

# Department of Administrative Services PROCEDURE

<b>Department of Administrative Services</b> <b>EXIT PROCEDURE</b> <b>P 450</b>	<b>Effective Date: 05/18/09</b>
	<b>Last Reviewed: December 2008</b>
	<b>Issued by:</b>  <b>Published by:</b>

## 1.0 Purpose

This procedure focuses on recovering state assets (equipment, information, electronic records, etc.) and removing access to state resources (networks, systems, physical facilities, etc.) when personnel leave the organization, whether through transfer, termination, or change in working status.

## 2.0 Scope

The scope of this procedure includes the steps that management shall take in order to recover state assets and remove access to state resources from personnel during transfer and termination events.

Voluntary termination activities include, but are not limited to:

- Transfer between offices within the same DAS division
- Transfer to a different DAS division
- Transfer to other state agency, board, or commission
- Personnel leaving state government
- Change in the active employment status of an employee

Involuntary termination activities include, but are not limited to:

- Dismissal

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- Layoff
- Administrative leave
- Suspension

The detailed actions that individual business or technical units perform internally to collect state assets and remove access to state resources are outside of the scope of this procedure.

### 3.0 Background

An established and documented exit procedure is necessary to ensure that a clearly defined process exists for collecting state-owned resources and removing access (electronic and physical) to systems and facilities in a timely and consistent manner, as a result of changes in the working status of personnel. The exit procedure is fundamental to maintaining the security of state personnel, data, systems, networks, and facilities.

### 4.0 References

*"DAS/OIT Exit Interview Checklist"*

*"Exit Procedure Contact Information"*

*"Exit Request E-mail Distribution List"*

*"ITP-B.1 Information Security Framework"* (effective date: 3/19/08)

*"ITP-B.3 Password – PIN Security"* (effective date: 3/19/08)

*"ITP-B.5 Remote Access Security"* (effective date: 3/19/08)

### 5.0 Procedure

A change in the working status of an employee triggers the initiation of the exit procedure.

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### ***5.1 Termination Activities***

Management must notify the Human Resources Coordinator (HRC) for their program area upon receiving a personnel termination request. The HRC shall document the receipt of the request and forward an electronic copy of the “*DAS/OIT Exit Interview Checklist*” document to management. Depending on the nature of the termination event (voluntary or involuntary), management shall follow the corresponding steps below to ensure timely and consistent completion of all exit procedure activities.

- 1.) Complete the general information section of the “*DAS/OIT Exit Interview Checklist*”.
- 2.) Collect all state-owned assets (software, hardware, cell phones, USB flash drives, PDAs, etc.), as well as any state-owned information that is stored on various forms of electronic or non-electronic media.

#### ***Voluntary Termination Activities***

- a. The HRC shall provide the Office of Employee Services (OES) with a list of state-owned assets that are assigned to the employee. OES shall distribute an electronic communication to the personnel notifying them that they must return all state-owned assets to their manager. As assets are collected, management shall update the asset collection section of the “*DAS/OIT Exit Interview Checklist*”. In addition, management shall schedule a meeting to review the process for obtaining state records from personnel. This meeting shall be scheduled to occur no later than three (3) business days after receipt of the voluntary personnel termination request. Depending on the scope of the responsibilities of the personnel, this process may take several business days to complete.

#### ***Involuntary Termination Activities***

- a. Management shall notify the terminated personnel and inform them that they must immediately return all state-owned assets. In cases where an employee has been out of the workplace for an extended period of time prior to termination, the OES shall notify the employee and inform them that they must immediately return all state-owned assets.
  - b. As assets are collected, management shall update the asset collection section of the “*DAS/OIT Exit Interview Checklist*”.
- 3.) Notify potentially impacted business units outlined in: *Table 1 - Exit Procedure Business Units* of the upcoming termination activity.

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### ***Voluntary Termination Activities***

- a. Management shall create and distribute an electronic Voluntary Termination Exit Procedure Request communication to the *“Exit Request E-mail Distribution List”*, which contains the information shown in: *10.1 Voluntary Termination Exit Procedure Request*.

At a minimum, the *“Exit Request E-mail Distribution List”* shall contain Business Unit Management Representatives from each of the business units outlined in *Table 1 - Exit Procedure Business Units*. This table provides a brief description of the responsibilities for each business unit. Additional contact information for each business unit can be found in the *“Exit Procedure Contact Information”* document.

Upon receipt of the Voluntary Termination Exit Procedure Request, each Business Unit Management Representative (see *Table 1 - Exit Procedure Business Units*) shall assign a Business Unit Exit Event Owner. The Business Unit Exit Event Owner is a resource within the business unit that is responsible for completing access termination exit procedure related activities. These activities include, but are not limited to, providing periodic status updates to management and generating confirmation notification records.

Confirmation notification records are official artifacts (e-mail message, screen shot, attachment, electronic/paper log document, etc.) that validate that specific access termination exit procedure activities have been completed. As confirmation notification records are received, management is responsible for updating the access termination section of the *“DAS/OIT Exit Interview Checklist”*.

Once all of the asset collection and access termination activities in the checklist are completed, management shall return the completed *“DAS/OIT Exit Interview Checklist”* document to the HRC on or before the last day of employment. The *“DAS/OIT Exit Interview Checklist”* document serves as the quality record for tracking and ensuring compliance with the exit procedure.

### ***Involuntary Termination Activities***

- a. Upon notification of an involuntary termination activity, management shall directly contact the Business Unit Management Representatives from each potentially impacted business unit (see *Table 1 - Exit Procedure Business Units*) to identify Business Unit Exit Event Owners. The Business Unit Exit

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Event Owner is a resource within the business unit that is responsible for completing various access termination exit procedure related activities.

- b. Due to the sensitive nature of an involuntary personnel termination activity, e-mail communications related to the activity should be avoided whenever possible.
- c. As needed, management may request the assistance of the HRC in the coordination of involuntary termination activities. As confirmation notification records are received, management is responsible for updating the access termination section of the *"DAS/OIT Exit Interview Checklist"*.

Once all of the asset collection and access termination activities in the checklist are completed, management shall return the completed *"DAS/OIT Exit Interview Checklist"* document to the HRC. The *"DAS/OIT Exit Interview Checklist"* document serves as the quality record for tracking and ensuring compliance with the exit procedure.

Due to the sensitive nature of an involuntary personnel termination activity, the HRC must immediately verify revocation of all system and network access capabilities as well as physical access capabilities fifteen (15) minutes after notifying the personnel of the termination event.

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<b>Asset Management (AM)</b>	Responsible for ensuring that all physical state assets are returned and inventory information is kept up-to-date.
<b>Building Security</b>	Responsible for deactivating building ID badges and providing escort assistance for visual, hearing or physically impaired personnel.
<b>Human Resources Coordinator (HRC)</b>	Liaison between the initial business units and OES. Responsible for forwarding the DAS/OIT checklists to management and distributing completed checklists to OES.
<b>Information Technology (IT) Services Administrator/Local Area Network (LAN) Manager</b>	Responsible for terminating personnel accounts (domain, e-mail, custom application) and access privileges.
<b>Network Services</b>	Responsible for the deactivation of security/access tokens and general network access (Virtual Private Network (VPN), Dial-up, Wireless).
<b>Office of Employee Services (OES)</b>	Responsible for initiating involuntary termination activities. Responsible for maintaining repository of completed <i>"DAS/OIT Exit Interview Checklist"</i> documents.
<b>Telephone Coordinator</b>	Responsible for making necessary changes to phone service and voicemail.

**Table 1 - Exit Procedure Business Units**

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### 6.0 Related Policies or Procedures

*ASAP Manual*

### 7.0 Definitions

**ASAP (Agency-Wide Safety/Security Action Plan)** - This Ohio DAS manual describes emergency and disaster recovery procedures and plans. It also contains high-level sections regarding Information Security and appropriate Internet Use.

**Business Unit** – For the purposes of this procedure, business units are defined as areas that are responsible for performing one or more functions that are required as part of the asset collection or access termination activities.

**Business Unit Exit Event Owner** - For the purposes of this procedure, Business Unit Exit Event Owners are resources within a business unit that are responsible for completing all exit procedure access termination activities. These activities include, but are not limited to, providing periodic status updates to management and generating confirmation notification records.

**Business Unit Management Representative** - For the purposes of this procedure, Business Unit Management Representatives are resources within a business unit who are responsible for assigning business unit exit event owners to complete various exit procedure access termination activities.

**Confirmation Notification Records** - Official artifacts (e-mail message, screen shot, attachment, electronic/paper log document, etc.) that validate that specific asset collection or access termination exit procedure activities have been completed by the Business Unit Exit Event Owner.

**Employees** – For the purposes of this procedure, employees are defined as all employees and representatives of DAS, whether they are permanent staff or temporary staff.

**Human Resources Coordinator (HRC)** – For the purposes of this procedure, the HRC refers to the Human Resources Coordinator of each DAS division.

**Involuntary Termination** – Dismissal for cause of a bargaining unit or classified employee; or when the employer ends the employment relationship with unclassified staff for any lawful reason.

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**Management** – For the purposes of this procedure, management refers to supervisory staff responsible for the completion of activities to fulfill the mission of DAS. If Position A is shown as subordinate to Position B on the Table of Organization, then Position B is supervisory in nature for the purposes of this procedure. If the supervisor in Position B is unavailable and is subordinate to Position C, Position C shall assume the responsibilities of Position B for purposes of this procedure.

**PDA** – Personal Digital Assistant

**Personnel** - For this procedure, the term “personnel” refers to employees.

**USB** – Universal Serial Bus

**Voluntary Termination** – Disability retirement, disability separation, resignation or retirement.

### 8.0 Inquiries

Direct inquiries about this procedure to:

DAS Office of Employee Services

Telephone: 614-466-2136

Email: n/a

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## 9.0 Revision History

Date	Description
05/18/2009	New procedure

## 10.0 Attachments

### ***10.1 Voluntary Termination Exit Procedure Request***

**Subject:** Voluntary Termination Exit Procedure Request – “*Employee Name*”

**Name** – Name of the employee

**Supervisor’s Name** – Name of the supervisor/manager of the employee

**Request Date and Time** – Date and time when the exit request was initiated

**Request Completion Date** – Value that is equal to the separation date

**Separation Date** – Last date that the employee will be employed in their current position



# DAS/OIT EXIT INTERVIEW CHECKLIST

DAS/OIT supervisors must complete this form for DAS/OIT employees who are separating employment from DAS/OIT or transferring to another division. Upon completion and upon signature of both supervisor and employee, submit this form to your division's employee relations officer/Office of Employee Services. An employee's final paycheck will be contingent upon submission of the Exit Interview Checklist.

## GENERAL INFORMATION

Date: \_\_\_\_\_ Employee's name: \_\_\_\_\_

Supervisor's name: \_\_\_\_\_

Division/Office: \_\_\_\_\_

Separation date: \_\_\_\_\_

Employee is (check one):

- Transferring to another office in the same DAS/OIT division
- Transferring to another DAS/OIT division
- Transferring to another state agency, board or commission
- Leaving state government

## ASSET INVENTORY

Has the employee returned:	Yes	No	N/A
Building I.D. badge	_____	_____	_____
Security/access badges	_____	_____	_____
Keys	_____	_____	_____
Pager	_____	_____	_____
Cell Phone	_____	_____	_____
Blackberry	_____	_____	_____
Thumb drive	_____	_____	_____
Laptop computer	_____	_____	_____
Secure ID token	_____	_____	_____
ASAP Binder	_____	_____	_____
Other (Applications) _____	_____	_____	_____

Meeting was held to obtain public records from the employee on MEETING DATE: \_\_\_\_\_

Is this employee:	Yes	No
A Floor Warden	_____	_____
An Essential Employee - Weather	_____	_____
An Essential Employee - Disaster	_____	_____
Visually, hearing, or physically impaired	_____	_____

## ACCESS TERMINATION

Have the following officials been contacted (attach copy of e-mails to this form):

- IT Services administrator/LAN manager to terminate accounts and access privileges
- Administrator for the Office of Employee Services to revoke OAKS HCM access (if applicable)
- Administrator for the Office of Finance to revoke OAKS FIN access (if applicable)
- Telephone Coordinator to make necessary changes in phone service, voicemail, etc.
- Your Division FAMS manager to ensure all equipment is returned.
- Building Security of this employee's departure (if visually, hearing, or physically impaired)?

If the employee is transferring to another agency or leaving state government, did you, as supervisor, ensure this employee has a scheduled exit interview appointment to meet with the division's employee relations officer and/or the DAS Office of Employee Services? Important benefit information and separation documentation are reviewed with the employee at this meeting. MEETING DATE/TIME: \_\_\_\_\_

Please return this completed form to your Employee Relations Officer/Office of Employee Services.

Supervisor signature \_\_\_\_\_ date \_\_\_\_\_ Employee signature \_\_\_\_\_ date \_\_\_\_\_