

# Georgia's Systems of Continuous Improvement

## *The Friday Webinar Series*

### **Conducting a Single Comprehensive Needs Assessment – Identifying Need: Root Causes, Drawing Conclusions, and Prioritizing**

Office of Federal Programs  
Office of Special Education

March 31, 2017



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Georgia's School Superintendent  
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# Presenters

Dr. Ken Banter, Title I Program Manager  
Federal Programs

Nakeba Rahming, State Director  
GNETS

Dr. Zelfhine Smith-Dixon, State Director  
Special Education Services and Supports

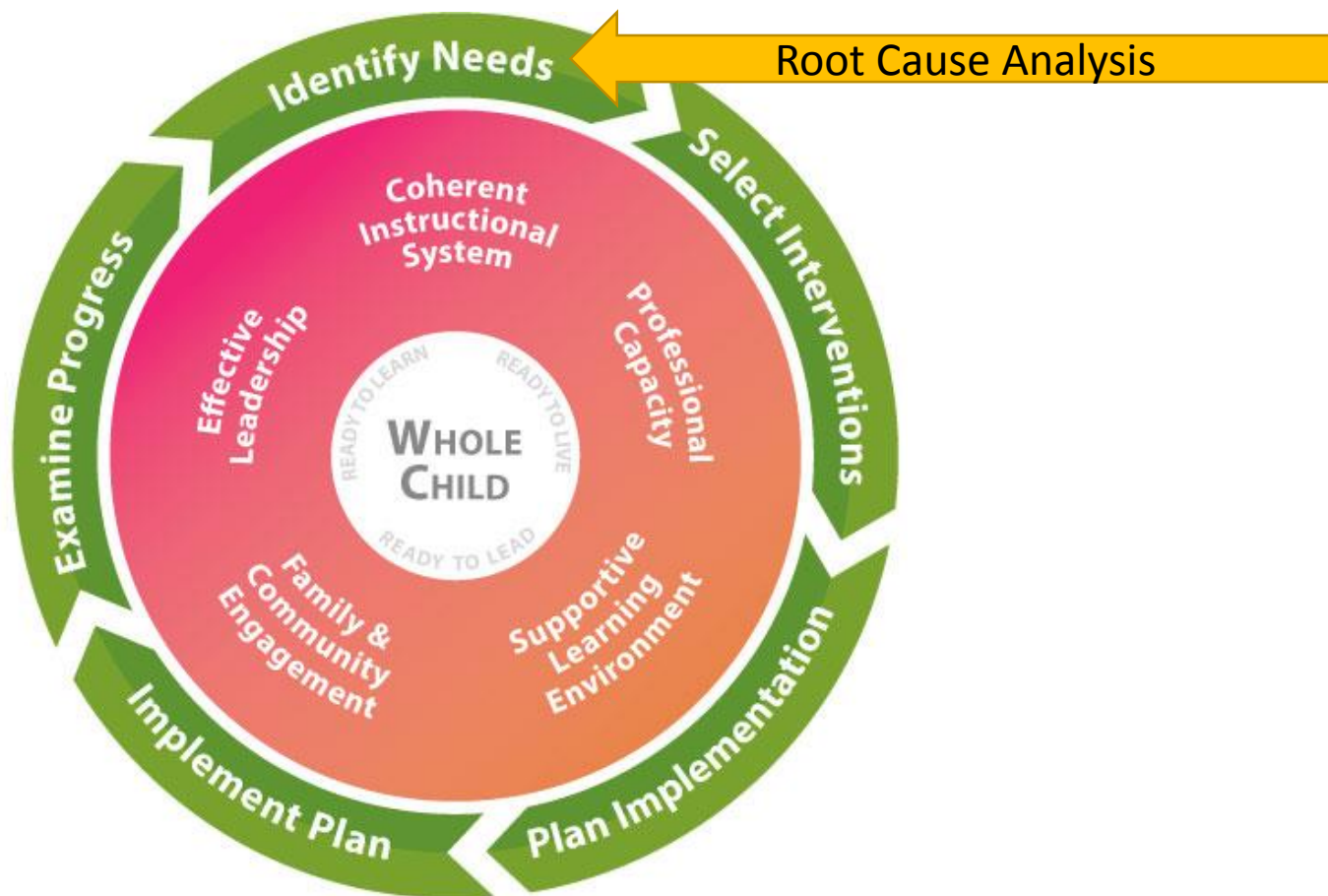
Nicholas Handville, Business Analyst III  
Federal Programs

John Wight, Director  
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# Georgia's Systems of Continuous Improvement



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# Dr. Ken Banter

## Title I Program Manager

### Federal Programs

# Purpose of Webinar

- Overview of Root Cause Analysis (RCA)
- Share sample tools and models for RCA
- Review the ICEL/RIOT Matrix
- Addressing Technical Problems vs Adaptive Challenges
- Using Process Data
- RCA and the CNA Tool

# Overview of RCA

## Definition:

Root cause analysis (RCA) is a class of problem solving methods designed to help identify not only *what* and *how* an event occurred, but also *why* it happened.

# Overview of RCA

- RCA helps identify “WHY” something happened, thus preventing recurrence
- Root causes are underlying, are reasonably identifiable, can be controlled, and allow for generation of recommendations
- The process involves data collection (CNA tool), cause charting, root cause identification/recommendation
- The process requires stakeholders being open and honest with the data

# Overview of RCA

RCA traces a problem to its origins

- There are usually three basic types of “causes”
  - Physical causes – Tangible, material items failed in some way (for example, a car's brakes stopped working).
  - Human causes – People did something wrong, or did not do something that was needed. Human causes typically lead to physical causes (for example, no one filled the brake fluid, which led to the brakes failing).
  - Organizational causes – A system, process, or policy that people use to make decisions or do their work is faulty (for example, no one person was responsible for vehicle maintenance, and everyone assumed someone else had filled the brake fluid).



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# Nakeba Rahming

## State Director, GNETS

# Getting to the Root Cause of your Outcomes

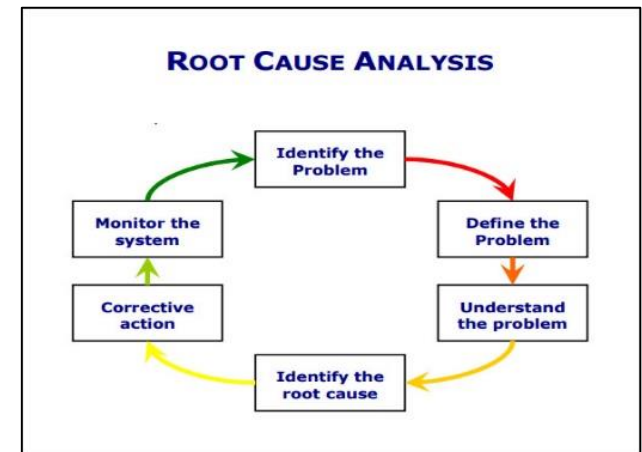
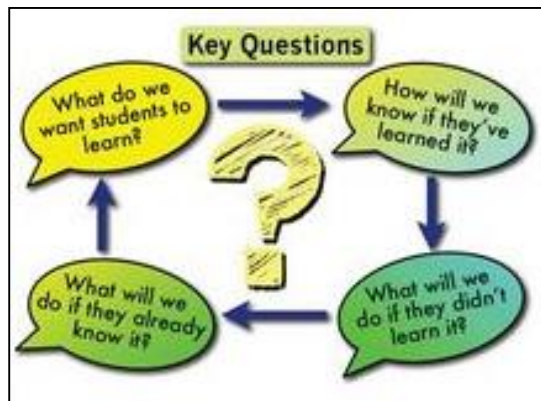
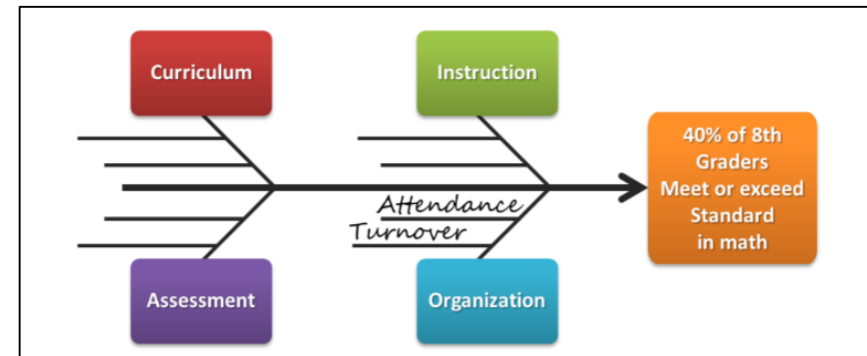
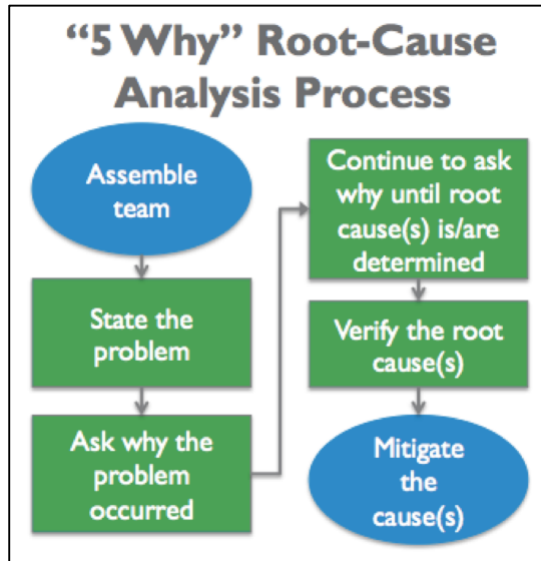


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- Root cause analysis is an organized method of problem solving used to identity the underlying reasons for undesired outcomes.
- Systems review outcomes and use RCA to find out what happened, why it happened, and determine what needs to be changed and/or sustained.
- Events that should be investigated using the RCA process can be identified from your comprehensive needs assessment.

# Multiple Tools and Models Exist

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# The 4 Step Problem Solving Process and ICEL/RIOT Matrix



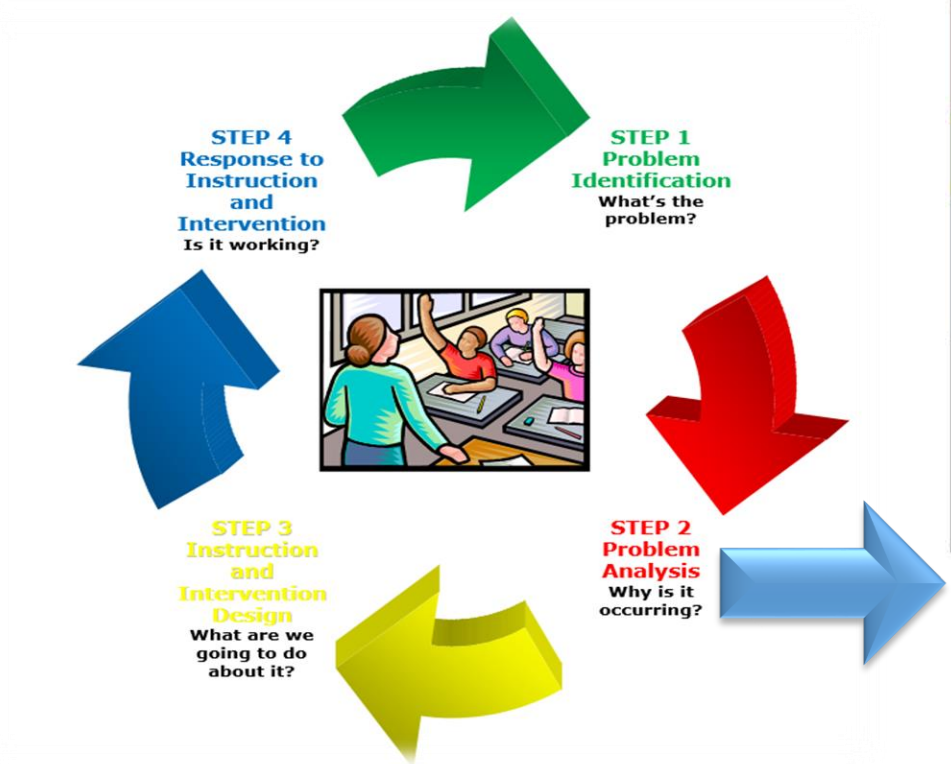
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Key Domains of Learning		
I	Instruction	Instruction is how the curriculum is taught and can vary in many different ways including: level of instruction, rate of instruction, and presentation of instruction
C	Curriculum	Curriculum refers to what is taught. Curriculum would include scope, sequencing, pacing, materials, rigor, format, relevance
E	Environment	The environment is where the instruction takes place. Variables in the environment include classroom expectations, beliefs/attitudes, peers, school culture, facilities, class size, attendance/tardies, management
L	Learner	The learner is who is being taught. This is the last domain that is considered and is only addressed when the curriculum and instruction are found to appropriate and the environment accommodating. Variables include motivation prerequisite skills, organization/study habits, abilities, impairments, and history of instruction.

Coherent Instruction

Supportive Learning Environment

Potential Sources of Information	
R	Review of historical records and products
I	Interview of key stakeholders
O	Observe performance in real time functional settings
T	Test student through careful use of appropriately matched measurement technologies



# Using the ICEL/RIOT Matrix

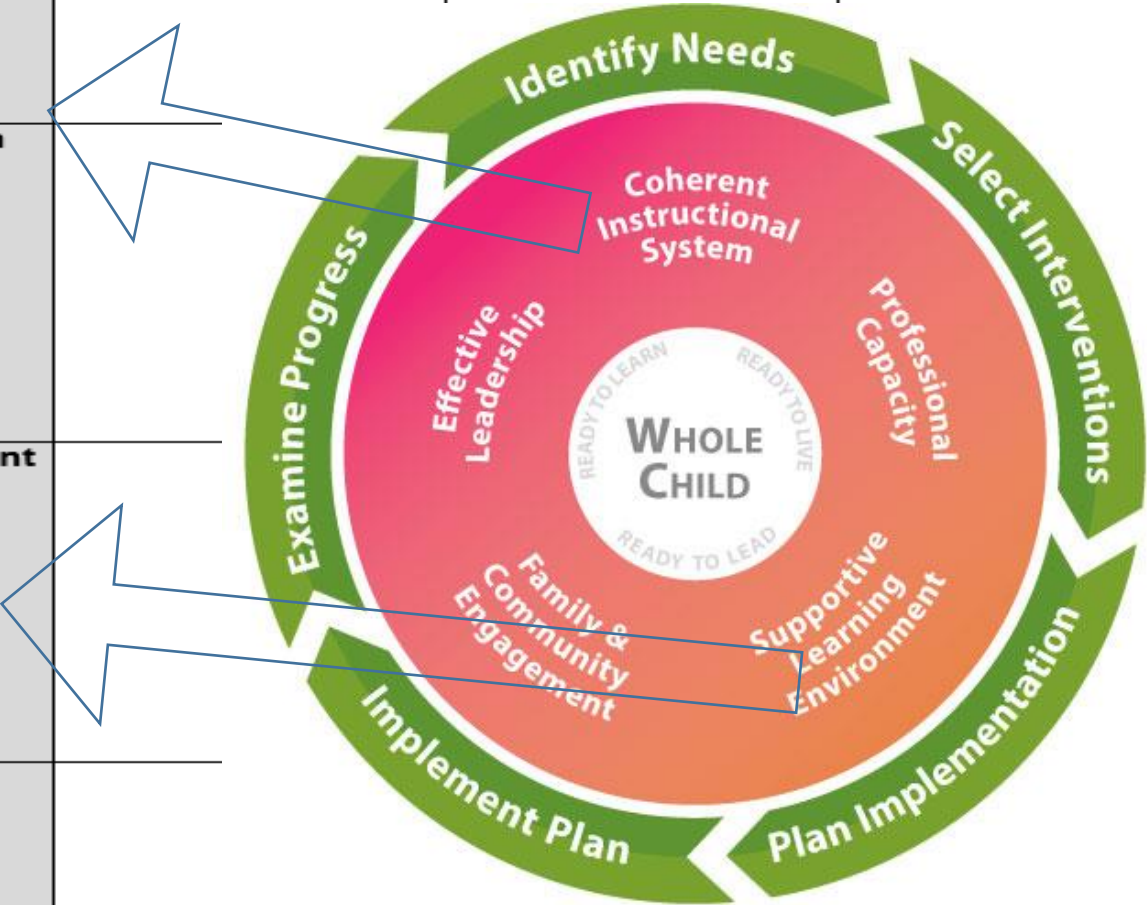


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- The ICEL/RIOT matrix is not itself a data collection instrument. Rather, it is framework that increases organizations' confidence both in the quality of the data that they collect and the findings that emerge from the data (Hosp, May 2006).
- Educators use it to assist in their quest to sample information from a broad range of sources and to investigate all likely explanations for system and student level outcomes.

RIOT/ICEL MATRIX

	Review	Interview	Observe	Test
Instruction				
Curriculum				
Environment				
Learner				





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# Dr. Zelphine Smith-Dixon State Director, Special Education Services and Supports

# Technical Problems



Easy to Identify  
Simple Problems

Quick Solutions  
Few Changes

Expert or authority can solve  
the problem!

# Adaptive Challenges



Difficult to Identify  
Layered Challenges

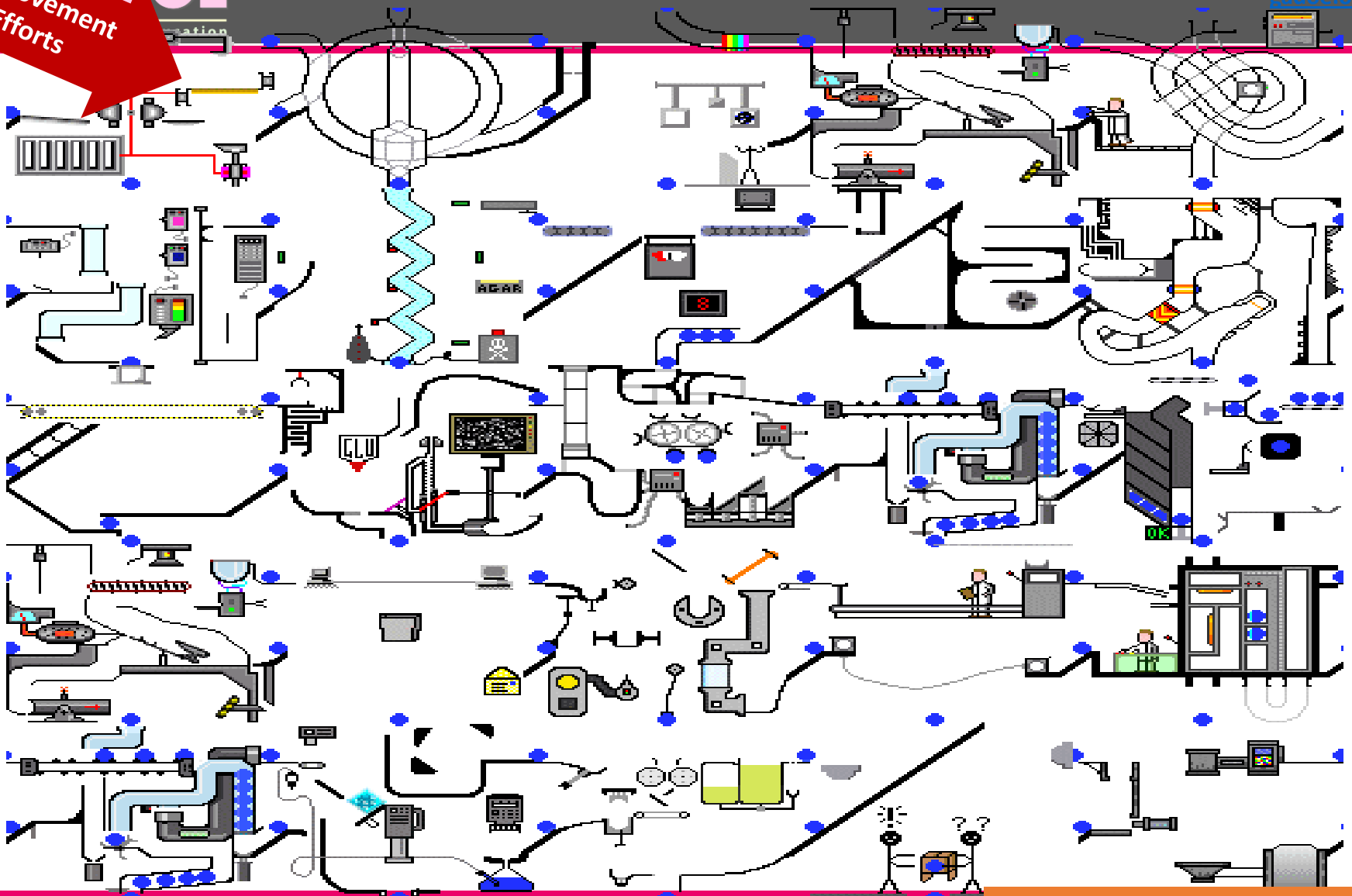
Complex Solutions  
Change in values, beliefs...

People with the problem do  
the work of solving it!

***Are you planning to address Technical Problems or Adaptive Challenges with some Technical Fixes?***



Improvement  
Efforts



GOAL

Improved Outcomes  
for ALL Students

## Collage



## Portrait



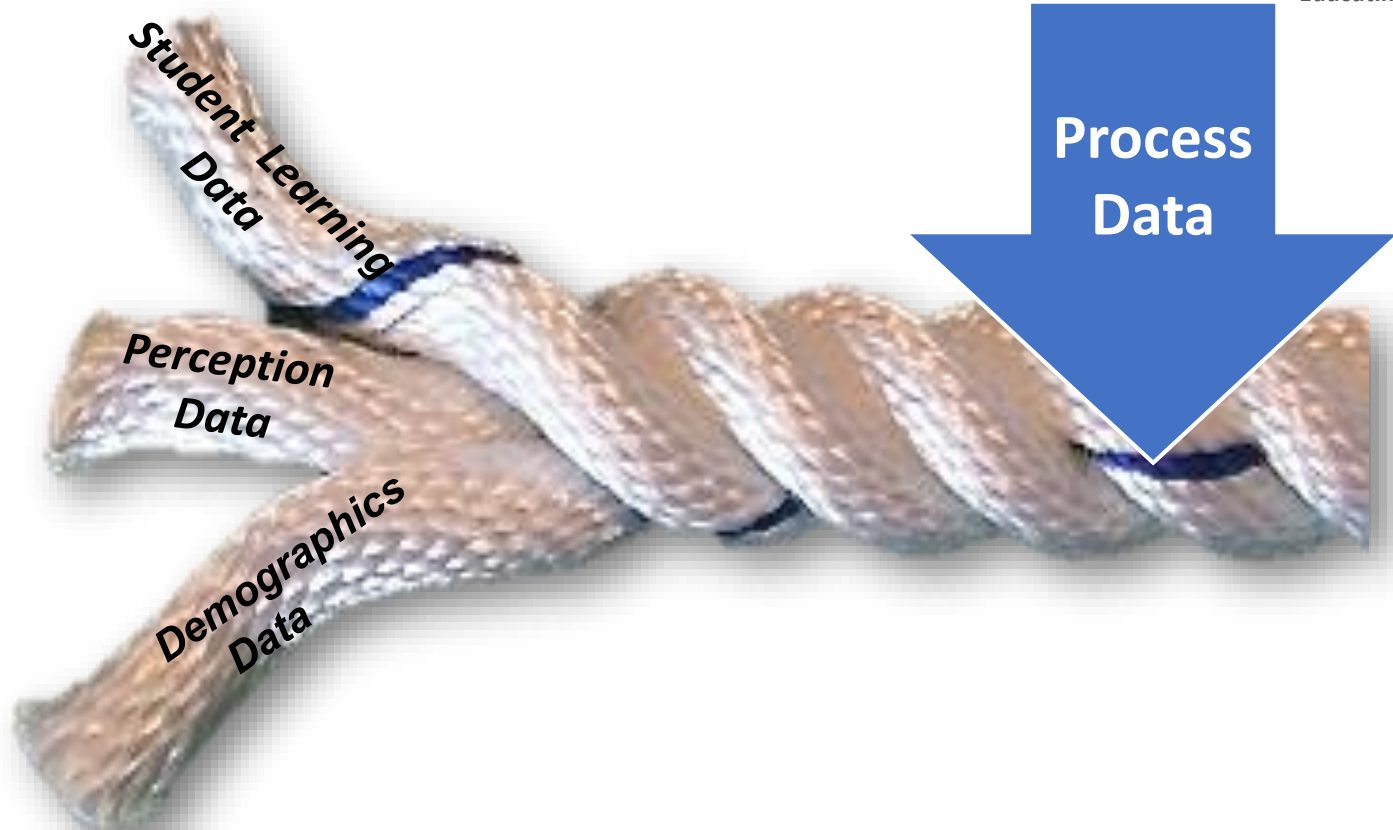
**Get to the root of the problem!**

# *General Supervision*



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The Processes Data are like a “blue thread” that pulls all the data sets together! It brings meaning to the analysis!

# Priorities

## **Access to the General Curriculum for All Students**

- Coherent Instructional System/Professional Capacity
  - Effective Instruction with Universal Design for Learning (UDL)
  - Interventions and Supports

## **• Access to Positive School Climate for All Students**

- Supportive Learning Environment/Family & Community Engagement/Effective Leadership
  - Learning environments that nurture the whole child

## **• Access to Specially Designed Instruction for Students with Disabilities**

- Coherent Instructional System/Professional Capacity
  - Appropriate services and supports



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# Nicholas Handville Business Analyst III, Federal Programs and School Improvement

# CNA Report – Trends and Patterns (District pp. 73-75, School pp. 72-74)

## 3.1 TRENDS and PATTERNS

Read the trends and patterns summaries from each section of the data analysis process. Use the information in these summaries to complete 3.2, 3.3, and 3.4. Watch the [Identifying Need webinar](#) for additional information and guidance.

### *2.1 Coherent Instructional System:*

Summarize the coherent instructional system trends and patterns observed by the team while completing this section of the report. What are the important trends and patterns that will support the identification of student, teacher, and leader needs?

A pre-populated text box for each of the following:

- 2.1** Coherent Instructional System
- 2.2** Effective Leadership
- 2.3** Professional Capacity
- 2.4** Family and Community Engagement
- 2.5** Supportive Learning Environment
- 2.6** Demographic and Financial
- 2.7** Student Achievement

# CNA Report – Program Strengths and Challenges (District pp. 76-80)

## 3.2 PROGRAM STRENGTHS and CHALLENGES

Using the summaries in 3.1 and other local data, describe the strengths and challenges or answer the guiding questions for each program. Include strengths and challenges related to: a) general program implementation, and b) students and adults involved in or affected by the program. Focus on strengths and challenges that will assist in the identification of needs during 3.3. Watch the [Identifying Need webinar](#) for additional information and guidance.

### 3.2.1 IDEA - SPECIAL EDUCATION

Strengths	
Challenges	

Text boxes for each of the following:

**3.2.1** IDEA – Special Education

**3.2.2** Title I, Part A – Improving the Academic Achievement of the Disadvantaged

**3.2.3** Title I, Part A – Foster Care Program

**3.2.4** Title I, Part A – Parent Engagement

**3.2.5** Title I, Part C – Education of Migratory Children

**3.2.6** Title I, Part D – Neglected and Delinquent Children

**3.2.7** Title II, Part A – Preparing, Training, and Recruiting High-Quality Teachers, Principals, and Other School Leaders

**3.2.8** Title III – Language Instruction for English Learners and Immigrant Students

**3.2.9** Title IX, Part A – McKinney-Vento Education for Homeless Children and Youth Program

**3.2.10** LEA Equity Action Plan

**3.2.11** Additional Questions for Charter Systems

# CNA Report – Identification and Prioritization of Overarching Needs (District p. 81, School p. 75)



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## 3.3 IDENTIFICATION and PRIORITIZATION of OVERARCHING NEEDS

Use the results of 3.1 and 3.2 to identify the overarching needs of the LEA. Determine the priority order of the identified needs based on data, team member and stakeholder knowledge, and answers to questions in the table below. Be sure to address the major program challenges identified in 3.2. Watch the [Identifying Need webinar](#) for additional information and guidance.

Overarching Need	How severe is the need?	Is the need trending better or worse over time?	Can Root Causes Be Identified?	Additional Considerations	Priority Order

# CNA Report – Root Cause Analysis (District pp. 82-84, School pp. 76-78)



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## 3.4 ROOT CAUSE ANALYSIS

Select the top 2-4 overarching needs from 3.3. Conduct a separate root cause analysis (RCA) for each need. Any RCA tools and resources can be used, but suggestions are available as part of the [Identifying Need webinar](#). After describing the RCA process, complete a table for each selected overarching need. Use the letter codes below to identify which programs relate to each root cause (ex: "ABCF").

- A. IDEA - Special Education
- B. School and District Effectiveness
- C. Title I, Part A - Improving the Academic Achievement of the Disadvantaged
- D. Title I, Part A - Foster Care Program
- E. Title I, Part A - Parent Engagement Program
- F. Title I, Part C - Education of Migratory Children
- G. Title I, Part D - Programs for Neglected or Delinquent Children
- H. Title II, Part A - Preparing, Training, and Recruiting High-Quality Teachers, Principals, and Other School Leaders
- I. Title III - Language Instruction for English Learners and Immigrant Students
- J. Title IX, Part A - McKinney-Vento Education for Homeless Children and Youth Program

Describe the root cause analysis process used by the team.	
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# CNA Report –

## Root Cause Analysis (District pp. 82-84, School pp. 76-78)



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Overarching Need #1			
Root Causes to be Addressed		This is a root cause and not a contributing cause or symptom	This is something we can affect

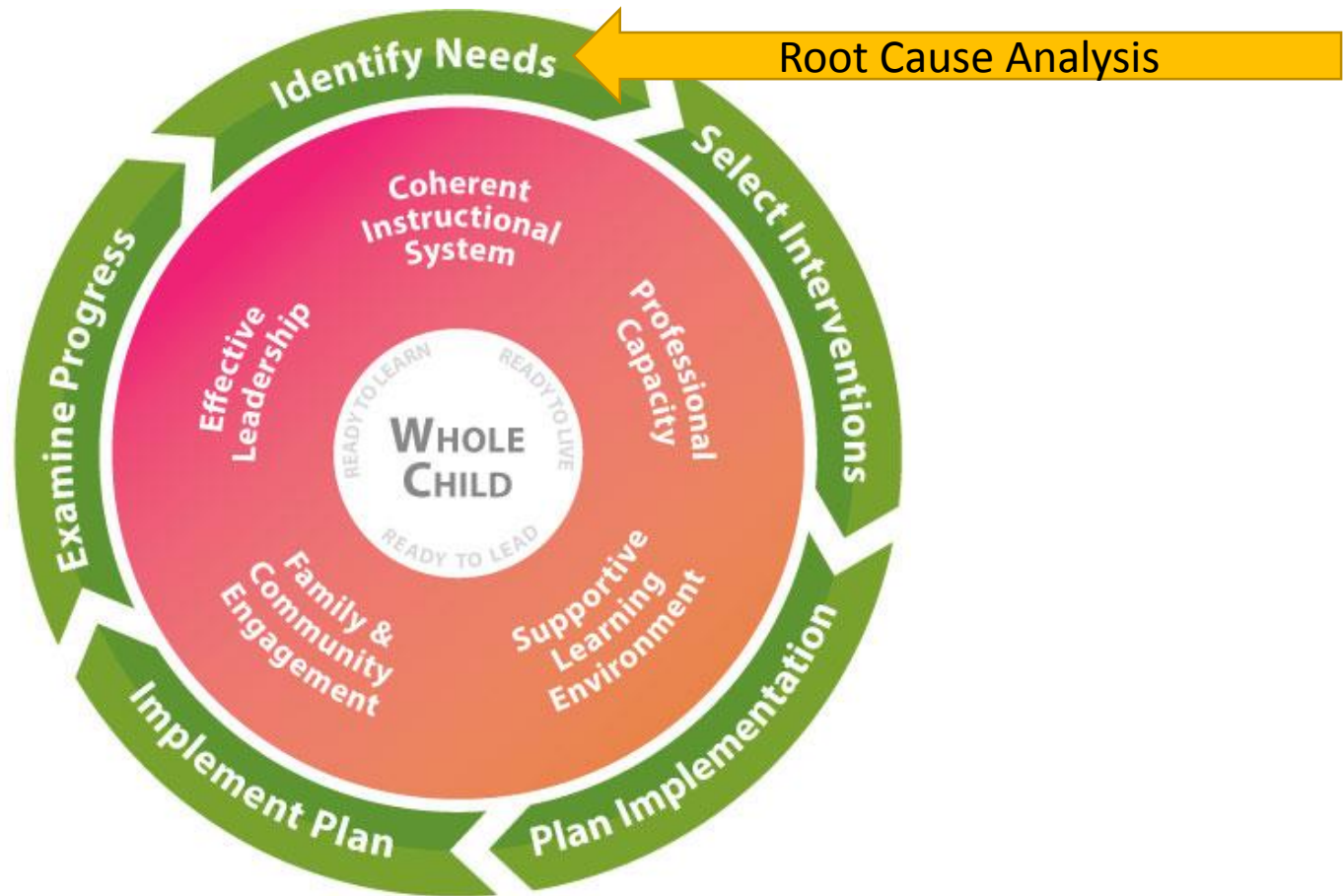
# Resources

- Determine the Root Cause: <https://www.isixsigma.com/tools-templates/cause-effect/determine-root-cause-5-whys/>
- Root Cause for Beginners: [https://www.env.nm.gov/aqb/Proposed Regs/Part 7 Excess Emissions /NMED Exhibit 18-Root Cause Analysis for Beginners.pdf](https://www.env.nm.gov/aqb/Proposed%20Regs/Part%207%20Excess%20Emissions/NMED%20Exhibit%2018-Root%20Cause%20Analysis%20for%20Beginners.pdf)
- Root Cause Analysis – Tool/Concept/Definition: <http://thwink.org/sustain/glossary/RootCauseAnalysis.htm>
- Root Cause – Tools, CDE: [https://www.cde.state.co.us/uip/rootcause\\_tools](https://www.cde.state.co.us/uip/rootcause_tools)
- GLISI – Leadership Summit Tools: <http://glisi.org/about-us/our-work/leadership-development/base-camp-and-leadership-summit/base-camp-and-leadership-summit-tools/>

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# Professional Development: Georgia's Systems of Continuous Improvement



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Friday Webinar Series	Date
Georgia's Systems of Continuous Improvement Overview, Needs Assessment Overview; Tool Overview	February 10
Planning and Preparation	February 17
Coherent Instructional System	February 24
Effective Leadership	March 3
Professional Capacity	March 10
Family & Community Engagement	March 17
Supportive Learning Environment	March 24
Identifying Need: Root Causes, Drawing Conclusions, and Prioritizing	March 31
Problem Solving Process; Selecting Interventions	April 7
Improvement Planning – Systems and Processes	April 21
Planning – Budgeting	April 28
Submitting the Comprehensive LEA Improvement Plan (CLIP)	May 5



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# Updates

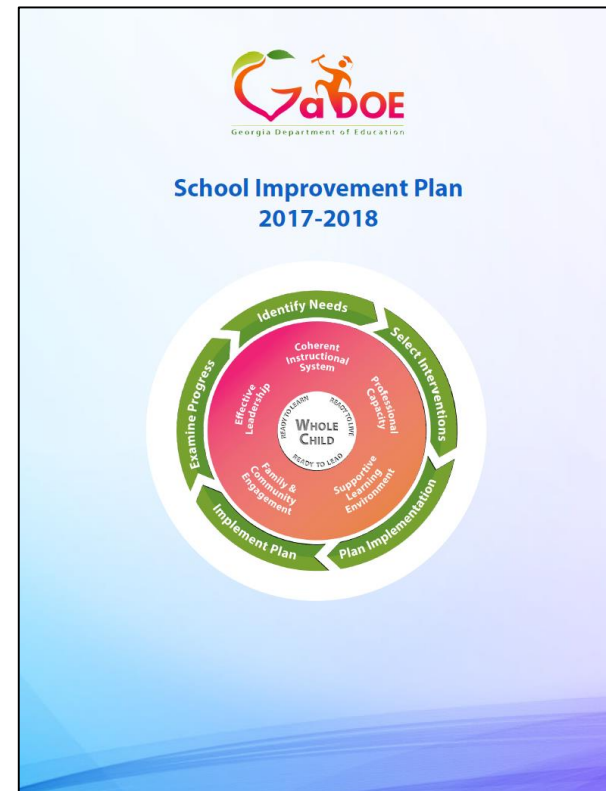
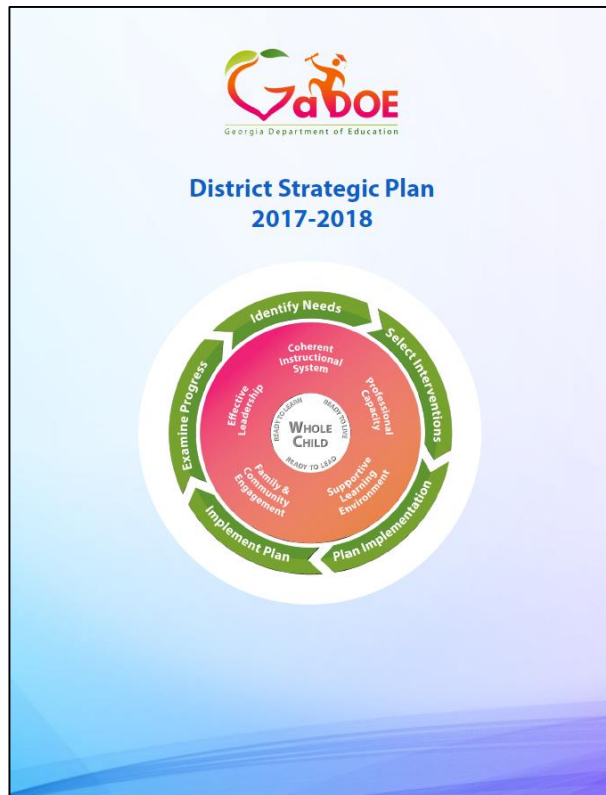
- Prepopulated CNA Documents for Priority and Focus schools have been delivered to Superintendents
- Prepopulated CNA Documents for the targeted schools selected by the 50 intensive SSIP districts have been delivered to Superintendents
- Prepopulating the CNA Documents for Title I schools is still in development.

# Updates



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District and School Improvement Plans are in the final stages of development. More details soon....





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# Updates

- Federal Programs Website

<http://www.gadoe.org/School-Improvement/Federal-Programs/Pages/default.aspx>

- Frequently Asked Questions (FAQ) available
- Additional webinar scheduled for March 31 at 11:00 showcasing the alignment between SSIP and the GA Systems of Continuous Improvement
  - Register here:  
<https://attendee.gotowebinar.com/register/4842424412436534785>
- May 10 Regional Workshops
  - 3 staff per district; 7 statewide locations

# Questions?

- Dr. Ken Banter, [kbanter@doe.k12.ga.us](mailto:kbanter@doe.k12.ga.us)
- Nakeba Rahming, [nrahming@doe.k12.ga.us](mailto:nrahming@doe.k12.ga.us)
- Dr. Zelphine Smith-Dixon, [zdixon@doe.k12.ga.us](mailto:zdixon@doe.k12.ga.us)
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- John Wight, [jwight@doe.k12.ga.us](mailto:jwight@doe.k12.ga.us)