



# EDUCATION, TRAINING AND DEVELOPMENT POLICY

Policy reference –HR19

SUMMARY	To provide a process and framework for support to managers and employees to access induction, education, training, development and appraisals.
AUTHOR	Learning and Development/Human Resources
VERSION	Version 1.7 - FINAL
EFFECTIVE DATE	17 <sup>th</sup> July 2017
APPLIES TO	Single shared management policy revised, amended and applicable to all NHS Airedale, Wharfedale and Craven, Bradford City and Districts CCGs employees
APPROVAL BODY	Senior Management Team of the CCG
RELATED DOCUMENTS	Managing Concerns with Performance Policy Health and Safety Policy Pay Progression Policy Grievance Policy Study Leave Policy
REVIEW DATE	July 2020

## CCGs working together

Airedale, Wharfedale and Craven CCG  
Bradford City CCG  
Bradford Districts CCG

# THIS POLICY HAS BEEN SUBJECT TO A INITIAL EQUALITY IMPACT ASSESSMENT

## VERSION CONTROL SHEET

Version	Date	Author	Status	Comment
1.1	26.03.14	Wendy Kelvin	Draft	
1.2	16.07.14	Alison Ewart	Draft	Updated
1.3	19.01.2015	Joanne Stephenson	Final	Updated
1.4	21.01.2015	Alison Ewart	Final	SMT
1.5	01.04.2015	Joanne Stephenson	Final	Updated
1.6	29.09.2015	Joanne Stephenson/Tazeem Hanif	Revised	Updated  Amendments made to the policy and taken to the West Yorkshire HR Policy Sub Group on 29.09.2015 to consult on changes.
1.6	02.12.2015	Tazeem Hanif	Final	Ratified at the Social Partnership Forum
1.7	28.06.2017	Tazeem Hanif/Joanne Somers	Draft	AWC CCG and Bradford City and Districts policies merged to reflect single shared management arrangements.  Change in logo, front sheet, 6.4, 8.2, 8.3, 9.4,9.6, 15.1 and 17  Amended policy consulted with Trade Unions at the HR Policy Workshop and comments incorporated.
1.7	17.07.2017	Tazeem Hanif	Final	Ratified at SMT

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## **1. PURPOSE**

- 1.1 This policy sets out the approach to establishing the infrastructure required to fulfil the organisation's commitment to, lifelong learning and to support the workforce in adapting to new ways of working. The organisation also wants its employees to be clear how the organisation demonstrates this commitment, in order that they can play their own part, given that learning and development is mutually beneficial to both themselves and the organisation.
- 1.2 The policy aims to:
- Provide employees and managers with clear guidance on the principles and processes with regard to education, training and development.
  - Provide managers with a clear framework by which they can manage and support the development of employees including making decisions regarding funding and time off.
  - Provide employees with clear guidance on the parameters and criteria. that will apply to learning and development activities, including `time off` and funding that they may be offered.
  - Confirm and specify the organisation's commitment to equipping employees with the necessary skills required to undertake their roles competently and confidently as the key to delivering the NHS vision of patient centred care.

## **2. SCOPE**

- 2.1 This policy has been developed in line with the organisations overall vision and strategy and reflects a belief in the need to develop all permanent and temporary employees (those on a fixed term contract) as defined by the Employment Rights Act 1996, whether employed on a full time or part time basis.
- 2.2 This policy covers the broad categories within education, training and development and will apply to the various activities that employees undertake in relation to their employment including: induction, statutory and mandatory training, protected learning time and appraisal.
- 2.3 This policy relates to staff with an employed status. The principles of the policy also apply to Governing Body Members and where appropriate Clinical Leads, agency staff, contractors, seconded staff and volunteer staff. The level of support will depend upon the nature and duration of the contract and the capability requirements of the post.

## **3. EQUALITY STATEMENT**

- 3.1 In applying this policy, the organisation will have due regard for the need to eliminate unlawful discrimination, promote equality of opportunity, and provide for good relations between people of diverse groups, in particular on the grounds of the following characteristics protected by the Equality Act (2010); age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sexual orientation. An Equality Impact Assessment is attached.

## **4. ACCOUNTABILITY**

- 4.1 The Chief Officer is accountable for this policy.

## **5. IMPLEMENTATION AND MONITORING**

- 5.1 The Senior Management Team is responsible for formal approval and monitoring compliance with this policy. Following ratification the policy will be disseminated to staff via the organisations intranet.
- 5.2 The policy and procedure will be reviewed periodically by Learning and Development and Human Resources in conjunction with managers and Trade Union representatives where applicable. Where Learning and Development and Human Resources review is necessary due to legislative change, this will happen immediately.

## **6.0 RESPONSIBILITIES**

- 6.1 Good working relations are vital for the organisation to operate successfully and provide services. There is a joint responsibility for management, trade unions and employees to accept the responsibility of working together on issues in good faith and with the shared intention of facilitating good working relations.

### **6.2 Employees**

It is the responsibility of employees to ensure that they:

- regard statutory and mandatory training as a priority.
- report non-attendance for training and reason.
- record development activity undertaken and the resources/time invested in it.
- comply with the requirements of the induction process, statutory/mandatory training; appraisal process and protected learning time process, which includes completion of the relevant application forms and providing any supporting evidence.
- feedback, share or present work and learning undertaken within the limits of any confidentiality provisions.

### **6.3 Line Managers**

It is the responsibility of line managers to ensure that they:

- identify protected time within their diaries to provide a quality and informative induction which covers familiarisation with the working environment, policies, procedures and guidelines specific to the role in which they are employed.
- identify protected time within their diaries for appraisals and book appraisals with their team in line with pay progression timescales.
- provide employees with protected time to meet the requirements of the induction process, appraisal process and statutory and mandatory training as a priority.
- enable employees to transfer learning to the workplace.
- clarify the minimum skill set requirement for their service prior to agreeing any application for protected learning time.
- record development activity undertaken and the resources/time invested in it.
- follow the process / criteria as set out in this policy before decisions about protected learning time are made.
- conduct an additional induction for employees returning to the organisation after an absence of 6 months or more due to maternity, paternity and adoption leave, a career break, secondment or long term sickness.

## 6.4 Learning and Development Service

It is the responsibility of the Learning and Development team at Bradford District Care NHS Foundation Trust (BDCFT) to ensure that:

- training programmes are commissioned to meet the quality standards agreed with the commissioning organisation.
- records of attendance are maintained and reasons for non-attendance at induction and statutory and mandatory training, ensuring personal records are updated.
- they report on attendance and compliance at individual and organisational level in the agreed format.
- they maintain records of appraisals undertaken and reports on uptake in the agreed format.
- they evaluate training to ensure consistent quality.
- they meet delegate's access, dietary or specific requirements as a reasonable adjustment.
- they conduct training needs analysis or reports as agreed within the Service Level Agreement.
- employees newly recruited to the organisation are supported to meet induction requirements (where locally agreed)
- advice, assistance and guidance is provided to employees and managers on the application of this policy and failures to comply with the expectations of this policy.

## 7. PRINCIPLES

- 7.1 The policy must be applied in the context of the individual job role and engagement arrangements to ensure support requested is appropriate, justified and proportionate. The level of support will depend upon the nature and duration of the contract and the capability requirements of the post.
- 7.2 The organisation will apply criteria as set out in this policy in making decisions regarding the funding and time off to pursue development activities. The criteria seeks to provide a common framework that will apply to all employees to achieve consistency and equity, whilst also allowing flexibility to accommodate specific circumstances and requirements, at the discretion of Senior Managers.
- 7.3 All development activity must be founded on needs evident in organisational, workforce, and individual development plans, and endorsed by a manager authorised to do so by the organisation. Resources invested in development activity will be prioritised. Every effort should be made to ensure that the effects of development activity being undertaken does not unduly disadvantage individuals, their colleagues, groups of staff, or the service. Managers need to ensure there is clarity with regards to support which should be fair and proportionate to the role and individual need.

## **8. INDUCTION**

- 8.1 Induction is the start of a “contractual” relationship between the organisation and its employees and is fundamental in setting standards and influencing patterns of behaviour for the future. It is recognised that an effective induction process is an invaluable way of ensuring that new employees know and understand the values of the organisation and the part they play in upholding these in the work they do. It is also an important way of helping new employees understand the services provided and the relationships between different teams in delivering these.
- 8.2 Line managers are responsible for ensuring all employees receive a local induction via completion of the Induction Booklet. Induction activity as identified within the Induction Booklet should be fully completed and recorded as complete within two months’ of starting in the organisation. This includes submitting a copy of the booklet to the HR Central Services team through HRSolutions for recording compliance and for a copy to be placed on the HR personal file. The Induction Booklet is provided by Human Resources via an induction pack on the first day of employment.
- 8.3 Line managers are also responsible for completing a temporary workers induction checklist booklet for all non-directly employed staff such as agency workers and contractors. Health and safety matters and information governance must be covered as a basis in addition to any role specific areas as identified by the line manager. The checklist should be sent to the HR Central Services team through HRSolutions again within a 2 month period of the assignment.
- 8.4 As a small organisation a corporate induction is not provided. However organisational wide monthly team briefs are held by senior managers as an opportunity to hear key messages and provide feedback. Employees will be expected to attend team briefs and keep up to date with other formal methods of communication such as the e-bulletin. Further information to support the local induction is also available on the website and via staff handbooks.

## **9. STATUTORY AND MANDATORY TRAINING**

- 9.1 Statutory training is laid down by law, primarily in section 2 of the Health and Safety at Work Act (1974). Mandatory training is training recognised by the organisation as essential for someone to safely undertake a task or role, or to comply with other organisational policies and strategies, for example, for the development of the organisation.
- 9.2 Training defined as statutory or mandatory is not an option and must be kept up to date as a priority. All employees will be supported to complete statutory and mandatory training in working time. The Statutory and Mandatory Training Matrix individual to each organisation outlines the required topic, level, frequency, duration and delivery method of all required courses for:
- All employed staff
  - Governing Body Members
  - Employees with higher level requirements
- 9.3 This also covers specific “contractual” or similar mandatory requirements as required by the employed role, which require employees to dedicate time to continuing

professional development and evidence of keeping up to date with their professional practice.

- 9.4 Statutory/Mandatory training requirements will be the first priority for personal development, and are governed by this policy in that respect. Managers and employees have a responsibility to ensure:
- Statutory/Mandatory training requirements are identified at induction and reviewed during the appraisal process.
  - The opportunity to attend training is provided and taken.
  - Appropriate training records are maintained by both the employee and the organisation.
- 9.5 Upon appointment, all statutory/mandatory training should be completed within three months of the starting date. Priority should be given to complete Information Governance, Fire Safety, Safeguarding Adults, Safeguarding Children and Health and Safety in the first instance as soon as reasonably practicable. For non-directly employed staff (i.e. agency/contractors) the line manager should decide if they are required to complete any modules depending on the nature and length of the role.
- 9.6 Governing Body members will be expected to transfer their statutory and mandatory training compliance from their employer, or access the organisations packages where appropriate. A copy of certificates should be provided to the HR Central Services team through HRSolutions for compliance to be recorded.
- 9.7 Monthly dashboard activity will be produced in relation to Statutory/Mandatory training for the organisations review and action. This will form the basis of a regular “conversation” with line managers in order to ensure agreed performance indicators are being met.

## **10. APPRAISAL**

- 10.1 The organisation recognises appraisal as an important process for employees and managers. Appraisal gives employees the opportunity to engage in a dialogue about performance and development to ensure:
- Employees are clear about what they have to achieve and objectives are agreed
  - Achievements and strengths are recognised and contributions are valued
  - Positive and constructive feedback is given
  - Development needs and opportunities are identified and action plans created
- 10.2 The Appraisal documentation sets out the framework for assessment and records ongoing conversations which will be used as evidence towards incremental Pay Progression. The documentation should be used in conjunction with regular one to ones. Appraisal is a joint ongoing activity where both employees and managers have responsibility for making appraisal successful. Every employee is entitled to and required to participate in the process. Line managers must ensure appraisals are booked with employees they manage at least 2 months before their increment date.
- 10.3 A formal annual assessment will take place on the achievement of objectives and demonstration of the organisations values/behavioural framework which sets out to describe behaviours which support the organisations vision and values. Objectives will be agreed with the employee as part of the induction process and must be based on SMART methodology.



## **11 PERSONAL DEVELOPMENT PLAN**

- 11.1 The Personal Development Plan (PDP) forms part of the appraisal documentation. It is a set of learning activities designed to address specific identified needs for an employee's professional or personal development. Consideration must be given to any development gaps and support the employee needs to achieve their objectives. These must form part of the PDP to ensure achievement of objectives is realistic. Priority should be given to development that is essential to achieving objectives and performance in the job.
- 11.2 In addition to the essential, job-specific, development needs, consideration should also be given to the employee's future career ambitions so appropriate support can be given around "stretch" opportunities to develop future potential. There may also be some development needs agreed which are desirable to the organisation but not essential to the job which are agreed.
- 11.3 Managers and employees must sign and date the review and monitoring section page of the documentation at the required intervals. A copy of documentation must be sent to Learning and Development when the objectives and PDP is agreed (to enable development needs to be captured) and at the annual review stage (to enable appraisal compliance to be logged on the dashboard). Appraisal guidance and documentation can be found on the intranet.

## **12. RESOURCE ALLOCATION FOR TRAINING AND DEVELOPMENT ACTIVITIES**

- 12.1 The Employee Study and Training (Procedural Requirements) Regulations 2010 gives employees the right to request time off to train or study. Under the regulation there is no absolute right to take time off for training, and no requirement for employers to pay employees during the time off or to pay for the training itself. The organisation does however recognise the importance of investing in training and development for employees. On that basis the organisation will consider requests and may allocate support in terms of time and funding in line with procedures. Employees may therefore apply for various training, training and development activities in relation to their employment. These may be delivered by internal provision or commissioned via external providers. In order to apply for organisational support with long or short development activities, line managers should encourage that the applicant's statutory and mandatory training is up to date and the development need is identified as part of their personal development plan.

### 13 APPLYING FOR PERSONAL DEVELOPMENT ACTIVITIES

- 13.1 Development activities can be applied for using the Further/Higher Education Approval Form via the Line Manager and should be agreed as appropriate to the role in which the post holder is employed. The form is available on the workforce website. This may include e-learning packages above statutory and mandatory training, continued professional development (CPD), coaching, action learning sets or any other training package or course.
- 13.2 Line managers have responsibility for approving any time or funding for development activities by using the Further/Higher Education Approval form. In making this decision they should consider the relevance and benefit of the development to the role, individual, team and organisation. How workload will be covered for any time out and the departmental budget available for training if applicable. If the amount allocated exceeds the training budget per head, authority must be sought from a member of SMT. Each business case will be reviewed on a case by case basis.

***A copy of the signed form should be sent to the Learning and Development Team. For any queries, please email HRSolutions@bdct.nhs.uk***

- 13.3 Travel and course materials associated with a course of study can be applied for. Employees may request support with these costs via their line manager and team budget. Employees should also be aware that they are responsible for any costs not agreed by the organisation or associated partners. Employees must arrange separate invoices where the cost is split between themselves and the organisation. The organisation will not pay the full cost and recover the balance from employee's salaries.
- 13.4 In the interest of public money it is important significant investment made in employees development is retained in the NHS for a period of time to which the benefits can be realised. Where an employee voluntarily resigns from the organisation part way through or within 18 months of completing a development activity and does not undertake alternative NHS employment, may be subject to repayment on a sliding scale basis. This is only applicable to funding given for non-essential job requirements. For example an employee who undertakes a course where £1800 is supported by the organisation who leaves 12 months after completing the course, they will be asked to repay  $6/18 \times £1800 = £600$  (i.e. for the 6 months remaining from the total 18 months they were required to stay in the organisation to fulfil the full 18 month criteria). Employment with another NHS employer will only be accepted where documentary evidence of the alternative employment is provided by the employee. Employees may also be required to repay any financial support where they remain in employment but do not complete the development activity, unless there are exceptional circumstances.

- 13.5 Employees will be informed either approving support and setting out the specific conditions or declining support with an explanation. Where support is given in work time to undertake part of a dissertation/assignment, the final document is owned by the individual but the content must be made available to view by the organisation. Reasons for not approving requests may include the training not improving the employee's effectiveness, time off having a detrimental effect on the organisation performance, additional costs, unable to reassign work for the period of time out of the organisation or if there is not enough work to undertake when the employee proposes to work to cover the missed time.

#### **14. OTHER LEARNING ACTIVITIES**

- 14.1 Employees who wish to engage in learning activities during working time that are outside the remit of the above may be able to do so in consultation with their line manager for example informal work shadowing. Line Managers are expected to consider requests within the spirit of the policy. Any decision will take into consideration the ability to continue normal service; fair practice and budget implications.

#### **15. RECORDS**

- 15.1 All development activity must be identified, submitted, processed, evaluated and recorded, using the system agreed within service level agreements. Records of development activity undertaken and the resources/time invested in it must be kept, by the individual, in their personal portfolio, and line managers should ensure copies are placed on the employee's personal file via the HR Central Services team through HR Solutions.

#### **16. DEALING WITH A DISPUTE**

- 16.1 Employees who feel they have been treated unfairly by refusal of study leave or funding should initially raise their concern with their line manager. Where resolution cannot be achieved through informal discussion, an employee may put forward a grievance in line with the guidelines set down in the organisation's Grievance Policy.

#### **17. CONSULTATION, APPROVAL AND RATIFICATION**

- 17.1 The HR Policy Workshop which is composed of management, staff side and HR representatives considers all draft HR policies and guidance. All members have the opportunity to make comments and suggestions on the document content which is debated within the group and amendments made and agreed.
- 17.2 The CCGs Senior Management Team and/or other relevant Committees ratify the final HR policies. The role of the Staff Partnership Forum is to discuss and minute the policies and procedures that are submitted to the HR Policy Workshop.

## Equality Impact Assessment

<b>Title of policy</b>	Education Training and Development Policy	
<b>Names and roles of people completing the assessment</b>	Nadeem Murtuja, E&D	
<b>Date assessment started/completed</b>	05/03/14	Review date July 2020

### 1. Outline

<b>Give a brief summary of the policy</b>	To provide a process and framework for support to managers and employees to access Induction, Learning and Development & Appraisals.
<b>What outcomes do you want to achieve</b>	Equitable access to learning and development support to demonstrate competence within role employed.

### 2. Evidence, data or research

<b>Give details of evidence, data or research used to inform the analysis of impact</b>	The impact assessment is informed and supported by a holistic performance framework for equality and diversity across the suite of HR policies.
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### 3. Consultation, engagement

<b>Give details of all consultation and engagement activities used to inform the analysis of impact</b>	Consultation has taken place with management sub groups of the CCG's and staff.
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### 4. Analysis of impact

This is the core of the assessment, using the information above detail the actual or likely impact on protected groups, with consideration of the general duty to; eliminate unlawful discrimination; advance equality of opportunity; foster good relations			
	<b>Are there any likely impacts? Are any groups going to be affected differently? Please describe.</b>	<b>Are these negative or positive?</b>	<b>What action will be taken to address any negative impacts or enhance positive ones?</b>
<b>Age</b>	No		
<b>Carers</b>	No		
<b>Disability</b>	Yes, it may be appropriate	Yes	Alternative formats of

	due to disability to provide learning and development within alternative formats.		learning and development.
<b>Sex</b>	No		
<b>Race</b>	No		
<b>Religion or belief</b>	No		
<b>Sexual orientation</b>	No		
<b>Gender reassignment</b>	No		
<b>Pregnancy and maternity</b>	No		
<b>Marriage and civil partnership</b>	No		
<b>Other relevant group</b>	No		
<b>5. Monitoring, Review and Publication</b>			
<b>If any negative/positive impacts were identified are they valid, legal and/or justifiable? Please detail.</b>		No anticipated detrimental impact on any equality group. The policy is applicable to all employees and adheres to the NHS Litigation Authority Standards, statutory requirements and best practice. Makes all reasonable provision to ensure equity of access to all employees. There are no statements, conditions or requirements that disadvantage any particular group of people with a protected characteristic.	

<b>5. Monitoring, Review and Publication</b>	
<b>How will you review/monitor the impact and effectiveness of your actions</b>	<p>The % of people from equality protected characteristic groups that have been supported to undertake relevant training and development opportunities to carry out their respective role effectively.</p> <p>Ensure that training and development opportunities either make concession or are arranged at a time that will enable attendees to practice their religion or belief.</p> <p>Ensure reasonable adjustments are made so that materials used for training and development purposes fully consider the diversity of the workforce and are reasonably adjusted taking on board the needs for people with visual impairments, hearing and their respective participation requirements.</p> <p>Ensure that all training programmes are fully evaluated</p>

	and consider each protected characteristic individually to increase learning.		
<b>Lead Officer</b>	L&D/HR	<b>Review date:</b>	July 2020

<b>6. Equality and Diversity Sign off</b>			
Equality Lead Officer	Nadeem Murtuja		
		<b>Date approved:</b>	April 2014

<b>7. Sign off</b>			
<b>Lead Officer</b>	Fiona Jeffrey		
<b>Director</b>	Associate Director of Corporate Affairs	<b>Date approved:</b>	October 2015