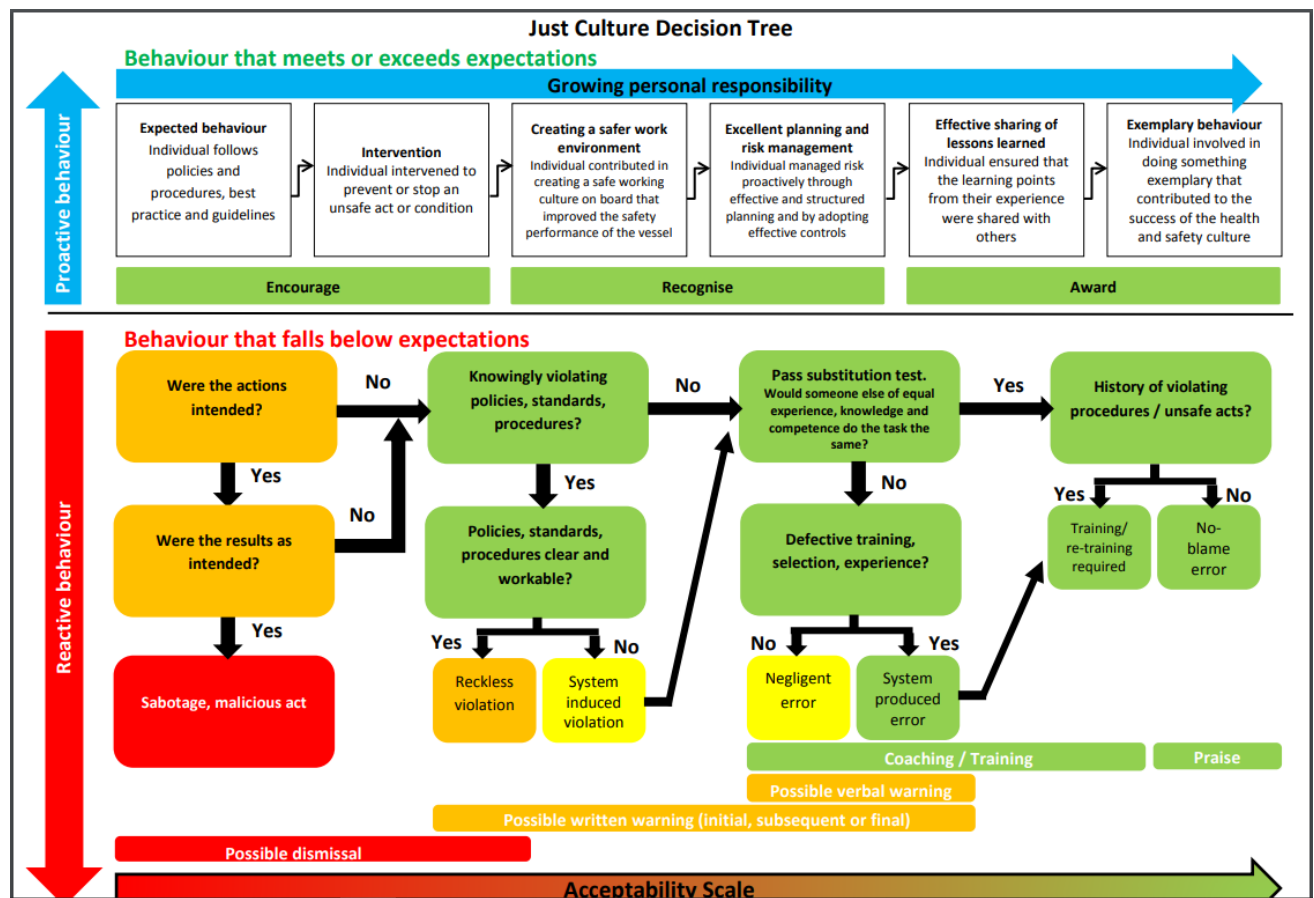


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ROOT CAUSE GUIDANCE NOTES

Just Culture Process



Note : Exemplary behaviour to be highlighted and rewarded.

Name:

Action:

Guidance Note: Demonstrate path of reasoning by shading in cells.

Intended Action? Results as intended?	No	Knowingly Violated process?	No	Would another experienced person do same?	Yes	History of violating processes / unsafe acts?	No	No Blame Error
Yes		Yes				Yes		
		Guidance in VMS clear?	No	System induced violation		Training /Retraining required		
Sabotage / Malicious Act		Reckless Violation		Defective Training, selection or Experience				
				No				
				Negligent Error				
Possible Dismissal								
Possible Written warning								
				Coaching / Training				Praise
				Possible verbal warning				

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Name:

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		Guidance in VMS clear?	No	System induced violation	Training /Retraining required				
		Sabotage / Malicious Act	Yes			No			
Possible Dismissal	Reckless Violation	Defective Training, selection or Experience							
		No							
		Negligent Error							
		Possible Written warning							
					Coaching / Training			Praise	
					Possible verbal warning				

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Root Cause Analysis Tables:

Direct Cause

Any condition that if corrected, could have prevented the incident from occurring or reduced the impact of the incident. E.g. in the case of product release, causal factors could be:

- *Incorrect cargo line up*
- *No two-man check*

<u>A substandard Act contributed towards the event which involved:</u>	<u>A substandard condition which contributed towards the event which involved:</u>
<ol style="list-style-type: none"> 1. Failure to follow Company procedures or industry legislation 2. Failure to utilise personal protection equipment 3. Operating equipment or machinery without authority 4. Incorrect use of equipment or machinery 5. Using defective equipment or machinery 6. Failure to follow manufacturer's repair / maintenance instructions 7. Incorrect navigation of ship handling 8. Failure to warn 9. Failure to secure / restrict entry 10. Making safety devices inoperative 11. Improper lifting, handling or storage 12. Horseplay / Inappropriate behaviour 13. Person(s) under the influence of alcohol and/or other drugs 14. Sabotage, wilful damage 15. Suicide / homicide 16. Other substandard act(s) not included above 	<ol style="list-style-type: none"> 1. Inadequate guards or barriers 2. Inadequate or defective personal protective equipment 3. Defective equipment, machinery or tools 4. Poor hull or structural condition <ul style="list-style-type: none"> Poor design Poor reliability Poor installation / Fabrication 5. Inadequate warning system 6. Adverse weather conditions (excluding sea state) 7. Adverse sea conditions 8. Poor housekeeping 9. Congestion or restricted action 10. Inadequate or excess illumination 11. Fire and explosion hazards 12. Noise or temperature 13. Radiation exposure 14. Inadequate ventilation 15. Environmental conditions 16. Outdated charts, publications and other documentation – manufacturer's manuals 17. Bunkers and/or lubricating oils 18. Port and berthing facilities 19. Cargo 20. Security 21. Other substandard condition(s)

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Root Cause

A cause, or causes, that if fixed will prevent the incident's recurrence

E.g. - In the case of a spill, the root causes could be:

- *Inadequate behaviour based safety program (Non-compliance of procedures)*
- *Lack of management oversight*
- *Weak Safety Management System*

Human Factors	Job Factors	Management Failure
1. Inadequate physical capability	1. Inadequate leadership and/or supervision	1. Inadequate Leadership and administration
2. Inadequate mental capability	1. Inadequate engineering	2. Inadequate training for on-shore & shore side leadership
3. Physical stress	2. Inadequate purchasing	3. Inadequate Planned inspections and maintenance
4. Mental stress	3. Inadequate maintenance	4. Inadequate Critical operations and task analysis
5. Lack of knowledge	4. Inadequate tools and equipment	5. Inadequate Accident/incident
6. Lack of skill	5. Inadequate procedures	6. Inadequate Observation of work performance
7. Improper motivation	6. Excessive wear and tear	7. Inadequate Emergency preparedness
8. Inadequate Communications	7. Abuse or misuse	8. Inadequate Company safety rules and work permits
		9. Inadequate Accident/incident analysis
		10. Inadequate Knowledge and skill training
		11. Inadequate Personal protective equipment
		12. Inadequate Occupational health and hygiene control
		13. Inadequate System review and evaluation
		14. Inadequate Engineering and change Management
		15. Inadequate Personal communications
		16. Inadequate Group communications
		17. Inadequate General promotion
		18. Inadequate Personnel recruitment and orientation
		19. Inadequate Purchasing and contract management
		20. Failure of Off-the-job safety
		21. Failure to comply with Just Culture

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	22. HR Issue
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