

ARMA Presentation

Thank Angela

Inspiration for CRM

Yucca Mountain schedules

NRC

Created as an independent agency by Congress in 1974 to ensure the nation to safely use radioactive materials for beneficial civilian purposes while ensuring that people and the environment are protected. The NRC regulates commercial nuclear power plants and other uses of nuclear materials, such as in nuclear medicine, through licensing, inspection, and enforcement of its requirements.

My position

NRC is open agency

FOIA – Ave 350 cases per year

22 current open cases

Oldest case - September 23, 2008

18 requests pending as of end of FY (only 6 were backlog cases)

ADAMS Background

Agencywide Documents Access and Management System

Built on FileNet; ForeMost is records management component

Forefront of Federal document and records management

Official recordkeeping system for electronic records

Online April 2000

30,000 lines custom code

Archivist Achievement Award in Federal Records Management 2003

However, with the many advances in technology since the inception of ADAMS, the NRC is facing the same challenges of most organizations of managing the proliferation of information and records that are created and maintained by a multitude of tools. Evolving requirements and the increasing independent collections of information threaten to significantly inhibit the NRC's ability to manage and retrieve agency information. As a result, the NRC is planning to modernize ADAMS by building an Enterprise Content Management (ECM) system. The ECM approach will help bring governance and order around diverse content management technologies which already exist in the agency and will guide future decisions.

Currently, the content storage system for NRC is ADAMS. However, there are other systems that are also content management systems. SharePoint sites, Electronic Hearing Docket (provides on-line access to the contents of the Official Docket for NRC adjudications. It contains orders, filings, transcripts, exhibits, and

discovery material for individual adjudications), and the Digital Document Management System (hearing management support system that combines web-based hearing and document management with electronic evidence presentation, real-time transcription, and digital recording to provide users with continual electronic access to searchable evidentiary material and video transcripts, and a means to present most evidence in an electronic fashion).

Basically, silos.

The Office of Information Services is working with program offices to develop an ECM program for NRC. ECM is an agency-wide vision and framework for integrating the broad range of content-management, technologies, and content formats. It's a collection of systems, processes, and data which, when combined, will help the agency achieve its mission and comply with application information management laws and regulations.

Every day during the licensing, regulation, adjudication, and other functions that support the mission of the NRC, documents and information are used. This content takes many forms including reactor design specifications, hearing transcripts, licensing applications, e-mail messages, and others. All of this information has a life cycle that begins with creation, then includes distribution, management, storage, and final disposition. The application of technologies and processes to capture, manage, and deliver these documents and information will be our ECM.

The establishment of an ECM program provides the organizational capabilities needed for continual support and delivery of the agency's document and information needs. The NRC's ECM program aims to keep pace with the demands of NRC's licensing, regulatory, and adjudicatory obligations.

The NRC's ECM vision is to improve the quality, efficiency, and security of its regulatory and administrative processes by providing appropriate and straightforward access to information when needed, regardless of location or access device.

Stakeholders

To understand where our drivers come from, you have to understand that NRC has both internal and external stakeholders.

Internal stakeholders include: the Commission, the Executive Director for Operations and the Deputy Executive Directors for Operations, all NRC staff at headquarters, the four Regional offices, the Technical Training Center, Office Directors and Regional Administrators, system owners, records managers, vendors, among others.

External stakeholders include: the general public in the United States and abroad, licensees, public interest groups, Industry standards groups, Congress,

Federal, State, and local government agencies, Tribal organizations, the media, foreign governments, international organizations, academic institutions, librarians, teachers, and research facilities.

Why are we doing this?

The three drivers pushing the ECM program come from business needs of the program and support offices, technology obsolescence, and legal and regulatory requirements for information management. For each driver, OIS is looking at how the information must be managed. It is also determining what business processes coming from offices need to be in place and what technology is needed to support the business process.

Business Drivers

eForms

- ADAMS does not have a direct way to capture electronic forms
- We don't have full electronic workflow, approvals, and e-signatures in our forms system

Automated Document Profiling

- The need for profiling and declaring as official agency records massive volumes of ADAMS documents in order to maintain compliance with adjudicatory and regulatory requirements
- For example, the Yucca Mountain Hearing required the profiling and declaration of 300,000+ documents in a short period of time
- An Agency-wide solution to address all licensing activities, not just Yucca Mountain

SharePoint Integration with ADAMS Main Library

- The Agency's Review Staff has expressed strong interest towards the ability to access ADAMS directly from the SharePoint portal in support of licensing activities

External Search Engines Can't Access ADAMS Content

- The public needs to be able to find our public records using Google or other search engines that routinely scan our site. The public needs to have a means to be automatically notified when records of interest to them are added to the site

Improved Addition of Records to ADAMS

- Need for users to have easier methods to add records to ADAMS
- In addition, records are duplicated between SharePoint and ADAMS.

Technical Drivers

End of Life of Windows 2000 in 2010

- In July of 2010 the current ADAMS server operating system (Windows 2000) will reach end of life

End of Life of Current FileNet Content Services in 2009

- In April of 2009 the current ADAMS Content Services Software will reach end of life

Panagon Web Publisher no longer supported

- The Panagon Web Publisher, used to transfer much content between ADAMS and external system components is no longer supported

Search Engine Software Company No Longer Exists

- Outdated RetrievalWare software is used for ADAMS web search capabilities
- Only third party contractors are available that still support current ADAMS search technologies
- There is no upgrade path to support search technologies

End of Life of FileNet Web Server in 2009

- In April of 2009 the current WebServer will reach end of life
- In September 30, 2010 even the next version of WebServer will reach end of life

ForeMost No Longer Supported

- The ForeMost software used for records management is no longer supported

Information Drivers

Inability to apply records retention

- The NRC is not in compliance with Federal recordkeeping requirements because it cannot apply the records disposition schedules to its electronic records
- The ADAMS Records Management component (ForeMost) has passed its service life and is no longer supported by the vendor. Therefore, any upgrades to exploit new capabilities will be costly and possibly futile. In addition, few staff or contractors know how the software works or how it is integrated with FileNet

Little to no enterprise control of records residing ou ADAMS

- NRC uses outdated, primarily manual methods of tracking and applying retentions to non-textual, special media, and paper records

Email Management:

- Current methods of capturing email as records leaves the agency potentially non-compliant with Federal statutes and vulnerable in the event of an eDiscovery or other internal or external information requests
- Having records stored in email systems also makes them harder to find and use, and increases the risk of loss from inadvertent or automatic deletions
- The current email environment allows users to add email records to ADAMS directly from Outlook and does capture transmission data, however, the decision-making process in determining which emails constitute records is manual and cumbersome
- Policies are in place but difficult to find, understand, and institute across the enterprise

No Records Management in SharePoint

- Collaborative sites, as they now exist, may consist of newly created series of records without a clearly defined records policy or procedure to manage them. Current studies have shown that these technologies can subject organizations to ineffective and non compliant information repositories.
- Content stored in SharePoint sites should be processed as record material
- The semi-manual process for moving documents to ADAMS dissuades users from doing so

ADAMS Meta Data

- The ADAMS Document Profile is burdensome and troublesome for the average ADAMS user. It discourages Agency staff from using the ADAMS system; the associated cost of adding documents to ADAMS is unnecessarily high
- We spend a lot of money on the Document Processing Center (DPC) contractor
- Content stored in ADAMS is difficult to find
- There are many manual workflows for processing documents

Federated Search

- Federated search identified by the Commission as a priority
- Obsolete Convera COTS software product with no visible upgrade path
- Longstanding issues with FileNet embedded search using complex queries

Web Access to ADAMS

- Public users must download a FileNet ActiveX control to access the ADAMS public library
- Difficult for public to browse large documents stored in many parts, but linked together (e.g., Combined Operating Licenses)
- Obsolete Convera COTS software product with no visible upgrade path used for ADAMS web based public search
- Security vulnerabilities in the public Citrix server
- Separate search portals for NRC.gov web site content and ADAMS main library (consistent public user issue)
- “Old style” application does not take advantage of contemporary web capabilities
- Problem with FileNet Panagon Replication Services

How are we doing this?

The components of the ECM program will be phased in incrementally so as to be minimally invasive. There will not be a single “big bang” deployment but rather, components will be phased in over time.

ECM implementation has three distinct areas.

- 1) Information Management – What do we need to do to manage our information? This includes management to support information needed to conduct our regulatory mission, including program and compliance operations and to meet applicable Federal statutes and regulations.
- 2) Work and business processes – These cover both the business processes of our regulatory activities and those needed to manage our information.
- 3) Technology – What technologies are needed to manage our information, help NRC programs conduct their business processes, and replace obsolete technologies that are no longer supported by their vendors.

Successful implementation of the ECM program will deliver many benefits:

- Improved search capabilities
- Improved workflow capabilities
- Increased accessibility through web and other open standard interfaces: standards that are widely used, consensus based, published and maintained by recognized industry standards organizations
- Streamlined profiling and classification of structured content such as information in a spreadsheet or database and unstructured content such as audio, video, and unstructured text such as the body of an e-mail or word processing document
- Increased efficiency and consistency of information-related processes

- Improved information life-cycle management and compliance with records-related regulations
- Reduced investment and overhead associated with managing information

Our ECM strategies are:

Business Transformation -- shift from paper-based, manual way of doing business to a more effective and efficient electronic processing of information

Business Enabler -- enable business areas to successfully handle and process the significant growth in information from increased business activity (e.g., License Renewal, New Reactors, and HLW)

Information Access -- transparent and timely access to information necessary for the agency to carry out its mission regardless of where it is located

Information Sharing/Collaboration -- information sharing/collaboration among staff and stakeholders in day-to-day business interactions

Application Infrastructure -- provide a platform to support evolving application needs in a consistent and uniform manner across the agency.

Progress we've made so far

- Digitizing hard copy records
- Starting to wrap out arms around SP
- P8 – moving 1.7 M ADAMS documents to supported s/w
- KG's initiatives
 - Email capture
 - Automated profiling of documents from licensees

Next steps

- Moving 14 different applications to new platforms
- P8 has auto workflow feature

In summary, ECM is about having the technology to get the right content, in the right place, at the right time, to the right people---all the time---and in the process increase the value of the content to the NRC.