
A Handbook for Meaningful Stakeholder Engagement:

A Tool to Support State Education Agencies in Planning and Implementation of ESSA

Coming Soon!

A Tool to Support
**Local Education Agencies
and School Leaders**



Setting the Stage:
Considering the
Landscape

**Preliminary Analysis
and Planning:**
Understanding the
Opportunity

**Investing In
Capacity-Building:**
Designing a Strategy

**Stakeholder
Engagement:**
Implementation and
Iterative Design

**Continuous
Improvement:** Measuring
Progress and Making
Adjustments

Executive Summary

Much of the language in the *Every Student Succeeds Act* (ESSA) implicates a fundamental understanding of education as a civil right. And to that end, equity is fundamentally important in ESSA. The success and sustainability of efforts to ensure educational excellence and equity, particularly with regard to our most vulnerable students and communities, requires robust and thoughtful partnership between and among federal, state, and local governmental agencies and stakeholders.

Who Should Use the *Handbook*?

This Handbook is designed to support **State Education Agencies (SEAs)**, including: Departments of Education, State Boards of Education, Public Education Departments, Departments of Public Instruction, Departments of Federal Programs in Education, Departments of Elementary and Secondary Education, and Superintendent's Offices. While this document has been written to support SEAs, we hope that it will also be informative to all stakeholders. Additionally, Partners for will be producing a similar guide for LEAs to help collect and contextualize the guidance and direction they will be receiving from their SEA and to support their investments in local stakeholder engagement work at the district level over the coming months.

How to Use the *Handbook*:

The *Handbook for Meaningful Stakeholder Engagement* (*Handbook*) is a tool to support SEAs as they design and put into place effective and meaningful  **Stakeholder Engagement Strategies** throughout ESSA transition and implementation. The *Handbook* is meant to complement the efforts of the Council of Chief State School Officers (CCSSO), and their publication "[Let's Get This Conversation Started](#)," which provides a set of guidelines for stakeholder engagement.

The *Handbook* also builds on key principles articulated in the U.S. Department of Education's (US ED) [June 23, 2016 guidance letter](#) on stakeholder engagement in ESSA transition and implementation, and shows how those guidelines can be put into practice through thoughtful engagement with stakeholders on  **Key Decision Points**.

We have structured this Handbook as follows:

- **Part A:** Key Decision Points and guiding questions to clarify content for stakeholder engagement
- **Part B:** A guiding framework for building a  **Stakeholder Engagement Strategy** for ESSA implementation and continuous improvement
- **Part C:** Explicit requirements for stakeholder engagement in ESSA
- **Part D:** Tools, resources, and templates for SEAs to use as they build their  **Stakeholder Engagement Strategy** for ESSA implementation.

Who Are Your Stakeholders?

- civil rights organizations
- family and community groups
- teachers and educator groups
- early learning advocates and providers
- organized labor and education personnel
- school board members
- researchers and advocacy organizations
- elected officials
- student groups
- faith-based organizations
- teacher educators and others from higher education
- health and social services
- youth development organizations
- the business community

...and more!

Principles of Meaningful Stakeholder Engagement

- Stakeholder engagement and the pursuit of equity and excellence as inseparable endeavors
- Inclusion of diverse stakeholders, with a commitment to engaging historically excluded voices
- Support for well-informed and ongoing engagement
- Focus on continuous improvement as essential for meaningful engagement
- Pragmatic consensus: effective collaboration doesn't always mean full consensus

1. Partners for will be subsequently building and producing complementary *Handbooks* for Local Education Agencies (LEAs) and other Stakeholders in July 2016.

Executive Summary

Part A - ESSA Key Decision Points: Opportunities for Engagement

Part A outlines **DP** Key Decision Points in ESSA that will have an impact on equity in your state, along with guiding questions to clarify content priorities and support engagement around implementation.

How has the state report card been designed or modified so that it is easy to understand information about student, school, and district progress? Is the performance of student subgroups disaggregated? Is there information available about the supports available to schools/districts?

DP **Accountability:** Goals for Student Achievement; Accountability Indicators; N-Size, Report Cards and Data Reporting

DP **Assessment:** Assessment Audits

DP **School Improvement Supports:** School Improvement Funding; Support and Improvement for Struggling Schools

DP **Innovative Pilots:** Innovative Assessment Pilot; Weighted Student Funding Pilot

DP **Teacher and Leader Quality:** Educator Equity; Teacher and Leader Evaluation Systems – Professional Development

How will the state assess the impact and effectiveness of any refinements made to the redesignation of English Learners? How will that analysis be communicated?

What does the state definition of “consistently underperforming” mean? How does that definition ensure that we will adequately support traditionally underserved students?

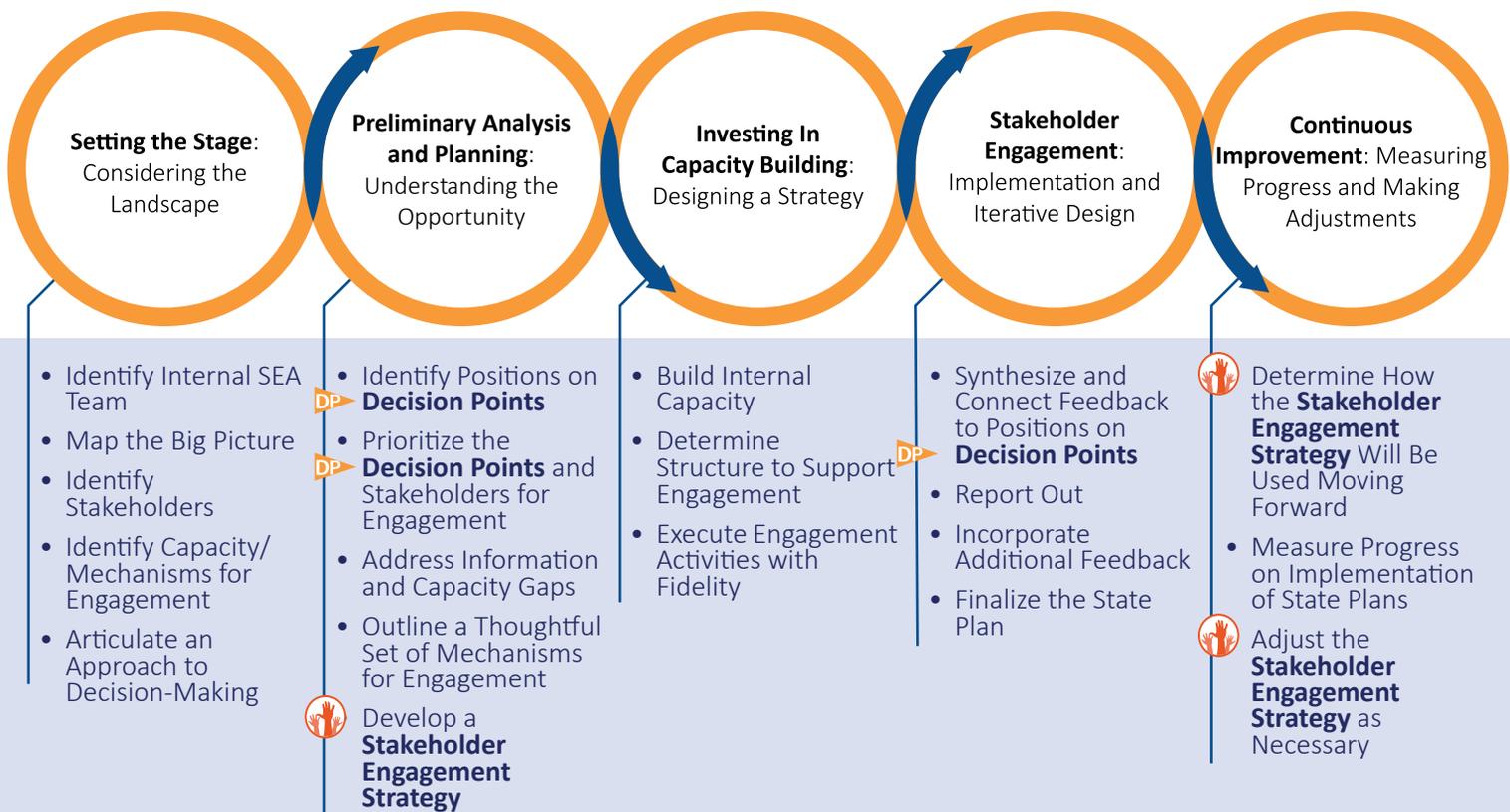
DP **Charter Schools:** Charter School Organization and Accountability

DP **Early Childhood Education:** Early Childhood Education and Preschool Development Grants

DP **English Learners:** Identification, English Language Proficiency Assessments, and Redesignation

Part B - A Framework for Building a Stakeholder Engagement Strategy in your State

The framework is designed to develop a **SEA** Strategy for Stakeholder Engagement in your state. Part B of the Handbook includes key **?** Questions to consider throughout five stages of ongoing, iterative, and meaningful engagement, as well as **Do Now** activities and recommendations for meaningful action, and tips to **Keep in Mind** as you develop a strategy.



Part C - ESSA Stakeholder Engagement Requirements

This section of the Handbook lists explicit requirements for stakeholder engagement in ESSA by section, for reference.

Title I

Section 1005 – State Plans
Section 1006 – LEA Plans
Section 1202 – State Option to Conduct Assessment System Audit
Section 1204 – Innovative Assessment and Accountability Demonstration Authority
Section 1501 – Flexibility for Equitable Per-Pupil Funding

Title II

Section 2101 – Formula Grants to States
Section 2102 – Subgrants to LEAs

Title III

Section 3003 – English Language Acquisition, Language Enhancement, and Academic Achievement

Section 3115 – Subgrants to Eligible Entities

Section 3131 – National Professional Development Project

Title IV

Section 4106 – LEA Applications
Section 4203 – State Application
Section 4624 – Promise Neighborhoods
Section 4625 – Full Service Community Schools

Title VI

Section 6002 -- Indian education
Section 6003 -- Native Hawaiian education
Section 6004 -- Alaska Native education
Section 6005 -- Report on Native American language medium education
Section 6006 -- Report on responses to Indian student suicides

Part D - Supporting Engagement Material: Tools and Resources

The final part of the Handbook contains tools, resources, and templates for SEA to use as they build their  Stakeholder Engagement Strategy for ESSA implementation, and will be updated over time as more become available.

- [Timeline for Implementation of ESSA](#), EducationCounsel, LLC
- [Incorporating Stakeholder Feedback—Discussion Planning, Recording, and Summary Forms](#), Center for Great Teachers and Leaders at the American Institutes for Research
- [Parent and Family Engagement Provisions in the Every Student Succeeds Act](#), The Leadership Conference on Civil and Human Rights
- [Stakeholder Engagement Strategy Sample Matrix](#), Partners for Each and Every Child
- [Stakeholder Engagement Timeline 2016-2017](#), Partners for Each and Every Child

We'd like to extend a special thanks to our Partners and friends who have contributed to the production of this document:

- American Federation of Teachers
- Alliance for Excellent Education
- Center on Great Teachers and Leaders
- Coalition for Community Schools
- Council of Chief State School Officers
- EducationCounsel, LLC
- Learning Policy Institute
- Mexican American Legal Defense and Educational Fund
- National Education Association
- National Urban League
- Ounce of Prevention
- Southern Education Foundation



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A Handbook for Engagement: Introduction

We hope that this Handbook serves as an ongoing, valuable resource for states, and as encouragement to develop and strengthen comprehensive systems for comprehensive systems for continuous improvement with support from a diverse set of local stakeholders.

Much of the language in the *Every Student Succeeds Act* (ESSA) – signed into law on December 10, 2015 by President Obama – implicates a fundamental understanding of education as a civil right. And to that end, equity is a fundamental goal of ESSA; that is, taking focused action toward the explicit goal of achieving excellent results for all students regardless of economic, social or cultural context. Because of wide and persistent disparities in equitable access to opportunity and educational attainment, **the stakes are high for our students, our teachers, our families, our schools, our democracy, and our economy.***

We know that in historically marginalized communities there is extraordinary need - and urgency - to change patterns of engagement. **The success and sustainability of efforts to improve educational excellence and equity, particularly with regard to our most vulnerable students and communities, requires robust and thoughtful partnership between and among federal, state, and local governmental agencies and stakeholders,** to address misconceptions, empower new voices, and ensure shared ownership for the reforms our schools need.

State education leaders will need to develop and strengthen a comprehensive system of accountability and improvement with support from local stakeholders: **civil rights organizations, family and community groups, teachers and educator groups, early learning advocates and providers, organized labor and education personnel, school board members, researchers and advocacy organizations, faith-based organizations, elected officials, student groups, teacher educators and others from higher education, health and social services, youth development organizations, and the business community.**

Each of the following **DP** **Key Decision Points** within the new law presents an opportunity for states to work with communities to design and implement an effective and equitable education system:

- DP** **Accountability:** Goals for Student Achievement; Accountability Indicators; N-Size, Report Cards and Data Reporting
- DP** **School Improvement Supports:** School Improvement Funding; Support and Improvement for Struggling Schools
- DP** **Assessment:** Assessment Audits
- DP** **English Learners:** Identification, English Language Proficiency Assessments, and Redesignation
- DP** **Innovative Pilots:** Innovative Assessment Pilot; Weighted Student Funding Pilot
- DP** **Teacher and Leader Quality:** Educator Equity; Teacher and Leader Evaluation Systems – Professional Development
- DP** **Charter Schools:** Charter School Organization and Accountability
- DP** **Early Childhood Education:** Early Childhood Education and Preschool Development Grants

*For more on why the stakes are high, why equity *must* drive accountability decisions, and how an examination of stakeholder engagement illustrates the need for efforts to be deliberate, strategic and ongoing, please see our brief, *The Case for Meaningful Stakeholder Engagement*.

Principles of a Systems Approach to High-Quality Stakeholder Engagement

The following principles should guide the development of a comprehensive and integrated system, so that stakeholder engagement is a seamless and indispensable component of the multiple stages and arenas of state policy development and implementation.

Hold  stakeholder engagement and the pursuit of equity and excellence as inseparable endeavors that must be practiced and reflected throughout the full decision-making and implementation process.

- ▶ **Create systemic structures and expectations** that embed stakeholder engagement throughout the policy planning process, in a regular and ongoing manner.
- ▶ **Prioritize more equitable outcomes for students throughout all policy and reform efforts**, taking into account both the immediate and cumulative impact of reforms on classrooms and school practice, and the improvement of key programs and activities.

Include diverse groups of stakeholders, with a commitment to engaging historically excluded voices. Such a commitment goes beyond a more diverse invite list, and considers the structures, norms, timelines, languages, etc. that may unintentionally elevate some voices over others.

- ▶ **Work with key community leaders and networks** to identify and prioritize opportunities for stakeholder engagement, not only to understand and identify program challenges, but also as part of decision-making processes on funding, accountability, supports, interventions, data reporting and assessment.
- ▶ **Assess local community histories, needs, and resources** to develop a map of stakeholders that considers their knowledge, background, and expertise to inform key decisions.
- ▶ **Invest in diverse channels and mechanisms** to build public awareness and solicit feedback. Actively engage and support stakeholders that best represent the demographic, geographic, language, and political diversity of the state and make up a cross-section of community perspectives and experiences.

Support  stakeholder engagement that is well-informed by developing and distributing necessary background information and by offering preliminary thoughts about key decision points and implications for program resource allocation, assessment and accountability.

- ▶ **Be intentional about making time and space** for learning and discussion among a diverse group of stakeholders throughout the process of designing, implementing, assessing, and refining reform efforts.
- ▶ **Engage communities** to review information and recommend and design improvements that reflect collaborative approaches towards building consensus.

Continued on the next page

Principles of a Systems Approach to High-Quality Stakeholder Engagement – *continued*

Focus on continuous improvement as an essential paradigm/framework for engagement, including reflection on key decisions and implementation, as well as on the stakeholder engagement process itself.

- ▶ **Commit to transparent, evidence-based decision-making** including establishing and following clear and consistent decision-making processes and timelines.
- ▶ **Establish a cycle of identifying opportunities for improvement,** taking action through planning and implementation, and assessing impact to inform next steps.
- ▶ **Determine how collaboration and engagement will inform an ongoing continuous improvement cycle** regarding state ESSA plans and related state policy; ensure that stakeholder engagement generates input and insight at key reflection and decision points.
- ▶ **Adapt strategies, allowing them to evolve** based on new data, information, needs, and resources; remain fluid and flexible in response to stakeholder input.

Seek to build consensus pragmatically; effective collaboration doesn't always mean full consensus.

- ▶ **Strive to find common ground,** be willing to work across political divides, and build on each other's expertise.
- ▶ **Commit to an understanding that the end product will result in some give-and-take** on all sides.

Roles

Building the capacity of state and local education agencies to advance evidence-based, equity-focused pragmatic change must be a priority. An informed and adaptive, accountable stakeholder community does not develop overnight, but does require attention and investment from multiple actors throughout the education policy ecosystem. An illustration of differentiated roles in the development of a comprehensive approach to stakeholder engagement is below:

State Education Agencies Promising Practice	US ED Promising Practice	Philanthropy Promising Practice	Advocacy Organizations Promising Practices
<p>Make a strategic assessment of:</p> <ul style="list-style-type: none"> • A statewide vision and implementation plan for the engagement process • Stakeholders to be engaged – who, what, where, how • Existing mechanisms for engagement as well as gaps, particularly re: traditionally marginalized communities • Internal structures for engagement, including staffing, budget, resources, timelines/ processes, and relevant partnership opportunities • Materials for engagement to support informed conversations 	<ul style="list-style-type: none"> • Clarify through guidance effective examples of “meaningful consultation” • Monitor and support – ensure engagement is early, ongoing, open and responsive • Offer technical assistance – offer supports and best practices for a comprehensive approach to policy making and implementation • Enforce regulations – emphasize transparency throughout the process, including measurable outcomes 	<p>Invest in strengthening dedicated public and private infrastructure and staff capacity, including support for:</p> <ul style="list-style-type: none"> • State Education Agency’s engagement process - through direct partnership; • US ED’s role in monitoring, supporting and assisting meaningful stakeholder engagement; • Other core partners and grantees’ efforts to engage in that process; and <p>Support evaluation and continuous improvement efforts.</p>	<ul style="list-style-type: none"> • Form alliances, coalitions and networks • Pool resources and find common ground • Help to inform stakeholders • Demand meaningful engagement that adheres to legal requirements and is executed in the spirit of continuous improvement • Take responsibility for ensuring a broad cross section of interests are represented
<i>For Additional Reference:</i>			
<p>See Part B of this Handbook; Also, see CCSSO’s Stakeholder Engagement Tool for examples of SEA engagement strategies. Also see the Center for Greater Teachers and Leaders at the American Institutes for Research (AIR)’s Moving Toward Equity - Stakeholder Engagement Guide.</p>	<p>In a letter to US ED, over 50 civil rights groups and aligned nonprofit organizations called for robust regulations on meaningful engagement in ESSA implementation. The letter can be found HERE. Also see the Sen. Murray, Rep. Scott letter to US ED urging “robust and multiple opportunities” to participate in ESSA implementation.</p>	<p>See the National Public Education Support Fund’s vision and values paper, which emphasizes the need for a collaborative system where diverse groups of actors work with policymakers to create and sustain educational excellence.</p>	<p>See The Ohio Standard Coalition for an example of a statewide coalition that brings together education, business, and community leaders committed to educational excellence and equity.</p>

Part A – Engaging with Key Decision Points in ESSA



This section outlines the  **Key Decision Points** in the ESSA* that serve as prime opportunities for engagement based on their high stakes implications for equity, and on the opportunity to shape state policy. In addition to the decision points below, key "Questions to Consider" are provided for SEA teams to address internally as part of the engagement preparation process. SEAs are encouraged to assess each  Key Decision Point carefully and use this guide, in conjunction with the **Framework in Part B**, to determine what key issues to prioritize for stakeholder engagement and how to do so. For a detailed comparison of all relevant sections of ESSA and NCLB, please refer to CCSSO's side-by-side analysis document.¹

Each of the following  **Key Decision Points** within the new law presents an opportunity for states to work with communities to design and implement an effective and equitable education system. These Key Decision Points represent areas that states have discretion to design and respond to as part of their accountability system. It is important to note that beyond these Key Decision Points, there are additional areas of the legislation that are required for all states to integrate into their plans.

-  **Accountability:** Goals for Student Achievement; Accountability Indicators; N-Size, Report Cards and Data Reporting
-  **School Improvement Supports:** School Improvement Funding; Support and Improvement for Struggling Schools
-  **Assessment:** Assessment Audits
-  **English Learners:** Identification, English Language Proficiency Assessments, and Redesignation
-  **Innovative Pilots:** Innovative Assessment Pilot; Weighted Student Funding Pilot
-  **Teacher and Leader Quality:** Educator Equity; Teacher and Leader Evaluation Systems – Professional Development
-  **Charter Schools:** Charter School Organization and Accountability
-  **Early Childhood Education:** Early Childhood Education and Preschool Development Grants

1. <http://www.ccsso.org/Documents/2016/ESSA/CCSSOComparisonofSelectElementsofESEA3.31.16.pdf>

*These decision points correspond to the ESSA requirements for stakeholder engagement enumerated in Part C.

**Note that references to "states" in this *Handbook* do not mean just the SEA, but include the governor's office, the state board of education, county and regional offices of education, etc. Capacity will need to be mobilized and developed inside- but even more urgently outside- the traditional institutions of the state.

KEY DECISION POINTS: Accountability

DP Goals for Student Achievement

States must set ambitious long-term goals with measurements of interim progress for student achievement in ELA and math (as measured by proficiency); high school graduation rates; and English language proficiency. The goals and interim progress measures must take into account evidence of making significant progress in closing proficiency and graduation rate gaps.

? Questions to Consider

- In what ways are the state's proposed goals and interim progress measures ambitious and achievable? What longitudinal or trend data was used to determine those goals and measures of progress?

DP Accountability Indicators

ESSA requires states to utilize a multiple-indicator accountability system that includes the performance of all students and each student subgroup in each indicator. The required accountability indicators are:

For elementary, middle and high schools:

- Achievement in ELA and math as measured by proficiency on statewide assessments*
- English language proficiency rates*
- *At least 1 additional indicator of school quality or student success that allows for meaningful differentiation in school performance, can be disaggregated, and is valid, reliable, statewide, and comparable (e.g., school discipline, chronic absenteeism)*

For elementary and middle schools:

- A measure of student growth or other academic indicator that allows for meaningful differentiation in school performance*

For high schools:

- 4-year graduation rate (in addition, states may use an extended-year graduation rate)*

**This indicator must carry "substantial" weight. In the aggregate, these indicators must carry "much greater weight" than the indicator(s) of school quality or student success.*

? Questions to Consider

- How do the academic achievement and graduation rates of student subgroups factor into the state accountability system? How is the performance of student subgroups (and any achievement gaps) transparently reported? How much weight does subgroup performance have in the summative rating that schools receive? What do these ratings mean, practically speaking? How do these overall ratings help to identify schools that need more support?
- Is your state thinking about creating rigorous accountability measures for the K-2 years?
- What is your understanding of the meaning and impact of the state's chosen indicator of school quality or student success? In what ways is the measure reliable or unreliable? Does it help present a more holistic and actionable picture of student achievement? Of school success?
- In addition to a summative score, what information on school performance will states provide to stakeholders? How will this information be disseminated? How might it be used by teachers, families, or community organizations? In an accountability system?

KEY DECISION POINTS: Accountability

DP N-Size

States must determine what minimum number of students will be needed for reporting on student subgroup performance for accountability purposes. The N-size must be the same for all subgroups and for all indicators, and states can no longer combine smaller subgroups of students into one larger group (e.g. a “super subgroup” comprised of the bottom 25% of students). SEAs are required under ESSA to engage with stakeholders to determine the state’s N-size.

? Questions to Consider

- Looking at longitudinal and trend data, what N-size is small enough to effectively include as many traditionally underserved students as possible in the accountability system while still protecting student privacy? How does that compare to the state’s chosen N-size? Which subgroups may not be captured under the state’s proposed N-size?
- How does the state’s N-size allow for meaningful reporting on the performance of traditionally underserved students? How does the current N-size aid/inhibit the tracking of progress over time?

DP Report Cards and Data Reporting

Annual state and district report cards are required under ESSA. The following are a subset of the information required to be included on state and district report cards:

- Long-term goals, measures of interim progress for all students and student subgroups, for all accountability indicators;
- Minimum number of students for subgroups (N-size);
- A system for meaningfully differentiating among schools based on student performance, including the indicators used, the specific weights applied, the criteria used to determine how schools are identified for - and exited from - *Comprehensive* and *Targeted Support & Improvement* status, and a list of the schools so identified (*see School Improvement Funding, page 9, for more on identifying schools for comprehensive and targeted intervention and support*);
- Performance of all students and student subgroups on annual assessments (ELA, mathematics, and science) disaggregated by: economic disadvantage; each major racial and ethnic group; gender; disability; English language learner (ELL) and migrant status; homeless; foster care; and military-connection;
- High school graduation rates, including the 4-year adjusted cohort graduation rate and the extended year rate;
- Educator equity: The professional qualifications of teachers overall and in high-poverty schools compared to low-poverty schools including the percentage of teachers who are inexperienced, teaching with emergency or provisional credentials, or who are not teaching in the field they are certified;
- Measures of school quality, climate, and safety, which may include data reported as part of the U.S. Department of Education’s Office for Civil Rights Data Collection; and
- Early childhood data: percent of students enrolled in preschool programs.

States will need to ensure that report cards are presented in an understandable and uniform format that is developed in consultation with parent and family stakeholders, and in a language parents and families can understand.

KEY DECISION POINTS: Accountability


Questions to Consider

- Describe the ways that the report card has been designed or modified so that it is easy to find and understand information about student, school, and district progress. How does it describe the state's long-term goals and interim measures of progress for all students and for each student subgroup? Does it describe or explain the types of supports available to schools/districts?
- Describe the ways that data on student performance is accessible to the public in a way that can be cross-tabulated by student race, gender, English proficiency status, and disability.
- Is the state report card available in an accessible format? In which languages is the state report card available so that it can effectively reach student households where English is not the primary language?
- Are measures of school quality, climate, and safety included and presented within the state report card in a way that is easy to understand? Are the data presented in ways that are meaningful and actionable?


Resources and Tools: Accountability
The Alliance for Excellent Education

- [Side-by-side](#) chart comparing accountability provisions in NCLB, NCLB waivers, and the Every Student Succeeds Act
- [ESSA One-Page Fact Sheet: Accountability](#)
- [ESSA One-Page Fact Sheet: Personalized Learning](#)
- [Data Dashboards: Accounting for What Matters](#)
- VIDEO: [Federal Flash: A Deep Dive on Accountability Provisions Within ESSA](#)
- [Ensuring Equity in ESSA: The Role of N-size in Subgroup Accountability](#)

Council of Chief State School Officers (CCSSO)

- [Critical Area Outline on Accountability](#)
- [Summary of Accountability Considerations in ESSA](#)
- [Memo on State Report Card Requirements](#)

The American Federation of Teachers (AFT)

- [Accountability Fact Sheet](#)

The National Education Association (NEA)

- ["Opportunity Dashboard" Indicator](#)

Thomas B. Fordham Institute (Fordham)

- [Implementing ESSA: What to expect in 2016](#)

Education Trust

- [What's in the Every Student Succeeds Act? – Accountability](#)

Ounce of Prevention Fund

- [Valuing the Early Years in State Accountability Systems Under the Every Student Succeeds Act](#)

KEY DECISION POINTS: Accountability



Resources and Tools: Accountability

US ED

- [Transitioning to the Every Student Succeeds Act \(ESSA\) – Frequently Asked Questions](#)

Learning Policy Institute

- [Redesigning School Accountability and Support: Progress in Pioneering States](#)
- [Pathways to New Accountability Through ESSA](#)

Center for American Progress

- [Implementing the Every Student Succeeds Act](#)

The Leadership Conference on Civil and Human Rights

- [Fact Sheet: Accountability](#)

KEY DECISION POINTS: School Improvement Supports

School Improvement Funding

States must use 7% of Title I allocations for school improvement activities. States will determine if these funds are distributed by formula or competitive grants.

States may use an additional 3% of Title I allocations for “direct student services,” in consultation with districts, including:

- Advanced Placement (AP), International Baccalaureate (IB), and other advanced coursework; career and technical education that leads to an industry-recognized credential;
- credit recovery programs;
- personalized learning; and
- transportation from *Comprehensive Support & Improvement* schools to higher performing schools.

Support and Improvement for Struggling Schools

1. Identification and Intervention: Comprehensive Support & Improvement Schools

At least once every three years, states must identify the lowest-performing 5% of Title I schools and high schools with graduation rates at or below 67% for comprehensive, locally-determined, evidence-based intervention. These schools have up to four years to meet state-set criteria that would allow them to exit *Comprehensive Support & Improvement* status. If the schools do not meet these criteria, they must implement more rigorous state-determined interventions.

Districts have the responsibility of developing improvement plans for these schools. They must be developed in consultation with local stakeholders and the plans must:

- be informed by all of the accountability indicators;
- be evidence-based;
- be based on a school-level needs assessment;
- be approved by the school, district, and state;
- be monitored and periodically reviewed by the state; and
- articulate strategies to remedy all identified resource inequities.

KEY DECISION POINTS: School Improvement Supports

2. Identification and Intervention: Targeted Support & Improvement Schools:

Annually, states must identify any school with any student subgroup that is “consistently underperforming” based on all indicators in the state accountability system. Those schools must receive targeted, locally-determined, evidence-based intervention. If implementation of targeted interventions is unsuccessful in improving student outcomes based on the indicators in the state accountability system, additional action may be taken after a number of years to be determined by the district.

Schools have the responsibility of developing improvement plans for these schools. They must be developed in consultation with local stakeholders and the plans must:

- be informed by accountability indicators;
- be evidence-based;
- be approved and monitored by the district;
- articulate strategies to remedy all identified resource inequities; and
- result in additional action for underperformance over a period of time determined by the district.

3. Identification and Intervention: Additional Targeted Support & Improvement Schools:

A school with a subgroup performing at the level of the lowest-performing 5% of all Title I schools, based on the state accountability system, must also be identified. These schools, in addition to meeting the requirements described above, must identify resource inequities - including, but not limited to, resources such as school textbooks and condition of buildings and facilities - and address how those inequities will be addressed through the implementation of its improvement plan. Such schools will be identified for *Comprehensive Support & Improvement* if they do not meet state-set exit criteria by a state-set time period.

See *Report Cards and Data Reporting*, page 7, for more on how these schools are publicly identified.



Questions to Consider

- How has the state decided to allocate school improvement funds to schools and districts? How does this differ from allocating state funds to schools and districts based on the quality of their improvement plans?
- Is the process by which schools are identified as needing Comprehensive Support and Improvement or Targeted Support and Improvement well-explained within the state accountability system?
- How and why has the state chosen to use its allowed 3% set-aside of its Title I allocation to fund direct student services?
- What does the state’s definition of “consistently underperforming” mean? How does this definition ensure that we will adequately support traditionally underserved students?
- Are the state-set timelines for exiting support and improvement status realistic for deep and meaningful school transformation? How do the timelines also reflect a sense of urgency for improving the education of students in those schools? What structures will the state put in place to support schools and encourage swift improvement?
- What evidence-based interventions is the state considering approving and what criteria for approval will the state use in accordance with ESSA?

KEY DECISION POINTS: School Improvement Supports



Resources and Tools: School Improvement Supports

CCSSO

- [Critical Area Outline on School Improvement Supports](#)
- [Summary of School Intervention Considerations](#)
- [Summary of "Evidence Based" under ESSA](#)

Learning Policy Institute

- [Evidence-Based Interventions: A Guide for States](#)

The Leadership Conference on Civil and Human Rights

- [Fact Sheet: Resource Equity](#)

KEY DECISION POINTS: Assessment

Student Assessment

States **must**:

- assess at least 95% of all students and include participation rates in the state accountability system;
- assess students annually in grades 3-8, and at least once in high school, in math and ELA, with science assessments required at least once in each grade span (3-5; 6-9; 10-12);
- not assess more than 1 percent of students using an alternate assessment for students with the most significant cognitive disabilities;
- make “every effort” to develop assessments in languages other than English that are present to a “significant extent” in its participating student population;
- use assessments that involve multiple up-to-date measures of student academic achievement, including measures that assess higher-order thinking skills and understanding, which may include measures of student academic growth and may be partially delivered in the form of portfolios, projects, or extended performance tasks; and
- use assessments that involve multiple up-to-date measures of student academic achievement, including measures that assess higher-order thinking skills and understanding, which may include measures of student academic growth and may be partially delivered in the form of portfolios, projects, or extended performance tasks; and
- comply with civil rights laws to provide appropriate accommodations when necessary.

States **may**:

- allow districts to use a locally-selected, nationally recognized high school assessment in place of the required statewide high school assessment;
- apply to implement an innovative assessment and accountability pilot, which may include the use of competency- or performance-based assessments that may be used in place of the annual statewide assessments (flexibility will only be afforded to up to 7 states, and a consortia not to exceed 4 states);
- use federal assessment funds to conduct audits of state and district assessment systems; and
- set a target limit on the aggregate amount of time spent on assessments.

See page 14 for more on the Innovative Assessment Pilot.

KEY DECISION POINTS: Assessment**? Questions to Consider**

- What is the state’s policy for including assessment participation rates in the state accountability plan? Are the policy and reason for assessment explained to schools, families, and community stakeholders in a way that is clear and meaningful? How will the state ensure that all students participate in the assessment?
- What steps has the state taken to provide assessments in languages other than English? How will the state know it has been effective in its efforts? What will the state do if there are gaps in student access to language-appropriate testing materials?
- What are the reasons that the state might allow districts to use an assessment other than the statewide assessment for high school students? If alternative assessments are used, how will the state ensure the validity and reliability of these assessments? How will alternate assessments be used within the accountability system?
- Which is more important to you? Having students spend less time taking assessments or using higher quality assessments that might take longer and provide richer information on how students are performing and being prepared for postsecondary education?
- What criteria will the state have in place for approving locally-selected, nationally recognized high school assessments? How will the state ensure that such assessments measure and encourage success among traditionally underserved populations?

 Resources and Tools: Assessment**Alliance for Excellent Education**

- [ESSA One-Page Fact Sheet: Assessments](#)
- VIDEO: [Federal Flash: A Deep Dive on Assessment Provisions Within ESSA](#)

CCSSO

- [Critical Area Outline on Assessment](#)
- [Summary of Standards and Assessment Considerations in ESSA](#)
- [Summary of Testing and Participation Considerations in ESSA](#)

AFT

- [ESSA One-Page Fact Sheet: Assessments](#)

EducationCounsel

- [ESSA: Opportunities and Risk in Assessment](#)

KEY DECISION POINTS: English Learners

DP Identification, English Language Proficiency Assessments, and Redesignation

Accountability for ELs is shifted to Title I, which increases funding opportunities and visibility for ELs. States must:

- include English language proficiency as an indicator in their accountability systems;
- annually assess and report English language proficiency, and students who have not attained English proficiency within 5 years of identification as an EL;
- clarify a standardized process for classifying ELs and re-designating students as English language proficient; and disaggregate ELs with a disability from ELs in general.

States have two options regarding timing for assessing ELs:

- Include test scores after they have been in the country 1 year (consistent with NCLB); OR
- Refrain from counting EL test scores in a school's rating in their first year, but require ELs to take both math and ELA assessments and publicly report the results.

In order to receive Title III funding to support EL programs, state and district plans must explicitly include parent, family, and community stakeholder engagement as part of their EL strategy, and develop implementation plans with all state stakeholders.

? Questions to Consider

- What is the state's current policy on the identification, assessment, and redesignation of English learners? How will this policy be different or improved under ESSA? How will districts and schools be supported during the transition to a new policy?
- How will the state assess the impact and effectiveness of any changes to statewide entrance and exit procedures for English Learners? How will this analysis guide continuous improvement efforts?
- How will policies on identification, assessment and redesignation of English learners be clearly communicated to schools, families and community stakeholders? Who will be responsible for supporting districts and schools to ensure that families and communities are actively engaged and informed? How will their feedback inform continuous improvement efforts?

🔍 Resources and Tools: English Learners**CCSSO**

- [Critical Area Outline on English Learners](#)
- [Summary of English Learners Considerations in ESSA](#)
- [Major Provisions of ESSA: ELs - Webinar PowerPoint](#)

AFT

- [ELL Fact Sheet](#)

National Council of La Raza (NCLR)

- Webinar: [What ESSA means for the Latino Community](#)

Colorin Colorado

- [What Does ESSA Mean for ELLs?](#)

KEY DECISION POINTS: Innovative Pilots

DP Innovative Assessment Pilot

Innovative Assessment/Accountability pilot criteria:

- Participating states may pursue a variety of innovations, e.g., entirely performance- or competency-based.
- Participants may begin with a subset of districts, but the system must eventually apply statewide. Results must be included in the state accountability system and publically reported.

If states apply for the Innovative Assessment pilot, the design and implementation plans should be developed in consultation with state stakeholders representing students with disabilities, English learners, and other vulnerable children. States will need to specify how parents can learn about the system at the beginning of each year of implementation, and engage and support teachers in developing and scoring assessments that are part of the innovative assessment system.

? Questions to Consider

- What is the state's policy for identifying and supporting low-performing students and schools under the pilot? How have the perspectives and experiences of students, parents, teachers, and community stakeholders informed the state policy?
- What review processes and safeguards will ensure competency-based education and/or other innovative assessments are encouraging progress toward college and career readiness among traditionally underrepresented populations?

DP Weighted Student Funding Pilot

The new law includes funding for a new Weighted Student Funding (WSF) pilot: 50 school districts working to improve school finance systems, including system evaluation.

A full assessment of whether applying for the WSF pilot is feasible should be conducted in each state, with the input and engagement of multiple stakeholder groups. Districts that apply should develop their proposal with the input of stakeholders, including teachers, principals, other school leaders, administrators of federal programs impacted by the agreement, parents, and community leaders.



Resources and Tools: Innovative Pilots

CCSSO

- [Decision Tree for Innovative Assessment](#)
- [Critical Area Outline on Innovative Assessment Pilots](#)
- [Summary of Innovation Considerations in ESSA](#)

NEA

- [Weighted Student Funding Formula Fact Sheet](#)

EducationCounsel

- [ESSA: Opportunities and Risk in Assessment](#)

KEY DECISION POINTS: Teachers and Leaders

DP Educator Equity

States no longer need to define and track High-Quality Teachers (HQTs), but states must develop, report and share plans describing how they will identify and address educator equity disparities that result in poor and minority students being taught by ineffective, inexperienced, or out-of-field teachers at higher rates than other students.

States must collect and publicly report data on these critical resource disparities and describe the metrics used to determine the disparities. States must also report on, where available, the annual retention rates of effective and ineffective teachers, principals, and other school leaders.

States **may** use federal professional development funds to increase access to effective teachers for students from low-income families and students of color.

Districts must describe how they will identify and address educator equity, and must have mechanisms to notify parents regarding the professional qualifications of their child's teacher.

Title II funding allocations, specifically meant to support recruiting, preparing, and developing high-quality teachers and principals, require state and local districts to work with stakeholders to assess, develop, and refine strategies to meet the state's goals around high-quality teachers and school leaders.

DP Teacher and Leader Evaluation Systems – Professional Development

States are not required to have teacher and leader evaluation systems. States may use federal professional development funds and Teacher and School Leader Incentive Fund competitive grants to implement teacher and leader evaluation systems based on student achievement, growth, and multiple measures of performance, and to inform professional development.

? Questions to Consider

- How are students with disabilities and English learners included in state efforts to increase student access to well-prepared and effective teachers? What additional or different supports are needed to meet the distinct needs of these groups, and how are these supports funded?
- What are the state opportunities for early-career teachers to participate in residency, induction, and mentoring programs? Are these opportunities well known, accessible, and effective? Are there strong connections to high quality teacher and leader preparation programs?
- Has the state decided to implement, or not to implement, a teacher and leader evaluation system primarily based on student achievement? In addition to student achievement, what else is important to measure in a teacher evaluation system? What are the perspectives and rationales for that decision? If the state chooses a teacher evaluation system, how is that system connected to comprehensive professional learning and teacher professional development?
- What evidence-based actions around school leadership is the state taking to improve the distribution and quality of the teacher and leader workforce?
- In what ways will the state use school, teacher, and student data to assess the working conditions within each school, identify areas of improvement, and implement responsive improvement strategies? How will improvement strategies be funded and assessed?

KEY DECISION POINTS: Teachers and Leaders**Resources and Tools: Teacher and Leader Quality****Alliance for Excellent Education**

- [ESSA One-Page Fact Sheet: Teachers and School Leaders](#)
- VIDEO: [Five-Minute Federal Flash: Teacher and School Leader Provisions Within ESSA](#)

Center on Great Teachers and Leaders at AIR

- [Equitable Access Toolkit](#)
- [Implementation Playbook](#)
- [Innovation Station](#)
- [Additional tools and resources](#)

CCSSO

- [Critical Area Outline on Teacher and Leader Quality Summary of Teacher Preparation Considerations in ESSA](#)
- [Summary of Teacher Evaluation and Equity Considerations in ESSA](#)
- [Principles for Teacher Support and Evaluation Systems](#)

AFT

- [Title II Fact Sheet](#)
- [Moving Beyond Compliance: Lessons Learned from Teacher Development and Evaluation](#)

NEA

- [ESSA and Teacher Evaluation](#)

KEY DECISION POINTS: Charter Schools**DP Charter School Organization and Accountability**

All public schools are included in the state’s accountability system, including charter schools. States must:

- establish charter school authorization standards, which may include approving, monitoring and re-approving or revoking the authority of an authorized public chartering agency based on charter school performance in the areas of student achievement, student safety, financial and operational management, and compliance with all applicable statutes and regulations;
- ensure charter school annual reports include academic measures that are part of the state accountability system (4 academic, 1 additional indicator), as well as adjusted 4-year and extended cohort graduation rates, disaggregated by subgroups, including plans for intervention and supports; and
- provide assurance of equitable distribution of effective educators.

Charter applications must be developed in consultation with stakeholders.

KEY DECISION POINTS: Charter Schools

? Questions to Consider

- How has the state communicated with and engaged with stakeholders to reinforce that charter schools are included within the state accountability system? What kinds of additional oversight and supports are needed by existing charter schools?

🔍 Resources and Tools: Charter Schools

AFT

- [Charter School Fact Sheet](#)

NEA

- [Charter School Backgrounder](#)

KEY DECISION POINTS: Early Childhood Education

DP Early Childhood Education and the Preschool Development Grant

ESSA's provisions aim to promote:

- early learning coordination within communities;
- greater alignment with the early elementary grades; and
- early childhood education focused on capacity building for teachers, leaders, and other staff serving young children.

The new legislation includes a birth to 12th grade literacy initiative, and also includes early childhood metrics and accountability for Native American and Alaskan Native students, dual language learners, and children experiencing homelessness.

A new authorization has been created under ESSA for a Preschool Development Grant (PDG) program: Authorized at \$250M for FYs 2017-20. The PDG is jointly administered by the Department of Health and Human Services (HHS) and US ED. Funds can be used to develop, update, or implement a plan to increase collaboration or coordination among existing early childhood programs and participation of children from low-income families in high-quality early childhood programs. The Secretaries of HHS and US ED are restricted from prescribing early learning development guidelines, standards, specific assessments, and specific measures or indicators of quality early learning and care.

In addition to the stakeholder engagement required in the development and implementation of PDGs, school districts will need to determine whether they plan to use Title I funds for early childhood education more broadly. If so, their plans must describe the district strategy to support participating students' transition to local elementary schools. These decisions should be made with engagement of stakeholders, especially local early childhood and childcare experts.

Many of the titles in the new ESSA explicitly authorize the use of funds on early learning and provide examples of how that money might be spent. A critical piece of work for states is to provide guidance for each title on how that should best be done.

KEY DECISION POINTS: Early Childhood Education



Questions to Consider

- How will the SEA provide support and guidance to LEAs regarding how to best use Title I funds to strengthen early learning and K-12 linkages? Are there communication tools or networks that are regularly used by the early childhood community?
- What is the SEA's plan to ensure that student achievement is increased, and the equity/readiness gap is decreased, by prioritizing high quality early learning and early elementary experiences across the state? How is this plan for early childhood embedded in the state's accountability system? How will effectiveness or impact be assessed?
- How might the state best take advantage of a Preschool Development Grant?
- How does the SEA's strategy describe its efforts to support, coordinate, and integrate professional development opportunities, curricula, assessments, family engagement, and instructional practices between early learning and early elementary education? For principals, teachers, and other school leaders?
- How does early learning policy and accountability align with early intervention of specialized learning needs under IDEA?



Resources and Tools: Early Childhood Education

First Five Years Fund

- [Resources and Information on Early Childhood and ESSA](#)

Ounce of Prevention

- [Talking Points and Other Resources on Early Childhood and ESSA](#)

California Early Learning Advocates

- [ESSA State Plan Letter to Board of Education](#)

AFT

- [Early Childhood Fact Sheet](#)

Part B – A Framework for Building a Stakeholder Engagement Strategy in your State

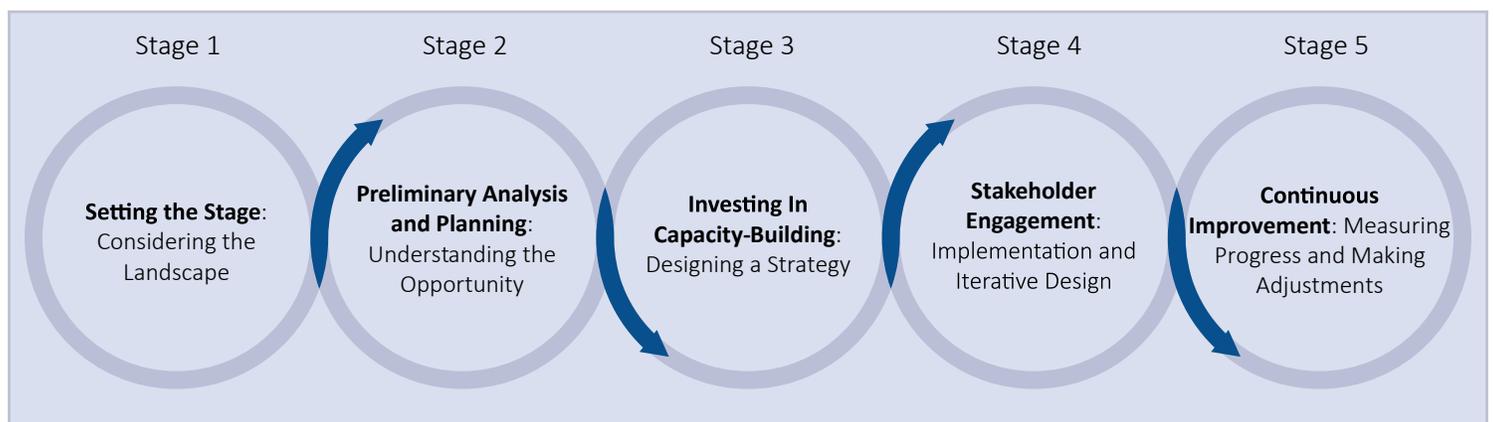
ESSA's frequent and consistent calls for stakeholder engagement marks a profound shift away from federal to local/state accountability, and encourages a new process of local democracy in public education and accountability.

This section of the *Handbook* builds off the “[Moving Toward Equity: Stakeholder Engagement Guide](#),” developed by the Center on Great Teachers and Leaders (GTL) at the American Institutes for Research, and the clear theory of action and framework that the GTL guide laid out to support inclusive and effective stakeholder engagement.

Our framework adapts the five sections of the guide to the context of ESSA and the **DP** **Key Decision Points** within the legislation in order to guide SEAs to develop a thoughtful, comprehensive, system-wide, and continuous improvement approach to meaningful **stakeholder engagement**.*

Additionally, this section of the *Handbook* incorporates the key principles articulated by US ED in a June 23, 2016 [guidance letter](#) on the importance and utility of stakeholder engagement throughout the transition to ESSA, and as the law is being implemented. As Secretary King and US ED recognized in that letter, meaningful stakeholder engagement depends on comprehensive identification of the stakeholders to be engaged, high-quality systems of engagement with multiple and ongoing opportunities for stakeholder input throughout policy development and implementation, and the removal of systemic barriers that could hinder meaningful and broad engagement.

Recognizing that each state's context is unique, this framework is not intended to be prescriptive. Rather, it is meant to promote brainstorming, discussion, reflection, and action by providing ideas and options for states. Accordingly, this framework is best reviewed together by teams of 2–3 state-level education leaders who are charged with designing an SEA's State Plan and engaging stakeholders in the process.



*CCSSO has produced a set of [engagement guidelines](#) for SEAs to consider as you implement your stakeholder engagement plans. As you go through the 5 stages below, it is important to apply these guidelines to your engagement process: <http://www.ccsso.org/Documents/2016/ESSA/GuideonESSAStakeholderOutreach.pdf>

Contents: Stages 1-5

▶ STAGE 1 – SETTING THE STAGE

- Step 1.1** – Identify an internal SEA team
- Step 1.2** – Create a big-picture map of  Key Decision Points for engagement
- Step 1.3** – Identify SEA roles and stakeholder groups
- Step 1.4** – Identify internal capacity and diverse mechanisms for stakeholder engagement
- Step 1.5** – Articulate an approach to decision-making

▶ STAGE 2 – PRELIMINARY ANALYSIS AND PLANNING

- Step 2.1** – Translate ESSA  Key Decision Points into concrete positions
- Step 2.2** – Prioritize the  Key Decision Points and stakeholders for engagement
- Step 2.3** – Address stakeholder information and capacity gaps to avoid their exclusion or to prevent disengagement
- Step 2.4** – Outline a thoughtful set of mechanisms to engage stakeholders
- Step 2.5** – Develop a  **Stakeholder Engagement Strategy**

▶ STAGE 3 – INVESTING IN CAPACITY-BUILDING

- Step 3.1** – Build the capacity of internal SEA staff (“internal stakeholders”)
- Step 3.2** – Determine the legal, regulatory, or organizational structure to support stakeholder engagement
- Step 3.3** – Ensure that engagement activities are executed with fidelity

▶ STAGE 4 – STAKEHOLDER ENGAGEMENT

- Step 4.1** – Synthesize the information received from stakeholders and connect it back to  Key Decision Points and positions
- Step 4.2** – Report out on synthesized information received during engagement
- Step 4.3** – Incorporate additional feedback received from stakeholders
- Step 4.4** – Finalize the State Plan for submission

▶ STAGE 5 – CONTINUOUS IMPROVEMENT

- Step 5.1** – Determine how the  **Stakeholder Engagement Strategy** will be used moving forward
- Step 5.2** – Measure progress on implementation of State Plans
- Step 5.3** – Adjust strategies as necessary based on ongoing feedback

STAGE 1 – SETTING THE STAGE: CONSIDERING THE LANDSCAPE

IDENTIFYING WHO & WHAT: KEY ISSUES, ROLES, AND STAKEHOLDERS

Stakeholder engagement is a commitment and a process that in order to be done well, incorporates dedicated leadership, thoughtful preparation, and adequate authority. Stage 1 is focused on gathering the initial building blocks needed for successful stakeholder engagement. Begin by identifying a team of key staff who will have the capacity and authority to develop and project-manage a comprehensive approach to stakeholder engagement. This team will be tasked with initial assessment and mapping of current and potential engagement opportunities, as well as having a preliminary understanding of the major areas of consensus and disagreement across a diverse group of perspectives. In addition, this team should have a clear understanding of the decision-making process with regards to a final State Plan, including implicated SEA departments, leadership roles, and areas that will require legislative passage. By “setting the stage,” the work of this team is a thoughtful starting point for discussion, not a predetermined road map about what should or shouldn’t be included in the  **Stakeholder Engagement Strategy**.

Step 1.1 – Identify an internal SEA team

Step 1.2 – Create a big-picture map of  Key Decision Points for engagement

Step 1.3 – Identify SEA roles and stakeholder groups

Step 1.4 – Identify internal capacity and diverse mechanisms for stakeholder engagement

Step 1.5 – Articulate an approach to decision-making

Step 1.1 – Identify an internal SEA team

? Questions to Consider

1.1

- Who is the primary internal SEA team (e.g. Offices of Federal Programs, Community Outreach, or a specific ESSA task force with members across offices or agencies) to drive a comprehensive process (project management) of ESSA design and stakeholder engagement?

1.1 Do Now:

Identify and communicate with this group at the beginning of the stakeholder engagement planning process to ensure that SEA staff have time to plan and prioritize the process and understand related expectations.

Step 1.2 – Create a big-picture map: Determine some of the key issues and decision points for engagement in the state

? Questions to Consider

1.2

- How does your state’s strategic plan (accountability), existing achievement gap(s), and accountability data inform the SEA’s understanding of equity priorities?
- How have these areas “landed” with key constituencies? Where are the areas of broad consensus? Major division?
- What are the areas within ESSA that speak to these issues?
- What is the level of understanding that internal SEA staff have about the  Key Decision Points and their stakeholder implications, including available background materials, overviews or guides to the law, etc.?

1.2 Do Now:

Engage in a thorough review of the  Key Decision Points in ESSA to ensure a clear understanding of the content areas and substantive points for engagement. **See Part A for an outline of these  Key Decision Points and resources for further information and context.**

1.2 Do Now:

See **Part A** for an outline of these  Key Decision Points and resources for further information and context, and refer to **Part D** for important questions for engagement, tools, and resources that can support state teams in SEA capacity-building around the issues.

Step 1.3 – Identify SEA Roles and Stakeholder Groups: Clarify SEA staff roles and responsibilities; Get a more diverse group of stakeholders to provide input

? Questions to Consider

1.3

- Who, within the SEA, is implicated in the issues and will need to share responsibility for meaningful stakeholder engagement? How have the roles and responsibilities around planning and development over specific areas of the law (including communication, materials development, visioning/planning, etc.) been determined internally at the state-level?
- For those groups that may need more background information to engage productively, have you provided this level of information (e.g. for student groups, families, the business community)?
- Do you think you have a good handle on key stakeholder groups in your state that represent a diverse group of stakeholders? And do you know how to reach them directly and/or have second-degree contacts who can reach them?
- Who are the stakeholders that you will engage in determining these issues? Ensuring that this is a diverse and inclusive set of outside stakeholders, which partners and stakeholders are you able to leverage to ensure that underrepresented stakeholders are included?
- Which stakeholders are most invested and involved in those issues?
 - Can you anticipate their interests, areas of consensus, and areas for further discussion?
 - Has there been a clear articulation of how their engagement impacts/influences decision-making?

✓ 1.3 Do Now:

Establish the systems that are in place at the SEA for engagement. Map the  Key Decision Points prioritized for engagement to the division/office at the agency responsible on the issue, and then the division/office responsible for executing engagement on the issue (what systems are in place). **See Table 1.3.1 for an example.**

💡 1.3 Keep in Mind

- Use the “snowflake model” to incorporate a more diverse set of stakeholders. This means when you’re meeting with one group – especially a group that you find is lacking representation – be sure to ask them for suggestions of 2-3 similarly situated organizations that can be brought into the engagement process.
- Do not exclude any stakeholder groups yet, regardless of whether you have good relationships with them or you’re unsure about their willingness to engage. Be open to the fact that your map of stakeholders will likely expand as you continue to engage.

💡 1.3 Keep in Mind

“Diversity” does not just include type of organization but also stakeholders that are also diverse geographically, linguistically, politically, and in thought and experience. A diverse stakeholder group should also include students who reflect the diversity of the system.

✓ 1.3 Do Now:

Develop a stakeholder map and brainstorm a list of stakeholder categories. Group stakeholders into categories and subgroups. Include in the stakeholder grouping a category that begins to identify  Key Decision Points they should be engaged on based on knowledge of their interests and/or level of focus (i.e. state, legislature, local). **See Table 1.3.2 for a sample map.**

Step 1.4 – Identify internal capacity and diverse mechanisms for stakeholder engagement

? Questions to Consider

1.4

- What are the internal agency resources and potential stakeholder networks and resources that can support an explicit  **Stakeholder Engagement Strategy**? Have resources and supports for the strategy been identified for previous policy efforts?
- Internally is there money and/or human capital dedicated to stakeholder engagement efforts in your state?
- Are there opportunities to engage with outside advocacy organizations or philanthropic dollars/leaders to help design and support the engagement process?

✓ 1.4 Do Now:

Assess both internal agency resources and potential stakeholder resources available for engagement in order to develop a thoughtful, realistic, effective  **Stakeholder Engagement Strategy**.

✓ 1.4 Do Now:

Work with the agency office responsible for budget and administration to determine the financial resources available to support engagement; determine what gaps, if any, need to be filled to support engagement.

✓ 1.4 Do Now:

Brainstorm ways to leverage relationships with existing stakeholders to co-brand engagement activity and share resource costs related to engagement (e.g., holding events at facilities owned/managed by different stakeholder groups; working with organizations that can provide childcare or simultaneous interpretation or translation of materials). Reach out to philanthropy and/or vendors regarding the  **Stakeholder Engagement Strategy** and request direct resources (i.e., facilities, event refreshments, materials costs, etc.) or financial support.

Step 1.5 – Articulate an approach to decision-making

? Questions to Consider

1.5

- Have you determined which parts of the State Plan require decision-making authority from what agency or entity in your state (e.g., state, legislature, governor's office, locals)?
- Have you developed a process map that identifies how, where, and when stakeholder engagement will factor into federal and state guidelines for Plan submission and implementation?

✓ 1.5 Do Now:

Develop a decision map of *who* in your state has authority to make decisions on *what* key issues being addressed in the State Plan to use as an internal guide when executing your stakeholder engagement efforts. **See Table 1.5.1 for a sample template.**

✓ 1.5 Do Now:

Develop a timeline that identifies important points in the State Plan development process in order to support internal development of a thorough  **Stakeholder Engagement Strategy**. **See Education Counsel's ESSA Implementation Stakeholder Engagement Timeline that highlights key dates and sample points for stakeholder engagement activity, Part D.**

STAGE 1 – Referenced Tables

Table 1.3.1

 Key Decision Point	Primary Role	Secondary Role
E.g. ELL Testing	Division of Teaching and Learning and Division of Talent and Performance (on vision, plan, materials development)	Division of Legal and External Affairs (on supporting communication to stakeholders via various mechanisms)

Table 1.3.2 - Using “Additional Accountability Indicator” as an example of a Key Decision Point

Stakeholder Category	Potential Stakeholder Groups (State/Local facing)	Potential Stakeholder Roles around Key Decision Point(s) <i>(areas of stakeholder capacity to further clarify SEA engagement and utilization of input from state and local actors)</i>
Civil Rights Organizations	<p>State: Organizations that expressly support or advocate for underserved students (students of color, low-income students, ELs, students with disabilities, e.g. State Conferences of the NAACP)</p> <p>Local: Local affiliates (e.g. Urban League affiliates), local alliances, school-based support centers/providers, youth development organizations</p>	<ul style="list-style-type: none"> Local organizations with the capacity to build knowledge of parent groups/networks around potential additional indicators and tools for measurement (including data collection). School-based out-of-school time or youth development providers that can provide insights into how potential indicators can be implemented in schools and districts, and potential mechanisms and tools. Civil rights organizations who have established working partnerships with research organizations and philanthropy to support the evaluation of potential indicators. Civil rights organizations to provide insight into indicator weights, the inclusion of subgroups in the accountability system, and time-lines for school improvement. Civil rights organizations to provide insight into indicator weights, the inclusion of subgroups in the accountability system, and time-lines for school improvement.
Educators	<p>State: National union affiliates, teacher networks, state union federations (e.g. Teacher Union Reform Network, Professional Association of Georgia Educators, Educators for Excellence)</p> <p>Local: Local union chapters, childcare providers, early learning practitioners, charter teacher alliances, teacher preparation programs, labor-management alliances</p>	<ul style="list-style-type: none"> Teacher networks and teacher preparation programs to provide significant insight into indicator weights, feasibility, and school-level utility. Local labor partners to communicate with constituents and communities about potential indicator(s).
Advocacy	<p>State: Grasstops organizations, education lobbying organizations</p> <p>Local: Community-based organizations (CBOs), families and family organizations, early learning advocates, students and student organizations, school-based personnel, community coalitions focused on public education</p>	<ul style="list-style-type: none"> School-based personnel to provide insight and ideas for how to best support data collection. Local organizations who have networks and channels to communicate with constituents and communities about potential indicator(s). Advocacy organizations who have existing partnerships with research/school-based personnel or organizations to support ongoing evaluation, information sharing, and continuous improvement.

STAGE 1 – Referenced Tables

CONTINUED - Table 1.3.2

Stakeholder Community	Examples of Stakeholder Groups (State/Local facing)	Key Decision Point(s) to Engage
Philanthropy	State & Local: Local, state and national-level foundations or collaborative organizations with interest in state, district, or policy-based funding	<ul style="list-style-type: none"> Aligning funders to provide support to fund ongoing evaluation and continuous improvement, implementation efforts, including professional development, data infrastructure, and data analysis.
Business Community	State & local: Corporations, health and social service providers, local business organizations, faith-based organizations, and GED and workforce programs	<ul style="list-style-type: none"> Local Chamber of Commerce to provide insight, support and advocacy for alignment with post-secondary readiness.
Higher Ed, Certification Programs, Research	State & Local: Accreditation institutions for K-12 and higher education, teacher certification programs, state university systems, historically black colleges and universities, postsecondary minority institutions, community college systems	<ul style="list-style-type: none"> Higher education to provide support to guide and implement ongoing evaluation and continuous improvement efforts, and support and advocacy for alignment with post-secondary readiness; teacher preparation programs to provide insight into pre-service teacher competencies and attitudes about potential indicators.
Professional Associations	State & Local: School boards, school business officials, school administrators, superintendents, principals	<ul style="list-style-type: none"> School boards to provide implementation support and capacity for communication with local constituents and communities. Superintendents and principals to provide insight and support into feasibility of implementation efforts with regard to methodology and data collection.
Elected Officials	State: Governor, state board members Local: Mayors, City/County Council members, school boards	<ul style="list-style-type: none"> City council members to leverage for communication channels and networks to reach local constituents and communities, and engage around accountability system changes and potential new indicators.
State Agencies	State & Local: Housing, Health/Human Services, Charter Management Operators (CMOs)	<ul style="list-style-type: none"> SEA partnerships with Health and Human Service departments to provide explicit support for collaboration efforts, partnerships, and implementation coordination across LEAs to ensure fidelity and consistency in data collection.
Local Agencies	State & Local: Districts, school leadership, mental and physical health providers (e.g. clinics, preventive health, teacher consultancies, trauma-informed), CMOs, alternative and transitional education providers	<ul style="list-style-type: none"> Local community collaboratives can provide support for collaboration efforts, partnerships, and coordination of implementation efforts by organizing joint professional development and implementation efforts.
Student Groups	State & Local: Youth and student groups that operate at the state and local levels	<ul style="list-style-type: none"> Students to provide valuable on-the-ground insights into key ESSA decision points such as assessment, ELs, high risk students, and teacher and leader quality; to provide student narratives that help define problems of practice and policy to inform conversations and next steps for SEAs; and to help ground conversations with a focus on the "end user", bringing together diverse and sometimes factious groups for a common purpose.

STAGE 1 – Referenced Tables

Table 1.5.1

 Key Decision Point	State Decision Maker	SEA Action
E.g. Goals for Student Achievement	Legislature	<i>e.g. SEA recommends legislation based on stakeholder feedback</i>
	SEA	<i>e.g. SEA takes appropriate regulatory action</i>
	Other agency	<i>e.g. SEA engages agency in its process and partners on response</i>
	Local actor	<i>e.g. SEA provides guidance to local actors of options and best practices</i>

STAGE 2 – PRELIMINARY ANALYSIS AND PLANNING: UNDERSTANDING THE OPPORTUNITY

DEVELOPING A DEEPER UNDERSTANDING OF PRIORITY ISSUES AND RELEVANT STAKEHOLDERS TO INFORM A THOUGHTFUL AND COMPLETE STRATEGY

Once your team has established the major building blocks, it's time to go deeper into the  Key Decision Points and what they mean for stakeholder engagement. That is, what are the decision points that you are likely to consider as part of ESSA development and implementation? Who needs to be engaged? What do they already know, and what new information can you anticipate they might need? Consider how you might tailor your outreach and support to make best use of each stakeholder group; not all stakeholder groups may want to weigh in on every issue. Also consider how you might provide a variety of mechanisms to support an ongoing conversation. This should take into account when and where to engage stakeholders, recognizing that what is “easiest” in terms of the SEA’s decision-making process may unintentionally marginalize voices who are unable to access traditional routes of communication and feedback.*

Step 2.1 – Translate ESSA  Key Decision Points into concrete positions

Step 2.2 – Prioritize the Key Decision Points and stakeholders for engagement

Step 2.3 – Address stakeholder information and capacity gaps to avoid their exclusion or to prevent disengagement

Step 2.4 – Outline a thoughtful set of mechanisms to engage stakeholders

Step 2.5 – Develop a **Stakeholder Engagement Strategy**

Step 2.1 – Translate ESSA decision points into concrete positions

? Questions to Consider

- 2.1
- Are you clear on the  Key Decision Points in the law and how they implicate stakeholder engagement? What do these inflection points mean for who to engage on specific issues? (e.g., ELL proficiency, additional accountability indicators, intervention plans)?

2.1 Keep in Mind

This exercise is suggested to build internal SEA capacity to support a more consistent and thorough engagement process, NOT to streamline or simplify stakeholder engagement in any way.

2.1 Do Now:

- Use the guidance in **Part A's**  Key Decision Points and consult with internal SEA staff to develop a sense of where the SEA is currently leaning on particular issues.
- Meet with a diverse set of stakeholders in order to best understand the issues and stakeholders from each of their perspectives and inform your positions on  Key Decision Points.

* See p. 18 of CCSSO's [Stakeholder Engagement Guide](#) for additional planning tools that can help inform your **stakeholder engagement strategy**.

2.1

- What complementary and/or concurrent systems/policy pieces would need to be in place in order to actually advance substantive change? For example, is there state legislation or education code that would need to be modified?
- After analyzing evidence-based research, state practice and policy, input from stakeholders, etc., have you come up with concrete positions on each of the relevant decision points that can serve as a grounding tool before/during/after engagement? (See Table 2.1 for an example that reflects how states might think about organizing  Key Decision Points and related positions)

 **2.1 Keep in Mind**

Be open-minded and objective about engagement goals – while using your discretion given capacity/resources/ importance – as additional areas for engagement may be added once conversations with stakeholders begin (e.g., issues related to ELs and bilingual education).

 **2.1 Keep in Mind**

Agency positions should NOT be considered fixed since that would defeat the purpose of engagement. The goal is to have policy grounding prior to receiving feedback, which will allow the agency to approach the engagement with a sense of direction and knowledge of stakeholders, and to facilitate a more thoughtful process, as well as efficient synthesis and consideration of feedback received.

Step 2.2 – Prioritize the issues and stakeholders for engagement



Questions to Consider

2.2

- Have you prioritized the issues and the related stakeholders for engagement in order to ensure that time, resources, and expectations are well managed?

 **2.2 Do Now:**

Determine decision points to prioritize for stakeholder engagement by assessing the issues based on a set of criteria, and then matching those issues determined as priority for the SEA to the appropriate stakeholders. Prioritization criteria (based on issues) may include:

-  the law requires stakeholder input and engagement, etc. (*high priority*)
-  new and unclear positions (*high priority*)
-  will have the most impact on underrepresented student populations in your state (*high priority*)
-  have been identified as hot button issues in the state (*high priority*)
-  are highly technical and require a certain level of expertise
-  have already undergone significant engagement in the state and will have minimal, if any, change under the new law
-  stakeholder positions are very clear (i.e., as a result of ongoing engagement, feedback shared to-date, etc.)

 **2.2 Keep in Mind**

- Going through the process of prioritization will also allow the agency to be more strategic in your approach to stakeholder engagement vs. allowing engagement to be led by considerations that are not strategic (e.g., the most vocal stakeholders, stakeholders that represent the “usual suspects,” etc).
- It is neither possible nor desirable to attempt to engage all stakeholders on all issues so take the time to establish the issue and stakeholder priorities for engagement that connect to the  Key Decision Points and objectives of the agency.

Step 2.3 – Address information and capacity gaps of stakeholders to ensure their inclusion and to prevent them from disengaging

? Questions to Consider

2.3

- Do stakeholders in the targeted areas have the capacity to engage effectively and act on that engagement?
- Has the SEA ensured that conversations with stakeholders will be grounded in data and evidence, and that relevant data and evidence will be provided to inform and promote stakeholder dialogue?

✓ 2.3 Do Now:

Gather relevant data to share with stakeholders. The following list provides a few places to begin your search for relevant data for your state:

- Your own state data office or officer is responsible for tracking information and can help you to examine which data are available and best practices for use.
- The Institute of Education Sciences provides a [Data Files and Tools web page](#), which includes links to research, education data, and analysis for all 50 states on a wide range of topics.

For more information about helping stakeholders to accurately analyze and understand data and its policy implications, see **“Tips for Reviewing Data With Stakeholders”** in Table 2.3.1.

✓ 2.3 Do Now:

Before engaging with stakeholders, provide materials that help to explain the issues being addressed, as this 'pre-reading' can increase background knowledge and comfort with important, relevant data. Pre-meeting communications should include the following:

- *Why* it is important to address the issues under consideration
- History and background on the issue
- The importance and purpose for developing and implementing **DP** Key Decision Points in the State Plan
- Past efforts to address the issue and lessons learned
- Definitions and clarifications regarding technical terminology. Some stakeholders will have greater familiarity with technical terminology than others, but it is always helpful to use plain and accessible language.

Additionally, ask participants if there are important issues that have been left out and should be included.

💡 2.3 Keep in Mind

Many educational issues involve complex concepts and terminology that may not be familiar to all stakeholders. It is important to gauge your audience's understanding of the key concepts before diving into the discussion. Before they can fully participate in the discussion, stakeholders will need to know:

- Background information
- Definitions of key terminology
- The issues and challenges

💡 2.3 Keep in Mind

- Wherever possible, the dialogue with stakeholders should be grounded in data and evidence (e.g. data on the scope of the issue at hand, data on interventions and their impact, and data on progress toward achieving the goals).
- Stakeholders likely have varying degrees of familiarity with the metrics and with data interpretation, and accessibility of and to the information is an essential consideration. Organizers should be mindful of cultural, linguistic, and disability barriers to understanding data.

Step 2.4 – Provide a thoughtful set of mechanisms to engage stakeholders

? Questions to Consider

2.4

- Are you aware of the best and/or most efficient way to communicate with the diverse set of stakeholders you would like to engage?
- Determine whether all possible mechanisms for communication and engagement have been considered, using internal capacity and seeking external support in order to effectively solicit input in each area.
- What have you found to be effective engagement mechanisms in your state?
- Do you have a plan for engagement activities in your state? For example, is your agency planning:
 - listening sessions;
 - input/comment periods; and/or
 - open State Board meetings on system design questions?

✓ 2.4 Do Now:

Identify all of the informal and formal communication vehicles *outside* of your state website, regional meetings, and a state “contact us” email account.

✓ 2.4 Do Now:

- Assess the mechanisms currently utilized by the state for engagement of different groups and consult with stakeholders around the types of engagement opportunities that might be utilized annually or more frequently.
- Identify effective engagement mechanisms by stakeholder group. **See Table 2.4.1** for examples of stakeholder engagement mechanisms and their potential benefits and pitfalls.

✓ 2.4 Do Now:

- Work with internal communications staff to ensure that the relevant systems are in place (current and operating) to execute the engagement. If you have a schedule of events, distribute it widely and make it accessible to a variety of audiences.
- Identify stakeholders that have their own networks and mechanisms that can be leveraged for communication and engagement. Think about what other groups are doing and how you can collaborate.
- Reach out to stakeholders on the list to support engagement through their mechanisms (e.g., if the state teacher’s union is on the list, set up time to discuss and request use of their email lists and/or website to communicate to members about engagement opportunities; if student groups are on the list, ensure that communications and outreach to those groups use language and timing that are most likely to engage students).

💡 2.4 Keep in Mind

- Even the most well-intentioned organizers and discussion facilitators can see their efforts go awry. There are some common mistakes that can be avoided to ensure that engagement is as authentic as possible. **See Table 2.4.2** to get an understanding of common pitfalls to avoid when executing your  **Stakeholder Engagement Strategy**.
- Be sure that you continue to reference, review, and update your  **Stakeholder Engagement Strategy** as you learn more about your stakeholders. Use this as an opportunity to approach engagement more efficiently by engaging multiple stakeholder groups on similar issues (vs. one-to-one which still may be necessary in some cases).

Step 2.5 – Develop a concrete Stakeholder Engagement Strategy

? Questions to Consider

2.5

- Who are the stakeholders you plan to engage, what are the specific issues to address, and what are the diverse mechanisms you will use to work together?

2.5 Do Now:

Bring together the **analyses in steps 2.1-2.4** to create a comprehensive matrix that maps stakeholders to mechanisms to decision points and issues. This matrix will be an explicit frame for your  **Stakeholder Engagement Strategy. Use the matrix as a tool to inform you about what stakeholders align to which issues. See sample Matrix, Part D.**

STAGE 2 – State Examples***Georgia:**

In developing its 2015 Educator Equity Plan, the Georgia Department of Education built a thorough outreach plan that incorporated public input sessions in 16 regional meetings throughout the state conducted by its Regional Education Service Agency (RESA). Stakeholder engagement around the plan was directly tied to the efforts already underway in the state and built upon the opportunities provided by the Race to the Top grant and the “Great Teachers and Leaders Project.”

Georgia’s thorough data analysis enabled it to rank regions by “variables of concern” around educator equity, and to identify specific districts where it needed to conduct additional root cause analyses (conducted via stakeholder meetings). While certain groups of stakeholders felt they received copies of the Plan with short turnaround time for feedback, the state was nevertheless proactive in not only sharing the plan, but creating mechanisms for incorporating stakeholder feedback, and envisioning mechanisms for continuing engagement, including the establishment of a “Virtual Advisory Group.”

In the case of Georgia, these initial data-informed stakeholder engagement efforts are only one component of a successful and sustained collaborative planning effort. With continued attention to the process and fidelity to implementation and reflection, robust engagement efforts may fulfill its potential to enact substantive change.

**California:**

Recently in California, persistent advocacy coalitions, a progressive state agency, and decades of research-based ideas came together in the redesign of school funding and accountability for dollars spent, with specific emphasis and “weighted” fiscal support for high-needs students, those in foster care, learning English, and living in poverty. The Local Control Funding Formula (LCFF) and its district-led accountability system design, the Local Control Accountability Plans (LCAPs), represented great promise for students and schools. With California districts having had two years of developing their LCAPs in consultation with stakeholders, and with the increased budget flexibility of a weighted student funding formula in the LCFF, the state and community groups are looking to an initial assessment of the impact the new accountability and funding system has had on high-need students. One recent study of implementation in LAUSD offers an important lesson. Despite organized and active equity-focused groups participating in local stakeholder engagement efforts, budget analysis of LCAPs found that only 18% of the \$820 million (or \$145 million) in additional funding was actually set aside for specific, targeted investment in high-needs students. Without articulating a clear relationship between identified student needs and possible programmatic responses, the district chose reinstating positions cut during the recession without assessing if those positions were aligned to priorities identified by the LCAP process.

The analysis found that without the guidance of a consistent equity framework, clarity of LCAP priorities, or evaluation metrics to ensure the prioritization of low-income and high-needs children throughout the decision-making process, even the most robust stakeholder engagement conversations around identifying needs had just begun to scratch the surface.

This example highlights the complexity of a comprehensive system of decision-making towards equity goals. Engaging community members, students, parents, and educators in conversations to understand the education and other program needs of high-need students is an important beginning. However, a comprehensive sequence of budget and resource allocation, goal setting and impact evaluation, and implementation fidelity at the school and district level require vigilant attention to more than just an inclusive needs assessment conversation, and then separately, implementation of services at the classroom level. Instead, an effective stakeholder engagement process calls into question an interconnected set of actions that provide a clear through-line between and across programmatic, budget, and resource decision-making.

* See [CCSSO’s Stakeholder Engagement Guide](#) for helpful examples about how states are using creative and diverse strategies as part of their stakeholder engagement efforts, including Wisconsin and Louisiana.

STAGE 2 – Referenced Tables

Table 2.3.1 - Helpful Tips When Engaging Stakeholders with Data

Method	Tips
Select the Most Relevant Data	To avoid overwhelming your stakeholders with massive data files, consider in advance which data will be most meaningful for particular stakeholder groups or particular meeting topics. Then determine if you will provide only these data or provide all data—with the most relevant data highlighted.
Invite Your Experts	Bring data leads to the meetings to answer questions about where and how the data are housed, how data security/privacy is maintained, and what data are or are not available and why.
Determine the Presentation of Data	On screen or hard copy? If presenting data on a screen, confirm in advance that the screen will be large enough for all participants to see the data easily. Otherwise, consider printed handouts or request that participants bring laptops to view the data online.
Make It Hands-On	Engage stakeholders in a task with the data to help them make sense of its meaning. This task may include electronic presentations of data that they can manipulate during the meeting.
Present More Than Just Averages	Particularly when data are on sensitive topics such as performance, participants may appreciate access to the full range of data.
Prepare for Concerns	Be prepared for push-back regarding the validity of different metrics. Develop responses in advance detailing how the SEA will address these data concerns. Ask if more or different data should be shared.
Provide Take-Home Information	Even if the data primarily are presented on screen, consider offering paper handouts as well, so participants can share with their friends and neighbors. Be sure to bring extra copies!
Anticipate Needs for Translation Services	Offer paper copies in other languages, or provide a translator for assistance.
Be Mindful of Participants' Special Needs	Ensure that all meeting spaces are compliant with the requirements of the Americans with Disabilities Act.

Table 2.4.1* - Examples of Poor Practices when Engaging Stakeholders

Examples of Poor Practices (What Not to Do)
Cross-talk: starting the conversation where leaders and experts are, rather than where participants are. Make sure participants understand [the issues at play] providing them with the essential facts they need to understand its complexities.
Expert speak: using jargon or unfamiliar concepts [such as student learning objectives, teacher attrition, or educator mobility, which may be second nature to some participants in the conversation but foreign to others]. This can be off-putting, so use plain, accessible language instead.
The data dump: providing more data than people need or can cope with for a given question and conversation. Instead, provide only the critical information that they need to grasp the issue's complexity and weigh the trade-offs.
Selling rather than engaging: coming in with 'the' answer and expecting participants to buy it. Instead, come with the problem and work on answers together.
Framing for persuasion, not deliberation: defining an issue to one's advantage in the hopes of getting an audience to do what you want. Instead, offer participants a range of options to choose from to jump-start their thinking.
Partisan facilitation: using facilitators who have, or are perceived to have, a stake in the issue. Recruit moderators and recorders who are trusted by participants as neutral and nonpartisan.
Presentations rather than dialogue: Leaving only limited time for dialogue because most of the meeting time was spent on presentations. Remember that presentations have their place, but engaging stakeholders is about ongoing two-way dialogue.

*Behrstock-Sherratt, E., Rizzolo, A., Laine, S., & Friedman, W. (2013). Everyone at the table: Engaging teachers in evaluation reform. San Francisco, CA: Jossey-Bass.

STAGE 2 – Referenced Tables - continued

Table 2.4.2 - Mechanisms for Engagement*

Method	Benefits	Pitfalls
<p>Online Engagement or Written Response through web-, written-, or email-based feedback or discussion.</p>	<ul style="list-style-type: none"> Reaches across distance and enables stakeholders to participate easily without attending meetings Helps to build a base of interested stakeholders for further engagement <p>Examples include: <i>multi-way web based discussion/bulletin board, web forms for one way feedback, email discussions, real-time question and answer sessions (e.g. during a webinar), wikis (collaborative writing programs), rooms as online focus groups, web-based or written surveys, requests for information, or polls.</i></p>	<ul style="list-style-type: none"> All stakeholders may not have access to the required technology or language. Can be difficult to determine whether respondents represent the breadth of stakeholders such that results may not be statistically valid. Internet-based dialogue does not tend to be very good at reaching consensus. Time limitations require additional or ongoing outreach.
<p>Mass Surveys of whole stakeholder groups (e.g. superintendents) or of a representative sample (e.g. school based personnel) conducted online, by telephone, or in-person.</p>	<ul style="list-style-type: none"> Can be simple or complex, formal or informal Can provide statistically valid overview information (avoids the problem of engaging with self-selected stakeholders) 	<ul style="list-style-type: none"> Can get expensive and data heavy This "one-way" communication does not directly contribute to building trust or developing consensus. Findings/final input can be lost without intentional feedback back to participants.
<p>Focus Group or Small Group Meeting to elicit feedback on a particular issue, typically facilitated or monitored by a third party.</p>	<ul style="list-style-type: none"> Effective and flexible means to obtain feedback on diverse issues with a breadth of stakeholder viewpoints 	<ul style="list-style-type: none"> The number of people involved in a focus group cannot be considered as a representative sample and careful selection of representatives is important.
<p>Large Scale Public Meetings or Multi-Stakeholder Forum (open to the public, representatives of different stakeholder groups, or invitation-only) for dissemination of information, the sharing of opinions, and discussion; as either one-off or ongoing dialogue focused around an issue of mutual concern.</p>	<ul style="list-style-type: none"> Flexible facilitation (SEA or/with third-party/stakeholders) Involvement of partners that stakeholders trust can help to attract participants and ease the conversation Well suited for localized impact or decision-making Depending on meeting design, can allow for relationship building over complex issues <p>Additional or in-meeting options for more meaningful input include: <i>workshop sessions, role play, consensus building sessions, fishbowl/circle-styles, world café or break-out methods, design charrettes, open space technology, roundtable discussion.</i></p>	<ul style="list-style-type: none"> Not an ideal space for discussion of controversial issues or large-scale decision making; traditional public hearings can encourage a "them and us" feeling and don't necessarily promote constructive discussion. Geographic location can limit participation. Potential tension between wide inclusion and managing to go beyond being a 'talking shop' or input-only to real action.

*Adapted from [AccountAbility](#), the United Nations Environment Programme, and Stakeholder Research Associates, pages 100-107

STAGE 2 – Referenced Tables - continued

CONTINUED - Table 2.4.2

Method	Benefits	Pitfalls
<p>Direct Involvement (Commission) of Stakeholder Experts in investigating issues, drafting reports and policies or collaborating with the SEA to do so.</p>	<ul style="list-style-type: none"> • Can help build the capacity of local or state education agencies to include more specialized or direct-service expertise • Meaningful partnerships lead to fostering relationships for building further consensus and ongoing engagement efforts 	<ul style="list-style-type: none"> • Involves significant time commitment for stakeholders/experts. • May need to be paid (noting perceived independence) and transparency is key. • Need to ensure translation into action – output cannot just be on paper.
<p>Stakeholder Advisory Panels invited to offer advice and comments on a particular project or ongoing set of issues.</p>	<ul style="list-style-type: none"> • Clear roles of stakeholder groups (as individuals or representatives of their constituent groups) will allow for different forms of consensus • Good way to address complex or long-term decision-making and build consensus over time 	<ul style="list-style-type: none"> • Involves significant time commitment from stakeholders/experts. • Difficult to ensure good balance of stakeholder representation, and without it outcomes can be unreliable.
<p>Multi-stakeholder Alliances, Partnerships, Voluntary Initiatives, or Joint Projects that include a variety of commitments by individual members to achieve objectives that go beyond existing regulations, but which can also take the form of regulation, policy, or informal action agreements.</p>	<ul style="list-style-type: none"> • Even without shared goals or values, partners can work together to achieve specific shared objectives <p>Steps for developing effective objectives/product:</p> <ol style="list-style-type: none"> 1. Gather information; 2. Hold preliminary discussions with major stakeholders; 3. Create a working group; 4. Preliminary draft developed by one or more parties; 5. Consultations on preliminary draft with the larger group (and potentially a wider audience); 6. Publication and dissemination; 7. Implementation; 8. Ongoing review 	<ul style="list-style-type: none"> • While often catalyzed by a single partner, in order to become durable and embedded within the organizations involved, partnerships need to develop a more formal structure and governance process. • Inflexibility on the part of the partners or the group make-up can stagnate processes.

STAGE 3 – INVESTING IN CAPACITY-BUILDING FOR MEANINGFUL STAKEHOLDER ENGAGEMENT: DESIGNING A SYSTEMIC STRATEGY

ENSURING THAT THE SEA IS ABLE TO UNDERSTAND AND RESPOND TO STAKEHOLDERS IN AN INFORMED, COHERENT, AND CONSISTENT MANNER

Stage 3 focuses on supporting internal SEA staff to understand their individual and collective roles and responsibilities in engaging stakeholders in a constructive dialogue. Reaching consensus across a diverse group of perspectives is always more challenging than unilateral decision-making. However, in the case of the development and implementation of your SEA’s accountability plan, engagement is essential to ensure buy-in, support, and shared accountability. And while SEA leadership and staff might value the ideas of engagement, additional guidance may be helpful to ensure that there is the readiness, willingness, staff and program resources, culture, and leadership capacity to support a comprehensive  **Stakeholder Engagement Strategy**.

Step 3.1 – Build the capacity of internal SEA staff (“Internal stakeholders”)

Step 3.2 – Determine the legal, regulatory, or organizational structure to support stakeholder engagement

Step 3.3 – Ensure that engagement activities are executed with fidelity

Step 3.1 – Build the capacity of internal SEA staff (“Internal stakeholders”)

? Questions to Consider

- 3.1
- Has internal SEA staff been informed about the engagement plan and process in advance of external stakeholders?
 - Is there a plan to keep internal staff informed and updated on the progress and development of the State Plan, in a consistent and ongoing fashion?
 - Has internal staff been engaged not only about substantive areas of the law, but also about the external stakeholders they should reach out to for input on  Key Decision Points?

3.1 Keep in Mind

Plan to keep internal staff informed of updates via the internal agency mechanism in place for ongoing communication (e.g., internal newsletter, update emails, Lunch & Learn sessions, etc.).

3.1 Keep in Mind

Ensure the sustainability of your plan by prioritizing internal SEA staff with as much consideration as external stakeholders. Do this by informing and engaging staff early and often in a purposeful and consistent manner.

3.1 Do Now:

- Once you come up with the  **Stakeholder Engagement Strategy**, convene internal agency leadership and staff to share.
- Have specific questions for internal staff when sharing the  **Stakeholder Engagement Strategy** such as “are you aware of any key areas that are missing?” and “are there any stakeholders that we didn’t consider?”

Step 3.2 – Determine the legal, regulatory, or organizational structure to support stakeholder engagement

? Questions to Consider

3.2

- Has the SEA determined the legal, regulatory, or organizational infrastructure that can be used as additional guidance to support implementation of stakeholder engagement efforts?

✓ 3.2 Do Now:

Find areas in the state accountability system, legislation, education code, grants, program development, or SEA strategic plan that currently include provisions for engagement that can be built upon or used as guidance for ESSA implementation.

Step 3.3 – Ensure that engagement activities are executed with fidelity

? Questions to Consider

3.3

- How has the SEA carefully designed each engagement activity, and targeted that design to the relevant audience and goals around engagement?
- Does your SEA have an example of a stakeholder engagement success story? Was it an unlikely outcome? What influenced the course of the decision-making? What was "unexpected" in the process?

✓ 3.3 Do Now:

- Plan out each engagement activity with careful attention to who you are targeting, how you want to reach them to receive input, and what the most effective way for soliciting that input is. **See Table 3.3.1** for a sample set of engagement questions and considerations.
- Referencing the  **Stakeholder Engagement Strategy** frame (Stage 2.5), use **Table 3.3.1** to serve as a check on whether planned activity has been carefully designed and appropriately targeted.

💡 3.3 Keep in Mind

Pay attention to important facilitation, engagement and project management skills to ensure that the appropriate SEA staff take part in the engagement; also positive personal characteristics (e.g., motivation, creativity), ability to execute engagement techniques, deep familiarity with content areas, and credibility.

STAGE 3 – State Example



Step 3.2: California

Prior to ESSA, one of the requirements for the ESEA flexibility waiver approval stipulated consultation and feedback on the design of the waiver from interested stakeholders, including teachers, students, parents, community based organizations, civil rights organizations, organizations representing students with disabilities and English Learners, business organizations and Indian tribes. In California, a consortium of school districts, representing over a million students, came together to form a learning cooperative called the California Office to Reform Education (CORE) whose federal waiver proposal highlighted shared learning and responsibility for student achievement. Of particular note was the design of a new accountability structure that recognized the importance of factors beyond academic preparedness, and included multiple measures of student success in social emotional learning, as well as culture and climate. As part of the waiver’s stakeholder engagement commitment, each participating District was supported to engage a diverse group of educator and community representatives to not only understand the foundational elements of the Waiver, but also to provide feedback on the “weighted” design of the Index and the components therein.

STAGE 3 – Referenced Tables

Table 3.3.1 -  Stakeholder Engagement Strategy Design and Targeting

SEA and Stakeholder Objectives	Stakeholder Profiles	Relationship Context	Issue Context
<ul style="list-style-type: none"> Does your strategy help us to establish the kind of stakeholder relationships that we want to foster? Will it generate the qualitative or quantitative information that we need to develop the state plan? Do we have sufficient resources and time for applying this method/mix of methods? 	<ul style="list-style-type: none"> Does it work for the stakeholders that we want to engage with? Considering the stakeholders’ geography and transit accessibility, is it suitable for their current location? Does it suit the stakeholders’ current level of awareness and understanding? What practical issues need to be considered and addressed in order to make the engagement accessible/attractive to them? 	<ul style="list-style-type: none"> Do we currently have a relationship with these stakeholders that makes this approach feasible and relevant? Have we known the stakeholders long enough? Is it suitable for the number of people we need to engage with? 	<ul style="list-style-type: none"> Is it appropriate given the specific nature of the decision point(s) at issue (e.g., technical vs. non-technical, hot button vs. "amicable," new vs. status quo)? Is the issue too sensitive for this approach? Does it match with existing policy or legislative requirements that apply to the stakeholder group or issue? If the issue requires multi-stakeholder involvement, does this approach work?

STAGE 4 – STAKEHOLDER ENGAGEMENT: IMPLEMENTATION AND ITERATIVE DESIGN

ENSURING THAT THE SEA RESPONDS ADEQUATELY TO STAKEHOLDERS; CONFIRMING/ VALIDATING SEA UNDERSTANDING OF THE IMPORTANCE OF THE ISSUES TO STAKEHOLDERS; SUBMITTING THE FINAL PLAN

Stage 4 involves the process by which SEA departments will report back to stakeholder communities. Getting feedback from diverse stakeholder groups is just one step in refining and strengthening the State Plan. SEA staff should follow a transparent process that articulates how feedback is being used to inform and guide potential policy. SEAs should consider sharing feedback across stakeholder groups to support opportunities to understand the full spectrum of perspectives and interests that are relevant to each of the ESSA  Key Decision Points, and ultimately incorporate those into the submission of the State Plan.

Step 4.1 – Synthesize the information received from stakeholders and connect it back to  Key Decision Points and positions

Step 4.2 – Report out on synthesized information received during engagement

Step 4.3 – Incorporate additional feedback received from stakeholders

Step 4.4 – Finalize the State Plan for submission

Step 4.1 – Synthesize the information received from stakeholders and connect it back to Key Decision Points and positions

? Questions to Consider

4.1

- Does the SEA have a plan to effectively capture the information obtained through engagement efforts (e.g., in person meetings, email feedback)?
- Has the SEA gone through a process of analyzing the feedback and determining what is feasible/viable/possible in the context of:
 - (1) *State positions on  Key Decision Points;*
 - (2) *Resources available for implementation;*
 - (3) *Legal, regulatory, or other constraints; and*
 - (4) *Other stakeholder considerations?*

4.1 Do Now

Organize and compile feedback received from stakeholders via each mechanism. Clearly identify what feedback was received from whom and on which issues. Develop an easy reference summary of feedback to use when analyzing SEA thoughts and considerations on the issues.

4.1 Do Now

- Refer back to the list of prioritized  Key Decision Points and related SEA positions on these issues. Work with relevant SEA staff to assess feedback received through engagement. Ensure that sufficient time is devoted to discuss feedback, including where gaps in input may exist.
- Develop a summary document for the SEA to report to stakeholders on the preliminary decisions made as a result of the stakeholder engagement process. **See “Supporting Engagement Material,” Part D**, for a resource provided by the Center on Great Teachers and Leaders at AIR that provides a worksheet for getting stakeholder feedback.

Step 4.2 – Report out on synthesized information received during engagement

? Questions to Consider

- 4.2
- Are you able to respond to, and learn from, stakeholders' concerns and opinions?
 - Has the SEA taken the synthesis of feedback, analyzed within the context of its positions on **DP** Key Decision Points, and come up with a document for feedback that reflects tentative decisions? For example, “here’s what we heard; here’s what we plan to do; please provide additional feedback.”
 - Does the SEAs synthesis of feedback include information from each key stakeholder group (e.g. students, parents, teachers, civil rights groups, etc.)?
 - Has the SEA come up with a plan for reporting out the tentative decisions made to stakeholders? For example, reporting via the state website and by sending to a state contacts listserv.

✓ 4.2 Do Now

Prepare a document that reflects preliminary decisions on **DP** Key Decision Points, the rationale for these decisions (including how stakeholder input was taken into account), and specific next steps. Tailor the document based on stakeholder target (e.g., parents, families, and communities; educators and administrators; unions and management associations; policymakers) and include opportunities for further input. Work with communications staff to ensure appropriate language, tone, and messaging.

💡 4.2 Keep in Mind

You must build in time to communicate back to stakeholders, prior to preparation of the preliminary state plan document, to clarify their input, ask questions, and address concerns.

Make sure that reporting mechanisms are accessible to the range of stakeholders for review.

Step 4.3 – Incorporate additional feedback received from stakeholders

? Questions to Consider

- 4.3
- Has a feedback loop been developed for your state plan once additional input is received?

✓ 4.3 Do Now

- Establish a limited number of additional feedback mechanisms (**see Table 3.3.1 for examples**) for stakeholders to respond to the preliminary State Plan. Ensure that someone at the SEA is tasked with monitoring and sharing feedback on an ongoing basis, internally and externally.
- Set a clear cut-off point for receiving and incorporating additional feedback into State Plan development; make sure to clearly articulate this to all stakeholders in advance.
- Gather and act on additional feedback received, as part of an iterative process of design.

Step 4.4– Finalize the State Plan for submission

? Questions to Consider

4.4

- Does the SEA feel confident that it has provided sufficient opportunity for a diverse set of stakeholder groups to provide input on the State Plan, prior to submission to US ED?
- Are there any final checks or areas for clarification - either internally or externally - that would serve to benefit the final draft of the plan prior to submission?
- **Submit the State Plan to US ED and share with state stakeholders via available communication channels.**

✓ 4.4 Do Now:

Go back to the original  **Stakeholder Engagement Strategy** and confirm that all stakeholders have been engaged at some point, ideally in an ongoing basis. If anyone has been (inadvertently) neglected in terms of input and/or communication, try to engage in more direct outreach to share the plan and give a final opportunity for feedback.

✓ 4.4 Do Now:

Share the plan internally so that agency staff have an opportunity to review prior to the official submission; provide an opportunity for staff to offer final input and address any questions/concerns.

STAGE 5 – CONTINUOUS IMPROVEMENT: MEASURING PROGRESS AND MAKING ADJUSTMENTS

MEASURING PROGRESS AND ADJUSTING STRATEGIES

Stage 5 walks through how SEAs might continue a conversation around opportunities for ongoing feedback on implementation, as well as related legislative and policy levers. While stakeholder engagement is embedded within several areas of ESSA accountability plan development, it is not something that stops once the plan is submitted. The last stage is focused on ensuring that SEA's leadership continues to regularly engage with stakeholders in multiple, two-way communication cycles. Staff reports and public comment can be one venue for continued conversation, but the same level of resource and time investment that you demonstrated in Steps 1 through 4 should be reflected in the months and years ahead. Specifically, stakeholder communities should be involved in measuring and assessing progress, learning which parts of the plan are working well, for whom, and why. In consideration of this feedback, the SEA should also proactively identify opportunities and timelines for formal revisions and refinements to the State Plan, as well as informal venues for continued discussion and information gathering.

Step 5.1 – Determine how the  **Stakeholder Engagement Strategy** will be used moving forward

Step 5.2 – Measure progress on implementation of State Plans

Step 5.3 – Adjust strategies as necessary based on ongoing feedback

Step 5.1 – Determine how the Stakeholder Engagement Strategy will be used moving forward

? Questions to Consider

5.1

- Has the SEA determined how the  **Stakeholder Engagement Strategy** will be used and implemented on an ongoing basis, beyond State Plan submission?

✓ 5.1 Do Now:

Establish a plan to monitor implementation of the State Plan on an ongoing basis, and with input and engagement of stakeholders, and commit to a continuous improvement process by establishing clear monitoring and evaluation mechanisms that allow the state to reassess and course correct based on the efficacy of implementation.

💡 5.1 Keep in Mind:

- SEA staff should maintain fidelity to ongoing feedback mechanisms outlined in the  **Stakeholder Engagement Strategy** to ensure inclusion of stakeholders, and their input, in implementation moving forward.
- As part of a process of continuous improvement, it is important to distribute the knowledge and best practices acquired during stakeholder engagement planning and execution to support LEAs in their respective stakeholder engagement efforts.

Step 5.2 – Measure progress on implementation of State Plans

? Questions to Consider

5.2

- Has the SEA facilitated a system of ongoing feedback by establishing two-way communication loops with stakeholders?
- Does the SEA have a plan to collect, analyze, share, and discuss interim measures of progress?
- Has the SEA established clear benchmarks and/or checkpoints for success?

✔ 5.2 Do Now:

Collect diverse stakeholder input including data, best practices, and actual feedback on which policies and practices are working, and which ones are not; analyze the information and engage in a continuous cycle of measuring progress and meeting established benchmarks of success.

Step 5.3 – Adjust strategies as necessary based on ongoing feedback

? Questions to Consider

5.3

- Has the SEA carefully analyzed the data and ongoing feedback received from stakeholders to determine when and where the State Plan strategies being implemented should be adjusted?

Part C — ESSA Stakeholder Engagement Requirements

The ESSA sections below highlight specific opportunities for engagement with various stakeholders in the state:*

Title I, Section 1111 – State Plans

- *Development*: Requirement that to receive grant funds plan must be developed by SEA with timely and meaningful consultation with the Governor, members of the State legislature and the State board of education, LEAs, representatives of Indian tribes located in the State, teachers, principals, other school leaders, charter school leaders, specialized instructional support personnel, paraprofessionals, administrators, other staff, and parents (Sec. 1111(a)(1)(A)).
- *Public Comment*: Requirement that each state shall make the State plan publicly available for comment for no less than 30 days. Must be available electronically in an easily accessible format. Must happen before submission of the plan to the Secretary. Assurances must be provided in the plan that this has taken place.
- *Determining ‘N’ size*: States must demonstrate how it determined N size, including how it collaborated with teachers, principals, other school leaders, parents, and other stakeholders when determining the minimum number (Sec. 1111(c)(3)(A)(ii)).
- *Comprehensive Support and Improvement Plans*: For each Comprehensive school identified by the state, and in partnership with stakeholders (i.e., parents, teachers, principals, school leaders) locally develop and implement a Comprehensive plan for the school to improve student outcomes (Sec. 1111(d)(1)(B)).
- *Targeted Support and Improvement Plans*: For each Targeted school identified by the district, and in partnership with stakeholders (i.e., parents, teachers, principals, school leaders), shall develop and implement school-level Targeted plans (Sec. 1111(d)(2)(B)).
- *Assurances – Parent/Family Engagement*: Each SEA plan shall include assurances that the SEA will support the collection and dissemination to LEAs and schools of effective parent and family engagement strategies, including those in the parent and family engagement policy under section 1116 (Sec. 1111(g)(2)(F)).
- *State Report Card*: Must be presented in an understandable and uniform format that is developed in consultation with parents, and to the extent practicable, in a language parents can understand (Sec. 1111(h)(1)(B)(ii)).

Title I, Section 1112 – LEA Plans

- *LEA subgrants*: May only be received by the LEA if it has on file with the SEA an SEA-approved plan that is developed with timely and meaningful consultation with teachers, principals, other school leaders, paraprofessionals, specialized instructional support personnel, and charter school leaders, administrators, other appropriate school personnel, and with parents of children in Title I schools (Sec. 1112(a)(1)(A)).
- *LEA plans*: In its plan, each LEA shall describe the strategy it will use to implement effective parent and family engagement under section 1116 ... and how teachers and school leaders, in consultation with parents, administrators, paraprofessionals, and specialized instructional support personnel, in schools operating a targeted assistance school program under section 1115, will identify the eligible children most in need of Title I services (Sec. 1112 (b)(9)).

* See page 24 of CCSSO's Stakeholder Engagement Tool for a chart of required stakeholders in SEA consultation by ESSA program

Title I, Section 1202 – State Option to Conduct Assessment System Audit

- *Application:* Applications for state assessment audit grants must include information on the stakeholder feedback the State will seek in designing the audit (Sec. 1202(d)(1)(B)).
- *State assessment system audit:* Each State assessment system audit shall include feedback on the system from stakeholders including, for example- how teachers, principals, other school leaders, and administrators use assessment data to improve and differentiate instruction; the timing of release of assessment data; the extent to which assessment data is presented in an accessible and understandable format for all stakeholders (Sec. 1202(e)(3)(C)).

Title I, Section 1204 – Innovative Assessment and Accountability Demonstration Authority

- *Application:* Applications for innovative assessments must demonstrate that the innovative assessment system will be developed in collaboration with stakeholders representing the interests of children with disabilities, English learners, and other vulnerable children; teachers, principals, and other school leaders; LEAs; parents; and civil rights organizations in the State (Sec. 1204(e)(2)(A)(v)). The application shall also include a description of how the SEA will inform parents about the system at the beginning of each year of implementation (Sec. 1204(e)(2)(B)(v)), and engage and support teachers in developing and scoring assessments that are part of the innovative assessment system (Sec. 1204(e)(2)(B)(v)).

Title I, Section 1501 – Flexibility for Equitable Per-Pupil Funding

- *Assurances:* LEAs interested in applying for the weighted student funding flexibility pilot shall include in the application an assurance that the LEA developed and will implement the pilot in collaboration with teachers, principals, other school leaders, administrators of Federal programs impacted by the agreement, parents, community leaders, and other relevant stakeholders (Sec. 1501(d)(1)(G)).

Title II, Section 2101 – Formula Grants to States

- *Application:* Each SEA shall meaningfully consult with teachers, principals, other school leaders, paraprofessionals, specialized instruction support personnel, charter school leaders, parents, community partners, and other organizations or partners with relevant and demonstrated expertise, and seek advice regarding how to best improve the State’s activities to meet the purpose of this title (Sec. 2101(d)(3)(A)).

Title II, Section 2102 – Subgrants to LEAs

- *Application:* In developing the application LEAs shall meaningfully consult with teachers, principals, other school leaders, paraprofessionals, specialized instructional support personnel, charter school leaders, parents, community partners, and other organizations or partners with relevant and demonstrated expertise and seek advice regarding how to best improve the State’s activities to meet the purpose of this title (Sec. 2102(b)(3)).

Title III, Section 3102 – English Language Acquisition, Language Enhancement, and Academic Achievement

- *Assurances:* SEA and specifically qualified agency plans must provide an assurance that the plan has been developed in consultation with LEAs, teachers, administrators of programs implemented under this subpart, parents of English learners, and other relevant stakeholders.

Title III, Section 3115 – Subgrants to Eligible Entities

- *Local Plans:* Local grants must describe how the eligible entity will promote parent, family, and community engagement in the education of English learners and contain assurances that the eligible entity consulted with teachers, researchers, school administrators, parents and family members, community members, public or private entities, and institutions of higher education in developing the plan.

Title III, Section 3131 – National Professional Development Project

- *Grant use:* Grants awarded under this section may be used to support strategies that strengthen and increase parent, family and community member engagement in the education of English learners (Sec. 3131(3)).

Title IV, Section 4106 – LEA Applications

- *Applications:* an LEA, or consortium of LEAs, shall develop its application through consultation with parents, teachers, principals, other school leaders, specialized instructional support personnel, students, community based organizations, local government representatives (including law enforcement, local juvenile court, local child welfare agency, or local public housing agency), Indian tribes or tribal organizations, charter school teachers, principals, and other school leaders, and others with relevant and demonstrated expertise in programs and activities designed to meet the purpose of this subpart. The LEA or consortium shall engage in continued consultation with the entities described above (Sec. 4106(c)(1)).

Title IV, Section 4203 – State Application

- *Applications:* SEAs shall submit an assurance that the application was developed in consultation and coordination with appropriate State officials, including the Chief State school officer, and other State agencies administering before and after school programs and activities, heads of the State health and mental health agencies or their designees, statewide after-school networks and representatives of teachers, LEAs, and community based organizations and a description of any other representatives of teachers, parents, students, or the business community that the State has selected to assist in the development of the application if applicable (Sec. 4203(a)(13)).

Title IV, Section 4624 – Promise Neighborhoods

- *Application:* Eligible entities desiring a grant under this part must include in their application an analysis of the needs assets of the neighborhood identified including a description of the process through which the needs analysis was produced including a description of how parents, families, and community members were engaged (Sec. 4624(a)(4)(B)), and an explanation of the process the eligible entity will use to establish and maintain family and community engagement including how a representative of the members of such neighborhood will be involved in the planning and implementation of the activities of each award granted (Sec. 4624(a)(9)(A)).

Title IV, Section 4625 – Full Service Community Schools

- *Grant awards:* in awarding grants under this subpart, the Secretary shall prioritize eligible entities that are consortiums comprised of a broad representation of stakeholders or consortiums demonstrating a history of effectiveness (Sec. 4625(b)(2)).

Title VI, Section 6111 – Programs for Indian, Native Hawaiian, and Alaska Native Students

- *Grant Applications:* the local educational agency will ensure that the program for which assistance is sought will be operated and evaluated in consultation with, and with the involvement of, parents and family members of the children, and representatives of the area, to be served (Sec. 6114(f)(3)(8)). The Secretary may approve an application submitted by an eligible applicant under this subsection if the application, including any documentation submitted with the application demonstrates that the eligible applicant has consulted with other education entities, if any, within the territorial jurisdiction of the applicant that will be affected by the activities to be conducted under the grant (Sec. 6132(c)(3)(A)) and provides for consultation with such other education entities in the operation and evaluation of the activities conducted under the grant (Sec. 6132(c)(3)(B)).

Part D — Supporting Engagement Material: Tools and Resources

EducationCounsel, LLC:

[Timeline for Implementation of ESSA](#)



Center for Great Teachers and Leaders at the American Institutes for Research:

[Incorporating Stakeholder Feedback—Discussion Planning, Recording, and Summary Forms](#)



The Leadership Conference on Civil and Human Rights

[Parent and Family Engagement Provisions in the Every Student Succeeds Act](#)



Partners for:

[Stakeholder Engagement Strategy Sample Matrix](#)



[Stakeholder Engagement Timeline 2016-2017](#)



More to come....



Partners for Each and Every Child (*Partners for*) is a collaborative nonpartisan network of education researchers, advocacy organizations, and policy experts who are committed to educational excellence for each and every child. The network grew out of the work of the Congressionally chartered national Commission for Equity and Excellence in Education.

The Partners *for* Network:*

National Network

Advancement Project-California
Alliance for Early Success
Alliance for Excellent Education
American Federation of Teachers
Annenberg Institute
Aspen Institute Ascend Program
Campaign for Educational Equity
Center for American Progress
Center for Law and Social Policy
Center for Tax and Budget Accountability
Center for Youth Wellness
Coalition for Community Schools
Council of Great City Schools
Education Resource Strategies
EducationCounsel, LLC
First Five Years Fund
Georgetown Center on Poverty and Inequality
The Leadership Conference on Civil and Human Rights
Learning Policy Institute
Mexican American Legal Defense and Education Fund
Migration Policy Institute
National Education Association
National Urban League
National Women's Law Center
Ounce of Prevention
Rural School and Community Trust
Schott Foundation for Public Education
Southern Education Foundation
Stanford Center for Opportunity Policy in Education
Zero to Three

State Networks

Advancement Project-California
Center for Tax and Budget Accountability
Claiborne County School District, Mississippi
Consortium for Educational Change
Greenville Public School District, Mississippi
Learning Policy Institute
Mississippi Conference of the NAACP
Mississippi Alliance of Black School Educators
Mississippi Center for Education Innovation
Mississippi Association of Educators
Ohio Federation of Teachers
The Ohio Standard
Ounce of Prevention
Southern Education Foundation
Stanford Center for Opportunity Policy in Education

*Network Partners listed here have not all yet confirmed involvement in the production of this document