

TIF: Human Capital Management System (HCMS) Self-Assessment

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Assessing the Progress and Future Planning of HCMS Reform: A Self-Assessment Tool for Teacher Incentive Fund (TIF) Grantees and Local Education Agencies

Background and Description

The *Human Capital Management System (HCMS) Self-Assessment* is a comprehensive, voluntary instrument designed to guide Local Education Agencies (LEAs) in examining their human capital practices with a critical eye toward improvement. The instrument identifies activities, tasks, processes, and collaborations that, when well implemented, can result in a high-quality HCMS leading to an improved workforce and improved student outcomes. A central premise of this self-assessment is that all LEAs have strengths upon which to build and, through ongoing reflection, can identify existing best practices and use them as cornerstones for promoting broad-based HCMS implementation. Another premise is that LEAs can learn from each other by sharing information on what constitutes HCMS quality—both from the standpoint of what currently "works" and what can be done in the future to advance human capital policies and practices.

The HCMS Self-Assessment is structured around *Human Capital Quality Indicators*—a comprehensive framework developed through an indepth, collaborative process involving an extensive review of the literature on HCMS and related fields and feedback from TIF grantees. Although, the indicators encompass some of the key features of an effective HCMS, they go beyond by capturing what might be considered an ideal or model system of HCMS. Since Human Capital Management refers to managing all the talent in an organization, the term *educator* is used to denote all school staff including teachers, specialists, and administrators.

Altogether, 56 quality indicators are included in the instrument. They address six areas of HCMS functioning: General System Design, Recruitment/Selection/Placement, Induction/Mentoring, Professional Development, Evaluation, and Recognition and Reward. Also included are examples of evidence (i.e., "look-fors") that local decision-makers can use to determine whether or not the quality indicators are in place.

As with any framework of this type, it is important to remember that the quality indicators are not carved in stone. At the time of development, they were based on the extensive research knowledge, and best thinking of the TIF Center team. Nevertheless, high quality is a moving target, and continuous improvement can only be maintained if practitioners continue to examine what they are doing, explore creative strategies, and share their knowledge and experience.

Purpose

The purpose of the *HCMS Self-Assessment* is to promote continuous improvement. The tool provides administrators and key staff, in collaboration with other stakeholders, the opportunity to use a common set of research-based indicators to assess, plan, design, and execute strategies for ongoing refinement of HCMS practices. In addition, as a *working tool*, the self-assessment instrument offers a structure for conversation/internal dialogue about:

- HCMS strengths and opportunities;
- areas to focus on for future improvements;
- progress that has been made over time;
- strategies that could be considered models of effective practice; and
- areas where further professional development or technical assistance may be needed to improve practice.

The process of the self-assessment also provides intangible value beyond written reports or assessments because it

- builds commitment and ownership on the part of the district-level staff who participate in the process;
- promotes team building and consensus among district leaders;
- increases the capacity for strategic thinking in the field of HCMS; and
- builds an understanding of an ideal model for HCMS implementation.

Directions for Use

To complete the self-assessment, LEAs are asked to review the quality indicators for each of the six HCMS areas and then, based on supporting evidence (i.e., "look-fors"), make an overall determination about the level of implementation using the 5-point rating scale described below.

Rating	Rubric
1 No Implementation	Our LEA is not implementing any (or hardly any) of the indicators for this HCMS area. We need significant support in this area.
2 Minimal Implementation	Our LEA is implementing some of the indicators for this HCMS area, but most of our efforts are in the planning stage. Substantial work is needed to improve our approach.
3 Moderate Implementation	Our LEA is implementing most of the indicators for this HCMS area, but some gaps in implementation exist and improvements could be made.
4 Complete Implementation	Our LEA is implementing most of the indicators for this HCMS area. Our approach is systematic and organized with no major gaps.
5 Exemplary Implementation	Our LEA is implementing all of the indicators for this HCMS area. We have a sound, systematic approach that could serve as a model for other LEAs.

Directions for Use of the Notes Section

Each HCMS area and indicators is accompanied by a section for *Notes*. This section may be used to record other information that can expand upon the LEA's performance in a given area. For example, an LEA may use the Notes section to

- provide statements about progress, e.g., "our LEA is in the early planning phase, but we have a commitment to move forward";
- provide more information and greater detail on accomplishments—i.e., going beyond the listed indicators;
- describe strengths, weaknesses, and plans for improvement; and/or
- provide an explanation as to why the LEA is not implementing a specific indicator, e.g., "This indicator is not applicable to our LEA."

Recommended Steps

The following steps are recommended to conduct the LEA HCMS self-assessment.

- 1. **Identify and recruit the key stakeholders to complete the self-assessment.** A variety of approaches to conducting this step can prove effective. One possibility is to have a representative team of LEA-level decision-makers complete the self-assessment as a group. Another approach is to have individual stakeholders fill out the tool separately, and then have the individual results compiled for group discussion and self-assessment completion. Yet a third way is to have the instrument completed by one or two people who are most knowledgeable of the HCMS program. Regardless of the approach used, however, it is important to enlist input from key stakeholder groups.
- 2. **Review supporting evidence and data.** Sources of evidence can include the LEA plans, reports, minutes of meetings, mission/vision statements, policies, written documentation and data gathered through interviews with stakeholders, monitoring tools, the LEA's professional development plan, progress reports, and so forth. We have provided examples of evidence/look-fors that would be appropriate for each HCMS area
- 3. **Complete the self-assessment.** Carefully read each indicator then place a checkmark (√) in the box provided if you feel that the indicator is in place (and you have evidence to support this). Review the individual assessments and provide a final rating for the HCMS area by circling or highlighting the appropriate number or table cell. Use the Notes section to record any explanatory or expanded information about the LEA's performance. Once you have rated the six major HCMS areas, transfer your ratings to the Summary Form, on page 17.
- 4. **Reflect on the self-assessment.** Upon completion of the self-assessment, LEAs should engage key HCMS stakeholders in reflection about the current status of the HCMS implementation. Through thoughtful discussion, HCMS stakeholders should then determine which HCMS areas require refinement.

In Conclusion

It is important to remember that *high quality* is a moving target. LEAs should consider completing the HCMS Self-Assessment, along with the summary form, on an ongoing basis to review and document HCMS program improvement efforts.

Table 1. General System

Ge	eneral System Q	uality Indicators					Check if Implemented	
1.	The LEA has an ex	xplicit vision for instruc	tional improvement an	d a strategic plan to ac	hieve it.			
2. The LEA clearly articulates and measures the knowledge, skills, and competencies educators need to realize the instructional vision.								
3.	3. The LEA has an explicit talent strategy to: acquire, develop, train, support, reward, and retain the most effective educators.							
4.	4. The LEA has restructured its human resource system to support the implementation of an aligned HCMS (e.g., by revamping HR policies and practices including staffing criteria).							
5.	5. The LEA has galvanized support for the aligned HCMS by engaging stakeholders through ongoing and transparent communication.							
6.		data and regularly eva						
7.		schools with sufficient ties, and duties in a wa				assign		
8.		s and supports a culture effectiveness, (c) collec						
9.		hers' and principals' or arent and equitable ed						
	Final Rating: 1 2 3 4 5 No Minimal Moderate Complete Exemplary Implementation Implementation Implementation Implementation							
NC	-							

General System Indicators: Possible Evidence or "Look Fors"

- 1. Vision statement for instructional improvement including an action plan that depicts the timeline for implementation
- 2. Records/Documentation identifying the specific strategies used for implementing the vision for improvement (e.g., written communication, website postings, meetings, presentations)
- 3. Formal process to systematically and regularly seek stakeholder input and for stakeholders to raise questions/concerns
- 4. Communication/media strategy
- 5. Educators Standards Manual or other resource identifying the core competencies educators need to meet in order to carry out the instructional improvement strategy
- 6. Research/Evidence that the core competencies reflect evidence-based standards (e.g., list of sources or frameworks used to develop and/or adapt the standards)
- 7. Records/Documentation of a benchmark analysis of the current HR system was conducted
- 8. Evidence that the HR policies and practices have been enhanced or restructured: moving from a strictly support function to being the cornerstone of an integrated talent management system (e.g., guidelines emphasizing alignment of all HR function, new HR staff, extensive re-training of existing staff)
- 9. Evidence that a decision maker from the HR department is involved in all key decisions at central office (e.g., documents/minutes showing an HR presence during budget planning meetings, curricular meetings, meetings regarding personnel needs)
- 10. Evidence that the LEA has communicated the importance of and strategies for HCMS to various stakeholder groups including district personnel, parents, and community members (e.g., memos, newsletters, presentations, other communications)
- 11. Evidence, such as survey results, that stakeholders understand and support the HCMS
- 12. Data systems/Software enabling the coordination/alignment of all HR functions with the HCMS
- 13. Monitoring measures—e.g., surveys—that provide feedback on the alignment of HCMS functions
- 14. Waivers—i.e., from state statue and the collective bargaining agreement—to provide greater operational flexibility in the use of people, money, and time to best drive student achievement

- 15. Testimonials on school culture/work environment (e.g., results of surveys, focus groups, interviews)
- 16. Records/Documentation describing LEA efforts to promote more flexible work schedules (part-time work, job sharing, flex-time) and work policies (e.g., business casual dress, safe/secure facilities)
- 17. Regulations/policies on teacher planning time
- 18. Monthly school schedule showing periods of common planning time, PLCs, peer review etc. to promote teamwork and collaboration
- 19. Student discipline policies including regulations regarding bullying, harassment, and weapons
- 20. Testimonials showing educator satisfaction with working conditions (e.g., results of surveys, focus groups, interviews, and other feedback mechanisms)

Table 2. Recruitment, Selection and Placement

Re	cruitment, Sele	ction, and Placeme	nt Quality Indicator	rs			Check if Implemente
1.	The LEA uses mea need.	ningful data to detect	and forecast personnel	needs and develop hir	ing goals based on identi	ified	
2.	The LEA identifies and actively recruits educators with specific performance competencies necessary to produce high levels of student achievement.						
3.		riety of recruitment str interviewing at local co			rspapers, publications surebsites.	ch as	
4.	The LEA established talent.	es partnerships with re	outable universities an	d/or talent recruitmen	t organizations to obtair	top	
5.	The LEA draws no	n-traditional candidate	s into teaching by recr	uiting from alternative	sources.		
6.	. The LEA provides incentives to help attract effective educators (e.g., higher salary, signing bonus, additional benefits, increased compensation for teaching in hard-to-staff subjects and locations, subsidized tuition, or forgivable loans).						
7.		gorous process and a va essary to produce high			and hire those with the		
8.	The LEA's hiring a	nd placement timeline	s enable the early hirir	ng of educators.			
9. The LEA's placement policies ensure that effective educators are equitably distributed across schools (including hard-to-staff schools), assigned to teach within their area of licensure, and placed in schools where they can be effective. The LEA should have a clearly defined process for meeting this goal.							
10.	The LEA's placem	ent policies eliminate f	orced placements and	the practice of seniori	ty dictating placement.		
		1	2	3	4		5
	Final Rating:	No Implementation	Minimal Implementation	Moderate Implementation	Complete Implementation		Exemplary plementation
NO	TES (evidence of a	accomplishments, rela	ted data/criteria, key	stakeholders involved	l, critical issues, Web si	te, etc.):

Recruitment, Selection, and Placement Indicators: Possible Evidence or "Look Fors"

- 1. Records/Documentation showing an explicit link between recruitment/selection practices and (1) requisite educator standards/competencies, and (2) other HCMS functions (e.g., recruitment channels are modified based on educator performance data and the competencies needed by the LEA to realize the instructional vision)
- 2. Results of a workforce gap analysis to forecast future workforce needs
- 3. Strategic plan for recruiting, selecting, and placing top talent in schools
- 4. Evidence of training administrators who are interviewing for teaching positions
- 5. A hiring manual that includes interview questions that personnel can use to conduct interviews
- 6. Evidence of a hiring committee at the building level that includes exemplary teachers
- 7. Partnership agreements with high-quality educator preparation programs and other talent pipelines
- 8. Records/Documentation identifying the recruitment strategies used to attract top talent (e.g., employment ads, job postings)
- 9. Records/Documentation describing the incentives available/provided to attract effective educators overall, and in hard-to-staff schools
- 10. Statistics/Data on number and amount of signing (or other) bonuses given
- 11. List of screening measures and tools
- 12. Hiring selection criteria
- 13. Hiring cycle timeline
- 14. Statistics/Data on the number of newly hired by recruitment source, and the average time it takes to recruit and hire
- 15. Placement policies that align to best practices
- 16. Transfer policies
- 17. Statistics/Data showing the distribution of educators within schools by licensure area, experience level and skill level
- 18. Statistics/Data showing the background/qualifications of teachers in STEM-subjects

Table 3. Induction and Mentoring

In	duction and Men	toring Quality Indic	ators				Check if Implemented
 The LEA provides an intensive, comprehensive, and sequentially delivered induction/mentoring program structure around its vision of instructional improvement. 							
2. New educators are required to participate in the induction/mentoring program until they meet minimum standards they are required to exit the program after a set number of years (and be dismissed if they fail to meet minimum standards).							
3.	3. The induction/mentoring program uses a collaborative coaching model that is informed by rigorous teaching standards and performance rubrics.						
4.	The induction/me instructional skills	ntoring program trains	and supports new educ	cators in both classroor	n management and		
5. The induction/mentoring program includes time for new educators to observe, plan, and collaborate with other educators.						her	
6. The LEA implements a rigorous mentor selection and training process that is grounded in research and best practices. The LEA has structures and timelines to help facilitate the mentor/novice educator relationship including required activities and tasks.						ncluding	
7.		the effectiveness of ir teria that are grounded			based on clearly		
	Final Rating:	1 No Implementation	2 Minimal Implementation	3 Moderate Implementation	4 Complete Implementation		5 Exemplary olementation
NC	OTES (evidence of a	accomplishments, rela	ted data/criteria, key	stakeholders involved	d, critical issues, Web	site, etc.):

Induction and Mentoring Indicators: Possible Evidence or "Look Fors"

- 1. Records/Documentation showing an explicit link between induction/mentoring programs and (1) requisite educator standards/competencies, and (2) other HCMS functions (e.g., induction/ mentoring outcomes inform the design of subsequent professional development programs—all structured around the vision for instructional improvement)
- 2. Districtwide plan for coaching and mentoring newly hired educators
- 3. Resources allocated to support high-quality induction/mentoring programs (e.g., stipends, schedules)
- 4. Mentor selection criteria aligned to best practices including a rigorous interview
- 5. Evidence of effective training plans for mentors
- 6. Mentor training plan
- 7. Induction/Mentoring evaluation strategy: (e.g., measures, procedures, results, decisions made based on data)
- 8. Statistics/Data showing the number/percentage of new hires that participated in comprehensive induction/mentoring programs
- 9. Statistics/Data that tracks the effectiveness of the mentees and links that data to the mentor
- 10. Testimonials from new hires on the quality and effectiveness of induction and mentoring (e.g., results of surveys, focus groups, interviews)

Table 4. Professional Development

Pr	ofessional Deve	lopment Quality Ind	licators				Check if Implemented	
1.		sustained, job-embedd instructional improvem		ssional development (PI	O) to educators that is a	aligned		
2.	2. PD content is designed according to identified needs based on educator evaluation results and student performance							
3.	3. PD progresses developmentally and differentiates by responsibility and levels of expertise/experience; it moves educators along a performance pathway from novice, to tenure, to higher levels of performance and educator leadership roles.							
4. PD provides adequate time for educator collaboration, active learning, and reflection.								
5.	5. The LEA has developed a system in which PD supports educator leaders by creating opportunities and structures for exemplary educators to take responsibility for instructional leadership and mentoring.							
6.	The LEA sets goal most effective ele		opment and evaluates	its effectiveness redire	cting resources toward	s the		
7.	The district has a	n intervention program	for struggling teachers	s, with a clearly articul	ated referral process.			
		1	2	3	4		5	
	Final Rating:	No Implementation	Minimal Implementation	Moderate Implementation	Complete Implementation		Exemplary plementation	
NC	OTES (evidence of	accomplishments, rela	ted data/criteria, key	stakeholders involved	l, critical issues, Web s	site, etc.	.):	

Professional Development Indicators: Possible Evidence or "Look Fors"

- 1. Records/Documentation showing an explicit link between PD and (1) requisite educator standards/ competencies, and (2) other HCMS functions (e.g., professional development focuses on areas of instructional practice where educators received lower evaluation scores to ensure instructional effectiveness)
- 2. Districtwide professional development (PD) plan that includes integrated structures and processes both vertically and horizontally
- 3. Individual PD plans for all new teachers and administrators
- 4. Partnership agreements with institutions of higher education (IHEs) and other service providers to support the PD needs of educators
- 5. PD event calendar (e.g., activities, resources, timelines, intended audiences, intended outcomes)
- 6. Inventory of all PD opportunities/resources available (e.g., electronic resources, PLCs, peer observation, study groups)
- 7. Resources allocated to support high-quality PD
- 8. PD needs assessment strategy (e.g., measures, procedures, results, decisions made based on data)
- 9. PD evaluation strategy (e.g., measures, procedures, results, decisions made based on data)
- 10. Records/Documentation identifying available opportunities for career advancement
- 11. Statistics/Data on PD participation rates and hours of participation by educator type
- 12. Statistics/Data on PD content and the effectiveness of implementation results (test scores—benchmark, and/or high stakes)
- 13. Testimonials about the quality and effectiveness of PD (e.g., results of surveys, focus groups, interviews)

Table 5. Evaluation

Ev	aluation Quality	Indicators					Check if Implemented	
1.		ducator evaluation systous, research-based rub			onal improvement and in nce.	ncludes		
2.	to risor							
3.		evidence of student gro educator evaluation sy	` • ·	d, student growth perc	entiles, etc.) as a signif	icant		
4.	The LEA conducts unannounced obse		servations of educator	performance throughou	ut the year including sor	me		
5.		e evaluation system tra student growth measur		by ensuring that they	understand the evaluati	on		
6.					ations to ensure that th rtified on an annual bas			
7. The LEA monitors the evaluators for inter-rater reliability and consistency.								
8.	8. The LEA uses the evaluation results for formative purposes to provide feedback to educators about their performance and uses data to determine professional development to improve it.							
9.	The LEA has a pro assessments.	cess in place to evalua	te educators who teach	n grades and subjects v	vithout EOY and EOG			
10		evaluation results for somotion, and dismissal.		make personnel decisio	ons around tenure,			
11		Illy assesses the quality ik from educators and o			cator evaluation system on results to student	by		
12	. The LEA has a dat	a infrastructure in plac	e to link educators to i	individual students.				
	Final Rating: 1 2 3 4 5 Moderate Complete Exemplary Implementation Implementation Implementation Implementation							
NC	Implementation implem							

Evaluation Indicators: Possible Evidence or "Look Fors"

- 1. Records/Documentation showing an explicit link between educator evaluation and (1) requisite educator standards/competencies, and (2) other HCMS functions (e.g., evaluation results inform tenure decisions to reward and retain the most effective educators)
- 2. Educator evaluation policies/procedures (including guidelines on the design and intent of the evaluation system and use of evaluation results)
- 3. Records/Documentation identifying the:
 - components of the evaluation system
 - format/methods of evaluation
 - frequency of evaluation
 - type of evaluators/observers and the training required of each
- 4. Evidence that student growth measures are incorporated into an educator's final evaluation rating
- 5. Written guidelines for evaluators; schedule of evaluator training sessions
- 6. Records/Documentation identifying the strategies used to keep educators informed and ensure their understanding about all aspects of the evaluation system (e.g., written communication, website postings, meetings, presentations)
- 7. Statistics/Data on the percentage of educators evaluated by type and tenure status, and the percentage falling within each effectiveness level (e.g., HEDI levels)
- 8. Copies of the evaluation forms, records of observation, analyses of performance ratings, etc.
- 9. Testimonials about the quality and effectiveness of the evaluation system (e.g., results of surveys, focus groups, interviews, and other feedback mechanisms)

Table 6. Recognition and Reward

Re	cognition and R	eward Quality Indic	ators				Check if Implemented
1.	The LEA has a syst	tem/process for recogn	izing and rewarding ed	ucator performance th	at is transparent and fa	ir.	
2.	 The LEA provides performance-based compensation built on educator effectiveness in (a) meeting student achievement growth targets, and (b) exhibiting the knowledge and skills required for effective job performance (as determined by educator evaluation). 						
3.	The LEA performa	nce pay model differen	tiates between base p	ay and variable pay (i.e	e., one-time bonuses).		
4.		compensation to educa t trainer, action researd		ership responsibilities (e.g., peer coach, mento	or,	
5.	5. The LEA provides non-monetary incentives for performance including professional growth and advancement opportunities and improved working conditions (workload, autonomy, climate, collaborative planning, involvement in decision-making, etc.).						
6.	6. The LEA performance pay structure includes (1) Individual incentives rewarding individual performance and (2) group incentives rewarding all educators in a unit (e.g. school building) for working as a team to achieve group goals.						
7.	The LEA provides	additional incentives fo	r teaching in hard-to-s	taff positions and high	-need schools.		
8.	All educators, reg district performar		t taught, specialist sta	tus, or administrator r	ole, are included in the		
9.	The LEA extends t level of performa		hen an educator's insti	ructional practice reac	hes a defined profession	nal	
10.	The LEA identifies	and terminates educat	ors who, despite ampl	e support, have failed	to meet expectations.		
11.	The LEA streamlin	es the dismissal and ap	peals process to minim	nize damage caused by	underperforming staff.		
	Final Rating: 1 2 3 4 No Minimal Moderate Complete Implementation Implementation Implementation Implementation Implementation						5 Exemplary plementation
NC	NOTES (evidence of accomplishments, related data/criteria, key stakeholders involved, critical issues, Web site, etc.):						

Recognition and Reward Indicators: Possible Evidence or "Look Fors"

- 1. Records/Documentation showing an explicit link between the recognition and reward structure—i.e., compensation, incentives, and promotion—and (1) requisite educator standards/competencies, and (2) other HCMS functions (e.g., incentives are results-oriented, realistic, and reflect multiple dimensions of performance aligned with the instructional vision)
- Salary/Pay structure for educators with evidence showing that salary increases and bonuses are correlated with performance-based evaluation results
- 3. Records/Documentation describing the incentives operating at the school, classroom, and individual level
- 4. Written description of career ladders of teacher leader opportunities
- 5. Statistics/Data on the actual investments in performance-based compensation
- 6. Statistics/Data on the percentage of educators receiving performance-based compensation and non-monetary incentives
- 7. Testimonials about the quality and effectiveness of the recognition and reward system (e.g., results of surveys, focus groups, interviews, and other feedback mechanisms)
- 8. Tenure and termination policies/procedures
- 9. Statistics/Data on the number of educators granted tenure and reasons for tenure
- 10. Statistics/Data on the number of educators terminated and reasons for termination
- 11. Due process/termination timeline
- 12. Testimonials about the quality and effectiveness of tenure/termination process (e.g., results of surveys, focus groups, interviews, and other feedback mechanisms)

Table 7. Final Rating Summary Form

Program Area / Quality Indicators	Final Rating: Level of Implementation						
1. General System	1	2	3	4	5		
	None	Minimal	Moderate	Complete	Exemplary		
Recruitment, Selection, and Placement	1	2	3	4	5		
	None	Minimal	Moderate	Complete	Exemplary		
3. Induction and Mentoring	1	2	3	4	5		
	None	Minimal	Moderate	Complete	Exemplary		
4. Professional Development	1	2	3	4	5		
	None	Minimal	Moderate	Complete	Exemplary		
5. Evaluation	1	2	3	4	5		
	None	Minimal	Moderate	Complete	Exemplary		
6. Recognition and Reward	1	2	3	4	5		
	None	Minimal	Moderate	Complete	Exemplary		