



Management System Root Causes

The management system deficiencies below should be used to help identify and categorize the causes from a “Why Tree”. Compare the root causes to the “Explanation” column, if the statement is true, identify that “Category” in the **Management System Root Causes** section of the Incident Investigation of the On-Base form

Multiple Root Causes and Categories are Acceptable and Likely

Category	Explanation
Responsibility and Accountability	Responsibility was not properly assigned or personnel were not held accountable to their responsibilities.
Planning and Risk Assessment	Planning or a risk assessment was not conducted or inadequate. The assessment did not include applicable life cycle phases or process verification.
Resources	The resources (personnel, equipment, time, etc.) were not adequate.
Design Review and Management of Change	The current design was not analyzed for risk therefore it used incorrect specifications & was built so that it was inadequate for the intended service. A change occurred without proper review or analysis to implement effective controls.
Controls	The risk reduction controls (including elimination, engineering controls, warnings, administrative, or PPE) were not proper for the task either due to not being properly identified or specified.
Equipment & Materials Procurement	The equipment, parts, or materials procured created a hazard or were not as analyzed for risk, were defective, or did not meet the specifications.
Contractors	The contractor safety program was not established or was inadequate to identify, evaluate, and control health and safety risks from contractor activities or to the contractors from the organization’s activities.
Emergency Preparedness	A process was not developed or was inadequate to identify, prevent, prepare for, and/or respond to emergencies.
Training	Training was not available, timely (initially or refresher) or not adequate or verified to be effective to achieve requirements.
Communication	Communication was ineffective due to no communication; late communication, no shift change process or process not used.
Inspections, Assessments & Preventative Maintenance	Inspections & PM were <u>not</u> in accordance with procedures, manufacturer’s or experience based recommendations or governing standards; & were <u>not</u> adequate for the conditions. Exposure assessments or occupational health assessments were not conducted as required or did not identify the risks.



Documents and Records	The required documents (procedures) were not developed or maintained.
Incident Investigations	The incident investigation process is not in place or did not investigate or analyze previous similar events.
Corrective and Preventative Actions	The corrective and preventative action process was not implemented or did not address non-conformances, hazards, or new hazards to an acceptable risk level. The process did not ensure effectiveness of corrective and preventative actions.
Human Actions	Personnel actions, activities, and decisions were <u>not</u> in accordance with procedures, training, or standards. Examples: Taking shortcuts, Deliberate violation of procedure, Horseplay.