*Note: Causal Analysis worksheet(s) should not be attached to the Final RCA Report, but should be made available for review upon request by the responsible Division Management.*



**Root Cause Analysis Report for the**

**XYZ Issue on [date]**

**Prepared By:**

|  |  |  |
| --- | --- | --- |
| Team Member #1, Division Name, Team Lead |  |  |
| Team Member #2, Division Name, Lead Causal Analyst | *(signature)* | *(date)* |
| Team Member #3, Division Name  | *(signature)* | *(date)* |
| Team Member #4, Division Name  | *(signature)* | *(date)* |
|  | *(signature)* | *(date)* |

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**EXECUTIVE SUMMARY**

*[Recommended wording: This report documents the Team’s investigation and root cause analysis of the XYZ issue and includes corrective actions for management to implement that address the causes of the issue, and prevent or minimize recurrence of similar issues.]*

**Overview of the Issue**

***[Document the issue in sufficient detail to understand the occurrence. This information may be taken from the Executive Summary of the Assessment, ORPS or PAAA NTS Report (as appropriate).]***

**Root Causes of the Issue**

*[Recommended wording: The Team completed the investigation and root cause analysis in a manner that is consistent with the LBNL Issues Management Program Manual LBNL/PUB-5519. The Team used three different root cause methodologies to determine the root causes of the issue, which include XYZ. As a result of the analyses, the Team identified the following causal factor(s), root cause(s) and corresponding corrective action(s) to prevent recurrence:]*

* Causal Factor #1:
* Root Cause #1: ***[Document the root cause statement/ description]***

Key Facts

***[Provide a high level overview to support the root cause statement – detail follows in Conclusion section]***

* Corrective Action #1

*[Recommended wording: The Team also identified the following contributing causes (if applicable):]*

* Contributing Cause #1

*[Recommended wording: As a proactive measure, the following corrective action will minimize the possibility of the contributing cause leading to further issues:]*

* Corrective Action CC #1

**INVESTIGATION BACKGROUND**

*[Recommended wording: The purpose of this investigation and root cause analysis was to review and analyze the circumstances surrounding the XYZ issue that occurred on XX-XX-XXXX. The Team conducted this investigation and analysis by taking the following actions:*

* *Gathering relevant facts through interviews, document reviews, and a walk-through of the location where the incident took place. Parties interviewed are listed in Appendix A. The documents reviewed are listed in Appendix B.*
* *Completing a [****identify the root cause analysis methodologies, for example, Barrier Analysis, TapRoot® analysis****] to analyze the facts, and identify the causal factors and root causes of this issue. Refer to the Conclusion section for more information on the analytical methods.*
* *Developing corrective actions to address the causes of the issue and prevent recurrence.*

ISSUE / INCIDENT FACTS

***[Should be the validated narrative used for the Factual Accuracy Review]***

**ANALYTICAL METHODS**

*[Recommended wording: The Team used three different root cause methodologies [Barrier Analysis, Change Analysis, and TapRooT®] to determine the root causes of the recurring issue. Each of these methodologies and the results are discussed below.]*

# *Note: a description of each methodology is in 10.6 Causal Analysis Methodologies in the Standard section of this manual.*

CONCLUSIONS

*[Recommended wording: Based on interviews with XYZ Division personnel and a review of pertinent documents (refer to Appendix A & B), the Team identified the following causal factors, root and contributing causes of the issue and the corresponding corrective actions to address the causes and prevent recurrence.]*

**ROOT CAUSES**

**Causal Factor #1: *[Document the causal factor statement/description]***

***Root Cause #1: [Document the root cause statement/ description]***

**Key Facts**

***[Include the key facts related to the root causes that allowed those events to occur, such as physical hazards, and controls and management systems failures.]***

**Compensatory Actions**

***[Identify any immediate actions that were taken to mitigate the situation/circumstances.]***

**Corrective Actions**

***[Document the corrective action(s) to address the cause and prevent recurrence. Corrective actions should adhere to the SMART criteria]***

**\*\*\*[Repeat for each causal factor and root cause as necessary]\*\***

**CONTRIBUTING CAUSES**

***Contributing Cause #1: [Document the contributing cause statement /description]***

**Key Facts**

***[Include the key facts related to the contributing cause.]***

**Corrective Action CC #1 (optional)**

*[Recommended wording: As proactive measures, the Team recommends the following corrective actions to minimize the possibility of the contributing cause leading to further issues:]*

**EXTENT OF CONDITION REVIEW**

***[Identify the extent and impact of the condition/cause, such as the existence of other issues, activities, processes or program*** ***failures that are similar to this incident, or the potential for the condition/cause to exist elsewhere in the Laboratory.] Refer to 10.7 Extent of Condition/Cause Review in the Standards section of this manual for additional guidance. Note: Depending on the issue and analysis, the Extent of Condition/Cause Review could be placed at the end of the Conclusion section (similar to this example), before the Conclusion Section or at the end of each root cause.***

**APPENDIX A: PERSONNEL INTERVIEWED**

* Interviewee’s Name, Position Title, Division Name

***[Repeat for each interviewee]***

**APPENDIX B: DOCUMENTS REVIEWED**

* Document title, document date (as applicable)

***[Repeat for each document]***