

North West of England Foundation School

Foundation Training

Annual Review of Competence Progression (ARCP)

Operational Guidance

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Foundation Annual Review of Competence Progression (ARCP)

1. Scope

The purpose of this document is to provide operational guidance on the ARCP process specifically for Foundation Programme Training within HEE North West and the North West of England Foundation School.

This document should be read in conjunction with the relevant sections of the [UK Foundation Programme Reference Guide](#) (pages 40-59) and the [UKFPO ARCP Guidance](#).

2. Purpose of the ARCP panel

The purpose of an ARCP panel is as follows:

- To consider, assess and approve the appropriateness of the evidence and documentation within the ePortfolio.
- To make a judgement about the trainee's suitability to progress to the next stage of training
- To confirm training has been satisfactorily completed provided that adequate documentation has been presented
- To award the appropriate ARCP Outcome
- To provide feedback to the trainee and to inform the trainee's future training placement
- To provide evidence for the revalidation process, which starts at the beginning of the F2 year
- To consider the trainee's enhanced Form R and Exit Report along with the Clinical/Educational Supervisor's declaration, to enable completion of the revalidation element of the outcome form in terms of whether there is cause for concern. The Responsible Officer (RO) will then make a recommendation to the GMC.

3. Preparing for the ARCP process

The ARCP process for Foundation Programme (FP) trainees should normally take place annually. Panels may be convened more frequently to deal with progression issues that occur outside the normal annual cycle.

The approximate timeline for the FP ARCP process is shown in Appendix 1.

It is expected that every FP trainee will have evidence of every headline competence or curriculum domain as defined in the national FP curriculum. The best judgement needs to be made on the sampling of competences presented in the submitted evidence.

In general, F1 doctors should be able to show they have met the F1 requirements of the curriculum and F2 doctors have met all the requirements of the curriculum. If curriculum gaps are found the trainee should be made aware of this and asked to rectify any deficiencies. The trainee should be aware of this before the ARCP panel, as this should contain 'no surprises'.

4. ARCP and ePortfolio

The ARCP panel must base its decision only upon the submitted evidence within the ePortfolio. It is the responsibility of the trainee to submit the evidence, and for clinical and educational supervisors to submit their reports by the required deadlines.

At the beginning of the trainee's last attachment in the training year (i.e. April) two meetings should occur:

- an induction meeting with the Clinical Supervisor of the final post to outline the placement objectives
- a specific pre-ARCP meeting with their Educational Supervisor. This meeting with the ES is critical to the ARCP process and should be treated as an informal pre-ARCP, whereby the trainee is clear about the outstanding competences that need to be met in their final attachment in order to achieve a successful outcome at their ARCP. This is a particularly important role for the ES, where they should establish if there are any concerns that an adverse ARCP outcome is likely. There should be a record of this meeting within the ePortfolio.

At the meeting with the ES, the ES must play a key role within the preparation stages of their trainee's ARCP and revalidation by:

- ensuring that any gaps within the portfolio/evidence are identified with the trainee
- agreeing an action plan with the trainee to enable any outstanding areas to be addressed in time for trainee submission of their portfolio for the ARCP panel
- documenting this action plan within the ePortfolio
- working closely with the trainee's Clinical Supervisor where necessary

The ARCP process needs to occur in May/June of each year to meet GMC timelines for sign off of both F1 and F2 trainees.

5. ARCP Panel membership, documentation, procedure and indemnity

5.1 Panel membership

The ARCP panel typically comprises three members, one of whom should be the FPD (chair of the panel) and two other members may be selected from:

- Clinical Supervisors
- Educational Supervisors
- Medical Education Manager
- Foundation Programme Administrator
- Specialty training doctor ST4 or above
- Non-medical clinical staff
- Representative from a professional group allied to medicine
- Trainer/Visitor from another trust

(This is not an exhaustive list.)

Every local Foundation team is responsible for ensuring that their ARCP panel members are familiar with

- The Foundation Programme curriculum and training requirements
- The Foundation ePortfolio

All panel members must have been trained in equality and diversity within the last three years.

The trust's Patch Associate Dean or Director must be on the panel for at least 10% of Foundation trainees of that trust. This is for both F1 and F2.

If any panel member has a personal relationship with, or has been directly involved with the training of the Foundation doctor, e.g. their educational or clinical supervisor, a declaration of interest must be made and the panel member should withdraw from that doctor's ARCP.

External scrutiny should be provided by the presence on each panel of an "external trainer". The external trainer should be from with the school but from outside the trust's Foundation Programme. An FPD from another trust is appropriate for this role.

5.2 Documentation for ARCP Panel

The following information will be available to the panel via the e-portfolio:

- The trainee's health and probity declarations
- The trainee's evidence of performance, including their appraisal summaries and learning plans, evidence of experience, assessment, evaluation and feedback, but excluding confidential self-evaluations
- A variety of appropriate evidence within the trainee's portfolio which is cross-referenced to the FP curriculum and endorsed by the ES via the validation form
- A trust summary of attendance at shadowing and induction
- A trust summary of attendance at FP teaching
- Record of trainee absences through ill-health or other reason
- Record of study leave (for F2)
- Enhanced Form R for revalidation (for F2)

5.3 Panel Procedure

The ARCP panels should be chaired by the Foundation Programme Director or their nominated representative.

FP ARCP panels will use the national ARCP Outcome Forms and the proceedings must be fully recorded in order to provide an audit trail.

1. A minimum of five working days in advance of the ARCP panel meeting, each panel member will have access to a number of portfolios to review. Individuals will propose and justify an outcome for each of their portfolios, noting strengths/weaknesses in relation to the curriculum standards
2. Panel members come to an individual decision on their recommendation for an ARCP outcome

3. The ARCP panel meets and members confer and agree strengths, weaknesses and adequacy of the evidence in relation to the curriculum. Panel members may question the suggested outcome and refer to the evidence within the portfolio before reaching agreement. Where the documentary evidence submitted is incomplete or otherwise inadequate to support a judgement, the procedures in relation to Outcome 5 (Incomplete Evidence Presented) should be followed.
4. ARCP records are completed. Any concerns about a trainee's Fitness to Practice must be reported to the Deputy Dean for Foundation in time for further advice and guidance, but if something is raised at ARCP, this must be forwarded to the Deputy Dean who will then liaise with the RO. For F2 following consideration of the trainee Form R, the Chair of the panel will complete the revalidation section of the enhanced outcome form for consideration by the RO.
5. ARCP panel duties are complete when the decision and any recommendations are communicated to the trainee, the ES and the Foundation School.
6. An outcome 5 is not an acceptable final outcome for the ARCP process. This must be addressed appropriately by the trainee within four weeks after the initial ARCP outcome at which point the School will expect to be notified of the revised outcome. This could therefore be 1,3,6 or (rarely) an outcome 4. Until the final outcome is received the Deputy Dean for Foundation will not sign off that doctor. If the trainee is, for example, unwell and requires additional time, if this exceeds the time allowed out of programme (i.e. 20 days) the ARCP panel should award the appropriate outcome 'other' (see UKFPO ARCP Guide)
7. If any trainee is awarded an ARCP outcome of 3, 4 or 5, action plans (where appropriate) are to be signed between the trust and the trainee and this information must be sent on to the Foundation School.
8. The foundation doctor must acknowledge the outcome through the appropriate channels within ten days of the panel meeting.

5.5 Summary of Documentation Requirements for "Sign Off"

For F1 trainees:

The School requires the trust to ensure **2 documents** are completed:

- a) ARCP Outcome Form
- b) Foundation Year 1 Certificate of Completion (F1CC)

For F2 trainees:

The School requires the trust to ensure **3 documents** are completed:

- a) ARCP Outcome Form
- b) Foundation Programme Certificate of Completion (FPCC)
- c) Careers Destination Survey

The career destination survey with outgoing F2s will continue annually. This survey is part of the annual Foundation Programme data collection exercise and the School is

required to submit a complete data set for outgoing F2 doctors for the Annual Report to UKFPO each September. Therefore, this data collection is mandatory.

The Deputy Dean for Foundation will not sign the F1CC/FPCC form until the survey is completed

5.6 Indemnity

HEE local offices and their direct employees will be indemnified by Health Education England (HEE). Colleagues who act for HEE North West but have no contract of employment with HEE North West may also be indemnified in relation to actions taken on behalf of and under the management of the School, including:

- Conduct of ARCP panels
- Management of training placements
- Ad hoc targeted training of individual trainees undertaken under the direction of the Postgraduate Dean

Indemnity will be subject to the individual complying with HEE policy on Equal Opportunities.

5.7 Informing and involving the FP trainee in the ARCP decision

The ARCP procedure is an assessment of the documented evidence that is submitted by the trainee. **The trainee must not be present whilst the panel considers the evidence and makes its judgement** and should not normally attend the panel.

Where trainees have been invited to discuss the implications of the panel's decision, general training issues or to plan future training placements, **this discussion should be separate from, and take place, after the panel has considered the evidence and made its decision.**

6. ARCP Outcomes

The following ARCP outcomes are available to ARCP panels for FP trainees:

NB: Outcome 2 is not available for FP training as per the national process outlined in the UKFPO Reference Guide.

Outcome 1: Satisfactory progress – achieving progress and the development of competences at the expected rate

Outcome 3: Inadequate progress – additional training time required

Outcome 4: released from training programme with or without specified competences

Outcome 5: Incomplete evidence presented – additional training time may be required

Outcome 6: Gained all required competences – will be recommended as having completed the Foundation training programme

Outcome 8: Out of Programme (OOP) e.g. for experience or a career break. It is unusual for foundation trainees to take such a career break. However, the panel should receive documentation from the trainee, on an annual basis, indicating what they doing during their OOP time. This should contain purpose of OOP, progress towards qualification (if any), report from supervisor indicating satisfactory progress and if contact with patients, that there have been no adverse incidents or concerns raised about the doctor's practice. If this documentation is not received the OOP must cease and the doctor should return to the training programme. Trainees undertaking OOP will be required to submit an enhanced Form R in fulfilment of their revalidation requirements.

- For FP trainees who have met the competences for their training year, F1 trainees should be awarded an Outcome 1 and F2 trainees should be awarded an outcome 6.
- If a trainee has not yet completed an ILS/ALS course at the end of the F1/F2 year respectively, but has dates booked prior to the end of the year the FPD/Deputy Dean may find it appropriate to accept evidence that the doctor has booked to attend a refresher course.

7. Management of ARCP Outcome 3, 4 and 5

Where an award of outcome 3 or 4 has been given, the panel chair or their nominee, together with a person from the local FP team, must communicate and discuss the outcome with the trainee **within five working days** and inform the trainee of the Schools appeals process. The minutes of this meeting should be shared with the trainee and the trainee's ES. Communication of the outcome and any discussion with the trainee concerning the implications of the decision must be separate from the decision-making process.

Outcome 3:

The panel will need to specify in writing to the trainee what additional training is required, the circumstances under which it should be delivered (e.g. concerning the level of supervision) and the proposed timescale. This recommendation must also be communicated to the Deputy Dean, ES, employer and the School. This additional training must be agreed with the trainee.

An interim ARCP at completion of the additional training should consider the outcome of the additional training as soon as practicable after its completion. All trainees given this outcome should be given the guidance for trainees in receipt of an outcome 3 (*Appendix 3*).

If the trust suspects that the outcome may be a 4, then an FPD or the Deputy Dean should be invited to attend the panel also.

If a trainee refuses to undertake the recommended additional training time then the outcome should be converted to an Outcome 4.

Outcome 4:

This outcome will result in the F1 doctor being ineligible to undertake F2 posts and for the F2 doctor being ineligible to apply for specialty training. It will therefore have considerable impact on the doctor's career. Usually, an Outcome 4 is awarded after a previous Outcome 3. However, there may be occasions, for example where there is a patient safety issue, or the doctor's performance shows no improvement such that after

a second year, the trainee is not fit to enter Specialty training, which would require release from the Foundation programme immediately.

The panel should ensure that any relevant competences that have been achieved by the trainee are documented.

The panel can recommend that the trainee is released from the training programme if there is insufficient and sustained lack of progress, despite having opportunity for additional training and time to address concerns over progress, despite the implementation of a detailed educational plan.

The trainee may wish to seek further advice from the Deputy Dean about future career options. All trainees given this outcome should be given the guidance for trainees in receipt of an outcome 4 (*Appendix 4*).

The Deputy Dean should be informed and involved as soon as practically possible. A decision may be made by the trust and the Deputy Dean to refer doctors to the General Medical Council, where appropriate.

Outcome 5:

The panel cannot make a statement about progress or otherwise since the trainee has either supplied no information or irrelevant or incomplete information to the panel. If this occurs, on the face of it, the trainee may require additional time to complete their training programme.

The trainee will have to supply the panel with a written account within five working days as to why the documentation has not been made available to the panel.

The panel does not have to accept the explanation given by the trainee and can require the trainee to submit the required documentation by a designated date. ***This must not exceed four weeks.***

Once the required documentation has been received, the panel should consider it (the panel does not have to meet with the trainee and the review may be done “virtually” if more practical) and issue an assessment outcome. Therefore, an Outcome 5 cannot be held for sign-off and no appeal against this interim outcome is possible.

8 Remedial training

If a period of remedial training is required for a trainee, as a recommendation of the ARCP panel, this should be taken forward by the employing trust.

Trainees must (other than statutory leave) take up a place immediately or inform the Postgraduate Dean of their special circumstances. They may not defer for longer than 12 months for whatever reason.

On completion of remedial training, the ARCP outcome should be reviewed by a panel. The panel may decide that the trainee can:

- Progress on the programme
- or requires further additional training
- or should be released from the programme.

9. Review of outcome

If, following the outcome awarded at ARCP panel, any adverse incidents occur which may alter the outcome given; a new panel will be called to review the original outcome given.

APPENDIX 1: **Approx. ARCP TIMELINE**

Timing	Action	Person responsible
Pre April	Identify ARCP panel members & plan logistics	FPD/FPA
April	Trainee meets their ES a) Any gaps in portfolio identified b) Action plans made to fill gaps	Trainee/ES
May		
Early May	Trainee meets their ES a) Portfolio re-reviewed b) Ensure action plan from April completed/on target	Trainee/ES
31st May	Virtual portfolio lockdown. Deadline for evidence, e.g. SLE, supervisor reports on Horus, Form R. Anything entered on Horus after this date might not be considered by the ARCP panel members	Trainee/ES/CS
June		
From 1st June – 25th June	Members of ARCP panels able to view portfolios and review evidence Panels meet to complete ARCP (2 weeks) Deadline for notifying Trainees of ARCP Outcome	ARCP Panel Panel Chair Trainee/FPD
From 25th June	Deadline for ARCP Outcomes to be confirmed and acknowledged on Horus by the trainee and FPD, ready for completion of the F1CC F1CC can be signed by the FSD from today and the Foundation School can start downloading the F1CCs to forward onto “home schools”	FSD/Foundation School

<p>July</p> <p>15th July</p> <p>19th July</p>	<p>Deadline for FF1Cs to reach “home schools”</p> <p>Appeals</p>	<p>Foundation School</p>
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****It is critical to the successful running of the appeals process that the school is made aware of potential appeals as they arise and as soon as possible***

Ideally, trainees should know the outcome of their ARCP as soon as possible, rather than leaving the notification until the deadline so that any appeals can be submitted earlier and an appeal panel convened.

APPENDIX 2: APPEALS

2.1 Introduction

Trainees who have received Outcome 3 or 4 (additional training time is required or release from the training programme) have the right to request an appeal.

Any appeal must be sent by the trainee, in writing to the Deputy Dean for Foundation, **within ten working days** of the trainee being given written notification of the panel's decision. The trainee appealing must indicate which of the criteria for appeal forms the grounds for their appeal and include the specified supporting evidence.

The Foundation School will administer the appeals process.

Any appeals received by the School more than ten working days after the trainee has been given written notification of the outcome cannot be accepted.

If after considering the appeal request, the Deputy Dean agrees that there are grounds for appeal, an appeal panel will be convened to consider the evidence and to form a judgement as to whether the original ARCP panel decision can be upheld or overturned.

For more detailed information regarding the Foundation Appeals process please refer to the 'Formal Appeals Process – External Guidance' which can be found on our website under 'Foundation Policies and Processes' page.

<https://www.nwpgmd.nhs.uk/foundation-policies-and-processes>

2.2 Appeals against an Outcome 4 (removal from the training programme) for F1 doctors to medical school of graduation

Under the Medical Act, the GMC has determined that the graduating UK medical school/university is responsible for the recommendation for GMC Full Registration. Any final appeal against an Outcome 4 (typically after an extension to F1 training has been undertaken but not successfully completed) should normally be heard by the University of Graduation.

The medical school of graduation will convene an appeals panel under guidance from The Medical Schools Council who will determine the appropriate representation.

It is recognised that such an appeal may be difficult to arrange for those Foundation doctors who are distant to their University of graduation and in such cases an appeal against an Outcome 4 may be heard by the hosting school following agreement with the medical school of graduation.

Any appeal against an Outcome 4 would only be against the processes that lead to the recommendation to end F1 training, not the educational decision itself. If the reason for the Outcome 4 was for not attaining the required standards then this remains the case.

The final appeal panel may uphold that due process was not followed. However, this would **not** automatically enable the outcome to be uplifted, nor necessarily allow the doctor to continue their training within HEE North West

Such provisions do not apply to an appeal against an initial extension to F1 (Outcome 3) which should typically be heard within the foundation school in which the foundation doctor has been training.

The F1 doctor may make a final appeal against the decision to the graduating UK medical school through the Independent Adjudicator. Further details should be available from the university/medical school of graduation.

APPENDIX 3:

Guidance for Foundation Programme Trainees in receipt of an ARCP Outcome 3

Q Why have I been issued with an ARCP Outcome 3?

A The ARCP panel has assessed your progress and decided that there is a need for you to undertake additional training time.

Q Will this delay my progress to F2 or from the Foundation Programme?

A Yes. The panel will reassess your date of progress in line with your progress towards agreed targets.

Q What if I disagree with the panel's decision?

A You should discuss the decision with the FPD in the first instance. If at this stage you accept the decision, an ARCP Outcome 3 will be signed by you and your local trust and you will receive a written statement containing:

- the programme you will have to undertake
- the criteria upon which it will be decided whether you have reached the required standard
- the time period over which the programme will run

Q What if I still do not agree with the decision?

A You have the right to formally appeal against the decision.

Q How do I appeal?

A You must put your request for a formal appeal in writing to the Foundation School Director within 10 working days from the date of the initial ARCP review. The appeal hearing should take place within 15 working days of receipt of your written request, where practical.

Q Who will be on the appeal panel?

A The appeal panel will be made up of the Deputy Dean for Foundation or nominee (representing HEE North West), another FP Director or nominee, a HR representative, an FP Educational Supervisor from another trust, an FPD from another school, a Specialty/GP trainee who has recently completed a Foundation Programme and possibly an external lay person. Members of the original ARCP panel and those involved in stage 1 discussion will not take part in the hearing other than as potential witnesses.

Q Can I have representation at the appeal?

A Yes. You have the right to representation at the hearing, to address it and to submit written documentation in support of your appeal. You could, for example, choose a friend, BMA representative or a colleague. It is your responsibility to identify and invite your chosen representative and inform the Foundation School of the name and designation of the individual concerned. They will have to identify themselves to the appeal panel and also

behave in a manner appropriate to the situation.

Q What happens if the original decision is overruled?

A The appeal panel may decide that a decision or recommendation to repeat experience or withdraw you from the programme is not justified. If this happens, new recommendations will be made and your ARCP Outcome will be amended accordingly.

Q What happens if the original decision is upheld?

A You will receive an ARCP Outcome 3, and you will have to undertake the recommended repeat training. If you refuse to undertake the required additional training, you may be awarded an Outcome 4 and released from the Foundation Programme.

Q What do I do if I still disagree?

A The decision of the appeal panel is final.

APPENDIX 4:

Guidance for Foundation Programme Trainees in receipt of an ARCP Outcome 4

Q Why have I been issued with an ARCP Outcome 4?

A The ARCP panel has assessed your progress and decided that you should not be allowed to continue on the Foundation Programme.

Q Will this delay my progress to F2 or from the Foundation Programme?

A Yes. You have been released from the training programme with or without specified competences. This outcome has implications regarding your continuing employment. You may wish to seek further advice from your local Foundation Programme Director or employing trust.

Q What if I disagree with the panel's decision?

A You should discuss the decision with a member of the original ARCP panel in the first instance. If at this stage you accept the decision, an ARCP Outcome 4 will be signed by you and your local Foundation Programme Director and the Deputy Dean for Foundation. You will leave the programme at the end of the academic year. You will also receive a written statement confirming:

- that you are being released from the training programme
- any defined competences achieved
- that, depending upon the exact circumstances, the GMC may need to be informed.

Q What if I still do not agree with the decision?

A You have the right to formally appeal against the decision.

Q How do I appeal?

A You must put your request for a formal appeal in writing to the Deputy Dean for Foundation within 10 working days from the date of the initial ARCP review. The appeal hearing should take place within 15 working days of receipt of your written request, where practical.

Q Who will be on the appeal panel?

A Members of the original ARCP panel and those involved in stage 1 discussions will not take part in the hearing other than as potential witnesses. The appeal panel will be made up of the Deputy Dean or nominee (representing HEE North West), another FP Director or nominee, a HR representative, an FP Educational Supervisor from another trust, an FPD from another school, a Specialty/GP trainee who has recently completed a Foundation Programme and possibly an external lay person.

Q Can I have representation at the appeal?

A Yes. You have the right to representation at the hearing, to address it and to submit written documentation in support of your appeal. You could, for example, choose a friend, BMA representative or a colleague. It is your responsibility to identify and invite your chosen representative and inform the School of the name and designation of the individual concerned. They will have to identify themselves to the appeal panel and also behave in a manner appropriate to the situation.

Q What happens if the original decision is overruled?

A The appeal panel may decide that a decision to withdraw you from the programme is not justified. If this happens, new recommendations will be made and your ARCP Outcome will be amended accordingly.

Q What happens if the original decision is upheld?

A You will receive an ARCP Outcome 4, and you will be required to leave the programme. Depending on the exact circumstances, the GMC may need to be informed.

Q What do I do if I still disagree?

A The decision of the appeal panel is final.

APPENDIX 5: Revalidation

The Foundation School processes align to HEE North West's processes for revalidation.

The trainee revalidation policy should be referenced in the first instance. Like all other doctors, foundation trainees will need to revalidate. The first year of the five year cycle will start at the beginning of F2 when GMC Full Registration is obtained.

The information gathered over the five year cycle will lead to recommend/defer more time/non-engagement for revalidation. However fitness to practice issues should be managed in real time.

The information required for revalidation is as indicated on the collective exit report:

- This trainee has been involved in a conduct capability investigation
Yes/No
- This has been resolved satisfactorily with no unresolved concerns about this trainee's conduct
Yes/No
- This trainee has been involved in a formal Serious Untoward Incident/Significant Event Investigation
Yes/No
- This has been resolved satisfactorily with no unresolved concerns about trainee's fitness to practice
Yes/No
- This trainee has been named in a complaint (s)
Yes/No
- This has been resolved satisfactorily with no unresolved concerns about a trainee's fitness to practice
Yes/No

In order to meet the requirements of the framework, doctors must meet the GMC domains of:

- General Information: providing context about all aspects of your work (*annually*)
- Keeping up to date: maintaining and enhancing the quality of your work (*annually*)
- Review of practice: evaluating the quality of your work (*once per 5 year cycle*)
- 1. Feedback on practice: how others perceive the quality of your work (*once per five year cycle*)

The supporting documentation must include evidence of:

- Continual professional development
- Quality improvement activity
- Significant events
- Feedback from patients
- Feedback from colleagues (using GMC framework)
- Review of complaints and compliments

In order to complete the revalidation cycle the following forms will require completion:

- Enhanced Form R (Trainee completes annually)
- Enhanced ARCP Outcome Form (ARCP Panel Chair completes)
- Enhanced Clinical/Educational Supervisor Report (CS/ES completes)
- Collective with exception reporting (Trust (LEP) completes)