

ROOT CAUSE ANALYSIS WORKSHEET

STEP 1 - CONTRIBUTING FACTORS

Use this listing as an aid in identifying the factors that contributed to this event. Don't be limited by the categories listed--add items as needed. Check all that apply.

PROCEDURE(S)	✓	SUPERVISION	✓
Not developed		Insufficient planning for tasks	
Developed, but not communicated		Lack of worker communication	
Developed, but not understood		Lack of supervisor instruction	
Developed, but not followed		Work team breakdown, lack of signals	
Lack of disciplinary policy / enforcement		Confusion after communication	
Other		Other	
TRAINING	✓	PEOPLE / WORK BEHAVIOR	✓
Deficient orientation training		Employee selection / authorization	
Deficient job-specific training		Shortcuts taken	
Insufficient for new conditions		Required PPE not used	
Lack of follow-up or reinforcement		PPE not used properly	
Lack of supervisory training		Overexertion/fatigue/poor body position	
Hazards overlooked in training		Drug/alcohol use/influence	
Other		Other	
HAZARD(S)	✓	PRODUCTION FACTORS:	✓
Unidentified or unanticipated		Heavy workload	
Known but not corrected		Tight schedule	
Created by external factors		Long / unusual working hours	
Documented but not repaired		Falsely perceived need to hurry	
Condition changes not conveyed		Incentive for rushing	
Repaired deficiently		Co-worker competition	
Unforeseen emergency		Changes in staff assignments	
Other		Other	
EQUIPMENT	✓	ENVIRONMENT	✓
Poor/faulty equipment design		Weather, temperature, precipitation	
Wrong equipment selected for the job		Awkward workspace design	
Tool/equipment used incorrectly		Poor housekeeping	
Corrosion/wear		Poor lighting / poor visibility	
Equipment not guarded		Air quality	
Lack of preventive maintenance		Distraction / noise	
Other		Other	

STEP 2 - MAJOR CAUSE

From the categories identified, choose the *major* cause of the incident.

- PROCEDURES
- SUPERVISION
- TRAINING
- PEOPLE / WORK BEHAVIORS
- HAZARDS
- PRODUCTION FACTORS
- EQUIPMENT
- ENVIRONMENT

STEP 3 - ANALYSIS OF MAJOR CAUSE(s):

1. Why did this happen?* _____
2. Why did 1 happen? _____
3. Why did 2. happen? _____
4. Why did 3 happen? _____

Corrective Steps for Major Cause:

1. _____
2. _____

Corrective Steps for Contributory Causes:

1. _____
2. _____

* For each answer to "why?" seek one or more underlying or contributing causes.

*** To assure elimination of all hazards identified above, it may be necessary to repeat the above five steps several times if a major cause appears in more than one category.**