Mandatory Training Policy

Contents

Policy Overview

- Use of the term 'Core Colleagues': where the term 'core colleagues' is used throughout this policy it is referring to those on fixed term or permanent contracts, paid monthly through an agreed salary and with non-associate/claims.
- Use of the term 'Associate Colleagues': where the term 'associate colleagues' is used throughout this policy, it is referring to associate lecturers, associate demonstrators or PEASS tutors or roles that take a similar contract/role.
- Use of the term 'Workers': where the term 'workers' is used throughout this policy, it refers to workers for the University who make claims through My View for payment (e.g. student workers). It will also include people working for the University but employed through an agency.
- Use of the term 'employment': where the term 'employment' is used it refers to employment of fixed-term and permanent colleagues.

The University of Lincoln has a responsibility to ensure that its people are trained and informed appropriately, for areas where there is a legal or statuary requirement to do so. To make sure all necessary arrangements are in place to protect our colleagues. The Board of Governors is charged with ultimate responsibility for mandatory training and is committed to ensuring that this responsibility is effectively discharged throughout the University. This policy sets out the roles, responsibilities, governance and compliance for mandatory training completed at the University of Lincoln.

Mandatory training ensures that the University is compliant with current regulations and legislation and that colleagues are in the best position to support students, fellow colleagues and customers. Due to legislative drivers, the requirements placed upon the University by external bodies, and the need to ensure we exercise our duty of care to all members of the University community, it is important that all people complete the necessary mandatory training. As well as motivating our colleagues to complete the training, we must ensure there are clear procedures in place to encourage compliance.

All core, associate people and workers must complete mandatory training, appropriate and relevant for their position within the University, as directed by their line manager. Training and development areas will be deemed mandatory from a legal or statutory requirement or from an institutional perspective. Full details of the current requirements are noted on the PPC webpages. As well as general mandatory training, some additional training will be specific to person's position or role within the University or a smaller group of people. Examples of this training may include Research Ethics & Human Tissue Training. Finally, mandatory training may relate to a specific activity or duty which an individual is required to carry out as an additional responsibility outside of their job description. Examples of this type of training may include First Aid Training.

Policy Scope

This policy applies to all core, associate people and workers, but the requirements and access to mandatory training may differ between groups. When referring to mandatory training, this will include various modes of delivery including face-to-face or virtually led workshops or online learning modules accessed through the Learning Management System.

Current Mandatory Courses and Timescales

Current mandatory courses and timelines for completion of mandatory training are detailed on the PPC webpages. The webpage contains information relating to the people that the training is mandatory for, and the timelines by which the training must be completed and when it should be refreshed.

The extent and timing of 'role specific' mandatory training will be informed by an individual's job description and the attendance and completion of this training is to be arranged in collaboration between the individual's line manager, the

training provider (if appropriate) and the individual role holder. Colleagues are not to undertake any role or task, which has a mandatory training requirement attached to it, until the training has been completed.

Criteria for Mandatory Training

The criteria for mandatory training is outlined below, this should be considered when new training needs are identified at organisational level:

- Relates specifically to a piece of legislation that mandates employees should be trained on the legislation
- Relates specifically to a piece of legislation that requires colleagues to understand key legislation changes
- Is identified as a key organisational risk on the University's risk register
- Is a key factor to deliver the University's strategy.

Roles and Responsibilities

People & Performance Committee

The University, through the development of its policies, procedures, and committees, will determine what mandatory training is required for all colleagues (taking account of the legal requirements as an employer and risk register). Also, the University will determine what training is deemed mandatory in terms of activity or role specific training led by sponsor departments. Ultimate responsibility for the governance of this policy and for ensuring colleagues compliance for training identified as mandatory sits with the People & Performance Committee (subcommittee of SLT). Members of the committee are required to ensure their areas of responsibility always reach a minimum of 95% completion across all courses and modules. The People & Performance Committee will authorise all new mandatory training at an organisational level that applies to core colleagues, associate colleagues and workers.

Course Sponsor / Policy Owner

Every mandatory training intervention must have a course sponsor. This will be the department/team within the University, who either owns the policy associated with the content being trained or is seen as the subject matter expert. The course sponsor department is responsible for identifying, monitoring and compliance with mandatory training and its adherence, statutory or University requirements. The sponsor is responsible for:

- Identification of mandatory training for their area of responsibility
- Identification of the target audience who must undertake the training and how often
- Submit an approval request to the People & Performance Committee for new courses where it applies organisationally or to large groups of people
- Liaison with the Eleanor Glanville Institute to ensure that the training has been assessed against the University standards for equality, diversity and inclusion and where appropriate, an Equality Impact Assessment has been carried out
- Maintenance of the relevant policy information and related subject content that are included in, or referred to, within the training
- Management of the content of the training, ensuring that the content is in line with legal requirements and is kept up to date
- Communicate to relevant colleagues where there have been, or will be, updates or changes to training content or the requirement to complete the training has changed
- Monitoring, reviewing and reporting compliance to the relevant committees.

People Performance & Culture

Organisational Development, as part of People Performance & Culture, are responsible for:

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- Management of the 'Mandatory Training Policy'
- Administer and maintain the mandatory training webpages
- Provide advice and guidance to the course sponsors regarding the development of training and options of learning and development interventions available
- Ensuring all relevant PPC documentation, including induction and probation, links to this policy and the mandatory training webpages
- Assisting colleagues who, for any reason, might not be able to readily access online learning to look at options
- Provide appropriate systems and mechanisms to enable colleagues to access and complete mandatory training within the required timelines and maintain the learning management system
- Oversee the mandatory training provision organisationally and report to PPC when required for continuous improvement suggestions and highlighting areas of significant risk.
- Advise course sponsors, during the design phase for new training, about considerations around equality, diversity and inclusion and any queries during the Equality Impact Assessment process
- Prior to training going live, assess, within the timescales of individual projects, all new training for compliance against the University standards for equality, diversity and inclusion.

People Performance & Culture Business Partners & Advisors are responsible for:

- Presenting and sharing data reports and compliance gaps to the relevant College Executive Groups and Senior Management Teams under their portfolio areas to support completion in areas
- Assisting in any disciplinary action required due to non-compliance by an employee
- Advise course sponsors, during the design phase for new training, about considerations around equality, diversity and inclusion and any queries during the Equality Impact Assessment process
- Prior to training going live, assess, within the timescales of individual projects, all new training for compliance against the University standards for equality, diversity and inclusion.

Line Managers

It is the line manager's responsibility to ensure that colleagues within their team have mandatory training for their role identified, clearly articulated to them, and the timeframe set in which such training must be completed. Line managers are responsible for:

- Using the individual's job description, determine what role specific training is mandatory in addition to the 'Tier 1' courses. This must be explained clearly to the individual and a plan for completion agreed and achieved.
  - o For current colleagues, it must be reviewed within the mandatory training timelines to confirm timely completion
  - o Articulating to new colleagues through induction the required mandatory training for their role - this must be reviewed throughout the probationary period to confirm completion
- Ensuring all mandatory training is completed within the stipulated timelines and supporting individuals with time to complete the required courses
- Managing any issues colleagues might have in completing the training including access
- Reporting to their Head of Area where any colleagues in their team are unable or unwilling to complete the mandatory training.

University Colleagues
- Undertake all relevant mandatory training within the timescales stipulated on the mandatory training webpages
- Undertake refresher mandatory training within the timescales stipulated on the mandatory training webpages

- Promptly raise with their line manager any issues that may impact their ability to complete the training within the required timescales
- Ensure compliance of mandatory training principles are implemented in everyday working practices.

Monitoring and Compliance

For training identified in 'Tier 1' mandatory courses a 92% compliance rate across the University is to be achieved. All training must be achieved within the stipulated timelines. If training has not been completed within the timelines stipulated in this policy, then disciplinary action and/or sanctions may be applied in line with the appropriate procedure.

Level 1 - Managers

It is the Line Manager's responsibility to ensure that their colleagues attend and complete any identified mandatory training. To monitor compliance, the line manager regularly discusses relevant mandatory training with their colleagues, throughout any probation period and at the annual performance and development review. Reporting can be accessed for managers in My View.

Level 2 - Colleges and Departments

Colleges and Professional Services Departments can monitor the compliance of their colleagues against the requirements of this policy. This can be achieved through requesting data from the course sponsor for specific courses, or through PPC for larger scale reports.

Level 3 - Course Sponsor

Course Sponsors must monitor course compliance and report accordingly via the appropriate audit process. It is the course sponsor's responsibility to increase the completion rates of mandatory training.

Level 4 - People & Performance Committee

The People & Performance Committee will review compliance figures on a quarterly basis as submitted by the PPC Department as an organisational picture of completion across all mandatory training.

Induction for New Colleagues

The completion of mandatory training for the first-time forms part of a colleagues' induction to the University. Line managers must identify the required training and include a plan for completion within individual employee induction procedures. The induction checklist and induction webpages on the PPC site provide more information.

Probation

Mandatory training is an integral part of the probation procedure for all colleagues. The University policy for probation can be viewed for Academic colleagues and Professional Service colleagues on the PPC webpages. Guidance for managers can also be found on the induction webpages. All aspects of mandatory training, identified as a requirement for colleagues to undertake their role at the University, must be completed to satisfy the requirements of probationary periods. The line manager is responsible for ensuring this requirement is met before passing the probation period.

Procedures for Non-compliance

For mandatory training to be effectively enforced, procedures will be in place if an individual fails to comply with the requirement to undertake the relevant mandatory training. Colleagues must be made aware of the implications of non-compliance, and disciplinary action/sanctions must be considered irrespective of the grade of colleagues involved. Mitigating circumstances, however, will be considered. Non-compliance procedures will be linked to the procedure for managing probationary periods for new colleagues and the University's disciplinary procedure for existing colleagues.

Colleagues on probation

For new colleagues, compliance with the request to complete mandatory training will be checked during the probationary review meetings by the line manager. If the mandatory training requirement has not been achieved by the 3-month stage, the individual should be told that a failure to complete the mandatory training may result in terminating the employment. Compliance should be checked again prior to the final probationary review and if the mandatory training requirement has still not been achieved then it may be deemed that they have not satisfied the requirements of their probation and relevant action will be taken under the dismissal procedure.

Existing colleagues

For colleagues already in post, or for colleagues where probation does not apply, failure to complete any mandatory training within the required timescale will be a breach of terms and conditions of employment. It will also be deemed to be declining to carry out a reasonable management instruction and failure to comply with a university policy. As such, the appropriate disciplinary action may be taken or sanctions applied in accordance with the University's relevant disciplinary procedures.

Identification and creation of new mandatory training

Where the need for new mandatory training at an organisational level is identified by a course sponsor, the lead department should follow the process outlined in Appendix A. The need must be evidenced against the criteria for mandatory training and presented to the People & Performance Committee.

Where the training need is identified for a particular group of people or department/school, the Organisational Development team will advise accordingly on the best practice of communicating requirements with colleagues and launching and monitoring the programmes.

Appendix A - Process for making a new course mandatory at organisational level

1. The Organisational Development (OD) Team should be approached initially by the course sponsor to discuss the new training need and the Organisational Development Team provide appropriate options for learning and development interventions and the process for making training mandatory for colleagues across the organisation.
   a. Course sponsors can still approach the Organisational Development team for role specific training needs advice and guidance for appropriate interventions, however this can be managed locally through the course sponsor.
2. The course sponsor must consider the timescales and resources for producing and delivering the training – the Organisational Development team can advise on costs from external providers and available internal support (although this is not guaranteed). During the process of identifying the training need, the course sponsor must conduct an Equality Impact Assessment (EIA) and take appropriate actions in the process of delivering the training. This may be completed prior to the People & Performance Committee (PPC) as it may alter the approach for the training need.
3. The Course Sponsor must submit a paper to the PPC for approval of mandatory training. The course sponsor may also choose to submit the request to relevant committees for the topic area, but PPC must be the final approval. The paper must clearly reference the criteria of mandatory training and risk register.
4. It is then the responsibility of the course sponsor to design and develop the training. The OD team can advise and guide interventions to maximize learning quality and knowledge transfer. They may also advise on communications, reporting mechanisms and roll out to colleagues based on their expertise and experience.
5. Once the training has been signed off by the course sponsor, the Organisational Development Team will support the process of either;
   a. Adding workshops onto My View for bookings and set up reporting for managers/course sponsors
   b. Adding modules onto the Learning Management System and set up reporting and do appropriate system testing
6. The Organisational Development Team will also update relevant PPC webpages and PPC documentation that references mandatory training, including induction checklists for all colleagues.