

## Annual Quality Assurance Summary

This summary provides an overview of how an organisation is meeting our standards for medical education and training as detailed in [Promoting excellence: standards for medical education and training](#). It provides an overview of the QA activities undertaken over the course of a year and an overview of findings including any areas of notable practice or requirements and recommendations we have set. The summary is published.

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| <b>Organisation</b>  | Health Education North West                  |
| <b>Review period</b> | March 2022 – February 2023 (Year 3 of cycle) |

### Overview of findings

| <b>Overall findings statement</b>  |
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| <p>From the SAQ submission, and the clarification of some points during the SAQ meeting, we consider that Health Education North West is meeting the standards set out in the GMC's <i>Promoting excellence: standards for medical education and training</i>.</p> <p>The QA activities that we have carried out in this annual cycle have provided good opportunities to observe how Health Education North West meets our standards in <i>Theme 3: Supporting Learners</i> and <i>Theme 4: Supporting Educators</i>, as well as <i>Theme 1: Learning environment and culture</i>, and <i>Theme 2: Educational governance and leadership</i>.</p> <p>Of note we have identified the Compassionate Leadership training course and Trainees Requiring Extra Support (TRES) Masterclass as areas working well.</p> |

## Quality Activity undertaken

|   | Activity                          | Date              | Summary   |
|---|-----------------------------------|-------------------|---|
| 1 | SAQ submission                    | 24 March 2022     | <p>The SAQ was submitted on time and covered all five themes of <i>Promoting excellence</i>. The submission included a list of planned Health Education North West (HEE NW) activities that we could observe for quality assurance purposes.</p> <p>We are satisfied that where further information and/or clarification is still required that this can be provided in the next SAQ submission.</p>  |
| 2 | SAQ feedback meeting              | 20 May 2022       | <p>This meeting was held to provide feedback to HEE NW on its 2021/22 SAQ submission, and to seek clarification and additional information on the submission where required.</p> <p>We also discussed potential QA activities we could undertake in this annual cycle. These activities were not selected because of risks identified from the SAQ submission.</p> <p>We did not identify areas of risk during the SAQ meeting.</p> <p>Following this meeting, HEE NW was provided with written feedback on the SAQ submission.</p>   |
| 3 | Annual quality engagement meeting | 28 September 2022 | <p>The annual quality engagement meeting was attended by members of the GMC's education QA team and the HEE NW Quality team.</p> <p>This meeting provided an opportunity to share information and seek updates on areas of known and potential concern, following our scrutiny of relevant data and trainee comments from the GMC's 2022 National Training Survey (NTS).</p> <p>During the meeting, the 2021 NTS priorities list was revisited allowing the opportunity for us to learn of progress since the last engagement meeting. We also discussed the 2022 priority list, NTS comments, the management of enhanced monitoring concerns, and QRS (Quality Reporting System) items.</p> <p>HEE NW provided insight into the 2022 priority list items, and including a summary of next steps for each item and where possible intelligence from the trust, and their plan to address the emerging concerns.</p> |

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|   |   |              | <p>The next steps were agreed upon and a summary of the meeting and subsequent actions were circulated for agreement in the weeks following.</p> <p>We are content that HEE NW are taking an evidence-based approach to identifying areas of risk within the training environments in the region, and that their approach to monitoring and supporting local education providers (LEPs) in addressing these areas of risk is appropriate.</p>   |
| 4 | Quality Activity – observation of a session of Compassionate Leadership training course | 12 July 2022 | <p>This activity was listed on the SAQ by HEE NW against <i>Theme 1: Learning environment and culture</i>, as an example of how they promote the health and wellbeing of learners.</p> <p>This activity was selected to explore how HEE NW are meeting our standards in <i>Theme 3: Supporting learners</i>, and for the purpose of this activity we focused primarily on this theme, as well as on <i>Theme 1: Learning environment and culture</i>.</p> <p>HEE NW provided us with a pre-briefing ahead of the session which gave us further context around the Compassionate Leadership (CL) course. We learned that the development of the course was at the request of HEE NW’s Deputy Dean of Medical Foundation Training, and the original iteration of the course was developed in collaboration with Lancaster University. We learned that the course was developed by a Director of Medical Education (DME) within HEE NW who is also the Foundation Programme Director at Lancashire Teaching Hospitals NHS FT, along with an external consultant, and these two together deliver the course to learners. The course is based on Professor Michael West’s work on Compassionate Leadership, and draws on Dr Kristin Neff’s work on self-compassion. The course aims to support learners’ wellbeing, providing them with an opportunity to reflect on their practice and working relationships through a lens of compassion, and empowering them with tools to support their own wellbeing while also caring for and supporting patients and colleagues. Ultimately the course aims to contribute to a cultural shift within health and social care towards greater compassion and empathy.</p> <p>We also learned that the programme is subject to ongoing evaluation and that this work sits with HEE NW. We understand that the course content and delivery are continuously being amended and improved in response to</p> |

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|  |  |  | <p>learner feedback. Feedback is gathered throughout the course via ‘Lighthouse moments’ where participants are asked to share key reflections on what stood out for them from sessions, and how the content may be impacting their professional practice and wellbeing. Learners are also asked to provide their scores on Neff’s self-compassion scale at various points, to help the trainers assess any shift in the learners’ wellbeing during the course. Learners are also asked to complete a survey at the end of the course, which is followed up with semi-structured interviews 2-3 months later to see how the skills of compassionate leadership may have impacted learners’ practice, and supported their wellbeing.</p> <p>The course was developed for Foundation doctors, but we learned that it has also been delivered to consultant Educational Supervisors and to a team of administrators, and the course leaders reported that the content is very robust, flexible, and easily replicated into different spheres of health and social care. HEE NW hopes to make the course a requirement for Foundation doctors at Lancashire Teaching Hospitals NHS FT, and plans are in motion to roll out the training more widely across the North West, as detailed below.</p> <p>The session we observed was the last session of a six-week course, delivered virtually via Zoom to a group of 32 Foundation year two learners. There was also a DME from a local Trust observing the session with a view to learning to teach Compassionate Leadership at their Trust.</p> <p>Following our observation, HEE NW also provided us with further details about how the training is being rolled out more widely across the region via in-depth ‘train the trainers’ courses for the next three early adopter teams across LEP’s in the region to equip them to start delivering CL training to their Foundation doctors. Following this HEE NW plans to provide CL instructors training for other Trusts across the North West.</p> <p>We have identified the Compassionate Leadership course as an area working well, based on its value as a means of promoting the wellbeing of learners and fostering a more compassionate culture within health care, the ongoing continuous improvement of the course based on learner</p> |
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|   |   |                 | feedback, and its being rolled out more widely across the region.   |
| 5 | Quality Activity – observation of Trainees Requiring Extra Support (TRES) Masterclass | 19 October 2022 | <p>HEE NW listed the Trainees Requiring Extra Support (TRES) Masterclass under <i>Theme 4: Supporting educators</i>, as an example of how they provide support to educators in dealing with concerns. For the purposes of our observation, we focused primarily on this theme, as well as <i>Theme 3: Supporting learners</i>.</p> <p>We understood that HEE NW have specifically created the TRES Masterclass for educators, and that it is part of a suite of resources which are designed to help educators support their trainees. The masterclass was delivered face-to-face and was well-attended, with 91 attendees from across a range of roles, specialties and levels of experience across the North West, from trainee to DME. This event was delivered by the Deputy Postgraduate Dean,</p> <p>Prior to the event an agenda was circulated, as well as details of where attendees could submit any questions they would like to be answered during the Q&amp;A session in the afternoon.</p> <p>There were 10 separate sessions with each delivering the key message of the importance of including the individual trainee in any decision about the support needed. All sessions were supportive towards educators, highlighting key information, resources, processes and sources of support available to them in working with TRES (R4.4).</p> <p>The early sessions set the scene for what followed, highlighting the interaction between trainees’ personal and working lives, and the importance of taking a broad approach to training support.</p> <p>It was useful to have a talk delivered by a GMC Employer Liaison Adviser, in order to help demystify the regulator’s involvement in relation to TRES. Attendees had many follow up questions arising out of this session and seemed to find it a valuable source of clarification.</p> <p>It was also useful to have HR representatives from a Lead Employer within the region, in order to clarify under what circumstances, they would need to be involved in relation to the management of TRES.</p> <p>A significant highlight of the event was the talk by the trainee doctor in which they shared their personal experience of being off on long term sick leave with a mental health</p> |

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|   |   |                  | <p>condition; this was extremely effective in informing discussions about the importance of person-centredness in relation to TRES, and the steps that can be taken to reduce the pressure for the trainee going through this process, such as improved communication, signposting to relevant resources and sources of support, and reasonable adjustments to consider (R3.4). The trainee also shared the toolkit they put together personally so that it can be made available to trainers and trainees across the North West and the rest of England.</p> <p>The interactive workshop sessions were also extremely valuable, with the role-play scenarios being well designed and effectively delivered to highlight some of the challenges trainers may encounter when supporting a trainee with an issue.</p> <p>The presentations and the workshops explored issues around learners with both short- and longer-term disabilities, and the need for a focus on supporting staff to return to work with the appropriate support when they are able to do so (R3.4). The workshops as well as the presentations showed that HEE NW were committed to professional development for staff and also focused on wellbeing of both the supervisor and trainee (R4.5).</p> <p>From our observation, we have identified the TRES masterclass as an area working well. We consider it an extremely valuable source of learning for educators in relation to supporting trainees requiring extra support. It demonstrates how HEE NW supports educators in dealing with concerns as part of their educational responsibilities (R4.4), and supports them to liaise with each other to ensure a consistent approach (R4.5). It also provides evidence of how learners are supported by the provision of reasonable adjustments for disabled learners (R3.4), and how the needs of disabled learners are considered (R3.5).</p> |
| 6 | Quality Activity – document review of Annual Specialty Review (ASR) process | 24 November 2022 | HEE NW listed the Annual Specialty Report (ASR) process under Theme 5: Developing and Implementing Curricula and Assessments, as an example of how they seek assurance that the training posts in the North West deliver the curriculum and assessment requirements set out in the approved curricula, and provide a balance between service provision and educational and training opportunities.  |

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|  |  |  | <p>From the information provided by HEE NW, we understand the purpose of the ASR process is to gather information regarding all doctors who are in specialist training posts, holding Training Programme Directors (TPDs) and Heads of Schools (HoS) to account in their roles, and providing a consistent, documented means of assessment and appraisal of performance for each programme. The ASR process aims to highlight areas of good practice, and explore where additional support may be needed.</p> <p>The ASR document is part of a centrally coordinated process by HEE NW's Quality team, who prepare the template, initiate the process with the various schools, and monitor the submission of completed templates. The ASR template is mapped to the GMC themes and standards set out in Promoting Excellence.</p> <p>The ASR provides a source of information that is used in conjunction with other sources of intelligence to uncover or triangulate potential issues and identify areas of good practice, and this feeds into the Quality team's interventions. We learned that all ASRs are stored on SharePoint so they can be referred to when needed, such as to look back and see if an issue is recurring or has deteriorated, with this information being used alongside the year-on-year NTS data. The ADs and HoS also have regular meetings with TPDs and Trusts, where anything that has been highlighted is followed up.</p> <p>HEE NW provided us with the relevant documentation pertaining to three ASRs, each focused on a different specialist training programme – Dermatology, Geriatrics, and ACCS medicine. ACCS is a model one (single specialty programme/school) example. Dermatology and Geriatrics are examples of model two schools, as these are part of the much larger Medicine school with multiple sub-specialties. The template outlines how respondents should use the ASR, noting that the template should be used to develop a robust School Development Plan, which should be regularly reviewed and used by the training programme throughout the year.</p> <p>The ASR process is based around the annual GMC National Training Survey (NTS) results, and takes the release of this data as its starting point to drive improvement. The key elements include the ASR template, and the Appendix, which provides relevant NTS data to consider: individual school-</p> |
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|  |  |  | <p>/specialty-specific NTS reports, and ranking of 'overall satisfaction' compared to other deaneries based on the survey. This also includes trend data for 'overall satisfaction' within their specialty across the North West, showing positive (green) and negative (red) outliers. HEE NW triangulates the information gathered from ASRs by looking for trends or common themes in information gathered from various sources, such as regular AD patch catch-up meetings with Trusts, information from HoS, news reports, and whistleblowing, in addition to the NTS results.</p> <p>We were pleased to note that intelligence gained from the ASR process is carried forward and reviewed to consider the progression of any issues, and that this feeds into the Quality team's interventions such as visits. It is also positive that HEE NW triangulates the information gathered from ASRs by looking for trends or common themes in information from a range of other sources, enabling them to identify any patterns or inconsistencies in the information received, and serving as a starting point for looking into any issues newly identified with specialty programmes. This will be useful in enabling benchmarking of a training post against their ASR submission as a point in time, helping to see when visiting how the quality of the training post may be improving or deteriorating.</p> <p>HEE NW's approach to encouraging collaboration amongst TPDs and HoS in completing joint ASRs where relevant is flexible and responsive to the needs of these individual stakeholders. It is also positive that HEE NW supports cross-learning amongst TPDs and HoS via the appraisal process.</p> <p>In our feedback we suggested it may be worth HEE NW considering adding in a section on ARCP outcomes for specialities in addition to the data already considered, as this is often a good marker of curriculum adherence.</p> <p>Overall, we consider this to be a robust process for gathering intelligence about specialty training programmes in the region, for identifying and following up on any areas for development, and for sharing learning and good practice amongst HoS and TPDs.</p> |
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| 7 | Equality, Diversity and Inclusion action plan (including differential attainment/awarding ) | January – June 2022 | <p>This year we asked all postgraduate training organisations to submit an action plan detailing how they are working to address the attainment/awarding gap in their region.</p> <p>HEE NW submitted their action plan on time, in January 2022. In June 2022 we held a follow-up conversation to discuss this plan with the leads at HEENW. The purpose of this discussion was to explore the interventions in the action plan, to understand why they were selected and how the impact will be measured and evaluated. We provided access to refreshed differential attainment (DA) data to help inform these plans.</p> <p>We were really pleased to note the extensive work that HEE NW has already undertaken in order to address attainment gaps in the region, as well as the contributions HEE NW have made in this sphere on a national level.</p> <p>As an example we were encouraged to note that HEE NW have identified CREST IMT trainees as a particularly vulnerable group in terms of attainment and awarding gaps, and that they have therefore developed a bespoke package of support for this group of trainees.</p> <p>Following the meeting, HEE NW was provided with written feedback on their action plan, which includes the areas where we would like to receive an update in the next submission.</p> <p>We will follow-up with HEE NW on progress against the action plan through our proactive quality assurance process, and we will require an updated action plan alongside the next SAQ submission in March 2023. This updated action plan will be reviewed alongside the SAQ, and we will discuss potential quality activities from both documents.</p> |
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### Quality Reporting System (QRS)

We use the QRS to monitor concerns raised by organisation when they identify that our standards are not being met in a training environment. Concerns are managed locally by the responsible organisation until resolution.

| Activity                       | Date    | Summary   |
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| Quality Reporting System (QRS) | Ongoing | HEE NW have 18 open items on the QRS.<br><br>HEE NW is engaged with the QRS system and continue to provide frequent and detailed updates. We are assured that our thresholds for reporting via the QRS are embedded and adhered to. |

### Enhanced Monitoring

Enhanced monitoring is used to promote and encourage local management of concerns which adversely affect patient or trainee safety, doctors' progress in training, or the quality of the training environment. During enhanced monitoring, the GMC provides an increased level of monitoring and participate in activities organised by the deanery/HEE local office. We tailor our support to each enhanced monitoring case to help address the concern(s) and develop a sustainable solution. We have summarised the enhanced monitoring activity this organisation has undertaken over the last 12 months below. For further information on enhanced monitoring please [visit our website](#).

| Activity                       | Date    | Summary  |
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| Enhanced monitoring activities | Ongoing | HEE NW currently have four open enhanced monitoring cases within the current reporting year, and one case has been de-escalated to QRS monitoring<br><br>HEE NW follows the GMC's enhanced monitoring process appropriately, updating the GMC on live cases. They also update the GMC on potential cases and include the GMC in decisions regarding escalation to and de-escalation from enhanced monitoring.<br><br>The GMC has joined HEE NW on all quality interventions (visits and Senior Leaders Meetings), which are subject to the GMC's enhanced monitoring process. These interventions allow us to observe how HEE NW manage concerns about patient/trainee safety and medical education and training at local education providers in the North West region.<br><br>We continue to commend the excellent preparation which is completed in advance of meetings. All reviews have ensured clear identification of issues enabling focus and the establishment of progress against requirements. The pre meeting between HEE NW and |

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|  |  | <p>GMC is a particularly useful tool to ensure that all attendees views and questions are fully encompassed.</p> <p>The team at HEE NW are dedicated to ensuring that there is good representation from all training grades and consultants at reviews which in turn ensures the views of trainees are fully reflected.</p> <p>HEE NW have taken new initiatives and bespoke approaches in this cycle to ensure effective progression of concerns in enhanced monitoring. Most notable; A holistic review of a service delivered across multiple sites within a single Trust and the introduction of quarterly review meetings to support and embed changes. These approaches are proving to be instrumental in working with education providers to deliver focused action plans and sustainable solutions.</p> <p>Further information on enhanced monitoring can be found on the GMC website.</p> |
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### Areas that are working well

We note areas where we have found that not only our standards are met, but they are well embedded in the organisation.

| Number | Theme   | Areas working well   |
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| 1      | <p>Theme 3: Supporting learners (R3.2);</p> <p>Theme 1: Learning environment and culture (R1.4, R1.5, R1.17, R1.22)</p> | <p><b>Compassionate Leadership Training</b></p> <p>This item was identified as part of the proactive quality assurance process, as HEE NW highlighted it in their SAQ as evidence of how they promote the health and wellbeing of learners.</p> <p>We observed a virtual session of the training as a quality activity, and felt this represented a useful resource for promoting the wellbeing of learners by empowering them with tools to attend to their own wellbeing, and that of the people they interact with in day-to-day practice (R3.2). We consider the training helps learners develop their skills in working as part of a multidisciplinary team (R1.17), contributes to fostering an inclusive and compassionate culture within health and social care (R1.4), and supports learners and educators to drive improvement in education and training (R1.22). The course is also subject to continuous improvement based on learner feedback (R1.5).</p> |

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|   |  | From our observation we have identified this as an area working well.  |
| 2 | Theme 4:<br>Supporting educators (R4.4, R4.5);<br><br>Theme 3:<br>Supporting learners (R3.4, R3.5) | <p><b>TRES (Trainees Requiring Extra Support) Masterclass</b></p> <p>This item was identified as part of the proactive quality assurance process, as HEE NW highlighted it in their SAQ as evidence of how they support educators in dealing with concerns.</p> <p>We observed a session of this in-person all-day training event as a quality activity, and felt this to be an extremely valuable source of learning for educators in relation to supporting trainees requiring extra support. We consider this training demonstrates how HEE NW supports educators in dealing with concerns (R4.4), and supports them to liaise with each other to ensure a consistent approach (R4.5). It also provides evidence of how learners are supported by the provision of reasonable adjustments for disabled learners (R3.4) and how the needs of disabled learners are considered (R3.5).</p> <p>From our observation we have identified this as an area working well.</p> |

## Recommendations

We set recommendations where we have found areas for improvement related to our standards. They highlight areas an organisation should address to improve, in line with best practice.

| No. | Theme  | Recommendation   | Date set   |
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| 1   | Theme 2:<br>Educational governance and leadership (R2.1, R2.6) | HEE NW should develop and embed more consistent processes for the management of lower-level concerns that do not yet warrant quality interventions (i.e. concerns that fall under ISF category 1 and the lower end of 2). This should include the development of clear guidance for those responsible for monitoring these concerns. | July 2021 following a Quality Activity to review HEE NW risk framework |

## Next steps

The GMC's responses to the information submitted in the SAQ gives feedback on each theme to help HEE NW complete the updates to the questionnaire in the next annual cycle.

These include:

### **Theme one – Learning environment and culture:**

LEC1-02: Learning of any work HEE NW has completed to ensure that no trainees work above their level of competence at an education provider.

LEC1-05: An update on the rollout of the Human Factors course.

LEC1-06: Any feedback or reflections on the rollout, evaluation or next stages of development.

LEC1-08: A progress update on the NTS free comment dashboard and any reflections from the addition of this years NTS data

### **Theme two – Educational governance and leadership:**

EGL2-02: An update on the development of the Regional Medical Liaison Committee. It would also be helpful to get an update on the Good Practice App.

EGL2-04: the outcome of the wholesale evaluation of lay representatives' involvement in HEE NW's quality processes.

EGL2-05: Further information on the Lead Employer App, including usage figures and any feedback from trainees.

EGL2-11: It would be good to hear reflections on how the Senior Leader Engagement Event focused on educational governance went, and its efficacy.

### **Theme three – Supporting learners:**

SUL1-06: Any further update on the SuppoRTT initiative.

SUL1-07: the outcome of the Trainee Information System (TIS) Self Service interface pilot and progress with the rollout. It would also be good to learn of any early evaluations or trainee feedback.

## Organisation's response

The organisation has the right to reply to the AQAS; if they have responded it will be included below.

## Organisation's response

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Thank you particularly to the Education Quality Assurance Team for the support provided during the 2022-23 cycle. HEE NW continue to work closely with the GMC to ensure all placements meet the GMC's standards.