

PART I: CAPITAL ASSET PLAN AND BUSINESS CASE (All Assets)

Agency U.S. Nuclear Regulatory Commission

Bureau

Account Title Salaries and Expenses

Account Identification Code 31-0200-0-1-276

Program Activity IT Infrastructure

Name of Project ADAMS 5.0 Software Upgrade

Unique Project Identifier: 429-00-02-06-01-1011-00

(IT only)(See section 53)

Project Initiation Date November 18, 2002

Project Planned Completion Date September 30, 2004

This Project is: Initial Concept ☒ Planning ☐ Full Acquisition ☐ Steady State ☐Mixed Life Cycle ☐

Project/useful segment is funded:

Incrementally ☒ Fully ☐

Was this project approved by OMB for previous Year Budget Cycle?

Yes ☐ No ☒

Did the Executive/Investment Review Committee approve funding for this project this year?

Yes ☒ No ☐

Did the CFO review the cost goal?

Yes ☒ No ☐

Did the Procurement Executive review the acquisition strategy?

Yes ☒ No ☐

Anticipate using current ADAMS Steady State contracts.

Is this investment included in your agency's annual performance plan or multiple agency annual performance plans?

Yes ☒ No ☐

Does the project support homeland security goals and objectives, i.e.,

1) improve border and transportation security, 2) combat bio-terrorism, 3) enhance first responder programs; 4) improve information sharing to decrease response times for actions and improve the quality of decision making?

Yes ☐ No ☒

Is this project information technology? (See section 300.4 for definition)

Yes ☒ No ☐

For information technology projects only:

- a. Is this Project a Financial Management System? (see section 53.3 for a definition)

Yes ☐ No ☒

If so, does this project address a FFMIA compliance area?

Yes ☐ No ☒

If yes, which compliance area?

- b. Does this project implement electronic transactions or record keeping that is covered by the Government Paperwork Elimination Act (GPEA)? This upgrade is for a steady state system already covered by GPEA

Yes ☒ No ☐

If so, is it included in your GPEA plan (and does not yet provide an electronic option)?

Yes ☒ No ☐

Does the project already provide an electronic option?

Yes ☒ No ☐

- b. Was a privacy impact assessment performed for this project?

Yes ☐ No ☒

Project is only in the conceptual phase.

Information in this record was deleted in accordance with the Freedom of Information Act, exemptions 5

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c. Was this project reviewed as part of the FY 2002 Government Information Security Reform Act review process? Yes ☐ No ☒ **Project is in the concept phase. Existing ADAMS Steady State system accredited and reviewed.**

d.1 If yes, were any weaknesses found? Yes ☐ No ☒ **This project is in the conceptual phase.**

d.2. Have the weaknesses been incorporated into the agency's corrective action plans? Yes ☐ No ☒ **This project is in the conceptual phase.**

e. Has this project been identified as a national critical operation or asset by a Project Matrix review or other agency determination? Agency Matrix review won't be completed until first Quarter FY 2003 or later. Yes ☐ No ☒

e.1 If no, is this an agency mission critical or essential service, system, operation, or asset (such as those documented in the agency's COOP Plan), other than those identified above as national critical infrastructures? Yes ☐ No ☒ **The system of which this software upgrade will be part (ADAMS), if approved, is an NRC mission critical operation.**

SUMMARY OF SPENDING FOR PROJECT STAGES (In Millions)

(Estimates for BY+1 and beyond are for planning purposes only
and do not represent budget decisions)

	PY-1 and PY Earlier 2002	CY 2003	BY 2004
Planning: **		116	121
Budgetary Resources			
Outlays			
Acquisition : ***		661	527
Budgetary Resources			
Outlays			
Total, sum of stages:		777	648
Budgetary Resources			
Outlays			
Maintenance: *			
Budgetary Resources			
Outlays			
Total, All Stages:			
Budgetary Resources		777	648
Outlays			

I. A. Project Description

- 1. Provide a brief description of this project and its status through your capital planning and investment control (CPIC) or capital programming "control" review for the current cycle.**

This, conceptual phase, project will examine native vendor COTS features, introduced in the most recent software upgrade, to determine if (1) native features can replace custom developed features thus reducing NRC's cost of ownership, (2) determine the suitability of replacing the existing client-server architecture with a web-based architecture—this would also reduce NRC's cost of ownership, and (3) implement a web-based search and retrieval interface. The first phase of this project will be a Directional Issues Study—a comprehensive analysis of native and web feature functions and level of effort estimate to implement these features.

The most recent FileNET COTS release may now include much of the functionality that was built into the custom ADAMS solution. As part of the Directional Issues Study, we will perform an analysis of NRC's custom functionality to determine which custom features can be replaced with FileNET's latest COTS features. Areas where native mode FileNET functionality may be an appropriate alternative to ADAMS customization include, but are not limited to:

- Replace ADAMS custom document packages with native FileNET compound documents (this is now a standard component of FileNET's desktop and content services software);
- Replace custom ADAMS PDF conversion processor to native FileNET Rendition Services (this is now a standard component of FileNET's desktop and content services software);
- Replace ADAMS custom interface into TruArc's ForeMost Records Management component with TruArc's menu driven plug-in;
- Examine risks and benefits associated with replacing ADAMS custom code with native COTS features;
- Examine risks and benefits associated with maintaining a thick desktop client vs. moving to a thin Web-based client; and
- Examine the introduction of new COTS functionality and deployment options, including the use of Electronic Business Process Management (eBPM) migration with a thin client deployment.

We anticipate that the resulting Directional Issues recommendations and subsequent native features deployment will result in a reduction in the cost of ownership of ADAMS in a steady state environment. The detailed analysis, alternative analysis, and cost savings projections will be identified in the ADAMS 5.0 CPIC business case document.

The existing document/records management architecture consist of:

- FileNET Panagon Content Services 5.1.1
- FileNET Panagon Desktop Services 3.1
- FileNET Panagon Replication Services 5.1.1
- FileNET Panagon Web Publishing 3.0
- TrueArc ForeMost Records Management 7.0
- Convera RetrievalWare 7.0
- ADAMS 4.0 Custom Visual Basic Code

- 2. What assumptions are made about this project and why?**

NRC will continue to need an enterprise-wide electronic document/records management system to manage its records through their entire life cycle.

- 3. Provide any other supporting information derived from research, interviews, and other documentation.**

The Harvard Computing Group (HCG) conducted an independent assessment of ADAMS in March 2002. Gartner Group, an independent IT consulting technical firm, performed a validation of HCG findings. Both companies agreed that FileNET should be maintained as the foundation of ADAMS. Gartner indicated that the potential benefits of changing technology approaches do not justify the costs and risks associated with such a change. Gartner also recommended that the NRC remain on the technical path planned for ADAMS, which includes the ADAMS 5.0 Upgrade covered by this submission.

I.B. Justification (All Assets)

1. How does this investment support your agency's mission and strategic goals and objectives?

The NRC's mission is to regulate the Nation's civilian use of byproduct, source, and special nuclear materials to ensure adequate protection of public health and safety, to promote the common defense and security, and to protect the environment.

Effective management of information is critical to NRC performing its mission and most important information is contained in documents. The Commission's policies, decisions, and bases for regulatory actions are reflected and depend on these documents.

ADAMS supports the creation or capture, storage and retrieval, records management, distribution and dissemination of documents related to NRC's core business functions, such as the licensing and regulatory oversight of nuclear reactor operations and other activities involving regulation of nuclear materials and nuclear waste. Access to these documents by both NRC staff and the public is absolutely essential to carrying out the mission of the agency.

NRC's Strategic Goals	NRC Strategies	Supports	How Does Your Initiative Support this NRC Goal or Corporate Management Strategy?
1. Nuclear Reactor Safety: Prevent radiation-related deaths and illnesses, promote the common defense and security, and protect the environment in the use of civilian nuclear reactors.	<i>NRC will increase public confidence by making public participation in the regulatory process more accessible, by communicating more clearly and making information available in a timelier manner.</i>	X	<i>ADAMS will support this strategic goal by providing the public, those we regulate, and other stakeholders in the national and international communities by making documents available in a more convenient (electronic rather than paper) and timelier manner.</i>
2. Nuclear Materials Safety: Prevent radiation-related deaths and illnesses, promote the common defense and security, and protect the environment in the use of source, byproduct, and special nuclear material for medical, academic, and industrial purposes	<i>NRC will increase public confidence by making public participation in the regulatory process more accessible, by communicating more clearly and making information available in a timelier manner.</i>	X	<i>ADAMS will support this strategic goal by providing the public, those we regulate, and other stakeholders in the national and international communities by making documents available in a more convenient (electronic rather than paper) and timelier manner.</i>
3. Nuclear Waste Safety: Prevent adverse impacts from radioactive waste to the current and future public health and safety and the environment, and promote common defense and security	<i>NRC will increase public confidence by making public participation in the regulatory process more accessible, by communicating more clearly and making information available in a timelier manner.</i>	X	<i>ADAMS will support this strategic goal by providing the public, those we regulate, and other stakeholders in the national and international communities by making documents available in a more convenient (electronic rather than paper) and timelier manner.</i>

NRC's Strategic Goals	NRC Strategies	Supports	How Does Your Initiative Support this NRC Goal or Corporate Management Strategy?
4. International Nuclear Safety Support: Support U.S. interests in the safe and secure use of nuclear materials and in nuclear non-proliferation	<i>NRC will increase public confidence by making public participation in the regulatory process more accessible, by communicating more clearly and making information available in a timelier manner.</i>	X	<i>ADAMS will support this strategic goal by providing the public, those we regulate, and other stakeholders in the national and international communities by making documents available in a more convenient (electronic rather than paper) and timelier manner.</i>
NRC Corporate Management Strategy 1: Employ innovative and sound business practices	<i>We will improve customer service and will find new and better ways of doing business to increase effectiveness and efficiency of operations.</i>	X	<i>ADAMS will support this corporate management strategy through the continued use of new and improving technology. ADAMS will continue to become a more efficient and effective way for the public and staff to access NRC's information.</i>
NRC Corporate Management Strategy 2: Sustain a high-performing, diverse workforce.	<i>We will improve the capability of our workforce through training and development, will select and develop strong managers who can provide vision and strategic leadership and will recruit, hire, and retain a high-quality, diverse workforce with the skills needed to achieve our mission and goals.</i>		
NRC Corporate Management Strategy 3: Provide proactive information management and information technology services.	<i>We will make it easier for the staff to acquire, access, and use the information they need to perform their work. We will improve the ability of the NRC and external entities to conduct mutual business electronically. We will provide external stakeholders the ability to easily access desired publicly available information to aid in their participation in the NRC's regulatory processes, and to enhance understanding of the agency's mission, goals, and performance.</i>	X	<i>ADAMS supports this corporate strategy by providing cradle to grave enterprise wide document management functionality. Initiatives underway include expansion of the voluntary submission of documents by licensees and the public; improved public and staff ease of access to documents in the ADAMS document repository, and improved document and data integrity of documents that reside in ADAMS.</i>
NRC Corporate Management Strategy 4: Communicate strategic change.	<i>We will improve communication with the public by using strategies that recognize the ongoing changes in the environment external to the agency and we will respond to requests and inquiries from stakeholders in a timely, courteous, and professional manner.</i>		

2. How does it support the strategic goals from the President's Management Agenda?

Presidents Management Agenda (PMA)	Supports	How Does Your Initiative Support This PMA Item?
Human Capital		
Competitive Sourcing		
Financial Performance		
E-Government	X	ADAMS is an enterprise-wide, NARA approved, electronic recordkeeping system. . NRC also has an operational capability to support electronic submission of documents submitted by Part 50 licensees using electronic

		signaturing.
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3. Are there any alternative sources in the public or private sectors that could perform this function?

This project is currently in the concept phase. Alternatives will be identified in the Business Case Analysis.

4. If so, explain why your agency did not select one of these alternatives.

This project is currently in the concept phase. Alternatives will be identified in the Business Case Analysis.

5. Who are the customers for this project? and

6. Who are the stakeholders of this project?

ADAMS customers and stakeholders include: (1) all NRC staff, including those from 4 regional offices; (2) NRC licensees; (3) law firms; (4) various public interest groups; (5) professional organizations; (6) medical offices and hospitals; (7) schools, universities, and students; (8) many local, state, and federal government agencies; and (9) other members of the public.

7. If this is a multi-agency initiative, identify the agencies and organizations affected by this initiative.

The ADAMS system is a single agency initiative.

8. How will this investment reduce costs or improve efficiencies?

If a business case alternative is selected that results in the removal of custom code of the existing ADAMS steady state operational system, NRC anticipates a reduction in software maintenance costs, and a reduction in the costs of upgrading the existing system to maintain currency with vendor COTS software products. If a business case alternative is selected that results in a Web-based rather than the existing client-server deployment of the existing system, NRC anticipates a reduction in the costs of deploying future system upgrades.

9. List all other assets that interface with this asset.

ADAMS receives electronic copies of documents from the Electronic Information Exchange (EIE). It also provides electronic copies of relevant documents to several FileNET libraries that reside outside NRC's firewall (Electronic Hearing Docket (EHD) and High-Level Waste Documents Repository (HLW). It will provide copies of documents to the Digital Data Management System (DDMS) for high level waste proceeding when the DDMS is developed.

Have these assets been re-engineered as part of this project? Yes X, No ____.

NRC's document receipt process was re-engineered to accept incoming documents electronically rather than in paper. The agency's management of its dockets was also re-engineered. Work to support the high level waste proceeding is in progress.

I.C. Performance Goals and Measures (All Assets)

The proposed ADAMS 5.0 upgrade is in the conceptual phase. Performance goals and measures will be identified as part of the Directional Issues Study and CPIC business case.

			Planned	Actual		
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Fiscal Year	Strategic Goal(s) Supported	Existing Baseline	Performance Improvement Goal	Performance Improvement Results	Planned Performance Metric	Actual Performance Metric Results
2002						
2003						
2004						
2005						
2006						
2007						

I.D. Program Management [All Assets]

1. Is there a program manager assigned to the project? If so, what is his/her name? Yes ☐ No ☒
Lynn B. Scattolini
2. Is there a contracting officer assigned to the project? If so, what is his/her name? Yes ☐ No ☒
Sally Adams
3. Is there an Integrated Project Team? Yes ☒ No ☐

3.A. If so, list the skill set represented.

Software Development Project Manager, Sr. Software Engineer, Sr. Systems Analysts, Software Programmers, Vendor Product Technical Specialists, Business Area Analysts, Document/Records Management Specialists

4. Is there a sponsor/owner? Stuart Reiter, Chief Information Officer, NRC Yes ☒ No ☐

Part II: Additional Business Case Criteria for Information Technology**II. A. Enterprise Architecture****II.A.1 Business****A. Is this project identified in your agency's enterprise architecture? If not, why?**

No. The ADAMS 5.0 software upgrade project is a new initiative in its conceptual phase and has not been specifically named in NRC's in-progress EA, although it is in compliance with the NRC EA as part of the ADAMS steady state system. Even though this project is still in the conceptual stage, the NRC business need has been identified and the project conforms to the NRC EA as part of the ADAMS steady state system.

B. Explain how this project conforms to your departmental (entire agency) enterprise architecture.

ADAMS falls within the scope of NRC's baseline EA. As such, this system supports the performance of the business functions identified in the agency enterprise business model, documented in the NRC publication, "NRC Enterprise Model." ADAMS provides NRC staff and stakeholders with business management of information support through the capture, storage and retrieval, records management, and distribution and dissemination of documents related to NRC's core business functions (e.g., licensing and regulatory oversight of nuclear reactor operations). ADAMS also contributes to NRC's support delivery of services: public affairs business function, by making publicly

available information related to NRC's core business functions available to the public. ADAMS products and components are aligned with NRC's current application and technology standards and future direction as specified in NRC's existing technology planning documents. Although the NRC's existing technology planning documents are being updated, the current documents identify some core technology needs and address ADAMS as a core business support system. These core technology needs are in the process of being updated and expanded through an evolving organizational EA governance process that will ensure that all current and future technology needs are vetted by NRC business managers to validate links to NRC business drivers for the identified technologies. When fully functional, NRC's integrated EA and CPIC processes will enable NRC to apply the same sound risk management strategies to its IT investments that have long characterized NRC's core business operations. NRC has also provided the Federal Enterprise Architecture Business Reference Model (FEA BRM) with high level business functions and sub functions derived from the "NRC Business Model." NRC is working to uncover additional internal cross-cutting initiatives and has begun to look at other agency business processes and State business processes to identify potential areas for collaborative efforts.

C. Identify the Lines of Business and Sub-Functions within the Federal Enterprise Architecture Business Reference Model that will be supported by this initiative.

Line of Business	Sub-Function
Support Delivery of Services:	▪ Information Collection
Business Management of Information	▪ Record Retention
	▪ Information Sharing
Support Delivery of Services:	▪ Customer Services
Public Affairs	▪ Communications and Outreach
	▪ Public Relations

D. Briefly describe how this initiative supports the identified Lines of Business and Sub-Functions of the Federal Business Architecture.

ADAMS supports the "Business Management of Information" line of business by managing all information that is critical to NRC performing its mission. The Commission's policies, decisions, and bases for regulatory actions are reflected in and depend on the documents that ADAMS creates, captures stores and retrieves, manages as official agency records, and distributes and disseminates. Documents managed in ADAMS relate to all NRC's core business functions, such as the licensing and regulatory oversight of nuclear reactor operations and other activities involving regulation of nuclear materials and nuclear waste. Access to these documents by both NRC staff and the public is absolutely essential to carrying out the mission of the agency.

E. Was this project approved through the EA Review committee at your agency?

The ADAMS 5.0 software upgrade project is a new initiative in its conceptual phase, the ADAMS system, of which this will be part, was approved through the NRC Enterprise Architecture Review Committee.

F. What are the major process simplification/reengineering/design projects that are required as part of this initiative?

NRC changed its business practices related to the receipt, capture, processing, and dissemination of documents prior to and during ADAMS implementation. We plan to redesign and standardize NRC's process for distributing documents internally in FY03.

G. What are the major organization restructuring, training, and change management projects that are required?

The ADAMS 5.0 software upgrade project is a new initiative in its conceptual phase. This information will be provided as a part of the Directional Issues Study and CPIC business case.

H. What are the Agency lines of business involved in this project?

ADAMS is a document management capability that supports business processes across all 11 business areas as defined in the NRC Enterprise Model (EM). The NRC EM is a model of NRC business functions and processes with information technology systems mapped to the business functions they support. ADAMS conforms to the NRC's technology infrastructure and to the NRC Information Technology Architecture framework, which is similar to the Federal Enterprise Architecture Framework (FEAF). Because ADAMS was a generic capability that would provide document management in support of all NRC business functions, a detailed business model was developed for it. A working group of NRC business managers developed a functional model of generic document management capabilities and requirements. This high level functional model was de-composed into five areas and detailed process models were developed for each of these areas. In addition, workflow processes, security, and access controls were developed. These defined the business architecture for ADAMS.

I. What are the implications for the agency business architecture?

There are no specific implications for the agency business architecture.

II.A.2 Data

A. What types of data will be used in this project?

ADAMS 5.0 will use existing unstructured official agency documents and structured metadata describing the official agency documents. ADAMS was designed using Commercial Off The Shelf (COTS) software with built-in document and records management capabilities. The underlying database structure is both Object Data Base Connectivity (ODBC) and Structured Query Language (SQL) compliant to ensure a standard method of accessing relational data. Some customization was performed to incorporate additional data elements and feature functions. Where applicable, ADAMS utilized data administration and modeling techniques as supported in the NRC Systems Development Life Cycle Management Methodology and the NRC Data Administration Reference Manual. The fields and identifiers for ADAMS documents are standard and conform to the NRC Data Architecture Naming Standards and Conventions. These were developed and coordinated through an agency data administration (DA) function. The agency DA function maintains the NRC Strategic Data Model (SDM) and NRC Consolidated Data Model (CDM). The NRC SDM is a model of NRC data entities with entities mapped to the business functions and application systems they support. The NRC CDM is a detailed inventory of standard data entities and attributes. In some cases, ADAMS developed new data fields and rule sets, such as "author affiliation", which were added to the CDM.

B. Does the data needed for this project already exist at the Federal, State, or Local level? If so, what are your plans to gain access to that data?

Some of the data needed by this project already exists. In support of the Yucca Mountain High Level Waste (HLW) Repository licensing proceeding NRC, via the implementation of a Licensing Support Network Portal, is integrating HLW-related information from governmental participants that include, but are not limited to NRC, DOE, State of NV, Clark County, Nye County, and Other potential parties such as Industry and Environmental Groups, AULGs (Affected Units of Local Governments), and Tribal Interests. This data, as introduced into the licensing hearing, will automatically processed into and published to NRC internal and appropriate external document repositories via ADAMS 5.0.

C. Are there legal reasons why this data cannot be transferred? If so, what are they and did you address them in the barriers and risk sections above?

See B. above

D. If this initiative processes spatial data, identify planned investments for spatial data and demonstrate how the agency ensures compliance with the Federal Geographic Data Committee standards required by OMB Circular A-16.

Not applicable.

II.A.3 Application and Technology

A. Discuss this initiative/project in relationship to the application and technology layers of the EA. Include a discussion of hardware, applications, infrastructure, etc.

ADAMS was implemented as an infrastructure capability for modern document management. It replaces earlier systems that offices had been using for these functions. These legacy applications were identified in the NRC Inventory of systems and databases. ADAMS and all of its components were implemented using client-server technology and agency-approved COTS products. NRC developed some custom code and interfaces. The custom interfaces were implemented using FileNet's Panagon IDM Toolkit using 32-bit COM (Microsoft Component Object Model) objects that will support future upgrades of Panagon. Tools used in the customization of ADAMS were added to the NRC Applications Development Toolkit.

B. Are all of the hardware, applications, and infrastructure requirements for this project included in the EA Technical Reference Model? If not, please explain.

ADAMS conforms to the agency's technology architecture, as documented in the NRC's Technical Reference Model. This is a framework of technical standards used to plan platforms and infrastructure for new systems. It documents the technology and network architecture for the agency. ADAMS was implemented within the agency's standard client-server and LAN infrastructure and is accessible via agency-standard microcomputers.

II. B. Security and Privacy

NOTE: Each category below must be addressed at the project (system/application) level, not at a program or agency level. Referring to security plans or other documents is not an acceptable response.

II.B.1. How is security provided and funded for this project (e.g., by program office or by the CIO through the general support system/network)?

Security provided and funded by program office, which is CIO for this project.

A. What is the total dollar amount allocated to security for this project in FY 2004?

The proposed ADAMS 5.0 software upgrade project is in the conceptual phase. This will be done as part of the Directional Issues Study and CPIC business case.

II.B.2 Does the project (system/application) meet the following security requirements of the Government Information Security Reform Act, OMB policy, and NIST guidance?

The proposed ADAMS 5.0 is a software upgrade to an existing steady state operational system (ADAMS). The steady state system is accredited at GISRA Level 5. The upgrade is in the conceptual phase. GISRA related reports will be updated as appropriate for the upgrade.

Does the project (system/application) have an up-to-date security plan that meets the requirements of OMB policy and NIST guidance? What is the date of the plan?

The proposed ADAMS 5.0 is an upgrade to a steady state operational system (ADAMS). The steady state system was accredited at GISRA Level 5 on July 8, 2002. The upgrade is in the conceptual phase. The Security Plan for the existing ADAMS steady state system will be updated for the upgrade as appropriate.

A. Has the project undergone an approved certification and accreditation process? Specify the C&A methodology used (e.g., NIST guidance) and the date of the last review.

The proposed ADAMS 5.0 is in the conceptual phase. It is an upgrade to a steady state operational system (ADAMS). The steady state system was accredited at GISRA Level 5 on July 8, 2002.

B. Have the management, operational, and technical security controls been tested for effectiveness? When were most recent tests performed?

The proposed ADAMS 5.0 upgrade is in the conceptual phase. It is an upgrade to a steady state operational system (ADAMS). A Security Test and Evaluation was performed for the steady state system in June 2002. Documentation will be updated as appropriate for the upgrade.

C. Have all system users been appropriately trained in the past year, including rules of behavior and consequences for violating the rules?

The proposed ADAMS 5.0 upgrade is in the conceptual phase. It is an upgrade to a steady state operational system (ADAMS). The NRC has an aggressive and proactive security programs to ensure that risks are understood.

D. How has incident handling capability been incorporated into the system, including intrusion detection monitoring and audit log reviews? Are incidents reported to GSA's FedCIRC?

The proposed ADAMS 5.0 upgrade is in the conceptual phase. It is an upgrade to a steady state operational system (ADAMS). As documented in exhibit 300 for ADAMS, the system has incident handling capability. Documentation will be updated as appropriate for this upgrade.

E. Is the system operated by contractors either on-site or at a contractor facility? If yes, does any such contract include specific security requirements required by law and policy? How are contractor security procedures monitored, verified, and validated by the agency?"

The proposed ADAMS 5.0 is an upgrade to a steady state operational system (ADAMS). The steady state system is operated by contractors onsite. NRC contracts require personnel obtain security clearances. Contractors are screened prior to being granted access to the NRC facility and ADAMS. Contractors are also required to sign nondisclosure statements, when they are assigned to work with sensitive information.

II.B.3 How does the agency ensure the effective use of security controls and authentication tools to protect privacy for those systems that promote or permit public access?

Only non-sensitive documents are made publicly available. Software controls, policies, procedures, and training are in place to help prevent inadvertent release of sensitive documents. NRC publicly available systems and WEB sites are "read only".

II.B.4 How does the agency ensure that the handling of personal information is consistent with relevant government-wide and agency policies.

The NRC follows the requirements of the Privacy Act 5 U.S.C. 552a and OMB's requirements for the implementation of the Privacy Act. NRC's policies can be found in NRC's regulations at 10 CFR Part 9, Management Directive 3.2, "Privacy Act," and on the NRC's external Web site.

II.B.5 If a Privacy Impact Assessment was conducted, please provide a copy to OMB.

The proposed ADAMS 5.0 upgrade is in the conceptual phase. This will be addressed as part of the Directional Issues Study and CPIC business case.

II. C. Government Paperwork Elimination Act (GPEA)

II.C.1 If this project supports electronic transactions or record-keeping that is covered by GPEA, briefly describe the transaction or record-keeping functions and how this investment relates to your agency's GPEA plan.

This upgrade is for the ADAMS steady state system that is already covered by GPEA. ADAMS has been established as NRC's official recordkeeping system for all record series in which an analysis showed that it is cost-effective to maintain collections of records in electronic in lieu of paper form. This covers virtually all of the programmatic record collections of the agency and some of its administrative record collections. The software that NRC employs conforms to DOD standards that have been endorsed by the NARA.

ADAMS will use the technology, processes, and procedures of NRC's electronic information exchange program (EIE) to allow for 2 way voluntary electronic submission of documents to the NRC and between NRC and its stakeholders. A production electronic information exchange (EIE) system is in place to accommodate voluntary electronic document submittals allowed for 10CFR Part 50 licensees and vendors. The system provides for electronic authentication (electronic signature) methods to verify the identity of the sender and the integrity of electronic content. The production EIE system will be expanded to accommodate other types of submittals eligible for electronic submission to the NRC.

ADAMS is an electronic information system that is a vital component of a multi-tiered NRC's public information strategy. ADAMS is appropriate for public users who are familiar with NRC's documentation and who, by virtue of their interest and/or occupation, require frequent and regular access to NRC's documents. ADAMS allows expanded public access to all NRC's publicly-available documents via the Internet. The system permits full text searching and provides the ability to view document images, download files, and print locally. It provides the ability for the public to order copies of NRC documents on-line. The methods used for ADAMS search and retrieval by the public are the same as those used by NRC staff for management of agency documents.

II.C.2 What is the date of your GPEA plan?

September 9, 2001

II.C.3 Identify any OMB Paperwork Reduction Act (PRA) control numbers from information collections that are tied to this investment.

N/A