SUNBELT CONTROLS

Appendix 33-B
Root Causation Analysis

Part 1 Equipment – equipment, tools and/or materials were a contributing factor ☐ YES ☐ NO

YES	NO	Causal Factors	Comments & Recommended Action(s)
☐	☐	Did equipment/tool defects contribute?	
☐	☐	Was there an equipment/tool inspection process?	
☐	☐	Was the inspection process completed as required?	
☐	☐	Was the correct equipment/tool/material utilized?	
☐	☐	Was the correct equipment/tool/material readily available?	
☐	☐	Was substitute equipment/tools/material used in place of correct ones?	

List any other equipment/tool/material causal factors.	

Part 2 Work Environment – location of the equipment, material and/or employee was a contributing factor ☐ YES ☐ NO

YES	NO	Causal Factors	Comments & Recommended Action(s)
☐	☐	Did the location/position of equipment/material/ employees contribute to the incident?	
☐	☐	Was the hazardous scenario recognized by the employee?	
☐	☐	Was the employee supposed to be near the equipment/material?	
☐	☐	Was the hazardous scenario visible to the employee?	
☐	☐	Was there sufficient space to conduct work activities?	
☐	☐	Were there any contributing environmental conditions? (noise levels, temperature, illumination, ventilation)	

List any other environment causal factors.	

Part 3 Employee – activities conducted by the employee were a contributing factor ☐ YES ☐ NO

YES	NO	Causal Factors	Comments & Recommended Action(s)
☐	☐	Was there a written task/risk assessment or known rule for this work?	
☐	☐	Does the current risk assessment anticipate this type of incident?	
☐	☐	Was the employee aware of the proper procedure?	
☐	☐	Did the employee deviate from the proper procedure?	
☐	☐	Was the employee mentally and physically capable of performing the work?	
☐	☐	Was there a lack of required PPE utilization?	
☐	☐	Was appropriate PPE available	
☐	☐	Did the employee know the PPE was required?	

SUNBELT CONTROLS

Appendix 33-B
Root Causation Analysis

Part 3 Employee (CONT'D) – activities conducted by the employee were a contributing factor ☐ **YES** ☐ **NO**

YES	NO	Causal Factors	Comments & Recommended Action(s)
☐	☐	Did the employee know how to use the PPE properly?	
☐	☐	Was available PPE used properly?	
☐	☐	Was the PPE adequate?	
List any other employee causal factors.			

Part 4 Supervision – supervisory system was a contributing factor ☐ **YES** ☐ **NO**

YES	NO	Causal Factors	Comments & Recommended Action(s)
☐	☐	Was there a failure by management and/or supervision to detect a hazardous condition, deviation from safety policy or infrequently performed task?	
☐	☐	Was there a failure by management and/or supervision to take corrective action for a known hazardous condition, deviation from safety policy or infrequently performed task?	
☐	☐	Was managerial and/or supervisory responsibility for accident detection and prevention adequately defined and understood?	
☐	☐	Was management and/or supervision adequately trained to fulfill assigned responsibility for accident detection and prevention?	
List any other managerial/supervisory causal factors.			

Recommended Actions include, but are not limited to; re-training or new training, new and/or more equipment, new processes, responsibility assignments (clarified job and duty descriptions), revised or all-new risk assessments, changes in staff size or work assignment loads, etc.