INPUT MODEL GUIDANCE

GUIDANCE ON THE INPUT MODEL OPTION IN NEW YORK EDUCATOR EVALUATION FOR TEACHERS AND PRINCIPALS TO IMPLEMENT EDUCATION LAW §3012-d AS AMENDED BY THE LAWS OF 2019 AND THE COMMISSIONER'S REGULATIONS

July 21, 2022

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INPUT MODEL FREQUENTLY ASKED QUESTIONS

WHAT IS AN INPUT MODEL? HOW IS AN INPUT MODEL DIFFERENT FROM A STUDENT LEARNING OBJECTIVE (SLO)?

Under Education Law §3012-d, educator evaluations are based on two categories – student performance and observations. Within each category, there are both required and optional subcomponents. For principals, the required subcomponent of the Student Performance category is either an SLO or an input model.

In an input model, a principal's effectiveness is measured by the actions they take to improve student performance and achieve set goals. Over the course of the year, principals and/or evaluators collect evidence of the principal's practice that is aligned to the Leadership Standards and designed to impact student growth. Ultimately, this evidence is what is used to determine an educator's score and rating for the required subcomponent of the Student Performance category. SLOs for principals, on the other hand, tie principal evaluation results directly to student growth outcomes on assessments. For additional information on the New York State SLO process, please see our SLO Guidance Document.

We believe that the evaluation system is a tool to support an educator's professional growth. As such, evaluation systems should be designed to reflect a cycle of continuous improvement. Because the input model is based on direct evidence of principal practice aligned to Leadership Standards and organizational goals, it may allow principals to play a more active role in their own professional learning, growth, and development.

WHAT AREAS OF PRINCIPAL PRACTICE CAN BE INCLUDED IN AN INPUT MODEL?

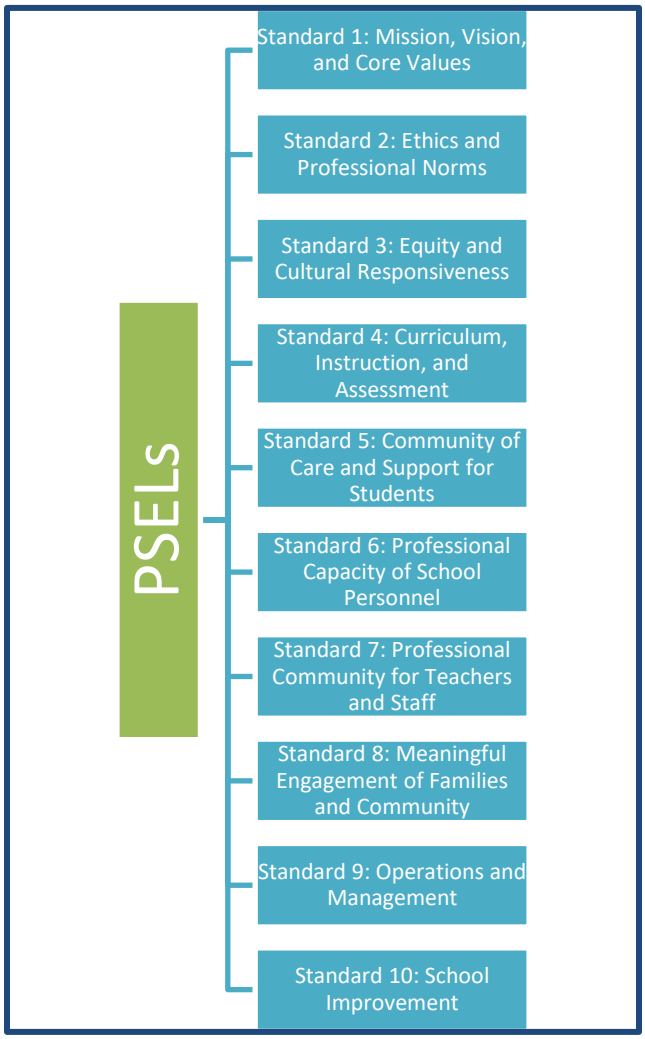
In an input model, the areas of principal practice may fall into, but are not limited to, the following categories[1] which are broadly aligned to the Leadership Standards (see below):

1. Teaching and Learning: The actions a principal takes to improve student outcomes through the continuous development, improvement, and support of effective teaching.
2. Shared Vision and Goals: The actions a principal takes to create a shared vision of educational equity supported by a culture of high expectations.
3. Family and Community Engagement: The actions a principal takes to collaborate with families and key stakeholders who represent a culturally-rich diversity of community interests in service of improved teaching and learning.
4. Strategic Planning and Organizational Management: The actions a principal takes to manage and monitor school systems and operations for a safe, high-performing learning environment.

[1] Adapted from New Leaders Principal Evaluation Handbook (2012).

5. Talent Management: The actions a principal takes to develop and maintain a high-quality, effective teaching staff.
6. Personal Leadership and Growth: The actions a principal takes to demonstrate effective leadership through self-reflection, change management and clear communication.

LEADERSHIP STANDARDS[2]



[2] For educator evaluations conducted commencing with the 2025-2026 school year, all principal practice rubrics must be aligned to the 2015 PSELs. Further information on the Leadership Standards, including an ISLLC/PSELs crosswalk, can be found here.

WHAT DOES "PROMOTE STUDENT GROWTH" MEAN?

Student growth is defined in Education Law §3012-d as "the change in student achievement for an individual student between two or more points in time". There are many elements of principal practice that serve to promote student growth. We believe that principals influence a range of school conditions and that not all principals have the same roles, responsibilities, authority or autonomy in their schools, so the input model is by no means "one size fits all". As such, LEAs have broad latitude to locally determine which elements of principal practice promote student growth, and what evidence will be used to determine the efficacy of a principal's actions toward promoting student growth. This then enables LEAs to tailor their input models based on their contextualized needs and roles.

WHAT TYPES OF EVIDENCE CAN WE USE TO DEMONSTRATE STUDENT GROWTH AND PRINCIPAL PRACTICE?

Both quantitative and qualitative data can be used to demonstrate evidence of principal practice that promotes student growth. The evidence that is selected should be tangible processes, structures, and/or student outcomes that exist in a school and may fall into one of the following categories:

- Observable elements of principal practice: These observations include but are not limited to leadership team meetings, principals observing teacher practice, or principal to teacher feedback conversations.
- Indirect elements of principal practice: These include but are not limited to programs and policies the principal has created and/or implemented, an evaluator attending teacher team meetings or collaboration sessions or observing teacher practice across multiple classrooms where the principal is not present.
- Artifacts documenting principal practice: These include but are not limited to the strategic school plan, documentation of the school's instructional framework, and communications to families and community members.
- School data: This includes but is not limited to leading indicators, direct evidence of student performance, and stakeholder feedback.

DO WE HAVE TO USE THE HEDI BANDS FOR SLOS FOR THE INPUT MODEL FOR PRINCIPALS?

No, LEAs who choose to use the input model for the Required Student Performance category do not have to use the required HEDI table for SLOs. LEAs shall calculate 0-20 scores and HEDI ratings consistent with the process specified in their approved educator evaluation plan, which must include information on how the LEA will use the input model evidence to differentiate effectiveness resulting in a score from 0 to 20 and ratings of Highly Effective, Effective, Developing, or Ineffective. Included in this guidance document are two examples of scoring models; however, many are possible. LEAs should consider the types of evidence that will be collected as part of the input model and how that evidence is aligned to the HEDI categories to determine the most appropriate scoring process for their input model.

ARE THE OPTIONS IN THE REQUIRED STUDENT PERFORMANCE CATEGORY FOR PRINCIPALS SUBJECT TO COLLECTIVE BARGAINING?

The options for principals in the Required Student Performance category are subject to collective bargaining where a collective bargaining unit exists.

IS THE INPUT MODEL AVAILABLE FOR TEACHERS?

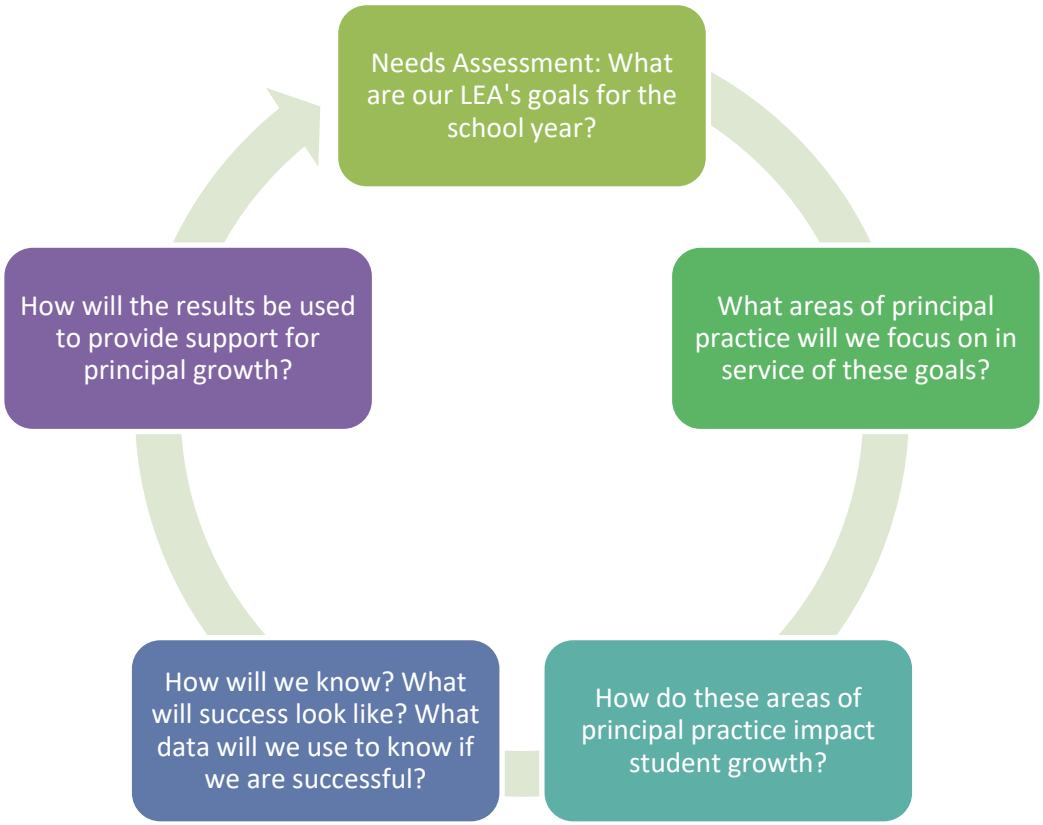
An LEA may locally determine to use an input model for teachers in the Optional Student Performance category. For the Required Student Performance category, an LEA may use a variance application to develop and implement a new and innovative SLO process for teachers that includes elements similar to an input model.

INPUT MODEL CYCLE OF CONTINUOUS IMPROVEMENT

Input models are grounded in the belief that highly effective school leaders engage in purposeful and thoughtfully considered practices that directly and indirectly influence student success across a broad range of outcomes. As such, input models should be designed with LEA and school level goals for student success at their center.

The input model process, therefore, begins with an LEA-level needs assessment, including elements such as data analysis, self-reflection, and student growth goal setting for the school year. This needs assessment should set the stage for implementing a goal-driven plan. LEAs should work collaboratively with stakeholders to consider what investments will be made to achieve these goals, what the intended success and impact will look like, and what evidence will be used to demonstrate a principal's effectiveness. Throughout the school year, the plan is implemented and evidence is collected. The latter part of the process offers principals a chance to informally self-assess, review interim data, and reflect on progress to date, a step that ultimately informs conversations about professional practice with the principal's supervisor, as well as the summative evaluation. Evidence from the summative evaluation and self-assessment become important sources of information for the principal's subsequent goal setting, as the cycle continues into the following school year.

INPUT MODEL 1: START WITH LEA GOALS



CONDUCT AN LEA-WIDE NEEDS ASSESSMENT: WHAT ARE THE LEA GOALS FOR THE SCHOOL YEAR?

- What framework, if any, will the LEA use to help structure the needs assessment?
- Which stakeholders will be involved in the needs assessment process?
- How do you know what needs to be improved?
    - What data will you review?
        - Consider both qualitative and quantitative data sources
    - For which indicators/content areas has the district/building/school not met the annual growth goal or made sufficient progress? For which subgroups and grades?
    - What implementation barriers exist to achieving your goals?
- Articulate specific, desired outcomes and impact goals, including student growth goals

WHAT AREAS OF PRINCIPAL PRACTICE ARE IN SERVICE OF THESE GOALS?

- What resources will the LEA provide to principals to help ensure these goals are met?
- Consider assumptions held about principal practice given the diverse roles principals play that may vary from school to school.
- Ensure that these areas of principal practice are aligned with the Leadership Standards

HOW DO THESE AREAS OF PRINCIPAL PRACTICE IMPACT STUDENT GROWTH?

- Consider the specific, desired outcomes and impact goals for student growth: what areas of principal practice are in service of these goals?
    - What specific actions will a principal take toward these student growth goals?
- How will principals work collaboratively with teachers to help ensure student growth goals are met?

HOW WILL WE KNOW IF THESE AREAS OF PRINCIPAL PRACTICE IMPACT STUDENT GROWTH?

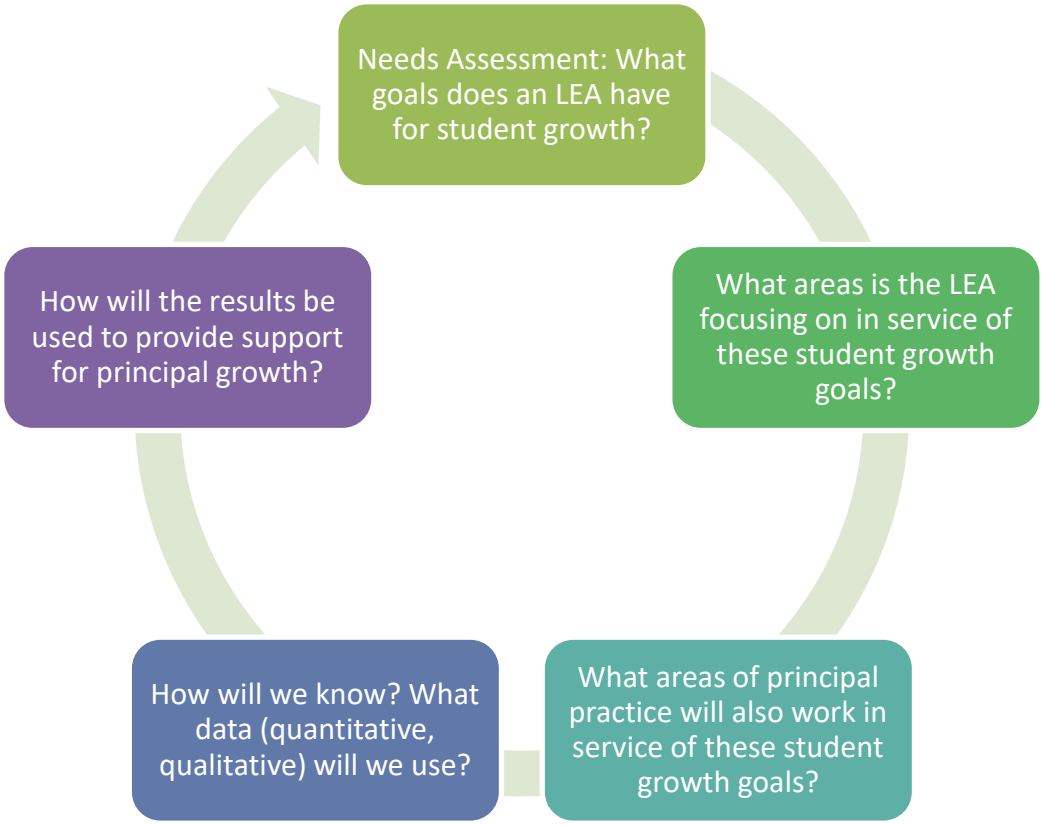
- Define what success should look like, including benchmarks along the continuum. How will you know if you are successful?
- Identify short term outcomes and long term intended outcomes, including what qualitative and quantitative data will need to be collected and analyzed.
- Consider creating a logic model or theory of change document that articulates a framework and course for proposed principal actions/inputs, outputs, and intended outcomes.
- What mechanisms for collecting data exist that we can utilize; what systems of collecting data may we have to institute?

HOW WILL THE RESULTS BE USED TO PROVIDE SUPPORT FOR PRINCIPAL GROWTH? TEACHER GROWTH, TANGENTIALLY?

- What does the data tell you about what went well and what needs improvement? What can be scaled up?

    - What systems are in place that need revision, what systems are needed to achieve future goals?
    - What professional learning is necessary to help school leaders? Teachers?
    - Which additional types of data need to be collected moving forward?
- The results should drive subsequent year's input model cycles

INPUT MODEL 2: START WITH STUDENT GOALS



CONDUCT AN LEA-WIDE NEEDS ASSESSMENT: WHAT ARE THE LEA GOALS FOR STUDENT GROWTH FOR THE SCHOOL YEAR?

- What framework, if any, will the LEA use to help structure the needs assessment?
- Which stakeholders will be involved in the needs assessment process?
- How do you know what needs to be improved?
    - What data related to student growth will you review? Other data?
        - Consider both qualitative and quantitative data sources
    - For which indicators/content areas has the district/building/school not met the annual student growth goal or made sufficient progress? For which subgroups and grades?
    - What implementation barriers exist to achieving your student growth goals?
- Articulate specific, desired student growth outcomes and impact goals

WHAT AREAS IS THE LEA FOCUSED ON IN SERVICE OF THESE STUDENT GROWTH GOALS?

- Identify LEA-wide initiatives that will be improved upon or implemented in support of these student growth goals.

- What are the potential underlying root causes of the needs or issues the team has prioritized?

WHAT AREAS OF PRINCIPAL PRACTICE ARE IN SERVICE OF THESE GOALS?

- Consider the specific, desired outcomes and impact goals for student growth: what areas of principal practice are in service of these goals?
  - What specific actions will a principal take toward these student growth goals?
- What will the LEA invest in principals to help ensure these goals are met? What will principals invest in teacher practice to help ensure student growth goals are met?
- Consider assumptions held about principal practice given the diverse roles principals play that may vary from school to school.
- Ensure that these areas of principal practice are aligned with the Leadership Standards.

HOW WILL WE KNOW IF THESE AREAS OF PRINCIPAL PRACTICE IMPACT STUDENT GROWTH?

- Define what success should look like, including benchmarks along the continuum. How will you know if you are successful?
- Identify short term outcomes and long term intended outcomes, including what qualitative and quantitative data will need to be collected and analyzed.
- Consider creating a logic model or theory of change document that articulates a framework and course for proposed principal actions/inputs, outputs, and intended outcomes.
- What mechanisms for collecting data exist that we can utilize; what systems of collecting data may we have to institute?
  - What processes will be created to ensure regular opportunities for utilizing data to reflect on the progress of improvement efforts?

HOW WILL THE RESULTS BE USED TO PROVIDE SUPPORT FOR PRINCIPAL GROWTH?

- What does the data tell you about what went well and what needs improvement? What can be scaled up?
  - What systems are in place that need revision, what systems are needed to achieve future goals?
  - What professional learning is necessary to help school leaders? Teachers?
  - Which additional types of data need to be collected moving forward?
- The results should drive subsequent year's input model cycles

INPUT MODEL SCENARIO 1: HIGH SCHOOL PRINCIPAL

USING INPUT MODEL 2: STARTING WITH STUDENT GROWTH GOALS

NEEDS ASSESSMENT:

LEA HAS SEEN ITS GRADUATION RATES FALL BELOW THE STATE AVERAGE IN RECENT YEARS, WITH AN INCREASE IN ABSENTEEISM AND ISSUES RELATED TO STUDENT BEHAVIOR. WHILE REGENTS PASSING RATES, IN AGGREGATE, HAVE NOT CHANGED SIGNIFICANTLY, STUDENT ENROLLMENT IN AP COURSES, EARLY COLLEGE CREDIT COURSES, AND IN INTERNSHIP/COMMUNITY-BASED LEARNING PROGRAMS HAVE DIPPED.

PRINCIPAL INPUTS:

THE HS PRINCIPAL WILL OVERSEE A REVAMPED 9TH GRADE ONBOARDING PROGRAM TO INTRODUCE STUDENTS AND THEIR FAMILIES/GUARDIANS TO THE HIGH SCHOOL. THERE WILL ALSO BE A "PARENT/GUARDIAN ACADEMY" TO IMPROVE CULTURALLY RESPONSIVE HOME-SCHOOL COMMUNICATION. TEACHER/ADMINISTRATOR PLCS AIMED AT IMPROVING DATA LITERACY, SUPPORTING STUDENTS AS THEY NAVIGATE HIGH SCHOOL, AND RESTORATIVE JUSTICE INITIATIVES WILL BE CONVENED. THE HS PRINCIPAL WILL ALSO COORDINATE CONCERTED OUTREACH EFFORTS WITH THE GUIDANCE COUNSELORS TO BOLSTER OPEN ENROLLMENT IN AP AND EARLY COLLEGE CREDIT COURSES.

WHAT ARE THE LEA'S STUDENT GROWTH GOALS (AS RELATED TO THE NEEDS ASSESSMENT)?

Short Term:

- Full participation in 9th grade onboarding program
- Decreases in chronic absenteeism and disciplinary referrals starting with new 9th grade cohort
- Meet or exceed 85% of students accumulating at least 5 credits a school year

Mid-term:

- Roll out of 10th, 11th, and 12th grade supports to continue the model of the 9th grade onboarding program
- Increase in participation in AP courses, early college credit courses, and in internship/community-based learning programs

Long term:

- Increase the four year graduation rates by 5% and decrease the dropout rates by 5%, which are currently 70% and 15%, respectively

WHAT AREAS OF PRINCIPAL PRACTICE ARE IN SERVICE OF THESE GOALS?[3]

- Implementing 9th grade onboarding program
- Proactivelly monitoring and intervening with early warning signs

- PSEL Standard 1: Mission, Vision and Core Values
- PSEL Standard 3: Equity and Cultural Responsiveness
- PSEL Standard 5: Community of Care and Support for Students
- PSEL Standard 10: School Improvement

AP/College Course open enrollment

- PSEL Standard 3: Equity and Cultural Responsiveness
- PSEL Standard 4: Curriculum, Instruction, and Assessment
- PSEL Standard 5: Community of Care and Support for Students

Improving parental/guardian communication through weekly newsletters, "Parent/Guardian Academy"

- PSEL Standard 3: Equity and Cultural Responsiveness
- PSEL Standard 8: Meaningful Engagement of Families and Community

Working with teachers/ administrators through targeted PLCs to strengthen opportunities for students to connect studies to opportunities after high school

- PSEL Standard 4: Curriculum, Instruction, and Assessment
- PSEL Standard 6: Professional Capacity of School Personnel
- PSEL Standard 7: Professional Community for Teachers and Staff
- PSEL Standard 9: Operations and Management

[3] For educator evaluations conducted commencing with the 2025-2026 school year, all rubrics must be aligned to the 2015 Professional Standards for Educational Leaders (PSELs). Until that time, LEAs should continue to use ISLLC standards in developing input models for principals.

HOW DO THESE AREAS OF PRINCIPAL PRACTICE IMPACT STUDENT GROWTH?

IMPLEMENTING PROGRAMS AND CURRICULA AIMED AT HELPING STUDENTS UNDERSTAND THE RELEVANCE OF SCHOOL, BUILD SUPPORTIVE RELATIONSHIPS, AND MANAGE CHALLENGES CAN HELP PREVENT DISENGAGEMENT.

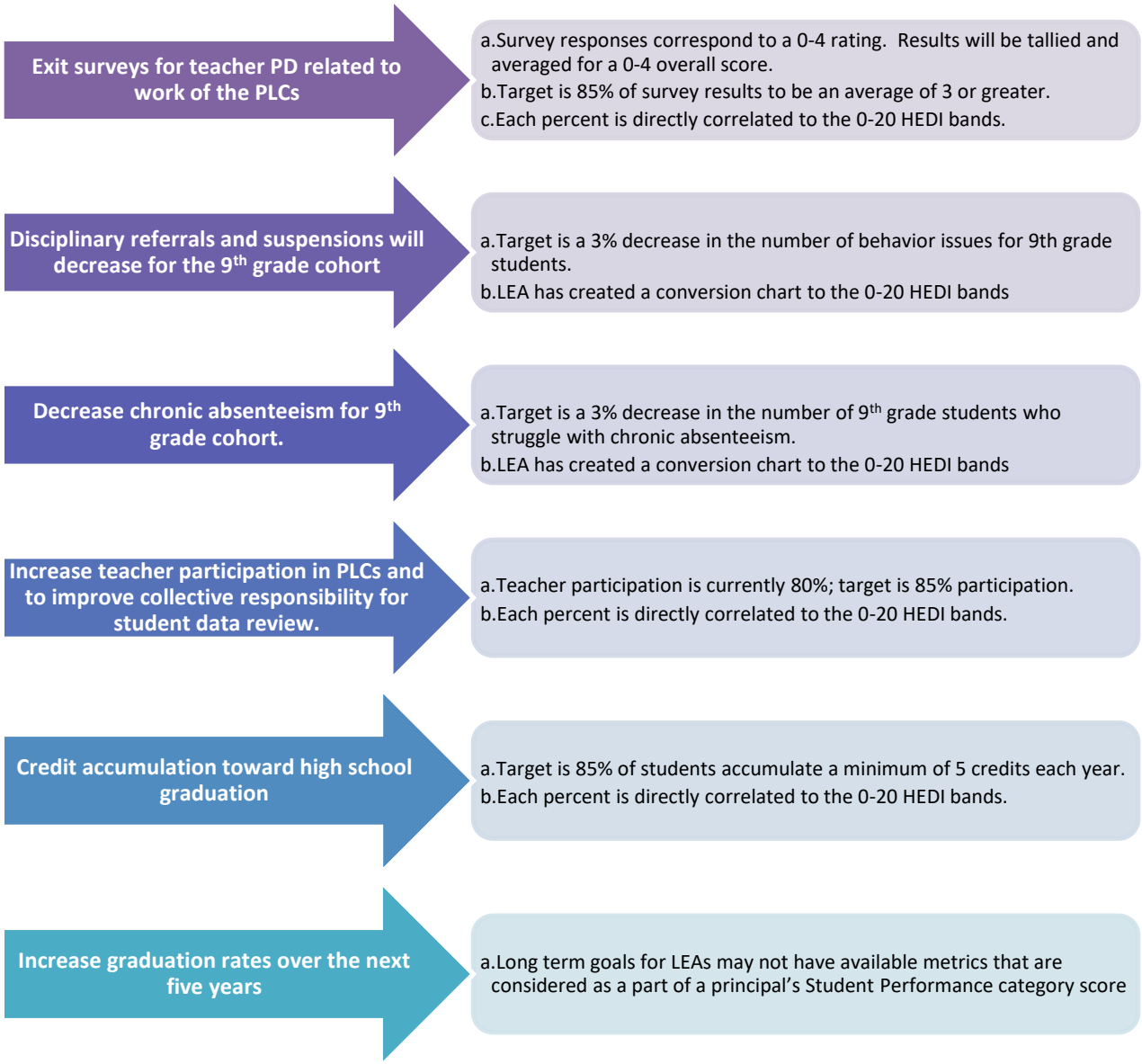
- 9th Grade Onboarding Program will provide incoming Freshman and their families/guardians with ongoing activities aimed at helping them adjust to the rigors of high school and will provide a concerted support system to help them succeed academically as well as socially (Iver, et al 2015; Smith, 2016; Williamston, 2010)[4].
- Working with guidance counselors to target student subgroups to increase the visibility and availability of AP/college credit courses through open enrollment will provide equitable opportunity to all students to push their academic rigor, gain post-secondary skills, and increase their confidence in participating in advanced coursework (Judson, Bowers, & Glassmeyer, 2019). Providing additional opportunities for all students in internships/community-based learning will further expand on student opportunities to connect learning to real life outside of school (Melaville & Berg, 2006)[5].
- Teacher PLCs will be convened on three major topical areas: data literacy (Gummer & Mandinach, 2015), supporting students as they navigate high school (Benner, 2011; Ellerbrock & Kiefer, 2014), and restorative justice initiatives (The Schott Foundation, 2014). Each PLC is aimed at improving educator practice towards creating environments conducive to learning.

[4] Resources can also by found on NYSED's Culturally Responsive-Sustaining Education site.

[5] See also: http://www.nysed.gov/career-technical-education/work-based-learning-wbl-programs for more information.

HOW WILL WE KNOW?

Short- and Long-Term Outcome Metrics



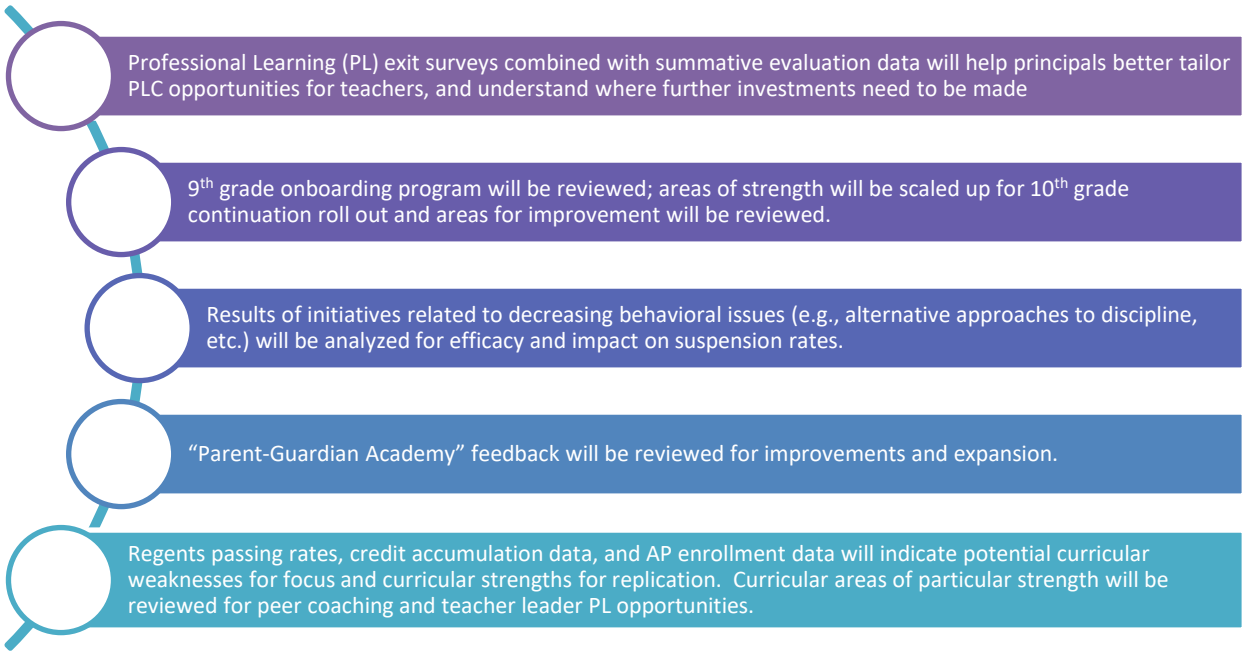
CALCULATING A SCORE AND HEDI RATING FOR AN EDUCATOR EVALUATION:

- Each target will result in a HEDI score, as mapped to the HEDI bands, below.
- HEDI scores will be equally weighted, combined, and averaged for a final HEDI score and rating.

HIGHLY EFFECTIVE			EFFECTIVE			DEVELOPING		INEFFECTIVE											
20	**19**	**18**	**17**	**16**	**15**	**14**	**13**	**12**	**11**	**10**	**9**	**8**	**7**	**6**	**5**	**4**	**3**	**2**	**1**	**0**
97-100%	93-96%	90-92%	85-89%	80-84%	75-79%	67-74%	60-66%	55-59%	49-54%	44-48%	39-43%	34-38%	29-33%	25-28%	21-24%	17-20%	13-16%	9-12%	5-8%	1-4%

Outcome Metrics	Target	Actual	HEDI Score
1. Exit surveys	85%	82%	16
2. Behavior Issues	15% (-3%)	19% (-7%)	20[6]
3. Chronic Absenteeism	12% (-3%)	10% (-1%)	11[10]
4. PLC Participation	85%	90%	18
5. Credit accumulation	85%	84%	16
		Average Score and Rating	16.2/rounded to 16 Effective

HOW WILL THE RESULTS BE USED TO PROVIDE SUPPORT FOR PRINCIPAL GROWTH?



[6] According to LEA-created conversion chart that measures a decrease in percentage points applicable to behavioral issues and chronic absenteeism.

INPUT MODEL SCENARIO 2: ELEMENTARY PRINCIPAL (K-5)

USING INPUT MODEL 1: STARTING WITH LEA GOALS

NEEDS ASSESSMENT:

IN ITS STRATEGIC PLAN, THE LEA HAS OUTLINED THREE MAJOR AREAS OF FOCUS FOR THE COMING SCHOOL YEARS: AUTHENTIC LEARNING, CULTURALLY RESPONSIVE PEDAGOGY, AND WHOLE CHILD WELL-BEING WITH A FOCUS ON INTEGRATED SOCIAL-EMOTIONAL LEARNING (SEL).

PRINCIPALS INPUTS (AS RELATED TO THE NEEDS ASSESSMENT):

THE ELEMENTARY PRINCIPAL WILL CONVENE ON-GOING WORKGROUPS CENTERED ON CULTURALLY RESPONSIVE-SUSTAINING (CR-S) CURRICULUM AND COMMUNITY PROGRAMMING, WORK CLOSELY WITH THE LIBRARIAN AND TEACHER GRADE LEADERS TO PROVIDE CULTURALLY DIVERSE BOOKS IN A RANGE OF READING LEVELS TO CLASSROOM LIBRARIES, PROVIDE PROFESSIONAL LEARNING OPPORTUNITIES FOR STAFF AROUND INTEGRATING SEL INTO THE CLASSROOM, AND CONTINUE TO OVERSEE THE 5TH GRADE CAPSTONE PROJECT FOCUSED ON COMMUNITY SERVICE.

WHAT ARE THE LEA'S STUDENT GROWTH GOALS (AS RELATED TO THE NEEDS ASSESSMENT)?

Short Term

- Guide students to take ownership of their own learning through data analysis, SEL, and CR-S curriculum (grades 3-5)
- By implementing research-based SEL programming and CR-S curriculum into classrooms, starting with a Morning Meeting protocol, students will feel greater connectedness with their peers and classroom. (grades K-5)

Mid Term

- Community service-based projects will begin in the 4th and 3rd grades, as well, fostering student independence.

Long Term

- Overall improvement in absenteeism rates, familial involvement, closing the gap between on-grade and below-grade reading levels.

WHAT AREAS OF PRINCIPAL PRACTICE ARE IN SERVICE OF THESE GOALS?[7]

Implementing SEL programming K-5 and providing relevant professional learning for staff

- PSEL Standard 1: Mission, Vision and Core Values
- PSEL Standard 3: Equity and Cultural Responsiveness
- PSEL Standard 4: Curriculum, Instruction, and Assessment
- PSEL Standard 5: Community of Care and Support for Students
- PSEL Standard 6: Professional Capacity of School Personnel
- PSEL Standard 7: Professional Community for Teachers and Staff
- PSEL Standard 10: School Improvement

Convening and overseeing CR-S workgroups with active staff participation

- PSEL Standard 3: Equity and Cultural Responsiveness
- PSEL Standard 4: Curriculum, Instruction, and Assessment
- PSEL Standard 5: Community of Care and Support for Students
- PSEL Standard 6: Professional Capacity of School Personnel

Fostering school-community relationships and engagement through student service projects

- PSEL Standard 2: Ethics and Professional Norms
- PSEL Standard 5: Community of Care and Support for Students
- PSEL Standard 8: Meaningful Engagement of Families and Community

[7] For educator evaluations conducted commencing with the 2025-2026 school year, all rubrics must be aligned to the 2015 Professional Standards for Educational Leaders (PSELs). Until that time, LEAs should continue to use ISLLC standards in developing input models for principals.

HOW DO THESE AREAS OF PRINCIPAL PRACTICE IMPACT STUDENT GROWTH?

IMPLEMENTING PROGRAMS AND CURRICULA AIMED AT HELPING STUDENTS 1) UNDERSTAND THAT THEY ARE A PART OF A SCHOOL COMMUNITY THAT REFLECTS AND RESPECTS THE DIVERSITY OF THEIR BACKGROUNDS, 2) BUILD SUPPORTIVE RELATIONSHIPS, AND 3) MANAGE CHALLENGES CAN HELP FORTIFY AN ENVIRONMENT THAT IS CONDUCIVE TO LEARNING AND STUDENT ENGAGEMENT.

- Through PLCs aimed at integrating and promoting cohesive elements of social emotional learning into the curriculum, educators will help students stay engaged with their coursework and improve their general attitudes toward school (Durlak, Weissberg, Dymnicki, & Taylor, 2011).
- By researching, learning about, and implementing culturally responsive-sustaining curriculum and practice, educators will help create and reinforce an environment that promotes positive student outcomes[8].
- Community service learning as an integrated part of the curriculum has been shown to have positive effects on student engagement and student self-esteem (Lopez-Azuaga & Suarez Riveiro, 2020).

[8] See NYSED's Culturally Responsive-Sustaining Education Framework.

HOW WILL WE KNOW?

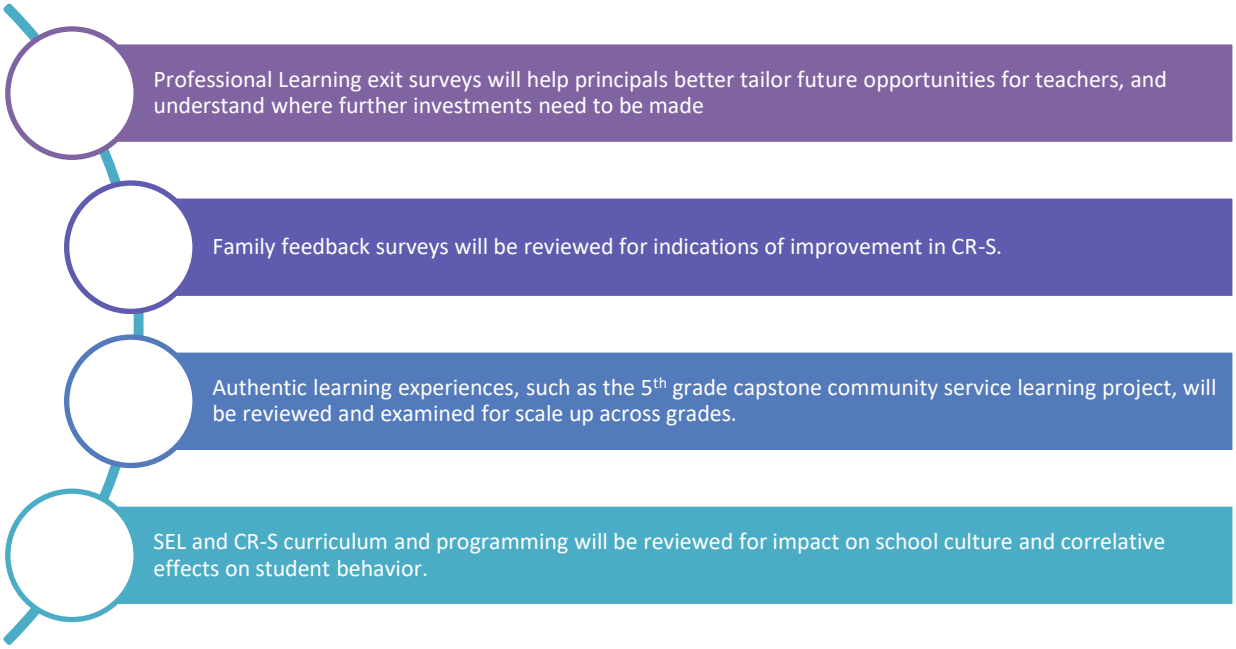
Short-Term Outcome Metrics Utilizing the Principal Practice Rubric

CALCULATING A SCORE AND HEDI RATING FOR AN EDUCATOR EVALUATION:

- Evidence will be scored on the principal practice rubric, weighted equally and averaged.
- 0-4 score will be mapped to the HEDI bands as follows:

HIGHLY EFFECTIVE			EFFECTIVE			DEVELOPING		INEFFECTIVE											
20	19	18	17	16	15	14	13	12	11	10	9	8	7	6	5	4	3	2	1	0
4	3.89 - 3.99	3.75 - 3.88	3.36 - 3.74	3.01 - 3.35	2.75 - 3.00	2.26 - 2.74	1.75 - 2.25	1.67 - 1.74	1.61 - 1.66	1.55 - 1.60	1.49 - 1.54	1.43 - 1.48	1.37 - 1.42	1.31 - 1.36	1.25 - 1.30	1.19 - 1.24	1.13 - 1.18	1.07 - 1.12	1.01 – 1.06	1

HOW WILL THE RESULTS BE USED TO PROVIDE SUPPORT FOR PRINCIPAL GROWTH?



QUESTIONS?

For specific questions as to what may be allowable under an Input Model for Principals, please contact: educatoreval@nysed.gov.

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