Compulsory Compliance Training Policy

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Policy Owner	**Policy Author/Reviewer**
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Queries relating to this document should be directed to the Policy Owner – Elaine Fugard, e.fugard@ulster.ac.uk This document can be made available on request, in alternative formats and in minority languages to meet the needs of those who are not fluent in English.	

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Policy Summary Infographic

Compulsory Compliance Training (CCT) Policy Summary



Policy Aim

Collaborate to foster a safe, informed and compliant work culture through clear training expectations and responsibilities.

Policy Objectives

- Strengthen institutional risk management
- Ensure staff are aware of training requirements
- Promote a culture of shared responsibility
- Offer clear guidance on compliance training

Roles and Responsibilities

All Staff: Complete assigned training within 60 days
Line Managers: Communicate expectations and monitor progress
People Development: Manage training delivery and records
Senior Leadership: Promote a culture of compliance and allocate resources
Governance Group: Provide policy oversight

What is CCT?

Statutory and Mandatory training required for legal, regulatory or institutional compliance, including:

- Health and Safety
- Equality, Diversity and Inclusion
- Data Protection / GDPR
- Cyber Security Awareness
- Fraud Prevention
- Plus role-specific training as required

Non-Compliance May Lead To

- Formal reminders
- Escalation to management
- System access restrictions
- Disciplinary action (for persistent non-compliance)

Who Must Comply?

All Ulster University staff - regardless of contract type.

Need Help? Contact PDOD@Ulster.ac.uk

Policy Aim

This policy aims to clearly define the expectations, requirements, and responsibilities associated with the completion of Compulsory Compliance Training (CCT) at Ulster University. It reflects the University's commitment to fostering a safe and compliant working environment for all colleagues. In doing so, it promotes a culture of shared responsibility by working in partnership, aiming to support one another in fulfilling training obligations and building a stronger, more informed community.

The policy also outlines the University's supportive approach to addressing instances of non-compliance of completion, with a focus on engagement, accountability, and positive outcome.

Definition

CCT refers to statutory and mandatory training modules identified by the University as essential for legal, regulatory, or institutional compliance. These currently include:

- Health and Safety
- Equality, Diversity, and Inclusion
- Data Protection and GDPR
- Cybersecurity Awareness
- Fraud Awareness and Prevention

A full and up-to-date list of all CCT for colleagues is available on the People Development webpages.

Scope

This policy applies to all staff of Ulster University regardless of their contract type.

There may be adjustments to all staff completion requirements as indicated or relevant depending on the nature and location base of the role. For example, a member of staff who is fully remote with no campus presence may not be required to complete fire safety training.

Policy Objectives

- Support institutional risk management through consistent and timely training.
- Ensure all colleagues understand the CCT requirements.
- Promote a culture of shared responsibility by working in partnership, aiming to support one another in fulfilling training obligations.

- Provide clear guidance on roles, responsibilities, and consequences of non-compliance with training completion.

Additional Role-Specific Training

In addition to the CCT required for all colleagues, there may be additional training specific to some roles. This role-specific training is essential for ensuring that colleagues are equipped with the necessary skills and knowledge to perform their duties effectively and safely. Your line manager will guide you on any role-specific training requirements and ensure you have access to the necessary resources.

Roles and Responsibilities

All Colleagues

- Complete all assigned training within the specified timeframes.
- Self-evaluate, identify, and apply any additional resources that will support compliance in work activities as required.
- Stay informed about new or updated training requirements.
- Request support if facing barriers to completion of training or compliance in related work activities.

Line Managers

- Ensure colleagues are aware of their training obligations.
- Monitor completion and follow up on non-compliance.
- Support colleagues in accessing and completing training, providing allocated work time in which to complete.
- Escalate persistent non-compliance to the next line of management level.

People Development / People and Culture

- Coordinate training delivery and maintain accurate records of completion.
- Communicate training requirements and deadlines.
- Provide technical and procedural support.
- Report compliance data to senior leadership.

Senior Leadership and Heads of Department

- Promote a culture of compliance and accountability.
- Ensure departmental adherence to training requirements.
- Allocate resources to support training completion.

Compulsory Compliance Training Governance Group

- Oversees and advises on CCT at Ulster University.

- Evaluates and makes determinations on whole organisation CCT allocation.
- Oversees that training is consistent, effective, and aligned with university strategy.
- Monitors completion rates and recommends interventions if needed.
- Updates and maintains CCT policy.

Training Delivery and Completion

Training will be delivered via the University's learning platform. Colleagues will be notified of training allocation requirements via email, teams, and/or internal systems, they should also be advised by their line manager.

Standard completion timeframe: within 60 calendar days of assignment. Refresher training may be required periodically, typically every 1–3 years depending on the topic.

Compliance Monitoring Timeline

Milestone	Action
Day 0	Training assigned and notification sent to the colleague.
Day 15	First reminder issued to colleagues who have not completed training.
Day 30	Second reminder issued to colleagues who have not completed training. Line manager is also notified at this stage to support completion and notifies PD of mitigating circumstances.
Day 55	Final reminder issued to colleagues who have not completed training, highlighting escalation measures as outlined in the policy; line manager receives a 2nd notification of approaching due date and connects with colleague to ensure completion.
Day 60	Notification issued to colleague confirming they are now overdue, that the matter is to be escalated as outlined in the policy, and encouraging completion as soon as possible. Manager escalates unresolved non-compliance to senior management.
Ongoing	Highlight and encourage use of live reporting dashboards within the system, both for users to review their

	own compliance and managers to monitor across their team.
Quarterly	People Development reports compliance rates to Senior Leadership Team.
Annually	Policy and training content reviewed and updated as needed.

In cases of long-term absence, the university will endeavor to ensure that colleagues do not receive continual prompts for training completion during this period and the escalation process is suspended. Line managers should co ordinate with People Development to support these adjustments.

Non-Compliance

Failure to complete CCT will result in:

- Formal reminders and follow-up communications
- Escalation to line managers
- Escalation to Head of Department/School.

Further failure to complete compulsory training may result in:

- Potential restrictions on access to related systems or responsibilities, for example removal of access to a finance approval process.
- Delays in successful completion of probation
- Disciplinary action in line with university policy for persistent non-compliance.

Monitoring and Review

People Development will monitor compliance and report quarterly to the senior leadership team. This policy will be reviewed annually to ensure relevance and effectiveness.
Feedback from colleagues and departments will inform future updates.

Policy Contact

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