



# **ANNUAL REVIEW OF COMPETENCE PROGRESSION (ARCP)**

## **POLICY FOR REVIEWS AND APPEALS SECONDARY CARE AND GENERAL PRACTICE**

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## 1. Scope, Purpose and Aims of the Policy

This document sets out the Wales Deanery policy for Reviews of an Annual Review Competence Progression (ARCP) Outcome 2, and for Appeals following an Outcome 3 or 4. It relates to requests from speciality trainees, including GP and secondary care who have a Wales Deanery Reference Number (DRN). Separate arrangements are in place for Reviews and Appeals for Dental and Medical Foundation trainees. The policy also covers trainees from very small specialities who wish to challenge decisions awarded to them from regional or national ARCP Panels.

The timescales and intentions of the current Gold Guide (January 2018) have been considered when formulating this policy. It is also important to acknowledge that this policy has a specific focus on ARCP Reviews and Appeals, and therefore represents only part of the continuum of trainee progression for doctors, and associated policies and procedures within the Wales Deanery.

*Note 1: Wherever reference is made to the Postgraduate Dean, it refers to the Postgraduate Dean or their nominated representative, who will be responsible for managing the Appeal process on their behalf.*

*Note 2: All correspondence **other than** the Appeal Information Pack will be sent via email.*

*Note 3: ARCP Review proceedings are conducted without the trainee present.*

*Note 4: Information sharing relevant to the Appeal complies with the Wales Deanery Privacy Policy.*

*Note 5: ARCP Reviews and Appeals, for logistical reasons, are conducted in English. If a trainee wishes to give evidence at an Appeal Hearing in Welsh, this can be accommodated, and must be expressed at the time of requesting an Appeal. The Deanery will provide and fund a Welsh language interpreter for the duration of the trainee giving evidence.*

*Note 6: Where a timescale is specified, this is a working day (Mon-Friday) and by 5pm of the deadline day. Receipt of information outside of this timescale will only be considered in exceptional circumstances.*

*Note 7: All forms and guidance can be downloaded from the Wales Deanery website ([www.walesdeanery.org](http://www.walesdeanery.org)), and all correspondence with the Wales Deanery is conducted via a dedicated email address: [walesdeaneryappeals@cardiff.ac.uk](mailto:walesdeaneryappeals@cardiff.ac.uk)*

## **PART ONE: Reviews of an ARCP Outcome 2, and the First Stage of the Appeal Process for Outcomes 3 and 4**

### **2. The Right to a Review of an ARCP Outcome**

Trainees are awarded an ARCP Outcome when their progress is judged by Annual Reviews of Competence Progression (ARCP) Panels. A trainee can only request a Review of an ARCP Outcome 2. If a trainee receives an ARCP Outcome 3 or 4, they can request an Appeal, of which a Review normally forms the first stage of the Appeal process, and is conducted in a similar manner as a Review of an ARCP Outcome 2.

The Trainee Progression Governance (TPG) Team will routinely receive notification of all ARCP Outcomes 2, 3 or 4 from Deanery colleagues in Secondary and General Practice. A record for monitoring purposes, and as an early warning of potential requests for Reviews and Appeals, will be maintained by the TPG Team.

All trainees who receive an Outcome 2, 3 or 4 at the time they receive their letter (by email) from the Wales Deanery, notifying them of their ARCP Outcome, will be given information on how to request a Review or an Appeal. The deadline for requesting a Review or an Appeal will commence from the date on the ARCP Outcome notification letter (sent by email) from the Wales Deanery, and not the date of their E-portfolio entry.

### **3. Definition of a Review**

A Review is a process whereby an individual or a group who originally made a decision returns to it to reconsider whether it was appropriate. The Review must take into account the representations of the trainee asking for the Review and any other relevant information not available to the Review Panel at the time of their ARCP Review.

### **4. Requesting a Review**

Requests for a Review must be received by the Wales Deanery **within ten working days** of the date on the notification letter (sent by email), from the Wales Deanery, notifying them of the ARCP Panel's decision. Trainees must complete an **ARCP Review Request Form**, which is available on the Wales Deanery website. The TPG Team will acknowledge receipt of the completed form within five working days. It is important that the trainee provides sufficient information for the request to be approved and minimise delays. If the information provided by the trainee is insufficient, the TPG team will secure additional information from the trainee within 5 working days. Once the Review request has been accepted, the TPG team will coordinate and attend the ARCP Review meeting in liaison with the ARCP Panel Chair and the specialty manager.

### **5. Regional or National Panels**

Where the trainee wishes a Review of their decision awarded to them by a Regional or National Panel, they should complete a request to the relevant department administering the

ARCP regional or national panel. The Post Graduate Dean responsible for the trainee (in this case the Wales Deanery), will be informed of the request and also on completion of the Review, the subsequent decision and the future wishes of the trainee.

## **6. Date and Membership of the Review Panel**

The Wales Deanery will endeavour to reconvene the original ARCP Panel **within 10 working days** of receipt of the request for a Review. If it is difficult to convene the full original ARCP Panel within the specified timescale, the Review Panel will be considered quorate if the original ARCP Panel Chair, plus a minimum of two other members of the original ARCP Panel, are available. If the original ARCP Panel Chair is not available, the Postgraduate Dean may appoint a replacement Chair for the Review Panel; the trainee will be notified by email of this change. A member of the TPG Team will be present at the Review meeting to support the Panel members, but will not form part of the Review Panel. If a lay member was not part of the original ARCP Panel, a lay member will be invited to attend.

## **7. Additional Evidence**

The trainee will be notified of the Review date. The TPG team will prepare a Review pack for the Panel members. This will include the additional information from the trainee and any other relevant information not previously available to the Panel relevant to the Appeal.

The information within the Review pack and the decision letter will also be available if necessary, for consideration at an Appeal Hearing.

## **8. The Review Meeting**

The preferred approach is for the Chair, with support from the TPG Team, to conduct the ARCP Review in person or by video conferencing. The trainee does not attend the Review. The meeting will be held at a convenient location for the Review participants.

## **9. The Review Panel's Decision**

The Review Panel can maintain all the original Outcomes awarded at the ARCP Panel meeting, or they can change the ARCP Outcomes in the following way:

- an Outcome 2 can be amended to a 1, but cannot be converted to a 3 or 4;
- an Outcome 3 can be changed to an Outcome 2, 1, or 6;
- an Outcome 4 can be changed to an Outcome 1, 2, 3, or 6.

The TPG Team will document the proceedings and the rationale for the Review Panel's decision. It may be decided at any stage that Outcomes 2, 3, or 4 are not justified. If so, the facts of the case will be recorded and retained, but the Outcome will be amended to indicate only the agreed position, following the Review.

## 10. Informing the Trainee of the Review Panel's Decision.

Following completion of the Review, the TPG manager will meet with the Postgraduate Dean and outline the recommendation of the Review Panel. The trainee will be informed of the decision to maintain or change the original outcome. A subsequent detailed letter setting out the rationale and any implications of the Review decision will be sent by to the trainee no later than five working days after the Review. A copy of the letter outlining the decision, any requirements and the rationale will be sent to the trainee, copied to the Chair of the Review, the Head of the Specialty School, and the Specialty Manager within the Wales Deanery.

If the Review is the first stage of an Appeal, (Outcome 3 and Outcome 4) and the trainee does not accept the decision they must, within 2 working days, inform the Wales Deanery stating their reasons and confirm that they wish to proceed to an Appeal Hearing. The TPG team will commence arrangements for an Appeal Hearing as detailed in Part Two of this policy.

## PART TWO: Requests for an Appeal

### 11. General Principles

An ARCP Appeal Hearing represents the final stage of potential amendment of an ARCP Outcome 3 or 4 for a trainee, within the jurisdiction of the Wales Deanery. It is essential that Appeal Hearings:

- are held in a consistent manner for all specialities;
- are robust in considering the evidence and determining the final decision;
- follow policies and procedures set within the Deanery.

### 12. Definition

An Appeal is a procedure whereby the decision of one individual, or a group, is considered by another (different) individual or group. An Appeal can take into account information available at the time that the original decision was made, as well as newly submitted information relevant to the Appeal, and the representations of the trainee. Members of the most recent ARCP and Review Panels must not be involved in the Appeal Hearing.

### 13. Requesting an Appeal of an Outcome 3 and 4

Request for an ARCP Appeal should be received by the TPG Team within the Deanery, using the ***Request for an ARCP Appeal Form***. This is available from the Wales Deanery website. The process to request an Appeal is the same for trainees covered by regional and external ARCP Panels as responsibility transfers to the Wales Post Graduate Dean for arranging an Appeal Hearing.

### 14. Grounds for Appeal

Grounds for Appeal can include one or more of the following:

- relevant evidence not available to the original ARCP Panel;

- concerns about the ARCP process, including a perceived bias or prejudice;
- concerns about misinterpretation of facts by the original ARCP Panel;
- not being made aware of the Panel's likely Outcome and its consequences;
- other itemised concerns that the trainee believes merit consideration as possibly being reasonable grounds for Appeal.

The TP G team must receive the completed Request for an ARCP Appeal Form no later than ten working days from the date of the notification letter (sent by email) from the Wales Deanery of the ARCP Panel's decision. It will be acknowledged within five working days.

### **15. Cross-Border Training**

If a trainee has shared training experiences within NHS Wales and NHS England, and wishes to Appeal, the request should be made to the Postgraduate Dean in the Wales Deanery, who has the overall responsibility for trainee performance.

### **16. Welsh Language**

The trainee can, with prior notification, give evidence in Welsh during the Appeal Hearing. The Deanery will arrange for a suitable interpreter to attend, drawing on a recognised list of providers. This arrangement only exists for the Appeal Hearing and the costs of the interpreter will be met by the Wales Deanery.

### **17. Decision to Proceed**

The Postgraduate Dean may decide that the submitted grounds are insufficient to warrant an Appeal. In such circumstances, the trainee will receive written notification within five working days from the Postgraduate Dean, explaining the reasons as to why the Appeal has been denied.

### **18. Outcome 4.**

If a trainee receives an Outcome 4 this will be recorded onto their E-portfolio system (but will not be signed off by the Post Graduate Dean) and no further action (for example removal from the speciality training programme, or change in employment status) should take place until the timeline for requesting a Review or an Appeal has passed, or the Appeal process has been concluded and the Postgraduate Dean has confirmed with the trainee the decision. The relevant speciality manager will inform the employer that the trainee is involved in an Appeal.

### **19. Proceed to a Review, or Directly to an Appeal Hearing**

The first stage of the Appeal process is generally a Review of the original decision (as set out in Part One of this policy). However, after consideration of information provided by the trainee at the time of their request as well as of their particular circumstances, the Postgraduate Dean may decide to omit the Review stage, and proceed directly to establishing an Appeal Hearing. In either case, the trainee will receive written confirmation that their request has been granted or denied within five working days of receipt of their request in the Wales Deanery. This

confirmation will also state whether there will be a Review, followed by an Appeal Hearing, or only an Appeal Hearing.

## 20. Convening an Appeal Hearing

The Deanery will endeavour to confirm the participants and date for the Appeal Hearing within 4 weeks of agreeing to the Appeal Hearing (following completion of the Review). Trainees will be asked to confirm their availability over this timescale and whether they wish to give evidence in English or in Welsh. The availability of appropriate participants at the Hearing, especially for smaller specialities will affect the setting of the date. The trainee will be made aware of these constraints when they request an Appeal Hearing.

## 21. Appropriate Participants at Appeal Hearings

Members of the ARCP Panel that awarded **the most recent** Outcome 3 or 4 will not, under any circumstances, form part of the Appeal Hearing panel. The Chair will be appointed by the Postgraduate Dean, and will be a senior member of the Wales Deanery. The Chair and the following list of participants will during the Appeal Hearing determine the recommendation for the Post Graduate Dean:

- a College/faculty representative from outside Wales;
- a Consultant/ GP from Wales working in the same specialty as the trainee;
- a Consultant/ GP from Wales working in a different specialty;
- a final year trainee from Wales working in a different specialty;
- a lay representative approved by the Wales Deanery.

The TPG Team will ensure that appropriate eligibility checks are conducted for all participants (excluding the trainee) of an Appeal Hearing, including: a declaration of conflict of interest and a valid certificate of equality and diversity training.

When determining the selection of members of the Appeal Hearing the principles of the Equality Act 2010 will be considered. Those appointed will have received Equality and Diversity training within the last three years. A representative from the employer's Human Resources directorate will be available to advise the Chair on (for example) equal opportunities matters.

In smaller specialties, prior knowledge of the trainee may be unavoidable; in such circumstances, the proposed Chair will consult with the Postgraduate Dean as to whether such prior knowledge should exclude any potential participant at the Hearing. The final decision will rest with the Postgraduate Dean.

The Postgraduate Dean can engage legal representation in connection with any Appeal to seek or provide legal expertise for, or during, the Appeal Hearing.

Trainees have a right to attend the Appeal Hearing and to explain the stated reason(s) for their Appeal. They can also choose to be represented by (for example) a friend, a colleague or a representative of their professional body. However, it is not advisable that the trainee be accompanied by a family member.

The trainee must supply the Deanery with written details of any representative whom they wish to accompany them to the Appeal Hearing at least ten working days before the Appeal Hearing. If the trainee fails to provide such confirmation, the representative will be excluded from the Appeal Hearing.

## **22. Option to proceed if delays are expected**

Delays in setting a date need to be kept to a minimum. The uncertainty for all concerned (including the employer) requires a more flexible approach if delays are likely to occur beyond the 4 week recommended timescale. In these circumstances, the Chair of the Appeal Hearing will write to the trainee setting out the date and confirming who is able to attend. The trainee will be given the option to proceed with the revised arrangement or to wait for the TPG team to secure full attendance.

The trainee should seek advice before confirming to the Wales Deanery how they wish to proceed. Confirmation is needed within 5 working days of receipt of the letter to avoid further delays.

If the trainee agrees, arrangements to hold the Appeal Hearing will proceed, if not the TPG team will continue to secure a full complement at the most timely later date.

## **23. The Appeal Information Pack**

The TPG team will collate all relevant information for the Appeal into an Appeal Information Pack. When requesting an Appeal, the trainee will give consent to the inclusion in the pack of relevant information relating to their educational progress such as educational meeting notes and entries onto their E portfolio. This information will not be limited to the period of the current ARCP Outcome. The information will remain confidential to relevant Wales Deanery staff and for the purposes of the Appeal Hearing.

A copy of all the Appeal Information pack will be sent by registered mail to all participants of the Appeal Hearing within five working days before the Hearing. Confirmation of attendance will be required in writing to the TPG Team to indicate that the Information packs have been received.

## **24. The Wales Deanery Report (WDR)**

The Training Programme Director from the trainee's speciality, or alternative representative, in liaison with the speciality manager will coordinate a Wales Deanery report (WDR). The WDR will be included within the Appeal Information pack which is available to all attending the Appeal Hearing. The WDR will comment on the issues that have been raised by the trainee and any additional information pertinent to the trainee's training history or the Appeal. A template to guide completion will be provided by the TPG team.

## **25. Additional Supporting Evidence**

The trainee may also submit specific additional information in writing, using the Appeal Additional Request Form to accompany previously supplied information. Evidence will only be considered if it is pertinent to the grounds for Appeal. Guidance and a checklist for submitting additional information is available on the Wales Deanery website under '*Appeals Process*'. It is essential that this evidence be received within ten working days of the Appeal Hearing. Evidence that is submitted late will be considered by the Chair, who will determine whether to include it within the overall information considered at the Hearing.

It is the Wales Deanery's preference that trainees attend the Hearing. If the trainee or their representative are subsequently not able to attend the arranged Appeal Hearing, then depending on the circumstances, the Chair is likely to elect to proceed in their absence. The trainee, knowing before the Appeal Hearing that they will be absent, is entitled to make representation in writing, providing such representations are received in the Deanery within the deadlines for submission of evidence.

## **26. Resignation of a Trainee**

A trainee who resigns from their training programme may still request a Review or Appeal provided their request is within the timescale set out in this policy and the grounds relate to their most recent ARCP Outcome. The Postgraduate Dean will judge each case on its merit before proceeding.

## **PART THREE: The ARCP Appeal Hearing**

### **27. Delays or Non-Attendance**

If a previously-agreed participant informs the Wales Deanery that they no longer can attend prior to the day of the Appeal Hearing, the Chair may choose to proceed with the proposed date of the Hearing, if three other participants are still available. When considering the latter issue, a College/faculty representative for the trainee's speciality who works outside Wales and a senior representative from the same specialty working within Wales should be present at the Hearing.

If, on the day of the Hearing, any participant of the Hearing is significantly delayed or unable to attend, the Chair may elect to proceed with the Hearing, subject to agreement from the trainee. This agreement will be recorded.

Where the trainee had previously elected to proceed without a full complement of participants (as outlined in section 24), the Chair will reaffirm with the trainee (and their representative if appropriate) that the trainee has consented to conduct the Appeal Hearing without a full complement of recommended attendees.

### **28. Preparation for the Appeal Hearing**

A template for conducting the Appeal Hearing will guide the proceedings. This template is included within the Information pack to ensure that everyone is aware of how the Appeal

Hearing will be conducted. Prior to the Appeal Hearing, a member of the TPG Team will provide advice and answer any queries that the Chair or the Wales Deanery Representative presenting the WDR may have regarding the format of the Appeal Hearing.

## **29. Principles and Consideration of Evidence at an ARCP Appeal Hearing**

Decisions arising from ARCP Appeal Hearings are grounded on a balanced examination and weighing up of all available and pertinent evidence in terms of: process compliance; basis and logic of arguments; and fairness to trainees and their future patients. ARCP Outcomes 3 and 4 are very different in terms of immediate consequences for the future careers of trainees. These different potential impacts should be at the forefront of the minds of members of ARCP Review Panels, as well as at an ARCP Appeal Hearing.

The presence or absence of demonstrable deficiencies in knowledge, skills and attitudes appropriate to a trainee's current stage of training are key issues to be borne in mind.

Future patient safety is crucially important when considering the appropriateness of either a potential prescription of additional required training, or of a potential release from training. By the time that medical trainees are approaching the end of their respective training programme, they will need to have attained knowledge skills and attitudes commensurate with that stage of their career.

The evidence specific to each trainee's stated reasons for Appeal should be considered fully at the Appeal Hearing, and also to what extent the evidence supports each of their stated contentions. If any *or all* of the stated reasons for Appeal are supported by the available evidence, the importance of these stated reasons then needs to be considered, alongside all of the other relevant factors being examined at the Appeal Hearing.

Using these principles and considering the balance of available evidence, The Chair will establish:

- whether the original ARCP Outcome should stand, or be changed;
- if the original ARCP Outcome is to be changed, exactly *how* the original Outcome should be revised;
- the justification for these decisions.

## **30. The Appeal Hearing**

The Appeal Hearing is not a court of law and the role of the Chair is to coordinate the taking of evidence, the questioning and the private deliberations. At the start of the Appeal Hearing, the Chair will introduce everyone, confirm their role and ascertain from the trainee's representative if present, whether the representative is in an advisory capacity to the trainee or acting on their behalf. If the trainee has instructed a legal representative, the Chair will reaffirm that the lawyer cannot field questions directly or cross examine anyone giving evidence at the Appeal Hearing. The Chair will confirm that:

- all the required people are in attendance, or any variance from this as defined in Section 24
- the taking of evidence will be recorded

- questions to the trainee (their representative if present) and the Wales Deanery representative will be raised only through the Chair
- that a recommendation will be made today for the Post Graduate Dean f

The trainee will then be invited to clarify and explain the case that they have made, based on the written evidence they have submitted and answer any questions.

The Wales Deanery representative will be invited to introduce the WDR describing the trainee's training progression and answer any questions for further clarification.

The Chair of a regional or national ARCP Panel if the trainee is from a relevant speciality, will be responsible for ensuring that there is a representative at the Appeal Hearing who can present the reason for the ARCP Panel and Review Outcome and the training progress of the trainee.

The remainder of the proceedings will be in private. The Trainee (their representative if present) and the Wales Deanery representative will be asked to wait until the Chair confirms that no further questions are required.

If during the Appeal Hearing concerns regarding the trainee's "fitness to practise" arise, the Chair will raise these separately with the Postgraduate Dean after the Appeal Hearing.

### **31. Record of the Appeal Hearing**

Only discussions relating to direct evidence from the trainee (their representative) and the Wales Deanery representative will be recorded. All participants (excluding the trainee) will complete an evidence grid to record key points which will act as a check to ensure that all the grounds for the Appeal have been fully considered. An audio copy of the recording on disc will be made available to the trainee upon written request to the Wales Deanery, with a copy retained by the TPG Team.

### **32. E-Portfolio Access**

A member of the Wales Deanery will be present to access the trainees' E portfolio if the Chair requests to do so at the Appeal Hearing.

### **33. The Appeal Recommendation**

One of the following recommendations can arise from an Appeal Hearing:

- a) Substitution of the previous decision, with an Outcome 1 or an Outcome 6 if the trainee has completed their training;
- b) Substitution of the previous ARCP Outcome, with an Outcome 2 and an outline of the further steps that must be taken;
- c) Substitution of the previous ARCP Outcome with an Outcome 3 and an outline of the further steps that must be taken to develop an action plan, and a revised indicative date for completion of training;

- d) Retain the previous ARCP Panel decision of either an Outcome 3 or an Outcome 4.

Through the process of the Appeal, it may be decided at any stage, that the most recent original ARCP Outcomes either 2, 3, or 4 are not justified. If so, the facts of the case will be recorded and retained, but the Outcome will be amended to indicate only the agreed position following appeal. The decision made at the Appeal Hearing is the final internal avenue of Appeal available to a trainee.

### **34. Notification of the Appeal Decision**

The Chair of the Appeal Hearing and the TPG manager will meet with the Postgraduate Dean and discuss the recommendation(s) following the Appeal Hearing. The Postgraduate Dean will inform the trainee of the decision to change or maintain the outcome. The trainee will also receive a detailed letter setting out the rationale and any implications of the decision within five working days of the Appeal Hearing. All members of the Appeal Hearing, the Head of School for the specialty involved, and the relevant Training Programme Director will receive a copy of this letter.

### **35. Release from Training**

If an Outcome 4 is the final decision following an Appeal Hearing, the trainee's place on the training programme will be relinquished from the date of the letter informing the trainee of their Appeal result from the Postgraduate Dean. In the case of GP Trainees, the Deanery will also notify the Medical Performers List of the trainee's release from training.

### **36. Outcome 4 and changes to Employment Contract**

The relevant speciality manager will notify the trainee's current and (if applicable) next employer of the termination date of training. The trainee will be advised to liaise with their employer for confirmation of the termination date of their employment as per their contract and, also, to seek career advice.

### **37. Outcome 3 and extension to training**

If an Outcome 3 is awarded following an Appeal Hearing and further additional training time required the Chair will recommend the duration of the extension ensuring that the maximum limits for extensions are not exceeded for that speciality.

Maximum extensions permissible throughout the duration of the training programme are:

- Core 6 months with a further 6 months for exceptional circumstances
- Speciality 12 months with a further 12 for exceptional circumstances
- Run through 12 months with a further 12 months for exceptional circumstances
- General Practice 12 months with a further 6 months for exceptional circumstances

The extension will commence on the date of the letter informing the trainee of their Appeal result from the Postgraduate Dean.

Extensions for LTFT trainees will be on a pro-rata basis with the exception of an extension due to examination failure which will be allocated on a fixed term basis. Extensions can span both core and speciality training and different training years so it is important that this is taken into account when considering extensions to ensure that maximum limits are not exceeded.

Following the Appeal Hearing a set of clear and measurable targets for the extension period will be agreed and discussed with the trainee.

### **38. Recording the revised Outcome**

This process applies to all specialties and levels of training, including Foundation. If a trainee's ARCP outcome is overturned at a Review meeting or Appeal Hearing, the following steps should be taken by the relevant teams for Intrepid & E-portfolio

1) Intrepid: Amend the original outcome to 'Not Assessed'. In 'Detailed reasons for recommended outcome' include the original outcome awarded and the original reasons in this section. State 'this outcome is no longer valid as it was changed by a review/appeal panel'.

2) Intrepid: Upload the new outcome onto Intrepid with the date of the review or appeal. The period 'to' and 'from' dates should remain the same as the original panel. In 'Detailed reasons for recommended outcome' state that this decision was made following an appeal request. Include the reasons for the outcome in this section. State 'see [date of original panel] form for reference'.

3) E-portfolio: contact the relevant college and ask them to remove the original outcome. Upload the new outcome with the date of the review or appeal. The period 'to' and 'from' dates should remain the same as the original panel. In 'Detailed reasons for recommended outcome', or equivalent, state that this decision was made following an Appeal request. Include the reasons for the outcome in this section.

### **39. Governance and Audit**

All participants (excluding the trainee) of an Appeal Hearing should receive guidance to deliver their roles and responsibilities effectively, in line with Wales Deanery policies and procedures. The TPG Team will keep under review these arrangements to ensure that policy and procedures have been followed. The policy will be reviewed annually.

A database of key contacts and a governance log will be updated by the Trainee Progression Governance Team. The following information will be retained with the trainee's file in accordance with the Wales Deanery retention schedule:

- a record of the issues relating to the trainee's progress;
- mitigating factors that the trainee has raised relating to the concerns about their performance;
- the reasons for any action taken;
- whether an Appeal has been lodged;

- the Outcome of the Appeal;
- any grievances raised during the review of the Appeal;
- subsequent developments;
- notes of formal meetings and Appeal hearings;
- evidence of equality and diversity training undertaken by Panel members;
- an audit trail of correspondence, which highlights that efforts have been made to adhere to the Gold Guide timings;
- a copy of the recording and/or transcript of the Appeal Hearing;
- a complete copy of the trainee's learning portfolio.

#### **40. Quality and Performance**

Compliance with the policy and opportunities to improve practice will be kept under review.

The Trainee Progression Governance Team will routinely:

- liaise with colleagues whenever an appeal has been conducted to identify lessons learnt, followed by a summary report to the Deanery Management Executive;
- maintain data on performance, and produce reports highlighting opportunities to improve practice and performance against standards or targets set within the policy;
- co-ordinate a review of the policy if requested by the Postgraduate Dean.

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#### ***Further Information***

The Wales Deanery website has a dedicated page on trainee progression issues at [www.walesdeanery.org](http://www.walesdeanery.org).

All necessary forms and further advice and links can be found there.

There is also a dedicated team for Trainee Progression Governance within the Wales Deanery.

#### ***Correspondence***

All correspondence for Reviews and Appeals should be sent to [walesdeaneryappeals@cardiff.ac.uk](mailto:walesdeaneryappeals@cardiff.ac.uk) or a member of the Wales Deanery Trainee Progression Governance Team can be contacted on **02920 687419** or **02920 687433**.

**This policy is also available in Welsh from the Wales Deanery website or contact the TPG team for a copy at the email address below.**

**Email: [walesdeaneryappeals@cardiff.ac.uk](mailto:walesdeaneryappeals@cardiff.ac.uk)**