

## Incident Investigation – Root Cause Analysis

### Purpose:

Identify root cause factors when investigating an accident.

Use the listings as an aid to identify the factors contributing to the accident or “near miss” under investigation. More than one factor may apply in each category. These factors are a guide. List any others that are relevant in the *Unlisted Factors* Section below. This information may then be used to prepare the **Safety and Loss Control Incident Investigation Report**.

**Step 1:** Mark each factor contributing to the accident in each category. In the box next to each category, list the letter designating the primary contributing factor.

### Procedures

<input type="checkbox"/> None in place	<input type="checkbox"/> In place, but not followed
<input type="checkbox"/> In place, but training not received	<input type="checkbox"/> In place, not accurate
<input type="checkbox"/> In place, not understood	<input type="checkbox"/> In place, outdated – need revision
<input type="checkbox"/> In place, unable to comply	

### Hazard

<input type="checkbox"/> Created by man	<input type="checkbox"/> Created by nature/environment
<input type="checkbox"/> Corrected, but deficient	<input type="checkbox"/> Created by external factors
<input type="checkbox"/> Unidentified origin	<input type="checkbox"/> Lack of documentation
<input type="checkbox"/> Previously documented but not corrected	<input type="checkbox"/> Identified but not accepted as a job risk
<input type="checkbox"/> Conditions changed without proper communication/warning	

### Facilities/Equipment

<input type="checkbox"/> Equipment defective	<input type="checkbox"/> Equipment used improperly
<input type="checkbox"/> Lack of proper equipment	<input type="checkbox"/> Lack of audits
<input type="checkbox"/> Equipment failed during use	<input type="checkbox"/> Equipment not maintained properly
<input type="checkbox"/> Poor equipment design	

### Communication

<input type="checkbox"/> Insufficient planning	<input type="checkbox"/> Communication breakdown/workers
<input type="checkbox"/> Lack of safety meetings	<input type="checkbox"/> Communication breakdown/supervisors and workers
<input type="checkbox"/> Confusion after communication	
<input type="checkbox"/> Communication breakdown/work teams	

### Work Organization

<input type="checkbox"/> Supervisor implied work urgency	<input type="checkbox"/> Lack of teamwork
<input type="checkbox"/> External factors caused emergency	<input type="checkbox"/> Employee perceived work urgency
<input type="checkbox"/> Workload too heavy	<input type="checkbox"/> Shortcut taken
<input type="checkbox"/> Inadequate preparation/instruction	

### Training

<input type="checkbox"/> Lack of specific training	<input type="checkbox"/> Tools/equipment not used according to training
<input type="checkbox"/> Previous training did not identify potential hazards/circumstances	<input type="checkbox"/> No training provided for the work done

### Other Factors

<input type="checkbox"/> Weather/Temperature	<input type="checkbox"/> Working too long
<input type="checkbox"/> Lack of experience	<input type="checkbox"/> Physical overexertion
<input type="checkbox"/> Ergonomics/body position	<input type="checkbox"/> Unfamiliar with work environment
<input type="checkbox"/> Use/lack of use of personal protective equipment	

### Unlisted Factors

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**Step 2:** Review all the factors which contributed to the incident to determine what conditions contributed to causation. Apply the results of this analysis to completing the department’s Safety and Loss Control Incident Investigation Report. This information may also be used to analyze “near miss” incidents. The goal is to apply corrective action to prevent recurrence of similar incidents.