

Identifying Causal Factors & Corrective Actions



The [Employers' Advisers Office](http://www.eao-bc.org) provides advice, assistance, representation, and educational services on all aspects of the workers' compensation system.

1. EQUIPMENT				
1.0 Was a hazardous condition(s) a contributing factor? (If yes, answer the following. If no, go to 2).				
		Causal Factors	Comment	Recommended Corrective Action
Y	N	1.1 Did any defect(s) in equipment/tools/material contribute to hazardous condition(s)?		Review procedures for inspecting, reporting, maintaining, repairing, replacing, or recalling defective equipment/tools/ material used.
Y	N	1.2 Was the hazardous condition(s) recognized?		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 of equipment/ tool/material.
Y	N	A. Was the hazardous condition(s) reported?		Train employees in reporting procedures. Stress individual acceptance of responsibility.
Y	N	B. Was employee(s) informed of the hazardous condition 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 or minimize the hazard
Y	N	1.3 Was there an equipment inspection procedure to detect the hazardous condition(s)?		Develop and adopt procedures (ex. an inspection system) to detect hazardous conditions. Conduct test.
Y	N	1.4 Did the existing equipment inspection procedure detect the hazardous condition?		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.
Y	N	1.5 Was the correct equipment/tool/ material used?		Specify correct equipment/ tool/material in job procedure.
Y	N	1.6 Was the correct equipment/tool/ material readily available?		Provide correct equipment/ tool/material. Review purchasing specifications and procedures. Anticipate future requirements.
Y	N	1.7 Did employee know where to obtain equipment/tool/ material required for the job?		Review procedures for storage, access, delivery, or distribution. Review job procedures for obtaining equipment/ tool/material.
Y	N	1.8 Was substitute equipment/tool/material used in place of correct one?		Provide correct equipment/tool/material. Warn against use of substitutes in job procedures and in job instruction.

		Causal Factors	Comment	Recommended Corrective Action
Y	N	1.9 Did the design of the equipment/tool/ material create operator stress or encourage operator error?		Review human factors engineering principles. Alter equipment/tool/material to make it more compatible with human capability and limitations. Review purchasing procedures and specs. 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	N	1.10 Did the general design or quality of the equipment/tool contribute to a hazardous condition?		Review criteria in codes, standards, specifications, and regulations. Establish new criteria as required.
		1.11 List other causal factors in "Comment" column.		
2. ENVIRONMENT				
2.0 Was the location of equipment/materials/employee(s) a contributing factor? (If yes, answer the following. If no, go to 3).				
		Causal Factors	Comment	Recommended Corrective Action
Y	N	2.1 Did the location/ position of equipment/ material/employee(s) contribute to the hazardous condition?		Perform job safety analysis. Review job procedures. Change the location, position, or layout of the equipment. Change position of employee(s). Provide guard-rails, barricades, barriers, warning lights, signs, or signals.
Y	N	2.2 Was the hazardous condition recognized?		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 of equipment/ tool/material.
Y	N	A. Was the hazardous condition reported?		Train employees in reporting procedures. Stress individual acceptance of responsibility.
Y	N	B. Was employee(s) informed of the hazardous condition 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 or minimize the hazard.

		Causal Factors	Comment	Recommended Corrective Action
Y	N	2.3 Was employee(s) supposed to be in the vicinity of the equipment/material?		Review job procedures and instruction. Provide guard-rails, barricades, barriers, warning lights, signs, or signals.
Y	N	2.4 Was the hazardous condition 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.
Y	N	2.5 Was there sufficient workspace?		Review workspace requirements and modify as required.
Y	N	2.6 Were environmental conditions a contributing factor (ex. illumination, noise levels, air contaminants, 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 "Comments" column.		
3. PEOPLE				
3.0 Was a hazardous condition(s) a contributing factor? (If yes, answer the following. If no, go to 4).				
		Causal Factors	Comment	Recommended Corrective Action
Y	N	3.1 Was there a written or known procedure (rule) for this job?		Perform job safety analysis and develop procedure.
Y	N	A. Did job procedures anticipate the factors that contributed to the accident?		Perform job safety analysis and change job procedure.
Y	N	B. Did employee(s) know the job procedure?		Improve job instruction. Train employees in correct job procedures.
Y	N	C. Did employee(s) deviate from the know job procedure?		Determine why. Encourage all employees to report problems with an established procedure to supervisor. Review job procedure and modify if necessary. Counsel or discipline employee. Provide closer supervision.
Y	N	3.2 Was employee(s) mentally and physically capable of performing the job?		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.

	Causal Factors	Comment	Recommended Corrective Action
Y N	3.3 Were any tasks in the job procedure too difficult to perform (ex. excessive concentrations or physical demands)?		Change job design and procedures.
Y N	3.4 Is the job structured to encourage or require deviation from job procedures (ex. incentive, piece-work, work pace)?		Change job design and procedures.
	3.5 List other causal factors in "Comment" column.		
Y N	3.6 Was lack of personal protective equipment or emergency equipment a contributing factor in the injury?		
Y N	A. Was appropriate personal protective equipment (PPE) specified for the task or job?		Review methods to specify PPE requirements (e.g. completing a Hazard Assessment Form).
Y N	i. Was appropriate PPE available?		Provide appropriate PPE.
Y N	ii. Did employee know that wearing specified PPE was required?		Review job procedures. Improve job instruction.
Y N	iii. Did employee know how to use and maintain the PPE?		Improve job instruction.
Y N	3.7 Was the PPE used properly when the injury occurred?		Determine why and take appropriate action. Implement procedures to monitor and enforce use of PPE.
Y N	3.8 Was the PPE adequate?		Review PPE requirements. Check standards, specs and certification of the PPE.
Y N	3.9 Was emergency equipment specified for this job (ex. emergency showers, eyewash fountains)?		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.
	3.10 List other causal factors in "Comments" column.		

4. MANAGEMENT				
4.0 Was a management system defect a contributing factor? (If yes, answer the following. If no, stop.)				
		Causal Factors	Comment	Recommended Corrective Action
Y	N	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	N	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	N	4.3 Was there a supervisor/employee review 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.
Y	N	4.4 Was supervisor responsibility and accountability adequately defined and understood?		Define and communicate supervisor responsibility and accountability. Test for understandability and acceptance.
Y	N	4.5 Was supervisor adequately trained to fulfill assigned responsibility in accident prevention?		Train supervisors in accident prevention fundamentals.
Y	N	4.6 Was there a failure to initiate corrective action for a known hazardous condition that contributed to this accident?		Review management safety policies 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.
		4.7 List other causal factors in "Comment" column.		

Employers' Advisers have expertise in all areas of workers' compensation. If you have questions about claims, assessments or anything related to workplace occupational health and safety, give our toll-free number a call and speak to one of our duty advisers. We are independent from WorkSafeBC, no-cost and all calls are confidential.

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