
 Scan color document(s).

Check One of the Following:

- Scan/index as a "package" containing multiple individual documents. (Provide special instructions when appropriate).
 Scan/index as a single document.

NOTE: Large or voluminous documents may have to be broken down into smaller individual documents to facilitate searching and viewing.

TO BE COMPLETED BY HQDPC STAFF:

Date and Time received: _____

Date and Time returned to requester: _____

ADAMS Accession Number(s): _____
(ie: ML003696531)

REQUEST FOR DPC SERVICES:

Complex Document Processing
(Hand carry to Document Control Desk, OWFN P1-17)

Please Keep Form With Attached Pages

DPC Log Number _____
(ie: C100099-X; 'X' for 'last page')

To Be Completed by Requester: Date Submitted: _____

Requester's Name: _____ Email ID: _____

Phone: _____ Mail Stop: _____

Electronic Document's Date: _____ Accession # ML _____

Docket No(s). 05000- _____ License No(s). _____

Publicly Available / Public Release Deadline _____ Non-Public

I certify that the attached document(s) to be scanned is/are NOT already in ADAMS.

Provide Information about Attached Pages to Be Scanned:

Title: _____
(Plant Name, [Technical Specification; License; Handouts], Subject)

Author Affiliation: _____

Instructions for DPC:

1. Scan attached document
 2. Profile/Index as a single document
 3. Create "Package" document with Accession number as noted above
 4. Do not Declare-Pending
 5. Distribute complete "package" using RIDS code NRR01
- *****

To Be Completed by DPC Staff:

Date/Time Rec'd.: _____ Date/Time to Requester: _____

"Package" Accession No. _____
(ie: ML003727636)

DPC Daily Documents Received Production Report

(Date: / /200_)

Documents Received / Prepped

Flow	Packages/Mothers	Daughter Documents	Pages Received
Complex			
Complex-INTERNAL			
Priority			
Routine			
Scan/OCR Only			
Retrofit			
TOTALS			
GRAND TOTALS (Mothers/Daughters) =			

NONPUBLIC PACKAGE TOTALS =

ADAMS Processing Complete and Originals Returned to NRC DCD

Flow	Packages/Mothers	Daughter Documents	Total Documents
Priority/Complex			
Routine			
Scan/OCR Only			
Retrofit			
TOTAL DOCUMENTS			

ADAMS PROCESSING BACKLOG

Packages (Standalones/mothers) =

All Documents (Standalone/mothers/daughters) =

(Turn into Manager DPC by 4:30pm daily)

EXPEDITED PROCESSING FORM

REQUEST FOR SCANNING/COMPLETE INDEXING OF COMPLEX NRR DOCUMENTS

NRR/DLPM Amendments / Meeting Summaries

Other _____

To be completed by the Requester:

Date: _____

Requester's Name: _____ Mail Stop _____

Phone Extension: _____

- I certify that the attached document is the "Official Record" copy or a "Designated Original" copy of the "Official Record."
(Required in order to receive service).

Document Type:

- License Amendment (Template NRR-058)
(Amendment No. _____ Plant _____)
- Meeting Summary (Template NRR-111)
(Date of Meeting _____)

Processing:

Scan, Profile, and OAR as a single document (E-RIDS = DFO1)

Please return form to Requester w/ Accession Number _____

EXPEDITED PROCESSING

DPC - 022

PRIORITY DOCUMENT

DOCUMENT'S SCAN ID # P 101100

TOTAL PAGES IN DOCUMENT: _____

DOCUMENT CONTAINS:
(CIRCLE YES OR NO)

DOUBLE SIDED PAGES? YES NO
OVERSIZE PAGES? YES NO

IF YES, RECORD TOTAL # OF OVERSIZE PAGES INCLUDED IN DOCUMENT : _____

ACCESSION # _____

DPC - 023

ROUTINE DOCUMENT

DOCUMENT'S SCAN ID # R 102100

TOTAL PAGES IN DOCUMENT: _____

DOCUMENT CONTAINS:
(CIRCLE YES OR NO)

DOUBLE SIDED PAGES? YES NO
OVERSIZE PAGES? YES NO

IF YES, RECORD TOTAL # OF OVERSIZE PAGES INCLUDED IN DOCUMENT : _____

ACCESSION # _____

DPC - 025

DPC - 0224

OCR/SCAN DOCUMENT

DOCUMENT'S SCAN ID # R 102100

TOTAL PAGES IN DOCUMENT: _____

DOCUMENT CONTAINS:
(CIRCLE YES OR NO)

DOUBLE SIDED PAGES? YES NO
OVERSIZE PAGES? YES NO

IF YES, RECORD TOTAL # OF OVERSIZE PAGES INCLUDED IN DOCUMENT : _____

ACCESSION # _____

RETROFIT DOCUMENT

DOCUMENT'S SCAN ID # R 102100

TOTAL PAGES IN DOCUMENT: _____

DOCUMENT CONTAINS:
(CIRCLE YES OR NO)

DOUBLE SIDED PAGES? YES NO
OVERSIZE PAGES? YES NO

IF YES, RECORD TOTAL # OF OVERSIZE PAGES INCLUDED IN DOCUMENT : _____

ACCESSION # _____

DPC - 021

COMPLEX DOCUMENT

DOCUMENT'S SCAN ID # R 102100

TOTAL PAGES IN DOCUMENT: _____

DOCUMENT CONTAINS:
(CIRCLE YES OR NO)

DOUBLE SIDED PAGES? YES NO
OVERSIZE PAGES? YES NO

IF YES, RECORD TOTAL # OF OVERSIZE PAGES INCLUDED IN DOCUMENT : _____

ACCESSION # _____

Precautions

Be careful not to scan the following document. Preliminary document feed test may be necessary to avoid the unexpected errors. If the document slips in ADF (JAM error) or double feed occurs frequently, separation pressure adjustment in Reference Guide may be effective.

- Paper with clips
- Paper with wet ink
- Paper of which thickness is not constantly equal (like envelope)/
- Paper with large rumples or curl (see NOTE of the next page)
- Paper with folds or tears
- Tracing paper
- Coating paper
- Carbon paper
- Carbon-less paper
- Paper smaller than 76 mm x 63 mm size, or larger than A3
- Other than paper; clothes, metal foil, or OHP film
- Photographic paper
- Paper with notches on its side
- Other than rectangle paper

APPENDIX C. DPC TABLES

The following pages contain a set of log and informational tables for use at the DPC. They include:

- **Documents Submitted to DPC Through "NRC DOCS FOR DPC PROCESSING" Folders;**
- **Special Document Handling (Externally-Authored Documents), as of 5/21/2001;**
- **the RES group security access table, as of 3/29/2000; and**
- **Commission Correspondence - Final Template SECY-017.**

SPECIAL DOCUMENT HANDLING (EXTERNALLY-AUTHORED DOCUMENTS)

Addressed to NRC Organization	Availability	Security Rights	HQ DPC Declare?
EDO (Executive Director for Operations)	Non-public	Document Processing Center = Owner EDO = Owner Yourself = Owner Remove: NRC Users = Viewer	No
OGC (Office of General Counsel)	Non-public	Document Processing Center = Owner OGC-Mail Room = Owner Yourself = Owner Remove: NRC Users = Viewer	No
OIP (Office of International Programs)	Non-public	Document Processing Center = Owner OIP = Owner Yourself = Owner Remove: NRC Users = Viewer	No
RES (Office of Nuclear Regulatory Research)	Non-public	Document Processing Center = Owner Group Name Corresponding to RIDS Code = Owner [see Attachment 1] Yourself = Owner Remove: NRC Users = Viewer	No
SECY (Office of the Secretary)	Non-public	Document Processing Center = Owner SECY = Owner NRC Users = Viewer Yourself = Owner If Commission Correspondence (Template = SECY-017), remove NRC Users = Viewer and see Attachment 2 for additional owners based on RIDS Code	No
All Others (ADM, NRR, NMSS, OSP, OE, HR, etc.)	As appropriate	Document Processing Center = Owner NRC Users = Viewer Yourself = Owner	Yes

RES GROUP SECURITY ACCESS TABLE

RIDS CODE	DESCRIPTION	SECURITY GROUP NAME = OWNER
RES0 1	Mail Addressed to Director, Office of Nuclear Regulatory Research (RES)	RES-FO
RES0 2	Mail Addressed to RES Program Management, Policy Development and Analysis Staff (PMPDAS)	RES-PMPDAS
RES0 3	Mail Addressed to RES Director, Division of Engineering Technology (RES/DET)	RES-DET-DIROFF
RES0 4	Mail Addressed to Materials Engineering Branch (RES/DET/MEB)	RES-DET-MEB
RES0 5	Mail Addressed to Engineering Research Applications Branch (RES/DET/ERAB)	RES-DET-ERAB
RES0 6	Mail Addressed to Director, Division of Risk Analysis and Applications (RES/DRAA)	RES-DRAA-DIROFF
RES0 7	Mail Addressed Probabilistic Risk Analysis Branch (RES/DRAA/PRAB)	RES-DRAA-PRAB
RES0 8	Mail Addressed Radiation Protection, Environmental Risk and Waste Management Branch (RES/DRAA/RPERWMB)	RES-DRAA-RPERWMB
RES0 9	Mail Addressed to Operating Experience Risk Analysis Branch (RES/DRAA/OERAB)	RES-DRAA-OERAB
RES1 0	Mail Addressed to Director, Division of Systems Analysis and Regulatory Effectiveness (RES/DSARE)	RES-DSARE-DIROFF
RES1 1	Mail Addressed to Regulatory Effectiveness Assessment and Human Factors Branch (RES/DSARE/REAHFB)	RES-DSARE-REAHFB
RES1 2	Mail Addressed to Safety Margins and Systems Analysis Branch (RES/DSARE/SMSAB)	RES-DSARE-SMSAB

Attachment 2

Commission Correspondence - Final Template SECY -017		
Action Office	E-RIDS Code	Security Access Rights
SECY/OCM	SECY00	Owner = SECY Owner = OCM
EDO	SECY01	Owner = SECY Owner = OCM Owner = EDO
OCIO	SECY03	Owner = SECY Owner = OCM Owner = OCIO
OCFO	SECY04	Owner = SECY Owner = OCM Owner = OCFO
OIP	SECY05	Owner = SECY Owner = OCM Owner = OIP
OGC	SECY06	Owner = SECY Owner = OCM Owner = OGC
OPA	SECY07	Owner = SECY Owner = OCM Owner = OPA

NRC

Document Processing Center (DPC)

ADAMS Input Process

Time-Motion Study

Release Date: February 2000

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Attachments – Data Collection Sheets with Instructions

**NRC Document Processing Center (DPC)
ADAMS Input Process
Time-Motion Study**

1. Introduction

The purpose of this study is to analyze the NRC DPC processes for entering documents into ADAMS and define the average time to process documents (by step). [REDACTED]

During this study the analysis team conducted the following tasks:

- **Assessment of December 1999 Workload Data** – Reviewed data and calculated figures on documents received by the DPC, as well documents and image pages scanned by the DPC for the month of December. Based on this data, defined document size and workload assumptions to be applied to the sampling of documents and calculation of average times for the time-motion tests.
- **Definition and Preparation of Tests** - Defined the process steps and data collection method appropriate for each test. Prepared data collection sheets and instructed managers and staff on completion of forms. Compiled test cases and completed basic test case information for each test to be conducted.
- **Conduct Timed Tests** – Conducted timed tests for each input process step over a five-day period, collecting test data sheets for both standalone and package test cases. Monitored the tests and reviewed completed forms to ensure they were completed properly and that testers understood the parameters for measuring and recording their timing data.
- **Analysis and Documentation of Results** – Analyzed the data gathered from the test sheets, entered the data into spreadsheets, calculated weighted average times per step for both standalone and package documents, applied and documented study assumptions, and prepared the time-motion study report documenting the results.

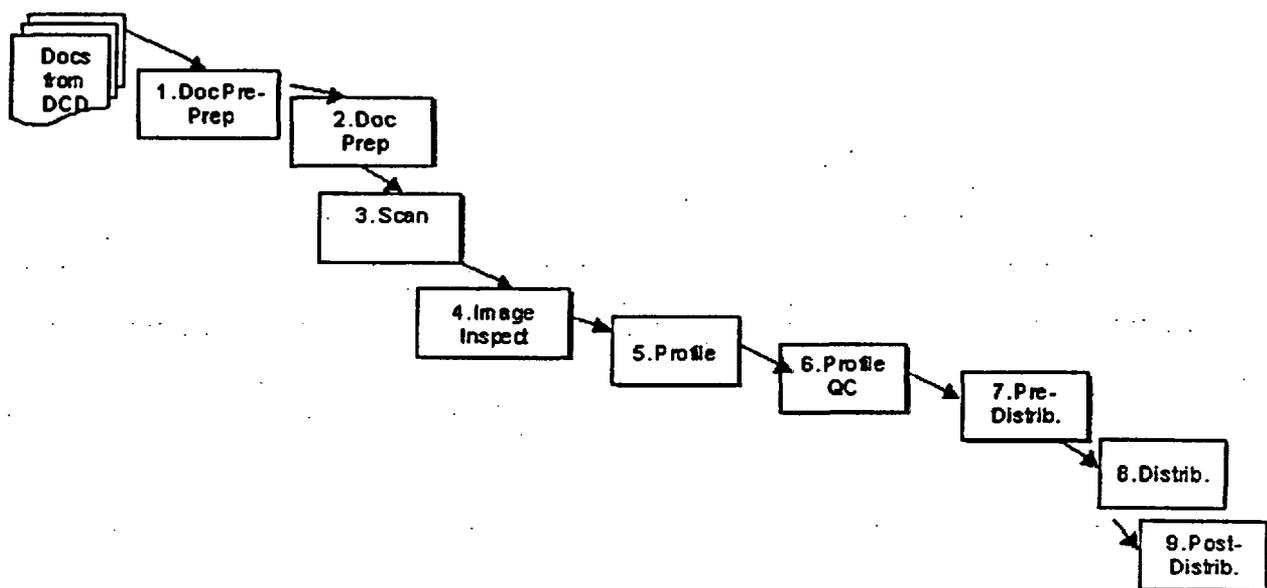
The remainder of this report defines the study background and assumptions applied to the data analysis, and provides the time-motion data findings.

2. Study Scope and Assumptions

The purpose of this chapter is to describe the scope of the time-motion study in terms of the DPC ADAMS input process analyzed, the document sampling and workload assumptions applied, and the approaches used to gather the data.

2.1 ADAMS Input Process Steps

The DPC ADAMS input process includes a set of nine separate steps which were measured as part of this study.



The purpose of describing these steps is to provide a clear understanding of the activities that comprise each step and to associate a clear description with the time that it takes to complete each step. Thus, in the findings chapter, where we report that Pre-Prep standalone documents takes one minute on average, it is clear what activities are conducted in that one-minute time slice.

Note that each step includes time and sub-steps for document retrieval from and movement across electronic folders. These steps do not include wait time between steps while paper is being moved or staff is awaiting work to arrive.

2.1.1. Pre-Prep

In this initial step, documents are received from the NRC Document Control Desk (DCD), sorted and separated, and annotated with distribution codes. The individual selects a document from the

in-basket, applies the appropriate scan cover sheet (priority versus routine), inserts package divider sheets if applicable, and inserts proprietary sheets where necessary. The individual records the distribution code in pen on the lower right hand corner of the first page of the document. For packages, the code is written on the first page of each document within the package. A pink divider sheet is put between documents, and each document is clipped separately, while packages are clipped together. When completed, documents are placed in the Priority or Routine To be Prepped in-basket.

2.1.2. Doc Prep

The Doc Prep person selects a document from the Priority or Routine in-basket. The document is prepared by removing staples, bindings, smoothing creases, etc. All pages (front and back) are counted. Scan coversheets for standalone documents and packages are completed with the following information: Standalone or Package, number of pages, Duplex or Simplex document. If there are oversize pages, Oversize is circled on the coversheet and the number of oversize pages is added to the coversheet. Oversize slip-sheets and the scan ID are added and recorded on the oversize coversheet. PROP or NON-PUB sheets are inserted under the scan coversheet for all documents containing the yellow proprietary or non-public targets.

For packages, all the above information is completed for each document in the package, including the Scan ID extension for each document in the package. All documents in a Package are clipped together.

When the coversheet(s) are completed and the document or package has completed the prep process, it is placed in the appropriate scan in-basket: Priority, Double-sided; Priority, Single-side; Routine, Double-sided; Routine, Single-sided.

2.1.3. Scan

Scan operators scan the documents according to the instructions on the scan coversheets and divider sheets. There is no batch scanning capability. When scanning is complete, the paper documents are filed/shelved so that they can be retrieved if necessary for rescanning.

The scan operator selects a document from one of the in-baskets, processing priority items first. The operator removes any clips and coversheets, places a single document in the scan hopper, and clicks Scan on the ADAMS Document Manager screen. The scanner begins scanning the document until all pages have been fed. The operator checks images displayed on the screen to ensure there are no obvious mis-scans, including poor quality or missing pages. If there are quality problems, the operator may rescan the whole document or delete and rescan individual pages. When the document has finished scanning, the operator clicks Save on the screen, selects the Image Inspector's electronic folder on the f:drive, and names the file by the Scan ID on the scan coversheet. The scan operator clips the document or package together as it was received from Doc Prep and place the paper document in the Image Inspection in-basket.

2.1.4. Image Inspection

In this step, scanned documents are inspected for quality, OCR'ed and added to the ADAMS database. If an image is deficient, the document is sent back to scanning. If the document is adequate, it is OCR'ed, added to ADAMS and is ready for step 5. Profile.

The image inspector selects a document or package from the paper in-basket, finds the corresponding scanned TIFF file on the network folder, and moves the file to his or her personal folder. The inspector opens the file, inspects all images in the file for quality, checks page count and enhances images if necessary. The inspector then OCRs the document and waits for each page to proceed through the OCR conversion process. When complete, the inspector adds the document to ADAMS, completes the minimum profile fields, and adds security access to the document. When finished with the ADAMS Add, the image inspector copies the completed document or package to the ADAMS profile folder and unfiles the document from the Image Inspection folder.

If the document selected is part of a package, the image inspector must move all the documents into the personal folder, inspect, OCR, and add each document to ADAMS. When all documents for the package have been added, the inspector creates and profiles the package container, moves all daughter documents into that package, and unfiles the individual documents.

If the document is a large document (over 50 pages), the image inspector must split the document into multiple documents, OCR and add to ADAMS each document component separately, and then create a package to include all the components. If the document has complex graphics and charts, the inspector may need to start-up and use OmniPage OCR software instead of the native Watermark software, requiring extra steps.

2.1.5. Profile

Documents that have passed Image Inspection-OCR-ADAMS Add are ready to be profiled. Profilers select a document or package from the ADAMS profile folder, check-out the document, and complete the necessary fields in the profile (approximately 15-20 fields) plus the security screen. To enter the title, users copy and paste the title from the TIFF image to the profile screen box. When finished with the profile, users return to the ADAMS Document Manager and cancel the checkout, then copy the document into the appropriate QC folder and unfile it from the Profile folder.

For packages, profilers select the package container and check-out the first document in the package. They must profile the container as well as each document within the package. When finished profiling all documents in the package, they must copy the package to the QC folder and unfile the package from the profile folder.

2.1.6. Quality Control (QC)

Every document that has been through profiling receives a quality control (QC) check and then is declared an Official Agency Record. QC staff select a document from the ADAMS QC folder, check-out the document, and size and view the document on the screen. QC staff then check each field of the profile for errors and make any corrections necessary. Once all fields have been checked, including fields in the security screen, the QC staff goes back to the Document Manager and declares the document an Official Agency Record. After confirming the Public Release Validation screen, the staff clicks through the Official Records Processor Warning screen. Then the QC staff copies and pastes the document in the ADAMS Distribution folder and unfiles it from the QC folder.

For packages, each document in a package is QC'ed individually, and the container profile is also checked to ensure that the container title and the title of the first document are synchronized. For "split" packages (some documents PROP and some NON-PUBLIC), QC staff delete the target sheets.

2.1.7. Pre-Distribution

Once a document has completed Image Inspect, the hard copy documents are sent to Pre-Distribution. At this step, the staff sorts the documents in accession number order to ready them for distribution while the documents are being profiled and QC'ed. The staff checks ADAMS Distribution folder periodically for the document to have completed QC. Once the document is found in the ADAMS Distribution folder, the staff person places the paper document in the Distribution in-basket.

2.1.8. Distribute

The distribution staff selects documents from the hard copy basket, select the associated document from the ADAMS distribution folder. The staff person selects Distribute from ADAMS Document Manager and prints the distribution sheet and then matches the sheet to the hardcopy document. The staff person then removes all scan coversheets and slip-sheets, clips the document, and brings the document to Post-Distribution.

2.1.9. Post-Distribution

The last step in the DPC ADAMS input process is Post-Distribution. After the paper documents are compiled for distribution, the electronic file is copied to the Completed for RM folder and unfiled from the Distribution folders. The paper documents are sorted and covered with a forwarding sheet for delivery to the Document Control Desk for reproduction and distribution. For public releasable documents, when the document is ready to be released, the staff moves the document from the Completed Docs for RM folder to the Librarian Folder, and unfiles the document from the RM folder. For non-public documents, the document is unfiled but not

moved.

2.2 Time-Motion Test Assumptions

The time-motion tests and analysis of the resulting data were based on the following assumptions regarding the DPC work process and the composition of documents received:

- Standalone documents constitute a single document with a single accession number. Package documents include two or more associated documents, and include an accession number for each document plus an accession number for the "container." Standalone and package documents have different processing times and, therefore, were tested and reported separately.
- The typical package includes an average of 2.36 documents (daughters) based upon the total number of package daughters (1,744) divided by total number of packages (738).
- The ratio of standalone to package documents, based upon December 1999 DPC document volume of 3221 standalone and 759 package documents, is 81 percent to 19 percent.
- Document size (number of pages) varies greatly among the documents received and processed by the DPC. Document size has an affect on the time it takes for the following steps: Doc Prep, Scan and Image Inspection. Therefore, as part of the timed tests, test cases were categorized into Small, Medium, and Large documents, and data is reported in these categories for the relevant steps. To identify the average time for each of these steps, a weighted average was calculated based on the percentages derived from December 1999 data as follows:

Document Size Assumptions - Standalone Documents

Docu ment Size	Description	Number of Documents (Dec 99)	Percent age of Total Standal ones
Small	10 pages or less	2,502	78%
Mediu m	11-50 pages	521	16%
Large	50 pages or more	198	6%
Total	N/a	3221	100%

Document Size Assumptions - Package Documents

Package Size	Description	Number of Packages (Dec 99)	Percentage of Total Packages
Small	2-3 documents per package, 1-10 pages per document, total of 5-30 pages per package	539	71%
Medium	2-3 documents per package, 11-25 pages per document, total of 30-100 pages per package	121	16%
Large	4 or more documents per package, 25-50 pages per document, total of 100 or more pages per package	99	13%
Total	N/a	759	100%

- Profile and QC steps are not affected by document size. Therefore, data was gathered and reported for all document sizes together for these steps.
- QC is done for 100 percent documents entered into ADAMS.
- Test cases include 11X17 pages, but exclude oversize (over 11X17) pages since the capability does not exist today to scan these documents.
- Test cases include a representative sample of simple and complex documents, in order to gather accurate timing data for profile and profile QC.
- Test case timings did not include any time for completion of the data collection form.
- Single- versus double-sided documents, and priority versus routine documents do not have different processing times and, therefore, did not require separate test cases.

2.3 Time-Motion Test Description

The time-motion tests were conducted using two different approaches:

- *Prep, Scan, Image Inspection, Distribution Tests* – For all steps in which the paper drives the ADAMS input process, including document pre-prep, prep, scan, image inspection, and distribution steps, test cases were prepared with data collection cover sheets (see

sample attached). The data collection cover sheet was attached to the case at the beginning of the process, with information on the type of case, number of pages and document (for packages) in the case, and document size category (small, medium or large). The data collection sheet followed the case from step to step, and was completed by test staff as they completed each of their steps. Information recorded on the form included start-time, end-time, and a description of any problems or issues. At the end of the process, a single test case sheet included the time for each step (excluding Profile and QC) to process a particular set of documents. As each test case was completed, the data collection sheets were gathered and the data (minutes per step) was entered into the appropriate spreadsheet.

Test cases for standalone documents comprised 5 document items each, and included a total sample size of 96 documents. Test cases for packages comprised one multi-document package each, and included a sample size of 31 package documents.

Profile and QC Tests – All profile and QC staff were provided test completion forms (see attached) to record the time, in minutes, to complete a standalone document or package. They were asked to complete the form for each item processed over a two-day period. As each staff member selected a document from ADAMS to work, he/she would record the start-time. Upon completion of the item, he/she would record finish-time, any problems encountered, and the number of daughters, if the document were a package. For profile, the number of test items recorded (the sample size) was 169 standalone items and 38 package items. For QC, the sample size was 101 standalone items and 29 package items.

At the end of each day the data sheets were collected from each staff member and the data for each item processed was entered into the appropriate spreadsheet.

3. Data Analysis and Findings

The purpose of this chapter is to document the data calculations, analysis, and findings resulting from the timed tests described in Chapter 2.

3.1 Data Analysis for Standalone and Package Documents

Figures 1 and 2, respectively, present the timing data for standalone and package documents for the paper-driven steps, including pre-prep, doc prep, scan, image inspection, pre-distribute, distribute, and post-distribute.

Figure 1

<i>Standalone Summary Data</i>			
<i>Prep, Scan, Image Inspection, Distribute Steps</i>			
	Small	Medium	Large
	Documents	Documents	Documents
<u>Step</u>	<u>Min:Sec/Doc</u>	<u>Min:Sec/Doc</u>	<u>Min:Sec/Doc</u>
1. Pre-Prep	:54	:55	1:00
2. Doc-Prep	:27	1:25	5:50
3. Scan	1:34	2:18	15:20
4. Image Inspect	3:51	7:14	73:40
7. Pre-Distribute	:18	:15	:55
8. Distribute	1:16	1:58	2:50
9. Post-Distribute	:24	:24	:45

By applying the document size percentage assumptions defined in the Chapter 2 tables, the weighted average time for processing standalones through each step is calculated as follows:

$$.78(\text{time for small docs}) + .16(\text{time for medium docs}) + .06(\text{time for large documents})$$

The resulting weighted average time for each of the steps in the above chart is included in Figure 4, *Summary Data*.

Figure 2

Package Summary Data			
Prep, Scan, Image Inspection, Distribute Steps			
Step	Small	Medium	Large
	Documents	Documents	Documents
	Min:Sec/Doc	Min:Sec/Doc	Min:Sec/Doc
1. Pre-Prep	1:20	1:28	1:46
2. Doc Prep	2:35	3:45	11:48
3. Scan	3:40	8:45	28:36
4. Image Inspect	13:30	30:15	71:12
7. Pre-Distribute	:40	:50	1:00
8. Distribute	2:33	2:00	3:36
9. Post-Distribute	:53	1:08	1:12

By applying the document size percentage assumptions defined in the Chapter 2 tables related to package document, the weighted average time for processing packages through each step is calculated as follows:

$$.71(\text{time for small docs}) + .16(\text{time for medium docs}) + .13(\text{time for large documents})$$

The resulting weighted average time for packages for each of the steps in the above chart is included in *Figure 4, Summary Data*.

Note that for both standalone and package documents (as indicated Figures 1 and 2) the steps with the largest timing variances due to document size are Doc Prep, Scan and Image Inspection. In fact, the timings for Pre-Prep and all distribution steps vary little enough based on document size such that the differences are insignificant.

Figure 3 presents the timing data for standalone and package documents for the profile and QC steps. Note that document size (number of pages) does not affect the time for these steps; therefore, timing data was not differentiated by document size as was the case for prep, scan, image inspection, and distribution steps.

Figure 3

Step/Type	Standalone Min:Sec/Doc	Package (Min:Sec/Doc)
5. Profile	6:36	16:48
6. QC	3:18	8:42

3.2 Summary of Findings

Based on the data analysis provided in *Figures 1, 2, and 3*, the average time per step has been calculated and is presented *Figure 4*. This chart provides the summary data related to the average time per DPC ADAMS input process step for both average standalone documents and average package documents.

Figure 4. Summary Data - Average Time Per Step

Step	Standalone Documents (minutes:seconds)	Package Documents (minutes:seconds)
1. Pre-Prep	0:55	1:14
2. Doc Prep	0:56	3:47
3. Scan	2:31	7:22
4. Image Inspection	8:35	22:12
5. Profile	6:36	16:48
6. QC	3:18	8:42
7. Pre-Distribute	0:20	0:41
8. Distribute	1:26	2:52
9. Post-Distribute	0:25	1:00
Total Time per Document or Package	27:00	64:38

Based upon December 1999 DPC volume of 3980 documents, comprised of 81 percent standalone and 19 percent package documents, the weighted average time to process a document is as follows:

$$27 \text{ minutes } (.81) = 64:38 \text{ minutes } (.19) = 34 \text{ minutes/document}$$

The above 34 minutes per document does not include wait time between steps, break time, and system downtime. Taking these factors into account, the DPC experiences an estimated 60 percent productive time based on the analysis contained in the DPC Physical Design Document. The real time to process the typical document through all steps in the ADAMS input process is as follows:

$$34 \text{ minutes} / .60 = 57 \text{ minutes/document}$$

Finally, in calculating the total workload that can be supported by the DPC, this 57 minutes per document figure does not take into consideration the following conditions:

- Workload peaks in which work remains in queues at particular steps limited by availability of trained staff for the particular step.
- Handwriting of document titles, which is anticipated when the new title standard disallows copy/paste of titles from the document subject line into the profile.
- Processing of oversize engineering drawings, anticipated at 100 documents per week, and including a backlog of oversize documents that have not been scannable in the current environment.
- Processing of extremely complex documents, such as FOIAs, which can be over 500 pages and include tens of documents within the package.
- Time for document pick-up from and delivery to the DCD, estimated at 2 man hours per day.
- Handling of NRC-entered documents that must be QC'ed and distributed to NRC.

Attachments
Data Collection Sheets

**Time-Motion Test For
Pre-Prep, Prep, Scan, Image Inspection, Distribute Steps
Data Collection Sheets**

Official Use Only

Test Case #:

Information about Test Case:

Standalones or Packages (circle one)

If Standalone, Number of Documents in Test Case: _____

If Packages, Number of Packages in Test Case: _____

Number of Image Pages in Test Case: _____

Has 11x17 (appx how many?): _____

Doc Size (Small, Med, Large): _____ (describe if necessary)

Instructions to Time Testers

The purpose of this form is to collect time data for each step in the ADAMS input process (excluding Profile and Profile QC which will use separate forms.) Time will be reported for Test Cases which will consist generally of 5 documents, but may include as few as 1 and as many as 10. This information will be pre-completed on the cover page of this blue test form prior to your working the test case. You will not need to complete any data other than the data for your specific process (Pre-prep, Prep, Scan, Image Inspection, Pre-Distribute, Distribute, or Post-Distribute).

You will use these forms to record the start-time and end-time for you specific processing of a case of standalone documents or a case of packages. Start-time is the moment you select the hard-copy case (with this multi-page blue form cover sheet) from your in-basket and begin your work. Finish-time is the time all steps in your typical process are complete, including moving documents to the proper ADAMS folder and putting the hard-copy test case in the out-basket for the next processor.

Note that for test cases you work, you will be putting them in special ADAMS TEST folders, rather than your typical work folders.

Thank you for your cooperation with these tests.

I. Pre-Prep Completion Form

Name of Tester: _____

Select case from your in-basket.

Record Start-Time (hr:min) for the case: _____

Binder clip the test case together with the Test Cover sheet on top, and put in Prep in-box.

Record Finish Time (hr:min) for the case: _____

Briefly note any problems or interruptions encountered during the test case (things that made this case easier or harder to process than normal): _____

II. Doc Prep Completion Form

Name of Tester: _____

Select case from your in-basket.

Record Start-Time (hr:min) for the case: _____

Binder clip the test case together with the Test Cover sheet on top, and put in Scan in-box.

Record Finish Time (hr:min) for the case: _____

Briefly note any problems or interruptions encountered during the test case (things that made this case easier or harder to process than normal): _____

III. Scan Completion Form

Name of Tester: _____

Select case from your in-basket.

Record Start-Time (hr:min) for the case: _____

Note that you will save scanned documents from the test case in g:\document processing center\TEST Image Inspect.

When finished case processing, binder clip the test case together with the Test Cover sheet on top, and put in Image Inspection in-box.

Record Finish Time (hr:min) for the case: _____

Briefly note any problems or interruptions encountered during the test case (paper jams, system performance issues, rescan problems, etc.) _____

IV. Image Inspection Completion Form

Name of Tester: _____

Select case from your in-basket.

Record Start-Time (hr:min) for the case: _____

Note that you will save inspected documents from the test case in ADAMS folder \TEST Profile.

When finished case processing, make sure to note the accession numbers on the hard copy documents, binder clip the test case together with the Test Cover sheet on top, and put in out-box to be picked up by Distribution.

Record Finish Time (hr:min) for the case: _____

Briefly note any problems or interruptions encountered during the test case (system performance issues, OCR problems, rescans required, etc.) : _____

V. Pre-Distribute Completion Form

Name of Tester: _____

Select case from your in-basket.

Record Start-Time (hr:min) for the case: _____

Note: If all items in the case are not ready for distribution, record the finish time once you have checked the system the first time. Then record start and finish times again until all documents are ready.

Record Finish Time (hr:min) for the case: _____

Start Time (Second check): _____

Finish Time (Second check): _____

When the case is ready, binder clip the test case together with the Test Cover sheet on top, and send to Distribution.

Briefly note any problems or interruptions encountered during the test case (things that made this case easier or harder to process than normal): _____

VI. Distribute Completion Form

Name of Tester: _____

Select case from your in-basket.

Record Start-Time (hr:min) for the case: _____

Once all documents in the case are complete, with RIDS sheets added and the tracking form completed, binder clip the test case together with Test Cover sheet on top, and deliver to Post-Distribute (Andy, Linda), then record finish time.

Record Finish Time (hr:min) for the case: _____

Briefly note any problems or interruptions encountered during the test case (things that made this case easier or harder to process than normal): _____

VII. Post-Distribute Completion Form

Name of Tester: _____

Select case from your in-basket.

Record Start-Time (hr:min) for the case: _____

Check tracking form against paper documents, QC RIDS sheet, copy/unfile document from the /TEST Distribute folder to the /RM folder, copy/unfile from the /RM folder to the Librarian folder (can be a different set of the same number of documents).

Record Finish Time (hr:min) for the case: _____

Briefly note any problems or interruptions encountered during the test case (things that made this case easier or harder to process than normal): _____

***Profile and Profile QC Test
Instructions and Test Form***

Documents and packages that are part of the time-motion test will be placed by image inspection into a test folder called /TEST Profile. Profilers will place completed test documents and packages in the /TEST Profile QC folder.

Profilers, when you select a document or package from the /TEST Profile folder, that is the Start-time that should be recorded in the test form. Complete all usual steps to profile the document or package, including copying and unfileing to the /TEST Profile QC folder. When finished all steps, record Finish-time in the test table, along with the accession number and other information in the table.

QC'ers, when you select a document or package from the /TEST Profile QC folder, that is the Start-time that should be recorded in the test form. Complete all usual steps to QC the document, including declaring the document an Official Record. When finished all steps, including copying/unfileing to the /TEST Distribute folder.

Name of Tester: _____

Complete Test Form (use one row per test document or package). If it is a package, please indicate the number of daughters in the package in the last column.

Start-time (time selected from folder)	Accession No.	Finish-time (time put in next folder)	Package or Standalone (P or S)	Problems/issues encountered with Test item (or # daughters in package)

Thank you for your cooperation with these tests.

**SMALL BUSINESS AND SMALL DISADVANTAGED
BUSINESS SUBCONTRACTING PLAN**

Date _____

CONTRACTOR: _____

ADDRESS: _____

SOLICITATION OR CONTRACT NUMBER: _____

ITEM/SERVICE: _____

TOTAL AMOUNT OF CONTRACT (Including Options): _____

PERIOD OF PERFORMANCE: _____

1. TYPE OF PLAN

_____ Individual Plan (all elements developed specifically for this contract and applicable for the full term of this contract).

_____ Master Plan (Goals developed for this contract; all other elements standard; must be renewed every three years)

_____ Commercial Products Plan (contractor sells large quantities of off-the-shelf commodities to many Government agencies. Plans/goals negotiated by a lead agency on a company-wide basis rather than for individual contracts. Plan effective only during the year for which it is approved. The contractor must provide a copy of the lead agency approval.)

2. GOALS

The following, together with any attachments, is hereby submitted as a Subcontracting Plan to satisfy the applicable requirements of Public Law 95-507 as implemented by OFPP Policy Letter 80-2.

State separate dollar and percentage goals for small business, small disadvantaged business, and women-owned small business in the following format. (For a contract with options, provide a separate statement for the basic contract and individual statements for each option year.)

A. Total estimated dollar value and percent of planned subcontracting with small businesses (include small disadvantaged and women-owned small business):
\$ _____ and _____%

- B. Total estimated dollar value and percent of planned subcontracting with large businesses (all business concerns classified as "other than small") (% of C):
\$ _____ and _____%
- C. Total estimated dollar value of all planned subcontracting, i.e., the sum of A and B above: \$ _____ and 100%
- D. Total estimated dollar value and percent of planned subcontracting with small disadvantaged businesses (% of C): \$ _____ and _____%
- E. Total estimated dollar value and percent of planned subcontracting with woman-owned small businesses (% of C): \$ _____ and _____%
- F. Provide a description of all the products and/or services to be subcontracted under this contract, and indicate the types of businesses supplying them: i.e., OTHER THAN SMALL (OTHER), SMALL BUSINESS (SB), SMALL DISADVANTAGED BUSINESS (SDB) and WOMEN-OWNED SMALL BUSINESS (WOSB)

<u>Subcontracted Product/Service</u>	<u>OTHER</u>	<u>SB</u>	<u>SDB</u>	<u>WOSB</u>

(ATTACHMENT MAY BE USED IF ADDITIONAL SPACE IS REQUIRED)

- G. Provide a description of the method used to develop the subcontracting goals for small, small disadvantaged, and women-owned small business concerns; i.e., explain the method and state the quantitative basis (in dollars) used to establish the percentage goals; how the areas to be subcontracted to small, small disadvantaged, and women-owned small business concerns were determined; and how the capabilities of small, small disadvantaged, and women-owned small businesses were determined. Include any source lists used in the determination process.
-
-
-
-
-
-
-
-

H. Indirect costs have ____ have not ____ been included in the dollar and percentage subcontracting goals stated above. (Check one.)

I. If indirect costs have been included, explain the method used to determine the proportionate share of such costs to be allocated as subcontracts to small, small disadvantaged, and women-owned small business concerns.

3. Program Administrator

Provide the name, title, position within the corporate structure, and duties and responsibilities of the employee who will administer the contractor's subcontracting program.

Name: _____

Title: _____

Address: _____

Telephone: _____

Duties:

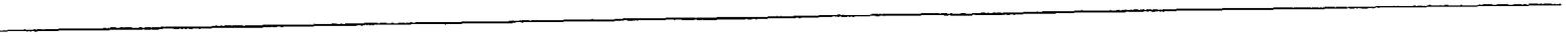
Has general overall responsibility for the contractor's subcontracting program, i.e., developing, preparing, and executing individual subcontracting plans and monitoring performance relative to the requirements of this particular plan. These duties include, but are not limited to, the following activities:

- A. Developing and promoting company-wide policy initiatives that demonstrate the company's support for awarding contracts and subcontracts to small, small disadvantaged, and women-owned small business concerns; and assure that small, small disadvantaged, and women-owned small businesses are included on the source lists for solicitations for products and services they are capable of providing;
- B. Developing and maintaining bidder's lists of small, small disadvantaged, and women-owned small business concerns from all possible sources;
- C. Ensuring periodic rotation of potential subcontractors on bidder's lists;
- D. Ensuring that procurement "packages" are designed to permit the maximum possible participation of small, small disadvantaged, and women-owned small businesses;
- E. Making arrangements for the utilization of various sources for the identification of small, small disadvantaged, and women-owned small businesses such as the SBA's PRO-Net, the National Minority Purchasing Council Vendor Information Service, the Office of Minority Business Data Center in the Department of Commerce, the facilities of local small business and minority associations, and contact with Federal agencies' Small and Disadvantaged Business Utilization Specialists (SADBUS);

- F. **Overseeing the establishment and maintenance of contract and subcontract award records;**
- G. **Attending or arranging for the attendance of company counselors at business opportunity workshops, Minority Business Enterprise seminars, trade fairs, procurement conferences, etc;**
- H. **Ensuring small, small disadvantaged, and women-owned small business concerns are made aware of subcontracting opportunities and how to prepare responsive bids to the company;**
- I. **Conducting or arranging for the conduct of training for purchasing personnel regarding the intent and impact of Section 8(d) of the Small Business Act on purchasing procedures;**
- J. **Monitoring the company's performance and making any adjustments necessary to achieve the subcontract plan goals;**
- K. **Preparing, and submitting timely, required subcontract reports;**
- L. **Coordinating the company's activities during the conduct of compliance reviews by Federal agencies;**
- M. **Providing technical assistance; e.g., engineering, quality control, and managerial assistance to small, small disadvantaged, and women-owned small business;**
- N. **For contractors of the Department of Defense, NASA, and the U.S. Coast Guard: Ensuring that Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs) shall be afforded maximum practicable opportunity; and**
- O. **Other duties**

4. Equitable Opportunity

Describe efforts the offeror will make to ensure that small, small disadvantaged, and women-owned small business concerns will have an equitable opportunity to compete for subcontracts. These efforts include, but are not limited to, the following activities:



A. Outreach efforts to obtain sources:

1. Contacting minority and small business trade associations;
2. Contacting business development organizations;
3. Attending small and minority business procurement conferences and trade fairs;
4. Using PRO-Net to locate sources; and
5. Utilizing newspaper and magazine ads to encourage new sources.

B. Internal efforts to guide and encourage purchasing personnel:

1. Presenting workshops, seminars, and training programs;
2. Establishing, maintaining, and using small, small disadvantaged, and women-owned small business source lists, guides, and other data for soliciting subcontracts; and
3. Monitoring activities to evaluate compliance with the subcontracting plan.

C. Additional efforts:

5. Flow-Down Clause

The contractor agrees to include the provisions under FAR 52.219-8, "Utilization of Small Business Concerns," in all subcontracts that offer further subcontracting opportunities. All subcontractors, except small business concerns, that receive subcontracts in excess of \$500,000 (\$1,000,000 for construction of a public facility) must adopt and comply with a plan similar to the plan required by FAR 52.219-9, "Small Business Subcontracting Plan" (FAR 19.704).

6. Reporting and Cooperation

The contractor gives assurance of: (1) cooperation in any studies or surveys that may be required; (2) submission of periodic reports which show compliance with the subcontracting plan; (3) submission of Standard Form (SF) 294, "Subcontracting Report for Individual Contracts," and SF-295, "Summary Subcontract Report," in accordance with the instructions on the forms; and (4) ensuring that large business subcontractors with subcontracting plans agree to submit Standard Forms 294 and 295.

<u>Reporting Period Report Due</u>	<u>Due Date</u>
Oct. 1 - March 31 SF-294	04/30
Apr. 1 - Sept. 30 SF-294	10/30
Oct. 1 - Sept. 30 SF 295*	10/30*

Contractors of the Department of Defense (DoD) are required to submit the SF 295 semi-annually. Contractors of civilian agencies will be required to submit the SF 295 annually as shown in this chart, unless required more often by the procuring agency.

ADDRESSES

(a) SF-294 to be submitted to the cognizant contracting officer and to SBA if the contract is not under the cognizance of DLA, or as otherwise specified in the contract; and

(b) SF-295 to be submitted to the Office of Small and Disadvantaged Business Utilization of the procuring agency, or as otherwise specified in the contract, and to the cognizant SBA Commercial Market Representative.

7. Recordkeeping

The following is a recitation of the types of records the contractor will maintain to demonstrate the procedures adopted to comply with the requirements and goals in the subcontracting plan. These records will include, but not be limited to, the following:

- A. If the prime contractor is not using PRO-Net as its source for small, small disadvantaged, and women-owned small business concerns, list the names of guides and other data identifying such vendors;
- B. Organizations contacted in an attempt to locate small, small disadvantaged, and women-owned small business sources;
- C. On a contract-by-contract basis, records on each subcontract solicitation resulting in an award of more than \$100,000 indicating: (1) whether small business concerns were solicited, and if not, why not; (2) whether small disadvantaged business concerns were solicited, and if not, why not; (3) whether women-owned small business concerns were solicited, and if not, why not; and (4) if applicable, the reason that the award was not made to a small business concern;
- D. Records to support other outreach efforts, e. g., contacts with minority and small business trade associations, attendance at small and minority business procurement conferences and trade fairs;
- E. Records to support internal guidance and encouragement provided to buyers through: (1) workshops, seminars, training programs, incentive awards; and (2) monitoring of activities to evaluate compliance; and
- F. On a contract-by-contract basis, records to support subcontract award data including the name, address, and business size of each subcontractor. (This item is not required on a

contract-by-contract basis for company or division-wide commercial plans.)

G. Additional records:

This subcontracting plan was submitted by:

Signature: _____

Typed Name: _____

Title: _____

Date Prepared: _____

Phone No.: _____

Approval:

Agency: _____

Signature: _____

Typed Name: _____

Title: _____

Date: _____

AUTHORITY
The policies, procedures, and criteria of the NRC Security Program, NRCMD 12, apply to performance of this contract, subcontract or other activity.

CONTRACT SECURITY AND/OR CLASSIFICATION REQUIREMENTS

COMPLETE CLASSIFIED ITEMS BY SEPARATE CORRESPONDENCE

1. CONTRACTOR NAME AND ADDRESS

A. CONTRACT NUMBER FOR COMMERCIAL CONTRACTS OR JOB CODE FOR DOE PROJECTS (Prime contract number must be shown for all subcontracts.)

B. PROJECTED START DATE: 08/30/2001

C. PROJECTED COMPLETION DATE: 08/30/2003

2. TYPE OF SUBMISSION

A. ORIGINAL

B. REVISED (Supersedes all previous submissions)

C. OTHER (Specify)

3. FOR FOLLOW-ON CONTRACT, ENTER PRECEDING CONTRACT NUMBER AND PROJECTED COMPLETION DATE

A. DOES NOT APPLY

B. CONTRACT NUMBER: TAC C-90224 and TAC C-90292

DATE: 08/29/2001

4. PROJECT TITLE AND OTHER IDENTIFYING INFORMATION

Project Title: ADAMS Centralized Document Processing Services

Provides follow-on contract replacing CISSCO TAC - C90224 ADAMS Centralized Document Processing Services and TAC C-90292 ADAMS Document Retrofit

5. PERFORMANCE WILL REQUIRE

A. ACCESS TO CLASSIFIED MATTER OR CLASSIFIED INFORMATION	NOT APPLICABLE	NATIONAL SECURITY		RESTRICTED DATA	
		SECRET	CONFIDENTIAL	SECRET	CONFIDENTIAL
YES (If "YES," answer 1-7 below)					
<input checked="" type="checkbox"/> NO (If "NO," proceed to 5.C.)					
1. ACCESS TO FOREIGN INTELLIGENCE INFORMATION					
2. RECEIPT, STORAGE, OR OTHER SAFEGUARDING OF CLASSIFIED MATTER. (See 5.B.)					
3. GENERATION OF CLASSIFIED MATTER.					
4. ACCESS TO CRYPTOGRAPHIC MATERIAL OR OTHER CLASSIFIED COMSEC INFORMATION.					
5. ACCESS TO CLASSIFIED MATTER OR CLASSIFIED INFORMATION PROCESSED BY ANOTHER AGENCY.					
6. CLASSIFIED USE OF AN INFORMATION TECHNOLOGY PROCESSING SYSTEM.					
7. OTHER (Specify)					

B. IS FACILITY CLEARANCE REQUIRED? YES NO

- C. UNESCORTED ACCESS IS REQUIRED TO PROTECTED AND VITAL AREAS OF NUCLEAR POWER PLANTS.
- D. ACCESS IS REQUIRED TO UNCLASSIFIED SAFEGUARDS INFORMATION.
- E. ACCESS IS REQUIRED TO SENSITIVE IT SYSTEMS AND DATA.
- F. UNESCORTED ACCESS TO NRC HEADQUARTERS BUILDING.

FOR PROCEDURES AND REQUIREMENTS ON PROVIDING TEMPORARY AND FINAL APPROVAL FOR UNESCORTED ACCESS, REFER TO NRCMD 12.

6. INFORMATION PERTAINING TO THESE REQUIREMENTS OR THIS PROJECT, EVEN THOUGH SUCH INFORMATION IS CONSIDERED UNCLASSIFIED, SHALL NOT BE RELEASED FOR DISSEMINATION EXCEPT AS APPROVED BY:

NAME AND TITLE	SIGNATURE	DATE

7. CLASSIFICATION GUIDANCE

NATURE OF CLASSIFIED GUIDANCE IDENTIFICATION OF CLASSIFICATION GUIDES

8. CLASSIFIED REVIEW OF CONTRACTOR / SUBCONTRACTOR REPORT(S) AND OTHER DOCUMENTS WILL BE CONDUCTED BY:

AUTHORIZED CLASSIFIER (Name and Title)

DIVISION OF FACILITIES AND SECURITY

9. REQUIRED DISTRIBUTION OF NRC FORM 187 Check appropriate box(es)

SPONSORING NRC OFFICE OR DIVISION (Item 10A)

DIVISION OF CONTRACTS AND PROPERTY MANAGEMENT

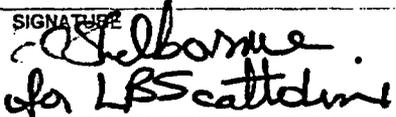
DIVISION OF FACILITIES AND SECURITY (Item 10B)

CONTRACTOR (Item 1)

SECURITY/CLASSIFICATION REQUIREMENTS FOR SUBCONTRACTS RESULTING FROM THIS CONTRACT WILL BE APPROVED BY THE OFFICIALS NAMED IN ITEMS 10B AND 10C BELOW.

10. APPROVALS

SECURITY/CLASSIFICATION REQUIREMENTS FOR SUBCONTRACTS RESULTING FROM THIS CONTRACT WILL BE APPROVED BY THE OFFICIALS NAMED IN ITEMS 10B AND 10C BELOW.

NAME (Print or type)	SIGNATURE	DATE
<p>A. DIRECTOR, OFFICE OR DIVISION</p> <p>Lynn B. Scattolini, IMD/OCIO</p>	<p>SIGNATURE</p>  <p>for LBS Scattolini</p>	<p>DATE</p> <p>6/8/01</p>
<p>B. DIRECTOR, DIVISION OF FACILITIES AND SECURITY</p> <p>Thomas O. Martin</p>	<p>SIGNATURE</p> 	<p>DATE</p> <p>6/13/01</p>
<p>C. DIRECTOR, DIVISION OF CONTRACTS AND PROPERTY MANAGEMENT (Not applicable to DOE agreements)</p> <p>Timothy F. Hagan</p>	<p>SIGNATURE</p>  <p>for Timothy F. Hagan</p>	<p>DATE</p> <p>6/13/01</p>

REMARKS

GroupWise - Sent Items

Mailbox
Sent Items
Calendar
Documents
Task List
Work In Prog
Cabinet
CISCO II
FileNET
Closeout
Leave
ProDoc
Reports
status
Trash

Mail From: Sally Adams

From: Sally Adams
To: Mark Flynn
Subject: RFQ REFERENCE DOCUMENTS - CISCO-II BPA - DOCUMENT PROCESSING CENTER ORDER

Message: Attached are two reference documents for the subject RFQ. Please confirm that you have received them. Thanks!

Sally Adams
Contract Specialist
IT Acquisition Management Branch
Division of Contracts and
Property Management

Attach: TAC221del 20010057.wpd DPCstudy.wpd

Date: 6/27/01 1:27PM

Find results updated at 10:38AM on 6/3/01 Selected: 1 Total: 621