



New York State Education Department
Office of Special Education
Educational Partnership



New York State Alternate Assessment (NYSAA)

Phase 2: Facilitated Root Cause Analysis



Produced by the Technical Assistance Partnerships (TAP) for Data and Transition at Cornell University.

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Disclaimer

The resources shown are designed to provide helpful information. Resources are provided for instructional use purposes only and do not constitute NYSED (New York State Education Department) endorsement of any vendor, author, or other sources. To the best of our knowledge, the resources provided are true and complete.

Meeting Norms

- Take care of your needs (water, food, restroom, etc.)
- Speak your truth—Use “I” statements
- Ask what you need to understand and contribute
- Listen with respect
- Push your growing edge
- Participate and struggle together
- Expect a lack of closure
- Respect each other's needs

Blueprint for Improved Results for Students with Disabilities



Self-Advocacy

Students engage in self-advocacy and are involved in determining their own educational goals and plan.



Family Partnership

Parents, and other family members, are engaged as meaningful partners in the special education process and the education of their child.



Specially-Designed Instruction

Teachers design, provide, and assess the effectiveness of specially-designed instruction to provide students with disabilities with access to participate and progress in the general education curriculum.



Research-Based Instruction

Teachers provide research-based instructional teaching and learning strategies and supports for students with disabilities.



Multi-Tiered Support

Schools provide multi-tiered systems of behavioral and academic support.



Inclusive Activities

Schools provide high-quality inclusive programs and activities.



Transition Support

Schools provide appropriate instruction for students with disabilities in career development and opportunities to participate in work-based learning.

Agenda

- Quick review of Phase I: Foundational Content
- Training objectives
- Conduct a root cause analysis
- Preparation for Phase III: Action Planning—Creating a Pathway for Change

Materials

- NYSED NYSAA Policy Brief
- NYSED NYSAA Decision-Making Tool
- National Implementation Research Network (NIRN) Root Cause Analysis—Understanding Community Need
- Chart: NYSAA Participation Decisions
- Disaggregating NYSAA Participation Data
- 5 Whys Worksheet
- Root Cause Analysis Guiding Questions

Training Objectives

The purpose of this presentation is to:

- Review New York State (NYS) guidance on how to identify which students require alternative assessments
- Identify potential root causes of exceeding the 1% cap on NYSAA participation

Slide Marker Icons



Quick Review: Foundational Content

NYSAA Overview

- Measures student achievement of NYS learning standards at a reduced level of depth, breadth, and complexity
- For students with the **most severe disabilities** who cannot participate in the State's general assessment even with accommodations
- Eligibility decided by the Committee on Special Education (CSE) team
- Decision must be reconsidered every year using the NYSAA decision-making tool

Who Are Students With Severe Disabilities?



§100.1(t)(2)(iv)

“Students with severe disabilities means students who have limited cognitive abilities combined with behavioral and/or physical limitations and who require highly specialized education, social, psychological, and medical services in order to maximize their full potential for useful and meaningful participation in society and for self-fulfillment. Students with severe disabilities may experience severe speech, language, and/or perceptual-cognitive impairments, and evidence challenging behaviors that interfere with learning and socialization opportunities. These students may also have extremely fragile physiological conditions and may require personal care, physical/verbal supports, and/or prompts and assistive technology devices.”

—New York State Regulations of the Commissioner of Education 8 CRR-NY § 100.1

Important Considerations

NYSAA participation impacts the student's:

- Participation and progress in the general curriculum
- Opportunity to earn a diploma



NYSAA Decision-Making Tool



The student has a severe disability

- Significantly limited cognitive abilities
- Significant deficits in communication/language
- Significant deficits in adaptive behavior

The student requires a highly specialized educational program

- The student's program facilitates the acquisition, application, and transfer of skills across natural environments
- Requires assistive technology
- Requires support systems to address personal care services, health/medical services, speech/language or behavioral needs

Reminder of Resources



[NYSAA Participation Decision-Making Tool](#)



[FAQ NYSAA Eligibility](#)



[Parent Notification Sample Letter](#)



[NYSAA Parent Guide](#)



[How NYSAA 1% is Calculated](#)

Questions and Clarifications

Any questions or clarifications needed regarding foundational content?



Understanding Root Cause Analysis



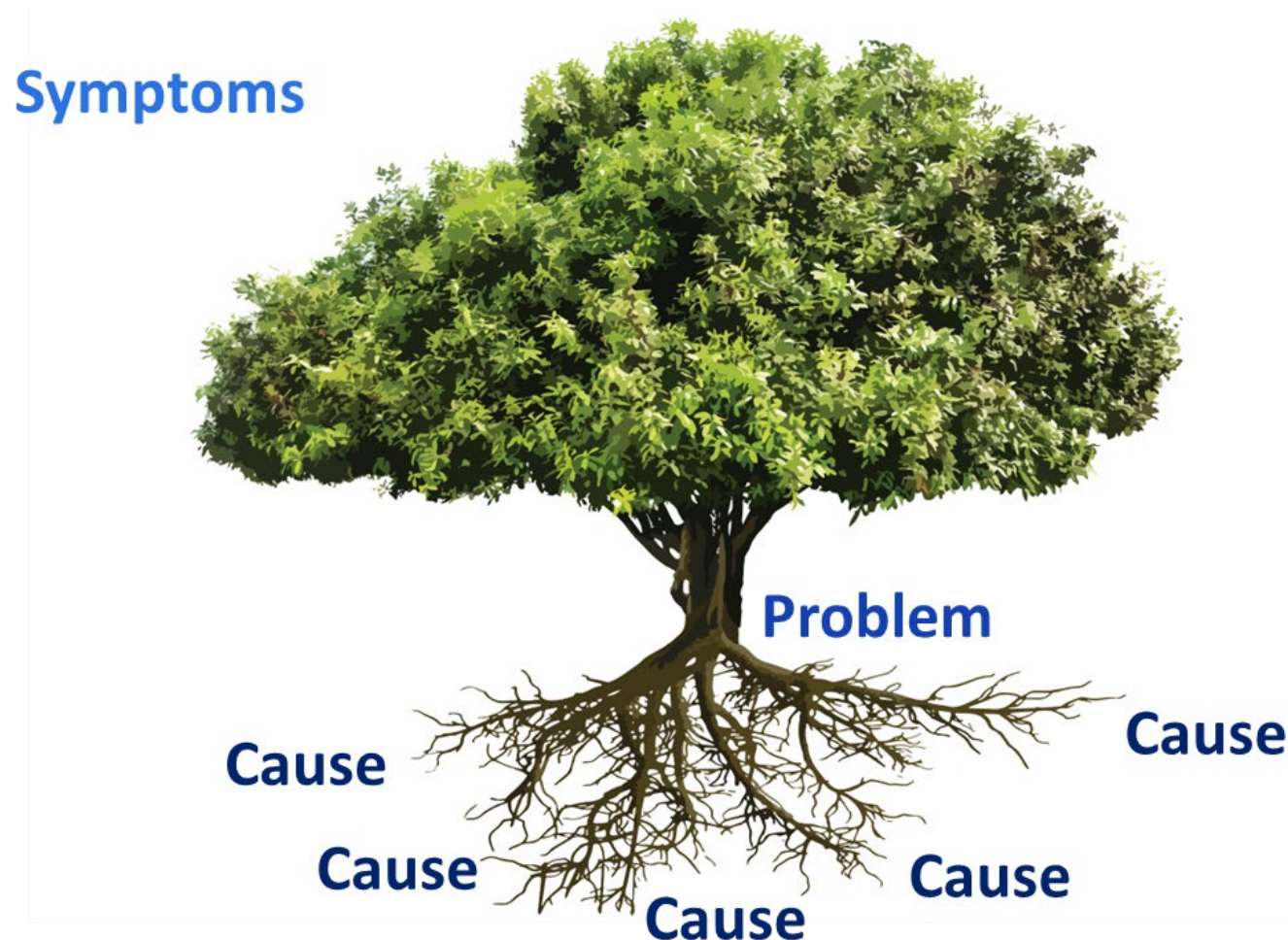
What is Root Cause Analysis?

- A process used to investigate and categorize the root cause of community needs.
- The root cause is the fundamental reason for the occurrence of a problem.
- Root cause analysis allows teams to look more deeply at identified challenges and investigate precursors that could be addressed to prevent the need or problem from resurfacing.
- Root cause analysis helps identify systems-level factors related to identified needs and can assist organizations with implementation barrier-busting.

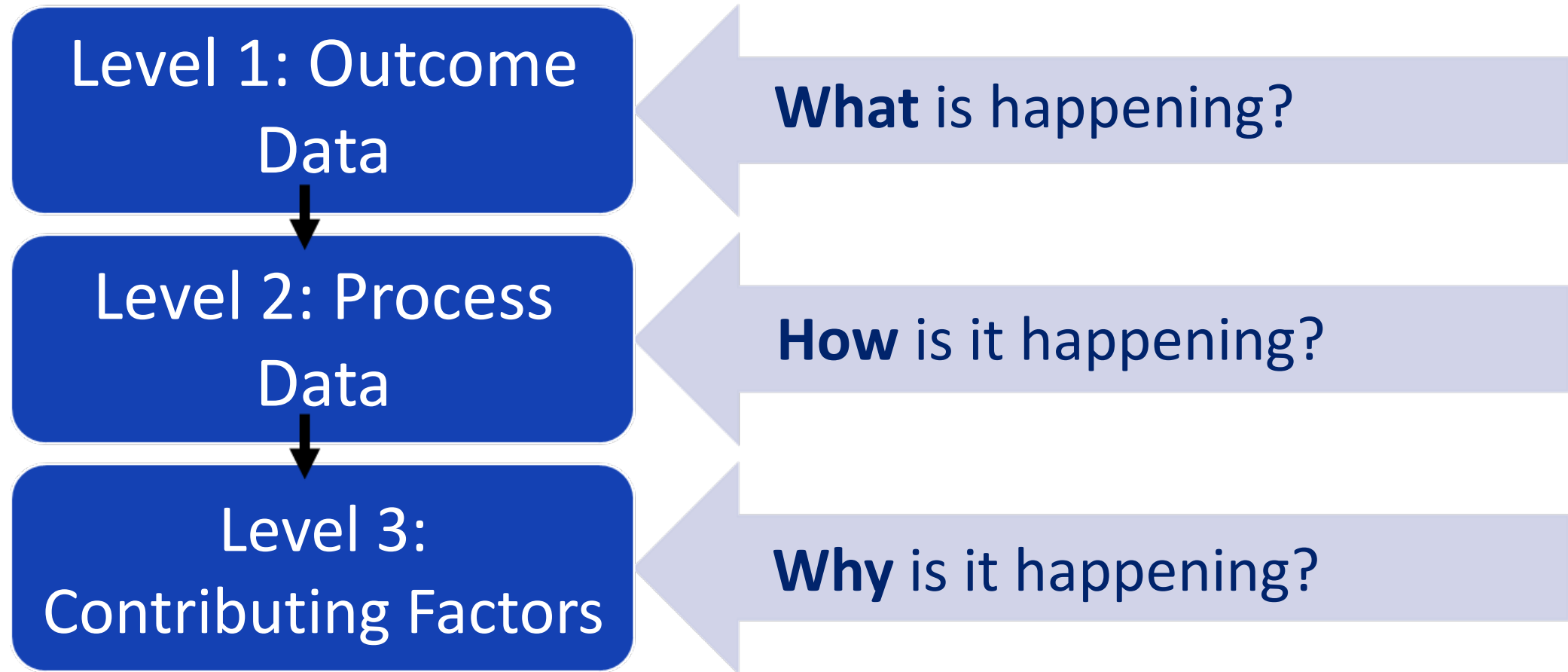
[Root Cause Analysis—Understanding Community Need, NIRN](#)

Conducting Root Cause Analysis

Why are we getting these results?



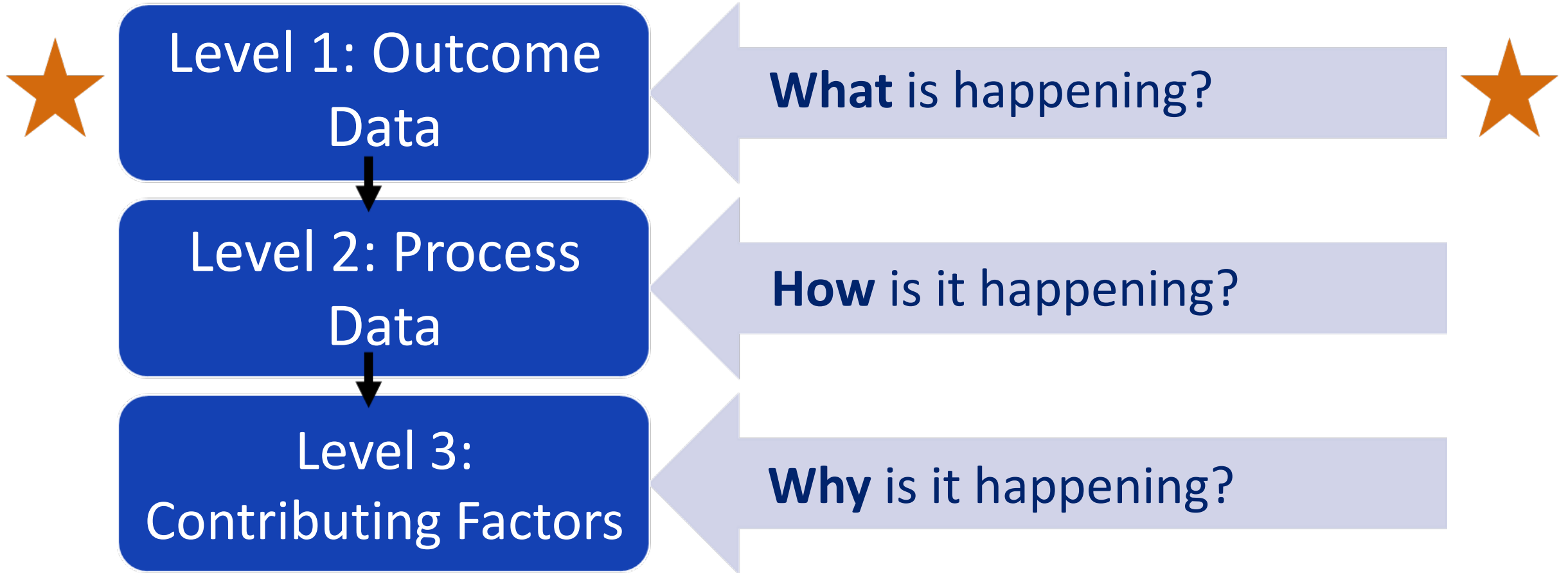
Applying Root Cause to NYSAA Overidentification



Level 1 Analysis: Review Outcome Data

Examine outcome data that reveal overidentification patterns

Outcome Data



NYSAA Participation Decisions



Grade	Reading/Language Arts NYSAA	Reading/Language Arts General	Mathematics NYSAA	Mathematics General	Science NYSAA	Science General
3						
4						
5						
6						
7						
8						

Disaggregating NYSAA Participation Data



What do NYSAA participation rates look like when disaggregated by:

- Age, grade level, or school level?
- Content area?
- Student demographics?
- Disability category?
- Program placement?



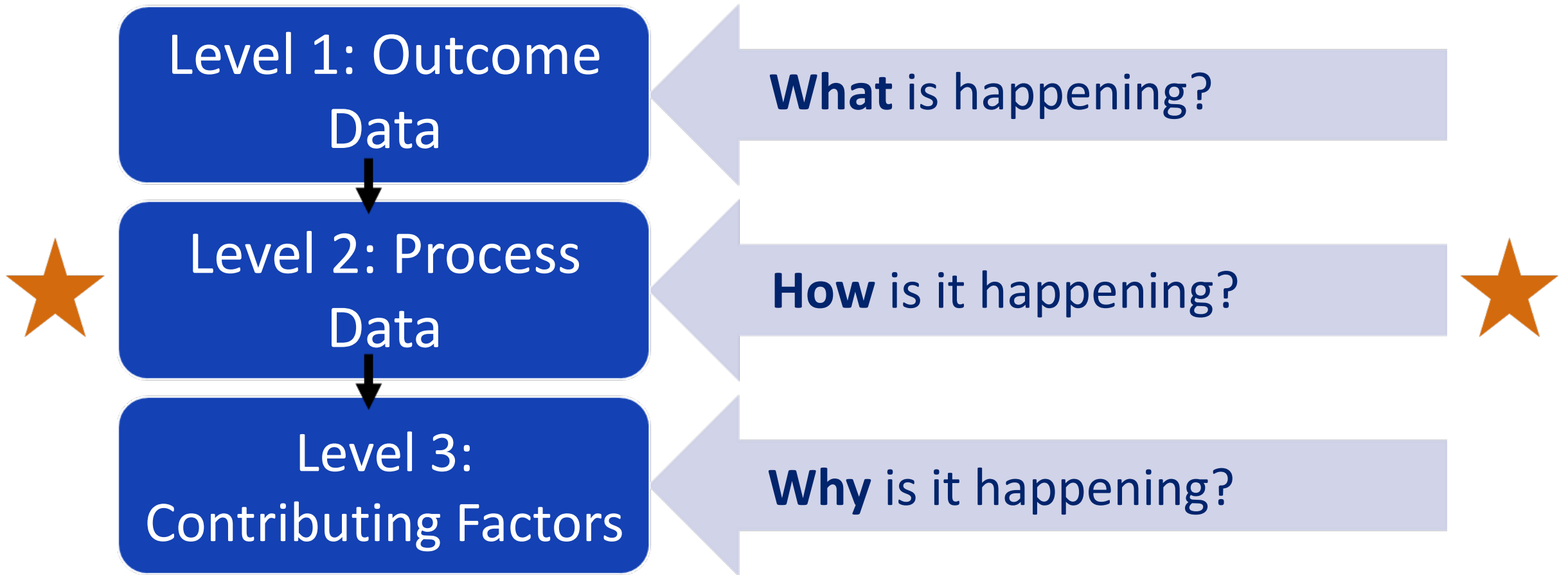
Review

- Why is it important to review data from different lenses?
- What other questions might you discuss as a team?



Level 2 Analysis: Review Process Data

Process Data



Reviewing Policies, Procedures, and Practices

CSE Policies and Procedures

- Eligibility discussions occur annually with current data
- Implementation of NYSAA decision-making tool
- Policy/procedures to ensure the family is included in decision-making
- Determination of specially designed instruction, including supplementary aids and services, program modifications, accommodations, and assistive technology devices/services

Staff Competency Development

- Knowledge of NYSAA eligibility criteria, post-secondary impact, diploma and safety-net options
- Knowledge and skills of effective instructional practices
- Expectations and beliefs about the capabilities of students with disabilities
- Implementation of specially designed instruction, including supplementary aids and services, program modifications, accommodations, and assistive technology devices/services

Considerations for Root Cause Analysis



- What trends do you see within your district?
- Are all staff who participate as CSE members trained in understanding the eligibility criteria for NYSAA? If not, which staff members are trained?
- Are all staff who participate as CSE members aware of the definition and implication of NYSAA?
- Is NYSAA eligibility an annual discussion at CSE?
- How are CSEs documenting NYSAA participation in the Individualized Education Program (IEP)?

Root Cause Analysis Guiding Questions

Review guiding questions and identify 3–4 priority areas for your district to focus on



Review & Discuss

As a group, review all the guiding questions. Discuss which areas are most relevant to your district's current challenges.

Select Priorities

Highlight or select 3–4 question areas that your group believes should be the district's top focus areas.

Prepare to Share

Be ready to share your selected focus areas and briefly explain why your group chose them.

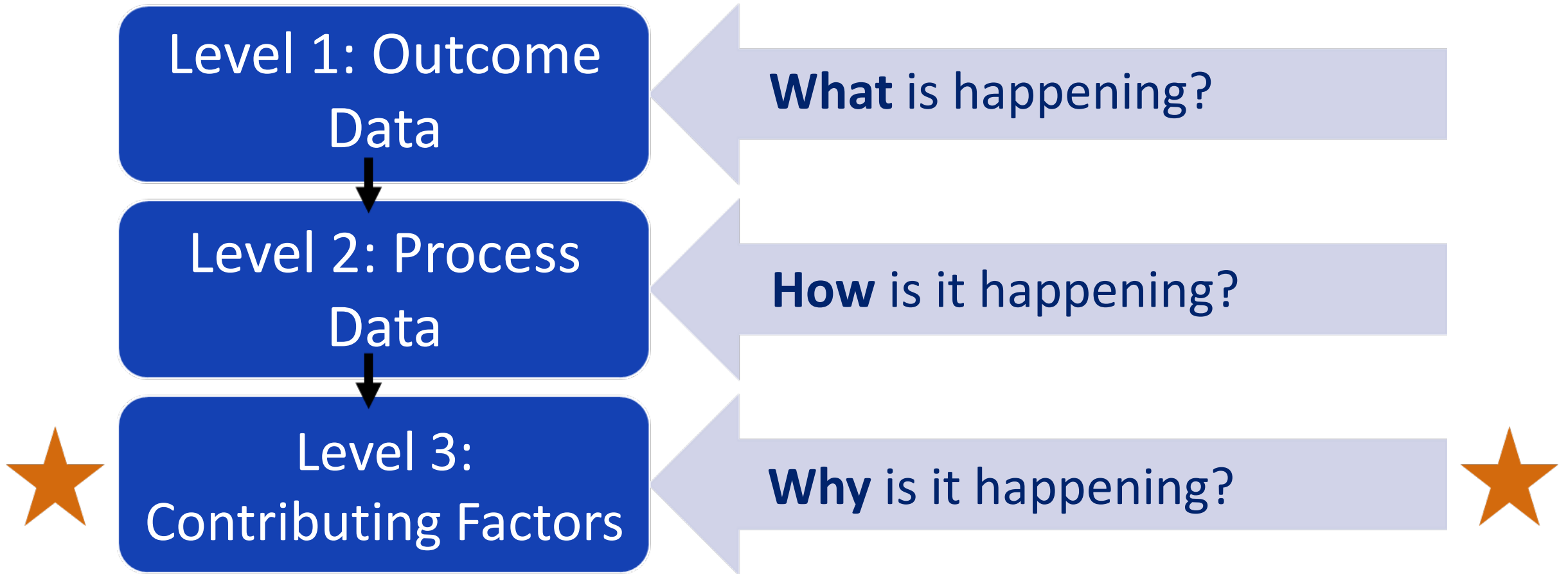
Insights and Reflections

- What are your focus areas?
- Did anything surprise you?



Let's Do a Root Cause Analysis

Contributing Factors



5 Whys Protocol



5 Whys Worksheet

Define the Problem:|

Why is it happening?

1. | → Why is that?
↓

2. | → Why is that?
↓

3. | → Why is that?
↓

4. | → Why is that?
↓

5. |

Identified Root Cause:

Reminder:

- ✓ You don't want to list 5 different reasons; you want to go deep on one reason.

Caution:

- ✓ If your last answer is something you can't control, go back up to the previous answer on one reason
- ✓ Final answer cannot be because of a person

Example of a 5 Whys

Define the Problem: Parents don't feel that they receive timely and relevant communication from school.

Parents don't regularly check our school website.

Why is that?

They might not know that the information is there.

Why is that?

We haven't told parents that the information is there.

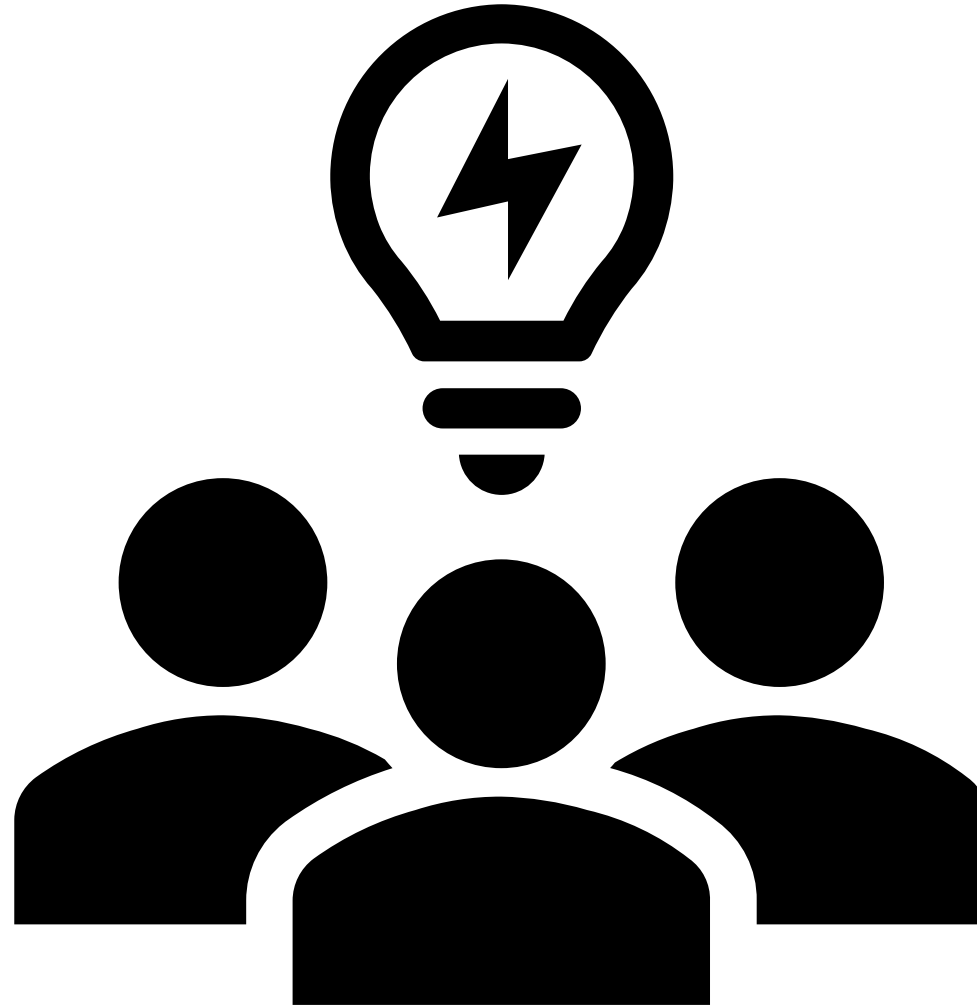
Why is that?

We haven't had time to meet with parents or prepare any materials to share with parents about the website.

Why is that?

It's not something we normally plan for.

Complete a 5 Whys Chart





Reflection



- Three things you learned
- Two things you found interesting
- One question you still have

Looking Ahead

What to Expect

- Phase III: Action Planning—Creating a Pathway for Change
- Phase IV: Evaluate and Sustain



Questions and Answers



References

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