

**NV Lesson Learned Implementation Team
LESSONS LEARNED ASSESSMENT CHECKLIST**

Assessment No. : _____ Assessment Dates: _____ Assessor

Assessed Organization: _____ Assessed Activity: _____

Item	Reference	Requirement Citation	Objective Evidence	In Compliance?			
				Yes	No	N/A	Not Assessed
	Mandatory						
1	DOE-STD-7501-99 Section 3.2.1	Lessons learned are developed and shared at the local levels.					
2	DOE-STD-7501-99 Section 3.2.1	Lessons learned are shared with the rest of NNSA/NV and DOE.					
3	DOE-STD-7501-99 Section 3.2.1	Managers promote systems improvement and motivation by feeding back improvement suggestions and success stories from using lessons learned.					
4	DOE-STD-7501-99 Section 3.2.2	Lessons learned draw on both positive experiences and negative experiences.					
5	DOE-STD-7501-99 Section 3.2.2	Lessons learned include the broad base of work effectiveness and are not limited to specific areas, such as safety.					

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6	DOE-STD-7501-99 Section 3.2.2	Lessons learned do not duplicate or replace other management functions like self-assessments, event investigations, or corrective action systems.					
7	DOE-STD-7501-99 Section 3.2.3	Performance measures focus on how well a lessons learned program uses opportunities to develop lessons, the quality of the lessons the program creates, and how well business and operating practices integrate lessons into improvements.					
8	DOE-STD-7501-99 Section 3.2.6	Individuals have ready access to lessons learned.					
9	DOE-STD-7501-99 Section 3.2.6	Simple search strategies/mechanisms are available.					
10	DOE-STD-7501-99 Section 3.2.8	NNSA/NV and contractor organizations designate certain individuals with formal lessons learned roles.					
11	DOE-STD-7501-99 Section 3.3	Lessons learned are identified, shared and used within each of the five work cycle functions, for inter-relationships among functions and within and among the three organizational levels (institutional, site and activity levels) of work planning and performance.					
12	DOE-STD-7501-99 Section 4.1	Each local NNSA/NV and contractor organization identifies an infrastructure for					

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		supporting lessons learned.					
13	DOE-STD-7501-99 Section 4.3.5	The Lessons Learned Coordinator coordinates the screening, dissemination, analysis, and action plan development of lessons learned information.					
14	DOE-STD-7501-99 Section 4.5	Processes and procedures are established to define how the lessons learned program is implemented and administered, including: <ul style="list-style-type: none"> \$ Roles and responsibilities \$ Staff qualification and training \$ Criteria and thresholds for lessons learned generation \$ Timeliness requirements for generation and incorporation \$ Validation and approval processes \$ Dissemination methods \$ Use of lessons learned information \$ Documentation requirements \$ Feedback systems \$ Tracking of lessons learned actions \$ Performance indicators and trend analysis \$ Program performance assessment \$ Process for researching potential lessons learned sources (e.g., Occurrence Reporting and Processing System, vendor information, Nuclear Regulatory Commission, International Atomic Energy Agency, Occupational Safety and Health Administration, Environmental Protection Agency, Department of Defense 					

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		Government-Industry Data Exchange Program). \$ Interface with the Headquarters Lessons Learned Lead Office					
15	DOE-STD-7501-99 Section 5.2	Lessons learned for Department-wide dissemination and dissemination external to DOE provide essential information to reduce search time and enhance determination of relevancy, i.e., contains elements in the current template.					
16	DOE-STD-7501-99 Section 5.2.3	Lessons learned documents are reviewed for compliance with local organizational security requirements prior to approval and dissemination and contain no classified, Unclassified Controlled Nuclear Information (UCNI), or proprietary information.					
17	DOE-STD-7501-99 Section 5.3.2	Personnel responsible for training in each organization receive lessons learned information and incorporate applicable lessons learned information into the training programs.					
18	DOE-STD-7501-99 Section 5.3.3	In addition to hard copy and electronic dissemination, the organizations uses routine organizational methods such as safety meetings, tailgate briefings, or plan of the day, and special methods such as seminars and workshops, when appropriate, to share information.					

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	Mandatory						
19	DOE-STD-7501-99 Section 6.2.2	Use of lessons learned information is periodically assessed to determine if information is being disseminated and if past lessons learned are being identified and incorporated into project planning and ongoing processes.					
20	DOE-STD-7501-99 Section 6.4	Users provide feed back to lesson originators to help improve the process, and share successes with both originators and the DOE Lessons Learned Lead Office (EH).					
	Non-mandatory						
1	DOE-STD-7501-99 Section 3.2.1	Managers tailor lessons learned for their particular work and hazards.					
2	DOE-STD-7501-99 Section 3.2.1	Lessons learned locally and from organizations with relevant work experience are factored into local management systems and mechanisms for improving performance.					
3	DOE-STD-7501-99 Section 3.2.1	Managers use awards, incentives, and recognition of individuals to promote creating and using lessons learned.					
4	DOE-STD-7501-99 Section 3.2.1	Managers describe lessons learned programs as part of their Safety Management System Descriptions.					
5	DOE-STD-7501-99	Safety Management System Descriptions express management expectation for development,					

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	Mandatory						
	Section 3.2.1	communication, and use of lessons learned.					
6	DOE-STD-7501-99 Section 3.2.1	Safety Management System Descriptions describe the infrastructure mechanisms that support development, sharing, and the use of lessons learned.					
7	DOE-STD-7501-99 Section 3.2.2	The overall program is broad in scope, with lessons learned from many facets of the organization - business, operations, management, etc.					
8	DOE-STD-7501-99 Section 3.2.2	The relationships of lessons learned and other management information sources is clear and understood.					
9	DOE-STD-7501-99 Section 3.2.3	The lessons learned infrastructure uses existing networks, databases, and delivery systems where possible.					
10	DOE-STD-7501-99 Section 3.2.3	Lessons learned ownership is established for maintaining the infrastructure and support for lessons learned development, communication and use.					
11	DOE-STD-7501-99 Section 3.2.3	Lessons learned developed are evaluated to determine if they appear applicable to the wider DOE community. If so, they are distributed via the DOE Lessons Learned List Server for consideration at other DOE sites.					
12	DOE-STD-7501-99 Section 3.2.3	Lessons learned from Headquarters or non-DOE organizations and outside sources are					

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	Mandatory						
		evaluated for local application and dissemination					
13	DOE-STD-7501-99 Section 3.2.5	The mechanisms for identifying a potential lesson learned are simple (in terms of volume, type of information, and input mechanisms).					
14	DOE-STD-7501-99 Section 3.2.5	Lessons learned are context driven (information defined in terms of environment in which learned and significance).					
15	DOE-STD-7501-99 Section 3.2.5	The potential types of work or subject matter are defined (in terms of information warranting inclusion).					
16	DOE-STD-7501-99 Section 3.2.5	There is no stigma or blame assigned for individuals identifying a lesson learned.					
17	DOE-STD-7501-99 Section 3.2.6	Access mechanisms include a variety of communication media.					
18	DOE-STD-7501-99 Section 3.2.6	The lessons learned and access media is responsive/customizable to match customer needs (types of information, level of detail, sorting mechanisms, presentation and display options).					
19	DOE-STD-7501-99 Section 3.2.6	Both push and pull information technology is utilized.					
20	DOE-STD-7501-99 Section 3.2.6	Lessons learned read capability is essentially unlimited for the internal user communities and limited only by safeguards concerns for external communities.					

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	Mandatory						
21	DOE-STD-7501-99 Section 3.2.6	Automatic delivery is available for some levels/thresholds of lessons learned.					
22	DOE-STD-7501-99 Section 3.2.7	Lessons learned support, but do not direct, site/contract-level programs.					
23	DOE-STD-7501-99 Section 3.2.7	There is local determination of relevance/significance of external lessons learned.					
24	DOE-STD-7501-99 Section 3.2.7	User obligations are defined at the individual organization levels.					
25	DOE-STD-7501-99 Section 3.2.7	Local lessons learned programs complement (encourage) other formal and informal peer and workgroup sharing.					
26	DOE-STD-7501-99 Section 3.2.7	Incentives are established to promote development, communication, and use of lessons learned.					
27	DOE-STD-7501-99 Section 3.2.8	The development, communication and use of lessons learned is a part of everyone's job.					
28	DOE-STD-7501-99 Section 3.2.8	The degree of formality in the mechanisms established to facilitate the lessons learned program are tailored based on the complexity of the work, hazards and organizational factors.					
29	DOE-STD-7501-99 Section 3.2.8	Organizations where lessons learned are distributed throughout the organization have a designated contact for interface with the corporate structure.					

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	Mandatory						
30	DOE-STD-7501-99 Section 3.2.8	Management works to ensure that local programs interface with the DOE Headquarters program.					
31	DOE-STD-7501-99 Section 3.2.8	Local management works to seek continuous improvement of local and DOE-wide lessons learned programs					
32	DOE-STD-7501-99 Section 3.3	The lessons learned program is effectively integrated throughout the management chain and across functional areas. This integration includes personnel at all levels and crosses organizational boundaries such as administration; financial systems; human resources; training; quality programs; operations; maintenance; engineering; environment, safety and health; and safeguards and security programs.					
33	DOE-STD-7501-99 Section 3.3	Contractor's business processes for work planning, budgeting, authorization, execution, and change control are integrated, monitored, and verified on an annual basis.					
34	DOE-STD-7501-99 Section 3.4	Methods for evaluating and measuring the effectiveness of the organizational lessons learned program is established such that the costs and benefits of lessons learned can be assessed on a periodic basis.					
35	DOE-STD-7501-99 Section 3.4	Managers use the guide in Appendix C directly or use it as an example to develop their own criteria to evaluate the status of their lessons					

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		learned programs.					
36	DOE-STD-7501-99 Section 4.1	Individuals observe adverse outcomes, potential good work practices or applicable information gathered from external sources and contribute them to the local lessons learned program.					
37	DOE-STD-7501-99 Section 4.1	The lessons learned program supports further review and analysis to verify that a lesson has been learned that has further local applicability.					
38	DOE-STD-7501-99 Section 4.1	The contributors are acknowledged for identifying the potential lesson.					
39	DOE-STD-7501-99 Section 4.1	If a local lesson learned is developed, it is distributed to appropriate individuals through local practices.					
40	DOE-STD-7501-99 Section 4.1	Actions are then taken at the local level for inclusion into management systems and work practices.					
41	DOE-STD-7501-99 Section 4.1	Steps are taken to determine if the lesson has potential DOE-wide implications. If broader DOE applicability is determined, then is the local lessons learned distributed to a select list of recipients through a subscription list server.					
42	DOE-STD-7501-99 Section 4.2	If additional funding is required, has the contractor organization planned its funding needs and requested appropriate resources through their annual budget process?					

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43	DOE-STD-7501-99 Section 4.3.4	Organization Line Management ensures that the lessons learned program is incorporated into organizational responsibilities.					
44	DOE-STD-7501-99 Section 4.3.4	Organization Line Management assign and support personnel under their supervision to administer the lessons learned infrastructure mechanisms that the organization establishes.					
45	DOE-STD-7501-99 Section 4.3.4	Organization Line Management ensures that actions planned or initiated to address lessons learned are implemented.					
46	DOE-STD-7501-99 Section 4.3.4	Organization Line Management ensures that lessons learned information is included in the planning and execution of work within the scope of their responsibility.					
47	DOE-STD-7501-99 Section 4.3.4	Organization Line Management evaluates effectiveness of lessons learned programs and report findings to senior management.					
48	DOE-STD-7501-99 Section 4.3.5	The Lessons Learned Coordinator promotes and advances the organization's lessons learned program by facilitating the development and maintenance of lessons learned programs including processes, procedures, communication methods and documentation.					
49	DOE-STD-7501-99 Section 4.3.5	The Lessons Learned Coordinator interfaces with functional organizations such as training, maintenance, engineering, etc. for incorporation of lessons learned information.					

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	Mandatory						
50	DOE-STD-7501-99 Section 4.3.5	The Lessons Learned Coordinator accesses information systems for identification of potential lessons learned.					
51	DOE-STD-7501-99 Section 4.3.5	The Lessons Learned Coordinator identifies Subject Matter Experts to facilitate lessons learned review and analysis.					
52	DOE-STD-7501-99 Section 4.3.5	The Lessons Learned Coordinator determines applicability and significance of internal and external experiences identified as potential lessons learned with the help of Subject Matter Experts.					
53	DOE-STD-7501-99 Section 4.3.5	The Lessons Learned Coordinator follows-up on significant actions to address lessons learned.					
54	DOE-STD-7501-99 Section 4.3.5	The Lessons Learned Coordinator serves as lessons learned point-of-contact for the NNSA/NV Lessons Learned Program.					
55	DOE-STD-7501-99 Section 4.3.5	The Lessons Learned Coordinator collects information to evaluate program effectiveness and reports it to management.					
56	DOE-STD-7501-99 Section 4.3.5	Personnel identify experiences, activities, processes, and practices that should be shared in accordance with the definition of lessons learned (i.e., both positive and negative experiences)?					
57	DOE-STD-7501-99	Personnel contact line management and/or					

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	Section 4.3.5	lessons learned staff to determine whether the identified experience qualifies as a lesson learned.					
58	DOE-STD-7501-99 Section 4.3.5	Personnel provide information for generation of a lessons learned document.					
59	DOE-STD-7501-99 Section 4.3.5	Personnel review lessons learned documents for applicability and/or implementation.					
60	DOE-STD-7501-99 Section 4.3.5	Personnel incorporate applicable lessons into work planning and execution.					
61	DOE-STD-7501-99 Section 4.4	Organization makes personnel aware of how to access and use the local lessons learned mechanisms to identify, share and use lessons learned.					
62	DOE-STD-7501-99 Section 4.4	Personnel such as Lessons Learned Coordinators or Subject Matter Experts who manage, administer or otherwise have specific responsibilities for local Lessons Learned Programs possess a broad knowledge of their local organization(s), certain specialized knowledge and skills and key personnel characteristics.					
63	DOE-STD-7501-99 Section 4.4	Lessons learned personnel have specialized knowledge of DOE-STD-7501-99, the DOE Corporate Lessons Learned Program and the local lessons learned program(s) including how to identify and research sources of lessons learned; how to develop, use, analyze, and disseminate lessons learned; how to identify					

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		trends based on lessons learned; and how to incorporate lessons learned into processes, operations, procedures, and training.					
64	DOE-STD-7501-99 Section 4.4	Lessons learned personnel have a general knowledge of various computer software programs used to support local lessons learned activities and good writing skills.					
65	DOE-STD-7501-99 Section 4.4	Organization identifies and provides training as appropriate to individuals with lessons learned responsibilities to supplement and enhance individual skills and knowledge.					
66	DOE-STD-7501-99 Section 4.4	Lessons learned personnel possess those characteristics that enable them to perform their responsibilities as key team members of the broad organization. Characteristics include ability to communicate effectively with individuals from various technical and management disciplines, ability to form and lead teams, ability to communicate with and relate effectively to management, craft and technical specialists and to work in a cooperative, constructive manner within the broader DOE community.					
67	DOE-STD-7501-99 Section 5.1	Information used to generate lessons learned come from reliable sources including NNSA/NV and contractor organizations, other DOE sites, facilities or offices, other government agencies, industry or professional organizations.					

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68	DOE-STD-7501-99 Section 5.1	Organization has established practices or protocols for determining when information from any of these type sources constitutes a lessons learned.					
69	DOE-STD-7501-99 Section 5.1	Reviews of potential lessons learned are performed by designated Subject Matter Experts and/or Lessons Learned Coordinator(s).					
70	DOE-STD-7501-99 Section 5.1	Reviews of potential lessons learned consider the applicability and significance of potential lessons learned, and whether similar lessons learned have been identified previously.					
71	DOE-STD-7501-99 Section 5.2	Lessons learned documents for local use are tailored as appropriate for local needs.					
72	DOE-STD-7501-99 Section 5.2.1	Lessons learned program has established guidance on content and style for preparing lessons learned.					
73	DOE-STD-7501-99 Section 5.2.1	A lesson learned written from locally-generated information contains five basic elements: \$ A clear statement of the lesson \$ A background summary of how the lesson was learned \$ Benefits of using the lesson and suggestion how the lesson may be used in the future \$ Contact information for additional detail \$ Key data fields to aid searchability					
74	DOE-STD-7501-99	Information obtained from other sources, is					

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	Section 5.2.1	provided as reported by the original source and has additional information about local applicability and use provided.					
75	DOE-STD-7501-99 Section 5.2.2	Appropriate Subject Matter Experts review and validate the information contained within the lessons learned document for accuracy and applicability to the site.					
76	DOE-STD-7501-99 Section 5.2.3	Organization follows contractual agreements between NNSA/NV and the contracting organization regarding reviews for proprietary information.					
77	DOE-STD-7501-99 Section 5.3	Lessons learned are disseminated with an assigned priority descriptor, which denotes the risk, immediacy, and urgency of the lessons learned content.					
78	DOE-STD-7501-99 Section 5.3	The lessons learned priority descriptor is established by lessons learned originator.					
79	DOE-STD-7501-99 Section 5.3	Red/Urgent lessons learned are disseminated, reviewed, documented, and actions performed are tracked in a timely manner.					
80	DOE-STD-7501-99 Section 5.3	Organization documents and tracks required response actions to ensure completion and closure in accordance with the organization's Corrective Action and Change Control processes.					
81	DOE-STD-7501-99 Section 5.3.1	The organization has identified recipients who could potentially benefit from knowledge					

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		contained within the lessons learned document and ensure the appropriate dissemination.					
82	DOE-STD-7501-99 Section 5.3.1	The method(s) of dissemination are identified by individual organizational processes and practices, i.e., management, subject matter experts, or the Lessons Learned Coordinator.					
83	DOE-STD-7501-99 Section 5.3.1	Internal dissemination of lessons learned information includes organizations and employees who could benefit from such information.					
84	DOE-STD-7501-99 Section 5.3.2	Dissemination is conducted by electronic media, hard copy, or other methods.					
85	DOE-STD-7501-99 Section 5.3.2	Lessons learned are provided to individuals who plan and perform work at relevant organizational levels in a timely manner.					
86	DOE-STD-7501-99 Section 5.3.3	When a lesson from the DOE Lessons Learned List Server is distributed for use at a local level, the source of the information is attributed to the DOE Lessons Learned List Server and not distributed as a new local lesson learned.					
87	DOE-STD-7501-99 Section 6.1	Lessons learned are used to optimize management decision making; interact with other management tools (e.g., management information systems, reviews and investigations, root-cause analyses, and prioritization); and improve worker performance at all levels.					

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	Mandatory						
88	DOE-STD-7501-99 Section 6.1	Applicable lessons learned are incorporated into NNSA/NV and contractor activities (e.g., strategic planning, program and project planning, and work processes).					
89	DOE-STD-7501-99 Section 6.1	Changes identified as a result of lessons learned are made in accordance with local change control processes and reviewed as part of the annual ISMS review.					
90	DOE-STD-7501-99 Section 6.1	Lessons learned information is collected and stored in a manner that allows users to identify applicable lessons learned through information searches.					
91	DOE-STD-7501-99 Section 6.1	Each lessons learned program includes a keyword and functional category search capability to facilitate information retrieval.					
92	DOE-STD-7501-99 Section 6.1	Applicable lessons learned information is identified and reviewed early in the planning phase of projects and processes.					
93	DOE-STD-7501-99 Section 6.2.1	The organization analyzes lessons learned information to evaluate improvements or to identify favorable or adverse programmatic trends.					
94	DOE-STD-7501-99 Section 6.2.1	The results of analyses focuses on improvement efforts and the reduction of adverse trends.					
95	DOE-STD-7501-99 Section 6.2.2	Lessons learned programs include methods to periodically measure program effectiveness.					

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96	DOE-STD-7501-99 Section 6.2.2	Results are evaluated and the means to improve the lessons learned program are identified and implemented.					
97	DOE-STD-7501-99 Section 6.3	Stored lessons learned information is periodically reviewed for usefulness.					
98	DOE-STD-7501-99 Section 6.3	Information that is no longer pertinent to organizational activities is eliminated or archived in accordance with organizational policies and procedures.					
99	DOE-STD-7501-99 Section 6.3	Organization has a process for making such determinations about when to eliminate or archive lessons learned. Lessons learned information that is considered for archiving or deletion includes: \$ Experiences related to components or systems no longer used at a site or facility. \$ Information that relates to a previous site or facility mission, e.g., operations rather than environmental cleanup. \$ Experiences related to procedures or standards that are no longer used.					
100	DOE-STD-7501-99 Section 6.3	Organization has a process that addresses the future value of the information at the local and NNSA/NV, and DOE-wide levels and considers that information that no longer seems to have current operational value may have value for facility disposition or creation of historical records.					

