Procedure: Hiring and Training

1. **SUMMARY**
   1. The purpose of this procedure is to define the requirements for positions in the company affecting quality, for hiring and training employees to ensure these requirements are met, and for evaluating the effectiveness of training provided.
   2. The Operations Manager is responsible for implementation and management of this procedure.
2. **REVISION AND APPROVAL**

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| **Rev.** | **Date** | **Nature of Changes** | **Approved By** |
| 0 | 14/11/2020 | Original issue. | Director |
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1. **OVERVIEW**
   1. Retirement Capital employees are selected, trained and evaluated to ensure that those personnel performing work affecting product quality are competent on the basis of three primary criteria:
      1. education
      2. training
      3. experience
   2. Job requirements have been developed for each position in the company affecting quality and documented in an applicable ***Position Description.*** These define the desired minimum requirements for each position, including the four criteria listed above.
   3. ***Position Description***s shall include applicable statutory or regulatory requirements for the position defined.
2. **CANDIDATE SCREENING**
   1. All Retirement Capital personnel are hired on the basis of their ability to perform acceptable work. This is done by comparing the candidate’s resume, experience, application, etc. against the job description requirements.
   2. It is not mandatory that candidates meet all requirements, if the company can provide subsequent training or other actions to bring the candidate up to the requirements eventually.
3. **NEW HIRES**
   1. New employees for the Retirement Capital undergo employee orientation, which includes ISO 9001 training, and training on the Quality Policy. Orientation training to shall be completed within 1 month of the employee’s start date.
   2. Orientation shall include discussing with the employee the relevance and importance of that person meeting customer and company QMS requirements, and how their work will affect quality objectives.
   3. A record of the completion of the orientation shall be maintained in the employee’s training file.
4. **SUBSEQUENT TRAINING / OJT**
   1. Subsequent training, including on-the-job training (“OJT”) is performed to ensure each employee is knowledgeable in their job function and their role within the company.
   2. The Employee Training Matrix lists applicable task-specific requirements for some positions; for employees hired in these positions, the Operations Manager will update this matrix as training is conducted for these tasks.
   3. On the Employee Training Matrix, an employee is considered qualified is the task is marked off as completed; the employee may train others if this is indicated.
   4. Prior to qualification, an employee’s supervisors or managers are responsible for that employee’s work.
   5. Other training is recorded on individual employee training records. Such records should indicate the following:
      1. Type of training
      2. Method of training
      3. Duration of training
      4. Date of completion
      5. Location of training
      6. The name of the instructor or individual who conducted the training
   6. Personnel undergoing third party training and receiving a certificate of training by the training provider may retain this certificate as a training record in lieu of an employee training record.
   7. All training records are to be maintained in the employee training file. Copies may be given to the employee for their personal retention or posting in their work areas.
5. **TRAINING EVALUATION**
   1. Management periodically reviews and re-certifies employees for operations where recertification is required or beneficial. Annual personnel evaluations are performed to assess effectiveness of training. Employee evaluations shall include goals for continual improvement of the employee’s competency and abilities, as well as their growth within the company, as applicable.
   2. Where appropriate, some training programs will include a test or other means of verifying the effectiveness of training. In such cases, work instructions will define the minimum passing grade, and actions to be taken when an employee does not pass.
   3. If problems, weaknesses or concerns are discovered during an evaluation or otherwise reported for any other reason (including customer complaints), a Corrective Action Report form shall be completed to identify the weaknesses and develop a plan of improvement for that employee; see the procedure ***Corrective and Preventive Action***.
   4. For some tasks, tests may be developed and given to assess training effectiveness. In such cases, procedures shall define the method for giving the test and the passing grades / criteria required. The procedures shall also define the actions to take when an employee fails such a test.
   5. The Internal Auditing process (see ***Internal Audit)*** shall evaluate the effectiveness of training and its effects on product and service quality; in addition, the review of training effectiveness shall be a permanent feature of Management Review (***see Management Review***.)