

EXIT APPRAISAL POLICY

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Approving Body	Executive Committee
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Date of Implementation	4 th October 2017
Next Review Date	September 2020
Review Responsibility	Associate Director of HR & Corporate Services
Version	0.2

REVISIONS/AMENDMENTS SINCE LAST VERSION

Date of Review	Amendment Details
Nov 2013	<p>The original PCT document has been revised to:</p> <ul style="list-style-type: none">• Reflect the Clinical Commissioning Group Establishment• Reflect the Clinical Commissioning Group structure• Align to the Clinical Commissioning Group Human Resources and Organisational Development Policies and procedures
September 2017	<ul style="list-style-type: none">• Reflect current job titles

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SECTION A – POLICY

1. Policy Statement, Aims and Objectives

- 1.1. NHS Doncaster Clinical Commissioning Group (CCG) values the views and experiences of all employees and seeks such information through team brief and staff surveys. In addition the CCG encourages employees who are leaving their employ to complete an exit appraisal with their line manager and/or complete an exit questionnaire.
- 1.2. There is an increasing demand for flexibility in the workplace and a requirement for high level skills therefore the retention and motivation of employees is important.
- 1.3. The development of this policy ensures the CCG has accurate and reliable statistical evidence which may be used along with turnover rate figures and other information such as staff survey results to analyse retention.

2. Legislation and Guidance

- 2.1. There is no legislation governing employee resignations other than the notice requirements contained in the contract of employment. However there is a duty imposed on public authorities to monitor the flow of employees into and out of employment and therefore the following legislation has been taken into account in the development of this policy:
 - Equality Act 2010

3. Scope

- 3.1 This policy applies to those members of staff that are directly employed by NHS Doncaster CCG and for whom NHS Doncaster CCG has legal responsibility.

4. Accountabilities and Responsibilities

- 4.1 Overall accountability for ensuring that there are systems and processes to effectively analyse turnover and retention issues lies with the Chief Officer. Responsibility is delegated to the following:

<p><i>Associate Director of HR & Corporate Services</i></p>	<p>Has delegated responsibility for:</p> <ul style="list-style-type: none"> • Maintaining an overview of the corporate ratification and governance process associated with the policy. • Leading the development, implementation and review of the policy. • Supporting managers and employees with queries relating to the policy and procedure. • Ensuring the policy and procedure is reviewed and updated as required. • Sending the Exit Questionnaire to all leavers. • Meeting with employees to conduct an exit appraisal where requested by the employee • Including analysis of exit appraisals and questionnaires in annual workforce reports. • Ensuring where areas of concern are disclosed at an exit appraisal or on an exit questionnaire these are followed up appropriately.
<p><i>Appointing Officers</i></p>	<p>Have delegated responsibility for:</p> <ul style="list-style-type: none"> • Ensuring they understand and adhere to their obligations in relation to this policy. • Ensuring an exit appraisal is offered to employees who resign. • Ensuring relevant documentation is submitted to Human Resources for analysis. • Ensuring the Employee Leaver Form is completed and submitted to Human Resources. • Arranging the return of CCG documentation/property including ID badge and smart cards if applicable. • Encouraging the completion of the exit questionnaire.
<p><i>All Staff</i></p>	<p>Have delegated responsibility for:</p> <ul style="list-style-type: none"> • Ensuring they understand their responsibilities in relation to this policy. • Participating in an exit appraisal with their line manager or with Human Resources. • Providing honest feedback about their

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| | employment with the CCG. <ul style="list-style-type: none">• Completing an exit questionnaire and returning to Human Resources. |
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5. Dissemination, Training and Review

5.1. Dissemination

5.1.1. The effective implementation of this procedural document will support openness and transparency. NHS Doncaster CCG will:

- Ensure all staff and stakeholders have access to a copy of this procedural document via the organisation's website.
- Develop a culture where employees can discuss concerns they may have regarding their employment with the CCG.

5.1.2. This procedural document is located in the Employment Policy Manual. A set of hard copy Procedural Document Manuals are held by the Governance Team for business continuity purposes and all procedural documents are available via the organisation's website. Staff are notified by email of new or updated procedural documents.

5.2. Training

5.2.1. All staff will be offered relevant training commensurate with their duties and responsibilities. Staff requiring support should speak to their line manager in the first instance. Support may also be obtained through their HR Department.

5.3. Review

5.3.1. As part of its development, this procedural document and its impact on staff, patients and the public has been reviewed in line with NHS Doncaster CCG's Equality Duties. The purpose of the assessment is to identify and if possible remove any disproportionate adverse impact on employees, patients and the public on the grounds of the protected characteristics under the Equality Act.

5.3.2. The procedural document will be reviewed every three years, and in accordance with the following on an as and when required basis:

- Legislatives changes

- Good practice guidelines
- Case Law
- Significant incidents reported
- New vulnerabilities identified
- Changes to organisational infrastructure
- Changes in practice

5.3.3. Procedural document management will be performance monitored to ensure that procedural documents are in-date and relevant to the core business of the CCG. The results will be published in the regular Governance Reports.

SECTION B – PROCEDURE

1. Resignation Received

- 1.1. An employee should formally confirm their resignation in writing to their line manager, clearly stating their last working date and the date of their resignation, for example if the last working day is a Friday the resignation date should be the Sunday.
- 1.2. The line manager should formally acknowledge receipt of the resignation and advise the employee of their annual leave entitlement and confirm if any annual leave has been overtaken or is outstanding. Where it is outstanding it should be agreed with the employee whether this leave will be paid or taken as time off.
- 1.3. The line manager should complete the Employee Leaver Form (appendix 1) promptly and submit to Human Resources. Failure to complete and submit the form will result in an overpayment being made to the employee.
- 1.4. Upon receipt of the Employee Leaver Form Human Resources will issue an Exit Questionnaire (appendix 2) to the employee via e-mail or where the employee is absent from work, to their home address.
- 1.5. The Line Manager should invite the employee to an exit appraisal and it is recommended that this is conducted prior to the last day of work.

2. The Exit Appraisal

- 2.1. It is recommended that the Exit Questionnaire is used as a basis for the discussion during the exit appraisal however the exit appraisal is an informal process and is the employee's opportunity to discuss any aspect of their employment with the CCG.
- 2.2. The Line Manager should explain the purpose of the exit appraisal as follows:
 - To try and remedy high turnover by identifying common reasons for departure.
 - To monitor effectiveness of recruitment.
 - To update job descriptions.
 - To address areas of concern and develop action plans where required.
 - To identify areas of good practice.
 - To provide managerial support.
- 2.3. It is recognised that where the reason for leaving employment is redundancy, ill health or dismissal the nature of the exit appraisal may differ from that of an employee leaving for other reasons.

- 2.4. The Line Manager should work through the Leaver Checklist (appendix 3) during the exit appraisal.

3. Human Resources Support

- 3.1. Where an employee is uncomfortable to have an exit appraisal with their line manager they may contact Human Resources who will conduct the exit appraisal in confidence. The employee has the right to be accompanied by a staff side representative or work colleague. Following the interview any serious areas for concern will be brought to the attention of the line manager who will have the right to respond to the allegations. The employee should be made aware of any information that Human Resources intends to disclose and the reasons why this is necessary.

4. Serious Allegations

- 4.1. If during the course of the exit appraisal (or if documented on an exit questionnaire) serious allegations are raised the appropriate policy will be invoked, for example Grievance Procedure, Harassment and Bullying.

5. Monitoring

- 5.1. The information obtained from exit appraisals/questionnaires will be collected and recorded by Human Resources using a computerised system wherever possible. The information will be kept in confidence and protected from misuse. Relevant documentation will be kept in the employee's personal file.
- 5.2. Wherever possible the anonymity of the ex-employees will be maintained. Where an individual may be identified through equality data due to low numbers of leavers the information will be exempted from workforce reports.

EMPLOYEE LEAVER FORM

Employee Full Name	
Assignment Number	
Job Title	
Directorate	
Last Working Date	
Last Date of Employment	
Annual leave to be paid/ deducted in final salary	Paid/ Deducted (please state)
Reason for Leaving	
If employee to be paid in lieu of notice, please state number of weeks	
Name of New Employer (if applicable)	
Category of Destination	
Employee Forwarding	

Address for Correspondence	
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AUTHORISATION

Line Manager Name	
Job Title	
Signature	
Date	

FOR COMPLETION BY THE ESR TEAM

Actioned in ESR	
Date	
Checked in ESR	
Date	

Date as postmark

Dear Colleague

Exit Questionnaire

I have been notified of your decision to leave your position with the CCG. It will be helpful if you are willing to provide information about the issues influencing your decision to leave. This is for monitoring purposes and will help us identify areas for improvement and to measure competitiveness against other organisations. It will also enable you to raise any issues or concerns which may have been difficult to express whilst working in the environment. You are encouraged to highlight areas of good practice as well as developmental areas.

In addition to the questionnaire, you will be, or will already have been given the opportunity to have an exit appraisal with your Line Manager. The purpose of this questionnaire is not to replace that meeting but to enhance the information gained and actions to be taken accordingly.

Although these replies are held in the strictest confidence, if any serious areas for concern are revealed they will be followed up with the appropriate level of management. I request that you provide honest feedback about your employment which will ensure that appropriate actions can be taken.

It would be appreciated if you would complete this questionnaire and return it in the envelope provided to Human Resources. Please note your name is not required on this questionnaire and your responses will be treated confidentially. If however, you wish to have further discussions about anything regarding your decision to leave, you are encouraged to identify yourself at the end of the form.

May I take this opportunity to thank you for your assistance and wish you well for the future.

Yours sincerely

On behalf of the Chief Officer

EXIT INTERVIEW QUESTIONNAIRE

Job Title:

Directorate:

Date of Leaving:

Type of post undertaken:

Length of NHS Service (please tick)		Length of CCG Service (inc. predecessor organisations) (please tick)	
0 - 4 years		0 - 4 years	
5 – 9 years		5 – 9 years	
10 – 14 years		10 – 14 years	
15 – 19 years		15 – 19 years	
20 – 24 years		20 – 24 years	
25 – 30 years		25 – 30 years	
30 + years		30 + years	

What prompted you to look for another position? (please tick any of the following that have contributed towards your decision to leave)

	Tick	Comments
Higher Salary		
For Career Development		
Better Job Satisfaction		
Lack of Challenge		
Interest in the Job		
Relationships with Management (either line manager or head of department)		
Relationships with Colleagues		
Change of Career		
Personal Reasons		

Changes in role/workload/location (please identify)		
Changes in health (e.g. poor health, continuing disability etc.) please identify		
Health and safety concerns re patient care		
Health and safety concerns re working environment		
Organisational Reasons (culture, policies etc.)		
Hours of Work (Inflexible, need more/less etc.)		
Location / travelling distance		
Level of violence/aggression experienced as a health care worker		
Attitudes by the CCG to reducing violence/aggression in the workplace		
Other: please give details		

Your feelings about the job

	All of the time	Most of the time	Sometimes	Never	Don't Know
Did you find your job rewarding?					
Did you receive recognition for a job well done from supervisors?					
Were you motivated by your work?					
Did you feel part of a team?					
Did the CCG or your line manager inform you on your					

progress within your role?					
Were you encouraged to make suggestions/contributions to enhance working practices?					
Were you given encouragement and help when needed?					
Were your problems/complaints dealt with promptly?					
Did your post allow you flexibility with work life balance?					

	Good	Satisfactory	Unsatisfactory	Don't Know
How would you rate your relationship with your line manager?				
How would you rate your relationship with your colleagues?				
How would you rate communications between management and yourself?				
How would you rate your promotional opportunities?				
How would you rate your work pressure?				
How would you rate your working environment in relation to Health & Safety				
How would you rate responses regarding concerns about personal safety?				

How would you rate responses regarding concerns about health and safety?				
How would you rate the CCG's response to reducing violence and aggression in the workplace				
How would you rate the staffing levels?				

Training & Development Opportunities

	Good	Satisfactory	Unsatisfactory	Don't Know
<u>If leaving the employment of the CCG within the last 24 months</u> How would you rate your induction training?				
All Staff How would you rate any in-house training you received?				
Was training sufficient for you to conduct your work?				
How would you rate any external training you received?				

	Yes	No	Don't Know
Were there opportunities for you to access external training			
Have you received an appraisal/personal development review whilst working at the CCG?			
If so – did you find it of any value?			

General Facilities

	Good	Satisfactory	Unsatisfactory	Don't Know
How would you rate the general facilities in your surroundings?				
How would you rate the computerised Information Technology within your area of work?				
How would you rate the break/rest facilities within your area (e.g. access to coffee/tea, rest room, staff room, food etc?)				

Are there any improvements to rest/break facilities which could be made to improve this area? (Please specify)

Are there any improvements which can be made regarding access to IT in your area of work? (Please specify)

Is there anything your line manager/Head of Department could have done to retain you as an employee within the CCG? (Please specify)

Would you consider returning to employment within the CCG? Y / N

Please add any additional comments you wish to make regarding your employment with the CCG

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Thank you for your contribution

Optional If you wish to identify yourself or discuss anything further, please leave your details including a daytime contact number below.

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Please return either directly to your manager or to the Human Resources Department

The information you provide will be used to provide anonymised and aggregated data to the Governing Body to enable the CCG to consider its recruitment and retention strategies. Any information you give will be treated in confidence unless as part any exit interview you give permission for the information to be disclosed.

EMPLOYEE LEAVERS - CHECKLIST FOR LINE MANAGERS

The following employee leavers checklist should be completed for staff who are leaving employment with NHS Doncaster Clinical Commissioning Group or who may be moving to another position within the organisation. It may also be considered for staff absent on long-term sick leave, secondment to another organisation, or temporary suspension from duty.

The appropriate line manager or equivalent has responsibility to ensure all relevant actions have been taken and to record this on the form. Following completion, the form should be held on the employees personal file.

Employee Name	
Leaving/ Change Date	

Action	Date Completed
Resignation Letter received	
Resignation Letter Acknowledged	
Employee Leaver Form completed and sent to HR to action.	
Exit Appraisal Offered	
Exit Appraisal Conducted	
RA03 form completed to revoke smartcard access rights and sent to HR for action.	
Return of Smart Card if leaving NHS	
E-mail account closed or diverted to line manager, existing content moved to appropriate storage or deleted	
Notification to IT regarding NHS net e-mail account	
Electronic file storage and folder access diverted to line manager or deleted	
PC User Account Log In deactivated/ disabled	

Removal from group e-mail lists	
Removal from Web-based systems eg ESR, Oracle	
Removal from NHAIS/ Exeter system	
Removal from organisation's published information	
Removal from Building Reception Sign In Form	
Return of ID Badge	
Return of Keys/ Key Fobs	
Return of TREO/ Mobile Telephone	
Return of Laptop	
Return of Memory Stick(s)	
Remove from Authorised Signatory Lists	
Final check of desk area to ensure cleared	