

CONTROLLED DOCUMENT

Exit Procedure

CATEGORY:	Procedure
CLASSIFICATION:	Guidance for Managers - Leavers and Exit Interviews
PURPOSE	To set out the Trust procedure and process for staff leaving Trust employment. This document supports the Recruitment and Selection Policy.
Controlled Document Number:	623
Version Number:	3
Controlled Document Sponsor:	Executive Director of Delivery
Controlled Document Lead:	Director of Human Resources
Approved By:	Executive Director of Delivery
On:	22 June 2015
Review Date:	3 years after approval.
Distribution:	
<ul style="list-style-type: none"> • Essential Reading for: Executive Directors Divisional Directors Directors of Operations Heads of Service Line Managers HR Team • Information for: Trade Union Representatives All staff 	

Contents

Paragraph		Page
1	Purpose	1
2	Reasons for Leaving the Trust	1
3	Checklist for Leavers	3
4	Return of Trust Property	3
5	Exit Interviews	3
6	Termination from Payroll	4
7	Annual Leave (owed or outstanding)	5
8	Notice Periods	5
9	Pension	6
10	Personal Files	6
11	Monitoring	6
Appendices		
Appendix A	Acknowledgment of resignation and exit interview appointment letter	7
Appendix B	Managers Checklist for Leavers	8
Appendix C	Return of Trust Property and Outstanding Monies	9
Appendix D	Exit Interview Structure	10
Appendix E	Exit Interview Questionnaire	11

EXIT PROCEDURE

1. Purpose

- 1.1. University Hospitals Birmingham NHS Foundation Trust whilst committed to the retention of staff, understands that staff will eventually leave the Trust. However the end of the employment relationship does require a number of processes to be followed in order to ensure that any risk to the Trust is minimised.
- 1.2. This document provides guidance to ensure that managers undertake all processes required for the employment relationship to be ended whilst ensuring that any exit is undertaken lawfully and with dignity. In addition the Trust needs to ensure that when a staff member leaves that all property is returned and that access to any Trust systems is closed and this document informs managers of these processes.
- 1.3. The policy document to which this procedure relates is the Recruitment and Selection Policy. However, in addition to an individual's resignation, the end of the employment relationship can be the result of a number of procedures; therefore this document also supports the following Trust policies: Disciplinary Policy and Procedure, Managing Poor Performance Procedure, Maintaining High Professional Standards, (Flexible) Retirement Policy, Organisational and Workforce Change Policy and Procedure.

2. Reasons for Leaving the Trust

- 2.1. Members of staff can exit the Trust by way of a number of reasons, these can include:
 - Resignation
 - Dismissal by reason of Conduct, Capability, Redundancy, Statutory Bar (a legal reason that an individual can not be employed i.e. removal from NMC/GMC register), Some other Substantial Reason, end of fixed term contract
 - Retirement
 - Death in Service

2.2. Resignation

- 2.2.1. When a member of staff decides to leave the Trust, they should submit their intention to leave the Trust, i.e. their resignation, in writing to their line manager; the notice period will commence on receipt of the resignation letter.
- 2.2.2. At this point, the manager should arrange to meet with the staff member to agree their last day of service; this is usually the last day of the notice period. The calculation of any outstanding annual leave and a schedule of work, to be completed by their leaving date, should also be determined at this point. Following this meeting, the manager should confirm the details in writing which should include an acknowledgment and acceptance of the resignation (Appendix A – example letter).

2.2 Dismissal from employment

- 2.2.1 Dismissal from employment is usually the end result of other Trust Policies and Procedures and managers must involve Human Resources before any decision regarding ending the employment relationship in this way.
- 2.2.2 Where a dismissal, for any reason, is to take place the staff member must be formally invited to attend a meeting, where they will have their case heard by an individual with dismissing authority (Director of Operations, or equivalent, and above). The member of staff will always have the right to appeal against any decision made. The member of staff will have the right to be accompanied by a trade union representative or workplace colleague at any such meetings.
- 2.2.3 Details of notice periods will be stated in staff member's contract of employment. Advice in respect of notice periods can be sought from Human Resources. Section 8 contains details on notice periods.

2.3 End of Fixed Term Contract

- 2.3.1 The expiry of a fixed-term contract is classed as a dismissal. It is therefore essential that the termination of fixed-term contracts is dealt with in a fair and reasonable manner.
- 2.3.2 There are 3 steps which should be followed to terminate a fixed term contract:
- Letter - Write to the staff member setting out the reason, why the contract will not be renewed. Invite the staff member to a meeting.
 - Meeting - Discuss the reason for non renewal and any other options. The staff member will be permitted to be accompanied by a trade union representative or workplace colleague.
 - Appeal - Allow the staff member to appeal against the decision within 15 working days of the decision.
- 2.3.3 If the Trust simply fails to renew a fixed term contract without following the above process prior to dismissal, the staff member may be able to claim unfair dismissal.
- 2.3.4 Further guidance and template letters can be found on Ask HR via Me@QEHB or via the HR First Contact Team.

2.4 Retirement

- 2.4.1 There are a number of options available for staff towards the end of their working life, please refer to the Trust's (Flexible) Retirement Procedure for further details.

2.4.2 Where members of staff have paid into the NHS Pension Scheme, they will be able to access their pension; this can be dependent on age or the reason for retirement (e.g. ill health). Please contact the Trust's Pensions Officer for more details.

2.4.3 The Trust's Pension Officer should be contacted in respect of the appropriate forms to be completed and timescales required for processing.

2.5 Death in Service

2.5.1 Where a member of staff dies in service, and is a member of the NHS Pension Scheme, the scheme provides benefits for their next of kin. For more details, please contact the Pensions Department or go to the following link,
http://www.nhsbsa.nhs.uk/Pensions/Documents/Pensions/Life_Assurance_and_Family_Benefits_Factsheet_1995_Section.pdf

2.5.2 The reason for leaving should be noted in the HR3 form and normal monies for time worked up until their date of death should be paid.

3 Checklist for Leavers

3.1 When an individual leaves the organisation a number of processes should take place to minimise any risk to the Trust and ensure that an individual does not receive any Trust benefits they are not entitled to. A checklist for managers is attached in Appendix B.

3.2 This checklist should be completed before the expiry of the notice period and the staff member's last day of service to ensure effective removal of the staff member from the payroll, removal of access to Trust IT systems, ensure return of Trust property and ensure an exit interview takes place. Each of these processes should be done by the line manager; they are not completed through the completion of a HR3, this terminates from the payroll system only.

4 Return of Trust Property

4.1 During employment, all staff are supplied with a number of items to support them in their role or to identify them as Trust staff. On the termination of their employment, all Trust property should be returned; this includes any ID badges, data or documents.

4.2 A 'Return of Trust Property and Outstanding Monies' Form (Appendix C) should be completed to ensure all items of Trust property are returned. A copy of the completed form should be retained on the staff member's personal file.

4.3 All Trust equipment such as mobile phones and laptops etc should be returned during the staff member's final week of employment and returned to the relevant service departments.

5 Exit Interviews

- 5.1 When a member of staff leaves via reason of resignation the Trust it is recommended that feedback on their employment is gained; this can be via a questionnaire or by way of an exit interview.
- 5.2 The purpose of the interview is to understand why the staff member is leaving, to seek constructive feedback from their experience with the Trust and it provides an opportunity to seek suggestions for retention of staff in the future. Face to face interviews generally provide more beneficial information than written feedback. A suggested structure is shown in Appendix D.
- 5.3 Once they have submitted their written resignation, the staff member should be offered an exit interview appointment with their line manager. This appointment should be included in the acknowledgement letter (Appendix A).
- 5.4 If the staff member does not wish to undertake the exit interview with their line manager then they should be offered the opportunity to undertake the interview with a third party, if preferred, such as another appropriate manager within the Division or Human Resources.
- 5.5 The interview should take place in a room that is private and free from interruptions. It is suggested that the format for the interview is based on the Exit Questionnaire (Appendix E). This should be completed jointly by the staff member and the interviewing manager during the meeting.
- 5.6 Should the staff member not take up the offer of an exit interview prior to leaving the Trust, then a questionnaire should be given to them for completion. This should be returned to First Contact Team in Human Resources.
- 5.7 On receipt of the completed Exit Questionnaire an analysis of leaving trends will be undertaken annually and fed back via the Annual Workforce Report.
- 5.8 Completion of the Exit Interview Questionnaire is only applicable for staff voluntarily leaving the University Hospitals Birmingham NHS Trust (excluding ill health retirement, redundancy, dismissal) and not staff who are transferring departments. However, managers may wish to undertake the process informally for their own internal reasons

6 Termination from Payroll

- 6.1 To terminate a member of staff from the Trust's payroll system (Electronic Staff Record) an HR3 (Termination form) should be completed on via the Finance Tools system and, once authorised, this will automatically be forwarded to the Payroll Department for action. This form should only be used for members of staff leaving the Trust; Members of staff who are moving / transferring to another service or department within the Trust are not classed as leavers. In those cases, the 'receiving manager', i.e. the manager of the department or service the staff member is taking up a

position within, is responsible for the submission of a HR2 form with a WAF (Workforce Approval Form) attached.

- 6.2 The HR 3 form should include details of the last day of employment with the Trust, reason for leaving and the balance of annual leave owed or outstanding. If there are any other outstanding monies owed to the Trust by the staff member on leaving, then this information should also be recorded in the notes section of the HR3 form so that payroll can recover outstanding monies at the point of termination date. The member of staff should be made aware of any deductions from their final salary.
- 6.3 The type of monies owed might be for travel passes (bus or rail) which the staff member wishes to retain, for lease cars, bicycle loans and any other type of benefit under the Salary Sacrifice Scheme.
- 6.4 Details of the last date of employment should also be entered onto the SMART system or next 'turnaround' document.
- 6.5 For dismissals and ill-health retirements, it should be stated in the notes section whether any notice pay is to be included in the member of staff's final pay.
- 6.6 The member of staff's final payslip and their P45 will be sent to the address put onto the HR3 form.
- 6.7 It should be noted that the HR3 form does not have any other purpose but that of terminating the staff member from the payroll. The removal of access to Trust systems, car park or security systems should be done separately. For Trust systems please contact the IT Helpdesk, Q Park for Trust car parks and Security to remove access to Trust buildings.

7 Annual Leave

- 7.1 When members of staff leave part way through a financial year they are only entitled to accrue annual leave for the last complete month they work i.e. up to the last available working day on their normal working pattern i.e. if 7-day working pattern and Sunday is last day of the month, then members of staff will have to be employed on this day to accrue leave for that month, if Monday to Friday, then employed on the last Friday of that month to accrue leave for the month.
- 7.2 When the member of staff's last working day is known, their annual leave should be re-calculated to take into account the part year that the staff member has worked. Please see the Trust's Annual Leave Policy for calculation details.
- 7.3 Where more annual leave has been taken that the staff member is entitled to, this will be deducted from their final salary. This should be indicated on the HR3.
- 7.4 Where there is annual leave outstanding, the member of staff can be paid for this or their last day of service extended beyond their last working day to accommodate the annual leave.

8 Notice Periods

- 8.1 In order to give the Trust time to prepare for an individual leaving the Trust, a period of notice is usually applicable. Although the notice periods are usually set for each band/grade, a manager is permitted to allow an early release dependent on the needs of the service.
- 8.2 When a member of staff resigns or retires, they are required to complete a notice period dependent on their position within the Trust and their contract of employment. The following table shows the amount of notice they should give:

Band	Contractual Notice Period
AfC Band 1 to 4	1 month
AfC Band 5 to 6	2 months
AfC Band 7 to 9	3 months
Other i.e. SMP	As per contract
Medical Staff	As per contract

- 8.3 With the exception of summary dismissal, where a member of staff is dismissed without notice, when a staff member's contract is terminated by the Trust, the notice period is as set out in their contract of employment.
- 8.4 Any notice to be paid should be specified on the HR3.
- 8.5 Where a member of staff resigns and is off sick and is unlikely to return to work, prior to the end of the notice period, it is unlikely that a period of notice will be required. In this instance, no payment in lieu will be made.
- 8.6 Members of staff will not normally take long periods of annual leave during their notice period, particularly if this is only 4 weeks in duration. This is for the purpose that a notice period is for the staff member and employer to make preparations for the indefinite absence of the staff member and to enable handover and training of any successor; absence of the staff member does not enable this to adequately take place.

9 Pension

- 9.1 When an individual is retiring, including early, on ill health grounds or on the efficiencies of the service, a discussion should take place with the Trust's Pensions Officer to determine the appropriate forms to be completed and the timescales in which the pension will be paid.
- 9.2 For quotes on the amount of pension and lump sum which will be paid, members of staff should contact the Trust's Pensions Department.
- 9.3 For ill health retirement, a decision from the Pensions Agency is required prior to completing the pension forms. The Trust will be notified via the Pensions department.

10 Personal files

- 10.1 A copy of any documentation relating to the member of staff's employment including all termination documentation should be placed onto the member of staff's personal file.
- 10.2 In accordance with legislation for retention periods, a leavers' personal file should be held securely for 6 years after their leaving date.
- 10.3 It is recommended that the file is kept for at least 6 months within the department prior to archiving.

11 Monitoring

- 11.1 The information obtained from the Exit Questionnaires/Interviews will be collected and confidentially stored by Human Resources.
- 11.2 Questionnaires will be kept for at least 12 months and then destroyed. This will allow for annual monitoring to be undertaken.
- 11.3 The information gathered will assist in monitoring the effectiveness of employment practices and procedures and will be analysed in respect of the reasons why staff leave the Trust in order to address any retention issues. Where appropriate the information will be compared to local and national labour market trends and statistics.
- 11.4 Annual reports will be produced from the information gathered, giving breakdowns of losses by staff group and diversity, identifying reasons for leaving and where staff are moving to, if known. This information will be reported as part of the Annual Workforce Report.
- 11.5 Where any areas of concern are discovered and/or where patterns of negative answers to questions are identified, where appropriate there will be an investigation of the situation and action planning developed in response to these concerns.

Appendix A

University Hospitals Birmingham

NHS Foundation Trust

Date

Queen Elizabeth Hospital
Edgbaston
Birmingham
B15 2TH

Private and Confidential

Name
Address

Tel: 0121 472 1311

Dear

I acknowledge receipt of your letter of resignation dated (date) from the post of (job title) in (Name of Department/Ward) Department/Ward. I confirm that your last date of employment with the Trust will be (date).

I can confirm that you have x number of days annual leave outstanding and these can be paid to you in your final salary **or** you have overtaken your entitlement to annual leave and hence the number of days will be deducted from your final salary. **(Please delete as necessary)**

It is important to the Trust that members of staff who are leaving the Trust are given the opportunity to discuss their reasons for leaving. In order to undertake this, we offer an Exit Interview to all staff leaving the Trust. The information provided will be treated as confidential and the HR Department will use this information to analyse the key trends in relation to reasons for leaving and where possible to address any issues.

Therefore, I write to invite you to an exit interview with myself on (date and time) at (location). Please confirm that you are able to attend.

If you would prefer a third party interview (that is with someone other than myself), this can be arranged through Human Resources (First Contact Team) who can be contacted on Ext. (ext no.)

Should you wish to have, or retain a bank nursing contract with Locate, please visit their offices to complete the necessary documentation, this should be before you leave the Trust and you cease to be a member of staff of UHB.

I look forward to meeting with you and should you have any queries prior to the meeting then please do not hesitate to raise these with me.

Yours sincerely

Line Manager's Name
Job Title

MANAGERS CHECKLIST FOR LEAVERS

Name of Staff member:	
Ward / Department:	
Division:	
Leaving Date:	
Name of Line Manager:	

Please ensure that the following documentation is completed prior to the member of staff member leaving.

Action	Completed (Please tick) (✓)	Date
Resignation Letter received		
Confirmation of resignation letter (Appendix A) issued		
HR3 form completed and authorised – Ensure that Locate assignment is not terminated unless also staff member wishes to terminate		
Pension forms completed		
Details of termination on SMART / Turnaround Document e.g. annual leave balance, leave date		
Return of Trust Property and Outstanding Monies Form completed (Appendix C)		
Exit Interview conducted		
Completed Exit Interview Questionnaire forwarded to the Human Resources (Appendix D)		
Personal Record Card (attendance record sheet) filed in Personal File		
Arrangements for e-mail account closed and removal from other Trust Systems via IT Helpdesk		
If in Trust accommodation: Keys, check rent outstanding		

RETURN OF TRUST PROPERTY AND OUTSTANDING MONIES

Please indicate on the notes section of the HR3 form if there are any outstanding monies or loan deductions that the Payroll department need to recover from the staff member's final pay.

If prior to the completion of the form you are aware of monies owing or equipment lost, you should contact the Payroll department at the earliest opportunity to ensure that an appropriate deduction is made from their final salary payment.

All Trust equipment such as mobile phones and laptops etc should be returned during the staff member's final week of employment and returned to the relevant service departments.

A completed copy of this document should be retained on the staff member's personal file.

Item	Returned Y/N or N/A	Date returned	Notes
Identification Badge/ Swipe access cards			Return to the Medical Illustration Department, Selly Oak or Trust Security Manager.
Keys			Where appropriate, to be returned to the Accommodation Officer
Trust Mobile Phone/ Blackberry			To be return to IT Services
Trust Laptop (plus VPN key, if appropriate)			To be return to IT Services
SMART card			Can be kept by staff member
Travel Pass (Bus and/or rail card) returned			N.B. This in the notes section of the HR3 Termination form.
Car Park Pass and disc			If not returned, please advise Q-Park immediately - phone or e-mail.
Uniform			These should be returned to the Uniform Department
Protective Clothing/ Equipment			
Pager/Bleep			
Remove PC Access/ Password			Contact IT Department – leaver notification form can be located on the Intranet.
Other (specify in notes column)			

Managers signature		Date	
Staff member signature		Date	

Structure of an Exit Interview

STRUCTURE	GUIDELINES
BEFORE THE INTERVIEW	
Plan the interview	Considerations should be made as to where and when the interview is to be held. It is better to conduct the interview as soon as possible after the staff member has informed you of their decision.
Select the appropriate person to conduct the interview	Should be reasonably senior, but not held with someone to whom the individual would not feel able to talk freely. Be able to assess the value of the information gained and how it can be used. The staff member may request the person that they wish to conduct the interview including HR
THE INTERVIEW	
At the beginning of the interview	Explain to the staff member why you are conducting the exit interview and that you will be taking notes. Describe the structure of the interview and give an estimate of how long the interview will last (around 30 mins is an appropriate length unless any problems arise). Ensure that you will not be disturbed by diverting any phones and putting “do not disturb” signs on the door etc.
Ask a set of pre-prepared questions (Base on the exit questionnaire below)	Before the interview you should prepare a set of questions to ask. These should be open ended questions that allow for discussion These questions should focus on the following areas <ul style="list-style-type: none"> • Reasons for leaving • What are they doing after they leave • What did they like most (and least) about their role • Induction and training opportunities and quality of training • Job description • Organisation policy, procedures or conditions • Personal relationships with staff • Benefits • Would they work for the Trust again if the opportunity arose
Give the staff member an opportunity to ask any questions or discuss anything that they may wish to discuss	
Inform them that they will have to return the following (If applicable) on their last day	<ul style="list-style-type: none"> • ID Badge • Uniform • Any equipment e.g. Laptop, Mobile, Pager, etc
Close the interview	Thank them for their work within the department and wish them success in their future role.

EXIT INTERVIEW QUESTIONNAIRE

It is important for the Trust to understand why staff take the decision to leave the Trust. The Exit Interview offers the chance to share and discuss the reasons for leaving and to share any constructive criticism or ideas for change. The information provided will help to critically examine the Trust working practices and make improvements to these where necessary.

Please be as open and frank as possible so that any improvements can be identified and implemented. All responses provided will be treated as confidential and will not affect any subsequent applications for employment with the Trust.

Name:			
Area worked in:	Division:	Ward / Department:	
Post Details:	Band/Grade:	Job Title:	
Length of time worked at UHB:	Months	Years	
Reason for Leaving (Please tick all that apply)			
Accommodation/housing problems	<input type="checkbox"/>	Travelling problems	<input type="checkbox"/>
Relocation / To work nearer to home	<input type="checkbox"/>	Child care/ Family reasons	<input type="checkbox"/>
Negative treatment due to your disability/gender/age/ethnicity etc	<input type="checkbox"/>	Unsatisfactory relationship with manager	<input type="checkbox"/>
Dissatisfied with working environment	<input type="checkbox"/>	Parking facilities	<input type="checkbox"/>
Communication in the Department/ Trust	<input type="checkbox"/>	Unsatisfactory relationships with peers	<input type="checkbox"/>
Unsatisfactory support with day to day work	<input type="checkbox"/>	Unsatisfactory guidance in your professional role	<input type="checkbox"/>
Unsatisfactory quality of supervision	<input type="checkbox"/>	Poor management of department	<input type="checkbox"/>
Dissatisfied with current role	<input type="checkbox"/>	Promotion	<input type="checkbox"/>
Dissatisfied with the department – please identify why on separate sheet	<input type="checkbox"/>	Dissatisfied with the Trust – please identify why on separate sheet	<input type="checkbox"/>
Lack of training and development opportunities in the Trust/Department	<input type="checkbox"/>	Lack of promotion opportunities in the Department/Trust	<input type="checkbox"/>
End of temporary contract	<input type="checkbox"/>	Personal reasons	<input type="checkbox"/>
Opportunity to widen experience	<input type="checkbox"/>	Stress	<input type="checkbox"/>
Lack of challenges	<input type="checkbox"/>	Leaving the profession	<input type="checkbox"/>
Underused skills	<input type="checkbox"/>	Obtaining further qualifications	<input type="checkbox"/>
Lack of support from other staff	<input type="checkbox"/>	Lack of job security	<input type="checkbox"/>
Inadequate benefits/ Salary	<input type="checkbox"/>	Bullying/harassment	<input type="checkbox"/>

Vision & Values

The Trust is committed to achieving of its vision of ‘Delivering the Best in Care’ and wish to ensure that everyone lives our values of ‘Responsibility, Honesty, Respect and Innovation’. Please tick (☑) Yes or No to indicate how you feel the Trust has implemented these.

	Yes	No
I feel the Trust is committed to the Visions and Values		
I felt proud to work at this Trust		
I believed I was supported to deliver the best in care through the work I did		
I believe that the Trust Management were open and honest with staff		
I feel that my colleagues used their integrity and were open and honest		
I feel my manager and colleagues were honest during any interactions		
I feel that my immediate manager and I could be honest with each other		
I constantly strived to improve things for patients		
I was encouraged to do things in a different way		
I was given recognition for coming up with new ideas		
I was treated professionally and courteously by my manager		
I was treated with respect and courtesy by my colleagues		
I took responsibility for ensuring the Trust's Visions and Values were met		
I felt able to challenge when I noticed something was being done incorrectly		

What could the Trust do to encourage people to stay in employment with us?		
What did you enjoy the most about working for this Trust?		
Would you consider working in the Trust again, should a suitable vacancy occur?	Yes	No – Why?
Would you recommend this Trust as an Employer?	Yes	No – Why?
I would like an exit interview	Yes/No	With my manager <input type="checkbox"/> With HR <input type="checkbox"/>

MONITORING INFORMATION

Age Group

- 18 – 20 31 – 35 46 – 50 61 – 65
 21 – 25 36 – 40 51 – 55 65+
 26 – 30 41 – 45 56 – 60

Gender

- Female Male Do not wish to declare

Disabled

- Yes No

Ethnic origin

Code	Description	Tick	Code	Description	Tick
A	White - British		I	Asian - Pakistani	
B	White - Irish		J	Asian – Bangladeshi	
C	Any other white background		K	Any other Asian background	
D	Mixed - White & Black Caribbean		L	Black – Caribbean	
E	Mixed - White & Black African		M	Black – African	
F	Mixed - White & Asian		N	Any other black background	
G	Any other mixed background		O	Other – Chinese	
H	Asian - Indian		P	Any other ethnic group	

Thank you for taking the time to complete this form, please send to Human Resources, Ground Floor, East Block, Old Queen Elizabeth