

Mandatory Compliance Training Procedure

Section 1 - Scope

- (1) This procedure applies to all staff of the University herein collectively referred to as 'you' for the purpose of this procedure.
- (2) For the purpose of this procedure, references to 'the University' includes staff at the University of Newcastle ('us', 'our' or 'we').

Section 2 - Procedure Statement

- (3) This procedure outlines the requirement to complete mandatory compliance training.

Section 3 - Mandatory Compliance Training

- (4) The University is required to ensure that its staff understand and acknowledge certain compliance obligations. The mandatory compliance training has been developed to meet certain compliance obligations required of the University. These obligations include ensuring staff are informed and understand their responsibilities in meeting these obligations. Meeting these compliance obligations is not optional.
- (5) Mandatory compliance training is delivered via online training modules through the relevant learning management system.
- (6) You must complete the relevant mandatory compliance training (the 'modules') within 1 month of commencement or at an alternative time as directed or agreed by the University.
- (7) Completion of the modules is reflected in your relevant learning management system.
- (8) Each module has a period of validity, after which you must complete "refresher" training to ensure your knowledge remains current.
- (9) Towards the end the validity period, we will email your University email account to advise you:
- a. the modules due for completion and the specified timeframe for completion;
 - b. the relevant link for accessing the training modules; and
 - c. that the training is mandatory, and the email constitutes a directive from the Chief People and Culture Officer as a nominee of the Vice-Chancellor.
- (10) '[Schedule 1 - Modules to be completed](#)' outline the required modules for completion and their validity periods, dependent on your engagement type.
- (11) You are responsible for ensuring you complete the mandatory compliance training. Your supervisor is responsible for ensuring you have the time to complete the relevant modules.

(12) If you have not completed the modules within the relevant timeframe, we will notify you and your supervisor via email.

(13) Failure to complete the training modules by the required deadline may amount of Misconduct / Serious Misconduct as defined in your [Enterprise Agreement](#) which could lead to disciplinary action.

(14) Supervisors who fail to ensure their staff complete the required modules may have demonstrated underperformance of their duties as a supervisor which could lead to disciplinary action in accordance with the applicable [Enterprise Agreement](#), relevant instrument of appointment and/or applicable contract terms.

(15) Heads of unit/departments will be provided with a report identifying staff who have not completed the training and should discuss non-completion of the modules with the staff member and/or supervisor. HRServices should be contacted regarding underperformance or disciplinary action.

(16) The University's senior management will be periodically informed of completion rates across the University.

Section 4 - Definitions

| | |
|---|--|
| Associated workforce | Means any person appointed by the University to participate in University activities in an unpaid capacity and are not employees of the University. The associate workforce includes (but is not limited to), honorary appointments such as Adjunction and Emeritus Professors, Conjoint Appointments, Contractors, University Visitors, and Affiliates. |
| Head of Unit | The head of an academic or organisational work unit, for example Head of School, Head of Department or where applicable, a person acting as his or her nominee. |
| Mandatory Compliance Training (Modules) | Staff training mandated by legislation, regulation or policy. It is designed to educate staff and other affiliates on relevant legislation, key policies and responsibilities and obligations relevant to their job function or industry. |

Status and Details

| | |
|-----------------------|--|
| Status | Current |
| Effective Date | 13th October 2022 |
| Review Date | 13th October 2025 |
| Approval Authority | Chief People and Culture Officer |
| Approval Date | 4th October 2022 |
| Expiry Date | Not Applicable |
| Responsible Executive | Martin Sainsbury Chief People and Culture Officer martin.sainsbury@newcastle.edu.au |
| Enquiries Contact | Martin Sainsbury Chief People and Culture Officer martin.sainsbury@newcastle.edu.au <hr/> Human Resource Services |

Glossary Terms and Definitions

"University" - The University of Newcastle, a body corporate established under sections 4 and 5 of the University of Newcastle Act 1989.

"Disciplinary action" - When used in relation to staff of the University, this is as defined in the applicable and current Enterprise Bargaining Agreement, or the staff member's employment contract. When used in relation to students of the University, this is as defined in the Student Conduct Rule.

"Staff" - Means a person who was at the relevant time employed by the University and includes professional and academic staff of the University, by contract or ongoing, as well as conjoint staff but does not include visitors to the University.

"Supervisor" - Staff members with direct supervisory responsibility for other staff within the workplace (a Supervisor may also be member of Senior Management, with duties as an Officer as defined in the Work Health and Safety Act 2011, or any replacing legislation).