

CAUSAL FACTORS AND POSSIBLE CORRECTIVE ACTIONS

Instructions: Use this form when conducting an accident investigation to identify specific causes of injuries/crashes/incidents. The investigation is a fact-finding process versus faultfinding. Using “carelessness” as a cause is not acceptable. There has to be a cause and this guide should help you in making that determination. Identify the cause and action taken on the accident report.

Hazardous Condition as a contributing factor	Possible Corrective Action
Defect in equipment	Review procedure for inspecting, reporting, maintaining, repairing, replacing or recalling effective equipment/tool/material used.
Hazardous condition not recognized	Perform job safety analysis. Improve ability of employee to recognize existing or potential hazard/hazards.
Hazardous condition not reported	Train employees in reporting procedures. Stress individual acceptance of responsibility.
Employee not informed of hazardous condition and the job procedures	Review job procedures for hazard avoidance. Review supervisory responsibility. Improve supervisor-employee communications.
No equipment inspection procedure to detect the hazardous condition	Develop and adapt procedures to detect hazardous conditions.
Incorrect equipment/tool/material used	Specify what should be used on the job and train employee on the correct use.
Correct equipment/tool/material not readily available	Provider/order correct supplies. Review purchasing specifications and procedures. Plan and anticipate before assigning activities.
Employee unsure where to obtain required equip/tool/	Review procedures with employees for locating and obtaining equipment/tools/materials
Substitute equipment/tool/material used in place of correct one	Provide correct supplies. Warn against using substitutes.
Design of equipment/tool creates operator error	Review purchasing and specifications. Check out new equipment and job procedures. Encourage employees to report potential hazardous conditions caused by equipment design.
General design or quality of equipment/tool contributed to a hazardous condition	Review criteria in codes, standards and specifications.
Other causal factors:	<hr/> <hr/> <hr/>

Environment as a contributing factor	Possible Corrective Action
Location/position of equip/material/ employee contributed to hazardous condition	Perform job safety analysis. Review job procedures. Change location or positions.
Hazardous condition not recognized	Improve employee ability to recognize existing or potential hazardous condition. Review procedures for hazard avoidance and review supervisory responsibility. Improve employee communication.
Hazardous condition not reported	Train employees in reporting hazardous conditions. Stress employee responsibility.
Employee not informed of procedures for dealing with a hazardous condition	Improve supervisor communications. Review job procedures with employees for handling hazardous conditions.

Employee not supposed to the vicinity of the equipment/material.	Review job procedures and instruction. Provide guardrails, barricades, signs or signals.
Hazardous condition created the location/position of equip or material visible to employee.	Change the layout to provide increase in visibility. Provide appropriate barriers.
Insufficient workspace	Review workspace requirements, modify as required.
Environmental conditions as a contributing factor (air contaminants, noise, heat, vibration, ventilation)	Monitor, or periodically check conditions. Take action to initiate immediate action if conditions are found to be unacceptable or hazardous.
Other causal factors:	<hr/> <hr/> <hr/>

People as a contributing factor	Possible Corrective Action
No written or known procedure for the task/job	Develop safe job procedure and training for employees.
Job procedures did not anticipate the factor that contributed to the accident	Perform job safety analysis and change job procedures.
Employees did not know the job procedure	Improve training/instruction/communication.
Employee deviated from known and accepted job procedure	Determine why. Encourage employees to report problems with an established procedure. Review and modify if necessary. Counsel and discipline as required. Provide closer supervision.
Employee not physically or mentally capable of performing the job	Review requirements for the job. Take appropriate action through Personnel to modify the job requirements or remove the employee from that position.
Tasks in job procedure too difficult to perform (such as physical demands or technical)	Review job design and procedures.
Job structure encourages or requires deviation from job procedures	Change job design and procedures.
Other causal factors:	<hr/> <hr/> <hr/>

Management Systems as a contributing factor	Possible Corrective Action
Failure by supervision to detect, anticipate or report hazardous condition	Improve supervisor capability in hazard recognition and reporting procedures. Provide training.
Failure by supervision to detect or correct deviations from job procedures	Review job safety analysis. Increase supervisor monitoring. Correct deviations.
No supervisor/employee communication of hazards and job procedures for tasks performed infrequently	Establish a procedure that requires a review of hazards and job procedures (preventative actions) for tasks performed infrequently.
Supervisor's responsibility and accountability inadequately defined and understood	Define and communicate supervisor responsibility and accountability. Check for understandability and acceptance.
Failure to initiate corrective action for known hazardous condition that contributed to this accident	Review management safety policy and level of risk acceptance. Review procedure and responsibility to initiate and carry out corrective actions. Monitor.
Other causal factors:	<hr/> <hr/> <hr/>

Personal Protective Equipment (PPE) as a contributing factor	Possible Corrective Action
Appropriate PPE not specified for the task/job	Review DOT procedures for required PPE.
Appropriate PPE not available	Provide appropriate PPE. Contact Loss Control Department for PPE specifications.
Employee was not aware that PPE was required	Improve job instruction and communication.
PPE was/is not being used properly or was not used properly when an injury occurred	Determine why and take appropriate action to include disciplinary action if appropriate. Implement procedures to monitor and enforce use of PPE.
PPE not adequate	Review PPE requirements. Contact the Loss Control Department for guidance.
Emergency equipment not readily available (eye wash stations, showers)	Install emergency equipment.
Emergency equipment not properly used	Instruct employees on proper use.
Emergency equipment functioned improperly	Ensure required inspections are conducted and repair as required.
Other causal factor:	<hr/> <hr/> <hr/>

