Staff exit controls

From report 3: 2021/22 – Staff Exit Controls

Office of the Auditor General
Serving the Public Interest

Key requirements	
Assess and mitigate risks posed by exiting staff	Entities should assess the security implication and other risks posed by the exiting staff member. Exiting staff can include those leaving voluntarily or terminated for misconduct or other adverse reasons. So, an assessment should include: • reason for leaving (resignation, retirement, transfer to another entity and termination for corruption or misconduct) • level of access to key IT systems and entity premises • access to confidential or secret information • position within the entity and level of delegated authority • financial delegations and purchasing card limit • assigned assets (vehicles, mobile phones, laptops etc.).
Collect all entity owned property	Entities should maintain an up-to-date register of all assets and property issued to staff from when they start and during their employment with the entity. Using information on the register ensures that all entity owned property is returned when staff leave. These include but are not limited to: • identification badges and name tags • office, cabinet and safe keys • access security passes, swipe cards • computer and other IT equipment - laptop, iPad, storage devices, wireless mouse and keyboards • mobile phone and charger • vehicles, keys, fuel cards and logbooks • cab charges. Where access passes and keys are not returned entities should take immediate action to cancel access passes, reprogram or change locks.
Cancel all access to premises and IT systems	Entities should ensure that exiting staff have their access to entity premises and information systems withdrawn or cancelled immediately when staff leave. This includes: • building (including carpark) access • computer login and network access • access to third party systems that they only have as a result of their employment • email address • voicemail • remote access • corporate memberships.
Prevent overpayments and recover debt owed	Entities should ensure that they meet their responsibility to recover overpayments and rectify underpayments, while considering the needs and special circumstances of employees. Timely review of payroll information will reduce the likelihood of errors. Overpayments can also be prevented by checking employee leave balances before approval and avoiding late changes to booked leave or working arrangements where possible. Where overpayments occur entities need to make timely payment arrangements in line with section 17D of the *Minimum Conditions of Employment Act 1993*.

Key requirements	
Issue reminder of ongoing obligations	Entities should ensure that all exiting staff especially those with access to sensitive or classified information are advised and acknowledge their obligation not to disclose entity information even after they leave. This helps safeguard entity resources and limit potential for the integrity, availability and confidentiality of sensitive information to be compromised.
Offer exit interview	Entities should offer exiting staff the option of an exit interview. This can be a structured discussion or survey to gauge their perception of working in the entity. Entities should also collate the data, report internally and where relevant act on the findings. Information from exit interviews can help entities assess organisational strengths and vulnerabilities and target workforce management strategies to drive attraction, retention and performance.
Regularly monitor and review staff exit processes	Entities should periodically review staff exits to ensure that they comply with: • entity policies and procedures • better practice.

Source: OAG, using the Australian Public Service Commission Information[1] and Australian Government, Protective Security Policy Framework[2]

[1] Australian Public Service Commission- Example employee exit checklist https://legacy.apsc.gov.au/checklistexample-employee-exit-checklist

[2] The Protective Security Policy Framework https://www.protectivesecurity.gov.au/