

**Supplementary Guidelines for the Annual  
Review of Competence Progression  
(ARCP) for Speciality Registrars  
undertaking joint clinical and academic  
training programmes**

September 2007

**The Academy of Medical Sciences**

The Academy of Medical Sciences promotes advances in medical science and campaigns to ensure these are converted into healthcare benefits for society. Our Fellows are the UK's leading medical scientists from hospitals and general practice, academia, industry and the public service.

The Academy seeks to play a pivotal role in determining the future of medical science in the UK, and the benefits that society will enjoy in years to come. We champion the UK's strengths in medical science, promote careers and capacity building, encourage the implementation of new ideas and solutions – often through novel partnerships – and help to remove barriers to progress.

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## Introduction

The arrangements for the introduction of competence based specialty training in the UK are set out in the publication 'A Guide to Postgraduate Specialty Training in the UK' (The 'Gold Guide').<sup>1</sup>

The Gold Guide identifies three key elements which will support trainees through the new postgraduate medical training structure: appraisal, assessment and annual planning. These three individual but integrated components form the basis of the Annual Review of Competence Progression (ARCP).

The process for implementing ARCP for clinical trainees is detailed in the Gold Guide (section 7). A general overview for reviewing the progression of trainees undertaking joint clinical and academic training programmes is also provided.

To aid trainees, supervisors and assessors in reviewing academic training and progress, The Academy of Medical Sciences has worked with the Postgraduate Deans, Modernising Medical Careers (MMC) and the National Coordinating Centre for Research Capacity Development (NCCRCD) to formulate supplementary guidelines.

These guidelines set out a simple, flexible framework for monitoring academic training and progress. Although the guidelines were initially developed for the Academic Clinical Fellows (ACFs) and Clinical Lecturers (CLs) recently introduced by the Academic Careers Sub-committee of Modernising Medical Careers (MMC) and the UK Clinical Research Collaboration (UKCRC), they are applicable to all clinical academics in training.<sup>2</sup> For instance, we commend that this approach be adopted for existing CLs or trainees who are 'Out of Programme' in research or working for a higher degree.

We hope that assessors, supervisors and trainees will find these guidelines useful in preparing for and undertaking progress reviews. Feedback from all three constituencies is welcomed, the guidelines will be evolved and refined over time, to ensure they remain fit for purpose.

## Aims of the guidelines

The guidelines intend to:

1. Provide a simple set of criteria and a process for the assessment of academic progress
2. Characterise generic academic skills and achievements
3. Demonstrate how academic progress is to be recorded on the Report on Academic Progress form.
4. Detail changes and/or additions to the review process that enable the ARCP to fulfil its function for academic trainees.

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<sup>1</sup> A Guide to Postgraduate Training in the UK, 'The Gold Guide' (June 2007)  
[http://www.mmc.nhs.uk/download\\_files/Gold\\_Guide290607.doc](http://www.mmc.nhs.uk/download_files/Gold_Guide290607.doc)

<sup>2</sup> Report of the Academic Careers Sub-Committee of Modernising Medical Careers and the UK Clinical Research Collaboration (2005).  
*Medically – and dentally-qualified academic staff: Recommendations for training the researchers and educators of the future.* [http://www.ukcrc.org/PDF/Medically\\_and\\_Dentally-qualified\\_Academic\\_Staff\\_Report.pdf](http://www.ukcrc.org/PDF/Medically_and_Dentally-qualified_Academic_Staff_Report.pdf)

The forms developed to monitor and document academic progress are annexed to these guidelines. The forms include:

- **A Personal Development Plan (PDP)** designed to assist both trainees and academic educational supervisors in formulating objectives, on which progress will be judged annually (Annex A). This form and accompanying evidence can be used to assist in the completion of the Report on Academic Progress and will provide the trainee with a personal portfolio of evidence of academic skills that may be transferred between centres and appointments.
- **The Report on Academic Progress form** (Annex B).
- **The Annual Review of Competence Progression (ARCP) Outcomes form** (Annex C).

### **Criteria for the Assessment of Academic Progress**

Individuals undertaking academic training must have an academic educational supervisor (referred to as an 'academic supervisor' in this document). The academic supervisor will generally be a separate individual from the clinical educational supervisor and will usually be an established clinical academic. In the event that the academic supervisor is not an established clinical academic there should be formal mentoring or co-supervision by an established clinical academic.

The academic supervisor is responsible for drawing up an Academic Training Programme with the trainee, and a realistic/achievable timetable for delivery.

The academic supervisor is required to identify training goals relating to generic academic skills and specific academic goals for each individual as appropriate. These targets will be summarised within the Personal Development Plan (PDP) for the trainee, which should be agreed within one month of commencing work and annually thereafter (Annex A).

Generic academic competencies can be divided into three domains:

- 1. Generic and Applied Research Skills**
- 2. Research Governance**
- 3. Communication/Education**

Academic progress is to be assessed in relation to each of these domains.

At the beginning of the training period, or on entry to the training grade, the academic supervisor should agree explicitly with the trainee the criteria for assessing their progress. This should be within the framework of a general statement about the standards expected of the trainee if they are to make satisfactory progress throughout the programme.

Academic supervisors will recognize that the nature of the Personal Development Plan, and therefore the number and nature of skills to be gained over a specified 12 month period will vary both in accordance with their base line evaluation of any given candidate, and in response to local resources and priorities.

Clearly, the desired end points (in terms of achievement) for each Fellowship are relatively fixed and will dictate the academic direction each trainee will adopt. By contrast, the acquisition of generic research skills listed in the accompanying documents may occur at any time within the period of the Fellowship.

Examples of the evidence base that may be employed in supporting acquisition of skills have been provided. However, these are not prescriptive. Moreover, trainees are encouraged to employ material assembled in support of their primary research activity as evidence of generic skill.

## **Academic Skills and Outputs**

Academic skills can be broadly divided into three domains and examples of each of these domains are given below. It is the responsibility of the academic supervisor to determine which of these generic academic skills are relevant to an individual trainee during the training period and to develop a training programme accordingly.

### ***1. Generic and applied research skills***

Examples include:

- Identifying a research supervisor
- Identifying a research topic
- Defining a research question
- Observational and experimental research design
- Developing a research proposal
- Writing a grant application
- Critical appraisal of a paper or topic
- Carrying out an experiment
- Data interpretation and statistical analysis
- Writing a research paper or thesis
- Commercialisation of research outputs

### ***2. Research Governance***

Examples include:

- Research ethics and how it is monitored (including COREC processes)
- Information storage and retrieval
- Patent and Intellectual Property issues
- Laboratory safety
- Clinical trials / clinical trials legislation
- Home Office and Animal Licences
- Animal husbandry
- Storage of human tissue
- NHS structure and regulations
- Fraud/Scientific misconduct
- Knowledge of issues around misuse of research
- Research and Integrity (awareness of complex dilemmas in scientific research).

### ***3. Communication/Education***

Examples include:

- Writing skills
- Verbal presentation skills
- Electronic media / audio-visual presentation skills
- Poster presentations
- Teaching skills/experience
- Supervision skills/experience
- Science and the Media
- Effective networking and collaboration
- Collegiality/ability to work co-operatively and creatively with colleagues
- Assertiveness skills

In addition to acquiring academic skills, it is desirable that the trainee should generate research and teaching outputs. It will often be appropriate for the academic supervisor and trainee to consider in advance the outputs that can be achieved over a specific

period. Significant outputs should be recorded on the Report of Academic Progress form and supporting evidence should be provided.

***Examples of research and teaching outputs***

- Presentation at national / international research meetings
- Submitting an application for a grant or fellowship
- Publishing a peer-reviewed article
- Delivering an educational lecture or seminar

**Recording Academic Progress – the Academic Assessment**

The academic supervisor should meet with the trainee at regular intervals to review progress and agree objectives for the coming period. Interim meetings should also take place half way through the year and documentation of these meetings should be submitted to the assessment panel as supporting information, having been agreed by supervisor and trainee

An annual assessment of academic progress must be undertaken and ideally should take place at least one month before the joint academic/clinical annual review of competence progression (ARCP) panel convenes. Those present at this assessment should include the trainee and academic supervisor together with the Director of the academic programme and other members of the academic unit as appropriate. The trainee should be invited to (i) provide a written assessment of their own progress and achievements with reference to their personal development plan, (ii) describe whether their progress met their expectations, (iii) provide details of anything that may have adversely affected their progress, and (iv) discuss their personal objectives for the coming review period.

The academic supervisor is required to complete the Report on Academic Progress form (Appendix B), which needs to be agreed and signed by the trainee for submission to the joint academic/clinical ARCP panel. The form must include details of academic placements, academic training modules and other relevant academic experience, together with an assessment of the academic competences achieved.

Research proposals, grant applications, and research reports and publications, may be listed as evidence of satisfactory academic progress and collated for submission to the joint ARCP panel along with any log books, case books, reports from training programme directors (TPD) and other colleagues, results of formal tests/examinations and certificates of courses attended.

## **The Annual Review of Competence Progression panel for joint academic/clinical trainees.**

- **Preparation**

Two academic representatives should be included within the membership of the panel which conducts the annual review for all trainees completing the joint clinical and academic ARCP, one of these representatives should be a senior academic. Neither of the academic representatives should be involved in the trainee's academic programme, but one should come from the same specialty, whilst the other should come from outside the specialty.

- **The Review**

The trainee should not attend the joint ARCP panel unless there are concerns about either or both clinical and academic progress.<sup>3</sup> Plans for academic trainees to meet with the panel should only be made if the Training Programme Director or the academic supervisor indicates that there may be an unsatisfactory outcome (Outcomes 2, 3 or 4) for either clinical or academic components (or both).

- **The Assessment of the Report on Academic Progress Form**

The academic supervisor should be required to submit the completed Report on Academic Progress form, along with the trainee's supporting documentation from the academic assessment, for review by the panel.

The panel should be asked to check that the Report on Academic Progress form has been adequately completed and the academic representatives should be asked to consider the appropriateness of the Academic Training Programme that has been designed by the Academic Supervisor. The panel will then discuss what academic skills are yet to be acquired and what further skills must be obtained or improved.

- **Annual Review of Competence Progression (ARCP) Outcomes**

The panel must then consider the academic and clinical progress that has been achieved, and make a decision as to the appropriate outcome to be awarded (Outcome 1, 2, 3, 4 or 5). The outcome of this joint process should be recorded using the Annual Review of Competence Progression (ARCP) Outcomes form (Annex C). The Report on Academic Progress form should be attached to the completed ARCP Outcomes form.

If the panel recommends focussed training on the acquisition of specific competencies (Outcome 2) then the timescale for this should be agreed with the trainee. If additional remedial training is required (Outcome 3) then the panel should indicate the intended outcome and proposed timescale. The panel is assessing both clinical and academic outcomes, so that if the panel assesses a trainee for academic progress and recommends outcome 2 (focussed training) or 3 (remedial training), but their clinical training was satisfactory (or vice versa), then the outcome of the joint academic / clinical training would have to be a 2 or 3.

The outcome recommended by the panel will be sent to the Postgraduate Dean, trainee and their academic supervisor.

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<sup>3</sup> Since the assessment process jointly assesses academic and clinical progress, the trainee must also submit evidence of clinical achievement as per the process defined in the 'Gold Guide'. The clinical educational supervisor's report must indicate the 'pro-rata' rate of acquisition of clinical competences has been satisfactory, given the time commitment available for clinical training.

## **Additional notes for assessing the academic progress of Academic Clinical Fellows (ACFs)**

In assisting trainees to gain the appropriate research skills, it may be useful for academic supervisors to recall that:

- The ACF Programmes are primarily designed for new entrants to specialist training who have Foundation competences (including GP and Dental) and can demonstrate that they have outstanding potential for development as clinical academics in research and/or education.
- The proportion of time to be dedicated to research amounts to 25% over the 3 year period.
- Training needs to be flexible and trainee-centred, with mentoring to ensure the attainment of both academic and clinical goals.
- Each trainee who is selected for the ACF Programme will be awarded an NTN(A) at the start of the Programme.
- The academic component of the training period must include preparation of an application for a competitive peer-reviewed research training fellowship or educational training programme leading to the award of a higher degree, the completion of which is considered as the end-point of the ACF period.
- In the event that an individual is unsuccessful in obtaining a research training fellowship/educational training programme within three years, he or she will join a standard clinical training programme with consequent contractual obligations.
- The academic supervisor must therefore develop an academic training programme that focuses on the key skills that will enable the ACF to attain an Academic Training Fellowship while taking into account the limited time that the trainee has for the academic component of their post.
- It is essential that ACFs have the opportunity to develop skills that enable them, in Year 1, to define a research question, and in Year 2, to develop a research proposal. The Academic Annual Review of Competence Progress (ARCP) should record the ACF's progress specifically in relation to these training goals.
- An application to, or the attainment of, an Academic Training Fellowship should also be recorded on the Annual Review of Competence Progression (ARCP) Outcomes form (Annex C), as evidence of progress.

## **Additional notes for assessing the academic progress of Clinical Lecturers (CLs) and Clinician Scientist Fellows (CSFs).**

- The Clinical Lectureship Programmes aim to offer academic and clinical training to those who have completed a higher degree and have documented satisfactory progress in specialist clinical training.
- The proportion of time dedicated to research is 50% over a 4 year period.
- As with ACFs, training must be flexible and trainee-centred, with mentoring to ensure the attainment of both academic and clinical goals.
- During the four-year Clinical Lectureship phase, individuals will be working towards being Principal Investigators on grant applications and therefore, the academic supervisor may adopt a less directive role.
- An academic assessment, with completion of the Report on Academic Progress form for subsequent submission to the joint academic/clinical ARCP panel, must take place with an appropriately constituted panel for Clinical Lecturers even if they are working as independent scientists. This also applies to Clinician Scientists Fellowships.
- The academic component of the Clinical Lecturer training period will include postdoctoral research/educationalist career development with opportunities for some to develop an application for postdoctoral training support (e.g. Clinician Scientist Award or project grant).
- Academics with higher degrees will generally be expected to demonstrate their ability to supervise, to deliver teaching following sound educational principles, and develop a publication record during their appointment.
- The end of the Clinical Lectureship phase is marked by completion of clinical training and the attainment of a Certificate of Completion of Training (CCT) and also by a period of high quality, further postdoctoral training. In the event that an individual makes less than satisfactory progress in academic development, he/she will return to a standard clinical training programme with the consequent contractual obligations.
- In situations where the University already has an annual appraisal and probation record, this should be used as evidence and not duplicated for the Annual Review of Competence Progression (ARCP) Outcomes.



**Personal Development Plan**

**Annex A**

**1. Core information**

Table A

Name of trainee: .....		
Name of Academic Educational Supervisor: .....		
Address of Host Department: .....		
Clinical Training Specialty:	Base specialty: .....	
	Sub specialty: .....	
Address of Host Deanery: .....		
Status of trainee ( <i>tick</i> ):	Academic Clinical Fellowship (ACF)	<input type="checkbox"/>
	Clinical Lectureships (CL)	<input type="checkbox"/>
	Other ( <i>please state</i> )	<input type="checkbox"/>

**2. Baseline Assessment of generic academic skills (Table B, columns 1 and 2)**

Date of commencement of training year: .....

Year of programme (*ACF, 1-3; CL 1-4*): .....

Date of Baseline assessment: .....

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Table B

	Academic skill to be achieved during period of contract (12 months)	Means by which academic skill will be achieved (e.g. by taught course, through satisfactory completion of specific task etc). Include specific agencies, venues and dates where applicable.	Nature of material appended indicating satisfactory acquisition of skill, with signature of the Academic Educational Supervisor	Reason as to why research skill was not achieved. Proposed action to ensure skill acquisition
Skill 1				
Skill 2				
Skill 3				
Skill 4				

**3. Annual assessment of generic academic achievements (Table B, columns 3 and 4)**

Date of commencement of training year: \_\_\_\_\_

Year of programme (ACF, 1-3; CL 1-4): \_\_\_\_\_

Date of assessment: \_\_\_\_\_

**4. Annual assessment: summary of generic academic achievements**

<b>Academic Educational Supervisor</b> <i>(signature)</i>	Date
<b>Academic Trainee</b> <i>(signature)</i>	Date

\_\_\_\_\_

**Report on Academic Progress**

**Annex B**

(This form supports the annual review outcome and should form part of the trainee's permanent record)

Deanery: \_\_\_\_\_ Training Programme Reference  
No. \_\_\_\_\_

Name: \_\_\_\_\_ Specialty \_\_\_\_\_ NTN / NTN  
(A): \_\_\_\_\_

Members of the Panel: 1 \_\_\_\_\_ 2 \_\_\_\_\_  
3 \_\_\_\_\_ 4 \_\_\_\_\_  
5 \_\_\_\_\_ 6 \_\_\_\_\_

Date of Report \_\_\_\_\_  
Period covered: **From** \_\_\_\_\_ **to** \_\_\_\_\_  
Year / phase of training programme assessed (*circle*): 1, 2, 3, 4 or other (*state*) \_\_\_\_\_  
Academic competences gained during period of review (*full details of programme should be attached*):

Experience gained during the period:

Placement / Post/ Experience	Dates: from	to:	In / out of Prog	PT / FTPT as %FT
1.				
2.				
3.				
4.				
5.				

**Significant academic outputs during the period:**

- 1.
- 2.
- 3.

**Documentation taken into account and known to the trainee:**

- 1.
- 2.
- 3.
- 4.

Recommendations:

Trainee (*signature*) \_\_\_\_\_ Date of next review (*unless not relevant*) \_\_\_\_\_

\_\_\_\_\_

## Annual Review of Competence Progression (ARCP) Outcomes Annex C

Deanery: \_\_\_\_\_ PMETB Training Programme Approval  
No. \_\_\_\_\_

Trainee: \_\_\_\_\_ Specialty \_\_\_\_\_  
NTN \_\_\_\_\_

Members of the Panel: 1 \_\_\_\_\_ 2 \_\_\_\_\_  
3 \_\_\_\_\_ 4 \_\_\_\_\_  
5 \_\_\_\_\_ 6 \_\_\_\_\_

<b>Date of Assessment</b> _____				
<b>Period covered:</b> From _____ to _____				
<b>Year / phase of training programme assessed (circle):</b> 1, 2, 3, 4 or other ( <i>state</i> ) _____				
Approved clinical training gained during the period:				
Placement / Post/ Experience	Dates: from	to:	In / out of Programme	FT / PT as % FT
1.				
2.				
3.				
Documentation taken into account and known to the trainee:				
1. Trainer's structured report	<input type="checkbox"/>	2.	<input type="checkbox"/>	
	<input type="checkbox"/>		<input type="checkbox"/>	
3.		4.		
<u>Recommended Outcomes from Review Panel</u>				
<i>Satisfactory Progress</i>				
1. Achieving progress and competences at the expected rate (clinical)				
Achieving progress and competences at the expected rate (academic)				
<i>Unsatisfactory or insufficient evidence (trainee must meet with Panel)</i>				
2. Development of specific competences required – additional training time not required				
3. Inadequate progress by the trainee – additional training time required				
4. Released from training programme with or without specified competences				
Released from academic programme				
5. Incomplete evidence presented – additional training time may be required				
<i>Recommendation for completion of training</i>				
6. Gained all required competences (clinical)				
Gained all required competences (academic)				
<i>Outcomes for trainees out-of-programme or not in run-through training</i>				
7. Out-of-programme experience for approved clinical experience, research or career break				
8. Fixed-term specialty outcome – competences achieved identified above				
9. Top-up training (outcome should be indicated in one of the areas above)				

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Supplementary Documentation for trainees with Unsatisfactory Outcome  
(trainee must be in attendance)

Recommended outcome	Dates: from	to:	In / out of Programme	FT / PT as % FT
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Detailed reasons for recommended outcome

- 1.
- 2.
- 3.

Discussion with trainee

Mitigating circumstances

Competences which need to be developed

Recommended actions

Recommended additional training time (if required)

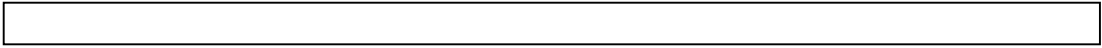
Date for next review

Signed by: Chair of Panel

Trainee

Date:

These documents should be forwarded in triplicate to the trainee's Training Programme Director (who must ensure that the trainee receives a copy through the further appraisal and planning process). Copies must also be sent to the Medical Director where the trainee works, as well as to the College or Faculty if the trainee is on a CCT programme.





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