

POLICY ISSUE INFORMATION

August 30, 2004

SECY-04-0160

FOR: The Commissioners

FROM: Luis A. Reyes
Executive Director for Operations

SUBJECT: AGENCYWIDE DOCUMENTS ACCESS AND MANAGEMENT SYSTEM:
NEW SEMIANNUAL PROGRESS REPORT

PURPOSE:

To describe the new framework for communicating progress on the Agencywide Documents Access and Management System (ADAMS) program initiatives and to provide a status update on accomplishments over the period of January through June 2004, and current initiatives.

BACKGROUND:

On December 19, 2003, in a request made through the Office of the Secretary, the staff asked the Commission if the quarterly ADAMS Assessment and Action Plan Progress Reports could be discontinued since ADAMS is well into its operational phase and most of the initial challenges have been addressed. While two of the Commissioners approved the request, the Chairman directed that "...the staff should continue to provide periodic reports to the Commission on the status of, problems with, and potential enhancements to ADAMS. The report should be provided

Contact: Susan W. Johnson, OCIO
301-415-6747

semi-annually." The Chairman's direction was communicated to the staff via e-mail on January 8, 2004. This paper, which lays out a new framework for managing and communicating progress on ADAMS initiatives, is the first of the requested semi-annual reports.

The new framework for managing ADAMS activities is based on 13 measures of quality. These are grouped into the four key ADAMS components that contribute value to the staff and members of the public. Making continuous improvements to ADAMS will improve the NRC's efficiency and effectiveness in achieving the agency's regulatory mission. These measures of quality will guide our continuous improvements activities. The staff will report progress on ADAMS activities, measure user satisfaction, and plan future ADAMS activities based on this framework.

DISCUSSION:

The previous ***ADAMS Assessment and Action Plan Progress Report*** was based on the 10 Challenge Areas identified in response to the initial implementation phase of ADAMS. Many of these challenges have been addressed and are now part of the agency's routine operations and maintenance of ADAMS. The new framework recognizes ADAMS as a more mature, steady-state system which includes user feedback as one of its performance measures and provides input to promote continuous improvement. A summary of the 10 Challenge Areas and their linkage to the new framework is included in Attachment 1.

This new framework recognizes ADAMS as a key contributor to the successful accomplishment of NRC's mission. The staff's ability to quickly and easily obtain accurate, complete, and timely information is essential to the regulatory decision-making processes that support this mission, and the ADAMS document collections -- the Main Library and the Legacy Library -- are key sources of that information.

NRC's stakeholders also play an important role in the regulatory process. To participate effectively, they too rely on having access to information. For them, the public component of the ADAMS Main Library, called the Publicly Available Records System (PARS), and the Public Legacy Library are key information sources. By making information available to the public, ADAMS contributes directly to the NRC's openness goal and facilitates effective stakeholder participation in the regulatory process.

The new framework is based on a "system" view of ADAMS. This recognizes that ADAMS is more than just hardware and software. It must operate within an agency-wide information technology infrastructure. It also must rely upon staff within the Office of the Chief Information Officer (OCIO) and other offices throughout the agency, as well as contractors, to capture and distribute documents in a timely manner; to ensure that the documents and profile data within the ADAMS information collections are complete and consistent; and to provide support

services, such as training and the ADAMS help desk. For example, having a sophisticated search engine on high-performance hardware is of no value to end-users if they cannot find the documents they need because of profile data inconsistencies or because the documents have not been added to the library. Understanding all the components making up the ADAMS “system” and their relative importance to ADAMS users is central to determining how best to go about improving ADAMS.

Taking into account this “system” view, the main types of system users (i.e., the staff, public, and other stakeholder end-users and the service providers), as well as the types of usage (i.e., document generation, capture, distribution, search, and retrieval), and feedback from ADAMS user surveys, the staff has identified 13 ADAMS measures of quality (see table on next page) and grouped them into the following four key ADAMS components:

- (1) ADAMS System Information Technology (IT) Components — The quality of the ADAMS system hardware and software, and the IT infrastructure components.
- (2) ADAMS Support Services — The quality of the policies, user support services, training, and user information available to support both ADAMS end-users and ADAMS service providers.
- (3) ADAMS Document Capture and Distribution Services — The quality of the information, processes, procedures, and services involved in the capture and distribution of agency documents to NRC staff and to the public.
- (4) ADAMS Document Collections and Profile Data — The completeness of the document collections and the quality of their associated profile data.

Through a process of continuous improvement, ADAMS will evolve over time. The new framework will be integrated with the planning and budgeting process to prioritize future ADAMS improvements. Some ADAMS improvements will occur as a result of vendor upgrades for commercial off-the-shelf software products on which ADAMS depends. These upgrades will be those that the vendor develops in response to market pressures, technology evolution, and customer requests, and that must be implemented to maintain a vendor-supported product. In addition, the 13 measures of quality will be used for evaluating the benefits of current ADAMS program activities and for identifying those improvements that add the most value for ADAMS users.

ADAMS Quality Measures and Value Statements

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

Attachment 2 is the first progress report on ADAMS initiatives using this new framework. It reflects recent accomplishments and initiatives currently under way. Initiatives to address the original 10 Challenge Areas that were not completed as of the July 2003 progress report are included in this new report. Future reports will be issued on a semi-annual basis. They will be posted on the NRC Web site and provided to the Commission for their information. Through the use of this new framework, progress on ADAMS initiatives and their value to the end-users will be more effectively communicated.

COORDINATION:

This paper has no legal or resource implications and has, therefore, not been reviewed by OGC or OCFO.

/RA/

Luis A. Reyes
Executive Director
for Operations

Attachments:

1. Summary of Previous Challenge Areas and the New Quality Framework
2. ADAMS Program Initiatives Progress Report

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G. Lauffer, OCIO

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|---------------|-----------------------------|---------------------|-----------------------|------------------------|
| OFFICE | OCIO/IRSD/ISB/ADDPS | OCIO/IRSD/ISB/IDDPS | OCIO/IRSD/ISB | OCIO/IRSD |
| NAME | ECShelburne: WED for | WEDavis: WED | SWJohnson: SWJ | FFGoldberg: FFG |
| DATE | 08/05/2004 | 08/05/2004 | 08/05/2004 | 08/11/2004 |
| OFFICE | CIO | EDO | | |
| NAME | JESilber: JES | LAReyes: LAR | | |
| DATE | 08/08/2004 | 08/30/2004 | | |

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| Summary of Previous Challenge Areas and the New Quality Framework | | | |
|---|--|--|--|
| Previous Framework | | New Framework | |
| Challenge Area | Summary of Progress | Quality Component | Measure |
| 1. Transfer responsibility for completing the processing of NRC-generated documents to OCIO | All planned tasks complete. | Quality of ADAMS Document Capture and Distribution Services | Timeliness of Document Processing |
| 2. Improve ADAMS document and data integrity | Ongoing. Tasks are part of routine operation and maintenance activities. | Quality of ADAMS Collections and Profile Data | Document Collection Completeness Quality of Profile Data |
| 3. Improve ADAMS as a search and retrieval system | Completed tasks originally planned for full-text search functionality. Work in progress for deploying Web-based search engine on all ADAMS libraries. | Quality of ADAMS System Information Technology Components | Ease of Use |
| 4. Improve ADAMS functionality, performance, and reliability | Initial performance and stability concerns have been addressed. Work on migrating to Web-based ADAMS 5.0 is in the planning stage. | Quality of ADAMS System Information Technology Components | All Measures |
| 5. Improve public access to ADAMS | Completed tasks originally planned. Access to public ADAMS (PARS) via the Web was deployed in January 2003 rather than waiting for migration to ADAMS 5.0. | Quality of ADAMS IT Components Quality of ADAMS Support Services Quality of Document Capture and Distribution Services | All Measures User Support Timeliness of Public Release |
| 6. Improve electronic document distribution software and processes | Completed improvements to process for electronically distributing externally generated documents (incoming mail). Work on electronic distribution of staff-generated documents is ongoing. | Quality of ADAMS Document Capture and Distribution Services | All Measures |
| 7. Improve and standardize agency business practices | The Procedures Task Group led by the OEDO issued its report on May 2, 2001. No other tasks are planned. | -- | -- |

| Summary of Previous Challenge Areas and the New Quality Framework | | | |
|--|--|-----------------------------------|--|
| Previous Framework | | New Framework | |
| Challenge Area | Summary of Progress | Quality Component | Measure |
| 8. Improve ADAMS training and user support | Ongoing. Currently reassessing training aids and user support in response to January 30, 2004 SRM resulting from the annual Commission meeting on OCIO programs. | Quality of ADAMS Support Services | Training and Documentation User Support |
| 9. Improve ADAMS communications program and agencywide guidance | Ongoing. Tasks are part of routine operations and maintenance. | Quality of ADAMS Support Services | All Measures |
| 10. Conduct "lessons learned"; chart longer term course | SECY-01-0220 (December 2001) provides ADAMS lessons learned. Independent assessments in March/April 2001 validated longer-term course. New framework is intended to inform longer-term course. | Quality of ADAMS Support Services | User Input |

| ADAMS Program Initiatives Progress Report | | |
|--|---|---|
| ADAMS Quality Measures | Recent Accomplishments | Current Initiatives |
| ADAMS System Information Technology (IT) Components | | |
| Availability | <p><u>ADAMS 4.1 Upgrade</u> The recent upgrade of the ADAMS desktop was one step in the plan to bring the FileNet software to the most recent supported version of this vendor product. [Q3/FY04]</p> <p><u>Backup Access</u> In case of a failure of ADAMS TWFN computer operations, a backup system was installed in OWFN to provide ADAMS document management and search capabilities until the TWFN facility can be restored to service. [Q2/FY04]</p> <p><u>Disaster Recovery</u> An offsite disaster recovery capability has been put in place and successfully tested to allow search-and-retrieval access to ADAMS documents in case of the unavailability of headquarters services. [Q3/FY04]</p> <p><u>Migration to Windows XP (ADAMS 4.2)</u> ADAMS has been tested to ensure it operates correctly in the XP environment. [Q3/FY04]</p> | <p><u>Server Improvements</u> New hardware and software is being procured to improve system availability. [FY05]</p> |
| Performance | None. | <p><u>Server Improvements</u> New hardware and software is being procured to improve response times and reliability. [FY05]</p> |

| ADAMS Program Initiatives Progress Report | | |
|---|--|--|
| ADAMS Quality Measures | Recent Accomplishments | Current Initiatives |
| Quality of ADAMS System Information Technology (IT) Components (Continued) | | |
| Functionality | <p><u>Desktop Access to Older Documents</u> There are currently over 105,000 records in the Main Library that are dated prior to November 1999. We have now updated Legacy Library records with an indication that the document image can be retrieved from Main Library. The same is planned for the Public Legacy Library. [Q4/FY04]</p> <p><u>E-Rule</u> Issuance of the final rule on Electronic Maintenance and Submission of Information allows all NRC licensees/applicants to voluntarily submit documents electronically, resulting in fewer image-only documents and more searchable text. [Q2/FY04]</p> | <p><u>New Automated Tools for DPC</u> New tools will allow the DPC to assess whether documents received via Electronic Information Exchange (EIE) or on CD-ROM are submitted in accordance with the E-Rule guidance. [Q4/FY04]</p> <p><u>Planning for ADAMS 4.3 Desktop</u> Major changes under development include:</p> <ul style="list-style-type: none"> • Upgrading the “Create Report” functionality to make it possible to produce reports containing large numbers of documents. [FY05] • Upgrading the ADAMS Viewer capabilities. [FY05] |
| Ease of Use | None. | <p><u>Web-Based Search</u> A new search capability is under development for the ADAMS Main Library, the legacy libraries, and the Electronic Hearing Docket (EHD) similar to the Web-based search now available for PARS. [FY05]</p> |

| ADAMS Program Initiatives Progress Report | | |
|--|--|--|
| ADAMS Quality Measures | Recent Accomplishments | Current Initiatives |
| ADAMS Support Services | | |
| Policy and Procedures | <p><u>New Records Management Web page</u> A new records management Web page was established to provide a decision tree for determining Federal record status. See: http://www.internal.nrc.gov/RMB/ [Q1/FY04]</p> <p><u>ADAMS Desk Reference Guide</u> New version provides updated instructions for the staff. [Q3/FY04]</p> | <p><u>Update of MD 3.4, "Release of Information to the Public"</u> Will provide updated guidance for the staff. [FY05]</p> <p><u>Update of information about handling of e-mails as Federal records</u> Will provide updated guidance for the staff. [Q4/FY04]</p> |
| Training and Documentation | <p><u>Updated ADAMS Training Courses</u> Now available in PDC Training Center. [Q2/FY04]</p> <p><u>Developed Video Demonstrating Web-Based Search Interface for PARS</u> Available for staff use in the Regions and the Individual Learning Center. [Q2/FY04]</p> <p><u>ADAMS Desk Reference Guide</u> New version provides updated instructions for the staff. [Q3/FY04]</p> | <p><u>Reassess Training Aids and Support</u> Training and user support approaches will be reassessed in response to January 30, 2004, SRM resulting from the annual Commission meeting on OCIO programs. [FY05]</p> |
| Support Services | <p><u>ADAMS Support Center Staff Assistance</u> Assisted NMSS and OGC in the search for potentially relevant high-level waste documents not tagged with WM-00011 docket number. [Q3/FY04]</p> | None. |
| User Input | <p><u>ADAMS Public User Survey</u> A survey was posted on the public Web site for six weeks, ending June 30.</p> | <p><u>ADAMS NRC Staff and Public User Surveys</u> Analysis of feedback is underway. [Q4/FY04]</p> <p><u>Semiannual meetings of the ADAMS Public Users Group</u> Presentations at this and other stakeholder forums provide opportunities for feedback. [Ongoing]</p> |

| ADAMS Program Initiatives Progress Report | | |
|--|--|---|
| ADAMS Quality Measures | Recent Accomplishments | Current Initiatives |
| ADAMS Capture and Distribution Services | | |
| Timeliness of Document Processing | None. | <u>Security Group Membership Information</u> A new feature to facilitate updates will be implemented. [FY05] |
| Timeliness of Incoming Document Delivery to the Staff | <u>Implementation of the E-Rule</u> Documents submitted electronically in accordance with new E-Rule can be processed more quickly. [Q3/FY04] <u>Briefings on the E-Rule</u> Office-specific briefings were provided to small groups of program staff. [Q3/FY04] | None. |
| Timeliness of Public Release | None. | <u>Update of MD 3.4, "Release of Information to the Public"</u> Will provide updated guidance to the staff. [FY05] |
| ADAMS Collections and Profile Data | | |
| Completeness of Document Collections | <u>Retrofitting Older HLW-Related Documents</u> Documents from the Legacy Library, from the Center for Nuclear Waste Regulatory Analysis, and from staff for potential submission to Atomic Safety Licensing Board's Licensing Support Network were added to ADAMS. [Q2/FY04] <u>Up-To-Date Guidance About What Should Be In ADAMS</u> A new records management Web page was established to provide a decision tree for determining Federal record status. See: http://www.internal.nrc.gov/RMB/ [Q1/FY04] | ADAMS Quality Control The staff is developing a more systematic approach for ensuring completeness and accuracy of the ADAMS record collections. [FY05] See also the policy and training activities under ADAMS Support Services. |

| ADAMS Program Initiatives Progress Report | | |
|---|---|--|
| ADAMS Quality Measures | Recent Accomplishments | Current Initiatives |
| ADAMS Collections and Profile Data (Continued) | | |
| Quality of Profile Data | <p><u>Profile Data Consistency</u> Continuous DPC efforts to review ADAMS Profile records and clean up errors to enhance staff's ability to retrieve documents.</p> <p><u>Profile Data Consistency</u> Once ADAMS 4.1 was deployed to all staff, values in the Author Name and Addressee Name fields became controlled values. This ensures consistent data entry and enhances staff's ability to search on these name fields because variations of names have been eliminated. [Q3/FY04]</p> | <p><u>Spell-Checker Capability</u> The DPC will be able to spell check the "Title" field in the ADAMS profile. [Q4/FY04]</p> |