

2022 V1

Associate Professional In Human Resources® (“aPHR®”)

Vets2PM



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START HERE GUIDE

VETS2PM ASSOCIATE PROFESSIONAL IN HUMAN RESOURCES® (APHR®) CERTIFICATION PREPARATION COURSE OUTLINE

- **Start Here Guide**
 - Introduction
 - Resources
 - How to sign up for the exam
 - Exam format
 - Study Plan Recommendation
- **Functional Area 01 | Talent Acquisition (19%)**
- **Functional Area 02 | Learning & Development (15%)**
- **Functional Area 03 | Compensation & Benefits (17%)**
- **Functional Area 04 | Employee Relations (24%)**
- **Functional Area 05 | Compliance & Risk Management (25%)**
- **How do I remain certified?**

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

- [2021_hrci_aphr-exam-content-outline.pdf](#)
- Exam Weighting by Functional Area:
 - Functional Area 01 | Talent Acquisition (19%)
 - Functional Area 02 | Learning & Development (15%)
 - Functional Area 03 | Compensation & Benefits (17%)
 - Functional Area 04 | Employee Relations (24%)
 - Functional Area 05 | Compliance & Risk Management (25%)

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
 - Will not cover everything that could possibly be tested on
- Vets2PM recommendations are to utilize this course and all the resources provided in the student portal
- Recommended resources:
 - <https://www.hrci.org/>,
 - [Home | U.S. Department of Labor \(dol.gov\)](#)
 - [Home | Occupational Safety and Health Administration \(osha.gov\)](#)
 - *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
 - [Talent Acquisition Excellence - HR.com](#)
- From hrci.org:
 - 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.
 - 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 topic 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.

HOW TO SIGN UP FOR THE EXAM

- Visit [HRCI HR Certifications - Understand the HRCI Application Process](#)
- Do not purchase a bundle because you are participating in this course

EXAM FORMAT

- 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 [OnVUE](#)
 - Tested on knowledge of foundational Human Resources

STUDY PLAN RECOMMENDATION

- 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

Notes:

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, five 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 \(hrci.org\)](http://hrci.org)

[News Releases | U.S. Department of Labor \(dol.gov\)](http://dol.gov)

[OSHA News Releases – Enforcement | Occupational Safety and Health Administration Front Page | National Labor Relations Board \(nlrb.gov\)](http://nrc.gov)

[ADA.gov homepage](http://ada.gov)

- 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
 - 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

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

VETS2PM Associate In Human Resources® (aPHR®) Certification Boot Camp Plus (2022v1)

- Read/review Functional Area 4 study guide

Friday

- Watch Functional Area 5 training video
- Read/review Functional Area 5 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

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

VETS2PM Associate In Human Resources® (aPHR®) Certification Boot Camp Plus (2022v1)

- 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

WEEK FIVE

- Take the exam

Notes:

Functional Area 01 | Talent Acquisition (19%)

Fundamental understanding of all aspects related to the talent acquisition process, including planning, sourcing, recruiting, screening, selection, hiring, and onboarding of a new hire.

Study Guide One Objectives

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

- Methods to identify staffing needs and guide talent acquisition efforts (for example, forecasting, job analysis, the creation and structure of job descriptions, and alternative staffing approaches)
- Talent sourcing tools and techniques to identify and engage prospective candidates (for example, employer branding, social media, candidate pipelines, resume mining, job postings, job fairs, and employee referrals)
- Recruiting procedures and strategies for screening and selecting qualified applicants (for example, recruitment firms/staffing agencies, skills assessments, interview techniques and best practices, and biases)
- The lifecycle of hiring and onboarding a selected applicant (for example, reference and background checks, offer letters and counteroffers, employment contracts, and the distribution and collection of company-mandated documents, such as employee handbook and policy acknowledgments, nondisclosure or other agreements, and benefits paperwork)
- The use of technology for collecting, storing, reviewing, and analyzing candidate/applicant information and recruiting data (for example, applicant tracking systems, human resource information systems (HRIS), return on investment (ROI), cost-per-hire, and time-to-fill)

01 Methods to identify staffing needs and guide talent acquisition efforts (for example, forecasting, job analysis, the creation and structure of job descriptions, and alternative staffing approaches)

- **Workforce planning**
 - HR strategy that cascades down directly from the company's strategic plan, goals, and objectives
 - Analyzing the type and number of employees
 - Identifying/analyzing what an organization needs to achieve its goals, in terms of the size, type, and quality of employees
 - The company's headcount/manpower (talent) is analyzed and addressed through the filter of achieving strategic objectives
 - Recruiting refers to procedures, strategies, and methods to find potential, qualified candidates who seek employment

- **Headcount**
 - Number of employees: Number of employees an organization has on its payroll
 - Budget: Number of employees an organization has financially prepared for
 - Forecast: Number of employees an organization needs to run the business

- **Staffing**
 - Hiring and firing employees
 - The act of selecting, hiring, and training people for specific jobs
 - Reducing the workforce when needed

- **Sourcing**
 - Finding qualified people for a job
 - Using proactive recruiting techniques

- **Recruitment/talent acquisition**
 - Process of attracting, screening, and hiring qualified people for a job
 - Talent pool: a group of available skilled workers

- **Forecasting**
 - The practice of using information to make educated guesses about future conditions to be used to make decisions
 - Data gathering through research methods is the primary function of forecasting activities
 - Surveys/focus groups
 - Analyzing research is the second step in forecasting
 - Find commonalities and patterns
 - Norms (standards/averages)
 - Mean
 - Median
 - Mode

- **Job Analysis**
 - Review of job tasks and requirements
 - Study of the major tasks and responsibilities of jobs to determine their importance and relation to other jobs in an organization
 - Competency model: A description of the skills need for a job
 - Behaviors, skills, knowledge to do a job well
 - Task based analysis focuses on the tasks, duties, and responsibilities of a job
 - Task: most fundamental activity of a worker
 - Duty: made up of several tasks
 - Responsibility: obligation the worker has to complete the tasks and duties, along with he responsibility to comply with other requirements beyond the specific job outputs
 - Competency-based job analysis: knowledge and skills that are necessary to do the work

- Questionnaires are tools used for job analysis
- One on one interviewing is a tool used for job analysis
- For external and internal hires
- Focused on the work to be done (tasks/duties/responsibilities)

- **Job Descriptions**
 - Job analysis leads to job descriptions
 - Improves the accuracy of hires
 - For external and internal hires
 - Description of work tasks and responsibilities
 - Written document describing an employee's work activities

- **Alternative Staffing Approaches**
 - 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
 - Job-sharing
 - 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:

02 Talent sourcing tools and techniques to identify and engage prospective candidates (for example, employer branding, social media, candidate pipelines, resume mining, job postings, job fairs, and employee referrals)

- **Employer branding**
 - How a company presents itself to the public
 - The image an organization present to its employees, stakeholders, and customers
- **Recruiting**
 - Recruitment refers to the overall process of identifying, attracting, screening, shortlisting, and interviewing candidates for jobs within an organization.
- **Talent Sourcing**
 - Talent sourcing refers to the process of identifying, researching, generating, and networking with potential job candidates to convert individuals into job applicants. The broader task of talent sourcing is to generate a consistent flow of highly skilled applicants.
- **Talent sourcing vs. recruiting**
 - The goal of talent sourcing is to convert non-applications into applicants
 - Recruitment requires the conversion of applicants to employees
 - Talent sourcing is the starting point of the recruitment process and an essential element of building a robust talent pipeline
- **Talent sourcing process**
 - Plan: Refer to the workforce plan
 - Source: Identify, reach out to, and cultivate relationships with potential candidates
 - Assess: Identifying the candidates best suited to perform the position in question and those most aligned with your organization's culture and values
 - Hire: Offer the position to the top candidate, negotiate the particulars of the employment contract, and ultimately hire them
 - Onboarding: The action or process of integrating a new employee into an organization or
- **Talent sourcing tools and techniques**
 - 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
- **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
- **Resume mining**
 - A tool that allows hiring managers search for keywords in resumes users have agreed to make searchable
 - Managers can then reach out to applicants and invite them to apply for certain positions
- **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
- **Candidate pipelines**
 - A pool of qualified people interested in learning about job opportunities as they become available at your company
 - You "pipeline" candidates because their skills, experience, and traits match a particular role for which there is no immediate hiring need
 - When it does become available, you can invite the pipelined candidates to interview for the position

Notes:

03 Recruiting procedures and strategies for screening and selecting qualified applicants (for example, recruitment firms/staffing agencies, skills assessments, interview techniques and best practices, and biases)

- **Recruitment Firms/Staffing Agencies**
 - The difference between recruiting vs staffing is that recruiting is acquiring talent to be a full-time employee. Staffing is the hiring of an agency to provide temporary workers.
 - Headhunters
 - Recruitment Firms are for long term needs
 - Staffing Agencies are for short term needs

- **Screening and selecting qualified applicants**
 - Once qualified applicants have been identified through the branding and recruiting efforts of HR, the process of selection begins
 - Differentiating between the competencies of the candidates
 - Acknowledging the job-related differences between candidates
 - Using tools that attempt to predict successful performance on the job
 - Posting open positions on career sites to solicit resumes and employment applications
 - Pre-screening to eliminate candidates who do not meet the basic requirements of the position
 - Using a preliminary assessment to screen out those who lack the desired level of skills and competencies for the job
 - Performing an in-depth assessment through interviews and job simulations to select candidates with the highest potential for job success
 - Verifying candidates' stated employment record and qualifications

- **Telephone interviews**
 - Phone screening to eliminate those who do not meet the basic requirements
 - Align on salary range desires
 - Discuss various other topics that usually help with eliminating candidates

- **Video interviews**
 - Allows long-distance candidates to be more viable
 - Can assess candidate's body language, and how they answer questions
 - Cheaper option than to pay for travel expenses for candidates
 - Could replace the telephone interview

- **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)

- **In-depth Assessment**
 - May be used to ensure the individual has the necessary skills and competencies to perform the job
 - Assessment center

- **Pre-employment testing**
 - Aptitude testing

- **Types of Interview Bias**
 - Average/central tendency
 - Stereotyping
 - First impression
 - Halo effect/horn effect
 - Question inconsistency
 - Cultural noise
 - Nonverbal bias

- **Verification of candidates**
 - Background check
 - Drug test
 - Credit history
 - Education verification
 - Work history

Notes:

04 The lifecycle of hiring and onboarding a selected applicant (for example, reference and background checks, offer letters and counteroffers, employment contracts, and the distribution and collection of company-mandated documents, such as employee handbook and policy acknowledgments, nondisclosure or other agreements, and benefits paperwork)

- **Reference Check**
 - Verification of a job applicant's employment history
 - Contact with a job applicant's past employers, or other references, to verify the applicant's job history, performance, and educational qualifications
- **Background Check**
 - Process of confirming a job candidate's personal and public information
 - Determining the accuracy of a candidate's experience and records during employment screening
- **Offer letters**
 - Verbal offer occurs first
 - Verbal agreement is made
 - Written offer of employment is drafted by HR
 - Offer letter should include
 - Position title
 - Salary classification
 - Deadlines for acceptance
 - Contingencies required prior to beginning work
 - Statement of Employment at Will
- **Employment Contracts**
 - Intent is to bind two parties to agreed-upon conditions of employment
 - Binds to all the conditions outlined in the employment offer
 - Binds to length or term of employment
 - Employees with a contract may be terminated only in accordance with the terms of the contract
 - Contract should include
 - Terms and conditions of employment
 - Restrictive clauses such as noncompete agreements and non-solicitation agreements
 - Reasons an employee may be terminated and severance payment expectations
 - Base salary and bonuses (be careful about listing salary in annual amounts)
- **Counter Offers**
 - When a candidate counters the employer's offer
 - Usually has to do with unmet expectations (salary, etc.)
- **Distribution and collection of company mandated documents**
 - New hire paperwork
 - Check local labor relations regulations to ensure compliance
 - Make new hires complete employment forms required by law

- These forms will provide new hire data to properly classify and compensate employees
- Legislation may differ based on state or country
- Complete all necessary forms within deadlines
- The most common types of employment forms to complete are:
 - W-4 form (or W-9 for contractors)
 - I-9 Employment Eligibility Verification form
 - State Tax Withholding form
 - Direct Deposit form
 - E-Verify system: This is not a form, but a way to verify employee eligibility in the U.S.
- Prepare employee benefits documents
- Give new hires paperwork that describe terms and conditions and (receive them signed)
- The most common employee benefits are:
 - Life and health insurance
 - Mobile plan
 - Company car
 - Stock options
 - Retirement plan
 - Disability insurance
 - Paid time off/vacation policies (including any paid holidays)
 - Sick leave
 - Employee wellness perks (e.g. gym memberships)
 - Tuition reimbursement
- **Orientation and onboarding**
 - Purpose of orientation and onboarding is to 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:

05 The use of technology for collecting, storing, reviewing, and analyzing candidate/applicant information and recruiting data (for example, applicant tracking systems, human resource information systems (HRIS), return on investment (ROI), cost-per-hire, and time-to-fill)

- **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

- **Purpose and function of Human Resources Information Systems (HRIS)**
 - Human Resource Information System (HRIS)
 - Personnel system
 - Software solution
 - Maintains, manages, and processes detailed employee information and human resources-related policies and procedures
 - 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

- **HR Metrics (for example: cost per hire, number of grievances)**
 - 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
 - Return On Investment (ROI)
 - Time to fill

- **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

- **Methods to collect data (for example: surveys, interviews, observation)**
 - Data is your friend as a HR professional and leader
 - Evidence-based decision making
 - Validating HR programs, practices, and policies
 - Monitoring their step-by-step processes from cradle to grave
 - Ensure the same, desired output occurs every time
 - Regularly audited
 - Results are delivered in a consistent and predictable manner

- Collection Methods
- Focus groups
- Interviews
- Surveys
- Questionnaires
- Checklists
- Brainstorming

- **Reporting and presentation techniques (for example: histogram, bar chart)**
 - Displaying HR data
 - Histogram
 - Column Chart
 - Bar Chart
 - Pie Chart
 - Line Graph
 - Dual-axis Chart
 - Scatter Plot
 - Venn Diagram
 - Gantt Chart
 - Pareto Chart
 - Cause and Effect Diagram

Notes:

Functional Area 02 | Learning and Development (15%)

Assessing the needs of the organization and understanding the techniques and methods for delivering training programs in order to provide employees with the tools, skills, and knowledge to align with current and future organizational goals.

Study Guide Two Objectives

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

- The overall purpose and desired outcomes of employee orientation for new hires and/or internal hires (for example, setting expectations, building relationships and acclimation)
- The concept of instructional design and components of commonly used models and methods for developing an organizational learning strategy (for example, knowledge, skills and abilities (KSAs), ADDIE model, needs analysis, goals/objectives, available training resources and intended audience)
- Elements and suitable applications for various training formats and delivery techniques (for example, blended, virtual, self-paced, instructor-led, on-the-job, role play, facilitation, and in-house vs. external training services)
- The concept, purpose, and key/desired outcomes of a change management process (for example, assessing readiness, communication plans, identifying needs, and providing resources and training)
- Methods and tools used to track employee development and measure the effectiveness of the training (for example, learning management systems (LMS), reporting, post-training evaluation and metrics)

01 The overall purpose and desired outcomes of employee orientation for new hires and/or internal hires (for example, setting expectations, building relationships and acclimation)

- **The purpose of orientation and on-boarding programs**
 - Assist new hires in acclimating to new environment
 - New hires may be brand new or existing employees who were promoted/transferred
 - Programs must align with company's strategic plan and cultural messages communicated through vision, mission, and values
 - Will confirm or discount expectations established during the recruitment process
 - Orientation is an event. On-boarding is a process.
 - Formal orientation may include formal presentations by other departments such as HR, Safety, executives, etc.
 - Will vary based on size of company

- Effective employee orientation makes employees aware of company policies and expectations
 - handles essential paperwork
 - answers any questions or concerns they may have before they transition into their new positions
- Orientation is important because it signifies the beginning of the relationship between employee and employer
 - The first day of work is the most important, as new hires are seeking to affirm their decision to accept your offer of employment.

Notes:

02 The concept of instructional design and components of commonly used models and methods for developing an organizational learning strategy (for example, knowledge, skills and abilities (KSAs), ADDIE model, needs analysis, goals/objectives, available training resources and intended audience)

- **The development of training programs is a critical skillset for HR professionals**
 - Goes beyond conducting training sessions
 - Instructional design models are tools HR may use to guide design efforts

- **ADDIE Model: A process for designing training programs that has five steps**
 - Analysis
 - Design
 - Development
 - Implementation
 - Evaluation

- **Analysis**
 - Needs analysis
 - Assessment to determine next steps
 - Methodologies used to collect and interpret data so that a course of action may be developed
 - First, identify the desired skills, behaviors, or objectives of training, and then design a program around those needs
 - What do the employees need?
 - Special participant needs
 - Language barriers
 - Shift schedules needing accommodation
 - Technical skills gaps that must be addressed
 - Reading and writing levels may be identified
 - Gap analysis
 - Tool of choice for HR in accomplishing objective of training
 - Assess where we are currently at and compare to where we want to go
 - The information gathered will help with designing an effective program that addresses root causes of employees' and leaders' behaviors

- **Design**
 - Driven from the need
 - Planning stage that builds out training objectives in direct relationship to the findings of the needs analysis
 - Once training objectives are identified, delivery methods, target markets, vendor selection, and cost comparisons are made
 - A wish list of job tasks or responsibilities, people skills, or abilities is created at this stage
 - Customized training is content built from scratch
 - Tailored training is existing or off-the-shelf content that is modified for a better fit

- **Development**
 - Curriculum is built

- Training materials begin to take shape
- Off-the-shelf products are evaluated
- Training methods
- 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: Synchronous learning refers to a learning event in which a group of students are engaging in learning at the same time.
 - Asynchronous learning: Asynchronous learning is a general term used to describe forms of education, instruction, and learning that do not occur in the same place or at the same time.
 - E-learning
 - Classroom teaching
- **Implementation**
 - Delivering the training that was developed
 - Preparing the trainer
 - Preparing the learner
 - Preparing the selected environment
- **Evaluation**
 - **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

Notes:

03 Elements and suitable applications for various training formats and delivery techniques (for example, blended, virtual, self-paced, instructor-led, on-the-job, role play, facilitation, and in-house vs. external training services)

- **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/virtual classroom
 - Synchronous learning: Synchronous learning refers to a learning event in which a group of students are engaging in learning at the same time.
 - Asynchronous learning: Asynchronous learning is a general term used to describe forms of education, instruction, and learning that do not occur in the same place or at the same time.
 - E-learning
 - Classroom based
 - Self-paced programs
 - Microlearning
 - Role Play
 - Facilitation
 - In-House Training
 - External Training Services

Notes:

04 The concept, purpose, and key/desired outcomes of a change management process (for example, assessing readiness, communication plans, identifying needs, and providing resources and training)

- **Change Management the systematic approach and application of knowledge, tools, and resources to deal with change**
 - Involves defining and adopting corporate strategies, structures, procedures, and technologies to handle changes in external conditions and the business environment

- **Change Agent is a person or department that deliberately causes change within an organization**

- **Kurt Lewin's Three-Stage Model**
 - How to begin, manage, and anchor the changes as the norm
 - Unfreezing: This first stage of change involves preparing the organization to accept that change is necessary
 - Determine what needs to change by surveying your team or organization to understand the current state
 - Understand why change must take place
 - Create a compelling message about why change must occur
 - Emphasize the "why"
 - Changing: The change stage is where people begin to resolve their uncertainty and look for new ways to do things. People start to believe and act in ways that support the new direction.
 - The transition from unfreeze to change does not happen overnight
 - To accept the change and contribute to making it successful, people need to understand how it will benefit them
 - Communicate often and clearly
 - Stay ahead of and dispel rumors
 - Involve the people
 - Refreezing: When the changes are taking shape and people have embraced the new ways of working, the organization is ready to refreeze
 - The outward signs of the refreeze are a stable organization chart, consistent job descriptions, etc.
 - Where the changes are internalized and institutionalized
 - Celebrate the success of the change
 - Continue to reiterate the change, the need, the importance, etc.
 - Identify barriers to the refreezing and work to overcome them

- **Communication Plan**
 - Strategy that helps stakeholders understand what is changing and why, and how it will specifically affect them
 - Be specific early on and often (who, what, when, where, why, how)
 - Communicate through the right people
 - Communicate via multiple channels
 - Always communicate answering the questions, "What is in it for me?" and "What does it mean to me?"

- **Resources and Training**

- Employees, management, etc. need more than an announcement in order to accept the change and welcome it
- An opportunity for employees to learn about what's new and why the change
- Training helps set teams up for success in the face of a new reality and helps them better understand how the change will be beneficial to their roles and the company
 - This will aid in helping overcome resistance to change

Notes:

05 Methods and tools used to track employee development and measure the effectiveness of the training (for example, learning management systems (LMS), reporting, post-training evaluation and metrics)

- **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

- **Reporting**
 - Annual reports
 - Demonstrate results of training
 - Return on Investment analysis
 - What has been learned
 - Share with key stakeholders
 - Helps to hold people accountable
 - Serves as a reference

- **Metrics**
 - Focus is effectiveness
 - Subjective and objective
 - Assist with understanding the true value of training cost per employee
 - ROI-Return on Investment
 - CBA-Cost Benefit Analysis

- **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

- **Learning Management Systems (LMS)**
 - A software application for the administration, documentation, tracking, reporting, automation, and delivery of educational courses, training programs, or learning and development programs
 - The learning management system concept emerged from e-Learning
 - Computer software for employee development
 - Provide expanded solutions for tracking employee development activities, and self-service learning for growth

Notes:

Functional Area 03 | Compensation and Benefits (14%)

Understanding elements of the total rewards package including compensation, benefits programs, retirement planning and how they support organizational competitiveness.

Study Guide Three Objectives

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

- The elements involved in developing and administering an organization's compensation strategy, such as pay structures, pay adjustments and incentive programs (for example, external service providers, market analysis, job evaluation/classifications, merit increases, pay scales/grades, cost of living adjustments, and service awards)
- Health benefit and insurance programs including, eligibility requirements, enrollment periods and various designs (for example, high deductible plans, health savings accounts, flexible spending accounts, preferred provider organizations, and short or long-term disability)
- Supplemental wellness and fringe benefit programs commonly offered by organizations (for example, employee assistance programs (EAPs), gym membership, online therapy, housing or relocation assistance, and travel/transportation stipends)
- Employee eligibility for, and enrollment in retirement plans, and rules regarding contributions and withdrawals (for example, 401(k), 457(b), catch-up contributions, and hardship withdrawals)
- Components of wage statements and payroll processing (for example, taxation, deductions, differentials, garnishments, leave reporting and final pay, and total reward statements)

01 The elements involved in developing and administering an organization's compensation strategy, such as pay structures, pay adjustments and incentive programs (for example, external service providers, market analysis, job evaluation/classifications, merit increases, pay scales/grades, cost of living adjustments, and service awards)

- **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**
 - Direct Compensation-payments made to employees to include base salary

- Indirect Compensation-all other rewards not associated with direct pay, including incentives, inducements, time-off benefits
 - Base Salary-Fixed amount of money paid for work performed
 - Exempt-level employee-employees who work however many hours are necessary to perform the tasks of their position/no overtime pay
 - Non-Exempt-eligible for overtime
 - 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.
 - Pay Equity-Fairness in pay and benefits for similar jobs
 - Competency-Based Pay-Pay based on the skills and knowledge that make an employee valuable to an organization
- **Job Evaluation**
 - Pricing jobs is complex
 - Price jobs according to their worth in the company
 - How valuable are the tasks, duties, and responsibilities to an organization's competitive ability?
 - Helps employers make objective decisions on how to pay employees
 - Helps employees understand that pay rates are established based on job worth
 - **Market-based analysis**
 - Job evaluation that uses external comparisons to properly price jobs
 - Includes job title, geographic boundaries, profit versus nonprofit status, and company competitive strategies
 - **Cost of Living Adjustments (COLA)**
 - Pay change due to changes in economic conditions in a geographic location or country
 - Can be an increase or decrease
 - **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:

02 Health benefit and insurance programs including, eligibility requirements, enrollment periods and various designs (for example, high deductible plans, health savings accounts, flexible spending accounts, preferred provider organizations, and short or long-term disability)

- [Health Plans and Benefits | U.S. Department of Labor \(dol.gov\)](#)
- [Benefits Home Page \(bls.gov\)](#)
- [Microsoft Word - HealthDefinitions-for-Internet-10-02.doc \(bls.gov\)](#)
- **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

- **Short Term Disability**
 - Designed to protect both the employee and the employer if the worker can no longer do their job because of illness or injury
 - When a qualifying event happens, an employee can file a claim with a disability insurance company to receive the amount of income specified in the policy benefits

- **Long Term Disability**
 - Long Term Disability (LTD) can be used following Short-Term Disability (STD) plans or alone
 - Long Term Disability coverage provides wage replacement that is between 50-70% percent of your earnings before a non-work-related injury impacted your ability to work

- **Open Enrollment**
 - The yearly period in the fall when people can enroll in a health insurance plan for the next calendar year
 - Outside the Open Enrollment Period, you generally can enroll in a health insurance plan only if you qualify for a Special Enrollment Period
 - You're eligible if you have certain life events, like getting married, having a baby, or losing other health coverage
 - Job-based plans may have different Open Enrollment Periods. Check with your employer

- **Employee Eligibility**
 - An employer can cover any employee who is on the payroll and for whom he or she pays payroll taxes
 - Employees can opt out of the benefit program
 - Companies are sometimes held to enrollment quotas (must have this many employees enroll)
 - Eligible employees generally include those who are on paid vacation, maternity/parental, or sick leave
 - With few exceptions, employees who are on unpaid leave are ineligible until they return to active work

Notes:

03 Supplemental wellness and fringe benefit programs commonly offered by organizations (for example, employee assistance programs (EAPs), gym membership, online therapy, housing or relocation assistance, and travel/transportation stipends)

- **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

- **Wellness Programs**
 - A program intended to improve and promote health and fitness
 - The program allows your employer or plan to offer you premium discounts, cash rewards, gym memberships, and other incentives to participate
 - Some examples of wellness programs include programs to help you stop smoking, diabetes management programs, weight loss programs, and preventative health screenings

- **Fringe Benefits**
 - Perks that an employer give to their employees above and beyond any financial compensation
 - A wide range of fringe benefits and employee perks exist from one employer to another
 - Most common benefits include:
 - Life, disability, and health insurance
 - Tuition reimbursement
 - Education assistance
 - Retirement benefits.
 - Other perks:
 - Fitness centers (or fitness center discounts)
 - Employee meals
 - Cafeteria plans
 - Dependent care assistance
 - Retirement plan contributions
 - Housing
 - Relocation assistance
 - Travel/transportation stipends

- **Employee Assistance Programs**

- An Employee Assistance Program (EAP) is a voluntary, work-based program that offers free and confidential assessments, short-term counseling, referrals, and follow-up services to employees who have personal and/or work-related problems
- EAPs address a broad and complex body of issues affecting mental and emotional well-being
 - alcohol and other substance abuse
 - stress
 - grief
 - family problems
 - psychological disorders

Notes:

04 Employee eligibility for, and enrollment in retirement plans, and rules regarding contributions and withdrawals (for example, 401(k), 457(b), catch-up contributions, and hardship withdrawals)

- [FAQs about Retirement Plans and ERISA \(dol.gov\)](#)
- **Defined benefit plan**
 - Funded by the employer
 - Promises you a specific monthly benefit at retirement
 - May state this promised benefit as an exact dollar amount
 - It may calculate your benefit through a formula that includes factors such as your salary, your age, and the number of years you worked at the company
- **Defined contribution plan**
 - Does not promise you a specific benefit amount at retirement
 - You and/or your employer contribute money to your individual account in the plan
 - You are responsible for choosing how these contributions are invested
 - You decide how much to contribute
 - Your employer may add to your account
 - The value of your account depends on how much is contributed and how well the investments perform
 - At retirement, you receive the balance in your account
 - Reflects the contributions, investment gains or losses, and fees charged against your account
 - Examples: 401(k), The SIMPLE IRA plan, SEP, employee stock ownership plan (ESOP), and profit-sharing plan
- **The 401(k) Plan**
 - Type of defined contribution plan
 - There are four types of 401(k) plans
 - Traditional 401(k)
 - Safe harbor 401(k)
 - SIMPLE 401(k)
 - Automatic enrollment 401(k) plans
 - 401k catch-up
 - Individuals who are age 50 or over at the end of the calendar year can make annual catch-up contributions
 - 401k hardship withdrawals
 - Certain medical expenses
 - Home-buying expenses for a principal residence
 - Up to 12 months' worth of tuition and fees
 - Expenses to prevent being foreclosed on or evicted

- Contributions
 - Two annual limits apply to contributions:
 - A limit on employee elective salary deferrals
 - An overall limit on contributions to a participant's account
- Withdrawals
 - Subject to incomes taxes
 - Penalties may apply
 - Can still withdraw while contributing
- **The 457(b)**
 - Employer-sponsored, tax-favored retirement savings account
 - Contribute pre-tax dollars from paycheck, and that money won't be taxed money is withdrawn, usually for retirement
 - Also known as a deferred compensation plan, it is offered to state and local government employees such as police officers, firefighters, or other civil servants

Notes:

05 Components of wage statements and payroll processing (for example, taxation, deductions, differentials, garnishments, leave reporting and final pay, and total reward statements)

- **Wage statements**
 - A wage statement/pay stub is a document employers give their employees every pay period that explains how their paycheck was calculated
 - A pay stub usually includes:
 - Employee information – name, social security number, address
 - Dates for the pay period
 - Employee’s pay rate
 - Gross earnings before deductions
 - Taxes withheld, e.g. federal income tax
 - Employee contributions, e.g. pensions contributions
 - Deductions, e.g. for insurance
 - Net pay (the total amount an employee takes home after taxes, contributions and deductions are removed)
 - Leave reporting
 - Total reward statements
 - a personal and unique statement communicating the overall value of an employee's compensation package
 - Employers can make deductions from pay stub that are either:
 - legally authorized
 - voluntarily authorized by the employee for themselves
- **Payroll processing**
 - Payroll is responsible for several processes
 - Payroll begins as and when an employee fills out the W-4 form
 - 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
 - Components
 - While there are many components in the payroll process, they can be broadly divided into three main categories
 - Employee Information: W4
 - Pay
 - Money gets added to the employee’s account
 - Deductions
 - The amount that is taken away from the employee’s account towards payroll taxes, withholdings, benefit deductions, etc.

- Final Pay
 - The sum of all the wages that companies must give their outgoing employees, regardless of whether the employees resigned or were terminated
 - The last salary due
 - Cash conversions of unused leave credits
 - Severance/separation pay
 - Income tax claim for the excess taxes withheld
 - Other types of compensation

Notes:

Functional Area 04 | Functional Area 04 | Employee Relations (24%)

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 Four Objectives

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

- The purpose and difference between mission, vision, and value statements, and how they influence an organization's culture and employees
- How HR supports organizational goals and objectives through HR policies, procedures, and operations (for example, functions of human resource information systems (HRIS), organizational structures, preparing HR-related documents, basic communication flows & methods, SWOT analysis, and strategic planning)
- Techniques used to engage employees, collect feedback, and improve employee satisfaction (for example, employee recognition programs, stay interviews, engagement surveys, work/life balance initiatives and alternative work arrangements)
- Workforce management throughout the employee lifecycle, including performance management and employee behavior issues (for example, goal setting, benchmarking, performance appraisal methods & biases, ranking/rating scales, progressive discipline, termination/separation, offboarding, absenteeism, and turnover/retention)
- Policies and procedures to handle employee complaints, facilitate investigations, and support conflict resolution (for example, confidentiality, escalation, retaliation, and documentation)
- The elements of diversity and inclusion initiatives and the impact on organizational effectiveness and productivity (for example, social responsibility initiatives, cultural sensitivity and acceptance, unconscious bias, and stereotypes)

01 The purpose and difference between mission, vision, and value statements, and how they influence an organization's culture and employees

- **The vision, mission, and values statements provide direction for everything that happens in an organization**
 - They keep everyone focused on where the organization is going and what it is trying to achieve
 - They define the core values of the organization and how people are expected to behave

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

- **Vision**
 - Communicate the organization's 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

- **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:

02 How HR supports organizational goals and objectives through HR policies, procedures, and operations (for example, functions of human resource information systems (HRIS), organizational structures, preparing HR-related documents, basic communication flows & methods, SWOT analysis, and strategic planning)

- **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

- **Human Resource Information System (HRIS)**
 - Personnel system
 - Software solution
 - Maintains, manages, and processes detailed employee information and human resources-related policies and procedures
 - 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

- **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

- **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

- **HR Related Documentation**
 - HR staffing plan
 - HR budget
 - Tax obligations
 - Payroll system/administration
 - Companywide staffing plan
 - Job descriptions
 - Pay structure
 - Benefits plans
 - Employee handbook
 - Safety procedures
 - Employment posters
 - Hiring procedures
 - Personnel files
 - Performance evaluation process

- **SWOT Analysis**
 - Tool for developing a HR department's strategic plan
 - S.W.O.T. is an acronym for Strengths, Weaknesses, Opportunities and Threats
 - Strengths and weaknesses are internal factors
 - Opportunities and threats are external factors
 - Analysis of these dimensions can be used to identify the HR department's role in carrying out the organization's mission
 - To conduct a S.W.O.T. analysis, HR must first study and understand the organization's mission
 - The outcomes of a S.W.O.T. analysis should be used to establish HR strategy and to ensure that the strategy aligns with the organization's mission

Notes:

03 Techniques used to engage employees, collect feedback, and improve employee satisfaction (for example, employee recognition programs, stay interviews, engagement surveys, work/life balance initiatives and alternative work arrangements)

- **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)

- **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.

- **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

04 Workforce management throughout the employee lifecycle, including performance management and employee behavior issues (for example, goal setting, benchmarking, performance appraisal methods & biases, ranking/rating scales, progressive discipline, termination/separation, offboarding, absenteeism, and turnover/retention)

- **Workforce Management**
 - Workforce management (WFM) is an integrated set of processes that a company uses to optimize the productivity of its employees
 - WFM involves effectively forecasting labor requirements and creating and managing staff schedules to accomplish a particular task on a day-to-day and hour-to-hour basis
 - Involves the totality of forecasting, staffing, scheduling, and adjusting in real-time when unexpected changes occur
 - The objective is to get the right number of people in the right places at the right times, doing the right things.

- **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
- **Progressive Discipline**
 - 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
- **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
 - Announce departure
- **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 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
- **Performance management practices**
 - 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

- **Key Terms related to workforce management**
 - Absenteeism
 - A habitual pattern of absence from a duty or obligation without good reason
 - Usually, unplanned absences
 - Absenteeism has been viewed as an indicator of poor individual performance
 - Termination/Separation
 - Termination of employment or separation of employment is an employee's departure from a job
 - The end of an employee's duration with an employer
 - Termination may be voluntary on the employee's part
 - May be at the hands of the employer
 - Turnover
 - Turnover is the act of replacing an employee with a new employee
 - Partings between organizations and employees may consist of termination, retirement, death, interagency transfers, and resignations
 - Retention
 - An organization's ability to prevent employee turnover
 - The number of people who leave their job in a certain period
 - Voluntarily or involuntarily
 - Offboarding
 - The process that leads to the formal separation between an employee and a company
 - Encompasses all the decisions and processes that take place when an employee departs
- **Notes:**

05 Policies and procedures to handle employee complaints, facilitate investigations, and support conflict resolution (for example, confidentiality, escalation, retaliation, and documentation)

- **Policies/Procedures to handle employee complaints**
 - Develop clear complaint policies and procedures
 - Make sure your team is familiar with them

- **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

- **Confidentiality and privacy rules**
 - 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
 - Implement backup methods

- **Grievance Procedure**
 - Method used by employees to address problems at work with their employer
 - The steps that employees must follow when they want to express their concerns about work-related issues to their employer
- **Escalation**
 - Clarifies the boundaries and channels of decision-making throughout an organization in order so solve the problem quickly and with clarity
- **Retaliation**
 - A form of unlawful discrimination that occurs when an employer, employment agency or labor organization takes an adverse action against an employee, applicant, or other covered individual
 - Usually due to employee engaging in a protected activity, including filing a charge of discrimination with a fair employment practices agency or participating in an investigation of alleged workplace misconduct
- **Documentation**
 - Good documentation creates credibility for the employer by showing that employees are treated in a fair and consistent manner
 - Avoid:
 - Making vague, unclear statements about what the employee needs to do to improve
 - Adding personal attacks or subjective comments
 - Providing little or no evidence to support decisions to discipline or terminate an employee
 - Include all details/be specific

Notes:

06 The elements of diversity and inclusion initiatives and the impact on organizational effectiveness and productivity (for example, social responsibility initiatives, cultural sensitivity, and acceptance, unconscious bias and stereotypes)

- **Diversity and inclusion are a company's mission, strategies, and practices to support a diverse workplace and leverage the effects of diversity to achieve a competitive business advantage**
 - Best Practices include:
 - fair treatment
 - equal access to opportunity
 - teamwork and collaboration
 - a focus on innovation and creativity
 - organizational flexibility, responsiveness, and agility
 - conflict resolution processes that are collaborative
 - evidence of leadership's commitment to diversity
 - representation of diversity at all levels of the organization
 - representation of diversity among internal and external stakeholders
 - diversity education and training
 - Initiatives
 - Creating a focus and strategy at the top
 - Assigning an executive, the responsibility for leading and sponsoring the diversity and inclusion program
 - Creating behavioral standards and holding leaders accountable for results
 - Training people at all levels on topics like unconscious bias
 - Integrating diversity and inclusion strategies in recruitment, performance management, leadership assessment, and training
 - Creating employee networks
 - Holding company accountable to compete and win in external award programs
 - Accepting and honoring multiple religious and cultural practices
 - Strengthening anti-discriminatory policies
 - Reporting goals and measuring progress
 - Creating an externally visible scorecard to measure progress including metrics for recruiting, promotion rates, compensation levels, turnover, participation in ERGs, and supplier diversity
- **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.
- **Key Terms**
 - Diversity is actively bringing people of all backgrounds to be a part of the workplace
 - Equity is about ensuring all people have equal opportunities within the organization and that bias, harassment, and discrimination are not tolerated.

- Inclusion is recognizing and embracing those differences so every employee can have an impact on the organization because of the very qualities that make them who they are.
- Diversity is where everyone is invited to the party
- Equity means that everyone gets to contribute to the playlist
- Inclusion means that everyone has the opportunity to dance
- **Social Responsibility**
 - A concept that implies that any individual or organization has an obligation towards society at large, to perform to maintain a balance between economy and ecosystems
 - Can bolster a company's image and build its brand
 - Can empower employees to leverage the corporate resources at their disposal to do good
 - Corporate social responsibility programs can boost employee morale and lead to greater productivity in the workforce
- **Cultural Sensitivity**
 - Paying attention to the differences and placing value in them
 - Differences among cultures may include language, communication styles, working styles, religious beliefs, and social norms
 - Differences can be as small as time zones
- **Acceptance in the workplace**
 - Benefits company cultures
 - Fosters an inclusive space
 - Workplace that caters to different personalities, beliefs, and ways of life
- **Unconscious bias**
 - Social stereotypes about certain groups of people that individuals form outside their own conscious awareness
- **Stereotypes**
 - Refer to beliefs that certain attributes, characteristics, and behaviors are typical of members of a particular group of people

Notes:

Functional Area 05 | Compliance & Risk Management (25%)

Complying with laws, regulations, and policies, and educating stakeholders to identify, mitigate, and respond to organizational risk. Awareness of records management, storage, and retention regulations and reporting requirements.

Study Guide Five Objectives

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

- ❑ Applicable laws and regulations related to talent acquisition, training, and employee/employer rights and responsibilities, such as nondiscrimination, accommodation, and work authorization (for example: EEOC, DOL, I-9 form completion, employment-at-will, Title VII, ADA, Immigration Reform and Control Act, Title 17 [Copyright law])
- ❑ Applicable laws, regulations, and legal processes affecting employment in union environments (for example, WARN Act, NLRA, collective bargaining, and alternative dispute resolution methods)
- ❑ Applicable laws and regulations related to compensation and benefits, such as monetary and nonmonetary entitlement, wage and hour (for example: ERISA, COBRA, FLSA, USERRA, PPACA, and tax treatment)
- ❑ Applicable laws and regulations related to workplace health, safety, security, and privacy (for example: OSHA, Drug-Free Workplace Act, ADA, HIPAA, Sarbanes-Oxley Act, WARN act, and sexual harassment)
- ❑ Risk assessment and mitigation techniques to promote a safe, secure, and compliant workplace (for example, emergency evacuation procedures, violence, business continuity plan, intellectual and employee data protection, and theft)
- ❑ Organizational restructuring initiatives and their risks to business continuity (mergers, acquisitions, divestitures, integration, offshoring, downsizing and furloughs)

Applicable Laws and Regulations

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

[Employment Law Guide \(dol.gov\)](#)

[State Labor Laws | U.S. Department of Labor \(dol.gov\)](#)

[Fact Sheet #21: Recordkeeping Requirements under the Fair Labor Standards Act \(FLSA\) | U.S. Department of Labor \(dol.gov\)](#)

[Workplace Posters | U.S. Department of Labor \(dol.gov\)](#)

[Employment Eligibility Verification | USCIS](#)

[Employment Laws: Overview and Resources for Employers | U.S. Department of Labor \(dol.gov\)](#)

- **There are many federal, state, and local laws that affect the American workplace**
- **The U.S. Department of Labor (DOL) administers and enforces most federal employment laws, including those covering wages and hours of work, safety and health standards, employee health and retirement benefits, and federal contracts**
- **Several other federal agencies also administer laws affecting employment issues**
 - The U.S. Equal Employment Opportunity Commission (EEOC) enforces many of the laws ensuring nondiscrimination in the workplace
 - The National Labor Relations Board (NLRB) administers the primary law governing relations between unions and employers
- **Most workplace laws apply the same way to all employees, whether they have disabilities**
- **Some laws apply specifically to employees with disabilities**
 - The Americans with Disabilities Act (ADA) and the Rehabilitation Act
- **The Family and Medical Leave Act (FMLA) and state Workers' Compensation laws apply to all employees**
 - They have disability-related implications when employees are injured or become disabled on the job
- **Department of Labor — DOL is committed to providing America's employers, workers, job seekers and retirees with clear and easy-to-access information on how to follow federal employment laws**
- **Equal Employment Opportunity Commission (EEOC) — The [EEOC's website](#) offers a wide range of materials for employers on preventing and addressing employment discrimination**
- **U.S. Department of Justice (DOJ) — DOJ's Americans with Disabilities Act (ADA) Home page provides extensive ADA information and resources, including publications for businesses and links to the various agencies responsible for enforcing its different provisions**
- **State Resources — When researching federal employment laws, it is important to remember that many states also have their own state-specific employment laws. When state laws differ from federal laws, employees may be entitled to the greater benefit or more generous rights provided under the different parts of each law. More information is available from state labor and employment agencies.**
- **The following is a list of employment laws that regulate hiring, wages, hours and salary, discrimination, harassment, employee benefits, paid time off, job applicant and employee testing, privacy, and other important workplace and employee rights issues**

- The Fair Labor Standards Act (FLSA) determines the federal minimum wage and overtime pay of one-and-one-half-times the regular rate of pay
 - It also regulates child labor, limiting the number of hours that minors can work.
- The Employee Retirement Income Security Act (ERISA) oversees employers' pension plans and the required fiduciary, disclosure, and reporting requirements. ERISA doesn't apply to all private employers and doesn't require companies to offer plans to workers.
- The Family Medical and Family Leave Act (FMLA) requires employers with more than 50 employees to provide workers with up to 12 weeks of unpaid, job-protected leave for the birth or adoption of a child, for the serious illness of the employee or a spouse, child, or parent, or for emergencies related to a family member's active military service, including childcare requirements
 - If the active service member becomes seriously ill or is injured in the course of their duties, coverage may be extended for up to 26 weeks of unpaid leave during a 12-month period
- The Occupational Safety and Health Act (OSHA) regulates health and safety conditions in private-sector industries to ensure that work environments do not pose any serious hazards.
 - Covered employers are required to display a poster in the workplace, outlining workers' rights to request an OSHA inspection, how to receive training on hazardous work environments, and how to report issues
- Civil Rights Acts
 - There are several laws on the books that prohibit discrimination on the basis of sex
 - Title VII of the Civil Rights Act of 1964
 - The Equal Pay Act of 1963
 - The Civil Rights Act of 1991.
- The Americans with Disabilities Act law makes it illegal for employers to discriminate against job applicants based on disability
- COBRA gives workers the right to continue their health insurance coverage after separating from their job
- **I-9, Employment Eligibility Verification**
 - Use Form I-9 to verify the identity and employment authorization of individuals hired for employment in the United States
 - All U.S. employers must properly complete Form I-9 for each individual they hire for employment in the United States
 - This includes citizens and noncitizens.
 - Both employees and employers (or authorized representatives of the employer) must complete the form.
 - Employee must attest to his or her employment authorization

- The employee must also present his or her employer with acceptable documents evidencing identity and employment authorization
- The employer must examine the employment eligibility and identity document(s) an employee presents to determine whether the document(s) reasonably appear to be genuine and to relate to the employee and record the document information on the Form I-9
- The list of acceptable documents can be found on the last page of the form
- Employers must retain Form I-9 for a designated period and make it available for inspection by authorized government officers.
- Employers must complete and sign Section 2 of Form I-9, Employment Eligibility Verification, within 3 business days of the date of hire of their employee (the hire date means the first day of work for pay)
 - For example, if your employee began work for pay on Monday, you must complete Section 2 by Thursday of that week. If the job lasts less than 3 days, you must complete Section 2 no later than the first day of work for pay
- **Employment at will**
 - At-will employment refers to an employment agreement stating that employment is for an indefinite period and may be terminated either by employer or employee
 - In United States labor law, at-will employment is an employer's ability to dismiss an employee for any reason, and without warning, if the reason is not illegal
 - When an employee is acknowledged as being hired "at will," courts deny the employee any claim for loss resulting from the dismissal
- **Immigration Reform and Control Act of 1986 (IRCA), Public Law 99-603, 100 Stat. 3359 (enacted November 6, 1986)**
 - An act of Congress passed into law to control and deter illegal immigration to the United States
 - Its major provisions stipulate legalization of undocumented aliens who had been continuously unlawfully present since 1982, legalization of certain agricultural workers, sanctions for employers who knowingly hire undocumented workers and increased enforcement at U.S. borders
- **Copyright Law of the United States (Title 17)**
 - Title 17 of the United States Code is the United States Code that outlines United States copyright law. It was codified into positive law on July 30, 1947. The latest version is from December 2016.
- **Warn Act**
 - The Worker Adjustment and Retraining Notification Act of 1988 is a US labor law which protects employees, their families, and communities by requiring most employers with 100 or more employees to provide 60 calendar-day advance notification of plant closings and mass layoffs of employees, as defined in the Act
- **NLRA**
 - Congress enacted the National Labor Relations Act ("NLRA") in 1935 to protect the rights of employees and employers, to encourage collective bargaining, and to curtail

certain private sector labor and management practices, which can harm the general welfare of workers, businesses, and the U.S. economy

- **Collective bargaining**
 - A process of negotiation between employers and a group of employees aimed at agreements to regulate working salaries, working conditions, benefits, and other aspects of workers' compensation and rights for workers

- **Alternative Dispute Methods**
 - The term alternative dispute resolution (ADR) means any procedure, agreed to by the parties of a dispute, in which they use the services of a neutral party to assist them in reaching agreement and avoiding litigation
 - Types of ADR include arbitration, mediation, negotiated rulemaking, neutral factfinding, and minitrials
 - Except for binding arbitration, the goal of ADR is to provide a forum for the parties to work toward a voluntary, consensual agreement, as opposed to having a judge or other authority decide the case
 - In addition to serving as a potential means of avoiding the expense, delay, and uncertainty associated with traditional litigation, ADR also is intended as a vehicle for improving communication between the parties
 - ADR provides a forum for creative solutions to disputes that better meet the needs of the parties

- **Monetary and Non-monetary incentives/rewards/benefits**
 - Monetary rewards are the incentives which involve direct money to the employees
 - Non-Monetary rewards are the incentives which do not involve direct money to the employees

- **USERRA**
 - USERRA - Uniformed Services Employment and Reemployment Rights Act
 - USERRA establishes the cumulative length of time that an individual may be absent from work for military duty and retain reemployment rights to five years (the previous law provided four years of active duty, plus an additional year if it was for the convenience of the Government)
 - Since 1940, there has been a law governing a service member's right to reemployment after completion of military training or service

- **PPACA**
 - PPACA stands for the Patient Protection and Affordable Care Act
 - The goals of the PPACA are to ensure more people have health insurance, reduce the cost of health care, and improve how patients get care
 - The final modified version of the law is referred to simply as the Affordable Care Act or "Obamacare."

- **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
 - OSHA forms
 - All employers with 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

- **The Drug Free Workplace Act**
 - The Drug-Free Workplace Act of 1988 (41 U.S.C. 81) is an act of the United States which requires some federal contractors and all federal grantees to agree that they will provide drug-free workplaces as a precondition of receiving a contract or grant from a federal agency

- **HIPPA**
 - The Health Insurance Portability and Accountability Act of 1996 (HIPAA) is a federal law that required the creation of national standards to protect sensitive patient health information from being disclosed without the patient's consent or knowledge

- **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

- **Sexual Harassment**
 - It is unlawful to harass a person (an applicant or employee) because of that person's sex
 - Harassment can include "sexual harassment" or unwelcome sexual advances, requests for sexual favors, and other verbal or physical harassment of a sexual nature
 - Harassment does not have to be of a sexual nature, however, and can include offensive remarks about a person's sex
 - Both victim and the harasser can be either a woman or a man, and the victim and harasser can be the same sex
 - Although the law doesn't prohibit simple teasing, offhand comments, or isolated incidents that are not very serious, harassment is illegal when it is so frequent or severe that it creates a hostile or offensive work environment or when it results in an adverse employment decision (such as the victim being fired or demoted)
 - The harasser can be the victim's supervisor, a supervisor in another area, a co-worker, or someone who is not an employee of the employer, such as a client or customer

- **Risk mitigation in the workplace**
 - 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
 - Control of hazardous materials
 - Lockout/tagout procedures
 - Machine guarding
 - Confined space environments
- **Workforce reduction and restructuring terminology**
 - Downsizing
 - Mergers
 - Acquisitions
 - Outplacement practices
 - Alumni Program
 - Layoffs
 - Reductions-in-force
 - Offshoring
 - Furlough

Notes: