

## Chapter 1 Human Resources

This chapter will ask questions about the following topics:

- Employee Environment
- Applicant and Personnel Records
- Employee Notification
- Job Descriptions and Compensation
- Training and Certifications
- Internal Information Distribution Plan

### *Case Study*

A flash flood closed the only access road to the local industrial park. The businesses were not damaged. The Sheriff closed the road for all traffic and notified the business owners of record. The good news is that the company had submitted its crisis plans to the local fire department and they were able to share the contact information with the sheriff.

At 6:00 a.m., management started the calling tree to notify personnel that the facility would be closed for at least one day with more information to come. By 7:30 a.m. the tree was complete with two phone numbers that were 'no longer in service'. Calls to other people in the department got new numbers for the employees. The bad news was that those two employees were stuck in traffic at the road closure.

Lessons Learned:

- A new mechanism was created for employees to update their contact information.
- A drill was run to verify personal contact information and emergency contact.

# Human Resources

## *Employee Environment*

1. Where are your employees physically located:
  - 1.1. Are they located on-site?  Yes or  No
    - 1.1.1. If no, go to Question 1.2.
  - 1.2. Are they located remotely in the immediate area?  Yes or  No
    - 1.2.1. If no, go to Question 1.3.
  - 1.3. Are they located remotely outside the immediate area?  Yes or  No
    - 1.3.1. If no, go to Question 1.4.
  - 1.4. What is the In/Out process, attendance list, visitor log, *etc.* to be able to account for all employees and visitors?
  - 1.5. Are any employees authorized to work remotely?  Yes or  No
    - 1.5.1. If yes, place a list of these employees at the back of this chapter and also in Chapter 8, Crisis Human Resources. Consider giving leaders of the company, including Human Resources, the authority and access to work remotely, if they don't already have this access.

### **ACTION ITEMS**

- Place a list of employees and their contact information by location at the back of this chapter and the back of Chapter 8, Crisis Human Resources.
  - Place the In/Out process for all employees, vendors, *etc.* at the back of this chapter.
  - Place a list of employees who have authority and access to work remotely, and their contact information by location, at the back of this chapter.
2. Do you provide ergonomically appropriate furniture and work areas?  Yes or  No
    - 2.1. If no, go to Question 3.
    - 2.2. If yes, place workstation vendor contact information at the back of this chapter.

### **ACTION ITEMS**

- If you do not provide ergonomically appropriate furniture and work areas, review each workstation for needs and schedule replacements.
  - Place workstation vendor contact information at the back of this chapter.
3. Do you have provisions for employees with disabilities?  Yes or  No
    - 3.1. If no, create a plan and include Questions 3.2.1 through 3.2.4.2.
    - 3.2. If yes, place a copy of the plan at the back of this chapter.
      - 3.2.1. Do you have a map of their locations?  Yes or  No
        - 3.2.1.1. If no, create a map of their locations.
        - 3.2.1.2. If yes, place a copy at the back of this chapter.
      - 3.2.2. Do you have resources or equipment to assist them?  Yes or  No
        - 3.2.2.1. If no, review the need for resources or equipment.

- 3.2.2.2. If yes, place a list of the resources or equipment at the back of this chapter.
- 3.2.3. Do you have a budget for equipment or a cooperative agreement with other sources?  
 Yes or  No
- 3.2.3.1. If no, and this is applicable, review your budget to determine how to provide resources or equipment.
- 3.2.4. Do you have a list for escort assignment and backup?  Yes or  No
- 3.2.4.1. If no, and this is applicable, create a list for escort assignment and their backups.
- 3.2.4.2. If yes, place the list at the back of this chapter.

**ACTION ITEMS**

- Place a copy of the plan for employees with disabilities at the back of this chapter and include the list of escort assignments and backups and the back of Chapter 8, Crisis Human Resources.
- Place a map of the work locations for employees with disabilities, for the local fire department, at the back of this chapter and the back of Chapter 8, Crisis Human Resources.

***Applicant and Personnel Records***

- 4. What is the process for maintaining applicant files?
  - 4.1. Who is authorized to view applicant files? \_\_\_\_\_
  - \_\_\_\_\_
  - 4.2. How are these files backed up? \_\_\_\_\_
  - \_\_\_\_\_
  - 4.3. What is the backup schedule for applicant files? \_\_\_\_\_
  - \_\_\_\_\_
  - 4.4. Per your state laws, what is the retention schedule for applicant files? \_\_\_\_\_
  - \_\_\_\_\_

**ACTION ITEMS**

- Place a copy of the process for maintaining applicant files and a list of authorized personnel at the back of this chapter.
- If applicant files are not kept electronically, consider maintaining these files in that manner. Ensure that the backup location for the applicant paper or data files is a separate and secured location from the main office.

- 5. What is the documentation process for personnel records?
  - 5.1. Who is authorized to view personnel records? \_\_\_\_\_
  - \_\_\_\_\_
  - 5.2. Who is authorized to update personnel records? \_\_\_\_\_
  - \_\_\_\_\_
  - 5.3. Are there sections of personnel records that are visible by authority (*i.e.*, files are separated by need to know information such as personnel, medical/confidential, hiring records, background checks, EEO protected class information, I-9s, payroll, terminated employees)?  Yes or  No

- 5.3.1. If no, review your state laws that pertain to confidential information that may need to be kept in a secured location.
- 5.3.2. Who is authorized to view and update these confidential records, if different from above?

5.4. How are these files backed up? \_\_\_\_\_

5.5. What is the backup schedule for personnel records? \_\_\_\_\_

5.6. What is the retention schedule for personnel records? \_\_\_\_\_

5.7. What is the media for personnel records?  Paper or  Electronics?

5.8. Do employees provide an emergency contact person in their personnel record?  Yes or  No

5.8.1. If no, consider having all employees list an emergency contact person in their personnel record.

**ACTION ITEMS**

- Place a copy of the personnel record processes, a list of authorized personnel and the location of the records at the back of this chapter.
- If personnel records are not kept electronically, consider maintaining these files in that manner. Ensure that the backup location for the paper or data personnel records is a separate and secured location from the main office.

6. Do you have your Worker’s Compensation policy number, insurance carrier, broker and declaration page in a secure location?  Yes or  No

6.1. If no, locate your information; place it in a secure location as well as at the back of this chapter.

6.2. Who is authorized to have access to this information? \_\_\_\_\_

6.3. What backup is in place for this information? \_\_\_\_\_

**ACTION ITEM**

- Place a copy of Worker’s Compensation policy number, insurance carrier, broker and declaration page at the back of this chapter.

7. Does your company provide benefits to your employees such as medical, 401(k)?  Yes or  No

7.1. If no, go to Question 8.

7.2. If yes, who has the authority to view this information? \_\_\_\_\_

**ACTION ITEM**

Place a copy of who has authority to review employee benefit information such as medical, 401(k) at the back of this chapter.

8. Does your company have a formal compensation structure?  Yes or  No
- 8.1. If no, create a formal compensation structure and answer Questions 8.2.1 through 8.2.3.
- 8.2. If yes, place a copy of this compensation structure at the back of this chapter.
- 8.2.1. Who has authority to view and update this information? \_\_\_\_\_
- \_\_\_\_\_
- 8.2.2. What backup is in place for this information? \_\_\_\_\_
- \_\_\_\_\_
- 8.2.3. If you have compensation survey information, ensure that this data is also stored in a secure location and that there is a backup for it, either electronically (preferred) or hard copy.

**ACTION ITEM**

Place a copy of the compensation structure in a secure location where only those authorized have access to the information (e.g., leadership, HR)

***Employee Notification***

9. Do you have a calling tree for employee notification?  Yes or  No
- 9.1. If no, create a process and answer Questions 9.2.1 through 9.4.2.
- 9.2. If yes, place a copy at the back of this chapter.
- 9.2.1. What provision is there for an employee that cannot be contacted? \_\_\_\_\_
- \_\_\_\_\_
- 9.2.2. How frequently is it updated? \_\_\_\_\_
- \_\_\_\_\_
- 9.2.3. Who has authority to update it? \_\_\_\_\_
- \_\_\_\_\_
- 9.2.4. Who has authority to invoke it? \_\_\_\_\_
- \_\_\_\_\_
- 9.2.5. What are the triggers to invoke using it? \_\_\_\_\_
- \_\_\_\_\_
- 9.2.6. What are the methods for response? \_\_\_\_\_
- \_\_\_\_\_
- 9.2.7. Is the calling tree kept in a secure location?  Yes or  No
- 9.2.7.1. If no, keep a copy of the calling tree in a secure location.
- 9.2.7.2. If yes, what is the location? \_\_\_\_\_
- 9.3. Is there a central call-in number that employees can access to learn of updates?  Yes or  No
- 9.3.1. If yes, what is this number: \_\_\_\_\_

9.4. Are there other methods that employees can use to access information such as a website area?

Yes or  No

9.4.1. If no, consider alternate methods that employees can use to access information.

9.4.2. If yes, what are these other methods? \_\_\_\_\_  
\_\_\_\_\_

### **ACTION ITEMS**

Place a copy of your calling tree process at the back of this chapter and at the back of Chapter 8, Crisis Human Resources

If you do not have a calling tree, create one immediately and place copy in a secure location where it can be accessed by leadership in an emergency. You may consider using an automated service for emergency notifications

### ***Job Descriptions and Compensation***

10. Do you have job descriptions for all of the positions in your company?  Yes or  No

10.1. If no, create them and answer Questions 10.2.1 through 10.2.7.

10.2. If yes, review the following questions to ensure that they contain all information noted below.

10.2.1. Are all task or work assignments and cross-training included?  Yes or  No

10.2.1.1. If no, update all job descriptions to include this information.

10.2.2. Do you have a formal policy on cross-training?  Yes or  No

10.2.2.1. If no, create a policy if applicable.

10.2.2.2. If yes, place it at the back of this chapter.

10.2.3. How do you select coverage for cross-training? \_\_\_\_\_  
\_\_\_\_\_

10.2.4. How is cross-training informed (paper, verbal, *etc.*)? \_\_\_\_\_  
\_\_\_\_\_

10.2.4.1. What information is cross-training provided, based on lengths of absence?  
\_\_\_\_\_  
\_\_\_\_\_

10.2.5. Who fulfills the Safety Manager role within their job description? \_\_\_\_\_  
\_\_\_\_\_

10.2.6. Are sales compensation plans included in the specific job descriptions, if applicable?

Yes or  No or  Not Applicable

10.2.6.1. If no, and it is applicable, add sales compensation plans to the appropriate job descriptions.

### **ACTION ITEMS**

Ensure that all job descriptions are kept in a secure location.

If you do not have task or work assignment backup for all departments, start reviewing each work assignment for possible backups and cross-training.

- Place a copy of the list of backups for each department or work group at the back of this chapter. Also place a copy at the back of Chapter 4, Business Operations or Chapter 5, Revenue Operations.

11. Do you have a succession plan for all employees including officers and board members?  Yes or  No

11.1. If no, create a succession plan for all employees including officers and board members and answer Questions 11.2.1 through 11.4.1.

11.2. If yes, place a copy at the back of this chapter and ensure it contains all information noted below.

11.2.1. Do you have a list of criteria for assuming authority?  Yes or  No

11.2.1.1. If no, create this list.

11.2.2. Who must approve succession? \_\_\_\_\_

11.2.3. Does company leadership know of the general items of the succession plan?  Yes or  No

11.2.3.1. If no, communication the general items of the succession plan to the company leadership.

11.2.4. Does company leadership know where to find the succession plans?  Yes or  No

11.2.4.1. If no, communication the location of the succession plans to the company leadership.

### **ACTION ITEMS**

- If you do not have a succession plan, work with your leadership team and advisory team to create a plan.
- If you have a succession plan, place a copy at the back of this chapter.

### ***Training and Certifications***

12. Do you have a training plan for all employees, including the estimated length of time to train?

Yes or  No

12.1. If no, create a training plan for all employees, including the estimated length of time to train.

12.2. If yes, place a copy at the back of this chapter.

12.3. Do you have a plan for first aid training (including CPR and Automated External Defibrillator [AED])?  Yes or  No

12.3.1. Do you have a re-certification plan for this training?  Yes or  No

12.4. As a benefit, do you provide home first aid training?  Yes or  No

### **ACTION ITEMS**

- Place a copy of the training plan at the back of this chapter.
- If you do not have training in your budget, review the budget to include the most critical certifications that need updating.

13. Do your employees need certification to perform their work?  Yes or  No
- 13.1. If no certifications are required, then go to Question 14.
- 13.2. Is there a formal tuition reimbursement plan?  Yes or  No
- 13.3. Do you have a budget for the training plan?  Yes or  No
- 13.3.1. If no, review the budget and determine how to pay for certifications.
- 13.4. Do you have a list of employees and their certifications?  Yes or  No
- 13.4.1. If no, create this list.
- 13.4.2. If yes, place the list at the back of this chapter.
- 13.5. Are these certifications included in the personnel record?  Yes or  No
- 13.5.1. If no, keep a list of these certifications in the individual's personnel record.
- 13.6. Do you have an employee training re-certification schedule?  Yes or  No
- 13.6.1. If no, create this list.
- 13.6.2. If yes, place a copy of this list at the back of this chapter.
- 13.7. Do you have a list of certifications required by industry?  Yes or  No
- 13.7.1. If no, review the certifications needed in your industry.
- 13.7.2. If yes, place a copy of this list at the back of this chapter.
- 13.8. Do you have a list of certifications recommended for safety of personnel?  Yes or  No
- 13.8.1. If no, review the certifications needed for safety of personnel.
- 13.8.2. If yes, place a copy of this list at the back of this chapter.
- 13.9. Do you have a list of certifications recommended for safety of facility?  Yes or  No
- 13.9.1. If no, review the certifications needed for safety of the facility.
- 13.9.2. If yes, place a copy of this list at the back of this chapter.
- 13.10. Do you have a list of credentialed employees (*e.g.*, CPA, PMP, PE, ITIL)?  Yes or  No
- 13.10.1. If no, create this list.
- 13.10.2. If yes, place a copy of this list at the back of this chapter.
- 13.11. Do you have a list of certifications recommended for company prestige (*i.e.*, to promote the company)?  Yes or  No
- 13.11.1. If no, consider creating this list.
- 13.11.2. If yes, place a copy of this list at the back of this chapter.

#### **ACTION ITEMS**

- Document the employee training status by certification and schedule updates.
- Place a copy of the list of certified employees at the back of this chapter.
- If you do not have a list of certifications and credentials, (including safety), required by industry, review and create a plan to get training and certifications completed.

14. Do you have documentation for training and quality assurance?  Yes or  No
- 14.1. If no, create documentation for training and quality assurance.
- 14.2. If yes, place a copy of the plan at the back of this chapter.

#### **ACTION ITEM**

- Place a copy of the documentation for training and quality assurance at the back of this chapter



## ***Internal Information Distribution Plan***

15. Do you have an internal information distribution plan?  Yes or  No
- 15.1. If no, create a plan and answer Questions 15.2.1 through 15.2.3.1.
- 15.2. If yes, include a copy at the back of this chapter and ensure that it contains the items in Questions 15.2.1 through 15.2.3.1.
- 15.2.1. Do you have marked facility safety routes (*e.g.*, fire and weather emergencies)?  Yes or  No
- 15.2.1.1. If no, and appropriate, clearly mark the facility safety routes or place posters where employees and visitors will observe them.
- 15.2.2. Do you have a response plan for severe weather?  Yes or  No
- 15.2.2.1. If no, create a response plan and answer Questions 15.2.2.3 through 15.2.2.6.3
- 15.2.2.2. If yes, place a copy of the response plan at the back of this chapter.
- 15.2.2.3. Do you have a facility evacuation plan?  Yes or  No
- 15.2.2.3.1. If no, create a facility evacuation plan.
- 15.2.2.3.2. If yes, place a copy of this plan at the back of this chapter.
- 15.2.2.4. Do you have a severe weather plan in place?  Yes or  No
- 15.2.2.4.1. If no, create a severe weather plan.
- 15.2.2.4.2. If yes, place a copy of this plan at the back of this chapter.
- 15.2.2.5. Are these plans tested?  Yes or  No
- 15.2.2.5.1. If no, create a plan to test the plans.
- 15.2.2.5.2. If yes, place a copy of how often the plans are tested at the back of this chapter.
- 15.2.2.6. Do you have emergency supplies onsite?  Yes or  No
- 15.2.2.6.1. If no, and applicable, create an area for emergency supplies.
- 15.2.2.6.2. If yes, where are these supplies located? \_\_\_\_\_
- 15.2.2.6.2.1. Has the location been communicated to all employees?  Yes or  No
- 15.2.2.6.2.1.1. If no, communicate this location to all employees.
- 15.2.2.6.3. How often are they checked for expiration or replaced? \_\_\_\_\_
- 15.2.3. Do you provide winter kits for company vehicles?  Yes or  No
- 15.2.3.1. If no, create winter kits for all company vehicles.
- 15.2.4. Do you have a health and wellness program?  Yes or  No

### **ACTION ITEMS**

- Place a copy of the internal information distribution plan at the back of this chapter and the back of Chapter 8, Crisis Human Resources.
- If you do not have emergency supplies onsite, consult your local fire department or Red Cross for suggested lists.

- If you do not have a health and wellness plan, consult your insurance agent or CPA for any cost advantages to offering a plan or access to a plan.

SAMPLE  
CHAPTER

### ***All Action Items for Human Resources***

- Place a list of employees and their contact information by location at the back of this chapter and the back of Chapter 8, Crisis Human Resources.
- Place the In/Out process for all employees, vendors, *etc.* at the back of this chapter.
- Place a list of employees who have authority and access to work remotely, and their contact information by location, at the back of this chapter.
- If you do not provide ergonomically appropriate furniture and work areas, review each workstation for needs and schedule replacements.
- Place workstation vendor contact information at the back of this chapter.
- Place a copy of the plan for employees with disabilities at the back of this chapter and include the list of escort assignments and backups and the back of Chapter 8, Crisis Human Resources.
- Place a map of the work locations for employees with disabilities, for the local fire department, at the back of this chapter and the back of Chapter 8, Crisis Human Resources.
- Place a copy of the process for maintaining applicant files and a list of authorized personnel at the back of this chapter.
- If applicant files are not kept electronically, consider maintaining these files in that manner. Ensure that the backup location for the applicant paper or data files is a separate and secured location from the main office.
- Place a copy of the personnel record processes, a list of authorized personnel and the location of the records at the back of this chapter.
- If personnel records are not kept electronically, consider maintaining these files in that manner. Ensure that the backup location for the paper or data personnel records is a separate and secured location from the main office.
- Place a copy of Worker's Compensation policy number, insurance carrier, broker and declaration page at the back of this chapter.
- Place a copy of who has authority to review employee benefit information such as medical, 401(k) at the back of this chapter.
- Place a copy of the compensation structure in a secure location where only those authorized have access to the information (*e.g.*, leadership, HR)
- Place a copy of your calling tree process at the back of this chapter and at the back of Chapter 8, Crisis Human Resources
- If you do not have a calling tree, create one immediately and place copy in a secure location where it can be accessed by leadership in an emergency. You may consider using an automated service for emergency notifications
- Ensure that all job descriptions are kept in a secure location.

- If you do not have task or work assignment backup for all departments, start reviewing each work assignment for possible backups and cross-training.
- Place a copy of the list of backups for each department or work group at the back of this chapter. Also place a copy at the back of Chapter 4, Business Operations or Chapter 5, Revenue Operations.
- If you do not have a succession plan, work with your leadership team and advisory team to create a plan.
- If you have a succession plan, place a copy at the back of this chapter.
- Place a copy of the training plan at the back of this chapter.
- If you do not have training in your budget, review the budget to include the most critical certifications that need updating.
- Document the employee training status by certification and schedule updates.
- Place a copy of the list of certified employees at the back of this chapter.
- If you do not have a list of certifications and credentials, (including safety), required by industry, review and create a plan to get training and certifications completed.
- Place a copy of the documentation for training and quality assurance at the back of this chapter
- Place a copy of the internal information distribution plan at the back of this chapter and the back of Chapter 8, Crisis Human Resources.
- If you do not have emergency supplies onsite, consult your local fire department or Red Cross for suggested lists.
- If you do not have a health and wellness plan, consult your insurance agent or CPA for any cost advantages to offering a plan or access to a plan.