

LEAVERS PROCEDURE

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Document Information

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Personal Files Procedure			

Amendment History

Issue	Status	Date	Reason for Change
v1.1	Approved	June 2015	Change to email address in appendix 4
v1.2	-	December 2015	Change to email address in appendix 4 relating to ID badge/Access Control. New organisation logo.
V1.3		July 2016	Removal of Appendix 4 – IT Access Cancellation Leavers Questionnaire change of email address

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14.	Appendix 4: IT COMPUTER ACCESS - CANCELLATION Error! Bookmark not defined.	

1 Introduction

- 1.1 The purpose of this procedure is to provide guidance for managers and employees leaving the Trust to ensure that a standard and consistent approach is adopted.
- 1.2 It aims to ensure that the termination of staff is dealt with in a robust and timely fashion with consideration to the employee, statutory provisions and standards of good practice.

2 Scope

- 2.1 The procedure applies to all employees of Torbay and South Devon NHS Foundation Trust, leaving through resignation, retirement, end of fixed term contract and redundancy.

3 Equality and Diversity Statement

- 3.1. The Trusts are committed to preventing discrimination, valuing diversity and achieving equality of opportunity. No person (staff, patient or public) will receive less favourable treatment on the grounds of the nine protected characteristics (as governed by the Equality Act 2010): sexual orientation; gender; age; gender re-assignment; pregnancy and maternity; disability; religion or belief; race; marriage and civil partnership. In addition to these nine, the Trusts will not discriminate on the grounds of domestic circumstances, social-economic status, political affiliation or trade union membership.
- 3.2 The Trusts are committed to ensuring all services, policies, projects and strategies undergo equality analysis. For more information about equality analysis and Equality Impact Assessments please refer to the Equality and Diversity Policy (policy number 13 - SDHCT).

4 Manager's Responsibilities

On Receipt of Resignation

- 4.1 The manager should acknowledge receipt of the employee's resignation. Template letter Appendix 1.
- 4.2 On receipt of an employee's resignation the line manager should complete a termination form. The on line form can be obtained via Contact (for SDHCFT) and iCare (for TSDHCT). This will automatically notify the Payroll Department and must be received **AT THE LATEST** by the 5th of the month in which the employee is due to finish to be able to be processed in time for the next payroll.

- 4.3 Where an individual is leaving at short notice or where there has been a death in service please contact the payroll dept. as soon as possible with the employee's relevant details.
- 4.4 Termination forms for staff who are retiring should be submitted 3 months prior to their leaving date to ensure their NHS Pension is paid at the correct time.
- 4.5 Where possible ensure that all annual leave entitlement has been taken before the final date of employment. In some circumstances it may be preferable for an employee to be paid for outstanding leave and this should be indicated on the Termination Form. Annual leave outstanding for the current leave year should extend the leaving date unless the reason for leaving is dismissal or redundancy.
- 4.6 Part 1 and 2 of the Leavers Checklist (Appendix 2) should also be completed by the manager. The checklist should include the details of all monies owed to the Trust by the employee at that time, such as relocation and study expenses, and a note of any additional debts that are likely to be incurred before the employee's employment termination date. This information should be passed to the Payroll dept. as soon as possible following the resignation so that the monies can be recovered from the final payment.
- 4.7 Managers, who fail to notify the relevant parties of any further monies due or fail to return uniforms or equipment, will have any losses to the Trust deducted from their budgets. It is the manager's responsibility to ensure that such notification is received.
- 4.8 A copy of Part 2 of the Leavers Checklist should be sent to Finance team at Regent House, Regent Close, Torquay, TQ2 7AN.

Please also refer to Appendix 4 for relevant contact details.

This should be received by the 5th of the month to be able to be processed in time for the next payroll. Part 2 of the Checklist **does not** have to be sent if no action is required i.e. all boxes indicate "Not Applicable/No".

- 4.9 Where an employee is retiring and is entitled to a retirement award please refer to the relevant Trust's Retirement Policy.

Employee's Last Working Day

- 4.10 The manager has a responsibility to:

- Recover keys, uniforms, equipment, identity badges, and purchasing cards.
- Inform the Health Informatics Service (IT) by email that the employee is leaving so that access to the computer systems can be revoked.
- Inform the Security Department by email that the employee is leaving so the ID/Access Control Card can be cancelled. Return the ID Badge to the Security Manager.

4.11 The Workforce Planning Department has a responsibility to:

- Ensure that terminations are completed within ESR and therefore providing a system generated termination of the employee's IT access.

5 Staff Transfers between Departments

- 5.1 A change of circumstances form should be completed for internal transfers within the Trust. This online form is available via iCare and Contact.
- 5.2 Managers may find Part 1 of the leavers' checklist helpful as a guide when staff transfer between departments.

6 Staff with a current Work Permit

- 6.1 Where the Trust has sponsored an employee to work in the UK and they hold a Tier 2 residence permit, managers have a responsibility to inform the Recruitment & Temporary Staffing Manager where possible within 5 working days at recruitment.sdhct@nhs.net
- 6.2 Employees who hold a Tier 1 or Tier 4 permit do not need to be recorded.
- 6.3 For Medical staff leaving Torbay Hospital, managers should inform Medical HR on ext. 56673 or ext. 56831

7 Exit Interview & Questionnaire

- 7.1 The manager may wish to offer the employee an exit interview. This can be conducted by the manager or an independent party.
- 7.2 The employee may wish to complete a leavers' questionnaire. This may be completed solely by the employee or with assistance of a manager or Human Resources. A copy of the questionnaire can be found on the Trusts' intranet sites.

- 7.3 Information received from the exit questionnaires is communicated to the Human Resources Department and if appropriate the department manager.

8 Retention of Personal File when an Employee Leaves

- 8.1 The termination of an employment relationship does not mean that all records should be deleted; there may be a real business need to retain some of them. For example, it may be necessary to retain some information with which to enable references to be provided in the future or in respect of the employee's pension arrangements. It is important to retain information on the personal file that is still needed; eliminate personal information that is no longer of any relevance.
- 8.2 The Department of Health advise that the full personal file should be retained for 6 years after individual leaves service, at which time a summary of the file must be kept until the individual's 70th birthday or until 6 years after cessation of employment if aged over 70 years at the time.
- 8.3 The 6 year retention period is to take into account any ET claims, or Employee Liability claims that may arise after the employee leaves NHS employment, requests for information from the NHS Pensions Agency etc. Claims of this nature can include periods of up to 6 years or more prior to the claim and where evidence could be needed from a number of sources, it is appropriate to retain as much as possible from the original file.
- 8.4 Ensure that information that is to be disposed of is securely and effectively destroyed.

9 Summary of Personal File

- 9.1 The summary should contain everything except, annual leave records, duty rosters, clock cards, timesheets, study leave applications and training plans.
- 9.2 It is recommended that managers keep the following summary information after the employee leaves:
- Application Form (to reference employment history)
 - Copy of DBS (if applicable)
 - Copy of professional registration (if applicable)
 - Copy of Contract
 - Latest change of circumstances form (if relevant)

- Job Description
- Final Performance Development Review paperwork
- Sickness record including copies of all self-certifications and Fit notes for the last 2 years.
- Copy of any Temporary Injury Allowances
- Copy of any incident forms relating to the individual.
- Copy of the Termination Form
- Copy of resignation letter (if relevant)
- Copy of MARS agreement (if relevant)
- Copy of employee references provided by the Trust (if relevant)
- Documentation relating to any 'live' warning's on file.
- Copies of Part 1 & 2 of leavers checklist

9.3 Handwritten notes relating to management observations, conversations, reminders etc. should be kept separately where necessary in manager's own notes or diary or if no longer relevant can be destroyed.

9.4 Any queries regarding information that should be retained should be directed to either the HR department or the Information Governance Lead.

9.5 The individual has the right of access to this summary.

9.6 This information can be scanned and kept electronically.

For further information regarding the content of personal files please refer to the Personal Files Procedure.

10 Training and Awareness

10.1 Advice and support will be provided by the HR team to support staff and managers in following this protocol as necessary.

10.2 The HR team will raise awareness of this protocol through manager briefing sessions, the publication of information on iCare and Contact and to advise staff of changes through the staff bulletin.

11 Contact Details

- 11.1 Any queries should be directed to the HR team of the Directorate of Workforce and Organisational Development.

HR Helpline – 01803 655754 (ext. 55754)

HR department – 01803 654506 or 01803 210475

12 Monitoring, Audit and Review Procedures

- 12.1 This procedure will be monitored and audited on a regular basis. A full review will take place every two years by the Directorate of Workforce and Organisational Development unless legislative changes determine otherwise.

13 Appendix 1 TEMPLATE RESIGNATION ACCEPTANCE LETTER

(Notice period being worked)

Dear

Thank you for your letter of resignation which I received on *[insert date]* confirming that you wish to resign from the position of *[insert job title and department]*. I acknowledge that your date of resignation will be *[insert date]* and your last working day with the Trust will be *[insert date]*.

As per your contract of employment you are required to give *[insert notice period]* and to work this period, unless otherwise agreed. During your notice period you will continue to be subject to your terms and conditions of employment.

I will make arrangements to for us to meet in the near future to complete the Leaver's Checklist.

I would also like to take this opportunity to thank you for your efforts and contribution during your time with us and I wish you all the best for the future.

Yours sincerely

14 Appendix 2 LEAVERS CHECKLIST PART 1

To be completed by line manager and copy retained on employee's personnel file

EMPLOYEE DETAILS

Name: _____ Payroll (Assignment) No: _____

Ward/Department: _____

Forwarding Address: _____

Date of Termination: _____ Telephone No: _____

	Yes	No/NA	Actioned
1. Termination form completed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Uniform to be returned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. ID Badge(s) to be returned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Keys/Swipe Card(s) to be returned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Computer Access (<i>NHS.mail, PARIS, Network, PAS, ESR etc</i>)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. SMART Card (if leaving NHS)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Purchasing Card	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Personal Alarm	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Mobile Telephone and/or Bleep	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. iPad (ensure personal iTunes accounts have been removed).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Encrypted Memory Sticks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Lap-top Computer & Associated Equipment & VPN tokens if applicable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Cancellation of Work Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No/NA	Actioned

14. Authorized Signatories

15. Car Park Permit

16. Return of FP10 Prescription Pads

If yes, number returned: _____ ***Please note prescription pads must be hand delivered to the prescribing lead for Torbay and South Devon NHS Foundation Trust.***

17. Cancellations of Sponsorship to Work in the UK – Tier 2 Residence Permit

18. Other, (please give details):

I certify that all the matters indicated above have been actioned before the employee leaves

Signed: _____

Name: _____

Job Title: _____

Telephone Number: _____

15 Appendix 3: LEAVER'S CHECKLIST PART 2

To be completed by line manager and copy retained on employee's personnel file

EMPLOYEE DETAILS

Name: _____ Payroll (Assignment) No: _____

Ward/Department: _____

Forwarding Address: _____

Date of Termination: _____ Telephone No: _____

Has the employee had access to or is in receipt of any of the following:
 (All to be completed)

	Yes	No
1. Accommodation	<input type="checkbox"/>	<input type="checkbox"/>
2. Advance of salary or loan	<input type="checkbox"/>	<input type="checkbox"/>
3. Car Loans	<input type="checkbox"/>	<input type="checkbox"/>
4. Lease Car	<input type="checkbox"/>	<input type="checkbox"/>
5. Relocation Expenses (within last 24 months)	<input type="checkbox"/>	<input type="checkbox"/>
6. Training Expenses (within last 12 months)	<input type="checkbox"/>	<input type="checkbox"/>
7. Salary Sacrifice Scheme e.g. childcare vouchers	<input type="checkbox"/>	<input type="checkbox"/>
8. Rainbow Day Nursery	<input type="checkbox"/>	<input type="checkbox"/>
9. Others (please give details):		

- Part 2 of the leavers' checklist to be sent/emailed to Payroll Department and Finance team at Regent House, Regent Close, Torquay TQ2 7AN.
- In **EMERGENCY** please email to Payroll & Finance and mark as **URGENT**.

Signed (manager): _____ Position: _____

I certify that all the matters indicated above have been cleared

Signed: _____ Senior Management Accountant

Name in capitals: _____ Date: _____