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.*

|  |  |  |  |
| --- | --- | --- | --- |
| Procedures | ✓ | Supervision | ✓ |
| Not developed |  | Insufficient planning for tasks |  |
| Developed but not communicated |  | Lack of communication to workers |  |
| Developed but not understood |  | Lack of supervisor instruction  |  |
| Developed but not followed / Complacency |  | Confusion after communication |  |
| Developed but insufficient |  | Insufficient oversight  |  |
| Lack of disciplinary policy / enforcement |  | Lack of assertiveness |  |
| Other |  | Other |  |
| Training | ✓ | People | ✓ |
| Deficient initial / recurrent training  |  | Employee selection / authorization |  |
| Deficient job-specific training |  | Shortcuts taken / Norms |  |
| Deficient training / Change not managed |  | PPE not used / not used improperly |  |
| Deficient supervisor / supervisory training |  | Overexertion / fatigue / poor body position  |  |
| Common errors overlooked in training |  | Drug / alcohol use / influence |  |
| Laps in training tracking / scheduling  |  | Lack of awareness |  |
| Lack of knowledge |  | Lack of teamwork  |  |
| Other |  | Other |  |
| Hazards | ✓ | Production | ✓ |
| Unidentified or unanticipated  |  | Heavy workload / Lack of resources |  |
| Known but not identified |  | Tight schedule / Stress |  |
| Documented but not yet repaired |  | Long / unusual hours / Change not managed |  |
| Created by external factors |  | Long / unusual hours / Fatigue |  |
| Lack of follow-up or reinforcement |  | Falsely perceived need for hurry / Stress |  |
| Lack of supervisory training |  | Incentive for rushing / Pressure |  |
| Hazards overlooked in training |  | Co-worker competition |  |
| Norms |  | Changes in assignments |  |
| Other |  | Other |  |
| Equipment | ✓ | Environment | ✓ |
| Equipment unavailable / Lack of resources  |  | Weather, temperature, precipitation |  |
| Poorly / faulty equipment design  |  | Awkward workspace design |  |
| Wrong equipment selected for job |  | General cleanliness / untidiness  |  |
| Tool / equipment used incorrectly |  | Poor lighting / poor visibility |  |
| Corrosion / wear |  | Air quality |  |
| Lack equipment training  |  | Distraction / noise |  |
| Lack of equipment maintenance  |  | Distraction / split attention / PED usage |  |
| Other |  | Other |  |

1. MAJOR CAUSes

*Choose the major causes of the incident and note in the appropriate category below.*

|  |  |  |  |
| --- | --- | --- | --- |
| Procedures |  | Supervision |  |
| Training |  | People |  |
| Hazards |  | Production |  |
| Equipment |  | Environment |  |

1. Contributing Causes

Choose the contributing causes of the incident and note in the appropriate category below.

|  |  |  |  |
| --- | --- | --- | --- |
| Procedures |  | Supervision |  |
| Training |  | People |  |
| Hazards |  | Production |  |
| Equipment |  | Environment |  |

1. ANALYSIS OF MAJOR CAUSEs

*Start with the major causes identified in step 2 and answer why. Continue to answer “why” for each subsequent answer until you can no longer identify another cause (remember that some things just are and some things are out of our control). That is the point where you have identified a root cause of the problem.*

|  |  |
| --- | --- |
| 1. Why did this happen?
 |  |
|  |  |
| 1. Why did A happen?
 |  |
|  |  |
| 1. Why did B happen?
 |  |
|  |  |
| 1. Why did C happen?
 |  |
|  |  |
| 1. Why did D happen?
 |  |
|  |  |

1. ANALYSIS OF Contributing CAUSEs

*For each significant contributing cause identified in step3 answer why. Continue to answer “why” for each subsequent answer until you can no longer identify another cause (remember that some things just are and some things are out of our control). That is the point where you have identified a root cause of the problem.*

|  |  |
| --- | --- |
| 1. Why did this happen?
 |  |
|  |  |
| 1. Why did F happen?
 |  |
|  |  |
| 1. Why did G happen?
 |  |
|  |  |
| 1. Why did H happen?
 |  |
|  |  |
| 1. Why did I happen?
 |  |
|  |  |

1. preventative actions

*Develop preventative actions to address the identified root causes from step 3. And contributing causes from step 4*

|  |
| --- |
|  |
|  |
|  |

***NOTE: Repeat steps 4 and 5 as necessary if multiple major causes are identified.***