

Policy Title: Compulsory Compliance Training Policy

Decision: Screen out the policy without mitigation

Contact: Elaine Fugard

Date of Completion: 22 September 2025

Part 1: Policy Scoping

Information about the policy

Name of the Policy

Compulsory Compliance Training Policy

Is this an existing, revised, or new policy?

New Policy

What is it trying to achieve? (For example, intended aims and outcomes)

The aim of the policy is to clearly define the purpose, expectations, requirements, and responsibilities for completion of Compulsory Compliance Training (CCT) at Ulster University; supporting and contributing to, in combination with other measures and approaches, safer work environments and practices in identified areas for both staff and the University as an employer.

The policy would also aim to clearly define the University's approach to non-compliance of staff in completing Compulsory Compliance Training.

Are there any Section 75 categories which might be expected to benefit from the policy? If so, explain how below.

Note: The Section 75 categories are:

- religious belief
- political opinion
- racial group
- age
- marital status
- sexual orientation
- sex (men and women generally)
- disability
- dependants

No, this policy is technical in nature and applies to everyone regardless of their section 75 category.

Who initiated or wrote the policy?

The Head of People Development initiated and wrote the policy under the governance of the Compulsory Compliance Governance Group.

Who owns and implements the policy?

The Chief People Officer owns the policy. All staff are responsible for its implementation.

Implementation factors

Are there any factors which could contribute to or weaken the intended aim or outcome of the policy?

Legal: Changes to legislation relating to health and safety, data protection and GDPR, cybersecurity and equality legislation, among other relevant topics, will have a bearing on the University's approach to mandatory training.

Main stakeholders affected

Who are the internal and external stakeholders (actual or potential) that the policy will impact upon?

- All Staff
- Trade Unions

Other policies with a bearing on this policy

What are they and who owns them?

Policy: Ulster University Disciplinary Procedure

Policy owner: Chief People Officer

Policy: Professional Development Policy

Policy owner: Chief People Officer

Policy: Data Protection Policy

Policy owner: Chief People Officer

Available evidence

What evidence or information (both qualitative and quantitative) have you gathered to inform this policy? Please specify details for each of the Section 75 categories below.

Religious Belief

The University's EO data were reviewed. On 6 February 2024, our staff profile was 52.0% Catholic and 48.0% Protestant. Compared with 6 February 2019, this indicates a 2.9% increase in Catholic staff.

Political Opinion

The University does not collect information on Political Opinion or make assumptions regarding Political Opinion based on Community Background.

Racial Group

The University's EO data were reviewed. On 6 February 2024, our staff profile was 92.8% White and 7.2% Black and Minority Ethnic (BME). This indicates a 1.8% increase in BME staff compared with 2019.

Our BME profile suggests that we are twice as diverse as the local population, as the Northern Ireland Census 2021 suggests that 3.4% of the NI population is BME.

Age

The University's EO data were reviewed. On 6 February 2024, 31.1% of our staff were in the 46-55 age band and 25.8% of staff were in the 36-45 age band. 26.2% of staff were aged '56 and above', which represents a 3.8% increase compared to 2019.

Marital Status

The University's EO data were reviewed. In February 2024, 56.0% of staff were 'Married or in a Civil Partnership', a decrease of 6.0% compared to 2019.

Sexual Orientation

The University's EO data were reviewed. In 2024, 74.0% of staff were 'Heterosexual'; 4.3% were 'LGBT+' and 21.4% were 'Not Known'.

Men and Women generally

The University's EO data were reviewed. In 2024, 58.0% of staff were 'Female'. This indicates a 2.0% increase in female staff compared with 2019.

Disability

The University's EO data were reviewed. In 2024, 6.0% of staff declared a disability, an increase of 1.2% compared with 2019.

Our disability declaration rate is lower than expected, compared with the local population. The NI Census (2021) found that 24% of the NI population stated that their day-to-day activities were limited because of a long-standing health problem or disability.

Dependants

The University's EO data were reviewed. In 2024, 43.8% of staff had dependants. This indicates a decrease of 3.9% compared with 2019.

Needs, experience and priorities

Taking into account the information referred to above, what are the different needs, experiences and priorities of each of the following categories, in relation to the particular policy or decision? (Please specify for each of the Section 75 categories below the needs, experiences and priorities)

Religious Belief

None Identified

Political Opinion

None Identified

Racial Group

None Identified

Age

None Identified

Marital Status

None Identified

Sexual Orientation

None Identified

Men and Women generally

None Identified

Disability

None Identified

Dependants

None Identified

Consultation

Consultation with relevant groups, organisations or individuals about the policy can provide useful information about issues or opportunities which are specifically related to them (that is evidence to inform the policy).

Please indicate whether you carried out or intend to carry out any consultation exercises prior to equality screening?

Yes, the following groups were consulted during the development of this policy:

- CCT Governance Group
- Trade Unions

Part 2: Screening questions

Introduction

The answers to the following screening questions will assist the University in making a decision whether or not there is a need to carry out an equality impact assessment on the policy. The following information is provided to help you to identify and comment on the level of likely impact of the policy in question 1 to 4.

Select 'major' impact if:

- a) The policy is significant in terms of its strategic importance;
- b) Potential equality impacts are unknown, because, for example, there are insufficient data upon which to make an assessment or because they are complex, and it would be appropriate to conduct an equality impact assessment in order to better assess them;
- c) Potential equality and/or good relations impacts are likely to be adverse or are likely to be experienced disproportionately by groups of people including those who are marginalised or disadvantaged;
- d) Further assessment offers a valuable way to examine the evidence and develop recommendations in respect of a policy about which there are concerns amongst affected individuals and representative groups, for example in respect of multiple identities;
- e) The policy is likely to be challenged by way of judicial review;
- f) The policy is significant in terms of expenditure.

Select 'minor' impact if:

- a) The policy is not unlawfully discriminatory and any residual potential impacts on people are judged to be negligible;
- b) The policy, or certain proposals within it, are potentially unlawfully discriminatory, but this possibility can readily and easily be eliminated by making appropriate changes to the policy or by adopting appropriate mitigating measures;
- c) Any asymmetrical equality impacts caused by the policy are intentional because they are specifically designed to promote equality of opportunities for particular groups of disadvantaged people;

- d) By amending the policy there are better opportunities to better promote equality of opportunity and/or good relations;
- e) Differential impact observed and opportunities exist to better promote equality of opportunity and/or good relations.

Select 'none' if:

- a) The policy has no relevance to equality of opportunity or good relations;
- b) The policy is purely technical in nature and will have no bearing in terms of its likely impact on equality of opportunity or good relations.

Taking into account the evidence presented in Part 1, please complete the screening questions (Question 1 to 4).

Screening questions

1. What is the likely impact on equality of opportunity for those affected by this policy, for each of the Section 75 categories?

Details of the likely policy impacts on **Religious Belief**

This policy is unlikely to impact on equality of opportunity for this category as it is technical in nature.

What is the level of impact?

None

Details of the likely policy impacts on **Political Opinion**

This policy is unlikely to impact on equality of opportunity for this category as it is technical in nature.

Level of impact

None

Details of the likely policy impacts on **Racial Group**

This policy is unlikely to impact on equality of opportunity for this category as it is technical in nature.

Level of impact

None

Details of the likely policy impacts on **Age**

This policy is unlikely to impact on equality of opportunity for this category as it is technical in nature.

Level of impact

None

Details of the likely policy impacts on **Marital Status**

This policy is unlikely to impact on equality of opportunity for this category as it is technical in nature.

Level of impact

None

Details of the likely policy impacts on **Sexual Orientation**

This policy is unlikely to impact on equality of opportunity for this category as it is technical in nature.

Level of impact

None

Details of the likely policy impacts on **Men and Women generally**

This policy is unlikely to impact on equality of opportunity for this category as it is technical in nature.

Level of impact

None

Details of the likely policy impacts on **Disability**

This policy is unlikely to impact on equality of opportunity for this category as it is technical in nature.

Level of impact

None

Details of the likely policy impacts on **Dependants**

This policy is unlikely to impact on equality of opportunity for this category as it is technical in nature.

Level of impact

None

2. Are there opportunities to better promote equality of opportunity for people within the Section 75 categories?

Religious Belief

No, this policy is technical in nature and will have no bearing in terms of its likely impact on equality of opportunity.

Political Opinion

No, this policy is technical in nature and will have no bearing in terms of its likely impact on equality of opportunity.

Racial Group

No, this policy is technical in nature and will have no bearing in terms of its likely impact on equality of opportunity.

Age

No, this policy is technical in nature and will have no bearing in terms of its likely impact on equality of opportunity.

Marital Status

No, this policy is technical in nature and will have no bearing in terms of its likely impact on equality of opportunity.

Sexual Orientation

No, this policy is technical in nature and will have no bearing in terms of its likely impact on equality of opportunity.

Men and Women generally

No, this policy is technical in nature and will have no bearing in terms of its likely impact on equality of opportunity.

Disability

No, this policy is technical in nature and will have no bearing in terms of its likely impact on equality of opportunity.

Dependants

No, this policy is technical in nature and will have no bearing in terms of its likely impact on equality of opportunity.

3. To what extent is the policy likely to impact on good relations between people of different religious belief, political opinion or racial group?

Religious Belief

Details of the likely policy impacts on **Religious Belief**

This policy is unlikely to impact on good relations between people of different religious beliefs as it bears no relation to good relations.

Level of impact
None

Political Opinion

Details of the likely policy impacts on **Political Opinion**

This policy is unlikely to impact on good relations between people of different political opinions as it bears no relation to good relations.

Level of impact
None

Racial Group

Details of the likely policy impacts on **Racial Group**

This policy is unlikely to impact on good relations between people of different racial groups as it bears no relation to good relations.

Level of impact
None

4. Are there opportunities to better promote good relations between people of different religious belief, political opinion or racial group?

Religious Belief

No, this policy is technical in nature and unlikely to impact on good relations between people of different religious beliefs.

Political Opinion

No, this policy is technical in nature and unlikely to impact on good relations between people of different political opinions.

Racial Group

No, this policy is technical in nature and unlikely to impact on good relations between people of different racial groups.

Additional considerations

Multiple identity

5. Generally speaking, people can fall into more than one Section 75 category. Taking this into consideration, are there any potential impacts of the policy or decision on people with multiple identities? (For example, disabled minority ethnic people; disabled women; young Protestant men, and young lesbians, gay and bisexual people).

No, this policy is technical in nature and will have no likely bearing in terms of its impact on equality of opportunity.

Disability Duties

6. Does the policy provide an opportunity to encourage disabled people to participate in University life?

No, this policy is technical in nature.

7. Does the policy provide an opportunity to promote positive attitudes towards disabled people?

No, this policy is technical in nature.

Part 3: Screening decision

Based on the evidence considered and outlined in Part 1 and the responses to the screening questions (Part 2), please indicate the screening decision for this policy.

- ☐ **Screen in** the policy (that is, subject to an Equality Impact Assessment). The likely impact is **major** in respect of one, or more of the equality of opportunity or good relations categories.
- ☒ **Screen out** the policy without mitigation or an alternative policy proposed to be adopted (that is, **no** Equality Impact Assessment). The likely impact is **none** in respect of all of equality of opportunity or good relations categories.
- ☐ **Screen out** the policy and **mitigate the impacts on equality by amending or changing the policy**, or by **developing an alternative policy or action** (that is, **no** Equality Impact Assessment). The likely impact is **minor** in respect of one or more of the equality of opportunity or good relations categories.

If the decision is to subject the policy to an equality impact assessment (that is, 'screen in' the policy), please provide details of the reasons.

Not applicable.

If the decision is not to conduct an equality impact assessment (that is, 'screen out' the policy), please provide details for the reasons.

The likely impact is 'none' in respect to all the equality of opportunity and good relations categories.

The aim of the policy is to clearly define the purpose, expectations, requirements, and responsibilities for completion of Compulsory Compliance Training at Ulster University; supporting and contributing to, in combination with other measures and approaches, safer work environments and practices in identified areas for both staff and the University as an employer.

The policy would also aim to clearly define the University's approach to non-compliance of staff in completing Compulsory Compliance Training.

In line with University policy the procedure will be reviewed two years after it has been implemented and if necessary amended.

If the decision is not to conduct an equality impact assessment (that is, 'screen out' the policy), and mitigate the impacts on equality of opportunity by amending or changing the policy, or by developing an alternative policy or action, please provide reasons to support your decision, together with the proposed changes, amendments or alternative policy.

Not applicable.

Timetabling and prioritising

If the policy had been '**screened in**' for an equality impact assessment, then please answer the following questions to determine its priority for timetabling the equality impact assessment.

On a scale of 1 to 3, with 1 being the lowest priority and 3 being the highest, assess the policy in terms of its priority for equality impact assessment.

Priority rating for timetabling the equality impact assessment in terms of effect on equality of opportunity and good relations:

Not applicable.

Priority rating for timetabling the equality impact assessment in terms of social need

Not applicable.

Priority rating for timetabling the equality impact assessment in terms of effect on people's daily lives

Not applicable.

Priority rating for timetabling the equality impact assessment in terms of relevance to the University's functions

Note: The Total Rating Score will be used to prioritise the policy in rank order with other policies screened in for equality impact assessment. This list of priorities will assist the University in timetabling. Details of the University's Equality Impact Assessment Timetable will be included in its quarterly Screening Reports.

Is the policy affected by timetables established by other relevant public authorities?

Not applicable.

Approval and authorisation

Screened by:



Position or Job Title: Director of Employee Experience: People and Culture

Date screened: 2 July 2025



Approved by:

Position or Job Title: Chief People Officer

Date approved: 22.09.2025

Review

This policy is due for review (in terms of its impact on equality of opportunity and good relations) by the policy owner on: 22 September 2027