



SLOVENSKI STANDARD
SIST EN 62740:2015
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Analiza izvornih razlogov (RCA) (IEC 62740:2015)

Root cause analysis (RCA) (IEC 62740:2015)

Ursachenanalyse (IEC 62740:2015)

Analyse de cause initiale (RCA) (IEC 62740:2015)

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ICS 03.120.01

English Version

Root cause analysis (RCA)
(IEC 62740:2015)

Analyse de cause initiale (RCA)
(IEC 62740:2015)

Ursachenanalyse
(IEC 62740:2015)

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Europäisches Komitee für Elektrotechnische Normung

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Foreword

The text of document 56/1590/FDIS, future edition 1 of IEC 62740, prepared by IEC/TC 56 "Dependability" was submitted to the IEC-CENELEC parallel vote and approved by CENELEC as EN 62740:2015.

The following dates are fixed:

- latest date by which the document has to be implemented at national level by publication of an identical national standard or by endorsement (dop) 2015-12-20
- latest date by which the national standards conflicting with the document have to be withdrawn (dow) 2018-03-20

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IEC 60300-1	NOTE	Harmonized as EN 60300-1.
IEC 61025	NOTE	Harmonized as EN 61025.
IEC 61649	NOTE	Harmonized as EN 61649.
IEC 61163-1	NOTE	Harmonized as EN 61163-1.
IEC 62508:2010	NOTE	Harmonized as EN 62508:2010 (not modified).
ISO/IEC 31010:2009	NOTE	Harmonized as EN 31010:2010 (not modified).

Annex ZA
(normative)

**Normative references to international publications
with their corresponding European publications**

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

NOTE 1 When an International Publication has been modified by common modifications, indicated by (mod), the relevant EN/HD applies.

NOTE 2 Up-to-date information on the latest versions of the European Standards listed in this annex is available here: www.cenelec.eu.

<u>Publication</u>	<u>Year</u>	<u>Title</u>	<u>EN/HD</u>	<u>Year</u>
IEC 60050 Series	-	International Electrotechnical Vocabulary (IEV)	-	-

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INTERNATIONAL STANDARD

NORME INTERNATIONALE



Root cause analysis (RCA)

Analyse de cause initiale (RCA)

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CONTENTS

FOREWORD.....	6
INTRODUCTION.....	8
1 Scope.....	9
2 Normative references	9
3 Terms, definitions and abbreviations	9
3.1 Terms and definitions.....	9
3.2 Abbreviations	12
4 RCA – Overview	12
5 The RCA process	13
5.1 Overview.....	13
5.2 Initiation.....	14
5.3 Establishing facts.....	15
5.4 Analysis	17
5.4.1 Description	17
5.4.2 The analysis team	18
5.5 Validation.....	19
5.6 Presentation of results.....	19
6 Selection of techniques for analysing causes.....	20
6.1 General.....	20
6.2 Selection of analysis techniques	20
6.3 Useful tools to assist RCA.....	21
Annex A (informative) Summary and criteria of commonly used RCA techniques	22
A.1 General.....	22
A.2 RCA techniques	22
A.3 Criteria.....	23
Annex B (informative) RCA models	26
B.1 General.....	26
B.2 Barrier analysis.....	26
B.2.1 Overview	26
B.2.2 Strengths and limitations	27
B.3 Reason’s model (Swiss cheese model)	27
B.3.1 Overview	27
B.3.2 Strengths and limitations	28
B.4 Systems models.....	28
B.5 Systems theoretic accident model and processes (STAMP)	29
B.5.1 Overview	29
B.5.2 Strengths and limitations	29
Annex C (informative) Detailed description of RCA techniques	30
C.1 General.....	30
C.2 Events and causal factors (ECF) charting	30
C.2.1 Overview	30
C.2.2 Process	31
C.2.3 Strengths and limitations	31
C.3 Multilinear events sequencing (MES) and sequentially timed events plotting (STEP).....	32

C.3.1	Overview	32
C.3.2	Process	32
C.3.3	Strengths and limitations	33
C.4	The ‘why’ method	35
C.4.1	Overview	35
C.4.2	Process	36
C.4.3	Strengths and limitations	36
C.5	Causes tree method (CTM)	36
C.5.1	Overview	36
C.5.2	Process	39
C.5.3	Strengths and limitations	39
C.6	Why-because analysis (WBA)	39
C.6.1	Overview	39
C.6.2	Process	42
C.6.3	Strengths and limitations	42
C.7	Fault tree and success tree method	42
C.7.1	Overview	42
C.7.2	Process	43
C.7.3	Strengths and limitations	44
C.8	Fishbone or Ishikawa diagram	44
C.8.1	Overview	44
C.8.2	Process	45
C.8.3	Strengths and limitations	46
C.9	Safety through organizational learning (SOL)	46
C.9.1	Overview	46
C.9.2	Process	46
C.9.3	Strengths and limitations	47
C.10	Management oversight and risk tree (MORT)	48
C.10.1	Overview	48
C.10.2	Process	48
C.10.3	Strengths and limitations	48
C.11	AcciMaps	49
C.11.1	Overview	49
C.11.2	Process	49
C.11.3	Strengths and limitations	51
C.12	Tripod Beta	51
C.12.1	Overview	51
C.12.2	Process	52
C.12.3	Strengths and limitations	52
C.13	Causal analysis using STAMP (CAST)	53
C.13.1	Overview	53
C.13.2	Process	56
C.13.3	Strengths and limitations	57
Annex D (informative)	Useful tools to assist root cause analysis (RCA)	58
D.1	General	58
D.2	Data mining and clustering techniques	58
D.2.1	Overview	58
D.2.2	Example 1	58
D.2.3	Example 2	58

D.2.4	Example 3	59
Annex E (informative)	Analysis of human performance	60
E.1	General.....	60
E.2	Analysis of human failure	60
E.3	Technique for retrospective and predictive analysis of cognitive errors (TRACEr).....	61
E.3.1	Overview	61
E.3.2	Process	62
E.4	Human factors analysis and classification scheme (HFACS)	63
E.4.1	Overview	63
E.4.2	Process	63
Bibliography	66
Figure 1	– RCA process	14
Figure B.1	– Broken, ineffective and missing barriers causing the focus event	26
Figure C.1	– Example of an ECF chart.....	31
Figure C.2	– Data in an event building block	32
Figure C.3	– Example of a time-actor matrix	34
Figure C.4	– Example of a why tree	35
Figure C.5	– Symbols and links used in CTM.....	37
Figure C.6	– Example of a cause tree	38
Figure C.7	– Example of a WBG	41
Figure C.8	– Example of a fault tree during the analysis	43
Figure C.9	– Example of a Fishbone diagram	45
Figure C.10	– Example of a MORT diagram	48
Figure C.11	– Example of an AcciMap	50
Figure C.12	– Example of a Tripod Beta tree diagram	52
Figure C.13	– Control structure for the water supply in a small town in Canada	55
Figure C.14	– Example CAST causal analysis for the local Department of health	56
Figure C.15	– Example CAST causal analysis for the local public utility operations management.....	56
Figure E.1	– Example of an TRACEr model [25].....	61
Figure E.2	– Generation of internal error modes	62
Figure E.3	– Level 1: Unsafe acts	64
Figure E.4	– Level 2: Preconditions	64
Figure E.5	– Level 3: Supervision Issues	65
Figure E.6	– Level 4: Organizational Issues	65
Table 1	– Steps to RCA	13
Table A.1	– Brief description of RCA techniques	22
Table A.2	– Summary of RCA technique criteria.....	23
Table A.3	– Attributes of the generic RCA techniques	25
Table B.1	– Examples of barriers	27
Table B.2	– Example of the barrier analysis worksheet	27
Table C.1	– Direct and indirect causal factors	47

Table E.1 – External error modes.....	63
Table E.2 – Psychological error mechanisms.....	63

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INTERNATIONAL ELECTROTECHNICAL COMMISSION

ROOT CAUSE ANALYSIS (RCA)

FOREWORD

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International Standard IEC 62740 has been prepared by IEC technical committee 56: Dependability.

The text of this standard is based on the following documents:

FDIS	Report on voting
56/1590/FDIS	56/1608/RVD

Full information on the voting for the approval of this standard can be found in the report on voting indicated in the above table.

This publication has been drafted in accordance with the ISO/IEC Directives, Part 2.

The committee has decided that the contents of this publication will remain unchanged until the stability date indicated on the IEC web site under "<http://webstore.iec.ch>" in the data related to the specific publication. At this date, the publication will be

- reconfirmed,
- withdrawn,
- replaced by a revised edition, or
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INTRODUCTION

Root cause analysis (RCA) refers to any systematic process that identifies factors that contributed to a particular event of interest (focus event). RCA is performed with the understanding that events are addressed by understanding the root causes, rather than the immediately obvious symptoms. RCA aims to reveal root causes so that either the likelihood of them occurring, or their impact if they do occur, can be changed.

An important distinction to make is that RCA is used to analyse a focus event that has occurred and therefore analyses the past (a posteriori). However, knowledge of the root causes of past events can lead to actions that generate improvements in the future.

This International Standard is intended to reflect current good practices in the conduct of RCA. This standard is general in nature, so that it may give guidance across many industries and situations. There may be industry specific standards in existence that establish preferred methodologies for particular applications. If these standards are in harmony with this publication, the industry standards will generally be sufficient.

This standard is a generic standard and does not explicitly address safety or accident investigation although the methods described in this standard may be used for this purpose.

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ROOT CAUSE ANALYSIS (RCA)

1 Scope

This International Standard describes the basic principles of root cause analysis (RCA) and specifies the steps that a process for RCA should include.

This standard identifies a number of attributes for RCA techniques which assist with the selection of an appropriate technique. It describes each RCA technique and its relative strengths and weaknesses.

RCA is used to analyse the root causes of focus events with both positive and negative outcomes, but it is most commonly used for the analysis of failures and incidents. Causes for such events can be varied in nature, including design processes and techniques, organizational characteristics, human aspects and external events. RCA can be used for investigating the causes of non-conformances in quality (and other) management systems as well as for failure analysis, for example in maintenance or equipment testing.

RCA is used to analyse focus events that have occurred, therefore this standard only covers a posteriori analyses. It is recognized that some of the RCA techniques with adaptation can be used proactively in the design and development of items and for causal analysis during risk assessment; however, this standard focuses on the analysis of events which have occurred.

The intent of this standard is to describe a process for performing RCA and to explain the techniques for identifying root causes. These techniques are not designed to assign responsibility or liability, which is outside the scope of this standard.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

IEC 60050 (all parts), *International Electrotechnical Vocabulary*

3 Terms, definitions and abbreviations

For the purposes of this document, the definitions given in IEC 60050-192, as well as the following, apply.

3.1 Terms and definitions

3.1.1

cause

circumstance or set of circumstances that leads to failure or success

Note 1 to entry: A cause may originate during specification, design, manufacture, installation, operation or maintenance.

[SOURCE: IEC 60050-192:2014, 192-03-11 modified – addition of the words “circumstance or” and “or success” in the term]