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Written and implemented for CLIENT (redacted)

CLIENT TALENT ACQUISITION POLICIES AND PROCEDURES – sample pages each of Policies, Procedures, Forms (original total 34 pages)

NOMENCLATURE

- Client Name = CLIENT
- Talent Acquisition = TA
- Human Resources = HR
- Hiring Manager = HM
- Engagement Manager = EM
- Chief Operating Officer = COO
- Applicant Tracking System = ATS

POLICIES

The foundations of talent acquisition involve finding qualified employees, attracting them, employing them strategically in the organization and keeping them for the long haul.

The hiring process includes multiple steps, including the use of application forms, interviews, pre-employment testing, reference and background checks, employment offers, and employment contracts.

Policy Statement

- CLIENT is committed to employing, in its best judgment, the best qualified candidates for approved company positions while engaging in recruitment and selection practices that are in compliance with all applicable employment laws.
- We are an equal opportunities employer, which means that we are committed to providing equality of opportunity in employment to all persons.
- When recruiting new employees or when affording our current employees with opportunities for promotion, it means that we will:
  - follow the good practice recommendations of the codes of practice and other guidance issued by the Equal Employment Opportunity Commission (EEOC);
  - not discriminate against any person;
  - select the best person for the job in terms of qualifications and abilities.
- To achieve these aims, we have set up these policies and procedures. No position in the company may be filled unless these have been followed.
- The Talent Acquisition (TA) department has the main responsibility for implementing these policies and procedures.

General Principles

- The policy and procedure must be applied fairly and consistently to all job applicants.
- Reasonable accommodations must be given, where needed, to job applicants who are disabled.

- All recruitment must be planned and opened to competition.
- All persons who wish to work for CLIENT must complete an application form in response to an advertised job vacancy.
- All applicants must then be assessed against relevant selection criteria to determine who the best person for the job is.
- All persons involved in selecting staff must read and apply these policies and procedures, CLIENT's Equal Opportunities Policy, and the good practice recommendations of the codes of practice and other guidance issued by the Equal Employment Opportunity Commission (EEOC).

Passwords

- All TA passwords will be maintained in strictest confidence.
- Passwords will be changed every 3 months (this must be done manually for ATS, at the same time network passwords are re-set). ATS is set to require quarterly changes as well.
- Passwords will not be shared by users under any circumstances other than those required for administrative purposes.
- The TA staff person who "owns" a system information asset (like ATS) is required to comply with CLIENT's Responsibilities of a System Information Asset Owner (copy annexed).

Information Security: Asset classification in Applicant Tracking System (ATS)

- Information in TA is classified as High:Mission Critical for TA, not necessarily for CLIENT.
- Our information is classified as Confidential, not Restricted.
- Emails containing compensation information do not need to be encrypted.
- Recruiters should not store any confidential candidate data on local hard drives; it should all be resident in ATS (on the cloud) or on an CLIENT drive.

Approvals and Responsibilities

- The TA department is responsible for the overall management of the recruitment and selection processes, including:
  - Employment-related agency relationships
  - Processing of new requisitions
  - Conducting interviews
  - Negotiating and delivering verbal offers
  - Obtaining references.
- HR is responsible for:
  - Offer letters and/or contract negotiations (TA prepares the text, for HR to approve then place in their template and disseminate.
  - All CLIENT on-boarding (including background checks) (government background checking, security clearance and onboarding will be done by TA for now, with HR as back-up).
- All new jobs require the prior approval of the HM, HR, and COO (for information only).

- Any expenses (travel, relocation, compensation) outside the parameters set forth in this policy and procedure document require the approval of the Finance Manager and/or the COO.
- All emails regarding expenses (interview travel, etc.) should be copied to Operations.

Offer strategy and Compensation

- It is CLIENT's policy to compensate all employees - existing and prospective – fairly and in a manner which reflects an appreciation of their capabilities, skills, experience and their contribution to the well-being of the firm (actual or potential).
- In determining what compensation to offer to a prospective candidate, it is CLIENT's policy to weigh the merits of a candidate's skills and experience carefully, in terms of:
  - The market range for candidates with comparable experience and/or doing comparable work
  - Equity within the team into which the candidate is being hired
- Once the compensation target offer has been determined, it is CLIENT's policy to extend our best offer initially, to avoid:
  - The appearance of not valuing a potential candidate sufficiently initially
  - The possibility of offering more than is appropriate in the heat of counter-offering
- TA will request compensations only, not salary history. If salary history is volunteered, record it in ATS.

Job descriptions

- Per HR policy, all CLIENT-employee jobs (W2) need job descriptions (not job postings) and FLSA form before being submitted to TA.
- Risk Initiative jobs MAY require job descriptions before being submitted to TA. [HR TBD 7/14/17]

Contractors

- The extent to which HR covers relations with Contractors. [HR TBD 7/14/17]

Job postings

- All job openings need to be posted both internally and externally:
  - For internal postings, TA will send all open requisitions to all employees/contractors monthly asking for referrals or applications. [COO TBD 7/14/17]
  - Jobs where an HM requests that TA reach out to a specific candidate for a specific need do not need to be posted.
- All job postings should reflect the following:
  - Required years should only ever be stipulated as the minimum or a range (ex. 3-5+ years as opposed to 3-5 years), to avoid the impression of age discrimination.
- All postings will have the company description in the most recent Job Description template.
- All postings will have the footer in the most recent Job Description template.

- Our Affirmative Action plan requires us at 100+ people to post ALL jobs on the state job board where the job is located.
- Job postings must reflect FLSA status of exempt or non-exempt. Contractors are typically exempt, and are only paid for hours worked (not time-and-a-half), and there is an IT exemption, among others.

Background, drug, credit and reference checking

- All offers will be contingent upon the successful completion, with favorable results, of reference checks, background checks, and drug and credit checks if required by an end-client.
- References will be checked upon the extension of an offer.
- Three professional references are requested, two required, including one from a recent previous manager.
- For candidates presented through employer/vendors, three references will be requested, but only one will be required, from a colleague.
- If a candidate is being re-hired after a period of more than one year, references should be re-checked.
- TA will make best efforts to have all references checked prior to start date.

Advising the Director of Talent Acquisition

- During the 90-day probationary period, new Recruiters will copy the Director of TA on all electronic activities (emails, interviews, submissions).
- Any ATS issues will be forwarded to the Director of TA.
- Any solicitations from staffing agencies will be forwarded to the Director of TA (not employment vendors).

Travel Expenses and Arrangements

- Subject to HM approval, CLIENT will cover travel expenses for candidate interviews as follows:
    - Within Region (350-mile radius around DC, including NYC): transportation in and out the same day will be covered, up to a maximum of $700.
    - Out of Region (beyond 350-mile radius around DC): transportation to arrive the day before the interview, hotel accommodations for one night, taxi for transfers to/from terminals, up to a maximum of $1,200.

Relocation Policy

- On a case-by-case basis, and subject to HM approval, we can reimburse up to $5,000 (against receipts, and depending on job level) to assist with relocation-related expenses (movers, temporary housing, flights, incidentals, NOT meals).
- Relocation reimbursement is subject to the employee’s remaining employed by CLIENT for at least a year after the reimbursement is made. Candidates will be required to sign a letter (prepared by HR) to that effect.
- The Recruiter should communicate to the candidate that these expenses are covered per CLIENT policy, to be handled by HR, then flag that this is going to be covered for the offer letter……

PROCEDURES

The appropriate process is required to initiate any action for an open position, including any recruitment efforts, advertising, interviewing and offers of employment, and is required to extend any offers of employment to any candidate.

Working with ATS

All candidate- and job-related activity should be originated and tracked in CLIENT's applicant tracking and recruitment platform, "ATS", including:

1. Emails (unless responding to a candidate email that originated outside ATS)
2. Notes of all calls (including Initial Recruiter Screen, Notes about candidate, Notes from HMs, Scheduling Phone or Onsite interviews, etc.), and copy/pasted emails pertaining to the candidate/job
3. Interviews (recruiter screens, or phone or onsite interviews with EMs, HMs or XMs).

How to Use ATS

1. The Director of TA is responsible for requesting the addition, deletion or change of ATS users with ATS.
2. The Director of TA is responsible for managing the ATS relationship, and for making all changes to Workflows, data capture screens, core templates, and core reports, in concert with ATS staff.
3. The Senior Recruiter is responsible for user management (resetting passwords, training new users, escalating ATS issues to the Director of TA).
4. There are four levels of ATS users at CLIENT:
    - User Admins (Director of TA, one Senior Recruiter): Access to all functionality
    - Recruiter Applicant Trackers (Recruiters): Access to all functionality except Admin.
    - HM Hiring Managers: Access to all candidates and jobs and associated Notes and workflows, with limited Quick Search functionality; no access to Offer Details or EEO information.
    - EM Engagement Managers: Access to all candidates and jobs and their own Notes and workflows, with limited Quick Search functionality; no access to compensation, work authorization, EEO information or Offer Details.
5. Users access ATS on the CLIENT platform at xxx.com via a username and password.

New Users and Training

1. ATS provides a series of online tools to address most areas. These can be accessed by clicking the user photo in the upper right hand corner, then clicking Help > Knowledge Base, where a search bar appears. Users can search specific topics, or click on the New User Resources under Quick Links.
2. The Senior Recruiter will provide brief one-on-one training to all new users, and more in-depth training to new recruiters.
3. The Director of TA will provide periodic update training to all recruiters, HMs and EMs.

Recruiter Backup and Cross-Work

1. The Senior Recruiters are one another's back-ups, and one of the Senior Recruiters is the back-up for the Director of TA.

2. If a Recruiter is unexpectedly unavailable, they should advise their backup, who will check their calendar and either re-schedule any pending activities or conduct them in their stead, if it is too late to cancel.
3. If anyone (HMs, XMs, EMs, other CLIENT staff) asks one recruiter about another recruiter's jobs, then the first recruiter should respond directly if it's informational (i.e. their telephone number). If the question involves something more substantial, the first recruiter should refer the person asking to the recruiter responsible for the role. The exception to this is if the first recruiter is the responsible recruiter's back-up, and the responsible recruiter is out of the office.
4. Each Recruiter is responsible for their own jobs, and for gathering information from their backups on candidate or job updates.

How to Add a Job

1. The HM should complete the Job Order Form and send it to the Recruiter.
2. The Recruiter should schedule a meeting with the HM to discuss the role, and address any open issues, ensuring that all needed information is captured.
3. The HM and Recruiter may discuss as well the job search strategy, and the use of screening questions:
    a. Any Screening Questions presented to applicants when they apply should be single answer (multiple choice or yes/no) questions, and should be used only if the search warrants them and the HM requests them (research has shown that if the application process is too onerous, it can cause qualified candidates to drop out); if used, they should NOT be Required.
    b. Any screening or elimination questions to be asked by the Recruiter during the Initial Recruiter Screen should be included in ATS on the Job Detail Page, for ease of reference during screening calls. These should only reflect the requirements already stated in the Job Description, and must be asked of all applicants.
4. Based on the Job Order Form, the Recruiter:
    a. Creates a Job Description Form
    b. Adds the job to ATS, as Pending Approval
    c. Attaches the Job Order form to the job
    d. Loads the Job Description to the ATS library
5. Via ATS, the Recruiter sends the job for approval to:
    a. HR to approve compensation and ensure that the job description and employment type are in line with company guidelines.
    b. HM to approve the final version of the job on ATS (discussing any changes needed with the Recruiter).
6. Once approved, the Recruiter publishes the job on CLIENT internal sites, and externally as indicated in discussion with TA team and HM.
7. Any additional information received from the HM about a job once it's approved and posted should be added to the job as a Note, and the changes made to the appropriate sections (job description, details, screening questions).

Job Description

Each job should have an overview section, a Responsibilities section, and a Qualifications section, and should end with our standard disclaimer language:

1. Recruiters should use the latest Job Description Template when adding a job description.

2. Job Descriptions should be named yyyy-nnnn Title.doc and added to the ATS library (ex. 2017-1396 Senior Manager, Human Resources).
3. The description should also be cut/pasted (in Calibri 10) to the Description tab of the job in ATS.

Calculating Compensation Rates

Each HM is responsible for setting Bill rates, Pay/Salary/Bonus rates on their jobs. Recruiters work with HMs to establish these figures. The following guidelines apply:

1. **Gross margin for consulting and/or staff augmentation:** All pay rates and salaries for billable positions will be calculated with a 40% gross margin, using the pricing calculator provided by the COO. Exceptions below 35% require prior approval from the COO or CEO.
2. **Pricing loss-leader projects:** HMs may determine that a particular project should be priced at a less attractive rate as part of a longer term client retention strategy.
3. **Pricing calculator:** The COO has developed a pricing calculator, which is periodically updated. All Recruiters should receive training on how to use the calculator (see instructions in Appendix), and the most recent version of the calculator should be stored on ATS.

Job Data Fields

Type (see below for legal employment classifications)	• Regular Full-time or Part-time • Temporary Full-time or Part-time • Contract • Contract-to-Perm • Intern
For Employees	• Exempt • Non-Exempt
For Contractors	• Length of project or end date • Budget approved: No/Yes
New/Replace	• New Hire • New Project • Replacement
Category	• Accounting/Finance • Administrative/Clerical • Business Analysis • Data Analysis • Human Resources • Information Technology • Intern • Management • Mortgage Underwriting • Operations

	• Other Consulting • Programming/Development • Project Management • Quantitative Analysis • Risk Management

Legal Employment Classifications for Payroll Purposes

W2	• W2 employees work as a full- or part-time permanent or term employee of CLIENT. • CLIENT handles employee and employer taxes and withholdings (Social Security, unemployment, etc.). • CLIENT sends W2 form to employee in January, for the previous year's wages and deductions. Employees submit their own tax returns to IRS. • W2 employees who work 30 hours or more are also eligible for health insurance benefits and 401K. Salaried W2 employees are also eligible for Paid Time Off (PTO) and paid holidays. • W2 employees are hired via an Offer Letter, and are at-will employees.
Corp-to-Corp	• This is a contract between CLIENT and another company (this could be the LLC of an individual, or a vendor company that employs the person along with other contractors). • CLIENT sends a 1099 form to the company in January, for the previous year's payments. The company provides all the tax forms to the sub-contractor. • Corp-to-corp sub-contractors are not eligible for benefits. • Corp-to-corp sub-contractors are engaged via a Master Service Agreement (MSA) and a linked Task Order, which are typically but not always subject to a specified term. The MSA carries a requirement for insurance, which can be waived with COO approval.
1099 Independent Contractors	• This designation should only be used in exceptional circumstances, and requires COO approval. • This is a contract between CLIENT and the independent contractor. • CLIENT sends a 1099 form to the contractor in January, for the previous year's payments. • 1099 contractors are not eligible for benefits. • 1099 contractors are engaged via an Independent Contractor Agreement, which is typically but not always subject to a specified term. • For a position to be held by a 1099 contractor, the job must qualify (pending write-up and questionnaire from HR)

Screening Questions

As we get feedback from HM/XMs on jobs/candidates submitted to them, it should be copied/pasted into the HM NOTES AND CONTEXT field in ATS. Each comment should have a date, person and comment, and be included in reverse-chron order (most recent at the top). If we close out a job and open a replacement, the previous job's comments should be carried over.

Also, we should update screening questions accordingly. If we don't get screening questions from the HM, we should include them ourselves, for the benefit of other recruiters who might have to jump in and recruit for a job with which they're not familiar.

Example of [Hadoop Developer] requirements:

- Bachelor Degree in Computer Science, Information Systems, Math, Finance, Economics or related field.
- 2 + years of strong hands-on experience developing code in Hadoop with knowledge of Hive, Pig, and/or Sqoop.
- 3 + years of strong hands-on experience developing in Python, shell scripting, JAVA.
- Strong foundational knowledge of Unix, Hadoop architecture and Hadoop Distributed File System (HDFS) landscape.
- Nice to have skills with AWS, Scala, Oracle and/or Netezza.
- Must be detail oriented and possess strong problem-solving skills.
- Demonstrates excellent communication and time management skills.

Based on these requirements, here are the screening questions to be put in SCREENING QUESTIONS FOR INITIAL RECRUITER SCREEN:

- For Requireds, indicate a number of years, then during the screen, put the actual number, which should be the same or greater; if they don't have something that's required but you want to submit them anyway, write No shell scripting. I sometimes include details of projects on which a candidate has worked with the software/item as well)
- For Desireds, put the actual number, or erase the line if not applicable.

Sample completed screening summary:

- 4 years Hadoop (used it on his two most recent projects)
- 4 years Hadoop architecture and Hadoop Distributed File System (HDFS)
- 4 years Hive, Pig
- No Python (but has 3 years Scala, which is similar)
- 3 years shell scripting
- 7 years Java
- 7 years Unix
- 2 years Amazon Web Services AWS
- No Oracle or Netezza…………

Administering Assessment Tests

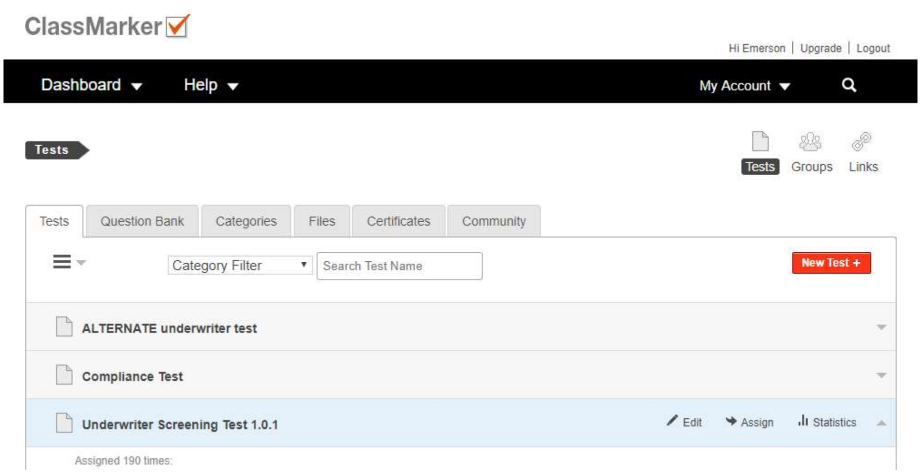
From time to time, TA will administer specific skills assessment tests to candidates during the search process. Currently, the only department for which this is done routinely is Due Diligence, for mortgage underwriters.

ClassMarker.com

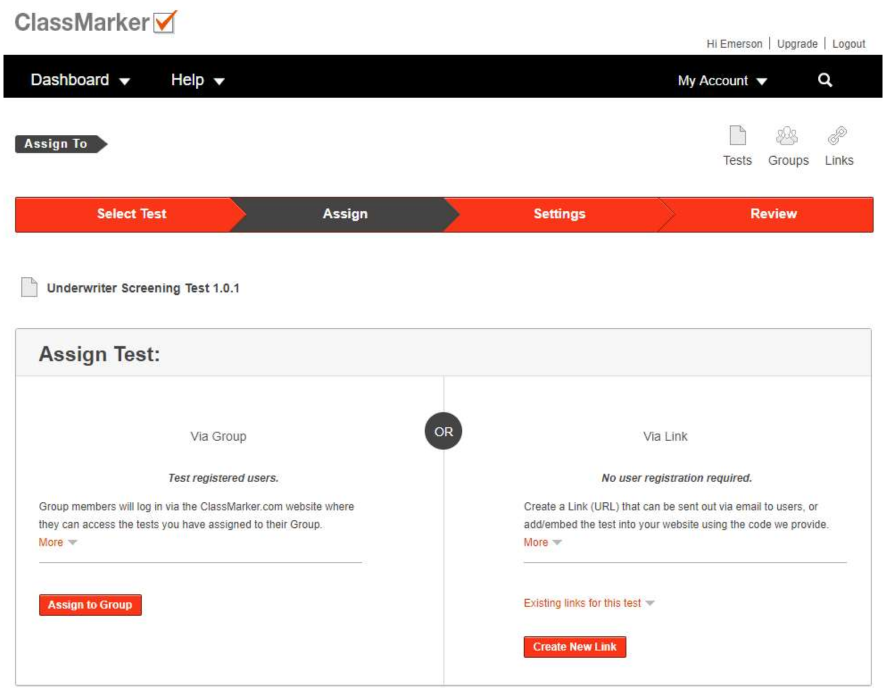
ClassMarker is a third party testing site that administers tests for mortgage underwriters. The procedures for using it are as follows:

1. Login
2. Go to Tests

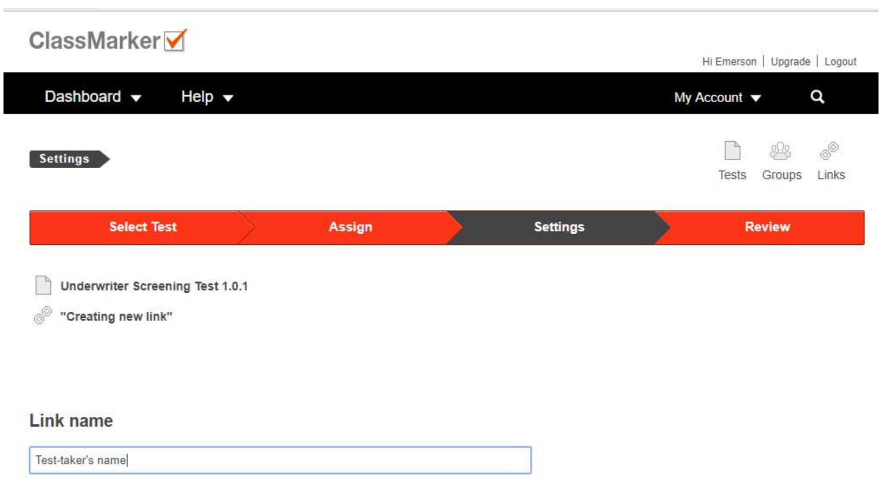
3. Select Underwriter Screening Test 1.0.1 > Assign



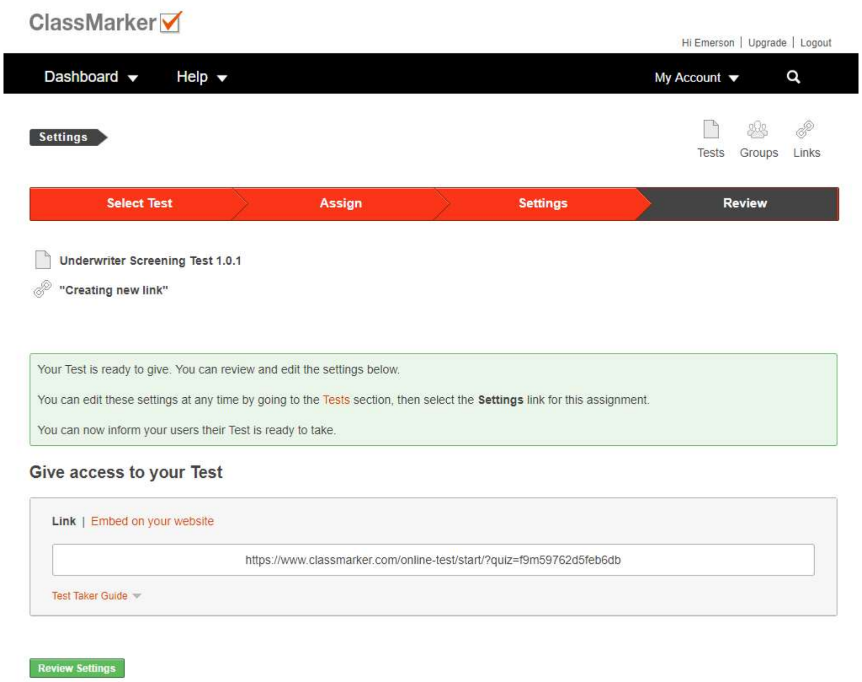
4. Select Create New Link



5. Then type in person's name, leaving settings as is, and scroll to bottom and hit the red Assign box:



6. Copy/paste the link into ATS template



7. When the candidate has taken the test, ClassMarker sends an email to the administrator with the results.
8. Update the Scores spreadsheet with the candidate's name, date taken, score and manual score adjustment, and add same to Score fields in ATS.
9. Advise candidates of Pass/Fail only – a Passing score is 76.7:
    a. Originally, there were 30 questions, but 2 more that need to be graded manually were added.
    b. The two requiring manual grading should be reviewed for obvious content errors, obvious copy/pastes from internet, or poor writing skills.
    c. 1 = Pass, 0 = Didn't answer question well, FAIL = If the writing quality was too bad…….

Interview Process with DEPARTMENT

Step	Yes	No
Candidate applies Recruiter want to interview?	Add to spreadsheet, determine state and rate. Conduct quick screen for: • Compensation (in range for their locality?) • State acceptable?	• Recruiter sends polite no thanks

	• Read PTO statement: "This job does not offer paid holidays, vacation or sick time except as required by law" (some jurisdictions have requirements for sick leave for people who WORK in that locality).	
Recruiter screen successful?	• Generate assessment link via Classmarker (see procedure below). • Recruiter changes status to Skills Assessment Sent, and emails Classmarker link to candidate via template.	• Recruiter sends polite no thanks
Test passed?	• Recruiter pastes results into ATS and spreadsheet • Changes status to EM Technical Screen Passed.	• Recruiter pastes results into ATS. • Changes status to EM Technical Screen Failed. • Auto-email to candidate with a polite no thanks.
Actively hiring?	• Schedule phone screen with managres and change EM status accordingly (onsite if within 1.5 hours).	• Auto-email to candidate letting them know they passed, and that we'll contact them for future hiring needs.
Senior manager to interview onsite?	• If candidate is onsite, Senior manager will try to speak with them then.	• If not, change status to HM Phone Interview Requested. • Recruiter sets up Skype/Facetime call for Senior Manager
Senior Manager want to hire?	• Senior Manager changes to HM Ready to Offer (if for queue) or HM Offer Requested. • Auto-task to Recruiter to prepare for (if for queue) or request offer approval, then when ready, make offer to candidate.	• HM Interviewed, Not Selected • Auto-task for Recruiter to send polite no thanks • Recruiter sends polite no thanks

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FORMS

JOB ORDER TEMPLATE
(in ATS library)

JOB DESCRIPTION TEMPLATE
(in ATS library)

REFERENCE REQUEST FORM
(in ATS library)

REJECTION LETTER TEMPLATES

Rejection Letter - General
Subject: Thank you for your application

Dear Recipient: First Name,

Thank you for your interest in employment with CLIENT.

We have reviewed your resume and have carefully considered your qualifications. While your skills are certainly impressive, we have decided to pursue other candidates at this time.

We will maintain your records and should a position open that matches your qualifications, we will contact you. We also encourage you to visit our website as new positions become available.

We appreciate your interest in our company and wish you success in your career search.

Rejection Letter - Interviewed
Subject: Thank you for your application

Dear Recipient: First Name,

I would like to take this opportunity to thank you for taking the time recently to speak with us regarding our need for a Recruiting Workflow: Job : Title. We enjoyed speaking with you and appreciated your patience throughout our search process.

While we were very impressed with your qualifications, we were faced with a difficult decision, and we have decided to proceed with other candidates whose backgrounds we believe more closely match what we are looking for in the position.

However, we will be glad to keep your resume on file should we become aware of any other appropriate positions in the near future. I would also encourage you to visit our website as new positions become available.

Thank you again for your interest and good luck in all your future endeavors!

Rejection Letter – Job Specific

Subject: Thank you for your application

Dear Recipient: First Name,

Thank you for the interest you have expressed in the Job: Title position and in employment with CLIENT.

At this time, we have decided to concentrate our attention on other candidates who we believe best meet the current needs of our organization. Please be assured that your application was given full consideration.

If you have applied for other positions, please note that this message is only in reference to the Job: Title position located in Job: Location : State/Province. We also encourage you to visit our website for information regarding other available positions.

We appreciate your interest in our company and wish you success in your career search.