Mandatory and Statutory Training Implementation Toolkit

A four-step guide to improving your induction process

July 2018
About this toolkit

This toolkit aims to support organisations to streamline their induction process. By following the four-steps within this guide you will be able to create a process to deliver, transfer and accept mandatory and statutory training to a consistent national standard. This will provide a streamlined induction experience for staff transferring from one NHS organisation to another.

This toolkit combines expertise, knowledge and experience gathered from the National Streamlining Programme, the Skills for Health Core Skills Training Framework and the Electronic Staff Records (ESR) Inter Authority Transfer (IAT) functionality to enable the portability of existing mandatory and statutory training.

The guidance in this toolkit has been tried and tested by a number of NHS organisations, it contains best practice, top tips, detailed actions and links to further documentation such as case studies and guides to help you successfully implement the four steps.
Key benefits for your organisation and workforce

- Improves the overall employment experience for NHS staff moving between NHS organisations.
- Standardises the framework and interpretation of mandatory and statutory training.
- Ensures the quality and consistency of training delivered.
- Reduces the length of induction programmes as new starters will not need to repeat training.

Example: South West pilot study

In 2017/18 a pilot study took place in the South West to evaluate and assess established processes that have been previously implemented across other regions. Their aim was to test each step and make sure it worked effectively and that all associated supporting materials were accurate and useful, this helped shape and influence the content of this toolkit.

The benefits of sharing and transferring training records have been well documented since the creation of the Skills for Health Core Skills Training Framework. The South West region has successfully demonstrated that by collectively working to the four steps within a structured time line, see the pilot findings opposite.

“As a non-Oracle Learning Management trust the project posed particular challenges for us, but the benefits longer term make this a ‘must do’ across the South West.”

Darryn Allcorn, Director of Nursing Quality and Workforce.

South West pilot findings:

Between January and March 2018 the number of core skills training framework competencies assigned against employee records in ESR increased by 125 per cent, compared to the 6 per cent national average increase.

100 per cent of FY2 doctors in training in the South West region started their rotation in August 2018 with a set of core skills training framework competencies as a result of implementing the four steps.
Launching your programme

This toolkit has been developed to support both individual trusts and collective regional implementations, the successes within the South West pilot were maximised by adopting a regional approach.

Regional versus individual approach

- **Working independently will only ensure you can send quality data from your organisation to neighbouring organisations as staff move.**
- **Working regionally will ensure that you will also all benefit by receiving incoming training which will enable you to implement a streamlined induction.**

Over 90,000 staff currently receive mandatory and statutory training that is declared and aligned to the core skills training framework. (Source: NHS Digital)
Use this checklist to help you launch your programme

- Complete a regional **readiness assessment** to understand your baseline position.
- Create a network and communications platform to share documents, best practice and webinars.
- Set up an internal project team within each organisation, bringing together learning and development, workforce (ESR) and recruitment teams which cover all staff groups.
- Ensure your executive lead allocates resources internally to ensure successful delivery of the four steps.
- Ensure that the project team meets regularly and explores cross-trust collaboration utilising existing networks and other forums.
- Record the core skills training framework competencies in ESR if your organisation does not currently use the Employee Staff Record OLM (Oracle Learning Management).

**Top Tip**

Build evaluation into your programme, this will help you demonstrate the impact of the changes and value of the programme.
Think about the evaluation from the start

Aim to build evaluation into your project, this will help you better demonstrate and articulate the impact of the changes made. The most effective evaluation activities are fully integrated, planned and put in place at the commencement of a project.

Evaluation typically involves the following stages:

1. Creating an evaluation plan.
2. Collecting evidence (as defined in your plan) to enable you to measure performance.
3. Analysing the data and evidence collected and reporting on performance against the plan.
4. Sharing your findings with others.

Key benefits of having an evaluation plan

- Helps you focus on what you are ultimately trying to achieve, often leading to a more effective delivery.
- It means you know what data to gather as you go along, for example, to fit with other contacts and communications with your audiences.
- Helps you identify any additional budget that will be needed to undertake the necessary evaluation.
- Ensures you gather information in a timely manner, for example, soon after an activity when staff can recall it clearly and the impact it has had.
- It can help you identify evaluation tasks at the outset, so they can be built into your team’s workload.
- Assists with the collection of information in a consistent manner. For example, using the same set of evaluation questions for all activities delivered under a programme, which you can then aggregate to identify the whole programme impact.

Share your learning

We are keen to understand the impact the new processes have had in your organisation, once you have delivered and successfully evaluated your work, please share your findings and learning by emailing(streamlining@nhsemployers.org) so that it can be shared with the rest of the NHS.
ESR process for mandatory and statutory training
These slides provide an overview of the optimal end-to-end process in ESR to support all organisations with the implementation of the four steps.

Getting started checklist
Use this checklist to help with your implementation preparations to engage staff within your organisation.

Project initiation document
Use this template to set out the formal programme board structure, governance and accountability. Regions using this formal structure have reported faster progress.

Project terms of reference template
Use this terms of reference template to support implementation and clearly set out the purpose of the project group, duties and membership.

Readiness assessment project spreadsheet
To confirm your baseline position, use this readiness assessment to support your project team.

Setting up a streamlining project team
Creating a local project team that includes all the right people and roles is essential in successfully delivering the mandatory and statutory training deliverables. Find out who should be part of your project team.
Four steps to successful implementation

**Step 1**
Pre-hire Inter Authority Transfer

- Run pre-hire Inter Authority Transfers for all staff groups at conditional offer stage.
- Assign required roles for sending and receiving core skills training framework competencies.

**Step 2**
Core Skills Training Framework

- Declare and align to the core skills training framework.
- Align to the nationally agreed refresher periods.

**Step 3**
National Core Skills Training Framework Competencies

- Use the core skills training framework competencies within ESR to record mandatory and statutory compliance for all staff.
- Review and accept incoming competencies for all staff joining from a previous NHS organisation.

**Step 4**
Induction

- Review and update local induction programme to ensure no mandatory and statutory training is repeated unnecessarily for staff joining from previous NHS organisations.
Step 1 – Pre-hire Inter Authority Transfer

The Inter Authority Transfer (IAT) is an automated process that delivers portable data via the Electronic Staff Record (ESR), it reduces the manual data entry needed following the appointment of staff from other NHS organisations.

The IAT process is formed around each employee’s portable data set which accompanies an individual from one NHS organisation to another. By embedding the pre-hire IAT process this enables the transfer of training data that a new employee has previously completed.

Key benefits of receiving portable training records

- Offers preliminary data at the earliest opportunity.
- Eliminates the need for staff to produce training and occupational health records.
- Improves the range and quality of training data transferred between trusts.
- Enables you to create an agile induction programme that ensures you only deliver mandatory and statutory training when it is needed.

Checklist of actions to help you embed the pre-hire IAT process

- Ensure the automatic IAT is enabled for your organisation
- Run a local pre-hire IAT workshop inviting your ESR account manager, this is a great way to define roles and responsibilities.
- Use the process map infographic, it’s a great way to understand the end-to-end process.

Cambridgeshire and Peterborough NHS Foundation Trust has reduced the time that new starters spend on corporate induction by running the pre-hire ESR IAT process and accepting existing compliance in the core skills training framework competencies.

The trust projects savings of around £90,000 for the financial year.

Find out more, read this case study.
Guidance and useful links

**Cambridge and Peterborough Foundation Trust case study**
Find out how the trust has reduced the time that new starters spend on corporate induction by running the pre-hire ESR Inter Authority Transfer process and accepting existing compliance in core skills training framework competencies.

**ESR Inter Authority guide**
This guide provides details on the pre-requisite tasks necessary before initiating the IAT process. (You will need a KBase log in.)

**ESR HR best practice**
Provides a best practice approach to undertaking recruitment, HR and payroll activities in ESR, including the IAT process.

**ESR Inter Authority Transfer brochure**
This brochure provides a high-level overview of the IAT process and the benefits utilising this functionality can bring to an organisation.

**ESR user manual – process overview**
The ESR electronic user manual provides an overview of the IAT, including important information for your local ESR administrator to assist with allocating the correct user responsibility profiles and notification roles to users. (You will need N3 NHS network to access the manual.)

**ESR user manual – process overview**
This section of the ESR electronic user manual provides an overview of the full automated IAT process including information on how to trigger the IAT, the person matching criteria and the notifications highlighting transferring of employment, competency and occupational health data. (You will need N3 NHS network to access the manual.)

**GDPR and streamlining resources**
The streamlining resource hub provides supporting materials and access to a range of resources which will help you successfully complete the necessary steps to run an IAT.

**Inter Authority Transfer (IAT) process map**
This process map provides the end-to-end IAT process and provides a good basis for discussions on roles and responsibilities.

**Pre-hire Inter Authority Transfer competences and references**
These webinar slides provide an overview of the end to end IAT process including how competencies and references can be managed via the pre-hire IAT process. (You will need a KBase log in.)

**Worcestershire NHS Health and Care NHS Trust**
Learn how the trust has saved seven hours per staff member as a result of reducing the time that new starters spend repeating unnecessary mandatory and statutory training.
Step 2 – Core Skills Training Framework

The core skills training framework developed by Skills for Health gives NHS organisations confidence to recognise that training standards have been met to a standard.

Employers often need to assess the quality of new recruits’ previous training. Where information is lacking, people can repeat training unnecessarily, wasting time and money. The framework addresses this issue and allows employers to recognise training to a standard and also reduces the duplication of training.

The framework comprises of 11 mandatory and statutory subjects:

- information governance
- preventing radicalisation
- equality and diversity
- safeguarding adults
- fire safety
- safeguarding children
- moving and handling
- health, safety and welfare
- resuscitation
- infection prevention
- NHS conflict resolution

The framework also provides detailed learning outcomes, standards and guidance available in a range of resources such as subject guides and mapping tools.

“We see the greatest benefit of the framework as providing consistency between providers, meaning that training can be recognised when employees and healthcare students move between organisations.”

(Source, Skills for Health)
**Key benefits of aligning your mandatory and statutory training to the framework**

- The framework can be used by any healthcare employer and higher education institution in the UK.
- Can help save time and money by giving you the confidence to accept previous employers’ training and avoids overtraining.
- Rationalises costs, training only those that need it.
- Standardises the interpretation of mandatory and statutory training.
- Gives confidence that training standards have been met.
- Guides the focus, aims and relevance of training.
- Can improve the quality and consistency of training.

Following alignment to the core skills training framework and introduction of the Inter Authority Transfer functionality within ESR, Worcestershire Health and Care NHS Trust is able to accept previous training records for new starters.

As a result, the trust has saved an average seven hours per staff member due to training not being repeated.

Read their [case study](#) to learn more.
Checklist of actions to help you embed the pre-hire IAT process

- Visit the Skills for Health website to access the core skills training framework and resources. Find out what’s involved and register for the Skills for Health Tools portal.
- Establish your HR Director as the executive sponsor to ensure the delivery of aligning to the core skills training framework.
- Engage with your local subject matter experts to ensure all core skills training framework learning outcomes are met across all 11 subjects.
- Organise a workshop to explain the purpose and timescales and provide copies of the Content Mapping Tool.
- Encourage your subject matter experts to both review and align learning to the recommended core skills training framework refresher periods.
- Review your organisation’s training provision against the guidance and standards in the framework. The Skills for Health Subject Guide links to relevant legislation, guidance and other national and/or regulatory standards. A User Guide also provides background information on the purpose, benefits and implementation of the framework.
- Map your learning outcomes by using the Content Mapping Tool to assist with the mapping of your training provision and record where your learning provision meets the framework learning outcomes and training standards, along with any further action required to achieve compliance.
- Submit a Declaration of Alignment once you have completed the mapping to confirm which subjects are aligned. Skills for Health will review your Declaration of Alignment and look for evidence that this self-assessment is accurate and complete.
- Check your inclusion has been added to the Directory of Aligned Organisations located on the Skills for Health website. Organisations on the directory can then also use the agreed National Competency Tags in ESR/OLM.

Top Tips

- Complete the mapping tool on current training delivery before you do anything else.
- For quality assurance realign every three years.

The Royal Devon & Exeter NHS Trust has reduced the amount of time new starters spend on mandatory and statutory training by declaring and aligning to the core skills training framework and recording competencies in ESR. This has reduced the number of training subjects new starters have needed to complete, giving them more time in their departments.

Learn more about what they did, read this case study.
Guidance and useful links

**Royal Devon and Exeter NHS Foundation Trust case study**
Royal Devon and Exeter share their experience of aligning to the core skills training framework which has helped them reduce the amount of time new starters spend on mandatory and statutory training.

**Skills for Health – Core Skills Training Framework resources**
Access key documentation to support your organisation’s alignment to the core skills training framework:

- Subject guide
- User guide
- Mapping tools
- Declaration of alignment

**Skills for Health Directory of Aligned Organisations**
Check if you have been included in the directory of aligned organisations.
Step 3 – National Core Skills Training Framework Competencies

NHS organisations are encouraged to record the national core skills training framework competencies in ESR in order to enable the transfer of mandatory and statutory training records for staff transferring between NHS organisations.

Once you have declared and aligned to the core skills training framework you will be able to record competencies in ESR to ensure data flows when you run your pre-hire Inter Authority Transfers.*

* Only NHS organisations which have submitted their declaration of alignment should record the competencies in ESR. The ESR central team provides quarterly reports to Skills for Health to ensure only those organisations listed on the core skills training framework directory are using them.

Key benefits of recording the core skills training framework competencies on ESR

- Competencies recorded in ESR for all staff will transfer via pre-hire IAT electronically resulting in an efficient portable training record.
- Renewal periods will be aligned, providing consistency and reducing confusion for all staff.
- An improved new starter experience, due to the removal of repeated mandatory and statutory training along with the need to provide evidence.
- Inductions will be shorter, which means more staff time can be spent with patients.

Top Tip

Remember to enter additional levels of core skills training framework competencies where relevant. For example, if by completing a level three course you are also covering level two and level one, then the level three course will need all three competencies entering.
Oracle Learning Management (OLM)

OLM is the training module of ESR used for recording and maintaining training records. By recording core skills training framework competencies in OLM it enables the transfer of data through the ESR Inter Authority Transfer to other NHS organisations.

Checklist A - Actions for OLM users

- Assign the core skills training framework competencies to courses going forward, for both e-learning and face to face.
- Complete a historical update of records. You may find it helpful to raise a system request to help with your historical upload. Please see the ESR Mass Upload guide for further help, the ESR central team will send you a template to be completed and schedule a time for the work to be undertaken.
- Plan your transition to replace existing local competency requirements with core skills training framework competencies.

Northern Devon Healthcare Trust is a non-Oracle Learning Management (OLM) organisation, they used the North West data load support tool to upload core skills training framework competencies in ESR which has enabled the transfer of training records to other NHS trusts.

28,124 training records have been successfully uploaded into ESR.

Approximately 2,260 training records are uploaded on a monthly basis using the data load tool, taking around 5.5 hours to complete.

Learn more about what they did, read this case study.
Non-Oracle Learning Management (OLM) systems

For organisations that use a standalone learning management system, the North West dataload support tool has been developed to support the transfer of training data from your system into ESR. You will need your IT department to help you set this up locally.

Please access and follow the user guidance along with the supporting files to enable you to effectively use this process. The process has been used successfully by several organisations, find out more by reading the Northern Devon Healthcare NHS Trust case study.

Checklist B - Actions for non-OLM users

- Contact your IT department and ask for support to set this up locally.
- Access and follow the user guidance along with the supporting files to enable you to successfully use this tried and tested process.
- ESR is able to offer organisations a one-off upload of historical competencies into ESR, to do this you will need to:
  - Raise an SR to raise a work order request.
  - Undertake a competency matching exercise (non-core skills training framework to core skills training framework) to produce the list of core skills training framework competencies for ESR upload.
  - Have a robust process for managing the transfer of core skills training framework competencies into ESR on an ongoing basis, and to implement this process at the point of when the data is cut from their learning management system.
- Ensure you communicate with staff regarding ESR notifications being automated once competencies are recorded in ESR.
- Complete a historical update of records, you can raise an SR (system request) for support with your historical upload.

Barnsley Hospital NHS Foundation Trust introduced a process to accept the transfer of training records. Since the introduction of this process in 2015, a total of 3,652 hours of unnecessary repeated training have been saved.

Read this case study to find out more.

Top Tips

- Explore using competency requirements within ESR, this will support compliance reporting and staff viewing their competency profile via self service.
- Have a desktop computer or laptop that is dedicated to this process.
- Contact your local workforce/ESR lead to find out if data load is already a process used within your organisation.
Pilot trust example

Derby Teaching Hospitals NHS Foundation used the North West streamlining data load support tool during a pilot which drastically **reduced the time spent loading data by 74 per cent**.

**Old data load process**

Uploading data load competencies spread sheet into ESR.

**Took 42 mins per 100 records**

Approximately **one week** of running the script for **most of the working day** to get all the competency updates into ESR.

**North West streamlining data load tool**

Uploading data load competencies spreadsheet into ESR.

**11 mins per 100 records**

To complete the **monthly uploads** required it now takes approximately **1-1.5 days**, rather than a week.

“I update 3,500-4,000 record lines each month, the data loader tool allows me to identify a lot more staff as being a ‘new competency’ than the previous tool, which saves time as loading a new competency takes seconds. The script also amends the current competency, which again is much faster as it keeps the history. I can see this as a benefit in the future if we as an organisation move to OLM.”

Greg Chambers, Workforce Systems Manager

"University Hospitals of Derby and Burton NHS Foundation Trust"
**Guidance and useful links**

**ESR electronic user manual - creating a learning certification**
This section of the ESR electronic user manual details the process to create learning certifications in ESR to enable the ability to manage and control the compliance of mandatory and statutory training and their expiry periods. (You will need N3 NHS network to access the manual.)

**ESR talent management brochure**
This functional brochure provides a high-level overview of the talent management functionality in ESR, along with the benefits of using this functionality.

**ESR electronic user manual - adding a learning competency**
This section of the ESR electronic user manual details the process necessary to add a learning competency to courses and learning paths in the OLM system. This is necessary to ensure attendees are automatically awarded the competency on completion. (You will need N3 NHS network to access the manual.) (You will need a KBase log in.)

**ESR electronic user manual - define competence requirements**
This section of the ESR electronic user manual details the process to define the competencies required by different staff groups using defined national frameworks such as the core skills training framework. (You will need N3 NHS network to access the manual.)

**ESR electronic user manual - learning certification**
This section of the ESR electronic user manual details the process to create learning certifications in ESR to enable the ability to manage and control the compliance of training and their expiry periods. (You will need N3 NHS network to access the manual.)

**Guide to mass update processes**
This guide details the mass update service that the ESR central team offers organisations to mass load historical data into ESR as a one-off resource. (You will need a KBase log in.)

**Northern Devon Healthcare NHS Trust case study**
The trust is a non-OLM user who has used the North West data load support tool to upload their core skills training framework competencies in ESR, which has enabled the transfer of training records to other NHS trusts.

**North West streamlining data load support tool**
A tried and tested tool developed to help facilitate the transfer of data between a third-party learning management system into ESR.

**Oracle Learning Management (OLM) brochure**
This brochure provides a high-level overview of the Oracle Learning Management (OLM) functionality in ESR including the linking of national competencies to training in OLM.

**Royal Devon and Exeter NHS Foundation Trust case study**
The trust share their experiences of recording competencies in ESR which has helped them reduce the amount of time new starters spend on mandatory and statutory training.
Step 4 – Induction

This final step requires a review and update of your local induction programme to ensure no mandatory and statutory training is repeated unnecessarily for staff joining from another NHS organisation. This step is equally as important as the other steps, and without updating your existing induction programme, you will not achieve the full benefits of this streamlined process.

An employee’s first impressions of an organisation has a significant impact on their integration within the team and their level of job satisfaction. Induction is an opportunity for the NHS to welcome their new starters, help them settle in and ensure they have the knowledge and support they need to perform their role.

Every organisation, regardless of size, should have a well-considered induction programme that provides new staff with a positive experience of the organisation. It should provide all the information that new starters need, without overwhelming them or repeating unnecessary training.

Key benefits of reviewing and updating your local induction programme

- Eliminates unnecessary or repeated mandatory and statutory training, reducing both time and money spent on training.
- Improves staff experience.
- Increases the amount of time staff spend delivering patient care.
- Having an effective induction can also have a positive impact on turnover and absenteeism.

Top Tip

The length and nature of the induction process depends on the type of job role, the new starters background, and the size and nature of the organisation. One size does not fit all and a standardised induction agenda is unlikely to achieve its aims.
Checklist for conducting a review of your induction programme

- Create a working group to review your current induction programme, this should comprise of representatives from different teams that are involved in the induction process.
- Consider segmenting your induction programme into local, corporate and core skills training framework training:
  - Local induction – information relating to their actual role and working environment (excluding core skills training framework modules).
  - Corporate induction – a general welcome and introduction to your trust.
  - Core skills training framework – All 11 subject modules.
- Understand how you currently deliver mandatory and statutory training, for example e-learning, face-to-face, blended.
- Ensure the Health Education England national core skills training framework e-learning packages are utilised within your revised induction programme.
- Remember – the ultimate aim is to deliver a quality and efficient onboarding experience by offering an agile approach to induction.

“The Inter Authority Transfer enables us to pull in any previously in date core skills training framework compliance which reduces the time spent on inductions. The trust has also recently turned off paper payslips, colleagues now login to ESR to view them. This simple act has enabled more frequent access of the system and greater visibility on compliance rates. Average compliancy has increased to over 90 per cent in most subjects as of June 2018.”

Next Steps...

“The trust intend to utilise the functionality being released in June 2018 (ESR 39) to set the automatic internet access option. This will hopefully provide access to e-learning for our new starters so that they can complete their e-compliance training prior to their start dates.”

Andrew Mills, HR Systems and Recruitment Manager
Barnsley Hospitals NHS Foundation Trust case study
Learn how the trust has saved thousands of hours of time spent on unnecessary training through the introduction of a process to accept training records from other NHS organisations.

ESR electronic user manual - managing competencies
This section of the ESR electronic user manual details how a user can access and manage their compliance via their ESR Employee Self Service access. (You will need N3 NHS network to access the manual.) (You will need a KBase log in.)

GDPR and streamlining resources
This section of the streamlining resource hub provides a number of supporting documents and also access to a webinar which will help ensure your organisation has completed the necessary steps to run an IAT.

Induction review board template
Use this template to support your induction review as part of the national streamlining of mandatory and statutory training.

Inter Authority Transfer process map
This process map details the end-to-end Inter Authority Transfer process and offers a good basis for having discussions and decisions on roles and responsibilities.

ESR Pre-Hire IAT transfer competences and references
These webinar slides provide an overview of the end to end IAT process including how competencies and references can be managed via the pre-hire IAT process. (You will need a KBase log in.)

ESR Quick start guide to e-learning in OLM
This quick how-to guide helps e-learning users navigate and complete their e-learning.

ESR Quick start guide to remote access
This guide helps e-learning users navigate and complete their e-learning using ESR e-learning via remote access (outside the trust network).
Find out more about streamlining

Streamlining is about working collaboratively to embed and deliver consistency through HR best practice and excellence. It’s about delivering a quality recruitment experience in an efficient and timely way, reducing duplication and unnecessary delays in getting the successful candidate started in the workplace. Streamlining engages professionals from the four key HR workstreams to support and deliver best practice - occupational health, medical staffing, statutory and mandatory training and recruitment.

Streamlining enables:

• the achievement of HR excellence through best practice
• organisations to benchmark performance and identify opportunities to improve quality and make processes more efficient
• identify minimum standards and operational practices
• the portability of data.

For more information contact streamlining@nhsemployers.org.

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