



Seclusion and Restraint Root Cause Analysis Tool

Introduction

This Root Cause Analysis Tool can be used to assist teams in identifying root causes of incidents that result in the use of seclusion and restraint. The tool is designed to be flexible and prompt team discussion to lead them to identifying the underlying causes that create and sustain environments where behaviors that pose clear, present and imminent risk to the physical safety of students and/or school staff occur multiple times. Additionally, because seclusion and restraint are only to be used if they are the least restrictive interventions feasible in response to the behavior(s), this tool can also assist teams in identifying safer, less restrictive interventions.

School

Team Reviewing Data (list names)

Date(s) of Root Cause Analysis

Root Cause Analysis Step 1

Review of narrative descriptions of incidents and any notes from required debrief meetings that occur following each seclusion or restraint. If any of the following cannot be checked, additional staff training may be needed to ensure legally allowable and appropriate use or documentation of seclusion and restraint:

Seclusion and Restraint incident reports were completed with sufficient objectivity and detail.

All seclusions or restraints were used only in response to behaviors that posed clear, imminent physical risk to students or others.

All seclusions or restraints were the least restrictive intervention feasible.

All reported incidents met the definition of [seclusion and/or restraint](#).

Documentation, debriefing and parent notifications were met within required timelines.

Root Cause Analysis Step 2

Gather relevant data that will be used to determine root causes of the use of seclusion and restraint. This data will be used as the basis for the discussion that occurs in Step 3.

POTENTIAL DATA SOURCES (check all that were reviewed)

- Total number of students (school enrollment)
- Total number of students with IEPs
- Total number of In School Suspension Days
- Total number of Out of School Suspension Days
- Total number of Office Discipline Referrals
- Expulsions
- IDEA State Complaints
- Office Discipline Referrals (consider disaggregating and analyzing separately)
- Staff training in relevant areas of practice (TSS, crisis response, SEL, FBA, etc.)
- School Culture and Climate data
- Other relevant data
- Procedural Compliance Self-Assessment

SCHOOL LEVEL ANNUAL TRENDS, SYSTEMS ANALYSIS AND SCHOOL CLIMATE

Seclusion Data

| School Year | 2021-2022 | 2022-2023 | 2023-2024 |
|--|-----------|-----------|-----------|
| Total | | | |
| Number of Students | | | |
| Number of Students with Disabilities | | | |
| Seclusions that occurred in alternative placements | | | |

Restraint Data

| School Year | 2021-2022 | 2022-2023 | 2023-2024 |
|--|-----------|-----------|-----------|
| Total | | | |
| Number of Students | | | |
| Number of Students with Disabilities | | | |
| Seclusions that occurred in alternative placements | | | |

SECLUSION AND RESTRAINT INCIDENT REPORT DATA SYNTHESIS

Include student data for students in alternative placements

Incidents by Student Involved

| Name or ID Number | Seclusions | Restraints |
|--------------------------|-------------------|-------------------|
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Incidents by StaffMember Involved

| Name or ID Number | Seclusions | Restraints |
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Seclusion and Restraint Incidents by Location

| Location | Seclusion | Restraint |
|-----------------------------|-----------|-----------|
| Lunchroom | | |
| Playground | | |
| Hallway | | |
| General Education Classroom | | |
| Special Education Classroom | | |
| Other: | | |
| Other: | | |
| Other: | | |

Seclusion and Restraint Incidents by Preceding Behavior

| Preceding Behavior | Seclusion | Restraint |
|----------------------------------|-----------|-----------|
| Physical Aggression Toward Peers | | |
| Physical Aggression Toward Staff | | |
| Attempted /Threatened Self-harm | | |
| Other: | | |
| Other: | | |
| Other: | | |

Seclusion and Restraint Incidents by Day and Time

| Day | Time | Seclusion | Restraint |
|------------------|------------------|-----------|-----------|
| Monday | Total | | |
| | <i>Morning</i> | | |
| | <i>Afternoon</i> | | |
| Tuesday | Total | | |
| | <i>Morning</i> | | |
| | <i>Afternoon</i> | | |
| Wednesday | Total | | |
| | <i>Morning</i> | | |
| | <i>Afternoon</i> | | |
| Thursday | Total | | |
| | <i>Morning</i> | | |
| | <i>Afternoon</i> | | |
| Friday | Total | | |
| | <i>Morning</i> | | |
| | <i>Afternoon</i> | | |

Root Cause Analysis Step 3

Using the data from above, the team identifies the likely root cause or causes of the use of seclusion and restraint by responding to the prompts below or using another tool to conduct their analysis.

ROOT CAUSE ANALYSIS: SECLUSION AND RESTRAINT

Problem Statement(s): What patterns did the team identify in the use of seclusion and restraint after reviewing the school level data, seclusion and restraint incident reports and debrief documentation? (i.e. “three students were secluded a total of 17 times in the special education classroom”)

Underlying or Potential Causes: Hypotheses of causes that may be the cause of the problem identified above.

Contributing Causes: Underlying cause that may contribute to the existence or persistence of the problem but is not central to eliminating or preventing the symptom from recurring.

**Avoid untrue, unalterable, and unfounded causes.*

Root Cause: The deepest underlying cause(s) that if resolved will eliminate or substantially reduce or prevent the use of seclusion and restraint.