Leeds Community Healthcare NHS

NHS Trust

THIS POLICY IS CURRENTLY UNDER REVIEW

Personal and Professional Development Policy **(Supersedes previous Personal Development Policy)**	
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Executive summary

Leeds Community Healthcare NHS Trust (the Trust) is committed to lifelong learning and is constantly improving the opportunities available to enable staff to reach their full potential.

This policy provides all employees with a clear framework to support the development of staff, for managers making decisions regarding funding and time off and providing staff with clear guidance on the criteria that will apply to learning and development activities.

It is written in accordance with the regulatory requirements for assessment and quality assurance for national vocational competency programmes and specific funding criteria set out by the Skills Funding Agency and Health Education England.

Arrangements for appraisal and statutory and mandatory training are contained in the Appraisal Policy and Procedure and Statutory and Mandatory Training Policy.

Equality Analysis

The Trust's vision is to provide the best possible care to every community. In support of the vision, with due regard to the Equality Act 2010 General Duty aims, Equality Analysis has been undertaken on this policy and any outcomes have been considered in the development of this policy. The Equality Analysis is attached as Appendix 7.

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1 Introduction

The Trust is committed to lifelong learning and is constantly improving the opportunities available to enable all staff to reach their full potential, at appropriate levels.

This policy provides managers with a clear framework by which they can manage and support the development of staff, including making decisions regarding funding and time off, whilst providing staff with clear guidance on the criteria that will apply to learning and development activities. Arrangements for staff appraisal and statutory and mandatory training are contained in the Trust's Appraisal Policy and Procedure and the Statutory and Mandatory Training Policy.

2 Aims and Objectives

The aim of this policy is to confirm the Trust's commitment to supporting its employees in learning and developing. It will

- Provide managers with a clear framework by which they can manage and support the development of staff, including making decisions regarding funding and time off.
- Provide staff with clear guidance on how to apply for learning and development activities, and the level of `time off` and funding that they may be offered.

3 Definitions

Development Need is an identified opportunity to enhance performance through learning / training development or assessment activities.

Essential Development is that which is essential to meet the requirements of the current role or to maintain clinical professional registration i.e. for doctors, nurses and therapists. The essential skills of the role are those identified within a job description / person specification or those cited in the relevant competency framework for the role.

Registered clinical staff are required to undertake a stipulated number of hours engaged in continuous professional development (CPD) annually. CPD hours include both formal and informal means of development.

Please note that the funding arrangements described in this policy relate to development costs only. Registration costs are professional fees met by employees themselves. Essential development is a must do determined by the Trust and / or the relevant professional body.

Desirable Development is that which relates to the current role but is not an essential requirement either for the role itself or for the purposes of maintaining professional registration, for clinical staff. This is likely to be cited as a desirable skill in the job description / person specification but may also be agreed with the line manager on the basis that it meets a skill gap within the service.

Career Development is that which does not relate, or only loosely relates to the current role and will enhance the future career prospects of the member of staff.

Long courses are those which cost over £500 and / or require over 7 days off work during any financial year. Examples include degree, diploma and masters courses, this may also apply to higher level vocational qualifications.

Short Courses are those which cost less than £500 and require less than 7 days off work during any financial year. Examples include both formal development such as short training courses and conferences and informal development such as coaching, mentoring, job-shadowing and attending relevant presentations.

Vocationally-Related Qualifications (VRQs) previously known as NVQ, (National Vocational Qualifications) are qualifications attained by assessment of work carried out in the current role against national role performance competencies.

Apprenticeships are development frameworks comprising of VRQs, Skills for Life and / or Employer and Employee Responsibilities. They are offered to staff aged 16-24+ and are available at various levels, from level 2 (GCSEs Grades A-C) to Higher Apprenticeships at foundation degree level. Further details are available from Workforce.

Distance Learning is that which is not directly taught in a given place at a given time. It therefore includes e-learning and research / dissertations associated with long courses. The subject and time for such projects must be negotiated with line managers in order to ensure relevance and minimise disruption to the Trust. All such assignments must be work based. A copy of any assignments and dissertations must be made available for inclusion in the Trust's library.

Direct Costs are those which relate to the provision of the training itself e.g. tuition fees.

Indirect Costs are those which are associated with attending development opportunities e.g. travel and subsistence payments. Indirect costs also include replacement labour costs, e.g. costs of bank or agency staff where required.

Corporately Monitored Budgets are funds provided by either the Government or the Trust which are administered and / or monitored through Workforce; only direct costs will be funded through these budgets. Examples of these budgets are:

> **Health Education Yorkshire and the Humber (HEYH) Funding** is available to all staff applying to study selected long courses. Confirmation of whether a long course is funded this way can be obtained from the course provider.

> **Support Staff Learning and Development Fund (SSLDF)** is available for support staff, bands 1 – 4, applying for an apprenticeship, VRQ or job related short course. This is an annual budget provided by HEYH that is shared by three Trusts in Leeds. This type of funding is from a corporately monitored budget, and places need to be forecast at the beginning of a financial year.

> **Long Course Funding** is available to all staff who applies for a course that is not eligible for funding from HEYH or SSLDF.

Service Funding is available to staff from their particular service. Each service holds its own budget, for short courses application to service delivery.

Protected Characteristics are characteristics that are protected against discrimination. They are; age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion and belief; sex and sexual orientation.

4   Responsibilities

4.1 Chairman and Chief Executive are responsible for;
- Ensuring the Trust has robust policies and procedures in place to support staff in continuing their personal and professional development. In practice this responsibility is delegated to General Managers, Heads of Service and Service Managers.

4.2 Director of Workforce is responsible for:
- Ensuring this policy is reviewed and updated in light of legislation and guidance.
- Promoting a working environment that encourages continuous personal and professional development.
- Ensuring that access to training and development opportunities is available to all, including those with characteristics that are protected under the Equality Act 2010.

4.3 Directors are responsible for:
- Determining and overseeing training budgets within their service, specifically:
- Ensuring appropriate funding provision is made for learning and development whilst taking into consideration current and future service needs. These responsibilities will be carried out in consultation with senior managers, workforce and professional development leads, and in line with business and workforce plans. A joint statement has been issued by the professional bodies responsible for the registration of staff in health and social care which advises an allocation of 6 days (45 hours) for CPD for all staff (registered and unregistered), excluding statutory and mandatory training but including informal as well as formal development activity, including writing-up time. This guidance is available at http://www.rcn.org.uk/data/assets/pdffile/0003/78708/003064.pdf and will be taken into consideration when determining overall training budgets.
- Ensuring adequate arrangements for the monitoring and allocation of training budgets within their service(s).

4.4 Workforce is responsible for:
- Commissioning and monitoring training provision, delivery and evaluation. Specifically this includes:
- Monitoring corporately administered training budgets.
- Monitoring access to development opportunities to ensure equality between individuals, teams and services.
- Administering the applications processes for long courses and VRQs.
- Liaising with regional preferred providers regarding application of vocational and apprenticeship opportunities
- Advising managers on all aspects of this policy, including funding arrangements and the process for making approval decisions relating to corporately funded or administered development opportunities.
- Providing information via ELSIE and Community Talk on availability and content of development opportunities.
- Providing or commissioning training as outlined on the corporate training pages on ELSIE.

- Evaluating corporately-provided or commissioned training in consultation with senior managers.
- Monitoring levels of non-completion of long courses.
- Discussing reasons for non-completion of long courses to advise on decisions relating to repayment of fees where appropriate.
- Monitoring access to development opportunities for staff with protected characteristics through ESR and inform relevant heads of service of potential imbalances.
- Publishing equality outcomes in the annual workforce report and Public Sector Equality Duty report.
- Producing and publishing reports on learning and development that has been undertaken, using information input by individuals via ESR self-service on ESR external learning.

4.5 Senior Managers are responsible for:
- Monitoring and allocating training budgets within their service. In practice, as determined by the relevant Director, this responsibility may be held by a single designated manager, all senior managers within a service, or by a training strategy group. This involves:
- Liaising with directors, workforce and professional development leads to ensure adequate annual training funding to meet current and future service needs.
- Informing line managers and staff of application decisions in a timely manner, and providing detailed reasons for non-agreement where applicable.
- Gaining feedback from line managers on the content and quality of training undertaken and passing relevant data to workforce to inform their future commissioning decisions.
- Acting on feedback from workforce in relation to equality of access to training opportunities.

4.6 Line Managers are responsible for:
- Acting fairly and consistently, ensuring that the policies and procedures are disseminated effectively and are understood by all employees.
- Ensuring employees development needs are identified within the appraisal process, including whether the development is essential, desirable or linked to career development.
- Agreeing measurable benefits, with employee, of development in advance of start date to enable evaluation on completion.
- Discussing development options with employee to ensure best fit to development need and best value for money for the service.
- Ensuring costs are covered for non-completion of any funded development programme. Recovery of costs will be considered from the organisation, the service or the employee depending on the circumstances. The line manager will therefore carefully consider the learning preferences of the employee before agreeing particular development options.
- Evaluating service needs and making decisions relating to time away from normal duties for requested / required development.
- Making necessary cover arrangements to ensure that agreed development can be undertaken without affecting the quality of service provided in accordance with development provider and LCH service level agreement contracts.
- Encourage employee to undertake appropriate work based qualification related to job role (VRQs).
- Provide adequate time during work to allow employee to be observed and assessed undertaking work tasks / projects (min 2 hours per 2 – 3 weeks).

- Providing a senior employee to mentor / buddy apprentices up to 24 years
- Following local procedures with senior managers to ensure that service funding is available to support development requests. This includes indirect costs for all types of development plus direct costs for short courses.
- Following procedures with relevant workforce leads to ensure that corporate funding is available to support development requests (i.e. direct costs of long courses).
- Evaluating completed training with the relevant employee, to identify whether the development undertaken has led to the anticipated business benefits identified at the approval stage during appraisal.
- Monitoring completion of training records on ESR and ensuring that updates are made in a timely manner.
- Informing relevant workforce lead if an employee fails to complete a long course or other corporately funded courses.
- Providing support where necessary to staff who are experiencing difficulties in completing or meeting the required standards of a long course.
- Providing information to the relevant workforce lead on the reasons for non-completion of long courses to aid decision-making relating to the repayment of fees.
- Providing feedback to workforce in relation to the content and quality of training undertaken to inform future commissioning decisions.
- Approving each successfully completed development activity recorded on ESR by employees to ensure Trust records are up to date and accurate.

4.7 All Employees are responsible for:
- Complying with the Trust's policies and procedures and raising any questions or concerns, that may arise around these, with their line manager
- Identifying their own development needs through the appraisal process or with line manager as appropriate, including identifying whether the development is essential, desirable or linked to career development
- Discussing development options with the line manager to ensure best fit to development need and individual learning styles, whilst maintaining best value for money for the service
- Undertaking development activity to meet current and future service needs and the requirements of professional registering bodies where applicable.
- Applying for funding approval every year where development activity duration is longer than one year (not required for VRQs).
- Completing the development activity to the best of their ability and utilising those skills for the benefit of patients and staff at the Trust, including onward dissemination of the learning where possible, e.g. publication of dissertations.
- Agreeing measurable benefits, with line manager, of development in advance of start date to enable evaluation on completion.
- Keeping their manager informed of progress when undertaking a development activity during the appraisal process (mid-year or annual review or 1 – 1 meetings).
- Informing their manager immediately if they do not undertake planned development as agreed, if they are unable to meet satisfactory rates of progress, or if they fail to complete any funded development activity.
- Following normal absence management processes to inform managers and training providers of their absence when scheduled to attend development activities.
- Recording completion of development onto external learning via ESR self-service.

4.8 Staff side organisations are responsible for:

- Working together on issues in good faith with goodwill and having a shared intention of facilitating good working relations.
- Assisting employees to understand their rights and responsibilities under this policy.
- Supporting employees in discussions with management about development approvals where necessary.
- Acting on behalf of employees where difficulties arise for employees attending development activity within the job role.

5 Learning and Development Process

5.1 Identify development needs and solutions

Development needs will be agreed, between line manager and employee, as part of the wider appraisal process. This could be during the initial objective setting meeting, mid-year or annual review meetings or a 1-1 at any time during the appraisal year.

The development need must be discussed in sufficient detail to enable the line manager and employee to agree the measurable benefits. This stage is crucial as it forms the basis for forecasting workforce plans and training needs, as well as future evaluation of the benefit of the development activity.

5.1.1 Type of development need
Managers and employees need to be specific about whether the development is required to meet;

- The **essential** needs of the role or professional registration,
- The **desirable** elements of the current role or
- A personal development goal of the individual for **career development**.

This will inform later decisions regarding the level of funding offered.

5.1.2 Types of development activity
Development can take many forms;

- Attending specific meetings or conferences
- Engaging in new projects or activities
- Coaching or mentoring
- Observing or assessment of work
- Face-to-face training
- Distance learning

All types of development are to be considered and a decision made based on the closest match to the development outcomes and the learning style preferences of the employee.

Where more than one option meets the development needs of the employee, the choice is to be made on the basis of value for money.

Managers and staff will be clear at this stage of the process whether the agreed development solution falls into the category of a long course or a short course as defined in section 3. Advice can be sought from Workforce if required.

It is important to give appropriate time for new competences and knowledge to be embedded in to every day work based practice. Competencies and knowledge acquired

through long courses (diplomas, degrees or masters level qualifications) may take considerably more time therefore it would be appropriate that 12 months is given for this implementation of skills learnt.

Another development activity, over £500 or requiring over 7 days of study leave, will not be funded within 12 months of a previous qualification being completed.

5.1.3 Forecasting development needs

In order to secure funds from corporately monitored budgets, managers are asked to submit forecasts to Workforce at the financial year end, regarding the numbers of staff potentially requiring VRQs, long courses based on Services workforce plans, training needs analysis or appraisal requests for the forthcoming year.

Although this activity largely follows an annual cycle, additional allocations and funding are sometimes available throughout the year. Further advice on availability of funding and the applications process can be sought from Workforce.

Additional opportunities are offered periodically from regional or national funding sources, as well as professional bodies and staff side organisations. The websites listed below are useful sources of information:

SSLDF plans for provision of VRQs are forecast at the end of each financial year, based on estimated numbers of annual requests. Long Course funds are monitored during April and Sept.

http://yh.hee.nhs.uk/education-training/funding-guide/
http://www.leadershipacademy.nhs.uk/grow/professional-leadership-programmes/
http://www.cpd4yorksandhumber.nhs.uk

All development options that are funded or administered by the Trust are communicated by Workforce via Elsie and Community Talk.

5.1.4 Recording development activities for discussion at appraisal

Development needs and solutions are to be recorded on the development activity log sheet, attached as appendix 1, and / or the appraisal preparation form (found on Elsie within the appraisal toolkit).

5.2 Identifying costs and funding

Once a suitable development solution has been identified and discussed with the manager the employee must research its availability and timing and then complete a learning and development application form, attached as appendix 2. Guidance for completing the application form is attached as appendix 3.

Where applicable the line manager will be able to confirm whether indirect costs of the development activity can be funded. These must be calculated, including travel, subsistence, and replacement labour costs, prior to application. The service contribution will be calculated utilising the table attached as appendix 4**.** Indirect costs cannot be applied for from corporately administered funding.

Direct costs of the development activity must be identified and any organisational contribution must then be calculated utilising the table attached as appendix 4.

5.2.1 Payback of costs should the employee resign during development for which the organisation is paying or within 6 months of the date of completion of the development, the employee will normally be required to repay the full cost of the development which will be from the employee's final salary.

Following this period, the organisation operates a sliding repayment scale, so the amount that the employee is normally required to repay is reduced by one quarter at six monthly intervals leading to a maximum of 2 years.

The Learning and Development Trust agreement letter (appendix 5) and the Learning and Development application learning acceptance letter (appendix 6) outlines the process, percentage and timescales.

5.3 Seek approvals

Overall approval to undertake development to meet agreed development needs must have the following levels of approval;
- Agreement by Line Manager (all applications)
- Agreement by General Manager (all applications)
- Agreement by Workforce (applications for funding from a corporately held budget or HEYH funded courses)

5.3.1 Agreement by line manager to release the employee from normal duties; make any necessary cover arrangements to allow the staff member to undertake development activity and meet service funded direct and indirect costs. This stage is required for all types of development and funding.

Where managers receive conflicting requests for development, priority will be given to requests in the following order:

A – Statutory / Mandatory Training
B – Essential Training
C – Desirable Training
D – Career Development

Please note that development activity categorised as A and B is counted as working time. Therefore, if the development activity is scheduled for a time that would not normally fall within the staff member's working hours, they will be provided with compensatory time off or additional payment for the additional hours worked. This applies for all staff, irrespective of working pattern / worked hours.

If the development activity is categorised as C or D and the employee is full or part time, compensatory time off is to be negotiated with the line manager.

If the application cannot be approved at that time, the manager will inform the employee without delay and explain the reasons. Arrangements will be made, where possible, to agree alternative timings so that the request can be approved.

If the application is approved, the manager will inform the employee. If there are no costs associated with the development activity, e.g. job-shadowing, mentoring or attending

meetings / presentations, the employee can make arrangements to undertake the development activity in consultation with their line manager.

If there is a cost implication all necessary funding approvals must be gained before the employee confirms attendance.

5.3.2 Agreement by general manager that the application meets the business objectives and will benefit the service and individual. This stage is required for all types of development and funding.

If the general manager is unable to agree the application meets any of these requirements then they will inform the line manager. Reasons for refusing the application will be clearly expressed so that the line manager can explain the situation to the employee without delay.

If the request is granted the line manager will inform the employee. If the development is to be funded by the service the employee can make the necessary arrangements to undertake the development activity. If corporately monitored funding is required (including HEYH funded), the manager must seek final approval from workforce (although if HEYH funded this is for monitoring purposes only and not allocation of funds).

5.3.3 Agreement by Workforce to the percentage of direct costs that will be met by corporate funding. This will be based on the category identified for the development activity (essential, desired or career development). This stage is required for all types of development that are funded through corporately monitored budgets including HEYH, SSLDF and LCH. This stage of approval is NOT required where the development has been agreed to be funded by the service.

In the event of limited funding / limited places, it may be necessary for further selection processes to take place, e.g. interviews. In such cases, Workforce will communicate the arrangements and selection criteria to appropriate employees and their line managers.

Information on invoicing for LCH funded development can be found in the learning and development application form guidance (appendix 3). For programmes funded by HEYH, employees are to follow the invoicing guidance provided directly from the university providers.

5.4 Development Request Declined

If approval is not given at any stage in the process, the reasons for this decision will be given, by the manager rejecting the request, making reference to specific criterion / criteria applicable.

If an employee believes that the approval process is inequitable or has not been properly followed, they are to raise this with their line manager. If their concerns are not satisfactorily addressed, employees are to refer to the formal Grievance Procedure.

All employees have the legal right to request time off (unpaid) for the purposes of training. Organisations have a duty to consider such applications following a statutory procedure. Whilst the organisation retains the legal right to refuse a request, there are limited lawful reasons for declining such a request. The right to request time off for training falls outside

of this policy and if a staff member wished to invoke it, managers are to seek guidance from HR.

6   Undertaking Development

Once approved, it is the responsibility of the employee to book themselves onto the agreed development activity. This may involve completion of specific application forms requested by internal or external providers, or booking internal development opportunities through ESR self-service.

For some development activities it may be necessary to submit an application to the course provider before completing the internal learning and development application. This may be where the course provider has strict deadlines for applications. It is advised that this is only done in instances where there will be no cost implications to withdrawing an application or place, if funding is not available.

Employees are required to fulfil the obligations associated with any development opportunity to the best of their ability. This may include pre-reading or other preparation, attendance at the specified time, achieving the required attainment level to pass any summative or formative assessments, completion of the course and shared learning with colleagues.

6.1 Change of circumstance

It is recognised that some unforeseen changes in personal circumstances, e.g. illness, pregnancy, caring responsibilities, may have a detrimental impact on the ability of staff to meet the obligations associated with funded development. The line manager is to be notified of such changes in circumstances in a timely manner. Similarly, if the employee requires additional support to meet the requirements of the development activity e.g. reasonable adjustments in respect of disability, including learning difficulties such as dyslexia, they are to discuss these needs with the development provider and their line manager as soon as possible.

Throughout the duration of an ongoing development activity, employees and line managers will regularly discuss the value of the course and the employee's progress. Employees will highlight any additional support needs to the provider and to the line manager. Employees must not discontinue funded development activities without first discussing the reasons for this decision with their line manager, development provider and workforce before a final decision is reached.

6.1.1 If the employee is unable to attend due to change of circumstances they are to contact the line manager immediately, in line with standard Absence Management procedures. Failure to report non-attendance will be deemed to be unauthorised absence and may therefore be subject to disciplinary proceedings.

If the development activity is part of an ongoing programme the employee must also inform the provider. The employee must then ensure that they make alternative arrangements to catch up on the course material delivered in their absence.

The line manager will send a replacement on the development activity where possible i.e. a conference. In instances where a replacement has been sent or non-attendance of a

corporately funded development activity, the line manager must inform workforce to this change in attendance.

Where costs have not been incurred for non-attendance the development can be immediately rebooked, if available. However, if costs have already been made the application process must be restarted and may not be approved if budgetary circumstances have changed.

6.1.2 If the employee wishes to defer the development activity due to change of circumstances they are to discuss this with their line manager and specify reasons as appropriate to workforce and the provider to discuss an alternative arrangement.

6.1.3 If the employee cannot complete the development activity due to change of circumstances and it is not possible to send a replacement then the Trust reserves the right to recover a reasonable proportion of its costs from the employee.

7 Completion of development

It is the responsibility of the employee to inform the manager of completion / non-completion of any planned development activity.

7.1 Complete ESR Learning Record
Employees must also take personal responsibility to update their external learning record via ESR self-service to reflect any type of development undertaken and any new qualifications attained. Line managers are responsible for confirming this development has taken place by approving the email sent to them after the employee has completed ESR self-service. Where Corporate Funding has been used employees should notify Workforce to assist with finalising yearly budget allocations.

7.2 Non completion due to failure to meet the expected standard could result in the Trust recovering its funding contribution from the employee. As academic capability is already assessed by external providers at the application stage, only personal circumstances previously highlighted to the manager during the course will be taken into account when making the decision on whether or not to recover costs.

Staff undertaking VRQs have the right to appeal against the assessor's decisions through the relevant appeals process provided by the college. As these decisions are outside the control of the Trust, there is no right of appeal through the Trust's Grievance Procedure, unless the assessor is also and LCH employee.

7.3 If the employee leaves the employment of the Trust within 18 months of completing a long course, the Trust reserves the right to recover a reasonable proportion of its costs from the employee.

8 Evaluation of development

The manager and employee will regularly review the benefits of the development activity using the measurable outcomes agreed when the development need and solution was identified. This will inform decisions about future development needs for the employee.

If the development activity does not meet expectations the employee, line manager and workforce will provide feedback to the provider. They will liaise together to compile

feedback data, so that a single Trust-wide evaluation can be provided where appropriate. Workforce will also take this feedback into account when making commissioning decisions.

9   Equality Analysis (EA)

The Trust expects the same standards of conduct of all employees. Managers will bear in mind the possibility that some employees may need assistance to follow or understand rules or procedures because of language or disability factors. If such assistance is needed or requested, consideration will be given to providing it.

LCH aims to design and implement services, policies and measures that meet the diverse needs of its population and workforce, ensuring none are placed at a disadvantage over others.

LCH is subject to the equality duty as set out in the Equality Act 2010 and must pay "due regard" for the need to:

- Eliminate unlawful discrimination, harassment and victimisation.
- Advance equality of opportunity and foster good relations between people who share a protected characteristic and those who do not.

Due regard for advancing equality involves:

- Removing or minimising disadvantages suffered by people due to their protected characteristics.
- Taking steps to meet the needs of people from protected groups where these are different from the needs of other people.

See appendix 7 for the completed EA screening relevance form.

10   Monitoring Compliance and Effectiveness

It is the responsibility of the Director of Workforce to ensure that this policy is monitored effectively. This will be achieved through:

- Active monitoring and annual reporting (Annual Workforce Report) of grievances relating to decisions regarding training approvals for all staff

- Active monitoring and annual reporting (Public Sector Equality Duty Report) of outcomes for staff with protected characteristics in relation to:
  - Training completions
  - Grievances relating to access to training

11   Approval and ratification process

The policy has been approved by the Joint Negotiating Consultation Forum and Local Negotiating Committee, and has been ratified by the Remuneration Committee on behalf of the Board.

12   Dissemination and Implementation

Dissemination of this policy to services will be via HR and Equality and Diversity Manager and made available to staff via Elsie.

Operational Directors / General Managers / Heads of Service must ensure staff have access to this policy and understand their responsibilities for implementing it into practice.

HR Equality and Diversity Manager will provide appropriate support and advice to staff on the implementation of this policy and ensure that the changes made in this version of the policy are communicated appropriately across the Trust. Specifically they will:

- Email business units and departments requesting dissemination of document to applicable services
- Upload this document on to Elsie
- Remove superseded documents from Elsie
- Submit article for the next Community talk
- Ensure that any internal training delivery containing information relating to appraisal and development is updated to reflect this policy.
- Ensure that adequate training / guidance is available to support the additional ESR reporting and recording requirements included in this policy.

13   Review arrangements

This policy will be reviewed in one year following ratification or sooner if there is a local or national requirement.

14   Associated documents

Statutory and Mandatory Training Policy
Appraisal Policy and Procedure
Service Level Agreement with Vocational Qualification Provider

15   References

NHS Employers Learning for Life Campaign:
http://www.nhsemployers.org/EmploymentPolicyAndPractice/Pages/LearningforLife.aspx.
Health Education England (Yorkshire and Humber) Education and Training Guide:
http://yh.hee.nhs.uk/files/2013/06/Multi-Professional-Education-and-Training-Guide-2013-14.pdf
Health Education Yorkshire Support Staff Learning and Development Strategy
http://yh.hee.nhs.uk/wp-content/uploads/sites/488/2013/05/HEYH-5-Year-Skills-and-Development-Strategy.pdf

Development Activity Log Sheet

Name: _____

Date Development Need Identified	Development Need Identified	Measuring Progress	Evaluation Process	Development Category	Type of course	Course Title	Time away from duties required?	Cost
	Specific competence or skill in need of development	*Specific measures of how the efficacy of proposed development will be measured and monitored*	*How will I know I have been successful*	*Essential / Desirable / Career Development**	*Long / Short*	*Title of course identified as solution to development need*	*Yes / No If yes, how many days*	*£*

LEARNING AND DEVELOPMENT APPLICATION FORM

ALL SECTIONS OF THE APPLICATION FORM MUST BE COMPLETED

This form is to be completed by anyone who wants to undertake any form of learning or development (regardless of duration or cost) which is provided by any organisation outside of the Trust where funding cannot be met by the Service. This includes all University courses, conferences, workshops, VRQs and apprentices.

Please specify the type of learning activity you are applying for: **(Please circle one)**

*NB Short courses for support staff bands 1 – 4 are eligible to apply for SSLDF. If you do not fall into this category then seek funding from your service

Long Course (costs over £500 **or** requires more than 7 days of study leave)	Short Course (costs less than £500 **&** requires less than 7 days study leave)	Vocational Related Course (VRQ)	Apprenticeship Framework

Please specify the type of funding: **(Please circle one)**

See learning and development application form guidance if unsure which funding you are eligible to apply for

I am applying for funding from **LCH** (it is important deadlines are adhered to)	My course is funded by **HEYH** (confirmed by provider) Does HEYH offer backfill costs? Yes ☐ No ☐ (Application form is completed and returned for monitoring purposes)	I am applying for funding from **SSLDF** *(Support Staff Learning and Development Fund)* (it is important deadlines are adhered to)

APPLICANT DETAILS

							Contracted Hours per Week:		DOB:	
Payroll Number:										
Last Name:				First Name:						
Job Title:										
Work Address:										
Contact Tel:				Email:						

PLEASE USE UPDATED FORM ON ELSIE

Occupational Group:	Admin & Clerical	Allied Health Professional	Nursing and Midwifery	Medical and Dental
	Scientific and Technical	Ancillary	Other	

Applicant's Signature		Date:	

COSTS & FUNDING *(LCH & SSLDF FUNDING APPLICANTS ONLY)*

Total cost of Course: £

The benefit of this programme to the organisation suggests that **the Trust** should offer funding of:

(please circle)   100%   50%   25%   0%   =   £

The benefit of this programme to the applicant suggests that **the applicant** should contribute:

(please circle)   0%   25%   50%   100%

COURSE DETAILS

Course Title:	
Course Provider:	
Contact Name:	Position:
Contact Tel:	Email:
Course Start Date:	End Date:
Length of Course:	This Application is for year ___ of ___
Days of Study Leave Required:	Pattern of Time off Requested:	Term Time Only?
Development category for job role:	Essential (100%)	Desirable (50%)	Career Development (25%)

Applicant Name:		Course:	

LINE MANAGER DETAILS

Line Manager Name:	
Job Title:	
Contact Tel:	Email:

Do you support this application? (please circle)   YES   NO

Declaration

I approve this application and have authorised; time off required for study leave, funding and costs in order to support the applicant enhance or progress in their role and CPD. I have verified the course is funded as stated by the applicant.

Signature		Date:	

GENERAL MANAGER DETAILS

General Manager Name:	
Job Title:	
Contact Tel:	Email:

Do you support this application? (please circle)   YES   NO

Declaration

I have approved that this application meets the business objectives and will benefit the service and individual.

Signature		Date:	

PLEASE USE UPDATED FORM ON ELSIE

APPLICANT CHECKLIST

Please ✓ each box below to confirm you have submitted all the necessary details to ensure that your application will not be rejected due to missing information

Full cost of course	☐	Manager's Signature	☐	Information about you form (next page)	☐
% of cost	☐	General Manager's	☐		
% of cost	☐	Copy of course details attached	☐		

Remember
When development activity is complete you must update your records via ESR self-service

NOW RETURN YOUR COMPLETED APPLICATION FORM AND ATTACHED DOCUMENTS TO;
DIANE WILKINSON, VOCATIONAL SUPPORT STAFF LEAD
Email: d.wilkinson@nhs.net
Fax: 0113 2033499
Post: 2nd Floor, Stockdale House, Headlingley Office Park, Victoria Road, Leeds, LS6 1PF

ANY QUERIES CALL DIANE WILKINSON ON 0113 84 33192

INFORMATION ABOUT YOU
PLEASE COMPLETE ALL SECTIONS
All the information you provide will remain confidential

Adult Services	Children's and Young People's Services	Specialist Services	Corporate Care Services

Hourly rate of pay: £	Contracted hours per week:	Hours

Please specify highest qualification below and give details of other qualifications on separate sheet

None		NVQ 1		O Level/GCSE/NVQ2		A Level/NVQ3		Degree/NVQ		Other	

ETHNIC ORIGIN Please tick the appropriate box to indicate your ethnic background

White;

☐ British

☐ Irish

☐ Gypsy or Irish Traveller

☐ Other Please specify

Asian or Asian British;

☐ Indian

☐ Pakistani

☐ Bangladeshi

☐ Chinese

☐ Other Please specify

Black or Black British;
☐ Caribbean
☐ African
☐ Other Please specify
_____

Other Ethnic Groups;
☐ Arab
☐ Other Please specify

Mixed / Multiple Ethnic Groups;
☐ White & Black Caribbean

☐ White & Black African

☐ White & Asian

☐ Other Please specify
_____

GENDER   ☐ Male   ☐ Female

AGE	**SEXUAL ORIENTATION**	**RELATIONSHIP STATUS**	**RELIGION OR BELIEF**
☐ 16 - 20 ☐ 46 - 50 ☐ 21 - 25 ☐ 51 - 55 ☐ 26 - 30 ☐ 56 - 60 ☐ 31 – 35 ☐ 61 - 65 ☐ 36 – 40 ☐ Over 65 ☐ 41 - 45	☐ Heterosexual/Straight ☐ Lesbian/Gay Woman ☐ Gay Man ☐ Bisexual	☐ Married ☐ Civil Partnership ☐ Co-habiting ☐ Single ☐ Widowed ☐ Other Please Specify _____	☐ Buddhist ☐ Christian ☐ Hindu ☐ Jewish ☐ Muslim ☐ Sikh ☐ No Religion ☐ Other Please Specify _____

Do you consider yourself disabled? ☐ Yes   ☐ No

TYPE OF IMPAIRMENT

☐ **Physical Impairment** (such as using a wheelchair to get around and / or difficulty using their arms)	☐ **Sensory Impairment** (such as being blind / having a serious visual impairment or being deaf / having a serious hearing impairment)	☐ **Mental Health Condition** (such as depression or schizophrenia)	☐ **Specific Learning Difficulty** (such as dyslexia)	☐ **Developmental Impairment** (impairment to growth and development)	☐ **Long-Standing Illness or Health Condition** (such as cancer, HIV, diabetes, chronic heart disease, or epilepsy)

LEARNING AND DEVELOPMENT APPLICATION FORM
GUIDANCE

BEFORE APPLYING

Before you complete an application for a course or programme, you must have discussed this with your manager and have their approval. Discussions with your manager take place During the appraisal process. This could be during the initial objective setting meeting, mid-year or annual review meetings or a 1-1 at any time during the appraisal year. Development needs and solutions are to be recorded on the development log sheet and / or the appraisal preparation form (found on Elsie within the appraisal toolkit).

Research the course you would like to do;

- Apprenticeships - http://www.apprenticeships.org.uk/Types-of-Apprenticeships/Health-Public-Services-and-Care.aspx
- VRQ – search Elsie for 'support staff training information booklet' for a list of courses
- IT Courses - http://www.training26.co.uk/
- Long Courses - http://www.cpd4yorksandhumber.nhs.uk/ (fully funded courses by HEYH) alternatively http://search.ucas.com/ (can apply for partial funding from LCH)
- Look at specific college / training provider website
- Check with workforce development on possible courses relevant to your role

This application form is to be completed if applying for the following type of course;

- Apprenticeship (For existing staff who want to do both VRQ and functional skills (numeracy and literacy)).
- Vocational Related Qualification (VRQ, previously NVQ)
- IT Course and other short course for support staff bands 1 – 4 (costs less than £500 **AND** requires less than 7 days study leave). If you do not fall into this category, seek funding from your service
- Long Course (costs over £500 **OR** requires more than 7 days of study leave)

FUNDING
There are different funding routes depending on job role and course being applied for.

- **Health Education Yorkshire and Humber (HEYH) Funding** is for long courses for all staff. Some courses are fully funded by HEYH and the course provider will confirm as to whether a course is HEY funded or not. This information is necessary to complete the learning and development application form. *Please note for this type of funding the form will be used by workforce development for quality assurance only*
- **SSLDF** is funding for support staff, bands 1 – 4, applying for an apprenticeship, VRQ, IT or other short course. This is an annual budget provided by HEYH for support staff, bands 1 – 4, with three Trusts in Leeds (LTHT and LYPFT as well as LCH). Due to the constraints on this funding, numbers of applicants are planned each September to forecast potential funding requirements
- **LCH Funding;** Where a course is not eligible for funding from the SSLDF or HEYH then members of staff can apply for funding from the Trust

How to apply for;
It is *__important__* you know what *__course__* you are wanting to study and have your *__manager's approval__*

- Apprenticeship   Complete the learning and development application form
- VRQ   Complete the learning and development application form
- IT Course   Look on Training 26 website for dates of courses to check availability then complete the learning and development application form
- Long course   Apply for the course with the provider (confirm if HEY funded) and complete the learning and development application form
- Short course (support staff bands 1 – 4)   Apply for the course with the provider and complete learning and development application form

PLEASE USE UPDATED GUIDANCE ON ELSIE

COMPLETING THE FORM

It is the applicant's responsibility to ensure that this form is _fully_ completed. If the form is _not fully_ completed it will be returned to the applicant.

Ensure the type of learning activity and funding applying for has been specified

- It is _**essential**_ for financial purposes that the information in this section is correct.
- Please ensure that you _**indicate correctly**_ the appropriate _**type of course and funding**_
- If the course is _**HEYH funded**_ then also please specify if they are offering _**backfill costs**_
- Applications lacking this information will be returned
- Any decisions taken or offers made on the basis of incorrect information will be rescinded

COURSE DETAILS

Each long course application is for 1 year only; if the course is longer than 1 year then funding will have to be applied for each year of the course.

LCH and **HEYH** funding applicants to complete the course details section in full

SSLDF applicants do not need to complete the sections from 'length of course' to 'term time only'

- Course Title - Provide the course title exactly as specified by the provider
- Course Provider - For VRQs levels 1 – 3 this is Leeds City College. If you are unsure of who is the course provider then please contact Diane Wilkinson on 0113 84 33192
- Start Date - For VRQs enter the start date as the date you wish to commence the course for all other courses enter the exact start date of the course (may have been a previous year)
- End Date – For VRQs enter the anticipated completion date, as they are work based they are flexible within a 24 month period from the start date. For all other courses enter the exact end date (month & year)
- Development category – development categorised in job description

COSTS & FUNDING _(LCH & SSLDF FUNDING APPLICANTS ONLY)_

Applicants for a HEYH funded course do not need to complete this section as costs are not met by the Trust

LCH funding and **SSLDF** applicants to complete cost & funding details in full

- **LCH** funding applicants need to specify the cost of the course for the year
- For Apprenticeship and VRQ costs please leave blank as costs are variable (£820 - £2000) in accordance with level and credits undertaken
- For long or short courses (including IT courses) costs please ask the course provider
- As funding allocations may be offered on a % basis you must discuss the benefits of the course to the organisation and yourself with your manager. Then specify the % of the course cost your application for funding is for

APPLICANT DETAILS

Ensure all boxes are completed and it has been signed and dated

LINE MANAGER'S DETAILS

All applications must be approved by applicant's line manager. Complete line manager's details and ensure the line manager signs and dates the application.

GENERAL MANAGER DETAILS

All applications must be supported by applicant's general manager. Please ensure line manager forwards to the general manager to complete this section

SUBMITTING APPLICATION FORM

For long course applications please ensure you attach the course details to the learning and development application form otherwise the application will be returned

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SEND COMPLETED APPLICATION FORM AND ATTACHED DOCUMENTS TO;
DIANE WILKINSON, VOCATIONAL SUPPORT STAFF LEAD
Email: d.wilkinson@nhs.net
Fax: 0113 2033499
Post: 2nd Floor, Stockdale House, Headlingley Office Park, Victoria Road, Leeds, LS6 1PF

ANY QUERIES CALL DIANE WILKINSON ON 0113 84 33192

ADDITIONAL INFORMATION

LCH FUNDING APPLICATIONS

- Staff will be informed of the outcome of their request for funding support as soon as possible after a fully completed application form has been submitted
- Any decisions taken or offers made on the basis of incorrect information will be rescinded
- Workforce Development will administer payment of the costs which LCH has agreed to support
- Applicants need to be aware that they are responsible for the balance of the course cost not covered by LCH's contribution. Where LCH's contribution is less than 100%, please note that LCH **does NOT pay** for the whole of the course and then recover the balance from the applicant.
- Applicants should not contribute 100% and reclaim back a % of the course fees, % of fees must be determined prior to application to provider.
- Following confirmation of a place on the course and the LCH offer letter detailing LCH's contribution, the applicant must arrange **separate invoices** for the LCH element of the cost and for their own.

> **Any offers made by LCH are for one academic year only and are considered on a year by year basis. Therefore, it will be necessary to reapply by the published deadline for any future year(s) of study you may wish to undertake to complete any course.**

HEYH Funding

- It is the responsibility of the applicant to establish whether a specific course is funded by HEYH
- Any costs not met by HEYH would be the responsibility of the applicant, therefore, it is advisable to check carefully for further costs (e.g. supervision)

Invoicing Guidance

- You need to inform the course provider that all invoices must be received for payment no more than 2 months after the beginning of your course.
  This is to enable settlement of your course fees within the financial year that the course is approved and must be strictly followed as it is critical for budgeting purposes.
- Applicants receiving funding from the LCH Trust (i.e. those courses NOT funded by the HEY) must arrange for the invoices to be sent to;

  Leeds Community Healthcare NHS Trust,
  RY6 Payables C635
  Phoenix House
  Topcliffe Lane
  Tingley
  Wakefield
  WF3 1WE

Marked for the attention of Workforce Information together with the confirmation letter reference.

- Please ensure that the provider is informed of the appropriate reference number that is on the top of your confirmation letter and that it must be detailed on the invoice.

SSLDF APPLICATIONS

- Staff will be informed of the outcome of their request for funding support as soon as possible after a fully completed application form has been submitted
- Any decisions taken or offers made on the basis of incorrect information will be rescinded
- Workforce Development will administer payment of the costs that has been agreed to be supported through SSLDF

Course	Deadline to apply
Apprenticeship and VRQs	No deadline
IT and other short courses	No deadline
Long Courses	The **last Friday in April** for courses starting in September / October / November / December and the **first Friday in September** for courses starting in January / February / March / April.

CATEGORIES OF DEVELOPMENT FOR DECISION MAKING REGARDING FUNDING AND TIME OFF

Appendix 4

Class	Description and Criteria	Examples	Support Provided
A	**Essential**	Programmes explicitly provided, commissioned, or approved by the Trust, to comply with legal / statutory / mandatory requirements, national or Trust policies, employment or performance requirements etc. (e.g. competences). It also includes CPD requirements of professional bodies. Examples of support would include those areas of training which are expected within the **Essential** criteria of the person specifications or where there is a new service development and roles have been identified to enhance their skill to meet the essential elements of the service and will be an expectation of the applicant to meet this criterion.	**Direct Costs** - Trust funds **100%** of course, exam, and other materials required by the programme, to enable the individual to fulfil the requirements of the development programme / activity **Indirect Costs** – Service funds **100%** of travel, accommodation, and similar reasonable costs required to enable the individual to attend the programme. The Manager will determine reasonable costs, and arrange funding via their own budget. Standard Class travel will be expected. **Time Off** – Trust provides the individual **all time off**, which includes time off in lieu, or in exceptional circumstances, pays them such time to enable them to attend required events, exams etc. This applies to part-time staff as well as full-time staff i.e. working time allowances should not be reduced pro-rata. * No personal contribution is levied for replacement labour costs or VRQ assessment costs
B	**Desirable** *- deemed by the Trust / manager to be desirable or offer substantial benefits to the organisation, but also offer specific personal / professional / career benefits to the individual, such that warrant some financial contribution from them* *- supportable assuming corporate priorities have been fulfilled*	Programmes which are approved by the Trust or the relevant Director as being desirable within the individual's role or profession but which also offer them *recognisable benefit e.g. a qualification, or other definable competence, which may be transferable, or which may facilitate the advancement of their career.* Examples of such support would be **Desirable** features within the person specification or support to individuals post second gateway to enhance skills over and above those required for their employed role or additional service skills. This may include increasing similar skills which already exist and held by other members of the team and are not essential for the continuance of service but could enhance individual CV's.	**Direct Costs** - Trust funds **50%**, Employee funds **50%** of course, exam, and other materials required by the programme, to enable the individual to fulfil the requirements of the development programme / activity **Indirect Costs** – Service funds **50%** of travel, accommodation, and similar reasonable costs required to enable the individual to attend the programme. The Manager will determine reasonable costs, and arrange funding via their own budget. Standard Class travel will be expected. **Time Off** – Trust provides the individual with **50% paid time off**, which includes time off in lieu, or in exceptional circumstances, pays them such time to enable them to attend required events, exams etc. This applies to part-time staff as well as full-time staff i.e. working time allowances should not be reduced pro-rata. The remaining time must be found within the individual's own time i.e. within non-working time, paying back time, or using annual leave. * No personal contribution is levied for replacement labour costs or VRQ assessment costs

| C | **Career Development**

- deemed by the manager to be more of more benefit to the individual than the organisation, for which some time off and some financial support may be appropriate in recognition of the individual`s desire to learn and develop, but which can only be supported assuming corporate priorities have been fulfilled, and may be a low priority in light of the limited budgets and capacity available. | Programmes specific to the individual's role or profession which offer them a qualification, CPD recognition, other externally recognised accreditation beyond that is required for the role.

Also, conferences and other development programmes initiated and sourced by individuals which cannot be justified as a requirement or of substantial benefit to the Trust.

Example of such support is where an employee wishes to develop skills towards a future career opportunity which does not relate to their current role. | **Direct Costs** - Trust funds **25%** of course, exam, and other materials required by the programme, to enable the individual to fulfil the requirements of the development programme / activity

Indirect Costs – Service funds **25%** of travel, accommodation, and similar reasonable costs required to enable the individual to attend the programme. The Manager will determine reasonable costs, and arrange funding via their own budget. Standard Class travel will be expected.

Time Off – Trust provides the individual with **25% paid time off**, which includes time off in lieu, or in exceptional circumstances, pays them such time to enable them to attend required events, exams etc. This applies to part-time staff as well as full-time staff i.e. working time allowances should not be reduced pro-rata. The remaining time must be found within the individual's own time i.e. within non-working time, paying back time, or using annual leave.

* No personal contribution is levied for replacement labour costs or VRQ assessment costs |

![Leeds Community Healthcare NHS Trust logo]

Private and Confidential
(Name)
(Address)

Workforce Development
Leeds Community Healthcare
Headingley Office Park
Stockdale House
2nd Floor
Victoria Road
Leeds LS6 1PF

Direct Line: (0113) 84 33192

Dear (name)

Re: Learning and Development Application: (Year)   (Date)

As requested in your application, it has been agreed for you to undertake the following course:-

Course: **********
Duration: **********
Provider: **********

The agreement includes £***** equating to ***% funding and ****** days study leave.

LCH recognise this is a key qualification for your job role. It should be noted that as per the guidance, funding is for this academic year (year) only and any offers made by LCH are on a year by year basis. Therefore, it will be necessary to reapply for corporate funding for any future year(s) of study within each academic year.

Please note, where the LCH contribution is less than 100%, LCH **DOES NOT** pay for the whole of the course. You will be required to arrange separate invoices for the LCH element of the cost and for any costs you pay.

Should you leave the course prior to completion (depending on circumstance), or leave the employment of LCH within a 2 year period after completion of the programme, LCH reserves the right to request employees reimburse the LCH Trust for course fees (i.e. registration or examination fees).

Where LCH has paid part, or in certain cases, all of the fees for a professional qualification; these will be recovered (where appropriate) in accordance with the percentage recovery costs stated in the guidance.

To confirm your acceptance of this offer and arrangement to the reimbursement of funds should you leave LCH, you must complete the attached form and return it to me.

In accepting this offer you are also granting permission for the course provider to supply LCH with any pertinent information about you and the course. You are also agreeing to LCH asking and receiving such information from the course provider. If, for any reason, you are unable to take up this offer, will you please inform me immediately?

Please see attached the guidance that illustrates what you need to do to ensure the course providers invoice LCH as appropriate, failure to adhere to this will result in fees not being paid.

For your information, to support your work and study, the LCH library team are available to help you; this includes literature searches, providing training on the use of the internet, finding health

care resources and advice on how to do your own literature searches. To find out more about this service please see Elsie or www.leedslibraries.nhs.uk

LCH would like to thank you for your application and wish you good luck in your studies.

Yours sincerely

Diane Wilkinson
Development Lead

Leeds Community Healthcare **NHS**

NHS Trust

(Name)
(Work Address)
(Postcode)

Diane Wilkinson
Workforce Development
Leeds Community Healthcare
Headingley Office Park
Stockdale House
2nd Floor
Victoria Road
Leeds LS6 1PF

(Date)

Dear Diane,

Re: Learning and Development Application – Acceptance

I confirm acceptance of the terms outlined in your letter dated ………… with regards to the funding of …………for the following course, and the study leave time of ………..days.

Course: ……………………………………………………………………
Duration: ……………………………………………………………………
Provider: …………………………………………………………………...

_____

Reimbursement Arrangements

I confirm that I have understood that LCH reserves the right to require me to reimburse them for any course, registration or examination fees if I leave the course prior to completion and if I leave LCH within 2 years of completing. I agree to the reimbursement arrangements outlined below

Percentage Recovered	Time Period
100%	The employee fails to complete the course within the given time frame or leaves LCH during the course or within 6 months of completing the course/qualification.
75%	The employee leaves LCH within 6-12 months of completing the course/ qualification.
50%	The employee leaves LCH within 12-18 months of completing the course/ qualification.
25%	The employee leaves LCH within 18-24 months of completing the course/ qualification.

Exceptions may apply in the case of redundancy, retirement or non-attendance due to long term sickness absence.

Employee Signature:	**Date:**

Equality Analysis (EA) – Relevance Screening Form

1. Name of the document	**Personal Development Policy**			
2. What are the main aims and objectives of the document	The specific aim of this policy is to assure Leeds Community Healthcare NHS Trust that staff are supported to undertake personal and professional development			
3. Is this a key strategic document?	**Yes**		**No**	
			No	
4. What impact will this document have on the public or staff?	**High**	**Medium**	**Low**	**Don't know**
		Medium		
Explain: All staff have fully funded access to all training required to meet the current needs of the role.				
5. Is there any evidence, or reasons that different groups have different needs, experiences, issues and priorities in respect of this particular document?	**Yes**	**No**	**Don't know**	
		No		
Explain: Equality analysis of current training rates indicate that uptake for training is broadly equitable across protected groups.				

If you have answered **Yes** to question 3, you should move straight onto EA.

If, for question 4 you have answered **Low**, there is no need to continue to conduct an EA.

If for question 4 you have answered **Medium** and **No** for question 5, there is no need to conduct an EA.

If, for question 4 you have answered **Medium** or **Don't Know**, and have answered **Yes** or **Don't Know** for question 5 you should move on to a **Stage One** EA.

If, for question 4 you have answered **High**, you need to conduct an EA.

	Equality Analysis	**None**
6. Based on the result of the screening, is an EA required?	NO	

Maxine Morris, Maxine Morris Consulting, 2nd December 2013

Appendix 8 - Policy Consultation Process

Title of Document	Professional and Personal Development Policy
Author (s)	Maxine Morris (Maxine Morris Consulting)
New / Revised Document	Revised document superseding Personal Development Policy ratified April 2011
Lists of persons involved in developing the policy	Maxine Morris Sue Ellis Julie Thornton
List of persons involved in the consultation process	Sue Ellis Julie Thornton Debbie Myers Diane Wilkinson Dawn Woolin Liz Whitworth Maureen Drake Nigel Collins Richard Worlock Alex Daniel Anthony Williamson Helen Swales Steve Keyes Staff side JCNF LNC

Appendix 9 - Policy Consultation Responses

Responder (including job titles and organisation)	Version, Comment and Date	Response from Author
Alex Daniel, Clinical Professional Development lead, LCHT	Draft 1 – Requires clearer indication of CPD requirements for registered staff and links to professional development leads, Request change of name to Personal and Professional Development Policy	Included in draft 2
Diane Wilkinson, Support staff Development Lead, LCHT	Draft 1 – Requires greater distinction between long and short course and provide contacts for different long courses	Included in draft 2
Julie Thornton, Workforce Development Lead, LCHT and Debbie Myers, Professional Lead for Nursing & Head of Clinical Effectiveness, LCHT	Draft 1 – Described process not currently supportable. Requires simplification and process diagram.	Included in draft 2
Alex Daniel, Clinical Professional Development lead, LCHT and Debbie Myers, Professional Lead for Nursing & Head of Clinical Effectiveness	Draft 1 – Do not agree with arrangements to recoup costs on non-completion of long course or leaving employment of Trust	Wording changed in draft 2 to indicate that the Trust reserved this right (agreed with Julie Thornton)
Nigel Collins, Workforce Information Manager, LCHT	Draft 1 – Confirmation that requesting development on ESR is possible if given NULL status	Amendment to dissemination section of draft 2 to emphasise potential need for training in this new responsibility
Debbie Myers, Professional Lead for Nursing & Head of Clinical Effectiveness, LCHT	Draft 1 – Greater clarification needed on time off for development for part-time / shift working staff	Included in Draft 2.

Responder (including job titles and organisation)	Version, Comment and Date	Response from Author
Julie Thornton, Workforce Development Lead	Draft 2 – Remove appendix 4 as responsibilities may change over time	Removed in Draft 3.
Julie Thornton and Diane Wilkinson, Workforce Development Leads, LCHT	Draft 3 – Remove requirement to apply for development via ESR in narrative and process diagram, display process diagram from top to bottom, add in equality monitoring information to long course application, removal of references to stat/mand training, inclusion of reference to learning style preferences, addition of definition of apprenticeships, reference to SLA with HEY, additions/amendments to line manager, workforce and staff side responsibilities	Amended in Draft 4.
Diane Wilkinson, Workforce Development Lead, LCHT	Draft 4 - Process map was in stages and policy is written around this but not all application processes fit into this diagram	Removed in draft 5
Diane Wilkinson, Workforce Development Lead, LCHT	Draft 4 – not necessary to have where the funding comes from under course definitions	Removed in draft 5
Diane Wilkinson, Workforce Development Lead, LCHT	Draft 4 – Funding types need to be defined	Added in draft 5
Diane Wilkinson, Workforce Development Lead, LCHT	Draft 4 – Process map as appendix 2 – too complicated and didn't link into policy	Removed in draft 5
Diane Wilkinson, Workforce Development Lead, LCHT	Line manager approves costs to the service not the general manager	Responsibility moved in draft 5
Diane Wilkinson, Workforce Development Lead, LCHT	General manager to sign to confirm application meets business objectives and agrees it will be a benefit to the service and employee	Amendment made in draft 5

Responder (including job titles and organisation)	Version, Comment and Date	Response from Author
Diane Wilkinson, Workforce Development Lead, LCHT	Learning and development form currently used is appropriate not an 8 page document that some pages are only advised to be used	Changed form in draft 5
Diane Wilkinson, Workforce Development Lead, LCHT	Not reference to deferring	Added in draft 5
Diane Wilkinson, Workforce Development Lead, LCHT	Time after leaving trust to reserve right to recover costs too long	Amended from 2 years to 18 months

Changes made since last version

Responder (including job titles and organisation)	Version, Comment and Date	Response from Author
Staff side comments 9/7/2014	I feel they are trying to dramatically cut costs to training as they are only going to meet 50% of costs for training they deem desirable even though it offers substantial benefits to the organisation. appendix 3 and if the staff member can't afford to meet the other 50% they will offer an interest free loan with finance dept, some training they will only meet 25% of costs.	After undertaking a benchmarking exercise, the percentage costs suggested are in line with other Trusts. The interest free loan option is currently something we are exploring so we will be removing this from the policy for now however it could be something we offer once a process has been agreed.
	If the course is not supported by the trust (i.e.: career progression for example where time for attending and studying is from AL) are staff still entitled to take the 6 days off for CPD. (as stated by the professional bodies).	We do want to support CPD where possible and relevant to an existing job role
	Staffside would say 2 years seems a bit unreasonable, say 12 months would be fairer, it depends on what the course was and how long the course lasted (e.g. a course lasting only a month would be unfair to re-pay back 2 years)	We will ensure that the word 'normally 'expected to repay is added so that we can respond to exceptional circumstances providing flexibility

Responder (including job titles and organisation)	Version, Comment and Date	Response from Author
Staff side comments 9/7/2014	No mention about funding to conferences supported by the trust (many trusts do this) - if wanting to attend usually it's taken out of staff's own pocket and as Annual Leave. Yet learning from conferences from updates and sharing best practice (looking at new ways of working for example) can still be done to benefit the organisation	Conferences that fall within long course (over £500 and or over 7 days) will be considered, if it's less it will be considered from the service which is the process we normally go through.
	Non completion due to failure to meet the expected standard could result in the Trust recovering its funding contribution from the employee. As academic capability is already assessed by external providers at the application stage, only personal circumstances previously highlighted to the manager during the course will be taken into account when making the decision on whether or not to recover costs **Staff side comment**: does this mean that if the member of staff found the course too difficult and tried their best but failed, are you saying they will have to re-pay. seems cruel	The reasons for non-completion would be considered and it **could** result in the Trust asking for monies to be repaid however with the application process reviewing this it is unlikely
Julie Thornton Development Lead 14/7/2014	**Page 5 LCH Funding** is available to all staff who are applying for a course that is not eligible for funding from HEYH, SSLDF or unable to be service funded. This type of funding is from a corporately monitored budget. (previously known as Long course).	Amended to: **Long Course Funding** is available to all staff who applies for a course that is not eligible for funding from HEYH or SSLDF.
Julie Thornton Development Lead 14/7/2014	**Service Funding** is available to staff from their particular service. Each service holds its own budget, for either short long or support staff courses as appropriate.	Amended to: **Service Funding** is available to staff from their particular service. Each service holds its own budget, for short courses application to service delivery.

Responder (including job titles and organisation)	Version, Comment and Date	Response from Author
Julie Thornton Development Lead 14/7/2014	**Page 6** Ensuring appropriate funding provision is made for learning and development whilst taking into consideration current and future service needs. These responsibilities will be carried out in consultation with senior managers, workforce and professional development leads, and in line with business and workforce plans. A joint statement has been issued by the professional bodies responsible for the registration of staff in health and social care which advises an allocation of 6 days (45 hours) for CPD for all staff (registered and unregistered), excluding statutory and mandatory training but including informal as well as formal development activity, including writing-up time. This guidance is available at http://www.rcn.org.uk/data/assets/pdffile/0003/78708/003064.pdf and will be taken into consideration when determining overall training budgets.	Amended to: Ensuring appropriate funding provision is made for learning and development whilst taking into consideration current and future service needs. These responsibilities will be carried out in consultation with senior managers, workforce and professional development leads, and in line with business and workforce plans and awareness of professional body guidance.
Julie Thornton Development Lead 14/7/2014	**Page 11 5.2.1 Payback of costs** should the employee leave whilst undertaking the development and up to 24 months after the completion of the course will be reclaimed from the employee's final salary.	Amended to: **5.2.1 Payback of costs** should the employee resign during development for which the organisation is paying or within 6 months of the date of completion of the development, the employee will normally be required to repay the full cost of the development which will be from the employee's final salary. Following this period, the organisation operates a sliding repayment scale, so the amount that the employee is normally required to repay is reduced by one quarter at six monthly intervals leading to a maximum of 2 years.

Responder (including job titles and organisation)	Version, Comment and Date	Response from Author
Julie Thornton Development Lead 14/7/2014	**Page 11** Please note that development activity is counted as working time.	Amended to: Please note that development activity categorised as A and B is counted as working time.
Julie Thornton Development Lead 14/7/2014	**Page 11** If the development activity is categorised as C or D and the employee is full or part time, compensatory time off is to be negotiated with the line manager.	Added under 5.3.1
Julie Thornton Development Lead 14/7/2014	**Page 12** It is acknowledged that financial considerations may be a barrier to applying for development for some employees. Therefore, where less than100% funding is offered, i.e. desirable and career development categories, and the individual is unable to meet the full costs of their portion of the funding, employees and line managers should discuss the possibility of an interest-free loan with their local finance department. This provision applies to personal contributions towards direct costs. Some higher education establishments also offer loan facilities.	Removed, currently no process to offer this however with the invoice process introduced, the training providers invoice the individual for their portion of development costs (if applicable) and this can be paid back at an agreed rate.