Welcome to:

QIA Tutorial: Performing Root Cause Analysis Using 5 Whys

The webinar will begin momentarily!
Root Cause Analysis Using 5 Whys

January 17, 2018
Welcome/Opening Remarks
Jeanine Pilgrim, Quality Improvement Director
IPRO ESRD Network Program
Reminders

• All phone lines will be muted

• Please submit ALL questions and comments via chat at any time

• There will be breaks for answering Q & A
Agenda

• Review: What is a Root Cause Analysis?
• Why do an RCA?
• Examples of Issues to Analyze
• Sample 5 Whys RCAs
• CMS QAPI Resources
• Review Network Reporting
Today’s Presenters

Carol Lyden, NW2 Quality Improvement Director

Anna Bennett, NW2 Quality Improvement Coordinator

Michelle Lewis, NW6 Quality Improvement Coordinator
Root Cause Analysis (RCA)

- RCA is a tool designed to help identify the what, how and why the event happened.
- Root causes are:
  - underlying
  - identifiable
  - can be controlled and allow for changes in process/practice to be made.
Why Do an RCA?

- Teambuilding to promote positive change
- Improve Performance by identifying
  - Barriers to Transplant
  - Barriers to Home Therapies
  - Barriers to Vocational Rehabilitation
- Reduce Adverse Events
  - Infections
  - High Rate of Long Term Catheters
Performing RCA

RCA is a method of problem solving

• Collect data: to perform an RCA, it requires data collection and delving deeper below the surface into why the event happened
  • Case Study
  • Fishbone Diagram/Cause and Effect Diagram
  • “Ask Why 5 Times” Technique
Examples of Issues to Analyze

• High Rate of Infection
• Long Term Catheter Use
• Low Transplant Referrals
• Low Utilization of Home Therapies
• Low Vocational Rehabilitation Referrals
Questions or Comments?
Why ask Why?

“If you don’t ask the right questions, you don’t get the right answers” – Edward Hodnett
5 Whys Technique to RCA

- Write down the problem
- Ask Why the problem happened
- If the root cause is not identified, continue to ask why until the root cause is identified
- By repeating the steps you can peel away the symptoms till you get to the root cause
Now YOU try it!

<table>
<thead>
<tr>
<th>5 WHYs ROOT CAUSE ANALYSIS TEMPLATE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>DEFINE THE PROBLEM</strong></td>
</tr>
<tr>
<td>Define problem here</td>
</tr>
<tr>
<td><strong>PRIMARY CAUSE</strong></td>
</tr>
<tr>
<td>Why is it happening?</td>
</tr>
<tr>
<td>It is happening because</td>
</tr>
<tr>
<td>Why is that?</td>
</tr>
<tr>
<td>It is happening because</td>
</tr>
<tr>
<td>Why is that?</td>
</tr>
<tr>
<td>It is happening because</td>
</tr>
<tr>
<td>Why is that?</td>
</tr>
<tr>
<td>It is happening because</td>
</tr>
<tr>
<td>Why is that?</td>
</tr>
<tr>
<td>It is happening because</td>
</tr>
<tr>
<td><strong>ROOT CAUSE</strong></td>
</tr>
<tr>
<td>It is happening because</td>
</tr>
<tr>
<td><strong>WHY IS THIS A PROBLEM?</strong></td>
</tr>
</tbody>
</table>

*NOTE: If the final "Why" bar an controllable solution, return to the previous "Why."*
Teambuilding: Ask Why 5 times: Infection

#1. Why is our infection rate high?
   • Patients aren’t washing their hands.

#2. Why aren’t they washing their hands?
   • Patients say they are already clean.

#3. Why do they think they are already clean?
   • They can’t see any dirt on their hands.

#4. Why do they think that the only danger is dirt they can see?
   • Because they don’t know that you can’t see germs and bacteria.

#5 Why don’t they know?
   • Because they have not been educated about germs and bacteria.
Teambuilding: Ask Why 5 times: LTC

#1. Why is our LTC rate high?
   • Patients coming for their first dialysis outpatient treatment without AVF or AVG.

#2. Why don’t they have AVF/AVG?
   • Patients were not educated on the need to have AVF or AVG placed.

#3. Why were they not educated?
   • Patients did not attend the orientation class for pre-renal patients.

#4. Why didn’t they attend classes?
   • Patients did not have transportation to get to the orientation class.

#5 Why didn’t they have transportation?
   • Patients did not have a support system to get them to the orientation class.
Network Reporting

RCA Due

- Vocational Rehabilitation
  - Overdue: Contact the Network
- Home Therapies
  - Due January 19th

RCA Tool Upcoming

- Transplant
  - Due February 12th
- HAI (BSI/LTC)
  - Due February 19th
Improving your QAPI Process: CMS Resource

Promote a fair and open culture where staff are comfortable identifying quality problems and opportunities

- Know your current culture
- Assess your individual skills, practice, attitude
- Create a learning organization that drives and reinforces a process for organizational change

https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/QAPI/qapitools.html
Questions or Comments?
Closing Remarks

- What is a Root Cause Analysis?
- Why do an RCA?
- CMS QAPI Resources
- Network Reporting
- Fill out our Webinar Assessment
  - Help us improve to meet YOUR needs.
Stay in Touch!

• Newsletters/Alerts
  • https://tinyurl.com/ESRDNW2-6

• Facebook
  • https://www.facebook.com/IPROESRDProgram

• Website
  • esrd.ipro.org
Thank You

Carol Lyden, RN, BSN, MS, CNN
Quality Improvement Director

Jeanine Pilgrim, BSHSM
Quality Improvement Director

Anna Bennett
Quality Improvement Coordinator

Michelle Lewis, CCHT
Quality Improvement Coordinator

Corporate Headquarters
1979 Marcus Avenue
Lake Success, NY 11042-1072

http://ipro.org