

HR process for **restructuring** **and closure** of units

Contents

1. <u>Introduction</u>	04
2. <u>Process overview</u>	05
3. <u>EPFL standard operating procedure</u>	06
4. <u>Documentation</u>	09
4.1 <u>Lex 4.1.2 and annexe 1</u>	09
4.2 <u>Template • Two-pager Direction</u>	10
4.3 <u>Template • Information meeting slides</u>	11
4.4 <u>Plan social pour le domaine des EPF</u>	12
4.5 <u>Template • Job search activity record</u>	13
4.6 <u>Template • Intermediate work certificate</u>	14
4.7 <u>Template • Final work certificate</u>	15

Abbreviations

- ACC *Association des cadres de la Confédération*
- APC Federal Staff Association (*Association du personnel de la Confédération*)
- APR Faculty Affairs (*Affaires professorales*)
- CIGR Internal Control and Risk Management Department
(*Contrôle interne de la gestion des risques*)
- HRG HR generalist
- HRM HR manager
- PATT Tenure track assistant professor
- PO Full professor (*professeur ordinaire*)
- REO Research Office
- RFF Faculty financial manager (*responsable financier faculté*)
- RPR Processes and policies lead (*responsable processus et règlementations*)
- TM Talent Management
- Transfair Public services union (*Syndicat des services publics*)
- VP Vice president
- VPH Vice Presidency for Human Development

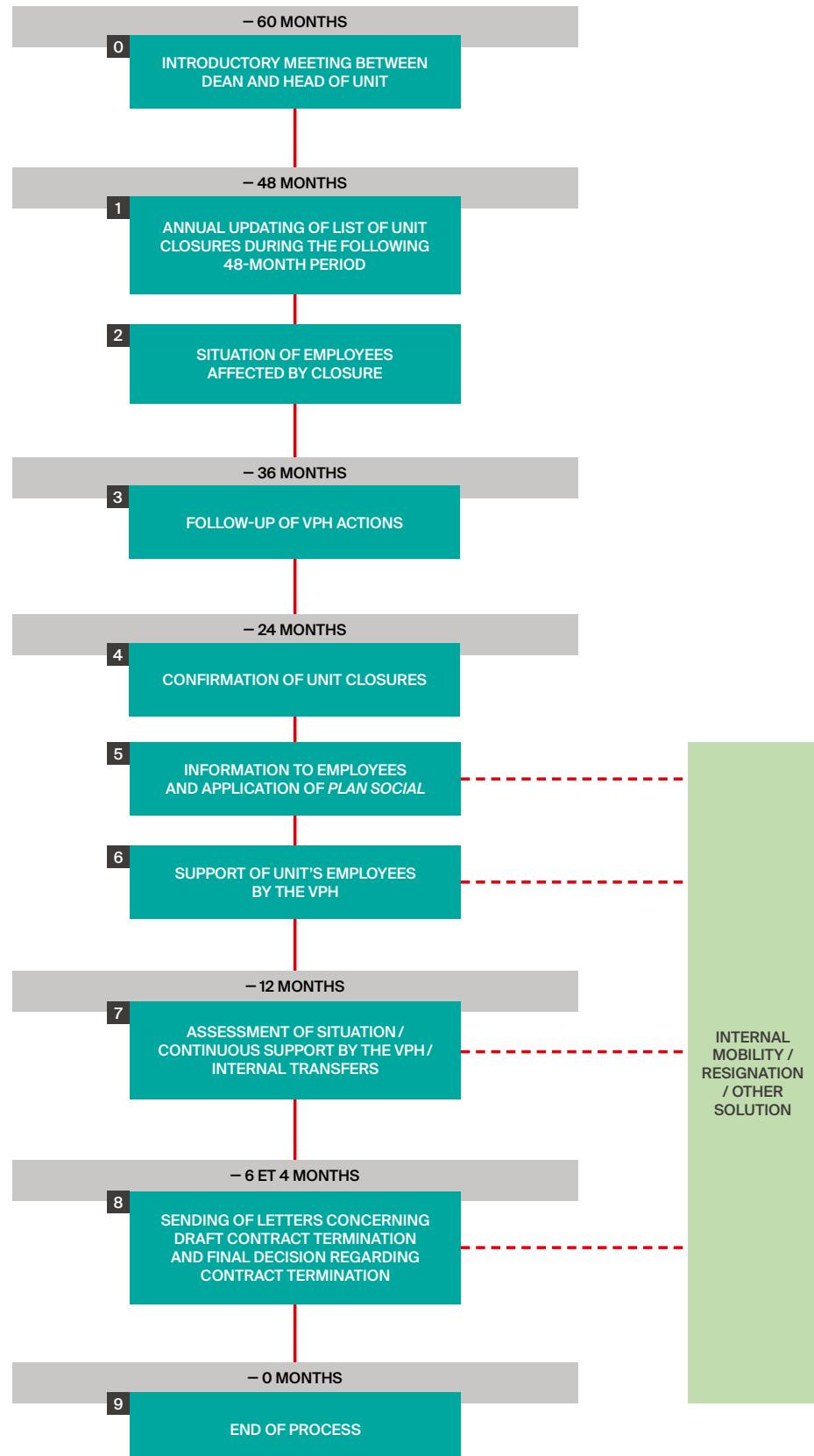
1. Introduction

The Vice Presidency for Human Development has defined a standard process concerning the restructuring and closure of units, based on Lex 4.1.2 and the plan social applicable to the EPF Domain. This process explains the legal aspects and support offered to the employees concerned, from the point of view of communication, job search strategy, training or other action in order to facilitate their internal mobility or external redeployment.

This process and tools described, constitute the standard norm for VPH management, which is implemented by the HR managers (HRM).

Goals	<ul style="list-style-type: none"> ■ Define a standard process regarding restructurings and closures. ■ Improve communication and support regarding the employees concerned. ■ Facilitate internal mobility and external redeployment.
Scope	This process applies to all EPFL employees with permanent contracts.
Mandatory M or optional O tools * VPH internal use	<ul style="list-style-type: none"> ■ Lex 4.1.2 and annexe 1 “Reverse schedule for the closure of a unit/departure of a Head of unit” – M ■ Template • Unit restructuring/closure file* – M ■ ABC list by unit or infocentre* – O ■ Template • Two-pager Direction – M ■ Template • <i>Modèle calcul fermeture labo</i>* – O ■ Template • List of CDIs affected by closures during year* – M ■ Template • Information meeting slides – O ■ Template • Information letter concerning unit closure* – M ■ <i>Plan social pour le domaine des EPF</i> – M ■ Template • Job search activity record – M ■ Template • Intermediate work certificate – M ■ Template • Support monitoring* – M ■ Template • Cover letter and draft contract termination letter* – M ■ Template • Final contract termination decision letter* – M ■ Template • Final work certificate – M
Metrics	<ul style="list-style-type: none"> ■ Percentage of internal or external redeployment → Objective: 60% of redeployment (including internal/external split)
Implementation	January 2021. This version is applicable from May 2024.
Review cycle	The VPH examines this process regularly in order to take best practices into consideration and integrate the lessons learned.

2. Process overview



3. EPFL standard operating procedure

Step	Who/person responsible	How	Mandatory M or optional O documents
0 – 60 months Introductory meeting between Dean and Head of unit	HRM	<ul style="list-style-type: none"> Draw up, each November, a list of anticipated retirements of professors/heads of units over the following 60 months and send it to the deans. 	ABC list by unit or infocentre*– O Lex 4.1.2 and annexe 1 “Reverse schedule for the closure of a unit / departure of a head of unit” – M
1 – 48 months Annual updating of list of unit closures during the following 48-months period	Dean	<ul style="list-style-type: none"> Meeting with heads of units five years prior to legal retirement age to inform them regarding: <ul style="list-style-type: none"> Dean's support until closure of laboratory, importance of supporting their employees to improve their future employability, application of Lex 4.1.2 and closure process, impossibility of recruiting new PhD students. 	Template • Unit restructuring/closure file*– M
	Pension fund manager	<ul style="list-style-type: none"> Each November, update the “unit restructuring/closure file” for retirements anticipated during the following 48 months and send to the processes and policies lead (RPR). 	
	HRM	<ul style="list-style-type: none"> Verify and complete if necessary the “unit restructuring/closure file” with other possible departures (non-renewed PATTs, resignation of POs) and send it to RPR for consolidation. 	
	RPR	<ul style="list-style-type: none"> Submit the “unit restructuring/closure file” to Faculty Affairs to complete and validate for the following years. Send the final “unit restructuring/closure file” to the Direction (VPs), deans, college directors, Internal Control and Risk Management Department (hereinafter CIGR). Each December, send the validated list of restructurings/closures for the following year to EPFL active social partners (APC, ACC, Transfair). 	
	Dean / VP / Head of unit / HRM	<ul style="list-style-type: none"> In the event of an immediate or unplanned departure, an accelerated process is established. Steps 5 to 9 described below are applicable within a deadline of six months as from notification of the closure to the employees concerned. 	
	HRM	<ul style="list-style-type: none"> In the event of an immediate or unplanned departure, inform the CIGR and FO concerned. 	
2 – 48 months Situation of employees affected by closure	HRM	<ul style="list-style-type: none"> Draw up the ABC list by unit/School of the employees concerned and assess the situation (review of contracts, CDD prolongation, no new PhDs without Co-Director). Initiate discussions with the Dean/VP, and Head of Unit concerning employees affected by the closure and identify any complex situations. 	ABC list by unit or infocentre*– O
3 – 36 months Follow-up of HR actions	HRM	<ul style="list-style-type: none"> Monitor the situations based on the ABC list. Review the situation with the Dean/VP, Head of unit, and Institute Director if necessary. Monitor complex situations, if necessary. 	ABC list by unit or infocentre*– O

* documents reserved for internal use only VPH

Step	Who/person responsible	How	Mandatory M or optional O documents
4 - 24 months Confirmation of unit closures	Dean / VP	<ul style="list-style-type: none"> ■ Submit the unit closure request to management, who formalizes the decision ■ Communicate the decision to the VPH People Experience directors (VPH-PEXP) for follow-up and implementation. 	Template • Two-pager Direction – M
	HRM	<ul style="list-style-type: none"> ■ Calculate potential costs relating to the plan social and add an amount of CHF 10 000 for support measures per employee affected by the closure and confirm the outstanding holiday balance. ■ Communicate this information to the dean/VP, head of unit and FO concerned. 	Template • List of CDIs affected by closures during year* – M
	Dean / VP / head of unit / FO	<ul style="list-style-type: none"> ■ Define the method of financing these costs according to the unit's financial situation. ■ These measures are the responsibility of the unit, or alternatively the school or vice presidency. 	Template • <i>Modèle calcul fermeture labo*</i> – O
	RPR	<ul style="list-style-type: none"> ■ Draw up the annual list including employees with unlimited-term contracts affected by the unit's closure with age, years of service, average level of activity over the three years preceding the closure, estimation of cost of the plan social, potential outplacement and solution. ■ Provide HRM / HRG these lists in order to do an individual follow-up and complete the solution. 	
5 - 24 months Information to employees and application of <i>plan social</i>	Dean / VP / head of unit / RHM	<ul style="list-style-type: none"> ■ Organise, if pertinent, an information meeting for the unit's employees in the presence of the dean/VP, head of unit, director of institute, head of infrastructure and any other persons concerned by the closure. ■ If no information meeting is organised, conduct an interview with the persons concerned. ■ Send the formal "closure of unit information letter" to employees with permanent contracts. 	Template • Information meeting slides – O Template • Closure of unit information letter* – M <i>Plan social</i> – M
	HRM / HRG	<ul style="list-style-type: none"> ■ Hold initial individual interviews with employees with unlimited-term contracts to discuss the situation following the closure (alternative positions, training, initiatives already taken by employee, etc.). ■ Inform the employees concerned that they need to keep a record of job search activities (EPFL & outside EPFL) and any other initiatives with a view to redeployment. ■ Identify and monitor complex situations with evaluation of options (internal, external). ■ Delegate the support of the people concerned to an external company (outplacement) or to the TM, if necessary. This includes defining a professional project, job search strategy, updating the CV, LinkedIn profile, networking, help in using job search tools, interview preparation as well as training workshops to develop the skills to effectively manage change or transition to a new professional opportunity. 	Template • Job search activity record – M
	TM	<ul style="list-style-type: none"> ■ Regularly inform HRMs / HRGs of how the support is evolving. 	

* documents reserved for internal use only VPH

Step	Who/person responsible	How	Mandatory M or optional O documents
7 – 12 months Assessment of situation / continuous support by HR / internal transfers	HRM / HRG / TM	<ul style="list-style-type: none"> ■ Provide continuous support with regular meetings and discussion concerning job search efforts linked with job search strategy and/or career plan. ■ Complete the template “support monitoring” which summarises the main actions, results and subsequent steps agreed. 	Template • Job search activity record – M
	HRM	<ul style="list-style-type: none"> ■ In the event of internal mobility, add a new clause to the contract showing the amendments, and complying with the notice period of three months or other period to be agreed, for the starting date in the new unit. No trial period is possible since EPFL remains the employer. ■ Agree, in the event of any outstanding holiday balance, that it must be taken prior to the transfer to the new unit with a maximum of five days' holiday carried over from previous years. 	Template • Intermediate work certificate – M
	Dean / VP / head of unit / HRM	<ul style="list-style-type: none"> ■ Review situation regarding support, internal transfers, and employees with no solution, if relevant. 	Template • Support monitoring* – M
	Head of unit	<ul style="list-style-type: none"> ■ Issue an intermediate work certificate co-signed by the HRM and/or have a letter of recommendation drawn up by the Head of unit. 	Template • Unit restructuring/ closure file* – M
	RPR	<ul style="list-style-type: none"> ■ Update the “unit restructuring/ closure file” in accordance with the new information confirmed by ETH Board or EPFL Direction for restructurings. ■ Send the updated file to the HRM and CIGR. 	
8 – 6 and 4 months Sending of letters concerning draft contract termination and final decision regarding contract termination	HRM / TM	<ul style="list-style-type: none"> ■ Meet with the employees who have found no solution and evaluate the situation concerning actions taken by the two parties or actions to be taken (internal, external, outplacement, etc.) and inform the dean/VP if necessary. 	Template • Cover letter and draft contract termination letter* – M
	HRM	<ul style="list-style-type: none"> ■ Deliver personally or send by registered post the draft contract termination letter four months prior to the closure of the unit and compliance with the ten-day right-to-be heard period ■ Deliver personally, or send by registered post, the final contract termination decision letter, during the fourth month prior to the unit closure . 	Template • Final contract termination decision letter* – M
9 – 0 months End of process	HRM	<ul style="list-style-type: none"> ■ Enter cessation of activity in SAP in order to generate exit documents. ■ Send final work certificate and conduct exit interview, if appropriate. ■ Monitor employees who have found an alternative position within EPFL during the following year. 	Template • Final work certificate – M
	RPR	<ul style="list-style-type: none"> ■ Analyse the data and monitor the metrics (yearly) of the percentage of internal or external redeployment and define a plan of action, if appropriate.. 	

* documents reserved for internal use only VPH

4. Documentation

4.1 Lex 4.1.2 and annexe 1 “Reverse schedule for the closure of a unit / departure of a head of unit” – M

[Download this document](#)**Closing inventory procedure for the departure of a Head of Unit or closure of a Unit****LEX 4.1.2**of 1st December 2007, status as at 1st January 2021

LEX 4.1.2 of 01.12.2007, status as at 01.01.2021

Closing inventory procedure for the departure of a Head of Unit or closure of a Unit

Directive schedule	The Vice Presidents, School Deans and College Deans, the Head of Finance & Controlling, the Head of the EPFL Foundation, the Head of the EPFL Library, the Head of the EPFL Transdisciplinary Body, the Head of the EPFL Research Institute, the Head of the EPFL Institute of Technology, the Head of the EPFL Institute of Management, the Head of the EPFL Institute of Life Sciences, the Head of the EPFL Institute of Microengineering, the Head of the EPFL Institute of Materials, the Head of the EPFL Institute of Chemical Sciences, the Head of the EPFL Institute of Computer Science, the Head of the EPFL Institute of Mathematics, the Head of the EPFL Institute of Energy and the Head of the EPFL Institute of Environment are informed of the closure of the Unit to be taken up with the closure of the Unit.
Decision to close the Unit	This decision specifies the reasons for the closure of the Unit to be taken up with the closure of the Unit.
Informing the members of staff	The HR manager informs the Unit's members of staff and personnel (including by means of the reorganization notice).
Informing the Head of Unit	The Head of CIGR informs the Head of the Unit concerned of the closure of the Unit to be taken up with the closure of the Unit, and the Head of the Unit concerned is informed in writing at least six months in advance.
Informing the EPFL Board	The President informs the EPFL Board (see the Article 6 of the departure of the president) of the closure of the Unit to be taken up with the closure of the Unit.
Closing inventory	Performing a closing inventory with the Head of Unit (Annex 2).
Finalizing the closing inventory	The Head of CIGR finalizes the closing inventory of the Unit and the School Deans.
Finalizing the closing inventory and forwarding an annual report on departing closures to the EPFL Director	The CIGR finalizes the closing inventory and forwards an annual report on departing closures to the EPFL Director (see Article 6).
Annex	The CIGR lists the reports and related documents in Annex 1.

Article 3 Entry into force
This closing procedure enters into force on 1st December 2007, version 1.0, status as at 1st January 2021.

On behalf of the EPFL Director:
President
Martin Vetterli
Director of Legal Affairs
Françoise Chardonnet

Version 1.0

*The Direction of the Ecole polytechnique fédérale de Lausanne hereby adopts the following:***Preamble**

A closing inventory is drawn up in the event of the departure of a Head of Unit or the closure of a Unit at EPFL.

The aim of this closing inventory procedure is to document the various controls and actions which must be performed when a Head of Unit leaves and/or upon the definitive closure of a Unit.

Article 1 Scope of application

The present procedure refers to Chapter 12 of the Financial Regulations and is applicable to all those responsible for EPFL cost centers, notably regardless of function (full, associate, assistant and adjunct professors, Swiss National Science Foundation grant holders, and heads of services or sections). The Head of Finance & Controlling (RFF) or deputy for the school, college, transdisciplinary body or Vice Presidency coordinates the procedures and supports the Heads of Unit in order to ensure that they function smoothly. An HR process for restructuring and closures is set out to strengthen communication and support and to facilitate internal exchanges and the external re-employment of employees concerned.

Article 2 Sequence of operations

Register of departures and Unit closures	The EPFL Human Resources service (hereinafter HR) prepares an annual list of Heads of Units who will be leaving their post within the following 5 years. All new information regarding the (unplanned) departure of a Head of Unit or the closure of a Unit must be transferred to HR without undue delay and must be entered in this register.
Verification of information	HR coordinates and validates this information with the HR managers and the Head of Faculty Affairs.
Communication	This information, once consolidated and verified, is forwarded: <ol style="list-style-type: none"> to the EPFL Direction and to the College Deans and Directors for their respective Schools and Colleges; to the Internal Control and Risk Management service (hereinafter CIGR).

Version 1.5

Annex 1 – Reverse schedule for the closure of a Unit / departure of a Head of Unit

Procedure adopted:

- LEX 4.1.2 Closing procedure for the departure of a Head of Unit or closure of a Unit
- Annex 1 Reverse schedule for the closure of a Unit / departure of a Head of Unit

1. Head of Unit	Informing the Head of Unit of the closure of the Unit to be taken up with the closure of the Unit.	✓
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4.2 **Template • Two-pager Direction – M**[Download this document](#)

EPFL

Template • Two-pager Direction

DIRECTION
Séance-xx
JJ/MM/AAAA
Point X

Point du jour X – Titre de l'ordre du jour

1. Category of work and general information

First reading
 Second reading
 Decision by circular procedure
 Approval
 Information – Reporting

Estimated duration: x min

2. Context

Summary, in a few sentences, of context, decisions or actions taken so far. If this is the second reading of the point, summary of considerations expressed at the first reading.

3. Discussion

Summary of points to be discussed in meetings.

4. Décisions

Precise formulation of decision expected by the DIR.

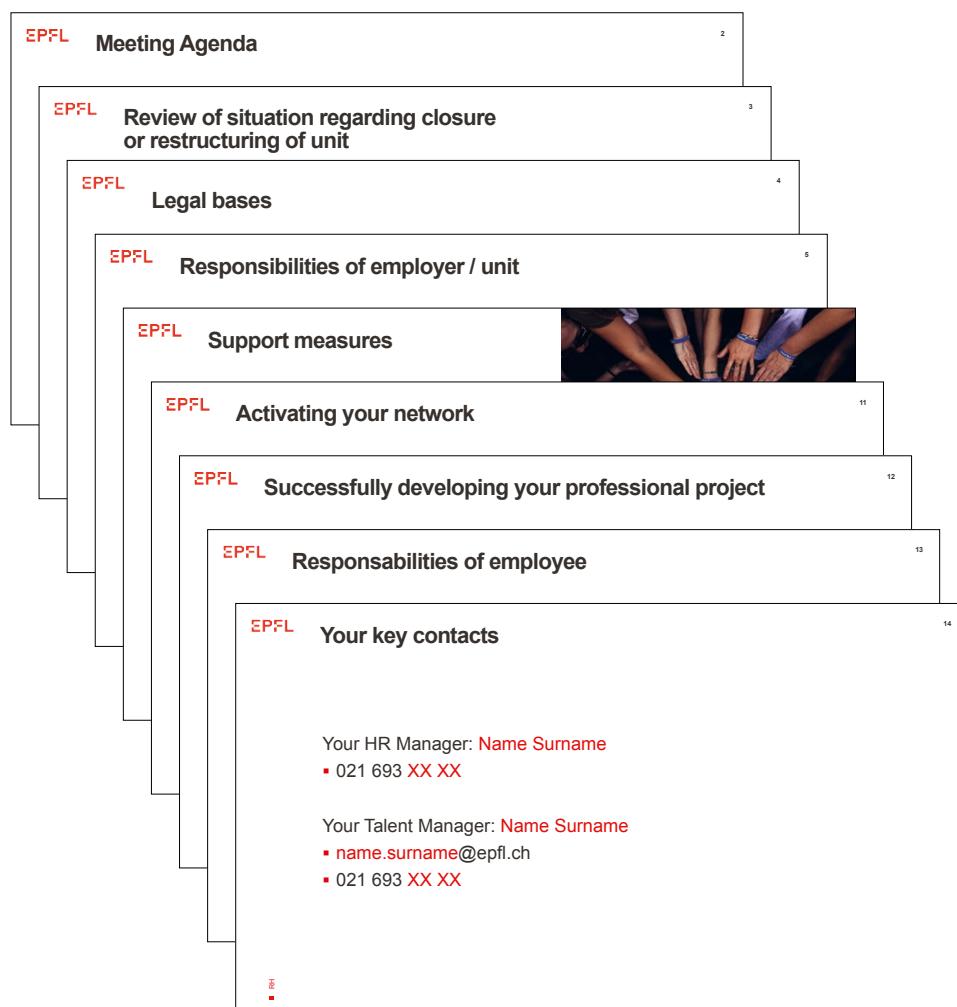
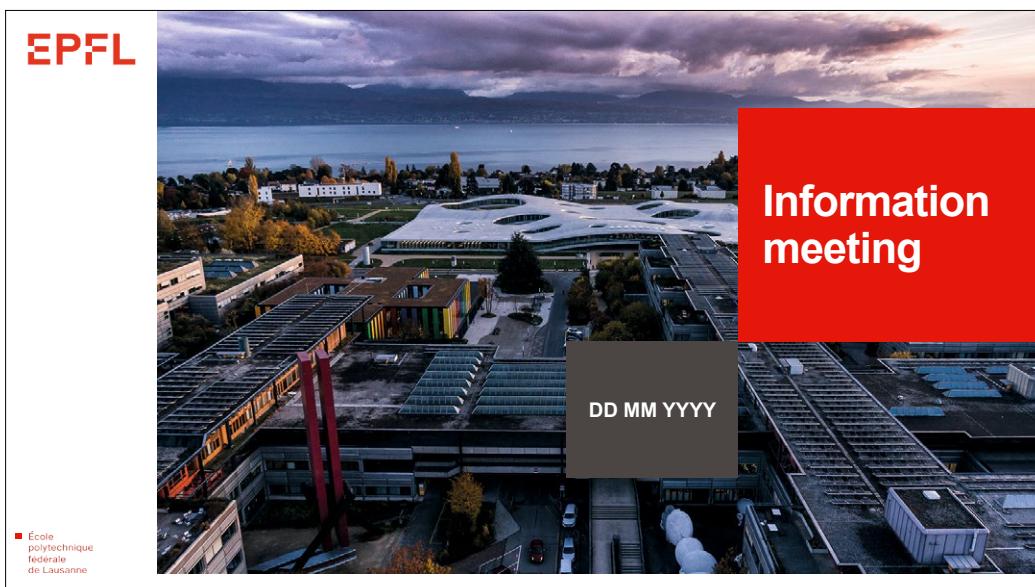
5. Next steps

Summary of next steps, deadlines or actions to be taken, including external or internal communication measures.

6. List of annexes

Ecole polytechnique fédérale de Lausanne – Direction (Séance-xx) – Point X 1

4.3

Template • Information meeting slides – O[Download this document](#)

4.4

Plan social pour le domaine des EPF (Lex 4.6.0.2) – M[Download this document](#)**Plan social pour le domaine des EPF**

Convention relative à la mise en œuvre des restructurations au sein du domaine des EPF

1. Objet et champ d'application

La présente convention s'applique à tous les emplois à durée indéterminée au sein du domaine des EPF.

La présente convention s'applique en cas de restructuration. Sont assimilées à des restructurations, outre les réorganisations, les retraites de professeurs (éméritat) et les mesures prises à la suite d'audits se traduisant par des suppressions d'emplois ou des transformations notables d'activités imposées par des impératifs de fonctionnement ou par le changement d'objectifs de la recherche.

2. Principes

L'art. 5 de l'ordonnance sur le personnel du domaine des EPF fait obligation aux collaboratrices et aux collaborateurs de se perfectionner en fonction de leurs aptitudes et des exigences du marché du travail afin d'améliorer leur employabilité. Leur EPF ou leur établissement de recherche les soutient dans cet effort.

Les deux EPF et les établissements de recherche veillent à ce que leurs collaborateurs et les partenaires sociaux bénéficient à temps d'une information étendue et transparente.

Conformément aux dispositions de l'art. 21 de l'ordonnance sur le personnel du domaine des EPF, les deux EPF et les établissements de recherche ne déplacent de mesures de réorganisation qu'en tenant particulièrement compte de l'âge et de la situation personnelle.

Pour éviter autant que possible les licenciements, il doit être recouru aux mesures suivantes, dans l'ordre de priorité ci-dessous :

1. maintien de l'engagement à un autre poste raisonnablement exigible¹ dans la même EPF ou le même établissement de recherche ;
2. maintien de l'engagement à un autre poste raisonnablement exigible au sein du domaine des EPF ;
3. si possible, placement à un autre poste raisonnablement exigible hors du domaine des EPF ;
4. reconversion et perfectionnement professionnel ;
5. retraite anticipée.

Le service du personnel informe en temps utile les collaboratrices et collaborateurs des mesures nécessaires et des possibilités (maintien de l'engagement, placement à un autre poste ou emploi, reconversion, perfectionnement, retraite anticipée, résiliation des rapports de travail, consultation d'un conseiller social, etc.).

Les personnes concernées contribuent à amortir l'impact social des restructurations par une coopération active et en prenant des initiatives personnelles. Elles sont en particulier tenues de participer activement aux efforts de placement à l'intérieur comme à l'extérieur du domaine. Les collaboratrices et collaborateurs touchés par les restructurations doivent tenir un journal de leurs efforts personnels, justificatifs à l'appui.

3. Affectation à des postes vacants en période de compression de personnel

Les compressions de personnel doivent d'abord se faire par le jeu des départs naturels. On nommera aux postes à repourvoir impérativement les collaboratrices et collaborateurs des EPF et des établissements de recherche touchés par les compressions, pour autant qu'ils possèdent les qualifications et les aptitudes nécessaires.

Il ne sera recouru au recrutement extérieur qu'après une enquête interne établissant qu'aucun(e) candidat(e) interne ne présente le profil requis. À qualifications égales, préférence sera donnée aux candidats internes.

4. Outplacement (replacement à l'extérieur)

Une fois les modalités et la date de licenciement fixées, les EPF et les établissements de recherche peuvent offrir un replacement individuel ou groupé à l'extérieur.

¹ Cf. annexe pour la définition du terme « raisonnablement exigible »

4.5 **Template • Job search activity record – M**[Download this document](#)

Template "Job search activity record" Record of job search activities (EPFL & outside EPFL) and any other initiatives to be completed by the employee				
Employee: Name Surname				
1. List of positions applied for with supporting documents				
Position applied for (job title)	Application date	Date interview (if applicable)	Date reply	Result (positive / negative / other)
1				
2				
3				
4				
...				
2. Other job search initiatives				
Other initiatives (please define)	Date	Result	Comments	
1				
2				
3				
4				
...				

4.6 **Template • Intermediate work certificate – M**

[Download this document](#)



Name of school / vice presidency

Intermediate work certificate

We hereby certify that Dr/Mr/Mrs/Ms First name Last name, born on 20 January 2002 is employed at the École polytechnique fédérale de Lausanne (EPFL) since 13 January 2024. She/He holds the position of job title within the unit / laboratory / area of the School/Vice Presidency X. Dr/Mr/Mrs/Ms Last Name has a full/part time and fixed-term / permanent contract until 20 January 2024.

As job title, Dr/Mr/Mrs/Ms Last Name has fulfilled the following responsibilities:

Please list the main activities mentioned in the employee's job description. Add key projects or significant results.

- XXX
- XXX
- XXX

These tasks were carried out in both French and English. (remove if not applicable)

Paragraph on professional skills and any significant achievements, if applicable.

Paragraph on behaviour and specific skills.

You'll find a glossary on pages #2 and #3 to help you with the wording if you need it.

This interim certificate is issued at the request of Dr/Mrs/Mr/Ms Last Name. We would like to take this opportunity to thank her/him warmly for the excellent work done to date and hope to be able to count on his/her collaboration in the years to come.

First and last name of manager
Title of manager

First and last name of HRR
Human Resources Manager

Lausanne, the 21 January 2024 (date of issue of interim employment certificate)

■ Name of the unit in full

EPFL UNIT
Station X
CH – 1015 Lausanne

+4121 XX XX
xx@epfl.ch
xxepfl.ch

1

4.7 **Template • Final work certificate – M**

Download this document



Name of school / vice presidency

Work certificate

Name of the unit in full

We hereby certify that **Dr/Mr/Mrs/Ms First name Last name**, born on **20 January 2022** was employed at the École polytechnique fédérale de Lausanne (EPFL) from **13 January 2024** to **14 February 2024** on a **fixed/indefinite** term and **full/part** time contract. She/He held the position of **job title** within the **unit/laboratory/area** of the **School/Vice Presidency X**.

As job title, **Dr/Mr/Mrs/Ms Last Name** has fulfilled the following responsibilities:

Please list the main activities mentioned in the employee's job description. Add key projects or significant results.

- XXX
- XXX
- XXX

These tasks were carried out in both French and English. (remove if not applicable)

Paragraph on professional skills and any significant achievements, if applicable.

Paragraph on behaviour and specific skills.

You'll find a glossary on pages #2 and #3 to help you with the wording if you need it.

Dr/Mr/Mrs/Ms Last Name is leaving at the end of his/her fixed-term contract/leaving on **[date]** free of any commitment, except as regards professional secrecy.

We can **strongly** recommend **Dr/Mr/Mrs/Ms Last Name** to any future employer and we wish **him/her** all the best for the continuation of **his/her** professional career.

First and last name of manager
Title of manager

First and last name of HRR
Human Resources Manager

Lausanne, the **21 January 2024** (*date of last contractual day*)

EPFL

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Name of the unit in full

EPFL

Name of school / vice presidency

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