POLICY ISSUE
INFORMATION

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FOR: The Commissioners

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

PURPOSE:

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

BACKGROUND:

This is the sixth ADAMS semi-annual report and it covers the last six months of 2006. The report uses the "ADAMS Quality Measures and Value Statements" framework, Enclosure 1, to provide the status of progress on ADAMS initiatives. The framework is based on 13 measures of quality grouped into four key ADAMS components that contribute value to the staff and members of the public who use the system. Improving ADAMS based on these components enhances the usefulness of ADAMS and thereby increases the Nuclear Regulatory Commission's (NRC) efficiency and effectiveness in achieving the agency's mission.

DISCUSSION:

The main areas of activity during this reporting period are presented chronologically below with a brief description of each. The "ADAMS Program Initiatives Progress Report," Enclosure 2, describes all of the activities during this reporting period.

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(1) ADAMS Release 4.3.2.b.

The deployment of ADAMS Release 4.3.2.b, was completed in August 2006. The specific changes associated with this release are described in Enclosure 3. These improvements were associated with the servers and enhanced performance and added capabilities and were transparent at the user's desktop.

(2) ADAMS Release 4.3.2.c.

The deployment of ADAMS Release 4.3.2.c, was completed in October 2006. The specific changes associated with this release are described in Enclosure 4. These changes were also limited to the servers and the Document Processing Center and were transparent to users.

(3) Next Generation ADAMS Project Progress

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

During the second half of 2006, the staff:

a. Reviewed cost projections in light of new information;
b. Completed work on the next generation ADAMS System Requirements Specification;
c. Completed the search tool evaluation and recommended that NRC not upgrade at this time because moving to a new search tool would not bring additional benefits unless done as part of an enterprise effort that includes documents stored in other repositories in addition to ADAMS; and
d. Revised the project schedule which now starts the business case in quarter 3 FY2007. The schedule is now being vetted with the Division of Contracts since it involves procurement activities.

(4) New Customization to Support E-Filings

A new document class was added to ADAMS, "Electronic Information Exchange (EIE) Auto-populate," along with an automated process of adding and profiling these documents into the ADAMS repository. This new capability was originally intended to ensure NRC could meet High Level Waste (HLW) service level requirements and will now also be used to address the required service levels needed during new reactor pre-hearing activities for early site permits, design certifications and combined licensing reviews.

The information technology/information management (IT/IM) improvements recently implemented to support the adjudicatory process are being utilized in a pilot during the adjudicatory proceeding for the Vogtle Early Site Permit (ESP) that began in December 2006.

These improvements provide for electronic filing, review, and distribution of adjudicatory documents. The pilot is being evaluated to identify adjustments to the process and IT/IM components. Once staff and the Atomic Safety and Licensing Board Panel (ASLBP) are satisfied that the system is functioning, the Office of the General Counsel (OGC) will submit to the Commission a draft final E-Filing rule. The rule will require participants from NRC adjudications to submit their documents electronically.

(5) The Ability to Add, Open, Check-in, and Cancel the Check-out of Documents to ADAMS Through Microsoft (MS) Word

Following the direction to move towards having the Microsoft Office suite as the agency standard, the ADAMS team incorporated the same capabilities currently available in Corel's WordPerfect: adding, opening and checking in and out documents, into MS Word. The purpose of this change was to allow staff to have the same capabilities for both applications. Future upgrades may include incorporating ADAMS functions into the other Microsoft applications.

(6) Support for New Reactors

A number of projects are underway to provide technology and services to meet program time lines. The Office of Information Services (OIS) is supporting the new reactor license review process through customization that allows the mass loading and profiling of documents submitted on compact disks. The mass loading and profiling will be accomplished through the use of an automated mechanism that will ensure the integrity of the submitted documents and their relationship with other related information. As the agency prepares to conduct the review and adjudicatory processes associated with new reactor licensing, OIS is coordinating closely with the offices to define and document requirements and service levels in advance of the anticipated ESP and Combined Operating License (COL) applications. Significant progress has been accomplished in partnership with the Office of New Reactors (NRO) and the industry to streamline the process for electronic receipt and online review of COL applications. We have achieved alignment with all of the stakeholders concerning how a COL will be formatted, packaged, and submitted to the NRC. The design of the information technology components that will support the process improvements is progressing on schedule. Project completion is planned for July 2007. OIS has designated a lead project manager responsible for coordinating the office's efforts. OIS continues to review the IT/IM infrastructure and coordinate improvements with NRO and other offices.

Beginning with the seventh semi-annual report, the staff intends to shift the emphasis of this report from the current ADAMS steady state activities, which are considered to be maintenance rather than development activities, to progress made and status on the next generation of ADAMS.

COORDINATION:

This paper has no resource implications and has, therefore, not been reviewed by the Office of the Chief Financial Officer. The Office of the General Counsel has no legal objections.

/RA/

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Executive Director
for Operations

Enclosures:
1. ADAMS Quality Measures and Value Statements
2. ADAMS Program Initiatives Progress Report # 6
3. ADAMS Release 4.3.2.b Summary
4. ADAMS Release 4.3.2.c Summary

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ADAMS QUALITY MEASURES AND VALUE STATEMENTS

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

ADAMS PROGRAM INITIATIVES PROGRESS REPORT # 6

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS System Information Technology (IT) Components		
Availability	ADAMS 4.3.2.b Upgrade Upgraded the ADAMS server software to incorporate Configuration Control Board approved changes. [Q4/FY06] ADAMS 4.3.2.c Upgrade Upgraded the ADAMS server software and the Document Processing Center desktop software to incorporate Configuration Control Board approved changes. [Q1/FY07] Server Improvements Installed new hardware and software to improve system availability. [Q4/FY06] ADAMS has obligated funds for certification and accreditation (C&A) contractor support. This will help to ensure that the ADAMS C&A is completed and ADAMS is re-accredited in 2008 and granted an Approval To Operate (ATO). ADAMS is currently operating with an Interim Approval To Operate (IATO) which expires May 31, 2008.	Updating the ADAMS Disaster Recovery Plans The current disaster recovery plans for ADAMS are being upgraded to provide for a more robust recovery scenario, from simply providing lookup and fax services for documents to providing more ADAMS functionality. This will include entering documents, search capabilities and retrieval of documents by NRC staff. The new recovery plans call for full backup and system recovery from the NRC Region IV facilities by FY09.
Performance	Server Improvements Installed new hardware and software to improve system performance. [Q4/FY06]	ADAMS Modernization Continue the Capital Planning and Investment Control (CPIC) process for the ADAMS modernization project. The next generation ADAMS will have a Web-based interface, intuitive and powerful search tools, and better integration with office automation tools.

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS System Information Technology (IT) Components (Continued)		
Functionality	<u>ADAMS 4.3.2.b Upgrade</u> Upgraded the ADAMS server software to incorporate Configuration Control Board approved changes. [Q4/FY06] <u>ADAMS 4.3.2.c Upgrade</u> Upgraded the ADAMS server software and Document Processing Center desktop software to incorporate Configuration Control Board approved changes. [Q1/FY07]	<u>ADAMS Modernization</u> Continue the Capital Planning and Investment Control (CPIC) process for the ADAMS modernization project. The next generation ADAMS will have a Web-based interface, intuitive and powerful search tools, and better integration with office automation tools. [Ongoing] <u>ADAMS 4.4 Upgrade</u> Continue working towards a successful deployment of the next major maintenance release of ADAMS. Anticipated deployment in Q3/FY07. <u>ADAMS Content Searching</u> The ADAMS software vendor (FileNet) continues to work on the problem in the Main Library that may cause search results for content searching to be incomplete. Until this problem is resolved, staff have been instructed to use the ADAMS Web-based search (Staff Interface Portal (SIP)) for text searches of documents in the Main Library as an alternative to using ADAMS Find. The requirements for next generation ADAMS will include more robust search capabilities.

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS System Information Technology (IT) Components (Continued)		
Ease of Use		ADAMS Modernization Continue the Capital Planning and Investment Control (CPIC) process for the ADAMS modernization project. The next generation ADAMS will have a Web-based interface, intuitive and powerful search tools, and better integration with office automation tools.
ADAMS Support Services		
Policy and Procedures		
Training and Documentation		
Support Services	ADAMS Support Center Assistance Provided support to offices with problems using ADAMS. [Ongoing]	ADAMS Support Center Staff Assistance Continue to support program offices.
User Input	Staff and Public User Satisfaction Survey The User Satisfaction survey was completed and compiled on 12/31/06 and the results will be published in January 2007. The survey comment section will be reviewed for potential areas of improvement to ADAMS. Please reference ADAMS accession number ML063550371 for the detailed survey results. [Q1/FY07] PDR Developed LISTSERV A listserv was created to communicate ADAMS related issues with the public in lieu of formal meetings. This listserv is a method for the agency to send information to a list of users; their responses are sent back only to the agency and are not available for reading or responding by other users. As of October 2006, there is now a distribution list available through the NRC Web site for Public ADAMS Users. [Ongoing]	

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS Document Capture and Distribution Service		
Timeliness of Document Processing	ADAMS 4.3.2.c Upgrade included DPC processing improvements. See Enclosure 4. [Q1/FY07]	
Timeliness of Incoming Document Delivery to the Staff	OIS successfully revised e-RIDS databases: GroupWise Rids Resources (e-mail accounts), Distribution Lists, and the RIDS Docket Database in support of two major reorganizations of NRC staff offices (NRR/NRO and NMSS/FSME). Over 200 individual database changes were handled on an expedited basis. [Q4 FY06]	OIS will continue to revise e-RIDS Databases in support of organizational realignments.
Timeliness of Public Release	OIS compiled statistical data for each agency office for the number of documents that were not released to the public in accordance with the NRC's publishing policy, for the period of Q3/FY06. Reference ADAMS package ML061250105 for details. [Q4/FY06]	
ADAMS Collections and Profile Data		
Quality of Profile Data	Profile Data Review Reviewed uncontrolled fields in ADAMS for accuracy and addressed problems with associated Quality Assurance efforts. [Ongoing] OIS Reminder OIS informed staff that it is their responsibility to review documents for sensitive information and that personal privacy information is not to be made publicly available. [Q4/FY06]	Profile Data Review Review uncontrolled fields in ADAMS for accuracy and address any problems with associated Quality Assurance efforts. [Ongoing] PII Identification OIS is evaluating the feasability of custom code that will search documents ready to be made public for specific patterns which may indicate that a document contains personal privacy information before they are released to the public. [Ongoing]

ADAMS RELEASE 4.3.2.b Summary

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

ADAMS Official Records Processor (ORP) Upgrades

Issue being addressed - ORP generated Portable Document Format (PDF) missing images from the original WordPerfect (WP) application file.
This change was instituted to eliminate the inconsistent rendering of WP images in the ADAMS ORP. Upgrading the ORP to use WordPerfect X3 for rendering original application files resolved this issue.

Issue being addressed – Electronic Information Exchange (EIE) documents through ORP – Streamline.
This change was created to alleviate the backlog of documents in the ORP queue by having all PDF type documents re-routed directly to the ADAMS Main Library, thus allowing all other documents in the ORP queue to be rendered into PDFs without waiting on the documents that do not require conversion to PDF.

Issue being addressed – ORP delays for packages.
This change was created to alleviate the backlog of packages being processed through the ADAMS ORP. This software solution allows packages to be processed more quickly and efficiently.

Issue being addressed – Stop ORP from filing to the Records Manager (RM) folder.
This change resolved the issue of the ORP failing due to the RM folder becoming full (its limit is 5000 documents) by removing that process in the ORP. The original intent/requirement of having all ORP'd documents filed to the RM folder is no longer required.

Issue being addressed – Upgrade the ORP server hardware.
Two new ADAMS ORP servers were acquired. One will be utilized in production and the second will be utilized in the test arena.

Non-ORP, ADAMS server upgrades,

Issue being addressed – Add 'Date Declared' to the document profile fields.
This change was created to allow a user to search for documents in ADAMS by the date it was declared as an Official Agency Record (OAR). The ADAMS Support Center has received many calls to have this feature added to ADAMS.

Issue being addressed – Create new document class, Electronic Information Exchange (EIE) Auto-Populate.
This change was created as a result of a gap analysis performed for the High Level Waste (HLW) project. It allows additional information, particular to HLW documents, to be added to the document profile, including ASLBP Number, LSN Number, and Hearing Party Identifier. These fields are added by the auto-populate feature for EIE documents.

ADAMS RELEASE 4.3.2.c Summary

This release was an ADAMS server-side upgrade and did not require any change to the NRC agency-wide ADAMS desktop/client-side of the application. There was one desktop upgrade for the DPC only.

ADAMS server upgrades

Issue being addressed – EIE Data Population Automation.
This change adds the capability to automate the processing of documents into ADAMS that are added via the EIE in accordance with adjudicatory service level requirements. During the pre-hearing phase, filings must be processed through ADAMS and published to the Electronic Hearing Docket (EHD) within 24 hours in peak periods. During the hearing phase, filings must complete the process within 6 hours of receipt.

Issue being addressed – Simplify addition of packages and their contents to the ADAMS Publication Cycle.
This change was generated by the High Level Waste (HLW) Metasystem to provide quick and efficient processing of packages and their contents through ADAMS to the EIE/EHD folders.

Issue being addressed – Change Staff Interface Portal (SIP) login file for ADAMS desktop from .tmp to html.
The client file that allowed staff to login to the SIP needed to be re-written to submit an HTML file instead of a .tmp file in order to log the users information and provide the link to the Convera application. An agency-wide upgrade to Microsoft Service Pack 2 negated the old login method and was the impetus for this change.

Routing application for incoming EIE/EHD documents to the Document Processing Center (DPC)

Issue being addressed – SECY tool for ADAMS Docket Database.
The purpose of this change is to provide SECY staff with a means to prioritize ADAMS processing of select documents incoming via EIE/EHD to expedite their availability during hearings. Development of this tool provides SECY with the ability to interface with the ADAMS Docket Number database, which enables expeditious processing of incoming hearing-related documents, as specified by SECY (by docket number), into ADAMS and prompt processing by the DPC. Marking a specific Docket Number by SECY triggers the ADAMSEIEPostFiler to route documents incoming via EIE/EHD with that particular docket number into the ADAMS "Expedite" folder for immediate processing completion. Documents not specifically marked follow a regular processing flow into a "Normal" ADAMS folder.