SterlingRisk I.T. User Change of Status Policy

Overview

This policy applies to any change of status in an employee's access to any SterlingRisk I.T. System. A change of status would include anything that would require that an employee's access be granted/removed/changed from any system. This would include (but not be limited to) a new hire, termination, department transfer or promotion. The following procedures should always be observed in order to ensure the highest level of efficiency and security.

New Hires

1) The appropriate department managers & executives should coordinate with the Human Resources team in order to recruit, interview and vet new employees. The final phases of this process would typically include a background check and values based interview.

2) Once an employee is approved for hire, then the manager should provide HR with a completed and signed COS form, as well as a list of all systems and access levels required for the new hire to perform their specific job function.

3) The seating location for a new hire must be determined **PRIOR** to the new hire request being submitted by HR. If any moves are needed to accommodate the new hire's seating location, these would be treated separately from the new hire request, and appropriate move requests would need to be submitted, approved and completed prior to the new hire's start date.

4) ALL New Hire I.T. requests must be processed through the HR department. Once the manager provides the systems requirements, completed COS form, seating location, and any other prerequisite materials, then HR should submit and Add Employee Request through the Help Desk Ticketing system. All required information should be included in the request, including the account checklist filled out in it's entirety.

5) A **MINIMUM** of **5 business days' notice** (although 7-10 would be preferable) will be required **from the date that the Add Employee ticket is submitted by HR** for all accounts and systems to be setup. This will give I.T. the time that is needed to coordinate all of the software account setups, and ensure that the appropriate equipment is in place by the time the new employee walks in. This should be taken into account when determining the official start date.

6) In the event that a new hire is taking the place of an employee who is scheduled to be terminated (and will be taking over the terminated employee's desk, PC & phone equipment), we will require at least **3 business days** in between the terminated employee's departure date and the new hire's start date. For example, if an employee is to be terminated at the end of the day on a Friday and a new hire is taking over their physical desk & equipment, then the new hire should not be scheduled to start until the following Thursday at the earliest. This will allow the I.T. team enough time to update all of the account information and equipment.

7) Upon all of the above conditions/procedures being met/followed, appropriate members of the I.T. staff will complete the necessary I.T. systems accounts/equipment setups. Upon completion, the account information will be updated in the Help Desk ticket, the request will be marked as closed or resolved, and HR will be sent a copy of the completed request and information contained therein.

Terminations

1) In the event that an employee is to be terminated, the appropriate department managers & executives should coordinate with the Human Resources team in order to ascertain the exit plan (including termination date), and determine who will be taking over the responsibilities of the employee who is being exited.

2) ALL Termination I.T. requests must be processed through the HR department. Once the exit plan and termination date have been established, HR should submit a Remove Employee request through the online ticketing system, and be sure to fill out the request checklist in it's entirety.

3) The Remove Employee request should be submitted with as much notice as practically possible (at least a couple of business days). This will allow us to plan ahead and make sure that employee's accounts are terminated in as quick and efficient a manner as possible.

4) No employee termination request will be accepted without the appropriate forwarding information included in the request at the time that it is submitted. For example, we will need to know where the terminated employee's emails, files, phone calls, etc. should be forwarded to at **LEAST ONE FULL BUSINESS DAY PRIOR** to the employee's scheduled termination date.

5) Upon all of the above conditions/procedures being met/followed, appropriate members of the I.T. staff will disable the necessary I.T. systems accounts/equipment setups. Upon completion, the request will be marked as closed or resolved, and HR will be sent a copy of the completed request and information contained therein.

Other Status Changes (Department transfers, promotions, etc)

1) In the event that an employee's access to any SterlingRisk systems needs to be updated for any reason (such as those indicated above), the specific changes will need to be identified by that employee's immediate supervisor prior to the status change taking place.

2) ALL Employee Change I.T. requests must be submitted by an employee's supervisor (or someone higher up in their direct chain of command). Once specific changes have been identified, a Change Employee request should be filled out in it's entirety and submitted by the supervisor through the I.T. ticketing system.

3) Upon all of the above conditions/procedures being met/followed, appropriate members of the I.T. staff will update all of the necessary I.T. accounts/equipment setups. Upon completion, the request will be marked as closed or resolved, and the submitter will be sent a copy of the completed request and information contained therein.

Summary

We know that rare exceptions may be required should special circumstances arise, but generally speaking these protocols will apply to ALL employee change of status requests, regardless of employment term/status (full time, part-time, temporary, etc.). Also note that some of these guidelines ask for a minimum level of notice, however the greater notice given and more information provided ahead of time, the more seamless the transition generally is.