A Guide to Employment Separation
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Introduction
This guidance document is written to support the Employment Separation processes within the University of Edinburgh. Employment separation processes are those that relate to employees leaving the university through resignation; terminations; internal transfers to a non-advertised post; retirement; the end of a fixed term contract or secondments; TUPE out; or are subject to involuntary severance.

The guidance is written by stage in the process and with the key roles involved in the process in mind. The responsibilities of a Line Manager, and School or Department Administrator may vary in this process between Colleges, Schools and Professional Service Group Departments. Line Managers should contact their local support team to understand the process and responsibilities within their own area.

For example, a School or Department Administrator could be performing tasks in the process of a Line Manager and where there is overlap, this is shown.

Glossary

<table>
<thead>
<tr>
<th>P&amp;M</th>
<th>People and Money</th>
</tr>
</thead>
<tbody>
<tr>
<td>Redundancy</td>
<td>Redundancy is a form of termination of employment, which results from the need to reduce the workforce. Reasons for this could include: - the job you were employed to do no longer exists. This could be because of funding restrictions, or the post was created for a particular time-restricted project. - the area in which you work is restructuring or closing down.</td>
</tr>
<tr>
<td>End of Fixed Term contract</td>
<td>A form of termination of employment, when there is the non-renewal of a Fixed Term contract. The University outlines the valid, justifiable and acceptable reasons for the use of fixed-term contracts in the document on Fixed Term Reason Codes</td>
</tr>
<tr>
<td>RTI</td>
<td>Real Time Information – the process where Payroll reports PAYE to HMRC each time they pay their employees, rather than annually.</td>
</tr>
<tr>
<td>TUPE Out</td>
<td>The termination of employees who transfer from the University to another organisation under TUPE (Transfer of Undertakings) regulations.</td>
</tr>
</tbody>
</table>
End to End Process Map

Please see the end to end process map for employment separation.
<table>
<thead>
<tr>
<th>Role</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Employee</strong></td>
<td>All employees of the University</td>
</tr>
<tr>
<td><strong>Line manager (LM)</strong></td>
<td>All members of staff that have direct or matrix style management responsibilities for other members of university staff. Only direct line manages can undertake these processes.</td>
</tr>
<tr>
<td><strong>School/ Department Administrator (SDA)</strong></td>
<td>School/Department Administrators provide support to line manager and employees in their School/Department.</td>
</tr>
<tr>
<td><strong>HR Advisor</strong></td>
<td>HR Advisors and Heads of HR supporting managers with employee relations issues and provide professional HR advice</td>
</tr>
<tr>
<td><strong>HR Operations (HR Ops)</strong></td>
<td>The HR Operations team are responsible for providing an effective and efficient HR service to employees and managers. They process transactions using People and Money e.g. terminations</td>
</tr>
<tr>
<td><strong>HR systems</strong></td>
<td>HR Systems Administrators are the designated super users of the People and Money system.</td>
</tr>
<tr>
<td><strong>Employee Relations &amp; Employment Policy team</strong></td>
<td>HR specialist team who deal with Employee Relations and update and communicate changes to HR polices. They are involved in the redundancy process producing and analysing data for the SCCRA (Standing Consultative Committee for Redundancy Avoidance). They also oversee any legislative reporting.</td>
</tr>
<tr>
<td><strong>Payroll</strong></td>
<td>Payroll team members will carry out appropriate actions when an employee leaves the university.</td>
</tr>
<tr>
<td><strong>Pensions</strong></td>
<td>Pensions team members will carry out appropriate actions when an employee leaves the university. The Pensions Office is responsible for administering the University of Edinburgh Staff Benefits Scheme, and for providing information on other pension schemes.</td>
</tr>
<tr>
<td><strong>Occupational Health (OH) professionals</strong></td>
<td>The University’s Occupational Health Service professionals provide an independent, impartial and confidential service to benefit University employees and managers with regard to health concerns or issues. They assess referrals for ill health retirement according to the requirements for ill health retirement as indicated by the pension provider. They decide if support for ill health retirement can be given.</td>
</tr>
</tbody>
</table>
Employee Separation

Before you start

Familiarise yourself with the Leaving the University page which contains information for managers and employees about resigning or retiring from the University. The Pensions page provide details on the university’s pension schemes and retirement. The Occupational Health pages provide details for staff on referrals, occupational ill health reporting and other aspects of support in relation to general health, mental health and travel health.

The date of termination is their last day of employment, which is not necessarily the last working day as they may be taking outstanding annual leave before they leave the University.

The annual leave policy explains how annual leave entitlement is calculated for leavers. Until Phase 2, SDAs/LMs need to provide the balance in the comments section so that HR Ops know what to enter into legacy system. From P2 SDAs/LM will no longer be required to do this. From Phase 2, People and Money will automatically calculate the remaining annual leave entitlement once the leave date has been entered. From Phase 2, any annual leave not taken before the leaving date will automatically be paid. It is vital that all annual leave taken in the year is entered in the system. Here is the Guidance document for Annual leave.

If users have any queries about a stage in this process, they should Search My Knowledge for support in the first instance. Follow the P&M user guide ‘How to search my knowledge’. If they cannot find the information they need they should raise a service request, following the P&M user guide ‘How to raise and maintain a service request enquiry’.

Correspondence and Checklists

Employees receive tailored correspondence automatically generated from People and Money, dependant on the action reason selected. E.g., Employee receives an acceptance of resignation letter. Local areas should not be sending out additional correspondence.

Employees, Line Managers and School/ Department administrators receive different leaver checklists. A full list of the correspondence, checklists, when they are sent and to whom, can be found in the Appendix to the How to Process Terminations guide.
Step 1 - Resignation

The standard process followed when an employee resigns or retires from the University. This is an offline step in the process.

<table>
<thead>
<tr>
<th>Role</th>
<th>Employee</th>
<th>Line Manager</th>
<th>School/Department Administrator (SDA)</th>
</tr>
</thead>
</table>
| Process                       | 1) Employees will provide written confirmation of their resignation and the notice period based on their conditions of service. Employee intending to retire will contact the pensions team 3 months’ before their planned retirement date. If the employee has more than one post at the University, they should confirm which post(s) they are leaving. 2) Discuss and agree last day of employment (which could include weekend) and when any outstanding leave will be taken. Request annual leave in People and Money | 3) Line manager receives written confirmation of resignation from employee 4) Confirm with the employee if they are leaving the post (and remaining with the university) or leaving the university 5) Discuss and agree final working day and when any outstanding leave will be taken. Calculate outstanding annual leave using the annual leave calculator. 6) Approve any agreed annual leave in People and Money to ensure the employee’s final salary payment is accurate. If the employee is leaving your team to take on another assignment at the University (transferring) **DO NOT** process this as a termination, instead contact HR Operations to let them know about the transfer. Typically, the school or department where the employee is taking up the new post will process the transfer as part of the recruitment and onboarding process. | 3) SDA receives written confirmation of resignation from employee (or from LM on behalf of employee). Follow the steps in the SDA checklist, namely:  
- Inform manager (by email). Await for confirmation from the manager and others who may need to be made aware. (e.g. if they are on a grant notify the grant teams)  
- Liaise with the line manager to confirm the employee’s annual leave balance. Calculate outstanding annual leave using the annual leave calculator.  
- Let your local facilities team know that the employee is leaving so that they can carry out local processes such as office/desk allocation or removal of swipe card access.  
- Ensure your local IT team is aware the employee is leaving so that equipment is returned and re-allocated.  
- Make sure your local digital/web team(s) is aware the employee is leaving so that information on web pages, intranets and access to social media accounts can be updated. |
If transferring to another post within the University, need to confirm first day in new post. Work schedule changes would be picked up in the transfer process.

An automated Acceptance of Resignation letter goes to employee when termination is approved - 

- If applicable, ensure your finance or research office is made aware the employee is leaving.
- If the employee is in receipt of a staff scholarship please inform the appropriate contacts.

If the employee is leaving your school/dept. to take on another assignment at the University (transferring) DO NOT process this as a termination.

### Supporting Information

#### Step 2 - Termination

The process of HR Operations being notified of a termination and then terminating the assignment record on People and Money. This includes recording the date of termination, reasons for termination, and any pay adjustments. The date of termination is their last day of employment, which is not necessarily the last working day as they may be taking outstanding annual leave before they leave the University.

If the employee leaving is a Line manager, their LM must decide who will take over the management responsibilities of the leaver and agree this with all parties. (Offline discussion). If the employee leaving is a manager, then the Line manager or SDA should confirm who the new line manager would be by adding detail to the comments section of the Termination screen. HR Operations will populate HESA leaving information against the employee record. This process group also includes the automatic issuing of tailored correspondence to the employee, triggered by the termination action reason and the automatic issuing of leaver checklists (triggered by termination action) to employees, line managers and other relevant parties.
If the person leaving is on an annualised or fractional leave contract, please specify contract type in comments and where it is an annualised contract provide outstanding leave and the number of weeks worked up to the termination date. Where the contract is fractional - provide number of hours worked up to the termination date.

To be used for all terminations including: Resignation, including retirement, ill health, Dismissal, including capability, ill health, conduct, Others, including end of fixed term contracts, redundancy, J & D code, death In service, mutually agreed terminations, Cancellation of hire

<table>
<thead>
<tr>
<th>Role</th>
<th>Line Manager</th>
<th>School/Department Administrator (SDA)</th>
</tr>
</thead>
</table>
| **Process**           | If the employee leaving is a Line manager, their LM must decide who will take over the management responsibilities of the leaver and agree this with all parties. (Offline). They should provide the following information in the comments section of the Termination screen. For each of the leaver’s direct reports, who will take over line management responsibility and when. Note that a leaver may take annual leave before their official leaving date, so LM arrangements may need to be in place before their official termination date, in which case the Line manager could follow the [How to change manager user guide](#).

The LM or SDA follows the [How to process terminations](#) user guide

Upload resignation letter to Document of Record (DoR).

**Supporting Information**

- [How to process terminations](#)
- [How to change manager](#)
- [How to raise and maintain a service request enquiry](#)
- [How to search my knowledge](#)
- [How to search view and upload employee data](#)
- [HR Data Access application](#)
### Step 3 - Review termination and work through off line checklist

<table>
<thead>
<tr>
<th>Role</th>
<th>HR operations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process</td>
<td>HR operations receive termination and work through steps in the <a href="#">HR ops - Terminations checklist</a>.</td>
</tr>
</tbody>
</table>

HR Operations should check when a termination is entered if the leaver has direct reports that have not been reassigned. HR operations should check the resignation letter to ensure the termination date is correct and check with LM or SDA if there is a difference.

If any clarity required from SDA by HR Ops, they will be contacted via email communication.

**Supporting Information**

[HR ops - Terminations checklist](#)

### Step 4 - Checklists

The Appendix in the [How to process termination](#) guide outlines the checklists that are received. These are role specific for Line managers, SDAs and employees.

<table>
<thead>
<tr>
<th>Role</th>
<th>Employee/ Line manager/ SDA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process</td>
<td>Employees, Line managers and SDA will automatically receive the appropriate checklists and should action each step in a timely manner</td>
</tr>
</tbody>
</table>

**Supporting Information**

[How to process terminations](#)
Step 5 - Arrange Exit Interview

The University offers an Exit Interview to employees if they wish to discuss reasons for leaving and provide feedback before they leave. Employees will be offered the opportunity to have an Exit Interview via a checklist item that is triggered by the termination process. An exit interview will be offered to employees leaving the University or an assignment, provided their reason for leaving is not dismissal, death in service, settlement agreement or TUPE out.

Line managers should offer their direct reports the opportunity to have an exit interview before they leave their team or the University. The manager conducting the exit interview will accurately record details of the exit interview on People and Money. The manager conducting the exit interview can be the employee’s line manager, or a senior member of staff in the employee’s school or department. The exit interviewer should decide an appropriate time and location for the exit interview, determine which questions will be asked, conduct the interview, review responses and propose actions (if required). At the beginning of the interview the exit interviewer will let the employee know that the information disclosed will be recorded on the system and that senior managers have access to view the information provided. Any concerning information will be brought to the attention of the Director of Professional Services (or equivalent) offline. They must make sure that the employee is aware of this and agrees to this before they proceed with the exit interview.

<table>
<thead>
<tr>
<th>Role</th>
<th>Line Manager</th>
<th>School/Department Administrator (SDA)</th>
<th>Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process</td>
<td>Line Manager receives a checklist item (which should be responded to) asking them to check whether the employee would like to have a face-to-face exit interview. Manager (or senior manager in the department) allocates checklist to be completed by both manager and employee. Manager arranges the meeting (offline)</td>
<td></td>
<td>Employee will receive a checklist item (FYI) which states they should contact their manager (or other snr manager) if they wish to have a face-to-face exit interview.</td>
</tr>
</tbody>
</table>

Supporting Information
Step 6 - Conduct Exit Interview

<table>
<thead>
<tr>
<th>Role</th>
<th>Line Manager</th>
<th>School/Department Administrator (SDA)</th>
<th>Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process</td>
<td>Manager and employee meet and complete the checklist together throughout the meeting.</td>
<td></td>
<td>Manager and employee meet and complete the checklist together throughout the meeting.</td>
</tr>
<tr>
<td>Supporting Information</td>
<td>Reverse Terminations</td>
<td>A line manager has already completed the Termination screen to instruct the termination of one of their direct reports, but due to further discussion the date of termination has changed</td>
<td></td>
</tr>
<tr>
<td></td>
<td>A line manager has already completed the Termination screen to instruct the termination of one of their direct reports, but for a variety of reasons the employee is no longer leaving</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>An employee is transferring to another post after a termination has been processed</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
• An employee is being extended after a termination has been processed.

In the first two instances, a line manager will initiate this process by raising a service request. In the other two, HR Operations will pick up the existing termination while carrying out other processes, and follow some steps in this process. If HR Operations need to perform a reverse termination after the payroll has run they must contact Payroll first to check that it is okay to do so.

This process will occur at regular intervals, due to the nature of late funding approvals for research specific roles.

As part of the Good Work Plan, which came into effect in April 2020, an employee who has left the university for a week or less, and is then hired into the same role should have their termination reversed so there is no break in service. They should inherit the continuous service start date from their previous employment. The continuous service/seniority start date on the assignment should be the same as the hire date, but the employee's seniority date (recorded at person level) should be the date they commenced employment in their previous role if break is less than one week.

If the employee has more than one assignment, then the reverse termination process needs to be completed for each assignment if the termination needs to be amended.

Terminations cannot be reversed once P45/RTI processes have been concluded. In that situation, employees must be processed as a rehire and they will be given a new assignment continuous service start date and a new assignment number.

**Step 1 - Raise a Service request to reverse or correct a termination**

<table>
<thead>
<tr>
<th>Role</th>
<th>Line Manager</th>
<th>School/Department Administrator (SDA)</th>
<th>HR Operations</th>
<th>Payroll</th>
<th>HR Systems</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process</td>
<td>Line Manager raises an SR - ‘Reverse or Correct a Termination’ to request that a termination is reversed or corrected.</td>
<td>SDA raises an SR - ‘Reverse or Correct a Termination’ to request that a termination is reversed or corrected.</td>
<td>HR Operations get in touch with the Payroll team to check whether it is possible to proceed. If ok to proceed, HR Ops correct termination and update SR to resolve.</td>
<td>If needed update continuous service/seniority start date on record – termination could not be reversed.</td>
<td></td>
</tr>
</tbody>
</table>
If payroll has, run then HR Ops need to process as a rehire.

Required that the continuous service/seniority start date on record needs to be corrected (termination could not be reversed) re-assign SR to HR Systems queue.

**Supporting Information**

*HR ops - How to reverse or correct a termination*

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**Reference Requests**

Reference requests include requests from prospective employers, banks, mortgage providers, letting agencies and any other finance provider looking for confirmation of an employee’s salary and employment status. This process is used in any instance of a reference request being received at the University or where employees themselves require the same documentation, e.g. employees who require confirmation of employment for visa applications. To be used in any instance of a reference request being received, whether by a line manager, SDA or HR.

The University of Edinburgh (HR Operations) will provide a standard factual reference, which include only Name, Job title, start and end dates of employment. Line managers or SDAs will no longer need to complete references, unless in a personal capacity. If Line manager or SDA is approached to give a reference on behalf of an ex-employee, they should state "They are providing this reference in a personal capacity and that it does not represent the views of the University Of Edinburgh".

Completed reference requests are not required to be retained on employee record.
## Step 1 - Raise Service Request

<table>
<thead>
<tr>
<th>Role</th>
<th>Line Manager</th>
<th>School/Department Administrator (SDA)</th>
<th>Employee</th>
<th>HR Operations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process</td>
<td>Manager, SDA or employee raises service request to instruct HR to respond to request.</td>
<td></td>
<td></td>
<td>Receive SR. They select the appropriate report and employee in Bi publisher. If the Word document does not fully meet the request from external organisation, amend as appropriate (off-line). Once complete convert Word document to PDF (off-line). Mark SR as resolved</td>
</tr>
</tbody>
</table>

### Supporting Information

**Ill Health retirement**

**Before you start**

This covers the situation where an employee is resigning from the University and taking their pension as “retirement due to ill health”. The Flexible retirement process is covered in the [Guide to Job Changes](#).

This process defines the steps required when the Pensions scheme has approved the ill health retiral of an employee. You should always consult your HR advisor prior to undertaking this process. This process documents how HR Operations are notified of retirement due to ill health. If the pension provider declines an application for ill health retiral, the employee can appeal this decision with the pension provider. If the pension provider does not change its decision on appeal, then the University has to terminate the employee’s employment as they have deemed themselves unfit to work by applying for ill health retirement.
## Step 1 - Ill Health Retirement

<table>
<thead>
<tr>
<th>Process</th>
<th>Pensions provider</th>
<th>UoE pensions team</th>
<th>Employee</th>
<th>HR Advisor</th>
<th>Occupational Health (OH) provider</th>
<th>Line manager</th>
<th>HR Operations</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Pension scheme provider has approved ill health retrieval. They notify UoE pension’s team.</td>
<td>2) The Pensions team notify OH, the member and HR Advisor (offline) that scheme has approved ill health retrieval and Pensions suggest an appropriate termination date.</td>
<td>3) Employee receives letter detailing scheme approval and level of benefit and advised that HR will be in touch.</td>
<td>4) HR Advisor notified that scheme has approved ill health retrieval for employee.</td>
<td>4) OH notified that scheme has approved ill health retrieval for employee.</td>
<td></td>
<td>5) Employee and HR Advisor/manager dealing with the case agree a termination date.</td>
<td>5) Employee and HR Advisor/manager dealing with the case agree a termination date.</td>
</tr>
</tbody>
</table>

**Supporting Information**
End of contract

Before you start
This process applies to employees on fixed term contracts or open ended contracts with review dates with less than 24 months’ service who are approaching their end date, as well as employees on secondment (internal, incoming or seconded externally) are nearing the end of their secondment. It relates to actions and decisions required prior to the extension or end of a fixed term contract, funding review date or a secondment. The extension process is covered in the Guide on Job Changes and the Termination process is covered below.

Step 1 - Inform relevant parties of end of fixed term contract/open ended contract with review date or end of secondment

This applies where

- Employees on fixed term contracts due to end in five months’ time (who have less than 24 months service).
- Employees on open-ended contracts with review dates in five months’ time (who have less than 24 months service).
- Employees on secondment that are due to end in five months’ time

Reports are issued to relevant people (Line Managers, SDA and HR Ops) five months before end of contract. The recipient only receives data pertinent to their area of responsibility (i.e. HR Operations- whole organisation, School/Dept. Admin – their School or Department, Line Manager - their Direct reports). Reports are generated and distributed on a monthly basis. Line Managers need to understand the management of the fixed term contract and redundancy processes. They need to be aware of the timelines, impact on the University and impact on the employee experience if they do not extend fixed term contract on time. If a fixed term contract is not extended in time, the employee will receive an auto generated letter telling them that their employment will be terminating on x date.

The report is automatically generated detailing all employees with end dates/review dates/ secondment end dates across the University in next five months sectioned by College/PSG and then sectioned by process employee is following: J&D, < 18 months, >18 months <2 years, >2 years and end of secondment

<table>
<thead>
<tr>
<th>Role</th>
<th>HR Operations</th>
<th>School/Department Administrator</th>
<th>Line manager/ Budget holder</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process</td>
<td>HR Operations run system generated report detailing all</td>
<td>SDA monitors progress offline. SDAs need to speak to research</td>
<td>Line Manager will decide whether they are going to extend or terminate contracts/secondments detailed on report. If</td>
</tr>
</tbody>
</table>

June 2021 v1.0
Employees with end dates/review dates/secondment end dates across the University in next five months. The report is divided up by School/Department and sent to SDA.

Office or award paperwork/external funders/NHS discussions/Finance team to discuss about extensions.

Extending an end date or review date, they will follow the contract amendment process as outlined in the Guide to Job Changes or if the contract/secondment should end then they will follow the termination process.

**Supporting documentation**

**HR ops - End of fixed term and redundancy processes**

**Step 2a - End of Fixed Term Contract less than 18 months**

Employees on FTCs with less than 18 months service will be captured in the standard termination process. This means they will receive tailored correspondence notifying them that their contract is ending on x date along with a leavers checklist to complete before their end date is reached. Line managers will be responsible for notifying HR Operations (or School/Dept. admin) if someone on a FTC of less than 18 months needs an extension or should have their contract terminated.

**Step 2b - End of Fixed Term Contract 18 months to 24 months**

Fixed term contract is ending for employees with length of service between 18 and 24 months. There could be situation that employee contract is subsequently extended in which case the employee will receive communication to advise them of the extension as part of Job Changes process. Where contract is not being extended, the contract will end on the designated date. The line manager/SDA must use the termination app to notify HR Operation to terminate the record.

**Step 2c – Employees (normally students) who are on Fixed Term Contracts with J and D codes**

Where an employee is on J (Student Experience Contract) or D (Training contract) code contract the line manager will decide to either extend the contract or confirm that the contract should end on projected end date. If the contract is ending earlier than expected then line manager/SDA should complete the termination screen. HR Operations will contact the HR Advisor for guidance.

School/Dept. Admin or HR Operations will no longer send J and D code letters to employees, instead they will be auto generated by the system when HR Operations enter the termination on People and Money. Line managers will need to understand the link between J code contracts and an employee’s matriculation status. Please refer to the [Fixed Term Contracts Reasons.doc](#)
A contract is only possible if employee is a matriculated student in most cases. Line managers should contact their SDAs if they need access to information currently held on EULCID system to be able to determine matriculation status of employee.

**Step 2d - End of secondment**

The process for recording the ending of a secondment and reverting the employee back to the pre-secondment arrangement. To be followed when a line manager knows that a secondment arrangement is ending. This could be any type of secondment: internal, incoming or employee seconded externally.

<table>
<thead>
<tr>
<th>Role</th>
<th>Line manager</th>
<th>HR Operations</th>
<th>School/Dept. Admin</th>
<th>Pensions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process</td>
<td>Line Manager raises Service Request – End of Secondment to instruct HR Operations to end secondment request ending of secondment arrangement</td>
<td>Receive SR. They will seek if clarification if required (by email). End secondment as per service request. Increase hours on substantive post (if appropriate) End additional assignment (secondment) Ensure assignment status on substantive post is set to ‘Active – Payroll eligible’ Mark Service Request as resolved.</td>
<td>SDA may also raise the SR to notify HR Ops They will receive a copy of all SRs, in order to complete other arrangements. Assess whether local finance should be aware (any impact on invoicing or salary costings).</td>
<td>Where the Employee is seconded externally, pensions must be notified (offline). Assess any impact and follow appropriate process.</td>
</tr>
</tbody>
</table>

**Supporting documentation**

‘How to raise and maintain a service request enquiry’

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**TUPE Out**

**Before you start**

Processes relating to the termination of employees who transfer from the University to another organisation under TUPE (Transfer of Undertakings) regulations. It describes the activities required to be completed prior to confirming the population of employees who will TUPE transfer out of the organisation. At the University, this is most likely to occur when the Principal Investigator of a research grant resigns in order to work at another institution and staff funded by the grant move with them under TUPE.

**Step 1 - TUPE out Transfer Preparation**
<table>
<thead>
<tr>
<th>Role</th>
<th>Line manager</th>
<th>HR Advisor</th>
<th>Employee</th>
<th>New employer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process</td>
<td>1) Discussion between manager and HR advisor about who is in scope. Contact new employer (recipient organisation) to confirm details</td>
<td>1) Discussion between manager and HR advisor about who is in scope. Contact new employer (recipient organisation) to confirm details</td>
<td>6) Employee receives written confirmation of potential move from manager.</td>
<td>2) HR Advisers contact new employer (offline) to confirm various details, including: transfer date – number of employees transferring, funding sources – agreement to transfer sponsor licence type (if any potential transferee is a skilled worker)</td>
</tr>
<tr>
<td></td>
<td>Contact new employer (recipient organisation) to confirm details</td>
<td>3) Updates centrally held spreadsheet (offline) and informs TUs. Enters details onto central spreadsheet – ‘SCCRA Restructuring Closure Situations – Live Cases’. Informs Trade Unions informally (verbal discussion)</td>
<td>8) Receives formal correspondence from new employer confirming arrangements and measures.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5) Inform and consult with affected employees. Provides written confirmation of changes (as drafted by HR Advisor) to employees</td>
<td>4) HR Advisor drafts correspondence (offline – using standard templates held in shared area) for manager to issue to employees, confirming changes and arrangements.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>7) HR Advisor runs Employee Liability Information (ELI) report to extract the data required to be sent to recipient organisation. - Sends report to new employer electronically as a password protected file, using WinZip.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Step 2 - TUPE out Transfer Process**

In cases where significant numbers of employees are transferring (more than ten), terminations will be actioned via a data load performed by HR Systems Administrators. If any employees are on a Certificate of Sponsorship (CoS), advice should be sought at the earliest opportunity from immigration specialists before deciding whether to proceed with the process or not. A negative outcome of a TUPE out transfer for staff with a CoS may have a significant impact on this process, since the TUPE process may not be able to proceed.
Adjustments for under/over taken annual leave should not be made upon leaving as a result of a TUPE out transfer. Payroll will be notified of TUPE out transfers via reporting. If termination reason is TUPE, payroll should always override system default to pay out annual leave, as employees take annual leave days with them. Payroll should deduct any outstanding loan payments from those leaving due to TUPE in the same way as for other standard terminations. This process does not happen often, but when it does occur it needs to be completed quickly and in conjunction with external organisations, by HR advisory staff and HR Operations team members. Numbers of employees affected in each TUPE case can be as little as one or could be an entire department. Standard template letters will be available to HR Advisors in a shared area.

<table>
<thead>
<tr>
<th>Role</th>
<th>HR Adviser</th>
<th>HR Operations</th>
<th>HR systems</th>
<th>Employee Line Manager School/PSG admin responsible for the area the employee works in</th>
</tr>
</thead>
</table>
| Process                           | 1) Raise service request - ‘TUPE transfer out – request for termination’ requesting terminations (attach ELI spreadsheet) and route to HR Ops | 2) If the request is for the termination of more than 10 employees, HR Operations will forward to HR systems for bulk uploading. | 3) Receives service request. Creates HDL template from data supplied. | 9) Action checklist items offline  
If employee’s correspondence preference is set to ‘paper’ then system automatically sends checklist for employee to their line manager to print off and give to employee. |
|                                   | 12) Checks raw files and removes or redacts any documentation as appropriate. If employee is on CoS, seek advice from immigration team | 5) Terminate records on People and Money using offline checklist                           | 4) Terminate via HDL                                                          |                                                                                         |
|                                   | 13) HR Advisor will send files to new employer electronically as a password protected file, using WinZip. | 6) Mark SR as resolved                                                                   | 10) Extract Employee Files                                                   |                                                                                         |
|                                   |                                                                             | 7) System generates appropriate checklists and updates weekly leavers report for payroll and pensions. | 11) Sends files to HR Advisor                                                |                                                                                         |
|                                   |                                                                             | 8) Checklist items will go to:                                                           |                                                                            |                                                                                         |
|                                   |                                                                             | • Employee                                                                                |                                                                            |                                                                                         |
|                                   |                                                                             | • Line Manager School/dept. admin                                                        |                                                                            |                                                                                         |
|                                   |                                                                             |                                                                                         |                                                                            |                                                                                         |

June 2021 v1.0
Redundancy

This section describes the processes that should be followed in a variety of redundancy situations. Employees on fixed term contracts or open-ended contracts with a funding review date, who have 2 years’ service, qualify for various entitlements. Redundancy can also occur because of organisational change.

Before you start

For line managers - Please familiarise yourself with the Redundancy Avoidance Policy, Redundancy – Collective consultation processes and Formal meetings – Guidance for Handling Formal meetings

For employees at risk of redundancy please familiarise yourself with the support for staff at risk of redundancy webpages. This includes policy information Redundancy – Guidance for Employees at Risk of Redundancy, Redundancy – Individual consultation processes, information on how to add your details to the Talent Register and other career transition support at the university.

Notification of “at risk”

This process relates to employees of fixed term contract due to end in 5 months’ time and who have more than 2 years’ service, or employees on open-ended contract with a review date in 5 months’ time who have more than 2 years’ service.

Step 1 - Review report detailing end dates and initiate conversations about end of employment with affected employees (offline)
<table>
<thead>
<tr>
<th>Role</th>
<th>Line manager/SDA</th>
<th>HR Operations</th>
</tr>
</thead>
</table>
| Process         | 1) Review report that details all employees whose contracts are coming to an end or who are on an open ended contract with a review date ending in 5 months’ time and at which point they will have over 2 years’ service. (offline process).  
2) If the contract should be extended, the line manager should follow the contract amendment process (job changes – contract amendment process).  
3) If not, Line manager/SDA sends amended report back to HR ops by email with details of employees who are at risk  
4) Manager receives notification of Early Retirement Funding Charge (ERFC) from HR Operations (offline) | 4) HR operations select “at risk” in the drop down menu  
5) HR ops determine if an early retirement funding charge (ERFC) applies to employee (offline).  
To determine if an ERFC would apply on the termination of an employee’s contract, HR Operations should refer to the ERFC guidance document and answer the following questions:  
Q1. Is reason for termination Redundancy? If no – no further action  
Q2. If Yes, will employee be >50 <60 at date of leaving? If no – no further action  
Q3. If Yes, is employee a contributing member of USS.  
Q4. If Yes, check ERFC Spreadsheet  
Q5. Is employee listed. If yes – is there an ERFC value? Note: If Employee is not listed, this will either be due to: – The timing of the report, i.e. the employee will have joined UoE after the ERFC report was ran, or the employee being on an open-ended contract with no review date. In these instances, HR should contact the Pensions Department (but only if answer to questions Q1, Q2 and Q3 above is “Yes”.  
7) Letters are issued via ‘Additional Assignment Info’ ‘status’ field updated with ‘at risk’ and auto/manual updated as appropriate.  
8) At risk letter is auto generated and sent to employee, letter attached to employee SharePoint record, and SCCRA report is manually updated by HR Ops.  
9) HR1 Report updated if ‘at risk’ correspondence issued to employees on open-ended contracts with review dates. |
### Step 2 – Employee receives notification that “at risk” and consultation meeting held

<table>
<thead>
<tr>
<th>Role</th>
<th>Line manager/SDA</th>
<th>Employee</th>
<th>Pensions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process</td>
<td>1) Notification of ‘at risk’ received 5 months before end date. At risk letter auto generated and sent to employee and copied to LM, letter attached to employee SharePoint record</td>
<td>1) Notification of ‘at risk’ received 5 months before end date. At risk letter auto generated and sent to employee and copied, letter attached to employee SharePoint record and SCCRA report auto updates</td>
<td>5) Pensions establish cost of ERFC for employee and confirm this back to HR Operations.</td>
</tr>
<tr>
<td></td>
<td>4) Hold consultation meeting with employee and take any actions as a result of the meeting(Offline)</td>
<td>2) Employee adds their details to the Talent Register</td>
<td></td>
</tr>
<tr>
<td></td>
<td>6) Manager receives notification of Early Retirement Funding Charge (ERFC) from HR Operations (offline). They should discuss implications with the Budget Holder for their area.</td>
<td>3) Employee contacts local HR partner( should they wish) to arrange a consultation meeting (offline) with line manager and local HR partner to discuss their situation and the potential redundancy. The employee has the right to be accompanied by a Trade Union representative or workplace colleague if they wish.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>4) Hold consultation meeting with line manager (offline)</td>
<td></td>
</tr>
</tbody>
</table>

**Supporting documentation**
- **HR Operations - End of Fixed term and redundancy processes**
- **Support for staff at risk of redundancy**
- **Redeployees**

### Notification of redundancy

This process relates to employees of fixed term contract due to end in five months’ time and who have more than 2 years’ service or employees on open-ended contract with a review date in five months’ time who have more than 2 years’ service. If employee received auto generated ‘at risk’ letter, 2 months later the employee and line manager should receive an auto generated ‘final notice’ letter, 3 months before their end date. This is sent via P&M to the employee and copied to Line Manager.
<table>
<thead>
<tr>
<th>Role</th>
<th>Line manager/SDA</th>
<th>HR Operations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process</td>
<td>1) Review report that details all employees whose contracts are coming to an end or who are on an open ended contract with a review date ending in five months’ time and at which point they will have over 2 years’ service. (offline process). 2) If the contract should be extended, the line manager should follow the contract amendment process as outlined in the Guide to Job Changes. If contract is extended, the SCCRA trend analysis report data is auto updated with outcome of ‘extension’ 3) If not, Line manager/ SDA sends amended report back to HR ops by email with details of employees who should receive final notice. Information is sent to HR Operations as per “How to process terminations”</td>
<td>4) HR operations select the drop down menu on Manage Employment screen to “Final notice” 5) System Automatic report generated detailing those whose length of service is &gt; 2 years in 5 months’ time and those who require combined letters 1 and 2 (excluding J and D codes) e.g. those on the original report minus those who were extended) who should receive final notice correspondence. 6) HR ops notified when report is available (on a monthly basis) 7) Select employees who should receive automatic ‘Final notice letter and update extensible drop down (EFF) to ‘final notice-automatic’. 8) Final redundancy letter or combined letters 1&amp;2 auto generated and sent to manager and the employee and are attached to employee SharePoint record. SCCRA report manually updated</td>
</tr>
</tbody>
</table>

Supporting documentation
“How to process terminations”

Step 2 – Employee receives notification that “final redundancy” and consultation meeting held

<table>
<thead>
<tr>
<th>Role</th>
<th>Line manager/SDA</th>
<th>HR Operations</th>
<th>Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process</td>
<td>1) Final redundancy letter received with notification to manager and employee.</td>
<td>6) Generate correspondence manually, update EFF ‘final notice -</td>
<td>1) Final redundancy letter received with notification to manager and employee. The</td>
</tr>
</tbody>
</table>
The employee MUST receive the letter at least 3 months before end date.

2) Hold consultation meeting with employee and take any actions as a result of the meeting (Offline)

5) Where employee is being redeployed or contract is to be extended they would follow the appropriate process

The employee MUST receive the letter at least 3 months before end date.

2) Hold consultation meeting with employee and take any actions as a result of the meeting (Offline)

5) Where employee is being redeployed or contract is to be extended they would follow the appropriate process

The employee MUST receive the letter at least 3 months before end date.

2) Hold consultation meeting with employee and take any actions as a result of the meeting (Offline)

5) Where employee is being redeployed or contract is to be extended they would follow the appropriate process

3) Employee, manager and local HR partner meet. The employee has the right to be accompanied by a Trade Union representative or workplace colleague if they wish.

4) If the employee wishes to appeal the redundancy decision, they follow the Appeals – Employment Related Appeals. If not in time will follow HR 10.1.1 termination process

Redundancy

This process may apply during periods of organisational change. This can be when:

An employee’s job no longer exists.

Redundancy can occur when the University dismisses an employee because there is no longer a need for the employee’s role. This might be because the University is:

- changing what it does
- doing things in a different way
- changing location or closing down

HR advisors will follow the University’s policies and then notify HR operations using this process.

<table>
<thead>
<tr>
<th>Role</th>
<th>HR Advisor HR Partner</th>
<th>HR Operations</th>
<th>Employee Relations &amp; Employment Policy team</th>
</tr>
</thead>
</table>

Supporting documentation

HR Operations - End of Fixed term and redundancy processes
Support for staff at risk of redundancy
Redeployes
Process

1) HR Advisor following the steps outlined in the relevant policies advises HR Operations of employee status and to produce the required documentation:—
   • Advise HR Ops of those at risk of redundancy
   • Advise HR Ops of those no longer at risk of redundancy and reason e.g. redeployment
   • Advise HR Ops of those who should receive final notice of redundancy
   • Advise HR Ops to draft new/revised contract of employment:
   • Notify HR Ops of termination details
6) HR Advisor receives correspondence and tailors as necessary.
7) The correspondence is then sent to the employee and copied to the Line Manager
8) Update the SCCRA one off restructure/redundancy report. (offline)
9) HR1 report checked at the end of each month and as per legislation outlined in Trade Union and Labour Relations (Consolidation) Act 1992, Part IV, Chapter II, if the number of employees placed at risk is greater than 20 in the upcoming 90 days then the Redundancy Payments Service is notified. Where the number of employees placed at risk is less than 20 in the next 90 days then no further action is required (offline)

2) If employee is put at risk of redundancy this information is updated on the HR1 report.
3) HR Ops updates each employee record on People and Money and produces the relevant correspondence (e.g. at risk, no longer at risk, final notice, new contract of employment). If HR Ops are advised that there is a termination then this follows the standard termination process
4) Update information for SCCRA trend analysis report. (offline)
5) Email correspondence to HR advisor (offline)

Supporting documentation
HR policies and guidance
How to process terminations
HR1 form
## Settlement agreement preparation

This process is normally required when: A resolution to a conflict is required that cannot be resolved by other means. The process is conducted entirely off system; therefore, a detailed systematic execution is not included here. High-level steps are:

- HR Advisor, employee and line manager liaise to agree on settlement agreement
- HR Advisor produces management case and seeks management approval
- HR Advisor drafts settlement agreement documentation from standard template
- Signatures sought from employee and University representatives, any amendments required are made
- Documentation saved in casework section of employee record.

Settlement agreements are legally binding contracts that waive an individual’s rights to make a claim covered by the agreement to an employment tribunal or court.

- The agreement must be in writing.
- They are voluntary.
- They can be offered at any stage of an employment relationship.

The HR advisor inputs the termination into People and Money. HR Operations process the termination. Payroll receive notification any relevant aspects of the settlement agreement. Agreements will not be attached to the termination.

## Dismissal

This process details the information that is required to be submitted to HR Operations in order for them to carry out a termination due to dismissal. The decision to dismiss someone will have already been made as part of processes detailed in HR 12 Employee Support and Engagement – Case management

<table>
<thead>
<tr>
<th>Role</th>
<th>HR Advisor HR Partner</th>
<th>SDA/Line manager</th>
<th>HR Operations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process</td>
<td>• HR Advisor advises line manager to proceed</td>
<td>• SDA/Line manager completes the Termination screen to notify HR Operations.</td>
<td>3) HR Ops receive notification of termination and process as per guidance.</td>
</tr>
</tbody>
</table>
Death in Service
The process of terminating an employee following a death in service.

This process outlines the steps that should be taken in the event of an employee’s death. There should always be flexibility around this given the sensitivities of the situation. The process is conducted offline, and feeds into the standard termination process. There will be no automated checklists or correspondence to employee when the Death in Service reason is used as part of that termination process. Please note: The University’s Death in Service Guidance was updated in 2019, and is the policy guidance, which is referred to in this process map. Since this work was undertaken so recently, it was not considered necessary to re-create process around this.

The process map for Death in Service is conducted entirely off system; therefore, a detailed systematic execution is not included here.

Appendices

Appendix 1 - Subsidiaries
There are three subsidiary companies, Edinburgh University Press, Edinburgh Innovations and Arcadia. Below outlines the scope processes available for employment separation and a breakdown of current levels of adoption of the system across the 3 areas.

<table>
<thead>
<tr>
<th>In Scope Activities</th>
<th>Out of Scope</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment Separation</td>
<td>Acceptance of resignation/Confirmation of end of Fixed Term Contract letter is not triggered for terminations in subsidiaries.</td>
</tr>
<tr>
<td>Line Managers process terminations via self-service for approval by HR Ops in subs</td>
<td>Fixed Term Contract and Redundancy process</td>
</tr>
<tr>
<td>HR Ops in subsidiaries can submit terminations that auto-approve</td>
<td></td>
</tr>
</tbody>
</table>
Line manager and employees issued leaver checklists – not specific to subs. Same as UoE templates.

Exit Interview is available as checklist items that can be assigned by a line manager to the employee who is leaving.

### Adoption

<table>
<thead>
<tr>
<th></th>
<th>Edinburgh Innovations</th>
<th>Edinburgh University Press</th>
<th>Arcadia</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment Separation</td>
<td>Using system functionality</td>
<td>Using system functionality</td>
<td>SDA can do terminations and then follow own process</td>
</tr>
</tbody>
</table>