



An Initiative of the American Staffing Association and National Safety Council

GUIDE for IDENTIFYING CAUSAL FACTORS and CORRECTIVE ACTIONS

Answer questions by placing an X in the “Y” circle or box for YES or in the “N” circle or box for NO.

Reminder: An X in a circle identifies a causal factor. An X in a box indicates that the item is **not** a causal factor.

CASE NUMBER

PART 1-EQUIPMENT					
Y <input type="radio"/>	N <input type="checkbox"/>	1.0 WAS A HAZARDOUS CONDITION(S) A CONTRIBUTING FACTOR? If yes, answer the following. If no, proceed to Part 2.			
		CAUSAL FACTORS	COMMENT	POSSIBLE CORRECTIVE ACTIONS	RECOMMENDED CORRECTIVE ACTIONS
Y <input type="radio"/>	N <input type="checkbox"/>	1.1 Did any defect(s) in equipment/tool(s)/material contribute to hazardous condition(s)?		Review procedure for inspecting, reporting, maintaining, repairing, replacing, or recalling defective equipment/tool(s)/material used.	
Y <input type="checkbox"/>	N <input type="radio"/>	1.2 Was the hazardous condition(s) recognized?		Perform job safety analysis. Improve employee ability to recognize existing or potential hazards. Provide test equipment, as required, to detect hazard. Review changes, modification or equipment/tool(s)/material.	
Y <input type="checkbox"/>	N <input type="radio"/>	A. Was the hazardous condition(s) reported?		Train employees in reporting procedures. Stress individual acceptance of responsibility.	
Y <input type="checkbox"/>	N <input type="radio"/>	B. Was employee(s) informed of the hazardous condition(s) and the job procedures for dealing with it as an interim measure?		Review job procedures for hazard avoidance. Review supervisory responsibility. Improve supervisor-employee communications. Take action to remove/minimize hazard.	
Y <input type="checkbox"/>	N <input type="radio"/>	1.3 Was there an equipment inspection procedure(s) to detect the hazardous condition(s)?		Develop/adopt procedures (ex. an inspection system) to detect hazardous conditions. Conduct test.	
Y <input type="checkbox"/>	N <input type="radio"/>	1.4 Did the existing equipment inspection procedure(s) detect the hazardous condition(s)?		Review procedures. Change frequency or comprehensiveness. Provide test equipment as required. Improve employee ability to defects and hazardous conditions. Change job procedures as required.	

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		CAUSAL FACTORS	COMMENT	POSSIBLE CORRECTIVE ACTIONS	RECOMMENDED CORRECTIVE ACTIONS
Y <input type="checkbox"/>	N <input type="radio"/>	1.5 Was the correct equipment/tool(s)/material used?		Specify correct equipment/tool(s)/material in job procedures.	
Y <input type="checkbox"/>	N <input type="radio"/>	1.6 Was the correct equipment/tool(s)/material readily available?		Provide correct equipment/tool(s)/material. Review purchasing specifications and procedures. Anticipate future requirements.	
Y <input type="checkbox"/>	N <input type="radio"/>	1.7 Did employee(s) know where to obtain equipment/tool(s)/material required for the job?		Review procedures for storage, access, delivery, or distribution. Review job procedures for obtaining equipment/tool(s)/material.	
Y <input type="radio"/>	N <input type="checkbox"/>	1.8 Was substitute equipment/tool(s)/material used in place of correct one?		Provide correct equipment/tool(s)/material. Warn against use of substitutes in job procedures and in job instruction.	
Y <input type="radio"/>	N <input type="checkbox"/>	1.9 Did the design of the equipment/tool(s) create operator stress or encourage operator error?		Review human factors engineering principles. Alter equipment/tool(s) to make it more compatible with human capability and limitations. Review purchasing procedures and specification. 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.	
Y <input type="radio"/>	N <input type="checkbox"/>	1.10 Did the general design or quality of the equipment/tool(s) contribute to a hazardous condition?		Review criteria in codes, standards, specification, and regulations. Establish new criteria as required.	
<input type="radio"/>		1.11 List other causal factors in "Comment" column.			

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PART 2-ENVIRONMENT					
Y <input type="radio"/>	N <input type="checkbox"/>	2.0 WAS THE LOCATION/POSITION OF EQUIPMENT/MATERIALS/EMPLOYEE(S) A CONTRIBUTING FACTOR? If yes, answer the following. If no, proceed to Part 3.			
		CAUSAL FACTORS	COMMENT	POSSIBLE CORRECTIVE ACTIONS	RECOMMENDED CORRECTIVE ACTIONS
Y <input type="radio"/>	N <input type="checkbox"/>	2.1 Did the location/position of equipment/material/employee(s) contribute to a hazardous condition?		Perform job safety analysis. Change equipment location, position, or layout. Change employee(s) position. Provide guardrails, barricades, barriers, warning lights, signs, or signals.	
Y <input type="checkbox"/>	N <input type="radio"/>	2.2 Was the hazardous condition recognized? If yes, answer A and B. If no, proceed to 2.3.		Perform job safety analysis. Improve employee ability to recognize existing or potential hazards. Provide test equipment, as required, to detect hazard. Review change/modification of equipment/tools/materials.	
Y <input type="checkbox"/>	N <input type="radio"/>	A. Was the hazardous condition reported?		Train employees in reporting procedures. Stress individual acceptance of responsibility.	
Y <input type="checkbox"/>	N <input type="radio"/>	B. Was employee(s) informed of the job procedure for dealing with the hazardous condition as an interim action?		Review supervisor responsibility and job procedures for hazard avoidance. Improve employee/supervisor communications. Remove/minimize hazard.	
Y <input type="checkbox"/>	N <input type="radio"/>	2.3 Was employee(s) supposed to be in the vicinity of the equipment/material?		Review job procedures and instruction. Provide guardrails, barricades, barriers, warning lights, signs, or signals.	
Y <input type="checkbox"/>	N <input type="radio"/>	2.4 Was the hazardous condition created by location/position of equipment/material visible to employee(s)?		Change lighting or layout to increase equipment visibility. Provide barriers, guardrails, barricades, warning lights, signs or signals, floor stripes, etc.	
Y <input type="checkbox"/>	N <input type="radio"/>	2.5 Was there sufficient workspace?		Review workspace requirements and modify as required.	
Y <input type="radio"/>	N <input type="checkbox"/>	2.6 Were environmental conditions a contributing factor (vibration, ventilation, radiation, temperature extremes, noise levels, illumination, air contaminant)?		Monitor/periodically check environmental conditions, as required. Check results against acceptable levels. Initiate action for unacceptable levels.	
<input type="radio"/>		2.7 List other causal factors in "Comment" column.			

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PART3-PEOPLE					
Y <input type="radio"/>	N <input type="checkbox"/>	3.0 WAS THE JOB PROCEDURE(S) USED A CONTRIBUTING FACTOR? If yes, answer the following. If no, proceed to Part 3.6.			
		CAUSAL FACTORS	COMMENT	POSSIBLE CORRECTIVE ACTIONS	RECOMMENDED CORRECTIVE ACTIONS
Y <input type="checkbox"/>	N <input type="radio"/>	3.1 Was there a written or known procedure (rules) for this job? If yes, answer A, B, and C. If no, proceed to 3.2.		Perform job safety analysis and develop safe job procedures.	
Y <input type="checkbox"/>	N <input type="radio"/>	A. Did job procedures anticipate the factors that contributed to the accident?		Perform job safety analysis and change job procedures.	
Y <input type="checkbox"/>	N <input type="radio"/>	B. Did employee(s) know the job procedure?		Improve job instruction. Train employees in correct job procedures.	
Y <input type="radio"/>	N <input type="checkbox"/>	C. Did employee(s) deviate from the known job procedure?		Determine why. Encourage all employees to report problems with an established procedure to supervision. Review job procedure and modify if necessary. Counsel or discipline employee. Provide closer supervision.	
Y <input type="checkbox"/>	N <input type="radio"/>	3.2 Was employee(s) mentally and physically capable of performing the job?		Review employee requirements for job. Improve employee selection. Remove or transfer employees temporarily (either mentally or physically) incapable of performing the job.	
Y <input type="radio"/>	N <input type="checkbox"/>	3.3 Were any tasks in the job procedure too difficult to perform (for example, excessive concentration or physical demands)?		Change job design and procedures.	
Y <input type="radio"/>	N <input type="checkbox"/>	3.4 Is the job structured to encourage or require deviation from job procedures (for example, incentive, piecework, work pace)?		Change job design and procedures.	
<input type="radio"/>		3.5 List other causal factors in "Comment" column.			

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Y ○	N □	3.6 WAS LACK OF PERSONAL PROTECTIVE EQUIPMENT OR EMERGENCY EQUIPMENT A CONTRIBUTING FACTOR IN THE INJURY? If yes, answer the following. If no, proceed to Part 4. NOTE: The following casual factors relate to the <i>injury</i> .			
		CAUSAL FACTORS	COMMENT	POSSIBLE CORRECTIVE ACTIONS	RECOMMENDED CORRECTIVE ACTIONS
Y □	N ○	3.7 Was appropriate personal protective equipment (PPE) specified for the task or job? If yes, answer A, B, and C. If no, proceed to 3.8.		Review methods to specify PPE requirements.	
Y □	N ○	A. Was appropriate PPE available?		Provide appropriate PPE. Review purchasing and distribution procedures.	
Y □	N ○	B. Did employee(s) know that wearing specified PPE was required?		Review job procedures. Improve job instruction.	
Y □	N ○	C. Did employee(s) know how to use and maintain the PPE?		Improve job instruction.	
Y □	N ○	3.8 Was the PPE used properly when the injury occurred?		Determine why and take appropriate action. Implement procedures to monitor and enforce PPE use.	
Y □	N ○	3.9 Was the PPE adequate?		Review/check PPE requirements, standards, specification, and certification.	
Y □	N ○	3.10 Was emergency equipment specified for this job (for example, emergency showers, eyewash fountains)? If yes, answer the following. If no, proceed to Part 4.		Provide emergency equipment as required.	
Y □	N ○	A. Was emergency equipment readily available?		Install emergency equipment at appropriate locations.	
Y □	N ○	B. Was emergency equipment properly used?		Incorporate use of emergency equipment in job procedures.	
Y □	N ○	C. Did emergency equipment function properly?		Establish inspection/monitoring system for emergency/equipment. Provide for immediate repair of defects.	
	○	3.11 List other causal factors in "Comment" column.			

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PART 4-MANAGEMENT					
Y <input type="radio"/>	N <input type="checkbox"/>	4.0 WAS A MANAGEMENT SYSTEM DEFECT A CONTRIBUTING FACTOR? If yes, answer the following. If no, STOP. Your casual factor identification exercise is complete.			
		CAUSAL FACTORS	COMMENT	POSSIBLE CORRECTIVE ACTIONS	
				RECOMMENDED CORRECTIVE ACTIONS	
Y <input type="radio"/>	N <input type="checkbox"/>	4.1 Was there a failure by supervision to detect, anticipate, or report a hazardous condition?		Improve supervisor capability in hazard recognition and reporting procedures.	
Y <input type="radio"/>	N <input type="checkbox"/>	4.2 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.	
Y <input type="checkbox"/>	N <input type="radio"/>	4.3 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 (preventive actions) for tasks performed infrequently.	
Y <input type="checkbox"/>	N <input type="radio"/>	4.4 Was supervisor responsibility and accountability adequately defined and understood?		Define and communicate supervisor responsibility and accountability. Test for understandability and acceptance.	
Y <input type="checkbox"/>	N <input type="radio"/>	4.5 Was supervisor adequately trained to fulfill assigned responsibility in accident prevention?		Train supervisors in accident prevention fundamentals.	
Y <input type="radio"/>	N <input type="checkbox"/>	4.6 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.	
<input type="radio"/>		4.7 List other causal factors in "Comment" column.			

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