

Leverage Points

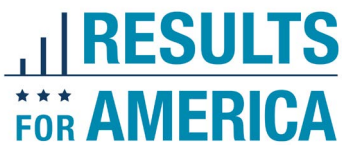
**Thirteen Opportunities for State Education Agencies
to Use Their ESSA State Plans to Build and Use
Evidence to Improve Student Outcomes**



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Council of Chief State School Officers



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Introduction

The Every Student Succeeds Act (ESSA) gives state education agencies (SEAs), local education agencies (LEAs), and schools more opportunities to design their own educational systems. At the same time, ESSA also requires in some parts (and encourages in others) the use of evidence-based approaches and continuous improvement to help leverage greater student success with federal funds. Indeed, ESSA represents a shift from the compliance-based frame of the No Child Left Behind Act to one premised on state and local authority to take evidence-based actions and continuously improve education systems and student outcomes over time.

Implemented well, these evidence and continuous improvement provisions can increase the return on education investments, as more resources are invested in policies, programs, and practices that are likely to have a positive impact and as those activities are periodically reviewed and continuously improved over time. Although LEAs and schools will play critical roles in this work, SEAs have a key opportunity to set a vision and establish enabling policies in support of evidence-based, results-driven solutions via their consolidated ESSA state plans.¹ Further, at various points in the act, ESSA requires that initial state strategies be periodically reviewed and improved throughout the implementation of state and local plans—supporting a shift from compliance-oriented to learning-oriented systems that use evidence to inform action and continuous improvement.

This document identifies thirteen leverage points in consolidated state plans where SEAs can articulate how they and their LEAs will use evidence, evaluation, and continuous improvement through ESSA implementation to improve student outcomes.

1. SEAs have two windows in which to submit consolidated plans to the U.S. Department of Education: April 3 or September 18, 2017.

Three Leverage Points in Consolidated ESSA State Plan Section 2 (Performance Management)

1 LEA Plan Process	Design a process for local ESSA plans that promotes the use of evidence and continuous improvement.
2 Monitoring LEA Implementation	Leverage the monitoring function not only to measure compliance but also to support high-quality implementation, evaluation, and continuous improvement.
3 Continuous Improvement	Build state and local learning systems that promote the use of evidence and continuous improvement in policies and practices focused on improving student outcomes.

Nine Leverage Points in Consolidated ESSA State Plan Section 4 (School Improvement)

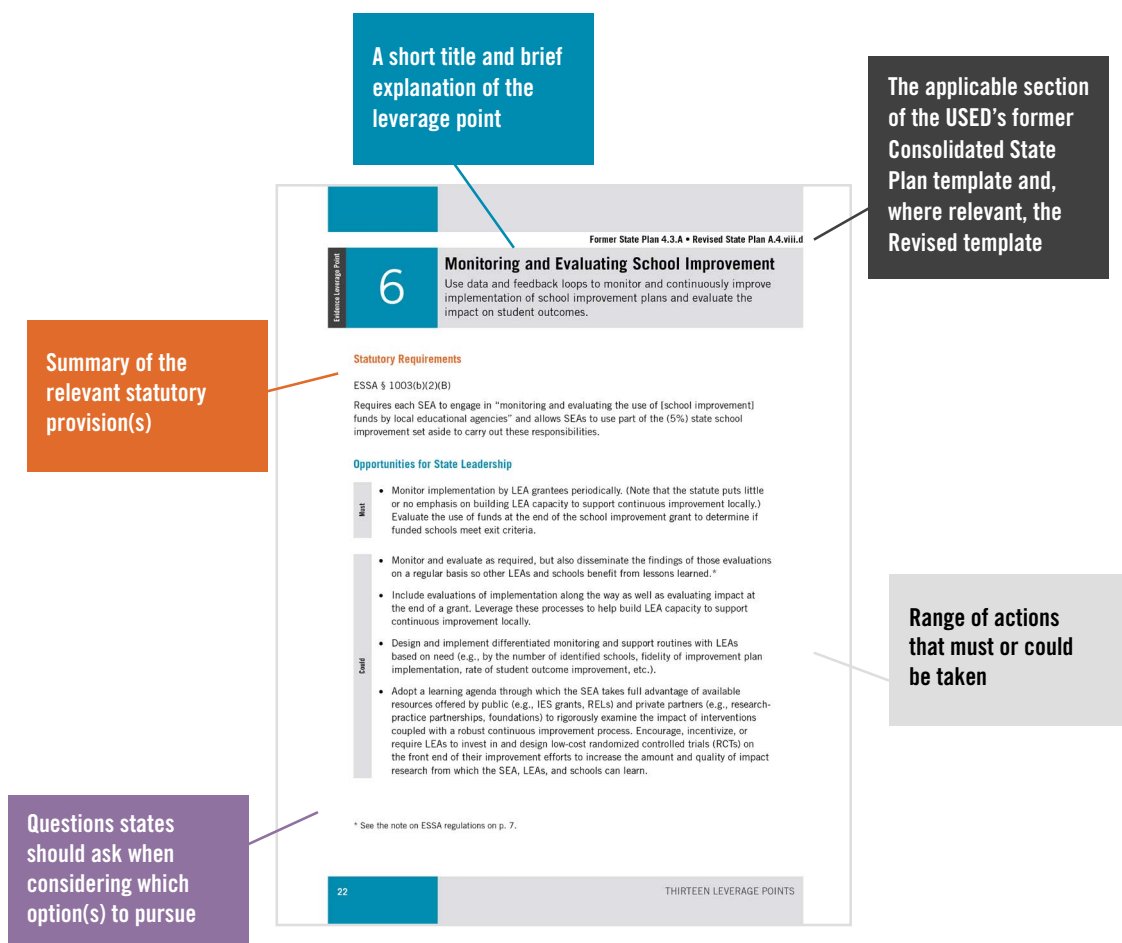
4 Allocating School Improvement Funds	Incentivize the best use of evidence in allocating federal school improvement funds to LEAs.
5 LEA Application for School Improvement Funds	Design LEA applications for school improvement funds to emphasize the use of evidence and continuous improvement.
6 Monitoring and Evaluating School Improvement	Use data and feedback loops to monitor and continuously improve implementation of school improvement plans and evaluate the impact on student outcomes.
7 Technical Assistance and Support System	Design a state technical assistance and support system for school improvement that promotes evidence-based decision making and continuous improvement.
8 Technical Assistance on Needs Assessment	Ensure LEAs and schools conduct high-quality needs assessments that drive the thoughtful use of evidence in improvement plans.
9 Technical Assistance on Selecting Interventions	Support LEAs and schools in maximizing the thoughtful use of evidence to increase the likelihood of improving student outcomes.
10 Technical Assistance on Lists of Interventions	Design and implement any state-approved lists of evidence-based interventions to ground improvement plans in the best available evidence tailored to local needs and context.
11 Non-Exiting Schools	Promote more and/or more thoughtful use of evidence as part of the SEA's "more rigorous action" for schools that do not exit improvement status.
12 Additional Action for Certain LEAs	Prioritize evidence use and continuous improvement when exercising extraordinary state authorities to intervene in LEAs unable to improve their lowest-performing schools.

One Cross-Cutting Leverage Point in Consolidated ESSA State Plan Sections 5 (Title II) and 6 (Title IV)

13 Evidence-Based Allowable Uses	Advance the use of evidence-based approaches via the allowable uses of Title II and Title IV funds.
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Each leverage point includes a short title, a brief description, and the relevant section(s) from the U.S. Department of Education’s (USED) recently revised state plan template, as well as from the previous administration’s template; the applicable statutory provisions; a set of actions states can take to promote evidence and continuous improvement; and questions states should ask themselves while charting a course through the range of options. The opportunities for state leadership range from those that are required—that is, what must be done at a minimum according to the statute—to additional options for what states could do. These options are listed roughly in order of the degree to which they use evidence to enhance SEA and LEA action.

The following diagram illustrates the components of each leverage point:



This document concludes with an appendix of resources for SEAs, LEAs, and others to consult while considering the best way to approach each leverage point. This appendix includes brief descriptions and hyperlinks to ESSA itself, USED guidance, a variety of clearinghouses and databases of evidence-based interventions, and a number of reports, guides, and tools that may be helpful to this work.

Although anyone interested in pursuing more evidence-based approaches will find this document useful, it may be of particular interest and use to SEA staff charged with developing the SEA’s ESSA plan or SEA leads for federal programs, research and evaluation, school improvement, performance management, and Title II/Title IV programs.

Note on ESSA Regulations and the Consolidated State Plan Template

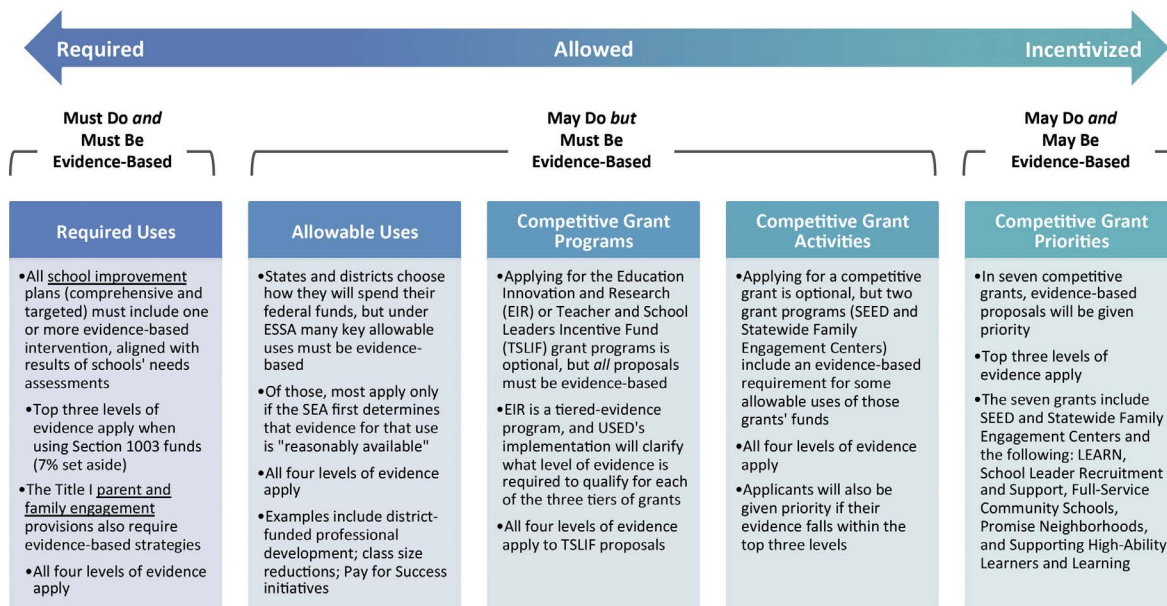
On November 28, 2016, the USED finalized regulations interpreting ESSA's accountability, school improvement, data reporting, and consolidated state plan provisions. These regulations both clarified and strengthened the evidence provisions in the law. Nonetheless, in March 2017, Congress passed and the president signed into law a resolution rescinding these regulations. In April, the USED released a Revised Consolidated State Plan template which authorized chief state school officers and their SEAs to use the new, revised template or to work with the Council of Chief State School Officers (CCSSO) to develop an alternative template covering the same information. Many states using the latter option have continued to use the prior administration's template. The changes to the regulations' status and the Consolidated State Plan template impact the content and structure of this document as follows:

Content—SEAs may still be interested in adopting some of the approaches first put forward in the now-rescinded 2016 regulations even if they are no longer required. Where appropriate, these approaches have been incorporated into the range of options for state leadership for each leverage point. Options drawn from these regulations are marked with an asterisk (*).

Structure—Although SEAs are no longer required to use the prior administration's Consolidated State Plan template, the organization of this document still tracks that template. To facilitate SEAs' use of this document as a resource in developing their state plans, regardless of which State Plan template they select, we have updated this document to include a crosswalk to the new administration's Revised Consolidated State Plan template; where applicable, each leverage point is accompanied by section numbers for both templates.

Overview of ESSA's Evidence Provisions

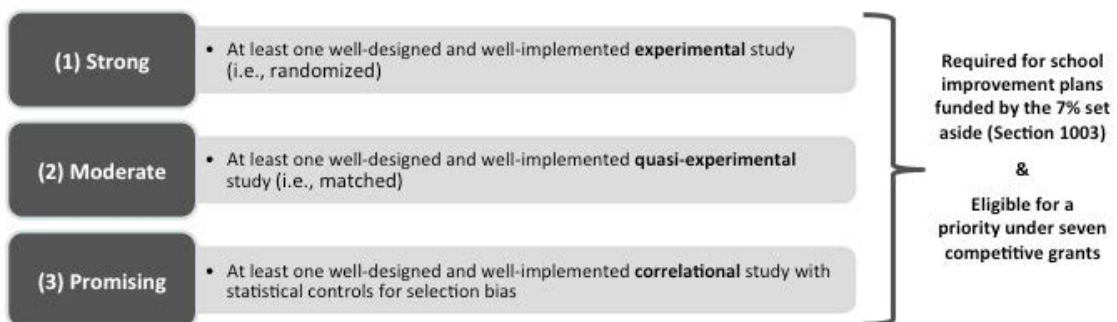
A key aspect of ESSA is its commitment to the use of evidence to drive better outcomes for students. Implemented well, the evidence-based provisions can both improve student outcomes and increase the return on education investments, as more resources are spent on programs and practices likely to have a positive impact. Below is a high-level summary of the various provisions.



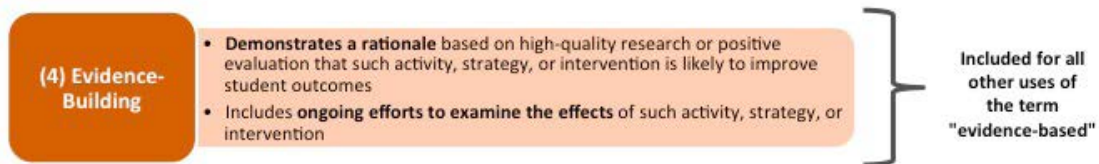
ESSA's Definition of "Evidence-Based"

ESSA's definition of "evidence-based" includes four levels of evidence.

The top three levels require at least one study that found a **statistically significant effect** on improving student outcomes or other relevant outcomes. The specific level of evidence (1-3) depends on the study's design.



The fourth level of evidence includes ideas that do not yet have an evidence base qualifying for the top three levels. Given the requirement in the second bullet below to examine the effects of these ideas, this level can be referred to as *evidence-building*.

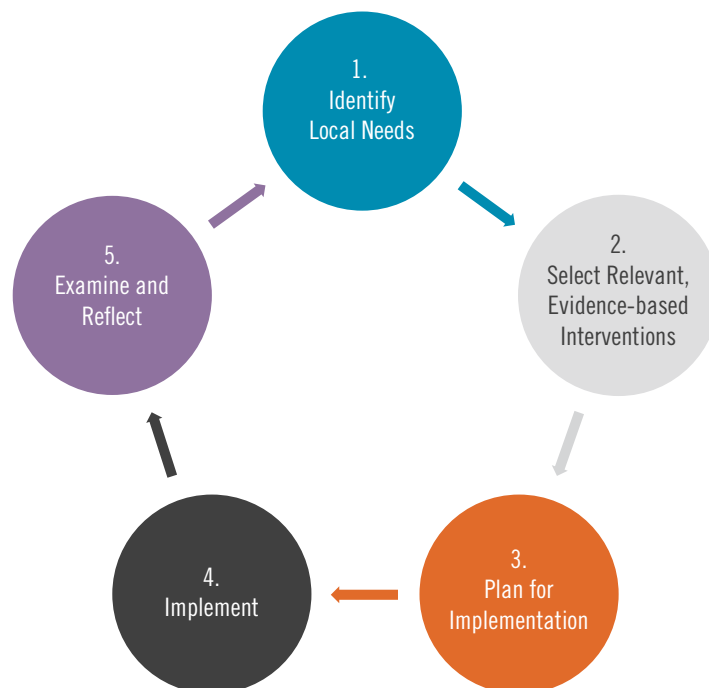


Overview of the USED’s Framework for Evidence-Based Continuous Improvement

The following is an excerpt from the USED’s non-regulatory guidance, which is designed to “help SEAs, LEAs, schools, educators, partner organizations and other stakeholders successfully choose and implement interventions that improve outcomes for students” (p. 2). The framework is a helpful reminder that while research evidence and continuous improvement can—and often do—operate independently of one another, when they are leveraged in tandem by SEAs, LEAs, and schools, the likelihood of successfully addressing persistent challenges and helping students succeed increases.

Part I: Strengthening the Effectiveness of ESEA Investments

Ways to strengthen the effectiveness of ESEA investments include identifying local needs, selecting evidence-based interventions that SEAs, LEAs, and schools have the capacity to implement, planning for and then supporting the intervention, and examining and reflecting upon how the intervention is working. These steps, when taken together, promote continuous improvement and can support better outcomes for students.



Source: USED, “Non-Regulatory Guidance: [Using Evidence to Strengthen Education Investments.](https://www2.ed.gov/policy/elsec/leg/essa/guidanceuseseseinvestment.pdf)” retrieved from <https://www2.ed.gov/policy/elsec/leg/essa/guidanceuseseseinvestment.pdf>

Note: The report refers to the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act of 2015 (ESSA).

Glossary of Terms

- 1003 funds** Section 1003 of the Every Student Succeeds Act requires state education agencies to set aside 7% of Title I, Part A, funds for school improvement, including evidence-based interventions.
- CC** Comprehensive Centers are twenty-one federally funded organizations that provide technical assistance to states and develop and share content-specific knowledge and research across the nation.
- CSI** Comprehensive support and improvement is one of two types of school improvement identifications under ESSA; CSI is focused on the lowest-performing schools.
- IES** Institute of Education Sciences, an independent, nonpartisan research and evaluation agency under the U.S. Department of Education.
- LEA** Local education agency (often referred to as a school district)
- RCT** Randomized controlled trial, a research method that assigns participants by chance to treatment and control groups and yields the most reliable evidence of effectiveness.
- REL** Regional Educational Laboratories are federally funded by IES to work with states, districts, and others across the country by conducting research, disseminating evidence, and providing technical assistance.
- SEA** State education agency
- TSI** Targeted support and improvement is one of two types of school improvement identifications under ESSA; TSI is focused on schools with persistent achievement gaps.

1

LEA Plan Process

Design a process for local ESSA plans that promotes the use of evidence and continuous improvement.

Statutory Requirements**ESSA § 8305**

Allows LEAs to submit separate or consolidated local plans and allows SEAs that prefer consolidated local plans to require them. (Note that multiple ESSA Titles separately require local plans but are not cited here, e.g., § 1112 for Title I, Part A.) SEAs must consult with governors and collaborate with LEAs in “establishing procedures for the submission” of consolidated local plans.

Opportunities for State Leadership

Must

- Create local ESSA plan procedures in consultation with the governor and in collaboration with LEAs.

Could

- Create a local ESSA plan process that clarifies how the SEA will support LEAs in developing their plans and how the SEA will review and ultimately approve local plans, including criteria such as the degree to which each LEA’s plan aligns with the LEA’s particular needs and the SEA’s priorities.*
- Design a local ESSA plan template (or list of required elements) that emphasizes the role that evidence, evaluation, and continuous improvement will play in the LEA’s plan, including but not limited to how the LEA will use federal funds on evidence-based approaches where required by ESSA; how the LEA will examine the ongoing effects of approaches supported by Level 4 evidence; and what structures, processes, and data collection the LEA will use to engage in data-informed continuous improvement.
- Provide technical assistance and ongoing support for LEAs to help them develop local ESSA plans that prioritize the use of data and evidence to respond to local needs and engage in continuous improvement. Collect and make use of relevant data and evidence to inform the technical assistance and other supports.
- Leverage the ESSA review and approval process to shift the SEA/LEA relationship from one focused on compliance to one focused on collaboration and learning, including examining data and the use of evidence in the LEA plans.

* See the note on ESSA regulations on p. 7.

Questions to Consider

- If the SEA chooses to require consolidated local ESSA plans, what will be included and excluded from the local plan template, and how can the template encourage (or require) LEAs to develop thoughtful approaches to the use of data, evidence, and continuous improvement?
- What capacity exists in the SEA to support LEAs in the ESSA plan development process? Are there external partners (e.g., RELs, CCs, Regional Service Centers, or research-practice partnerships) who can help LEAs take a more evidence-based approach in their LEA plans?
- What capacity exists in the SEA to conduct a meaningful local ESSA plan review process, including a focus on how the LEA proposes to implement ESSA's evidence provisions? Can the timeline be structured to allow for conversations and iterations with LEAs to strengthen their plans?
- How can the SEA help LEAs engage their stakeholders in (and build awareness and support for) the commitment to evidence-based approaches in the LEA plan?

2

Monitoring LEA Implementation

Leverage the monitoring function not only to measure compliance but also to support high-quality implementation, evaluation, and continuous improvement.

Statutory Requirements

20 USC § 1232c, d, e

These related provisions of the General Education Provisions Act (GEPA) outline the SEA's responsibilities for monitoring the use of federal education funds it grants to LEAs.

Opportunities for State Leadership

Must

- Monitor LEA implementation of ESSA strategies described in their plans with a focus on ensuring compliance with statutory and regulatory requirements. (Note that SEAs must also ensure the SEA itself is complying with ESSA.)

Could

- Assess the quality of LEA implementation of ESSA strategies—with an emphasis on evidence-based strategies—by regularly collecting, reviewing, and rating qualitative and quantitative data, including milestones, leading indicators, surveys, or other feedback mechanisms that can offer evidence of progress.*
- When deciding what data to use for monitoring, minimize additional data collection burdens on SEA and LEA staff. Whenever possible, use data that is already collected (e.g., data on report cards) and data that is regularly used by staff in their daily work.
- Build monitoring systems that include not only back-end auditing but also front-end efforts to inform staff of requirements in advance, identify potential issues, integrate with technical assistance and other support systems to address problems before they result in actual noncompliance, and support ongoing continuous improvement efforts (see Leverage Point #3).
- Differentiate monitoring based on LEA-specific factors (e.g., performance, history of noncompliance, size, federal allocation).

* See the note on ESSA regulations on p. 7.

Questions to Consider

- What capacity exists in the SEA to conduct high-quality ESSA monitoring that goes beyond compliance to regularly assess implementation and set the conditions for making necessary adjustments toward success? Are there external partners who can help?
- Will existing state and local data systems, policies, and practices support high-quality monitoring? Are there opportunities to link educational data systems with other state or local governmental data systems to support more robust data collection and analysis?
- Can vetted partners (e.g., researchers) access the data needed to support monitoring efforts? Are there sufficient privacy safeguards in place?

3

Continuous Improvement

Build state and local learning systems that promote the use of evidence and continuous improvement in policies and practices focused on improving student outcomes.

Statutory Requirements

ESSA §§ 1111(a)(6) (SEA) and 1112(a)(5) (LEA)

Requires that ESSA Title I, Part A, state and local plans be “periodically reviewed” and “revised” as necessary. (Note that similar requirements exist under other titles of ESSA, although a consolidated state or local plan could address this requirement across titles.)

Opportunities for State Leadership

Must

- Plan for periodic review and revision of SEA and LEA ESSA plans to reflect changes in strategies and programs. Submit “significant” changes to state plans for approval by the USED.

Could

- Establish routines for continuous improvement that review ESSA plans more frequently than “periodically” (e.g., annually or more often) for both SEA and LEA plans and implementation.*
- Adopt and adapt best practices for promoting continuous improvement, such as data collection, feedback loops, collection of information about implementation, methods of analysis to examine effectiveness and reflect on outcomes, and the identification of challenges and potential solutions. Through these approaches, establish continuous improvement as an embedded part of how the SEA and its LEAs operate.
- Differentiate continuous improvement based on both programmatic factors (e.g., size of investment, quality of implementation, impact to date) and LEA-specific factors (e.g., performance, history of noncompliance, size, federal allocation).
- Include ongoing and regular stakeholder engagement as part of the continuous improvement system to solicit feedback on implementation.
- Establish a plan for ongoing evaluation of the SEA plan’s effectiveness.

* See the note on ESSA regulations on p. 7.

Questions to Consider

- What capacity exists in the SEA to engage in high-quality continuous improvement?
Are there external partners who can help?
- What existing policies and practices serve as barriers to continuous improvement?
- Given the increased state and local discretion under ESSA to develop and implement plans that reflect SEA and LEA priorities, how can a data- and evidence-informed continuous improvement process help answer key questions such as, “Are we on track?” and “If not, why, and what are we going to do about it?”

4

Allocating School Improvement Funds

Incentivize the best use of evidence in allocating federal school improvement funds to LEAs.

Statutory Requirements

ESSA § 1003

Requires SEAs to set aside 7% of Title I funds for school improvement. This replaces No Child Left Behind's School Improvement Grant (SIG) program. At least 95% of these funds must be allocated to LEAs to support CSI/TSI plans, in grants of no more than four years. SEAs must give priority to LEAs for, among other things, the "strongest commitment" to using funds in a way that will improve student outcomes.

The remaining 5% can be used by SEAs to establish how they will allocate funds to LEAs (this leverage point); monitor and evaluate LEAs' use of funds (leverage point 6); or reduce barriers and increase flexibility for CSI/TSI schools.

Opportunities for State Leadership

Must

- Allocate at least 95% of the state's school improvement set aside to LEAs with CSI and/or TSI schools to help fund their support and improvement plans, ensuring grants "are of sufficient size to enable [an LEA] to effectively implement selected strategies."

Could

- Allocate funds based on a formula, ensuring that awards are of sufficient size to successfully implement evidence-based interventions in the improvement plan. Consider incorporating an increase in the formula for plans that propose to make significant use of evidence and/or higher levels of evidence.*
- Award funds competitively based at least in part on whether the proposed use of evidence-based interventions is supported by the strongest level of evidence available and is sufficient to support the school in making progress toward meeting exit criteria.*
- Award funds competitively as above but with additional points for a variety of approaches that would further leverage evidence and continuous improvement to increase the likelihood of successful school improvement efforts. Additional points could be awarded for the following:
 - Plans that propose to use significant portions of the grant on evidence-based interventions
 - Descriptions of strong LEA and school systems of continuous improvement already in place
 - Proposals to set aside some program funds for evaluations

* See the note on ESSA regulations on p. 7.

- Demonstration of how other federal, state, and local funding streams (e.g., Title I, Title II) will be aligned to improvement plans and support the use of evidence-based interventions
- Existing or proposed research-practice partnership between the LEA and a research institution focused on creating and executing an LEA-oriented learning agenda for school improvement.
- Award funds through a hybrid approach that provides smaller planning year grants via a formula and larger implementation grants via a competition. As suggested above, the competitive process could prioritize the strength of the LEA's proposed use of evidence and continuous improvement.
- See leverage point 5 for different options a state might consider in designing the LEA application for school improvement funds. Even under a formula-based allocation approach, the application itself can emphasize the role of evidence-based interventions.
- Base decisions whether to renew grants in part on the LEA's or school's success in implementing evidence-based interventions successfully.

Questions to Consider

- How will existing policies, priorities, politics, and prior school improvement grants inform the way grant awards are prioritized, if necessary? Draw on lessons learned from prior experience.
- What internal capacity exists to manage a competitive process, including one that focuses on the proposed uses of evidence-based interventions?
- How will it be determined whether a smaller grant would be sufficient to implement the improvement plan, including successful implementation of evidence-based interventions?
- How will the allocation process incorporate considerations about sustaining evidence-based interventions, continuous improvement, and evaluation beyond the grant period? How can the SEA help avoid funding cliffs that often derail progress?

5

LEA Application for School Improvement Funds

Design LEA applications for school improvement funds to emphasize the use of evidence and continuous improvement.

Statutory Requirements

ESSA § 1003(e)

Requires LEAs to submit an application to the SEA for school improvement funds. The application must contain particular components, including, among other things: (1) how the LEA will develop and implement CSI plans and support TSI schools in doing so; (2) how the LEA will monitor implementation and increase monitoring for non-exiting schools; (3) the “rigorous review process” the LEA will use with potential external partners; (4) how the LEA will align other resources in addition to school improvement funds; and (5) any flexibilities the LEA will create to support the improvement plans.

Opportunities for State Leadership

Must

- Describe the SEA's plan for developing a school improvement application that includes the elements required by ESSA (listed above). Note that the school improvement application itself does not have to be included in the consolidated state plan, especially since schools will not be identified for improvement until after the 2017–18 school year.

Could

- Require LEAs to also include in their applications (1) a budget; (2) how improvement plans will be sustained after the grant ends, including ongoing use of state and federal formula funds; and (3) a description of how the LEA will conduct and support any planning year for funded schools.*
- Require LEAs to address additional elements, not described in law or the proposed regulations, which could advance the thoughtful use of evidence in school improvement, such as the following:
 - Drawing explicit connections between the results of the school-level needs assessment and the selected evidence-based interventions
 - Providing the supporting evidence for selected interventions
 - Addressing additional factors above and beyond what is required in the definition of “evidence-based” (see leverage point 10)
 - Conducting an LEA-level needs assessment to identify and address any gaps in LEA capacity to support plan implementation, collect data, and support the use of evidence and continuous improvement
 - Describing the LEA's plan to evaluate the effectiveness of the interventions, including any interventions supported by Level 4 evidence

* See the note on ESSA regulations on p. 7.

Questions to Consider

- How will the application process balance the need for well-developed improvement plans with the need to continuously improve plans in response to data and changing conditions on the ground?
- How will applicants share or point to the evidence supporting the selected evidence-based interventions?
- Are there ways for the SEA to streamline the application process or reduce the burden on LEAs without sacrificing any of the key information needed to assess the quality of the improvement plan?

6

Monitoring and Evaluating School Improvement

Use data and feedback loops to monitor and continuously improve implementation of school improvement plans and evaluate the impact on student outcomes.

Statutory Requirements

ESSA § 1003(b)(2)(B)

Requires each SEA to engage in “monitoring and evaluating the use of [school improvement] funds by local educational agencies” and allows SEAs to use part of the (5%) state school improvement set aside to carry out these responsibilities.

Opportunities for State Leadership

Must

- Monitor implementation by LEA grantees periodically. (Note that the statute puts little or no emphasis on building LEA capacity to support continuous improvement locally.) Evaluate the use of funds at the end of the school improvement grant to determine if funded schools meet exit criteria.

Could

- Monitor and evaluate as required, but also disseminate the findings of those evaluations on a regular basis so other LEAs and schools benefit from lessons learned.*
- Include evaluations of implementation along the way as well as evaluating impact at the end of a grant. Leverage these processes to help build LEA capacity to support continuous improvement locally.
- Design and implement differentiated monitoring and support routines with LEAs based on need (e.g., by the number of identified schools, fidelity of improvement plan implementation, rate of student outcome improvement, etc.).
- Adopt a learning agenda through which the SEA takes full advantage of available resources offered by public (e.g., IES grants, RELs) and private partners (e.g., research-practice partnerships, foundations) to rigorously examine the impact of interventions coupled with a robust continuous improvement process. Encourage, incentivize, or require LEAs to invest in and design low-cost randomized controlled trials (RCTs) on the front end of their improvement efforts to increase the amount and quality of impact research from which the SEA, LEAs, and schools can learn.

* See the note on ESSA regulations on p. 7.

Questions to Consider

- What internal and external capacity exists to monitor implementation, conduct rigorous evaluations, and disseminate findings? What partners are available for collaboration in order to expand capacity?
- How will the SEA ensure evaluation plans are in place *before* school improvement plans are implemented? How will the SEA also ensure that such studies are properly designed and that the right data will be collected at the right frequency?
- What will the SEA do (or require LEAs to do) in response to information collected during monitoring? For example, how will monitoring reports impact ongoing state support efforts, decisions to renew school improvement grants, etc.?
- What systems will be needed to facilitate future CSI/TSI plans taking advantage of what is learned from prior monitoring and evaluation efforts?

7

Technical Assistance and Support System

Design a state technical assistance and support system for school improvement that promotes evidence-based decision making and continuous improvement.

Statutory Requirements

ESSA § 1111(d)(3)(A)(iii)

Requires SEAs to provide technical assistance to LEAs “serving a significant number” of CSI or TSI schools.

Opportunities for State Leadership**Must**

- Provide technical assistance for qualifying LEAs on topics chosen by the SEA.
- Provide statewide technical assistance for qualifying LEAs that includes support for the following:
 - Developing and implementing comprehensive improvement plans
 - Supporting schools in developing and implementing targeted improvement plans
 - Developing or using tools related to school-level needs assessments and the selection of evidence-based interventions*

For more details and options for state leadership in these areas, see leverage point 8 on needs assessments; leverage point 9 on selecting evidence-based interventions; and leverage point 10 on state-approved lists of evidence-based interventions. SEAs should consider other related topics for technical assistance, such as implementing evidence-based interventions and building systems of continuous improvement.

Could

- Differentiate the technical assistance that will best support CSI schools versus TSI schools, including tools and resources that are most appropriate for each type of school.
- For each qualifying LEA provide customized, ongoing technical assistance that responds to the LEA’s specific needs and leverages its existing strengths.
- Use the results from evaluations to identify best practices and exemplars among LEAs and schools engaging in evidence-based practices. Integrate these proof points into technical assistance for other LEAs through case studies, site visits, peer coaching, and other approaches.
- Audit (and revise as needed) existing technical assistance approaches, providers, and resources to ensure alignment with ESSA, particularly with the law’s definition of *evidence-based*.

* See the note on ESSA regulations on p. 7.

- Plan for continuous improvement of the technical assistance system, including how to measure its effectiveness in supporting high-quality implementation of evidence-based approaches to school improvement and its impact on ultimate success of improving student outcomes.

Questions to Consider

- How will the “significant number” be defined in determining which districts will receive technical assistance? Would an LEA with a significant percentage of schools identified be able to access state-provided technical assistance even if the absolute number of schools is low? In making these determinations, will comprehensive schools and targeted schools receive the same treatment? Will LEAs with a higher number of comprehensive schools be prioritized over those with a higher number of targeted schools?
- What, if any, technical assistance will be provided to LEAs that don't have a “significant number” of CSI or TSI schools?
- What technical assistance capacity already exists within the SEA? Are there potential partners who can expand capacity (e.g., RELs, CCs, universities, foundations, other intermediaries)?

8

Technical Assistance on Needs Assessment

Ensure LEAs and schools conduct high-quality needs assessments that drive the thoughtful use of evidence in improvement plans

Statutory Requirements

ESSA § 1111(d)(1)(B)(iii)

Requires comprehensive school support and improvement plans to be, among other things, “based on a school-level needs assessment.”

Opportunities for State Leadership

Must

- Ensure LEAs conduct their own school-level needs assessment in every identified CSI school, using monitoring/auditing to ensure compliance.

Could

- Create or adopt a model needs assessment that the SEA then either requires LEAs to use or offers to LEAs as an option through technical assistance. The model should
 - include a process for engaging stakeholders (both in and out of school);
 - deeply examine student (and student subgroup) academic performance; students’ and schools’ unmet needs, and, at the district’s discretion, performance on additional, locally selected measures beyond the state’s accountability indicators; and
 - lead naturally into the development of an improvement plan, including the selection of evidence-based interventions that respond to the root causes unearthed by the needs assessment.*
- Create a second version of a model needs assessment customized for use in TSI schools (whether required or encouraged by the SEA).
- Provide LEAs with suggested additional locally selected measures supported by research that demonstrates the measures are meaningful (i.e., affect student performance), measurable (i.e., can be examined in a needs assessment), and malleable (i.e., can be improved). For example, the state may persuade LEAs to use chronic absenteeism rather than average daily attendance as part of the needs assessment or to include access to high-quality birth-to-five early childhood programs.
- Create a complementary LEA-level needs assessment to understand how the LEA’s own capacity gaps may be contributing to schools’ underperformance.

* See the note on ESSA regulations on p. 7.

Questions to Consider

- Is there a needs assessment process already in place? Does it align well with ESSA's school improvement requirements and/or can it be improved?
- How will the SEA ensure that the needs assessments are not only completed by LEAs but are high-quality examinations that will uncover the root causes of schools' low performance? What evidence of this will be required as part of the LEA application for school improvement funds?
- Does the SEA have access to relevant data that it can pre-populate into the needs assessment, thus saving LEAs time?
- Who will conduct the needs assessments? Will the state encourage or require that LEAs include outside experts or stakeholders in addition to LEA/school staff?

9

Technical Assistance on Selecting Interventions

Support LEAs and schools in maximizing the thoughtful use of evidence to increase the likelihood of improving student outcomes.

Statutory Requirements

ESSA §§ 1111(d)(1)(B)(ii) (CSI) and 1111(d)(2)(B)(ii) (TSI)

Require that every school support and improvement plan “includes evidence-based interventions.” Interventions may be based on all four levels of evidence. However, if the school receives federal school improvement funds (via the state’s 7% set aside of 1003 funds), then the required intervention in a school’s plan must be supported by the top three levels of evidence [ESSA § 8101(21)(B)].

Opportunities for State Leadership

Must

- Provide sufficient guidance to LEAs such that all CSI and TSI plans include at least one evidence-based intervention and that all CSI and TSI plans supported by school improvement grants include at least one intervention supported by the top three levels of evidence.

Could

- Encourage (or require) the selection of interventions that are supported by evidence from a sample population or setting that overlaps with the population or setting of the school to be served and by the strongest level of evidence that is available and appropriate to responding to the results of a CSI school’s needs assessment or to improve student outcomes for the low-performing subgroup(s) of students in a TSI school.*
- Establish a protocol for selecting evidence-based interventions. Support LEAs (for CSI) and schools (for TSI) in following the protocol to ensure their selections rely on the strongest available evidence and best meet the specific needs and context of the school in question.
 - The process should include a focus on considering a wide range of factors, including but not limited to the supporting evidence, the results of the school-level needs assessment, the costs and demands of effective implementation, and the alignment of the intervention with other aspects of the CSI/TSI plan and other existing improvement efforts at the school.
- Support better decision making by fostering networks of LEAs (or schools) or provide regionally based support through SEA support teams or other intermediaries.
- If the SEA wants LEAs and schools to select from an exhaustive (i.e., required) or non-exhaustive (i.e., optional) list of state-approved evidence-based interventions, see leverage point 10 for more details and options for state leadership.

* See the note on ESSA regulations on p. 7.

Questions to Consider

- What capacity and expertise exists in the SEA to support LEAs and schools in this selection process?
- When reviewing and approving LEAs' submitted CSI plans, how will the quality of their selections of evidence-based interventions be reviewed? What information will be requested for each intervention (e.g., name of intervention, supporting evidence, rationale connecting the selection to specific results of the school-level needs assessment)?
- What opportunities are there to incorporate evidence into SEA and/or LEA procurement processes?
- How will LEAs and schools take advantage of what is learned from prior evaluations of school improvement efforts and evidence-based interventions in other CSI/TSI schools in the state?

10

Technical Assistance on Lists of Interventions

Design and implement any state-approved lists of evidence-based interventions to ground improvement plans in the best available evidence tailored to local needs and context.

Statutory Requirements

ESSA § 1111(d)(3)

ESSA does not explicitly address a state-approved list of interventions, but § 1111(d)(3)(B)(i) permits states to “take action to initiate additional improvement” in LEAs with either significant numbers of TSI schools or non-improving CSI schools, and § 1111(d)(3)(B)(ii) allows states, consistent with state law, to “establish alternative evidence-based State determined strategies that can be used by local educational agencies to assist” CSI schools.

Opportunities for State Leadership

Must

- N/A (states are permitted to create a list but are not required to).

Could

- Rather than creating a list, focus on providing effective technical assistance on how to select evidence-based interventions (see leverage point 9) and take advantage of existing databases, clearinghouses, and guidance documents that outline processes for reviewing and selecting interventions on the basis of their evidence and relevance to local context and need.
- Adopt or adapt an existing, external list (such as one of the databases or clearinghouses found in the Resources section of this document) and either require LEAs and schools to select from it or provide it as a resource.*
- Create a new list and make it optional or required.*
- Create a hybrid list that includes interventions from an existing external list and additional interventions identified by the SEA. Consider opportunities to inventory and evaluate the evidence base supporting current interventions being implemented at the state level and use the results to inform the list.
- Collaborate with other states to develop a list that leverages collective resources and capacity and results in a more comprehensive set of interventions from which LEAs and schools can or must choose.

* See the note on ESSA regulations on p. 7.

- If an optional list is created using any of the above approaches, establish incentives for LEAs/schools to select interventions on the list. For example, the SEA may be able to provide implementation support, communities of practice, or even discounted prices for state-approved interventions.
- If a required list is created using any of the above approaches, provide additional support to LEAs/schools to help identify which approved intervention(s) will best meet the needs identified in the needs assessment and plan development process.

Questions to Consider

- Is the creation or adoption of a list desirable in the first place? How does a list align with the SEA's vision and theory of action for school improvement?
- Given the SEA's context, will any list be required or optional for LEAs/schools to use while developing CSI and TSI plans?
- How will interventions be added to the SEA's list? Can LEAs/schools propose interventions to be added to the initial state list? If so, what criteria will you use to assess and approve proposed interventions? Will the list be updated on a rolling basis, as part of an annual process, or on some other schedule? Under what circumstances would an intervention be removed from the list?
- What internal and/or external capacity exists that can be relied on to create and update the list over time?
- Will any intervention that meets ESSA's definition of evidence-based be approved, or will additional factors also be considered? In other words, is the statutory definition a floor or a ceiling? Some additional factors to consider in designing the list include the following:
 - The full body of evidence, not just one supporting study, which could be an outlier
 - The size of the effects found in the study, since some statistically significant positive effects may actually have only minimal impact on student outcomes
 - The importance of the studied outcome so that, for example, a study about a literacy intervention demonstrates positive effects on students' actual literacy rather than a relatively less important factor such as students' attitudes about reading
 - Cost-benefit analyses that help LEAs/schools consider the resources needed for strong implementation of a particular intervention and the expected improvement on student outcomes
- What domains will the list include? Will it be limited to the areas included in the state accountability system (e.g., reading, math, graduation rate, English proficiency, and the school quality and student success indicator(s))? Or will it include other domains that may be identified through the CSI needs assessment or TSI plan development processes (e.g., school culture and climate, behavior, family and community engagement, equitable distribution of teachers, professional learning, school leadership, access to high-quality early childhood education, student academic mindsets, etc.)?

- Will the list treat all qualifying interventions the same or will it prioritize among them? For example, will the list steer LEAs/schools to the interventions supported by the strongest available evidence or to those with studies that focused on similar populations and/or settings? (See leverage point 9.)
- Will the list focus solely on evidence-based programs or will it also include evidence-based strategies and frameworks?
- For a list to be effective, it must be accompanied by effective support to LEAs and schools in conducting strong needs assessments and matching interventions to those needs. How will the SEA help ensure LEAs and schools use the list wisely and not simply pick something without thoughtfully connecting the particular school's needs to the selection of evidence-based interventions?
- How will LEAs and schools be supported in identifying evidence-based interventions in areas for which there is very limited or no research and therefore few, if any, approaches that would appear on a statewide list?

11

Non-Exiting Schools

Promote more and/or more thoughtful use of evidence as part of the SEA's "more rigorous action" for schools that do not exit improvement status.

Statutory Requirements

ESSA §§ 1111(d)(3)(A)(i)(I) (CSI) and 1111(d)(2)(B)(v) (TSI)

These provisions establish what must happen if a CSI or TSI school does not improve sufficiently after implementing its plan. For non-exiting CSI schools, the SEA must ensure there is "more rigorous State-determined action, such as the implementation of interventions (which may include addressing school-level operations)." For non-exiting TSI schools, the LEA must ensure there is "additional action."

Opportunities for State Leadership

Must

- Take more rigorous actions for non-exiting CSI schools and additional actions for non-exiting TSI schools. The law on its own does not necessarily require these actions to relate to the use of evidence.

Could

- Define "more rigorous State-determined action" for non-exiting CSI schools (or "additional action" for non-exiting TSI schools) to include a new needs assessment followed by amending the improvement plan to address the reasons the school did not exit improvement status, the results of the new needs assessment, and any concerns with the fidelity or intensity of how interventions were being implemented in the school.*
- Further, require (or encourage) the amended plan to include additional interventions that are selected by the SEA or required to be selected from a list of evidence-based intervention, are supported by the top two levels of evidence ("strong" or "moderate"), and are, to the extent practicable, supported by evidence from a sample population or setting that overlaps with the population or setting of the school.*
- Identify one or more interventions that will be implemented across the board in all non-exiting CSI schools.
- Establish a "heavy touch" state-led process to ensure the amended CSI plans include one or more evidence-based interventions that are supported by strong or moderate evidence and that respond to the results of the new school-level needs assessment.
- Exercise increased SEA leadership in the new needs assessment process (see leverage point 8).

* See the note on ESSA regulations on p. 7.

- Exercise more SEA leadership through increased monitoring, support, and periodic review (see leverage point 6). For example, SEAs might establish small communities of practice that bring together school and LEA leaders to exchange ideas, observe implementation, and give/receive feedback; arrange for and facilitate “consultancies” among SEA, LEA, and school leaders, their peers, and outside experts to reflect on implementation and guide future efforts; curate and disseminate lessons learned from LEAs and schools that are beating the odds; provide technical assistance to establish or strengthen continuous improvement routines; or place special emphasis on building LEA capacity.
- Insert the SEA into the approval process for the amended plans for non-exiting TSI schools; then leverage the plan review/approval process to promote the use of evidence in the school.

Questions to Consider

- Are there state laws that provide specific authorities with respect to non-exiting CSI schools?
- Are there opportunities identified in these leverage points that might be implemented for non-exiting CSI schools, which were not chosen for the initial CSI plans?
- In their school improvement applications, will LEAs be asked to describe how they will increase monitoring and support for non-exiting TSI schools and what form that support will take?

12

Additional Action for Certain LEAs

Prioritize evidence use and continuous improvement when exercising extraordinary state authorities to intervene in LEAs unable to improve their lowest-performing schools.

Statutory Requirements

ESSA § 1111(d)(3)(B)(i)

Permits SEAs to “take action to initiate additional improvement” in districts with a “significant number” of CSI schools that do not meet the state’s exit criteria or in districts with a “significant number” of TSI schools.

Opportunities for State Leadership

Must

- N/A (states are permitted to take additional actions but are not required to).

Could

- Establish one across-the-board intervention, supported by strong or moderate evidence, for any LEA designated for “additional action.”
- Use the results of an LEA-level needs assessment to differentiate additional actions to best match the context, needs, and assets of the students, schools, and LEAs involved. SEAs can create a continuum of evidence-based actions from which the best fit is selected.
- Invest in rigorous implementation and impact evaluations of these additional actions to build the evidence base for how to improve these persistently low-performing schools and build the capacity of their LEAs.

Questions to Consider

- How will “significant number” be defined in determining which districts will receive additional improvement actions from the state? In making these determinations, will CSI and TSI schools be treated the same? Or will districts with significant numbers of non-exiting CSI schools be prioritized over districts with significant numbers of TSI schools?
- During the first set of grants—before there are any “non-exiting” CSI schools—will the SEA take additional improvement actions with districts with high numbers of TSI schools?
- What external partners (e.g., Regional Service Centers, CCs, and RELs) might be involved in supporting and building the capacity of LEAs with high concentrations of identified schools?

13

Evidence-Based Allowable Uses

Advance the use of evidence-based approaches via the allowable uses of Title II and Title IV funds.

Statutory Requirements

ESSA

Throughout ESSA—particularly in Titles II and IV—there are long lists of allowable uses of federal funds. Some of these uses include an evidence-based restriction. In such a case, if an SEA or LEA chooses to use federal funds on the particular allowable use, the SEA or LEA must spend the money on activities or interventions that are supported by evidence meeting any of the four levels in ESSA's definition of *evidence-based*. Examples of allowable uses that must be evidence-based include LEA-funded professional development, class size reduction, drug and violence reduction programs, and reducing exclusionary discipline practices.

In many instances, the evidence-based restriction applies only if the SEA first determines (sometimes in consultation with LEAs) that evidence for that particular allowable use is “reasonably available.”

Opportunities for State Leadership

Must

- Review LEA plans and monitor expenditures to ensure LEAs use federal funds on evidence-based activities where required by law. For those allowable uses conditioned on the availability of supporting evidence, determine whether evidence is “reasonably available.”

Could

- Adopt an existing or create a new state-approved list of evidence-based activities for some or all of the evidence-based allowable uses. Leverage the lists to explain transparently why evidence for a particular use is reasonably available.
 - See the Resources section for some of the growing set of evidence clearinghouses and meta-analyses that collect available research on given topics that align with these allowable uses.
- Create a research-practice partnership with a university partner or other research organization (e.g., RELs) that can both support the SEA in making well-informed determinations and help construct a statewide learning agenda to identify gaps in the evidence base and seek to fill them.
- Prioritize the use of evidence in any distribution of state-level set aside funding (e.g., 3% of Title II for leadership, 3% of Title I for Direct Student Services, or state activities under Title IV).
- See leverage point 2 for additional ideas for monitoring LEA spending on evidence-based allowable uses.

Questions to Consider

- What standard will the SEA use to define “reasonably available”? Note that the more an SEA allows unproven ideas to qualify as evidence-based under the fourth level of evidence, the more likely the SEA should find evidence is “reasonably available.”
- What internal and/or external capacity can help the SEA make the “reasonably available” determinations?
- What process will the SEA use to update its determinations in light of further growth in the evidence base, including but not limited to the results of SEA and LEA evaluations? How frequently will such updates be made and how will they be communicated to LEAs?

Resources

Government Resources	Associated Evidence Leverage Point												
	1	2	3	4	5	6	7	8	9	10	11	12	13
The Every Student Succeeds Act (ESSA)	x	x	x	x	x	x	x	x	x	x	x	x	x
*U.S. Department of Education’s (USED) ESSA Final Regulations: Accountability, State Plans, and Data Reporting : These final regulations, now rescinded, set forth additional requirements and explanation regarding ESSA’s accountability, state plans, and data reporting provisions.	x	x	x	x	x	x	x	x	x	x	x		
USED’s ESSA Consolidated State Plan Guidance : This guidance document is intended to assist states in developing a consolidated state plan.	x	x	x	x	x	x	x	x	x	x	x	x	x
USED’s Former Consolidated State Plan Template : This document provides the original template for states to follow when developing a consolidated state plan. The template has since been revised, but some states may find utility in the previous administration’s template.	x	x	x	x	x	x	x	x	x	x	x	x	x
USED’s Revised Consolidated State Plan Template : This document, released in March 2017, provides a revised template for states to follow when developing a consolidated state plan.	x	x	x	x	x	x	x	x	x	x	x	x	x
USED’s Non-Regulatory Guidance: Using Evidence to Strengthen Education Investments : This guidance document offers strategies for evidence-based decision-making, including guidance on implementation, monitoring, and evaluation.		x	x	x	x	x	x	x	x	x	x	x	x
USED’s Non-Regulatory Guidance for Title II, Part A: Building Systems of Support for Excellent Teaching and Learning : This guidance document specifically addresses how SEAs can work to ensure that professional development activities are evidence-based, among other Title II topics.													x



Associated Evidence Leverage Point

Government Resources	1	2	3	4	5	6	7	8	9	10	11	12	13
USED's Accountability Under Title I, Part A of the ESEA: Frequently Asked Questions : This FAQ document provides guidance to SEAs, LEAs, and other stakeholders regarding ESSA requirements regarding a statewide accountability system.				x	x	x	x	x	x	x	x	x	
Clearinghouses & Databases													
Center for Data-Driven Reform in Education at Johns Hopkins University's Best Evidence Encyclopedia : This website provides educators and researchers with summaries of scientific reviews to demonstrate the strength of evidence supporting a variety of K-12 programs.					x				x	x	x	x	x
Center for Research and Reform in Education at Johns Hopkins University's Evidence for ESSA : This customizable clearinghouse will include reviews educational programs to determine if they meet ESSA evidence standards. The clearinghouse will initially focus on of math and reading programs, with plans to expand to additional topics.					x				x	x	x	x	x
Institute of Education Sciences' What Works Clearinghouse : This tool allows users to search existing research on programs, practices, policies, and products across a number of education topics.					x				x	x	x	x	x
The Pew-MacArthur Results First Initiative's Results First Clearinghouse Database : This database compiles and reconciles information from eight clearinghouses to help users find information on the effectiveness of different interventions across a number of topics, including education.					x				x	x	x	x	x
Education Northwest's Evidence4Ed: This forthcoming tool will provide a clearinghouse of evidence-based interventions with a focus on leveraging peer reviews of implementation and efficacy.					x				x	x	x	x	x



Other Resources, Publications and Guides	Associated Evidence Leverage Point												
	1	2	3	4	5	6	7	8	9	10	11	12	13
The Aspen Institute and Council of Chief State School Officers' (CCSSO) Advancing Equity through ESSA: Strategies for State Leaders : This framework is intended to help state leaders advance equity through ESSA, including through the identification of high-impact strategies for allocating school improvement funds. Frederick Hess and Bethany Little's "Moneyball" for Education : This paper describes how baseball's "moneyball" strategy for leveraging data can be applied to the education system to improve outcomes for students.	X			X	X	X	X	X	X	X			
Center for American Progress's Strategies to Improve Low-Performing Schools Under the Every Student Succeeds Act : This report highlights the success of three school districts in improving low-performing schools and identifies evidence-based examples of school improvement.	X			X	X				X		X	X	
Center for American Progress and Knowledge Alliance's Better Evidence, Better Choices, Better Schools : This report outlines how state leaders can take an evidence-based approach to school improvement.	X	X	X		X	X	X	X	X	X		X	X
Center for Public Education's Class Size and Student Achievement: Research Review : This review presents findings from an analysis of 19 studies focused on the impact of reducing class size on student achievement.					X				X	X	X	X	X
Chiefs for Change's ESSA and Evidence: Why it Matters : This policy brief provides an overview of ESSA's evidence provisions as well as detailed recommendations for state Chiefs to promote the use of evidence-based decision-making.	X					X		X	X	X			X
Chiefs for Change's Implementing Change: Rethinking School Improvement Strategies and Funding Under the Every Student Succeeds Act : This paper demonstrates how SEAs can assist LEAs in identifying and implementing evidence-based strategies for school improvement.				X	X				X				



Associated Evidence Leverage Point

Other Resources, Publications and Guides	1	2	3	4	5	6	7	8	9	10	11	12	13
<p>The Center on School Turnaround's The State Role in School Turnaround: This book provides guidance to states on their role in school turnaround, including how to best provide technical assistance to LEAs and schools and employ data to drive improvement.</p> <p>CCSSO's Elevating School Leadership in ESSA Plans: A Guide for States: This website offers a number of resources to help SEAs promote school leadership in their ESSA state plans.</p> <p>CCSSO' Evidence-Based Practice and School Improvement: Key Considerations This memorandum outlines considerations for SEAs providing technical assistance on the selection and use of evidence-based interventions.</p> <p>CRPE's Measures of Last Resort: This publication analyzes the state role in school and district turnaround and provides the "key ingredients" for an effective turnaround strategy.</p> <p>The Education Trust's The School Improvement Process: This document provides an overview of the school improvement process under ESSA, including key levers for helping states and districts engage in a coherent process focused on improving student achievement.</p> <p>Education Northwest's Addressing the Challenges of Building and Maintaining Effective Research Partnerships: This report presents lessons learned from REL Northwest's research partnerships.</p> <p>Florida Center for Reading Research (FCRR)'s An SEA Guide for Identifying Evidence-Based Interventions for School Improvement: This guide helps states conduct a self-study process to review the evidence base for school improvement interventions. FCRR also has a similar guide for LEAs.</p>	X	X				X	X				X	X	
									X	X			X
		X		X				X	X	X	X		
						X					X	X	
	X			X	X			X	X				
						X							X
	X		X		X				X	X	X	X	X



Associated Evidence Leverage Point

Other Resources, Publications and Guides

	1	2	3	4	5	6	7	8	9	10	11	12	13
<p>Learning Policy Institute's Evidence-Based Interventions: A Guide for States: This brief reviews the research base for interventions in the areas of professional development, class-size reduction, community schools and wraparound services, and high school redesign.</p>					X				X	X	X	X	X
<p>Massachusetts Department of Elementary and Secondary Education and School Turnaround Learning Community's Massachusetts Turnaround Practices Research: Findings, Resources and Implications for Incorporating Evidence-Based Practices Under ESSA: This blog post describes Massachusetts' successful school turnaround experience under the state's School Improvement Grant, as well as how the state plans to continue this work to implement evidence-based practices under ESSA.</p>											X	X	
<p>The National Network of Education Research-Practice Partnerships (NNERPP): NNERPP provides a network of support for research-practice partnerships.</p>		X	X			X							X
<p>Rand Corporation's School Leadership Interventions Under the Every Student Succeeds Act: Evidence Review: This report presents evidence-based school leadership interventions aligned to ESSA, as well as methods to support the use of such interventions.</p>									X	X			X
<p>Strategic Data Project's Toolkit for Effective Data Use: This resource guide offers tools for effectively collecting and analyzing student data.</p>	X	X											
<p>WestEd's Evidence-Based Improvement: A Guide for States to Strengthen Their Frameworks and Supports Aligned to the Evidence Requirements of ESSA: This guide provides tools to help SEAs and LEAs implement evidence-based improvement strategies.</p>		X	X				X		X	X			X

General Resources about ESSA's Evidence Provisions

RFA's [ESSA Evidence Fact Sheet](#): This document provides an overview of the key evidence-based policy provisions in ESSA.

RFA's [ESSA Evidence PowerPoint](#): This deck provides an introduction to the importance of evidence-based decision making, an overview of ESSA's evidence provisions, and approaches for states, districts, and schools to consider when implementing the evidence provisions.

RFA's [ESSA Evidence Provisions Scan](#): This chart provides a comprehensive list of ESSA's evidence-based provisions.

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About the Invest in What Works Policy Series

This report is part of Results for America's Invest in What Works Policy Series, which provides ideas and supporting research to policymakers to drive public funds toward evidence-based, results-driven solutions. Results for America is improving outcomes for young people, their families, and communities by shifting public resources toward evidence-based, results-driven solutions. We are doing this by building a strong, bipartisan coalition to support investing in what works; developing and advancing the next generation of evidence-based, results-driven practices, policies, and programs; and supporting leaders at all levels of government to invest in what works.