NHS
Mersey and West Lancashire
Teaching Hospitals
NHS Trust

The Management of Core Skills Training Framework and Other Statutory and Mandatory Training Compliance for Lead Employer Employee
Version No: 1.3

Document Summary:
To set out the requirements and responsibilities of Lead Employer trainees in completion of Core Skills Training Framework and other Statutory and Mandatory training modules.

Document status	Approved	
Document type	Policy	Choose an item.
Document number	Document Control will provide document number if a new document	
Approving body	HR Commercial Services Council	
Date approved	23/10/2024	
Date implemented	23/10/2024	
Review date	*3 years from approval date 22/10/2027	
Accountable Director	Director of Human Resources	
Policy Author	Clinical Project Lead	
Target audience	Specific staff group	

The intranet version of this document is the only version that is maintained. Any printed copies should therefore be viewed as "uncontrolled", as they may not contain the latest updates and amendments.

Document Control

[Author to complete all sections apart from Section 4 & 5]

Section 1 – Document Information	
Title	The Management of Core Skills Training Framework and Other Statutory and Mandatory Training Compliance for Lead Employer Employee
Directorate	Workforce

Brief Description of amendments
Non-compliance escalation process revised, and additional modules included.

Please state if a document has been superseded.

Does the document follow the Trust agreed format?	Yes
Are all mandatory headings complete?	Yes
Does the document outline clearly the monitoring compliance and performance management?	Yes
Equality Analysis completed?	Yes
Data Protection Impact Analysis completed?	Yes

Section 2 – Consultation Information*

*Please remember to consult with all services provided by the Trust, including Community & Primary Care

Consultation Completed	☐ Trust wide ☐ Local ☑ Specific staff group
Consultation start date 03/06/2024	**Consultation end date** 22/10/2024

Section 3 – Version Control		
Version	**Date Approved**	**Brief Summary of Changes**
1.0	19/10/2022	Policy Approval
1.1	15/08/2023	Addition of Appendix 2 - Core Skills Mandatory Training escalation form and update of section 6.4.1 to reflect the use of the form. Update of STHK to MWL. Update of HEE to NHS England Education. Update of STEP to LE Mandatory training. Addition of STEP website closure on 30th September 2023.
1.2	23/10/2024	Policy name updated to reflect inclusion of modules outside of CSTF.
		NHSE England Education change to NHS England.
		Section 6.1.3Statement about protected time for mandatory training.
		Section 6.4 Statement about reasonable adjustments.
		Section 6.4.1 updated with the new escalation process.
		Section 6.5.1 Non-Compliance and Long-Term Sick Leave
		Section 6.5.2 Non-Compliance and Maternity / Adoption Leave
		Section 7 is new, and details of self-directed learning and available support have been included.
		Section 11 new version of Equality Analysis Screening Tool
		Section 12 is a new section Data Protection Impact Assessment Screening Tool
		Appendix 1 updated to include additional identified modules and details around local elements for Fire Safety, Moving & Handling and Resuscitation.
		Appendix 2 illustration of the new escalation process for existing colleagues in training.
		Appendix 3 illustration of the new escalation process for IMG colleagues in training.
		Appendix 4 details required for escalation eForms.

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		Appendix 5 example letter / email for Stage 1
		Appendix 6 example letter / email for Stage 2
1.3	20/02/2025	Appendix 1 updated: • Add Moving and Handling Level 1 • Add Oliver McGowan Tier 1 and Tier 2 • Clarification around Safeguarding Adults and Safeguarding Children Level 3 • Add 3 specific modules for GPSTs • Moving and Handling Level 2 no longer essential • Removal of section on local elements for Fire Safety and Resuscitation

Section 4 – Approval – *To be completed by Document Control*

Document approved	☑ Approved ☐ Approved with minor amendments
Assurance provided by author & Chair	☐ Minutes of meeting ☐ E-mail with Chair's approval
Date approved	23/10/2024	**Review date**	23/10/2024

Section 5 – Withdrawal – *To be completed by Document Control*

Reason for withdrawal	☐ No longer required ☐ Superseded
Assurance provided by author & Chair	☐ Minutes of meeting ☐ E-mail with Chair's approval
Date Withdrawn:	Click here to enter a date.

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Quick Reference Guide

Policy to define the management of Core Skills Training Framework (CSTF) compliance across lead employer colleagues in training and how/where training can be completed and recorded to support host organisations with maintaining compliance.

** if appropriate, if not please delete section.

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1. Scope

This policy will apply to all Doctors, Dentists and Public Health Agenda for Change trainees employed by the Lead Employer. The Lead Employer is contracted as part of the commercial agreement with NHS England to ensure that all colleagues in training employed by the service meet the national requirements for completion of core skills training.

2. Introduction

Mersey & West Lancashire Teaching Hospitals NHS Trust (MWL) Lead Employer Service is committed to supporting NHS England, host organisations and employees/trainees with ensuring that mandatory training compliance is maintained throughout the colleague in training employment. The Core Skills Training Framework (CSTF) provides all NHS employees/workers with the basic requirements to effectively fulfil their roles.

This policy is to ensure that the Lead Employer Service, NHS England, and all host organisations are able to have a clear oversight of CSTF and other Statutory and Mandatory Training compliance for colleagues in training and ensures that all stakeholders understand the appropriate processes required to record compliance on ESR (096 VPD).

3. Statement of Intent

The purpose of this policy is to provide managers and resident doctors/dentists/public health employees in training with guidance on the application and management of CSTF and other Statutory and Mandatory Training modules which have been defined as being relevant to Doctors in Training and to ensure that **all compliance** is appropriately recorded in ESR.

The objectives of this policy are to ensure that the Lead Employer Service:
- Employees and managers/clinical supervisors are aware of the requirements of Core Skills Training Framework and other Statutory and Mandatory Training.
- To provide a process for host organisations to appropriately record compliance so that the data flows to the Lead Employer ESR database.
- To ensure that all stakeholders are aware of the appropriate escalation procedures for the management of non-compliance.
- To ensure portability of training data for CSTF and other Statutory and Mandatory Training modules for colleagues in training, thus meeting the national agenda.

4. Definitions

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[List and define any specific terms that are used in your document. A clear concise explanation should be given, with enough detail to ensure members of staff not familiar with the terminology used can understand it]

Term/Abbreviation	Definition/meaning
Core Skills Training Framework (CSTF)	National agreed profile of mandatory training modules for healthcare professionals to complete.
Colleague in Training	Covers Resident Doctors, Dental Trainees and Public Health Registrars
e-LfH	E Learning for Health is a platform where healthcare workers can complete the mandatory training modules to ensure compliance with the core skills training framework.
ESR	The Electronic Staff Record or ESR is an Oracle-based human resources and payroll database system used by the NHS in England and Wales. The Electronic Staff Record application is managed by IBM for the NHS.
Statutory and Mandatory Training	Modules that are defined locally and/or nationally as being essential for Doctors in Training,

5. Duties, Accountabilities and Responsibilities

5.1 Chief Executive

The Chief Executive on behalf of the Trust Board is responsible for ensuring that this policy is fully implemented via host trusts and that there is a continuing commitment to the training of hosts in the implementation of all Trust policies.

5.2 NHS England

NHS England is responsible for revalidating colleagues in training to ensure they are practicing within the scope of their training programme.

The NHS England Regional Deans are responsible for ensuring appropriate action is taken within the scope of the training programmes to support the Lead Employer Service and host organisation managers, in ensuring colleagues in training are allocated time to ensure they are meeting the expected standards for the core skills training framework and Statutory and Mandatory Training; following the escalation process when individuals are not compliant.

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5.3 Lead Employer Service

The Lead Employer Service is responsible for monitoring compliance of mandatory training requirements as per the Core Skills Training Framework and other Statutory and Mandatory Training.

5.4 Host Organisations

Host organisations are responsible for allocating time to ensure that all colleagues in training on rotational placement are up to date with their statutory and mandatory training requirements as per the Core Skills Training Framework (CSTF) and Statutory and Mandatory Training ensuring all local training is aligned to CSTF and Statutory and Mandatory Training and that appropriate competencies are awarded. If individuals are not compliant, host organisations are also responsible for following the escalation process as outlined below.

Hosts are responsible for providing colleagues in training with access to:

- NHS|CSTF|Resuscitation - Level 2 - Adult Basic Life Support - 1 Year

This is due to the practical element / assessment that is required.

Regarding Safeguarding Level 3 Adults and Children these may not be required by all non-GPST colleagues in training depending on 3 distinct factors:
- Host
- Speciality
- Rotation

Hosts may provide access to training for:

- NHS|CSTF|Safeguarding Children - Level 3 - 3 Years
- NHS|CSTF|Safeguarding Adults - Level 3 - 3 Years
-
Where either of these modules have been awarded by a Host Level 2 may also be awarded at the same time.

The following module is not required by all Hosts therefore it is not marked as essential and not included in overall compliance percentage. Colleagues in training can have this competency awarded by Hosts where required.
- NHS|CSTF|Moving and Handling - Level 2 – 2 Years

5.5 Workforce Systems and Information Team

The Workforce Systems and Information Team for Lead Employer supports the management and utilisation of Shared Training Centres (STCs) that assist host

organisations with maintaining trainee compliance. They provide assistance to all stakeholders relating to issues with access to the self-service functionality within ESR.

5.6 MWL Lead Employer HR Team

The MWL Lead Employer HR Team is responsible for providing support in the functionality and utilisation of the platform.

5.7 Employee

New colleagues in training have 4 weeks in which to complete their training they are responsible for regularly checking their ESR profile and completing the mandatory training requirements as per the core skills training framework (CSTF) and other Statutory and Mandatory Training. The modules (Appendix 1) that fall within the required Training Needs Analysis (TNA), are agreed at a national level for all colleagues in training and is a requirement. The TNA will be maintained and ensure that ESR is up to date with any alterations so that compliance is not affected.

5.8 Third Parties

The Lead Employer will not provide training information or confirmation of training to any third party. (i.e., Employment Agencies).

6. Process to support management of CSTF Compliance and Statutory and Mandatory Training

6.1 Completing Training

CSTF and Statutory and Mandatory Training modules are available via online platforms e.g. e-LfH or ESR, colleagues in training are able to access either of these platforms to complete the training and their compliance will be recorded on their ESR account.

6.1.1 ESR Access

In order to maintain training records, colleagues in training are able to access their CSTF and Statutory and Mandatory Training modules via ESR. Host organisations are able to update competency and training information from the 096 Lead Employer ESR system using a Shared Training Centre.

Hosts organisations can run compliance reports from the 096 Lead Employer ESR system using their Manager Self-Service access.

6.1.2 e-LfH Access

Colleagues in training are also able to complete their CSTF and Statutory and Mandatory Training modules via the e-LfH platform. MWL do not have administrative access to e-LfH, any queries with e-LfH would need to be made directly.

6.1.3 Protected Time

Colleagues in training will be allocated protected time for completion of CSTF and Statutory and Mandatory Training by their Host Organisation. Self Development Time (SDT) is not to be used for completing mandatory training.

6.2 Recording compliance via Shared Training Centre (STC)

Host Organisations have the ability to access a shared training centre (STC). This ESR Functionality allows Host Organisations the ability to access trainee records on the Lead Employer 096 ESR VPD and enrol them on them to local classes held by the host organisation. Hosts must attach appropriate CSTF and Statutory and Mandatory competencies to this type of training to ensure employees/trainees are awarded the correct one. This will enable Host Organisations to ensure their hosted colleagues in training are fully compliant if they complete an induction or other session at the host Trust with appropriate course modules associated with colleague in training requirements.

An MOU has been created to reflect appropriate data sharing obligations for the Lead Employer Service and all host organisations. In order to utilise the STC provision, Host Organisations will need to sign up to the MOU.

6.3 Reconciliation Process

To support the flow of required data to enable the benefits of the passporting function, there is a requirement for the MWL Lead Employer HR team to complete a reconciliation process to support the correct competencies being added to colleague in training records.

6.3.1 e-LfH

To support the transfer of data from the e-LfH platform to the Lead Employer ESR database the Trust have established an interface between the systems. ESR is the master database and overnight, daily, the interface pushes data from the e-LfH database to update any completed training competencies on the Lead Employer ESR system. On an annual basis interface mappings will be reviewed to ensure these match current requirements.

The identifiers for trainees are ensuring that the GMC number and e-mail match in both systems.

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6.3.2   ESR

ESR is the master database for the purposes of managing CSTF and Statutory and Mandatory Training compliance for colleagues in training. Providing the STC is used ESR will be automatically updated with training completions undertaken Face to Face in host organisations.

6.4 Reasonable Adjustments

Any requirement for reasonable adjustments to complete CSTF and Statutory and Mandatory Training will be managed in accordance with Lead Employer Reasonable Adjustments Policy.

6.5 Escalation Process

The escalation process has been produced to effectively manage colleagues in training who are non-compliant providing a clear structure so that host organisations are supported and have effective procedures to ensure that all training is appropriately recorded. We would not expect the escalation process to start where there are mitigating circumstances e.g., the colleague in training has an extended period of absence or where the host is working with the colleague in training to maintain compliance.

This will support the colleague in training in recognising the importance of mandatory training and the Lead Employer and NHS England in management of host organisations who are not adhering to the management process to ensure that colleagues in training are compliant.

6.5.1   Non-Compliance and Long-Term Sick Leave

When a colleague in training is on long term sick leave this will be reviewed on a case by case basis with the input of Lead Employer HR Team.

6.5.2   Non-Compliance and Maternity / Adoption Leave

In the cases where a colleague in training is on maternity / adoption leave this will be reviewed on a case by case basis with the input of Lead Employer HR Team.

6.5.3   Non-Compliant Trainees

Colleagues in training are notified via self-service in 096 ESR that their compliance is due to expire within a three-month timescale. Colleagues in training should complete their CSTF and Statutory and Mandatory Training modules during this three-month time scale so that their compliance is maintained.

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After the three-month warning period the colleague in training becomes non-compliant, their ESR profile will show that they are no longer compliant for the relevant modules. At this point, host organisations are responsible for making sure that colleagues in training take the required time to update their compliance and complete the modules.

- **Up to 1 month** before colleague in training has become non-compliant the host organisation will remind the colleague in training that urgent attention is needed.

- **1 month** after the colleague in training has become non-compliant if they have not completed the training, the host organisation will write to the colleague in training asking them to complete their training within the next 4 weeks. Appendix 5 provides a suggested template to use. This must be reported to Lead Employer using the Stage 1 eForm found here https://forms.office.com/e/1KQBH5Zcw0

- **6 weeks** after the colleague in training has become non-compliant if they have not completed the required training, the host organisation will escalate to the Director of Medical Education who will liaise with the host Speciality Training Lead or another locally identified individual who will write to the Lead Employer colleague in training (all specialities, Dental, Resident Doctors and Public Health employed under Agenda for Change terms and conditions of employment) stressing the urgency for completion of statutory and mandatory training and its importance for the successful completion of their training programme and patient safety. Appendix 6 provides a suggested template to use. The host organisation Specialty Training Lead or another locally identified individual will ensure that the rota co-ordinator allocates protected time in weeks 13 and 14 for completion of training. This must be reported to Lead Employer using the Stage 2 eForm found here https://forms.office.com/e/FDAu2sCVWg

- 15 weeks after the colleague in training has become non-compliant, the host organisation will complete the Stage 3 eForm found here https://forms.office.com/e/mWqDkF3NvY notifying Lead Employer that the colleague in training is still non-compliant. MWL Lead Employer will then consider whether formal management of this concern is required in line with policy and procedure.

See Appendix 2 for an illustration of the escalation process for existing colleagues in training and Appendix 3 for IMG colleagues in training and Appendix 4 which provides details regarding the eForms for notifying Lead Employer.

By reporting each stage for non-compliant employees/trainees this supports host organisations at the point where a colleague in training could be at Stage 1 or 2 just prior to rotating to a new host and prevent instances where a colleague in training could be inadvertently put back to the start of the process. The detail will be passed to Host Organisations via a reporting mechanism.

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Colleagues in training may be prevented from performing some duties dependent upon the outstanding training modules and Host Organisations will manage this via local risk assessment and advise the Lead Employer if any action needs to be taken.

Agenda for Change colleagues in training that are not compliant may also delay their pay progression review as set out in the pay progression policy.

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7. Training

There is no requirement for mandatory training to support this policy however there is self-directed learning as guidance available to support both Trainees and Host Organisations/Trusts in implementation.

What aspect/s of this policy will require staff training?	Which staff groups require this training?	Is this training covered in the Trust's Statutory & Mandatory Training Policy?	If no, how will the training be delivered?	Who will deliver the training?	How often will staff require training	Who will ensure and monitor that staff have this training
How to access eLfH	Colleagues in training	No	Self-directed learning and support from LE Helpdesk	Self-directed learning and support from LE Helpdesk	As needed	Not required
How to access MyESR	Colleagues in training	No	Self-directed learning and support from LE Helpdesk	Self-directed learning and support from LE Helpdesk	As needed	Not Required
Shared Training Centre	Host Trusts / Organisations	No	Self-directed learning and support from LE Helpdesk	Self-directed learning and support from LE Helpdesk	As needed	Not required
How to input training completions on ESR	Host Trusts / Organisations	No	Self-directed learning and support from LE Helpdesk	Self-directed learning and support from LE Helpdesk	As needed	Not required
How to run a Core Skills Compliance Report on ESR	Host Trusts / Organisations	No	Self-directed learning and support from LE Helpdesk	Self-directed learning and support from LE Helpdesk	As needed	Not required

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8. Monitoring Compliance

8.1 Key Performance Indicators (KPIs) of the Policy

No	Key Performance Indicators (KPIs) Expected Outcomes
1.	To ensure that colleagues in training mandatory CSTF and Statutory and Mandatory Training compliance is accurately recorded in ESR for reporting purposes.
2.	Lead Employer Reporting of Compliance will exclude the four items which should be locally assessed and awarded. These items will be recorded against the individual Trainee but, not for compliance reporting statistics.
3.	To ensure that mandatory CSTF and Statutory and Mandatory Training compliance is portable from the Lead Employer to Host Organisations ahead of rotation dates.

8.2 Performance Management of the Policy

Minimum Requirement to be Monitored	Lead(s)	Tool	Frequency	Reporting Arrangements	Lead(s) for acting on Recommendations
Compliance %	LE Mandatory Training	ESR BI	Monthly	Contract Management	Trainee / Host Organisation / NHS England

9. References/Bibliography/Relevant Legislation/National Guidelines

No	Reference
1.	
2.	
3.	
4.	
5.	

10. Related Trust Documents

No	Related Document
1.	https://intranet.sthk.nhs.uk/plugins/extranet/widgets/policies/uploads/2022-634406febf2e92.99925238.pdf
2.	https://leademployer.sthk.nhs.uk/media/Documents/Policies%20and%20Forms/Reasonable%20Adjustments/LE%20Reasonable%20Adjustments%20Policy%20-%20June%202023.pdf
3.	https://leademployer.merseywestlancs.nhs.uk/media/eLfH%20User%20Guide%20-%20Mandatory%20Training%20For%20CSTF%20Modules%20For%20Resident%20Doctorsoctors.pdf
4.	https://leademployer.merseywestlancs.nhs.uk/media/V3%20ESR%20User%20Guide%20-%20Mandatory%20Training%20CSTF%20Modules%20for%20Resident%20Doctors.pdf
5.	https://leademployer.merseywestlancs.nhs.uk/media/Shared%20Training%20Centre%20Guide.pdf
6.	https://leademployer.merseywestlancs.nhs.uk/media/Supervisor%20Self%20Service%20-%20Adding%20Competencies%20into%20ESR%20for%20Lead%20Employer%20Colleagues-in-Training.pdf

7.	https://leademployer.merseywestlancs.nhs.uk/media/Supervisor%20Self%20Service%20-%20How%20to%20run%20a%20Core%20Skills%20Compliance%20Report%20for%20Lead%20Employer%20Colleagues-in-Training.pdf
8.	https://leademployer.merseywestlancs.nhs.uk/media/eLfH%20User%20Guide%20-%20Mandatory%20Training%20For%20New%20Modules%20For%20Resident%20Doctors.pdf
9.	https://leademployer.merseywestlancs.nhs.uk/media/Quick%20Start%20Guide%20eLfH.pdf
10.	https://leademployer.merseywestlancs.nhs.uk/media/ESR%20User%20Guide%20-%20Mandatory%20Training%20For%20New%20Modules%20for%20Resident%20Doctors.pdf
11.	https://leademployer.merseywestlancs.nhs.uk/media/V3%20ESR%20User%20Guide%20-%20Mandatory%20Training%20CSTF%20Modules%20for%20Resident%20Doctors.pdf
12.	https://leademployer.merseywestlancs.nhs.uk/media/eLfH%20User%20Guide%20-%20Mandatory%20Training%20For%20CSTF%20Modules%20For%20Resident%20Doctorsoctors.pdf
13.	https://leademployer.merseywestlancs.nhs.uk/media/Quick%20Start%20Guide%20eLfH.pdf
14.	https://leademployer.merseywestlancs.nhs.uk/media/V3%20ESR%20User%20Guide%20-%20Mandatory%20Training%20CSTF%20Modules%20for%20Resident%20Doctors.pdf
15.	https://leademployer.merseywestlancs.nhs.uk/media/eLfH%20User%20Guide%20-%20Mandatory%20Training%20For%20CSTF%20Modules%20For%20Resident%20Doctorsoctors.pdf
16.	https://leademployer.merseywestlancs.nhs.uk/media/Quick%20Start%20Guide%20eLfH.pdf
17.	https://leademployer.merseywestlancs.nhs.uk/media/V3%20ESR%20User%20Guide%20-%20Mandatory%20Training%20CSTF%20Modules%20for%20Resident%20Doctors.pdf
18.	https://leademployer.merseywestlancs.nhs.uk/media/eLfH%20User%20Guide%20-%20Mandatory%20Training%20For%20CSTF%20Modules%20For%20Resident%20Doctorsoctors.pdf
19.	https://leademployer.merseywestlancs.nhs.uk/media/Quick%20Start%20Guide%20eLfH.pdf

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11. Equality Analysis Screening Tool

The EIA screening must be carried out on all policies, procedures, organisational changes, service changes, cost improvement programmes and transformation projects at the earliest stage in the planning process. Where the screening identifies that a full EIA needs to be completed, please use the full EIA template.

The completed EIA screening form must be attached to all procedural documents prior to their submission to the appropriate approving body. A separate copy of the assessment must be forwarded to the Head of Patient Inclusion and Experience for monitoring purposes via the following email, cheryl.farmer@sthk.nhs.uk. If the assessment is related to workforce a copy should be sent to the workforce Head of Equality, Diversity and Inclusion for workforce equality&diversity@sthk.nhs.uk.

If this screening assessment indicates that discrimination could potentially be introduced then seek advice from either the Head of Patient Inclusion and Experience or Head of Equality, Diversity (Workforce) and Inclusion.

A full equality impact assessment must be considered on any cost improvement schemes, organisational changes or service changes that could have an impact on patients or staff.

Title of function	The Management of Core Skills Training Framework and Other Statutory and Mandatory Training Compliance for Lead Employer Employee
Brief description of function to be assessed	The policy details the statutory and mandatory training required by colleagues in training and the escalation process for non-compliance.
Date of assessment	30/05/2024
Lead Executive Director	Director of Human Resources
Name of assessor	Helen Burdett
Job title of assessor	Clinical Project Lead

Equality, Diversity & Inclusion

Does the policy/proposal:
1) Have the potential to or will in practice, discriminate against equality groups
2) Promote equality of opportunity, or foster good relations between equality groups?
3) Where there is potential unlawful discrimination, is this justifiable?

	Negative Impact	Positive Impact	Justification/ evidence and data source
Age	No	No	
Disability	Yes	No	The escalation process provides guidance in the case of noncompliance and long-term sick leave. Any requirement for reasonable adjustments are managed in accordance with the Lead Employer Reasonable Adjustments Policy.
Gender reassignment	No	No	
Pregnancy or maternity	Yes	No	The escalation process provides guidance in the case of noncompliance whilst on maternity leave and also where the escalation process is in progress at either Stage 1 or 2 prior to commencing maternity leave.
Race	Yes	No	Consideration will be given in cases where English is not a Trainee's first language and this impacts on their ability to complete eLearning modules. As the eLearning is access through eLfH there are no concessions for the modules to be available in other languages.
Religion or belief	No	No	
Sex	No	No	
Sexual orientation	No	No	

Human Rights

Is the policy/proposal infringing on the Human Rights of individuals or groups?

	Negative Impact	Positive Impact	Justification/ evidence and data source
Right to life	No	No	
Right to be free from inhumane or degrading treatment	No	No	
Right to liberty/security	No	No	
Right to privacy/family life, home and correspondence	No	No	
Right to freedom of thought/conscience	No	No	
Right to freedom of expression	No	No	
Right to a fair trial	No	No	

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Health Inequalities

Is the policy/proposal addressing health inequalities and are there potential or actual negative impact on health inequality groups, or positive impacts? Where there is potential unlawful impacts is this justifiable.

	Negative Impact	Positive Impact	Justification/ evidence and data source
Deprived populations	No	No	
Inclusion health groups	No	No	
5 child clinical areas	No	No	
5 adult clinical areas	No	No	

Outcome

After completing all of the above sections, please review the responses and consider the outcome.

Is a full EIA required?	Yes ☐ No ☒ Please include rationale:

Sign off

Name of approving manager	Claire Scrafton
Job title of approving manager	Deputy Director of HR & Governance
Date approved	31/05/2024

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12.   Data Protection Impact Assessment Screening Tool

If you answer **YES or UNSURE** to any of the questions below a full Data Protection Impact Assessment will need to be completed in line with Trust policy.

	Yes	No	Unsure	Comments - *Document initial comments on the issue and the privacy impacts or clarification why it is not an issue*
Is the information about individuals likely to raise privacy concerns or expectations e.g., health records, criminal records or other information people would consider particularly private?		✓		
Will the procedural document lead to the collection of new information about individuals?		✓		
Are you using information about individuals for a purpose it is not currently used for, or in a way it is not currently used?		✓		
Will the implementation of the procedural document require you to contact individuals in ways which they may find intrusive?		✓		
Will the information about individuals be disclosed to organisations or people who have not previously had routine access to the information?		✓		
Does the procedural document involve you using new technology which might be perceived as being intrusive? e.g., biometrics or facial recognition		✓		
Will the procedural document result in you making decisions or taking action against individuals in ways which can have a significant impact on them?		✓		
Will the implementation of the procedural document compel individuals to provide information about themselves?		✓		

Sign off if no requirement to continue with Data Protection Impact Assessment:
Confirmation that the responses to the above questions are all NO and therefore there is no requirement to continue with the Data Protection Impact Assessment

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Policy author Helen Burdett, Clinical Project Lead   Date 30/05/2024

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13.   Appendix 1 – Mandatory training requirements to be set by the Lead Employer for ALL colleagues in training depending on speciality:

- NHS|CSTF|Equality, Diversity and Human Rights - 3 Years
- NHS|CSTF|Fire Safety - 2 Years
- NHS|CSTF|Health, Safety and Welfare - 3 Years
- NHS|CSTF|Infection Prevention and Control - Level 2 - 1 Year
- NHS|CSTF|Information Governance and Data Security - 1 Year
- NHS|CSTF|Moving and Handling - Level 1 – 2 Years
- NHS|CSTF|NHS Conflict Resolution (England) - 3 Years
- NHS|CSTF|Preventing Radicalisation - Prevent Awareness - 3 Years
- NHS|CSTF|Safeguarding Adults (Version 2) - Level 2 - 3 Years
- NHS|CSTF|Safeguarding Children (Version 2) - Level 2 - 3 Years
- NHS|MAND|Blood Transfusion – 2 Years *comprising of:*
    - Blood Transfusion 01: Essential Transfusion Practice
    - Blood Transfusion 03: Consent
    - Blood Transfusion 02: Blood Components
    - Blood Transfusion 04: Transfusion Reactions
- NHS|MAND|Safe Use of Insulin – 3 Years
- NHS|MAND|Speak Up – All Workers – No Renewal
- NHSMAND|Venous Thromboembolism – 2 Years
- NHS|MAND|The Oliver McGowan Mandatory Training on Learning Disability and Autism Part 1 Elearning| - No Renewal

To support the role out of Oliver McGowan Tier 1 and Tier 2 the following competencies are added to competency profiles for colleagues in training but not marked as essential and will therefore not be included in compliance rates.

Hosts are responsible for providing colleagues in training with access to:

- NHS|CSTF|Resuscitation - Level 2 - Adult Basic Life Support - 1 Year

This is due to the practical element / assessment that is required.

Regarding Safeguarding Level 3 Adults and Children these may not be required by all non-GPST colleagues in training depending on 3 distinct factors:
- Host
- Speciality
- Rotation

Therefore, the colleague in training is responsible for ensuring their compliance and accessing the training through their Host for:

- NHS|CSTF|Safeguarding Children - Level 3 - 3 Years
- NHS|CSTF|Safeguarding Adults - Level 3 - 3 Years
-

Where either of these modules have been awarded by a Host Level 2 may also be awarded at the same time.

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The following module is not required by all Hosts therefore it is not marked as essential and not included in overall compliance percentage. Colleagues in training can have this competency awarded by Hosts where required.

- NHS|CSTF|Moving and Handling - Level 2 – 2 Years

In order to support those colleagues in training undertaking General Practice Speciality Training these colleagues in training have the following modules allocated to them:

- NHS|CSTF|Safeguarding Children - Level 3 - 3 Years
- NHS|CSTF|Safeguarding Adults - Level 3 - 3 Years
- NHS|CSTF|Resuscitation Paediatric Level 2 - 1 Year

14. Appendix 2 - Escalation Process Illustration for Existing Trainees

WK Commencing	wk	Status	Stage	Action	Host Trust	MT Team	Rota Co-ordinator	Trainee	TSTL / Locally Identified Individual	LE HR
08/07/2024	-4	Compliant	0	Trainee informed that training need attention	✓	✗	✗	✗	✗	✗
15/07/2024	-3	Compliant		Trainee to undertake training due to expire	✗	✗	✗	✓	✗	✗
22/07/2024	-2	Compliant								
29/07/2024	-1	Compliant								
05/08/2024	0	Compliant								
12/08/2024	1	Non-compliant	1	1. Letter/email issued to trainee asking them to complete in the next 4 weeks	✓	✗	✗	✗	✗	✗
19/08/2024	2	Non-compliant		2. Stage 1 eForm completed to notify LE	✓	✓	✗	✗	✗	✗
26/08/2024	3	Non-compliant		3. Mandatory Training Team check eForm is fully completed and informs HR for logging on MI	✗	✓	✗	✗	✗	✓
02/09/2024	4	Non-compliant		4. Trainee to undertake training due to expire	✗	✗	✗	✓	✗	✗
09/09/2024	5	Non-compliant								
16/09/2024	6	Non-compliant	2	1. Host checks compliance of Trainee on O96	✓	✗	✗	✗	✗	✗
				2. Host Organisation completes Compliant eForm to notify LE trainee is now compliant	✓	✗	✗	✗	✗	✗
				3. Mandatory Training Team check eForm is fully completed and informs HR for logging on MI	✗	✓	✗	✗	✗	✓
				OR						
				2. Host Organisation will escalate to the Director of Medical Education who will liaise with the Tr…	✓	✗	✗	✗	✗	✗
				3. TSTL or other locally identified individual will arrange for time to be allocated in Trainee's rota	✗	✗	✓	✓	✓	✗
				4. TSTL or other locally identified individual will issue letter/email to Trainee stating time that has been allocated on rota and Host Organisation copied in	✗	✗	✗	✓	✓	✗
				5. Stage 2 eForm completed to notify LE	✓	✗	✗	✗	✗	✗
				6. Mandatory Training Team check eForm is fully completed and informs HR for logging on MI	✗	✓	✗	✗	✗	✓
23/09/2024	7	Non-compliant		Trainee can undertake training due to expire before time is allocated if they wish	✗	✗	✗	✓	✗	✗
30/09/2024	8	Non-compliant								
07/10/2024	9	Non-compliant								
14/10/2024	10	Non-compliant								
21/10/2024	11	Non-compliant								
28/10/2024	12	Non-compliant								
04/11/2024	13	Non-compliant		Allocated time in rota to complete training						
11/11/2024	14	Non-compliant								
18/11/2024	15	Non-compliant	3	1. Host Organisation completed Stage 3 eForm notifying LE if trainee is still non-compliant	✓	✗	✗	✗	✗	✗
				2. Mandatory Training Team check eForm is fully completed and informs HR for logging on MI	✗	✓	✗	✗	✗	✗
				OR						
				1. Host Organisation completes Compliant eForm to notify LE trainee is now compliant	✓	✗	✗	✗	✗	✗
				2. Mandatory Training Team check eForm is fully completed and informs HR for logging on MI	✗	✓	✗	✗	✗	✗
				3. Formal management by LE HR	✗	✗	✗	✗	✗	✓

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15. Appendix 3 Escalation Process Illustration for IMG Trainees

WK Commencing	wk	Status	Stage	Action	Host Trust	MT Team	Rota Co-ordinator	Trainee	TSTL / Locally Identified Individual	LE HR
05/08/2024	-4	Non-compliant	0	IMG Trainee commences 1st rotation and is informed of the training they are required to compl…	✓	✗	✗	✗	✗	✗
12/08/2024	-3	Non-compliant								
19/08/2024	-2	Non-compliant	0	Trainee to undertake training	✗	✗	✗	✓	✗	✗
26/08/2024	-1	Non-compliant								
02/09/2024	0	Non-compliant								
09/09/2024	1	Non-compliant	1	1. Letter/email issued to trainee asking them to complete in the next 4 weeks	✓	✗	✗	✗	✓	✓
16/09/2024	2	Non-compliant		2. Stage 1 eForm completed to notify LE	✓	✗	✗	✗	✓	✓
23/09/2024	3	Non-compliant		3. Mandatory Training Team check eForm is fully completed and informs HR for logging on MI	✗	✓	✗	✗	✓	✓
30/09/2024	4	Non-compliant		4. Trainee to undertake training due to expire	✗	✗	✗	✓	✗	✗
07/10/2024	5	Non-compliant								
14/10/2024	6	Non-compliant	2	1. Host checks compliance of Trainee on 096	✓	✗	✗	✗	✗	✓
				2. Host Organisation completes Compliant eForm to notify LE trainee is now compliant	✓	✗	✗	✗	✗	✓
				3. Mandatory Training Team check eForm is fully completed and informs HR for logging on MI	✗	✓	✗	✗	✗	✓
				OR						
				2. Host Organisation will escalate to the Director of Medical Education who will liaise with the T…	✓	✗	✗	✗	✗	✓
				3. TSTL or other locally identified individual will arrange for time to be allocated in Trainee's rot…	✗	✗	✓	✗	✓	✓
21/10/2024	7	Non-compliant		4. TSTL or other locally identified individual will issue letter/email to Trainee stating time that has been allocated on rota and Host Organisation copied in	✗	✓	✗	✗	✓	✓
28/10/2024	8	Non-compliant		5. Stage 2 eForm completed to notify LE	✗	✗	✗	✗	✗	✓
04/11/2024	9	Non-compliant		6. Mandatory Training Team check eForm is fully completed and informs HR for logging on MI	✗	✓	✗	✗	✗	✓
11/11/2024	10	Non-compliant								
18/11/2024	11	Non-compliant		Trainee can undertake training due to expire before time is allocated if they wish	✗	✗	✗	✓	✗	✗
25/11/2024	12	Non-compliant								
02/12/2024	13	Non-compliant		Allocated time in rota to complete training						
09/11/2024	14	Non-compliant								
16/09/2024	15	Non-compliant	3	1. Host Organisation completed Stage 3 eForm notifying LE if trainee is still non-compliant	✓	✗	✗	✗	✗	✗
				2. Mandatory Training Team check eForm is fully completed and informs HR for logging on MI	✗	✓	✗	✗	✗	✗
				OR						
				1. Host Organisation completes Compliant eForm to notify LE trainee is now compliant	✓	✗	✗	✗	✗	✗
				2. Mandatory Training Team check eForm is fully completed and informs HR for logging on MI	✗	✓	✗	✗	✗	✗
				3. Formal management by LE HR	✗	✗	✗	✗	✗	✓

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16.   Appendix 4 –Details Required for Escalation eForms

Important Information●●●

Lead Employer need to be informed of each stage of the escalation process to support host organisations when a trainee is due to rotate.

Form Details and Links●●●

All forms require the following detail to be submitted:
- Employee/Trainee Name
- GMC Number
- Speciality
- Grade
- Host Organisation Name
- Number of outstanding competencies

Stage 1 eForm
Additional Details required:
- Was the Trainee reminded to do their training at the first stage? (Provide date)
- Has evidence of this been provided? (Provide detail from email sent)
- Was the Trainee given allocated time to do their training at the first stage? (Yes/No)
- Has evidence of time being allocated been provided? (Provide details from rota / email)

Stage 2 eForm
Additional Details required:
- Has the employee/trainee been escalated to the Director of Medical Education? (Yes/No)
- Has evidence been provided? (Provide text from email)
- Was the trainee given allocate time to do their training (Yes//No)
- Has evidence been provided? (Provide details from rota / email)

Stage 3 eForm
Details required:
- Confirmation that the employee/trainee has not completed outstanding training despite allocated time being given.

Mandatory Training Team eForm **– for use when the employee/trainee has completed all outstanding training.**
- Confirmation of completion of all outstanding mandatory training statement

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16.   Appendix 5

Example Letter / Email for Stage 1

Dear Colleague,

Please can we remind you of the Trust requirement to complete online mandatory training and annual face to face training.

Core Skills

Please see below for your core skills module expiry dates. **Please use training platform 096 ESR or eLearning for Health only for the below modules.**

You must complete the below by the dates shown. Failure to do so may result in your non-compliance being escalated to your Clinical Lead, Programme Director, or Head of School.

Please ensure you complete core skills modules below on platform 096 ESR or eLearning for Health, certificates from other learning platforms will not be accepted and you will remain non-compliant.

Module	Expiry Date

All Core Skills modules are available on ESR (https://my.esr.nhs.uk/) and https://www.e-lfh.org.uk/

If you have any difficulty signing in or using the systems, please contact the ESR Helpdesk at ESR.Helpdesk@sthk.nhs.uk

Should you have any issues with completing the above detailed modules before their expiry please make us aware.

Kind Regards

17. Appendix 6

Example Letter / Email for Stage 2

Dear Colleague

I have been asked to contact you by (Insert name of DME) as further to previous communication dated (insert date) it has been noted that you are still noncompliant with the following modules:

(delete as appropriate)
- NHS|CSTF|Equality, Diversity and Human Rights - 3 Years
- NHS|CSTF|Fire Safety - 2 Years
- NHS|CSTF|Health, Safety and Welfare - 3 Years
- NHS|CSTF|Infection Prevention and Control - Level 2 - 1 Year
- NHS|CSTF|Information Governance and Data Security - 1 Year
- NHS|CSTF|NHS Conflict Resolution (England) - 3 Years
- NHS|CSTF|Preventing Radicalisation - Prevent Awareness - 3 Years
- NHS|CSTF|Safeguarding Adults (Version 2) - Level 2 - 3 Years
- NHS|CSTF|Safeguarding Children (Version 2) - Level 2 - 3 Years
- NHS|MAND|Blood Transfusion – 2 Years *comprising of:*
  - Blood Transfusion 01: Essential Transfusion Practice
  - Blood Transfusion 03: Consent
  - Blood Transfusion 02: Blood Components
  - Blood Transfusion 04: Transfusion Reactions
- NHS|MAND|Safe Use of Insulin – 3 Years
- NHS|MAND|Speak Up – All Workers – No Renewal
- NHSMAND|VTE Prevention in Secondary Care – 2 Years
- NHS|MAND|The Oliver McGowan Mandatory Training on Learning Disability and Autism Part 1 Elearning| - No Renewal

As part of your employment, you are required to fulfil the mandatory training required by Lead Employer, and this is not currently being met. Both statutory and mandatory training are indispensable in the NHS to protect employee welfare and ensure that the highest quality care is being provided to patients.

Time has been allocated for you on your rota (i*nsert details*) to enable you to complete these modules and it is imperative that this is done during this time. Failure to complete will result in a referral to Lead Employer HR for formal management should it be considered necessary.

Should there be any reasons that will impact on your ability to complete the identified eLearning please contact either myself or (*insert name and email of identified person in Trust responsible for managing Employee/Resident Doctor mandatory training compliance*).

Kind Regards

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