



INDIANA
DEPARTMENT *of*
EDUCATION

Results Driven Accountability (RDA) Root Cause Analysis

Indicator 11: Initial Evaluations

Indiana Department of Education
Office of Special Education



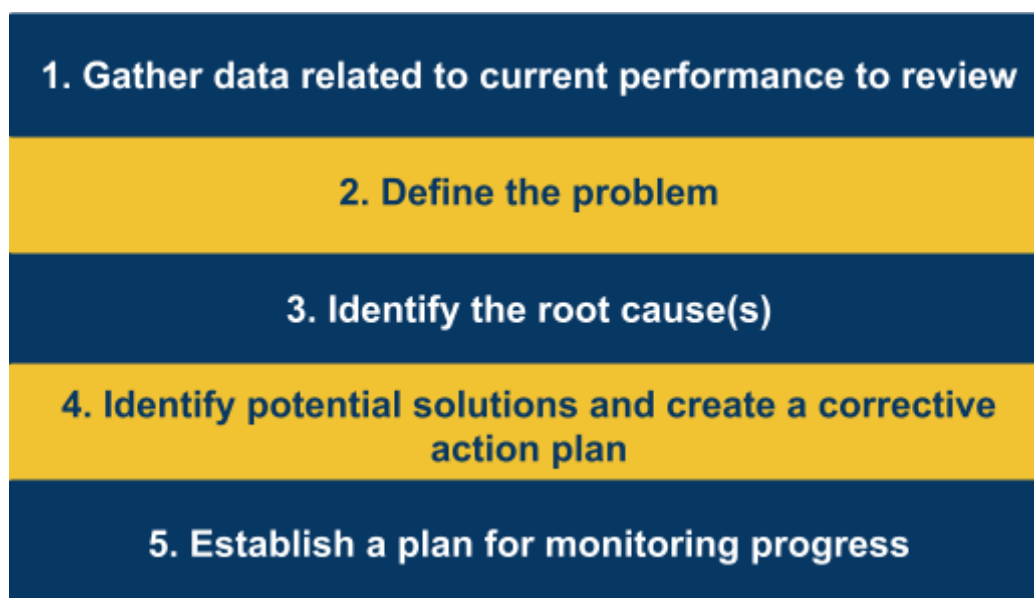
Indicator 11: Initial Evaluations and Child Find

Definition

Percentage of children evaluated within 50 days of parental consent (20 days when the student has participated in Response to Intervention (RTI)) or when an expedited evaluation is required by discipline procedures identified in 511 IAC 7-44-9.

This root cause analysis form aims to help districts analyze their policies, practices, and procedures related to timely completion of evaluations for special education. Root cause analysis seeks to understand why problems are happening and create a plan that will address those root causes and remove barriers to student learning.

Root cause analysis and subsequent planning and implementation of corrective action is intended to be performed using a team approach. The steps for in depth root cause analysis, and subsequent corrective action and monitoring, are included below:



Step 1: Gather Data Related to Current Performance to Review

Data sources to consider:

- Parent referral data (e.g. parent consent date)
- Initial evaluation date for special education eligibility
- Referral process - who receives the most referrals? (e.g. office staff, teachers, school psychologist, etc.)
 - Public agency's proposals and refusals to conduct educational evaluations. How many requests to evaluate were accepted/refused? Why?

Policy and Procedure Review:

- Referral processes for special education assessment
- Process of completing special education assessments within the 50-day timeline (or 20-day if required)
- Procedures to ensure assessments and other evaluation materials:
 - Are provided and administered in the student's native language or other mode of communication
 - Are provided and administered in the form most likely to yield accurate information on what the student knows and can do
 - Are administered by trained and knowledgeable personnel in accordance with any instructions provided by the producer of the assessment
 - Are selected and administered so as to not be discriminatory on a racial or cultural bias
 - Include those tailored to assess specific areas of educational need and not merely those designed to provide a single general intelligence quotient (IQ)
- Procedures for securing additional assessors when needed
 - Procedures for reviewing evaluation data and identifying the suspected disability(ies).
- Process of ensuring families are included in the development of the IEP

Key Questions:

- What is the process for completing special education assessments within the 20- or 50-instructional day timeline?
- How are assessments assigned to assessors? What contingency plans are in place if there is a shortage of assessors?
- What resources do assessors need to complete assessments in a timely manner?
- Who is responsible for monitoring the progress of assessments during the initial evaluation timeframe? How does the person(s) responsible for monitoring the progress of assessments during the initial evaluation timeframe facilitate information sharing with the Local Education Agency?
- Who is responsible for scheduling case conference committee (CCC) meetings? How are the meetings scheduled and records maintained?
- Is backwards planning used to determine when an evaluation needs to be completed in order to meet all timelines?
- Do you have a process that builds in margin and plans for potential delays due to various circumstances (e.g., parents, weather, illness, etc.)?
- Are summer/school breaks addressed in a manner that ensures timelines are met?
- Is the training on conducting initial evaluations and holding case conference meetings adequate and provided to all staff involved?
- How does the assessor determine that the evaluation process is comprehensive and individualized?

Step 2: Define the Problem

After reviewing data, the team will create a 1-2 sentence statement that includes information about the problem. The problem statement should include information about actual impact and potential impact of the problem, and should cite specific data. Be as clear and specific as possible.

Example: During the 2020-2021 school year, 5% of School A's initial evaluations were not held within the required evaluation timeline and as a result "x has happened".

Step 3: Identify the Root Cause(s)

A root cause is the primary or initiating factor that leads to an outcome, in this case a lack of timeliness in completing evaluations. By understanding the root cause(s) of this issue, it will allow districts to focus on addressing the root causes that lead to the problem, not just the symptoms of the problem. Identifying the root cause requires that we dig deep into the issue and focus on **why** and **how** a problem is occurring.

Listed below are two tools (fishbone diagram, 5 Whys) that can be used to conduct a root cause analysis. Please select one to complete in your root cause analysis and attach it with your submission of your corrective action plan.

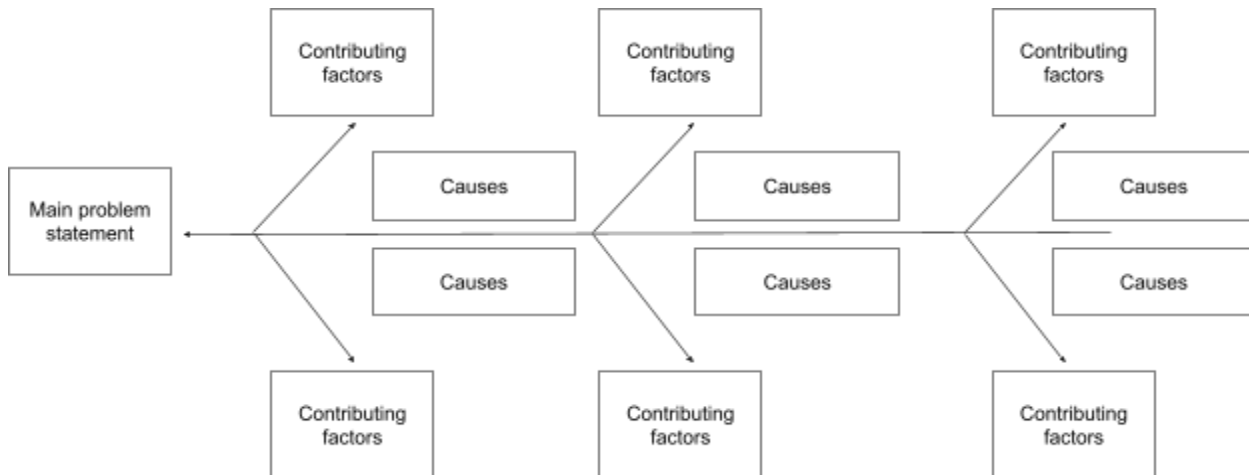
Verify the Root Cause - Essential Questions

Once you have identified what you believe to be the root cause, it's important to confirm with:

- Did multiple data sources support the identification of this root cause?
- Does the data support that this cause contributed to the problem?
- Can anything else, besides this cause, lead to the problem?
- Is this root cause within the school's control?
- Are there actionable steps we can take to address the root cause?
- Will correction of the cause lead to the problem no longer occurring?
- Will elimination of this cause change the outcome?

Fishbone Diagrams

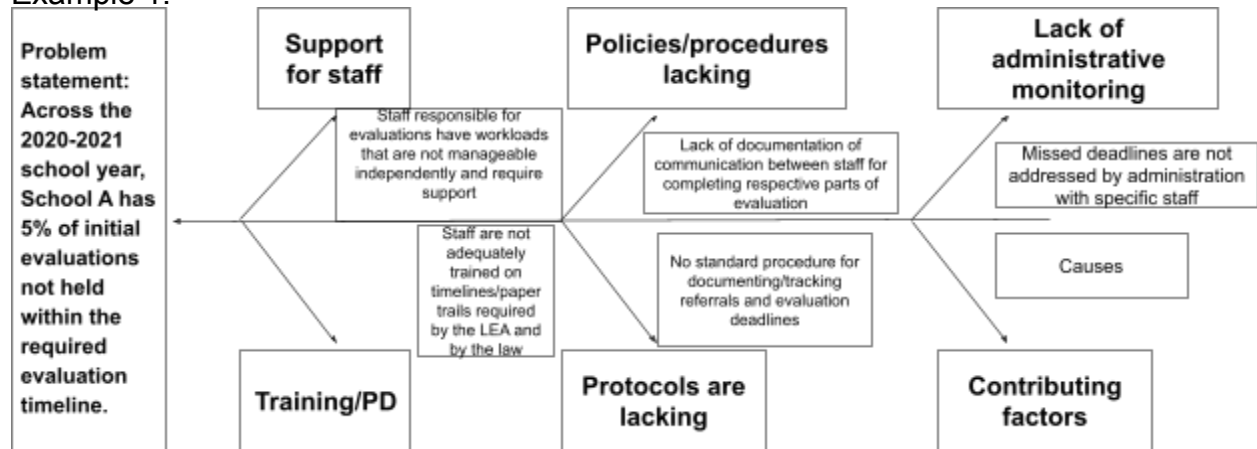
A fishbone diagram is a chart that can help better understand the contributing factors and causes of a problem. Starting with the problem allows us to break down the factors that contribute to the problem and consider the causes of each factor. Work as a team to brainstorm causes by asking, “why does this happen,” and write ideas with their related category. Continue to ask “why” and understand deeper levels of causes. Look for patterns or similarities that can be grouped together.



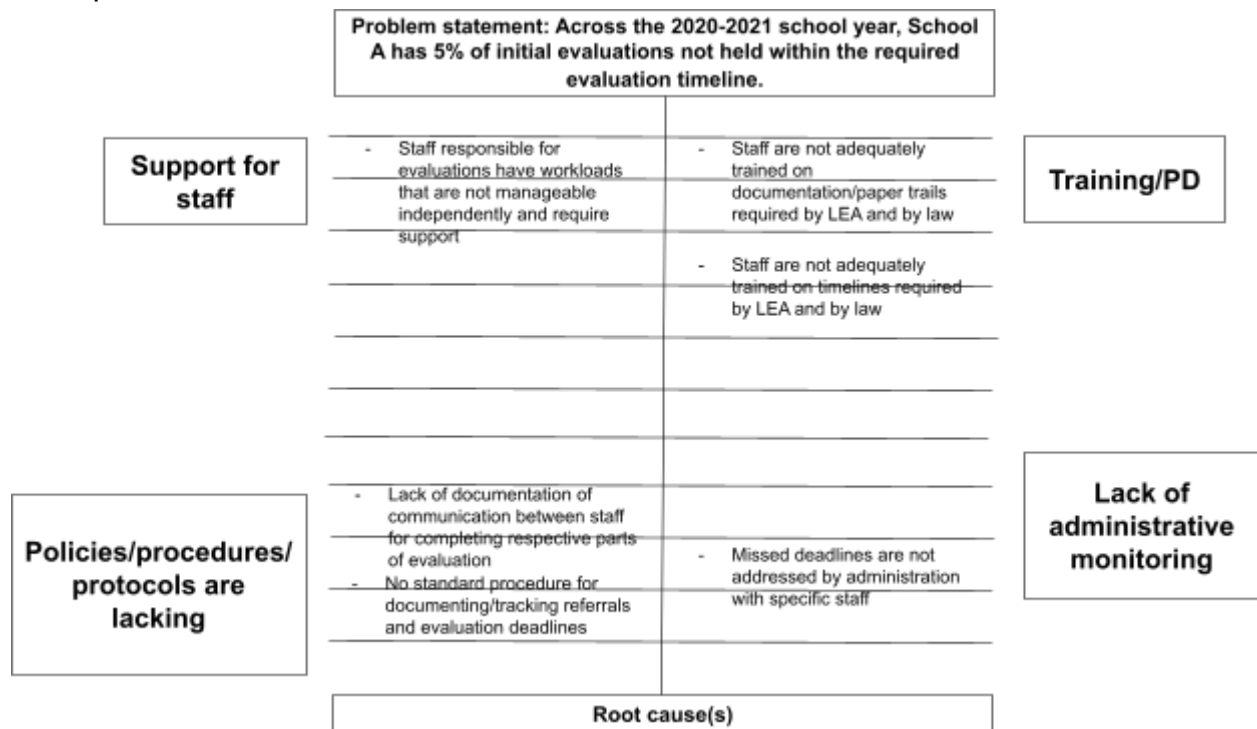
	Main problem statement	
Causes		Causes
	Root cause	

Fishbone Diagram Examples

Example 1:



Example 2:



The Five Whys

The goal of root cause analysis is to discover the **why**. Asking “why” allows us to look beyond the symptoms of the problem and can lead us to the root cause. Continue asking “why” until the team agrees on the root cause. This may take more than five times of asking “why.” Make sure to focus on causes and factors that are within the district’s control and focus on adult actions.

Define the problem:

Why is the problem happening?

Why?

Why?

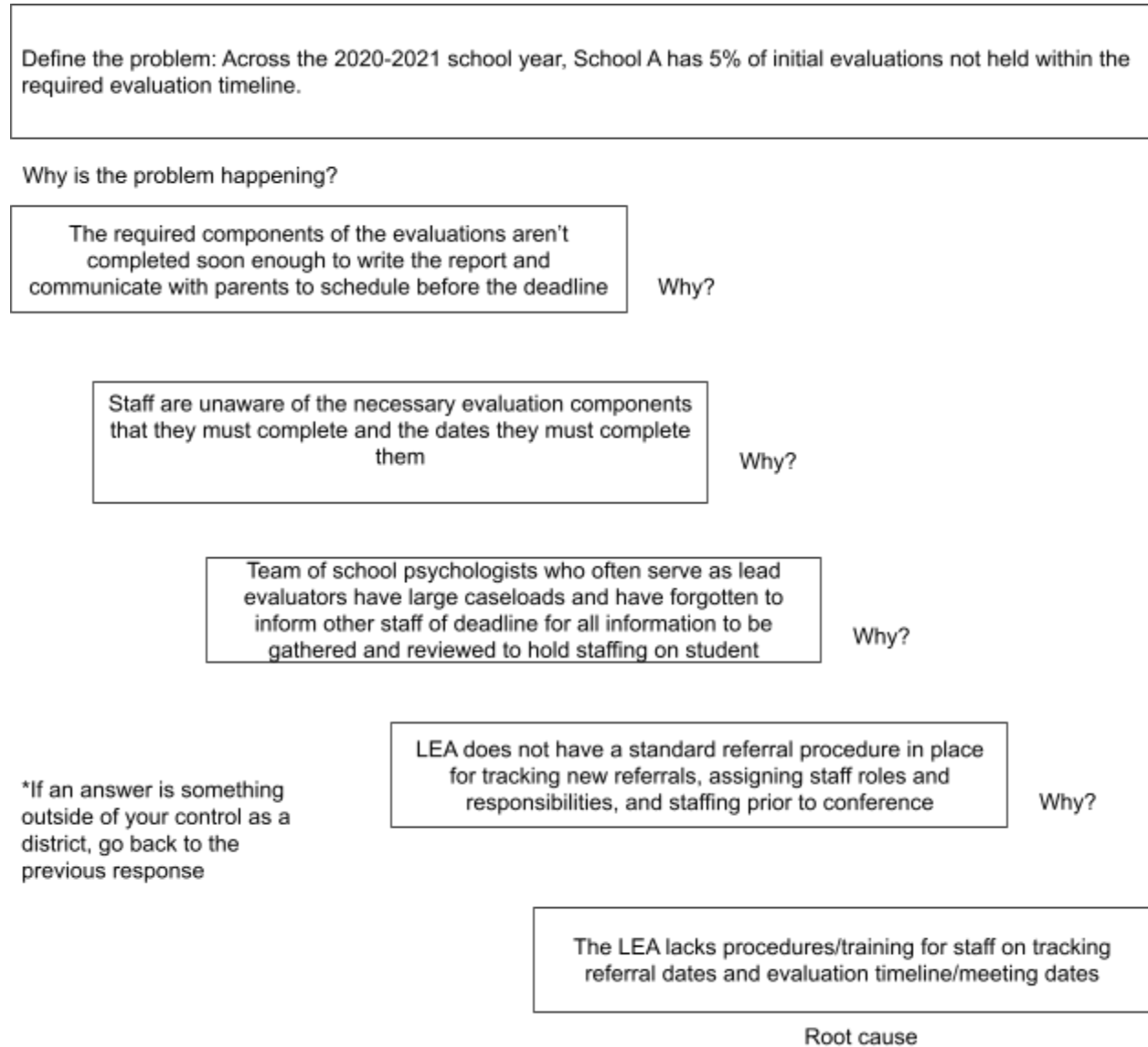
Why?

*If an answer is something outside of your control as a district, go back to the previous response

Why?

Root cause

The Five Whys Example



Step 4 and 5: Create a Corrective Action Plan and Establish a Plan for Monitoring Progress

The purpose for completing a corrective action plan is to identify actions that the district will take to correct individual findings of noncompliance and ensure there are systems in place for ensuring future compliance. Per Indiana Department of Education guidance, the district must submit verification of correction of noncompliance and evidence of corrective action for future compliance no later than one (1) year from the date of notification of noncompliance.

Directions: A blank copy of the corrective action plan for indicator 11 is located [here](#). Please copy the document and use it for your corrective action plan submission.