Associate Professional In Human Resources® ("aPHR®")

Table of Contents

START HERE GUIDE

INTRODUCTION

Why should you get certified?

- The purpose of the Vets2PM Associate Professional in Human Resources® (aPHR®) certification preparation course is to help military members translate military experience into a civilian business role, bridge the gap between military and civilian HR, and learn the language to effectively lead civilians

- The Associate Professional in Human Resources® (aPHR®) certification serves as an important resource for military members while serving, during their transition, and after separation

- It serves as a gateway to a successful transition and civilian career

- It is for the military HR professional who wants to pursue a civilian HR career

- It is for the military leader who wants to lead people and manage departments/organizations in the civilian sector

Certification Requirements

- Visit HRCI Certification for Military HR Personnel to review certification requirements

Frequently Asked Questions

- Visit military-faqs-final.pdf (hrci.org) to review frequently asked questions for military

Exam Content Outline

- aphr-exam-content-outline.pdf (hrci.org)

- Exam Weighting by Functional Area:

  - Functional Area 01 | HR Operations (38%) Functional
  - Functional Area 02 | Recruitment and Selection (15%) Functional
  - Functional Area 03 | Compensation and Benefits (14%) Functional
  - Functional Area 04 | Human Resource Development and Retention (12%) Functional
  - Functional Area 05 | Employee Relations (16%) Functional
  - Functional Area 06 | Health, Safety, and Security (5%)

RESOURCES

- The Associate Professional in Human Resources (aPHR®) exam is created using the exam content outline and several different sources

- There is not one source that teaches the exam

- We are including subjects that the military member is most likely **NOT** familiar with
    o Will not cover everything that could possibly be tested on

- Vets2PM recommendations are to utilize this course and all of the resources provided in the student portal

- Recommended additional resources:
    o https://www.hrci.org/, Home | U.S. Department of Labor (dol.gov)
    o Home | Occupational Safety and Health Administration (osha.gov)
    o *HRBoK™*
        - You do not have to purchase the *HRBoK™* to pass the exam
        - Purchasing the *HRBoK™* is ideal after passing the exam and starting a civilian business role
    o Talent Acquisition Excellence - HR.com

- From hrci.org:
    o The Associate Professional in Human Resources (aPHR®) exam is created using the aPHR EXAM CONTENT OUTLINE, which details the responsibilities of and knowledge needed by today's HR professional. The aPHR EXAM CONTENT OUTLINE is created by HR subject matter experts through a rigorous practice analysis study conducted by HRCI. It is updated periodically to ensure it is consistent with the current knowledge required for those early in their HR career.
    o The *HRBoK™* provides you with a comprehensive overview of the profession and essential HR practices. HRCI's second edition of the HRBoK is a great resource that benefits:
        - **HR practitioners** – The guide enables professionals to self-assess their knowledge and understanding of HR management (HRM) practices.

        - **HR organizations** – The HRBoK provides HR departments with insight and context for comparing HRM practices with generally accepted principles and best practices.
        - **HR Instructors** – University professors of HR, HRCI certification preparation providers and HRCI Approved Providers can ensure that that topics covered in classes and programs prepare participants to succeed in the HR profession.

        - **HRCI Certification Candidates** – This guide covers the core knowledge requirements for all exams developed by HRCI and aligns with their Exam Content Outlines, making the HRBoK a useful resource for professionals planning to take, or preparing others to take an HRCI exam.

<u>HOW TO SIGN UP FOR THE EXAM</u>

- Visit <u>HRCI HR Certifications - Understand the HRCI Application Process</u>

- Do not purchase a bundle because you are participating in this course

<u>EXAM FORMAT</u>

- Exam format and length
    - Exam time is 2 hours and 15 minutes
    - Exam length is 125 questions of which 100 are scored questions and 25 are pretest questions
    - The questions consist of multiple choice, fill in the blank, and matching
    - Computer-based exam at a Pearson VUE testing center or at your home or office using <u>OnVUE</u>
    - Tested on knowledge of foundational Human Resources

<u>STUDY PLAN RECOMMENDATION</u>

- Schedule exam for five weeks after granted access to course
- 30-Day study plan (see study plan in resources tab)
- Take exam during the fifth week

STUDY PLAN

Everyone learns differently and it is important to study the way that works for you. The first step for this study plan is to sign up for the exam. It has been proven that when you know your test date, you prepare better. This provides you a goal to work towards and helps keep you focused. It is recommended to schedule the exam five weeks out from when you can access the course.   This is designed for you to take the exam the fifth week.

To best prepare for this exam, set aside two to three hours per day, six days a week, for four weeks. Study for 50 minutes and take a 10-minute break.

Daily actions to accomplish that are outside of the two hours a day structured study plan:

☐ Review the index cards during idle time such as waiting in line, commercial breaks, walking on the treadmill, riding a stationary bike, and using the restroom (yup…we went there), etc. This reinforces knowledge of the terms you probably have not heard before or are not familiar with.

☐ Read from the following sites to reinforce what you are most likely already familiar with (just need to translate it to civilian terms):

> HR Leads Business (hrci.org)
> News Releases | U.S. Department of Labor (dol.gov)
> OSHA News Releases – Enforcement | Occupational Safety and Health Administration
> Front Page | National Labor Relations Board (nlrb.gov)
> ADA.gov homepage

☐ Find the LinkedIn accounts of the above agencies and follow them. Visit their pages daily and read what they are posting.

☐ Watch Human Resources related YouTube channels

- o Suggested channels (utilize search bar)
  - ▪ HR.com
  - ▪ SHRM
  - ▪ USDepartmentofLabor
  - ▪ TheEEOC

30-DAY STUDY PLAN

WEEK ONE

Monday

- ☐ Watch Functional Area 1 training video
- ☐ Read/review Functional Area 1 study guide

Tuesday

- ☐ Watch Functional Area 2 training video
- ☐ Read/review Functional Area 2 study guide

Wednesday

- ☐ Watch Functional Area 3 training video
- ☐ Read/review Functional Area 3 study guide

Thursday

- ☐ Watch Functional Area 4 training video
- ☐ Read/review Functional Area 4 study guide

Friday

- ☐ Watch Functional Area 5 training video
- ☐ Read/review Functional Area 5 study guide

Saturday

- ☐ Watch Functional Area 6 training video
- ☐ Read/review Functional Area 6 study guide

WEEK TWO

Monday

- ☐ Watch Functional Area 1 training video
- ☐ Read/review Functional Area 1 study guide

Tuesday

- ☐ Watch Functional Area 2 training video
- ☐ Read/review Functional Area 2 study guide

Wednesday

- ☐ Watch Functional Area 3 training video
- ☐ Read/review Functional Area 3 study guide

Thursday

- ☐ Watch Functional Area 4 training video
- ☐ Read/review Functional Area 4 study guide

Friday

- ☐ Watch Functional Area 5 training video
- ☐ Read/review Functional Area 5 study guide

Saturday

- ☐ Watch Functional Area 6 training video
- ☐ Read/review Functional Area 6 study guide

WEEK THREE

Monday

- ☐ Watch Functional Area 1 training video
- ☐ Read/review Functional Area 1 study guide

Tuesday

- ☐ Watch Functional Area 2 training video
- ☐ Read/review Functional Area 2 study guide

Wednesday

- ☐ Watch Functional Area 3 training video
- ☐ Read/review Functional Area 3 study guide

Thursday

- ☐ Watch Functional Area 4 training video
- ☐ Read/review Functional Area 4 study guide

Friday

- ☐ Watch Functional Area 5 training video
- ☐ Read/review Functional Area 5 study guide

Saturday

- ☐ Watch Functional Area 6 training video
- ☐ Read/review Functional Area 6 study guide

WEEK FOUR

Monday

- ☐ Watch Functional Area 1 training video
- ☐ Read/review Functional Area 1 study guide

Tuesday

- ☐ Watch Functional Area 2 training video
- ☐ Read/review Functional Area 2 study guide

Wednesday

- ☐ Watch Functional Area 3 training video
- ☐ Read/review Functional Area 3 study guide

Thursday

- ☐ Watch Functional Area 4 training video
- ☐ Read/review Functional Area 4 study guide

Friday

- ☐ Watch Functional Area 5 training video
- ☐ Read/review Functional Area 5 study guide

Saturday

- ☐ Watch Functional Area 6 training video
- ☐ Read/review Functional Area 6 study guide

WEEK FIVE

- ☐ Take the exam

aPHR Tasks

The aPHR® is a knowledge-based exam. Candidates are responsible for the six knowledge areas described in the last six units. Candidates should also be familiar with the tasks a HR professional would likely be expected to perform at the early HR career level.

01 Access, collect, and provide information and data to support HR-related decisions (for example: recruiting, employee relations, training, safety, budgeting, needs analysis, off-boarding, termination)

02 Comply with all applicable laws and regulations

03 Coordinate and communicate with external providers of HR services (for example: recruiters, COBRA administrators, employee recognition services)

04 Maintain employee data in HRIS or system of record

05 Maintain, file, and process HR forms (for example: notices, announcements, new hire forms, salary forms, performance, termination paperwork)

06 Prepare HR-related documents (for example: reports, presentations, organizational charts)

07 Provide internal customer service by answering or referring HR-related questions from employees as the first level of support

08 Communicate information about HR policies and procedures

09 Communicate the organization's core values, vision, mission, culture, and ethical behaviors

10 Identify risk in the workplace

11 Minimize risk by conducting audits (for example: I-9, workers' compensation, employee records)

12 Document and update essential job functions with the support of managers

13 Post job listings (for example: company website, social media, job boards)

14 Manage applicant databases (for example: enter data, access records, update records)

15 Screen applicants for managers to interview

16 Answer questions from job applicants

17 Coordinate interview logistics

18 Interview job candidates

19 Arrange for tests and assessments of applicants

20 Coordinate the employment offer (for example: start date, salary, benefits)

21 Administer post-offer employment activities (for example: execute employment agreements, complete I-9/e-Verify process, coordinate relocation, immigration)

22 Communicate compensation and benefits programs and systems

23 Coordinate activities to support employee benefits programs (for example: wellness, retirement planning)

24 Coordinate payroll-related information (for example: new hires, adjustments, paid time off, terminations)

25 Process claims from employees (for example: workers' compensation, short-term or long-term disability benefits)

26 Resolve routine employee compensation and benefits issues

27 Conduct orientation and onboarding for new hires, rehires, and transfers

28 Coordinate training sessions (for example: logistics, materials, tracking, registration, evaluation)

29 Conduct employee training programs (for example: safety regulations, emergency preparedness, presentation skills, time management skills)

30 Coordinate the logistics for employee relations programs (for example: recognition, special events, diversity programs)

31 Monitor completion of performance reviews and development plans

Functional Area 01 | HR Operations (38%)

Understanding the tactical and operational tasks related to workforce management and the HR function. Complying with the laws, regulations, and policies that affect the organization.

<u>Study Guide One Objectives</u>

By the end of this study guide, you should be able to identify and explain:

- Organizational strategy and its connection to mission, vision, values, business goals, and objectives
- Organizational culture
- Legal and regulatory environment
- Confidentiality and privacy rules that apply to employee records, company data, and individual data
- Business functions
- HR policies and procedures
- HR Metrics
- Tools to compile data
- Methods to collect data
- Reporting and presentation techniques
- Impact of technology on HR
- Employee records management
- Statutory reporting requirements
- Purpose and function of Human Resources Information Systems (HRIS)
- Job classifications
- Job analysis methods and job descriptions
- Reporting structure
- Types of external providers of HR services
- Communication techniques

01 Organizational strategy and its connection to mission, vision, values, business goals, and objectives

- **Major HR functions include**
  - Staffing
  - Performance management
  - Compensation and benefits
  - Training and development
  - Employee relations
  - Safety, health, and security
  - HR research

Notes:

- **HR Positions**
  - Human Resource Manager, Vice President, or Director of Human Resources
  - Human Resource Generalists (more senior in nature)
  - Human Resource Specialists
  - Human Resource Business Partner
  - Training and Development Manager
  - Risk Management Manager

Notes:

- **HR Roles**
  - Advisor/counselor
  - Service
  - Control

Notes:

- **Strategy**
  - Careful plan of action
  - Strategic planning helps an organization carry out the vision and mission

- **Vision**
  - Communicate the organization's current status compared to the strategy to the other business partners
  - Develop a shared vision
    - Vision Statement: Declaration of what an organization wants to be in the future/wants to become
    - This can change frequently depending on the strategy of the organization
    - All HR activities should support this vision
    - Ensure the vision statement supports the mission statement of the organization

- **Mission**
  - A description of the purpose of an organization which does not change
  - All HR activities should support this mission

- **Values**
  - Having clear organizational values helps you ensure that employees are working towards a common goal
  - These support the vision statement and mission statement
  - Every business decision should be aligned with the values

- **Business Goals**
  - Developed from the strategy, vision, mission, and values of an organization
  - Should be SMART
    - Specific
    - Measurable
    - Action-oriented
    - Realistic
    - Time-based
- **Objectives**
  - Actions each employee, team, department, division, etc. undertake to achieve goals

- **Business Plan**
  - Help organization acquire needed resources to carry out strategy
  - Written to obtain financing
  - Clear, specific, realistic

Notes:

- **How HR can influence organizational strategy**
  - Know the strategic plan of the organization
  - Take a key role in shaping their organization's strategy and contributing to its future success
    - Organization's direction for the future
    - Completed in 4 stages
      - Analysis
      - Development
      - Implementation
      - Evaluation
  - HR knows the workforce better than most
  - Be at the table when strategy is designed
  - Promote strategy development and implementation
  - Know the organization's status compared to the strategy
    - Strengths and weaknesses
  - Consistently ask "where are we going?" and "what do we need to do to get there?"
  - Provide training to the workforce that introduces, reiterates, and reinforces the strategic plan
  - Develop the HR department's strategy to model after the organizational strategy
    - Ensure all HR activities directly and indirectly support the organization's strategy
  - Work together with the organization versus against the organization
    - Serve as a strategic business partner
  - Know the internal and external forces
  - Promote buy-in at all levels
  - Advocate for all
  - Be familiar with the organization's financial situation
    - HR activities are impacted by the financial situation
    - HR activities can influence the organization's financial success or failure
    - Financial statements
      - Balance sheet
      - Income statement
      - Cash flow statement
  - Budgets
    - A plan that describes an organization's expected income and expenses over a period
    - Two main types
      - Incremental
      - Zero-based

Notes:

- **Corporate Social Responsibility (CSR)**
  - Socially accountable
  - Organization seeks to improve its environment and societal impact
  - Social, environmental, and environmental impacts
  - Looks like
    - Hiring locals
    - Community service
    - Local partnerships

Notes:

02 Organizational culture (for example: traditions, unwritten procedures)

- **Culture**
    - Organizational rules and beliefs that are relatively enduring and resistant to change
    - Not easy to change

- **Climate**
    - Characteristics that are temporary and capable of being changed
    - Easy to change

- **Four levels of culture**
    - Artifacts
    - Norms
    - Values
    - Underlying assumptions

- **Unwritten procedures**
    - Behaviors and routines followed by employees that may or may not line up with the organization's values

- **Traditions**
    - Rituals, celebrations, and routines specific to your company

Notes:

03 Legal and regulatory environment

- **HR programs, practices, policies, etc. must align and comply with the laws and regulations**

- **Consult Legal experts as needed when it comes to the interpretation and application of employment laws**

- **The U.S. Department of Labor (DOL) administers and enforces more than 180 federal laws**
  - These mandates and the regulations that implement them cover many workplace activities

- [Summary of the Major Laws of the Department of Labor | U.S. Department of Labor (dol.gov)](#)

- **Equal Employment Opportunity Commission (EEOC)**

  - **Title VII of the Civil Rights Act of 1964**

  - **Age Discrimination in Employment Act (ADEA)**

  - **The Equal Pay Act**

- **The American With Disabilities Act (ADA)**

- **Family Medical Leave Act (FMLA)**

- **The Occupational Safety and Health Act**

- **Uniformed Services Employment and Reemployment Rights Act (USERRA)**

- **Organizational Ethics**
  - Right and wrong
  - How people should behave and be treated
  - Integrity, fairness, compassion, and consistency
  - Sarbanes-Oxley Act
    - U.S. law that sets specific standards for public companies
    - Established sweeping auditing and financial regulations
    - Protects shareholders, employees, and the public from accounting errors and fraudulent financial practices

Notes:

04 Confidentiality and privacy rules that apply to employee records, company data, and individual data

- **HR must protect the confidentiality of employees who share honest feedback where possible**

- **Safeguard personal employee information in its possession to ensure the confidentiality of the information**

    o Implement backup methods

- **Only collect personal information that is required to pursue its business operations and to comply with government reporting and disclosure requirements**

    o Employee names, addresses, telephone numbers, e-mail addresses, emergency contact information, EEO data, social security numbers, date of birth, employment eligibility data, benefits plan enrollment information, which may include dependent personal information, and school/college or certification credentials

- **Personal employee information will be considered confidential and as such will be shared only as required and with those who have a need to have access to such information**

- **Hard copies of data should be in locked and secured locations**

- **Personal employee information used in business system applications will be safeguarded under company proprietary electronic transmission and intranet policies and security systems**

- **Organizational charts, department titles and staff charts, job titles, department budgets, company coding and recording systems, telephone directories, e-mail lists, company facility or location information and addresses, is considered by the company to be proprietary company information to be used for internal purposes only**

Notes:

05 Business functions (for example: accounting, finance, operations, sales and marketing)

- **Many functions**
  - Finance: Strategic Planning & Controlling of finances
    - Cash flow metrics
      - Analyzing money coming in and going out
      - Net Cash Flow
      - Return on investment (ROI)
      - Return on equity (ROE)
  - Accounting: Operational activities related to bookkeeping
  - Sales and Marketing: Product, promotion, price, placement, and sales of company goods/services
    - Sales and Marketing metrics
      - Lead volume
      - Leads generated
      - Lead-to-customer percentage
      - Average Transaction Value (ATV)
      - Gross profit margin
      - Customer acquisition cost
      - Customer's lifetime value
  - Operations: Day-to-day functions of business such as production and supply chain
    - Operations metrics
      - Number of activities
      - Opportunity success rate
      - Innovation rate
  - Research and Development (R&D): Systematic approach to the design of new or refined products/services
  - Information and Technology: Activities and expertise applied to organizational hardware and software systems
  - Human Resources: Activities related to running the business through people, process, and strategic management systems

Notes:

06 HR policies and procedures (for example: ADA, EEO, progressive discipline)

- **HR Policies and Procedures**
  - National Labor Relations Board
    - Work to assure fair labor practices and workplace democracy nationwide
  - Policies serve three purposes
    - Reassure employees they will be treated fairly and objectively
    - Help managers make fast and consistent decisions
    - Give managers the confidence to resolve problems and defend their decisions
  - Policies guide the actions of the organization
  - Everyone should be able to view the policies
    - Employee handbooks (Must have a disclaimer that the handbook is for information purposes only and is not a legal binding document, and a statement that nothing changes the at-will nature of the employment relationship)
  - Equal Opportunity Employment (EEO) Reporting
    - EEO-1
  - Americans with Disabilities Act
    - Precludes discrimination based on race, sex, national origin, and religion
    - Employers must provide reasonable accommodations to employees who have a disability
    - Can't be unduly costly or impose undue hardship on the employer
  - Progressive Discipline
    - Severity and frequency should be considered

Notes:

07 HR Metrics (for example: cost per hire, number of grievances)

- **HR metrics**
  - Usually displayed via dashboards
  - Evaluate HR effectiveness
  - Analysis of the workforce
  - Utilized by everyone in the organization
  - Most common metrics
    - Employee turnover
    - Days to fill
    - Cost per hire
    - The ratio of unfilled positions
    - Number of grievances

Notes:

08 Tools to compile data (for example: spreadsheets, statistical software)

- **Human Resources Information Systems (HRIS)**

- **Human Resources Management Systems (HRMS)**

- **Systems or software**
    - Downloading of data
    - Use report function
- **Excel spreadsheets**
    - Human Resources Management Systems

Notes:

09 Methods to collect data (for example: surveys, interviews, observation)

- **Data is your friend as a HR professional and leader**
  - o Evidence-based decision making
- **Validating HR programs, practices, and policies**
  - o Monitoring their step-by-step processes from cradle to grave
  - o Ensure the same, desired output occurs every time
  - o Regularly audited
  - o Results are delivered in a consistent and predictable manner
- **Collection Methods**
  - o Focus groups
  - o Interviews
  - o Surveys
  - o Questionnaires
  - o Checklists
  - o Brainstorming

Notes:

10 Reporting and presentation techniques (for example: histogram, bar chart)

- **Displaying HR data**
  - o Histogram
  - o Column Chart
  - o Bar Chart
  - o Pie Chart
  - o Line Graph
  - o Dual-axis Chart
  - o Scatter Plot
  - o Venn Diagram
  - o Gantt Chart
  - o Pareto Chart
  - o Cause and Effect Diagram

Notes:

11 Impact of technology on HR (for example: social media, monitoring software, biometrics)

- **HR uses information technology to carry out essential business functions**
  - The functionality of an organization's IT resources
  - Cost of IT

- **HR professionals should identify and implement technologies that are most beneficial to their work**
  - Human Resources Information Systems (HRIS) are tools for managing relevant HR data
  - Applicant Tracking System aids recruitment by managing resumes, applicant information, open positions, etc.
  - Allows HR to obtain data
  - Social Media used to share content for marketing, recruiting, etc.
    - Revolutionized advertising
    - Can be used to gather data on applicants and employees
  - Monitoring Software that can detect threats to safety and security
  - Biometrics uses employee physiology to authenticate identity

Notes:

12 Employee records management (for example: electronic/paper, retention, disposal)

- **Employers must have policies regarding the record keeping of employee records and business records**
    - Some records need to be kept indefinitely
    - Some records should not be kept together such as medical information
    - All personnel records must be kept for the duration of a person's employment plus a designated period of time after termination

- **Some records will need to be retained for certain periods of time according to federal and state laws**
    - Resources for details on retention period
        - Fact Sheet #21: Recordkeeping Requirements under the Fair Labor Standards Act (FLSA) | U.S. Department of Labor (dol.gov)
        - A Brief Guide To Recordkeeping Requirements For Occupational Injuries And Illnesses (osha.gov)
        - Recordkeeping Requirements | U.S. Equal Employment Opportunity Commission (eeoc.gov)
        - How long should I keep records? | Internal Revenue Service (irs.gov)

- **Popular record retention time periods**
    - Personnel/employment records, one year
    - If an employee is involuntarily terminated, personnel records must be retained for one year from the date of termination
    - Payroll records, three years
    - Employee benefit plan and any written seniority or merit system for the full period the plan or system is in effect and for at least one year after its termination

Notes:

13 Statutory reporting requirements (for example: OSHA, ERISA, ACA)

- **Statutory reporting is the mandatory submission of financial and non-financial information to a government agency**
  - Statues are regulations
  - The Occupational Safety and Health Act (OSHA)
    - All employers are required to notify when an employee is killed on the job or suffers a work-related hospitalization, amputation, or loss of an eye
    - Fatalities must be reported within 8 hours
    - In-patient hospitalization, amputation, or eye loss must be reported within 24 hours

  - The Employment Retirement Income Security Act (ERISA)
    - Minimum standards for benefit plans of private, for-profit employers
    - Must conform to the Internal Revenue Code's requirements to receive tax advantages
    - Form 5500 is a required annual disclosure filing for every ERISA-governed pension plan, welfare plan, and direct filing entity
      - Developed jointly by the Department of Labor, the Internal Revenue Service, and the Pension Benefit Guaranty Corporation
      - Satisfies annual filing requirements under both ERISA and the Internal Revenue Code
  - Affordable Care Act (ACT)
    - The ACA requires employers to file annual information returns with the IRS and furnish statements to employees on healthcare plan coverage information
    - 50 or more employees

Notes:

14 Purpose and function of Human Resources Information Systems (HRIS)

- **Human Resource Information System (HRIS)**
  - o Personnel system
  - o Software solution
  - o Maintains, manages, and processes detailed employee information and human resources-related policies and procedures
  - o Part of an organization's Enterprise Resource Planning (ERP) system
    - Computer software that combines information from all areas of an organization and manages contact with people outside the organization

Notes:

15 Job classifications (for example: exempt, non-exempt, contractor)

- **The FLSA requires employers to classify all employee positions**
  - Overtime status is determined by wages and job duties
  - Exempt:
    - Not entitled to overtime pay
    - Earn more than $684 per week, or $35,568 annually
  - As provided by the FLSA, the Department of Labor (DOL) enforces seven classes of potentially exempt workers:
    - Executive Employees
    - Administrative Employees
    - Learned Professionals
    - Creative Professionals
    - Computer Employees
    - Outside Sales Employees
    - Highly Compensated Employees
  - Non-exempt:
    - Entitled to overtime pay over 40 hours per week
    - 1.5 times regular rate
  - Independent Contractor
    - 20-Factor Test
    - Independent Contractor (Self-Employed) or Employee? | Internal Revenue Service (irs.gov)
    - Behavioral Control
    - Financial Control

Notes:

16 Job analysis methods and job descriptions

- **Job analysis**
  - Review of tasks and requirements to determine their importance and relation to the other jobs in a company
  - This results in job descriptions, job specifications, and job evaluation
    - Description: A list of general duties and responsibilities for a job
    - Specifications: Essential parts of a particular class of jobs
    - Evaluation: Value or worth of a job in relation to other jobs

- **Methods of Job Analysis**
  - Task-based focuses on the tasks, duties, and responsibilities of a particular job
  - Competency-based looks more toward the knowledge and skills that are necessary to do the work
  - Tools
    - Questionnaires
    - Interviews
    - Daily logs of hourly activities for focus group discussions

Notes:

17 Reporting structure (for example: matrix, flat)

- **Organizational Structure**
  - The grouping of employees and processes
  - The way that employees and processes are grouped into departments or functions in an organization
  - Traditional structures
    - Functional
    - Divisional
    - Matrix
    - Hybrid
    - Flat
  - Organizational chart
    - Diagram showing reporting relationships

Notes:

18 Types of external providers of HR services (for example: recruitment firms, benefits brokers, staffing agencies)

- **External Providers**
  - Contracting with an external vendor (outsourcing) to provide HR services
  - Pros and cons
    - Must evaluate often
  - Recruitment firms
  - Benefits brokers
  - Staffing agencies

Notes:

19 Communication techniques (for example: written, oral, email, passive, aggressive)

- **Organizational Communication**
    - Direction of Communication
        - Downward
        - Upward
        - Horizontal
        - Informal

- **Methods of communicating**
    - Town hall meetings
    - Open-door policy
    - Management by Walking Around (MBWA)
    - Email
    - Intranet
    - Newsletters
    - Word-of mouth

- **Four communication styles**
    - Passive: Acts like it does not matter to them
    - Aggressive: Loud and demanding
    - Passive-aggressive: Does not confront issue or person
    - Assertive: Most effective style

- **Active Listening**
    - Helps with the communication process
    - Tells someone you are engaged
    - Mind and body involved in listening

Notes:

Functional Area 02 | Recruitment and Selection (15%)

Understanding the hiring process including regulatory requirements, sourcing of applicants, formal interview and selection process, and onboarding of a new hire.

Study Guide Two Objectives

By the end of this study guide, you should be able to identify and explain:

- Applicable laws and regulations related to recruitment and selection, such as non-discrimination accommodation, and work authorization
- Applicant databases
- Recruitment sources
- Recruitment methods
- Alternative staffing practices
- Interviewing techniques
- Post-offer activities
- Orientation and onboarding

01 Applicable laws and regulations related to recruitment and selection, such as non-discrimination, accommodation, and work authorization (for example: Title VII, ADA, EEOC Uniform Guidelines on Employee Selection Procedures, Immigration Reform and Control Act)

- **Federal Laws to consider when planning for new hires**
  - Civil Rights Act of 1964, Title VII: Prohibits employers from discriminating against employees based on sex, race, color, national origin, and religion
    - This act led to the creation of the Equal Employment Opportunity Commission (EEOC) which enforces and oversees laws against workplace discrimination
    - Discrimination covers an employee's disability, children, sexual orientation, gender identify, genetic information, and reporting discriminatory practices
    - Bona Fide Occupational Qualifications (BFOQ) recognizes that in some extremely rare instances a person's sex, religion, or national origin may be reasonably necessary to carrying out a particular job function in the normal operation of an employer's business or enterprise
    - Title VII applies to employers with 15 or more employees
  - Fair Labor Standard Act of 1938 (FLSA) which establishes standards for a minimum wage, overtime pay, recordkeeping, and child labor standards
    - Covers employers with at least $500,000 of business in a year
  - The Rehabilitation Act prohibits employment discrimination based on physical or mental disabilities
    - Charges employers with taking affirmative action to hire qualified disabled persons
  - Age Discrimination in Employment Act of 1967 protects employees who are 40 years of age and older from arbitrary and aged-biased discrimination in hiring, promotion, training, benefits, compensation, discipline, and terminations
  - Uniform Guidelines on Employee Selection Procedures (UGESP) provides standards on what constitutes discriminatory practices
    - Four-fifths rule

Notes:

02 Applicant databases

- **Applicant Tracking System**
  - Software application to electronically process a company's recruitment needs
  - Search for certain words to identify the best fit for the position
  - Allows employers to save time, stay better organized, and on top of the hiring process
  - Institutions that receive federal contracts are required to track applicant flow data
    - Information collected on the gender and race of applicants
    - Not used in hiring decisions
    - Not kept with an employee's application or personnel file

Notes:

03 Recruitment sources (for example: employee referral, social networking/social media)

- **Recruiting refers to procedures, strategies, and methods to find potential, qualified candidates who seek employment**
    - External Recruiting-Outside of the organization
    - Internal Recruiting-Inside of the organization
    - Alternative Recruiting-Internships, coops, temps
    - Active candidates-looking for new employment
    - Semi-active candidates-not actively looking but preparing for new opportunities
    - Passive candidates-employed but not looking for work

- **Employee Referrals**
    - Can be used when regular recruiting methods are not filling the vacancies

- **Social Networking/Media**
    - Can be used to locate active and passive candidates
    - Tool to showcase job vacancies, company's mission/vision/values
    - A social media strategy is important to aid in recruiting candidates

Notes:

04 Recruitment methods (for example: advertising, job fairs)

- **Sources of recruiting**
  - Media outlets-newspapers, radio announcements, and billboards
  - Social media, personal networks, and online job boards
  - LinkedIn
  - Job fairs-In person and virtual
  - Universities, trade schools, and high schools-Career placement services
  - Diversity Groups-Way to attract a diverse qualified workforce

Notes:

05 Alternative staffing practices (for example: recruitment process outsourcing, job sharing, phased retirement)

- **Outsourcing**
    - Onshore-Vendor is within same country as business
    - Nearshore-Vendor is in a country adjacent to business
    - Offshore-Vendor is in a country far from business
- **Jobsharing**
    - Two employees doing the duties of one job
    - Part-time basis
    - Promotes work/life balance
- **Phased Retirement**
    - Older employees
    - Cutting back working hours/days
    - Phasing in of retirement benefits
    - Part-time work, seasonal work, job sharing
    - Informal agreements
    - Train their replacements

Notes:

06 Interviewing techniques (for example: behavioral, situational, panel)

- **Behavioral Interviews**
  - Involves candidates to use specific examples to describe how they have handled a problem or performed a task in the past
  - Best predictor for future behavior
  - STAR method
- **Situational Interviews**
  - Hypothetical situations that may take place in the future
  - May neglect past behavior (patterns)
- **Panel Interviews**
  - Performed by a group of individuals from the organization
  - Representatives from different entities of the business
  - Reduce personal biases
  - Beneficial for both candidate and employer (first impressions go both ways)
- **Types of Interview Bias**
  - Average/central tendency
  - Stereotyping
  - First impression
  - Halo effect/horn effect
  - Question inconsistency
  - Cultural noise
  - Nonverbal bias

Notes:

07 Post-offer activities (for example: drug-testing, background checks, medical exams)

- **Activities to be done once offer letter is signed**
  - Background checks
  - Drug tests
  - Medical exams/hearing tests/etc.
  - New hire packet
  - Prepare for new employee's arrival
    - IT (computer/email account/etc.)
    - Access badge, etc.
    - Other internal departments
  - Notify other applicants of non-selection
  - Create onboarding plan
  - Employment agreements
    - Employment-at-will-Depends on state
    - Implied contracts-Informal agreements
    - Express contract-Formal agreements
  - Completing I-9/E-Verify Process
    - Verifying if employees can work in the United States
    - Within the first 3 days of employment
  - Coordinate relocations
  - Immigration

Notes:

08 Orientation and onboarding

- **Purpose of orientation and onboarding**
  - Acclimate new employees to new environment
  - Also known as organizational socialization
  - Confirm or discount expectations established during the recruitment process
  - Orientation is an event
  - On-boarding is a process

Notes:

Functional Area 03 | Compensation and Benefits (14%)

Understanding concepts related to total rewards such as pay and benefit programs. Responding to employee questions and handling claims in compliance with applicable laws, regulations, and company policies.

Study Guide Three Objectives

By the end of this study guide, you should be able to identify and explain:

- ☐ Applicable laws and regulations related to compensation and benefits
- ☐ Pay structures and programs
- ☐ Total rewards statements
- ☐ Benefit programs
- ☐ Payroll processes
- ☐ Uses for salary and benefits surveys
- ☐ Claims processing requirements
- ☐ Work-life balance practices

01 Applicable laws and regulations related to compensation and benefits, such as monetary and nonmonetary entitlement, wage and hour, and privacy (for example: ERISA, COBRA, FLSA, USERRA, HIPAA, PPACA, tax treatment)

- **Companies use their total rewards strategy to attract, motivate, engage, and retain employees**
    - Compensation packages include pay, incentives, and benefits
- **Federal Laws and Regulations (Not all inclusive/Listed are most popular)**
    - Davis Bacon Act (1931)-Applies to contractors and subcontractors working on federally funded contracts more than $2,000
    - Walsh-Healey Public Contracts Act (1936)- Applies to contractors working on federally funded contracts more than $10,000
    - Fair Labor Standards Act (1938)-Known as the Wage and Hour Law
    - Minimum Wage-Non-exempt employees must be paid at least the federal minimum wage
    - Overtime-Non-exempt employees must be paid overtime pay at the rate of one and one-half times an individual's regular rate of pay for any hours worked more than 40 in a single workweek
    - On-Call-Non-exempt employees must be paid their regular rate of pay for on-call-time that is required to be spent at the place of business
    - Record Keeping-Employers are required to keep specific records defined by the Department of Labor
    - Child Labor-Child Labor Laws
    - Equal Pay Act (1963)-Employers must pay equal wages to both men and women who perform equal jobs in the same establishment
    - Consolidated Omnibus Budget Reconciliation Act (1986)-Also known as Cobra, allows for the contribution of healthcare coverage, if such coverage would end due to certain circumstances
    - Family Medical Leave Act (1993)-Allow eligible employees to take up to 12 weeks of job-protected, unpaid leave during a 12-month period

Notes:

02 Pay structures and programs (for example: variable, merit, bonus, incentives, non-cash compensation, pay scales/grades)

- **A pay structure provides the overall framework for an organization to use to deliver its total rewards strategy**
  - Pay grades-grouping jobs together that are found to have the same relative internal worth
  - Pay ranges-Minimum, midpoint, and maximum compensation for a pay grade
  - Red-circle rate-a rate above the range maximum (lag the market)
  - Green-circle rate-a rate below the range minimum
- **Non-cash compensation**
  - Employee benefits that do not carry tangible value (flexible working schedules, company parties, rewarding work, etc.
- **Pay Programs**
  - Total Rewards-All the tools available for attracting, motivating, and keeping employees
    - Financial and nonfinancial benefits that the employee sees as valuable
  - Variable pay-the portion of sales compensation determined by employee performance. When employees hit their goals (aka quota), variable pay is provided as a type of bonus, incentive pay, or commission.
  - Salary and benefits-Everything that an employee receives for working, including pay and nonmonetary benefits
  - Performance based pay/Merit pay-refers to a performance-related pay which provides bonuses or base pay increases for employees who hit the target or perform their jobs effectively, according to measurable criteria over a predetermined period
  - Differential Pay-Paid for work that is less than desirable or out of class work
  - Bonuses-Paid hitting personal milestones, meeting company goals, etc.

Notes:

03 Total rewards statements

- **Total Rewards Statements-Show the employee the overall picture of the value and associated cost of their total compensation package**
    - Communicating the overall value of an employee's compensation package
    - Highlights cash compensation, employer contributions to benefits, non-cash compensation and any additional perks the employee may receive
    - Utilized to showcase total value of employment

Notes:

04 Benefit programs (for example: health care plans, flexible benefits, retirement plans, wellness programs)

- **Employee benefits fall into two categories**
  - Discretionary-Benefits not mandated by law/fall into three categories
    - Health and Wellness
    - Deferred Compensation
    - Work-life equity
  - Non-discretionary-Benefits employers are mandated to provide based on certain statutes
    - Social security, Medicare, workers' compensation, unemployment insurance, unpaid family medical leave, and continuation of healthcare coverage
- **Health and Welfare-To help employees offset costs, high deductible health plans are usually coupled with:**
  - Health Savings Account (HSA)-Controlled by employee, goes with employees, not subjected to "use it or lose it"
  - Health Reimbursement Arrangement (HRA)-Reimbursed by employer for eligible healthcare expenses
  - Flexible Spending Account (FSA)-Owned by employer, does not follow an employee, and unused funds belong to employer
- **Flexible Benefit Plans- Flexible benefits allow employees to choose the benefits they value most, which is great for employee recruitment and retention. The disadvantages of offering a flex benefits package pertain to time, resources, communication, and cost.**
  - Retirement Plans-Employers agree to provide employees a retirement benefit amount based on a formula
    - Flat-Dollar Approach
    - Career Average
    - Final Pay Approach
- **Wellness Programs-Help offset the rising cost of healthcare**
  - Available to maintain and improve employees' health before serious problems arise
  - Often tied to an incentive

Notes:

05 Payroll processes (for example: pay schedule, leave and time-off allowances)

- **Payroll is responsible for several processes**
  - Various schedules to include weekly, bi-monthly, or monthly
  - Time off audits are executed to ensure leave is reported and new accrued leave is added to employee's balances
  - When employees resign or are terminated, last paychecks must be issued in according with state laws
  - Payroll needs to establish off-cycle payment processes
  - Annual W-2 tax form processing
  - Ensure overall compensation is accurate

Notes:

06 Uses for salary and benefits surveys

- **Salary and benefit surveys are used to determine the median or average compensation paid to employees in one or more jobs**
    - o Data is analyzed to develop an understanding of the amount of compensation paid
    - o May focus on one or more job titles, geographic regions, employer size, and or industries
    - o May be conducted by employer associations, survey vendors, or by individual employers
    - o Time sensitive and may become out-of-date quickly and are identified by the year they took place
- **Effective surveys**
    - o Representative of the market/region
    - o Inclusive of multiple positions at various levels
    - o Low cost
    - o Convenient and simple to use
    - o Precise and accurate
- **Ineffective surveys**
    - o Inflexible design or report only statistics
    - o Does not reflect comparable industries
    - o Does not ask direct questions

Notes:

07 Claims processing requirements (for example: workers' compensation, disability benefits)

- **The process for filing a claim must be clear, concise, and fully understood by all employees**
  - General Claims Steps (worker's compensation/disability benefits)
    - Immediate reporting of the injury by the employee to the employer
    - Employee is seen by doctor
    - Claim forms are completed
    - Claim forms are reviewed
    - Claim forms and medical reports are returned to the administrator of the program
    - Administrator reviews the claim and reports
    - If employee returns to work with restrictions, HR will communicate these to supervisor/manager
    - If accommodations cannot be made for employee to return to work, the employee will be placed on leave pending new restrictions or return to work
    - Prior to returning to work, employee has a full review and is cleared to do so

Notes:

08 Work-life balance practices (for example: flexibility of hours, telecommuting, sabbatical)

- **Organizations that promote flexibility and balance generally have a happy, engaged, and motivated workforce**
    - Common practices to promote flexibility and balance
        - Flexible work schedules
        - Telecommuting or work-at-home options
        - Reduced work schedules/part-time work
        - Reduced overtime
        - Onsite childcare/child friendly policies
        - Relaxed dress code policies and programs
        - Approving of extended leaves of absences
    - Important to understand what all employees value as far as work-life balance priorities
    - Work-life balance does not mean equal balance
    - Certain positions, customer needs, operations tempo will determine what the balance looks like
    - Establish focus groups and surveys to learn about employees and what they value
    - A healthy work-life balance
        - Increase in employee focus
        - Motivated
        - Job satisfaction
        - Less stressed
        - Happier
        - Accomplish goals
        - Healthier relationships outside of work
    - Goal is for the work culture to depict engagement, motivation, and high morale
    - When employees know they are valued and appreciated, their productivity increases

Functional Area 04 | Human Resource Development and Retention (12%)

Understanding the techniques and methods for delivering training programs and developing individual employees.

Study Guide Four Objectives

By the end of this study guide, you should be able to identify and explain:

- ☐ Applicable laws and regulations related to training and development
- ☐ Training delivery format
- ☐ Techniques to evaluate training programs
- ☐ Career development practices
- ☐ Performance appraisal methods
- ☐ Performance management practices

01 Applicable laws and regulations related to training and development activities (for example: Title VII, ADA, Title 17 [Copyright law])

- **Laws and regulations related to training and development activities**
  - Copyright Act of 1976
  - Fair Use
  - Public Domain
  - Title 17
  - US Patent Act
  - Trademark Act
  - Title VII
  - Americans With Disabilities Act

Notes:

02 Training delivery format (for example: virtual, classroom, on-the-job)

- **ADDIE Model**
  - Analysis
  - Design
  - Development
  - Implementation
  - Evaluation

- **Several different training delivery formats**
  - On-the-job refers to training done while observing or doing the actual job
  - Off-the-job refers to training that occurs in a classroom, via a lecture, webinars, online tutorials, conferences, etc.
- **Should include multiple types of learning methods to ensure employees are able to learn, understand, and apply the material (blended programs)**
  - Distance learning
  - Synchronous learning
  - Asynchronous learning
  - E-learning
  - Classroom teaching

Notes:

03 Techniques to evaluate training programs (for example: participant surveys, pre- and post-testing, after action review)

- **Primary principles of training evaluations are to:**
  - Ensure training objectives and goals are clear and understood
  - Provide specific areas for improvement/enhancement and additional ideas for discussions
  - Enable evaluation of the trainer and overall effectiveness in presenting the material
  - Enable evaluation of the materials and resources provided
  - Provide realistic target dates and follow up evaluations for the training information

- **Training Evaluation Methods**
  - Donald Kirkpatrick's four levels of training evaluation
  - Evaluation methods that came out of the Kirkpatrick method
    - Jack Phillips ROI evaluation
    - Kaufman's Five Levels of Evaluation
    - Anderson's Model for Evaluation
    - Formative and Summative Testing
    - After Action Review

- **Considerations for training evaluation methods**
  - Assess the effectiveness of the training course at the conclusion (end of course tests, etc.)
  - Assess the effectiveness of tools and resources 30 days after training (surveys/focus groups)
  - Assess the effectiveness of tools and resources 6 months after training (surveys/focus groups)
  - Determine which tools are being used and if they make a difference in the workplace (surveys/focus groups/tests)
  - Ask employees for feedback

- **Consistently evaluate training methods to ensure:**
  - Material is up to date with most recent information
  - New methods are being utilized to best enhance training methods
  - Instructors are utilizing all tools in their toolbox to engage employees

Notes:

04 Career development practices (for example: succession planning, dual career ladders)

- **Improvements which one undertakes to achieve a personal career plan**
  - On-going process that occurs over a lifetime and includes home, school, and community experience
  - Career stages include exploration, establishment, mid-career, late career, and decline

- **Six stages of modern career development**
  - Assessment
  - Investigation
  - Preparation
  - Commitment
  - Retention
  - Transition

- **Career development practices**
  - Succession planning
  - Replacement planning
  - Mentoring programs
  - Dual career ladders
  - Career Pathing
  - Coaching
  - Apprenticeship programs
  - Job rotation (cross-training and multiskilling employees)
  - Stretch assignments
  - Sabbatical Leave

- **Employee development**
  - Helping employees expand their knowledge, skills, and abilities for future application in their careers
  - Start with a needs assessment
    - Assessment center

Notes:

05 Performance appraisal methods (for example: ranking, rating scales)

- **Performance appraisals are used to do two things:**
  - Provide feedback to employees about how well or how poorly they are doing
  - Create plans for development
- **Formal performance feedback is scaled over a period of time**
  - Usually done on a business calendar year cycle
  - Initial, midyear, and end of year
  - Includes goal setting, review of the job competencies, and development planning
  - Seek feedback from all stakeholders
  - Evaluation of employee, progress review, on-the-job experience
  - Does not always have to be formal
    - Daily/weekly informal feedback

- **Performance appraisal methods**
  - Comparison method
    - Ranked performance
    - Paired comparison
    - Forced distribution
  - Narrative method
    - Write descriptions about individual employee performance opposed to rating scale
    - Keep track of notable events (positive and negative)
  - Rating method
    - Strongly agree to strongly disagree
    - Numerical scale: 1 being low performance and 5 being high performance
    - BARS (Behaviorally anchored rating scale)
      - Use of anchoring statements
      - Developed for each job within the organization
      - Example: A level four rating might assume the rep "answers the phone after 1 to 2 rings with a friendly greeting." A level six rating might assume the rep "answers phone after 1 ring with the correct company greeting."
      - Built from standardized job descriptions
  - Checklist
    - Rater checking boxes to statements

- **Pitfalls of appraisals/rater errors**
  - Bias may influence a rater's decision
  - Rater's predisposition toward behaviors such as stereotyping and generalizations
  - Central tendency, leniency, strictness
  - Like me/different from me
  - Primacy error
  - Recency error
  - Halo/horn effect

Notes:

06 Performance management practices (for example: setting goals, benchmarking, feedback)

- **Opportunity to identify the most suitable jobs for the most qualified employees**
  - Goal setting
  - Benchmarking
  - Feedback
    - MBO (Management by objectives)
      - Setting goals between the manager and the employee
      - Goals cascade down from the strategic plan
      - Individualized for the employee
      - Used to pay for performance outcomes (merit raises)
    - 360-degree
      - Seek out comments from relevant stakeholders affected by employee performance
    - Self-assessment
      - Asking employees to rate their own performance

Functional Area 05 | Employee Relations (16%)

Understanding the methods organizations use to monitor and address morale, performance, and retention. Balancing the operational needs of the organization with the well-being of the individual employee.

Study Guide Five Objectives

By the end of this study guide, you should be able to identify and explain:

- Applicable laws affecting employment in union and nonunion environments
- Employee and employer rights and responsibilities
- Methods and processes for collecting employee feedback
- Workplace behavior issues
- Methods of investigation complaints or grievances
- Progressive discipline
- Off-boarding or termination activities
- Employee relations programs
- Workforce reduction and restructuring terminology

01 Applicable laws affecting employment in union and nonunion environments, such as laws regarding antidiscrimination policies, sexual harassment, labor relations, and privacy (for example: WARN Act, Title VII, NLRA)

- **Laws affecting employment in union and nonunion environments**
  - Worker Adjustment and Retraining Notification (WARN) Act of 1988
  - National Labor Relations Act (Wagner Act)
    - National Labor Relations Board (NLRB)
  - Title VII

Notes:

02 Employee and employer rights and responsibilities (for example: employment-at-will, privacy, defamation, substance abuse)

- **Employment-at-will**
  - o No contract
  - o Can be discharged at any time for any reason without notice or cause
    - ▪ Does not allow an employer to fire someone at will
    - ▪ Employees are protected under federal and state legislation

- **Defamation**
  - o Intentionally injuring an individual's name/reputation by spreading untruths/lies
    - ▪ Slander
    - ▪ Libel
- **Employer/employee rights related to substance abuse**
  - o Substance abuse policies protect both employers and employees
  - o Random drug tests
    - ▪ Employee must give consent upon hiring
  - o Americans with Disabilities Act
    - ▪ Gives protection to employees who have successfully rehabilitated from past drug use and are no longer engaged in illegal use of drugs
    - ▪ Cannot be discriminated against

Notes:

03 Methods and processes for collecting employee feedback (for example: employee attitude surveys, focus groups, exit interviews)

- **Employee engagement refers to the degree to which employees are committed to their jobs and the organization**
    - Willingness to remain with the organization
    - Work hard to make it succeed
    - Enthusiasm in completing their own work and helping co-workers to do the same
    - Go above job requirements
    - Engaged employees work with a vigor
        - Not engaged have little energy or passion
        - Actively disengaged employees are unhappy and let everyone know

- **Methods and processes for collecting employee feedback**
    - Surveys (cognitive/emotional/behavioral components
    - Stay interviews
    - Exit interviews
    - Employee attitude surveys
    - Focus groups (roundtables)

Notes:

04 Workplace behavior issues (for example: absenteeism, aggressive behavior, employee conflict, workplace harassment)

- **Various issues can arise in the workplace**
    - Policies and procedures must address as many of these issues as possible
        - Helps employees understand expectations and appropriate behavior in workplace
        - Helps employers understand expectations and appropriate behavior in workplace
    - Absenteeism
        - Absences have direct and indirect costs
        - Have moderate to large impact on productivity and revenue
        - Overtime use and budget
        - HR should have methods in place to capture absenteeism
            - Weekly time reports
            - Calculating rates of absenteeism (short/long term absences)
    - Aggressive behavior, employee conflict, and workplace harassment
        - Gossip, incivility, insolence, bullying, insubordination

Notes:

05 Methods for investigating complaints or grievances

- **A grievance is an employee complaint based on experiencing a real or perceived injustice in the workplace.**
    - An employee can file a grievance against employer if they believe they are being treated inappropriately or have unfair work conditions
    - Grievances are formal
    - Complaints can be formal and informal

- **Workplace investigations**
    - Should be done promptly
    - Assign an investigator
    - Complaints/grievances should be in writing
    - Conduct interviews
    - Document everything (discoverable)
    - Protect the privacy of the parties involved
    - Check personnel files for patterns of behavior
    - Decide outcome (based on laws/policies/etc. the complaint/grievance violates)
    - Discipline accordingly
    - Advise the complainant
    - Follow-up

- **Due process/Just Cause**
    - Due process-disciplinary actions must follow an accepted procedure that protects employees from arbitrary, capricious, and unfair treatment
    - Just cause-disciplinary action should only be taken for good and sufficient reason

- **Settle disputes**
    - Mediation
    - Arbitration

Notes:

06 Progressive discipline (for example: warnings, escalating corrective actions, termination)

- **The goal is to prove that the organization made a good faith effort to lead the employee down the right path**
    - Improve performance
    - Rehabilitate behavior
    - Counseling/verbal warning
    - Written warning
    - Performance Improvement Plan
    - Suspension
    - Recommendation for termination

Notes:

07 Off-boarding or termination activities

- **Establish a clear plan to exit an employee**
    - Turn everything in
    - Disable badges/access to building
    - Last paycheck
    - Review benefit information
    - Update contact information
    - Exit interview
    - HR should announce departure

Notes:

08 Employee relations programs (for example: recognition, special events, diversity programs)

- **Employee relations programs are part of a human resource strategy designed to ensure the most effective use of people to accomplish the organization's mission**
    - Human resource strategies are deliberate plans
    - companies use them to gain and maintain a competitive edge in the marketplace
    - Used to motivate employees and teams
    - High level of employee satisfaction and morale

- **Types of Recognition Programs**
    - Service awards
    - Employee of the month
    - Team of the month
    - Special events
    - Etc.

- **Diversity Programs**
    - Promote outreach, diversity, and inclusion
    - Improves a company's relationship with employees, customers, clients, and community
    - Starts with the hiring process and continues through the entire employee lifecycle
    - Types
        - Employee Resource Groups (ERGs)
        - Internships/co-ops
        - Etc.

Notes:

09 Workforce reduction and restructuring terminology (for example: downsizing, mergers, outplacement practices)

- **Workforce and Restructuring terminology**
  - Downsizing
  - Mergers
  - Acquisitions
  - Outplacement practices
  - Alumni Program
  - Layoffs
  - Reductions-in-force

Notes:

Functional Area 06 | Health, Safety, and Security (5%)

Understanding the laws, regulations, and policies that promote a safe work environment. Use risk mitigation procedures to protect against workplace hazards.

Study Guide Six Objectives

By the end of this study guide, you should be able to identify and explain:

- ☐ Applicable laws and regulations related to workplace health, safety, security, and privacy
- ☐ Risk mitigation in the workplace
- ☐ Security risks in the workplace

01 Applicable laws and regulations related to workplace health, safety, security, and privacy (for example: OSHA, Drug-Free Workplace Act, ADA, HIPAA, Sarbanes-Oxley Act)

- **Five federal agencies and laws regarding workplace issues**
  - Occupational Safety and Health Administration (OSHA)
  - The Drug-Free Workplace Act
  - The Americans with Disabilities Act (ADA)
  - The Health Insurance Portability and Accountability Act
  - The Sarbanes-Oxley Act

- **OSHA**
  - Focus on employer and employee rights and responsibilities
  - Provide a safe workplace for employees
  - Employers must meet all standards to reduce hazards
  - Provide free PPE
  - Safety training
  - OSHA posters displayed in workplace
  - Keep accurate records of injuries and illnesses
  - No retaliation allowed

- **OSHA Enforcement**
  - Osha.gov
  - OSHA Forms
    - OSHA Form 300, Log of Work-Related Injuries and Illnesses
    - OSHA Form 300A, Summary of Work-Related Injuries and Illnesses
    - OSHA Form 301, Injury and Illness Incident Report
  - Who completes and file OSHA forms
    - All employers will 11 or more employees
  - What must be recorded
    - Any injury or illness to an employee on the employer's payroll must be recorded
    - Temp agency employees must be recorded
    - Any work injury or illness that causes death, days away from work, restricted or limited duty, medical treatment beyond first aid, loss of consciousness, diagnosis of an injury or illness by a physician
  - Report a Fatality or Severe Injury
    - All employers are required to notify OSHA when an employee is killed on the job or suffers a work-related hospitalization, amputation, or loss of an eye
    - A fatality must be reported within 8 hours
    - An in-patient hospitalization, amputation, or eye loss must be reported within 24 hours

Notes:

02 Risk mitigation in the workplace (for example: emergency evacuation procedures, health and safety, risk management, violence, emergencies)

- **Establish robust and creative policies, procedures, and standards**
    - Lawsuits
        - Knowledge of labors laws (HR and leaders)
        - Training sessions
            - Initial
            - Refresher
            - Based on trends, incidents, etc.
    - Emergency Response
        - Procedures that clearly lay out how to respond to an emergency
        - Protects lives and property
        - Provides security that management has control over the situation
        - Evacuation procedures
        - Hazard communication

- **Risk Management**
    - Identifies, targets, and strives to minimize unacceptable risks
        - Financial risk
    - Principal risks
        - Workplace health
        - Workplace safety
        - Workplace security
        - Workplace privacy
    - Comply with federal laws and regulations
    - Cost Benefit Analysis
        - Compares the cost of a particular options with the benefits
        - Helps determine if an option is worthwhile
        - Method of comparison
    - Enterprise Risk Management
        - Managing unknowable risks by anticipating potential risks
        - Focusing on those that have a likelihood of happening
        - Planned response just in case they become a reality
        - Reduce the risk, share the risk, avoid the risk, accept the risk

- **Workplace violence conditions**
    - Establish a policy
    - Weapon policy
    - Employee Assistance Program

- **Workplace safety risks**
    - Trip hazards
    - Bloodborne pathogens
    - Noise exposure
    - Emergency exit procedures

- o Control of hazardous materials
- o Lockout/tagout procedures
- o Machine guarding
- o Confined space environments

Notes:

03 Security risks in the workplace (for example: data, materials, or equipment theft, equipment damage or destruction, cybercrimes, password usage)

- Security risks in the workplace
  - Security plans and policies
  - Theft
  - Corporate espionage
  - Sabotage
  - Computer security
  - Back-up systems
  - Active shooter
  - Fraud and loss prevention

Notes: