

## AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT

BPA NO.

1. CONTRACT ID CODE

PAGE 1 OF 31

2. AMENDMENT/MODIFICATION NO.  
M0033. EFFECTIVE DATE  
See block 16c4. REQUISITION/PURCHASE REQ. NO.  
dated: 3/2/12

5. PROJECT NO. (If applicable)

6. ISSUED BY CODE

3100

7. ADMINISTERED BY (If other than Item 6)

CODE 3100

U.S. Nuclear Regulatory Commission  
Div. of Contracts  
Attn: Karla Garcia, 301-492-3603  
Mail Stop: TWB-01-B10M  
Washington, DC 20555U.S. Nuclear Regulatory Commission  
Div. of Contracts  
Mail Stop: TWB-01-B10M  
Washington, DC 20555

8. NAME AND ADDRESS OF CONTRACTOR (No. street, county, State and ZIP Code)

LOCKHEED MARTIN SERVICES, INC.

700 N FREDERICK AVE

GAITHERSBURG MD 208793328

(X)

9A. AMENDMENT OF SOLICITATION NO.

9B. DATED (SEE ITEM 11)

10A. MODIFICATION OF CONTRACT/ORDER NO.  
NRC-HQ-11-C-33-0060  
NRC-HQ-12-T-33-001210B. DATED (SEE ITEM 13)  
03-12-2012

CODE 805257383

FACILITY CODE

X

## 11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS

- ☐ The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers ☐ is extended, ☐ is not extended. Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods:
- (a) By completing Items 8 and 15, and returning \_\_\_\_\_ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. ACCOUNTING AND APPROPRIATION DATA (If required) Obligate: \$21,000; B&SR: 2012-60-11-6-154; JC:V6322;  
BOC:252A; Appr: 31X0200, FAIMIS: 121339; RPPA: RES-12-12413. THIS ITEM APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS,  
IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.

- (X) A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.
- B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation date, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b).
- C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:
- D. OTHER (Specify type of modification and authority) FAR Clause 52.232-22 Limitation of Funds
- X

E. IMPORTANT: Contractor ☒ is not, ☐ is required to sign this document and return \_\_\_\_\_ copies to the issuing office.

14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.)

Task Order 12, Ad-Hoc Support for Short Term Projects  
COR: Wil Madison

The purpose of this modification is to obligate funds in the amount of \$21,000. Task Order 12 is hereby increased from \$316,794.00 by \$21,000 to \$337,794. See page additional pages for a summary of obligations and project scope.

Total Order Ceiling: \$728,203.87 (Unchanged)

Total Obligated Amount: \$337,794 (Changed)

Period of Performance: March 12, 2012 - September 25, 2012 (Unchanged)

All other terms and conditions remain unchanged.

Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.

15A. NAME AND TITLE OF SIGNER (Type or print)

16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print)

Dominique C. Malone  
Contracting Officer

15B. CONTRACTOR/OFFEROR

15C. DATE SIGNED

16B. UNITED STATES OF AMERICA

16C. DATE SIGNED

(Signature of person authorized to sign)

BY Dominique C. Malone  
(Signature of Contracting Officer)

5-30-2012

TEMPLATE - ADM001

SUNSI REVIEW COMPLETE

JUN 6 2012

ADM002

A summary of obligations is as follows:

<b>Task Order 12 - OIS</b>	<b>Ad Hoc Support</b>	<b>Base 9 Options</b>		
Base	Establish Task Order	3/12/2012	J1278	145,000.00
Modification 0001	Incremental Funding	4/11/2012	N7362	17,500.00
	Incremental Funding	4/11/2012	J1275	47,294.00
Modification 0002	Incremental Funding - NRO IT SUPPORT	4/18/2012	Q4225	100,000.00
	Incremental Funding - AFAS	4/18/2012	J1096	7,000.00
Modification 0003	Incremental Funding – RES - Lessons Learned	5/7/2012	V6322	21,000.00
<b>TOTALS</b>				<b>337,794.00</b>

**NRC Agency Lessons Learned Tracking System  
Case Management Application  
Requirements Document**

**Purpose**

The purpose of this model is depict the Phase 1 scope of capturing the information and workflow requirements in managing the capture and disposition of items that have the potential of being included in the Agency's lessons learned program.

**Background**

The Lessons-Learned Program (LLP) is a set of processes, procedures, and oversight that is designed to collectively ensure that significant agency deficiencies are identified and corrected in such a way that they do not recur. This goal is accomplished by:

- Using a rigorous process to identify significant lessons learned,
- Developing detailed corrective action plans,
- Subjecting those plans to formal review and approval, and
- Ensuring that the plans have been effective and have not had any unintended consequences.

Each corrective action plan must include an explanation of what actions will be taken to institutionalize the knowledge gained through the identification of a lesson learned to help prevent its recurrence. Because deficiencies entered into this program are expected to require significant resources to correct, and because the agency already has many corrective action mechanisms that function at the office level and below, a high threshold has been established for entering deficiencies into the LLP.

**Project Scope**

Phase 1 Scope: Develop a system to initiate and disposition all considered, potential, or accepted lessons learned items, while storing relevant documentation related to those items. This documentation includes the initial reports or documentation of a deficiency, incident, project, or event. The system must be able to provide a retrievable record of items that potentially met the established threshold, items screened out by the Lessons-Learned Oversight Board (LLOB) and items that did not meet the threshold but meet the program's minimum criteria.

**Project Interdependency**

The Agency Documents Access and Management System (ADAMS) is the agency's official repository for documents and records. It is based on the Filenet enterprise content management system. It is transitioning to the Filenet/P8 platform.

**Project Sponsor**

Name	Organization	Phone	Title	Email
Wil Madison	NRC - Business Process and Project Management Branch	301-415-7221	Acting Chief	Wil.Madison@nrc.gov

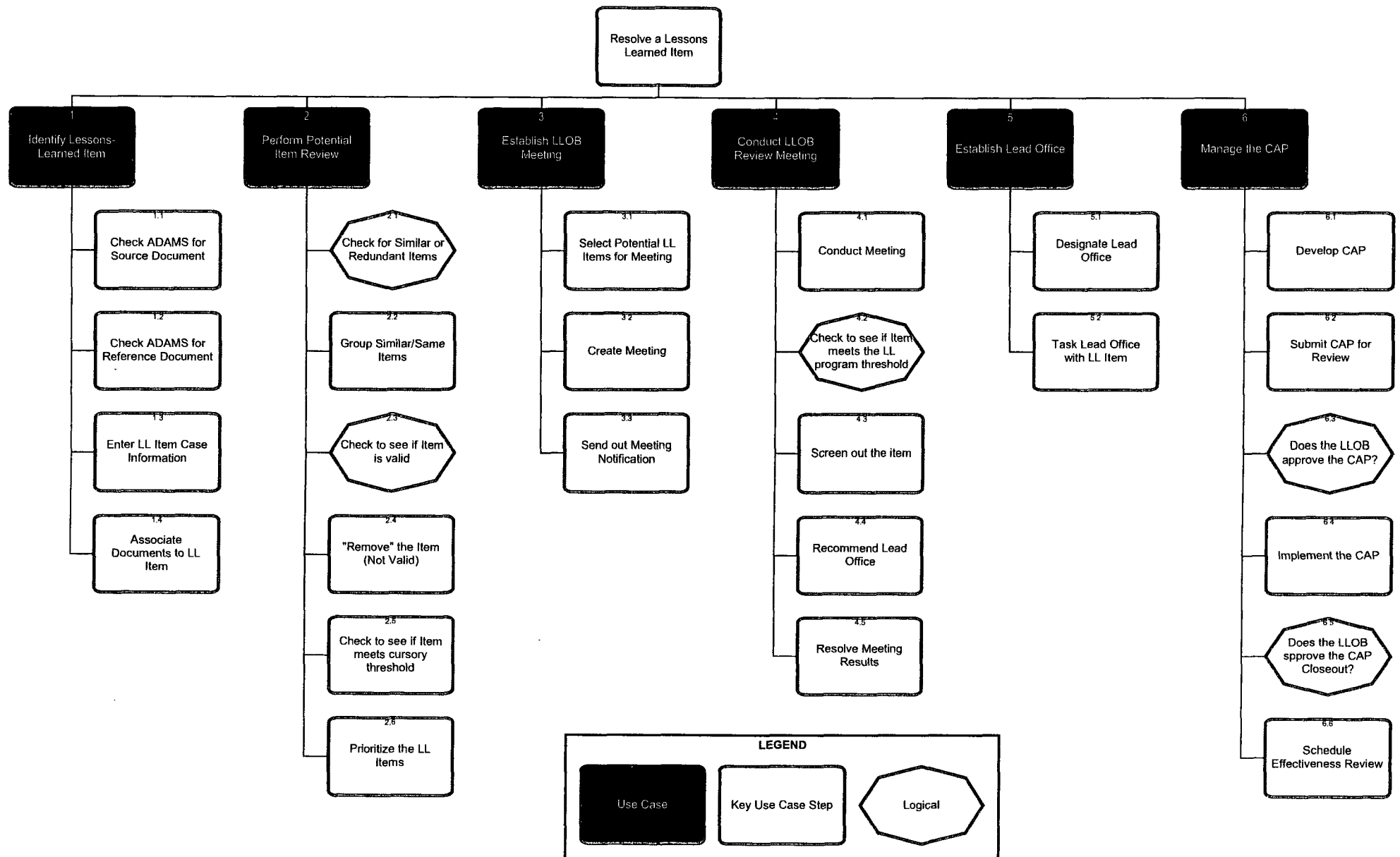
**Requirements Document Author**

Name	Organization	Phone	Title	Email
Eugene Yang	Lockheed Martin/KISMET Consulting, Inc.	815-715-2700	Business Consultant	Eugene.Yang@nrc.gov

**Project Participant**

Name	Organization	Role
Les Cupidon	RES	Lessons Learned Program Manager
Tom Ryan	Lockheed Martin/Contractor	Project Manager
Gloria Saint	NRC - BPPMB	NRC Project Manager
Eugene Yang	Lockheed Martin/KISMET	Business Analyst
Jana Kruger	Vega	System Architect
Sameer Rohatgi	CGI	Scheduler
KG Golshan	NRC	Technical Observer

# LL Phase 1 Activities-Phase 1 Scope



**Lessons Learned Process Tool**  
**Use Case 1.0, Identify Lessons-Learned Item**

Identify Lessons-Learned Item		This Use Case describes those activities undertaken by an agency employee to identify an "issue" or "problem" that is to be considered for the Agency Lessons Learned Program. A source document must exist in ADAMS that documents the basis of the "issue" or "problem". Reference documents may also be used; they, too, must be in ADAMS. The user enters in appropriate information for the lessons learned item; upon "save", the system will auto-generate a unique LL Item Number. The source document(s) and any documents are then associated and categorized to the entered lessons learned item through the LL Item Folder.		
Actors				
LLPM		Directly enters possible lessons learned items. Has overall coordination and control of the LL database. Monitors the identification and entry of possible LL items by other users through the lessons-learned tool. He/she will then review those items to see if they are potential candidates and then convene a meeting with the LLOB to review the potentials for being actual LL items that go forward to resolution.  The LLPM shall have the ability to enter a Lessons Learned Item. The LLPM also has full edit capability to any Lessons Learned Item.		
NRC General User		The NRC user will access the system through an internal NRC web-based interface. The user will have the ability to enter a potential LL item, locate information about a particular issue topic., or conduct a random search of key words relating to the topic of interest or search on metadata associated with a lessons-learned item.  The NRC General User shall have the ability to enter a Lessons Learend Item. They will have full edit capabilitiyy to any Items they enter; however, they cannot edit someone else's item, but they can view.		
Key Entities (See also Use Case 1.0 Attributes List)				
	Document			
	LL Item			
	LL Item Document Folder			
	LL User			
Tools		Definition		
ADAMS		Agencywide Documents and Access Management System		
P8 Case Mgmt		FileNet P8 Case Management and workflow module		
Use Case	Use Case/Step Name	Description		
Use Case Pre-Condition:		The user has identified an issue or problem that has lessons learned information that could benefit the agency. A document has been issued (or otherwise declared an Official Agency Record) that is the basis for the Lessons Learned..		
General				
Overview-01		The Lessons-Learned process tool will rely on ADAMS to store and catalog all documents comprising the lessons-learned body of knowledge. This will mitigate the copy or storage of any official agency records in another repository.	Required	High
Overview-02		The Lessons-Learned process tool will have a web interface that will reside on the NRC network, accessible from the NRC web site and operate within the established security protocols of the NRC IT infrastructure.	Required	High
Overview-03		Single sign-on is implemented	Required	High
Overview-04		There will be no limit to the number of users accessing the tool.	Required	High
LLUser-01		Access roles need to be identified, and the privileges assigned to those roles need to be defined. For example, the LLPM needs to have full edit capabilities for the whole system. However, a general NRC user will have more limited access.	Required	High

Lessons Learned Process Tool  
Use Case 1.0, Identify Lessons-Learned Item

Use Case Steps				
Use Case	Use Case/Step Name	Description		
1.1	Check ADAMS for Source Document	A lessons learned item must have at least one document that is the source of the lessons learned contention.The NRC General User or the LLPM will "browse" for the document in ADAMS.		
	1.1-01	There must be AT LEAST ONE source document identified and in ADAMS.	Required	High
	1.1-02	Alternative path: The source document is not in ADAMS. The NRC General User or the LLPM will need to enter the document into ADAMS.	Conditional	Medium
1.2	Check ADAMS for Reference Document	The NRC General User or the LLPM browse ADAMS for reference document(s). A reference document is a document that is cited by the source document as a supporting document. The NRC General User or the LLPM will "browse" for the document in ADAMS.		
	1.2-01	Alternative path: The reference document is not in ADAMS. The NRC General User or the LLPM will need to enter the document into ADAMS.	Conditional	Medium
1.3	Enter LL Item Case Information	1. The user (NRC General User or the LLPM) double-clicks on the LL Item icon. The LL Item Input case screen is launched. 2. The system creates an LL Item folder. 3. The user then enters or selects (through drop-down lists) the REQUIRED information (see the Attributes List for what fields are required). The user also can enter information into the non-required fields. 4. When the user has completed entering/selecting the data, he/she clicks on the "Save" button. 5. When the screen is refreshed, the LL Item Number field is filled (auto-created) as a combination of "today's" date, originating organization acronym, and a sequential 4-digit number.		
	1.3-01	Any NRC-based user shall have access to the LL Item input screen.	Required	High
	1.3-02	A user can only modify information on those LL Items he/she entered. A user may not modify another user's LL Item.	Required	High
	1.3-03	Only the LL Program Manager shall have the ability to edit any item in the system.	Required	High
	1.3-04	Ensure that when a document is selected that the ML number is populated in the ML number field on the LL Item screen. Also ensure that the associated Document Number and Document Title fields are displayed with the associated title info.	Required	High
	1.3-05	Upon creation of an LL Item, an LL Item Folder is created.	Required	High
	1.3-06	"Help" button on the LL Item screen provides a link to on-line help information.	Conditional	Medium
1.4	Associate Documents to LL Item	1. The user will go to the LL Item Folder. The user will then browse ADAMS to select the Source document(s), as well as any other LL Document Category-based documents, to the LL Item. The fields presented to the user will be the Document Number, ML Number, Document Title, LL Document Category, and the Primary Source Document? field. 2. When the document is "in" the folder, the user will then select the appropriate LL Document Category (e.g., S=Source) from a drop-down list. 3. If there are multiple Source documents, then one of the documents must have a "Y" selected in the Primary Source Document? field.		
	1.4-01	Documents associated with the LL Item will be "placed" in the LL Item Folder (pointers to the document). Each document in the folder will have a LL Document Category attribute that identifies the document as being a "Source", "Reference", "Policy", "Procedure", or "WIP".	Required	High
	1.4-02	The "Primary Source Document" (Y/N) flag is selected by the user to designate which of a multiple set of Source Documents is the primary document.	Required	High
Use Case Post-Condition:		The user has successfully entered a lessons learned item. A Lessons Learned Item Number is created that uniquely identifies the LL Item. Source and reference documents have been associated and "flagged" appropriately. If there are multiple Source documents, the Primary Source Document is set to "Y" for one of them. The LL Item Status is set to "Open".		
Additional Considerations				
	LLItem-03	Reports: When viewing the LL Item Screen, need to be able to print page of all the information shown about that single LL Item.	Required	High

## Use Case 1.0 Identify Lessons Learned Item

## Attributes List

Attribute Name	Default Value	Length	Possible Values	Required	Value Domain
Document					
Document Number	Null	20		YES	String
Document Title	Null	500		YES	String
ML Number	Null	20	MLNNNNNNNNNN	YES	String
Document Access Rights	Null		Browse (metadata can be viewed, but not the content); Restricted; View (content can be viewed).	YES	String
Entity/Field Requirements					
Doc-01	The system should check to ensure the the document has NRCUser-Viewer rights.			Required	High

LL Item					
Additional Details	Null	6000		NO	String
Comments Date	Null	datetime		NO	Date/Time
Comments/Recommendations	Null	255		NO	String
Contact Email Address	Null	50	May be auto-populated from Active Directory/LDAP	NO	String
Contact Name	Null	50		YES	String
Keywords	Null	400		YES	String
LL Item Description (Summary)	Null	1500		YES	String
LL Category	Null	50	Construction; Emergency Preparedness; Human Performance or Conduct; Fuel Facilities; Human Resources or Employment Law; Information Technology and Systems; Management; Medical; Nuclear Materials; Nuclear Reactor; Radiation Exposure or Contamination; Radioactive Waste; Radiography; Safety; Security; Training or Qualifications; Transportation	YES	String
LL Class	LLDoc	6	LLDoc	YES	String
LL Item Number	Null	25	The LL Item Number shall be auto-generated. Will have the following format: YYYYMMDD-AAAA-NNNN, where YYYY=year, MM=2 digit month, DD=day, AAAA=originating office acronym, NNNN=computer generated sequential number. Example: 20120101-RES-0001. The year/month/day is the date the LL item entered the system.	YES	String
LL Item Status	Open	20	Open=Item initially entered, no disposition established; Not Valid=Item is rejected, does not make initial cut; Valid=Made the initial cut; Potential LL Item=item looks like it meets the threshold;; Accepted=Item meets threshold, accepted into the LL Program; Screened Out=LLOB determine Item does not meet threshold criteria; Recommended=Office is recommended to be the lead office; Assigned=Lead Office is officially identified and tasked	YES	String

## Attributes List

Attribute Name	Default Value	Length	Possible Values	Required	Value Domain
LL Item Status Date	"Today's" Date	datetime	Date format: MM/DD/YYYY; Time format: HH:MM AM/PM	YES	Date/Time
LL Item Title	Null	100		YES	String
Originating Organization	Null	6	This will be a drop-down list. Only 1 value is to be populated upon selection. Values are: ADM; CSO; FSME; HR; NMSS; NRO; NRR; NSIR; OE; OI; OIG; OIS; RES; RI; RII; RIII; RIV; SBCR	YES	String
Source	Null	50	Selection (drop-down) List; 2.206 Petition Process; Accident Review Group; Agency Suggestion Program; Allegations Program; Differing Professional Opinions (DPO) Program; Generic Issue Program (GIP); Government Accountability Office; Incident Investigation Team; Lessons Learned Reports; NMSS Lessons Learned Process; Non-Concurrence Process (NCP); NRR Corrective Action Program; Office of Inspector General; Reactor Oversight Process (ROP) Feedback Program; Region I Corrective Action Program; Task Teams; Other	YES	String
<i>Entity/Field Requirements</i>					
LL Item Screen (General)-01	History of actions (changes to data) that includes who made the change, date of change, time of change, data field change shall be kept by the system.			Required	High
LL Item Screen (General)-02	Searching for an LL item should be through the "normal" ADAMS interface. That way, search methods that are currently being used by users can be leveraged. Should an LL Item be selected to be open, the case management interface will then launch to allow the user to view			Required	High
LL Item-DocNo-01	The document number that is displayed on the LL Item entry screen is the source document number. If there are multiple source documents, the primary source document is the one displayed.			Required	High
LL Item-DocTitle-01	The document title that is displayed on the LL Item property screen is the source document title. If there are multiple source documents, the primary source title is the one displayed.			Required	High
LL Category field-01	A lessons learned item must be assigned to AT LEAST one LL category. However, there must also be the ability to assign multiple LL categories to a LL Item (multii-selection box).			Required	High
Keyword-01	Keywords will be separated by commas			Required	High
LLItem-Comm-01	There may be one or more comments associated with an LL Item. Each comment is to be tracked and date-stamped separately.			Required	High
Comments/Recommendations field-01	Comments need to be separated and date stamped uniquely, to create a running log of history of business actions that have taken place.			Required	High
Comm-Date-01	A "calendar-and-date" function button will be placed next to the field. This function opens a calendar and allows the user to select the needed date.			Required	High



Use Case 1.0 Identify Lessons Learned Item  
Attributes List

Attribute Name	Default Value	Length	Possible Values	Required	Value Domain
Contact Name field-01	If the email is an NRC email, auto-populate this field from Active Directory. If the email is non-NRC, user must enter the contact's name. (Autopopulate from Active Directory if user is NRC-based.)			Required	High
Contact Email field-01	If the contact is an NRC employee, be able to lookup the email address through Active Directory. If non-NRC, must allow the user to enter the email address. (Active Directory Lookup for NRC-based contacts?)			Optional	Medium
LL Status field-01	When the LL Item is initially entered into the system, the LL Item Status will have the initial value of "Open".			Required	High
LL Status Date field-01	When an LL Item is initially entered into the system, the status date field shall be populated with today's date.			Required	High
LL Status Date field-02	A "calendar-and-date" function button will be placed next to the field. This function opens a calendar and allows the user to select the needed date.			Required	Medium
LL User					
Role Name	Null	16	LLPM; LLOB; NRC General User	YES	String
Role Description	Null	30		NO	String
Role Access Rights			Browse-Only (see metadata only) View (see metadata and document), Edit (can change the document and metadata), Delete (can remove document from ADAMS)	YES	
Entity/Field Requirements					
	None				
LL Item Document Folder (Per document in folder)					
Document Number	Null	20		YES	String
Document Title	Null	500		YES	String
ML Number	Null	20	MLNNNNNNNNNN	YES	String
Document Access Rights	Null		Browse (metadata can be viewed, but not the content); Restricted; View (content can be viewed).	YES	String
LL Document Category	Null	10	Source, Reference, Policy, Procedure, WIP	YES	String
Primary Source Document?	No	2	Yes/No	NO	Boolean
Entity/Field Requirements					
LL Item-Primary Source Flag field-01	This flag needs to be set to "Yes" in the case where there are multiple source documents, to indicate which document is the primary document that is the basis for the Lessons Learned item. (Conditional: if there are multiple Source Documents, return an error if a "Yes" does not appear against one of those source documents)			Conditional	High

Lessons Learned Process Tool  
Use Case 2.0, Perform Potential Item Review

Perform Potential Item Review		This Use Case describes those activities undertaken by the LLPM to discern or otherwise filter "open" LL items with the goal to triage the items for validity, as well as consideration for the LLOB in a High, Medium, or Low prioritization scheme. The LLPM should not delete any fully-filled out LL Item; rather, any similar or same items should be related to each other. After the similar/redundant check, though the status is still set to "Open", the LL Item is locked down from any NRC General User editing.		
Actors				
LLPM		Directly enters possible lessons learned items. Has overall coordination and control of the LL database. Monitors the identification and entry of possible LL items by other users through the lessons-learned tool. He/she will then review those items to see if they are potential candidates and then convene a meeting with the LLOB to review the potentials for being actual LL items that  The LLPM shall have the ability to enter a Lessons Learned Item. The LLPM also has full edit capability to any Lessons Learned Item.		
Key Entities (See also Use Case 2.0 Attributes List)				
	LL Item			
Tools		Definition		
P8 Case Mgmt		FileNet P8 Case Management and workflow module		
Use Case	Use Case/Step Name		Description	
Use Case Pre-Condition		Use Case Pre-Condition: "Open" LL items are available for review.		
General				
Overview-01		The Lessons-Learned process tool will rely on ADAMS to store and catalog all documents comprising the lessons-learned body of knowledge. This will mitigate the copy or storage of any official agency records in another repository.	Required	High
Overview-02		The Lessons-Learned process tool will have a web interface that will reside on the NRC network, accessible from the NRC web site and operate within the established security protocols of the NRC IT infrastructure.	Required	High
Overview-03		Single sign-on is implemented	Required	High
Overview-04		There will be no limit to the number of users accessing the tool.	Required	High
LLUser-01		Access roles need to be identified, and the privileges assigned to those roles need to be defined. For example, the LLPM needs to have full edit capabilities for the whole system. However, a general NRC user will have more limited access.	Required	High
LLItem-01		History of actions (changes to data) that includes who made the change, date of change, time of change, data field change shall be kept by the system	Required	High

Lessons Learned Process Tool  
Use Case 2.0, Perform Potential Item Review

Use Case	Use Case/Step Name	Description		
<b>Use Case Steps</b>				
2.1	Check for Similar or Redundant Items	<p>1. The LLPM double clicks on the Agency Lessons Learned Tracking System icon.</p> <p>2. ALLTS opens.</p> <p>3. The LLPM selects the "Open" Lessons Learned Items tab.</p> <p>4. The screen displays the following columns: Originating Organization, LL Item Number, LL Item Title, LL Item Status, LL Item Date, Source, Contact Name.</p> <p>5. The LLPM views the "Open" lessons learned item list. The LLPM reviews each item entered to see if the same issue or incident has already been entered, or if there are similarities in among items.</p> <p>Example: the situation where if a medical emergency happened at the NRC: Security, the Health Center, Office of Administration (ADM-Facilities), etc. may all get involved, with each submitting separate reports. If there are "sameness" or "similarities", the LLPM will then choose one of the similar/same Items to be the "primary" item, and then record the LL Item Numbers of the other items as Related Items.</p>		
	2.1-01	Provide for the ability to associate ("relate") LL Items. We could have a "similar topic" that has different sources/references, or we could have "different topics" that have the same source/reference.	Conditional	Medium
	2.1-02	The LL Item Status still remains at "Open". However, the LL item will be locked from originator's edits at this step from this point on.	Required	High
2.2	Group Similar/Same Items	If there are "sameness" or "similarities", the LLPM will then choose one of the similar/same Items to be the "primary" item. The LLPM will then enter the LL Item Numbers of the other items into the Related LL Item field. This field initially is set to NULL; the field should then allow the entry of 1 or more LL Items		
	LLItem-RelLL-01	A LL Item may be related to 0 or more other LL Items, especially if the Items all point to a common incident (e.g., a medical issue could occur reports from the Medical staff, security, and facilities could be created).	Required	High
2.3	Check to see if item is valid	<p>1. The LLPM selects and launches an LL Item from the "Open" LL Item list.</p> <p>2. The LLPM will determine the validity of a submitted item to be considered for the program.</p> <p>3. If the item meets the criteria, the LLPM will change value in the LL Item Status field to "Valid".</p> <p>4. The system will then capture "today's date" in the LL Item Status Date field.</p>		
	2.3-01	The LLPM reviews to see if the item meets the program's minimum criteria. This minimum criteria is: a) Lessons-learned items must be aligned to the NRC mission, goals, and/or strategic plan and be important to the agency; b) Lessons-learned documentation should not contain judgmental views or performance-related commentary; c) Lessons-learned documentation should not contain proprietary or personal identification information.	Conditional	Low
2.4	"Remove" the Item (Not Valid)	<p>If the LL Item does not meet the minimum criteria, the LLPM moves to "remove" the Item from further consideration.</p> <p>1. The LLPM will change the value in the LL Item Status field to "Not Valid".</p> <p>2. The system will then capture "today's date" in the LL Item Status Date field.</p> <p>3. The LLPM may then choose to type the reason for the "Not Valid" in the Comments/Recommendations field.</p> <p>4. The system will then capture "today's date" in the Comments Date field.</p> <p>These items are "archived" in the sense that they are no longer part of the "active" list.</p>		
	2.4-01	The value that was originally assigned in the LL Category field for the rejected ("Not Valid") item gets set back to "null" when the item is declared 'not valid'.	Required	High
	2.4-02	The LLPM will need to have view/edit access to the not valid item, to document reasons why rejected. The General NRC User will have view-only rights to the "not valid" item.	Required	High

Lessons Learned Process Tool  
Use Case 2.0, Perform Potential Item Review

	2.4-03	Alternative path: The LLPM may choose, at a later date, to view any of these items; the LLPM could resurrect one or more for future consideration. To do so, the LLPM would change the status from "Not Valid" to "Valid". The LLPM may then add comments as to why the item was "resurrected". The Comments Date field will capture the date of those comments.	Conditional	High
2.5	Check to see if Item meets cursory threshold	<p>The LLPM will review an LL Item based on the MD 6.8 threshold criteria.</p> <ol style="list-style-type: none"> <li>1. The LLPM opens the "Valid" LL Items tab.</li> <li>2. The screen displays the following columns: Originating Organization, LL Item Number, LL Item Title, LL Item Status, LL Item Date, Source, Contact Name.</li> <li>3. The LLPM views the "Valid" lessons learned item list (LL Item Status=Valid).</li> <li>4. The LLPM reviews each item against the MD 6.8 threshold criteria. If the LLPM deems the Item to meet the threshold, the LLPM changes the LL Item Status to "Potential LL Item".</li> <li>5. The system will then capture "today's date" in the LL Item Status Date field.</li> <li>6. If the Item is deemed NOT to meet the threshold, the LLPM will change the LL Item Status to "Threshold Not Met". The system will then capture "today's date" in the LL Item Status Date field.</li> </ol>		
2.6	Prioritize the LL Items	<p>Every LL Item that makes it to this step is considered a "potential LL Item".</p> <ol style="list-style-type: none"> <li>1. The system presents a list of LL Items with LL Item Status = Potential LL Item.</li> <li>2. A LL Item Priority field appears next to each LL Item.</li> <li>3. The LLPM uses the LL Item Priority Field to enter a priority value from a drop-down list (High, medium, low).</li> </ol> <p>This priority value is to aid subsequent LLOB review.</p>		
Use Case Post-Condition:		Use Case Post-Condition: LL Items with status = "Potential LL Items" are in a list that have priorities applied of High, Medium, or Low. Any or all of these items are candidates to be reviewed by the LLOB. "Not Valid" items can be viewed only by the LLPM.		
Additional Considerations				
2.1	Activity	If we have related LL Items associated to a "lead item", do the subordinate LL items have to be "live"? (We could have a passive field that just traps the related LL Item #; the LLPM would then have to search based on that number)		
2.4	Activity	When we "reject" or otherwise "no" an item, can we do something where any user can see "certain" attributes of an item that was rejected and the reason why, but they don't have ability to do anything about it (that is, all users except for the LLPM, who retains full edit rights)?		
	LLItem-03	Reports: When viewing the LL Item Screen, need to be able to print page of all the information shown about that single LL Item.	Required	High
	LLItem-04	Reports: Need to be able to print out a multi-item report, containing the following fields per item: LL Item Number; Originating Org; LL Title; LL Description; Source; LL Category; LL Item Status; LL Item Status Date; Keywords	Required	High

## Attributes List

Entity	Attribute	Default Value	Length	Possible Values	Required	Value Domain
<b>LL Item</b>						
The fields shown here are the ones that need to be displayed or will be updated in this case; when a user selects on a specific LL Item, the LL Item Property (Input Screen) will present all fields.						
	LL Item Number	Null	25	Will have the following format: YYYYMMDD-AAAA-NNNN, where YYYY=year, MM=2 digit month, DD=day, AAAA=originating office acronym, NNNN=computer generated sequential number. Example: 20120101-RES-0001. The year/month/day is the date the LL item entered the system.	YES	String
	LL Item Title	Null	100		YES	String
	Originating Organization	Null	6	This will be a drop-down list. Only 1 value is to be populated upon selection. Values are: ADM; CSO; FSME; HR; NMSS; NRO; NRR; NSIR; OE; OI; OIG; OIS; RES; RI; RII; RIII; RIV; SBCR	YES	String
	LL Item Priority	Null	8	High, Medium, Low. Priority values: High would be for those items that definitely require LLOB review. Medium would be for those items that LLOB membs should look at. Low would be for those items the LLPM deems not for consideration; however, any LLOB member is welcomed to review those items, as well. The priority can only be added when an LL Item Status = Potential LL Item.	NO	String
	Comments / Recommendations	Null	255		NO	String
	Comments Date	Null	datetime		NO	Date/Time
	LL Category	Null	50	Construction; Emergency Preparedness; Human Performance or Conduct; Fuel Facilities; Human Resources or Employment Law; Information Technology and Systems; Management; Medical; Nuclear Materials; Nuclear Reactor; Radiation Exposure or Contamination; Radioactive Waste; Radiography; Safety; Security; Training or Qualifications; Transportation	YES	String

## Attributes List

Entity	Attribute	Default Value	Length	Possible Values	Required	Value Domain
<b>LL Item</b>						
	LL Item Status	Open	20	Open=Item initially entered, no disposition established; Not Valid=Item is rejected, does not make initial cut; Valid=Made the initial cut; Potential LL Item=item looks like it meets the threshold;; Accepted=Item meets threshold, accepted into the LL Program; Screened Out=LLOB determine Item does not meet threshold criteria; Recommended=Office is recommended to be the lead office; Assigned=Lead Office is officially identified and tasked; CAP Reviewed=CAP development is completed; CAP Approved=CAP approved by the LLOB; CAP in Implementation=CAP in process; CAP Closed=CAP work is reviewed and approved by the LLOB; ER Scheduled=effectiveness review scheduled	YES	String
	LL Item Status Date	"Today's" Date	datetime	Date format: MM/DD/YYYY; Time format: HH:MM AM/PM	YES	Date/Time
<b>Entity/Field Requirements</b>						
LLItem-Comm-01		There may be one or more comments associated with an LL Item. Each comment is to be tracked and date-stamped separately.			Required	High
Comm-Date-01		A "calendar-and-date" function button will be placed next to the field. This function opens a calendar and allows the user to select the needed date.			Required	Medium
LLStatDate-02		A "calendar-and-date" function button will be placed next to the field. This function opens a calendar and allows the user to select the needed date.			Required	Medium

**Lessons Learned Process Tool**  
**Use Case 3.0, Manage LLOB Meeting Results**

Establish LLOB Meeting		This Use Case establishes the meeting date for a LLOB Meeting. This meeting date is applied to each LL Item that will be discussed at that meeting.		
Actors				
LLPM		Directly enters possible lessons learned items. Has overall coordination and control of the LL database. Monitors the identification and entry of possible LL items by other users through the lessons-learned tool. He/she will then review those items to see if they are potential candidates and then convene a meeting with the LLOB to review the potentials for being actual LL items that go forward to resolution.  The LLPM shall have the ability to enter a Lessons Learned Item. The LLPM also has full edit capability to any Lessons Learned Item.		
Key Entities (See also Use Case 3.0 Attributes List)				
	LL Item			
Tools		Definition		
P8 Case Mgmt		FileNet P8 Case Management and workflow module		
Use Case	Use Case/Step Name	Description		
Use Case Pre-Condition:		Use Case Pre-Condition: LL Items that have LL Item Status = Potential lessons Learned or LL Item Status = CAP Review or LL Item Status = CAP Completed and a Priority value (High, Medium, Low) are available for further processing.		
General				
Overview-01		The Lessons-Learned process tool will rely on ADAMS to store and catalog all documents comprising the lessons-learned body of knowledge. This will mitigate the copy or storage of any official agency records in another repository.	Required	High
Overview-02		The Lessons-Learned process tool will have a web interface that will reside on the NRC network, accessible from the NRC web site and operate within the established security protocols of the NRC IT infrastructure.	Required	High
Use Case Steps				
Use Case	Use Case/Step Name	Description		
3.1	Select Potential LL Items for Meeting	The LLPM selects those potential LL items that he/she feels are appropriate to the meeting, given time constraints and other considerations. These are recommended items for the LLOB to review. However, the LLOB needs to always have on hand the full list of potential LL Items for any meeting. This is because the LLOB members may have additional informatoin or perspectbive on an item not recommended by the LLPM. The LLOB members may introduce an item for consideration, as well.  1. The LLPM double clicks on the Agency Lessons Learned Tracking System icon. 2. ALLTS opens, showing various tabs 3. The LLPM selects the "LLOB Review" tab. 4. The screen displays the following columns: Originating Organization, LL Item Number, LL Item Title,LL Item Priority, LL Item Status, LL Item Status Date, Source, Contact Name. 5. The LLPM selects and opens an item. In the LL Meeting Date field, the LLPM inputs the date of the next LLOB Meeting. At this time, the LLPM may choose to change the value in the Priority field. The LLPM clicks on the Save button to update the LL item. 6. The LLPM performs Step 5 until all intended lesson learned items (Potential, CAP Review, CAP Completed) for a particular meeting are selected.		
3.2	Create Meeting	The LLPM designates a meeting number and date to organize LL Items for review. The meeting agenda may also include any CAPs for review and approval. The meeting agenda may also include any CAP closeout for review and approval. == DEFERRED ==		
3.3	Send Out Meeting Noffication	The LLPM sends out a meeting notification to the LLOB members. 1. LLPM creates an meeting notification in Outlook. 2. The LLPM types in the meeting agenda. 3. The LLPM places the link to ALLTS in the body of the meeting notification and directs the LLOB members to look at the LLOB Review tab.		

# Lessons Learned Process Tool

## Use Case 3.0, Manage LLOB Meeting Results

<b>Use Case Post-Condition:</b>	The LLPM has successfully entered a meeting date for each appropriate LL Item that has a status of Potential, CAP Review, or CAP Completed. Any Priority changes were successfully updated. The ALLTS link in an Outlook meeting notification directs the recipient of the meeting notification to ALLTS, whereupon he/she can view the pertinent information.
<b>Additional Considerations</b>	
<i>None</i>	



## Attributes List

Entity	Attribute	Default Value	Length	Possible Values	Required	Value Domain
<b>LL Item</b>						
The fields shown here are the ones that need to be displayed or will be updated in this case; when a user selects on a specific LL Item, the LL Item Property (Input Screen) will present all fields.						
	LL Item Number	Null	25	Will have the following format: YYYYMMDD-AAAA-NNNN, where YYYY=year, MM=2 digit month, DD=day, AAAA=originating office acronym, NNNN=computer generated sequential number. Example: 20120101-RES-0001. The year/month/day is the date the LL item entered the system.	YES	String
	LL Item Title	Null	100		YES	String
	Originating Organization	Null	6	This will be a drop-down list. Only 1 value is to be populated upon selection. Values are: ADM; CSO; FSME; HR; NMSS; NRO; NRR; NSIR; OE; OI; OIG; OIS; RES; RI; RII; RIII; RIV; SBCR	YES	String
	LL Item Priority	Null	8	High, Medium, Low. Priority values: High would be for those items that definitely require LLOB review. Medium would be for those items that LLOB membs should look at. Low would be for those items the LLPMM deems not for consideration; however, any LLOB member is welcomed to review those items, as well. The priority can only be added when an LL Item Status = Potential LL Item.	NO	String
	LL Item Status	Open	20	Open=Item initially entered, no disposition established; Not Valid=Item is rejected, does not make initial cut; Valid=Made the initial cut; Potential LL Item=item looks like it meets the threshold;; Accepted=Item meets threshold, accepted into the LL Program; Screened Out=LLOB determine Item does not meet threshold criteria; Recommended=Office is recommended to be the lead office; Assigned=Lead Office is officially identified and tasked; CAP Reviewed=CAP development is completed; CAP Approved=CAP approved by the LLOB; CAP in Implementation=CAP in process; CAP Closed=CAP work is reviewed and approved by the LLOB; ER Scheduled=effectiveness review scheduled	YES	String
	LL Item Status Date	"Today's" Date	datetime	Date format: MM/DD/YYYY; Time format: HH:MM AM/PM	YES	Date/Time
	LL Meeting Date	"Today's" Date	datetime	Date format: MM/DD/YYYY; Time format: HH:MM AM/PM	datetime	Date/Time
<b>Entity/Field Requirements</b>						
	LLItem-Comm-01	There may be one or more comments associated with an LL Item. Each comment is to be tracked and date-stamped separately.			Required	High

## Use Case 3.0 Establish LLOB Meeting

## Attributes List

Entity	Attribute	Default Value	Length	Possible Values	Required	Value Domain
LL Item						
	LLStatDate-02			A "calendar-and-date" function button will be placed next to the field. This function opens a calendar and allows the user to select the needed date.	Optional	Medium
	LLMeetDate-01			A "calendar-and-date" function button will be placed next to the field. This function opens a calendar and allows the user to select the needed date.	Optional	Medium

## Use Case 4.0, Conduct LLOB Review Meeting

Conduct LLOB Review Meeting		This Use Case manages the information on what items were discussed at a LLOB Meeting and the results of whether or not a Lessons Learned Item was approved to be brought into the Lessons Learned Program.	
Actors			
LLPM		Directly enters possible lessons learned items. Has overall coordination and control of the LL database. Monitors the identification and entry of possible LL items by other users through the lessons-learned tool. He/she will then review those items to see if they are potential candidates and then convene a meeting with the LLOB to review the potentials for being actual LL items that go forward to resolution.  The LLPM shall have the ability to enter a Lessons Learned Item. The LLPM also has full edit capability to any Lessons Learned Item.	
Key Entities (See also Use Case 4.0 Attributes List)			
	LL Item		
Tools		Definition	
P8 Case Mgmt		FileNet P8 Case Management and workflow module	
Use Case	Use Case/Step Name	Description	
Use Case Pre-Condition:		An Outlook-based meeting notificaiton has been sent to the LLOB members containing the link to the ALLTS. The LLOB members presumably have reviewed some or all of the items that were designated for review by the LLPM.	
General			
Overview-01		The Lessons-Learned process tool will rely on ADAMS to store and catalog all documents comprising the lessons-learned body of knowledge. This will mitigate the copy or storage of any official agency records in another repository.	Required High
Overview-02		The Lessons-Learned process tool will have a web interface that will reside on the NRC network, accessible from the NRC web site and operate within the established security protocols of the NRC IT infrastructure.	Required High
Use Case Steps			
Use Case	Use Case/Step Name	Description	
4.1	Conduct Meeting	The LLOB Meeting is conducted under the auspices of the LLOB Chairman, based on information received from the LLPM. As needed, presentations on particular potentiall LL items are made by the originating Office staffs to provide further insight or clarification. = = NO SYSTEM PROCESSING = =	
4.2	Check to see if Item meets the LL program threshold	The LLOB decides if a potential LL Item meets the threshold or not. = = NO SYSTEM PROCESSING = =	
4.3	Screen Out the Item	If the potential LL Item does NOT meet the threshold, then the LL Item status is set to "Screened Out". = = NO SYSTEM PROCESSING = =	
4.4	Recommend Lead Office	If the potential LL Item does meet the threshold criteria, then it is accepted into the program. The LL Item status is set to "Accepted". The LLOB then RECOMMENDS a lead office.. = = NO SYSTEM PROCESSING = =	
4.5	Resolve Meeting Results	<p>The LLPM is tasked with resolving the results of the meeting.</p> <ol style="list-style-type: none"><li>1. The LLPM double clicks on the Agency Lessons Learned Tracking System icon.</li><li>2. ALLTS opens, showing various tabs</li><li>3. The LLPM selects the "LLOB Review" tab.</li><li>4. The screen displays the following columns: Originating Organization, LL Item Number, LL Item Title, Source, Contact Name, LL Item Priority, LL Meeting Date, LL Item Status, LL Item Status Date.</li><li>5. The LLPM selects and opens an item (the LL Item Input property screen is presented).</li><li>6. In the LL Item Status, the LLPM either selects "Accepted" (LL Item is now in the LL Program) or "Screened Out".</li><li>7. The LLPM then inputs the date of the status change in the LL Status Date field (default is "today's date") inputs the date of the next LLOB Meeting.</li><li>8. If an Item is "Screened Out", the LLPM will use the Comment/Recommendation field to provide an explanation.</li><li>9. The LLPM then enters the Comments Date field (default is "today's date").</li><li>10. For those LL items that were "Accepted", the LLPM selects the Recommended Lead Office (drop-down selection field).</li><li>11. The LLPM clicks on the Save button to update the LL item.</li><li>12. The LLPM performs Steps 5-11 until all appropriate lesson learned items that were reviewed during the meeting have been updated.</li></ol> <p>Note: There will be items that were not addressed during the meeting. These will continue to hold their priority and status values until the LLPM considers them for the next LLOB meeting</p>	

Orig: 03/27/2012

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# Lessons Learned Process Tool

## Use Case 4.0, Conduct LLOB Review Meeting

4.5-01	Some items that were "scheduled" for the LLOB meeting may not be discussed. The LLPM will then change the LL Meeting Date for those items for the next meeting. The LLPM may enter a comment into the Comment/Recommendation field; if that happens, the Comments Date field shall also be populated	Conditional	Medium
Use Case Post-Condition:	The LLPM has successfully updated the status, status date, comments, and comments date of each item that was discussed in the LLOB meeting. For those items that were "accepted", a recommended lead office is selected. for those items not considered in a particular meeting, their status (prior to the meeting) and priority value will remain unchanged.		
Additional Considerations			
None			

Entity	Attribute	Default Value	Length	Possible Values	Required	Value Domain
<b>LL Item</b>						
The fields shown here are the ones that need to be displayed or will be updated in this case; when a user selects on a specific LL Item, the LL Item Property (Input Screen) will present all fields.						
	LL Item Number	Null	25	Will have the following format: YYYYMMDD-AAAA-NNNN, where YYYY=year, MM=2 digit month, DD=day, AAAA=originating office acronym, NNNN=computer generated sequential number. Example: 20120101-RES-0001. The year/month/day is the date the LL item entered the system.	YES	String
	LL Item Title	Null	100		YES	String
	Originating Organization	Null	6	This will be a drop-down list. Only 1 value is to be populated upon selection. Values are: ADM; CSO; FSME; HR; NMSS; NRO; NRR; NSIR; OE; OI; OIG; OIS; RES; RI; RII; RIII; RIV; SBCR	YES	String
	LL Item Priority	Null	8	High, Medium, Low. Priority values: High would be for those items that definitely require LLOB review. Medium would be for those items that LLOB membrs should look at. Low would be for those items the LLPM deems not for consideration; however, any LLOB member is welcomed to review those items, as well. The priority can only be added when an LL Item Status = Potential LL Item.	NO	String
	LL Item Status	Open	20	Open=Item initially entered, no disposition established; Not Valid=Item is rejected, does not make initial cut; Valid=Made the initial cut; Potential LL Item=item looks like it meets the threshold;; Accepted=Item meets threshold, accepted into the LL Program; Screened Out=LLOB determine Item does not meet threshold criteria; Recommended=Office is recommended to be the lead office; Assigned=Lead Office is officially identified and tasked; CAP Reviewed=CAP development is completed; CAP Approved=CAP approved by the LLOB; CAP in Implementation=CAP in process; CAP Closed=CAP work is reviewed and approved by the LLOB; ER Scheduled=effectiveness review scheduled	YES	String
	LL Item Status Date	"Today's" Date	datetime	Date format: MM/DD/YYYY; Time format: HH:MM AM/PM	YES	Date/Time
	LL Meeting Date	"Today's" Date	datetime	Date format: MM/DD/YYYY; Time format: HH:MM AM/PM	NO	Date/Time
	Comments / Recommendations	Null	255		NO	String
	Comments Date	Null	datetime		NO	Date/Time

## Attributes List

Entity	Attribute	Default Value	Length	Possible Values	Required	Value Domain
<b>LL Item</b>						
	Recommended Lead Office	Null	6	This will be a drop-down list. Only 1 value is to be populated upon selection. Values are: ADM; CSO; FSME; HR; NMSS; NRO; NRR; NSIR; OE; OI; OIG; OIS; RES; RI; RII; RIII; RIV; SBCR	NO	Date/Time
<i>Entity/Field Requirements</i>						
	LLItem-Comm-01	There may be one or more comments associated with an LL Item. Each comment is to be tracked and date-stamped separately.			Required	High
	Comm-Date-01	A "calendar-and-date" function button will be placed next to the field. This function opens a calendar and allows the user to select the needed date.			Optional	Medium
	LLStatDate-02	A "calendar-and-date" function button will be placed next to the field. This function opens a calendar and allows the user to select the needed date.			Optional	Medium
	LLMeetDate-01	A "calendar-and-date" function button will be placed next to the field. This function opens a calendar and allows the user to select the needed date.			Optional	Medium

**Lessons Learned Process Tool**  
**Use Case 5.0, Establish Lead Office**

<b>Establish Lead Office</b>		This Use Case formalizes the Lead Office that is assigned to resolve the Lessons Learned Item.	
<b>Actors</b>			
<b>LLPM</b>		<p>Directly enters possible lessons learned items. Has overall coordination and control of the LL database. Monitors the identification and entry of possible LL items by other users through the lessons-learned tool. He/she will then review those items to see if they are potential candidates and then convene a meeting with the LLOB to review the potentials for being actual LL items that go forward to resolution.</p> <p>The LLPM shall have the ability to enter a Lessons Learned Item. The LLPM also has full edit capability to any Lessons Learned Item.</p>	
<b>Key Entities (See also Use Case 5.0 Attributes List)</b>			
		<b>Document</b> <b>LL Item</b> <b>LL Item Folder</b>	
<b>Tools</b>		<b>Definition</b>	
<b>P8 Case Mgmt</b>		FileNet P8 Case Management and workflow module	
<b>Use Case</b>	<b>Use Case/Step Name</b>	<b>Description</b>	
<b>Use Case Pre-Condition:</b>		The LLOB Chair contacts the EDO with the information of a LL Item being accepted into the LL Program and with the Recommended Lead Office. The EDO and the recommended lead office undergo negotiations on whether or not they are have responsibility for the LL Item. If the EDO and recommended lead office agree, then that office is designated the Lead Office. If not, then the EDO contacts the LLOB Chairman to determine the more appropriate Office to be lead. This manual process continues until a Lead Office is designated.	
<b>General</b>			
	Overview-01	The Lessons-Learned process tool will rely on ADAMS to store and catalog all documents comprising the lessons-learned body of knowledge. This will mitigate the copy or storage of any official agency records in another repository.	Required High
	Overview-02	The Lessons-Learned process tool will have a web interface that will reside on the NRC network, accessible from the NRC web site and operate within the established security protocols of the NRC IT infrastructure.	Required High
<b>Use Case Steps</b>			
<b>Use Case</b>	<b>Use Case/Step Name</b>	<b>Description</b>	
5.1	<b>Designate Lead Office</b>	EDO designates a Lead Office. = = NO SYSTEM PROCESSING = =	
5.2	<b>Task Lead Office with LL Item</b>	<p>A memo is written from the EDO to the designated Lead Office, formally assigning the LL Item to them for action. The LLPM moves to update the specific LL Item with this information.</p> <ol style="list-style-type: none"> <li>1. The LLPM double clicks on the Agency Lessons Learned Tracking System icon.</li> <li>2. ALLTS opens, showing various tabs</li> <li>3. The LLPM selects the "Accepted" tab.</li> <li>4. The screen displays the following columns: Originating Organization, LL Item Number, LL Item Title, Source, Contact Name, LL Item Status, LL Item Status Date.</li> <li>5. The LLPM selects and opens the "Accepted" item (the LL Item Input property screen is presented).</li> <li>6. In the LL Item Status, the LLPM either selects "Accepted" (LL Item is now in the LL Program) or "Screened Out".</li> <li>7. The LLPM selects (from a drop-down list) the designated office in the Assigned Lead Office field. The LLPM may then type in the Lead Office Contact Name and that contact's email and phone number.</li> <li>8. The LLPM changes the LL Item Status to "Assigned". The LL Status Date field is updated with the date the status was changed (default = "today's date").</li> <li>9. The LLPM will then browse ADAMS for the memo that tasked the Lead Office.</li> <li>10. Upon finding the memo, the LLPM will include the memo in the LL Item Folder. The LL Document Category will be set to "Reference". The ML # field is automatically populated.</li> <li>11. The LLPM clicks on the Save button to update the LL item.</li> </ol>	

Lessons Learned Process Tool  
Use Case 5.0, Establish Lead Office

<b>Use Case Post-Condition:</b>	The LLPM has successfully entered the Lead Office, Lead Office contact (Name, phone number, email). The LLPM has also browsed and "attached" the memorandum from the EDO that designated the Lead Office in the LL Item Folder. The memorandum appears (ML# is automatically populated) in the LL Item Folder with LL Document Category = Reference.
<b>Additional Considerations</b>	<i>None</i>



Use Case 5.0, Establish Lead Office  
Attributes List

Entity	Attribute	Default Value	Length	Possible Values	Required	Value Domain
Document						
	Document Number	Null	20		YES	String
	Document Title	Null	500		YES	String
	ML Number	Null	20	MLNNNNNNNNNN	YES	String
	Document Access Rights	Null		Browse (metadata can be viewed, but not the content); Restricted; View (content can be viewed).	YES	String
	Entity/Field Requirements					
	Doc-01	The system should check to ensure the the document has NRCUser-Viewer rights.			Required	High
LL Item						
The fields shown here are the ones that need to be displayed or will be updated in this case; when a user selects on a specific LL Item, the LL Item Property (Input Screen) will present all fields.						
	LL Item Number	Null	25	Will have the following format: YYYYMMDD-AAAA-NNNN, where YYYY=year, MM=2 digit month, DD=day, AAAA=originating office acronym, NNNN=computer generated sequential number. Example: 20120101-RES-0001. The year/month/day is the date the LL item entered the system.	YES	String
	LL Item Title	Null	100		YES	String
	Originating Organization	Null	6	This will be a drop-down list. Only 1 value is to be populated upon selection. Values are: ADM; CSO; FSME; HR; NMSS; NRO; NRR; NSIR; OE; OI; OIG; OIS; RES; RI; RII; RIII; RIV; SBCR	YES	String
	LL Item Status	Open	20	Open=Item initially entered, no disposition established; Not Valid=Item is rejected, does not make initial cut; Valid=Made the initial cut; Potential LL Item=item looks like it meets the threshold;; Accepted=Item meets threshold, accepted into the LL Program; Screened Out=LLOB determine Item does not meet threshold criteria; Recommended=Office is recommended to be the lead office; Assigned=Lead Office is officially identified and tasked; CAP Reviewed=CAP development is completed; CAP Approved=CAP approved by the LLOB; CAP in Implementation=CAP in process; CAP Closed=CAP work is reviewed and approved by the LLOB; ER Scheduled=effectiveness review scheduled	YES	String
	LL Item Status Date	"Today's" Date	datetime	Date format: MM/DD/YYYY; Time format: HH:MM AM/PM	YES	Date/Time
	Comments / Recommendations	Null	255		NO	String
	Comments Date	Null	datetime		NO	Date/Time

## Attributes List

Entity	Attribute	Default Value	Length	Possible Values	Required	Value Domain
Document						
	Document Number	Null	20		YES	String
	Document Title	Null	500		YES	String
	ML Number	Null	20	MLNNNNNNNNNN	YES	String
	Document Access Rights	Null		Browse (metadata can be viewed, but not the content); Restricted; View (content can be viewed).	YES	String
	Entity/Field Requirements					
	Doc-01	The system should check to ensure the the document has NRCUser-Viewer rights.			Required	High
LL Item						
	Assigned Lead Office	Null	6	This will be a drop-down list. Only 1 value is to be populated upon selection. Values are: ADM; CSO; FSME; HR; NMSS; NRO; NRR; NSIR; OE; OI; OIG; OIS; RES; RI; RII; RIII; RIV; SBCR	NO	String
	Lead Office Contact Name	Null	50		NO	String
	Lead Office Contact Email	Null	50	May be auto-populated from Active Directory/LDAP	NO	String
	Lead Office Contact Phone	Null	6	000-000-0000	NO	String
Entity/Field Requirements						
LLItem-Comm-01		There may be one or more comments associated with an LL Item. Each comment is to be tracked and date-stamped separately.			Required	High
Comm-Date-01		A "calendar-and-date" function button will be placed next to the field. This function opens a calendar and allows the user to select the needed date.			Optional	Medium
LL Item Document Folder (Per document in folder)						
	Document Number	Null	20		YES	String
	Document Title	Null	500		YES	String
	ML Number	Null	20	MLNNNNNNNNNN	YES	String
	Document Access Rights	Null		Browse (metadata can be viewed, but not the content); Restricted; View (content can be viewed).	YES	String
	LL Document Category	Null	10	Source, Reference, Policy, Procedure, WIP	YES	String
	Primary Source Document?	No	2	Yes/No		Boolean
Entity/Field Requirements						
LL Item-Primary Source Flag field-01		This flag needs to be set to "Yes" in the case where there are multiple source documents, to indicate which document is the primary document that is the basis fo rthe Lessons Learned item. (Conditional: if there are multiple Source Documents, return an error if a "Yes" does not appear against one of those source documents)			Condition al	High

**Lessons Learned Process Tool**  
**Use Case 6.0, Manage the CAP**

Manage the CAP		This Use Case is to describe those steps and functions that need to take place to manage the Corrective Action Plan (CAP) phase of the lessons learned process.		
Actors				
LLPM		Directly enters possible lessons learned items. Has overall coordination and control of the LL database. Monitors the identification and entry of possible LL items by other users through the lessons-learned tool. He/she will then review those items to see if they are potential candidates and then convene a meeting with the LLOB to review the potentials for being actual LL items that go forward to resolution.  The LLPM shall have the ability to enter a Lessons Learned Item. The LLPM also has full edit capability to any Lessons Learned Item.		
Key Entities (See also Use Case 5.0 Attributes List)				
	Document			
	LL Item			
	LL Item Folder			
Tools		Definition		
P8 Case Mgmt		FileNet P8 Case Management and workflow module		
Use Case	Use Case/Step Name	Description		
Use Case Pre-Condition:		The Lead Office has been assigned. A memorandum from the EDO tasks the Lead Office. It establishes the scope, the date assigned, and the due date		
General				
Overview-01		The Lessons-Learned process tool will rely on ADAMS to store and catalog all documents comprising the lessons-learned body of knowledge. This will mitigate the copy or storage of any official agency records in another repository.	Required	High
Overview-02		The Lessons-Learned process tool will have a web interface that will reside on the NRC network, accessible from the NRC web site and operate within the established security protocols of the NRC IT infrastructure.	Required	High
Use Case Steps				
Use Case	Use Case/Step Name	CA		
6.1	Develop CAP	The Lead Office is now in the process of developing a Corrective Action Plan (CAP) to resolve any issues with the LL Item. This CAP is prepared according to the Lead Office's internal procedures.  From the memorandum that was written that designated the Lead Office, the LLPM moves to update the specific LL Item with this information.  1. The LLPM double clicks on the Agency Lessons Learned Tracking System icon. 2. ALLTS opens, showing various tabs 3. The LLPM selects the "Assigned" tab. 4. The screen displays the following columns: LL Item Number, LL Item Title, Assigned Lead Office, Lead Office Contact Name, LL Item Status, LL Item Status Date, CAP Title, CAP Assigned Date, CAP Due Date. 5. The LLPM selects and opens the "Assigned" item (the LL Item Input property screen is presented). 6. The LLPM enters the CAP Title, CAP Assigned Date, CAP Due Date. 7. The LLPM may also enter comments into the Comment/Recommendation field. If that occurs, the Comments Date field is populated (default = "today's date"). 8. The LLPM clicks on the Save button to update the LL item.		

Lessons Learned Process Tool  
Use Case 6.0, Manage the CAP

6.2	<b>Submit CAP for Review</b>	<p>Upon completion by the Lead Office, the Lead Office [should] enters the CAP into ADAMS and notifies the LLPM (by whatever means) that the CAP is now available for review. The LLPM does the following:</p> <ol style="list-style-type: none"> <li>1. The LLPM double clicks on the Agency Lessons Learned Tracking System icon.</li> <li>2. ALLTS opens, showing various tabs</li> <li>3. The LLPM selects the "Assigned" tab.</li> <li>4. The screen displays the following columns: LL Item Number, LL Item Title, Assigned Lead Office, Lead Office Contact Name, LL Item Status, LL Item Status Date, CAP Title, CAP Assigned Date, CAP Due Date.</li> <li>5. The LLPM selects and opens the "Assigned" item (the LL Item Input property screen is presented).</li> <li>6. The LLPM changes the LL Item Status to "CAP Review". The LL Item Status Date is updated (default = "today's date").</li> <li>7. The LLPM may also enter comments into the Comment/Recommendation field. If that occurs, the Comments Date field is populated (default = "today's date").</li> <li>8. The LLPM clicks on the Save button to update the LL item.</li> </ol>		
6.2-01		The completed CAP, to be reviewed at a LLOB meeting, needs to be tied back up in the "LLOB Review" tab. Therefore, for LL Status = CAP Review, the LL Item needs to appear in the LLOB Review tab. That way, this Item can be seen alongside the other items, and the appropriate Meeting Date can be assigned.	Required	High
6.3	<b>Does the LLOB Approve the CAP?</b>	<p>The LLOB either approves or rejects the CAP. If approved, the CAP moves to the implementation step. If not, the CAP is routed back to "Develop CAP" for further work.</p> <p>When the LLOB meeting is over, the LLPM moves to update the status of the CAP Item:</p> <ol style="list-style-type: none"> <li>1. The LLPM double clicks on the Agency Lessons Learned Tracking System icon.</li> <li>2. ALLTS opens, showing various tabs</li> <li>3. The LLPM selects the "LLOB Review" tab.</li> <li>4. The screen displays the following columns: Originating Organization, LL Item Number, LL Item Title, LL Item Priority, LL Item Status, LL Item Status Date, Source, Contact Name.</li> <li>5. The LLPM selects and opens the CAP item (the LL Item Input property screen is presented).</li> <li>6. If the CAP Item was rejected by the LLOB, the LLPM changes the LL Item Status to "CAP Review". The LL Item Status Date is updated (default = "today's date").</li> <li>7. If the CAP Item was approved by the LLOB, the LLPM changes the LL Item Status to "CAP Approved". The LL Item Status Date is updated (default = "today's date"). The CAP Approved date field is also populated (default = "today's date").</li> <li>8. In either case, the LLPM may also enter comments into the Comment/Recommendation field. If that occurs, the Comments Date field is populated (default = "today's date").</li> <li>9. The system moves the Item to the appropriate tab, based on the approve or reject.</li> </ol>		
6.3-01		The CAP Approved date will also serve as the CAP completion date.	Conditional	Low
6.4	<b>Implement the CAP</b>	<p>Upon approval of the CAP, the Lead Office now undertakes to execute on the defined activities and tasks, with appropriate deliverables produced. Key deliverables may be included as part of the LL Item Folder.</p> <p>The LLPM does the following:</p> <ol style="list-style-type: none"> <li>1. The LLPM double clicks on the Agency Lessons Learned Tracking System icon.</li> <li>2. ALLTS opens, showing various tabs</li> <li>3. The LLPM selects the "CAP Implement" tab.</li> <li>4. The screen displays the following columns: LL Item Number, LL Item Title, Assigned Lead Office, Lead Office Contact Name, LL Item Status, LL Item Status Date, CAP Title, CAP Assigned Date, CAP Approved Date.</li> <li>5. The LLPM selects and opens the "CAP Approved" item (the LL Item Input property screen is presented).</li> <li>6. The LLPM changes the LL Item Status to "CAP Approved". The LL Item Status Date is updated (default = "today's date").</li> <li>7. The LLPM will enter the CAP Implementation Due Date.</li> <li>8. The LLPM may also enter comments into the Comment/Recommendation field. If that occurs, the Comments Date field is populated (default = "today's date").</li> <li>9. The LLPM clicks on the Save button to update the LL item.</li> <li>10. The system moves the Item to the "CAP Implement" tab.</li> </ol>		
6.4-01		The LLPM may choose to allow the Lead Office to directly assign document deliverables into the LL Item Folder - OR - the LLPM may choose to receive notifications that key deliverables are now in ADAMS, and then "associate" those documents into the LL Item Folder. In either case, the LL Document Category value assigned is "WIP".	Conditional	Low

**Lessons Learned Process Tool**  
**Use Case 6.0, Manage the CAP**

6.5	Does the LLOB approve the CAP Closeout?	<p>The LLOB approves or rejects the CAP implementation completion, upon reviewing key artifacts. If the CAP closeout is approved, the LLOB moves to schedule an effectiveness review (e.g., 6 months - 1 year). If rejected, the Lead Office is asked to resolve the issues and re-submit the CAP closeout. The actual closeout date (CAP Closed Date) is recorded if the LLOB approves.</p> <p>When the CAP work is completed, the Lead Office notifies the LLPM of the completion.</p> <ol style="list-style-type: none"><li>1. The LLPM double clicks on the Agency Lessons Learned Tracking System icon.</li><li>2. ALLTS opens, showing various tabs</li><li>3. The LLPM selects the "CAP Implement" tab.</li><li>4. The screen displays the following columns: LL Item Number, LL Item Title, LL Item Status, LL Item Status Date, Assigned Lead Office, Lead Office Contact Name, CAP Implementation Due Date, CAP Completion Date.</li><li>5. The LLPM selects and opens the CAP item (the LL Item Input property screen is presented).</li><li>6. The LLPM enters the CAP Completion Date (default = "today's date").</li><li>7. The LLPM may also enter comments into the Comment/Recommendation field. If that occurs, the Comments Date field is populated (default = "today's date").</li><li>8. The LLPM clicks on the Save button to update the LL item.</li></ol> <p>Upon the completion of the LLOB meeting, the LLPM does the following:</p> <ol style="list-style-type: none"><li>1. The LLPM double clicks on the Agency Lessons Learned Tracking System icon.</li><li>2. ALLTS opens, showing various tabs</li><li>3. The LLPM selects the "LLOB Review" tab.</li><li>4. The screen displays the following columns: The screen displays the following columns: Originating Organization, LL Item Number, LL Item Title, LL Item Priority, LL Item Status, LL Item Status Date, Source, Contact Name.</li><li>5. The LLPM selects and opens the "CAP Completed" item (the LL Item Input property screen is presented).</li><li>6. If the CAP Item was rejected by the LLOB, the LLPM keeps the LL Item Status to "CAP Implement". The LL Item Status Date is updated (default = "today's date").</li><li>7. If the CAP Item was approved by the LLOB, the LLPM changes the LL Item Status to "CAP Closed". The LL Item Status Date is updated (default = "today's date"). The CAP Closed Date field is also populated (default = "today's date").</li><li>8. The LLPM may also enter comments into the Comment/Recommendation field. If that occurs, the Comments Date field is populated (default = "today's date").</li><li>9. The LLPM clicks on the Save button to update the LL item.</li></ol>		
6.5-01		The completion of the implemented CAP, to be reviewed at a LLOB meeting, needs to be feed back up in the "LLOB Review" tab. Therefore, for LL Status = CAP Completed, the LL Item needs to appear in the LLOB Review tab. That way, this Item can be seen alongside the other items, and the appropriate Meeting Date can be assigned	Required	High
6.6	Schedule Effectiveness Review	<p>The LLPM does the following:</p> <ol style="list-style-type: none"><li>1. The LLPM double clicks on the Agency Lessons Learned Tracking System icon.</li><li>2. ALLTS opens, showing various tabs</li><li>3. The LLPM selects the "CAP Closeout" tab.</li><li>4. The screen displays the following columns: LL Item Number, LL Item Title, Assigned Lead Office, Lead Office Contact Name, LL Item Status, LL Item Status Date, CAP Title, CAP Closed Date, CAP Approved Date, ER Due Date.</li><li>5. The LLPM selects and opens the "CAP Closeout" item (the LL Item Input property screen is presented).</li><li>6. The LLPM changes the LL Item Status to "ER Schedule". The LL Item Status Date is updated (default = "today's date").</li><li>7. The LLPM will enter the ER Due Date.</li><li>8. The LLPM may also enter comments into the Comment/Recommendation field. If that occurs, the Comments Date field is populated (default = "today's date").</li><li>9. The LLPM clicks on the Save button to update the LL item.</li><li>10. The system moves the Item to the "Effectiveness Review" tab.</li></ol>		
Use Case Post-Condition:		The activities and deliverables that are in the CAP have been executed successfully and the CAP is declared closed. All CAP dates are populated and the LL Status and Comment/Recommendations fields show a history of the progress. An Effectiveness Review date has been established and entered into the system.		
Additional Considerations		None		

Use Case 6.0, Manage the CAP  
Attributes List

Entity	Attribute	Default Value	Length	Possible Values	Required	Value Domain
Document						
	Document Number	Null	20		YES	String
	Document Title	Null	500		YES	String
	ML Number	Null	20	MLNNNNNNNNNN	YES	String
	Document Access Rights	Null		Browse (metadata can be viewed, but not the content); Restricted; View (content can be viewed).	YES	String
	Entity/Field Requirements					
	Doc-01	The system should check to ensure the the document has NRCUser-Viewer rights.			Required	High
LL Item						
The fields shown here are the ones that need to be displayed or will be updated in this case; when a user selects on a specific LL Item, the LL Item Property (Input Screen) will present all fields.						
	LL Item Number	Null	25	Will have the following format: YYYYMMDD-AAAA-NNNN, where YYYY=year, MM=2 digit month, DD=day, AAAA=originating office acronym, NNNN=computer generated sequential number. Example: 20120101-RES-0001. The year/month/day is the date the LL item entered the system.	YES	String
	LL Item Title	Null	100		YES	String
	Originating Organization	Null	6	This will be a drop-down list. Only 1 value is to be populated upon selection. Values are: ADM; CSO; FSME; HR; NMSS; NRO; NRR; NSIR; OE; OI; OIG; OIS; RES; RI; RII; RIII; RIV; SBCR	YES	String
	LL Item Status	Open	20	Open=Item initially entered, no disposition established; Not Valid=Item is rejected, does not make initial cut; Valid=Made the initial cut; Potential LL Item=item looks like it meets the threshold;; Accepted=Item meets threshold, accepted into the LL Program; Screened Out=LLOB determine Item does not meet threshold criteria; Recommended=Office is recommended to be the lead office; Assigned=Lead Office is officially identified and tasked; CAP Reviewed=CAP development is completed; CAP Approved=CAP approved by the LLOB; CAP in Implementation=CAP in process; CAP Closed=CAP work is reviewed and approved by the LLOB; ER Scheduled=effectiveness review scheduled	YES	String
	LL Item Status Date	"Today's" Date	datetime	Date format: MM/DD/YYYY; Time format: HH:MM AM/PM	YES	Date/Time
	Comments / Recommendations	Null	255		NO	String
	Comments Date	Null	datetime		NO	Date/Time

Use Case 6.0, Manage the CAP  
Attributes List

Entity	Attribute	Default Value	Length	Possible Values	Required	Value Domain	
Document							
	Document Number	Null	20		YES	String	
	Document Title	Null	500		YES	String	
	ML Number	Null	20	MLNNNNNNNNNN	YES	String	
	Document Access Rights	Null		Browse (metadata can be viewed, but not the content); Restricted; View (content can be viewed).	YES	String	
	Entity/Field Requirements						
	Doc-01	The system should check to ensure the the document has NRCUser-Viewer rights.				Required	High
LL Item							
	Assigned Lead Office	Null	6	This will be a drop-down list. Only 1 value is to be populated upon selection. Values are: ADM; CSO; FSME; HR; NMSS; NRO; NRR; NSIR; OE; OI; OIG; OIS; RES; RI; RII; RIII; RIV; SBCR	NO	String	
	Lead Office Contact Name	Null	50		NO	String	
	Lead Office Contact Email	Null	50	May be auto-populated from Active Directory/LDAP	NO	String	
	Lead Office Contact Phone	Null	6	000-000-0000	NO	String	
	CAP Approved Date	Null	datetime		NO	Date/Time	
	CAP Assigned Date	Null	datetime		NO	Date/Time	
	CAP Closed Date	Null	datetime		NO	Date/Time	
	CAP Description	Null	1000		NO	String	
	CAP Due Date	Null	datetime		NO	Date/Time	
	CAP Implementation Due Date	Null	datetime		NO	Date/Time	
	CAP Completion Date	Null	datetime		NO	Date/Time	
	CAP Title	Null	200		NO	String	
	ER Due Date	Null	datetime		NO	Date/Time	
Entity/Field Requirements							
LLItem-Comm-01		There may be one or more comments associated with an LL Item. Each comment is to be tracked and date-stamped separately.				Required	High
Comm-Date-01		A "calendar-and-date" function button will be placed next to the field. This function opens a calendar and allows the user to select the needed date.				Optional	Medium
LLStatDate-02		A "calendar-and-date" function button will be placed next to the field. This function opens a calendar and allows the user to select the needed date.				Optional	Medium

Use Case 6.0, Manage the CAP  
Attributes List

Entity	Attribute	Default Value	Length	Possible Values	Required	Value Domain
Document						
	Document Number	Null	20		YES	String
	Document Title	Null	500		YES	String
	ML Number	Null	20	MLNNNNNNNNNN	YES	String
	Document Access Rights	Null		Browse (metadata can be viewed, but not the content); Restricted; View (content can be viewed).	YES	String
	Entity/Field Requirements					
	Doc-01	The system should check to ensure the the document has NRCUser-Viewer rights.			Required	High
LL Item						
LL Item Document Folder (Per document in folder)						
	Document Number	Null	20		YES	String
	Document Title	Null	500		YES	String
	ML Number	Null	20	MLNNNNNNNNNN	YES	String
	Document Access Rights	Null		Browse (metadata can be viewed, but not the content); Restricted; View (content can be viewed).	YES	String
	LL Document Category	Null	10	Source, Reference, Policy, Procedure, WIP	YES	String
	Primary Source Document?	No	2	Yes/No	NO	Boolean
Entity/Field Requirements						