UK Resilience Academy

Lessons Management Best Practice Guidance: Annexes

UK Resilience Academy

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Contents

ANNEX 1: Linked Documents and Resources

1.1 Linked doctrine and guidance:

- **Community Resilience Development Framework, 2019**
- **Emergency PreparednessResponding to Emergencies: The UK Central Government Concept of Operations**
- Exercising Best Practice Guidance
- **JESIP Joint Doctrine: The Interoperability Framework (Version 3.1)**
- **JESIP Joint Organisational Learning (JOL) Guidance**
- **National Resilience Standards for Local Resilience Forums**
- **The Lead Government Department and its role – Guidance and Best Practice**
- **The Roles of Lead Government Departments, Devolved Administrations and Other Public Bodies**

1.2 Helpful reading and resources to support lessons analysis

- **Five Whys** - to inform deeper understanding of related issues and root causes
- **Bowtie model:** to exploring causal factors and mitigation opportunities
- **Systems thinking tools:** to map out connections and understand complexities
- **Qualitative analysis:** to help look for patterns in words, phrases, and responses
- **HM Government's Aqua Book:** Guidance for producing quality analysis for government
- **The NATO Alternative Analysis Handbook:** A set of publicly shared analysis techniques
- **PHIA Common Analytical Standards:** Common Analytic Standards to ensure a consistent standard of rigour, integrity, language and best practice across the UK intelligence assessment community

1.3 Helpful reading and resources to support lesson implementation and evaluation

- **HM Government's Magenta Book:** HM Treasury guidance on what to consider when designing an evaluation
- **HM Government's Orange Book:** Management of risk - Principles and Concepts
- **Better Evaluation:** A knowledge platform and global community to create, share and support use of knowledge about how to better plan, manage, conduct and use evaluation
- **"IN CASE" Framework:** a simple, transferable, policy and communications tool to help anticipate potential for any unintended behaviours impacts during intervention

ANNEX 2: Glossary

After Action Reviews (AARs)	A method of evaluation used to collate and examine learning when outcomes of an event have been particularly successful or unsuccessful, to avoid a particularly successful or unsuccessful event, to avoid failure and promote success in the future.[1]
Analysis	The study of a whole by thoroughly examining its parts and their interactions[2], to identify patterns, trends and themes in data.
Cold Debrief	A structured event or meeting, ideally held within days of the event, to review experiences, outcomes, and capture learning.
Deep dive	Internal group sessions that offer space for detailed consideration and exploration of specific issues or thematic areas.
Hot debrief	An event or meeting held straight after an exercise or incident to capture any urgent feedback, important observations and immediate actions, before those involved disperse.
Focus groups	Facilitated group discussions to examine and explore shared, lived experiences of an event or views on a topic.
Key performance indicators (KPIs)	A measurable target that can be used to track progress toward a specific organisational objective, as an indicator of performance.
Lesson	An update in knowledge or understanding that has been gained through experience.[3]
Embedded Lesson	A change implemented in response to a lesson identified, that has since been integrated and consolidated in context, evidenced as retained over time, and is consistently demonstrated in practice.
Embedding	The process of monitoring, assessing, and assuring the integration and retention of implemented learning to consolidate, normalise and habituate changes in response to a lesson identified.
Lesson Identification	The process of capturing, analysing, reviewing, validating, reporting, and sharing lessons evidenced by information captured from an experienced event, exercise or emergency.
Lesson Identified	An evidenced conclusion, based on analysis of observations and insights, describing a problem/issue, details a root cause, and sets out a course of action to achieve positive improvements in practice.[4]

1 NHS England: Patient safety learning response toolkit (2022)
2 NATO, JALLC: The NATO Lessons Learned Handbook, Fourth Edition, 2022
3 Adapted from NATO, JALLC: The NATO Lessons Learned Handbook, Fourth Edition, 2022
4 Australian Institute for Disaster Resilience:Lessons Management Handbook (2019)

Lesson Implementation	The process of leading, planning and acting on lessons identified to achieve improvements that can be evidenced through monitoring, evaluation and reporting on objectives, outputs and outcomes.
Lesson Implemented ('Learned')	An identified lesson that has been actively addressed through a lesson implementation process, resulting in measurable change(s) and positive, evidenced improvements in behaviour and practice.
Lessons Management	A strategic, organised approach to, and oversight of, planned processes and procedures to achieve evidenced learning from experience, in a continual, consistent manner.
Lesson Prioritisation	The process of organising lessons identified, assessing the risk of recurrence and agreeing a priority level for implementation action.
Notable Practice	A practice observed as an effective way of doing something, resulting in a beneficial and/or better than expected outcome that could be replicated or scaled to strengthen future resilience.
Observation	A singular, documented perspective or opinion on a noteworthy problem or practice, in the content of a specific incident, exercise, project or report.[5]
Recommendation	A proposed, viable course of action based on an evidenced lesson, that has been constructed in a SMART manner, and can be acted upon either to reinforce a positive finding or drive improvement.
Transactional Recommendations	A resolvable challenge with tangible/known cause(s) and a clear course of action (e.g., process improvement opportunities,changes to existing plans). Implementation: 1-12 weeks.
Situational Recommendations	A situation-specific challenge with an identified organisation or people group. Implementation method is clear (e.g., training), but action requires situational awareness, or has situational constraints (e.g., existing training schedule). Implementation: 3-12 months.
Transformational Recommendations	A significant, complex challenge spanning network(s) or system(s). Causal factors tend to be less well defined, viable actions require strategic 'bigger picture' delivery mechanisms and increased stakeholder engagement. Implementation: 12-24 months +
Validation	The action of checking or confirming the accuracy, integrity, and quality of a lesson identified.[6]

5 Australian Institute for Disaster Resilience:Lessons Management Handbook (2019) p.33

6 For a fuller definition of 'validation' in the context of civil protection, please see: Exercise Best Practice Guidance

ANNEX 3: Example Learning Capture Templates

1. Observation Capture Template (E.g., for capturing individual observations)

Date	
Event / Exercise	
Observer details *	*Optional, depending on any instructions for anonymity or requirement for contact details
Location	
Title	Short, concise, one sentence summary of a significant issue or practice
Observation	Description of the problem or practise experienced and/or observed
Discussion	Details relating to situational context, consequences, wider impacts
Conclusion and Recommendation	Summary of views on the observation, including any proposed actions and/or prescriptions to the problem, for consideration

2. Cold Debrief Template (E.g. for capturing observations in a group context)

Date of Incident / Event:	
Location:	
Type of event **(e.g., incident, exercise, training, other)**	
Name(s) of debrief team:	
Location of debrief:	
Time and date of debrief:	

Names of attendees and the organisations they represent can also be recorded.

Incident / Event overview (summary of what happened)
Who was involved? (departments/organisations/agencies)
Who took the lead? (departments/organisations/agencies)
What went well and why? (Summary of successful and/or notable practices)
What were the notable areas for improvement? (Description and detail of issues, gaps and challenges experienced)
How could things be done differently next time? (Optional early thinking on potential options to address/resolve/improve issues can be included)

Key Points of Learning

(Key findings to support identification of lessons)

No.	Learning Point	Observer	Organisation	Thematic Area	Action Required	Progress Update

Lead debriefing organisation/department	
Lead debriefer name	
Lead debriefer signature	
Date	

Governance of Debrief Report			
Report sent to		Date	
Report reviewed by		Date	

ANNEX 4: Worked Example - High-Quality Lesson Identified

Three components of a high-quality 'Lesson Identified'	
Context	What was observed and where?
Problem (or Practice)	What were the underlying cause, issue or influencing factors? What did the notable practice involve and why was it effective? What is the rationale for updating or amending existing ways of doing things?
Proposed action (prescription)	What action is required for improvement? How could/why might positive improvements be achieved in response?

Worked Example	
Context:	The provision of agreed, accurate and timely information to the public during a response plays a vital role during an emergency response. There is a requirement for the organisation to maintain arrangements to warn the public and keep them informed in the event of an emergency.
Problem:	During the response, limited knowledge of senior communication clearance processes, and inconsistent lines of communication to those with authority to clear, led to frustration and delay in the release of timely, accurate information to the local community. This had a negative impact on the response, with members of the public congregating at the scene instead of avoiding the area. It also created space for misinformation to spread on social media, and resulted in the perception that the organisation was slow to respond. If unaddressed the problem could recur and hamper future responses, impacting the ability to warn and inform the public, maintain safety at the incident location and avoid negative reputational perceptions.
Proposed action: (prescription)	A review of communication clearance processes is required. Stepped procedures should be agreed, documented and made visible in the operations centre to mitigate the risk of this problem recurring.

ANNEX 5: Lessons Management Register and Implementation Action Tracker

Organisational Lessons Management Register													
Date	Lesson source (Event)	Lesson owner (PoC)	Lesson Identified	Threat/ Hazard (NRR)	Thematic Learning area (category)	Unique REC ID (number)	REC (Detail)	Priority level	Status*	As applicable			
										Oversight (Senior/ accountable PoC)	IMP Action wonder (PoC)	Notes/ document links (e.g., IMP Action Plan)	Progressed to EMB? (Y/N)

Event prefix suggestions EX– Exercise (+number) e.g.,EX674; IN – Incident (+number); EV - Event/Training (+number)

*Status suggestions					
No action	Pending	Assessing	Active	Implemented	Embedding
Reviewed but no taken forward	Reviewed but not prioritised for action at this time	Lesson/ Recommendation in prioritisation process or planning appraisal	Lesson being actively implemented at present time	Implementation Action Plan delivered and evaluated	Implementation evaluation successful, progressed to consolidation and integration

Implementation Action Tracker												
Date	Event ID	Lesson ID	REC detail	Priority level	Status	IMP Action Owner (Senior/ Accountable)	IMP Delivery Lead (PoC/ Responsible)	Key Contacts	Action start date	Review date(s)	Est. end date	M&E details/ IMP progress	Key docs (link)

Abbreviations
REC: Recommendation. **IMP:** Implementation. **EMB:** Embedding **PoC:** Point of Contact
M&E: Monitoring and Evaluation. **NRR:** National Risk Register

ANNEX 6: Example Lessons Management Maturity Matrix[7]

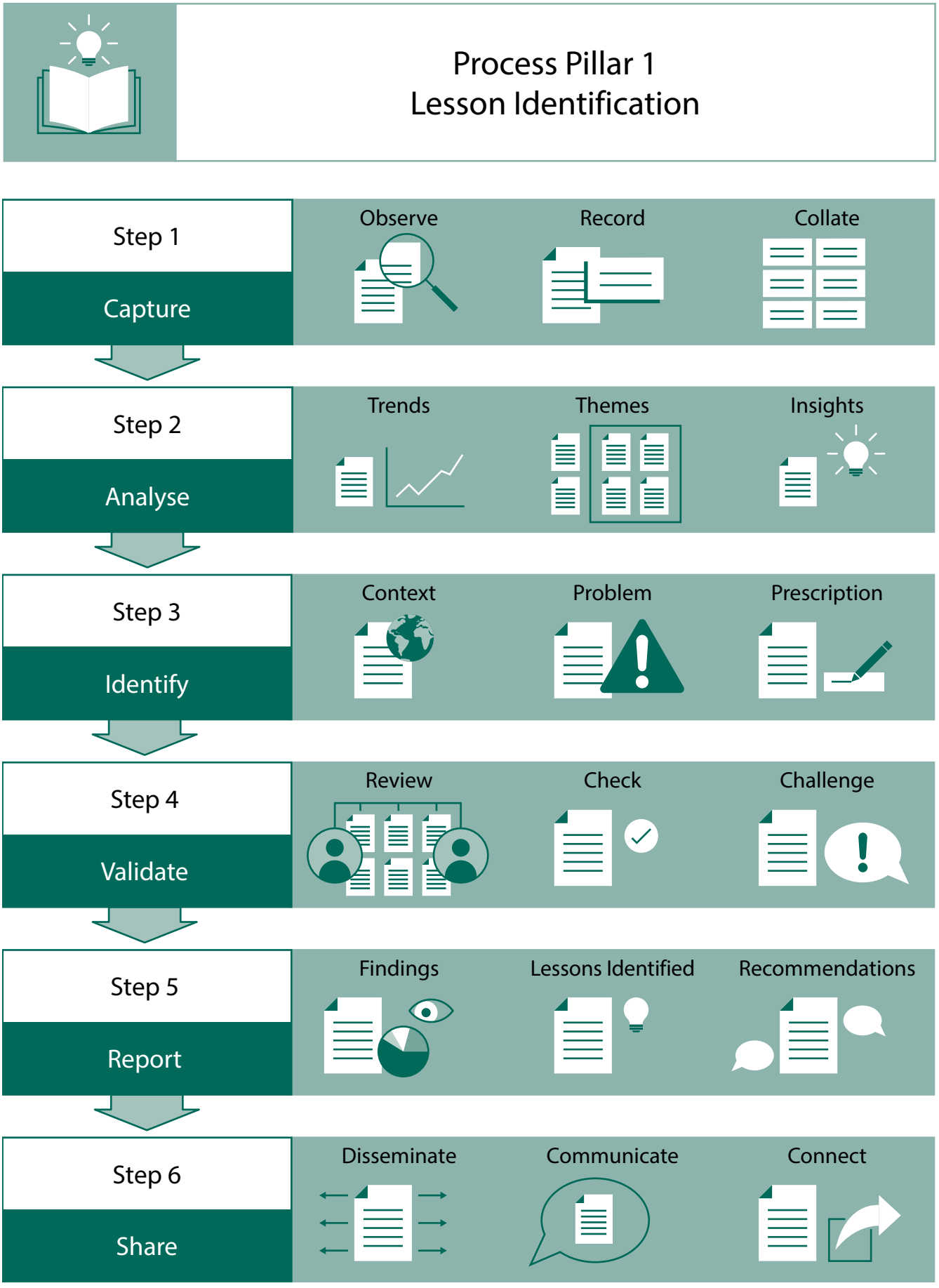
Maturity Approach	Passive Assumed (1)	Reactive Subjective (2)	Managed Objective (3)	Adaptive Reflective* (4)	Generative Reflexive** (5)
Identification	Lessons assumed as 'learned' during the event.	Ad-hoc lesson identification, according to requirement.	Lessons reliably identified/overseen, with planned, documented approach.	Lesson identification integrated into wider governing and policy arrangements.	High-level interest and upward reporting of identified lessons and reviews.
	Potential for issues to recur is minimised.	Identification by assumption, not analysis.	Analysis and validation reliably support objective, quality lessons.	High-quality, credible lessons are reliably identified and used to inform foresight/ innovation.	High quality, reliable processes extend to inform credible capture of lessons from near misses/ normal work.
	No/minimal process for and documentation of identified lessons.	Variable documentation, according to preference.	Consistent documentation demonstrates focus on finding and fixing problems.	Thresholds are in place to direct proportionate documentation, based on event scope/scale.	Proportionate dentification process proactively extended to wider reports, events and reviews.
Prioritisation	Failure to assess the risk of issues recurring in the future.	Assessment of risk is minimal, subjective and ad-hoc.	Assessment of risk is consistent, reliable and objective.	Objective assessment of risk is informed by expert insights and/or wider partners.	High risk, priority actions are aligned and integrated with wider strategic objectives to help expedite action.
	No prioritisation Focus on blame over improving the response.	Minimal/ ad-hoc prioritisation. Focus on reputational impacts.	Priority levels agreed to inform organised action. Decisions documented. Focus on safety/security.	Prioritisation considers common consequences in other risk areas. Focus includes wider resilience.	Accountable prioritisation that is regularly reviewed. Focus includes wider resilience and horizon scanning.

7 Informed by: Australian Institute for Disaster Resilience:Lessons Management Handbook (2019) and BS 65000: 2022 Organisational Resilience – Code of Practice

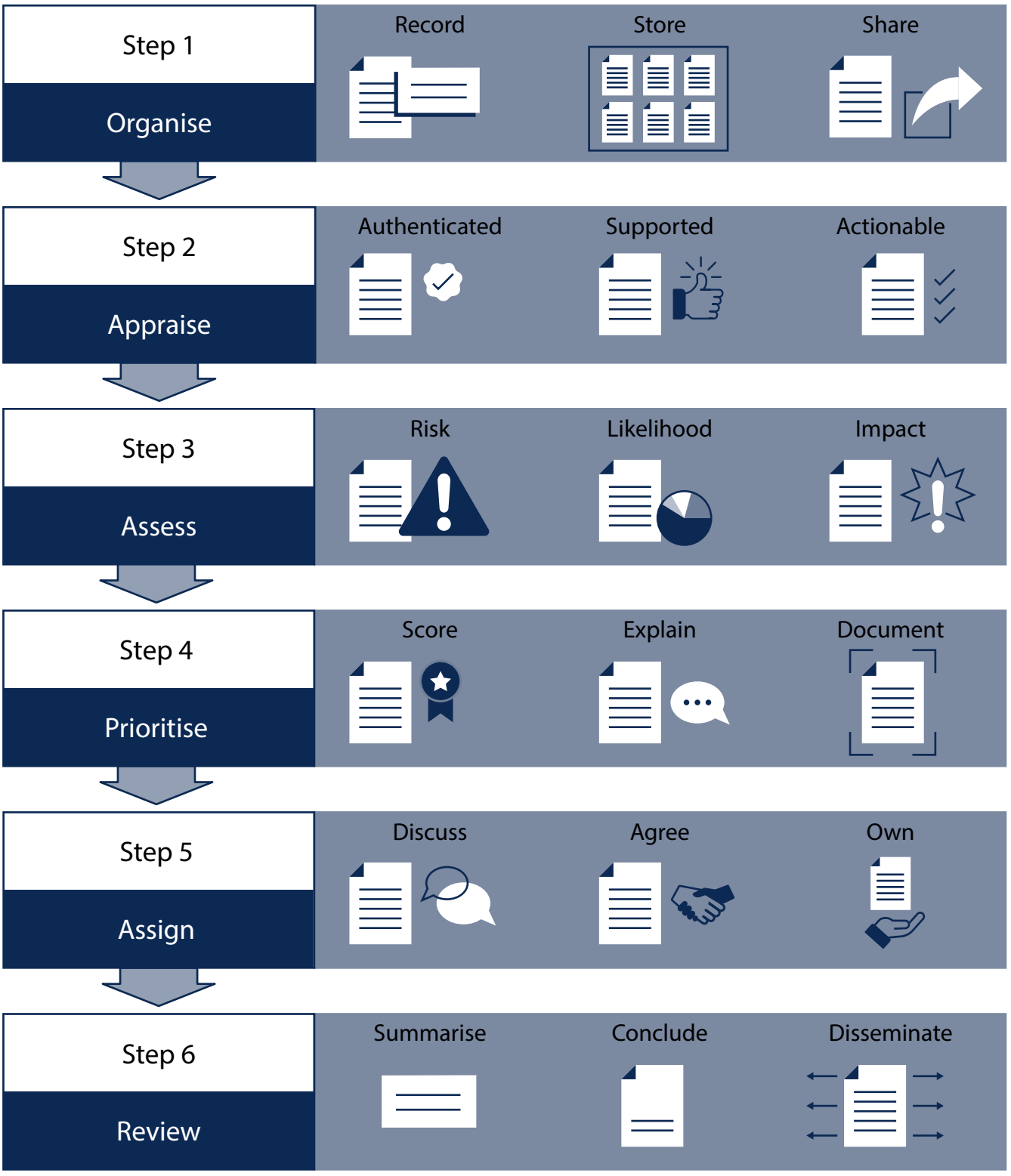
Maturity Approach	Passive Assumed (1)	Reactive Subjective (2)	Managed Objective (3)	Adaptive Reflective* (4)	Generative Reflexive** (5)
Implementation	Lessons rarely considered for action	Unstructured/ ad-hoc action according to requirement	Action is organised, agreed, tracked and delivered in line with documented plans	Action is comprehensive and collaborative change is well communicated and managed.	Implementation action is fluent, reliable and agile, with established processes and success in managing change
	No oversight or senior leadership interest.	Oversight, senior buy-in and authority to enact change is inconsistent.	Reliable support for implementation action is evident. Ownership and authority for change is in place.	Strategic, top-down approach consistently provides proportionate responsibility, accountability, and ownership for actions	Invested, senior oversight extends to continually improve implementation action and management of change
	No behaviour changes.	No/minimal records of implementation planning and action tracking. Minimal change evidenced.	Action consistently documented, monitored and evaluated. Some behaviour changes evidenced/validated.	Behavioural changes consistently achieved, evidenced, validated and assured.	Behavioural changes routinely validated, assured and matured in line with wider organisational activity.
Embedding	Embedding not considered, or assumed to be passive/ organic	Active embedding considered but ad-hoc, and difficult to evidence.	Active embedding is understood, valued, planned and delivered to retain learning and normalise change.	Embedding progress is monitored/ assessed at strategic and operational levels.	Established embedding processes are agile and integrated across the organisation.
	No indicators of embeddedness apparent	Few indicators of embeddedness apparent.	Indicators of embeddedness can be evidenced.	Multiple indicators of embeddedness are consistently evidenced and proactively monitored	Multiple indicators of embeddedness are present over time, indicting permanence of change.

* Reflective practice involves reviewing what has been learnt and how it can be applied in context. ** Reflexive practice builds on reflection to consider how individual or organisational mindsets/attitudes may have influenced learning, or can be adapted as a result of learning.

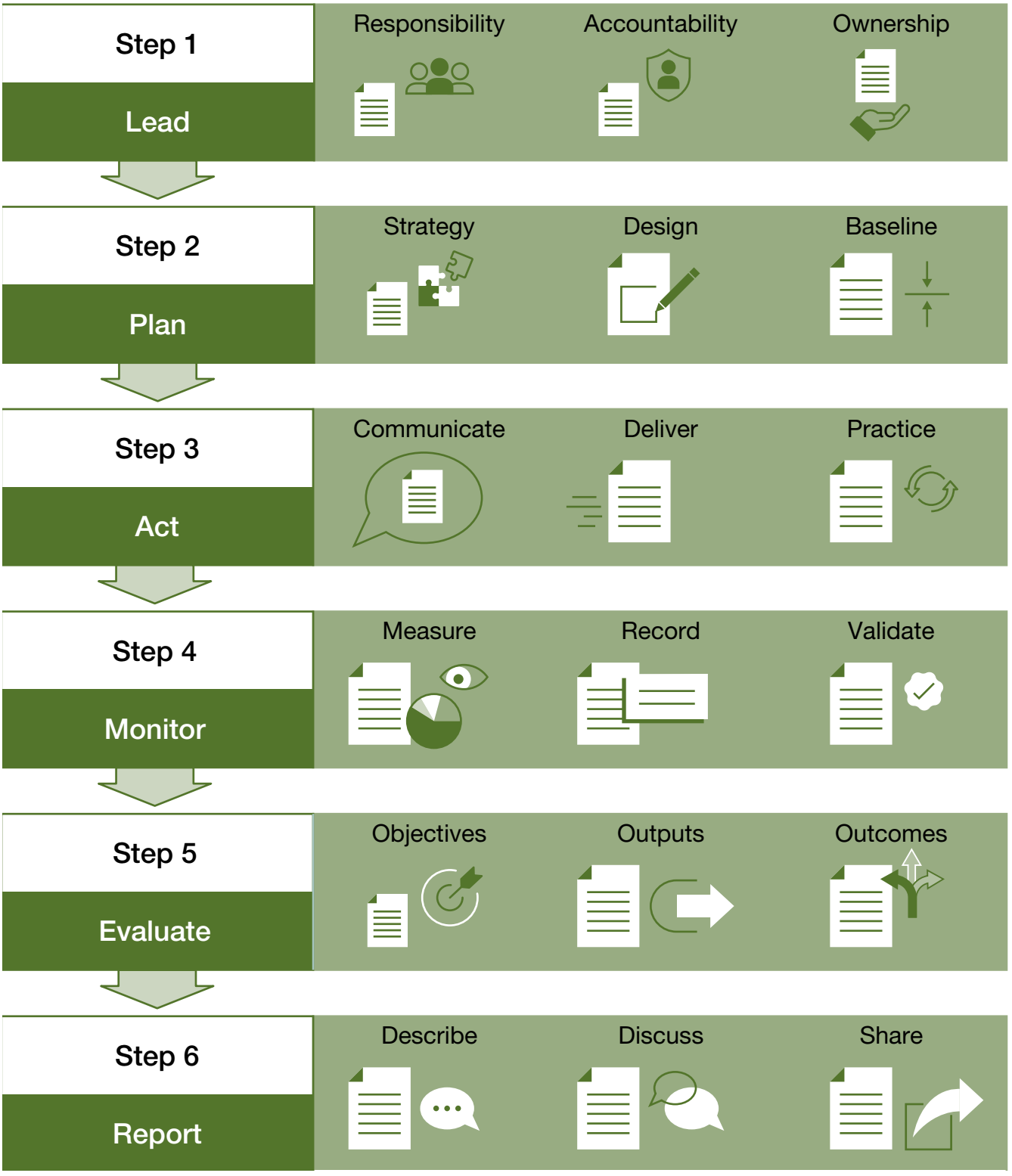
ANNEX 7: Process Pillars: Aide Memoires



Process Pillar 2
Lesson Prioritisation



Process Pillar 3
Lesson Implementation



Process Pillar 4
Embedding Change