



**2017**  
**HR Certification Institute® (HRCI®)**  
**Recertification Handbook**  
Policies and Procedures

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When you became certified, you showed your commitment to the HR profession, but in a profession where change is constant, success depends on one's continued dedication to excellence. Recertification enables you to demonstrate that dedication and to stay on top of the rapidly changing HR field. Your journey has just begun.

## **WHY RECERTIFY?**

Holding an HR Certification Institute (HRCI) credential requires that you actively demonstrate your dedication to remaining up to date with the rapidly changing HR profession through continued professional development and recertification. To keep your Associate Professional in Human Resources™ (aPHR™), Professional in Human Resources® (PHR®), Senior Professional in Human Resources® (SPHR®), Global Professional in Human Resources® (GPHR®), Professional in Human Resources - California® (PHRca®), Professional in Human Resources - International™ (PHRi™), and/or Senior Professional in Human Resources - International™ (SPHRi™) designation(s), HR Certification Institute requires all certified HR professionals to recertify every three (3) years, either by testing again or by accumulating the required recertification credit hours below through Professional Development or Professional Achievement.

## **DEFINING “HR-RELATED”**

In general, if an activity can be tied to the Exam Content Outline for that certification and it adds to a person's knowledge of the HR field, we award recertification credit. You can find the aPHR, PHR, PHRca, SPHR, GPHR, PHRi, and SPHRi certification Exam Content Outlines at [www.hrci.org](http://www.hrci.org). All recertification activities must be HR-related. Activities that focus on personal development are not eligible for recertification credit. Examples of personal development courses or activities are “How to Reduce Stress,” “Developing Your Network for Success,” and “Time Management.” When you submit your recertification application, you must show how the activity is HR-related if it is an activity that has not already been pre-approved by HR Certification Institute. Additionally, when you describe your activities, you should relate them to the HR Exam Content Outline. In some cases, an HR Certification Institute reviewer may not accept the activity if it does not seem to be HR-related. We may also contact you via email to ask for more information about an activity.

## **SPECIFIED CREDIT HOUR REQUIREMENTS**

### **GPHR-CERTIFIED**

If you hold a GPHR designation, 15 hours of the required 60 recertification credit hours must be in Global HR Management. HR Certification Institute defines Global HR Management as an activity that can be tied directly to a section of the GPHR Exam Content Outline, which you can find on our website at [www.hrci.org](http://www.hrci.org).

## **SPHRi- OR SPHR-CERTIFIED**

If you hold a SPHRi or SPHR designation, at least 15 hours business credits of the 60 hours you earn must add to your knowledge of your organization and how it operates. Refer to the “HR as a Business Leader” functional area of the SPHRi Exam Content Outline, or the “Business Management and Strategy” area of the PHR/SPHR Exam Content Outlines for the types of activities that meet this requirement. You will find them online at [www.hrci.org](http://www.hrci.org). Programs that have been pre-approved for business credit have met this requirement.

NOTE: If you hold both the SPHR and SPHRi credentials concurrently, you only have to meet the 15 business hours requirement a single time to satisfy the specified credit requirement.

## **PHRca CERTIFIED**

If you have a PHRca designation, 15 hours of the required 60 recertification credit hours must be California specific activities, as defined by the PHRca Exam Content Outline, which you can find at [www.hrci.org](http://www.hrci.org).

## **RECERTIFICATION CREDITS AND CYCLES FOR MULTIPLE DESIGNATIONS**

A total of 60 recertification credit hours are required whether you hold one (with the exception of the aPHR™) or multiple designations. If you earn a second designation in the middle of your current certification cycle, the end date of the second certification will be synchronized to the end of your initial certification cycle, which is your birth month. Additionally, the specified credit hours required to recertify the second designation will be prorated. After the initial recertification period is complete, the beginning and end dates of all concurrent designations will be synchronized. If you are earning prorated credit hours, you must still earn the specified credit hours on that prorated basis. The section below explains this process further and gives helpful examples.

In some cases, one continuing education activity may count toward specified credit hours for more than one certification. For example, a five-hour seminar on global demographic workforce trends could count toward meeting the specified credit hours requirement for both the GPHR and SPHR designations. However, it contributes only five hours toward the overall requirement of earning 60 credit hours.

## **PRORATING SPECIFIED CREDIT HOURS FOR MULTIPLE DESIGNATIONS**

If a certified HR professional earns a second designation, the credit hours for the second designation are prorated on a biannual basis. For instance, if the GPHR designation is obtained after the PHR, SPHR, or SPHRi, the requirement to obtain 15 global recertification credit hours over a three-year period would be adjusted (for example, 2.5 global HR recertification credit hours every six months) for the first certification cycle. If the SPHR or

SPHRi designation is obtained after the GPHR, the requirement to obtain 15 business recertification credit hours over a three-year period would be adjusted on a biannual basis (for example, 2.5 business recertification credit hours every six months) for the first certification cycle. There are no specified credit hours required for the aPHR, PHR or PHRi designations.

Your prorated specified recertification credit hours and certification cycle dates will be available in your online profile upon receipt of your exam results.

## QUESTIONS OR COMMENTS?

Thank you for being certified by HR Certification Institute. The recertification process is a critical component of maintaining professional certification, and HR Certification Institute is here to support you during this process. If you have questions or comments, please feel free to contact us:

Email: [info@hrci.org](mailto:info@hrci.org)

Phone (US toll free): +1.866.898.4724 | +1.571.551.6100

Website: [www.hrci.org](http://www.hrci.org)

## CERTIFICATION CYCLE DATES

Your certification cycle end date will coincide with your birth month. This is set up after you are newly certified and may make the initial certification cycle longer than three years. You can begin earning recertification credit hours immediately after you have passed the exam; however, your recertification account will be created in conjunction with the upload of exam results. You can access your recertification account once you have received your exam results notification.

Here are some examples:

- If you took your exam and passed on 1/16/2013 and your birth month is July, you would be due to recertify on or by 7/31/2016. Thereafter, you would recertify every three years by July 31.
- If the month in which you are due to recertify (for example, June 2014) is the same as your birth month listed in our records (for example, June 2014), your cycle date will remain the same.
- If the month in which you are due to recertify (for example, June 2014) occurs earlier in the year than your birth month listed in our records (for example, December 2014), your cycle date will be extended to the end of your birth month, later that same year (in this example, December 31, 2014).

- If the month in which you are due to recertify (for example, June 2014) occurs later in the year than your birth month listed in our records (for example, January 2014), your cycle end date will be extended to the end of your birth month in the following year (in this example, January 31, 2015).

Your certification cycle dates may be found on in your online profile.

You must earn your recertification credit hours during your current certification cycle. You can begin adding information to your online file the day after your certification cycle ends. For example, if your recertification end date is December 31, you may start earning recertification credit toward the next certification cycle on January 1. However, you will not be able to record these activities on your recertification application until your previous recertification application has been approved.

You may submit your recertification application 12 months after the cycle start date and after the recertification requirements for the designation have been met. However, your certification cycle will always begin the day after the previous cycle ended. Additionally, if you recertify early, you may not carry activities forward to the next certification cycle. For example, if your certification dates are December 2009 to December 2012, and you submit your recertification application in June 2012, any activities you take part in from July 2012 through 2012 would NOT count toward your next certification cycle.

## **RECERTIFICATION APPLICATION FEE**

The recertification application fee is 150 USD for a single certification, if paid by your certification cycle end date. Make this payment when you submit your application. The application fee is nonrefundable, even if we do not approve your application. If you submit your PHR recertification application and then take and pass the SPHR, your recertification fee will not be refunded. If you complete the application online, you must pay the fee when you submit your application. You can pay the online application fee with Visa, MasterCard or American Express credit cards. To pay with a check, please submit all your recertification activities online and then complete the Recertification Payment Form. You may find this form at [www.hrci.org/certification-handbooks/forms](http://www.hrci.org/certification-handbooks/forms). Please do not send cash. Include your name and home telephone number (including area code) on your check.

## **RECERTIFICATION FEES FOR MULTIPLE DESIGNATION HOLDERS**

The cost to recertify more than one designation is 150 USD for the first designation and 50 USD for each additional designation. For example, the total cost for any candidate who is recertifying the GPHR designation and the PHR would be 200 USD.

Number of Designations	Price
One Designation	150 USD
Two Designations	200 USD
Three Designations	250 USD
Four Designations	300 USD
Five Designations	350 USD

All fees are subject to change without notice. Those holding multiple designations must meet recertification requirements for each of the designations that they wish to retain.

### **PHR or SPHR Designation**

While you can hold multiple designations at the same time, you cannot hold both the PHR and the SPHR levels at the same time. This is because these two certifications share the same Exam Content Outline. While both exams assess different aspects of Human Resources — with the PHR being more operational and the SPHR more strategic — the person who holds the SPHR designation has demonstrated mastery of both levels.

Therefore, an individual may NOT hold both a PHR and an SPHR. Also, recertification activities completed for the PHR will NOT count toward the new SPHR, because a new certification cycle date is assigned when the SPHR is earned.

For all of the other certifications (aPHR, PHRca, GPHR, PHRi and SPHRi), HR Certification Institute conducted independent practice analysis studies that resulted in separate and distinct bodies of knowledge. HR professionals may hold any of these certifications separately or in combination with each other or with the PHR or SPHR. HR professionals need to decide for themselves which of these certifications relate to their HR experience and bring value to their current and future career goals.

### **SUSPENDED STATUS**

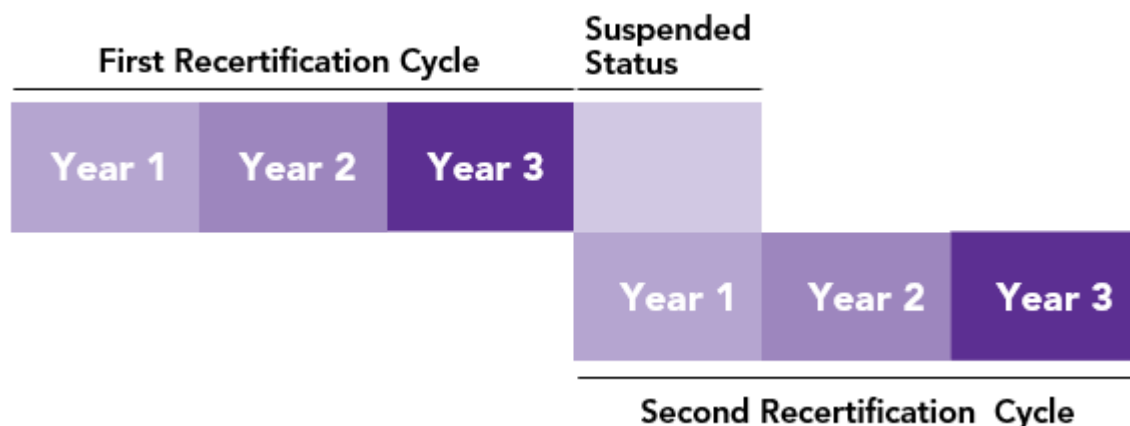
You have the primary responsibility for keeping your certification current. Since HR Certification Institute sends periodic reminders of recertification end dates, please keep your email address current. However, failure to receive reminders is not grounds for missing your cycle end date.

Your certification cycle end dates are also displayed in your online profile.. Applications for recertification that are received online or postmarked the same day as the end date of the certification cycle are considered on-time submissions. If you fail to submit your application by the last day of your cycle, your credential(s) will be placed in Suspended status for up to 12 months.

While your credential(s) are in Suspended status, you will not be able to represent yourself as certified. Your name will not appear in our Directory of Certified Professionals, and HRCI will not be able to verify your credentials to your current or potential employers. However, once you successfully recertify, they will be reinstated.



It is therefore to your benefit to remain in Suspended status for as short a time as possible.



## EXPIRED STATUS

If you fail to recertify by the end of the 12-month period during which your credential(s) are in Suspended status, your status will be changed to Expired. Once your credential(s) expire, you will need to reapply and successfully pass the current edition of the exam(s) to regain the use of your credential(s).

Although we will no longer allow for extensions, we will review hardship cases with extenuating circumstances (i.e. serious health conditions, termination of employment, etc.). In hardship cases, individuals may be permitted to use their credential(s) while in Suspended status by paying the 100 USD fee at the time of approval.

If you would like to inquire about your own hardship request, please send a description of your hardship to the recertification team at [info@hrci.org](mailto:info@hrci.org). Once you have submitted your request, you will receive a response from our recertification manager.

## EMERITUS STATUS

HRCI Emeritus status allows currently certified HR professionals whose status is Member-Active to continue to use their designation(s) after they retire from the HR profession without having to recertify.

Please consider the emeritus status carefully before you request. HRCI Certified professionals awarded the Emeritus Status who later decide to re-enter the HR profession will have the Emeritus status removed and will have to retake the qualifying HRCI exam.

Any aPHR, PHR, PHRca, SPHR, GPHR, PHRi, and SPHRi-certified HR professionals, whose status is Member-Active, may request Emeritus status if they are:

- age 60 or older and are retiring from the HR profession,
- retiring from work that includes consulting, private and public-sector HR work, and/or lecturing part-time at a college or university.

Those who plan to continue doing part-time HR work, perhaps as a consultant or as a lecturer are neither considered retired nor eligible for the Emeritus status.

To request and use the Emeritus status, please follow these steps:

- Create and send a letter of intent to retire with your name; email address; designation(s); certification cycle(s); the name of your organization; and the date you plan to retire. Please include proof of your age (copy of your driver's license or passport) to HRCI at, [certdirector@hrci.org](mailto:certdirector@hrci.org);
- Pay the one-time processing fee of 150 USD that includes an Emeritus designation certificate that is sent using tracked delivery. Payment can be made via Visa, MasterCard or American Express credit cards or with a check payable to "HR Certification Institute";
- Update your credentials on social media profiles and professional papers. Anyone granted Emeritus status must use the word "Emeritus" in conjunction with their designation. For example, if you hold the PHR designation, you would use "PHR Emeritus" in any communication that includes the designation.
- HRCI will issue a new digital badge for Emeritus status.

## **LIFE CERTIFICATION**

Prior to 1996, HR Certification Institute granted Life Certification to certified HR professionals who had successfully recertified their designation at least twice. In 1996, HR Certification Institute's Board of Directors discontinued this option, recognizing that a constantly changing profession requires continual professional development.

If you hold a Life Certification and then later earn another designation, you will have to recertify by completing the required credit hours (including any specified credit hours) for the additional designation.

## **RECERTIFICATION APPLICATION PROCESSING**

Each individual holding an HR Certification Institute credential has an online recertification profile which may be accessed here: [hrci.org/recertapp](http://hrci.org/recertapp). You may record your recertification activities and upload documentation as you complete them in your profile. When you have entered the required number of recertification hours plus any specified hours, you may pay for and submit your application online. HRCI reviews applications once they have been submitted with payment.

Once you submit your online application, you will receive an email letting you know that we received it. We will contact you again after we have reviewed your application. If your application is incomplete, we will email you with a request for more information. When your application is approved, we will send you a notification email and instructions on how to upload your digital badge. The digital badge is at the forefront of how credentials are shared and displayed. Check out the many benefits of [digital badging](#). If you still wish to have a paper copy of your HRCI credential, you will have the option to request one through [the HRCI online store](#) starting January 1, 2017. The cost associated with the order is to ensure secure shipping and package tracking.

## **INCOMPLETE APPLICATIONS**

When we are reviewing your application, we may contact you for more information. When we ask for more information, we will give you a deadline for when you must respond. If you do not meet this deadline, your application may not be approved.

If we ask you for more information, we will not ask you to pay any additional fees. If you fully describe your activities, we are less likely to ask you for additional information. We highly recommend that you fully describe your activities and show how they relate to the relevant HR Exam Content Outline.

## **RECERTIFICATION AUDIT**

A certain percentage of recertification applications are randomly selected for audit upon submission. If you are selected for our audit, you will be notified immediately when you submit your recertification application for review. HR Certification Institute randomly audits applications as part of our NCCA accreditation to ensure the quality and integrity of our certification programs.

We recommend that as you enter your activities into your application throughout your cycle, you upload documentation that demonstrates you have completed an activity. Completing this step as you enter activities will make your recertification plan a reference tool to store your certificates of completion and documentation and will make participation in our audit process streamlined and simple. Since the audit selection process is completely random, you should keep all supporting documents for reference until the audit of your applications has been completed. Should your application be selected for an audit, it will not be considered complete until documentation of all activities listed has been provided.

Further information and instructions will be provided to you at the time your application is selected for audit. HR Certification Institute will work with you to successfully complete the audit process.

Here are the steps below to assist you with entering audit documentation.

1. Please log in to your recertification application. Once you are in the application, find the activity that you want to add the document to.
2. There is will be an orange button located on the right that reads "Submit Audit Docs." Please click to access the pop-up box.
3. Once you have accessed the pop-up box you can upload documents where it reads "Upload Activity Documentation."
4. When you have uploaded the document, please click the submit button to access the pop-up screen.

5. To complete the entry please select “Yes” in the “I attest” box located at the bottom of the page. Please repeat this process for each of the activities that have been entered.
6. Once you have submitted the required credit hours of documentation, please click “Submit for Audit” at the top right for review.

## **NAME CHANGES**

The only way to process a name change in your online profile is to follow the steps below. Only HR Certification Institute has the access needed to change your name in our online system. For security reasons, we require that you send us legal documents to allow us to make a name change. These legal documents include a driver’s license, marriage license, or other legal notification. Once we have made the name change, we will shred any legal documents you have sent us.

Please complete the Name Change Request Form ([www.hrci.org/certification-handbooks/forms](http://www.hrci.org/certification-handbooks/forms)) and submit with a copy (not the original) of a government-issued ID such as a driver’s license or marriage certificate which reflects the name change.

If you want a certificate with your new name, it may be purchased through the [HRCI online store](#) starting January 1, 2017. The cost associated with the order is to ensure secure shipping and package tracking.

## **DIGITAL BADGES**

The digital badge is at the forefront of how credentials are shared and displayed. Check out the many benefits of [digital badging](#). If you still wish to have a paper copy of your HRCI credential, you will have the option to request one through the [HRCI online store](#) starting January 1, 2017. The cost associated with the order is to ensure secure shipping and package tracking.

## **REQUEST FOR RECONSIDERATION (APPEAL)**

A request for reconsideration allows an individual to appeal an adverse, non-disciplinary decision made as part of the exam eligibility, exam testing and recertification processes. The types of items that fall into this policy are being deemed ineligible to take an exam, test site issue resulting in an unsuccessful result, rescheduling of exam by testing vendor, medical or personal emergency, or denial of recertification application.

Any request for reconsideration must be made submitted on the HRCI Request for Reconsideration Form to [certdirector@hrci.org](mailto:certdirector@hrci.org) within 10 business days of receiving the adverse determination. The written request must include date of determination, details of the circumstances, the reason for the appeal (including relevant supporting materials not previously submitted), and individual’s email address, postal address, and a phone number

at which the individual can be reached. Receipt of the request will be acknowledged via email within five (5) business days of receipt.

The request will be reviewed by the Senior Director, Client Relations & Services who will obtain and review any additional information relevant to the appeal within 10 business days of receipt of request. The director will notify the individual of the decision within five (5) business days of the determination. The determination will be final.

## RECERTIFICATION ACTIVITY CATEGORIES AND SUBCATEGORIES

You must accumulate the required credit hours during the three-year certification cycle. You can obtain credit hours through any combination of the following activities:

<b>Professional Development</b>	<b>Maximum</b>
Pre-Approved Program	No Maximum
Instructor-Led Continuing Education	No Maximum
Self-Directed Learning	30-Hour Maximum
<b>Professional Achievement</b>	<b>40-Hour Maximum</b> The 40 hours may come from one subcategory (except for membership) or any combination of the five subcategories.
Instruction	
On-the-Job (OTJ) Activity	
Leadership	
Research & Publishing	
Professional Membership	12-Hour Maximum

All recertification activities must be HR-related. In general, if an activity can be related to the Exam Content Outline for the certification an individual has earned and it adds to the certification holder’s knowledge of the HR field, it is considered “HR-related” and recertification credit will be awarded. The aPHR, PHR, PHRca, SPHR, GPHR, PHRi, and SPHRi Exam Content Outlines may be found online at [www.hrci.org](http://www.hrci.org).

### CATEGORY A: PROFESSIONAL DEVELOPMENT

An individual may earn all recertification credit in the Professional Development category. There are no credit limits for pre- approved or instructor-led programs. This includes classroom, e-learning, and web-based programs.

**Exception:** Self-Directed Learning has a limit of 30 credit hours. This includes activities that have no formal structure or instructor.

## **Subcategory: Pre-Approved Programs by HRCI – No Maximum**

Programs offered by HRCI Approved Provider Organizations.

### **Policy**

Earn credits by attending programs pre-approved by HRCI.

All pre-approved programs can be viewed here:

<http://www.hrci.org/recertification/pre-approved-activity-search>.

### **Business Rules**

The program ID will be distributed by the host organization only. The program credit hours and type of credit will auto populate into an individual's recertification file as long as the program ID and dates of the event match exactly.

Note on conference submission: Only use the program ID for a conference when applying for general credit or if an entire conference has been awarded specified credit. If you need specified credit and the conference has been awarded general credit, please enter each session separately in the Continuing Education/Instructor Led Subcategory.

Specified credit (business, global, and California) may be earned through pre-approved programs.

### **Audit Documentation**

Certificate or letter of attendance, registration form, receipt, or email confirmation are all acceptable forms of documentation.

## **Subcategory: Instructor-Led Continuing Education – No Maximum**

Courses that are led by an instructor whether live or should be recorded and have structure to the program.

### **Policy**

Earn credits by completing a course offered by a college or university, by attending a non-pre-approved program or conference that adds to your HR knowledge, by participating in e-learning, online training, in-house work training, or by attending a professional HR chapter program.

### **Business Rules**

Programs must be at least 45 minutes long (30 minutes of content and 15 minutes of Q&A is the minimum) and HR-related. Credit may be recorded in quarter-hour increments such as 1.25 for a program that is one and fifteen minutes in length.

Programs held during a meal must be at least 1.5 hours long in order to be eligible for one hour of credit. For a one-day conference, six credit hours are awarded. Documentation must

be included to be considered for more than six hours. Pre-conference workshops may be awarded additional credit if a separate registration is required.

For each semester credit hour, 10 recertification credits will be awarded. For a three-credit semester course, 30 recertification credit hours will be awarded. If a course is audited rather than attended for credit, a maximum of 10 credit hours will be awarded. To receive recertification credit for a college or university course, a grade of “C” must be earned.

Specified credit (business, global, and California) may be earned through continuing education/instructor-led courses.

### **Audit Documentation**

Certificate or letter of attendance, registration form, course syllabus, unofficial transcript, grade report, or other course material are all acceptable forms of documentation.

### **College and University Courses**

HR Certification Institute accepts continuing education units (CEUs) awarded through the International Association for Continuing Education and Training (IACET). IACET guidelines state that an agency can award one CEU (comparable to one semester credit hour) for every 10 hours of classroom time.

For example, a course awarded three CEUs using IACET criteria is equivalent to 30 classroom hours. aPHR, PHR, PHRca, SPHR, GPHR, PHRi, and SPHRi certified HR professionals would receive 30 recertification credit hours for one course. If you can provide documentation demonstrating your course contained more contact hours than the IACET guidelines allow, please upload documentation (like a detailed syllabus) to illustrate the requested number of hours. You may earn hour-for-hour credit for all classroom contact hours.

If you audit (meaning you attend the classes, but are not responsible for completing coursework) an HR-related college or university course, you can claim a maximum of 10 recertification credit hours on your recertification application. If you have additional questions about how to determine how much credit you can potentially earn for taking a college or university course, please contact our client relations team at [info@hrci.org](mailto:info@hrci.org).

NOTE: To receive recertification credits for college/university coursework, you must pass the course with a grade of “C” or better.

### **Conferences and Seminars**

Credit may be given for a general (plenary) session if the presentation is at least one-hour long and is specifically HR-related.

- Typically, six credit hours are awarded for attending all conference educational sessions during a one-day conference.
- Additional credit hours may be awarded for preconference workshops if you give additional information about them on your recertification application.

### **Subcategory: Self-Directed Learning – 30 Credit Hours Maximum**

HR-related activities that have no formal structure or instructor, but which facilitate a better understanding of one or more aspects of the profession.

#### **Policy**

Earn credits for self-directed activities such as:

- Being mentored or coached. Credit awarded on an hour-for-hour basis.
- Additional activities may be considered if the activity is HR-related and it can be documented how the activity improved HR knowledge. Credit awarded on an hour-for-hour basis.

#### **Audit Documentation**

Notes and specific learnings from the activity or a letter from a mentor or coach verifying time are acceptable forms of documentation.

#### **Business Rules**

Credit can be recorded in quarter-hour increments such as 1.25 for a program that is one hour and fifteen minutes in length. Specific applications to HR knowledge must be demonstrated upon submission of activity.

#### **Pre-approved Facilitated Book Discussion**

Books published by HRCI will have a pre-approved ID associated with them with no more than 2.5 recertification credits per book. In order for a book to be awarded credit through a facilitated book discussion, a book must be submitted by the facilitator for pre-approval through HRCI. The following criteria must be met in order for the submitted book to receive pre-approval:

- Book must be on an HR-related subject that aligns with knowledge or a responsibility listed in one of HRCI's Exam Content Outlines.
- There must be an official facilitator for each book club discussion who is responsible for submitting the book to HRCI for pre-approval credit.
- The facilitated book discussion must meet at least once for a minimum of one hour. Specified credit (business, global, or California) may be earned.



## **CATEGORY B: PROFESSIONAL ACHIEVEMENT**

An individual may earn up to 40 recertification credit hours in this category. The 40 hours may come from one subcategory (except for membership) or any combination of the five subcategories.

### **Professional Achievement Activities**

- Instruction
- On-the-Job Activity Leadership
- Research and Publishing
- HR Membership (12-Hour Maximum)

### **Subcategory: Instruction**

Presenting on an HR topic, facilitating a book discussion.

### **Policy**

Earn credit for making a formal HR-related presentation such as:

- A Workshop
- In-House Training External Training
- A College/University Course Book Club Facilitation
- A Webinar

### **Business Rules**

Presentations must be at least 60 minutes in length and HR-related. To account for course preparation time, instructors earn two recertification credit hours for each hour of presentation time. Credit will only be awarded the first time a presentation is given. Presentations that communicate company policies do not earn credit.

A facilitator of a pre-approved book discussion may earn credit for the discussion portion. For example, leading a discussion about the impact of a book on HR practices.

Specified credit (business, global, or California) may be earned through this category.

### **Audit Documentation**

A copy of the presentation, syllabus/agenda, or the book discussion questions are all acceptable forms of documentation.

### **Subcategory: On-the-Job Activity**

Work-related activities that lead to new HR learning.

### **Policy**

Earn credit for an HR activity that adds to your HR knowledge gained through work experience.

If the activity is something that you have never done before, credit will be earned for first-time on-the-job activities. For example, if you need to create a performance appraisal program for your company, you would submit the activities undertaken to accomplish this goal as your documentation for recertification credit.

If the overall experience is something you have done before, credit will be earned only if something has been added or changed that requires you to learn something new. For example, you have already implemented a performance appraisal program, but you decide to add a new feature, such as 360-degree feedback. You must learn the details of this approach so that you can present to key stakeholders. These new HR-related learnings would be eligible for recertification credit.

### **Business Rules**

Hour-for-hour credit is awarded up to the maximum amount in the Professional Achievement Category. If you spend more than 40 hours on a single project, then submit for the maximum amount of 40 hours. A template that includes the following information will be required upon submission:

- Title and description of the activity.
- Description of length of time spent on the activity.
- Indication as to which of the Exam Content Outlines areas the activity related.  
Description of specific role in the project.

### **Audit Documentation**

A detailed letter from your employer.

### **Subcategory: Leadership**

Volunteer your HR knowledge and expertise outside of your organization.

### **Policy**

Earn credit by contributing your HR expertise to individuals or organizations (non-compensated time only).

### **Business Rules:**

Credit may be earned in the following ways (role must be HR-related):

HRCI Exam Development Panel	3 credits per full meeting day
Officer position on a board	10 credits per year
Committee chair	5 credits per year
Committee member	2.5 credits per year

Mentor or coach*	Awarded hour-for-hour credit
Focus group participation	1 credit hour of focus group
HRCS survey	1-3 credits (1 for the survey and 2 for the organizational champion)
Survey related to HR work or practices	1 credit

\*If you were coached or mentored, please report this in the Self-Directed Learning Subcategory.

### **Audit Documentation**

Letter from organization that includes a description of the panel, board, or committee and your specific role in the group, exam development panel, or focus group invitation/agenda, mentor guidelines, survey invitation, and proof that survey was completed are all acceptable forms of documentation.

### **Subcategory: Research and Publishing**

Earn credit for HR-content professionally published in a journal, article, or book, or for HR-related videos.

### **Policy**

Earn credit by conducting primary research on an HR-related topic for publication

### **Business Rules**

Credit on an hour for hour basis may be earned in the following ways for an HR-related publication:

- Author a professionally-published book for hour-for-hour credit up to 40 credit hours.
- Co-author or content edit a professionally published book for hour-for-hour credit up to 30 credit hours.
- Author an article appearing in a professional publication or academic journal for hour-for-hour credit up to 30 credit hours. Co-author or content edit an article for hour-for-hour credit up to 20 credit hours.
- Create content and produce an HR-related video for hour-for hour credit up to 10 credit hours.

### **Audit Documentation**

Summary of publication, documentation of time, letter from publisher are all acceptable forms of documentation.

### **Subcategory: HR Membership – 12 Credit Maximum**

Participation in an HR association at the national or local level.

**Policy**

Earn credit for participation in a national, international, and local HR association.

**Business Rules**

Two credits per year, per association, for a maximum of 12 credits per recertification cycle may be earned. Credit will be awarded for the period in which the membership overlapped with the recertification cycle.

Must be a member for at least six months to earn one recertification credit.

Certain local HR memberships may count toward global or California-specific credit.

**Audit Documentation**

Membership card, dues receipt, or a letter from the association are all acceptable forms of documentation.

# Appendix

# Code of Ethical and Professional Responsibility

HRCI's Code of Ethical and Professional Responsibility has been adopted to promote and maintain the highest standards of service and conduct for all persons it has certified to use any of its certification marks, including: aPHR, PHR, SPHR, PHRca, GPHR, PHRi and SPHRi.

Our Board of Directors determines who is certified and thus authorized to use the marks. Implicit in the acceptance of this authorization is an obligation not only to comply with the mandates and requirements of all applicable laws and regulations but also to take responsibility to act in an ethical and professionally responsible manner. Adherence to these standards is expected from all who hold an HRCI credential and serves to ensure public confidence in the integrity of these individuals.

Those holding an HRCI credential commit to the following:

## Professional Responsibility

As an HRCI certification holder, you are responsible for adding value to the organizations you serve and contributing to the ethical success of those organizations. You accept professional responsibility for your individual decisions and actions. You also are an advocate for the HR profession by engaging in activities that enhance its credibility and value. You will:

- Adhere to the highest standards of ethical and professional behavior.
- Measure the effectiveness of Human Resources in contributing to or achieving organizational goals. Comply with the law.
- Work consistently within the values of the profession. Strive to achieve the highest levels of service, performance and social responsibility.
- Advocate for the appropriate use and appreciation of human beings as employees.
- Advocate openly and within the established forums for debate in order to influence decision-making and results.

## Professional Development

As an HRCI certification holder, you must strive to meet the highest standards of competence and commit to strengthen your competencies on a continuous basis. You will:

- Commit to continuous learning, skills development and application of new knowledge related to both HR management and the organizations you serve.
- Contribute to the Exam Content Outline, the evolution of the profession and the growth of individuals through teaching, research and dissemination of knowledge.

## Ethical Leadership

As an HRCI certification holder, you are expected to exhibit individual leadership as a role model for maintaining the highest standards of ethical conduct. You will:

- Be ethical and act ethically in every professional interaction.
- Question pending individual and group actions, when necessary, to ensure that decisions are ethical and are implemented in an ethical manner.
- Seek expert guidance if ever in doubt about the ethical propriety of a situation.
- Through teaching and mentoring, champion the development of others as ethical leaders in the profession and in organizations.

## **Fairness and Justice**

As an HRCI certification holder, you are ethically responsible for promoting and fostering fairness and justice for all employees and their organizations. You will:

- Respect the uniqueness and intrinsic worth of every individual.
- Treat people with dignity, respect and compassion to foster a trusting work environment free of harassment, intimidation and unlawful discrimination.
- Ensure that everyone has the opportunity to develop their skills and new competencies.
- Assure an environment of inclusiveness and a commitment to diversity in the organizations you serve. Develop, administer and advocate policies and procedures that foster fair, consistent and equitable treatment for all.
- Regardless of personal interests, support decisions made by your organizations that are both ethical and legal.
- Act in a responsible manner and practice sound management in the country or countries in which the organizations you serve operate.

## **Conflicts of Interest**

As an HRCI certification holder, you must maintain a high level of trust with your stakeholders. You must protect the interests of those stakeholders as well as your professional integrity and should not engage in activities that create actual, apparent or potential conflicts of interest. You will:

- Adhere to and advocate the use of published policies on conflicts of interest within your organization
- Refrain from using your position for personal, material or financial gain or the appearance of such
- Refrain from giving or seeking preferential treatment in the HR processes
- Prioritize your obligations to identify conflicts of interest or the appearance thereof. When conflicts arise, you will disclose them to relevant stakeholders.

## **Use of Information**

As an HRCI certification holder, you must consider and protect the rights of individuals, especially in the acquisition and dissemination of information, while ensuring truthful communications and facilitating informed decision-making. You will:

- Acquire and disseminate information through ethical and responsible means
- Ensure only appropriate information is used in decisions affecting the employment relationship
- Investigate the accuracy and source of information before allowing it to be used in employment-related decisions Maintain current and accurate HR information
- Safeguard restricted or confidential information Take appropriate steps to ensure the accuracy and completeness of all communicated information about HR policies and practices
- Take appropriate steps to ensure the accuracy and completeness of all communicated information used in HR-related training.

# HRCI Complaints and Disciplinary Policy

## A. Introduction

1. HR Certification Institute (HRCI) is an independent certifying organization for the human resources profession. As a certifying organization, HRCI evaluates individuals who wish to enter, continue and/or advance in the profession through the certification process. HRCI is governed by the Board of Directors (Board). HR Certification Institute Certification Council (Council) was established in 2016 as a Special Purpose Council within HR Certification Institute. The Council is established in HR Certification Institute Bylaws, which authorize the Council to have autonomy in decision making regarding the development and administration of HR Certification Institute's certification programs.

2. Those certified by HRCI (referred to as "certificants") have successfully completed the required certification process, which includes meeting certain eligibility requirements and passing a certification examination. HRCI certificants subscribe to a Code of Ethical and Professional Responsibility. By applying for certification or recertification, HR professionals agree that they have read and will comply with the Code of Ethical and Personal Responsibility, the Complaints and Disciplinary Policy and other certification program policies. These disciplinary procedures are not formal legal proceedings, thus many formal rules and practices of a court proceeding are not observed. The rules are intended to afford due process and fairness.

3. Successful candidates are granted certification by HRCI and may hold themselves to the public as such. In order to maintain and enhance the credibility of HRCI certification programs, HRCI has adopted these Administrative Procedures (the "Procedures") to allow consumers and others to bring complaints concerning a certificant's conduct to HRCI. If a violation constitutes grounds for sanctions as set forth below, the Certification Council established by the HRCI Board may reprimand, or revoke the individual's certification.

The grounds for sanctions under these Procedures are as follows:

- a) Violation of established HRCI certification program policies, rules, and requirements;
- b) Fraud or misrepresentation in the application for, or maintenance of, certification;
- c) An irregular event in connection with a HR Certification examination, including (but not limited to) copying examination materials, causing a disruption in the testing area, and failure to abide by reasonable test administration rules;
- d) Taking the exam for any purpose other than that of becoming credentialed in the area referenced in the title of the exam;
- e) Disclosing, publishing, reproducing, summarizing, paraphrasing, or transmitting any portion of the exam in any form or by any means, verbal, written, electronic or mechanical, without the prior express written permission of HRCI;
- f) Unauthorized possession or misuse of HRCI credentials, examinations, and other intellectual property, including but not limited to: aPHR, PHR, SPHR, GPHR, PHRca, PHRi and SPHRi;
- g) Misrepresentation of credential status;
- h) Failure to provide requested information in a timely manner;



- i) Conviction of a felony under federal or state law in a matter related to the practice of, or qualifications for, professional activity.

4. HRCI will ensure that information concerning the complaint process, as developed by the Certification Council, will be available to applicants, certificants, consumers and the public at appropriate locations. These Procedures apply to all complaints or inquiries received about an HRCI certificant.

5. It should be emphasized that actions taken under these Procedures do not constitute enforcement of the law, although referral to appropriate federal, state, or local government agencies may be made by HRCI regarding the conduct of the certificant in appropriate situations.

Individuals who submit complaints are not entitled to any relief or damages by virtue of these Procedures, although they will receive notice of the actions taken if the submitter agrees in advance and in writing to maintain any such information in confidence.

#### B. HRCI Certification Council

1. The Certification Council is responsible for development and administration of the HRCI certification programs and for the implementation of these Procedures.
2. The Certification Council Chair is specifically responsible for ensuring that these Procedures are implemented and followed.
3. All Certification Council members, staff, and other individuals engaged in investigations or decisions with respect to any complaint under these Procedures may be indemnified and defended by HRCI from and against liability arising from HRCI-related activities to the extent provided by law.

#### C. Complaints

1. Complaints must be submitted in writing by an individual or entity. Inquiries or submissions other than complaints may be reviewed and handled by HRCI at its discretion.
2. The complaint must be submitted on HRCI's Code of Ethics Violation Complaint Form and the specific grounds for sanctions as referenced above in Section A.
3. HRCI will not review or further pursue any complaints which:
  - a) Contain unreliable or insufficient information
  - b) Are patently frivolous or inconsequential;
  - c) Allege general unethical or unprofessional behavior by a certificant
  - d) Do not expressly reference specific grounds for sanctions;
  - e) In HRCI's sole reasonable discretion may choose not to review or further pursue a complaint based on the date of the violation; or
  - f) In HRCI's sole reasonable discretion, are more appropriately addressed by an administrative, regulatory, or law-making entity.

Upon receipt and preliminary review of a submission involving an HRCI certification program or the grounds for sanction, the Director, Business Operations ("Director") may conclude, in his/her sole discretion that the submission does not constitute an actionable complaint as described above. If not an actionable complaint, the submission is disposed of by notice from the Director to its submitter, if the submitter is identified. All such preliminary dispositions by the Director are reported to the Certification Council in writing in an annual summary. If the Director determines that the submission

is a valid and actionable complaint, the Director will contact the accused for any additional information that may be necessary. The individual will have 30 days to submit any and all applicable documentation. This documentation will be presented to the Certification Council for investigation. If no applicable documentation is submitted within the 30 days, the Director may proceed with making a determination. The Director may consult with the CEO and/or legal counsel as needed to make either determination.

4. If a submission is deemed by the Director to be a valid and actionable complaint, the Director shall see that written notice is provided to the certificant whose conduct has been called into question. The certificant whose conduct is at issue shall also be given the opportunity to respond to the complaint. The Director also shall ensure that the individual submitting the complaint receives notice that the complaint is being reviewed by HRCI. The Director will determine if the submission is worthy of an investigation, and if necessary a phone interview will be scheduled. Upon completion of the interview, the Director will decide if the submission will move forward for investigation by the Certification Council.
5. The Director shall make the decisions described above and provide the notices required here under within sixty (60) days of receipt of the complaint.

#### D. Review of Complaint

1. For each submission involving an alleged violation of the grounds for sanctions that the Director concludes is a valid and actionable complaint, the Certification Council authorizes an investigation into its specific facts or circumstances to whatever extent is necessary in order to clarify, expand, or corroborate the information provided by the submitter.
2. Both the individual submitting the complaint and the certificant who is the subject of the investigation (or his or her employer) may be contacted for additional information with respect to the complaint. The Certification Council may at its discretion contact such other individuals who may have knowledge of the facts and circumstances surrounding the complaint.
3. All investigations and deliberations of the Certification Council are conducted in confidence, with all written communications sealed and marked "Personal and Confidential," and they are conducted objectively, without any indication of prejudgment. An investigation may be directed toward any aspect of a complaint which is relevant or potentially relevant. Formal hearings are not held and the parties are not expected to be represented by counsel, although the Certification Council may consult HRCI's counsel.
4. The Certification Council shall undertake all reasonable efforts to ensure that the review process set forth in this section shall be completed within ninety (90) days of the determination to investigate.
5. The Certification Council initially determines whether it is appropriate to review the complaint under these Procedures or whether the matter should be referred to another regulatory, administrative, or other entity engaged in the administration of law.
6. The Certification Council may be assisted in the conduct of its investigation by additional HRCI staff and/or legal counsel. The Certification Council Chair exercises general supervision over all investigations.

#### E. Determination of Violation

Upon completion of an investigation, the Certification Council may make a determination that there has been a demonstrable and serious violation based on the grounds for sanction. The determination

of the disciplinary decision is prepared under the CEO's supervision and is presented to the HRCI Board along with the record of the Certification Council's investigation.

1. If the Certification Council determines that a violation has not occurred, the complaint is dismissed with notice to the certificant and the individual or entity who submitted the complaint. The complaint is included in an annual summary Certification Council report.
2. If the Certification Council determines that a violation has occurred, the council will decide on an appropriate sanction.
3. This determination and the imposition of a sanction are promulgated by written notice to the certificant and to the individual submitting the complaint, if the submitter agrees in advance and in writing to maintain in confidence whatever portion of the information is not made public by the Council.
4. In certain circumstances, the Certification Council may determine that the certificant who has violated the Code of Ethical and Professional Responsibility, or other grounds for sanctions, should be offered an opportunity to submit a written assurance that the conduct in question has been terminated and will not recur. The decision of the Certification Council to make such a determination is within their discretionary power. If such an offer is extended, the certificant at issue must submit the required written assurance within thirty days of receipt of the offer, and the assurance must be submitted in terms that are acceptable to the Certification Council. If the Certification Council accepts the assurance, notice is given to the certificant and to the submitter of the complaint, if the submitter agrees in advance and in writing to maintain the information in confidence.

#### F. Sanctions

1. Any of the following sanctions may be imposed by the Certification Council upon a certificant whom the Certification Council has determined to have violated the grounds for sanctions, although the disciplinary decision applied must reasonably relate to the nature and severity of the violation, focusing on reformation of the conduct of the member and deterrence of similar conduct by others:
  - a. written reprimand to the certificant;
  - b. suspension of the certificant for a designated period; or
  - c. termination of the certificant's certification from HRCI

The HRCI database and certificant's file will be promptly updated to reflect any certification suspension or termination.

2. Reprimand in the form of a written notice from the Certification Council normally is sent to a certificant who has received his or her first substantiated complaint. Suspension normally is imposed on a certificant who has received two substantiated complaints. Termination normally is imposed on a certificant who has received two substantiated complaints within a two year period, or three or more substantiated complaints. The Certification Council may at its discretion, however, impose any of the sanctions, if warranted, in specific cases.
3. Certificants who have been terminated shall have their certification revoked and may not be considered for HRCI certification in the future. If certification is revoked, any and all certificates or other materials requested by HRCI must be returned promptly to HRCI.

#### G. Appeal

1. Within thirty (30) days from receipt of notice of a determination by the Certification Council that an individual violated the Code of Ethical and Professional Responsibility or of other substantive requirements of the certification process resulting in grounds for sanctions, the affected certificant may submit to HRCI in writing a request for an appeal.

Upon receipt of a request for appeal, the Chair of the Certification Council will appoint a three (3) person Appeal Panel. Individuals appointed to serve on the Appeal Panel cannot be current members of the HRCI Board of Directors or Certification Council. Appeal Panel members will sign a confidentiality and conflict of interest statement prior to beginning their service on the committee.

This Appeal Panel may review one or more appeals, upon request of the HRCI Certification Council Chair. No HRCI staff may serve on the Appeal Panel; further, no one with any personal involvement or conflict of interest may serve on the Appeal Panel.

2. The Appeal Panel may only review whether the determination by the Certification Council was inappropriate because of:
  - a. material errors of fact, or
  - b. failure of the Certification Council or HRCI to conform to published criteria, policies, or procedures.

Only facts and conditions up to and including the time of the Certification Council's determination as represented by facts known to HRCI are considered during an appeal. The appeal shall not include a hearing or any similar trial-type proceeding. Except as otherwise set forth herein, legal counsel is not expected to participate in the appeal process, unless requested by the appellant and approved by the HRCI Certification Council and the Appeal Panel. The Certification Council and Appeal Panel may consult HRCI legal counsel.

3. The Appeal Panel conducts and completes the appeal within ninety (90) days after receipt of the request for an appeal. Written appellate submissions and any reply submissions may be made by authorized representatives of the appellant and of the Appeal Panel. Submissions are made according to whatever schedule is reasonably established by the Appeal Panel.

The decision of the Appeal Panel either affirms or overrules the determination of the Certification Council, but does not address a sanction imposed by the Certification Council. The decision of the Appeal Panel, including a statement of the reasons for the decision, is reported to the HRCI Certification Council in writing. The Appeal Panel decision is binding upon the Certification Council, the certificant who is subject to the sanction, and all other persons.

## H. Resignations

If a certificant who is the subject of a complaint voluntarily surrenders his or her HRCI certification(s) at any time during the pendency of a complaint under these Procedures, the complaint will be dismissed without any further action by the Certification Council or an Appeal Board established after an appeal. If this occurs, the information will be retained in HRCI's permanent file for future reference. However, the Certification Council may authorize the Certification Chair to communicate the fact and date of resignation, and the fact and general nature of the complaint which was pending at the time of the resignation, to or at the request of a government entity engaged in the administration of law.

Similarly, in the event of such resignation, the person or entity who submitted the complaint are notified of the fact and date of resignation and that Certification Council has dismissed the complaint as a result.