

**Desk Instruction 1.4
"Coordination of
Assessment Lessons Learned"**

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Revision 0

Approved by: _____

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1.0 Introduction

This handbook elaborates on the policy and procedures for managing assessment lessons learned for the WTP and Hanford Tank Farms. Lessons learned will be coordinated and documented as needed from assessment actions.

A lesson learned is an experience, example, observation, or positive insight that constitutes a good (better) work practice, or defines and identifies the solution to a problem which could be of benefit to the ESQ in future similar activities, or to other outside activities. It can be a good work practice or innovative approach that is captured and shared to promote repeat application. A lesson learned may also be an adverse work practice or experience that is captured and shared to avoid recurrence.

2.0 Expectations

- a. The purpose of the ESQ lessons learned system is to share and use information to:
(1) identify strengths in the safety assessment program and build upon them, or (2) identify weaknesses and implement improvements.
- b. Information for the lessons learned system is obtained primarily from assessments of the ESQ activities. There are, however, other sources of useful information. Examples include ESQ staff personal experiences, training evaluations, and feedback from review teams.
- c. This system is designed to facilitate sharing of information in a consistent manner. Additionally, the ESQ lessons learned system shall be coordinated and consistent with the "Lessons Learned Management Plan" described in DOE Safety Management Function Directive, 411.1-1, Revision 2.

3.0 Application

- a. The lessons learned system shall be implemented within the ESQ to consistently (1) categorize information learned from assessments, or obtained from other resources, (2) determine appropriate responses, and (3) achieve corrective actions.
- b. Lessons learned information will be used to optimize the ESQ's ability to correct defects or strengthen areas requiring performance enhancements, improve decision making, and interact with other management tools (e.g., ESQ Planning, Budgeting and Reporting). The ESQ staff is expected to apply lessons learned to ensure the assessments and oversight program increases in effectiveness and efficiency.

4.0 Procedures

- a. Any member of the ESQ staff can originate a lessons learned by completing a Lessons Learned Analysis and Recommendation Form (Exhibit II-1).

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- b. The designee responsible for coordinating ESQ lessons learned shall prepare Lessons Learned Analysis and Recommendations Forms, as needed, when applicable lessons learned input is received.
- c. To ensure that lessons learned are captured from assessments, the assigned ESQ staff responsible for responding to the assessment shall ensure the following steps are taken, as needed, as part of the procedures outlined in Part I of this handbook.
- d. Evaluate the assessment's Findings to determine what, if anything, applies to the lessons learned system. The evaluation may include a root cause analysis, if appropriate (e.g., for repetitive deficiencies). Criteria that may be considered include:
 - Are there legal implications to the Finding if no action is taken?
 - Does the Finding warrant a change to procedures to ensure accuracy, fairness, or completeness?
 - Does the Finding have an impact on pending ORP actions?
 - Does the Finding have an impact on completed actions?
 - Does the Finding have an impact on safety?
 - Does the Finding indicate a need for ESQ to improve processes?
- e. If any of the criteria apply, a Lessons Learned Analysis and Recommendation Form will be prepared.

Exhibit II-1 represents the format for an analysis sheet. Using the Priority Descriptor Sheet (Appendix A), the ESQ Director staff assigns a priority to the Lesson Learned action. Once completed, the form should be transmitted to the Assessments Team Lead.

5.0 Protocols

- a. The ESQ Director and Assessments Team Lead ensure, respectively, that the ESQ activities are performed in a way that provides support to the lessons learned program.
- b. The Assessments Team Lead shall review Lessons Learned Analysis and Recommendation Forms and coordinate with the form's originator to determine if the recommended action is appropriate. If required, the responsible control account manager (CAM) shall be notified and assigned responsibility for implementing the corrective action or improvement.

6.0 Actions

- a. The individual responsible for an action resulting from the lessons learned system shall take appropriate action to implement the change.
- b. The Assessments Team Lead, or the Lead's designee, shall coordinate ESQ lessons learned through the RL POC for the Hanford Sitewide Lessons Learned Program in accordance with HNF-PRO-067, "Managing Lessons Learned."
- c. The Assessments Team Lead coordinates training on lessons learned activities for the ESQ staff.

Reference – ORP M 411.1-1, Revision 2, "Safety Management Functions, Responsibilities and Authorities Manual for the U.S. Department of Energy, Office of River Protection."

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Appendix A. Priority Descriptors

LESSON LEARNED	URGENT (Actual, Imminent Impacts to regulatory program)	CAUTIONARY (Potential Impacts to regulatory program if ignored)	GOOD WORK PRACTICE (Promotes or Produces Positive Results)
Compliance	Deficiency or Action that will lead to actual negative impacts to the ORP, WTP, or Tank Farms.	Deficiency or Action that could result in negative impacts to the ORP, the regulatory program, WTP or Tank Farms.	Action, activity, or practice which improves the performance of the ORP or enhances the regulatory program.
Office Practices	Deficiency or Action that will lead directly to administrative or personnel actions.	Deficiency or Action that could result in negative impacts to DOE administrative practices.	Action, activity, or practice that promotes teamwork, economy, and/or efficiency.
Management & Administration	Significant management violations including fraud, abuse, and discrimination.	Identified actions reflecting failure to operate within DOE management rules and regulations.	Action, activity, or practice which improves DOE management performance.
Public Interest	Action or activity that erodes the public trust in the DOE.	Action or activity that could result in less public trust in DOE performance.	Action, activity, or practice that promotes benefits the public.

