



**Nottingham and  
Nottinghamshire**  
Integrated Care Board

# **Statutory and Mandatory Training Policy**

**July 2022 - July 2024**

CONTROL RECORD			
<b>Reference Number</b> GOV-005	<b>Version</b> 1.1	<b>Status</b> Final	<b>Author</b> Head of Corporate Assurance
			<b>Sponsor</b> Associate Director of Governance
			<b>Team</b> Corporate Assurance Team
<b>Title</b>	Statutory and Mandatory Training Policy		
<b>Amendments</b>	Review Date amended to July 2024		
<b>Purpose</b>	To outline organisational requirements regarding statutory and mandatory training, ensuring that all individuals are aware of their responsibilities.		
<b>Superseded Documents</b>	Statutory and Mandatory Training Policy v1.0		
<b>Audience</b>	All NHS Nottingham and Nottinghamshire ICB employed and 'appointed' staff		
<b>Consulted with</b>	Head of Human Resources		
<b>Equality Impact Assessment</b>	Completed April 2022 (see Section 12)		
<b>Approving Body</b>	ICB Board	<b>Date approved</b>	July 2022
<b>Date of Issue</b>	July 2022		
<b>Review Date</b>	July 2024		
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## Contents

	<b>Page</b>
<b>1</b> Introduction	4
<b>2</b> Purpose	4
<b>3</b> Scope	4
<b>4</b> Definitions	5
<b>5</b> Roles and Responsibilities	5
<b>6</b> Statutory and Mandatory Training Requirements	6
<b>7</b> Monitoring and Reporting of Statutory and Mandatory Training	8
<b>8</b> Communication, Monitoring and Review	9
<b>9</b> Equality and Diversity Statement	9
<b>10</b> Interaction with other Policies	10
<b>11</b> Legal References and Guidance	10
<b>12</b> Equality Impact Assessment	11
<b>Appendix A:</b> ICB's Statutory and Mandatory Training Requirements	14

## **1. Introduction**

- 1.1 This policy applies to NHS Nottingham and Nottinghamshire Integrated Care Board, hereafter referred to as 'the ICB'.
- 1.2 The ICB has a responsibility for ensuring that there is a robust, consistent and effective programme of statutory and mandatory training available for all employees to enable them to undertake their roles safely, effectively and in compliance with legislation.

## **2. Purpose**

- 2.1 The purpose of the policy is to outline the ICB's requirements regarding statutory and mandatory training, ensuring that all individuals are aware of their responsibilities.
- 2.2 Clinical staff, employed by the ICB, should also refer to their respective professional codes for their continuing professional development (CPD) requirements to maintain any clinical registrations.

## **3. Scope**

- 3.1 The ICB requires this policy to be followed by:
  - All employees of the ICB (including all individuals working in a temporary capacity, including agency staff, seconded staff, students and trainees, and any self-employed consultants or other individuals working for the ICB under contract for services).
  - Individuals appointed to the Integrated Care Board and its committees.
  - Any other individual directly involved with the business or decision-making of the ICB.

These are collectively referred to as 'individuals' hereafter.

## 4. Definitions

Term	Definition
<b>Statutory Training</b>	Statutory training is that which the ICB is legally required to provide as defined in law, or where a statutory body has instructed organisations to provide training on the basis of legislation.
<b>Mandatory Training</b>	<p>Mandatory training is determined by the ICB for the safe and efficient running of the organisation. It is concerned with minimising risk, providing assurance against policies and ensuring the organisation meets external standards and best practice.</p> <p>The ICB has determined its mandatory training requirements in line with the UK Core Skills Training Framework<sup>1</sup>.</p>

## 5. Roles and Responsibilities

Role	Responsibilities
<b>Integrated Care Board</b>	The Board is responsible for ensuring all employees and 'appointees' are appropriately trained to enable them to undertake their duties and protect their wellbeing.
<b>Audit and Risk Committee</b>	The Audit and Risk Committee has oversight of the ICB's compliance with statutory and mandatory training requirements.
<b>Senior Leadership Team</b>	The Senior Leadership Team is responsible for ensuring all staff within their respective directorates/teams have completed their required statutory and mandatory training.
<b>Associate Director of Governance</b>	The Associate Director of Governance is responsible for ensuring the requirements of this policy are adhered to, with support from the Corporate Assurance Team.
<b>Head of Corporate Assurance</b>	<p>The Head of Corporate Assurance is responsible for:</p> <ul style="list-style-type: none"> <li>• Day-to-day management of matters and queries relating to the application of this policy.</li> <li>• Ensuring that appropriate administrative processes are in place.</li> <li>• Monitoring and reporting compliance with mandatory and statutory training.</li> <li>• Ensuring all employees have access to e-learning.</li> </ul>

<sup>1</sup> UK Core Skills Training Framework: Statutory/Mandatory Subject Guide (Version 1.6)

Role	Responsibilities
<b>Line Managers</b>	<p>Line managers are responsible for ensuring their staff are compliant with all statutory and mandatory training, including providing employees with the necessary time, and support, to complete training.</p> <p>Line managers are also responsible for ensuring any new members complete statutory and mandatory training within the required induction period.</p>
<b>Employees</b>	<p>All employees are responsible for complying with this policy and maintaining compliance with all ICB mandatory and statutory training requirements.</p> <p>Employees must seek advice if unsure how it applies to them.</p>

## 6. Statutory and Mandatory Training Requirements

- 6.1 The statutory and mandatory training requirements, outlined in **Appendix A**, relates to the basic level 1 awareness for all ICB employees and has been developed in line with the UK Core Skills Training Framework (summarised in Table 1 below).

Detailed statutory and mandatory training requirements for certain staff groups (such as those individuals ‘appointed’ to the Integrated Care Board and/or hold a Contract for Services with the ICB) is also outlined in **Appendix A**.

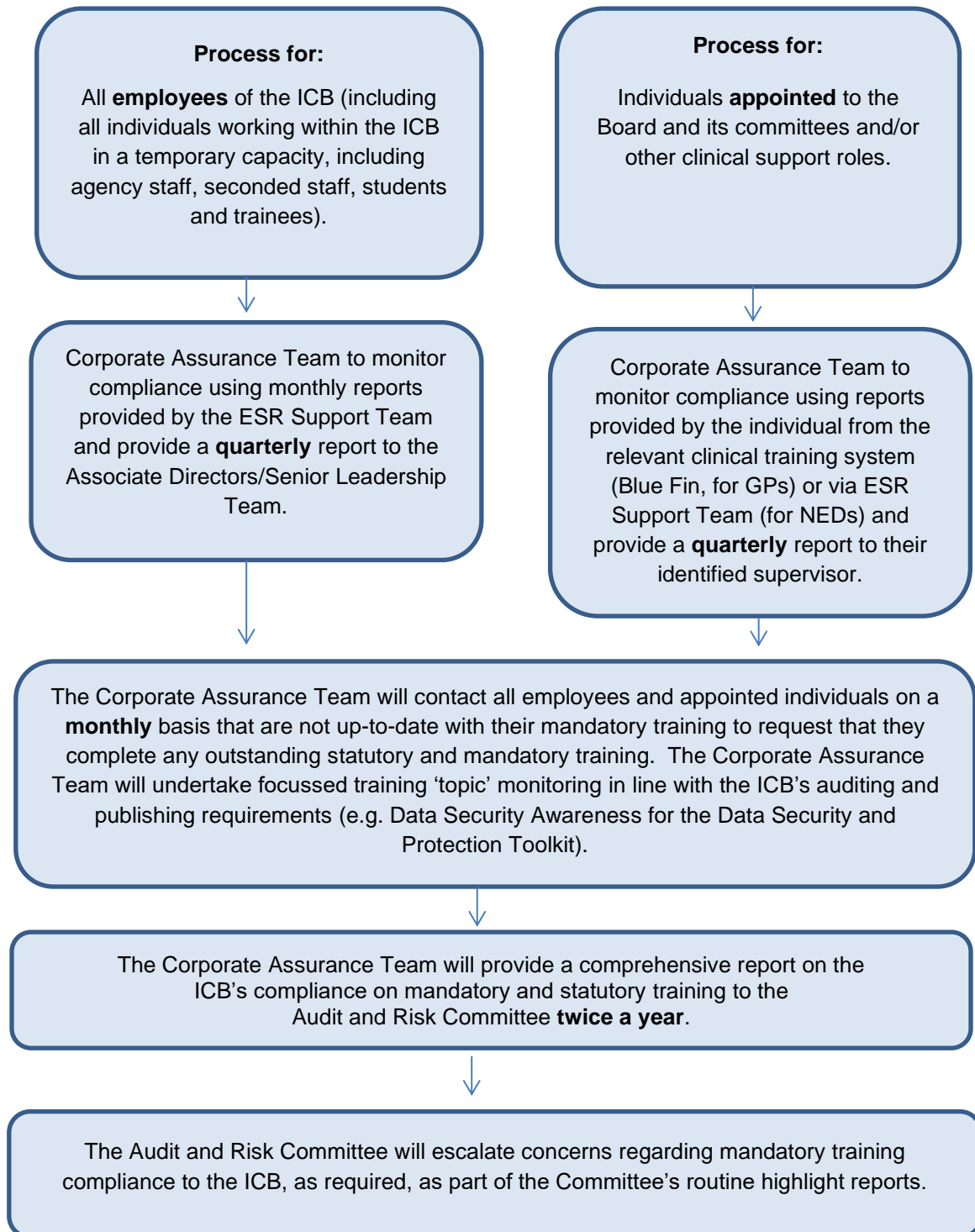
Table 1

Topic	Frequency
Fire Safety	Annually
Data Security Awareness	
Equality, Diversity and Human Rights	Every three years
Health, Safety and Welfare	
Moving and Handling	
PREVENT (Prevent Radicalisation)	
Safeguarding Adults (Level 1) <sup>2</sup>	
Safeguarding Children (Level 1) <sup>2</sup>	
Infection Prevention and Control	

- 6.2 Pay progression for new, and newly promoted staff (on or after 1 April 2019), is reliant upon completion of statutory and mandatory training. Staff must demonstrate training is complete and up-to-date in order to receive their increment. The completion of mandatory training is reviewed during the staff member's annual appraisal. See the ICB's Staff Appraisal Policy for further details.
- 6.3 New members of staff will be expected to be compliant in the statutory and mandatory training requirements within one month of their start date with the ICB.
- 6.4 Statutory and mandatory training can be accessed using the Electronic Employees Record (ESR) via <https://my.esr.nhs.uk/> or the national NHS e-learning system via <https://www.e-lfh.org.uk/>. Certificates achieved via the NHS e-learning system must be sent to the Corporate Assurance Team [notts.corporateassurance@nhs.net](mailto:notts.corporateassurance@nhs.net)

## 7. Monitoring and Reporting of Statutory and Mandatory Training

7.1 The flowchart below outlines the processes followed by the ICB for monitoring, and reporting of, the completion of statutory and mandatory training requirements. A distinction has been made between the processes followed for employees of the ICB and those in 'appointed' roles.





## **8. Communication, Monitoring and Review**

- 8.1 The policy will be published and maintained in line with the ICB's Policy Management Framework.
- 8.2 The policy will be highlighted to new staff as part of the local induction process and made available to all staff through the ICB's internal communication procedures (and Internet/Intranet sites).
- 8.3 The Audit and Risk Committee will review the effectiveness of this policy, and its implementation, via bi-annual mandatory training compliance reports.

## **9. Equality and Diversity Statement**

- 9.1 NHS Nottingham and Nottinghamshire ICB pays due regard to the requirements of the Public Sector Equality Duty (PSED) of the Equality Act 2010 in policy development and implementation, as a commissioner and provider of services, as well as an employer.
- 9.2 The ICB is committed to ensuring that, the way we provide services to the public and the experiences of our staff does not discriminate against any individuals or groups on the basis of their age, disability, gender identity (trans, non-binary) marriage or civil partnership status, pregnancy or maternity, race, religion or belief, gender or sexual orientation.
- 9.3 We are committed to ensuring that our activities also consider the disadvantages that some people in our diverse population experience when accessing health services. Such disadvantaged groups include people experiencing economic and social deprivation, carers, refugees and asylum seekers, people who are homeless, workers in stigmatised occupations, people who are geographically isolated, gypsies, roma and travellers.
- 9.4 As an employer, we are committed to promoting equality of opportunity in recruitment, training and career progression and to valuing and increasing diversity within our workforce.
- 9.5 To help ensure that these commitments are embedded in our day-to-day working practices, an Equality Impact Assessment has been completed for, and is attached to, this policy.

## **10. Interaction with other Policies**

10.1 This policy should be read in conjunction with the following ICB policies and procedures:

- Staff Appraisal Policy;
- Learning Education and Development Policy;
- Capability Policy;
- Agency Workers Policy;
- Health and Safety Policy;
- Fire Safety Policy;
- Standards of Business Conduct Policy;
- Confidentiality and Data Protection Policy;
- Freedom of Information (FOI) and Environmental Information Regulations (EIR) Policy;
- Equality Diversity and Inclusion Policy.

## **11. Legal References and Guidance**

11.1 The following guidance was used in the development of this policy:

- <https://www.e-lfh.org.uk/>
- <http://www.skillsforhealth.org.uk>
- Health and Safety Executive (2013), [Management of Health and Safety at Work](#)

## 12. Equality Impact Assessment for this Policy

<b>Date of assessment:</b>	June 2022			
<b>For the policy, and its implementation, please answer the questions against each of the protected characteristic and inclusion health groups:</b>	Has the risk of any potential adverse impact on people in this protected characteristic group been identified, such as barriers to access or inequality of opportunity?	If yes, are there any mechanisms already in place to mitigate the adverse impacts identified?	Are there any remaining adverse impacts that need to be addressed? If so, please state any mitigating actions planned.	Are there any positive impacts identified for people within this protected characteristic group? If yes, please briefly describe.
<b>Age<sup>2</sup></b>	No	N/A	N/A	Yes – this policy mandates Equality, Diversity and Human Rights training for all employees and appointees within the ICB, which promotes awareness of equality legislation covering all protected characteristics.
<b>Disability<sup>3</sup></b>	Yes	Mechanisms are in place via the Communications and Engagement Team to provide this policy in a range of languages, large print, Braille, audio, electronic and other accessible formats.	N/A	As above

<sup>2</sup> A person belonging to a particular age (for example 32 year olds) or range of ages (for example 18 to 30 year olds).

<sup>3</sup> A person has a disability if she or he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.

<b>Date of assessment:</b>	June 2022			
<b>For the policy, and its implementation, please answer the questions against each of the protected characteristic and inclusion health groups:</b>	Has the risk of any potential adverse impact on people in this protected characteristic group been identified, such as barriers to access or inequality of opportunity?	If yes, are there any mechanisms already in place to mitigate the adverse impacts identified?	Are there any remaining adverse impacts that need to be addressed? If so, please state any mitigating actions planned.	Are there any positive impacts identified for people within this protected characteristic group? If yes, please briefly describe.
		Alternative mechanisms to delivery mandatory training are available if online/web-based is not suitable.		
<b>Gender identity (trans, non-binary)<sup>4</sup></b>	No	N/A	N/A	As above
<b>Marriage or civil partnership status<sup>5</sup></b>	No	N/A	N/A	As above
<b>Pregnancy or maternity<sup>6</sup></b>	No	N/A	N/A	As above
<b>Race<sup>7</sup></b>	No	N/A	N/A	As above

<sup>4</sup> The process of transitioning from one gender to another.

<sup>5</sup> Marriage is a union between a man and a woman or between a same-sex couple.

Same-sex couples can also have their relationships legally recognised as 'civil partnerships'.

<sup>6</sup> Pregnancy is the condition of being pregnant or expecting a baby. Maternity refers to the period after the birth, and is linked to maternity leave in the employment context. In the non-work context, protection against maternity discrimination is for 26 weeks after giving birth, and this includes treating a woman unfavourably because she is breastfeeding.

<sup>7</sup> Refers to the protected characteristic of race. It refers to a group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.

<b>Date of assessment:</b>	June 2022			
<b>For the policy, and its implementation, please answer the questions against each of the protected characteristic and inclusion health groups:</b>	Has the risk of any potential adverse impact on people in this protected characteristic group been identified, such as barriers to access or inequality of opportunity?	If yes, are there any mechanisms already in place to mitigate the adverse impacts identified?	Are there any remaining adverse impacts that need to be addressed? If so, please state any mitigating actions planned.	Are there any positive impacts identified for people within this protected characteristic group? If yes, please briefly describe.
<b>Religion or belief<sup>8</sup></b>	No	N/A	N/A	As above
<b>Gender<sup>9</sup></b>	No	N/A	N/A	As above
<b>Sexual orientation<sup>10</sup></b>	No	N/A	N/A	As above
<b>Carers<sup>11</sup></b>	No	N/A	N/A	As above

<sup>8</sup> Religion refers to any religion, including a lack of religion. Belief refers to any religious or philosophical belief and includes a lack of belief. Generally, a belief should affect your life choices or the way you live for it to be included in the definition.

<sup>9</sup> A man or a woman.

<sup>10</sup> Whether a person's sexual attraction is towards their own sex, the opposite sex, to both sexes or none. <https://www.equalityhumanrights.com/en/equality-act/protected-characteristics>

<sup>11</sup> Individuals within the ICB which may have carer responsibilities.

## Appendix A:

### ICB's Statutory and Mandatory Training Requirements

Topic	Level	Mandatory for	Frequency
<b>Fire Safety</b>	Level 1	All employees only	Annually
<b>Data Security Awareness</b>	Level 1	All employees and all 'appointed' roles	
<b>Equality, Diversity and Human Rights</b>	Level 1	All employees and all 'appointed' roles	Every three years
<b>Health, Safety and Welfare</b>	Level 1	All employees only	
<b>Moving and Handling</b>	Level 1	All employees only	
<b>PREVENT (Prevent Radicalisation)</b>		All employees and all 'appointed' roles	
<b>Safeguarding Adults</b>	Level 1	All employees and all 'appointed' roles	
<i>Safeguarding Adults</i>	<i>Level 2</i>	<i>See the Safeguarding Policies for further detail.</i>	
<i>Safeguarding Adults</i>	<i>Level 3</i>	<i>See the Safeguarding Policies for further detail.</i>	
<b>Safeguarding Children</b>	Level 1	All employees and all 'appointed' roles	
<i>Safeguarding Children</i>	<i>Level 2</i>	<i>See the Safeguarding Policies for further detail.</i>	
<i>Safeguarding Children</i>	<i>Level 3</i>	<i>See the Safeguarding Policies for further detail.</i>	
<b>Infection Prevention and Control</b>	Level 1	All employees and all 'appointed' roles	
<i>Conflict Resolution</i>	<i>Level 1</i>	<i>For those staff identified as at high risk of violence and aggression from members of the public.</i>	

\***Bold** reflects training that is mandated for employees/appointees, as defined above.

\*\**Italics* reflects training that is role-specific.