



Ohio

Resource Guide for
Local Equitable Access Plan

JANUARY 2022

Local Equitable Access Plan

Local Equitable Access Planning

Since teachers are the most important school-based factor affecting student achievement¹ and school leaders are second², it is essential to staff Ohio's schools with excellent teachers and leaders. [Ohio's 2015 Plan to Ensure Equitable Access to Excellent Educators](#) speaks to this commitment at our state and local education agencies. The goal of Ohio's Equity Plan is to ensure that students living at or below the federal poverty line (economically disadvantaged) and students of color (minority students) have equitable access to excellent educators – those teachers and leaders who are effective, experienced, and properly licensed or certified.

Signed into law on December 10, 2015, the Every Student Succeeds Act (ESSA) reauthorizes the Elementary and Secondary Education Act (ESEA) and continues the commitment to equal opportunity for all students. The Ohio Department of Education developed this guidance document to assist districts and schools in addressing section 1112(b)(2)³ of Act (ESSA).

FY22 Planning Requirements

Districts and schools will continue to engage in local equitable access planning during fiscal year 2022 (FY22). Districts and schools in One Plan Cohorts 1 and 3 will continue to be submitted through the Local Equitable Access Plan Program in the Data Submission Forms application in the [OH|ID Web Portal](#), please see additional guidance [here](#). Districts and schools in One Plan Cohort 2 will submit through the One Needs Assessment and One Plan components of the ED STEPS system.

The planning requirements are based on the review of the district or school's FY21 local equitable access plan. Districts and schools received the results of the review through a scored rubric in January 2022. Depending on the scored rubric, districts and schools are placed into one of five categories to complete their FY22 local equitable access plan. The five categories include:

- Does Not Meet Requirements
- Partially Meets Requirements
- Meets Requirements for One Year
- Meets Requirements for Three Years
- New Planning Year

Districts and schools were notified via email in January 2022 of their category. Districts and schools should review the specific section below for guidance on their particular planning requirements.

¹Rivkin, S.G., Hanushek, E.A., & Kain, J.F. (2005). Teachers, schools, and academic achievement. *Econometrica*, 73(2), 417-458.

²Waters, T., Marzano, R.J., & McNulty, B. *Balanced leadership: What 30 years of research tells us about the effect of leadership on student achievement*. Aurora, CO: Mid-Continent Research for Education and Learning. Retrieved from <http://files.eric.ed.gov/fulltext/ED481972.pdf>

³To ensure that all children receive a high-quality education, and to close the achievement gap between children meeting the challenging State academic standards and those children who are not meeting such standards, each local educational agency plan shall describe how the local educational agency will identify and address, as required under State plans as described in section 1111(g)(1)(B), any disparities that result in low-income students and minority students being taught at higher rates than other students by ineffective, inexperienced, or out-of-field teachers.

Section 1: Does Not Meet Requirements

Districts and schools in this category did not meet the ESSA requirement for last year and will need to engage in the local equitable access planning process to develop their plan. Districts and schools are required to submit their plan by completing the three sections in the Local Equitable Access Plan FY2022 survey in the Data Submission Forms application. Districts and schools should review the [Planning Process](#) for guidance on local plan development.

Section 2: Partially Meets Requirements

Districts and schools in this category partially meet the ESSA requirement for last year and will need to engage stakeholders to revise portions of their local equitable access plan. Each district or school's stakeholder team should utilize its FY21 scored rubric to revise any criteria in the sections that scored below "strong". Districts and schools are required to use their last year's plan, found in the Local Equitable Access Plan FY2021 survey of the Data Submission Forms application, and make appropriate revisions. The revised plan will need to be submitted by completing the three sections in the Local Equitable Access Plan FY2022 survey.

Optional: After analyzing FY22 Equitable Access Analysis Tool, districts and schools may choose to develop a new local equitable access plan focusing on a new concerning gap. In this case the districts and school will not need to revise their last year's plan and will need to submit the new plan by completing the three sections of the Local Equitable Access Plan FY2022 survey in the Data Submission Forms application.

Section 3: Meets Requirements for One Year

Based on FY21 equitable access data, districts and schools in this category met the ESSA requirement for last year. Districts and schools will need to engage stakeholders to analyze equitable access data to determine whether or not gaps remain within the district or schools. If no equitable access gaps exist, districts and schools should record this in the three sections of the Local Equitable Access Plan survey in the Data Submission Forms application. **Please use specific data points to justify your conclusions and record your response in Question 3 of the Document Most Concerning Gap section.** If equitable access gaps now exist, districts and schools should engage in the planning process to develop their plan. Districts and schools will need to complete the three sections of the Local Equitable Access Plan FY2022 survey in the Data Submission Forms application.

Section 4: Meets Requirements for Three Years

Districts and schools in this category meet the ESSA requirement for three years. Districts and schools are required to provide updates on their previously approved local equitable access plan. Districts and schools will analyze current equitable access data using the FY22 Equitable Access Analysis Tool to determine whether or not there has been improvement on their **most concerning gap** from last year. Districts and schools will also provide an update on the implementation of their strategy that was identified in their plan. Districts and schools are required to submit their plan by completing the two sections in the Local Equitable Access Plan FY2022 survey in the Data Submission Forms application.

Section 5: New Planning Year

Districts and schools in this category have met the ESSA requirement for the past three years and/or are assigned to Cohort 2. Therefore, districts and schools are required to engage in the local equitable access planning process to develop a new plan. Districts and schools in

Cohorts 1 and 3 are required to submit their plan by completing the three sections in the Local Equitable Access Plan FY2022 survey in the Data Submission Forms application. Districts and schools in Cohort 2 are required to submit their plan in the *Professional Capital* section of the One Needs Assessment and One Plan components. Districts and schools should review the [Planning Process](#) for guidance on local plan development.

Planning Process

This section includes information on the following key areas of local plan development:

- Stakeholder engagement;
- Data analysis;
- Root-cause analysis;
- Determining strategies;
- Planning items and criteria;
- Scoring rubric; and
- Additional resources.

Engaging Stakeholders in Local Equitable Access Planning

Districts and schools engage in the planning process in collaboration with multiple stakeholders. Stakeholder groups can include, but are not limited to, teachers, principals, district administration, treasurers, school improvement support staff, human resource staff, community organizations, federal program coordinators, EMIS coordinators, teacher association representatives, teacher leaders, local school board members, parents and/or other stakeholders deemed appropriate for this planning process. Diverse stakeholder groups can yield multiple benefits including:

- A broader range of ideas and opinions resulting in a strong plan that benefits all students,
- Unique insights into how equity work will affect different groups in the field, and;
- Ensuring that all voices are heard in the planning process, fostering more robust public support for the work.

Data Analysis

Data should drive how districts and schools approach equitable access planning. Understanding the landscape of educator staffing and placement alongside student demographic data is essential in ensuring all students receive equitable access to excellent educators. In this step of the local equitable access planning (LEAP) process, districts and schools utilize data to determine whether or not gaps in equitable access exist within their district and schools. **Ohio considers a gap to be any difference that suggests students living at or below the federal poverty line and students of color have less access to excellent educators than other students.**

There are specific educator *and* student measures to review in this part of the LEAP process. The measures and definitions are provided below. It is important to note that there are both positive and negative educator descriptors. These descriptors allow districts and schools to understand if buildings are staffed with a strong (positive) or weak (negative) educator workforce.

Student Descriptors	
students living at or below the federal poverty line	Reported to the Ohio Department of Education at the student level as economic disadvantage
students of color	Members of African-American, Multiracial, Hispanic, Native Hawaiian / Pacific Islander, American Indian / Alaskan Native, or Asian ethnic and racial groups
Positive Educator Descriptors	
Highly Effective Teacher	A teacher receiving a final summative rating of “Accomplished” on the Ohio Teacher Evaluation System
Highly Effective Principal	A principal receiving a final summative rating of “Accomplished” on the Ohio Principal Evaluation System
Educator Workforce Strength Index	<p>A value calculated at the state, district and building levels to provide information about the strength of the educator workforce in relation to equitable access planning.</p> <p>Calculate the <i>Educator Workforce Strength Index</i> by first adding the percentage point values for each available measure. Then divide that sum by the number of available measures and then subtract from 100. Find a sample calculation for the district level in the footnote⁴.</p> <p>Index values range from 0 to 100, with 100 as the value representing the strongest educator workforce as it relates to equitable access planning. The department will calculate the Educator Workforce Strength Index annually at the state, district and building levels.</p>
Negative Educator Descriptors	
Out-of-Field Teacher	A teacher who is teaching a core academic course that he or she is not licensed to teach
Inexperienced Teacher	A teacher in his or her first or second year of teaching
Ineffective Teacher	A teacher who received a final summative rating of “Ineffective” on the Ohio Teacher Evaluation System
Inexperienced Principal	A principal in the first or second year of leadership
Ineffective Principal	A principal who received a final summative rating of “Ineffective” on the Ohio Principal Evaluation System

The Ohio Department of Education annually produces the Equitable Access Analysis Tool for individual districts and schools to use in local plan development. The tool provides a snapshot of each of the available data measures as well as the index values at the state, district, and building levels. A gap calculation tab has been added to the Tool, which will help schools and districts to identify and address gaps. The tool can be found in the Secure Data Center via the Reports Portal application.

Districts and schools are not limited to only the Equitable Access Analysis Tool. **Districts and schools are encouraged to review other locally determined pertinent educator and student data.** Optional data sources include EMIS, eTPES, OhioES, Report Card, and the Secure Data Center.

Educator Measures					Index Calculation Steps		
% Out-of-Field	% Inexperienced Teacher	% Inexperienced Principal	% Ineffective Teacher	% Ineffective Principal	1. Total Measures	2. Divide Total by Number of Measures	3. Subtract from 100 (Index Value)
3.5	12.0	15.0	4.0	5.0	39.5	7.9	92.1

Step 1. Total measures (3.5+12.0+15.0+4.0+5.0=39.5)

Step 2. Divide Total by Number of Measures (39.5 / 5 = 7.9)

Step 3. Subtract from 100 (100 – 7.9 = 92.1)

District Index Value = 92.1

Determining Gaps

Four or More Buildings within the District

Districts with four or more buildings will compare educator measures between buildings. The *Gaps on Economic Disadvantage* and *Gaps on Minority Status* Tabs will show the gaps between the building with the highest and lowest enrollment of economically disadvantage students and minority students **only**. Districts are encouraged to review the *All Building Data* Tab to analyze other combinations of gaps, such as the second highest building versus the second lowest building within the district.

Three or Less Buildings within the District or School

Districts with three or less buildings will compare educator measures between the building(s) versus the state averages. The *Gaps on Economic Disadvantage* and *Gaps on Minority Status* Tabs will show the gaps between all of the buildings within the district versus the state averages.

No Gaps Identified

If a district or school in Cohorts 1 and 3 has determined there is no equity gap, it should be recorded in the three sections of the Local Equitable Access Plan survey. Please use specific data points to justify your conclusions and record your response in Question 3 of the Document Most Concerning Gap section. If a district or school in Cohort 2 has determined there is no equity gap, it should be recorded in the *Professional Capital* section of the One Needs Assessment component.

Root-Cause Analysis

Once the data analysis is completed, districts and schools will conduct a root-cause analysis to understand *why* there are equitable access gaps to excellent educators. This analysis will help identify the systemic challenge causing the gap and help in selecting a strategy or strategies that are most likely to impact equitable access gaps. For more information on conducting a root-cause analysis with stakeholders, see *Appendix B*.

Determining Strategies

Districts and schools will identify and describe the strategy or strategies they will use to address the systemic root-cause(s) to lessen or eliminate the identified gaps in equitable access. They should select strategies directly connected to the findings from the root-cause analysis and should target areas of the human capital management system. For more information on strategy development, see *Appendix C*.

Planning Sections and Questions

This section explains the Local Equitable Access Plan. For Cohorts 1 and 3, the sections are reported in the Local Equitable Access Plan survey in the Data Submission Forms application. For Cohort 2, the sections are reported in the One Needs Assessment and One Plan. Planning will begin in February 2022 and districts and schools will have until March 2022 to submit their local equitable access plans. Below are the section descriptions and questions that districts and schools should use as they engage in the planning process.

Sections	Descriptions	Questions	Cohorts 1 and 3 Plan Submission	Cohort 2 Plan Submission
1. Document Most Concerning Gap	Conduct an analysis of your district's or school's Equitable Access Analysis Tool ⁵ to determine where and to what extent any gaps in equitable access to excellent educators exist. Document the most concerning gaps for the district or school after reviewing the data.	1-3 Determine and document the most concerning gap(s) for the District or school. Include the following information: <ul style="list-style-type: none"> • Building Name(s) that have gap(s); • Student Demographic Information (students living at or below the federal poverty line or students of color) for identified building(s); and • Percent or Index value of gap. 	Data Submission Forms application	Professional Capital section of the One Needs Assessment component
2. Root-Cause Findings	Conduct a root-cause analysis with stakeholders ⁶ to determine the systemic challenge(s) contributing to gaps in equitable access and describe findings. Consider the continuum of the	1. Describe the root-cause findings for the determined equity gap(s).	Data Submission Forms application	Professional Capital section of the One Needs Assessment component

⁵ School districts can use other relevant data to complete item one and should make note of the data source(s) in their response.

⁶ Stakeholders can include teachers, principals, district administration, school improvement support staff, human resource staff, community organizations, federal program coordinators, teacher association representatives, teacher leaders, local school board, parents and/or other stakeholders deemed appropriate for this planning process.

Sections	Descriptions	Questions	Cohorts 1 and 3 Plan Submission	Cohort 2 Plan Submission
	human capital management system (attracting, assigning, developing and/or retaining educators) during the root-cause analysis to find the underlying cause(s) of identified gaps.	2-3. Explain how the stakeholders participated in the local equitable plan process.	Data Submission Forms application	Professional Capital section of the One Needs Assessment component
3. Strategy Implementation	Describe the identified strategy or strategies (e.g., professional development, recruitment programs, or other strategies) the district personnel will use to assure that students living at or below the federal poverty line and students of color are not taught at higher rates than other students by inexperienced, out-of-field, ineffective teachers and/or served by inexperienced, ineffective principals. Include activities, timeline, and progress monitoring for the strategy or strategies, and changes in data that would demonstrate progress.	1. Identify the chosen strategy that will be used to address the root-cause analysis findings.	Data Submission Forms application	One Plan
		2. Provide information about strategy implementation, including supporting activities.	Data Submission Forms application	One Plan
		3. State the changes in data that would demonstrate progress on the equity gap and provide a goal date.	Data Submission Forms application	One Plan

Scoring Rubrics

Partially/Did Not Meet Requirements Rubric

The rubric below reflects the three sections of the Local Equitable Access Plan. Districts and schools should use the rubric as they engage in planning, and it is recommended to use the “strong” category as the starting point.

Section	Criteria	Strong	Developing	Needs Improvement	Other
1	A	<input type="checkbox"/> The most concerning gap(s) for the LEA have been documented and all information listed below is included: <input type="checkbox"/> <i>Building Name(s) that have gap(s);</i> <input type="checkbox"/> <i>Student Demographic Information</i> (students living at or below the federal poverty line <i>and</i> students of color) <i>for identified buildings; and</i> <input type="checkbox"/> <i>Educator Measure(s) causing gaps (includes Educator Workforce Strength Index Value and/or particular measures of concern in building(s))</i>	<input type="checkbox"/> The most concerning gap(s) for the LEA have been documented but only the following information was given: <input type="checkbox"/> <i>Building Name(s) that have gap(s);</i> <input type="checkbox"/> <i>Student Demographic Information</i> (students living at or below the federal poverty line <i>and</i> students of color) <i>for identified buildings; and</i> <input type="checkbox"/> <i>Educator Measure(s) causing gaps (includes Educator Workforce Strength Index Value and/or particular measures of concern in building(s))</i>	<input type="checkbox"/> LEA determined no gap(s) but data shows gap(s) in equitable access OR no concerning gap information was given.	<input type="checkbox"/> LEA has appropriately determined no gap(s) in equitable access <input type="checkbox"/> LEA did not attempt any criteria in item; corrective Action Plan may be needed. Comment:
2	A.	<input type="checkbox"/> The root-cause analysis findings described the systems challenge for the determined equity gap(s).	<input type="checkbox"/> The root-cause analysis findings were described but only symptoms of the problem were given.	<input type="checkbox"/> The root-cause analysis findings were not given.	<input type="checkbox"/> No root-cause analysis needed given no gap in equitable access
	B.	<input type="checkbox"/> Stakeholders participated in the local equity plan process and a clear explanation of their participation was given.	<input type="checkbox"/> Little explanation of stakeholder participation was given.	<input type="checkbox"/> No explanation of stakeholder participation was given.	<input type="checkbox"/> LEA did not attempt any criteria in Item 2. Corrective Action Plan may be needed. Comment:

Section	Criteria	Strong	Developing	Needs Improvement	Other
3	A.	<input type="checkbox"/> The specific strategy or strategies to address documented gap(s) are identified and aligned to the root-cause analysis findings.	<input type="checkbox"/> The specific strategy or strategies to address documented gap(s) are identified but not aligned to the root-cause analysis findings.	<input type="checkbox"/> The specific strategy or strategies to address documented gap(s) are not identified.	<input type="checkbox"/> No strategies are needed given no gap in equitable access <input type="checkbox"/> LEA did not attempt any criteria in Item 3. Corrective Action Plan may be needed. Comment:
	B.	<input type="checkbox"/> Strategy implementation and supporting activities have been outlined	<input type="checkbox"/> Only one of the following has been outlined: <input type="checkbox"/> <i>Strategy implementation</i> <input type="checkbox"/> <i>Supporting activities</i>	<input type="checkbox"/> Strategy implementation and supporting activities have not been outlined.	
	C.	<input type="checkbox"/> The plan notes the changes in data that would demonstrate progress on documented gap(s) and provides a date that the anticipated goal will be met.	<input type="checkbox"/> Only one of the following has been given: <input type="checkbox"/> <i>The changes in data that would demonstrate progress on gap(s)</i> <input type="checkbox"/> <i>Provides a date that the anticipated goal will be met.</i>	<input type="checkbox"/> The plan does not note the changes in data that would demonstrate progress on documented gap(s) and does not provide a date that the anticipated goal will be met.	

Meets Requirements for Three Years Rubric

The rubric below reflects the updates required for districts and school in the *Meets Requirement for Three Years* category. Districts and schools should use the rubric as they engage in planning and it is recommended to use the “strong” category as the starting point.

Section	Strong	Developing	Needs Improvement	Other
Equitable Access Gap(s) Update	<input type="checkbox"/> Provides comparison of equitable access gap identified in FY19 based on FY20 data	<input type="checkbox"/> Documents equitable access gaps information based on FY20 data	<input type="checkbox"/> Equitable access gap(s) information was not given.	Comment:Click or tap here to enter text.
Plan Implementation Update	<input type="checkbox"/> Plan/strategy implementation is described and includes: <input type="checkbox"/> <i>activities completed</i> <input type="checkbox"/> <i>forthcoming activities</i>	<input type="checkbox"/> Only one of the following has been described: <input type="checkbox"/> <i>activities completed</i> <input type="checkbox"/> <i>forthcoming activities</i>	<input type="checkbox"/> Description of plan implementation was not given.	<input type="checkbox"/> No plan implementation details are needed given no gap in equitable access. Comment:Click or tap here to enter text.

Additional Resources

The [local equity plan](#) website on the Ohio Department of Education provides multiple resources to help districts and schools engage in planning.

- For information on step by step procedures on how to complete the sections in the Data Submission Forms, [click here](#)
- To see the Ohio 2015 State Equity Plan, [click here](#)
- To see local equitable access strategies, [click here](#)
- To find resources to attract, hire, and support excellent educators, [click here](#)

Contact Information

Office of Educator Effectiveness

equity@education.ohio.gov

Appendix A: Locating the Equitable Access Analysis Tool

OVERVIEW OF THE TOOL

The Equitable Access Analysis Tool is an Excel spreadsheet produced annually by the Department for individual districts and schools to use in local equitable access planning. The tool pulls information from two reporting systems; EMIS and eTPES/OhioES. The tool helps districts and schools to identify where, and to what extent, any inequities in access to excellent educators exist. The tool includes student measures, educator measures, and the Educator Workforce Strength Index. The description of each measure is listed in the table below.

Student Descriptors	
Students living at or below the federal poverty line (economically disadvantaged students)	Reported to the Ohio Department of Education at the student level as economic disadvantage
Students of Color (minority students)	Members of African-American, Multiracial, Hispanic, Native Hawaiian / Pacific Islander, American Indian / Alaskan Native, or Asian ethnic and racial groups
Positive Educator Descriptors	
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Highly Effective Principal*	A principal receiving a final summative rating of “Accomplished” on the Ohio Principal Evaluation System
Educator Workforce Strength Index	<p>A value calculated at the state, district and building levels to provide information about the strength of the educator workforce in relation to equitable access planning.</p> <p>Calculate the Educator Workforce Strength Index by first adding the percentage point values for each available measure. Then divide that sum by the number of available measures and then subtracting from 100. A sample calculation for the district level is provided below¹.</p> <p>Index values range from 0 to 100, with 100 as the value representing the strongest educator workforce as it relates to equitable access planning. The department will calculate the Educator Workforce Strength Index annually at the state, district and building levels.</p>

Educator Measures					Index Calculation Steps		
% Out-of-Field	% Inexperienced Teacher	% Inexperienced Principal	% Ineffective Teacher	% Ineffective Principal	1. Total Measures	2. Divide Total by Number of Measures	3. Subtract from 100 (Index Value)
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Out-of-Field Teacher	A teacher who is teaching a core academic course that he or she is not licensed to teach
Inexperienced Teacher	A teacher in his or her first or second year of teaching
Ineffective Teacher*	A teacher who received a final summative rating of “Ineffective” on the Ohio Teacher Evaluation System
Inexperienced Principal	A principal in the first or second year of leadership
Ineffective Principal*	A principal who received a final summative rating of “Ineffective” on the Ohio Principal Evaluation System

*Due to the COVID-19 ordered school building closure in the spring of 2020, districts and schools had the option to exempt educator evaluations for the 2020-2021 school year. The percent found in the district’s or school’s Equitable Access Analysis Tool is based on the evaluations that were reported in eTPES/OhioES by the district or school.

The Tool is designed to show both the state, district, and building level data. Information regarding teachers who are inexperienced or are teaching out of field will also be available on the Tool. A gap calculation tab has been added to the Tool, which will help schools and districts to identify and address gaps. Data for the FY22 Equitable Access Analysis Tool is from the 2020-2021 school year.

FINDING THE TOOL

The Equitable Access Analysis Tool is located in the Secure Data Center via the Reports Portal application in the [OH|ID Web Portal](#).

USING THE TOOL

While every district and school are different and may have different needs and results, there are some universal experience users will encounter when using the Tool. The overall goal of the tool is for users to analyze the data to identify gaps that may be present in access to excellent educators. Depending on district or school size, the gaps will be expressed in either the school/district vs. the state or the highest building in the district vs. the lowest school. If the district has **four or more reported buildings**, comparisons will be between the highest and lowest buildings only. If the district or school has **three or less reported buildings**, comparisons will be based on the buildings versus the state. Districts of all sizes are encouraged to use the calculations to compare buildings within the district that go beyond the highest and lowest buildings that are calculated automatically. Please note, community schools are considered individual entities and will be compared to the state data.

Appendix B: Conducting a Root-Cause Analysis with Stakeholders

INTRODUCTION

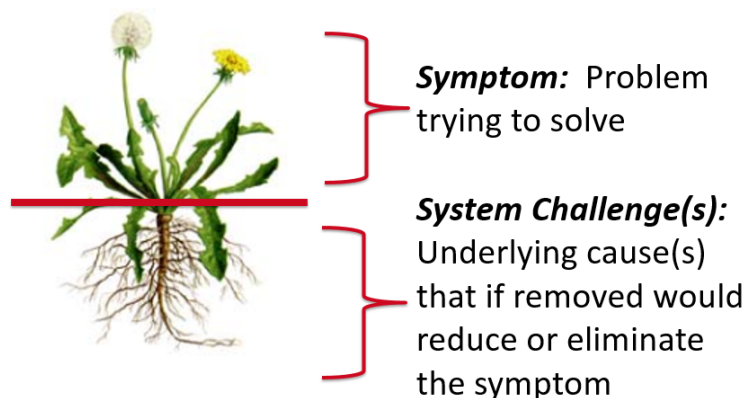
It is imperative to understand *why* gaps in equitable access to excellent educators exist in schools with higher populations of poor and minority students. There are often systemic challenges present within the human capital management system that drive staffing and placement trends of educators which could cause an equity gap(s) to occur. To understand the systemic challenges of individual districts or schools it is necessary to conduct a root-cause analysis with stakeholders.

MATERIALS NEEDED

- Stakeholder team
- Equity gap data
- Chart paper, sticky notes, pens/markers

UNDERSTANDING A ROOT-CAUSE ANALYSIS

Once districts and schools complete the data analysis, identifying the most concerning equity gap, districts and schools then conduct a root-cause analysis to understand *why* there are equitable access gaps to excellent educators. A root-cause analysis is a systematic strategy to determine the cause of equity gaps. It is important to differentiate between a symptom – for example, high teacher turnover – and a system challenge, or root cause, of that symptom – for example, a specific weakness in the building leadership.



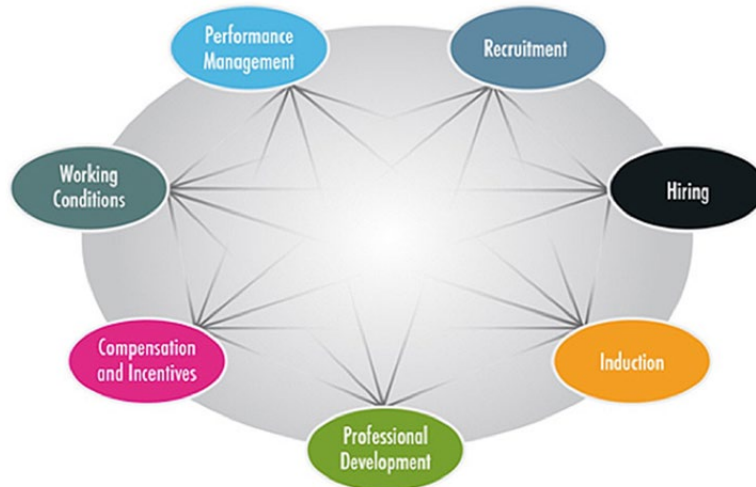
Designed by Battelle for Kids

STAKEHOLDER INVOLVEMENT

Districts and schools should invite stakeholders into the root-cause analysis process. This can include, but is not limited to, teachers, principals, district administration, school improvement support staff, human resource staff, community organizations, federal program coordinators, teacher association representatives, teacher leaders, local school board, parents and/or other stakeholders deemed appropriate for this planning process. Stakeholders provide essential perspectives in their various roles that can inform why gaps are occurring.

CONDUCTING A ROOT-CAUSE ANALYSIS

As the district or school conducts the root-cause analysis, stakeholders should take into consideration the human capital management system for educators (both principals and teachers) from preparation to retirement. Activities and policies found in this continuum encompass recruitment, selection, hiring, induction, deployment, evaluation, development and career advancement.¹ During the root-cause analysis process, it is important to keep the focus on **educators and not students**. Stakeholders should ask reflective questions about the human capital management system in the district and the influence of that system on gaps in equitable access to excellent educators for poor and minority students.



You can use the following steps to conduct your root-cause analysis:

1. Develop a problem statement based on the most concerning gap from the data analysis. Use the problem statement to focus the root-cause analysis process.
2. Individually list on a sticky note what could be causing inequitable access in your building. Make sure to use the data from your analysis.
3. As a group, sort these sticky notes into categories on the chart paper. You can use a tool such as a [fishbone diagram](#) to further visualize the possible causes of your systems challenges.
4. Continue to dig down to find the most likely cause until your group is satisfied that you have identified the correct systems challenge. Identify the correct systems challenge that when addressed will alleviate the equity gap.

It is important to remember the following strategies when conducting a root-cause analysis:

- Focus on system challenges, not symptoms
- Keep in mind your sphere of influence
 - Focus your changes on the adults, not the students
 - Emphasize what you can control over what you cannot control
- Remember that the symptom can be reduced or eliminated if the system challenge is addressed
- There is rarely one root cause in complex systems such as education

¹ Diagram taken from: ODE (2010). METWorks Ohio Frame Work. Retrieved from <http://education.ohio.gov/Topics/Teaching/Educator-Equity/METworks-in-Ohio>

Appendix C: Determining and Outlining Strategies to Alleviate Gaps

INTRODUCTION

Now that you have determined the root-cause(s) of your equity gaps, it is time to determine and outline strategies to alleviate gaps. The goal is to identify one or two strategies that address your root-cause findings, adhere to SMART goals, and note the change in equity data that you hope to see.

MATERIALS NEEDED

- Stakeholder team
- Equity gap data
- Notes from root-cause analysis
- Local Equitable Access Strategies webpage

SELECTING STRATEGIES

You will need to identify and describe the strategy or strategies that you will use to address the systemic root-cause(s) to lessen or eliminate the identified gaps in equitable access. Make sure that your strategies are closely aligned with the root causes they address. For example, if you found that a root cause of equity gaps in a building was poor leadership, you do not want your strategy to focus on mentoring new teachers.

There are a number of possible strategies listed in Table 1 at the end of this document. Districts and schools can utilize resources and strategies at the state and local level. The list is not exhaustive and districts and schools should choose strategies that most fit their local context and address unique root cause findings. Districts and schools also may visit the [Local Equitable Access Strategies](#) webpage for more information on various strategies. Resources to attract, hire, and support excellent educators can be found at the [Human Capital Resource Center](#). Some districts and schools already may be implementing a strategy or strategies to improve equitable access to excellent educators and they can include those if aligned with the findings from their root-cause analysis.

OUTLINING STRATEGY IMPLEMENTATION

Once district or school team members identify a strategy or strategies, they can describe the specific activities that will occur and the timeline for implementation.

Possible Strategies

State	Human Capital Toolkit
	Cultural Competency
	Teacher Leader Framework
LEA	Offer educator exit/stay survey
	Use web-based recruitment system
	Recruit dually licensed special educators
	ODE Regional Field Specialists

SETTING PROGRESS MEASURES

Lastly, the district describes the monitoring process and intervals. It will be important to note the changes in data that will demonstrate progress on the particular equitable access gap(s) targeted and the date that the expected change in data will occur. Using SMART Goals will help to ensure realistic expectations and evidence for the progress.

Creating S.M.A.R.T. Goals

S Specific

M Measurable

A Attainable

R Realistic

T Timely

Table 1. Possible Strategies and Related Gaps

Possible strategies local education agencies may use in Local Equitable Access Planning (list is not exhaustive but provides possible strategies)	Related Gap						
	Inexperienced Teacher	Out-of-Field Teacher	Highly Effective Teacher	Ineffective Teacher	Ineffective Principal	Inexperienced Principal	Highly Effective Principal
Review and evaluate teacher induction program for effectiveness and fidelity of implementation.	x	x	x	x			
Utilize qualified international teachers to teach foreign language courses.		x	x	x			
Recruit dually licensed special educators.		x	x	x			
Align professional development opportunities for educators to the updated Ohio Professional Development Standards.	x		x	x	x	x	x
Offer educator exit survey to understand exit patterns and reasons for attrition in order to improve retention within local education agency.	x	x	x	x	x	x	x
Engage teachers in teacher leadership opportunities to increase the retention of excellent educators. Example: Conduct a co-observation initiative to understand the potential opportunities for teacher leadership.	x	x	x	x			
Offer beginning principal mentoring to increase effectiveness and retention of principals.					x	x	x

Engage in targeted professional development that is based upon findings from OTES and/or OPES. Example: Assessment Literacy	x	x	x	x	x	x	x
Review and utilize Educator Preparation Reports in Ohio that provide data on passing rates and the number and specialization of educators produced by each institution of higher education to make informed decisions regarding human capital management.	x	x	x	x	x	x	x
Encourage and examine opportunities to provide incentives for teachers to teach in high-needs fields/buildings.	x	x	x	x	x		
Partner with institutions of higher education in order to offer professional development for teachers in high-needs schools.	x	x	x	x	x	x	X
Establish or evaluate a teacher mentoring program to increase effectiveness and retention of teachers.	x		x	x			