

Army Regulation 11-33

Army Programs

Army Lessons Learned Program (ALLP)

**Headquarters
Department of the Army
Washington, DC
17 October 2006**

UNCLASSIFIED

SUMMARY of CHANGE

AR 11-33

Army Lessons Learned Program (ALLP)

This major revision dated 17 October 2006--

- o Expands program objectives to include the goal of creating an information sharing culture within the Army (para 1-5a).
- o Clarifies and reinforces brigade-sized and larger units responsibility to submit their after action reviews to the Center for Army Lessons Learned and establishes submission procedures (para 2-3).
- o Establishes specific responsibilities for the Center for Army Lessons Learned (para 2-9).
- o Establishes the requirement for a lessons learned course to train designated unit individuals on how to establish and maintain local lessons learned programs (para 2-9s).
- o Describes HQDA planning and management policies and guidelines applicable to the Army Lessons Learned Program (chap 3).
- o Expands and explains the lessons learned collection and solution development process (chap 4).
- o Provides a decision flow chart of the deliberate lessons learned process (fig 4-1).
- o Provides a decision flow chart of the rapid lessons learned process (fig 4-2).


Army Programs

Army Lessons Learned Program (ALLP)

By Order of the Secretary of the Army:

PETER J. SCHOOMAKER
General, United States Army
Chief of Staff

Official:


JOYCE E. MORROW
Administrative Assistant to the
Secretary of the Army

History. This publication is a major revision.

Summary. This regulation establishes policy, procedures, and responsibilities for Armywide management of the Army Lessons Learned Program.

Applicability. This regulation applies to the Active Army, the Army National Guard/Army National Guard of the United

States, and the U.S. Army Reserve unless otherwise stated.

Proponent and exception authority.

The proponent of this regulation is the Deputy Chief of Staff, G–3/5/7. The proponent has the authority to approve exceptions or waivers to this regulation that are consistent with controlling law and regulations. The proponent may delegate this approval authority, in writing, to a division chief within the proponent agency or its direct reporting unit or field operating agency, in the grade of colonel or the civilian equivalent. Activities may request a waiver to this regulation by providing justification that includes a full analysis of the expected benefits and must include formal review by the activity's senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity and forwarded through their higher headquarters to the policy proponent. Refer to AR 25–30 for specific guidance.

Army management control process.

This regulation contains management control provisions and identifies key management controls that must be evaluated.

Supplementation. Supplementation of this regulation and the establishment of command and local forms are prohibited without prior approval from the Deputy Chief of Staff, G–3/5/7, ATTN: DAMO–ZA, 400 Army Pentagon, Washington, DC 20310–0400.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to HQDA, Deputy Chief of Staff, G–3/5/7, ATTN: DAMO–SS, 400 Army Pentagon, Washington, DC 20310–0400.

Distribution. Distribution of this publication is available in electronic media only and is intended for command levels C, D, and E for the Active Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve.

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Glossary

Chapter 1 Introduction

1–1. Purpose

This regulation, which applies to the entire Army, establishes a system for the collection, analysis, archiving, and dissemination of observations, insights, and lessons (OIL); tactics, techniques, and procedures (TTP); after action reviews (AAR); operational records; and lessons learned from actual Army operations, experiments, and training events. The purpose of collecting, identifying, analyzing, disseminating, and integrating lessons learned and critical operational information and knowledge is to sustain, enhance, and increase the Army's preparedness to conduct current and future operations. The intent is to systematically correct Army doctrine, organization, training, materiel, leadership and education, personnel, and facilities (DOTMLPF) deficiencies through research, development, acquisition, and planning activities.

1–2. References

Required and related publications and prescribed and referenced forms are listed in appendix A.

1–3. Explanation of abbreviations and terms

Abbreviations and special terms used in this regulation are explained in the glossary.

1–4. Responsibilities

Responsibilities are listed in chapter 2.

1–5. Program objectives

a. Create an information sharing culture within the Army in which every Soldier sees himself or herself as a collector of positive (sustain) and negative (improve or change) information with a responsibility to submit this information through his or her chain of command. Success in this culture is defined as the continuous collection and submission of OIL from every unit level; from the individual Soldier to the most senior leaders.

b. Provide a system in which OIL pertaining to real or perceived capability gaps can be submitted, analyzed, and categorized by branch, Battlefield Operating System, or portion of the Army affected.

c. Provide a mechanism for net-centric collaboration during the process of analyzing submitted OIL and solution development between the field, the Center for Army Lessons Learned (CALL), and the proponents ultimately charged with implementing change.

d. Provide a system nested within the Department of Defense-wide (DOD-wide) lessons learned programs to disseminate collected and analyzed information to the appropriate organizations or proponents charged with effecting change in the Army. The intent is to correct immediate and systemic institutional deficiencies and provide a seamless system, linking the field with the Army's proponents and its senior leadership.

e. Monitor recommended changes throughout implementation and reevaluate the issue to determine if it has actually been solved.

1–6. Concepts

a. Every Soldier, Department of the Army (DA) civilian, and Army contractor will submit to CALL relevant OIL from Army-specific, Coalition, Joint and multi-Service operations, either directly or indirectly via unit AAR events for analysis and dissemination. The Army Lessons Learned Program (ALLP) identifies and addresses systematic problems/issues within the Army. At the same time, the ALLP helps Army commanders better train and prepare their units to conduct operations across the full spectrum of operations, providing analytical products and information from ongoing actual operations, training exercises, and Army combat development and experimentation.

b. The ALLP is the Army's system for change based on direct guidance from the Army's senior leadership as well as Army, Joint, and DOD doctrine and planning publications that outline the capabilities and requirements of the current and future Army (for example, FM 3-0; FM 7-0; National Security Strategy; Joint Vision; Defense Planning Guidance; The National Military Strategy; Presidents Management Agenda; Army Campaign Plan; Army Strategic Guidance).

c. The ALLP complements the Joint Capabilities Integration and Development System (JCIDS) by identifying relevant Army issues and trends to be addressed and providing the analysis and supporting documentation required to develop and implement changes.

d. The U.S. Army Training and Doctrine Command (TRADOC) evaluates issues which are collected and forwards them to the appropriate functional proponent where solutions are developed for the Army. Proponents, as designated in AR 5-22, are responsible for tracking the progress of the issues until they are resolved, not the submitters of the OIL.

e. Recognizing the Army's Joint responsibilities, dissemination of this information will not be limited to Army elements; as appropriate, it will include the Joint, interagency, intergovernmental and multinational (JIIM) community,

such as the American, British, Canadian, Australian and New Zealand, Army Standardization Program, and other Service Lessons Learned Centers.

f. All lessons learned data repositories, maintained by Army commands, Army Service component commands (ASCC), and direct reporting units (DRU), will be linked electronically to the CALL Web site and managed in accordance with AR 25-1 and the Chief Information Officer, G-6's (CIO/G-6's) data strategy.

Chapter 2 Responsibilities

2-1. Deputy Chief of Staff, G-3/5/7

The Deputy Chief of Staff, G-3/5/7 (DCS, G-3/5/7), will—

a. Provide Army Staff oversight of the ALLP and serve as the Army Staff integrator for all Army, Joint, multi-Service, and Coalition staff actions and activities relating to the ALLP.

b. Establish policies and priorities for the ALLP.

c. Provide the budgetary and personnel resources to implement the program.

d. Manage the issues derived from Armywide OIL with Joint interoperability implications for introduction and resolution in JCIDS.

e. Monitor the implementation of recommended DOTMLPF changes derived from Armywide OIL and ensure they are integrated into key programs and initiatives across the Army to include the Army planning, programming, budgeting, and execution process (PPBE); the Army Modernization Plan; the Army Campaign Plan; the Research, Development, and Acquisition Plan; the Military Construction, Army Program; the Base Realignment and Closure; the Joint Requirements Oversight Council; the Army Requirements Oversight Council; and the total Army analysis. Army National Guard and Army Reserve requirements will also be included in the PPBE.

f. Utilize direct liaison authorized to CALL for lessons learned actions involving Joint integration and Armywide change, as well as special collection activities directed by the Chief of Staff, Army (CSA) or the DCS, G-3/5/7 in support of contingency operations.

g. Assign lead and supporting agents to resolve issues spanning 2 or more proponents' areas of responsibility (AOR) (see AR 5-22 for proponent responsibilities).

h. Coordinate the mission and intent of the Army's lessons learned collection efforts with combatant commanders, Army commands, ASCCs, DRUs, and other Services and Coalition partners to secure their support and ensure access to units within their AOR.

i. Coordinate OIL collection efforts to deconflict resources and requirements among Army elements.

j. Promulgate, annually, a description of proposed Armywide lesson collection activities that assigns collection and analysis tasks to Army commands, ASCCs, and DRUs no later than 30 September of each fiscal year with appropriate Armywide message notification and submission of funding shortfalls to meet approved ALLP activities.

2-2. Deputy chiefs of staff, directors, and special staffs

All Deputy chiefs of staff, directors, and special staffs will—

a. Incorporate the ALLP into all current and future programs.

b. Review OIL having DOTMLPF implications within each agency's purview, determine and direct the appropriate actions to be taken, and monitor their disposition and implementation.

c. Submit observations, insights, lessons or reports, gathered by or derived from Army-sponsored studies or other internally sponsored collection efforts, to the CALL in accordance with the submission guidelines posted on the CALL non-secure Internet protocol router network (NIPRNET) and secure Internet protocol router network (SIPRNET) sites. E-mail is the preferred method; however, another method of digital transmission may be required if submitting extremely large files (10 megabytes or larger). As the Army implements new data storage and transmission methods in the future, CALL will update its instructions on the Web site in order to provide a more net-centric environment for the submission and dissemination of information.

d. Provide CALL support and technical assistance, to include participation on collection and analysis teams (CAAT); technical advice and analysis of OIL collected or received by CALL; assistance in developing or implementing DOTMLPF change recommendations; and assistance in coordinating with the wider JIIM communities, when required.

e. Submit to Headquarters, TRADOC, Combined Arms Center (CAC), CALL, by 1 August, annually, their recommended key staff/functional area issues for inclusion in the annual review, development of, and integration into proposed lessons learned action plans for the upcoming year. Action plans will reflect proposed lessons learned activities, responsible agency and expected products, and resource requirements in excess of projected upcoming fiscal year budget required to achieve proposed action plans.

2-3. Commanding Generals of Army commands, Army Service component commands, and direct reporting units

Commanding Generals (CGs) of all Army commands, ASCCs, and DRUs will—

a. Direct assigned units, brigade-sized or larger (except in the case of specialty units which operate/deploy separately at the platoon, company, or battalion levels), to submit unit level AARs and other lesson learned material to CALL for review, analysis, dissemination, and archiving in accordance with the following guidelines:

(1) After action reviews will be submitted to CALL no later than 90 days after returning to home station after participating in an Army, Joint, or combined military operation.

(2) After action reviews will be submitted to CALL no later than 60 days after returning to home station after participating in a major Army, Joint, or combined training exercise or experiment. Units completing Combat Training Center rotations may submit a copy of the relevant portions of their “take home package.”

(3) Units and organizations will follow the submission guidelines posted on the CALL NIPRNET and SIPRNET sites to submit AARs either electronically or in hard copy digital format (that is, electronically stored/burnt on a compact disk-read only memory (CD-ROM)). Hard copy products can be mailed to Director, Center for Army Lessons Learned, Fort Leavenworth, KS 66027-1350. E-mail is the preferred method; however, another method of digital transmission may be required if submitting extremely large files (10 megabytes or larger). As the Army implements new data storage and transmission methods in the future, CALL will update its instructions on the Web site in order to provide a more net-centric environment for the submission and dissemination of information.

(4) Attendance at the CALL course will facilitate implementation of a local lessons learned program.

(5) Commanders at all levels are cautioned against excessively editing AARs before they are submitted to CALL. Historically, excessive editing has resulted in documents becoming void of usable OIL and centered on the desire for more resources. As a result, the Army has lost precious opportunities to learn.

b. Forward to the CALL, copies of all final products produced by their military history detachments which are not assigned to the U.S. Army Center of Military History during actual operations. History offices will coordinate ongoing military history detachments collection operations with CALL to ensure that OIL and historical collection efforts are synchronized to ensure minimum impact on operational units and commanders. Follow the submission guidelines in paragraph *a*, above.

c. Provide administrative and logistical support to CAAT deployed into AOR. This includes providing access to units and leaders conducting operations within the AOR.

d. Provide Army command, ASCC, and DRU personnel possessing unique skill sets, when required, to participate as members of select CAAT missions.

e. Review OIL having DOTMLPF implications within each agency’s purview, determine and direct the appropriate actions to be taken, and monitor their disposition and implementation.

f. Integrate relevant OIL into unit training and operational deployment preparation.

2-4. Director, Army National Guard

The Director, Army National Guard (ARNG) will—

a. Ensure subordinate units provide AARs to CALL in the same manner as Army Commands, ASCCs, and DRUs (see para 2-3, above).

b. Submit AARs and other operational products to CALL for analysis, in order to identify ARNG unique issues, as well as general Army issues requiring TRADOC, HQDA, or Joint Staff action. Follow the submission guidelines posted on the CALL NIPRNET and SIPRNET Web sites to submit AARs either electronically or in hard copy digital format. E-mail is the preferred method; however, another method of digital transmission may be required if submitting extremely large files (10 megabytes or larger).

c. Will not use the ALLP to evaluate unit performance.

d. Provide administrative, logistic, and personnel support as required to CAAT elements deployed to ARNG training events or operations.

e. Program National Guard resources, such as operation maintenance, National Guard and National Guard, personnel Army as required to support ALLP requirements as defined in this regulation.

2-5. Chief, Army Reserve

The Chief, Army Reserve (CAR) will—

a. Ensure subordinate units provide AARs to CALL in the same manner as Army commands, ASCCs, and DRUs (see para 2-3, above).

b. Submit AARs and other operational products to CALL for analysis, in order to identify U.S. Army Reserve (USAR) unique issues, as well as general Army issues requiring TRADOC, HQDA, or Joint Staff action. Follow the submission guidelines posted on the CALL NIPRNET and SIPRNET Web sites to submit AARs either electronically or in hard copy digital format. E-mail is the preferred method; however, another method of digital transmission may be required if submitting extremely large files (10 megabytes or larger).

- c. Will not use the ALLP to evaluate unit performance.
- d. Provide administrative, logistic, and personnel support as required to CAAT elements deployed to USAR training events or operations.
- e. Program USAR resources such as operations maintenance, Army Reserve and Reserve personnel, Army as required to support ALLP requirements as defined in this regulation.

2-6. Chief, Center for Military History

The Chief, Center for Military History (CMH) will provide CALL access to unit historical reports, records, and any materials obtained by special historical collection efforts organized by the CMH or collected by military history detachments in operational theaters.

2-7. Commanding General, U.S. Army Training and Doctrine Command

The CG, TRADOC will—

- a. Serve as the Army executive agent for the ALLP.
- b. Be responsible for the management and execution of the ALLP.
- c. Monitor and coordinate the DOTMLPF collection and analysis efforts across the Army to avoid duplication of effort where their activities overlap.
- d. Ensure sufficient resources are provided to implement the ALLP.
- e. Track the development and implementation of DOTMLPF solutions derived from Armywide OIL.
- f. Submit to DCS, G-3/5/7 no later than 1 September, annually, the Armywide consolidated recommendations for ALLP activity by agency and resulting product, and a program unfunded requirement summary.
- g. Designate CG, CAC, as the Army specific proponent for the ALLP with the requisite resources and authority to implement the entire ALLP.

2-8. Commanding General, Combined Arms Center

The CG, CAC will—

- a. Serve as the Army specific proponent for the ALLP.
- b. Determine ALLP requirements in accordance with this regulation by assessing the Army's needs and shortcomings as it relates to capabilities, capability gaps, and the DOTMLPF domains.
- c. Resolve identified issues derived from OIL by assigning lead and supporting agents as required to coordinate the efforts of subordinate proponents.
- d. Ensure the integration of these requirements into the JCIDS process through the publication of DOTMLPF change recommendations (DCR); initial capabilities documents; capabilities development documents; capability production document; and capstone requirement documents, as required.
- e. Ensure the dissemination of OIL, TTP, and unit AARs to the Army, and as appropriate to the JIIM communities.
- f. Ensure all published materials safeguard the identity and performance of both individuals and subject units. The purpose of the ALLP is to identify operational strengths and shortcomings rather than to assess commanders or their unit performance while in training or deployed.
- g. Capture OIL from the Army Exercise Program as defined in AR 350-28.
- h. Direct the Combat Training Center to implement a lessons learned program by ensuring commanders of the Combat Training Center perform the following:
 - (1) Provide CALL with significant objective and subjective observations and insights within 45 days of each rotation (this product is similar in content to the "take home packet" provided to units following their rotation).
 - (2) Provide CALL a semiannual synopsis of significant OIL and operational/training related trends—both strengths and deficiencies.
 - i. Within the stated objectives of the ALLP as outlined in this regulation—
 - (1) Develop organizational procedures to collect, analyze, and disseminate operationally relevant OIL to the Army and JIIM communities across the full spectrum of operations.
 - (2) Task proponents within TRADOC to resolve issues and correct deficiencies relating to DOTMLPF.
 - j. Refer actions outside TRADOC's purview, including issues requiring DA or Joint Staff input, to DCS, G-3/5/7.
 - k. Resource and direct the actions of CALL.

2-9. Director, Center for Army Lessons Learned

The Director, CALL will—

- a. Serve as the office of primary responsibility and action agent for CAC in the implementation of the ALLP.
- b. Utilize direct liaison authorized with DCS, G-3/5/7 when tasked for the validation, planning, coordination, and execution of ALLP missions.
- c. Generate near-real-time warrior-focused knowledge products at the tactical, operational, and theater-strategic

levels through the collection of OIL during Army and JIIM operations, major training exercises, and from the Army/Joint experimentation communities.

d. Identify and prioritize issues that have DOTMLPF implications and forward this information to the Army proponent that can best develop an action plan and solve the issue.

e. Forward select OIL that have DA and Joint-level DOTMLPF implications through command channels for review by HQDA for inclusion in the JCIDS process.

f. Establish and maintain the Army's principal repository for lessons learned and operational products by—

(1) Receiving, analyzing, archiving, and disseminating OIL and operational products in a user-accessible electronic format. The centerpiece of this effort is the CALL NIPRNET (<http://call.army.mil>) and SIPRNET Web sites.

(2) Ensuring their electronic databases are constructed in a manner that facilitates the rapid searching, sorting, retrieval, and dissemination of all archived data, offering users a robust and responsive request for information capability.

(3) Ensuring users are able to search, sort, retrieve, and disseminate archived OIL, lessons learned, and operational products via network systems in support of Army operations, training, and research initiatives. These systems must facilitate the rapid retrieval of information within the data stores.

(4) Providing advanced knowledge and document management technologies and services as required to support Armywide and Joint reach/reachback requirements at the tactical, operational, and theater-strategic levels.

(5) Ensuring the CALL hardware and software technologies are capable of supporting field search, queries, and distribution via classified (up to collateral SECRET) and unclassified networks.

(6) Ensuring the CALL Automated Observation Storage System will be interoperable with the Joint Lessons Learned System.

(7) Continuing to produce hard copy products, including periodicals, special publications, videos, and other multimedia formats in support of units and ongoing Army operations

g. Assist Army, DOD, and other U.S. governmental, multinational, and Coalition agencies with the integration of lessons learned products into ongoing and emerging programs/projects intended to enhance Army and Joint warfighting capabilities.

h. Provide deployed Army and JIIM commanders reachback support, and assist their units as they prepare for, participate in, and return from actual operations and collective training exercises.

i. Establish operational security and information security procedures and control mechanisms to ensure the proper marking and handling of all collected and managed materials, to include external materials received and provided to CALL. Under special circumstances, with the approval of the DCS, G-3/5/7 and in conjunction with the DCS, G-2, provide coalition and multinational partners access to CALL Web sites and archives.

j. Establish and maintain liaison with the other Service's lesson learned agencies and the Joint Center for Operational Analysis-Lessons Learned and make recommendations for Army cooperation/participation in these efforts.

k. Assemble, train, and deploy CAAT to support the collection of Army OIL within the Joint and Combined operational arena during military operations and major Joint/Army training events, exercises, and experiments. To conduct this mission, HQDA and TRADOC will resource CALL.

l. Prepare and conduct, in coordination with HQDA and TRADOC strategic communications plans, presentations to units, HQDA, Joint Staff, DOD, Coalition partners, key interest groups, industry, academia, and the Congress on the Army's lessons learned methodology and emerging operational and training-related OIL with emphasis on telling the Army story based on OIL collected from ongoing Army, Joint, and coalitions operations, major training events, and experiments.

m. Maintain situational awareness on all completed, ongoing, and planned Army and Joint lessons learned collection activities. This collection includes, but is not limited to, technical studies (that is, TRADOC Analysis Center/Army Test and Evaluation Command), Army Research Institute, special studies (tactical through theater-strategic levels), DA-sponsored initiatives (for example, RAND Corporation), and DOD-related "think-tank" projects. Provide recommendations on deconfliction of collection activities.

n. Maintain situational awareness, in coordination with the Commandant, Army War College, on Army key strategic issues; ensuring that the operational-strategic gap is adequately covered.

o. Establish resource management procedures to support CALL missions, tasks, functions, and core operational capabilities.

p. Synchronize and leverage ongoing Army and JIIM lessons learned activities to facilitate information dissemination and sharing and reduce duplication of effort.

q. Position embedded CALL representatives within selected active and Reserve Component headquarters deployed into theaters of operation in order to facilitate the continuous collection of OIL.

(1) To conduct this mission, HQDA and/or TRADOC will resource CALL.

(2) Team participants will be drawn from both the active and Reserve Component.

r. Prepare and conduct leader/professional development presentations on emerging OIL, as directed and resourced by TRADOC and/or HQDA.

s. Provide similar presentations to the Government, academia, industry, and other nations, in accordance with Army information security guidelines and AR 380–5.

t. Provide mobile training teams to conduct on–site train–the–trainer training with active and Reserve Component units based on recent OIL collected and trends identified by CALL, as directed and resourced by TRADOC and/or HQDA. The intent is to inform deploying units about the latest emerging issues, as opposed to waiting until they have undergone the proponents review process, which can be lengthy. Mobile training teams will be conducted on a case–by–case basis.

u. Maintain interface with Army and Joint Professional Military Education institutions and assist them in integrating OIL material into their courseware.

v. Develop and manage a lessons learned course at Fort Leavenworth. This course will be designed to train designated personnel to establish and maintain local lessons learned programs, collect and submit OIL, and train the subordinate units on the ALLP.

2–10. U.S. Army Combat Readiness Center

The Commander, U.S. Army Combat Readiness Center will—

a. Provide a repository of loss data.

b. Coordinate with CALL and other information collection sources on loss data collection, analysis and dissemination.

Chapter 3 Lessons Learned Policies and Change Management

This chapter describes HQDA planning and management policies and guidelines applicable to the ALLP. Included are ALLP policies, management capabilities and requirements, and proponent ALLP planning activities.

3–1. Policies

a. The Army will collect relevant OIL, TTP, AARs, and other records from Army operations, major collective training exercises, and experiments to identify issues that impact Soldier and unit performance. By analyzing this data, the Army determines how to sustain, enhance, and increase its preparedness for future operations. FM 7–0 states doctrine–based AARs identify strengths and shortcomings in unit planning, preparation, and execution, and guide leaders to accept responsibility for shortcomings and to produce a fix. Units, organizations, and agencies will forward their AARs and other documentary information pertaining to actual operations or training exercises, such as successful TTP employed, to CALL for analysis, archiving, and dissemination to the Army, the Army’s proponents, and JIIM communities as appropriate. Responsible proponents will make changes to the DOTMLPF domains they can affect or they will submit DCRs via the JCIDS process as required.

b. For all matters relating to the ALLP, CALL is the conduit between units, proponents, HQDA, and the JIIM communities. Paragraph 2–9, above, details CALL roles and functions. Other Army agencies may conduct lessons learned activities internal to their organizations; however, they will forward OIL collected (or valid lessons learned they identify) to CALL for analysis, dissemination, and archiving.

3–2. Change management

a. Proponents, as designated in AR 5–22, are critical to the success of the ALLP. Proponent agencies are responsible for coordinating with CALL and the Army’s other proponents for the purpose of developing action plans and presenting solutions to identified deficiencies. Solutions development and implementation is conducted via the JCIDS process as described in CJCSM 3170.01B. Army proponents are broken into 4 categories— branch proponents, specified proponents, functional proponents, and personnel proponents. Regardless of their category, all proponents are generally defined as the commander or chief of an organization or staff element that is charged with the accomplishment of a particular function of the Army. As such, the proponent is the organization that generally validates lessons and develops the DOTMLPF solutions affecting their particular function. The proponent is therefore uniquely positioned to effect change quickly and accurately. Understanding this system is crucial if issues are to be placed into the proper channels and solved in a timely manner. Comments from AARs, additional CALL analysis/products, and guidance from the Army’s leadership on a particular function must be forwarded immediately to the branch or specific proponent if solutions are to be developed in a timely manner; this is one of the primary functions of CALL. In cases where multiple branches or functions are affected by an issue, a higher proponent (that is, CG, CAC or CG, TRADOC) or Army command must be notified so they can take charge of the issue, assign lead and supporting agents, and organize the efforts of the various branch proponents that may be affected.

b. Applying validated OIL is the responsibility of every commander. Commanders at all levels are responsible for applying approved lessons to sustain, enhance, and maximize their units ability to conduct successful operations. Commanders and units in the field are the ultimate validating authorities. When an applied lesson fails to solve the

identified problem, or creates additional problems, commanders and units must submit this information back to CALL immediately. The lessons learned process does not end until the problem is solved.

c. The CALL will utilize current but not leading-edge technology to facilitate the timely submission and dissemination of OIL in a net-centric environment. Army commands, ASCCs, and DRUs will integrate and digitally link their lessons learned technology initiatives with the CALL repository in accordance with Army CIO/G-6's data strategy.

d. Consider throughout the ALLP the significant potential public and media interest in ALLP products and the public affairs implications of findings and possible impact on future operations and public support. Coordinate the ALLP and products with the appropriate public affairs staff.

Chapter 4

Lessons Learned Process

4-1. General

The lessons learned process (LLP) is a deliberate and systematic process for collecting and analyzing field data and disseminating, integrating, and archiving observations, insights, and lessons collected from Army operations and training events. Information gathering will be integrated into DOTMLPF, research (industry and academia), development, acquisition, and planning activities in order to sustain, enhance, and increase the Army's preparedness to conduct current and future operations. The process is solution-oriented. It is designed to support organizations at all levels of command and staff and can be adapted for use in all operations, to include combat, training, maintenance, installation support, experiments, and equipment fielding. Figure 4-1 graphically depicts the deliberate LLP. Observations, insights, and lessons do not constitute lessons learned without changing individual, unit, or Army behavior, which is accomplished through the application of the LLP.

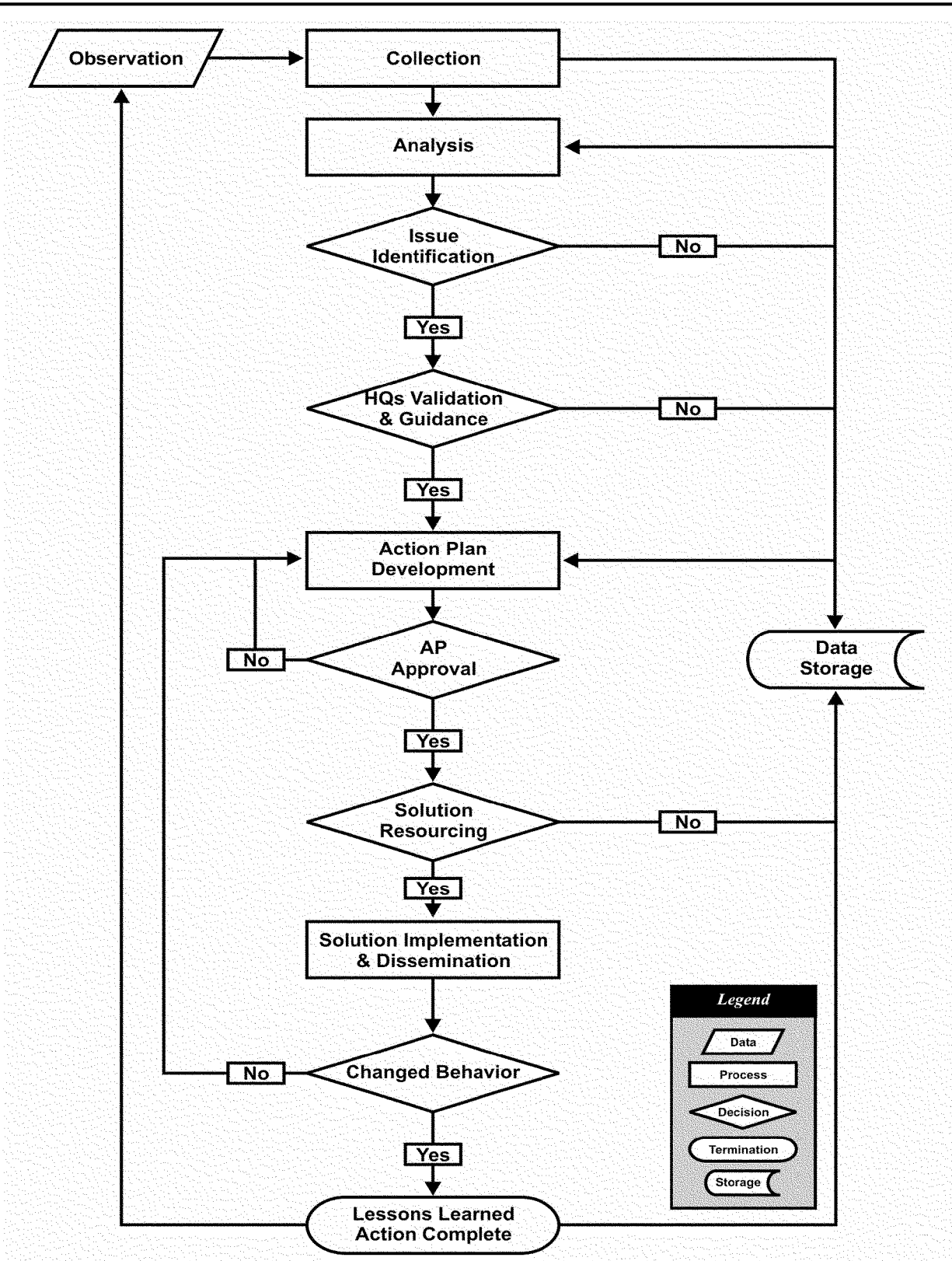


Figure 4-1. Deliberate lessons learned process

4-2. Rapid lessons learned process

The deliberate LLP can be abbreviated in order to hasten the dissemination of critical information gathered from the field. The process is information oriented pending the completion of detailed analysis by the responsible proponent. Figure 4-2 is a graphic representation of the rapid lessons learned process.

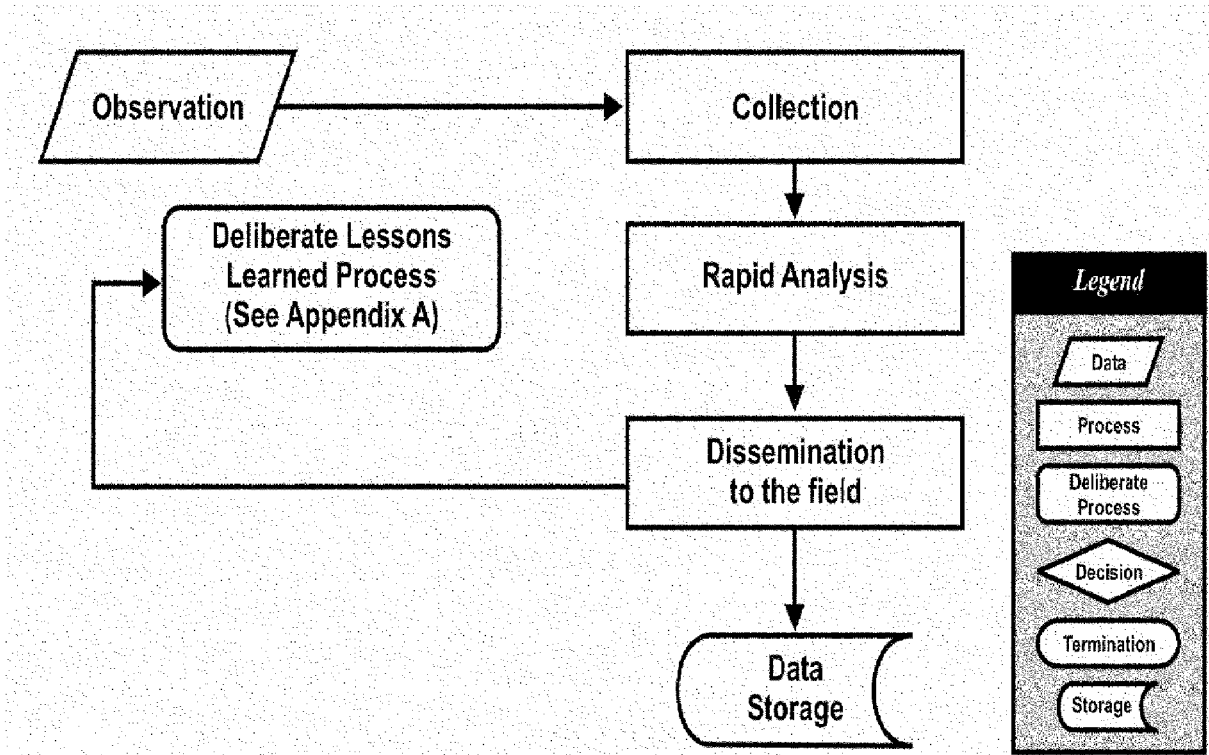


Figure 4-2. Rapid lessons learned process

4-3. Military decisionmaking process

The LLP does not supersede the military decisionmaking process identified in FM 5-0 (formerly FM 101-5).

4-4. Observations, insights, and lessons

Observations, insights, and lessons are raw information from any source which explains the conditions experienced by military forces during war or training; the issues that arose during those operations or exercises; and the potential solutions to the problems experienced. Observations, insights, and lessons can be either positive or negative. Examples of OIL include— AARs, unit TTP, interviews with Soldiers, incident reports, and most CALL-distributed products. These are deliberately not referred to as lessons learned as they have not been validated by the Army's assigned proponents and do not ensure an actual change in behavior will occur. A specific definition and example of OIL are provided below—

a. Observations describe the conditions experienced by military forces during war or training. Example: “The daily average temperature in Iraq country was 110 degrees and it had a negative effect on troops and equipment.”

b. Insights describe the issues that arose while conducting military operations or training. Example: “Due to the extreme heat experienced in Iraq, the (insert piece of equipment) failed to operate properly.”

c. Lessons provides potential solutions to the problems experienced under set military conditions (for example, extreme heat)). Example: “By doing ... X, ... our equipment continued to work despite the extreme heat.”

4-5. Lessons learned defined

a. Lessons learned is defined in CJCSI 3150.25B as— “Results from an evaluation or observation of an implemented corrective action that produced an improved performance or increased capability. A lesson learned also results from an evaluation or observation of a positive finding that did not necessarily require corrective action other than sustainment.”

b. For the purposes of this regulation, a broader understanding of this definition is required.

(1) Lessons learned is defined by CALL as— “Validated knowledge and experience derived from observations and the historical study of military training, exercises, and combat operations that leads to a change in behavior at either the tactical (standard operating procedures (SOP), TTP, and so forth), operational, or strategic level or in one or more of the Army’s DOTMLPF domains.”

(2) An observation or insight does NOT become a lesson learned until behavior has changed. An identified deficiency or capability gap that is not addressed/resolved will likely be repeated or observed again in the future. Capability gaps are rarely solved at the echelon in which they were observed. Most will require 1 or more DOTMLPF changes to occur in order to solve the problem. Major capability gaps may require DOTMLPF changes at the Joint level if the issue impacts Joint interoperability or Joint capabilities.

(3) Not all solutions require DOTMLPF change. Instead, local commanders may sometimes simply adjust their unit SOP to adapt to the unique aspects of an operating environment. These minor changes, however, offer valuable insight to commanders and units who will deploy forces under similar conditions in the future; thus they must be documented, disseminated, and archived.

4-6. Collection

a. *Scope.* The Army will collect OIL, TTP, AARs and other operational/training documentation from all relevant sources. These sources include (but are not limited to) the following:

- (1) Combat operations and exercises.
- (2) Terrorist incidents.
- (3) National Training Center, Joint Multinational Readiness Center, Joint Readiness Training Center, Battle Command Training Program, and other training center observations.
- (4) Joint and combined operations and exercises.
- (5) Historical analyses.
- (6) Simulations, war games, and staff studies.
- (7) Military observation teams.
- (8) DOTMLPF tests, evaluations, and experiments.
- (9) Modeling and simulation.
- (10) Army transformation initiatives.
- (11) Loss data (accidents, combat and other losses), trends, causal factors, and risk mitigation measures.
- (12) Composite risk management data risk assessments and control measures employed to reduce losses.

b. *Method.* Commanders and staffs at all echelons have a responsibility to collect relevant OIL and other documentary materials that support the creation of lessons learned products as described in this regulation. Commands and agencies, through formal or informal means, support the LLP by conducting collection activities, assessments, and AARs as a basis for forwarding relevant OIL to CALL for dissemination to the Army. Accurate collection requires that each observer record data from specific events without bias. Observers identify the task, describe the event, and highlight facts and data to corroborate the OIL. There are 2 methods of collection—

(1) *Formal (direct or active) collection.* Formal collection is conducted by subject matter experts during operations and exercises. These teams use a prepared and approved collection plan to focus and prioritize efforts. They document and organize, collect operational records and AARs, and provide feedback to the units they are observing.

(2) *Informal (indirect or passive) collection.* Informal collection is conducted when units or individuals submit post-operation/-exercises/-training rotation AARs and other operational documentation. FM 7-1, paragraph 6-44 states, “Conducting AARs and integrating TTP and lessons learned from those AARs back into ongoing training and operations are an inherent command responsibility.” Further, it specifically states that, “Important or significant observations, insights, lessons, and TTP should be shared with the rest of the Army by sending them to the Center for Army Lessons Learned.” From these reports and other documentation, CALL extracts OIL for analysis, dissemination, and archiving. Informal collection requires unit/organization participation to be successful.

c. *Reporting.* Commanders and staffs at all echelons have a responsibility to submit OIL products to CALL. The CALL is responsible for disseminating this information to the Army. Units and organizations will follow the submission guidelines posted on the CALL NIPRNET and SIPRNET Web sites to submit AARs either electronically or in hard copy digital format (that is, electronically stored/burnt on a CD-ROM). Hard copy products can be mailed to Director, Center for Army Lessons Learned, Fort Leavenworth, KS 66027-1350. E-mail is the preferred method; however, another method of digital transmission may be required if submitting extremely large files (10 megabytes or larger). As the Army implements new data storage and transmission methods in the future, CALL will update its

instructions on the Web site in order to provide a more net-centric environment for the submission and dissemination of information. Center for Army Lessons Learned will receive OIL products for analysis, entry into the CALL database, and dissemination to appropriate proponents and agencies. Minimum information requirements for observations include—

(1) Administrative information, such as unit point of contact information, exercise/operation, branch of Service, component, general dates, and locations.

(2) Observation title.

(3) Battlefield Operating System applicability as listed in FM 7-15 (intelligence, maneuver, fire support, air defense, mobility/counter-mobility/survivability, combat service and support, command and control, and conduct tactical mission tasks and operations). Joint users may also use/refer to the universal Joint task list.

(4) Observation and relevant background information in which you may include items relevant to the problem, such as recent changes in the organization that may have produced unexpected results (that is, new equipment, new doctrine, usage of units/organizations to accomplish missions outside their normal mission essential task list, and so forth), or any other background information the reviewer may need to fully appreciate the problem. Be as specific as possible. Other information to consider, if it directly affects the observation, its cause, or importance/relevance is—

(a) *Interoperability indicators.*

1. Army only.

2. Joint.

3. Combined.

4. Joint and Combined.

5. Multinational.

(b) *Environmental indicators.* Environmental indicators that are necessary for the OIL to apply (for example, arid/desert, woodland/temperate, arctic/cold weather, tropic/jungle).

(5) Insight (what happened, under what conditions, how was the unit or its mission affected and why).

(6) Lesson you think should be learned.

(7) Recommended actions and the associated changes needed within the DOTMLPF domains.

4-7. Storage

a. *Armywide.* Commanders and staffs at every echelon are encouraged to take steps to store organizational OIL, lessons learned, and any other records that document the conduct of their operations in order to support the units future operations and training. Storage methods can be as simple as appropriately designated computer files that allow for easy reference and retrieval. These efforts provide commanders and their staffs a database that helps determine changes in unit performance, develop TTP, and identify areas that require improvement or issues that require resolution. They also facilitate the transfer of important lessons learned and operational experience to CALL.

b. *Center for Army Lessons Learned.* The CALL maintains the Army's central repository of lessons learned, TTP, and operational records for active use by the Army and DOD (see para 2-9d, above, for a full description of this capability).

4-8. Analysis, issue identification, and lead agent determination

Analysis is the process of organizing and evaluating information to determine its meaning and relevance. Observations, insights, lessons, unit TTP, AARs, and other operational documentation require analysis to determine their impact across the DOTMLPF domains. The purpose of this analysis is to systematically identify best practices that can be shared with the Army and its warfighters as well as potential DOTMLPF change requirements. Observations, insights, and lessons products are reviewed to determine relationships and to form recommendations to optimize issue identification and resolution. This analysis provides a unique capability by capturing emerging and recurring trends as well as issues of interest to units, agencies, organizations, and the Army. Central to this are the efforts of the proponents who, as directed in AR 5-22, are charged to serve as the Army's subject matter experts over the specific functions of the Army. Their ability to directly influence or to physically make most non-materiel DOTMLPF changes, as well as their crucial role in the materiel solutions portion of the JCIDS process, make them uniquely well-suited to solve issues in the most expeditious manner. Put differently, the collecting of OIL does not solve the Army's problems. It is the proponents and Army senior leadership, when provided accurate data, that make positive changes.

a. *Armywide.* Commanders and staff must continually identify current and future DOTMLPF related problems or issues that will affect mission accomplishment. Once a problem is identified, the organization must analyze what actions or coordination must take place to resolve the issue. Commanders have the authority to validate and resource identified issues that can be solved internal to their organizations. Those issues requiring outside assistance must be validated by the higher headquarters or proponent who has the authority and resources to implement the change.

b. *Center for Army Lessons Learned.*

(1) The CALL analyzes OIL to identify major topics and correlates results to determine findings that identify emerging issues or trends. The CALL reviews OIL using data from all available sources to add definition, clarity, and credence to submitted reports. Sound analysis is central to the identification of potential issues. Once an issue with

potential DOTMLPF implications is identified, CALL must determine at what echelon or by which proponent the problem can be validated and resolved. The CALL will then pass this information in one of 3 ways—

(a) Directly to the responsible proponent if the proponent has exclusive authority for the issue (that is, if the issue only affects one proponent).

(b) Directly to the CAC operations for follow-on tasking and/or coordination with TRADOC if the issue impacts more than 1 proponent/branch.

(c) Directly to DCS, G-3/5/7 (DAMO-SS) for validation and assignment if the issue cannot be resolved within TRADOC or has Joint or Joint integration implications.

(2) To better assist proponents and leaders in validating OIL and determining the appropriate DOTMLPF changes, CALL will forward as much detailed analysis as possible, to include—

(a) Issue title.

(b) Issue description.

(c) Key tasks requiring solution (based on CALL analysis).

(d) Recommended lead agent/supporting agents (if not known or determined).

(e) Affected DOTMLPF domains with applicable description for each.

(f) Recommendations for consideration/validation.

(g) Potential impact to the Army (or JIIM community) if unresolved.

4-9. Action plans

The following paragraph does not supplement or replace DOD directives related to the JCIDS process. The following; however, does recognize that not all issues will rise to the level requiring JCIDS action. Therefore, the intent of this paragraph is to bring order to these more routine efforts.

a. General. Once a lead agent has been identified by the tasking authority (that is, the proponent, CAC operations or DCS, G-3/5/7), the lead agent will validate the issue and develop an action plan that will lead to issue resolution. The action plan coordinates and directs Army and organizational efforts to resolve validated issues. The lead agent will specify changes, modifications, or additions to existing DOTMLPF factors. Action plans also address the scope of the issue and the short-, mid-, and long-term efforts required. It is an approved/supported tasking document assigning appropriate lead and supporting agency responsibilities. Action plans can take many forms, both formal and informal, depending on the issue, organizational capabilities, and relevance to and impact on the organization, the Army, and the DOTMLPF domains. Action plans can result in changed or new TTP; the publication of articles in professional journals; changes in Officer Education System/Noncommissioned Officers Education System curriculum/program of instruction; the development, procurement, and fielding of new technologies; and solutions covering all categories of DOTMLPF. The CALL can assist in solution dissemination through its hardcopy and Web-based publication capabilities.

b. Lead and supporting agent responsibilities. Lead and supporting agents develop and implement solutions to issues that can be resolved within their organization. Lead and supporting agents will resolve items within their capability and forward unresolved issues back to the tasking headquarters for follow-on action.

c. Action plan development. Lead agents build action plans for each assigned issue or set of related issues. Action plans are organized by DOTMLPF and include the following minimum information requirements:

(1) Issue.

(2) Description or issue statement.

(3) Purpose.

(4) Scope.

(5) Major milestones.

(6) Affected DOTMLPF categories, each with the following minimum information requirements:

(a) Statement of the DOTMLPF sub-issue.

(b) Statement of what to do to solve the sub-issue. Each sub-issue under a DOTMLPF heading can have 1 or more tasks.

(c) Who is in charge of working the sub-issue. The lead agency for a sub-issue may be different than the overall issue lead.

(d) Who will provide support to the lead agency to work the sub-issue. There can and most likely will be multiple supporting agencies for any given sub-issue of a complex issue.

(e) Implementation and dissemination plan.

(f) Detailed list of the funded and unfunded resources required, by fiscal year, necessary to solve the sub-issue.

(g) When the sub-issue corrective action will be complete.

d. Tracking. The tasking authority has tracking responsibility. Plans will be briefed by the lead agent on request to the tasking headquarters. The lead agency will report progress to the tasking headquarters.

e. Solution approval. The tasking authority will approve the action plan for implementation. As described above,

when a solution lies outside of the tasking headquarters authority, that headquarters will forward the proposed solution to the next higher organization with the appropriate authority and resources for solution approval.

4-10. Solution dissemination and implementation

The assigned lead agent is responsible for solution dissemination and implementation. Lead agents will coordinate with and supervise supporting agency efforts to ensure action plan compliance. Lead agents will report dissemination and implementation progress at the request of the tasking headquarters. The CALL can assist in solution dissemination through its publication and Web-based capabilities.

4-11. Change behavior

Successful execution of the preceding steps results in issue resolution, changed behavior, and the achievement of a desired outcome.

4-12. Follow-up

Lead agents must continue to monitor implementation efforts to ensure success. Changing operating conditions may require action plan refinement or, if necessary, redevelopment.

Appendix A References

Section I Required Publications

This section contains no entries.

Section II Related Publications

A related publication is a source of additional information. The user does not have to read it to understand this publication.

AR 5-22
The Army Proponent System

AR 25-1
Army Knowledge Management and Information Technology Management

AR 380-5
Department of the Army Information Security Program

AR 380-28
Department of the Army Special Security System

CJCSI 3150.25B
Joint Lessons Learned Program

CJCSM 3170.01B
Operation of the Joint Capabilities Integration and Development System

FM 3-0
Operations

FM 7-0
Training the Force

FM 7-1
Battle Focused Training

FM 7-15
The Army Universal Task List

FM 101-5
Staff Organization and Operations

Section III Prescribed Forms

This section contains no entries.

Section IV Referenced Forms

This section contains no entries.

Glossary

Section I Abbreviations

AAR

after action review

ALLP

Army Lessons Learned Program

AOR

areas of responsibility

AR

Army Regulation

ARNG

Army National Guard

ASCC

Army Service component commands

CAR

Chief, Army Reserve

CAAT

collection and analysis teams

CAC

Combined Arms Center

CALL

Center for Army Lessons Learned

CD-ROM

compact disk-read only memory

CG

commanding general

CIO/G-6

Chief Information Officer, G-6

CMH

Center of Military History

CSA

Chief of Staff, Army

DA

Department of the Army

DCS

Deputy Chief of Staff

DCR

doctrine, organization, training, materiel, leadership and education, personnel, and facilities (DOTMLPF) change recommendations

DOD

Department of Defense

DOTMLPF

doctrine, organization, training, materiel, leadership and education, personnel, and facilities

DRU

direct reporting unit

FM

field manual

HQDA

Headquarters, Department of the Army

JCIDS

Joint Capabilities Integration and Development System

JJIM

Joint, interagency, intergovernmental and multinational

LLP

lessons learned process

NIPRNET

non-secure Internet protocol router network

OIL

observations, insights, and lessons

PPBE

planning, programming, budgeting, and execution

SIPRNET

secure Internet protocol router network

SOP

standard operating procedure

TTP

tactics, techniques and procedures

TRADOC

U.S. Army Training and Doctrine Command

USAR

U.S. Army Reserve

Section II**Terms**

This section contains no entries.

Section III**Special Abbreviations and Terms**

This section contains no entries.

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