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| StateSealBW-Small | **New Mexico Environment Department**  **Air Quality Bureau**  **Compliance and Enforcement Section**  **525 Camino de los Marquez, Suite 1**  **Santa Fe, NM 87505**  **Phone (505) 476-4300**  **Fax (505) 476-4375** | GreyLogo-Seal72dpi |

**VERSION 07.2015**

ROOT CAUSE AND CORRECTIVE ACTION ANALYSIS WORKSHEET

*TO BE USED FOR ROOT CAUSE AND CORRECTIVE ACTION ANALYSIS PURSUANT TO 20.2.7.114 NMAC*

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| **SECTION I - GENERAL INFORMATION: (Note 1)** | | | | | |
| **A. AI Number:** | **B. Activity Number:** | **C. Company Name:** | | **D. Facility Name:** | |
|  |  |  | |  | |
| **J. Failure Pt. No.:** | **K. Failure Pt. Description:** | | **L. Release Pt. No.:** | | **M. Release Pt. Description:** |
|  |  | |  | |  |

1. **Members of the Incident Investigation Team:**

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| --- | --- | --- | --- |
| **Name** | **Title** | **Phone Number** | **Email Address** |
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1. **Problem Statement (Describe incident)**

1. **Determine the significance of the incident in terms of emissions, duration, relationship to other incidents, etc.**

1. **Identify the data collection procedure and results.**

1. **Identify probable direct and contributing causes.**

1. **Identify the reasons why the causes in the preceding step existed, working back to the root cause.**

1. **Identify the corrective action for each cause.**

1. **Evaluate each corrective action and corrective action alternative using the following questions:**
2. **Will the corrective action prevent recurrence?**
3. **Is the corrective action feasible?**
4. **Does the corrective action allow meeting primary objectives or mission?**
5. **Does the corrective action introduce new risks? Are the assumed risks clearly stated?**
6. **Were the immediate actions taken appropriate and effective?**
7. **Will the corrective actions address all the causes?**
8. **What are the consequences of implementing the corrective actions?**
9. **What are the consequences of not implementing the corrective actions?**
10. **What is the cost of implementing the corrective actions (capital costs, operations, and maintenance costs)?**
11. **Will training be required as part of the implementation?**
12. **In what time frame can the corrective actions reasonably be implemented?**
13. **What resources are required for successful development of the corrective actions?**
14. **What resources are required for successful implementation and continued effectiveness of the corrective actions?**
15. **What impact will the development and implementation of the corrective actions have on other work groups?**
16. **Is the implementation of the corrective actions measurable?**

1. **Choose corrective action(s).**

1. **Identify the consequence of implementing the corrective action(s).**