

SUMMARY OF THE ASSESSMENT AND APPRAISAL PROCESS

INTRODUCTION

All doctors in training within the Northern Ireland Deanery are required to be assessed and appraised in accordance with the principles of *Good Medical Practice* as determined by the General Medical Council. The standards of competence, care and conduct expected of doctors in all aspects of their professional work relate to the following:

- *Good Clinical Care*
- *Maintaining Good Medical Practice*
- *Teaching and Training*
- *Relationships with patients*
- *Working relationships with colleagues*
- *Probity*
- *Health*

ROLES AND RESPONSIBILITIES

Responsibility rests with each of the following to ensure that doctors in training are supervised, assessed and appraised.

The Employer is responsible for identifying named clinical and educational supervisors for all doctors in training and confirming that they have been appraised in accordance with clinical governance arrangements. The GMC will require a number of statements from the employer to ensure that:

- *the doctor is partaking in a quality assured appraisal process within the framework of clinical governance*
- *there are no concerns about the doctor's day-to-day medical practice*
- *there are no concerns about an individual's health or probity*
- *a personal development plan has been established as a consequence of the appraisal process*

Whilst titles for the following roles may differ, depending on the Trust and specialty, it is important to focus on the responsibilities of the designated individuals and not on their job titles.

The Clinical Supervisor is responsible for ensuring that appropriate clinical supervision of the trainee's day-to-day clinical performance occurs at all times with regular feedback and that workplace assessments are carried out and signed off. The clinical supervisor is required to bring any concerns in relation to a trainee to the attention of the educational supervisor.

The Educational Supervisor is responsible for overseeing training and carrying out regular educational reviews with the trainee at the start, middle and end of each training placement. The educational supervisor is responsible for the educational appraisal of trainees and for a review of their performance based on *Good Medical Practice* allied to the Framework documentation. The educational supervisor will ensure that the trainees under his/her jurisdiction are aware of the appraisal process and have been provided with guidance on the roles of appraiser and appraisee. On appraising the trainee the educational supervisor will forward a copy of the appraisal discussion (Form 5) together with personal declarations on Licence status, Health and Probity and a draft personal development plan (PDP) to the assessment panel for the annual review of competence progression (ARCP/RITA).

The Training Programme Director is responsible for managing the regional specialty training programme and for reviewing, in conjunction with the Head/Deputy Head of School, the assessment and appraisal documentation and confirming the trainee's personal development plan. Where targeted or remedial training is required the Training Programme Director will work with the educational supervisor to agree the monitoring arrangements.

The Northern Ireland Medical and Dental Training Agency (NIMDTA) is responsible for providing guidance and training to enhance awareness of the assessment and appraisal processes. NIMDTA is responsible for quality assuring the process and ensuring that the review outcomes are made known to both the current and next employer.

The Trainee is responsible for initiating the workplace based assessments and for fully participating in the assessment and appraisal process. The trainee is required to collate and retain the evidence and documentation required to support revalidation in line with the principles set out in the GMC's *Good Medical Practice*. If a doctor does not participate meaningfully in revalidation the licence to practise will be withdrawn by the GMC.

THE APPRAISAL PROCESS

Appraisal is about monitoring professional, educational and personal development. It provides an opportunity to give and/or receive feedback on important aspects of training and highlight areas of excellence as well as any difficulties the trainee may have.

The existing educational processes must encompass the annual appraisal. The collated records of assessment throughout training will provide an essential part of the evidence leading to Revalidation by the General Medical Council. The collated documentation will be held together in the HSC Appraisal for Doctors in Training Portfolio.

As the appraisals will be held throughout the year, the assessment documentation and personal development plan derived from the assessment process may not be available for the first appraisal but will be available for subsequent years.

Appraisal Portfolio

Maintaining a personal portfolio will enable the trainee to provide clear evidence that learning has taken place, as it will document learning activities and provide a systematic record of the trainee's progress and achievements. It is not necessary to display the entire content of the portfolio at any time and components may be chosen for certain events. The following are examples of what should be included in the portfolio:

- Personal details
- GMC certificate of Licence Status
- Updated Curriculum Vitae including examinations and other qualifications
- College log book (where relevant)
- RITA/ARCP forms
- Appraisal forms
- Personal Declarations on Health and Probity
- Personal development plans
- Record of study leave and continuing professional development
- Record of teaching activity and evaluations
- Research experience
- Publications
- Case presentations
- Audit projects undertaken and planned
- Teaching notes and critique
- Reading lists
- Memorable events and patients including complaints with outcomes

- Anything that the trainee feels is relevant to demonstrate how a trainee has learned and made improvements to his/her practice

Personal Details

All doctors in training are required to complete and return to the Northern Ireland Medical and Dental Training Agency (NIMDTA) a personal information form (Form R) of the documentation contained within the Appraisal for Doctors in Training Portfolio). NIMDTA must be notified of any subsequent changes to personal details.

Conditions of joining a specialty training programme

On receipt of a trainee's personal details an agreement will be issued by NIMDTA for signature by the trainee. This agreement will apply to the specific programme of training.

ASSESSMENT OF PROGRESS

Foundation Training

The procedures for the assessment of Foundation Programme trainees are based on the *Curriculum for the Foundation Years in Postgraduate Education and Training* and are contained within the *Foundation Learning Portfolio*. The attainment of F1 and F2 competencies will be signed off by the educational supervisor and foundation programme director and ratified by the Foundation School Director. Failure to achieve the requirements of the Foundation Programme will result in appropriate action being taken which may include a further period of training. The Medical Director and Director of Medical Education of both the current and receiving Trust/Employer will be notified of the review outcomes and particularly in relation to unsatisfactory progress or any concerns relating to a trainee. Further information on the assessment of foundation trainees is available from NIMDTA or can be downloaded from its website www.nimdt.gov.uk

Specialty Training

The procedures for the assessment of trainees occupying core and specialty training programmes, fixed term specialist training posts and locum appointments for training are contained within the *Guide to Postgraduate Specialty Training in the UK (Gold Guide)*. For existing SpRs the *Guide to Specialist Registrar Training (Orange Guide)* sets out the arrangements for assessment.

The crucial elements relating to the assessment process are outlined as follows:

- The trainee must have a named clinical supervisor and educational supervisor for each placement
- The trainee must receive regular educational reviews by his educational supervisor at appropriate intervals. The required reviews are an induction meeting to set educational goals; a mid point review to check progress; and an exit assessment encompassing workplace based appraisal.
- The educational reviews must be recorded using appropriate documentation as required by the Northern Ireland Medical and Dental Training Agency.
- The documentation from the educational reviews must be signed off by both educational supervisor and trainee and forwarded by the educational supervisor, together with a summary of the appraisal discussion, personal declarations and the draft personal development plan to the RITA/ARCP panel for the annual review of competence progression.
- The review will be held annually, normally in April/May. The panel will agree the training goals required for the next rotation.
- The outcome recommended by the panel will be communicated to the trainee by NIMDTA and the PDP confirmed by the Head of School/Training Programme Director. Where an unsatisfactory outcome is anticipated the trainee must meet with the panel.
- Copies of all assessment and appraisal documentation must be retained by the trainee for inclusion in his/her appraisal portfolio.

ARCP/RITA Process

ARCP Outcomes		RITA Process	
Satisfactory Progress			
1	Achieving progress and competences at the expected rate	RITA C	the trainee has progressed and achieved the competences at the expected rate
Unsatisfactory or insufficient evidence			
2	Development of specific competences required – additional training time not required	RITA D	Recommendation for targeted training – stage 1 of required additional training
3	Inadequate progress by the trainee – additional time required	RITA E	Recommendation for intensified training/repeat experience – stage 2 of required additional training
4	Released from training programme with or without specified competences		
5	Incomplete evidence presented – additional training time may be required		
Recommendation for completion of training			
6	Gained all required competences	RITA G	Final record of satisfactory progress
Outcomes for trainees out of programme or not in run-through training			
7	Fixed-term specialty outcome – competences achieved identified above	RITA F	Report of out of programme training/experience
8	Out of programme experience for approved clinical experience, research or career break		
9	Top-up training		
Withdrawal of NTN			
The trainee is required to leave the training programme before its completion.			

The assessment outcomes will be forwarded by NIMDTA to the Medical Director and Director of Medical Education of both the current and receiving Trust/Employer for retention. Where progress has not been satisfactory a report will be produced on each trainee highlighting the specific concerns.