OCRWM Commitment Management System
Software Requirements Document
(Proposed Baseline)

Overview

The OCRWM Commitment Management System (OCMS) will organize all commitments that are made regarding OCRWM. The commitments will be maintained solely in this module, and this module will be the single official source for information regarding commitments. The data on these commitments will be gathered from existing databases, paper files and other electronic and non-electronic documents, and will be entered into the OCMS. Once the data has been entered, the existing sources will cease to be used in favor of the OCMS.

Workflow

When correspondence or other communication comes in, it will be reviewed by the office that receives it for issues. If it is determined that a piece of correspondence will result in an issue, a user will enter the issue, the originator, source information and functional discipline into the OCMS. The user will also submit the relevant portions of the source document to be scanned and the image will be stored in the OCMS. If the issue is to be handled directly by a DOE Functional Lead, the Functional Lead will enter all of the relevant commitment information. Otherwise, the issue will pass through a screening board to determine if a possible commitment will arise from the issue. If so, the relevant M&O Commitment Coordinator will be notified. If needed, an M&O Technical Lead will enter an estimate on costs and time that will be required to fulfill the commitment into the OCMS, and will notify the DOE Commitment Coordinator.

The DOE Technical Lead for the functional discipline will review the issue and write a recommendation for or against making the commitment. If the Technical Lead does recommend making a commitment, the DOE Technical Lead will enter a recommendation, due date for completion and the name of the product(s) (EIS, SR, LA, etc.) which the commitment will affect into the OCMS. The issue is then passed to the DOE Commitment Manager for review and if they agree with the DOE TL, then recommendation is forwarded to the DOE Commitment Maker (DOE CMM) who will determine if a commitment is to be made based on the data presented.

If the DOE Commitment Maker rejects the commitment, they will enter the rejection into OCMS and will notify the DOE Commitment Manager. The DOE Commitment Manager will then send a letter to the originator notifying them of the decision. The DOE Commitment Manager will then notify the DOE Commitment Coordinator who will in turn notify the M&O Commitment Coordinator who will notify the M&O Technical Lead that the possible commitment was rejected.

If the DOE Commitment Maker approves the commitment, they will enter the approval into the OCMS and will notify the DOE Commitment Manager who will then write a commitment letter to the originator and will notify the DOE Commitment Coordinator of the approval of the commitment. The DOE Commitment Coordinator will then enter the actual due date, the date of the commitment letter, the letter signor, the text of the commitment and the commitment date. The DOE Commitment Coordinator will then notify the M&O Commitment Coordinator who directs the M&O Technical Lead to perform the action to fulfill the commitment.

The M&O Technical Lead will then complete the actions that are required to close the commitment and enters the actions taken into the OCMS. Upon completion, the M&O Technical Lead notifies the M&O Commitment Coordinator who will enter any updated information into the OCMS. The M&O Commitment Coordinator will then notify the DOE Commitment Coordinator who will then notify the DOE Technical Lead and DOE Commitment Manager.

The DOE Technical Lead and DOE Commitment Manager will review the commitment. If either do not recommend closure of the commitment, the process is resubmitted through the DOE Commitment Coordinator to the M&O Commitment Coordinator who will make an assignment to the M&O Technical Lead for further work. If both the DOE Commitment Manager and DOE Technical Lead recommend the commitment for closure, then the DOE Commitment Manager submits the recommendation for closure to the DOE Commitment Maker.

The DOE Commitment Maker will review the information on the commitment and will either reject the commitment's closure (thus sending the commitment back to the DOE Commitment Coordinator for further work), or will approve the closure. When the DOE Commitment Maker approves the commitment for closure, they will notify the DOE Commitment Manager who will send a letter to the originator notifying them of the completed commitment. The DOE Commitment Manager will also notify the DOE Commitment Coordinator who will close the commitment in the OCMS and will then notify the M&O Commitment Coordinator who will then notify the M&O Technical Lead.

Data Storage

An organization (or person) writes a source document, which contains one or more issues. These issues are potential commitments and may become actual commitments. A commitment requires one or more responses, which are transmitted by letter to the originating organization. The OCMS will store information about the organization, source document, issue, commitment, response and letter.

Data stored for the originating organization (or person) will consist of:
- Name of the organization or person including division or department information
- Point of contact
- The parent organization
- Address information
- Telephone number
- Facsimile number

For each source document the OCMS will store:
- Accession number from the RIS (if available)
- Title of the document
- Date of the document
- Organization the document came from
- Signer of the document
- Email address of the signer
- Telephone number for the signer
- Category of the document (NWTRB, NRC, EIS CRD, etc.)

The data stored for each issue will be:
- Text of the issue taken directly from the source document
- The date the issue was entered into the system
- Functional discipline the issue falls under
- Scanned image of the portion of the source document that contains the issue text.
- Keywords for use in searching and sorting the commitment

The OCMS will be a repository of Commitment data. A commitment record will store the following Information:
- Commitment identifier
- The text of the commitment
- Due date for the commitment closure
- Status (open, closed, pending, etc)

- Date the commitment was made
- Comments
- Date closed
- Product Affected Field (EIS, SR, LA, CA, VA, PC)
- Estimate of time/costs required
- Recommendation for making commitment
- Rationale for making commitment
- Commitment approver
- Rationale for rejection of commitment (if any)
- Actions taken
- Rationale for resubmission (non-closure)
- Action Summary
- Action Plan
- WBS information
- Keywords for use in searching and sorting the commitment

Additionally for historical commitments we will store the ID previously assigned to the commitment.

A response may be a commitment, a rejection of the commitment request, a status update or other communication regarding a commitment. The OCMS will store the text of a response and the date it is written.

One or more responses may be contained in a letter to the originating organization. We will store the accession number of each letter, along with the date sent, addressee, signer and the date the letter is signed.

Data Input Methods

New commitments will be input into the OCMS by Commitment Coordinators within each functional area via an entry form. Additional data will be entered through interactive forms. There is currently no requirement for data input from other applications or non-interactive sources.

Data Processing

No requirements exist for automated processing of data beyond the workflow and reporting functions.

Reporting/Output

View(s) of existing commitments will need to be available in the format(s) provided by DOE. At least one standard report will be required for managers to view all commitments. The report shall display the Category of the source document, the issue information, commitment date, commitment text, status, due date and DOE functional lead. An ad-hoc reporting system will be developed to allow users to select their own report. Additional 'canned' reports will be designed as requested.

Replacement of sources of data

The databases that provide the input to the OCMS may be replaced by the OCMS. Therefore, the OCMS will need to encompass the complete functionality of each of these databases as well as any additional functionality needed to create a common interface between these sources. This will include all databases, paper files and any other repositories of data on commitments.

Condition Identification and Response System

The OCMS will need to be connected to the Condition Identification and Response System and will have to accept any restrictions defined by the system. Some portions of the OCMS are precursors to components of the Condition Identification and Response System. These components are:
- Users with their associated usernames, passwords and permissions
- Issues
- Source Documents
- Organizations
- WBS information
- Product Information

These areas will need review for use with the Condition Identification and Response System. This review should be completed before the design of the OCMS is considered complete.

Users

Users may have different levels of access depending on their need to read, create, modify or delete commitments. A group of database administrators will have to be defined to maintain the OCMS.

Users may have one of the following roles in the OCMS.
- DOE Commitment Maker – 1 per site, can be delegated
- DOE Commitment Manager – 1 per site, can be delegated
- DOE Commitment Coordinator – 1 per site, can be delegated
- DOE Technical Lead – 1 per functional discipline (e.g. hydrology, geology, etc.)
- M&O Commitment Manager – 1 per site, can be delegated
- M&O Commitment Coordinator – 1 per category (e.g. NRC, NWTRB, IRSR, etc.)
- M&O Technical Lead – 1 per functional discipline (e.g. hydrology, geology, etc.)
- Guest/Read Only Access – All OCRWM participants will have a minimum of this level of access.

Database System for Data Storage

The database to be used for OCMS will be an Oracle 8 database. The data will be stored under a single schema. A cgi interface to the Oracle database will be established using the perl dbi functions. Only one account in the Oracle database will be necessary, multiple users will connect to the web server and access cgi functions that will then connect to Oracle through the single Oracle account.

Database Security

Users will be assigned passwords that they can change as often as they wish. Passwords will expire after six months and must be changed at that time. Passwords must be a minimum of eight characters in length and will need to have at least one special character. Passwords will be case sensitive. Passwords will be stored in encrypted format in the database and will not be recoverable if forgotten. A system administrator will be able to enter a new password if one is forgotten. The new password will expire immediately forcing the user to change the password at the next login.

Screens

The following screens will be developed for implementation of the workflow for commitments.

Issue Entry
- Issue Text (required)
- Source Document Page Number
- Primary Discipline

- Secondary Discipline
- Category
- Keywords

Screening Board
- Category (required)
- Issue Type (required)

M&O Commitment Coordinator – Determination
- Issue:
  - Scanned Image of the Issue (required)
  - Primary Discipline (required)
  - Secondary Discipline
  - Source Document Page Number (required)
- Commitment:
  - Commitment Text (required)
  - Rationale
  - WBS (required)
- Source Document:
  - Accession Number (required)
  - Title (required)
  - Signer (required)
  - Email Address
  - Phone Number
  - Document Date (required)
  - Organization (required)
- Delegate Commitment Coordinator Authority

M&O Functional Lead - Determination
- Estimate (required if estimate is needed)
- Commitment Text
- Action Plan (required)
- Delegate Functional Lead Authority

DOE Functional Lead - Determination
- Products Affected
- Commitment Text
- Action Summary (required)
- Functional Lead Recommendation (Commit/No Commit, required)
- Recommendation Comments
- Due Date
- Delegate Functional Lead Authority

DOE Commitment Manager - Determination
- Commitment Manager Recommendation (Commit/No Commit, required)
- Commitment Text
- Due Date
- Recommendation Comments
- Select Commitment Maker

Commitment Maker – Commit/No Commit
- Commit/No Commit (required)
- Rationale for Approval/Rejection (required)

- Final Commitment Text (required)
- Due Date (required)
- Commit Date (automatic)

DOE Commitment Manager – Commitment/Rejection
- Letter Accession Number (approve/reject) (required)
- Date sent (required)
- Addressee (required)
- Date Signed (required)
- Organization ID (required)
- Signer (required)
- Letter Text (required)
- Date Written (required)
- Scanned Image of rejection letter (required if commitment rejected)

M&O Functional Lead - Commitment
- Actions Taken (required)

DOE Functional Lead – Commitment
- Closure Recommendation (Y/N, required)

DOE Commitment Manager – Commitment
- Closure Recommendation (Y/N, required)

Commitment Maker
- Approve/Reject Closure (Y/N, required)
- Date Closed (required if approved)

DOE Commitment Coordinator – Closure
- Scanned Image of Closing Document