**Achievement First**

**Human Capital Deep Dive**

**2014-15**

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| [Enter Name Here] | [Enter Name Here] |
| **Director of School Operations** |  | **Regional Director of Operations** |
|  |  |  |
| [Enter School Name Here] | [Enter Date Here] |
| **School** |  | **Date: Deep Dive Conversation**  |

# Purpose

The purpose of this human capital deep dive is to provide an assessment of how well your academy is managing employee setup, maintenance, and off-boarding.

# Process

The human capital deep dive is an audit-based data collection effort. For this deep dive, the audit results will be shared with the DSO during the deep dive review. As results are reviewed, there will be an opportunity to reflect –and in the event of significant deficiencies and gaps – create a plan for closing the gap.

# Ratings

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| **Rating** | **Description** |
| ❺ | ***Mastery*:** Consistently exceeds expectations and is an exemplar for this standard; school practices should be/are documented, archived and sharedwith other schools in the network. |
| ❹ | ***Exceptional*:** Exceeds expectations in some areas and is consistently aligned to best practices for this indicator. |
| ❸ | ***Proficient*:** Consistently meets expectations and is solid for this standard. |
| ❷ | ***In Progress*:** Meets this standard some or most of the time but is not yet consistently solid. |
| ❶ | ***Does Not Meet*:** Consistently does not meet expectations for this standard. This is an area for growth; the individual should work with supervisors and/or colleagues to improve in this area |
| **N/A** | ***Not Applicable*:** Not responsible for meeting this standard or sufficient data is not yet available for measurement. |

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|  | **Overall Rating:**(RDO chooses an overall rating of 1-5 for this section with 5 being the strongest) |  |
| **DSO Comments** (on areas of exceptional performance and areas of growth) |
| **RDO Comments** |

# Section I. Benefits Management

| **Indicators** | **M(5)** | **E(4)** | **P(3)** | **IP(2)** | **DNM(1)** | **N/A** |
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| **New Hire Enrollment**: New hires have enrolled in (or have waived) health benefits within 30 days of their start date.***M*** *= 5 new hires enrolled within 30 days,* ***P*** *= average new hire enrolled within 30 days,* ***IP*** *= average new hire enrolled within 45,* ***DNM*** *= 1/+ new hire not enrolled yet,* ***N/A*** *= no new hires after 8/18/14***Instructions for RDO**: Run the “Human Capital Deep Dive” Report to identify 5 new hires that started **after 8/18/14**. If academy has less than 5 new hires, pull all new hires. Use “Events” tab in ADP to verify date on which benefits were entered into the system by staff member via self-service or by DSO. |  |  |  |  |  |  |
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| **New Hire Enrollment**: New hires without benefit enrollments in ADP have a waiver of coverage on file (either a hardcopy PPI form, or record in ADP indicating a waiver via self-service).***M*** *= 5 eligible staff members without benefits in ADP have a waiver form on file or self-service waiver,* ***DNM*** *= 1/+ new hires without benefits in ADP do not have a waiver form on file or self-service waiver,* ***N/A*** *= no new hires with waived coverage***Instructions for RDO:** Run the “Human Capital Deep Dive” Report in ADP. For any staff members without benefit enrollments indicated, verify that a waiver form is on file or use “Events” tab to verify that the staff member used self-service to waive coverage. |  |  |  |  |  |  |
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| **Open Enrollment**: Benefit information disseminated to returning staff members by the Friday prior to the open enrollment window (5/16/14).***M*** *= information disseminated on time in a manner that ensures maximum consumption and comprehension,* ***P*** *= information disseminated on time,* ***DNM*** *= information disseminated after deadline,* ***N/A*** *= new schools***Instructions for RDO:** Ask DSO to provide evidence (email, newsletter, etc.) showing when information was disseminated. |  |  |  |  |  |  |
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| **Supplemental Benefits:** Information about supplemental benefits (i.e. retirement, transit, gym, etc.) disseminated to returning staff members by the start of school (8/19/14 or 8/20/14).***M*** *= information disseminated on time in a manner that ensures maximum consumption and comprehension,* ***P*** *= information disseminated on time,* ***DNM*** *= information disseminated after deadline***Instructions for RDO:** Ask DSO to provide evidence (email, newsletter, presentation, etc.) showing when information about supplemental benefit sign-up was disseminated. |  |  |  |  |  |  |
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| **Transit Deductions** (NY ONLY): TransitChek contributions are up to date.***M*** *= invoice amount matches ADP and enrollment changes are reflected in the closest payroll cycle,* ***P*** *= invoice amount matches ADP,* ***IP*** *= 1 invoice discrepancy exists,* ***DNM*** *= 2/+ invoice discrepancies exist***Instructions for RDO:**  Reconcile ADP records from “Human Capital Deep Dive” Report with recent TransitChek invoice for 5 enrolled employees. At least two records should be staff members with enrollment modifications (new/change/suspend). Confirm that requests match TransitChek and ADP, and that changes were updated in time for payroll (use “Events” tab to view when changes were made). If there are no changes in the current month, go to an earlier month. **If 2/+ invoice discrepancies exist, pull 5 additional files**. |  |  |  |  |  |  |
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| **TRB Contributions** (CT ONLY): TRB contributions are up to date.***M*** *= personnel files match ADP,* ***DNM*** *= 1/+ discrepancy exists***Instructions for RDO:**  Ask DSO for TRB-eligibility and pull the files for 5 TRB-eligible staff hired **on or after 7/1/2014**. Check “Human Capital Deep Dive” Report to ensure enrollment is recorded in ADP. Files checked should not be the same files pulled for new hire enrollment. **If 1/+ TRB-eligible staff members is not enrolled with ADP, pull 5 additional records**.  |  |  |  |  |  |  |
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| **403B Plan Contributions**: Retirement plan contributions are up to date.***M*** *= personnel files match ADP and enrollment changes are reflected in the closest payroll cycle,* ***P*** *= personnel files match ADP,* ***IP*** *= 1 invoice discrepancy exists,* ***DNM*** *= 2/+ invoice discrepancies exist***Instructions for RDO:** Review “Human Capital Deep Dive” Report and pull 5 files for staff hired **on or after 7/1/2014**. Files checked should not be the same files pulled for new hire enrollment. At least two records should be staff members with enrollment modifications (new/change/suspend). Confirm that VALIC enrollment documents match ADP (specifically deferral percentage vs. amount) and that changes were updated in time for payroll (use “Events” tab to view when changes were made). **If 2/+ invoice discrepancies exist, pull 5 additional files and flag potential deficiency to Team Human Capital**.  |  |  |  |  |  |  |
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# Section II. Employee Policies & Record Keeping

| **Indicators** | **M(5)** | **E(4)** | **P(3)** | **IP(2)** | **DNM(1)** | **N/A** |
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| **Employee files are up to date and complete**Per AF’s required personnel documents checklist, the below items are contained within personnel files:* **Current Offer Letter/Employment Agreement** and authorized documentation relating to any compensation adjustments, including resignation and non-renewal letters
* **WTPA Notice** (NY Only) for anyone who started after April 9, 2011
* **Employment Eligibility Form I-9** (signed by employee AND signed by authorized individual showing that ID was examined. Keeping copies of ID is optional.)
* **Federal Withholding Form W-4**
* **State/City Withholding Form**
* **Direct Deposit Form with copy of check or notice from *bank*** *if employee has chosen to be paid via DD*
* **Fingerprint Clearance Confirmation**. In CT, check must be conducted within 30 days after starting employment; in RI within 1 week.
* **ADP Background Check Clearance** *for staff hired after 7/1/13* (CT and RI Only)
* **Timesheets** (if not in personnel files, timesheets should be clearly organized in another storage file)
* Employee Resume (Bridgeport only)
* Personnel data form (Bridgeport only)
* *403 B Acknowledgement Form\**
* *Copy of Benefits Enrollment/Waiver Form (if applicable)\**
* *403B Enrollment Form(if employee is participating in plan)\**
* *CT Teacher’s Retirement Board (TRB) SSA-1945 (if applicable)\**
* *Credit Card Usage Agreement (if applicable)\**
* *Certification documentation (if applicable)\**
* *Laptop Use Agreement (if applicable)\**

*\* Items not required for part-time or temporary employees. Temporary employees are defined as anyone who works at AF for 4 or fewer months.****M*** *= 5 employees have complete files that are neat and organized in a manner that allows for easy navigation;* ***E*** *= 5 employees have complete files;* ***P*** *= 5 employees have all required documents (i.e., documents not located in designated file) ;* ***IP*** *= 1 employee has an incomplete file;* ***DNM =*** *2/+ employees have incomplete files***Instructions for RDO**: Review “Human Capital Deep Dive” Report and pull 5 files for staff hired on or after 7/1/2014 and check for completeness. Files checked should not be the same files pulled for new hire enrollment. At least 1 file should be for a part-time or temporary staff member. **If 2/+ files are incomplete, pull 5 additional files and flag potential deficiency to Team Human Capital**.  |  |  |  |  |  |  |
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| **Maintains up-to-date records in ADP**The below items should be entered by the DSO in all full-time active ADP records for employees hired before 6/23/2014 and after 8/18/2014 (note: Team Human Capital enters this information for summer hires; DSO enters the information for the remainder of the year). Supplemental data requirements can be found [here](https://manyminds.achievementfirst.org/sites/NetworkSupport/TeamHC/Pages%20for%20DSOs/Entering%20Supplemental%20Data%20in%20ADP.aspx):* Race (Personal Tab)
* Years of Experience 14-15 (Custom Tab)
* Degree Status (Custom Tab)
* Undergraduate University (and Graduate University, if applicable based on Degree Status) – (Custom Tab)

The below items must be maintained by the DSO in all active ADP records. Instructions on how to make updates can be found [here](https://manyminds.achievementfirst.org/sites/NetworkSupport/TeamHC/Pages%20for%20DSOs/Updating%20Title%20and%20Department%20in%20ADP.aspx):* Title (Work Tab)
* Home Department (Work Tab)

***M*** *= 100% records up-to-date,* ***E*** *= ≥90%,* ***P*** *= ≥80%,* ***IP*** *= ≥70%,* ***DNM*** *= <70%***Instructions for RDO**: Using the “Human Capital Deep Dive” Report, select 10 full-time active staff hired mid-year prior to 6/23/2014 or after 8/18/2014, and review data fields (DSOs self-report titles and home departments).  |  |  |  |  |  |  |
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| **Ensures stipends and stipend descriptions are recorded accurately**DSOs must ensure that all stipends are recorded accurately in ADP and include a description (e.g., grade level chair, coach, etc.). In CT, the description should include a note about whether the stipend is TRB-eligible. DSOs can use the Human Capital Deep Dive Report in ADP and make corrections by emailing their payroll email account.***M*** *= all stipends are accurately recorded, include a description and have corresponding documentation on file (i.e., offer letter),****P*** *= all stipends are accurately recorded and have a description,* ***IP*** *= 1 stipend amount is inaccurate or not recorded,* ***DNM*** *= 2/+ stipend amounts are inaccurate or not recorded,* ***N/A*** *= no stipends issued***Instructions for RDO**: Using the “Human Capital Deep Dive” Report, review data fields (or have DSOs self-report) and personnel files for stipended staff. |  |  |  |  |  |  |
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| **Maintains accurate and timely staff attendance records*****M*** *= eTime is used to track complete, accurate and informative attendance events;* ***P*** *= eTime is used to track staff attendance;* ***DNM*** *= eTime is not used to track staff attendance***Instructions for RDO**: Reach out to Tracey to obtain a report of attendance events for your portfolio. Verify that the school is using eTime to track staff attendance as evidenced by data entered into the system. Ask DSO to review the data entered to ensure entries are complete, accurate and provides appropriate level of context. |  |  |  |  |  |  |
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| **All school staff members are maintaining or are on a documented path to acquiring the required license, certification or permit (e.g., CSEP) for their school assignment**.***M****=100% staff on path to certification;* ***E****≥98%,* ***P****≥96%,* ***IP****≥94%,* ***DNM****<94%***Instructions for RDO**: Verify that all staff are either certified or on a path to acquiring license, certificate or permit. To determine the percentage, use total staff required to hold state certification as the denominator. |  |  |  |  |  |  |
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# Section III. Off-Boarding

| **Indicators** | **M(5)** | **E(4)** | **P(3)** | **IP(2)** | **DNM(1)** | **N/A** |
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| **Maintains copies of staff exit ticket in personnel file*****M*** *= 5 files have exit ticket;* ***IP*** *= 1 exit ticket missing;* ***DNM*** *= 2/+ exit tickets are missing;* ***N/A*** *= new schools***Instructions for RDO**: Pull files for 5 staff members who have departed in May-July of 2014 to verify presence of exit ticket. If academy has less than 5 former staff member files, pull files for all departures. |  |  |  |  |  |  |
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| **Updates personnel file with proper documentation supporting the departure, including PIP, termination letter, warnings and resignation letter**. Additionally, categorization of departure in ADP accurately reflects personnel documentation.***M*** *= 5 files have detailed/organized supporting documentation, including off-boarding checklist, and accurate departure categorization in ADP;* ***E*** *= 5 files have detailed/organized supporting documentation;* ***P*** *= 5 files have supporting documentation;* ***IP*** *= 4 files have supporting documentation;* ***DNM*** *= ≤3 files have supporting documentation;* ***N/A*** *= new schools***Instructions for RDO**: Using the same files pulled to verify presence of an exit ticket, verify if documentation exist supporting departure. If academy has less than 5 former staff member files, pull files for all departures. |  |  |  |  |  |  |
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| **Terminates employees in ADP in a timely manner*****M*** *= 5 records terminated in ADP by DSO on or in advance of last day as indicated by resignation documentation;* ***E*** *= 5 records terminated within 24 hours of last day;* ***P*** *= 5 records terminated within 48 hours of last day;* ***IP*** *= 1 record terminated more than 48 hours after last day;* ***DNM****= 2/+ records terminated more than 48 hours after last day;* ***N/A*** *= new schools***Instructions for RDO**: For same 5 staff members, use “Events” tab in ADP to verify date of termination. |  |  |  |  |  |  |
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| **Complete the CT Pink Slip for all departures** (CT Only)***M*** *= 5 files have CT Pink Slip;* ***IP*** *= 1 CT Pink Slip missing;* ***DNM*** *= 2/+ CT Pink Slips missing;* ***N/A*** *= new schools***Instructions for RDO**: Using the same files pulled to verify presence of an exit ticket, verify presence of CT Pink Slip. **If 2/+ Pink Slips are missing, pull 5 additional files**.  |  |  |  |  |  |  |
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