

Contributing Factors Checklist

Root Cause Analysis

Worksheet

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	

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2. MAJOR CAUSES

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

Procedures		Supervision	
Training		People	
Hazards		Production	
Equipment		Environment	

3. CONTRIBUTING CAUSES

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

Procedures		Supervision	
Training		People	
Hazards		Production	
Equipment		Environment	

4. 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.

A. Why did this happen? _____

B. Why did A happen? _____

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C. Why did B happen?

D. Why did C happen?

E. Why did D happen?

5. ANALYSIS OF CONTRIBUTING CAUSES

For each significant contributing cause identified in step 3 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.

F. Why did this happen?

G. Why did F happen?

H. Why did G happen?

I. Why did H happen?

J. Why did I happen?

6. 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.