



# Operating Procedure

<b>Effective Date</b> December 1, 2017	<b>Number</b> 175.1
<b>Amended</b> 4/1/19	<b>Operating Level</b> Department
<b>Supersedes</b> Operating Procedure 175.1 (11/1/14)	
<b>Authority</b> COV §53.1-10, §2.2-2900 et seq. Virginia Personnel Act, §53.1-10	
<b>ACA/PREA Standards</b> 4-4048; 4-ACRS-7E-07; 4-APPFS-3E-02; 2-CO-1C-01, 1-CTA-1C-01	
<b>Office of Primary Responsibility</b> Human Resources Director	

**Subject**  
**EMPLOYEE SEPARATIONS**

<b>Incarcerated Offender Access</b> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	<b>Public Access</b> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> <b>Attachments</b> Yes <input checked="" type="checkbox"/> #2 No <input type="checkbox"/>
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## I. PURPOSE

This operating procedure establishes guidance for managing and reporting employee separations from Department of Corrections employment through retirement, resignation, and removal. (4-4048, 4-ACRS-7E-07, 4-APPFS-3E-02; 2-CO-1C-01, 1-CTA-1C-01) Provision is made to gather information from departing employees for use in improving DOC operations and employee retention.

## II. COMPLIANCE

This operating procedure applies to all units operated by the Department of Corrections (DOC). Practices and procedures shall comply with applicable State and Federal laws and regulations, Board of Corrections policies and regulations, ACA standards, PREA standards, and DOC directives and operating procedures.

## III. DEFINITIONS

**Appointing Authority** - The Organizational Unit Head or the next level of supervision above the Organizational Unit Head, if the Organizational Unit Head position is vacant; this is the person who must give final approval for the selection. This authority may be delegated down the chain of command to the immediate supervisor.

**Corrections Officer** - A duly sworn employee of the Department of Corrections whose normal duties relate to maintaining immediate control, supervision, and custody of prisoners confined in any state correctional facility; includes all uniformed security staff. (COV §53.1-1)

**Organizational Unit** - A DOC unit, such as a correctional facility, regional office, probation and parole office, Virginia Correctional Enterprises (VCE), Academy for Staff Development, Corrections Construction Unit, Agribusiness Unit, and individual headquarters unit (i.e. Human Resources, Offender Management, Internal Audit)

**Organizational Unit Head** - The person occupying the highest position in a DOC organizational unit

**Organizational Work Unit** - The separate and distinct area of responsibility within the organizational unit

**Removal** - Involuntarily leaving service with the DOC for reasons other than voluntary resignation, **layoff**, or retirement (changed 4/1/19)

**Resignation** - Voluntarily leaving Virginia State service while employed with the DOC

**Retirement** - Leaving service with the DOC upon reaching an eligible age and amount of State service or because of a disability

**Separation** - Voluntarily or involuntarily leaving state service ~~because of~~; types of separation include resignation, ~~(both voluntary and involuntary)~~, removal, layoff, or retirement.

**Termination** - A disciplinary, removal action

**Transfer Out** - Voluntarily leaving DOC to be employed with another Virginia State agency

## IV. PROCEDURE

A. Resignation

1. Proper Notice
  - a. An employee is expected to submit a written notice of resignation or transfer out at least two weeks in advance of the expected date of separation. Unless leave has been preapproved, employees must continue work for DOC up until the date of their resignation or transfer out.
  - b. The supervisor shall not influence an employee as to the content of the notice.
  - c. Unit Heads may waive the two-week notice requirement. If they do so, notation to that effect should be made in the employee's personnel file and in the Personnel Management Information System (PMIS) record.
2. Re-employment
  - a. Employees who fail to give the required two weeks written notice of resignation without a waiver from the Unit Head may be denied future employment for this reason.
    - i. Mitigating circumstances surrounding the separation should be evaluated and considered.
    - ii. Human Resources should be consulted regarding mitigating circumstances or denial of future employment.
  - b. Employees, who are terminated, **resign in lieu of termination**, resign while disciplinary action is pending, or resign while an investigation is being conducted will not be eligible for re-employment with the Department of Corrections. (changed 4/1/19)
    - i. These conditions should be noted in the personnel file and in the PMIS record.
    - ii. The employee must be notified of these conditions in writing as soon as possible after their separation or termination.
  - c. Senior DOC management (Regional Administrator or above) must review and approve any re-employment. In addition, the Director or designee shall provide final approval for rehire of employees who are terminated, **resign in lieu of termination**, resign while disciplinary action is pending, or resign while an investigation into their activities is being conducted. (changed 4/1/19)
  - d. Rehire of a State employee must be in strict compliance with state and federal regulations.
    - i. The Affordable Care Act requires a separation period of at least 13 weeks if an employee retires or separates from full-time or quasi-full-time position and returns to work for the same employer (i.e. the same state agency) into a wage position.
    - ii. If an employee retires or separates from a full-time or quasi-full-time position and returns to a wage position at different state agency, a separation period of at least 30 days (one calendar month) is required.
    - iii. Specific guidelines related to a retiree returning to work can be found in the Virginia Retirement System (VRS) manual or on their website, [www.varetire.org](http://www.varetire.org).
3. Withdrawal of Resignation
  - a. An employee who has submitted a resignation notice may, with the approval of the appointing authority, withdraw the resignation and continue in their position as though the resignation had not been filed.
  - b. The employee must submit a written request **to the appointing authority** for authorization to withdraw the resignation within 30 days of the effective date of resignation provided the position has not been filled or abolished. (changed 4/1/19)

## B. Retirement

1. Unreduced Retirement
  - a. Plan 1 members (employees hired before 7/1/2010 and vested as of 1/1/2013) are eligible for unreduced retirement benefits at age 50 with at least 30 years of creditable service or at age 65 with at least five years of creditable service.
  - b. Plan 2 members, (employees hired on or after 7/1/2010 or employees whose membership date is before 7/1/2010 and not vested as of 1/1/2013) are eligible for unreduced retirement benefits beginning at their normal Social Security retirement age with at least 5 years of creditable service,

- or when their age and service equal at least 90.
- c. Hybrid Plan Members (employees hired on or after 1/1/2014) are eligible for full retirement benefits beginning at their normal Social Security retirement age with at least five years of creditable service, or when their age and service equal at least 90. For the defined contribution component, they are eligible to receive distributions upon leaving employment, subject to Internal Revenue Service restrictions.
2. Reduced Retirement
    - a. Plan 1 members are eligible for a reduced retirement at age 50 with at least 10 years of creditable service or at age 55 with at least five years of creditable service.
    - b. Plan 2 members are eligible for reduced retirement at age 60 with at least five years of creditable service.
    - c. Hybrid Plan Members are eligible for a reduced retirement at age 60 with at least five years of creditable service. For the defined contribution component, they are eligible to receive distributions upon leaving employment, subject to Internal Revenue Service restrictions.
  3. Unreduced Retirement for Virginia Law Officers' Retirement System (VALORS) Members
    - a. Plan 1 members (employees hired before 7/1/2010 and vested as of 1/1/2013) are eligible for unreduced retirement benefits at age 50 with 25 years of creditable service or age 60 with at least five years of creditable service.
    - b. Plan 2 members (employees hired on or after 7/1/2010 or employees whose membership date is before 7/1/2010 and not vested as of 1/1/2013) are eligible for unreduced retirement benefits at age 60 with at least five years of creditable service or age 50 with at least 25 years of creditable service.
  4. Reduced Retirement for Virginia Law Officers' Retirement System (VALORS) Members - Plan 1 and 2 members are eligible for early retirement at age 50 with five years of creditable service.
  5. Employees who submit an *Application for Retirement* are deemed to have submitted a resignation notice effective that date. An *Application for Retirement* can be withdrawn as for *Withdrawal of Resignation* above.
  6. Disability Retirement
    - a. Employees under the traditional sick leave program (i.e. who are not covered by VSDP ([Virginia Sickness and Disability Program](#))) are eligible for disability retirement for permanent disability regardless of age based on the rules of the Virginia Retirement System.
    - b. Employees who are covered by VSDP are covered by the state rules governing long term disability (LTD) and will continue to accrue service credits while on long term disability.
      - i. Employees hired before July 1, 2009 are eligible for non-work related disability coverage upon employment.
      - ii. Employees hired on or after July 1, 2009 are eligible for non-work related disability coverage after 1 year of continuous employment.
      - iii. Employees on non-work related LTD can retire when they meet the age and service requirements for their plan.
    - c. Retirement resulting from work-related disability is available regardless of years of service.
  7. Retirement Counseling
    - a. Counseling on retirement benefits and eligibility is available through the institutional Human Resource Office for institutional employees.
    - b. The Human Resource Unit at DOC Headquarters provides retirement counseling for all other organizational units.
    - c. The [Virginia Retirement System](#) holds periodic seminars that employees may, with the supervisor's approval, use work time to attend.

### C. Removals

1. Removal of probationary employees shall be in accordance with Operating Procedure 145.1, *Probationary Period*.
2. Removal of employees for unsatisfactory performance or disciplinary reasons shall be conducted in accordance with the Department of Human Resource Management (DHRM) Policies 1.60 - *Standards of Conduct*, 1.40 - *Performance Planning and Evaluation*, and 1.70 - *Termination/ Separation from State Service*, Operating Procedure 145.2, *Employee Performance Management, relating to performance appraisals* and Operating Procedure 135.1 *Standards of Conduct*. (changed 4/1/19)
3. Removal of employees because of layoff or reduction in workforce shall be in accordance with DHRM Policy 1.30 - *Layoff and* Operating Procedure 175.2 *Layoffs and Reduction in Workforce*. (changed 4/1/19)

### D. Reporting Separations

1. Supervisors shall report all separations to their Human Resource Office no later than the next working day following receipt of notice of separation or employee's physical absence with verbal intent not to return. Copies of the employee's written resignation or documentation of a verbal resignation should be provided for placement in the personnel file.
2. Supervisors should review, update, and initial the [Computer Application Access Checklist](#) 145\_F7 with the employee prior to their departure.
3. Supervisors should request as far in advance as possible that all access to applications be disabled no later than 3 working days after the employee's departure. (changed 4/1/19)
4. Upon receipt of proper notification, the Human Resource Office shall be responsible for taking proper steps to remove the employee from the active employee records.
  - a. Notify CTSU Security to DISABLE Windows User accounts/passwords and any applications software access using a [Windows User Account Request](#) 310\_F2.
  - b. Update employee database with the date 12 months after their departure to submit a request to CTSU Security to DELETE Windows User accounts/passwords and any applications software access.
5. The Human Resource Office shall immediately notify the payroll office, in writing, to remove the employee.
6. The [Employee Separation Checklist](#) 175\_F1 and [Employee Separation Checklist- Human Resources](#) 175\_F2 must be completed immediately to ensure all separation issues regarding the employee have been addressed. Human Resources should be notified of any outstanding checklist items as soon as possible so appropriate payroll deductions can be processed.

### E. Exit Interview - When appropriate, an exit interview shall be conducted with each separating employee.

#### 1. Verbal Exit Interviews

- a. Verbal exit interviews are strongly encouraged and must be offered to each employee who is voluntarily separating from the Department before the employee's last day of work. The separating employee should be told that the verbal exit interview is voluntary.
- b. The employee's Human Resources Officer (HRO) or other designee from Human Resources staff will conduct exit interviews with separating employees to explore reasons why they are leaving, the quality of the work environment, and to determine if there was dissatisfaction with employment at their unit.
  - i. The HRO or other designee from Human Resources staff should conduct the verbal exit interviews using the [Employee Exit Interview Questions](#) 175\_F3, and is responsible for all the proper maintenance and handling of all documentation from the exit interviews. Any allegation of safety or welfare concerns for staff or offenders, security violations, or gross

- misconduct shall be reported to the organizational unit head.
- ii. If legitimate concerns are noted, the organizational unit head will address the concerns with the management team, or make changes that will respond to the issues.
2. Electronic Exit Survey
    - a. Electronic exit surveys will be voluntary and confidential.
      - i. All ranks of Corrections Officers who leave employment with the DOC either voluntarily or involuntarily or who are transitioned to a position other than Corrections Officer are eligible to participate.
      - ii. Other employees who leave employment with the DOC on a voluntary or involuntary basis are eligible to participate.
    - b. The Human Resources Officer, organizational unit head, or designee must offer electronic exit surveys to eligible employees leaving employment with the DOC.
      - i. All ranks of Corrections Officers who are leaving or transitioning to a position other than Corrections Officer shall be provided the *Corrections Officer Exit and Transfer Survey: Instructions* (see Attachment 2) as an explanation of the survey purpose and process.
      - ii. Other employees who are leaving the Department shall be provided the *Exit Survey Instructions* (see Attachment 1) as an explanation of the survey purpose and process.
      - iii. The surveys will be accessed through a confidential online survey tool.
        - (a) Employees with active computer accounts should be provided the opportunity to complete the exit survey prior to their departure from the work site.
        - (b) Employees without active computer accounts should be provided information on how to access the survey tool off site.
        - (c) Technical assistance will be provided as requested by the employee utilizing the online survey tool at a DOC site. Phone support will be provided as requested if the employee uses the survey tool offsite.
    - c. Eligible employees not wishing to participate in the exit survey should be offered, at a minimum, a verbal exit interview.
  3. Data Analysis and Reporting
    - a. All exit surveys will be reviewed for content by Human Resources staff designated by the Human Resources Director. Any allegation of safety or welfare concerns for staff or offenders, security violations, or gross misconduct will be reported to the Human Resources Director.
    - b. Data from exit surveys will be compiled and analyzed by Human Resources staff designated by the Human Resources Director. A summary of responses will be provided to management in a manner that ensures an individual's privacy and confidentiality.
    - c. The Human Resources Director will provide a written summary of exit survey trends to the Director, members of the Executive Team, and DOC organizational unit heads upon written request.

## V. REFERENCES

- DHRM Policy 1.30 - *Layoff* (added 4/1/19)  
DHRM Policy 1.40 - *Performance Planning and Evaluation* (added 4/1/19)  
DHRM Policy 1.60 - *Standards of Conduct* (added 4/1/19)  
DHRM Policy 1.70 - *Termination/Separation from State Service* (added 4/1/19)  
Operating Procedure 135.1 *Standards of Conduct*  
Operating Procedure 145.1 *Probationary Period*  
Operating Procedure 175.2 *Layoffs and Reduction in Workforce*

VI. FORM CITATIONS

[Computer Application Access Checklist](#) 145\_F7

[Employee Separation Checklist](#) 175\_F1

[Employee Separation Checklist- Human Resources](#) 175\_F2

[Employee Exit Interview Questions](#) 175\_F3

[Windows User Account Request](#) 310\_F2

VII. REVIEW DATE

The office of primary responsibility shall review this operating procedure annually and re-write it no later than three years after the effective date.

*The office of primary responsibility reviewed this operating procedure in December 2018 and necessary changes have been made.*

*Signature Copy on File*

*10/10/17*

N. H. Scott, Deputy Director for Administration

Date