# Appendix E - Detailed Roles and Responsibilities

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| **Role(s)** | **Responsibilities** | **Related Tasks** |
| B.1 Senior Managers and Executives | * Sign off and ensure all staff adhere to this policy at all times
* Ensure that non-compliance is not tolerated and that actions are taken to ensure staff are compliant or that consequences defined in this policy are enacted.
 | * Sign off this policy and review it every [3] years
* Lead by example and ensure own compliance at all times
* Ensure all staff understand and take seriously their obligations under this policy to be compliant at all times and that non-compliance will not be tolerated
* Ensure consequences for non-compliance are enacted
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| B.2 Line Managers  | * Ensure that all their members of staff are aware of their obligations under this policy and ALWAYS FULLY compliant with their relevant Competencies.
* Promote the benefits of being compliant, i.e. that it helps to reduce the risks to patients and staff.
* Ensure staff are aware of what training they are required to complete and that they are scheduled and do attend their relevant training.
* Managers to ensure staff are released from duty and have protected time to complete training.
* If in your opinion you consider that patient safety will be compromised if a member of your staff attends training or an assessment then and only then would you not allow the staff member to attend and as soon as practicable and within 7 days, you re-book the member of staff onto the next available session. Overuse of this exclusion will raise questions about your ability to organise your rosters.
 | * Regularly review (at least monthly but ideally weekly) the compliance reports for all your members of staff and take actions as necessary to fulfil on this policy.
* Assess the need for staff to undertake IT training and support them to access their compliance report, e-learning and e-assessment.
* Ensure that statutory and mandatory training is discussed during each individual’s annual appraisal and that required training is scheduled and forms part of their agreed development plan for the year.
* For line managers that have low levels of compliance (for one or more topics) you may be required to produce an action plan which sets out how and when your reports will become compliant.
* Managers must familiarise themselves with the MAST Grid for their staff and raise any recommendations for amendments or exclusions to the relevant SME.
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| B.3 Staff Members, Students, Volunteers | * Know what Competencies you should have
* Ensure that you have the Competencies before becoming involved in any activity that would benefit from having the relevant Competencies i.e. do not move patients unless you are compliant with Moving and Handling.
* Ensure you are always fully compliant with all Competencies PRIOR to their expiry.
* Agree with your line manager when you will be scheduled to complete the training/assessment.
* Attend the relevant training/assessment as scheduled and be ready to learn and master the material.
* Modify your practice to incorporate your learning, knowledge and skills and make every possible effort to ensure that others around you do also.
 | * Be able to access and be familiar with the compliance reporting tool
* Be able to access and be familiar with e-learning and e-assessments. If necessary, schedule and attend IT training.
* Plan well ahead and book onto training so that sufficient time is set aside PRIOR to any Competency expiry
* If required to complete any other task rather than attend scheduled training then make it clear to the person asking you to complete the task if you risk becoming/will be non-compliant in any respect.
* If you are unable to attend scheduled training for any other reason then you must notify your line manager immediately so that alternative arrangements can be made for other staff to attend in their place.
* Non-compliant staff to complete an Action Plan Form stating what they will do and when, signed by their Line Manager.
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| B.4 Subject Matter Experts (SMEs) | * Have overall responsibility for the safety of patients in respect of your topic.
* Ensure training/assessments are designed to minimise the risks to patients that are typically served by the Trust, whilst considering the cost implications of delivering excessive training.
* Ensure that the training content meets the minimum requirements as set out in law, in policy and in the Core Skills and Training Framework.
* Ensure that the content meets acceptable quality thresholds such that patients are safe.
* Ensure all records of all completed Competencies are input correctly and that the compliance report is correct.
* Work with Education Department to plan capacity required to ensure compliance across the whole organisation.
* Work with Education Department to agree the learning outcomes, the content and the method of delivery.
* To document and make recommendations regarding which staff groups are required to achieve which level of Competency on what frequency
* Ensure relevant lessons are learnt from related incidents and that learning outcomes and content reflect any improvements as soon as practicable.
 | * Ensure register or attendance/completion of assessment is correctly uploaded into MLE platform
* Monitor relevant incidents such that lessons are quickly learned and amendments to learning outcomes and content implemented quickly.
* Where relevant, lobby to see changes made nationally either to reduce minimum learning outcomes and maximum frequencies where incidents do not justify the cost of delivering such content or where you believe (and have substantive evidence) that the minimum learning outcomes are not sufficient to ensure safety for patients.
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| B.5 Education Department | * Ensure that SMEs accurately define which staff need to undertake which learning and make sure that this is clearly communicated to all staff and line managers.
* Regularly review the capability and production of compliance reporting tools and processes and ensure that accurate reports are produced frequently, efficiently and accurately such that line managers and staff trust the information contained within them. Any shortcomings should be highlighted to CPO or other relevant person(s).
* Ensure the quality of training and assessments whilst minimising the time spent by staff to obtain such learnings.
* Ensure that staff and line managers can easily access learning (and if applicable assessments)
* Ensure that there is sufficient capacity of training made available at times and in ways that staff require
 | * Work with SMEs to define what learning outcomes are needed by which staff and when such learning outcomes need to be assessed or refreshed.
* Utilising the reporting tools provided, produce accurate Compliance Reports, frequently and easily accessible and recommend any improvements to the reporting tools to the CPO.
* Work with SMEs to complete the Annual Plan / TNA, including capacity plans so that demand can be met without excessive unutilised capacity.
* Work with SMEs to improve the quality and speed with which the learning outcomes can be achieved, i.e. enabling the use of e-learning and e-assessment or other innovative methods where appropriate.
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| B.6 HR Business Partners (if applicable) or HR Admin Team | * To support line managers to monitor compliance, produce action plans to achieve targeted compliance and to act upon non-compliance by following through with the consequences as set out in this policy document, quickly and effectively
* To feedback to Education department and SMEs of any reasons given by line managers and staff as to why they are not compliant. Whilst this policy is explicit that all appropriate active staff MUST be compliant at all times, there may be genuine operational reasons for non-compliance and the HR Business Partners are there to minimise these reasons and to work with line managers, staff, Eductaion and SMEs to ensure the compliance targets are achieved
 | * Monitor compliance rates of line managers and staff
* Support line managers to act on non-compliance of any staff
* To escalate to CPO if any line managers are not performing in their roles and responsibilities under this policy
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| B.7 CPO | * Regularly review the quality and capability of the compliance monitoring tools and ensure that the Trust has access to a tool that produces timely, accurate and low effort reports.
* Regularly review the quality and capability of the training/assessment being delivered, e.g. does an investment in e-learning or e-assessment need to be made? Does an investment in training SMEs need to be made?
* Monitor the performance of line managers and if necessary report low performance to their respective directors and if necessary the COO/CEO.
* Regularly report to the Trust Board and/or relevant Trust Executives
 | * Schedule the renewal of this Policy and ensure that renewal is achieved in advance of that date.
* Schedule the audit of effectiveness of this policy, ensure the audit is completed to the necessary standard and report to others as deemed necessary.
* Ensure HR Business Partners and HR teams are supporting line managers to action consequences defined in this policy.
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