Understanding Root Causes

Identifying Outbreak Contributors
Beyond Contact Tracing

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Today’s Objectives

- Create a quick but thorough RCA using a multidisciplinary approach
- Make use of technology via virtual platforms to encourage brainstorming
- Identify contributing factors to a simulated COVID-19 outbreak in a nursing facility
RCA – Why Bother?

Healthcare workers like to fix problems but often skip the very valuable RCA process

- We already “know” what the problems are
- Diagrams are difficult to create – lack of technical skill
- The “fishbone thing” is intimidating
- I don’t know where to start
RCA - Simple and Fun

- Important “first step” and honest look at the problem
- All possibilities are included
- Multidisciplinary team is key!
- Channel your inner 4 year old child!
The Team

- Every discipline involved in the issue
- All ideas are worth mentioning
- Confidentiality
- Can Do attitude – not a complaint session
- Facilitator to maintain focus
- How can we do this virtually?
5 WHYs

- Modify the 5 Whys for all types
- Start with problem or incident
- Keep asking why until the excuses fall away
- Human Error is rarely a root cause
- Looking for real or potential system failure
- But… why?
K.I.S.S.
(Keep it Simple Smartie!)

- Facilitator encourages all to participate
- No idea is too small
- The best ideas are simple in nature
- Stick to identifying causes – not solutions
- Virtual Platform
Using Virtual Platforms

- Choose a platform – Zoom, Teams, GoToMeeting, etc
- Camera preferred – keeps people engaged
- Screen share for facilitator
- Simple Excel spreadsheet
Using Excel

- 4 or more main categories
  - Leadership/Systems
  - Staff Control
  - Resident Factors
  - Environmental
- List possible causes – all welcome
- Keep asking why!
<table>
<thead>
<tr>
<th>Leadership</th>
<th>Staff</th>
<th>Residents</th>
<th>Environment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Education</td>
<td>1) not taking sick time</td>
<td>1) long conversation</td>
<td>1) Disinfection</td>
</tr>
<tr>
<td>2) Policy</td>
<td>2) mask not worn</td>
<td>2) hearing issues</td>
<td>2) Hand hygiene</td>
</tr>
<tr>
<td>3) Culture</td>
<td>3) assignments</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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**Template**
CAUSES OF OUTBREAK

SYSTEMS
- Leadership
- Oversight
- Policies
- Availability of Supplies

PEOPLE
- Staff Control
- Resident Factors

SCREENING AND PREVENTION

DISINFECTION

HAND HYGIENE AND PPE EDUCATION

ENVIRONMENT

RISK OF INFECTION
A staff member has been working while feeling ill for 2 days. They reported a fever during the shift and was sent home. The employee tested positive for COVID-19. Within several days, 6 staff tested positive and 12 residents were symptomatic and later tested positive. WHY did this happen?

Lets start with some simple categories in our spreadsheet to lead the discussion.