

EVALUATION OF NRC'S AGENCYWIDE DOCUMENTS ACCESS AND MANAGEMENT SYSTEM (ADAMS) FUNCTIONAL AND OPERATIONAL CAPABILITIES

OIG-16-A-06

Status of Recommendations

Recommendation 1:

Expedite and fully implement the ADAMS Records Manager (RM) module so that records retention schedules can be attached to all the official records within ADAMS.

Agency Response Dated
November 28, 2016

The project to implement the ADAMS Records Manager (RM) module is ongoing, but reduced resource allocation has delayed full implementation. Progress to date includes:

1. Currently managing over 4 million documents in ADAMS RM, including adjudication and hearing dockets, the LSN collection, licensing dockets for nuclear power plants, and a collection of NRC Generic Communications (for Nuclear Power Reactors). These collections are in an operation and maintenance state.
2. The Integrated Records Governance System (IRGS) preparation is complete. The application will fully automate and manage all records schedules (NUREG 0910) and requirements. IRGS is scheduled to be deployed March 2017.
3. ADAMS RM functionality to completely manage, track and apply retentions and dispositions to all physical records in ADAMS RM is scheduled for deployment in March 2017.
4. Currently planning the management of additional document collections for full implementation.

Target Completion Date: March 2017

Agency Response Dated
July 7, 2017

Due to lack of resources, the project to implement the ADAMS Records Manager (RM) module was suspended in December 2016; the March 2017 deployments mentioned above did not take place. However, the Office of the Chief Information Officer (OCIO) intends to use an alternative approach to implement the ADAMS RM module for managing all permanent NRC information in-house and to implement the tools to manage all records schedules and physical records automatically in one system. The proposed approach will take longer, but require fewer resources. Depending on resources, the 5-year plan includes managing the full information lifecycle in ADAMS.

Revised Target Completion Date: December 2019

Enclosure

Agency Response Dated
March 23, 2018

The ADAMS Records Manager (RM) module project resumed in October 2017. Additional time on the project was needed for a new resource to appropriately assess and re-implement the software. As of March 2018, over 4+ million documents are currently being managed, including all High Level Waste and LSN collections, adjudication and hearing dockets, as well as a portion of the licensing dockets for nuclear power plants. Remaining licensing dockets, other docket collections, and all other permanent collections have been prioritized for completion and retention/dispositions will be applied in the software on a set schedule.

The Integrated Records Governance System (IRGS) was assessed by the new resource, who agrees the application will fully automate and manage all records schedules (NUREG 0910) and requirements; however, IRGS was not funded in FY17 or FY18. Funding was requested in FY19.

ADAMS RM functionality to completely manage, track, and apply retentions and dispositions to all physical records in the RM solution is on hold due to limited resources.

Target Completion Date: December 2019

Agency Response Dated
March 18, 2019

The Integrated Project Team (IPT) has been continuing to identify and manage additional permanent collections in ADAMS under the Licensing / Waste Safety and Reactor Licensing categories. Dockets for Spent Fuel Storage Licensing, Low-Level Waste Disposal Licensing, Non-Power Reactors are also being managed. Docket files under the Licensing / Nuclear Materials category are being identified and are being implemented for declaration in the ADAMS RM tool.

The classification and taxonomy structure for SECY and Commission records has been completed in ADAMS RM and preliminary ADAMS implementation of the file structure in the main library is needed before the collection can be declared in ADAMS RM. The contract resource for ADAMS RM is limited, due to other required ADAMS work. The structure and management of SECY and Commission permanent information should be completed in the next few weeks. Other priority collections will be managed once this is completed.

OCIO is prioritizing the resources and funding for new software and services to support Information Lifecycle Governance (ILG) activities (formerly IRGS). The primary goal is to manage all

permanent records schedules in one automated system, rather than in an Access database and spreadsheets. The software can manage all retentions/dispositions more efficiently and save on contractor resources to update the records retention schedules. It could also provide efficiencies for integrating NRC records retention schedules with ADAMS RM and possibly other NRC systems.

Target Completion Date: December 2019

Agency Response Dated
January 03, 2020

ADAMS Records Manager has been implemented; records retention schedules can now be attached to all official records within ADAMS.

OCIO believes the intent of the OIG recommendation has been fulfilled.

Target Completion Date: Completed

Point of Contact: Margie Janney, 301-415-7245

Recommendation 3:

Reduce the number of templates, study applicability of automation techniques to pre-fill profile metadata, and attain better standardization and consistency.

Agency Response Dated
November 28, 2016

OCIO is proceeding to fully implement the recommendation for reducing the number of templates and using automation techniques for minimal metadata and classification to better standardization and consistency.

Progress to date includes:

1. A workflow tool to allow staff to add new collections to ADAMS RM automatically with minimal metadata is in production. The tool prevents custom code being developed for each records series and will allow the collections to be under ADAMS Records Manager (RM).
2. Applying the top levels of NRC's file taxonomy in ADAMS RM to new document collections added to ADAMS, such as specific nuclear power plant dockets as they are digitized. The development of the top three levels is about 50% completed, and progress is speeding up. A basic top level structure has already been implemented in ADAMS RM.
3. The results of the Business Process Improvement (BPI) project for the ADAMS records capture process and comment processing is scheduled to be presented to the sponsors in December 2016. The recommendations of the BPI include

selecting the top three levels of NRC's file taxonomy when a document is placed into ADAMS, which will reduce reliance on templates and standardize the use of minimal metadata. This will happen in a phased approach.

Target Completion Date: September 2019

Agency Response Dated
July 7, 2017

OCIO continues to implement the recommendation for reducing the number of templates and using automation techniques for minimal metadata and classification to better achieve standardization and consistency, but lack of resources has slowed progress. OCIO anticipates ongoing work to continue towards this goal as permanent collections are reviewed and templates, metadata, and file categorizations are applied for management of collections in ADAMS RM.

New permanent collections (e.g., Commission information, the Regulatory Information Conference, additional Licensing Dockets, etc.) are part of ongoing Integrated Project Team (IPT) activities that provide a structured review process for compliance with an approved file categorization (taxonomy), records schedule, and a thorough template analysis. This provides sustainable structures, classifications, metadata validation, and an applied set of rules for records schedules that can be automated.

Revised Target Completion Date: December 2019

Agency Response Dated
March 23, 2018

Integrated Project Team (IPT) activities include finalizing a standard set of metadata and minimizing the number of templates. Progress has been slow due to limited resources. A designated working group is assessing methods and solutions for more efficient document capture and classification of documents for ingestion into ADAMS. This will provide additional insight into streamlining templates and workflows to improve classification rules, standardization of metadata, and search capabilities.

Target Completion Date: December 2019

Agency Response Dated
March 18, 2019

An effort to streamline the ingestion and classification of targeted collections into ADAMS is underway as part of the Document & Content Management Process Improvement Working Group. Activities include automating the Sensitivity and Proprietary data check in documents using the new capture software to quickly identify sensitivity/proprietary keywords. Other checks before putting information into ADAMS include an ability to auto populate metadata. The group is collecting more letter and document samples to analyze and test the software.

The SECY and Commission classification scheme or taxonomy of information has been approved and completed. The file structure will automate processes for managing information in ADAMS. Other NRC classifications (taxonomy) file structures are being refined (by the IPT) to eventually manage all NRC information regardless of where it resides. Classification activities support standardization and consistency of all NRC information and records going into ADAMS or being managed in other systems.

Target Completion Date: December 2019

Agency Response Dated
January 03, 2020

OCIO reduced the number of templates necessary by reviewing the pre-file metadata and automating metadata capture. The automation of metadata capture has reduced the need for individual templates for specific document types, which has resulted in improved standardization and increased efficiency.

OCIO believes the intent of the OIG recommendation has been fulfilled.

Target Completion Date: Completed

Point of Contact: Margie Janney, 301-415-7245