



**Coventry and
Warwickshire**
Integrated Care Board

Learning and Development Policy

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| Reference Number: | This will be applied to all new ICB-wide PPSs by the Governance and Corporate Affairs Team and will be retained throughout its life span. |
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| Name of reviewer and title: | Theresa Nelson, Chief People Officer, ICB |
| Department: | Corporate Office |

VERSION HISTORY

| Date | Version | Changes made to previous version | Consulting and Endorsing Stakeholders, Committees / Meetings / Forums etc. |
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1 INTRODUCTION

- 1.1 The purpose of the NHS Coventry and Warwickshire Integrated Care Board ('ICB') Learning and Development Policy is to ensure that the ICB is resourced, at all times, with people who have the appropriate competence and experience to enable the ICB to achieve their purpose and meet future needs.
- 1.2 Personal and professional development for all staff is a key element in the Organisational Development of the ICB and its workforce, to meet the future challenges of commissioning services to ensure they are of a high quality and put patients first. The ICB is committed to continually improving the opportunities available to staff to enable them to reach their full potential.
- 1.3 The purpose of this policy is to ensure that the education, training and development of the ICB's staff is relevant, effective and timely. The policy clarifies the roles and responsibilities of those involved in the staff development process and outlines a framework through which the ICB provides a continuous programme of staff and organisational development. This influences the value and support of any work undertaken whilst ensuring that the development objectives of individuals, teams and the organisation are met, and that service delivery, quality and performance are of the highest standard possible.
- 1.4 This policy links to the ICB's Performance Development Review Framework which provides guidance on the annual appraisal and Personal Development Review process. This links to the national Pay Framework, introduced on 1st April 2019. From that date, those promoted internally; new starters joining the ICB from another NHS employer in a higher grade; as well as those appointed from non-NHS organisations, the PDR Framework links appraisal outcomes directly to Pay-Step progression. Therefore, it is essential that any development needs are identified at appraisal, and every effort is made to meet them via the Learning and Development policy.
- 1.5 The Pay Framework, and the ICB's PDR Framework, require line managers to ensure that all of the staff under their management receive annual appraisals, and directly links Pay-Step progression for line managers to the 100% completion of all such appraisals.

2 PRINCIPLES

- 2.1 The guiding principles underpinning this policy are:-
 - Every member of staff is required to demonstrate continual development both professionally and personally as appropriate to their role, and as such this policy is relevant for all staff regardless of grade/band.
 - Not all development opportunities are derived from a formal training course. A range of development opportunities is available to staff, which includes both formal and informal activities. This ensures that individual learning preferences are taken into account.
 - All development events, irrespective of who organises and delivers them, should conform to good practice guidelines in order to ensure quality.
 - Staff have access, wherever appropriate, to accredited training and development.
- 2.2 This document applies to all NHS staff employed by the ICB, including those who are seconded out to another organisation, and will be applied consistently and equitably to all staff. It does not apply to staff employed by other organisations and seconded into the ICB (those staff are the responsibility of their substantive employer), agency staff or contractors (e.g. those engaged on a contract for service).
- 2.3 The policy should be read in conjunction with the ICB's Performance and Development Review Framework.
- 2.4 The ICB will advertise learning, training and development programmes and opportunities which may arise.

- 2.5 Learning and development needs may be identified and addressed at individual, group and organisational level.
- 2.6 Learning and development needs may be identified through structured discussion between individuals and groups and their managers, taking into account the needs of specific roles, other identified competencies and personal goals.
- 2.7 Training activities may be used to facilitate change by broadening the outlook of individuals or by providing what is necessary to enable them to manage, or cope with change.
- 2.8 Development may also be used to help individuals develop skills and gain qualifications which will contribute to the development of their work and equip them for their future career.
- 2.9 Learning and development provision may encompass a wide range of activities including classroom training, coaching, mentoring, shadowing, secondments, workbooks and workshops, self-study and Further Education.
- 2.10 All learning and development activity will be evaluated to ensure that appropriate development activity has been undertaken. Evaluation information will also be used to review and improve the quality of the learning and development provision.
- 2.11 Evaluation will be used to ensure staff are benefiting from these activities to improve overall effectiveness at work, and to ensure that the financial commitment made by the organisation to develop its staff is well invested.

3 RESPONSIBILITIES

3.1 Line Manager Responsibilities

- It is the responsibility of line managers to conduct appraisals to identify the training, development and support needs of their staff.
- Ensure plans are developed to help meet identified learning and development needs.
- Ensure that training and development activities are completed by staff appropriately within agreed timescales; are evaluated and recorded.
- Ensure that their staff are trained to carry out their present job effectively and receive training to develop them for future opportunities.
- Provide on the job training where possible.
- Provide opportunities for personal development, for example by exploring new areas of work when appropriate.
- Review, monitor and evaluate development activities and their effectiveness.
- Identify opportunities to practise new skills and demonstrate knowledge.
- Record the training and development activity of each employee within their team on the Electronic Staff Record (ESR) system, including all such activity which is not statutory or mandatory.

3.2 Employee Responsibilities

- Each member of staff must participate in and engage with the annual appraisal/PDR process.
- Take personal responsibility to participate actively in training to enable them to carry out their work effectively and efficiently.
- Look for and identify their own training needs and discuss the development and implementation of an agreed development plan with their line manager.
- Participate in development activities offered by the ICB/their line manager.
- Monitor their Personal Development Plan and evaluate any development activities they

undertake against their plan.

- Spend time on their own self development.
- As part of 'good practice', staff undertaking external study must share key learning points from their development. As a guide, the following options are usually beneficial:
 - Brief colleagues on key learning points in team meetings;
 - Provide copies of useful material, (subject to permissions), for interested colleagues;
 - Provide feedback on the overall value of the study for the relevant Directorate, as this may help guide future participants towards appropriate opportunities.
- In accepting study support, employees undertake to complete the course of study and any associated assessments in full, and are responsible for providing evidence of their yearly, modular or exam results to their line manager. These will be retained with copies of any further education documentation on the individual's personnel file.

3.3 Human Resources (HR)

- Ensure robust records are kept of all learning and development activities undertaken within the ICB.
- Monitor progress against the ICB's Organisational Development Plan.

4 DEFINITIONS

- **Continuous Professional Development (CPD)** - The systematic maintenance, improvement and broadening of knowledge, skills and the personal qualities necessary for the execution of professional and technical duties throughout the individual's working life.
- **Development** - Growth and the realisation of potential. Development is a longer-term investment, providing people with a framework that enables them to benefit from learning opportunities in a way that helps the employee personally in their current role and future career.
- **Knowledge and Skills Framework (KSF)** - The Knowledge and Skills Framework provides an NHS-wide framework which supports personal, service and career development. The KSF framework is entirely generic and covers all staff groups covered by Agenda for Change terms and conditions, but excludes doctors, who have their own arrangements in place.
- **Learning** - An end result or outcome, defined as a change in perspective or capability, (behaviour, knowledge or attitude), whether of individuals, teams, or the organisation as a whole.
- **Statutory and Mandatory training** - Mandatory training is the training that the ICB requires a member of staff to have in order to ensure a safe environment for patients, visitors and staff. This includes 'Statutory' training to comply with legislation, policy, protocols, external regulating bodies such as the National Health Service Litigation Authority, and role requirements. Individuals must undertake specified statutory and mandatory training, including updates, within the given annual time frame. For those members of staff affected by direct links to Pay-Step progression within paragraph 1.5, the national Pay Framework, and the ICB's PDR Framework, require these staff to meet 100% completion of all Statutory and Mandatory training they are required to undertake in any year.
- **Optional Training** - Optional training is training that is pertinent to an individual's personal and career requirements. If study leave or financial support is required from the ICB, the support must be agreed by the line manager before a course or other training intervention is booked or purchased.
- **Trainer Provider** - Individual, group or body providing a learning or educational experience or programme.
- **Training** - The acquisition of skills to a set standard, through instruction and practice, within an agreed timescale. Training is usually concerned with improving capability of how something is done, and covers business, technical and professional knowledge and skills.

5 MANDATORY TRAINING REQUIREMENTS

- 5.1 The ICB aims to be able to report 100% compliance for all of their employees with regards to their mandatory training. For clarity, the training stipulated by the Core Skills Training Framework to be undertaken by all employees is as follows:

| Course Title | Refresher period: | Applicable to: |
|--|-------------------|------------------|
| All staff | | |
| Data Security Awareness | 1 year | All Staff |
| Managing Conflicts of Interest – Module 1 | 1 year | All Staff |
| Equality, Diversity and Human Rights | 3 years | All Staff |
| Fire Safety | 2 years | All Staff |
| Health and Safety | 3 years | All Staff |
| Infection Control - Level 1 | 3 years | All Staff |
| Moving & Handling | 3 years | All Staff |
| PREVENT Awareness | 3 years | All Staff |
| Safeguarding Adults Level 1 | 3 years | All Staff |
| Safeguarding Children Level 1 | 3 years | All Staff |
| Job Specific | | |
| PREVENT Level 3 | 3 years | Post Specific |
| PREVENT Level 4 | 3 years | Post Specific |
| PREVENT Level 5 | 3 years | Post Specific |
| Safeguarding Children Level 3 | 3 years | Post Specific |
| Safeguarding Children Level 5 | 3 years | Post Specific |
| SIRO / Information Asset Owner | 1 year | Post Specific |
| Adult Basic Life Support | 1 year | NMC Registration |
| Continuing Health Care (CHC) | 3 years | NMC Registration |
| Safeguarding Adults Level 2 | 3 years | NMC Registration |
| Safeguarding Children Level 2 | 3 years | NMC Registration |

6 PROCEDURE

- 6.1 Training requirements should be identified by staff and managers on an ongoing basis. This is an essential part of the Appraisal process as outlined in the Personal Development Review Framework.
- 6.2 When training requirements are identified as a result of a group, directorate or organisational need, approval of development activity should be authorised by each relevant employee's line manager, on an ongoing basis.
- 6.3 It may be appropriate to consult with training contacts to agree funding and resources which may be provided locally.
- 6.4 All training and development initiatives should be evaluated appropriately by the individual and manager as part of ongoing performance management and Appraisal processes.
- 6.5 All training activities that occur should be recorded on ESR.

7 TYPES OF TRAINING

Meeting Development Needs

7.1 Owing to the wide variety of needs and differing learning styles of staff, a variety of development methods are available. It is the responsibility of each line manager to identify with the individual member of staff the most appropriate method of addressing development needs.

Examples include:-

- Internal Courses
- Using in-house expertise
- External Courses
- Study – leading to formal qualifications which is relevant both to the individual and organisation
- Self-directed studying/research projects
- Conference attendance either as a participant or as a speaker
- Audit activity
- Job shadowing or secondment
- On-the-job training
- E-learning
- Distance learning

7.2 As a result of financial and other resource constraints, it is necessary for both individuals and line managers to prioritise access to development events. Consequently, there may be occasions when meeting an identified development need may be delayed or cancelled due to higher priorities.

Where the prioritisation is based on financial constraints, the budget holder will make the final decision after consultation as necessary with the line manager concerned. Any individual member of staff affected must always be informed personally by their line manager of the decision reached and the basis of the decision. Any training application declined, should be documented on the Learning & Development Application Form (Appendix 1).

7.3 Managers should also note that:

- In order to support assessed work, it may be necessary for employees to request the ICB data/information. Such requests should be agreed, provided that they are reasonable and conform to organisational protocols on the release of such information.
- In many cases it is necessary to access material and complete assessed work electronically. It is therefore important that wherever possible, employees are given reasonable access to information technology equipment in order to do this. Note however that software outside of the standard packages intended for inclusion on the ICB's computers will not be installed.

Continuing Professional Development (CPD) and Clinical Revalidation

7.4 For all clinical staff, revalidation is the integrated process by which clinicians prove that they are fit to practice. Revalidation reassures, as far as is possible, individual patients, the public, colleagues and the NHS that individuals are up-to-date and fit to practice. It promotes Continuing Professional Development (CPD) amongst clinicians; encourages improvement in the quality of care, patient safety, team-working, communications and appropriate behaviours.

- 7.5 All staff are expected to take personal responsibility for their Continuing Professional Development (CPD) and meeting the requirements of their professional bodies. For this reason, the ICB will support staff in enabling them to meet with Mentors etc. during work-time where it is reasonable to do so.

Anyone who is unable to meet the requirements of their professional body should discuss the matter with their line manager who will assist them.

Absence

- 7.6 Attendance on a course (including mock examinations, revision courses and examinations) is to be treated in the same way as attending work:
- Any absence from a course must be approved in the same way as absence from work.
 - Absence because of sickness must be reported to the employee's line manager, as well as the college, and the rules for submitting medical certificates (under the Absence Management Policy) followed.
 - Leave is not allowed at times when the employee should be attending college and medical, dental appointments etc. should be arranged at other times.
 - Unauthorised absence from college will be treated as unauthorised absence from work.

Formal Qualifications & Studies

- 7.7 It will be the responsibility of the employee to register for courses within the prescribed timescales.
- 7.8 With regard to Study Leave & Exams, the following must be undertaken:-
- The employee should provide their Line Manager with evidence of course schedules in advance of attendance.
 - Course attendance for relevant sessions and exams on planned days will be paid.
 - If the employee is exempt from a subject or is not required to attend college, they should attend work for the whole or remainder of that day.
 - Study Leave or Annual Leave must be used for attending mock exams.
 - Where a trainee is required to re-sit an exam, they will be expected to use annual leave to do so.

Funding for External Courses/Resources

- 7.9 If employees wish the ICB to fund external study, books and/or course materials towards external study, they must obtain the approval of their Line Manager by completing the Learning & Development Application Form (Appendix 1 of this policy).
- 7.10 Any application to fund external study must be completed prior to enrolment on the course(s), and employees must meet have:
- Completed all statutory and mandatory training;
 - Completed an up to date performance appraisal and personal development plan, or six month performance review (Employees currently in their first 6 months of employment with the ICB will be exempt from this requirement).
- 7.11 As professional training courses are expensive to the ICB, both financially and in respect of time commitment, the ICB also expects a commitment from the employee to remain in employment with the ICB for 24 months following completion of the course and/or exam. Failure to remain within the employment of the ICB for a minimum period of 24 months following completion of the course and/or last examination may result in the employee being requested to repay some, or all, of the amount funded. This would be as follows:

- if employment ceases before attending the training course but the ICB has already incurred liability for the costs, 100% of the costs committed to date shall be repaid;
 - if employment ceases before completing the training course, 100% of the costs incurred by the ICB at the date of termination shall be repaid;
 - if employment ceases between 0 and 24 months after completing the training course, 1/24 of the costs shall be repaid for each outstanding month of the agreed 2 year period.
- 7.12 Please note however, that the employee would not be required to repay any of the costs where employment is terminated by the ICB by reason of redundancy or long-term sickness.
- 7.13 If the employee is leaving to join another NHS organisation the level of repayment may be varied; however, a decision on the level of repayment required will be made by the Line Manager following HR advice.
- 7.14 In the event of non-attendance &/or non-completion of external courses or learning activities resulting in a cost to the ICB, the employee may be required to pay this amount in full.
- 7.15 The continuation of any funding granted will be dependent on satisfactory progress during the course of study. This may be judged by such things as regular attendance, the passing of examinations and by the receipt of favourable reports from the educational institution involved.
- 7.16 Individuals seeking reimbursement of learning and development expenses should refer to the ICB's Travel and Expenses Policy. Funding cannot be guaranteed if approval is sought retrospectively.

Failing exams and unsatisfactory progress

- 7.17 Employees' progress will be regularly reviewed with the aid of college attendance records, reports and examination results. This may affect further financial assistance.
- 7.18 Failure in an examination will result in a meeting with the Line Manager, their service Director and the Training Provider in order to decide if support will continue to be offered to the trainee. Any decision will take into account any extenuating circumstances that may have adversely affected the employee's performance.
- 7.19 Where it is deemed that extenuating circumstances have affected the employee's performance; the trainee will be allowed to continue training. However, it is the policy of the ICB that all costs associated with a resit will be funded by the trainee, and paid study leave/revision course leave/mock exam/exam leave will not be granted by the ICB. Following success in the resit, the ICB will continue to fund the next stage of the course.

8 STUDY LEAVE

- 8.1 All staff statutory and mandatory training will be delivered in paid time. This also applies to Bank/Zero Hours staff. All managers should have a planned process in place to release staff to attend these events.
- 8.2 Study leave for the purposes of attending courses or undertaking other development must be agreed with line managers on an individual basis, according to identified development needs and professional requirements.
- 8.3 As a general rule, staff would not be expected to be granted additional paid time off outside of the specified course schedule. However, in exceptional circumstances, e.g. where successful study towards a qualification is essential to the development of the service, additional days for self-directed study may be approved up to a maximum of:
- Paid – 5 days
 - Unpaid – 5 days

- 8.4 Study leave will only be allowed if mandatory training requirements have been fulfilled and if the learning meets one of the following criteria:
- It helps meet the ICB's strategic aims and objectives;
 - The learning is essential to enable the employee to carry out their duties;
 - The activity has been identified within a personal development plan.
- 8.5 **All study leave must be agreed in advance and recorded on a Study Leave Record Card (Appendix 2) which must be available for audit purposes.**
- If study leave is agreed in principle, any study leave requested to be taken must be authorised using the Study Leave Record Card.
- 8.6 Staff engaged in studies leading to a qualification will normally be expected to undertake some study in their own time in addition to any paid study leave or other facilities granted by the line manager. This will be discussed and agreed on an individual basis.
- 8.7 Medical and Dental staff have nationally prescribed entitlements to study leave; advice may be sought from HR relating to training and development of these employees.

9 RIGHT TO APPEAL

- 9.1 Any staff member who feels they have been treated unfairly by refusal of study leave or funding for an external learning & development activity should refer to the ICB Grievance Policy.

10 DATA PROTECTION

- 10.1 In applying this policy, the ICB will have due regard for the Data Protection Act 2018 and the requirement to process personal data fairly and lawfully and in accordance with the data protection principles. Data Subject Rights and freedoms will be respected, and measures will be in place to enable employees to exercise those rights. Appropriate technical and organisational measures will be designed and implemented to ensure an appropriate level of security is applied to the processing of personal information. Employees will have access to a Data Protection Officer for advice in relation to the processing of their personal information and data protection issues”.

11 EQUALITY STATEMENT

- 11.1 In applying this policy, the ICB 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, in addition to offending background, trade union membership, or any other personal characteristic.
- 11.2 As part of the ICB's equal opportunities monitoring, all disciplinary hearings are monitored on a rolling annual basis. Subsequently information may be held on the disciplinary monitoring register longer than the duration of the warning itself.

12 MONITORING

- 12.1 The policy and procedure will be reviewed periodically by Human Resources in conjunction with the ICB Board. Where review is necessary due to legislative change, this will happen immediately.

Appendix 1 - Learning & Development Application Form

SECTION 1 – TO BE COMPLETED BY EMPLOYEE

| | | | |
|----------------|--|---------------------|--|
| Assignment No | | | |
| Surname | | Forename(s) | |
| Position Title | | Position Number | |
| Directorate | | Locality/Department | |
| Work Location | | | |

| | |
|--|--|
| Course Title: | |
| Course Format: | |
| Course Duration: | |
| Qualification(s) upon Completion: <i>NB. A 3-year Master of Business Administration (MBA) course may offer CMS for success in Year 1, and DMS for success in year 2</i> | |
| Proposed Start Date: | |
| Name & Address of Training Provider: | |

| |
|--|
| Please give details of the time commitment required to attend and complete the course. |
| |

| |
|--|
| Please give details of the financial support desired to allow attendance and completion of the course. |
| |

| |
|---|
| Please give your reasons why you feel this course is suitable for support from the NHS ICB. <small>e.g. What difference will the qualification make to the type of work that you could undertake? What relevance the subject(s) has to your current job or any job in the NHS that you may apply for in the near future?</small> |
| |

EMPLOYEE DECLARATION

In signing this agreement I confirm that I have read and accept the conditions stated in the NHS ICB's Learning & Development Policy.

EMPLOYEE SIGNATURE _____ DATE _____
 EMPLOYEE NAME (PRINTED) _____

SECTION 2 - MANAGEMENT AUTHORISATION

| | | |
|---|--|-----------------|
| Application Approved: | <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| If Application denied please explain why: | | |
| If Application Approved please confirm: <ul style="list-style-type: none"> • Maximum cost agreed: • Study Leave Entitlement agreed: • Any additional agreements: | _____ Paid _____ Unpaid | |
| | | |
| | | |
| | | |
| | | |
| <ul style="list-style-type: none"> • Funding Information: | Cost Centre | Subjective Code |

| | |
|------------------------------|-------|
| LINE MANAGER SIGNATURE | DATE |
| LINE MANAGER NAME (PRINTED) | _____ |
| LINE MANAGER TEL NO | _____ |
| BUDGET HOLDER SIGNATURE | DATE |
| BUDGET HOLDER NAME (PRINTED) | _____ |
| FINANCE SIGNATURE | DATE |
| FINANCE NAME (PRINTED) | _____ |

PLEASE HAND THIS COMPLETED FORM AND ANY SUPPORTING PAPERWORK TO FINANCE, WHO WILL FORWARD ELECTRONICALLY TO HR. ORIGINAL TO BE PLACED IN PERSONAL FILE.

