Identifying and Tracking Actions from Lessons Learned

Presented by: John Bickford
SELLS Workshop, April 6, 2000

Drivers for having a process:
- DOE Standard 7501-99, section 5.3, second paragraph
- ISMS Phase I Verification, Opportunity for Improvement MGO 3.5

Before:
- Approach was to "throw it over the fence."
- Facility manager on his/her honor to take actions
- No tracking visible to LLC

Change Process:
- Lessons Learned Points-of-Contact with reps from selected Centers of Expertise and committees developed a process (see slide)

NOTE: Added conservatism added by including YELLOW LLs

Unfortunately, COE's don't all feel that they have authority to direct Projects
Neither do they want to be responsible for tracking actions.
Thus, implementation is still pending.

Comments on new process:
- Numbers on chart keyed to steps on process sheet (available on handout table and Web site)

5.3 Dissemination of Lessons Learned Information

Lessons learned should be disseminated with an assigned priority descriptor, which denotes the risk, immediacy, and urgency of the lessons learned content. Priority descriptors that define standardized categories of lessons learned (Red/Urgent, Yellow/Caution, Blue/Information and Green/Good Work Practice) are provided in Appendix A. The lessons learned priority descriptor is established by lessons learned originator. Recipients of the lesson learned may revise the priority descriptor for internal use based on the urgency and relevancy of the lesson to their organization.

Red/Urgent lessons require timely dissemination, review, documentation, and tracking of actions performed. As appropriate, organizations should document and track required response actions to ensure completion and closure in accordance with the organization's Corrective Action and Change Control processes.

Closure Package Cover Sheet

ISMS Functional Area:	*Opportunities for Improvement:*	*Submitted by Actionee:*
Management Oversight (MGO)	**MGO.3.5**	**J. C. Bickford** **Name/Signature**
Due Date: **April 30, 2000**	***Completion Date:***	***Approved for Implementation:*** **ISMS Implementation Project Manager**

OPPORTUNITIES FOR IMPROVEMENT:

Lessons learned procedures do not provide an expectation on required input or the appropriate point of application or follow through.

Commitment:

Lessons learned are processed according to the guidelines in HNF-PRO-067, *Managing Lessons Learned.* That procedure gives examples of external sources that feed the process but does not provide an expectation of what on-site activities such as AHJA, post-job reviews, and mockup training, provide inputs into the lessons learned system. Neither does it provide a follow up mechanism for ensuring that appropriate managers apply the lessons learned to their activities.

The PHMC Lessons Learned Coordinator, working with project representatives, will develop a process to provide appropriate feedback from facility/project managers and follow-up mechanisms to ensure actions arising from lessons learned are tracked appropriately. The resulting processes, along with appropriate direction for onsite activities feeding into the lessons learned system, will be incorporated into HNF-PRO-067 during the next normal revision.

Subtask 01

Collect examples of effective feedback and tracking processes/systems from other DOE sites.

(Complete)

Subtask 02

Convene a forum of lessons learned Points-Of-Contact to modify the present lessons learned process to include acceptable feedback and tracking mechanisms incorporating benchmark examples from other DOE sites.

(Due : January 30, 2000)

Subtask 03

Process revision to HNF-PRO-067 through the PHMS review and approval cycle.

(Due: April 30, 2000)

Acceptance Criteria:

Revision to HNF-PRO-067 approved which includes a feedback and tracking process and guidance for onsite activities to feed the lessons learned process.

Closure Package Cover Sheet

ISMS Functional Area:	*Opportunities for Improvement:*	*Submitted by Actionee:*
Management Oversight (MGO)	**MGO.3.5**	**J. C. Bickford** **Name/Signature**

Validation:

The following evidence (letter number, reports, etc.) has been reviewed and are included in the closure package to validate the accuracy and completeness of the commitment:

To be completed.

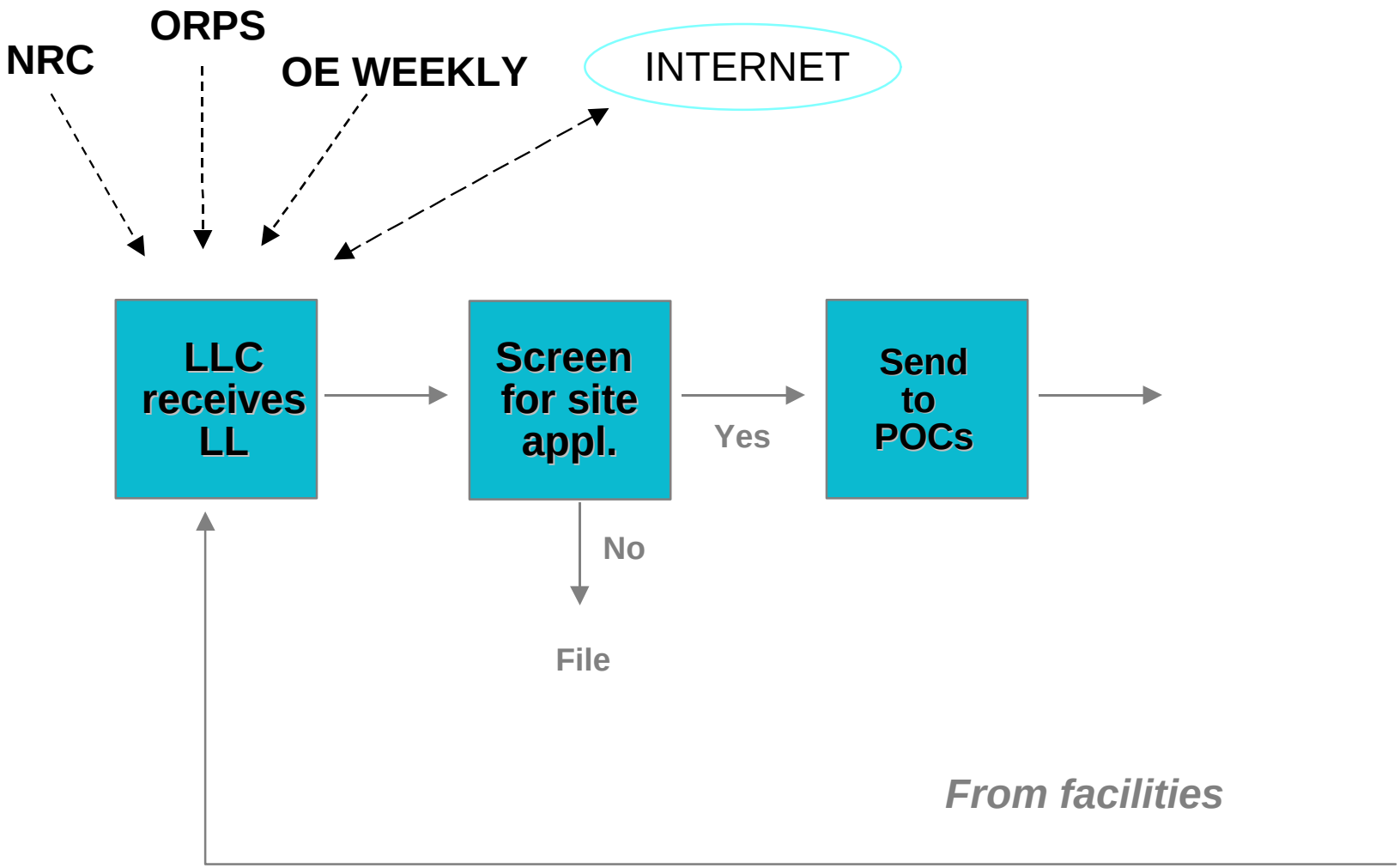
Closure Actions

Submitted by:	***Date:***
Concurrence By: **ISMS Implementation Project**	***Date:***

Date Received:	*Date Validated*	*Date Approved by DOE:*	*DTS Cross Reference*

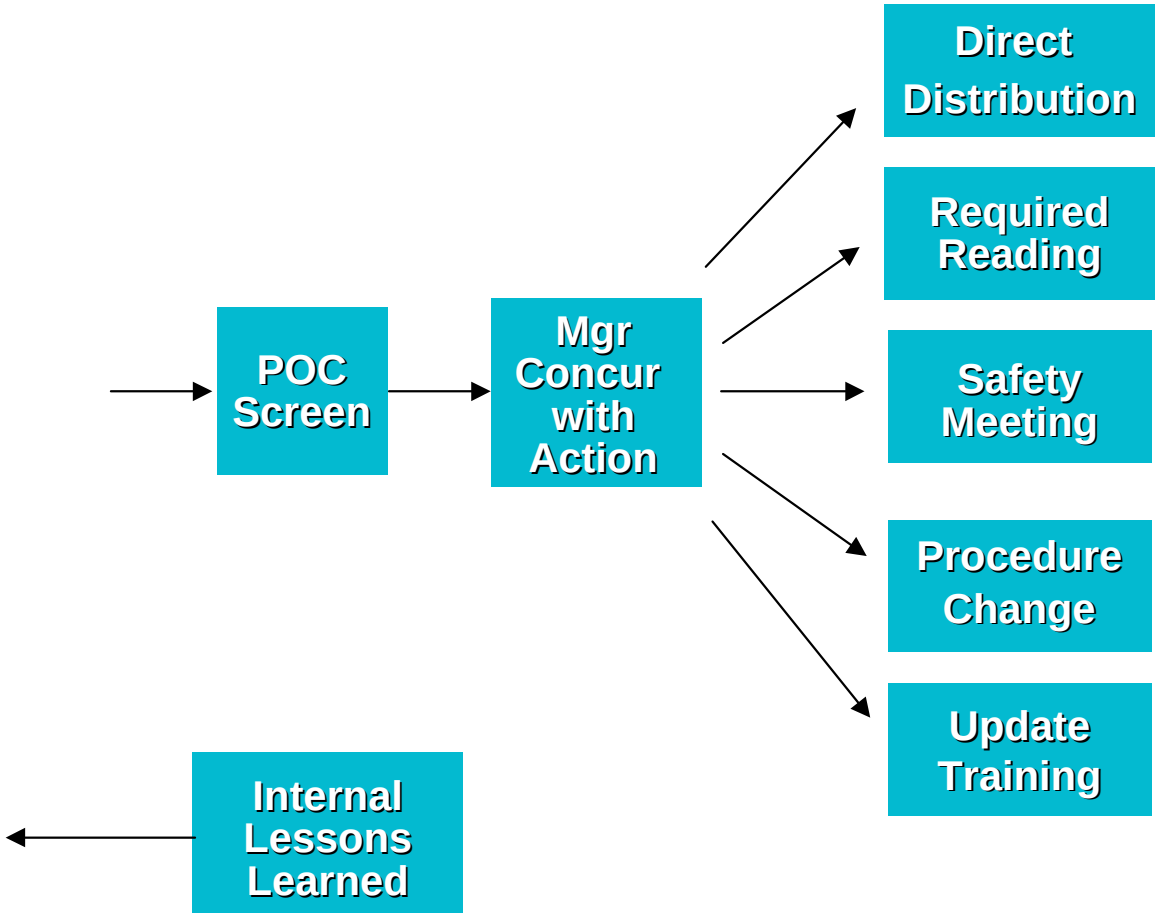
Process Flow

Site Portion



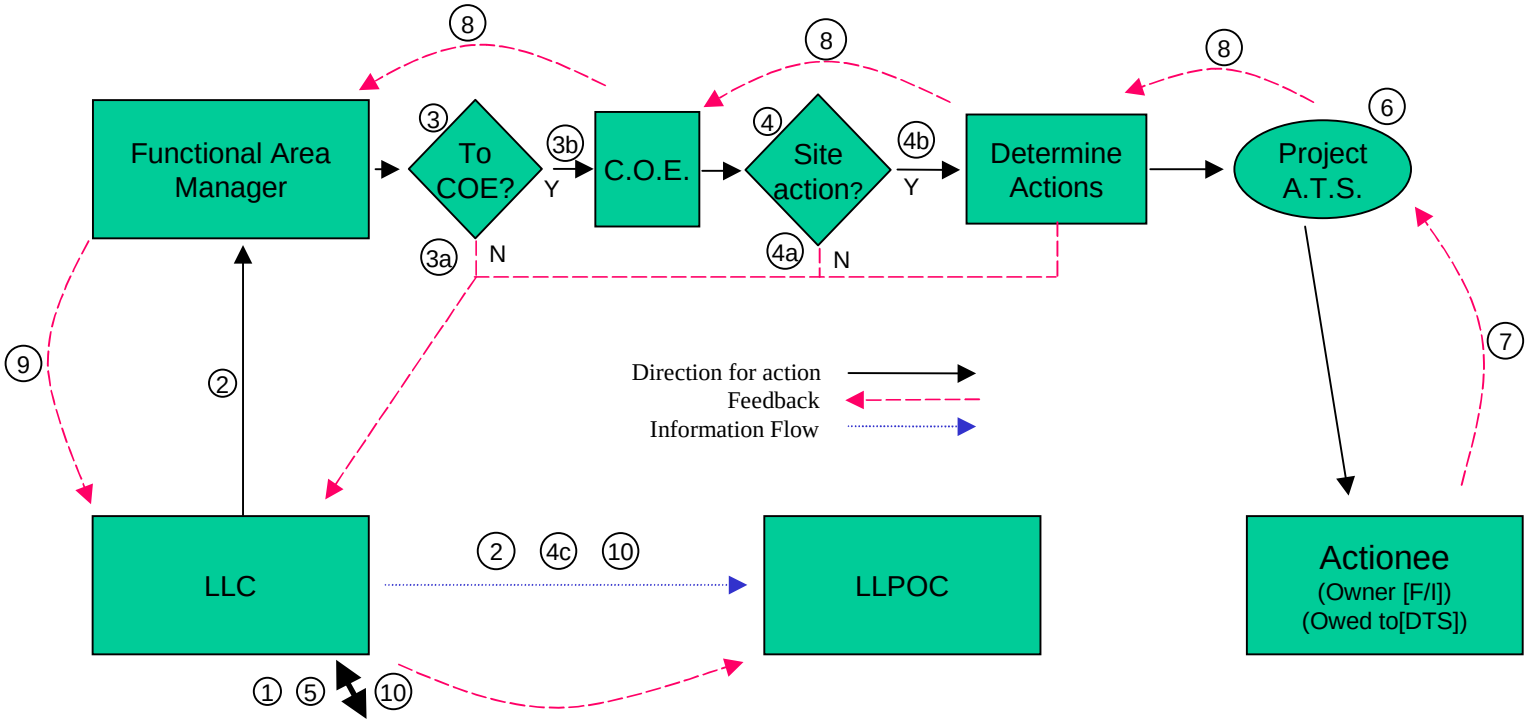
Process Flow

Facility Portion



Actions from LLs

Red & Yellow LLs received from Listserver will follow this process.
The feedback loop may also be used to report successfully applying Green LLs.



Red/Yellow LL #	Cog FAM	N/A	Info	Action/Evaluation	Ref Doc

Tracking database

Identifying and Tracking Actions from Lessons Learned

The following scenario steps through the process for screening RED/Urgent and YELLOW/Caution lessons learned (LL) for action applicability and for tracking those actions to closure.

1) LLC receives a RED or YELLOW LL and enters it into the LL tracking database
2) LLC sends LL to LL POCs for information and to appropriate Functional Area Manager (FAM) who assumes responsibility for resolution.
3) FAM decides whether LL should be taken to Center of Expertise (COE) or other appropriate Council (i.e., there is reasonable probability that a PHMC activity or facility will have action).
   a) If not, FAM informs LLC that no action is required.
   b) If yes, FAM assigns LL to COE.
4) COE determines whether the LL has actions appropriate for PHMC.
   a) If not, COE/FAM informs LLC that no action is required.
   b) If yes, COE decides on appropriate action(s) and informs LLC. COE members take actions to their respective Projects*.
   c) LLC informs LL POCs that action is required.
5) LLC updates database.
6) Projects track their actions to closure. A project specific Action Tracking System (ATS) or the Site Deficiency Tracking System (DTS) can be used.
7) Actionee completes assigned action and reports same in ATS
8) Project COE member informs FAM/ COE chairperson that action is complete.
9) When all actions are completed, FAM/COE chairperson notifies LLC that action item is closed.
10) LLC updates database and notifies LL POCs that action item is closed.

Discussion notes:

Centers of Excellence (COEs) are composed of functional area experts representing projects and facilities. The term COE as used in this text is meant to include all chartered committees or councils with responsibilities for a particular area such as Hoisting and Rigging, Radiological Controls, Safety, Finance, Procurement, etc.

Actionee is defined as the individual listed in an action tracking system (ATS) as responsible for performing or having someone else perform an assigned action.

* Assumes that actions are within the present work scope of the projects. Actions that are outside the work scope must go through the baseline change control process.