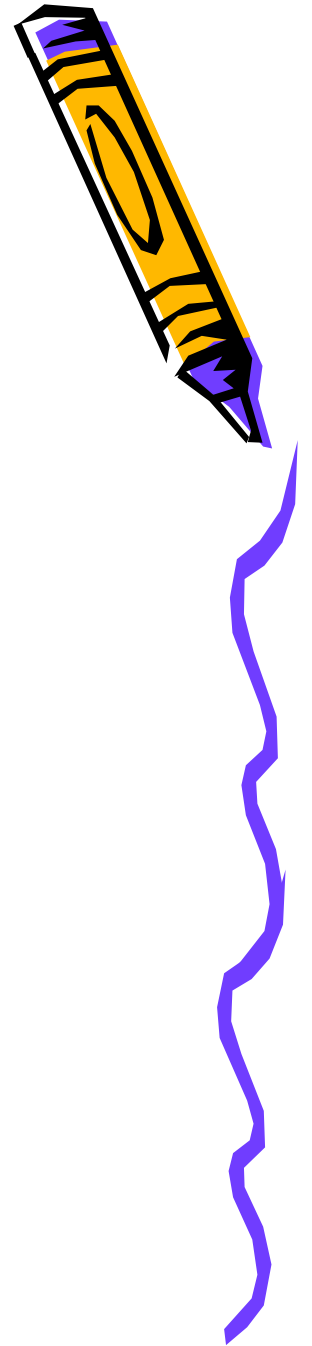


CAUSAL ANALYSIS

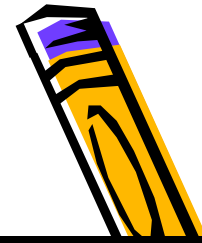
GARY BRANSON

&

ANDY GILE



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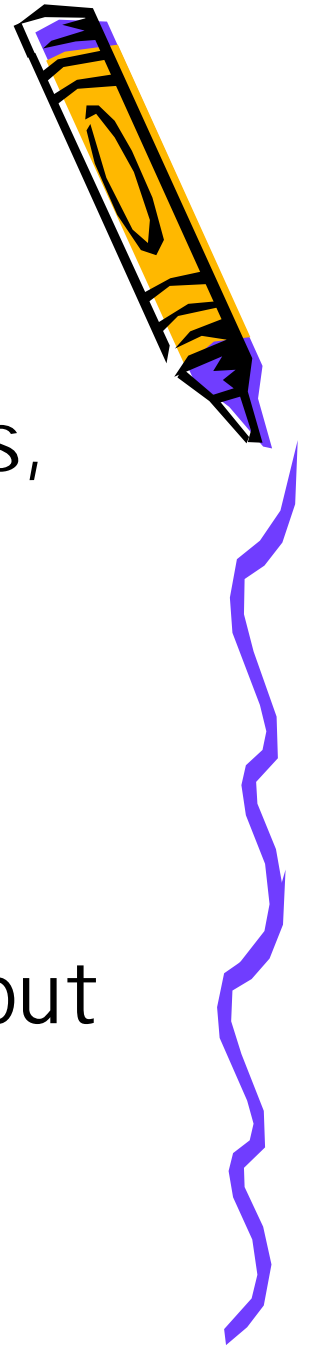
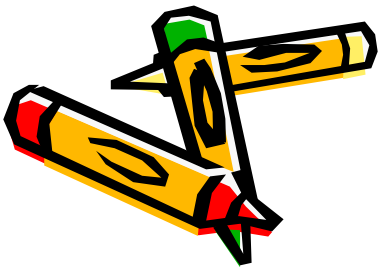
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DOE Causal Analysis Benchmarking by WSRC

- September 25th, 2006, Jeff Aggas, WSRC asked for participants in a DOE-wide benchmarking
- As of mid-October 7 sites had responded
- As of today he still needs your input



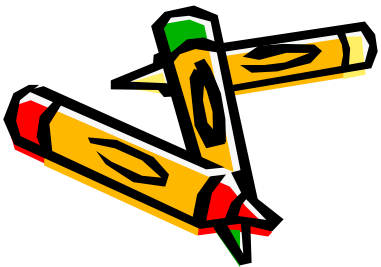
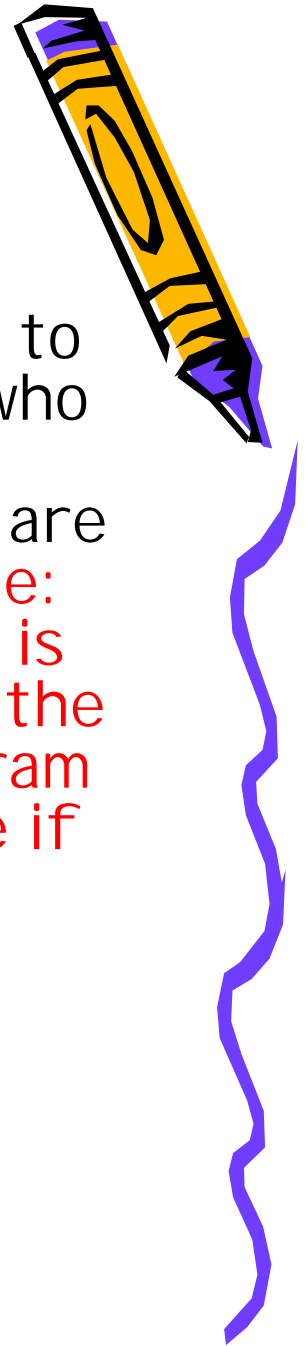
Question - 1

1. Is there a single organization or group on site that is considered the lead Root Cause Analysis Program group? (This group would lead the site in the development and implementation of a Root Cause Analysis Program.)



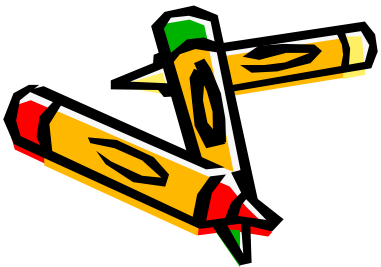
Question - 2

2. Who determines that an employee is qualified to perform root cause analysis? Are the people who perform root cause analysis listed on a qualification list or document saying that they are qualified to perform root cause analyses? **Note:** I am looking for who determines that a person is authorized to perform any RCA. For example, the person's manager, the Quality Assurance Program Manager, the Training Manager, or even no one if the only requirement is to complete training, everyone who completed the training would be qualified.



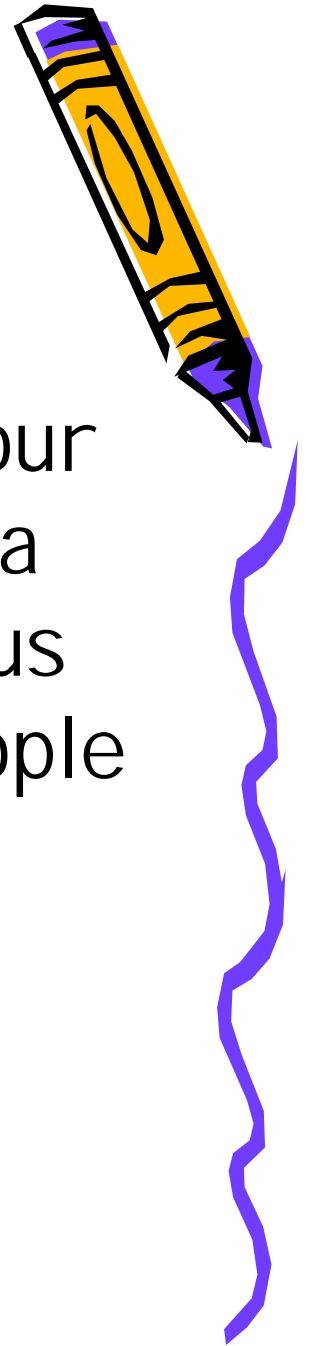
Question - 3

3. What method or methods do you use when performing a root cause analysis (e.g., barrier analysis, cause and effect charts (Apollo), change analysis, E&CF Charting, KT, Taproot, 5-Whys). If you use multiple methods, is there a method or methods that you use most often?



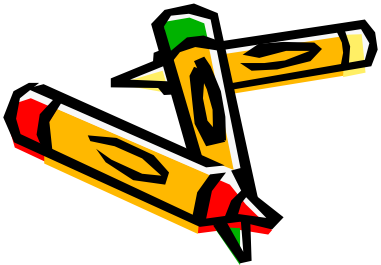
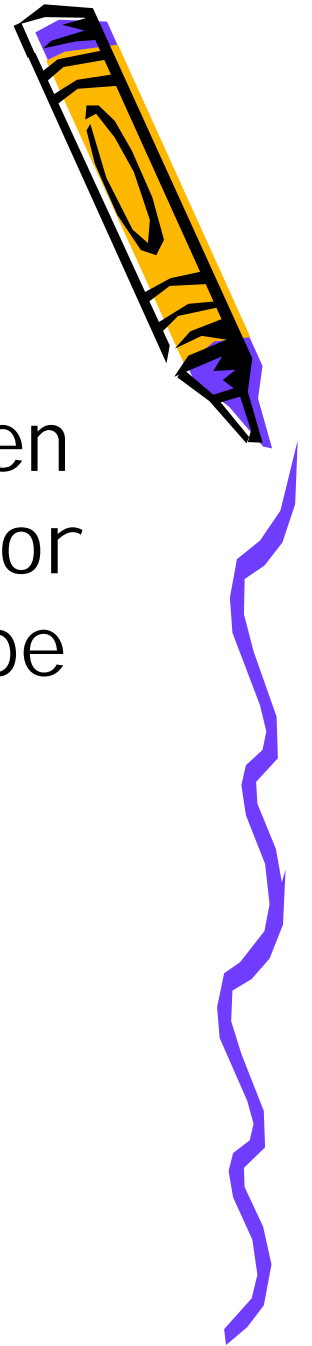
Question - 4

4. Who determines CAT codes at your site (e.g., a single site wide group, a small number of personnel in various work groups, several different people in various work groups)?



Question - 5

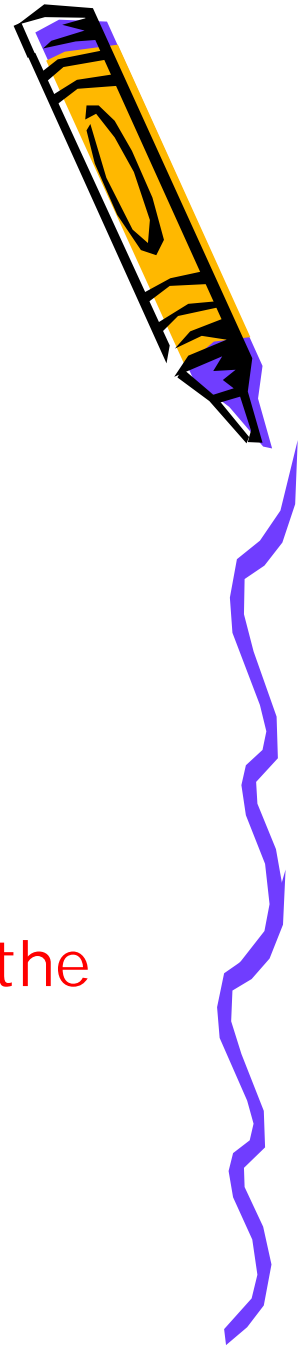
5. Does your site distinguish between CAT cause codes and root causes, or are the CAT codes considered to be root causes?



Question - 6

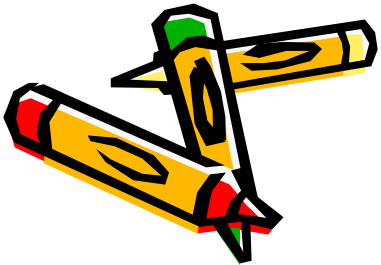
6. What types of training and qualification is needed for an employee to perform a causal analysis or a root cause of a
- a. Significance Category 4 problem?
 - b. Significance Category 3 problem?
 - c. Significance Category 2 problem?
 - d. Significance Category 1 problem?

Note: this question caused confusion with the original responses. I would rather know all of the qualification requirements (training classes, required reading, mentoring sessions, etc) to perform a RCA for a Sig Cat 1 problem



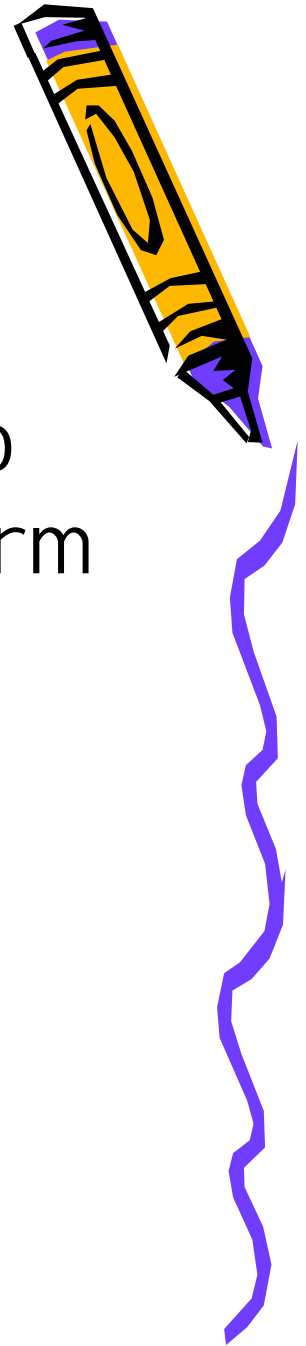
Question - 7

7. If there were any changes you would like to make to the Causal Analysis Processes at your site, what would they be?



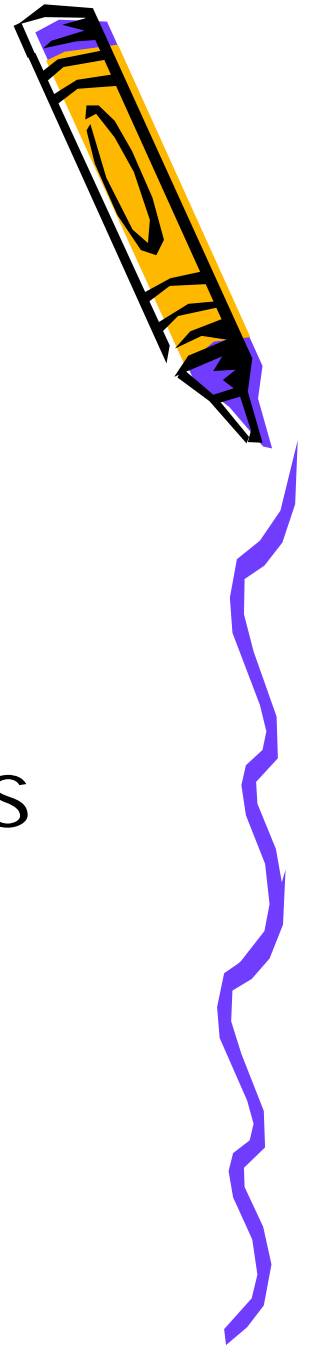
Question - 8

8. A specific list of what it takes to be considered "qualified" to perform a Root Cause Analysis on a SC 1 problem.



Jeff's Results to Date

- The 7 sites that responded (including WSRC) have taken many different paths in the performance of Causal Analysis



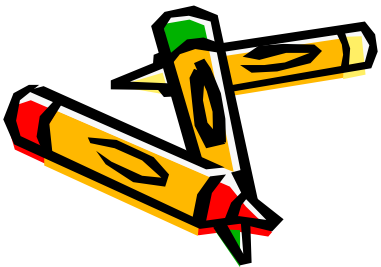
Consistent Items

- Most of us use event and causal factor charting, change analysis, and barrier analysis to some extent. Two of the 7 sites use TapRoot.
- Two of the 7 sites use Cause and Effect charting, although the process and instruction came from two different companies based in Houston.



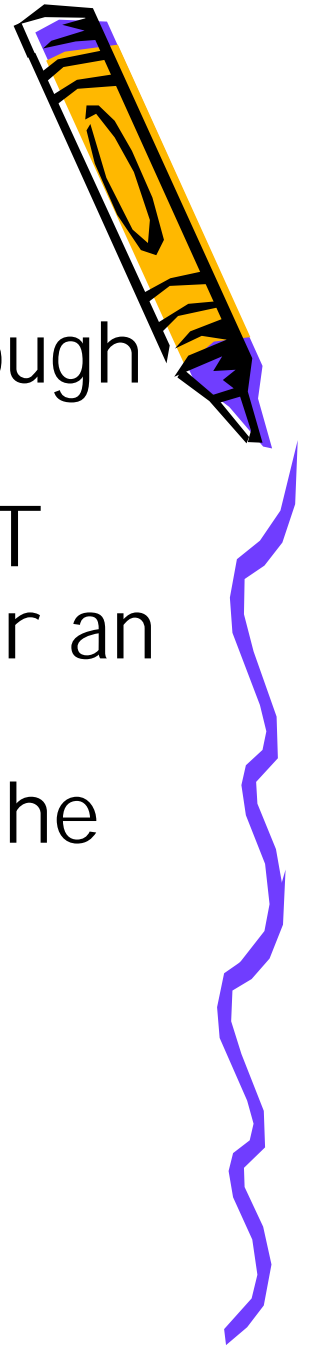
Consistent Items - Continued

- Most of us have trained causal analysts in different facilities/projects on the site. Only two site relied on the same group of people to do most or all RCAs.



Consistent Items - Continued

- One of the more interesting, although not surprising, items was the wide variety of people to determine CAT codes. Two of the sites have either an individual or board of people who check every CAT code. Based on the results, it looks like most sites require some kind of training to determine CAT codes, but not all.



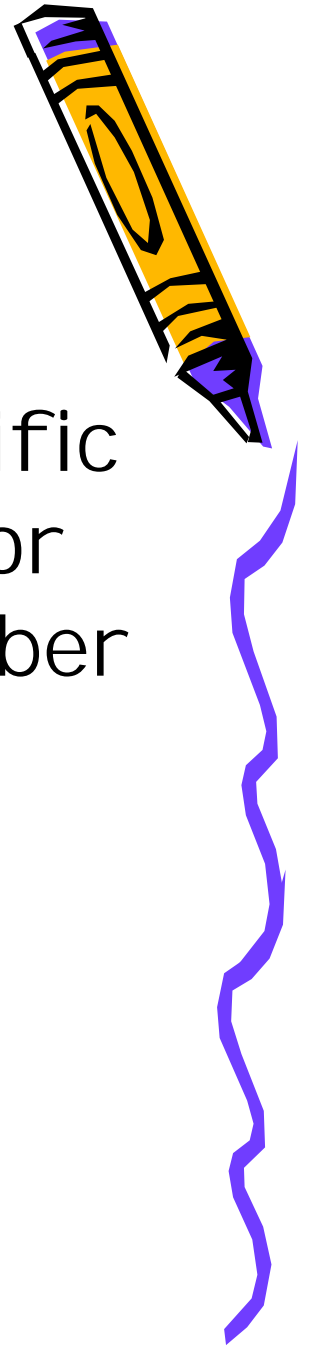
Consistent Items - Continued

- Also, four of the seven sites use CAT codes as their root causes, anywhere from sometimes to always. We, as a site, do this in some areas, but not in others. Using CAT codes exclusively as the RCA is an area WSRC is trying to push back on.



Consistent Items - Continued

- All sites who responded have specific training for Root Cause Analysts (or Accident Investigators). The number of hours for the courses was not given.



Consistent Items - Continued

- One pleasant surprise is the number of sites who require RCA training/qualifications for SC 2 problems. The DOE is changing the requirement for ORPS to do a RCA for all SC 2 ORPS reportable events, so the complex seems ahead of the ballgame there.



Please respond to:

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