

POLICY ISSUE INFORMATION

March 17, 2005

SECY-05-0046

FOR: The Commissioners

FROM: Luis A. Reyes
Executive Director for Operations

SUBJECT: AGENCYWIDE DOCUMENTS ACCESS AND MANAGEMENT SYSTEM:
SEMIANNUAL PROGRESS REPORT FOR JULY-DECEMBER 2004

PURPOSE:

To provide an update on accomplishments related to the Agencywide Documents Access and Management System (ADAMS) during the period July through December 2004, and report on current initiatives.

BACKGROUND:

In August 2004, the first ADAMS semi-annual report was sent to the Commission, presenting a new framework for managing and communicating progress on ADAMS initiatives. As shown in Attachment 1, "ADAMS Quality Measures and Value Statements," this framework is based on 13 measures of quality grouped into four key ADAMS components that contribute value to the staff and members of the public who use the system. Improving ADAMS based on these components will enhance the usefulness of ADAMS and thereby increase NRC's efficiency and effectiveness in achieving the agency's regulatory mission. The staff intends to continue reporting progress on ADAMS activities, measuring user satisfaction, and planning future ADAMS activities based on this framework.

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DISCUSSION:

During this reporting period, an event occurred that had a significant impact on the ADAMS public library, also known as the Publicly Available Records System (PARS). Although no classified or safeguards material is now or has ever been permitted in ADAMS, on October 25, 2004, the NRC decided to widen its review to remove additional information that could potentially be of use to a terrorist. This action was intended to ensure that documents which might provide assistance to terrorists would be inaccessible while maintaining public access to information regarding NRC activities.

During this "Sensitive Information Screening Project" (SISP), the staff made every effort to ensure that public access to information on NRC activities was maintained despite the temporary shutdown of PARS. Efforts are currently underway to restore parts of the public database that have been reviewed by the appropriate program offices according to the SISP document review procedures. To date, of about 380,000 documents originally in PARS, over 120,000 have been restored, with an additional 90,000 expected to be restored by the end of March. Less than 1000 documents have been withheld to date as a result of the reviews, and both Citrix and Web-based PARS are operational.

The SISP review and PARS shutdown presented many challenges for the staff involved in the ADAMS program, including staff in the Public Document Room working to assist the public, staff in the ADAMS Support Center assisting the program offices in conducting the reviews, and technical staff working on approaches to temporarily block and then restoring access to portions of the database as reviews were completed. To communicate the latest information to the staff involved in the review process, the staff established an intranet page that provides a single source of document security review and profiling guidance. In addition, several staff training sessions were held to assist program and support offices improve their knowledge of processing agency documents into ADAMS and to ensure consistent application of the new screening and profiling procedures.

Another notable impact of the SISP review process relates to meeting the measure of timeliness in making ADAMS records available to the public. Yellow Announcement 00-59, published May 22, 2000, established the NRC's goal to make documents received or generated by the NRC available to the public five full working days after the date of the cover letter or after the document is added to the ADAMS Main Library. This five day period provides the staff with sufficient time to review documents to ensure no proprietary, privacy, or other sensitive information is made public. Once the SISP review process is fully integrated into agency business processes, the staff will reevaluate whether the current measure needs to be adjusted to reflect the review time.

Despite the challenges presented by the SISP review process during this reporting period, the staff made progress towards improving system performance relative to several of the established quality measures. Attachment 2 details the specific accomplishments for each measure and provides information regarding on-going initiatives for this fiscal year.

This report also contains the results of the first ADAMS Public User Satisfaction Survey and an associated action plan that addresses the issues identified by the public. The survey was released to the public via NRC's public web site www.nrc.gov on 5/13/04 and closed on 6/30/04, a duration of approximately seven weeks.

The objective of the survey was to evaluate public user satisfaction with ADAMS and identify areas for improvement. A total of 167 people responded to the survey. The two largest groups were NRC licensees (39.5%) and nuclear industry representatives (16.2%). The remaining individuals represented law firms, consultants, researchers, the media and others.

The survey contained questions about user satisfaction with ADAMS and related services, as well as user level of experience with the system. Responses to the survey will enable the staff to identify areas for improvement in future upgrades for both Citrix and Web-based ADAMS. The survey will be repeated periodically in order to monitor progress toward making ADAMS a more useful and effective document access tool. Attachment 3 contains a tabular summary of the survey results.

Seventy-two respondents reported using Citrix-based ADAMS, while 136 reported using Web-based ADAMS on a daily, weekly, or monthly basis. Comments from some respondents point to the difficulties associated with using Citrix-based ADAMS in a corporate environment (i.e., corporate policies regarding their network firewalls) to explain the difference in usage or preference between the two search systems. Citrix-based ADAMS users considered availability, ease of use, and ease of navigation of moderate to high importance; but on a four point scale, only availability received a high score (3.7). Ease of use scored 2.2 and ease of navigation scored 2.4, showing that more work needs to be done in these two areas. In the Web-based version of ADAMS, all three areas were considered important, but again only system availability received a high mark (3.6). Ease of use scored 2.4 and ease of navigation 2.3. These marks for the Web-based version are not as high as the staff had anticipated. A similar Web-based search capability is being developed for staff use on the ADAMS Main Library and will provide an opportunity to improve the user interface. We intend to incorporate any lessons learned from the staff version to improve the public version.

The comments portion of this first poll for both Citrix and Web-based ADAMS generally mixed an equal amount of praise and criticism coupled with strong suggestions for improvements. The respondents observed that the assistance provided by the Public Document Room staff is excellent and they appreciated PDR assistance defining search strategies. Although several respondents noted that ADAMS is better than when originally released to the public, they clearly felt that there is room for improvement. Issues cited for needing improvement included:

- System response time.
- Excessive display time for author affiliation lists.
- Conversion of ADAMS' TIFF files to PDFs.
- Delays opening PDF files.

- Retrofitting older documents into ADAMS, specifically NRC Publications in the NUREG series, Branch Technical Position Papers, and Licensee Event Reports.

Planned actions in response to the above issues are:

Issue 1: System response time.

The system response time is dependent on a number of variables. From the users' perspective, much depends on whether the user accesses ADAMS from a 56K modem, cable, or a T1 line. The NRC Document Processing Center (DPC) will break larger documents into files of no more than 250 pages to reduce the file size of the document and create packages, if necessary. Also, implementation of "byte-serving", described under issue 4, will improve response time for accessing PDF files.

Issue 2: Excessive display time for author affiliation lists.

The staff will investigate with the ADAMS software vendors if there is a way to reduce the display time for author affiliation lists.

Issue 3: Conversion of ADAMS' TIFF files to PDFs.

As of June 2003, the NRC only uses a PDF format for new documents in ADAMS. This fiscal year monies have been allocated to convert the remaining TIFF files to PDFs. The expected completion date is September 2005.

Issue 4: Delays opening PDF files.

The NRC will implement a "byte-serving" capability that should correct this problem in Web-based ADAMS. Byte-serving allows PDFs to be accessed more quickly by displaying the PDF in chunks rather than waiting until the whole PDF is available before displaying it to the screen. Thus, the beginning pages of a document can be read by the user while the rest of the file is loaded. The expected completion date is September 2005.

Issue 5: Retrofitting older documents into ADAMS.

Retrofitting documents into ADAMS is most frequently done at the request of individual offices. However, as a result of the survey comments, the staff will further investigate the interest in and cost/benefit of retrofitting the document types specifically requested by members of the public. There are about 2.1 million pre-ADAMS legacy documents in existence. Some of these have been already retrofit into ADAMS but it is not feasible nor practical to add all of them in full text.

The Commissioners

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COORDINATION:

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

/RA by Ellis W. Merschoff for/

Luis A. Reyes
Executive Director
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Attachments: 1. ADAMS Quality Measures and Value Statements
2. ADAMS Program Initiatives Progress Report #2
3. ADAMS Public Satisfaction Survey Results

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ADAMS Accession No. : **ML050630229**
ADAMS DOCUMENT TITLE: **SECY-05-XXXX, Agencywide Documents Access and Management System: Semiannual Progress Report for July-December 2004**

*See previous concurrence

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ADAMS Quality Measures and Value Statements

ADAMS Component	Quality Measure	Value Statement
ADAMS System Information Technology (IT) Components	Availability	ADAMS is available when I need to use it.
	Performance	ADAMS response time is adequate for me to interact efficiently with the system.
	Functionality	ADAMS provides the functions I need to interact efficiently and effectively with the system.
	Ease of Use	The ADAMS user interface makes it easy for me to use the system.
ADAMS Support Services	Policy and Procedures	ADAMS policies and procedures are clear, up to date, and readily available to me.
	Training and Documentation	ADAMS training and documentation makes me aware of my roles and responsibilities related to records management and ADAMS, and helps me use the system efficiently and effectively.
	User Support	Support for using ADAMS is easily available, timely, and accurate.
	User Input	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.

ADAMS Program Initiatives Progress Report

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS System Information Technology (IT) Components		
Availability	<p><u>Limited Re-Deployment of the Public ADAMS Library</u> Both Citrix and Web-based PARS were redeployed after the SISP Task Force began its document review. [Q2/FY05]</p>	<p><u>Server Improvements</u> Acquire new hardware and software to improve system availability. [Q4/FY05]</p> <p><u>ADAMS 4.3 Upgrade</u> Upgrade the ADAMS desktop software as one step in the plan to bring the ADAMS software to the most recent supported version. [Q2/FY05]</p> <p><u>Web-based access to the ADAMS Main Library</u> Develop, test, and implement a pilot project to provide Web-based search of the ADAMS Main Library for the staff. [Q2/FY05]</p> <p><u>System Security</u> Complete ADAMS Security reaccreditation so that ADAMS can continue to operate. [Q3/FY05]</p>
Performance	<p><u>Revisions to Web-based Search</u> Upgraded version of Web-based search interface, correcting a problem with certain search results, was released to the public [Q2/FY05]</p>	<p><u>Server Improvements</u> Acquire new hardware and software to improve system availability. [Q4/FY05]</p> <p><u>Improve access to PDF Files</u> Implement byte-serving for PDF files and a new package interface to shorten access time. [Q4/FY05]</p> <p><u>Convert TIFF to PDF Files</u> Convert older TIFF files in ADAMS to PDF to shorten access time. [Q4/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>Automated Tools for DPC</u> New tools 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>ADAMS 4.3 Upgrade</u> Major changes include:</p> <ul style="list-style-type: none"> • Upgrade the “Create Report” functionality to make it possible to produce reports containing large numbers of documents. [Q2/FY05] • Upgrade the ADAMS Viewer capabilities. [Q2/FY05]
Ease of Use	None.	<p><u>Web-based access to the ADAMS Main Library</u> Develop, test, and implement a pilot project to provide Web-based search of the ADAMS Main Library for the staff. [Q2/FY05]</p>
ADAMS Support Services		
Policy and Procedures	<p><u>SISP Review Procedures</u> Agency-wide procedures were created to review documents that could be of potential use to terrorist.</p>	<p><u>Update of MD 3.4, “Release of Information to the Public”</u> Update guidance for the staff on what documents to make public. [FY05]</p> <p><u>Update of information about handling of e-mails as Federal records</u> Update guidance for the staff in the <i>ADAMS Desk Reference Guide</i>. [Q2/FY05]</p>
Training and Documentation	<p><u>ADAMS Training Courses</u> Updated courses are available in PDC Training Center. [Q2/FY05]</p> <p><u>SISP training</u> SISP training for Program and Support offices was held to assist staff with new screening and profiling rules. [Q2/FY05]</p> <p><u>SISP Web Site</u> Intranet site created as a central source of guidance for SISP review and document profiling.</p>	<p><u>ADAMS Desk Reference Guide</u> Update instructions for the staff for release 4.3. [Q2/FY05]</p>

ADAMS Program Initiatives Progress Report

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
Support Services	<p><u>ADAMS Support Center Assistance</u> Provided support to offices in developing search strategies and electronic document handling approaches in support of SISP reviews.</p>	<p><u>ADAMS Support Center Staff Assistance</u> Continue to support program offices during the document sensitivity review process. Q1-2 [FY05]</p>
User Input	<p><u>ADAMS Public User Survey</u> A survey was posted on the public Web site for six weeks, ending June 30. The analysis of survey responses was finished Q2/FY05.</p> <p><u>Semiannual meetings of the ADAMS Public Users Group</u> Presentations at this and other stakeholder forums provide opportunities for feedback. [Ongoing] The last meeting was January 12, 2005.</p>	<p><u>ADAMS NRC Public User Surveys</u> Analysis of feedback is finished and will be made available in ADAMS and posted on the public Web site. [Q2/FY05]</p> <p><u>2nd Public User Satisfaction Survey-Under Preparation</u> To be issued in FY06 [Q4/FY05]</p> <p><u>Semiannual meetings of the ADAMS Public Users Group</u> Presentations at this and other stakeholder forums provide opportunities for feedback. The next meeting is July 20, 2005. [Ongoing]</p>
ADAMS Capture and Distribution Services		
Timeliness of Document Processing	None.	None.
Timeliness of Incoming Document Delivery to the Staff	None.	None.
Timeliness of Public Release	None.	<p><u>Update of MD 3.4, "Release of Information to the Public"</u> Update guidance to the staff on what documents to make public. [FY05]</p>

ADAMS Program Initiatives Progress Report

ADAMS Quality Measures	Recent Accomplishments	Current Initiatives
ADAMS Collections and Profile Data		
Completeness of Document Collections	<p><u>None.</u></p>	<p><u>ADAMS Quality Control</u> Developing a more systematic approach for ensuring completeness and accuracy of the ADAMS record collections. [FY05]</p> <p><u>Conduct ADAMS Records Quality Control Audit</u> Develop audit plan, conduct the audit, and issue audit report. [Q3/FY05]</p>
ADAMS Collections and Profile Data (Continued)		
Quality of Profile Data	<p><u>Spell-Checker Capability</u> The DPC can now spell check the "Title" field in the ADAMS profile. [Q4/FY04]</p>	<p>None.</p>

ADAMS 2004 PUBLIC USER SATISFACTION SURVEY CONDUCTED MAY – JUNE 2004

Respondent Affiliation:

167 respondents participated in the survey. 8 (4.8%) did not identify their affiliation. Those that did specify an affiliation are grouped as follows with the number of respondents and their respective percentages:

NRC Licensee	66 (39.5%)
Nuclear Industry	27 (16.2%)
Consultant	20 (12.0 %)
State/Local Governments	13 (7.8%)
General Public	11(6.6%)
Law Firm	6 (3.6%)
Researcher	5 (3.0%)
News Media	2 (1.2 %)
Others	9 (5.3%)
No Affiliation	8 (4.8%)
Total	167 (100%)

Results:

Citrix-based Usage

Of the 167 respondents, 154 commented on using Citrix-based ADAMS. 23 of the respondents reported using Citrix-based ADAMS daily, 18 used it weekly, and 31 used it monthly for a total of 72 respondents. 78 of the respondents reported never using this mode. Overall satisfaction based on the average of the six rating factors was 2.6.

Citrix-based ADAMS

Total Respondents-150	Average Importance (1-4) - 4 is the highest	Average Satisfaction (1-4) - 4 is the highest
Assistance provided by the Public Document Room	3.1	3.1
Availability	3.7	3.7
Ease of Use	3.3	2.2

Ease of Navigation	1.5	2.4
Help Screens	2.6	1.9
Reference Materials	2.5	2.0
Average of All Factors	N/A	2.6

Web-based Usage

The number of respondents who reported using Web-based ADAMS was slightly higher. 157 of the 167 total respondents reported using Web-based ADAMS. 31 of the respondents used Web-based ADAMS daily, 50 used it on a weekly basis, and 55 used it monthly for a total of 136 respondents. 21 of the respondents report never using this mode. Overall satisfaction based on the average of the six rating factors was 2.6.

Web-based ADAMS

Total Respondents -157	Average Importance (1-4) - 4 is the highest	Average Satisfaction (1-4) - 4 is the highest
Assistance provided by the Public Document Room	2.9	2.9
Availability	3.6	3.6
Ease of Use	3.6	2.4
Ease of Navigation	3.4	2.3
Help Screens	2.6	2.1
Reference Materials	2.6	2.1
Average of All Factors	N/A	2.6