

Dig deep to get to the cause. ID# _____

Complete to uncover the root cause of incidents and accidents. Review the possible corrective actions and add your own plan.



Yes?	#	Section Description
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Part 1 – Equipment was a contributing factor.

- If Yes, complete this entire section for Part 1.

	Cause	Possible corrective actions	Your plan
<input type="checkbox"/>	1.1 Defect in equipment, tools, material contributed to hazardous conditions.	Review procedures to inspect, report, maintain, repair, replace, & recall defective equipment.	
<input type="checkbox"/>	1.2 Hazardous condition was recognized but not reported.	<ul style="list-style-type: none"> • Train employees & stress individual accountability. • Review job procedures for hazard recognition and avoidance. 	
<input type="checkbox"/>	1.3 Inspection procedure not in place to detect hazardous conditions.	<ul style="list-style-type: none"> • Develop & adopt procedure to detect hazardous conditions. • Conduct tests regularly. 	
<input type="checkbox"/>	1.4 Existing inspection procedure did not detect hazardous conditions.	Review, improve procedures.	
<input type="checkbox"/>	1.5 The incorrect equipment, tool or material was used.	Specify correct equipment, tool or material in job procedures.	
<input type="checkbox"/>	1.6 Correct equipment, tool or material not readily	<ul style="list-style-type: none"> • Provide correct equipment, tools, or material. • Review purchasing specs, procedures. 	
<input type="checkbox"/>	1.7 Employees didn't know where to obtain equipment, tools or material required for the job.	<ul style="list-style-type: none"> • Review procedures for storage, access, delivery or distribution. • Review job procedures for obtaining equipment, tools and material. 	
<input type="checkbox"/>	1.8 Substitute, incorrect equipment, tools, materials used.	<ul style="list-style-type: none"> • Provide correct procedures, equipment & material. • Warn against substitutions. 	

	<i>Cause</i>	<i>Possible corrective actions</i>	<i>Your plan</i>
<input type="checkbox"/>	1.9 Equipment/tool design created operator stress or encouraged error.	Alter equipment/tools to conform with human capabilities & limitations.	
<input type="checkbox"/>	1.10 General equipment/tool design contributed to hazardous condition.	Review & improve criteria in codes, standards, specs & regulations.	
<input type="checkbox"/>	1.11 Lack of personal protective equipment (PPE) or emergency equipment.	<ul style="list-style-type: none"> Review methods to specify PPE requirements. 	
<input type="checkbox"/>	1.12 Appropriate PPE for task for was NOT specified.	Review methods to specify PPE requirements.	
<input type="checkbox"/>	1.13 PPE used improperly when injury occurred.	<ul style="list-style-type: none"> Determine why and take appropriate actions. Implement procedures to monitor and enforce use of PPE. 	
<input type="checkbox"/>	1.14 PPE inadequate for job performed.	Review PPE requirements, standards, specs & certifications.	
<input type="checkbox"/>	1.15 PPE emergency equipment not specified (showers, eyewash fountains, etc.).	<ul style="list-style-type: none"> Specify & provide required emergency equipment. Install emergency equipment. 	

Yes? # Section Description

Part 2 – Environment was a contributing factor.

- If Yes, complete this entire section for Part 2.

	<i>Cause</i>	<i>Possible corrective actions</i>	<i>Your plan</i>
<input type="checkbox"/>	2.1 Location of equipment, material or employees were contributing factor.	<ul style="list-style-type: none"> Perform job safety analysis & review, improve procedures. Change equipment layout, employee position. Provide guardrails, barricades, signals, etc. 	
<input type="checkbox"/>	2.2 Hazard wasn't recognized.	<ul style="list-style-type: none"> Train employee in observation & risk assessment. Add safety signage. 	

	<i>Cause</i>	<i>Possible corrective actions</i>	<i>Your plan</i>
<input type="checkbox"/> 2.3	Employee was NOT supposed to be in the vicinity of the equipment or material.	<ul style="list-style-type: none"> Review job procedures and instructions. Provide guardrails, barricades, signals or etc. 	
<input type="checkbox"/> 2.4	Hazard created by location of equipment or material, impeding employee visibility.	<ul style="list-style-type: none"> Change lighting or layout to increase visibility of equipment. Provide guardrails, barricades, signals, training, etc. 	
<input type="checkbox"/> 2.5	The workspace was insufficient.	Review workspace requirements & modify requirements.	
<input type="checkbox"/> 2.6	Conditions contributed to incident (lighting, noise, vibration, air contamination, etc.)	<ul style="list-style-type: none"> Monitor environmental conditions as required. Check results against acceptable levels. Initiate action for those found unacceptable. 	

<i>Yes?</i>	<i>#</i>	<i>Section Description</i>
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<input type="checkbox"/>	Part 3 – Procedure was a contributing factor.
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- If Yes, complete this entire section for Part 3.

	<i>Cause</i>	<i>Possible corrective actions</i>	<i>Your plan</i>
<input type="checkbox"/> 3.1	There isn't a written or known procedure for job.	Perform job safety analysis & develop job procedures.	
<input type="checkbox"/> 3.2	Procedures poorly written or incomplete.	Perform job safety analysis & improve procedures.	
<input type="checkbox"/> 3.3	Tasks difficult to perform (excessive concentration, physical demands, etc.)	Perform job safety analysis & change design & procedures.	
<input type="checkbox"/> 3.4	Job structure encouraged or required deviation from procedures (piecework,	Perform job safety analysis & change design & procedures.	

Yes?	#	Section Description
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<input type="checkbox"/>	Part 4	– People were a contributing factor.
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- If Yes, complete this entire section for Part 4.

	Cause	Possible corrective actions	Your plan
<input type="checkbox"/>	4.1 Affected employees NOT mentally / physically capable of performing job	<ul style="list-style-type: none"> Review employee requirements for job, improve selection. Remove or transfer employees incapable of performing job (mentally or physically). 	
<input type="checkbox"/>	4.2 Supervisor / worker failed to detect, anticipate or report hazardous conditions.	<ul style="list-style-type: none"> Improve supervisor's capability in hazard recognition & reporting procedures. Provide hazard recognition training for workers & encourage to report. 	
<input type="checkbox"/>	4.3 Supervisor failed to detect & correct deviations from job	<ul style="list-style-type: none"> Review job safety analysis & job procedures. Correct deviations. 	
<input type="checkbox"/>	4.4 Supervisor / worker failed to review hazards & procedures for infrequent tasks.	Establish procedure requiring review of hazards & procedures for infrequent tasks.	
<input type="checkbox"/>	4.5 Supervisor responsibility inadequately defined or understood.	<ul style="list-style-type: none"> Define & communicate responsibility & accountability. Test for understandability & acceptance. 	
<input type="checkbox"/>	4.6 Supervisor NOT adequately trained to fulfill assigned responsibility in accident prevention.	Train supervisor in accident prevention fundamentals.	
<input type="checkbox"/>	4.7 Hazards identified, but supervisor / worker failed to initiate corrective actions.	<ul style="list-style-type: none"> Review management safety policies & risk acceptance level. Establish severity & probability of recurrence priorities. Encourage hazard recognition & reporting via employee engagement strategies. 	