

Guide to Identifying Casual Factors and Corrective Actions Part I

<input type="checkbox"/> Yes <input type="checkbox"/> No		1.0	Was a hazardous condition(s) a contributing factor? If yes, answer the following. If no, proceed to Part 2.		
Yes	No	Casual Factors	Comment	Possible Corrective Actions	Recommended Corrective Actions
		1.1 Did any defects in equipment/tool(s)/ materials contribute to hazardous conditions?		Review procedure for inspecting, reporting, maintaining, repairing, replacing or recalling defective equipment/tool(s)/ materials used.	
		1.2 Was the hazardous condition(s) recognized? If yes, answer A and B. If no, proceed to next question. A. Was the hazardous condition(s) reported? B. Were employees informed of the hazardous condition(s) and the job procedures for dealing with it as an interim measure?		Perform job safety analysis. Improve employee ability to recognize existing or potential hazardous conditions. Provide test equipment, as required, to detect hazard. Review any change or modification to equipment/tool(s)/ materials. Train employees in reporting procedures. Stress individual acceptance of responsibility. Review job procedures for hazard avoidance. Review supervisor responsibility. Improve supervisor-employee communication. Take action to remove or minimize hazard.	

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Yes	No	Casual Factors		Comment	Possible Corrective Actions	Recommended Corrective Actions
		1.3 Was there an equipment inspection procedure(s) to detect the hazardous condition(s)?			Develop and adopt procedures (i.e., an inspection system) to detect hazardous conditions. Conduct test.	
		1.4 Did the existing equipment inspection procedures detect the hazardous conditions?			Review procedures. Change frequency or comprehensiveness. Provide test equipment as required. Improve employee ability to detect defects and hazardous conditions. Change job procedures as required.	
		1.5 Were the correct equipment/tools/materials used?			Specify correct equipment/tools/materials in job procedures.	
		1.6 Were the correct equipment/tools/materials readily available?			Provide correct equipment/tools/materials. Review purchasing specifications.	
		1.7 Did employees know where to obtain equipment/tools/materials required for the job?			Review procedures for storage, access, delivery or distribution. Review job procedures for obtaining equipment/tools/materials.	
		1.8 Was substitute equipment/tool(s)/materials used in place of correct ones?			Provide correct equipment/tool(s)/materials. Warn against use of substitutes in job procedures and in job construction.	

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		1.9 Did the design of the equipment/tool(s) create operator stress or encourage operator error?		Review human factors engineering principles. After equipment/tool(s) to make it more compatible with human capability and limitations. Review purchasing procedures and specifications. Check out new equipment and job procedures involving new equipment before putting into service. Encourage employees to report potential hazardous conditions created by equipment design.	
		1.10 Did the general design or quality of the equipment/tool(s) contribute to a hazardous condition?		Review criteria in codes, standards, specifications and regulations. Establish new criteria as required.	
		1.11 List other casual factors in "Comment" column.			

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Part II - Environment

	<input type="checkbox"/> Yes	<input type="checkbox"/> No	2.0	Were the locations/positions of equipment/materials/employees contributing factors? If yes, answer the following. If no, proceed to Part 3.	
Yes	No	Casual Factors	Comment	Possible Corrective Actions	Recommended Corrective Actions
		2.1 Did the locations/positions of equipment/material/employees contribute to a hazardous condition?		Perform job safety analysis. Review job procedures. Change the location, position or layout of the equipment. Change position of employee(s). Provide guardrails, barricades, barriers, warning lights, signs or signals.	
		2.2 Was the hazardous condition recognized? If yes, answer A and B. If no, proceed to next question. A. Was the hazardous condition reported? B. Was employee(s) informed of the job procedure for dealing with the hazardous condition as an interim action?		Perform job safety analysis. Improve employee ability to recognize existing or potential hazardous conditions. Provide test equipment, as required, to detect hazard. Review any change or modification to equipment/tools/materials. Train employees in reporting procedures. Stress individual acceptance of responsibility. Review job procedures for hazard avoidance. Review supervisory responsibility. Improve supervisor-employee communication. Take action to remove or minimize hazard.	
		2.3 Was employee(s) supposed to be in the vicinity of the equipment/material?		Review job procedures and instructions. Provide guardrails, barriers, warning lights, signs or signals.	

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Part II - Environment

	<input type="checkbox"/>	<input type="checkbox"/>	2.0	Were the locations/positions of equipment/materials/employees contributing factors? If yes, answer the following. If no, proceed to Part 3.		
	Yes	No				
Yes	No	Casual Factors	Comment	Possible Corrective Actions	Recommended Corrective Actions	
		2.4 Were the hazardous conditions created by the location/position of equipment/material visible to employee(s)?		Change lighting or layout to increase visibility of equipment. Provide guardrails, barricades, barriers, warning lights, signs or signals, floor stripes, etc.		
		2.5 Was there sufficient workspace?		Review workspace requirements and modify as required.		
		2.6 Were environmental conditions a contributing factor (i.e., illumination, noise levels, air containment, temperature extremes, ventilation, vibration, radiation)?		Monitor, or periodically check, environmental conditions as required. Check results against acceptable levels. Initiate action for those found unacceptable.		
		2.7 List other causal factors in "Comment" column.				

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Part III - People

<input type="checkbox"/> Yes <input type="checkbox"/> No		3.0	Was the job procedure(s) used a contributing factor? If yes, answer the following. If no, proceed to Part 4.		
Yes	No	Casual Factors	Comment	Possible Corrective Actions	Recommended Corrective Actions
		<p>3.1 Were there written or known procedures (rules) for this job?</p> <p style="padding-left: 20px;">If yes, answer A, B and C. If no, proceed to the next question.</p> <p>A. Did job procedures anticipate the factors that contributed to the accident?</p> <p>B. Did employees know the job procedure?</p> <p>C. Did employee(s) deviate from the known job procedure?</p>		<p>Perform job safety analysis and develop safe job procedures.</p> <p>Perform job safety analysis and change job procedures.</p> <p>Improve job instruction. Train employees in correct job procedures.</p> <p>Determine why. Encourage all employees to report problems with an established procedure to supervision. Review job procedure and modify if necessary. Counsel or discipline employees. Provide closer supervision.</p>	
		<p>3.2 Were employee(s) mentally and physically capable of performing the job?</p>		<p>Review employee requirements for the job. Improve employee selection. Remove or transfer employees who are temporarily, either mentally or physically, incapable of performing the job.</p>	

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Part III - People

<input type="checkbox"/> Yes <input type="checkbox"/> No		3.0	Was the job procedure(s) used a contributing factor? If yes, answer the following. If no, proceed to Part 4.		
Yes	No	Casual Factors	Comment	Possible Corrective Actions	Recommended Corrective Actions
		3.3 Were any tasks in the job procedure too difficult to perform (i.e., excessive concentration or physical demands)?		Change the job design and procedures.	
		3.4 Is the job structured to encourage or require deviation from job procedures (i.e., incentive, piecework, work pace)?		Change job design and procedures.	
		3.5 List other causal factors in the "Comment" column.			

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Part V - Management

	<input type="checkbox"/>	<input type="checkbox"/>	5.0 Was a management system defect a contributing factor? If yes, answer the following. If no, STOP. Your causal factor identification exercise is complete.		
Yes	No	Yes	No		
Yes	No	Casual Factors	Comment	Possible Corrective Actions	Recommended Corrective Actions
		5.1 Was there a failure by supervision to detect, anticipate or report a hazardous condition?		Improve supervisor capability in hazard recognition and reporting procedures.	
		5.2 Was there a failure by supervision to detect or correct deviations from job procedure?		Review job safety analysis and job procedures. Increase supervisor monitoring. Correct deviations.	
		5.3 Was there a supervisor/employee review of hazards and job procedures for tasks performed infrequently? (Not applicable to all accidents).		Establish a procedure that requires a review of hazards and job procedures (preventative actions) for tasks performed infrequently.	
		5.4 Was supervisor responsibility and accountability defined and understood?		Define and communicate supervisor responsibility and accountability. Test of understandability and acceptance.	
		5.5 Was supervisor adequately trained to fulfill assigned responsibility in accident prevention?		Train supervisors in accident prevention fundamentals.	

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Part V - Management

		<input type="checkbox"/> Yes	<input type="checkbox"/> No	5.0 Was a management system defect a contributing factor? If yes, answer the following. If no, STOP. Your causal factor identification exercise is complete.		
Yes	No	Casual Factors	Comment	Possible Corrective Actions	Recommended Corrective Actions	
		5.6 Was there a failure to initiate corrective action for a known hazardous condition that contributed to this accident?		Review management safety policy and level of risk acceptance. Establish priorities based on potential severity and probability of recurrence. Review procedure and responsibility to initiate and carry out corrective actions. Monitor progress.		
		5.7 List other causal factors in "Comment" column.				