



Division of Risk Management

Proactive Risk Management Part 3: Root-Cause-Analysis

Department of
Government Operations

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Three-Part Proactive Risk Management Series

Part 1: Risk Identification and Analysis

- Increase safety for employees and patrons/customers
- Reduce tax dollars spent on claims
- Shift from reactive to proactive
- Introduced Risk Matrices (Severity of Claim vs. Likelihood of Occurrence)

Part 2: Risk Tolerance and Mitigation

- In-depth review of Risk Matrices and the focus of your risk management efforts
- Introduction to the Hierarchy of Controls for mitigating risks



URGENT

NOT URGENT

HIGH VALUE

- **Emergencies**
- **Project deadlines**
- **Last-minute tasks**

- **Prevention**
- **Strategic planning**
- **Skills development**

LOW VALUE

- **Some phone calls**
- **Some emails**
- **Some meetings**

- **Busy work**
- **Escape activities**
- **Low-impact tasks**



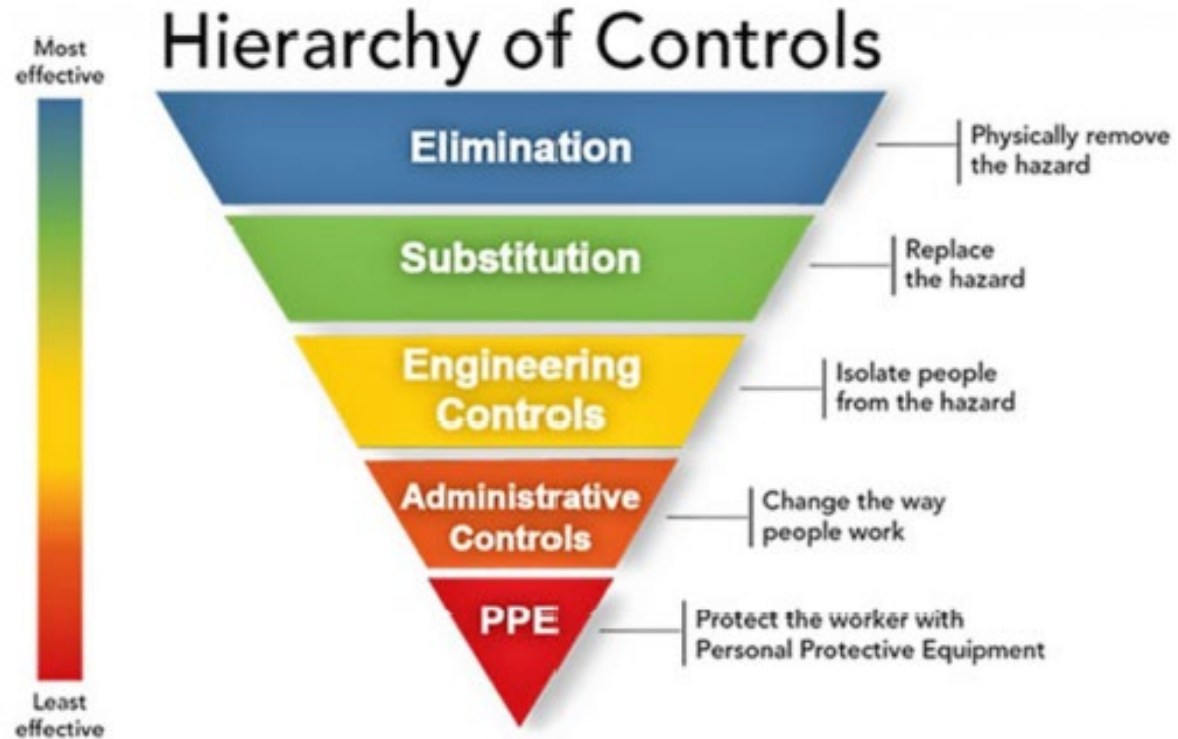
		Height of Lip/Edge Impact Severity (1-5) based on height of Lip				
Column1	Column7	X-0.25 inch	0.25-.5 inch	.5-1 inch	1-2 inch	>2 inch
		1	2	3	4	5
High	5	Low	Medium	High	Very High	Extreme
Medium High	4	Low	Medium	High	Very High	Very High
Medium	3	Low	Medium	Medium	High	Very High
Low Medium	2	Low	Low	Medium	Medium	High
Low	1	Low	Low	Low	Medium	Medium

Foot Traffic Volume (1-5) compared to campus average



Risk Mitigation

Take action to reduce the likelihood and severity of an incident



Root-Cause-Analysis

5-Whys



When Reactive Becomes Proactive



Without proper identification and analysis, mitigation efforts can feel insufficient.



When Reactive Becomes Proactive



Without proper identification and analysis, mitigation efforts can feel insufficient.

Proper identification analysis, and mitigation can help reduce or eliminate hazards before an incident occurs or reoccurs.



Getting to the Bottom of It

Root-Cause-Analysis

Think of it as a smart way to stop problems before they happen **again**. Instead of fixing obvious stuff, dig deep to find out why things actually went wrong.





How to Conduct a 5-Whys Analysis

Process Overview

1. Gather a team familiar with the problem to define the issue(s)
2. Ask "Why?" repeatedly—usually five times—to move past symptoms and uncover the fundamental root cause.
3. Implement mitigation strategies to reduce and/or eliminate future occurrences





Example 1

The 3-Step Summary

edit_note

1. Define the Problem Clearly

help_outline

2. Ask "Why?" Repeatedly

check_circle

3. Identify & Fix Root Cause



Facilities Management

Problem: Staff are losing power because an electrical breaker keeps tripping

Why is the breaker repeatedly tripping? - Numerous space heaters plugged into the circuit

Why are there space heaters in the offices? - Staff claims they are cold and need the heaters

Why are the staff cold? - The HVAC system is not operating properly in their office(s)

Why the HVAC system not working? - The thermostat is located in one office with a space heater

Why is the thermostat in the office? - It controls the temperature of the adjacent offices

Source/Solution - *The space heater is heating the room with the thermostat so the HVAC system is trying to reduce the air temperature in the room(s). Remove space heaters and adjust the dampers/thermostat*



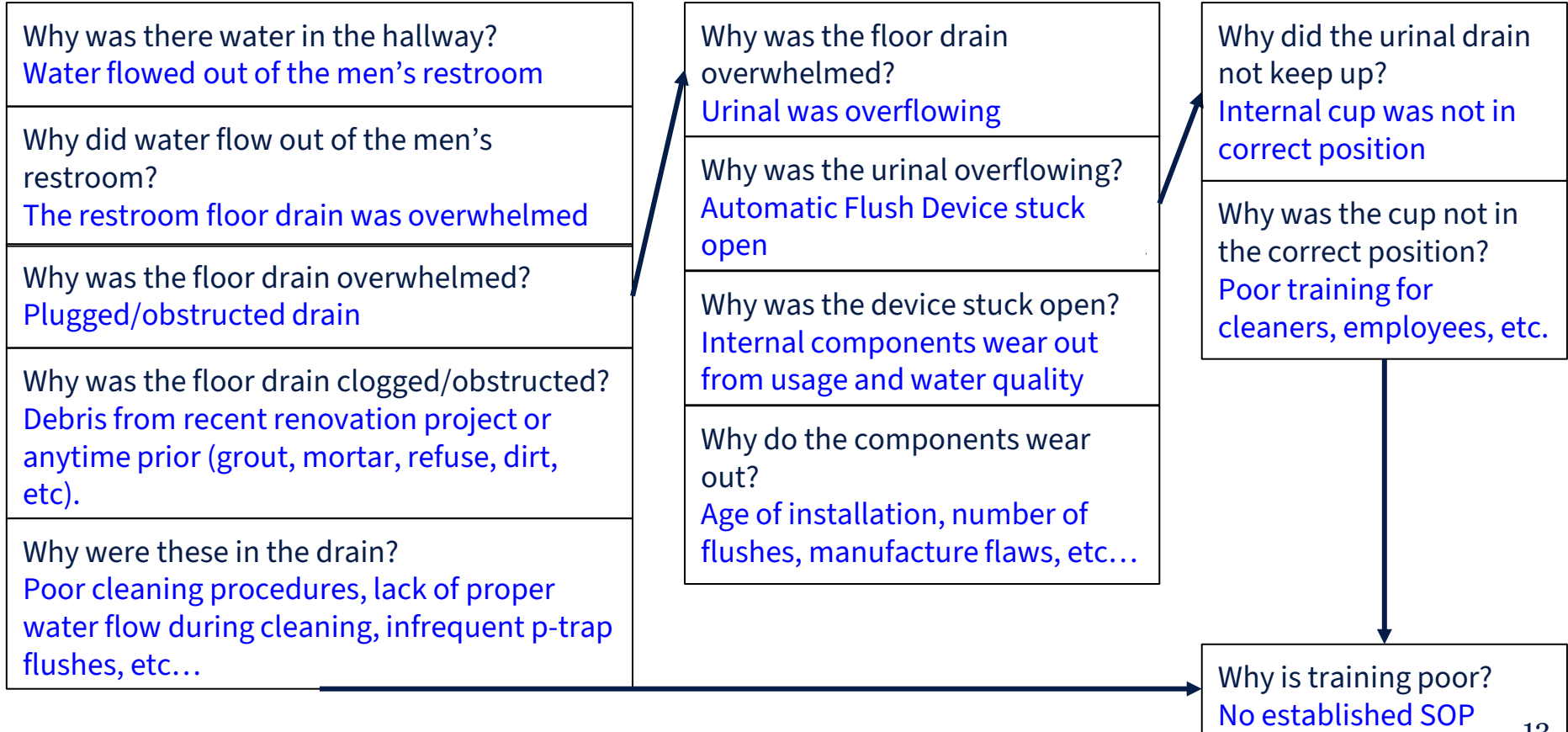
Example 2 - Water Damage inside Building

- DRM received notice of water damage from an overflowing urinal
 - Initial 5 Whys
 - **Why did the urinal overflow?** - Automatic flusher self-activated and did not stop flowing water
 - **Why did the water not stop?** - Automatic flush valve stuck open
 - **Why was the valve stuck open** - Internal components worn out
 - **Why were the internal components worn out** - manufacturer defect, end of life, etc.?
 - Replaced the automatic flush mechanism and others throughout the building



Are future occurrences fully prevented?

Example 2 - Water Damage inside Building Cont...





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Thank You

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