University of Exeter

Mandatory Training Policy

12th May 2020

Policy Overview

Use of the term 'Staff': where the term 'staff' is used throughout this policy it is referring to staff, associates and casual workers, and should be read as such.

Use of the term 'employment': where the term 'employment' is used it is referring to employment of fixed-term and permanent staff and engagement of casual workers, and should be read as such.

The University of Exeter has a responsibility to ensure that its staff are trained and informed appropriately, for areas where there is a legal or statuary requirement to do so. People are our most important asset and we are ensuring that all necessary arrangements are in place to protect our staff. The Council of the University is charged with ultimate responsibility for mandatory training and is committed to ensuring that this responsibility is effectively discharged throughout the University. This policy sets out the roles, responsibilities, governance and compliance for mandatory training completed at the University of Exeter.

All staff who have an Exeter Information Technology (IT) 'staff' account are required to complete mandatory training, for their position within the University, as directed by their line manager or, for associate staff, their requester. Areas of training and development will be deemed to be mandatory from a legal or statutory requirement or from an institutional perspective (a requirement imposed by the University). All staff, irrespective of role, will be required to complete the training in these areas. Examples of training in this category include Information Governance, Prevent – Inclusive, Cohesive and Safe Universities, Diversity and Inclusion in Higher Education and Health & Safety.

As well as 'All Staff' mandatory training some training will be specific to the member of staff's position or role within the University. Examples of this training include Research Integrity and Corporate Conscience.

Finally mandatory training may relate to a specific activity or duty which an individual is required to carry out as an additional responsibility outside of their job description. Examples of this type of training include Fire Marshalls.

The Value of Mandatory Training

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

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1. Current Mandatory Courses, Timelines and Sponsors

Current mandatory courses and timelines for completion of mandatory training are detailed on the Mandatory Training web pages . The table also denotes the sponsor department for each subject.

The table within the web page contains information relating to the members of staff that the training is mandatory for, and the timelines by which the training must be completed. The extent and timing of 'role specific' mandatory training will be informed by an individual's job description and the attendance and completion of this training is to be arranged in collaboration between the individual's line manager, the training provider (if appropriate) and the individual role holder.

Members of staff are not to undertake any role or task, which has a mandatory training requirement attached to it, until the training has been completed.

The People Development Department is responsible for coordinating and hosting the web page and mandatory training list.

The sponsor or policy owner, for the area of training, is responsible for the policy information contained within the table and any associated policies and subject content that are included in, or referred to, within the training.

2. Policy scope

This policy applies to all personnel who have an Exeter IT 'staff' account:

- **All existing (as at 1/9/19) open ended and fixed term contracted staff**
- **All new associate, temporary and casual workers from 1/9/19.**

This policy does **not** currently cover:

- All current associate, temporary and casual workers (pre 1/9/19)
- All students

Anyone who does not have access, through the University Single Sign On, to the mandatory training modules, are out of scope however requests for access can be made to peopledevelopment@exeter.ac.uk and will be reviewed on a case by case basis.

3. Roles and Responsibilities

3.1 University Council and Audit Committee

The University, through the development of its policies, procedures and committees, will determine what mandatory training is required for all staff (taking account of the legal requirements as an employer). Additionally, the University will determine what training is deemed to be mandatory in terms of activity or role specific training.

Ultimate responsibility for the monitoring and compliance of training identified as mandatory sits with the University Council via the relevant committees related to the subjects being trained.

The University must provide appropriate systems and mechanisms to enable staff to access and complete mandatory training within the required timelines.

3.2 Course Sponsor / Policy Owner

Every mandatory training intervention must have a course sponsor. This will be the department, within the University, who owns the policy associated with the content being trained.

The sponsor is responsible for:

- Identification of mandatory training for their area of responsibility.
- Identification of the target audience who must undertake the training.
- The content of the training, ensuring that the content is in line with legal requirements and is kept up to date.
- Liaison with the ED&I team to ensure that the training has been assessed against University standards for equality, diversity and inclusion.
- Communicating to all staff where there have been, or will be, updates or changes to training content or the requirement to complete the training has changed.
- Monitoring, reviewing and reporting compliance to the relevant committee as requested.
- Decisions regarding dispensation from the training or extensions to training timelines.
- Stating the policy on renewal of compliance: what training has to be renewed and by when.

3.3 Human Resources

3.3.1 Director of Human Resources will authorise all new mandatory training.

3.3.2 People Development, as part of Human Resources, are responsible for;

- Coordination of the Mandatory Training Policy.
- The administration and coordination of the Mandatory Training Web Page and those courses listed within the page.
- Advice and guidance to the course sponsors regarding the development of training.
- Coordination of mandatory training course authorisation documentation for new training interventions.
- Ensuring all documentation used for the recruitment, induction and probation of new staff links to this policy and the mandatory training web pages.
- Management, where appropriate, of the systems that support mandatory training (LearnUpon).
- Assisting staff who, for any reason, might not be able to readily access online learning options.

3.3.3 Human Resources Business Partners (HRBPs) are responsible for:

- Representing reports and compliance gaps to the relevant College Executive Groups and Senior Management Teams.
- Assisting in any disciplinary action required due to non-compliance by a member of staff.

3.4 Equality, Diversity and Inclusion

- Advise course sponsors, during the design phase for new training, about considerations around equality, diversity and inclusion.
- Prior to training going live, assess, within the timescales of individual projects, all new training for compliance against the University standards for equality, diversity and inclusion.

3.5 Line Managers

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

- The identification of mandatory training - the line manager, using the individual's job description, will determine what *role specific* training is mandatory. This must be explained, along with the 'All Staff' courses, to the member of staff and a plan for completion agreed. For new staff the requirement must be reviewed throughout the probationary period to confirm completion. For current members of staff it must be reviewed within the mandatory training timelines to confirm timely completion.
- Articulating to new staff via welcome letters, emails and induction the required mandatory training for their role.
- Ensuring all mandatory training is completed within the stipulated timelines.
- Managing any issues staff might have in completing the training, including access and requests for dispensation.
- Reporting to their College or Department any staff who are unable or unwilling to complete the mandatory training.

3.6 University Staff

- Undertake mandatory training for their role within the timelines stipulated in the [Mandatory Training Webpages](#).
- To promptly raise with their line manager any issues that may impact their ability to complete the training within the required timescales.
- To renew their training within compliance timelines.

4. Governance

The Council, via the University Audit Committee, has overall responsibility for the governance of this policy and for ensuring staff compliance.

The identification, content monitoring and compliance of mandatory training and its adherence statutory or University requirements is the responsibility of the course sponsor department.

5. Monitoring and Compliance

For training identified as an 'All Staff' course a 95% compliance rate across the University is to be achieved. All training must be achieved within the stipulated timelines. If training has not been completed within the timelines stipulated in this policy (timescales are located on the [Mandatory](#)

[Training webpage](#)) then disciplinary action and/or sanctions may be applied in line with the appropriate procedure.

5.1   Level 1 – Managers. It is the Line Manager's responsibility to ensure that their staff attend and complete any identified mandatory training. In order to monitor compliance, the line manager is to discuss all development activity, specifically the achievement of mandatory training relevant to their staff on a regular basis, throughout any probation period and at the annual performance development review. Monitoring can be achieved through the 'My Team' section of the [Management Information Hub](#) (MI Hub).

5.2   Level 2 - Colleges and Departments. Colleges and Professional Services Departments can monitor the compliance of their staff against the requirements of this policy. This can be achieved through;

  a. Scrutiny of the MI Hub reports by College and Department.
  b. Setting mandatory training as a standing agenda item on College Executive Groups and Professional Services Senior Management Teams.

5.3   Level 3 – Course owners. Course owners / sponsors will be required to monitor compliance for their courses and report accordingly via the appropriate audit process.

5.4   Level 4 – Council and Audit Committee. The Audit Committee will review compliance figures on a bi-annual basis.

6. Connection to Induction

The completion of mandatory training forms part of a member of staff's induction to the University. Line managers are to identify the required training and include a plan for completion within individual staff induction procedures. The [University Induction Pages](#) provide more information.

7. Connection to Probation

Mandatory training is an integral part of the probation procedure for all members of staff. The University policy for probation can be viewed for [Academic staff](#) and [Professional Service staff](#) . [Guidance for managers](#) can also be found on the induction webpages. All aspects of mandatory training, identified as a requirement for a member of staff to undertake their role at the University, must be completed in order to satisfy the requirements of probationary periods.

It is the responsibility of the line/academic manager to ensure that this requirement is met before approving progression from probation.

Training required for additional roles not attached to a job description (such as Fire Marshall) must not be included in the probationary requirements.

8. Procedures for Non-compliance

For mandatory training to be effectively enforced, procedures will be in place if an individual fails to comply with the requirement to undertake the mandatory training. Staff must be made aware

of the implications of non-compliance, and disciplinary action/sanctions must be considered irrespective of the grade of staff involved. Mitigating circumstances, however, will be taken into account. Non-compliance procedures will be linked to the procedure for managing probationary periods for new staff and the University's disciplinary procedure for existing staff.

8.1 Staff on probation:

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

8.2 Existing staff:

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

9. Reasonable Adjustments and Dispensations

Requests for reasonable adjustments or dispensations to this policy can be made via a SID Enquiry to the relevant course sponsor. Where reasonable adjustments are required due to a disability preventing the completion of the training, line managers should contact peopledevelopment@exeter.ac.uk .

10. Identification and creation of new courses

Where the need for new mandatory training is identified the process to be followed is detailed within the People Development webpages.

Further Information

For queries in relation to this policy please contact peopledevelopment@exeter.co.uk

Related Documents

- [Disciplinary Procedures](#)
- [Recruitment and Selection](#)
- [Managing Probation Periods](#)
- [Induction](#)