



LESSONS LEARNED AND BEST PRACTICES PROGRAM MANUAL

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Approved by: James Krupnick

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**Ernest Orlando Lawrence
Berkeley National Laboratory**

RECORD OF REVISION

Revision Number	Date Approved	Description of Revision
1	9/17/09	Clarify roles and responsibilities, address retirement of Lessons Learned/Best Practices briefings, address process by which external Lessons Learned briefings are reviewed and incorporated into the LBNL Lessons Learned system, and address effectiveness of Lessons Learned and Best Practices.

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1.0 INTRODUCTION

This document provides requirements and guidelines for conducting a Lessons Learned and Best Practices Program within Lawrence Berkeley National Laboratory (LBNL) to ensure ongoing improvement of safety and reliability, prevent the recurrence of significant adverse events/trends, and determine implementation strategies that will help LBNL successfully meet the missions and goals set forth by the Department of Energy (DOE).

Based on LBNL's and other DOE facilities' operating experience, Lessons Learned and Best Practices Briefings will be developed and distributed to applicable personnel and organizations.

The Office of Contract Assurance (OCA) manages and oversees the Lessons Learned and Best Practices Program. The institutional Lessons Learned and Best Practices Administrator works in the OCA.

This procedure applies to personnel who initiate Lessons Learned/Best Practices Briefings or who are assigned to perform activities using this document.

Events, issues, or incidents that may have a significant impact on safety and operations and/or could lead to potential fines for regulatory infractions will be identified and addressed in Lessons Learned Briefings. Lessons Learned from LBNL may be applicable to other national laboratories across the Department of Energy (DOE) complex.

Cognizant managers (CMs)/Designees are responsible for ensuring that Lessons Learned Briefings for these events, issues, or incidents are developed and delivered to target audiences. CMs/Designees are responsible for ensuring that lessons learned and best practices are considered during work planning activities and implemented, as applicable.

Effectiveness of Lessons Learned and Best Practices is evaluated on a periodic basis.

Lessons Learned Briefings and materials are maintained in and are available to LBNL personnel via the Lessons Learned/Best Practices Database.

Lessons Learned material and sources may include, but are not limited to, the following:

- United States Department of Energy (DOE) Safety Notices
- Nuclear Regulatory Commission (NRC) Bulletins/Notices
- Price Anderson Amendment Act (PAAA) Non-Compliance Tracking System (NTS) Reports
- External Occurrence Reporting and Processing System (ORPS) Reports

- Internal ORPS Summary Reports
- DOE Environmental Safety and Health (ES&H) Lessons Learned Bulletins
- Nonconformance Reports (NCRs)
- Corrective Action Requests (CARs)
- Other pertinent industry documents

Records generated during the performance of this procedure are maintained in accordance with the Regulations and Procedures Manual (RPM) and include:

- Lessons Learned/Best Practices documentation, as applicable
 - Briefing
 - Attendance Roster(s)
 - Supporting Material(s)
- Lessons Learned/Best Practices Database
- Lessons Learned/Best Practice Feedback Form
- Effectiveness Review results

2.0 REQUIREMENTS

References

Baseline Documents

- Department of Energy Order (DOE O) 210.2, *DOE Corporate Operating Experience Program*
- DOE O 226.1, *Implementation of Department of Energy Oversight Policy*
- DOE O 231.1A, *Environmental, Safety and Health Reporting*
- DOE O 225.1A, *Accident Investigations*
- DOE P 450.4, *Safety Management System Policy*

Referenced Documents

- *Regulations and Procedures Manual*
- OIA-OCA-0002, *Lessons Learned/Best Practices Database User Manual*

3.0 RESPONSIBILITIES

3.1 Initiator

- 3.1.1 Collects and reviews Lessons Learned/Best Practices material that supports Lessons Learned/Best Practices Briefings
- 3.1.2 Identifies target audiences for Lessons Learned/Best Practices Briefings
- 3.1.3 Develops Lessons Learned/Best Practices Briefings
- 3.1.4 Resolves comments with Reviewers

3.2 Reviewer

- 3.2.1 Reviews and approves Lessons Learned/Best Practices Briefings prior to dissemination
- 3.2.2 Resolves comments with the Initiator

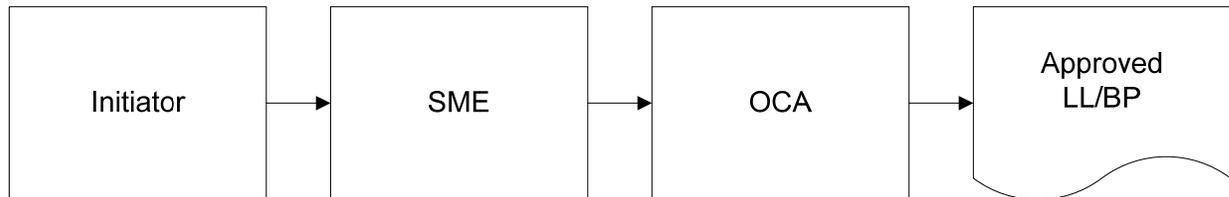
3.3 Subject Matter Expert (SME)

- 3.3.1 Reviews and approves Lessons Learned/Best Practices Briefings prior to dissemination
- 3.3.2 Reviews disseminated Feedback Forms
- 3.3.3 Resolves feedback from Target Audience
- 3.3.4 Determines, in conjunction with OCA, lessons learned or best practices that may be applicable to other DOE sites
- 3.3.5 Determines applicability of externally generated lessons learned or best practices to LBNL
- 3.3.6 Documents the applicability determination of externally generated lessons learned or best practices to LBNL
- 3.3.7 May work with OCA to document and disseminate externally generated lessons learned or best practices using the LBNL Lessons Learned and Best Practices database
- 3.3.8 Determines the effectiveness of Lessons Learned/Best Practices program within area of responsibilities

- 3.4 Institutional Lessons Learned Administrator
 - 3.4.1 Manages the Lessons Learned/Best Practices Program
 - 3.4.2 Reviews and approves Lessons Learned/Best Practices Briefings prior to dissemination
 - 3.4.3 Disseminates Lessons Learned/Best Practices Briefings via the Lessons Learned/Best Practices database
 - 3.4.4 Determines if a Lessons Learned Briefing is applicable to other DOE sites
 - 3.4.5 Submits lessons learned or best practices applicable to other DOE sites to the DOE Corporate Operating Experience Program
 - 3.4.6 Forwards externally generated lessons learned or best practices to SMEs for review of applicability to LBNL
 - 3.4.7 Works with SMEs to document and disseminate externally generated lessons learned or best practices using the LBNL Lessons Learned and Best Practices database
 - 3.4.8 Determines the effectiveness of Lessons Learned/Best Practices program from an institutional perspective

- 3.5 CM/Designee
 - 3.5.1 Ensures lessons learned and best practices are considered during work planning activities
 - 3.5.2 Ensures lessons learned and best practices are implemented, if applicable
 - 3.5.3 May disseminate Lessons Learned/Best Practices Briefings to impacted personnel within organization
 - 3.5.4 May provide feedback on applicable Lessons Learned Briefings to determine effectiveness of Lessons Learned Program within area(s) of responsibility
 - 3.5.5 Determines, in conjunction with OCA, lessons learned or best practices that may be applicable to other DOE sites

Lessons Learned/Best Practice Review Process



4.0 LESSONS LEARNED DEVELOPMENT

Initiator

- 4.1 Obtain copies of applicable Lessons Learned material, if applicable.
- 4.2 In conjunction with the Subject Matter Expert (SME), review the Lessons Learned material to determine applicability to LBNL and ensure that it:
 - 4.2.1 Provides significant new information for LBNL, other facilities, sites or programs
 - 4.2.2 Has direct relevance to LBNL
 - 4.2.3 Has the potential to be the basis for significant improvements or cost savings
- 4.3 Perform research on the incident, event, or issue, as applicable.

NOTE

Specific software and hardware requirements, user interface, and guidelines on completing database fields are addressed in OIA-OCA-0002, *Lessons Learned/Best Practices Database User Manual*. This manual is located on the Lessons Learned and Best Practices website.

- 4.4 Enter the Lessons Learned information, including supporting documentation into the Lessons Learned/Best Practices Database

NOTE:

Reviewer is a generic term that may include Cognizant Management or their designees, SMEs, OCA, or general employees. Reviewers may be automatically identified by the database based on the Category and Subcategory selected and/or may be added manually.

4.5 Identify additional Reviewers, if necessary.

4.6 Electronically route the Briefing for review.

NOTE:

Once the appropriate reviewers have approved the Lessons Learned Briefing, the Initiator is notified that the LL Briefing has been approved and the Lessons Learned Briefing is electronically disseminated to the target audience.

Reviewer

4.7 Upon receipt of the new Lessons Learned Briefing, review to ensure that it is applicable, complete, and correct.

4.8 Resolve any issues with the Initiator, if applicable.

4.9 Identify additional reviewers, if applicable.

4.10 Electronically approve the Lessons Learned Briefing, by selecting the “Approved” button to electronically disseminate the Lessons Learned Briefing to the appropriate target audience.

CM/Designee

4.11 If personnel identified as part of the target audience do not have access to email, ensure that the Lesson Learned Briefing is disseminated (e.g. routing hard copies of briefings or addressing the lesson learned in meetings).

4.12 Consider the Lessons Learned Briefing during work planning activities and implement, if applicable.

CM/Designee/SME/ Institutional Lessons Learned Administrator

4.13 Determine if the Lessons Learned Briefing is applicable to other DOE sites.

Institutional Lessons Learned Administrator

4.14 If the Lessons Learned Briefing is applicable to other DOE sites, ensure submittal of the Briefing to the DOE Corporate Operating Experience Program.

5.0 BEST PRACTICES DEVELOPMENT

Initiator

- 5.1 Obtain Best Practices material, if applicable.

NOTE

Specific software and hardware requirements, user interface, and guidelines on completing database fields are addressed in OIA-OCA-0002, *Lessons Learned/Best Practices Database User Manual*. This manual is located on the Lessons Learned and Best Practices website.

- 5.2 Enter the Best Practices information, including supporting documentation, into the Lessons Learned/Best Practices Database and route the Briefing for review.

NOTE:

Reviewer is a generic term that may include Cognizant Management, SMEs, OCA, or general employees. Reviewers may be automatically identified by the database based on the Category and Subcategory selected. Additional reviewers may be added manually.

- 4.15 Identify additional Reviewers, if necessary.
- 4.16 Electronically route the Briefing for review.

NOTE:

Once the appropriate reviewers have approved the Best Practices Briefing, the Initiator is notified that the Best Practices Briefing has been approved and it is electronically disseminated to the target audience.

Reviewer

- 5.3 Upon receipt of the new Best Practices Briefing, review to ensure that it is applicable, complete, **AND** correct.
- 5.4 Resolve any issues with the Initiator, if applicable.
- 5.5 Identify additional reviewers, if applicable.
- 5.6 Electronically approve the Best Practices Briefing, by selecting the “Approved” button to electronically disseminate the Best Practices Briefing to the appropriate target audience.

CM/Designee

- 5.7 If personnel identified as part of the target audience do not have access to email, ensure that the Best Practices Briefing is disseminated, which may include routing hard copies of briefings or addressing the best practice in meetings.

- 5.8 Consider the Best Practices Briefing during work planning activities and implement, if applicable.

CM/Designee/SME/ Institutional Lessons Learned Administrator

- 5.9 Determine if the Best Practices Briefing is applicable to other DOE sites.

Institutional Lessons Learned Administrator

- 5.10 If the Best Practices Briefing is applicable to other DOE sites, ensure submittal of the Briefing to the DOE Corporate Operating Experience Program.

6.0 EXTERNALLY GENERATED LESSONS LEARNED AND BEST PRACTICES

Institutional Lessons Learned Administrator

- 6.1 Upon receipt of externally generated Lessons Learned and Best Practices material review for potential applicability to LBNL.

- 6.2 Forward to the appropriate SME for review and determination of applicability

SME

- 6.3 Upon receipt of the externally generated Lessons Learned and Best Practices material to determine applicability to LBNL and ensure that it:

6.3.1 Provides significant new information for LBNL, other facilities, sites or programs

6.3.2 Has direct relevance to LBNL

6.3.3 Has the potential to be the basis for significant improvements or cost savings

- 6.4 Document the applicability determination of the externally generated Lessons Learned or Best Practices and forward it to OCA.

Institutional Lessons Learned Administrator

- 6.5 Maintain the applicability determination

- 6.6 Work with the SMEs to document and disseminate the Lessons Learned or Best Practices via the LBNL Lessons Learned and Best Practices database.

Institutional Lessons Learned Administrator or SME

- 6.7 Enter the Lessons Learned information, including supporting documentation into the Lessons Learned/Best Practices Database

NOTE:

Reviewer is a generic term that may include Cognizant Management or their designees, SMEs, OCA, or general employees. Reviewers may be automatically identified by the database based on the Category and Subcategory selected and/or may be added manually.

- 6.8 Identify additional Reviewers, if necessary.
- 6.9 Electronically route the Briefing for review.

NOTE:

Once the appropriate reviewers have approved the Lessons Learned Briefing, the Initiator is notified that the LL Briefing has been approved and the Lessons Learned Briefing is electronically disseminated to the target audience.

Reviewer

- 6.10 Upon receipt of the new Lessons Learned Briefing, review to ensure that it is applicable, complete, and correct.
- 6.11 Resolve any issues with the Initiator, if applicable.
- 6.12 Identify additional reviewers, if applicable.
- 6.13 Electronically approve the Lessons Learned Briefing, by selecting the “Approved” button to electronically disseminate the Lessons Learned Briefing to the appropriate target audience.

CM/Designee

- 6.14 If personnel identified as part of the target audience do not have access to email, ensure that the Lesson Learned Briefing is disseminated (e.g. routing hard copies of briefings or addressing the lesson learned in meetings).
- 6.15 Consider the Lessons Learned Briefing during work planning activities and implement, if applicable.

7.0 LESSONS LEARNED AND BEST PRACTICES FEEDBACK

NOTE:

Feedback can be provided for all Lessons Learned and Best Practices Briefings via the Lessons Learned/Best Practices database.

Target Audience

- 7.1 Upon receipt of a Lessons Learned/Best Practices Feedback Form, electronically complete the form, and select the “Save” button to route to the appropriate CM, SME, or other designee.

SME/ Institutional Lessons Learned Administrator

- 7.2 Periodically review disseminated Lessons Learned/Best Practices Briefings and Feedback Forms.
- 7.3 Resolve comments, if necessary, with the target audience.

8.0 RETIREMENT OF LESSONS LEARNED AND BEST PRACTICES

SME

- 8.3 Periodically review Lessons Learned/Best Practices Briefings and determine if the Briefing is still applicable to LBNL activities.
- 8.4 If the Briefing is no longer applicable, inactivate the Briefing in the Lessons Learned/Best Practices database.

9.0 LESSONS LEARNED AND BEST PRACTICES EFFECTIVENESS

NOTE:

Effectiveness of Lessons Learned and Best Practices may be performed as part of the Division Self-Assessment and/or Technical Assurance activities.

SME

- 9.3 Periodically determine the effectiveness and implementation of the Lessons Learned/Best Practices program within area of responsibility.
- 9.4 Document the results of the effectiveness determination in applicable assessment reports (e.g. Division Self-Assessment or Technical Assurance reports)

Institutional Lessons Learned Administrator

- 9.5 Periodically, determine the effectiveness and implementation of the Lessons Learned/Best Practices program from an institutional perspective
- 9.6 Document the results of the effectiveness determination.
- 9.7 Submit the results to impacted management, if applicable.
- 9.8 Maintain the effectiveness results.

ATTACHMENT 1 – DEFINITIONS

Best Practice	A best practice is a technique or methodology that, through experience and research, has proven to reliably lead to a desired result. A best practice may be derived from an internal or external source and is used to improve systems, processes, or programs.
Cognizant Manager/Designee	A term used for Line Managers who are responsible for or manage a particular program, project, or organizational area. A Designee is an individual that may be designated by a Cognizant Manager to perform specific roles and/or responsibilities for the Cognizant Manager.
Initiator	A generic term that identifies any individual that enters a Lessons Learned or Best Practices briefing into the Lessons Learned and Best Practices database.
Lessons Learned	A lesson that is derived from an event, incident or implementation and evaluation of a system, process or program that is used to identify strengths and weaknesses. A lesson learned may be derived from an internal or external source and is used to improve systems, processes or programs.
Lessons Learned Administrator	The institutional program manager of the Lessons Learned and Best Practices Program, who is part of the Office of Contract Assurance
Reviewer	A generic term that may include Cognizant Management or their designees, SMEs, OCA, or general employees who are assigned to review a Lessons Learned or Best Practices briefing for applicability to LBNL, technical accuracy, potential inclusion in the DOE HQ database and approve the briefing prior to dissemination to the target audience.
Subject Matter Expert	A term used for a person who is considered the technical expert or Point-of –Contact for a particular functional area. Subject Matter Experts for Environmental, Safety and Health related subject areas are considered technical experts in a specific functional area. Subject Matter Experts for non-ES&H related subject areas are considered to be technical experts and/or Points-of –Contact for a specific functional area.