SCHEDULE 1

Regulation 2

APPLICATION OF THE REGULATIONS TO NORTHERN IRELAND

1. These Regulations shall apply to Northern Ireland, subject to the modifications in this Schedule.

```
Commencement Information
I1 Sch. 1 para. 1 in force at 6.4.2006, see reg. 1(2)
```

2. Sub-paragraph (1)(b) of regulation 3 and any other provision of these Regulations insofar as it relates to that sub-paragraph shall not apply to Northern Ireland.

```
Commencement Information

12 Sch. 1 para. 2 in force at 6.4.2006, see reg. 1(2)
```

- **3.** Any reference in these Regulations—
 - (a) to an employment tribunal shall be construed as a reference to an Industrial Tribunal; and
 - (b) to the Employment Appeal Tribunal shall be construed as a reference to the Court of Appeal.

```
Commencement Information

I3 Sch. 1 para. 3 in force at 6.4.2006, see reg. 1(2)
```

4. For the words from "Paragraph (1)" to "the 1992 Act" in regulation 7(6) there is substituted— "Paragraph (1) shall not apply in relation to a dismissal of an employee if the application of

"Paragraph (1) shall not apply in relation to a dismissal of an employee if the application of Article 126 of the Employment Rights (Northern Ireland) Order 1996(1) to the dismissal of the employee is excluded by or under any provision of that Order, the Industrial Tribunals (Northern Ireland) Order 1996(2) or the 1992 Act insofar as it extends to Northern Ireland, the Industrial Relations (Northern Ireland) Order 1992(3) or the Trade Union and Labour Relations (Northern Ireland) Order 1995(4)

```
Commencement Information

14 Sch. 1 para. 4 in force at 6.4.2006, see reg. 1(2)
```

5. For the words from "In this Regulation" to "Part XII of the 1996 Act" in regulation 8(4) there is substituted—

"In this Regulation the "relevant statutory schemes" are—

- (a) Chapter VI of Part XII of the Employment Rights (Northern Ireland) Order 1996 ("the 1996 Order");
- (b) Part XIV of the 1996 Order".

1

⁽¹⁾ S.I. 1996/1919 (N.I. 16).

⁽²⁾ S.I. 1996/1921 (N.I. 18).

⁽³⁾ S.I. 1992/807 (N.I. 5).

⁽⁴⁾ S.I. 1995/1980 (N.I. 12).

Commencement Information

I5 Sch. 1 para. 5 in force at 6.4.2006, see reg. 1(2)

6. For paragraph (4) of regulation 9 there is substituted—

"In article 92 of the 1996 Order (time off for carrying out trade union duties) in paragraph (1), for the full stop at the end of sub-subparagraph (c) there is inserted—

- "(d) negotiations with a view to entering into an agreement under regulation 9 of the Transfer of Undertakings (Protection of Employment) Regulations 2006 that applies to employees of the employer, or
- (e) the performance on behalf of employees of the employer of functions related to or connected with the making of an agreement under that regulation."."

Commencement Information

I6 Sch. 1 para. 6 in force at 6.4.2006, see reg. 1(2)

7. For the words from "Paragraph (2)" to "the employee's employment with the transferor" in regulation 17 there is substituted—

"Paragraph (2) applies where—

- (a) by virtue of article 7(a), 7(aa) or 7(b) of the Employers' Liability (Defective Equipment and Compulsory Insurance) (Northern Ireland) Order 1972(5) ("the 1972 Order"), the transferor is not required by that Order to effect any insurance; or
- (b) by virtue of article 7(c) of the 1972 Order, the transferor is exempted from the requirement of that Order to effect insurance.
- (2) Where this paragraph applies, on completion of a relevant transfer the transferor and the transferee shall be jointly and severally liable in respect of any liability referred to in article 5(1) of the 1972 Order, in so far as such liability relates to the employee's employment with the transferor".

Commencement Information

I7 Sch. 1 para. 7 in force at 6.4.2006, see reg. 1(2)

[F18. In regulation 2—

- (a) for "the 1992 Act" where it first occurs there is substituted "the Industrial Relations (Northern Ireland) Order 1992";
- (b) for "Part XIII of the Insolvency Act 1986" there is substituted "Article 3 of the Insolvency (Northern Ireland) Order 1989"; and
- (c) for "section 178(3) of the 1992 Act" there is substituted "Article 39(2) of the Industrial Relations (Northern Ireland) Order 1992".]
- F1 Sch. 1 para. 8 substituted (6.4.2006) by The Service Provision Change (Protection of Employment) Regulations (Northern Ireland) 2006 (S.R. 2006/177), regs. 1, 20(2)(a) (with reg. 21)

9. In regulation 5 for "sections 179 and 180 of the 1992 Act" there is substituted "Article 26 of the Industrial Relations (NI) Order 1992 No.807 (N.I. 5)".

Commencement Information 18 Sch. 1 para. 9 in force at 6.4.2006, see reg. 1(2)

- **10.**—(1) In regulation 10 for "the Pensions Schemes Act 1993" there is substituted "the Social Security Pensions (Northern Ireland) Order 1975(6)".
 - [F2(2) In regulation 11 for paragraph (2)(c) there is substituted—
 - "(c) information of any—
 - (i) disciplinary procedure taken against an employee in circumstances where the Employment (Northern Ireland) Order 2003 (Dispute Resolution) Regulations (Northern Ireland) 2004 apply,
 - (ii) grievance procedure taken by an employee where a Code of Practice issued under Part XI of the Industrial Relations (Northern Ireland) Order 1992 which relates exclusively or primarily to the resolution of disputes applies,

where such procedure was taken within the previous two years;".]

- [F3(3) In regulation 12—
 - (a) for "[F4Sections 18A to 18C] of the 1996 Tribunals Act" there is substituted "[F5Articles 20A to 20C] of the Industrial Tribunals (Northern Ireland) Order 1996"; and
 - (b) for any reference to "Act" there is substituted "Order".
- (4) In regulation 16—
 - (a) for "[F6] sections 18A to 18C] of the 1996 Tribunals Act" there is substituted "[F7] Articles 20A to 20C] of the Industrial Tribunals (NI) Order 1996 No.1921 (NI 18)"; and
 - (b) for any reference to "those Acts" there is substituted a reference to "those Orders".

[F8(4A) In regulation 16A—

- (a) in paragraph (2)(a) for the words "subsection (1) of section 18A of the Employment Tribunals Act 1996 (requirement to contact ACAS before instituting proceedings)" substitute "paragraph (1) of Article 20A of the Industrial Tribunals (Northern Ireland) Order 1996 (requirement to contact the Labour Relations Agency before instituting proceedings)";
- (b) in paragraph (2)(b) for the words "(by virtue of regulations made under subsection (11) of that section) the certificate issued under subsection (4) of that section" substitute "(by virtue of regulations made under paragraph (11) of that Article) the certificate issued under paragraph (4) of that Article".]
- [^{F9}(5) In regulation 18—
 - (a) for the reference to "that Act" there is substituted "that Order";
 - (b) for the reference to "section" there is substituted "Article".
- (6) In regulation 19—
 - (a) for any reference to "subsection" there is substituted "paragraph"; and
 - (b) for any reference to "paragraph" there is substituted "sub-paragraph".

- (7) In paragraph (3)(b) of regulation 7 for any reference to "that Act" there is substituted "that Order".]
 - F2 Sch. 1 para. 10(2) substituted (3.4.2011) by The Transfer of Undertakings and Service Provision Change (Protection of Employment) (Amendment) Regulations (Northern Ireland) 2011 (S.R. 2011/163), regs. 1(2), 2
 - F3 Sch. 1 para. 10(3) substituted (6.4.2006) by The Service Provision Change (Protection of Employment) Regulations (Northern Ireland) 2006 (S.R. 2006/177), regs. 1, 20(2)(b) (with reg. 21)
 - F4 Words in Sch. 1 para. 10(3)(a) substituted (6.4.2014) by The Enterprise and Regulatory Reform Act 2013 (Consequential Amendments) (Employment) Order 2014 (S.I. 2014/386), art. 1, Sch. para. 39(a)
 - F5 Words in Sch. 1 para. 10(3)(a) substituted (27.1.2020) by The Transfer of Undertakings and Service Provision Change (Protection of Employment) (Amendment) Regulations (Northern Ireland) 2020 (S.R. 2020/15), regs. 1(1), 3
 - **F6** Words in Sch. 1 para. 10(4)(a) substituted (6.4.2014) by The Enterprise and Regulatory Reform Act 2013 (Consequential Amendments) (Employment) Order 2014 (S.I. 2014/386), art. 1, **Sch. para. 39(b)**
 - F7 Words in Sch. 1 para. 10(4)(a) substituted (27.1.2020) by The Transfer of Undertakings and Service Provision Change (Protection of Employment) (Amendment) Regulations (Northern Ireland) 2020 (S.R. 2020/15), regs. 1(1), 4
 - F8 Sch. 1 para. 10(4A) inserted (27.1.2020) by The Transfer of Undertakings and Service Provision Change (Protection of Employment) (Amendment) Regulations (Northern Ireland) 2020 (S.R. 2020/15), regs. 1(1), 5
 - F9 Sch. 1 para. 10(5)-(7) inserted (6.4.2006) by The Service Provision Change (Protection of Employment) Regulations (Northern Ireland) 2006 (S.R. 2006/177), regs. 1, 20(2)(c) (with reg. 21)

Commencement Information

- I9 Sch. 1 para. 10 in force at 6.4.2006, see reg. 1(2)
- 11. For a reference to a provision of the 1996 Act in column one of Table 1 there is substituted the corresponding reference to the Employment Rights (Northern Ireland) Order 1996 in column two of Table 1—

Table 1

Column 1	Column 2
Provision of the Employment Rights Act	Equivalent Provision in the Employment
1996	Rights (Northern Ireland) Order 1996
Part X	Part XI
Section 98(4)	Article 130(4)
Section 98(1)	Article 130(1)
Section 135	[^{F10} Article 170]
Section 98(2)(c)	Article 130(2)(c)
Section 95(1)(c)	Article 127(1)(c)
Section 1	Article 33
Section 205(1)	[^{F11} Article 247(1)]
Sections 220-228	Articles 16-24
Section 139	Article 174

Column 1	Column 2
Provision of the Employment Rights Act 1996	Equivalent Provision in the Employment Rights (Northern Ireland) Order 1996
Section 155	Article 190
Section 95(1)	Article 127(1)
Section 95(2)	Article 127(2)
Section 97	Article 129
Section 203	Article 245
Section 104	Article 135

F10 Words in Sch. 1 para. 11 Table 1 substituted (6.4.2006) by The Service Provision Change (Protection of Employment) Regulations (Northern Ireland) 2006 (S.R. 2006/177), regs. 1, **20(2)(d)(i)** (with reg. 21)

F11 Words in Sch. 1 para. 11 Table 1 substituted (6.4.2006) by The Service Provision Change (Protection of Employment) Regulations (Northern Ireland) 2006 (S.R. 2006/177), regs. 1, 20(2)(d)(ii) (with reg. 21)

Commencement Information

I10 Sch. 1 para. 11 in force at 6.4.2006, see reg. 1(2)

12. Any expression used in this Schedule which is defined in the Interpretation Act (Northern Ireland) 1954(7) shall have the meaning assigned by that Act.

Commencement Information II1 Sch. 1 para. 12 in force at 6.4.2006, see reg. 1(2)

SCHEDULE 2

Regulation 20

CONSEQUENTIAL AMENDMENTS

References to the 1981 Regulations

- 1. In the following provisions, for "Transfer of Undertakings (Protection of Employment) Regulations 1981" or "Transfer of Undertakings (Protection of Employment) Regulations 1981 (S.I. 1981/1794)" there is substituted "Transfer of Undertakings (Protection of Employment) Regulations 2006"—
 - (a) section 2(2) of the Property Services Agency and Crown Suppliers Act 1990(8);
 - (b) paragraph 8 of Schedule 1 to the New Roads and Street Works Act 1991(9);
 - (c) paragraph 5 of Schedule 1 to the Ports Act 1991(10);
 - (d) section 9(1) of the Export and Investment Guarantees Act 1991(11);

^{(7) 1954} c. 33 (N.I).

^{(8) 1990} c. 12.

^{(9) 1991} c. 22.

^{(10) 1991} c. 52.

^{(11) 1991} c. 67.

- (e) section 168(1)(c) of the Trade Union and Labour Relations (Consolidation) Act 1992(12);
- (f) paragraph 8 of Schedule 2 to the Roads (Northern Ireland) Order 1993(13);
- (g) paragraph 6 of Schedule 1 to the Ports (Northern Ireland) Order 1994(14);
- (h) section 129(1)(b) of the Education Act 2002(15);
- (i) section 102(8) of the Local Government Act 2003(16);
- (j) sections 3(6)(a) and 32(6)(b) of, and paragraph 12(1) of Schedule 3 to, the Horserace Betting and Olympic Lottery Act 2004(17);
- (k) section 90(4) of the Clean Neighbourhoods and Environment Act 2005(18);
- (1) section 39(5) of the Equality Act 2006.

```
Commencement Information
II2 Sch. 2 para. 1 in force at 6.4.2006, see reg. 1(2)
```

Industrial Training Act 1982

- **2.**—(1) Section 3B of the Industrial Training Act 1982(19) (transfer of staff employed by industrial training boards) is amended as follows.
- (2) In subsection (2), for "Transfer of Undertakings (Protection of Employment) Regulations 1981" there is substituted "Transfer of Undertakings (Protection of Employment) Regulations 2006".
- (3) In subsection (3)(a), for "within the meaning of those Regulations" there is substituted "to which those Regulations apply".

```
Commencement Information
I13 Sch. 2 para. 2 in force at 6.4.2006, see reg. 1(2)
```

Ordnance Factories and Military Services Act 1984

- **3.**—(1) Paragraph 2 of Schedule 2 to the Ordnance Factories and Military Services Act 1984(**20**) (application of 1981 Regulations to ordnance factories transfer schemes) is amended as follows.
- (2) In sub-paragraph (1), for the words from "for" to the end there is substituted "for a transfer that is a relevant transfer for the purposes of the 2006 regulations".
- (3) In sub-paragraphs (2) and (6), for "1981 regulations", in both places where it occurs, there is substituted "2006 regulations".
- (4) In sub-paragraph (3) for the words from "the 1981 regulations" to the end there is substituted "the 2006 regulations as if, immediately before the appointed day, they were employed in the entity subject to the transfer".

```
(12) 1992 c. 52.

(13) S.I. 1993/3160 (N.I. 15).

(14) S.I. 1994/2809 (N.I. 16).

(15) 2002 c. 32.

(16) 2003 c. 26

(17) 2004 c. 25.

(18) 2005 c. 16.

(19) 1982 c. 10.

(20) 1984 c. 59.
```

- (5) In sub-paragraph (4)(b)-
 - (a) for "with the undertaking or part" there is substituted "with the entity subject to the transfer", and
 - (b) for the words from "the 1981 regulations" to "or part" there is substituted "the 2006 regulations as if he were employed in the entity subject to the transfer".
- (6) In sub-paragraph (7), for the definition of "the 1981 regulations" there is substituted—
 ""the 2006 regulations" means the Transfer of Undertakings (Protection of Employment)
 Regulations 2006."

Commencement Information I14 Sch. 2 para. 3 in force at 6.4.2006, see reg. 1(2)

Dockyard Services Act 1986

- **4.**—(1) Section 1 of the Dockyard Services Act 1986(21) (transfer of persons engaged in dockyard services) is amended as follows.
 - (2) In subsection (4)–
 - (a) for the words from the beginning to "Regulations 1981" there is substituted "The Transfer of Undertakings (Protection of Employment) Regulations 2006",
 - (b) for the words from "an undertaking" to "those Regulations" there is substituted "an undertaking to whose transfer those Regulations apply", and
 - (c) for the words from "a part" to "a business" there is substituted "a part of that undertaking to whose transfer those Regulations apply".
 - (3) In subsection (5)-
 - (a) for the words from the beginning to "Regulations 1981" there is substituted "The Transfer of Undertakings (Protection of Employment) Regulations 2006",
 - (b) for "regulation 10", in both places where it occurs, there is substituted "regulation 13", and
 - (c) for "regulation 11" there is substituted "regulations 15 and 16".

```
Commencement Information
I15 Sch. 2 para. 4 in force at 6.4.2006, see reg. 1(2)
```

Dartford-Thurrock Crossing Act 1988

- **5.**—(1) Schedule 5 to the Dartford-Thurrock Crossing Act 1988(22) (transfers of staff) is amended as follows.
- (2) In paragraphs 3(1) and 4, for "the Employment Transfer Regulations", in both places where it occurs, there is substituted "the Transfer of Undertakings (Protection of Employment) Regulations 2006".
 - (3) In paragraph 4, for "Regulation 7" there is substituted "Regulation 10".

^{(21) 1986} c. 52.

^{(22) 1988} c. 20.

- (4) In paragraph 6—
 - (a) in sub-paragraph (2), for "this Schedule", in both places where it occurs, there is substituted "Part 1 of this Schedule", and
 - (b) after that sub-paragraph there is inserted—
 - "(3) Expressions used in Part 2 of this Schedule to which a meaning is given by the Transfer of Undertakings (Protection of Employment) Regulations 2006 have the same meaning in Part 2 of this Schedule."

```
Commencement Information
I16 Sch. 2 para. 5 in force at 6.4.2006, see reg. 1(2)
```

Atomic Weapons Establishment Act 1991

- **6.**—(1) Section 2 of the Atomic Weapons Establishment Act 1991(**23**) (provisions applying to the transfer of certain employees) is amended as follows.
 - (2) In subsection (1)—
 - (a) for the words from the beginning to "Regulations 1981" there is substituted "The Transfer of Undertakings (Protection of Employment) Regulations 2006", and
 - (b) for the words from "an undertaking" to "those Regulations" there is substituted "an undertaking to whose transfer those Regulations apply".
- (3) In subsection (2), for the words from "a part" to "a business" there is substituted "a part of that undertaking to whose transfer those Regulations apply".

```
Commencement Information
I17 Sch. 2 para. 6 in force at 6.4.2006, see reg. 1(2)
```

Railways Act 1993

7. In section 151 of the Railways Act 1993(24) (general interpretation), in subsection (6), for the words from "the Transfer" to the end there is substituted "the Transfer of Undertakings (Protection of Employment) Regulations 2006, in their application in relation to a relevant transfer within the meaning of those regulations".

```
Commencement Information

I18 Sch. 2 para. 7 in force at 6.4.2006, see reg. 1(2)
```

Employment Tribunals Act 1996

8. In section 4 of the Employment Tribunals Act 1996(25) (composition of a tribunal), in subsection (3)(ca), for the words from "regulation 11(5)" to "Regulations 1981" there is substituted "regulation 15(10) of the Transfer of Undertakings (Protection of Employment) Regulations 2006".

^{(23) 1991} c. 46.

^{(24) 1993} c. 43.

^{(25) 1996} c. 17.

```
Commencement Information
I19 Sch. 2 para. 8 in force at 6.4.2006, see reg. 1(2)
```

Industrial Tribunals (Northern Ireland) Order 1996

9. In Article 6 of the Industrial Tribunals (Northern Ireland) Order 1996(**26**) (composition of a tribunal), in paragraph (3)(ab), for the words from "regulation 11(5)" to "Regulations 1981" there is substituted "regulation 15(10) of the Transfer of Undertakings (Protection of Employment) Regulations 2006".

```
Commencement Information
120 Sch. 2 para. 9 in force at 6.4.2006, see reg. 1(2)
```

Employment Rights Act 1996

- 10. In each of the following provisions of the Employment Rights Act 1996(27), for the words from "Regulations 10" to "Regulations 1981" there is substituted "regulations 9, 13 and 15 of the Transfer of Undertakings (Protection of Employment) Regulations 2006"—
 - (a) section 47(1)(a) and (1A);
 - (b) section 61(1)(a);
 - (c) section 103(1)(a) and (2).

```
Commencement Information
121 Sch. 2 para. 10 in force at 6.4.2006, see reg. 1(2)
```

Employment Rights (Northern Ireland) Order 1996

- 11. In each of the following provisions of the Employment Rights (Northern Ireland) Order 1996(28) for the words from "Regulations 10" to "Regulations 1981" there is substituted "regulations 9, 13 and 15 of the Transfer of Undertakings (Protection of Employment) Regulations 2006"—
 - (a) Article 70(1)(a) and (1A);
 - (b) Article 89(1)(a);
 - (c) Article 134(1)(a) and (2).

```
Commencement Information
122 Sch. 2 para. 11 in force at 6.4.2006, see reg. 1(2)
```

⁽²⁶⁾ S.I. 1996/1921 (N.I. 18).

^{(27) 1996} c. 18.

⁽²⁸⁾ S.I. 1999/1919 (N.I. 16).

Income Tax (Earnings and Pensions) Act 2003

- 12.—(1) The Income Tax (Earnings and Pensions) Act 2003(29) is amended as follows.
- (2) In section 498 (no charge on shares ceasing to be subject to share incentive plan in certain circumstances), in subsection (2)(c), for the words from "a transfer" to the end there is substituted "a relevant transfer within the meaning of the Transfer of Undertakings (Protection of Employment) Regulations 2006".
- (3) In Schedule 2 (approved share incentive plans), in paragraph 32(2)(c), for the words from "a transfer" to the end there is substituted "a relevant transfer within the meaning of the Transfer of Undertakings (Protection of Employment) Regulations 2006".

Commencement Information 123 Sch. 2 para. 12 in force at 6.4.2006, see reg. 1(2)

Pensions Act 2004

- **13.**—(1) Section 257 of the Pensions Act 2004(**30**) (conditions for pension protection) is amended as follows.
 - (2) In subsection (1), for paragraph (a) there is substituted—
 - "(a) there is a relevant transfer within the meaning of the TUPE regulations,".
 - (3) Subsection (6) is omitted.
- (4) In subsection (8), in the definition of the "TUPE Regulations", for the words from "Transfer" to the end there is substituted "Transfer of Undertakings (Protection of Employment) Regulations 2006".

```
Commencement Information
124 Sch. 2 para. 13 in force at 6.4.2006, see reg. 1(2)
```

Energy Act 2004

- **14.**—(1) Paragraph 10 of Schedule 5 to the Energy Act 2004(**31**) (supplementary provisions about nuclear transfer schemes) is amended as follows.
- (2) In sub-paragraphs (1), (2) and (3), in each place where it occurs, for "1981 regulations" there is substituted "2006 regulations".
 - (3) In sub-paragraph (1)—
 - (a) after "an undertaking", in both places where it occurs, there is inserted "or business", and
 - (b) for "that undertaking or part" there is substituted "that undertaking or business or that part of an undertaking or business".
 - (4) After sub-paragraph (1), there is inserted—
 - "(1A) The 2006 regulations apply to a service provision change—

^{(29) 2003} c. 1.

^{(30) 2004} c. 35.

^{(31) 2004} c. 20.

Document Generated: 2024-02-29

Changes to legislation: The Transfer of Undertakings (Protection of Employment) Regulations 2006 is up to date with all changes known to be in force on or before 29 February 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) View outstanding changes

- (a) in accordance with a nuclear transfer scheme, or
- (b) in accordance with a modification agreement,

as if (in so far as that would not otherwise be the case) the references in those regulations to the transferor were references to the person by whom the activities affected by the service provision change were carried out immediately before the coming into force of the service provision change."

- (5) In sub-paragraph (2), after "a transfer" there is inserted "(or service provision change)".
- (6) In sub-paragraph (3), after "transfer", in both places where it occurs, there is inserted "(or service provision change)".
 - (7) In sub-paragraph (4), for the definition of "undertaking" there is substituted—
 "references to a service provision change are references to a service provision change falling within regulation 3(1)(b) of the 2006 regulations."

Commencement Information

I25 Sch. 2 para. 14 in force at 6.4.2006, see reg. 1(2)

Changes to legislation:

The Transfer of Undertakings (Protection of Employment) Regulations 2006 is up to date with all changes known to be in force on or before 29 February 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations.

View outstanding changes

Changes and effects yet to be applied to:

Regulations applied (with modifications) by 2014 c. 20 s. 9