Lincolnshire Community Health Services **NHS**

NHS Trust

# Mandatory  Training Policy

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|---|---|
| Reference Number: | P_HR_37 |
| Version: | 3 |
| Ratified by: | LCHS Trust Board |
| Date Ratified: | 8th March 2016 |
| Name of originator/author: | Khonzie Ndlovu-Gachengo |
| Name of responsible committee/individual: | Employment Policy Group/ JCNC |
| Date issued: | March 2016 |
| Review Date: | February 2018 |
| Target Audience: | All LCHS Staff |
| Distributed via: | Website |

# Lincolnshire Community Health Services NHS Trust

# Version Control Sheet

# Mandatory Training Policy

| Version | Section/Para/ Appendix | Version/Description of Amendments | Date | Author/Amended by |
|---|---|---|---|---|
| 1 | | NEW Policy | Sept – Nov 2012 | Mandy Harsley |
| 2 | Whole Document | Full review – no changes to be made | October 2013 | Mandy Harsley |
| 2.1 | | Extension | Oct 15 | |
| 2.2 | | Extension agreed to allow for consolidation of policies | Dec 15 | EPG |
| 3 | Whole Document | Policy reviewed by Employment Policy Group | February 2016 | EPG |
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Chair: Elaine Baylis QPM
Chief Executive: Andrew Morgan

# Lincolnshire Community Health Services NHS Trust

## Policy Statement

## Mandatory Training Policy

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|---|---|
| **Background** | Lincolnshire Community Health Services NHS Trust aims to provide the highest quality care to all patients using its services. In order to minimise risk to both patients and staff, all staff are required to attend mandatory training to deliver safe effective service in their area of work.<br>The purpose of this policy is to provide guidance to managers and staff on the arrangements for mandatory training within the Trust. |
| **Statement** | The policy applies to all staff employed by the Trust. This includes Non-executive Directors, permanent staff, temporary staff (bank and those on fixed term or honorary contracts) and regular volunteer staff. Temporary staff employed via agencies and contractors must have their mandatory training needs met via their employer before starting work with the Trust. |
| **Responsibilities** | It is an expectation that all staff employed by the Trust will attend mandatory training as set out in the mandatory training requirement within this policy. Attendance will be facilitated and monitored in accordance with the procedures set out and will form the basis of regular monitoring reports to Trust Board.  Service leads have responsibility to manage and monitor the staff attendance at mandatory training and ensure their employees comply with the standards set out within this policy. |
| **Training** | Mandatory training includes all the statutory training the Trust must provide in order to comply with legislation. There may be other mandatory training requirements that the Trust elects to provide in order to maintain good practice and staff development. This training may be a requirement of certain advisory, consultative or accreditation organisations. |
| **Dissemination** | Website |
| **Resource Implication** | Adequate budgets are required to enable employees to access mandatory training |

Chair: Elaine Baylis QPM
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# Lincolnshire Community Health Services NHS Trust

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# Lincolnshire Community Health Services NHS Trust

## Mandatory Training Policy

### 1. Introduction and Principles

This policy sets out the framework for ensuring that all staff receive corporate mandatory training according to the mandatory training matrix. The matrix has been developed to ensure that the organisation complies with the NHS Litigation Authority Risk Management Standards, Care Quality Commission Essential Standards and the Health and Safety Executive requirements.

This policy must be read in conjunction with the Trust induction policy which outlines how the Trust will ensure that all new employees attend a Trust Induction Programme which will include initial mandatory training pertinent to their role.

Inherent within all of its practices, the organisation is committed to the principles of diversity, equality of treatment and equality of opportunity and believes that direct or indirect discrimination against any person is unacceptable. This policy aims to ensure that no employee receives less favourable treatment on the grounds of gender, sexual orientation, civil partnership/marital status, colour, race, nationality, ethnic or national origins, creed, religion/belief, disability, age or trade union membership, or is disadvantaged by conditions or requirements which are not justified by the job.

For the purposes of this policy mandatory training is any statutory training or compulsory training that the Trust requires its employees to undertake:

- To comply with the law and requirements of regulatory bodies

- To carry out duties safely and efficiently

- To reduce/address areas of risk

- To maintain competence to the required standards indentified by external bodies

### 2. Mandatory Training

Mandatory training is a requirement determined by the organisation and stipulated as a minimum requirement and is, therefore, compulsory. Mandatory training is concerned with minimising risk, providing assurance against policies and ensuring the organisation meets external standards.

A variety of methods are available for staff to in order to receive mandatory training. These include taught sessions/programmes and e-learning. The method of delivery and required frequency is identified in the mandatory training matrix. Subject Matter Experts (SME) are expected to keep up to date with changes in legislation, national directives and requirements within their own area of responsibility and liaise with the Education and Training Team to ensure training implications are indentified and appropriate training organised, provided and recorded centrally.

Other training may be deemed to be essential for specific roles within the Trust or for specific staff following developments in service delivery.

## 3.    Roles and Responsibilities

### 3.1. The Role of the Trust Board/Management Board

The organisation has a responsibility to monitor that mandatory training is available to and accessed by the workforce. Quarterly Workforce reports will be made available to the Boards and to key stakeholders to ensure compliance. To ensure a suitable framework of statutory and mandatory requirements is identified for all staff and appropriate learning approaches are put in place to support the framework and demonstrate staff competence, the organisation is committed to ensuring that adequate provision is made for associated training and assessment and for staff to be released to comply. As evidence of this commitment, the cost of mandatory training will be funded in full by the organisation.

All Trust Board members will attend the Corporate Induction and annual programme of mandatory training (accessed via the Board Development Programme) to include risk management training to meet NHS Litigation Authority Standards

### 3.2. The Role of LCHS NHS Trust Workforce Services , Education and Training Team

The **Workforce Services**, **Education and Training Team** will:

- Produce an annual 'Mandatory training Matrix' approved by the Trust Board to include all aspects of statutory and mandatory training ensuring that it meets national and Trust requirements.

- Provide/arrange mandatory training for all staff to meet the organisation's specified mandatory training requirements and monitor attendance monthly, providing risk management reports on non-attendance monthly to the Senior HR Business Partners (SHRBP's).

- Ensure that all staff are aware of the availability of mandatory training via the Trust website.

- Ensure that accurate training records are maintained and there is a clear process for booking and cancelling training. A process is in place for following up non-attendance by informing the individual's manager of their non-attendance and the need to re-book.

- Ensure a process is in place for identifying individuals whose training is not up to date and this information is made available to SHRBP's and line managers.

- Ensure that a robust process is in place for following up of non-attendance by informing the individual's manager of their non-attendance and the need to rebook.

- Manage the training budget.

Ensure that in circumstances where training has to be cancelled by the Education and Training Team, the department will contact the individuals by email and/or telephone contact, leaving messages with managers where the individual cannot be contacted.

### 3.3. The Role of Managers

The direct responsibility for training and developing individual members of staff or groups of staff members rests with their line manager. In the case of Board members, responsibility for ensuring training compliance will be overseen by the Trust Board Secretary.  All managers must, therefore,

ensure that their staff have an individual plan in place to access and attend mandatory training according to their job role, before considering further development opportunities and the manager will:

- Ensure that they are aware of the mandatory training requirements identified within the LCHS Mandatory Training Matrix (available via the LCHS website) for their staff's individual job role and ensure that they have an plan for ensuring that mandatory training is attended and non-compliance managed  Should a member of staff persistently fail to attend mandatory training, it is the responsibility of the employee's manager to escalate non-compliance through the disciplinary process for an employee's failure to comply with their terms and conditions of employment

- Ensure that all their staff have attended and are up to date with the relevant mandatory training for their role prior to attending any other training.

- Plan the attendance of their staff at the relevant mandatory training and give protected time to attend.

- Ensure that during the annual appraisal they:

  ➤ Check compliance with mandatory training
  ➤ Check required competences
  ➤ Indentify learning needs and refresher requirements

- Follow up staff who have failed to attend booked mandatory training, investigate why and ensure that training is arranged as soon as possible

## 3.4. The Role of Employees

The employee must ensure that they are aware of the mandatory training requirements identified within the LCHS Mandatory Training Matrix (available via the LCHS website) for their individual job role and ensure that they have an individual annual plan for ensuring that mandatory training is attended.

Employees are expected to prioritise and attend all identified training and learning opportunities unless there are exceptional circumstances which must be discussed and agreed with their line manager prior to any cancellation of attendance.

Employees will be invited to disclose any access, dietary or other specific requirements they may have in order that the organisation can ensure they receive support to help them benefit fully from learning and development interventions. This may take the form of preferential seating, information in Braille, change of venue etc.

Employees will be expected to familiarise themselves with the Delegate Code of Practice which is available from the facilitator at all training events.

## 3.5. The Role of the Subject Matter Expert

It is the responsibility of the Subject Matter Expert to:

- Plan, deliver, evaluate and continually improve training sessions/programmes ensuring that they are evidence based and compliant with trust policy.

- Ensure that participants record their attendance at sessions using the sign in sheet

- Ensure that sign in sheets are returned to E-Workforce and Performance to enable accurate recording and reporting

- Contribute to the evaluation, review and development of mandatory training as required.

## 4. Risk Management Training

The organisation has a systematic approach to ensuring that all staff, including all Board members receives relevant and timely risk management training as detailed in the NHSLA minimum data set (See Appendix 1). Training and development helps an employee to achieve the organisational goals as well as their individual goals. Training is also an essential control measure when managing risks associated with the provision of healthcare. A lack of training can be a contributory factor in incidents, therefore if staff have been trained appropriately to undertake their duties the risks of an error or omission occurring can be reduced (NHSLA Risk Management Standards 2012-13).

## 5. Recording, Reporting and Monitoring Mandatory Training

Line managers and HR need to continuously emphasise the requirement for all staff to attend mandatory training as identified in their personal development plan and in the training needs analysis process each year. Failure to do so carries an unacceptable risk to the organisation of there being inadequate levels of skill and knowledge to effectively and safely deliver services. Failure of staff to meet their training obligation will produce an inability to meet the required level of competency and therefore jeopardise patient safety, organisational protocols and may affect professional registration and fitness to practice. The organisation's Performance and Capability policy will be invoked for any member of staff failing to undertake mandatory training and may lead ultimately to disciplinary action.

Accurate recording of mandatory training records is essential as it provides the evidence of compliance required by internal and external assessing bodies. All mandatory staff training/learning event attendance is recorded on the Trust's Learning Management System.

- All staff attending mandatory training events must sign the attendance record in order that their attendance can be recorded accurately by E-Workforce and Performance administration team, following receipt of the attendance record sheet.

- Each time a participant fails to attend a mandatory training event E-Workforce and Performance generates an email to the Senior HR Business Partner and participants manager which outlines what the participant has not attended and advising them that the participant is required to re-book their training as soon as is practicably possible.

- Attendance on mandatory training is monitored via reports to the Senior Management Team; monthly reports detailing staff who are non-compliant and staff who will become non-compliant in the next quarter are available to Business Partners and managers via 'QlikView' self-accessed management system.

- In addition to levels of attendance the Education and Training Team will monitor the levels of cancellation.

- It is the responsibility of the line manager to ensure that all staff within their management attend mandatory training and have systems in place to identify individuals who are non-compliant with their training.

- The effectiveness of the mandatory training programme is monitored by a written evaluation from each member of staff attending. The evaluations are collated, analysed and learning points considered with the Subject Matter Expert if required.

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Chief Executive: Andrew Morgan

## 6. Equality of Access

The organisation is committed to ensuring that staff are not subjected to discrimination in recruitment, promotion, access to training and career advancement, and as such invites requests from all staff attending training to identify any support they may require.

It is recognised that there will be occasions when staff may not be able to attend all or some of the corporate mandatory training due to disability or unavoidable domestic or other commitments. In these instances the manager in consultation with the Education and Training Team must make alternative arrangements to ensure that these staff are able to complete the mandatory training requirements for their post without discrimination.

If line managers do identify specific needs for an individual, then a member of the Education and Training Team will contact the individual to discuss in confidence any support required to enable them to achieve full compliance with mandatory training.

## 7. Introduction of New Mandatory Training

All new corporate mandatory training will be introduced following Trust procedure to ensure a coordinated and streamlined approach. A specific learning needs analysis is required for any new training initiative to include:

- Clear rationale
- Learning objectives
- Description of standards being met
- Description of risks being mitigated
- An implementation plan

The implementation plan should include:

- Methodology and format for delivery
- Training needs analysis for who the training is for and why
- Resources in place to deliver
- Plans for evaluation

## 8. Monitoring, Audit and Review

LCHS will monitor the policy to ensure its successful adoption and implementation. Specific areas of the policy will be monitored on a regular basis against the training matrix.

It will be the responsibility of the LCHS education and training team and workforce services in conjunction with all directorates to monitor the overall effectiveness of the Mandatory Training Policy. To inform this process this will be through KPI reporting on a monthly, quarterly and yearly. The report will include information gathered from the various audits and reporting systems specified and it will highlight serious problems and deficiencies should these exist.

| Minimum requirement for policy to be monitored | Process for monitoring | Responsible Individuals | Frequency of monitoring | Responsible for review of results | Responsible for development | Responsible for monitoring of HR Polices |
|---|---|---|---|---|---|---|
| Every two years | Employment Policy Group (EPG)<br><br>JCNC<br><br>Trust Board | HR & OD | Monthly Board Reporting<br><br>Monthly EPG monitoring | EPG<br><br>Trust Board<br><br>HR Policy Lead | HR Policy lead | Employment Policy Group (EPG) |

# Appendix 1  NHSLA Minimum Data Set

Subject: Clinical Supervision
Provider:  Clinical Trainer (LCHS)
Updates:  None, one off training

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
|  |  | Yes | Yes | Yes | Yes |  |  |  |

Subject: Risk Management Awareness
Provider:  ELearning or face to face with a training package agreed by subject matter expert
Updates:  Annually

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
| Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |

Subject: Clinical Risk Assessment and Management
Provider: Clinical Governance Leads
Updates: One off Training

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
| Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |  |

Subject: Hand Hygiene
Provider: Infection Control and Prevention Nurse
Updates: Annually

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
| Induction | Induction | Induction | Yes | Yes | Yes | Yes | Yes | Induction |

Subject: Information Governance
Provider: ELearning or face to face with a training package agreed by subject matter expert)
Updates: Annually

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
| Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |

Subject: Moving and Handling
Provider: Back Care Trainer
Updates: 2 yearly

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
| Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |

Subject: Safeguarding Children
Provider: Named Nurses for Safeguarding
Updates: Annually

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
| Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |

Subject: Safeguarding Adults
Provider: Safeguarding Leads supported by Education and Training Team
Updates: Annually

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
| Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |

Subject: Slips, trips and falls
Provider: Clinical Governance Lead and Back Care trainers
Updates: Annually

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
| Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |

Subject: Inoculation Incidents
Provider: National Core Learning via OLM
Updates: Annually

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
|  |  | Yes | Yes | Yes | Yes |  | Yes |  |

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Subject: Bullying and Harassment Training
Provider: ELearning or face to face with a training package agreed by subject matter expert
Updates: 3 yearly

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
| Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes |

Subject: Health Care Record Keeping
Provider: Clinical Trainers
Updates: Annual

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
|  |  |  | Yes | Yes | Yes | Yes | Yes |  |

Subject: Consent Training (within Safeguarding Adults level 2 Training)
Provider: Clinical Trainers
Updates: 3 yearly

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
|  |  | Yes | Yes | Yes | Yes | Yes | Yes |  |

Subject: Violence and Aggression Training (Conflict Resolution)
Provider: Wider Workforce Educator
Updates: 3 yearly

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
|  |  | Yes | Yes | Yes | Yes | Yes | Yes | Front of house |

Subject: Investigation of incidents, Complaints and Claims
Provider: ELearning or face to face with a training package agreed by subject matter expert
Updates: Induction then annually

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
|  |  | Yes | Yes | Yes | Yes |  | Yes |  |

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Subject: Blood Transfusion
Provider: Clinical Educator
Updates: 3 yearly

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
| | | | | Louth site | | | | |

Subject: Venous Thromboembolism
Provider: Clinical Educator
Updates: 3 yearly

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
| | | | | Inpatient sites | Inpatient sites | | Inpatient sites | |

Subject: Medicines Management
Provider: ELearning or face to face with a training package agreed by subject matter expert
Updates: Annual

| Trust Board | Directors | Managers | Doctors | Nurses | AHP's | Scientific | Clinical Support | Corporate, Clerical and Admin |
|---|---|---|---|---|---|---|---|---|
| | | Yes | Yes | Yes | Yes | | Yes | |

# Appendix 2  Mandatory Training Assurance Procedure

| | | |
|---|---|---|
| Employee physically signs in when attending a mandatory training module | → | Employee is given responsibility to ensure their attendance is confirmed by physically signing register on arrival, failure to do so will be registered as non-attendance |
| ↓ | | |
| Employee's attendance updated on ESR system within 5 working days | → | Information transferred onto ESR system as record and proof of attendance |
| ↓ | | |
| Cancellations and DNA's are referred to SHRBP's on the same day where possible and no later than 2 working days for investigation | → | Details of any non attendees are immediately notified to appropriate SHRBP's |
| ↓ | | |
| SHRBP's to investigate reasons for non attendance within 5 working days | → | SHRBP's to contact line managers to establish reasons for DNA and cancellation. Line managers to have documented conversation with employee |
| ↓ | | |
| Employee to rebook themselves on the next available module. Cancellations to be rebooked in consultation with employee by E-Workforce and Performance | → | Go back to step 1 |
| ↓ | | |
| Employee fails to attend for second opportunity | → | Manager to have documented conversation with employee which may be used as part of formal procedures |
| ↓ | | |
| Investigate appropriate procedures with employee or line manager for reason for non-attendance | → | If reason for DNA is still valid go back to step 1. Individual cases with 2 unauthorised DNA's will be considered under disciplinary procedure |

Any disciplinary outcome will include a timescale for compliance for those specific cases.
Failure to comply with the outcome may result in further disciplinary action.

**Appendix 3**

# Equality Analysis

**Name of Policy:**
Mandatory Training Policy

**Equality Analysis Carried out by: Khonzie Ndlovu-Gachengo**
**Date: December 2015**
**Equality & Human rights Lead: Qurban Hussain**

**Director\General Manager: Maz Fosh**

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**\*In this template the term policy\service is used as shorthand for what needs to be analysed. Policy\Service needs to be understood broadly to embrace the full range of policies, practices, activities and decisions: essentially everything we do, whether it is formally written down or whether it is informal custom and practice. This includes existing policies and any new policies under development.**

| | | |
|---|---|---|
| A. | Briefly give an outline of the key objectives of the policy; what it's intended outcome is and who the intended beneficiaries are expected to be | The purpose of this policy is to provide guidance to arrangements for mandatory training within the Trust. The policy applies to all staff employed by the Trust. This includes Non-executive Directors, permanent staff, temporary staff (bank and those on fixed term or honorary contracts) and regular volunteer staff. Temporary staff employed via agencies and contractors must have their mandatory training needs met via their employer before starting work with the Trust. Any request for a reasonable adjustment including BSL signer must be made in advance and will be accommodated on the day of training. It is an expectation that all staff employed by the Trust will attend mandatory training as set out in the mandatory training requirement within this policy. Attendance will be facilitated and monitored in accordance with the procedures set out and will form the basis of regular monitoring reports to Trust Board. Service leads have responsibility to manage and monitor the staff attendance at mandatory training and ensure their employees comply with the standards set out within this policy. |
| B. | Does the policy have an impact on patients, carers or staff, or the wider community that we have links with? **Please give details** | Yes– it supports safer care for patients by having a workforce that is trained for the role they are performing |
| C. | Is there is any evidence that the policy\service relates to an area with known inequalities? **Please give details** | No |
| D. | Will/Does the implementation of the policy\service result in different impacts for protected? | No |

| | | Yes | No | |
|---|---|---|---|---|
| | Disability | | x | |
| | Sexual Orientation | | x | |
| | Sex | | x | |
| | Gender Reassignment | | x | |
| | Race | | x | |
| | Marriage/Civil Partnership | | x | |
| | Maternity/Pregnancy | | x | |
| | Age | | x | |
| | Religion or Belief | | x | |
| | Carers | | x | |

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