PATHOLOGY
E-PORTFOLIO AND ARCP GUIDANCE FOR EDUCATIONAL SUPERVISORS

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INTRODUCTION

This is a guide for Pathology Educational Supervisors with regards to the Annual Review for Competency Progression (ARCP) process.

Pathology currently has 2 windows for assessment: June and November, with the main round being held in June. Two panels are convened for each assessment window:

- **Portfolio Review**: A panel is convened to review the E-Portfolio ONLY. The only trainees that are required to attend are those within 3 months of their CCT date.
- **ARCP Panel**: If there are any concerns raised at the Portfolio Review trainees are required to attend the face to face ARCP Panel.

Trainees are emailed at least 6 weeks prior to the Portfolio Review Date to ensure the necessary documentation is completed and uploaded onto the e-Portfolio. When contacted trainees are sent:

- The date of their Portfolio Review.
- The date of the ARCP if required to attend.
- A link to the Pathology ARCP Process section on the Mersey Deanery website.

Upon the Health Education North West website trainees are advised when each specialty is due for their Portfolio Review.

If any trainees are unsure when they are to be reviewed next they can contact Natalie Dawson who will advise.

Also on the website it goes into detail on what the trainee is required to do prior to the Portfolio Review, this includes:

- Ensuring all information is validated prior to the Portfolio Review, if not the panel will be unable to view.
- Registering with the Royal College of Pathologists to gain access to the Learning Environment for Pathology Trainees (LEPT) System.
THE ROLE OF AN EDUCATIONAL SUPERVISOR

An Educational Supervisor:
- Undertakes regular formative appraisal.
- Provides support to the trainee in developing their learning portfolio.
- Ensures that the trainee understands and engages in assessment.
- Is the first point of call for concerns about training.
- Ensures that appropriate training opportunities are available for the trainee to learn and gain competencies.
- Communicates effectively with HENW Mersey, Trust Education Team and the Training Programme Director (TPD).
- Must keep up to date with developments in education.
- Must undergo training as an educational supervisor.

It is essential to meet with your trainee(s) throughout the year. The following framework is an outline suggestion for meeting with your trainee(s):

**Initial informal meeting:**
- When – first few days of the rotation.
- An informal meeting to introduce yourself to the trainee and start to build a relationship.
- Arrange an appointment for the first formal meeting to be held as soon as possible, preferably within 2 weeks of the rotation starting.

It is important to have frequent informal meetings and regularly liaise with your trainee’s clinical supervisors to have an overall picture of progress.

- **All formal meetings must be documented in writing.**
- **Any concerns that are raised by clinical supervisors must be documented.**
- **Any concerns that arise during informal meetings should be documented.**

**Initial formal meeting:**
- When - within the first 2 weeks if possible; otherwise ensure appointment made within first 2 weeks.
- Assessment of trainee’s learning needs.
- Personal development plan (PDP) outline of what the trainee would like to achieve within the year.
- Short-term goals/aims for the next 3 months - this can be reviewed in the next meeting.
- Arrange an appointment for the next meeting to be held in three months’ time.

**Mid-point meeting(s):**
- Mid-point meetings at least every 3 months.
- Review progress over the last 3 months.
- What has the trainee achieved?
- How has the trainee achieved it?
- Have there been any issues or barriers to achieving any of the trainee’s aims?
- Provide feedback on progress.
- Is the e-portfolio up to date?
- Make time for pastoral discussion.
- Arrange an appointment for the next meeting in 3 months.
Final meeting:
- Final review – shortly before the ARCP and portfolio submission; **do not leave it too late.**
- Has the trainee achieved everything he/she set out to in his/her PDP? If not, what needs carrying forward to the next post?
- What has the trainee gained from the last 6/12 months – reflection on their experience within the department?
- Looking ahead.

**PRIOR to meetings with your trainee:**
- Look at his/her e-portfolio progress
- Where is he/she at with self-assessments?
- How is he/she progressing with the PDP?
- Is he/she completing workplace based assessments at the appropriate rate?
- Is he/she completing reflective accounts and are these satisfactory?
- Has he/she attended the appropriate amount of teaching sessions?
- Use what you discover to guide the content of your meeting.

**Preparation for the ARCP**
- Meet with trainee and review electronic portfolio.
- Prepare Educational Supervisor’s Structured Report (ESSR) on LEPT system; your trainee will have completed this in part and all the workplace based assessments that have been entered onto the LEPT system will populate the ESSR automatically.
- Ensure that you enter comments in all the appropriate sections and do not just provide a score; comments may be crucial for future reviews should training need to be extended.

An organised portfolio should help the trainee to highlight areas of the curriculum that need addressing and this can be factored into the next PDP/Action Plan. When preparing for the ARCP, an organised portfolio should:

- Provide strong evidence that a trainee is a safe clinician.
- Reflect the trainee’s clinical and personal strengths.
- Not be overloaded; quality well-chosen evidence is better than quantity.
- Be easy to navigate.
- Fulfil at least minimum criteria, preferably more, and demonstrate areas of strength
- Incorporate appropriate reflections.
- Demonstrate professionalism by engaging with process of portfolio building

**Any issues with e-portfolios and your trainee’s progression should have been flagged up before the end of the year; however, it is important to remember that the ARCP process may flag up additional concerns.**
GUIDELINES FOR COMPLETING THE EDUCATIONAL SUPERVISOR’S STRUCTURED REPORT (ESSR)

The ESSR is created by the trainee in the LEPT system when they are satisfied that they have completed all of the appropriate information for their ARCP.

There are ten sections in the ESSR. These are:

1. Educational Supervisor’s details (pre-populated in the ESSR).
2. Trainee’s details (to be completed by the trainee).
3. Previous ARCPs (these will appear if previous ARCPs have been recorded in LEPT at the time of the previous ARCP. ARCPs cannot be entered into LEPT retrospectively).
4. Previous placements in programme (pre-populated in the ESSR if completed by the trainee).
5. Gaps in training (to be completed by the trainee).
6. Workplace-based assessments undertaken during placement (pre-populated in the ESSR).
7. Examinations and assessments (this area of the ESSR is still being developed).
8. Experiential outcomes (pre-populated in the ESSR with an opportunity for the trainee to comment on each area).
9. Other comments/issues (to be completed). Where an Educational Supervisor identifies other comments or issues that do not fit in sections 1 to 8, these should be raised in the “other comments/issues” box at the end of the report.
10. Details of concerns/investigations. Where an Educational Supervisor is aware if the trainee has been involved in any conduct, capability or serious untoward incidents/significant event investigation or named in any complaint, these should be raised in the “details of concerns/investigations” box at the end of the report.

Such comments or issues may be in relation to either outstanding/excellent achievement or concerns about performance and should be supported by appropriate evidence. A summary of the triangulated views of trainers in the department (or perhaps from other educational supervisors from placements during the year – see below) are examples of the types of comments or issues that can be included within this section.

The trainee can enter the following information:

- Position*
- GMC Number
- National Training Number
- Training Location*
- Type of Appointment*
- Stage of Training*
- GMC Programme/Post Approval Number*
- Overall Specialty Programme

(N.B. * requires the trainee to complete the information)

The trainee can also:

- List any gaps in training in the previous year and provide an explanation for these.
- Provide comments on their logbook items, audits, research projects, publications, teaching activities, management development, presentations, courses and events and other items. These items will be pre-populated in the trainee’s ESSR along with their completed workplace-based assessments.
- Comment on any areas of outstanding or excellent achievement or area of concern.
The trainee is able to save the ESSR in draft as many times as they wish before submitting it to their educational supervisor for approval. Trainees are strongly recommended to discuss the form with their educational supervisor before sending it to them.

The Educational Supervisor will receive an email informing them that the trainee has completed an ESSR for their approval. The Educational Supervisor has the option to approve, edit or reject the ESSR. If it is rejected, the trainee will have the opportunity to amend the ESSR and return it to the Educational Supervisor. Once the ESSR is approved by the Educational Supervisor, the ESSR will be locked and neither the trainee or educational supervisor can make any further amendments.

When the Educational Supervisor has completed the ESSR, based on the evidence provided, they must discuss it with the trainee if they have not done so already. This is particularly important if the evidence indicates that the trainee may not achieve a satisfactory progress outcome as determined by the ARCP panel.

The ESSR must be approved by the educational supervisor at least seven days prior to the end date of the ARCP period as recorded in LEPT.

**TRAINEE PREPARATION FOR THE PORTFOLIO REVIEW PANEL**

On the website the trainees are advised on the requirements for their Portfolio Review:

1. Upon the LEPT System, enter your ARCP Period:
   - For full time trainees this will be a full rotation year, i.e. 06/08/14 – 04/08/15
   - For trainees who are LTFT, out of synch, or have returned from a long period of leave please contact Natalie Dawson who will confirm your ARCP Period.

   Please note your ARCP Record upon the LEPT will close 7 days prior to the end of your entered ARCP Period. You will be unable enter any evidence after this date.

2. Download the ARCP Documentation for completion and upload onto the LEPT as advised:

<table>
<thead>
<tr>
<th>CHEMICAL PATHOLOGY</th>
<th>HISTOPATHOLOGY</th>
<th>MEDICAL MICROBIOLOGY</th>
</tr>
</thead>
<tbody>
<tr>
<td>LEPT Checklist and Enhanced Form R</td>
<td>FORENSIC PATHOLOGY</td>
<td>LEPT Checklist and Enhanced Form R</td>
</tr>
</tbody>
</table>

3. Ensure you read the LEPT Guidance and Guide to Workplace-Based Assessments (WPBA).

   It is highlighted within the LEPT Checklist how the documentation should be uploaded, titled and stored on the LEPT.

The Portfolio Review now links in with the Revalidation Process:

- Trainees are now required to complete and submit an Form R. The Form R requires the trainee to update HENW Mersey on their personal details and they need to declare if they have been involved in any Serious Untoward Incidents (SUIs) or Probity issues throughout that training year.
- HENW Mersey provides the Lead Employer with a list of trainees that are due in for an assessment. The Lead Employer will liaise with and collate data from the Client Trusts to confirm if any trainee has had any SUIs or Probity issues throughout that training year.
- These documents, including a completed e-Portfolio, are available for the Programme Director / Head of School to view and sign at the Portfolio Review Panel.

HENW Mersey now also requests a sickness report from the Lead Employer prior to the reviews. Any trainee with more than 14 days sickness in a year will be highlighted to the panel and their CCT / End date may need to be altered.

**LEPT CHECKLIST**

As all the required evidence is not available on the LEPT, trainees are still required to complete some paper documentation and upload onto the system.

The LEPT Checklist on the website provides trainees with the documentation they are required to complete and advises them where to upload it on the LEPT. All evidence for that ARCP Period will automatically upload to the ESSR.

<table>
<thead>
<tr>
<th>ITEM REQUIRED</th>
<th>WHERE TO STORE DOCUMENTATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Workplace-Based Assessments (WPBAs)</td>
<td>Assessments Tab in LEPT</td>
</tr>
<tr>
<td></td>
<td>All paper forms must be transferred to the LEPT.</td>
</tr>
<tr>
<td>Multi Source Feedback Result</td>
<td>Automatically in LEPT</td>
</tr>
<tr>
<td></td>
<td>For ST1, ST3 and ST5 only. Information can be found on the <a href="http://www.rcpath.org">RCPath Website</a>. This can only be completed electronically.</td>
</tr>
<tr>
<td></td>
<td>Upload to Resources Tab in LEPT</td>
</tr>
<tr>
<td></td>
<td>Download and complete the required forms. If a specific form is not supplied please write your own. Once the forms listed have been completed and signed (if required), scan and upload each file to the Resources Tab.</td>
</tr>
<tr>
<td>Structured Curriculum Vitae (CV)</td>
<td>Automatically in LEPT</td>
</tr>
<tr>
<td>Logbook Summary</td>
<td></td>
</tr>
<tr>
<td>Educational Activities</td>
<td></td>
</tr>
<tr>
<td>Personal Development Plan (PDP)</td>
<td></td>
</tr>
<tr>
<td>Academic summary (if needed)</td>
<td></td>
</tr>
<tr>
<td>Audit Details</td>
<td></td>
</tr>
<tr>
<td>Initial Education Agreement Plan: Chemical Pathology</td>
<td></td>
</tr>
<tr>
<td>Histopathology</td>
<td></td>
</tr>
<tr>
<td>Medical Microbiology</td>
<td></td>
</tr>
<tr>
<td>Interim Reports</td>
<td></td>
</tr>
<tr>
<td>Clinical Supervisors Report (if different to educational supervisor)</td>
<td></td>
</tr>
</tbody>
</table>

**Please name files using the following format:**

*Document Name, Grade of Training, Year e.g:*
- Logbook, ST3, 2013
- PDP, ST3, 2013
- Interim Report, ST3 2013

**IMPORTANT NOTICE:** If you upload any evidence to the Resources, Personal Activities or Assessments after the ESSR is completed you will need to refresh the ESSR for this evidence to appear. It is to best to complete your report with your Educational Supervisor once all documents and evidence has been uploaded.
Along with the LEPT Checklist above, trainees are required to have met the following competencies for each training year if on the 2010 Curriculum:

| Training Year | ST1 Chemical Pathology | ST3 Metabolic Medicine | ST2 Chemical Pathology | ST4 Metabolic Medicine | ST3 Chemical Pathology | ST5 Metabolic Medicine | ST4 Chemical Pathology | ST6 Metabolic Medicine | ST5 Chemical Pathology | ST7 Metabolic Medicine | ST1 Histopathology | ST2 Histopathology | ST3 Histopathology | ST4 Histopathology | ST5 Histopathology | ST1 Medical Microbiology | ST2 Medical Microbiology | ST3 Medical Microbiology | ST4 Medical Microbiology | ST5 Medical Microbiology |
|---------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|
|               | CbDs: 6                | DoPs: 6                | ECEs: 6                | Mini CEX: 6            | MSF: Yes              | OSPE: Yes              | Part I                  | Part II                |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |
|               |                        |                        |                        | Yes                    |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |
|               |                        |                        |                        | Yes                    |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |
|               |                        |                        |                        | Yes                    |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |
|               |                        |                        |                        | Yes                    |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |
|               |                        |                        |                        | Yes                    |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |
|               |                        |                        |                        | Yes                    |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |

Sub-Specialties

<table>
<thead>
<tr>
<th>Speciality</th>
<th>CbDs</th>
<th>DoPs</th>
<th>ECEs</th>
<th>MSF</th>
<th>Part II</th>
</tr>
</thead>
<tbody>
<tr>
<td>ST3 Diagnostic Neuropathology / Forensic Histopathology / Paediatric and Perinatal Pathology</td>
<td>6</td>
<td>6</td>
<td>6</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>ST4 Diagnostic Neuropathology / Forensic Histopathology / Paediatric and Perinatal Pathology</td>
<td>6</td>
<td>6</td>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ST5 Diagnostic Neuropathology / Forensic Histopathology / Paediatric and Perinatal Pathology</td>
<td>6</td>
<td>6</td>
<td>6</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>ST6 Diagnostic Neuropathology / Forensic Histopathology / Paediatric and Perinatal Pathology</td>
<td>6</td>
<td>6</td>
<td>6</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

PRE-PORTFOLIO REVIEW CHECKLIST FOR TRAINEES

<table>
<thead>
<tr>
<th>TASK</th>
<th>TIMELINE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Informed of Portfolio Review and ARCP Date.</td>
<td>At least 6 weeks prior</td>
</tr>
<tr>
<td>Returned Enhanced Form R.</td>
<td>3 weeks prior to Portfolio Review</td>
</tr>
<tr>
<td>Completed documentation within the LEPT Checklist.</td>
<td>5 working days prior to Portfolio Review</td>
</tr>
<tr>
<td>Uploaded LEPT Checklist Documentation as per guidance.</td>
<td>At least 2 working days prior to Portfolio Review</td>
</tr>
<tr>
<td>Educational Supervisors Report complete.</td>
<td></td>
</tr>
</tbody>
</table>
PORTFOLIO REVIEW PANEL

This is how to locate evidence at Portfolio Review.

When logged into the LEPT System, on your homepage select My Trainees.

On the trainee you wish to view, Select ARCPs

On the Open ARCP, select List Assigned Items

All the evidence for that Portfolio Review will be listed.

The main document for review at the Portfolio Review Panel will be the Educational Supervisors Structure Report (ESSR).
IMPORTANT NOTICE: As per the LEPT Checklist, within the ESSR Report, if the trainee has uploaded any evidence to the Resources, Personal Activities or Assessments after the ESSR is completed they will need to refresh the ESSR for this evidence to appear.

It is for trainee best to complete their report with their Educational Supervisor once all documents and evidence have been uploaded.

ARCP PANEL

At least 2 weeks after the Portfolio Review an ARCP Panel will convene.

The trainees that are required to attend are those:

- Not at required standard of training.
- With issues regarding Revalidation.
- With concerns relating to sickness.

The ARCP Panel will also review 10% of the satisfactory outcomes recommended by the Portfolio Review Panel.

ARCP OUTCOMES

<table>
<thead>
<tr>
<th>ARCP OUTCOME</th>
<th>DEFINITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>ARCP 1:</td>
<td>Satisfactory progress.</td>
</tr>
<tr>
<td>ARCP 2:</td>
<td>Development of specific competences required – additional training time not required.</td>
</tr>
<tr>
<td>ARCP 3:</td>
<td>Inadequate progress – additional training time required. Trainees are entitled to maximum of one year’s additional training time.</td>
</tr>
<tr>
<td>ARCP 4:</td>
<td>Released from training programme.</td>
</tr>
<tr>
<td>ARCP 5:</td>
<td>Incomplete evidence presented.</td>
</tr>
<tr>
<td>ARCP 6:</td>
<td>Gained all required competences.</td>
</tr>
<tr>
<td>ARCP 7:</td>
<td>Fixed-term Specialty Trainee (FTSTAs) or LATs</td>
</tr>
<tr>
<td>7.1</td>
<td>Satisfactory progress</td>
</tr>
<tr>
<td>7.2</td>
<td>Development of Specific Competences required – additional training time not required</td>
</tr>
<tr>
<td>7.3</td>
<td>Inadequate Progress</td>
</tr>
<tr>
<td>7.4</td>
<td>Incomplete Evidence Presented</td>
</tr>
<tr>
<td>ARCP 8:</td>
<td>Out of programme for research, clinical experience or a career break (OOPR/OOPE/OOPC)</td>
</tr>
<tr>
<td>ARCP 9:</td>
<td>Doctors undertaking top-up training in a training post.</td>
</tr>
</tbody>
</table>

Trainees have a right to appeal unsatisfactory outcomes. Further information is available from The Gold Guide (Fifth Edition).

Any questions with regards to this guidance, please contact Natalie Dawson.