

**UNITED STATES OF AMERICA**  
**NUCLEAR REGULATORY COMMISSION**

**Title:                BRIEFING ON COMMISSION DECISION**  
**TRACKING SYSTEM (CDTS) - PUBLIC MEETING**

**Location:            Rockville, Maryland**

**Date:                Friday, April 21, 1995**

**Pages:              1 - 53**

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UNITED STATES OF AMERICA .  
NUCLEAR REGULATORY COMMISSION

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BRIEFING ON COMMISSION DECISION  
TRACKING SYSTEM (CDTS) - PUBLIC MEETING

- - - -

Nuclear Regulatory Commission  
One White Flint North  
Rockville, Maryland

Friday, April 21, 1995

The Commission met in open session, pursuant to  
notice, at 10:00 a.m., Ivan Selin, Chairman, presiding.

COMMISSIONERS PRESENT:

- IVAN SELIN, Chairman of the Commission
- KENNETH C. ROGERS, Commissioner
- E. GAIL de PLANQUE, Commissioner

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1 STAFF SEATED AT THE COMMISSION TABLE:

2

3 JOHN HOYLE, Secretary of the Commission

4 MARTIN MALSCH, Deputy General Counsel

5 SAMUEL CHILK, Director, Commission Decision Tracking System  
6 Project

7 DONNIE GRIMSLEY, CDTS Project

8 DAVID JAFFE, CDTS Project

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## P R O C E E D I N G S

[10:00 a.m.]

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CHAIRMAN SELIN: Good morning, ladies and gentlemen.

The Commission is very pleased to receive this briefing on the status of a special project that we initiated about 18 months ago to design, to develop and to test prototype full test document retrieval system to provide agency decision makers, especially the Commission and senior agency staff, ready access to the information and documents that form the basis for prior NRC policy decisions and areas of current interest to the Commission.

Once I foolishly wandered into Bill Parler's office and I saw his desk groaning under these documents. I asked him, "Why do you have all that stuff there?" and he said, "It's the only way I can find out what the Commission decided and why it decided it on a half dozen cases." That made it pretty clear that we needed to do better than just to keep all these dogeared copies of old documents in order to support our understanding of major decisions that had been received.

And, of course, these decisions take a long time to be reached, the policies take a long time to be developed and they transcend the memories of certainly any Commissioner and, in fact, any member of the staff. So, we

1 need to have these documents and we need to have this  
2 information available even for ourselves and certainly for  
3 our successors.

4           Since the beginning of this year, the project  
5 staff under the direction of Sam Chilk has developed and  
6 tested and working prototype of the system and conducted a  
7 survey of selected uses to determine whether further  
8 improvements in the system are needed and, more generally,  
9 to determine the potential demand for and the interest in  
10 such a system. We're clearly going to have something of a  
11 system, but whether it's a broad system for very wide agency  
12 use or it will be a specialized system for relatively small  
13 number of users and documents will be determined in large  
14 part by this survey and by the analysis that follows.

15           So, we'd like to hear the results of the survey  
16 and the project manager's belief on the implications of the  
17 user comments on the future of the system.

18           I will stress that although the Commission soon  
19 has to make important decisions regarding the future  
20 development of what's called CDTS, the Commission Decision  
21 Tracking System, today's briefing is intended only for  
22 informational purposes.

23           Before I turn the meeting over to Mr. Chilk, I  
24 want to note for you in the audience who are unfamiliar with  
25 the system but who are interested in a demonstration of the

1 features, that Mr. Chilk is prepared to conduct a  
2 demonstration after this meeting is concluded.

3 Commissioners?

4 Mr. Chilk, we're looking forward to your  
5 presentation.

6 MR. CHILK: Thank you.

7 I heartily concur in your opening remarks, Mr.  
8 Chairman. The longer I stay with this project, the more I  
9 understand and believe and see the necessity for something  
10 like this for yourselves and for future Commissioners and  
11 for future senior staff.

12 As a side comment, this table looks a little  
13 different. I'm so used to sitting at that end. I look at  
14 it at this end and somehow it --

15 CHAIRMAN SELIN: We could turn it around to make  
16 you more comfortable.

17 MR. CHILK: I'd like to cover in the course of  
18 this briefing the organization of the project office, the  
19 status of where we are, the unique features of the system  
20 that we've put together, what the future looks like, how  
21 we're going to run it, what lessons we've learned and what  
22 conclusions we come up with at this stage of the game.

23 I know that you've heard some of this before. But  
24 in the interest of making the thing meaningful to everybody  
25 in the audience, I thought we had to go through it again.

1 [Slide]

2 MR. CHILK: The first chart indicates the  
3 objective of the organization and the project, which is  
4 preserve corporate knowledge and preserve NRC's historical  
5 policy decisions for the next generation and make to the  
6 next generation information that was available to you and  
7 your predecessors before they need to have it.

8 [Slide]

9 MR. CHILK: I thought I'd take a few minutes just  
10 to run through the organization and how we got to where we  
11 are. Following the Chairman's initiative and the  
12 Commission's initiative to start this, we put together a  
13 team consisting of myself and Bill Olmstead and Jim Blaha  
14 from EDO and Moe Levin from IRM and the four of us sat down  
15 and argued and talked about what we wanted to do, how we  
16 wanted to do it, whether we wanted to do a prototype,  
17 whether we wanted to go the way of routine determination of  
18 individual's desires and needs, and finally came up with a  
19 decision that we ought to use a prototype. We thought it  
20 would get us faster. We put together a lot of documents and  
21 a lot of pages in the database which I don't think could  
22 have been accomplished in any other way except through a  
23 prototype approach to this particular project.

24 In doing that, we looked at the list of subjects  
25 that we had available to us. This was a list that had been

1 compiled from Commissioner comments, compiled from OGC  
2 comments, and in part compiled from comments from the  
3 Secretary's Office and comments from some of the key people  
4 on the staff who thought all the subjects -- advanced  
5 reactors, for example, comes in my mind, asking that that be  
6 added. Not because it had a long history but because it was  
7 a subject that would have a long history and the argument to  
8 me was, "Well, why don't you start it now and then you'll  
9 have it?" So, that seemed to be useful.

10 But that's how the list of subjects were  
11 determined. In looking at the list of subjects, we decided  
12 on license renewal as a prototype. Of all of the subjects,  
13 it seemed to be one that was of current interest. It has a  
14 fairly long history and it looked like it had the  
15 ingredients that would give us a fair test as a prototype  
16 for the rest of the system.

17 Obviously in the approach to the thing, we didn't  
18 want to get all documents. We didn't want to duplicate what  
19 IRM already had. What we were looking for are key documents  
20 -- what we identified as key documents, meaning those that  
21 had some substantial influence on what the Commission did  
22 and to help us build a chain from the time of origin to  
23 today without loading the database with a lot of extraneous  
24 material. We started on one tack, changed it a little bit,  
25 but we've basically gone down that line.

1           What is a key document?   What is a key issue?

2       Well, some of the guidelines we came up were it had to come  
3       to the Commission.   If you gentlemen didn't see it, ladies  
4       didn't see it, then obviously you didn't make a decision on  
5       it and it didn't have any direct influence on what happened.  
6       We looked at that in terms of issues.   We looked at that in  
7       terms of documents.   We decided that if a key issue was not  
8       supported by documentation it was hardly a key issue.   If a  
9       key document did not address an issue, it could hardly be a  
10      key document.   Working around those sort of guidelines, we  
11      attempted to determine what key documents were.

12           Now, we went to the staff.   The staff, the people  
13      that are the people that write your papers.   In license  
14      renewal, for example, NRR, we went to that segment of the  
15      staff and said, "Okay, identify key documents.   Identify key  
16      issues," and they did that.   We then took a look at that and  
17      made a review of it, talked to people about it as we needed  
18      to do so.   If we passed it, it went on in the system.   If we  
19      didn't, we may have put it aside and come back to it later  
20      or we may have put it aside permanently, or, as I will later  
21      explain, we might have put it in the database under a second  
22      tier of documentation.

23           Now, the staff's responsibilities in this thing  
24      were to identify the issues, to identify the documents, to  
25      perform certain other things such as a cover sheet, which

1 I'll discuss in later course of the event, and to provide  
2 support from the General Counsel, from the Congressional  
3 Office, from Public Affairs and from SECY because there are  
4 some documents, believe it or not, that staff is not aware  
5 of. They don't see all the OGC documents and yet they're  
6 essential for I think what this system needs to contain.  
7 And some of them don't see the congressional documents.  
8 Some of the documents go far back and nobody can find them  
9 except SECY going back into their files and that sort of  
10 thing.

11 So, for every project, you had a series of offices  
12 that supported each one of these teams as we went down  
13 through the 29 subjects by having either an OGC  
14 representative or having them give us their key documents or  
15 having identification of key documents all the way through.

16 The point I'm trying to make here is that this  
17 wasn't an individual effort on the part of any project.  
18 This was a team effort. There were maybe 50 or 60 people  
19 involved in this all throughout, participating either in the  
20 collection, participating in the evaluation, participating  
21 in advice, participating in something.

22 Now, the Project Office, on the other hand, its  
23 responsibilities were largely meeting with each of these  
24 teams once a week. We met with everybody once a week  
25 religiously because we wanted the thing done within 45 to 60

1 days. If we didn't meet with them periodically, the time  
2 would have elapsed and we would have had nothing. We were  
3 interested in time. So, we met with them periodically. We  
4 reviewed the status. We looked at what they had coming up  
5 in the way of issues and argued about them. We looked at  
6 what they were thinking about in documentation. We helped  
7 them where they said, "Hey, we can't get SECYs or we can't  
8 get X or we can't get Y." We moved in and took care of  
9 them. A few times we provided personnel support to them to  
10 do some typing or do some other sorts of things for them.

11 We got NUDOCs and the PDR to run computer listings  
12 of documents in their particular subject to see what was in  
13 the public document room. We went to Public Affairs and  
14 said, "Every time there's been an important thing happening,  
15 you've issued some sort of a press release. So, give us all  
16 the press releases." Our interest at that stage of the game  
17 was to make sure that we didn't bypass any big ticket items,  
18 that we tried to capture everything and we tried to use  
19 everybody's resources to try to put the whole thing  
20 together. Of course, we did all the scanning and the  
21 optical character reading and we did the oversight of the  
22 entire project.

23 IRM's responsibility was to enter the stuff in the  
24 database once they received it. If they didn't get it, they  
25 couldn't enter it, and to enter it into the LAN and to

1 provide technical advice to us on the thing.

2 COMMISSIONER de PLANQUE: Sam, before you go on,  
3 just as a point of information for me, does staff routinely  
4 get the Commissioner's votes along with the SRM?

5 MR. HOYLE: The staff at the EDO level gets the  
6 votes and the General Counsel gets the votes. The EDO makes  
7 the determination as to whether the votes should go further  
8 to the staff or the staff should be invited up to their  
9 office to view those votes.

10 COMMISSIONER de PLANQUE: But those votes, unless  
11 the right box is checked, go in the PDR.

12 MR. HOYLE: They do go in the PDR when the SRM is  
13 released.

14 COMMISSIONER de PLANQUE: Right.

15 MR. HOYLE: They don't physically accompany the  
16 SRM to the staff.

17 COMMISSIONER de PLANQUE: So, staff sometimes  
18 working on the issue do not see the actual votes, they only  
19 see the SRM. Is that correct?

20 MR. HOYLE: I would think that's very possible.

21 COMMISSIONER de PLANQUE: Okay. That just came to  
22 my attention recently and I was somewhat surprised at that.

23 MR. CHILK: Incidentally, I might add that the  
24 Commission vote sheets as such are not in this database  
25 because it's the SRM that is the Commission's decision.

1 That's what is in.

2 CHAIRMAN SELIN: You better move on quickly.

3 COMMISSIONER ROGERS: Yes, start running.

4 MR. CHILK: I understand. I've been through this  
5 once before.

6 [Slide]

7 MR. CHILK: The chart on page 3 shows you 13 of  
8 the subjects. These 13 subjects are in the database right  
9 now and having the required equipment, you can dial into  
10 this and use it.

11 We started with 29 subjects and reduced it to 25  
12 because there were certain ones that we consolidated as  
13 indicated on your footnotes. In checking around with your  
14 offices and checking around with others, it appeared that  
15 there was support to combine these and we so did.

16 The issues, I think I've told you before, came  
17 from the Commissioners principally.

18 [Slide]

19 MR. CHILK: Chart 4 tells you that there are 12  
20 subjects that are still in the collection period. We would  
21 estimate that when we finish with this there's going to be  
22 something like 3500, 4000 documents and maybe 70 to 82,000  
23 pages of material in the data base.

24 [Slide]

25 MR. CHILK: The current status of all this is that

1 the 13 subjects now have been completed. They're in the  
2 database. We've sent them out to the users and the users  
3 have completed a questionnaire and we'll address that  
4 questionnaire a little later on in this briefing. We hope  
5 to have the remaining topics in by 30 June. We may miss  
6 that, but four topics, eight of them are sure to be in.  
7 Four of them are somewhat questionable, but two of the four  
8 are in like the 3rd of July or something. So, it's pretty  
9 close to the 30 June promise. Two of them run about the  
10 10th of July. We're working with IRM now and working with  
11 my staff to try to figure out a way to get them all in by  
12 the 30th of June. That's my commitment to you and that's  
13 what I'd like to do.

14 This merely tells you that perhaps 150 people or  
15 so have received briefings and demonstrations and  
16 illustrations and what not on this subject. We have about  
17 40 people that now have access to it, including Commissioner  
18 assistants and OGC and congressional and the other offices  
19 listed, the subject managers for the 13 subjects and the  
20 project office and we need to expand that to the next 12  
21 project people and to probably increase the number in the  
22 programs and in the Commission offices which have basically  
23 one set of equipment to that.

24 CHAIRMAN SELIN: I hope I don't open a large  
25 distraction at this point, but I do think Commissioners'

1 votes meet your definition because the SRMs are not just the  
2 mechanical compilation of the votes. The Commissioners look  
3 at each other's votes before they accept an SRM and often  
4 the SRM is not logically deducible from the votes. I mean  
5 it does represent another stage and probably it shouldn't.  
6 Once you vote and then an SRM encompasses votes, but it  
7 doesn't. The votes then lead to some reconciliation. So,  
8 by your definition of key documents, documents which affect  
9 Commission decisions, I do think individual Commissioner's  
10 votes meet that definition.

11 MR. CHILK: We did that because we thought that in  
12 most instances the SRM explains Commissioner differing  
13 views. But I don't have a problem. It can be added.

14 CHAIRMAN SELIN: From my experience, that  
15 theoretical, desirable situation --

16 MR. CHILK: Commissioner Rogers and I had that  
17 discussion right at the outset of this thing.

18 CHAIRMAN SELIN: It's not actually achieved that  
19 the secretary cannot just take the votes, put together an  
20 SRM and people say, "Yes, that's accurate." There's a  
21 further decision making process.

22 MR. CHILK: I don't have a problem with that at  
23 all.

24 CHAIRMAN SELIN: Thank you.

25 MR. CHILK: We'll just add them as soon as

1 possible.

2 CHAIRMAN SELIN: Thank you.

3 [Slide]

4 MR. CHILK: Page 6 tells you some of the unique  
5 features of the system. Scope notes refers to the fact that  
6 in the database and in the charts the issues are one liners  
7 and frequently the one liner doesn't tell you what the full  
8 scope of the issue is. So, we've asked the people to put  
9 scope notes in so that when you looked at the issue you  
10 could also look at the scope note and try to get a better  
11 idea of what's contained in the issue before you waste your  
12 time going to the issue and finding out that it doesn't  
13 contain what it is you'd like to have.

14 We've put out at least three predefined search  
15 paths, tying the issues to the documents. If you click on  
16 an issue, you're going to get the documents that pertain to  
17 that particular issue, not the entire database. You can  
18 click and go directly to the documents without going through  
19 issues, if you want to go that route. We have headers which  
20 is an index and by going that route you can click on the  
21 index and bring up the paper that pertains to that. All of  
22 this is in addition to the word search and the phrase search  
23 that comes with the software system itself.

24 We've done some linking. We have linked SECYs to  
25 SRMs so that when you look at the SECY paper you can find

1 out what the Commission's decision was on the SECY paper.  
2 In some instances the SRM, in addition to saying yes or no  
3 or do it or don't do it, has further instructions to the  
4 staff saying, "You know, we like this, but we'd like you to  
5 come back and do A, B and C." So, we have linked that back  
6 so that you can go from a SECY paper to the SRM and from the  
7 SRM get the response to that SRM in one fell swoop.

8           Listed under "To Do" and showing up in the  
9 comments of the users, people made the argument, "Well, if  
10 you're going to do that with SECY papers, why don't you do  
11 it with Commission briefings?" Well, it makes sense and we  
12 will do it with Commission briefings. We just did it with  
13 SECY papers because we weren't quite sure what effect all of  
14 this was going to have on the system and we wanted to kind  
15 of phase it in. So, we have that to do. They wanted  
16 letters linked together. ACRS sends in a report, a response  
17 goes back, join the two together so that you get them at the  
18 same time. That sort of thing to simplify the system and  
19 make it easier are things that are being asked for. We  
20 think they make good sense and we would propose that they be  
21 continued.

22           The system also establishes a set of sort of a  
23 partnership between the individuals that prepare the papers  
24 and the individuals that file the papers. In this  
25 particular system, the papers have to be linked to various

1 other issues. It certainly made sense to me to have the  
2 person preparing the paper tell the filer exactly what he  
3 wants him to do with the paper. That way you've sort of got  
4 a partnership and it ought to reduce materially the  
5 inability to start buying papers and buying things as they  
6 go along. I'll show you the cover sheets. It's in your  
7 package, but I will be talking about it a little later.

8           There are eight monographs that have been done.  
9 They are being put into the system. We've also left a space  
10 in the system for Commission and staff access to a private  
11 document file. By that we mean that there are papers that  
12 you have in your offices. If you don't want to retain the  
13 paper and you want to just put it in the database, they're  
14 of no interest to anyone else, but there is a space. You  
15 can put them in this database. You can go to IRM and say,  
16 "Here's what I want to put in and here's the way I want it  
17 to show up," and that's been accounted for, for both  
18 Commissioners and for the project people --

19           CHAIRMAN SELIN: So that could even be papers that  
20 had been used in making the decision or notes that are added  
21 to the file.

22           MR. CHILK: Yes. They have their own things  
23 that --

24           CHAIRMAN SELIN: Each user has his or her own  
25 ability to add notes. That's very nice. The monographs are

1 Sam Walker's monographs?

2 MR. CHILK: The monographs are Sam Walker's  
3 monographs. He has completed nine of them and they are or  
4 are being put in the database at this time.

5 Part of this --

6 CHAIRMAN SELIN: Has he gone back and redone any  
7 of his nine monographs once he's seen the data?

8 MR. CHILK: No.

9 CHAIRMAN SELIN: It would be interesting to see  
10 what his reaction is once he's seen these.

11 MR. CHILK: No, he has not, to the best of my  
12 knowledge.

13 One of the reasons we did this, I can take a  
14 minute or two to explain it, is that when we first started  
15 this thing we did operator license renewal. We linked every  
16 paper to an issue. Regardless of how many, we linked them  
17 to an issue. As we went down the line, it became apparent  
18 to us that linking 100 papers to an issue or to several  
19 issues was just going to slow the search time down and we  
20 didn't think anybody would really get around to doing that.  
21 So, we went back to the people and said, "Here, let's arrive  
22 at some sort of an arbitrary number, maybe 25 or so. How  
23 many key documents can you really have? The rest of them  
24 we'll put in the database, but we won't link them. You  
25 people, the experts who think they're key, we think they're

1 key and they ought to go in the data. You'll search for  
2 them but it won't come out through a link.

3 To compensate for that, we then said, "Okay, there  
4 may be a third tier that the project people have or that the  
5 Commissioners have that they want to put in their own  
6 database," and that's how we arrived at what we're doing.

7 [Slide]

8 MR. CHILK: On the next page you see just a  
9 graphic presentation in case my verbal one has not been  
10 clear enough. License renewal, breaking into Parts 51, 54  
11 and how you go down through the issues and through the  
12 documents and through the full text.

13 [Slide]

14 MR. CHILK: We sent out the user survey to all the  
15 people that were involved in the first 13 comments. We did  
16 not have enough equipment to provide each person that was  
17 involved with a 486 and PLS software, but at least the team  
18 had one set of equipment. As I went through the thing, just  
19 in summary, I found it was pretty good. People seemed to  
20 like the ease of using the system. They found the system  
21 useful. They liked the search paths. They liked the  
22 ability and all the rest of the things we've got here that  
23 they liked. We don't want you to believe that they didn't  
24 come in with some criticisms. Speed, questionable. Some  
25 people thought it was great and some people thought it was

1 slow. Some people that work with databases that had far  
2 more material and claimed that it worked faster.

3 The scope notes didn't get very much criticism,  
4 but there were one or two that people pointed out didn't  
5 make a great deal of sense or did not satisfy the thing.

6 The question about exiting PLS every time to go to  
7 another search is a very troublesome thing and we need to  
8 get together with the vendor and see what, if anything, can  
9 be done about it or whether that's a real bar to the systems  
10 platform. I don't know yet.

11 We've had some formatting problems which we think  
12 we've resolved for the most part. We had a situation where  
13 charts, when you put them on the screen they didn't line up.  
14 They were all over the place and you couldn't read them  
15 down. Yet when you printed out the thing, it came back  
16 perfectly. So, there's a technical problem we've got in  
17 there that is significant and I think we need to worry about  
18 that. And we have a number of other things that we need to  
19 go through.

20 CHAIRMAN SELIN: Well, before you get off this,  
21 there's two fundamental questions. The first is the lesser  
22 of the two is when people are using them that they have the  
23 impression there were important documents that were missing  
24 or, conversely, they had to go through a lot of chaff to get  
25 to the wheat.

1           MR. CHILK: No, did not get any complaints along  
2 those lines.

3           CHAIRMAN SELIN: And the second broader question  
4 is I assume that the users are sort of preselected to be  
5 people who are likely to find the system useful for their  
6 work. Did you get an overall feel as to whether the game  
7 was worth the candle? Given that they needed this material,  
8 it was a useful system. But did enough people need the  
9 material or did you get the feeling that once a year they -  
10 -

11           MR. CHILK: Well, I'm not so sure I can answer is  
12 specifically. I can say that I've talked to a number of  
13 people along those lines and we had a question in there,  
14 "Was this useful to you? Was this useful to your branch?  
15 Was it useful to your office?" Most of the answers were  
16 yes. Some of the people said to me that as a result of  
17 looking at this they were interested in changing their  
18 filing system to link issues and documents together rather  
19 than have a file of SECY papers, that kind of thing.

20           So, I have some reason to believe that there's a  
21 great deal of acceptance on the part of people that have  
22 used the system. But I think as you once mentioned, the  
23 system needs to run longer. As you look at the time that  
24 the people spent on the system to do the survey, then it  
25 wasn't a great deal of time. So, you don't know whether

1 these are just initial impressions or if they used it more  
2 it would be better. A lot of them want training. I think  
3 universally everybody said that we ought to have training.  
4 Some files -- well, were lost in the moves and that made it  
5 also difficult to determine whether they really found  
6 everything they needed to find or they didn't. But I'm  
7 convinced in my own mind that whereas at the beginning I was  
8 concerned that we'd miss big items. I think we've probably  
9 put too much in the system.

10 I'm more concerned about putting too much in it  
11 than I am with worrying about whether we've missed something  
12 significant.

13 CHAIRMAN SELIN: This is a critical mass type  
14 system and until people are convinced that it's going to be  
15 broad enough and around long enough its just not worth  
16 learning how to use it.

17 MR. CHILK: Well, that's why we didn't settle on  
18 just putting the 25 key documents in. That's why we put the  
19 rest of them in the database. You had your expert people in  
20 the staff saying, "Yes, they're key documents." Now, they  
21 look at key documents and we look at key documents a little  
22 differently. But nevertheless there is a happy medium and  
23 we were very lenient in trying to accommodate their needs.  
24 This may be a Commission system, it may be a system for  
25 senior officers, but it's a lot of the people in the staff

1 that have got to identify and put documents in. I wasn't  
2 going to sit there and say, "Hey, you can't put that  
3 document in." That didn't make very good sense to me.

4 CHAIRMAN SELIN: Do you have a facility of the  
5 system or would an operational system have a facility so  
6 that the system manager could go back and find out how often  
7 a topic was accessed or how often a document was accessed?

8 MR. CHILK: We're talking about that. I think  
9 there is such a system and we would think it would --

10 CHAIRMAN SELIN: So, there's some automated aids  
11 over time?

12 MR. CHILK: That's right. We need some  
13 coordinated aid to try to find out what usage of the system  
14 is. But you've got to remember, we're only talking about 25  
15 subjects or 29 subjects and a lot of usage goes on outside  
16 those 29 subjects. I think there will probably be other  
17 subjects added as you go downline.

18 That's my just over rough analysis. I guess the  
19 second question of importance to us in a way is what's the  
20 future. I've listed some of the things that we think we  
21 need to do in 1995 for the rest of the year following June  
22 30th. Our time up to June 30th is devoted to one thing, get  
23 everything in the database that we can possibly get in. But  
24 we have had a second group of people, the 12 people that  
25 have not been asked yet -- their stuff is not in. So, we're

1 going to want to get user comments from them. We want to  
2 incorporate those comments along with the comments we got so  
3 we can look at the whole thing.

4 There are a number of pending changes and there  
5 are a number of things that need to be added to the system.  
6 Some of them argue about whether they need to be done now or  
7 need to be done later. But nevertheless, there are things  
8 that -- this is in a sense an operating system, even though  
9 it's a prototype. But it's intended to operate. So, there  
10 are things that -- you've got to put more links in, you've  
11 got to put the folks in. You know, you've got to do things  
12 to keep the thing usable from the standpoint of the people  
13 that want to do that.

14 We've written a procedures guide for the  
15 continuation of the program after this office goes out of  
16 business. It's been staffed once with comments. It will be  
17 staffed again for additional comments. I think later on in  
18 this chart I've got some of the things that are a little  
19 different than we do things now, but not any radical  
20 changes, not imposing any great burden on anybody.

21 In conjunction with your idea at the beginning of  
22 saying that we need to make a decision, one of the things we  
23 need to do is decide what happens from here on in with the  
24 project office. You want it to continue, you've got a  
25 couple choices. You can continue, you can give it to the

1 staff. You've got a couple choices of who you give it to in  
2 the staff. In any event, I'm convinced that you need a  
3 systems manager. Somebody has to be responsible for this.  
4 It's something that IRM, that the staff cannot do. The  
5 Commission has a better and its offices have a better hold  
6 on what are key documents more in tune with what the  
7 Commission really needs and wants and that sort of thing.  
8 But nevertheless, somebody has got to take it over and that  
9 somebody at some office has to assign a systems manager to  
10 make sure that the papers get in, the continuation goes on,  
11 it's purged periodically to find out what usage there is of  
12 the system. You can make whatever required modifications  
13 are and so forth. Got to have that.

14 CHAIRMAN SELIN: Why did you say that can't be  
15 done by the staff or by IRM?

16 MR. CHILK: I don't think there's anything that  
17 cannot be done by the staff that can be done by the Project  
18 Office. I think it's a choice of where in the staff you  
19 want to put it.

20 COMMISSIONER ROGERS: Well, the system manager. I  
21 think you seem to say that you needed a special --

22 MR. CHILK: Well, it's the management of it.

23 COMMISSIONER ROGERS: But that could be within one  
24 of the staff offices.

25 MR. CHILK: Oh, certainly. Absolutely. It could

1 be within one of the staff offices. We do not need to  
2 retain a project. I wouldn't recommend that you do that, as  
3 a matter of fact. I personally think it ought to go to the  
4 staff. I think we need to be a little careful about where  
5 we put it.

6 In '96, we see the system running, basically  
7 running for a year. I think it needs to do that. I think  
8 there will be some other subjects that might well come up in  
9 that period of time. There are other users in addition to  
10 the people that -- the 12 teams that are going to be geared  
11 into the system. NRR would like to have nine more people in  
12 the system, tech assistance. It seems to be a logical place  
13 people are going to use it. NMSS has a requirement for more  
14 equipment. Research has a requirement for more equipment.  
15 Commissioners need to get their equipment complete. So,  
16 we're going to have more users under any and all  
17 circumstances just to make the system available to people  
18 that absolutely need to use it. That's no further than I've  
19 gone at this stage of the game.

20 In '97 I listed resolving relationship with a  
21 document management system. I think that's part of your  
22 decision making progress. You've got the data management  
23 system coming down on the one hand. You've got this system  
24 coming in on the other. It doesn't make a great deal of  
25 sense to me at this point to make this system into a

1 production system and then maybe have to change it again  
2 when a new management system comes down the line. My  
3 thinking basically is this should continue, management  
4 system. It may come together sometime in '97. It may be  
5 '96, maybe '98, but whenever you reach that kind of point,  
6 then I think you ought to decide what the relationship is  
7 going to be between the two and how the thing is going to  
8 work together.

9 CHAIRMAN SELIN: But the document management  
10 system is oriented toward documents, not towards issues. I  
11 mean the idea of the document management system is that  
12 every document be entered in some sort and have enough  
13 headers so that you could find it depending on what your  
14 interests are, but it would still be organized by document,  
15 whereas this system is --

16 MR. CHILK: Organized by issues.

17 CHAIRMAN SELIN: It's organized by issue.

18 MR. CHILK: That's right. But the thing we want  
19 to do, and I know you want to do, is we want to handle the  
20 document one time.

21 CHAIRMAN SELIN: That's right.

22 MR. CHILK: We want to use one set of equipment.

23 CHAIRMAN SELIN: I mean you could see a database  
24 that had 50,000 documents in it, of which 5,000 were  
25 automatically gone through if you went through all 25

1 issues, but you'd still have only -- the document would be  
2 just in one place.

3 MR. CHILK: That's right. That's right.

4 CHAIRMAN SELIN: And you would have chains that  
5 would access these documents based on what the issues are.

6 MR. CHILK: My thinking is that for the moment  
7 this is a completely independent system. It needs a systems  
8 manager. It needs to be controlled by the --

9 CHAIRMAN SELIN: But eventually you would end up  
10 with --

11 MR. CHILK: But the equipment, the procedures,  
12 whatever ought to be tied together.

13 CHAIRMAN SELIN: If all the documents were in  
14 automated form, we would have the documents in one place and  
15 this would be a set of search algorithms to into that  
16 database and other people might have custom algorithms for  
17 their own purposes.

18 MR. CHILK: That's right. Oh, yes.

19 CHAIRMAN SELIN: The difference is that this would  
20 be maintained by a system manager --

21 MR. CHILK: That's right.

22 CHAIRMAN SELIN: -- serving on behalf of a large  
23 number of users who had similar needs.

24 MR. CHILK: And in '97 I think we ought to address  
25 the question of whether this ought to be made available to

1 the regions and whether it ought to be made available to the  
2 public.

3 CHAIRMAN SELIN: Do you have levels of security in  
4 this --

5 MR. CHILK: I beg your pardon?

6 CHAIRMAN SELIN: Do you have different levels --

7 MR. CHILK: There's no security in this system at  
8 the present time.

9 CHAIRMAN SELIN: So, if you can get in you can get  
10 any document?

11 MR. CHILK: That's right. We need to do a  
12 security plan for the security documents. We've done some  
13 survey --

14 COMMISSIONER de PLANQUE: If you intend to make  
15 this useful according to the original purpose, which is for  
16 the policy makers to see all the documents that played a  
17 role in the decision making, certainly within those  
18 documents there are some attorney/client documents or  
19 proprietary documents and that would have to somehow be  
20 secured.

21 MR. CHILK: They're not in the database.

22 COMMISSIONER de PLANQUE: They're not in the  
23 database now?

24 MR. CHILK: They're not in the database now.  
25 There are now attorney/client. No OGC documents going into

1 the database --

2 COMMISSIONER de PLANQUE: Not even a reference to  
3 them?

4 MR. CHILK: Well, I can't tell you there's not a  
5 reference somewhere.

6 COMMISSIONER de PLANQUE: But you didn't  
7 specifically put in a reference to it?

8 MR. CHILK: That's right, if I understand your  
9 question. No documents going in that doesn't have an okay  
10 by the General Counsel, as a matter of fact. We looked to  
11 that as sort of a principal determination of whether the  
12 document is in or not.

13 COMMISSIONER de PLANQUE: I guess I would then say  
14 another question that needs to be addressed if it's really  
15 going to be helpful to future Commissioners, future decision  
16 makers, that maybe there ought to be a way to accommodate  
17 that, but that would have to be secure.

18 MR. CHILK: I think there's a way of accommodating  
19 that and I think we need to work on that. There's also the  
20 need with some NMSS documents that have to be handled  
21 specially.

22 COMMISSIONER de PLANQUE: Right. Exactly.

23 MR. CHILK: We're just talking about publicly  
24 available documents.

25 CHAIRMAN SELIN: Mr. Olmstead? Why don't you go

1 to the pulpit over there.

2 MR. OLMSTEAD: We did test the security of the  
3 system with some OGC documents that were attorney/client  
4 privilege and have satisfied ourselves that within the  
5 agency, between Novell security and the security in the  
6 software, we could protect the documents. Sam then made the  
7 choice not to put all of them in even with that there  
8 because we don't have a security plan, which is the  
9 differentiation that needs to be made. But the software and  
10 the hardware does have appropriate levels of security so  
11 that you can control access to user groups.

12 MR. CHILK: We've talked to IRM also about a  
13 security plan.

14 CHAIRMAN SELIN: Well, as long as we're on it,  
15 there are two kinds of security. There's real security and  
16 there's national security. By that I mean real security we  
17 would just have to satisfy ourselves that attorney/client  
18 documents and proprietary documents are protected. But then  
19 there are further requirements if we're going to put  
20 classified material --

21 MR. CHILK: There's no classified material in the  
22 database.

23 CHAIRMAN SELIN: Would the software support  
24 classified material if we wanted to?

25 MR. CHILK: I don't know. I haven't really

1 thought --

2 CHAIRMAN SELIN: I would expect that that's really  
3 not a very important question.

4 MR. CHILK: I don't think there's enough of it to  
5 be bothered with. I think we can put in some remark that  
6 says, "Hey, if you want classified material, go see NMSS.  
7 If you want classified OGC, go see OGC." We've got comments  
8 in there now where we haven't been able to -- oh, have got  
9 pages missing or something or we haven't been able to  
10 interpret tables. We've tried to put a comment in there,  
11 "See original document." You know, we're trying to lead  
12 people to where they have to go, not in the database.

13 Don't want to even touch that sort of stuff while  
14 I'm playing with this many documents and this many pieces of  
15 paper.

16 One other thing about the public. We did a survey  
17 of some seven subjects and found out that 67 percent of the  
18 documents are already in the public domain. We looked at  
19 the lists that were not and just looking at what I call big  
20 ticket items, SECYs, SRMs, things that we have a lot of, we  
21 were able to release all of those except one or two that  
22 have matters of privacy without sort of a blink of an  
23 eyelash. We think that we expect that 90 percent or more  
24 will be in the public domain, just as a matter of  
25 information for you, just through the regular PDR system.

1           The maintenance of the system is an attempt to  
2 just in shorthand tell you what changes and what doesn't  
3 change. We've put in management oversight. Document  
4 collection is the same. The same people that write the  
5 documents now, the same people that identify them now will  
6 continue identifying them. The document collection support  
7 is something that we used and we will still have to continue  
8 to ask, call on OGC and OCA and others to help us find the  
9 documentation.

10           We think that the number of documents is such that  
11 you probably would not need to have a daily rate to collect  
12 documents daily. You could probably collect them weekly or  
13 something like that. We think there's about 2.1 documents,  
14 key documents per day based on an analysis of '89 to '93  
15 coming through the system, so it's not a great work load  
16 that we are talking about or projecting.

17           We think that the scanning, the period between the  
18 time that the staff identifies the document and the time  
19 that the IRM puts it in the database, which consists of  
20 scanning, consists of OCR, consists of these kinds of  
21 things, needs to be controlled by one entity and I think  
22 that entity must be IRM. My understanding from discussions  
23 with Moe are that that matter has been under discussion.  
24 They are of the same general view. That's not to say that  
25 they will do it themselves or will ask Admin to do it, or

1 whatever, but, anyway, it needs to do it.

2 The next thing that you see is just a cover sheet.  
3 It's the one page that we're asking people to attach to  
4 documents, and it's a simple form to fill out and it  
5 provides IRM with the identification that they need to  
6 determine where the document is and to cement this  
7 partnership that we were talking about.

8 COMMISSIONER ROGERS: What is order? What is  
9 order on that? What's the significance of that?

10 MR. GRIMSLEY: Commissioner Rogers, order is -- in  
11 order to get -- the particular software we're using has  
12 something called "relevancy" in order to -- which is  
13 basically we'll give you the document in the order of the  
14 most frequent use in the past. In order to give some type  
15 of structure to what you see on the screen, we had to insert  
16 a number. Say the SECY papers show up first and then SRMs  
17 and then we set up a level of hierarchy so that the first  
18 group of documents once you hit the "issue" button that  
19 you'll see SECY papers grouped first and then the SRMs.  
20 That's just an arbitrary system we set up to give some order  
21 into how people find them in the index of documents that  
22 comes up after you hit an issue button.

23 MR. CHILK: And we're also working on a set of  
24 other indexes so it can be done alphabetically or it can be  
25 done by date, so you sort of will have a choice.

1           COMMISSIONER ROGERS: But in this case, the  
2 generator of the document decides what that order is? Is  
3 that what the --

4           MR. GRIMSLEY: It is directly associated with  
5 document type, like SECY papers is the highest rank in the  
6 present --

7           COMMISSIONER ROGERS: Then why isn't it just  
8 automatic? I mean, why does there have to be a separate  
9 line for it?

10          MR. GRIMSLEY: It was the guidance that we were  
11 given from IRM when we were setting up. I think that they  
12 wanted something that they could latch onto as far as a  
13 programming order.

14          COMMISSIONER de PLANQUE: But you would provide  
15 the code for how to initiate or choose?

16          MR. GRIMSLEY: Oh, yes. As soon as they check the  
17 SECY paper, if you look at the cover sheet, I think it has  
18 the order number right beside of it so the staff will know  
19 automatically what that number is.

20          COMMISSIONER ROGERS: I was just curious.

21          MR. CHILK: We'll take another look at that to see  
22 what we can do to automate all parts.

23                 [Slide]

24          MR. CHILK: On page 10, there's a series of  
25 lessons learned. Commissioner Rogers once had asked a

1 question, whether there was anything that made us change our  
2 view, and I don't remember any major issues that made us  
3 change direction. What we worked out at the outset between  
4 Bill and Jim Blaha and Moe Levin and myself seemed to hold  
5 pretty well throughout the entire thing.

6 The lessons learned, I think we've covered most of  
7 them. The three at the bottom are particularly important to  
8 me because I think we can say without a change that it's got  
9 to be supported. The system has got to be supported by the  
10 staff and the experts who know what the subject is and who  
11 have the knowledge and the wherewithal to identify key  
12 documents. It's got to start there. The system has got to  
13 be kept current. If it isn't kept current, forget it. And  
14 it's got to have Commission level oversight. Those are  
15 three things that I think are most important in the lessons  
16 learned.

17 [Slide]

18 MR. CHILK: And in conclusion, I see the program  
19 project as a tool whose value will increase as time goes on.  
20 I think it could become a model for other agencies who are  
21 interested in doing the same, concerned with the same  
22 overall problem. It preserves corporate knowledge. It  
23 provides key access to key documents. It's user friendly.  
24 It accepts new subjects. You can add to it. It reduces the  
25 need to keep paper copies and as people go through it and I

1 think become familiar with it and like the system I hope  
2 that they would start to throw away their paper copies.

3 And although it might be inappropriate to talk  
4 about a recommendation in a status briefing sort of thing, I  
5 think our conclusion at this time and thoughts at this time  
6 are to recommend continuation and future development of the  
7 prototype as a separate system under Commission oversight  
8 until this magic date of 1997 or whatever the time is when  
9 you'd look at both systems and decide what you want to do.

10 CHAIRMAN SELIN: Hong Kong reverts to China, CDTS  
11 reverts to the staff, is that the idea?

12 MR. CHILK: Yes. Otherwise, if you do it now, if  
13 you make it a production system now, you may have to redo  
14 it.

15 CHAIRMAN SELIN: Yes.

16 MR. CHILK: And I just think we ought to continue  
17 to make it an operating project and then ultimately figure  
18 out what the permanency of --

19 CHAIRMAN SELIN: Just for the sake of sort of a  
20 common understanding, there are actually two separate  
21 decisions. One has to do with the system and one has to do  
22 with the supervision of it, and the two decisions can be  
23 made separately. One is at what point do we say we've  
24 gotten the system jump-started and it should now revert to  
25 "normal development cycles" so it can take its chances with

1 the other large systems like NUDOCS that we're developing  
2 within --

3 MR. CHILK: I think it ought to be when you've got  
4 the overall management system in 1997.

5 CHAIRMAN SELIN: But that doesn't mean -- I'm  
6 saying that's a separate decision from deciding when do you  
7 switch from a prototype to a formal development. We could  
8 do formal development within a special project office. We  
9 could have a prototype run within our normal development  
10 cycle. We could keep both in the sort of special status  
11 that they've been. They are related decisions, but they are  
12 two separate decisions.

13 MR. CHILK: They're related decisions. I guess I  
14 sort of tend to think of them sort of separately. One  
15 determines who manages the system.

16 CHAIRMAN SELIN: And the second as what phase of  
17 development it goes into.

18 MR. CHILK: And the other is what do you do with  
19 it, how does it fit into the automation scheme of the  
20 Commission.

21 CHAIRMAN SELIN: Right.

22 MR. CHILK: And to fit in with the automation  
23 scheme of the Commission I think -- and not have to redo  
24 anything that you do, you might find it desirable to wait  
25 until the command management system comes down the line and

1 take a look at both of them, and I don't care which way it  
2 goes.

3 As far as the supervision goes, then I think you  
4 need to make a decision earlier on do you want the project  
5 office to continue, do you want to move it to a staff agency  
6 now, and if you desire I can provide some pros and cons on  
7 any of the choices. But I think that decision has to be  
8 made relatively shortly. We have people that want to get  
9 back to what they're doing and we need to have a mission  
10 that we know can attract some people. As you know,  
11 everybody in the staff is on a rotational basis. There are  
12 no people permanently assigned to this.

13 CHAIRMAN SELIN: Commissioner Rogers?

14 COMMISSIONER ROGERS: Well, just at the outset I'd  
15 like to say that I think the whole concept here is a very  
16 interesting one and I really want to commend the Chairman  
17 for having taken the initiative to get this started because  
18 it is a wonderful idea.

19 With where we are moving in terms of FTEs and  
20 dollars and so on and so forth, I think it's going to  
21 require some very careful thought as to how we go ahead on  
22 this. My feeling is that it's really something we need and  
23 it's something that should be here, but I do think it has to  
24 make its case against the other things that we have to do in  
25 the future and what we think our resources are going to be

1       unfortunately. The reason I stress that is it seems to me  
2       that this is not something that you can turn on and off.  
3       Once you've decided you're going to go this route, then you  
4       really have to be committed to it and continue with it.  
5       Once it falters in some way and is seen by the users as,  
6       "Well, you know, we skipped a year there and really didn't  
7       do a very good job and maybe there's some other way we ought  
8       to look for things," once it begins to ever get tainted with  
9       the notion that it doesn't do the job, it's dead and I think  
10      people won't use it.

11                 MR. CHILK: I quite agree with you.

12                 COMMISSIONER ROGERS: And so, once you commit to  
13      it, you really have to be serious about keeping it at  
14      whatever quality level it's decided that it must be as a  
15      minimum. So, I think it is a very important decision when  
16      you decide. It can't be one that, well, we'll go ahead and  
17      then a couple years from now we might just decide not to do  
18      it or something. I think it is something that represents a  
19      long-term commitment and a philosophical commitment and I  
20      think we have to look at it from that point of view when we  
21      come to a decision on it. I think that's going to be tough,  
22      I think, in the light of resources, but I think it's a  
23      marvelous effort and I think it can put us and future  
24      Commissions in a much better position to be able to make  
25      decisions in a reasonable context, to be able to look at

1 everything that was done before.

2 I think we've all experienced the new Commissioner  
3 syndrome that I know Commissioner de Planque has referred  
4 to. How did we ever get to where we are right now? If you  
5 come in with a lack of a historical knowledge of something  
6 and it's sometimes mysterious as to where we are at the  
7 moment and how we're moving in a certain direction because  
8 you don't know what's been there ahead of you, and this a  
9 way of being able to maintain coherence, continuity and so  
10 on and so forth in Commission decisions in the future. I  
11 think that's terribly important in maintaining the  
12 credibility and the value of the whole Commission in  
13 carrying out its mission.

14 MR. CHILK: I quite agree with you. I have no  
15 problem -- I have no disagreements at all. I do think,  
16 however, when you think about it, you think about what it's  
17 going to take you to do. This whole effort was put together  
18 by people on rotation. People's time were utilized. FTE as  
19 such as not basically affected. If you assign the thing to  
20 the staff, I think their ultimate need is for one person  
21 because they already have an infrastructure that does many  
22 of these kinds of things. So, I don't think -- you're not  
23 talking about committing five, six or seven people to  
24 something. We're trying to put together 20 years of history  
25 and they've got two and a half documents a day coming --

1           COMMISSIONER ROGERS: Well, you've been working  
2 with this and you know but somehow or other I have trouble  
3 swallowing that because I think we're doing something that  
4 we haven't done before. There are activities in keeping  
5 track of things and entering them into this database that  
6 haven't been done before. If they had been done before, we  
7 wouldn't be doing it now. So, somehow I have a suspicion  
8 that there's going to be more than one FTE involved because  
9 you have to see where you're counting.

10           MR. CHILK: My feeling in my own mind has been  
11 that if it goes to the staff you need one person. Now, you  
12 might say, "Okay, there may be some hangovers and things, so  
13 I'll put two people in there for one year and then cut it  
14 down to one." I can see that. I would not put anymore  
15 people down there.

16           COMMISSIONER ROGERS: Well, I don't want to really  
17 try to settle these questions, but I think we do need to be  
18 very comfortable --

19           MR. CHILK: You have to be --

20           COMMISSIONER ROGERS: -- and understand the  
21 resource requirements to be sure --

22           MR. CHILK: And you have to be dedicated to the  
23 system.

24           COMMISSIONER ROGERS: Yes, absolutely. It can't  
25 change as the Commission changes, for example. It's got to

1 be an integral part of how we proceed.

2 MR. CHILK: This is it and we've got to keep it  
3 up.

4 COMMISSIONER ROGERS: In my view. So, I've said  
5 my say on that one.

6 But coming back to some nitty-gritty things, how  
7 long do you think it would take to in general -- maybe you  
8 can't answer it -- to define a key document? I mean right  
9 now we look back and we say, "Well, that was a key document  
10 because we made a decision," and we now can look to see what  
11 role it played in that decision and identify it as a key  
12 document. But what I'm trying to get at is can this be made  
13 at the time that the document is generated, for example?

14 MR. CHILK: Yes. I would expect it to be made at  
15 that time. I would expect that we would add something to -  
16 -

17 COMMISSIONER ROGERS: For all documents or --

18 MR. CHILK: Well, I haven't really considered all  
19 documents. I worry mostly about SECYs because they are the  
20 predominant document and I would put something on the last  
21 page that said, "This is a key document," at the time it  
22 comes up to the Commission.

23 COMMISSIONER ROGERS: Yes.

24 MR. CHILK: Now, that's going to be reviewed by  
25 the systems manager.

1           COMMISSIONER ROGERS: Right. Well, it's clear  
2 where I'm going. To what extent can this be automated at  
3 the time of generation of the document or --

4           MR. CHILK: That's right.

5           COMMISSIONER ROGERS: -- very shortly thereafter.

6           MR. CHILK: That's right. That's right. That's  
7 when it needs to be done.

8           COMMISSIONER ROGERS: Yes. Well, I think that's  
9 something I'd like to hear more about, how that can be  
10 assured and what the limitations on it are.

11          MR. CHILK: I would assure it by putting some sort  
12 of a notation on the document as it comes through.

13          COMMISSIONER ROGERS: Yes. The question of  
14 lessons learned, actually what I was really interested in,  
15 Sam, was not just what we learned about this project, but it  
16 did seem to me, and it still seems to me, that what you've  
17 done here in a way in trying to set this thing up has been  
18 to review how we do make decisions. This was a Commission  
19 decision tracking system. So, you have to go back and see  
20 how decisions got made. I wonder whether in having carried  
21 this out whether there are some lessons about how we have  
22 made decisions in the past that might be useful for  
23 improving our decision making in the future.

24          CHAIRMAN SELIN: That's an interesting question.  
25 Maybe we ought to get Sam Walker to do a monograph on

1 decision making as opposed to -- no, I'm somewhat but not  
2 completely facetious. It's an historical question you've  
3 asked, not just a technical question. What have we learned  
4 about how we've made decisions in the past and how has that  
5 process evolved with the passage of time?

6 COMMISSIONER ROGERS: I think there may be some  
7 very interesting lessons there because our decisions are not  
8 simply a linear process. Far from it, I think. Sometimes  
9 it's circular process, I think. But there are many factors  
10 that ultimately come into arriving at a decision and  
11 sometimes they're not all apparent at the start of a process  
12 and I think it would be rather interesting to try to sort  
13 this out and perhaps find out -- well, be able to identify  
14 what perhaps some of the most important factors are that  
15 lead to Commission decisions. I'm talking about external  
16 initiators as well as internal.

17 MR. CHILK: I can't really answer your question  
18 without giving it a lot of thought.

19 COMMISSIONER ROGERS: Well, yes. I didn't expect  
20 an answer today but I do think that this is something that  
21 might be useful.

22 MR. CHILK: One thing we have learned, I think,  
23 along the lines that you may be talking about is that it's  
24 apparent that the people that are preparing documents don't  
25 always have all of the documents in the background that they

1 probably would like to have at the time they prepare the  
2 document. That's evident from the fact that we've had to go  
3 to OGC and OCA and others to pull documents dealing with the  
4 subject which in turn -- we've basically looked at the  
5 program director and said, "Okay, do you think this is key?  
6 OGC has identified it as key. That makes it 99 and 9/10ths  
7 percent key, but you're the program man. Is it really a key  
8 document? Let me have your view on the thing as well."

9 That's the one thing that stands out, is my fear  
10 that -- belief that all the documents are not getting down  
11 to the level, and it has to be a pretty low level, of the  
12 individual that first starts putting papers together. We're  
13 not talking about the office director.

14 COMMISSIONER ROGERS: When the initial thinking is  
15 taking place.

16 MR. CHILK: That's right.

17 COMMISSIONER ROGERS: Yes.

18 MR. CHILK: What he's considered, what he's seen,  
19 does he know about the external events, does he have a clean  
20 understanding of what it is that we're trying to do? This  
21 is a problem we had a -- the Commission has wrestled with.  
22 We had an Office of Policy evaluation way far back who  
23 supposedly looked at all of the documents that came to the  
24 Commission and screened them for this kind of thing. That  
25 lasted for awhile. It didn't work.

1           COMMISSIONER ROGERS: Well, it seems to me that  
2 that's a very important point and that's something perhaps  
3 that we really ought to be looking at very hard to see  
4 somehow the early gestation phases of a policy or a decision  
5 that the people that are involved are aware of what they  
6 need to have access to in trying to formulate a solution to  
7 a problem. That has many aspects, including other policies,  
8 perhaps congressional action of some sort, and technical  
9 issues that need to be settled very clearly in mind.

10           So, I think that this could be very useful, I  
11 think, in trying to -- maybe only a few little things will  
12 come out in ways of changing, but even those may be  
13 important.

14           MR. CHILK: We'll think about that.

15           CHAIRMAN SELIN: I'd like to ask a follow-on  
16 question. Do we have external documents in the database, a  
17 congressional letter that starts something off?

18           MR. CHILK: Do we have external documents in the  
19 system?

20           CHAIRMAN SELIN: Externally generated documents.

21           MR. CHILK: Yes. Yes. Hearing transcripts, this  
22 kind of thing. You've got letters in from industry, that  
23 sort of stuff.

24           COMMISSIONER ROGERS: Well, I just want to say  
25 that I think you've done a superb job here. Getting the

1 team together and getting to this point is really very  
2 impressive. I'm really very interested and pleased that  
3 you've been able to get to this point. I do think though  
4 that we have to be careful as we move ahead that we know  
5 what we're buying into in the future.

6 CHAIRMAN SELIN: Commissioner de Planque?

7 COMMISSIONER de PLANQUE: Well, the new  
8 Commissioner syndrome is real. It is a problem when you  
9 first come on board, trying to figure out the background  
10 documents in a certain case. It takes quite an effort to  
11 get out all you want to extract. So, I was very pleased to  
12 see what you've done here because I think it goes a long way  
13 towards solving that problem and providing the corporate  
14 memory.

15 Having been associated with another federal agency  
16 before, I've seen a problem when an agency gets to be about  
17 20 years old or more. You lose a lot of corporate memory.  
18 A lot of people who have been at high level positions in the  
19 agency move on. This is the time we're at now where a lot  
20 of people have been around since the inception of the agency  
21 and indeed are retiring and that corporate memory is going  
22 with them. So, a system like this is not only important to  
23 the Commissioners, but to the senior managers of the agency  
24 and, as you suggest, to the newer people down in the staff  
25 who start with an issue which may have a lot of history, but

1 it's difficult to recreate that history in order to continue  
2 with the problem.

3 My staff has tried this out and even though we  
4 have three and a half years experience, they've found that  
5 it was easier to find something through this system than  
6 what we had to do when I first came on board. So, obviously  
7 there is something to this.

8 Hopefully one of these days we're going to have  
9 more commissioners. We have at least one coming on board,  
10 but it might be very interesting to see how new  
11 commissioners react to this system. It will be an excellent  
12 test of how useful it is in that regard.

13 But basically I'm very pleased with what you've  
14 done and I think it's something that's needed. Exactly what  
15 form, exactly how we do it, exactly what resources we put  
16 behind it need some thought.

17 MR. CHILK: I think this is the first step.

18 COMMISSIONER de PLANQUE: Yes.

19 MR. CHILK: And as the time goes on, people are  
20 going to improve it.

21 COMMISSIONER de PLANQUE: Right. But I think it's  
22 something that's badly needed and we have to now look at  
23 real hard and decide what to do next. But thank you for  
24 your work.

25 CHAIRMAN SELIN: I would also like to thank Mr.

1 Chilk and the project staff for the efforts that have gone  
2 into the CDTS system right from the beginning of the project  
3 and to the various staff offices because, as you've all said  
4 directly and indirectly, this is not the way we normally  
5 do business. It's been quite a learning process for  
6 everybody and a terrific effort. I think the job is  
7 wonderful.

8 I would also like to paraphrase Santa Anna. What  
9 he should have said, although he didn't, is that commissions  
10 that do not know their document base will have to recreate  
11 them. So, we need to get these straight in the first place.

12 Secondly, I just want to say there's no doubt that  
13 we need this system. We need a version of it. We have  
14 questions of pace, we have questions of when do we move from  
15 a prototype to a standard firm's federal information  
16 resource management system acquisition phase and when do we  
17 move from a quite extraordinary project organization to a  
18 more sustainable organization? But there can't be any  
19 question that we need the system and we must go ahead and do  
20 it.

21 So, what I suggest is that since all the  
22 Commissioners one way or other say we have to address these  
23 issues, that we address these issues and, in particular,  
24 that we do so very soon in order to figure the level of  
25 funding and the organizational context into which the

1 system's development should continue.

2 So, I would like to ask you to prepare an options  
3 paper on the CDTs system. It should be coordinated  
4 primarily with the EDO, but also with the General Counsel's  
5 Office and with the principal users. It should include, in  
6 particular, the EDO's views on the value of the system from  
7 the staff's perspective, the options, the budget, the  
8 staffing of locations, how it fits in with other  
9 requirements that are put on the same offices. What I think  
10 you really meant to say was you were talking about one  
11 incremental person, but you are talking about reallocating  
12 efforts of a lot of people who already have functional  
13 responsibilities that are needed to cover the system and  
14 that some of their time would go to this system. If there  
15 weren't such a system, it would go to other systems. So, in  
16 terms of additional positions clearly identified with the  
17 system, there might only be one. But in retrospect, five  
18 years from now, if people go back and do a labor  
19 distribution, we find a lot more than one FTE spending time  
20 on the system.

21 So, it's another way of saying that resources that  
22 go to this system will be bled from other objectives and we  
23 need to put that all in one place.

24 So, I'd like to get this paper. I'd like to get  
25 it May 15th, which is approximately three and a half weeks

1 from now, so that the present full Commission will have a  
2 chance to review the paper and set some guidance. It's got  
3 to be a -- it doesn't have to be an integrated paper. I  
4 mean it doesn't have to have one view on points, but it has  
5 to be a coordinated paper so that in each of half a dozen  
6 issues the view or the views of the various interested  
7 parties are set down. The various Commissioners will  
8 discuss exactly the form of this in the SRM. But instead of  
9 waiting and getting the SRM, I think you really can just get  
10 started on such a paper.

11 MR. CHILK: Could I just make one other comment?

12 CHAIRMAN SELIN: Please.

13 MR. CHILK: Maybe one of the last -- this may be  
14 the last opportunity I have to address this subject with the  
15 three of you and I want to be sure that we gave credit where  
16 credit is due. This was not done by me. It's not done by  
17 our project team. It was a team effort.

18 A great deal of credit goes to the people that  
19 identified the key documents for the 25 subjects that we  
20 were on and the time they spent on it in addition to  
21 everything else that they were doing. A great deal of  
22 thanks needs to go to the General Counsel and the EDO and the  
23 IRM people who have supported this effort. A great deal of  
24 credit needs to go to Frank Akstulewicz who was the pilot  
25 with license renewal that we fought and argued about and

1 came up with the thing. I think it's they that deserve the  
2 credit for what's been done, if it's satisfactory.

3 CHAIRMAN SELIN: I'm sure they'll get the credit  
4 if it's not satisfactory.

5 MR. CHILK: No, I'll take the blame if it's not  
6 satisfactory.

7 CHAIRMAN SELIN: Thank you very much.

8 MR. CHILK: Thank you.

9 [Whereupon, at 11:16 a.m., the meeting was  
10 concluded.]

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CERTIFICATE

This is to certify that the attached description of a meeting of the U.S. Nuclear Regulatory Commission entitled:

TITLE OF MEETING: BRIEFING ON COMMISSION DECISION  
TRACKING SYSTEM (CDTS) - PUBLIC  
MEETING

PLACE OF MEETING: Rockville, Maryland

DATE OF MEETING: Friday, April 21, 1995

was held as herein appears, is a true and accurate record of the meeting, and that this is the original transcript thereof taken stenographically by me, thereafter reduced to typewriting by me or under the direction of the court reporting company

Transcriber: Carol Lynch

Reporter: Peter Lynch

**Commission Briefing**  
**on the**  
**Commission Decision Tracking System**

**10:00 a.m.**

**April 21, 1995**

## **Objective**

**Preserve corporate knowledge**

**Preserve the NRC's historical policy decisions for its next generation of policy makers, giving them ready access to the facts and data available to their predecessors**

# **Project Organization**

- . Approach**
- . Staff Responsibilities**
- . Project Office Responsibilities**
- . IRM Responsibilities**

## **13 Subjects on LAN**

**Decommissioning**

**Operator Licensing**

**Emergency Preparedness**

**Safety Goal**

**Enrichment**

**Severe Accidents**

**EPA Standards/Regulations (1)**

**Standardization (3)**

**High Level Waste**

**Transportation**

**Human Factors**

(1) includes Environmental Policy Issues;  
other Environmental Issues included with  
applicable Subjects

**License Renewal**

(2) includes Mixed Waste and Uranium Mill  
Tailings

**Low Level Waste (2)**

(3) includes Advanced Reactors

## **12 Subjects in Data Collection Phase**

**Agreement States**

**Medical Uses**

**Enforcement**

**Organizational Changes**

**Export-Import**

**Preemption**

**International Issues**

**Radiation Protection Stds**

**Location/Consolidation**

**Safeguards**

**Maintenance**

**Source Term**

## **Current Status**

**13 Subjects - User Phase**

**13 Subjects on LAN 2,500 documents and 50,000 pages**

**Remaining 12 Subjects Available by June 30, 1995**

**Over 150 individuals have received briefings and demonstrations**

**40 Users Have Access**

- . Commissioner Assistants**
- . OGC/OCA/SECY/OCAA/EDO**
- . Subject Managers for first 13 Subjects - NRR/NMSS/RES**
- . CDTS Project Office**

**System operates on a separate file server on the AUTOS LAN**

# **Unique System Features**

**Scope Notes**

**Pre-defined search paths**

**Linking**

**Now**

**SECY - SRM & SECY - SRM - SECY**

**To Do**

**Link Commission Briefings, Rules and EDO Letters to the  
Commission to SRMs & SECYs**

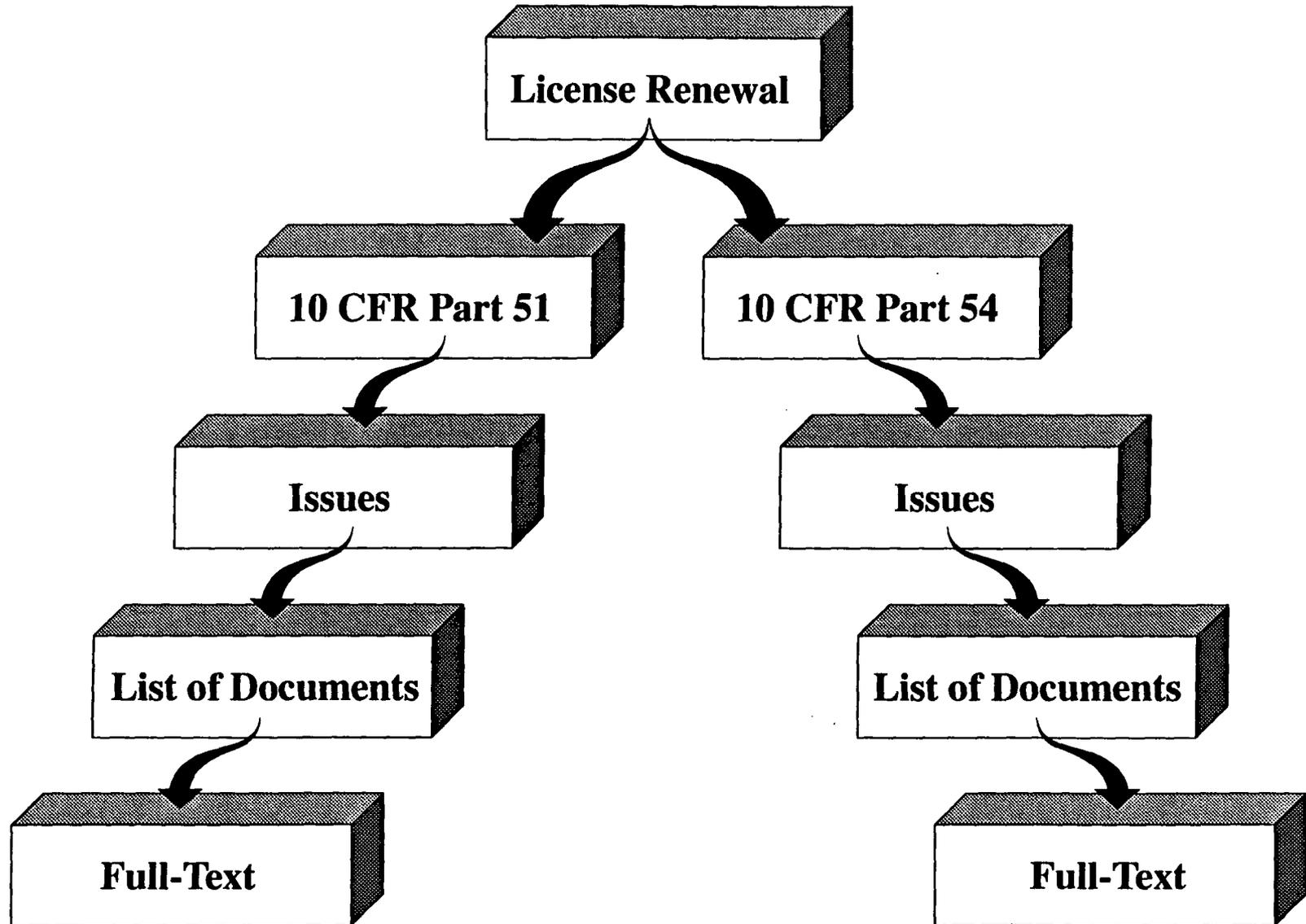
**Link Advisory Committee Letters to their response**

**Preparer/filer interface**

**Monographs**

**Commissioner & Staff access to private document files**

# Search Paths



## **User Survey**

**Like the overall ease of use of the system**

**Found system useful for their work**

**Like the organization of the search paths**

**Like the ability to easily go from text of one document to another**

**Like the links made between SECY papers and SRMs**

**Found ability to print documents easy and useful**

**Want to link Commission Briefings, FRNs, EDO and ACRS letters to SRMs and SECYs**

**Want Images of non-text charts and graphs**

**Want the number of pages displayed at top of document**

April 14, 1995 11:00 a.m.  
(Numbers Only)

**User Survey**  
**for the**  
**Commission Decision Tracking System**  
**Prototype**

**March 1 - March 31, 1995**

**Commission Decision Tracking System Project**

**Return to:**  
**CDTS Project**  
**Mail Stop: OWFN-16G15**

COMMISSION DECISION TRACKING SYSTEM (CDTS) USER SURVEY

I. INFORMATION ON THE USER

1. Office: \_\_\_\_\_

Name: \_\_\_\_\_

Name	Office	Subject
------	--------	---------

2. The total number of hours I used the CDTS: \_\_\_\_\_

3. As a CDTS user, I (check those that apply):

6 Have received training from the CDTS staff

13 Am self-taught with using the CDTS User's Guide

10 Am self-taught without the CDTS User's Guide

3 Used the Personal Librarian Software (PLS) manual

4. Additional training on CDTS would help me use the system more effectively.

16 Yes      3 No      (check one)

II. CDTS MAIN MENU SCREEN

1. The search paths provided in the CDTS are listed below. Would you prefer to retain, delete, or modify these searches? List any additional search paths you would like.

	Retain	Delete	Modify
a. SUBJECT/TOPIC/ISSUE	<u>15</u>	_____	_____
b. SUBJECT/TOPIC/DOCUMENT CAT	<u>14</u>	<u>1</u>	_____
c. CONGRESSIONAL DOCUMENTS	<u>13</u>	<u>2</u>	_____
d. DOCUMENT CATEGORY	<u>13</u>	<u>1</u>	_____
e. SPECIAL SEARCHES <sup>1</sup>	<u>11</u>	_____	<u>2</u>

---

<sup>1</sup>SPECIAL SEARCHES allows the user to build their own document or word search by typing in field values and descriptions in the SEARCH INPUT box.

2. Under the CONGRESSIONAL DOCUMENTS search path, Congressional Documents for all subjects can be accessed. Buttons to search by Committee/Subcommittee, Person, and Congressional Subject areas could also be added. Do you want these searches options?

	Yes	No
a. Committee/Subcommittee	<u>10</u>	<u>9</u>
b. Person/Member	<u>10</u>	<u>7</u>
c. Congressional Subject Area	<u>10</u>	<u>7</u>

3. Additional comments on the MAIN MENU SCREEN:

### III. SUBJECT

1. In which of the following Subjects have you used within the CDTs to view documents:

	Yes	No
a. License Renewal	<u>10</u>	<u>4</u>
b. Operator Licensing	<u>6</u>	<u>5</u>
c. Decommissioning	<u>8</u>	<u>5</u>
d. High Level Waste	<u>8</u>	<u>6</u>
e. Low Level Waste	<u>7</u>	<u>6</u>
f. Emergency Preparedness	<u>4</u>	<u>10</u>
g. Safety Goal	<u>9</u>	<u>4</u>
h. Severe Accident	<u>8</u>	<u>7</u>
i. Environmental Protection Agency	<u>6</u>	<u>7</u>
j. Enrichment	<u>4</u>	<u>9</u>
k. Transportation	<u>2</u>	<u>12</u>
l. Human Factors	<u>6</u>	<u>8</u>
m. Standardization	<u>4</u>	<u>8</u>
n. All Documents	<u>8</u>	<u>5</u>

2. Additional comments on the SUBJECTS:

IV. SUBJECT SCREEN

1. The Subject, "License Renewal," is subdivided into Part 51 and Part 54 in order to separate documents concerning technical issues from those concerning environmental issues. Should other Subjects be subdivided into Parts? Does this make a difference? Explain.

Subject(s)	Subdivide Into Parts	Do Not Subdivide Into Parts
Emergency Preparedness		X

EP could be subdivided into parts-- 10 CFR Part 50, 10 CFR Part 52; However, subject matter for Part 52 limited to its points.

LSS Part 2 & 60

Advanced Reactor (Subdivide into Parts) - Evolutionary; Advanced ABWR, SBWR, AP600; SYSTEM 80+

Subject(s)	Subdivide Into Parts	Do Not Subdivide Into Parts
_____	_____	_____
_____	_____	_____

	Yes	No
2. Some Subjects, such as "Mixed Waste" and "Uranium Mill Tailings" were combined under "Low Level Waste." The Subject "Advanced Reactors" was combined with "Standardization." Additionally, Environmental Issues are addressed under "License Renewal," "Low Level Waste," "High Level Waste" and "Environmental Protection Agency." Is this acceptable?	<u>14</u>	<u>2</u>
3. Did you find the documents you expected under the Subjects you reviewed? If "not," please explain.	<u>13</u>	<u>1</u>

[MISSED NUMBERED #4 WAS SKIPPED]

V. SUBJECT SCREEN - Continued

	Yes	No
5. Did you find any Subjects that are too broadly or too narrowly focused? Explain.	<u>1</u>	<u>12</u>
6. Currently you can read only the citations for Regulations, Statutes, and Policy Statements on the Subject screen. Would you like to be able to access the full text by clicking on the "citation"?		
a. Regulations	<u>13</u>	<u>5</u>
b. Statutes	<u>13</u>	<u>4</u>
c. Policy Statements	<u>14</u>	<u>2</u>

7. Additional comments on the SUBJECT SCREEN:

V. ISSUES

- |  | Yes       | No       |
|--|-----------|----------|
| 1. Did you find the documents you expected to find under the issues you reviewed? If "not," please explain.  | <u>13</u> | <u>2</u> |
| 2. Was the list of issues adequate for each Subject? If "not," please explain.   | <u>15</u> | _____    |
| 3. In the Subject "License Renewal" all documents were linked to at least one Issue. However, in the other Subjects, the number of documents linked to a single issue was limited to approximately 25 documents that were determined to be the most important "KEY" documents. The remaining documents were placed in the system where they can be searched by words or terms under the Issue. |           |          |

This was done because in the development of the system several Subjects were found to have 50 to 100 documents linked to a single issue. The Project Office view was that an individual would not want to search through long lists of documents, or that such a large number of documents would substantively discuss an Issue.

Check which of the following you would prefer:

- 8 Link all documents to the Issue it discusses regardless of the number of documents linked to an issue.
- 10 Limit the number of documents linked to each Issue to approximately 25 and place the remaining documents in the database under the SUBJECT.

- |   | Yes      | No       |
|---|----------|----------|
| 4. Did the Scope Notes adequately describe the Issue? If "not," please explain. | <u>9</u> | <u>2</u> |
| 5. Additional comments on the Issues:   |          |          |

VI. DOCUMENT CATEGORY SCREEN

Document Categories consist of collections of documents, such as SECY papers, Staff Requirements Memoranda, Commissioner speeches and memos, OGC memoranda, memoranda to the Commission, Federal Register documents, etc. that are displayed on the screen after you select the search "DOCUMENT CATEGORY."

- |  | Yes | No |
|--|-----|----|
| 1. Did you find the documents you expected under |     |    |

the Document Category you reviewed? If "not," please explain.

15      3

2. Additional comments on the Document Categories:

VII. SEARCH CAPABILITIES

		Yes	No
1. Did you find it easy to use the SUBJECT/ISSUE search path?	N/A <u>1</u>	<u>16</u>	<u>    </u>
2. Did you find it easy to use the SUBJECT/DOCUMENT CATEGORY search path?	N/A <u>1</u>	<u>15</u>	<u>    </u>
3. Did you find it easy to use the user-generated search capability? (This is where users type in their own search criteria.)		<u>10</u>	<u>4</u>
4. Is there a need for the capability to combine more than one Issue in the same Subject or different Subjects in a single search? If "yes," please give examples.	N/A <u>1</u>	<u>3</u>	<u>7</u>
5. When a search is being conducted, several windows appear in a sequence that shows the search is in progress. Do you find that distracting?		<u>9</u>	<u>8</u>
6. Would you like to have the "Search Input" window that shows your search parameters displayed on the screen at all times? (Currently you have to click on the "key" symbol to have it displayed.)		<u>5</u>	<u>10</u>
7. Additional comments on SEARCH CAPABILITIES:			

VIII. HEADER LIST

The Header List (List Box) displays the document identification, which consists of date, and a brief description of the document when "VIEW HEADER" is selected.

		Yes	No
1. Does the Header List provide adequate information for you to determine if the full text of the document should be selected? If "not," what other identification should be supplied for the document on the Header List?		<u>18</u>	<u>1</u>
2. When you select a document from the Header List, it presents selected field information at the top of the document, such as the Subject, Topic, and Issue(s) associated with those documents. Would you like this feature retained?		<u>15</u>	<u>1</u>

3. The CDTs Project Office has asked for two display formats that the user will be able to choose from in addition to the current format of Documents in Order of Importance (SECY, SRM, etc.) in descending date order. These are : (1) Descending Date Order, and (2) Alphabetically by HIT ID. Do you desire more than these? If "yes," please indicate what else you would like.
- 2      15
4. Additional comments on the HEADER LIST:

IX. FULL TEXT

- |  | Yes         | No          |
|--|-------------|-------------|
| 1. Did you find the full text of the document easy to read? If "not," what improvements would you suggest?                                       | <u>15</u>   | <u>1</u>    |
| 2. Would it be useful to know the size of the document (pages, lines, or characters) at the top of the document when the full text is retrieved? | <u>19</u>   | <u>    </u> |
| 3. Would it be useful to have an image in CDTs for those pages that do not contain text? (i.e., charts and graphs)                               | <u>12</u>   | <u>2</u>    |
| 4. Did any of the following present problems for you?  |             |             |
| a. Format may not be identical to that of the original document  | <u>3</u>    | <u>16</u>   |
| b. No page breaks  | <u>    </u> | <u>17</u>   |
| c. Text broken up with page numbers and correspondence recipient names and other administrative markings   | <u>6</u>    | <u>12</u>   |
| d. Blank lines or truncated lines in the text  | <u>4</u>    | <u>12</u>   |
| e. Only abstracts of NUREGs available  | <u>3</u>    | <u>14</u>   |
| f. Spelling errors   | <u>1</u>    | <u>15</u>   |

(Note that optical character recognition may have read wrong letters, thus changing an "e" to a "c" or the reverse; changing an "i" to a "l," "t," "I," or the reverse; changing a "y" to a "v;" changing the letter "O" to the number "0" or the reverse; and changing the symbol "\$" to an "^A," "s," "u," etc.)

8. Additional comments on the FULL TEXT:

X. RETRIEVABILITY OF REFERENCED SECY PAPERS AND STAFF REQUIREMENTS MEMORANDA (SRMs)

	Yes	No
1. When a SECY paper or SRM is displayed on the screen, you can double click the field "COMPLETED BY" and find the full text of the SRM that closes it out. When an SRM is displayed on the screen, you can double click the "COMPLETED BY" field and find the full text of the SECY paper that closes out its requirements. Is this desirable?	<u>18</u>	<u>    </u>
2. When a SECY paper or SRM is displayed on the screen, you can double click the field "RESPONDS TO" and find the full text of the SRM it responds to <u>or</u> the SECY paper whose commitment it fulfills. Is this desirable?	<u>18</u>	<u>    </u>
3. When one key SECY paper is referenced in the text of another key SECY paper, the CDTS has linked the documents. The full text of the linked document is displayed by clicking on the field "SECY REFERENCES" or by highlighting the referenced document in the body of the full text. Is this desirable?	<u>17</u>	<u>    </u>
4. Are there other Document Categories that should be linked? If "yes," please describe.	<u>3</u>	<u>7</u>
5. Additional comments on the RETRIEVABILITY OF SECY PAPERS and SRMs:		

XI. PRINTING/DOWNLOADING CAPABILITIES

		Yes	No	
1. Is it easy to print CDTS documents?	N/A	<u>1</u>	<u>9</u>	<u>3</u>
2. Would it be desirable to mark selected documents during the search that could be printed at the end of the search?	N/A	<u>1</u>	<u>11</u>	<u>3</u>
3. Is it easy to download the full text?	N/A	<u>1</u>	<u>7</u>	<u>3</u>
4. Additional comments on the PRINTING/DOWNLOADING CAPABILITIES:				

XII. GENERAL COMMENTS

	Yes	No
1. Overall, is the CDTs easy to use?	<u>13</u>	<u>3</u>
2. Is the response time for performing searches satisfactory?	<u>15</u>	<u>1</u>
3. Can you find documents you seek?	<u>17</u>	<u>    </u>
4. Is the <u>CDTS User's Guide</u> instructive and useful?	<u>6</u>	<u>2</u>

Comments:

5. Should the system contain a dictionary of acronyms/initialisms?	<u>9</u>	<u>4</u>
6. From your experience in using the CDTs, what are the strongest and weakest aspects of the system?		

Strongest:

Ease of access and ability to move from document to document.

Format, Display, and Speed.

Easy to use (except for special searches feature).

Easy to use (user friendly application).

The ability to readily access important documents without retaining hard files and to be confident in the degree of completeness to the searches.

Speed and ease of navigation from selected list of document and back to list for another document or from document to document by document by linkages.

There's a lot on information loaded for each subject.

I was able to relatively quickly bring up many of the important Commission Documents that would have taken much longer to retrieve otherwise.  
Winsberg - Relatively quick access to key documents related by subject.

No comment, since I have only used it in responding to the survey.

The identification of issues as search topics is very useful and speeds retrieval of documents.

Over all - Fairly Good System.

Weakest:

User Defined Searches

Many documents in my subject are currently missing or misplaced.

The system did not consistently search on phrases when words were hyphenated, thus identifying more than the needed documents, e.g., staffing-levels and nuclear-power-plants.

Not everything on one consideration of an issue is linked (SECY & SRM's yes, but ACRS/ACNH letters, Congress, FR notices, briefings transcripts, No.)

I suspect there's a little too much information for each subject.

The system was difficult to use, it took considerable effort to begin making searches. NUDOCS is actually easier to use.

Slow search time.

Ad Hoc research requires a detailed knowledge of database structure and nomenclature - not particularly user friendly. You should link monograph reference to documents in database.

Lack of flexibility.

7. If you could improve or add system features or functions, what would they be?

None at the time.

Correct the formatting problems on tables from original documents.

- More linkages and more (almost) key documents for additional, indepth searches.

- When radiation protection (Part 20) is loaded, it may need some ability to navigate from the various reference in other Parts to Part 20.

I think printing the document would be helpful. Also, while viewing a document you can access referenced documents (a very useful feature) however while doing this I could not always return to the original document. This would be helpful.

Provide capability to initiate a new search from the menus without having to exit Personal Librarian.

Link monographs to data.

Include graphics.

8. Additional comments or suggestions on CDTS:

See previous comments submittal via email to Mike MacWilliams.

It seems there should be a CDTS POC that can be placed on distribution so key documents can be more readily placed in the system.

I found CDTS useful.

I think it could be made easier.

Being able to view referenced documents is very useful.

Files listed after a search are not arranged in any order, ordering them by date would be good.

The "lights toolbox" is useless with the exception of the "lists" features.

The +/- keys for previous record and next record did not work. Screen frequently goes blank hitting "Serial Block" brought it back. I don't know why.

An administrative process is needed to identify new documents for CDTS as they are generated. This could be accomplished by modifying the concurrence page on SECYs and memos to the Commission to identify them as CDTS documents. Such a process is needed if we went to eliminate labor intensive system updates.

Ad Hoc research requires a detailed knowledge of database structure and nomenclature - not particularly user friendly. You should link monograph reference to documents in database.

- a. Would include NUREGs (full text) Regulations.
- b. Too many layers of menus
- c. Issues - search on only one issue at time
- d. In Document Category - search must be only one category or all documents-- for example, can't do just SECY papers and SRMs.
- e. Consider putting other documents on the system: (1) 10 CFR and (2) NRC Manual, Travel Regs.
- f. Each person should be able to set the sorting default on their machine. I have to resort 3 times before getting simple chronological order (ascending).

### XIII. QUESTIONS FOR THE STAFF WHO PROVIDED DOCUMENTS FOR THE CDTS

	Yes	No
1. Did you note any documents that should be in the CDTS that were not included? If "yes," please attach a list of the documents. Identify the SUBJECT of each document.	<u>4</u>	<u>10</u>
2. Did you note any documents that should not be in the CDTS? If "yes," please attach a list of the documents. Identify the SUBJECT of each document.	<u>1</u>	<u>11</u>
3. Was the full text of the documents you reviewed a reliable version of the original copy? If "not," please explain.	<u>12</u>	<u>1</u>

## **Future**

**1995**

**Conduct second User Survey**

**Incorporate user comments into the system**

**Complete needed/pending change request items**

**Distribute Procedures Manual**

**Expand PLS to users of next 12 subjects and to other staff**

**Determine Project succession plan and assign System Manager**

**1996**

**Continue to expand access to other NRC users**

**1997**

**Resolve relationship with Document Management System**

**Provide Access to Regions and Public**

# Maintenance of the System

Procedures Manual has been written for maintenance of the CDTs.

- |   |  |
|---|--|
| <b>1) Management oversight</b>  | <b>Project Office/Successor Office</b>   |
| <b>2) Document Collection</b>   | <b>Subject Managers identify key documents and complete data cover sheets.</b> |
| <b>3) Document Collection Support</b>   | <b>OGC, OCA, OPA and SECY</b>  |
| <b>4) Weekly Collection of key documents</b>                                  | <b>Justified by small daily rate of 2.1 documents per day</b>                  |
| <b>5) Scanning/OCR, data entry, system development and system maintenance</b> | <b>Responsibility of IRM</b>   |

Issue Date: \_\_\_\_\_ (YYYYMMDD) PAGES: \_\_\_\_\_

Title: \_\_\_\_\_

Subject: \_\_\_\_\_ Topic: \_\_\_\_\_

Document Category: (= Order Number) (mark with "x")

- |   |  |
|---|--|
| <input type="checkbox"/> SECY Papers (SE) = 05                    | <input type="checkbox"/> Advisory Committees (AC) = 40                           |
| <input type="checkbox"/> Staff Requirements Memos (SR) = 10       | <input type="checkbox"/> Congressional Documents (CO) = 43                       |
| <input type="checkbox"/> Commission Briefings (CB) = 15           | <input type="checkbox"/> Industry/Public Interest (IN) = 45                      |
| <input type="checkbox"/> Commissioners' Speeches/Memos (SM) = 20  | <input type="checkbox"/> Federal Government Agencies (FG) = 50                   |
| <input type="checkbox"/> OGC Memos (GC) = 24                      | <input type="checkbox"/> State/Local Correspondence (ST) = 65                    |
| <input type="checkbox"/> Memos to the Commission (MC) = 27        | <input type="checkbox"/> Foreign Government/International Organization (FI) = 70 |
| <input type="checkbox"/> Rules/Federal Register Notices (RU) = 30 | <input type="checkbox"/> Other NRC Documents (OD) = 80                           |
| <input type="checkbox"/> Adjudicatory Decisions (AD) = 32         |  |

Order = \_\_\_\_\_ ID Number \_\_\_\_\_

Document ID: \_\_\_\_\_ (e.g., SECY-91-111; SRM 940622)

Public/Not Public: \_\_\_\_\_ (=P if public, =N if not public)

96

Issues: (mark with "x")

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.
- 9.
- 10.

ISSUES ARE TO BE GIVEN TO THE CDTs OFFICE AND CUSTOMIZED COVER SHEETS WILL BE PROVIDED.

Signer Name: \_\_\_\_\_ (e.g., Grimsley,D.H.)

Signer Affiliation: \_\_\_\_\_

Addressee Name: \_\_\_\_\_ (e.g., Grimsley,D.H.)

Addressee Affiliation: \_\_\_\_\_

Response To: \_\_\_\_\_ (For SECY's & SRMs)

Completed By: \_\_\_\_\_ (For SECY's & SRMs)

SECY References: \_\_\_\_\_ (List SECY's Ref. in SECY Paper)

## **Lessons Learned**

**Utilizing a prototype proved beneficial**

**Subject matter experts essential**

**Task force/Production Line concept effective**

**Limitations on Linking**

**IRM control over scanning/OCR input phase essential**

**Having an expert system user desirable**

**Requires strong project management control**

**Expedite public availability of documents**

**Must be supported by staff experts**

**Must be kept current**

**Must have Commission level oversight**

## **Conclusion and Recommendations**

**The CDTs is a tool whose value will increase for the Commissioners, staff and public as the years go by and could become a model for other agencies who seek to meet NPR initiatives to make policy information available to the public.**

**The CDTs:**

- . Preserves corporate knowledge**
- . Provides quick access to key documents**
- . Is user friendly**
- . Can easily accept new subjects, issues, and documents**
- . Reduces need for staff to retain paper copies**

**The Project Office recommends continuation and future development of the CDTs prototype as a separate system under Commission oversight.**