

5 Whys Root Cause Analysis Template - Industry Vetted

Template Information

Template ID	5-why-root-cause-analysis
Version	v1.0
Language	English (en)
Number of Check Items	6
Source	https://layeraudit.com
Revision Date	2026-10-27
Description	Description: This checklist was developed by our Industry Expert Partners and guides your teams through a structured process to identify and eliminate the underlying cause(s) of issues. Systematically define the problem, document immediate corrective actions, apply the 5 Whys technique, pinpoint root causes, implement corrective/preventative actions, verify their effectiveness, and attach relevant incident photos for comprehensive problem resolution.

Audit Information (to be completed during audit)

Audit Date	
Auditor	
Area / Department	
Escort	

Instructions

1. This template contains 6 check items. Record results in the 'Checklist' worksheet.
2. The source does not define fixed pass/fail options. Fill in results according to your own criteria (e.g. Pass / Fail / N.A.).
3. Scores, conclusions and signatures are entered manually in the 'Scoring & Sign-off' worksheet.
4. For photos or other evidence, enter the evidence number in the 'Notes / Evidence No.' column and archive photos by number.
5. Check item numbers are renumbered consecutively. The mapping to the source rows is recorded in '编号对应表.xlsx' in the delivery package.

5 Whys Root Cause Analysis Template - Industry Vetted — Checklist

No.	Section	Check Item	Result	Notes / Evidence No.
	Problem Statement	Clearly define what happened. Be specific and factual. Include time, location, product or part involved, personnel affected, and any environmental or operational conditions at the time. Do not include any assumptions relating to the cause of the incident.		
	Problem Statement	"An operator received a laceration on the hand while loading steel sheets into Press #4 at 2:15 PM on March 14."		
	Problem Statement	Problem statement		
	Immediate Containment or Corrective Actions Taken	Describe what was done right away to contain the problem and prevent further impact?		
	The 5 Whys	Ask "Why?" five times or until the root cause is reached. Avoid jumping to conclusions. Use direct evidence, observations, or process data.		
	Initial Why	Why did the incident occur?		
	Initial Why	Contributing factor		
	Initial Why	Why did that condition exist		
	Identified Root Cause(s)	Summarize the final root cause(s) discovered through the 5 Whys process. If multiple branches or contributing causes were found, note them separately.		
	Identified Root Cause(s)	Root cause(s)		
	Identified Root Cause(s)	Summary of root cause		
	Corrective/Preventive Actions	Corrective/Preventive Action		
	Corrective/Preventive Actions	Create a corresponding action item for each corrective/preventive action listed		
	Corrective/Preventive Actions	Description of action to be taken		
	Corrective/Preventive Actions	Person responsible		
	Corrective/Preventive Actions	Due date		
	Verification of Effectiveness	Criteria used to determine the effectiveness of the corrective and preventive actions over time		
	Verification of Effectiveness	Summary of effectiveness		
	Attachments	Photos of the incident		
	Attachments	Select additional attachments relevant to the incident		
1	Attachments	Incident report format		
	Attachments	Paste SafetyCulture incident report weblink		
	Attachments	Upload PDF of incident report		
2	Attachments	Maintenance record format		
	Attachments	Paste SafetyCulture maintenance record weblinks or link to the asset containing the records		
	Attachments	Upload PDFs of maintenance records		
3	Attachments	Training records format		
	Attachments	Paste link to training records		
	Attachments	Upload PDFs of training records		
4	Attachments	SOP's format		
	Attachments	Paste link to SOP's		
	Attachments	Upload PDF's of SOP's		
5	Attachments	Witness statement format		
	Attachments	Paste SafetyCulture witness statement weblink		
	Attachments	Upload PDFs of witness statements		
6	Attachments	Equipment Calibration record format		
	Attachments	Paste SafetyCulture equipment calibration record weblinks or link to the asset containing the records		
	Attachments	Upload PDFs of equipment calibration records		
	Attachments	Upload PDFs of documents		
	Attachments	Name of documents		
	Attachments	Upload PDFs of documents		
	Attachments	Paste links to documents		
	Sign Off	Additional notes		
	Sign Off	Reviewed by (Safety/Quality Manager)		

5 Whys Root Cause Analysis Template - Industry Vetted — Scoring & Sign-off

Sign-off

Investigation Lead Signature	
Department Supervisor/Manager Signature	