

**A Reference Guide**  
for  
**Dental Foundation Training**  
in  
**England, Wales and Northern Ireland**

**Applicable to Foundation Dentists taking up appointments in Dental Foundation Training which commenced on or after 1 September 2016**

**The Dental Blue Guide**  
**September 2016**

# Preface

## A Guide to Dental Foundation Training In England, Wales and Northern Ireland

The Dental Blue Guide has been produced by the UK Committee of Postgraduate Dental Deans and Directors (COPDEND) and will continue to be reviewed and updated regularly. This is a guide to Foundation Training in dentistry and therefore does not include information on pay or contractual issues. The Dental Blue Guide model has the approval of the English Department of Health and the equivalent departments in Wales and Northern Ireland. Separate arrangements apply in Scotland.

Throughout this guide, use of the term 'Educational Supervisor' should be taken to include the term 'Trainer' where this is used locally to describe the dentist appointed by a Postgraduate Dental Dean to train a Foundation Dentist. In addition, where the term 'Foundation Dentist' is used it should be taken to include General Professional Training (GPT) Trainees when working in the Foundation Training (dental practice) element of their training. In addition, throughout this guide, the term Postgraduate Dental Dean includes Directors of Postgraduate Dental Education.

### Supplements

**The following Supplements form an integral part of the Dental Blue Guide** and should be referred to in conjunction with it:

- Supplement 1 – General Guidance
- Supplement 2 – Reports
- Supplement 3 – Guidance for RCP Panels

### Need for a Dental Blue Guide

With the introduction of a formal model for the assessment of Satisfactory Completion of Dental Foundation Training from September 2016, it was decided that a guide equivalent to the medical and dental Gold Guides was necessary. Consequently, whilst being specific for Dental Foundation Training, elements of this guide are based on the principles set out in the Medical and Dental Gold Guides.

For details on pay and payments to Foundation Dentists and Educational Supervisors reference should be made to the Dental Statement of Financial Entitlement (SFE) published by the Department of Health and equivalent documents for Wales and Northern Ireland.

For details on contractual matters and educational agreements, reference should be made to the documentation issued by COPDEND for HEE and the equivalent documents for Wales and Northern Ireland.

**The Dental Blue Guide  
September 2016**

# A Guide to Dental Foundation Training in England, Wales and Northern Ireland

## *“The Dental Blue Guide”*

### Table of Contents

Preface .....	i
---------------	---

Contents .....	ii
----------------	----

#### **Section 1: Introduction and background: From safe beginner to independent practitioner’**

1.1 <b><u>Purpose of the Guide</u></b> .....	1
1.2 <b><u>Roles and Responsibilities</u></b> .....	1
<u>Health Education England (HEE)</u> .....	1
<u>Arrangements for the Devolved Administrations</u> .....	1
<u>HEE Local Offices and Postgraduate Deaneries</u> .....	1
<u>Committee of Postgraduate Dental Deans and Directors (COPDEND)</u> .....	2
<u>Postgraduate Dental Deans</u> .....	2
<u>Foundation Dentists</u> .....	2
<u>Dental Foundation Training Curriculum</u> .....	2
<u>General Dental Council</u> .....	3
<u>Performers and Dental Lists</u> .....	3
1.3 <b><u>Standards</u></b> .....	3
1.4 <b><u>Structure</u></b> .....	3

#### **Section 2: Setting standards**

2.1 <b><u>Approval of training programmes: standards of training</u></b> .....	4
2.2 <b><u>Quality management of postgraduate dental education</u></b> .....	4
2.3 <b><u>Managing Dental Foundation Training</u></b> .....	5
2.4 <b><u>Managing Dental Foundation Training programmes</u></b> .....	5
2.5 <b><u>Training Programme Directors (TPDs)</u></b> .....	5
2.6 <b><u>Educational and clinical supervision</u></b> .....	6
2.7 <b><u>Educational Supervision</u></b> .....	7
2.8 <b><u>Clinical Supervision</u></b> .....	8

#### **Section 3: The structure of training**

3.1 <b><u>General</u></b> .....	10
3.2 <b><u>The NHS Performers Lists</u></b> .....	10

## **Section 4: Becoming a Foundation Dentist**

4.1	<a href="#">Entry into Dental Foundation Training</a>	12
4.2	<a href="#">Recruitment into Dental Foundation Training</a>	12
4.3	<a href="#">Offers of employment</a>	12
4.4	<a href="#">Deferring the start of a Dental Foundation Training programme</a>	13
4.5	<a href="#">Foundation Dentists' Commitment</a>	13
4.6	<a href="#">When does Dental Foundation Training end?</a>	13
4.7	<a href="#">Arrangements for the Defence Dental Services</a>	14
4.8	<a href="#">Less than full time training (LTFT) (formerly flexible training)</a>	14
4.9	<a href="#">Eligibility for less than full-time training</a>	15

## **Section 5: Progressing as a Foundation Dentist**

5.1	<a href="#">Competences, experience and performance</a>	16
5.2	<a href="#">Educational appraisal</a>	16
5.3	<a href="#">Early Stage Review</a>	18
5.4	<a href="#">Assessment and the Reviews of Competence Progression</a>	18
5.5	<a href="#">Collecting the evidence</a>	20
5.6	<a href="#">What is the purpose of the Reviews of Competence Progression</a>	22
5.7	<a href="#">The RCP Panels</a>	23
5.8	<a href="#">RCP Outcomes in Dental Foundation Training</a>	24
5.9	<a href="#">RCP Panels meetings</a>	26
5.10	<a href="#">Interim RCP Panels</a>	26
5.11	<a href="#">Final RCP Panels Stage 1</a>	26
5.12	<a href="#">Final RCP Panels Stage 2</a>	27
5.13	<a href="#">Assessment of Outcome 6R Evidence</a>	28
5.14	<a href="#">How the Panels work</a>	29
5.15	<a href="#">RCP Panels meetings</a>	30
5.16	<a href="#">Additional or remedial training</a>	31
5.17	<a href="#">The role of the Postgraduate Dental Dean in the RCP Process</a>	32
5.18	<a href="#">The role of the Training Programme Director in the RCP Process</a>	33
5.19	<a href="#">The role of the Foundation Dentist in the RCP Process</a>	33
5.20	<a href="#">RCP for Foundation Dentists in less than full-time training</a>	34
5.21	<a href="#">Review planning following Outcomes 2 or 3</a>	34
5.22	<a href="#">Reviews and Appeals of RCP Outcomes</a>	35
5.23	<a href="#">Review of Outcomes 2 and 6R</a>	35
5.24	<a href="#">Appealing the RCP outcomes: Outcomes 3 and 4</a>	36
5.25	<a href="#">Step 1: Review</a>	36
5.26	<a href="#">Step 2: Formal appeal hearing</a>	36
5.27	<a href="#">Termination of a training contract</a>	39
5.28	<a href="#">Quality management and quality assurance arrangements</a>	39

**Section 6: Being a Foundation Dentist and an employee**

6.1	<a href="#"><u>Accountability issues</u></a>	40
6.2	<a href="#"><u>Roles and responsibilities</u></a>	40
6.3	<a href="#"><u>Resignation</u></a>	41
6.4	<a href="#"><u>Managing concerns over performance during training</u></a>	41
6.5	<a href="#"><u>Poor performance and competence</u></a>	42
6.6	<a href="#"><u>Critical incidents</u></a>	43
6.7	<a href="#"><u>Poor performance and the GDC</u></a>	43
6.8	<a href="#"><u>Ill health</u></a>	43
	<b><u>Protocol for making revisions to the Guide</u></b>	44
	<b><u>Glossary</u></b>	45

## Section 1: Introduction and Background

### Dental Foundation Training in England, Wales and Northern Ireland From 'safe beginner' to 'independent practitioner'

#### 1.1 Purpose of the Guide

*A Guide to Dental Foundation Training* (the 'Dental Blue Guide') is published to support the satisfactory completion model for Dental Foundation Training in England, Wales and Northern Ireland. A satisfactory completion model already exists in Scotland.

The Dental Blue Guide does not address issues relating to terms and conditions (e.g. pay, contracts and educational agreements). Information on pay can be found in the relevant Statement of Financial Entitlement (SFE), published by the Department of Health and equivalent documents for Wales and Northern Ireland. Information on contracts and educational agreements can be found on the COPDEND website ([www.copdend.org.uk](http://www.copdend.org.uk)).

This Guide sets out the arrangements agreed by the UK Health Departments in England, Wales and Northern Ireland to enable the implementation of a satisfactory completion model for Dental Foundation Training. The policy underpinning this Guide is applicable in all three administrations, but there are some important national variations in its implementation. These have been highlighted appropriately. COPDEND, on behalf of the three UK Health Departments or their representatives, will formally review the Dental Blue Guide on an annual basis.

#### 1.2 Roles and Responsibilities

##### Health Education England (HEE)

Health Education England (HEE) provides independent expert advice to Ministers and input into the policy-making process on the content and structure of professional education and training as it relates to all NHS healthcare workers in England, including doctors, dental teams, healthcare scientists and technologists and pharmacy teams, and on the quality of workforce planning for these groups at national level.

##### Arrangements for the Devolved Administrations

While HEE and NHS England (NHSE) are accountable for English issues only, they work with stakeholders as appropriate in areas where there may be implications for the rest of the UK. Postgraduate deaneries in Northern Ireland and Wales and NES for Scotland have similar lead roles for education and training in the Devolved Administrations.

##### HEE Local Offices and Postgraduate Deaneries

The HEE Local Offices and Postgraduate Deaneries in the UK are responsible for implementing Dental Foundation Training in accordance with the approved curriculum. Postgraduate Dental Deans work with stakeholders to quality manage the delivery of Dental Foundation Training to COPDEND standards. The standards that

must be delivered are normally set out in educational contracts between Deaneries/ HEE Local Offices and educational providers.

## **Committee of Postgraduate Dental Deans and Directors (COPDEND)**

COPDEND has produced standards of postgraduate dental education which apply to the quality management of all dental education and training programmes in the UK. Throughout this Guide the use of the title Postgraduate Dental Dean should be taken to include the title Director of Postgraduate Dental Education or equivalent.

### **Postgraduate Dental Deans**

Through their Training Programme Directors\*, Postgraduate Dental Deans (or their nominated deputies) are responsible for developing appropriate Dental Foundation Training programmes within practices that meet curriculum requirements. Deaneries/HEE Local Offices quality manage their processes to ensure that the training programmes meet the required standards as described in Section G7 of the Guidance Supplement.

*\* In London, the equivalent role to 'Training Programme Director' is 'Patch Associate Dean'. Throughout this Guide, use of the term 'Training Programme Director' should be taken to include 'Patch Associate Dean'.*

All Foundation Dentists must have an educational contract/agreement with the relevant Deanery/HEE Local Office so that:-

- progress in their training can be kept under review and supported where required
- eligible Foundation Dentists can be recommended to the Postgraduate Dental Dean for consideration of award of a Dental Foundation Training Certificate at the end of their training.

### **Foundation Dentists**

All Foundation Dentists must accept suitable placements or training posts which have been designated as part of the Dental Foundation Training programme prospectively approved by HEE Local Offices/Deaneries. In placing Foundation Dentists, Postgraduate Dental Deans or their representatives must take into account the needs of Foundation Dentists with specific health needs or disabilities. Employers must make reasonable adjustments if disabled Foundation Dentists require these. The need to do so should not be a reason for not offering an otherwise suitable placement to a Foundation Dentist.

### **Dental Foundation Training Curriculum**

COPDEND, in consultation with stakeholders, has developed the Dental Foundation Training curriculum in accordance with the principles of education and training set out in the COPDEND Standards and agreed with the Departments of Health. Only the approved curriculum can be used for delivering Dental Foundation Training programmes resulting in the award of a Dental Foundation Training Certificate and Number.

All Foundation Dentists must have an educational contract/agreement with the relevant Deanery/HEE Local Office so that:-

- progress in their training can be kept under review and supported where required
- eligible Foundation Dentists can be recommended to the Postgraduate Dental Dean for consideration of award of a Dental Foundation Training Certificate at the end of their training.

### **General Dental Council (GDC)**

The GDC is responsible for setting standards for all dental registrants. Whilst the GDC is not directly involved in the quality assurance of Dental Foundation Training, the principles and requirements of the GDC's *Standards for Education* apply to providers of all education and training programmes in dentistry.

### **Performers and Dental Lists**

The body responsible for dentists joining the Performers List in England is the NHS England working through Area Teams. The equivalent body in Wales is Gig Cymru Partneriaeth Cydwasanaethau (NHS Wales Shared Services Partnership) and in Northern Ireland the responsibility lies with the Health and Social Care Board working through Local Commissioning Groups.

## **1.3 Standards**

COPDEND is responsible for agreeing a curriculum for training in the Dental Foundation Training programmes which meets the standards in Section G7 in the Guidance Supplement. COPDEND's focus is on the learning outcomes stated in the curriculum and how they are assessed.

The Curriculum describes outcomes in terms of demonstrated competences, knowledge, skills and attitudes. There is a complex relationship between outcomes, performance and experience which is time dependent.

## **1.4 Structure**

Foundation Dentist (FD) is the generic title for all Foundation Dentists appointed to nationally funded Dental Foundation Training programmes. Where Foundation Training programmes incorporate the equivalent of Dental Core Training Year 1 over a two-year period (longitudinal programmes), the Foundation Dentists may be identified as General Professional Training Trainees, or similar. The assessment of the non-Foundation elements will be separate from the Dental Foundation Training element and Dental Foundation Training assessment panels will not take account of performance in the non-Foundation elements.

## Section 2:

### Setting Standards

#### 2.1 Approval of Training Programmes: standards of training

Approval of Dental Foundation Training courses, programmes, and posts rests with the individual Deaneries/HEE Local Offices

A programme consists of allocation to a Dental Foundation Training Programme and a placement in a dental practice with a significant NHS commitment, approved by the Deanery/HEE Local Office. The Deanery/HEE Local Office commissions Programmes of Dental Foundation Training which are based on a particular geographical area; which normally corresponds to the Deanery/HEE Local Office boundary. They are managed by a Training Programme Director (TPD) or equivalent. A Programme is not a personal programme undertaken by a particular Foundation Dentist.

Dental Foundation Training programmes/posts should conform to training standards equivalent to those set by the GDC and COPDEND which require successful Foundation Dentists to have met the learning outcomes stated in the curriculum. Therefore, the HEE Local Office's/Deanery's task will be to collate and analyse information showing that successful Foundation Dentists have met the relevant learning outcomes.

COPDEND may further develop Dental Foundation Training specific guidance in accordance with GDC and COPDEND standards.

#### 2.2 Quality management of postgraduate dental education

Postgraduate Dental Deans in the UK are responsible for the quality management of Dental Foundation Training programmes in their Deanery/HEE Local Office. The requirement to manage the quality of the delivery and outcomes of Dental Foundation Training through HEE/Deanery processes is a key element in the overall quality assurance approach.

The principles of quality management of Dental Foundation Training include the monitoring of a number of processes throughout the programme to assess the quality control of training including the:

- approval process for training programmes, posts and Educational Supervisors
- use of national and local surveys of Educational Supervisors and Foundation Dentists to collect relevant perspectives on training programmes and their education outcomes
- review of curriculum delivery and associated assessment system

The mechanism for providing external quality assurance of Dental Foundation Training is under discussion at the present time.

## **2.3 Managing Dental Foundation Training**

The day to day management of Dental Foundation Training programmes rests with the Postgraduate Dental Deans who are accountable, via Postgraduate Deans, to HEE in England, the Welsh Ministers in Wales, and, in Northern Ireland, to the Department of Health, Social Services and Public Safety (DHSSPS).

The responsible agencies above require Postgraduate Dental Deans to have in place an educational contract (usually as part of a deanery or HEE Local Office/practice Educational contract) with all providers of Dental Foundation Training that sets out the standards to which postgraduate dental education must be delivered and the monitoring arrangements of the contract. This includes all providers of Dental Foundation Training, including those undertaking assessment in Dental Foundation Training by Equivalence (DFTQ).

## **2.4 Managing Dental Foundation Training programmes**

Postgraduate Dental Deans will implement a range of models to manage their Dental Foundation Training programmes overall. The models will vary but will rely on senior staff involved in training and managing training in the Deanery/HEE Local Office providing advice and programme management.

## **2.5 Training Programme Directors (TPDs)**

The day to day management of Dental Foundation Training is carried out by Deanery/HEE Local Office appointed Training Programme Directors (TPDs), also known as Advisors, or as Patch Associate Deans (in London)

TPDs have responsibility for managing Dental Foundation Training programmes. They should:

- participate in the local arrangements developed by the Postgraduate Dental Dean to support the management of the Dental Foundation Training programme(s) within the Deanery/HEE Local Office or across Deanery/HEE Local Office boundaries;
- work with Associate Deans/Regional Advisors to ensure that programmes deliver the Dental Foundation Curriculum and enable Foundation Dentists to gain the relevant competences, knowledge, skills, attitudes and experience
- take into account the collective needs of the Foundation Dentists in the programme when planning programmes
- provide support for Educational Supervisors within the programme
- contribute to the assessment outcome processes in Dental Foundation Training
- help the Postgraduate Dental Dean manage Foundation Dentists who are running into difficulties by supporting Educational Supervisors in their assessments and in identifying remedial programmes where required
- ensure, with the help of Deanery/HEE Local Office

administrative support, that employers are normally notified at least two months in advance of the name and relevant details of the Foundation Dentists who will be placed with them. From time to time, however, it might be necessary to recommend that Foundation Dentists be placed at shorter notice.

## **2.6 Educational and clinical supervision**

Practices should explicitly recognise that supervised training of a Foundation Dentist where appointed is a core responsibility, in order to ensure both patient safety and the development of the dental workforce to provide for future needs. The commissioning arrangements and educational contracts/agreements developed between Postgraduate Dental Deans and both practices and Educational Supervisors should be based on these principles and should apply to all practices and Educational Supervisors that are commissioned to provide postgraduate dental education.

Postgraduate Dental Deans should develop locally-based Dental Foundation Educational Supervisors (previously known as Trainers)\* to deliver educational and clinical supervision and training in line with the dental foundation programme curriculum. In doing so there will need to be clear lines of accountability to employers so that these educational roles are fulfilled and properly recognised. *\*(The term 'Educational Supervisor' should be taken to include the term 'Trainer' throughout this guide).*

Educational Supervisors should demonstrate their competence in educational appraisal and feedback and in use of structured learning events (also known as workplace based assessments).

Postgraduate Dental Deans will need to be satisfied, in consultation with their employing organisations, that any individual involved in delivering training in addition to the appointed Educational Supervisor, has the required competence. This includes TPDs, clinical supervisors and any other agent who works on behalf of Deaneries/HEE Local Offices or employers to deliver or manage training. All of these individuals must receive training in equality, diversity and human rights legislation which is kept up to date (refreshed at least every three years) and which meets Deanery/HEE Local Office requirements for such training. Monitoring of the delivery and standard of such training will be part of the quality assurance arrangements. Such training can be undertaken through a range of training modalities e.g. facilitated programmes, on-line learning programmes or self-directed learning programmes. Educational Supervisors involved in appraisal and assessment of Foundation Dentists must also be trained in these areas.

All Foundation Dentists must have a named Educational Supervisor for their placement in their Dental Foundation Training programme post.

In line with developed standards, Educational Supervisors should be specifically trained for their role. There should be explicit and sufficient time in Educational Supervisors' commitment for both clinical and educational supervision of Foundation Dentists in line with national requirements for Dental Foundation Training.

It will be essential that Educational Supervisors have an understanding of human rights and equality legislation. They must embed in their practice behaviours which ensure that patients and carers have access to health care that:

- is equitable
- respects human rights
- challenges discrimination
- promotes equality
- offers choices of service and treatments on an equitable basis
- treats patients/carers with dignity and respect.

## **2.7 Educational Supervision**

An Educational Supervisor will be responsible for the overall supervision and management of a specified Foundation Dentist's educational progress during a training placement be selected and appropriately trained to. The Educational Supervisor is responsible for the delivery of training in line with the Foundation Dentist's Educational Agreement and must be appropriately trained in the role.

Educational Supervisors should:

- be adequately prepared for the role and have an understanding of educational theory and practical educational techniques e.g. have undertaken formal facilitated training and participated in relevant training programmes
- be trained to provide educational and clinical supervision and undertake assessment and feedback. The 'core values and knowledge' are stated in COPDEND's Standards for Dental Educators (see Section G7 in the Guidance Supplement)
- undertake training in competence assessment for Dental Foundation Training
- be trained in equality and diversity
- provide regular assessment opportunities which should take place throughout the placement
- with the Foundation Dentist, develop a mutually agreed learning agreement and educational objectives which will be the point of reference for future assessment
- be responsible for ensuring that Foundation Dentists whom they supervise maintain and develop their dental foundation learning portfolio and participate in the dental foundation assessment process
- provide regular feedback to the Foundation Dentist on their progress
- ensure that the structured report which is a detailed review and synopsis of the Foundation Dentist's electronic portfolio and other required documentation is returned within the necessary timescales
- contact the TPD, the Associate Dean/Regional Advisor and the Postgraduate Dental Dean should the level of performance of a Foundation Dentist give rise for concern

- be able to advise the Foundation Dentist about access to career management
- be responsible for their educational role to the TPD and to the local Postgraduate Dental Dean.

Educational Supervisors also have responsibilities through their supervision of Foundation Dentists to deliver the educational agreement which exists between them and Deaneries/HEE Local Offices.

Educational Supervisors are responsible both for the educational assessment of Foundation Dentists, and also for review of their performance based on the GDC's ethical guidance document *Standards for the Dental Team*. This links educational appraisal and performance review of Foundation Dentists. The mechanism for this is described in subsection [5.4](#).

These important educational and review roles make it essential that there are unambiguous lines of accountability for Educational Supervisors to both the Postgraduate Dental Dean through the TPD and also into the management structure of the Foundation Dentist's employer so that there is clarity about:

- who is providing training and their accountability
- the clear link between the appraisal, assessment and planning of a Foundation Dentist's educational programme and their performance as a dentist
- the transparency of the process ensuring that the Foundation Dentist is aware of the information being shared with the employer and the Deanery/HEE Local Office
- the arrangements for raising matters of clinical concern and professional performance about a Foundation Dentist within the practice and with the Deanery/HEE Local Office in line with wider regulatory requirements.

Where an Educational Supervisor is an employee, employers must ensure that Educational Supervisors have this role recognised within job planning arrangements and all are parties to the contract of employment and side letter.

## **2.8 Clinical supervision**

The Foundation Dentist's Educational Supervisor will also be their Clinical Supervisor for the majority of the week. On occasion (e.g. when the Educational Supervisor is on leave), an Educational Supervisor may delegate the role of Clinical Supervisor to another suitably experienced dentist in the practice. In these circumstances the individual must be clearly identified to both parties and understand the role of the clinical supervisor. The named Educational Supervisor remains responsible and accountable overall for the care of the patient and the Foundation Dentist.

All Clinical Supervisors (whether or not also the Educational Supervisor) should:

- understand their responsibilities for patient safety

- be fully trained in the specific area of clinical care
- offer a level of supervision appropriate to the competences and experience of the Foundation Dentist and tailored for the individual Foundation Dentist
- ensure that no Foundation Dentist is required to assume responsibility for or perform clinical, operative or other techniques in which they have insufficient experience and expertise
- ensure that Foundation Dentists only perform tasks without direct supervision when the supervisor is satisfied that they are competent so to do; both Foundation Dentist and supervisor should at all times be aware of their direct responsibilities for the safety of patients in their care
- be appropriately trained to teach, provide feedback to and undertake competence assessment of Foundation Dentists
- be trained in equality and diversity and human rights best practice.

## Section 3:

### The Structure of Training

#### 3.1 General

Dental Foundation Training will be provided through Dental Foundation Training programmes and posts approved by the Deanery/HEE Local Office against the national Dental Foundation Training requirements.

Once an applicant has taken up a place in a Dental Foundation Training programme, the whole of which has been prospectively approved by the Deanery/HEE Local Office, they will have the right to train in that programme and, subject to the demonstration of satisfactory progress, receive a Certificate of Satisfactory Completion of Dental Foundation Training (CSCDFT). Where satisfactory progress is not fully demonstrated and the period of required training has been completed, a Certificate of Completion of Dental Foundation Training (CCDFT) will be issued with the demonstrated competences identified. Either certificate will render them eligible to apply for entry into a Dental Performers List or equivalent.

Entry into Dental Foundation Training can only be achieved through open competition in the national recruitment process.

#### 3.2 The NHS Performers Lists

To practise as a dental practitioner in England, Wales or Scotland, a dentist must be enrolled on the relevant Performers List, or equivalent. The equivalent in Northern Ireland is the Dental List of the Health and Social Care Board. Dentists who graduate from UK dental schools are required to undertake a period of formal Foundation Training (Vocational Training in Scotland) as set out in The National Health Service (Performers Lists) (England) (Amendment) Regulations 2016 and the equivalent legislation in Wales, Northern Ireland and Scotland.

The NHS Performers List Regulations (England) 2013 paragraph 30(1) defines Foundation Training as follows:

“Foundation training” means a relevant period of employment during which a dental practitioner is employed under a contract of service by an approved trainer to provide a wide range of dental care and treatment and to attend such study days as that contract provides, with the aims and objectives of enhancing clinical and administrative competence and promoting high standards through relevant postgraduate training and in particular to:

- enable the dental practitioner to practise and improve the dental practitioner’s skills;
- introduce the dental practitioner to all aspects of dental practice in primary care;
- identify the dental practitioner’s personal strengths and weaknesses and balance them through a planned programme of training;
- promote oral health of, and quality dental care for, patients;
- develop and implement peer and self-review, and promote

awareness of the need for professional education, training and audit as a continuing process;

- enable the dental practitioner make competent and confident professional decisions including decisions for referrals to other services,
- demonstrate that the dental practitioner is working within the guidelines regarding the ethics and confidentiality of dental practice,
- implement regulations and guidelines for the delivery of safe practice,
- know how to obtain appropriate advice on, and practical experience of, legal and financial aspects of practice
- demonstrate that the dental practitioner has acquired skill and knowledge in the psychology of care of patients and can work successfully as a member of a practice team

A similar definition exists in the regulations for Wales and Northern Ireland

## **Section 4:**

### **Becoming a Foundation Dentist**

#### **4.1 Entry into Dental Foundation Training**

In order to meet the entry requirements of Dental Foundation Training, applicants must demonstrate they are able to meet the requirements of the person specification applicable at that time.

#### **4.2 Recruitment into Dental Foundation Training**

The National Recruitment process for Dental Foundation Training in England, Wales and Northern Ireland is administered by London Shared Services reporting to Health Education England (HEE). (In Scotland, recruitment into Dental Vocational Training is managed through NHS Education for Scotland (NES)).

Dentists who are not Foundation Dentists but are required to demonstrate equivalence to Dental Foundation Training through an assessed programme will be appointed by the individual employer and the training placement and educational supervisor (where required) will need to have prior approval by the local Deanery/HEE Local Office. Information on Dental Foundation Training through an Equivalence Programme (DFTQ) can be found on the COPDEND website or through the relevant Deanery/HEE Local Office.

#### **4.3 Offers of employment**

A dentist in training will have an educational agreement with the Deanery/HEE Local Office that entitles them to continue in a training programme subject to satisfactory progress. Foundation Dentists will also be offered a nationally-agreed employment contract with the practice they will be working in. Educational Supervisors participate in selection processes for Foundation Dentists through the National Recruitment Centres.

An allocation offer for a training programme following the assessment process is not an offer of employment. This can only be made by an employer who will need to ensure that the candidate who has been allocated meets the requirements of employability.

If an applicant is selected and offered a placement on a training programme through the national recruitment process, the employing organisation ultimately has the right to refuse employment. Examples for refusal will include failed Disclosure and Barring Service Enhanced Disclosure Certification, or Occupational Health checks, unresolved fitness to practice issues or if the checks highlight falsification of evidence on the part of the applicant. Under such circumstances, the relevant Postgraduate Dental Dean will take every measure to ensure that an appropriate placement is found, where possible, but ultimately, if an employing organisation willing to offer employment - and training through it - cannot be identified, then the offer of a training programme placement to the applicant will be withdrawn.

#### **4.4 Deferring the start of a Dental Foundation Training programme**

The start of training may only be deferred on statutory grounds (e.g. maternity leave, ill health). Foundation Dentists appointed to Dental Foundation Training cannot defer the start of their fixed term appointment for the purpose of undertaking a higher degree or for any other reason, without the agreement of the Postgraduate Dental Dean.

#### **4.5 Foundation Dentists' Commitment**

Foundation Dentists appointed to Dental Foundation Training should:

- be engaged in activities approved by and agreed with the Postgraduate Dental Dean
- ensure that their Educational Supervisor and TPD are aware of their absence from the training programme for e.g. maternity or prolonged sick leave. The Postgraduate Dental Dean's office and employer must be made aware of plans for prolonged absence (greater than ten working days)
- agree to engage in the training and assessment process e.g. participate in setting educational objectives, appraisal, attend training sessions, ensure that documentation required for the assessment process is submitted on time and in the appropriate format
- be committed to make steady progress in completing their training programme
- not undertake activities which compromise their training or make them non-compliant with European Working Time Regulations
- work 35 hours a week (excluding holidays) in practice or when a study day is organised a total of 35 hours a week as directed in the employment contract.

#### **4.6 When does Dental Foundation Training end?**

The training will be terminated when a Foundation Dentist:

- is erased or suspended from the dental register (whether permanently or temporarily) or where restrictions are applied to their ability to practise where normally such measures are incompatible with continuing in a Dental Foundation Training programme or,
- is erased or suspended from an NHS Performers List or equivalent (whether permanently or temporarily) or where restrictions are applied to their ability to practise where normally such measures are incompatible with continuing in a Dental Foundation Training programme or,
- has satisfactorily completed their Dental Foundation Training or,
- has completed the allotted period of Dental Foundation Training (subject to a maximum of two years full-time or an equivalent period part-time) or,

- is assessed as not being suitable to complete training or,
- permanently relinquishes their place in a training programme or,
- decides not to complete the training programme agreed with the Postgraduate Dental Dean.

A Foundation Dentist dismissed by an employer as a result of conduct and capability procedures will normally be deemed by the Postgraduate Dental Dean to be unsuitable to continue in Dental Foundation Training and may have their place on the programme terminated.

#### **4.7 Arrangements for the Defence Dental Services**

The Defence Dental Services (DDS) will continue to train dental officers in Dental Foundation Training programmes for practice in the Armed Forces. Professional training will follow, as closely as possible, the pattern required for NHS Foundation Dentists as well as meeting the needs of the DDS.

#### **4.8 Less than Full-Time Training (LTFT)**

Less than full-time training shall meet the same requirements in Dental Foundation Training as full-time training, from which it will differ only in the possibility of limiting participation in dental activities by the number of hours worked per week.

All Foundation Dentists can apply for less than full-time training at any time once they have been accepted into Dental Foundation Training. As for all other applicants wishing to enter into Dental Foundation Training, competitive appointment into Dental Foundation Training is required but must not be affected or influenced by the applicant's wish to be considered for less than full-time training. The aims of less than full-time training are to:

- retain within the workforce dentists who are unable to continue their training on a full-time basis
- promote career development and work/life balance for dentists in training
- ensure continued training in programmes on a time equivalence (pro-rata) basis
- maintain a balance between less than full-time training arrangements, the educational requirements of both full and part-time Foundation Dentists and service need.

As far as possible, Postgraduate Dental Deans will seek to integrate less than full-time training into mainstream full-time training by:

- using slot/job shares where it is possible to do so
- using full-time posts for part-time training where it is possible to do so
- ensuring equity of access to study days

A post that is approved for training may be considered to be approved

for training on a less than full-time basis at the discretion of the Postgraduate Dental Dean.

#### **4.9 Eligibility for less than full-time training**

Those wishing to apply for less than full-time training must show that training on a full-time basis would not be practical for them for well-founded individual reasons. COPDEND has agreed the following categories which serve as guidelines for prioritising requests for less than full-time training. The needs of Foundation Dentists in Category 1 will take priority. Dentists in training with:

1. disability
2. ill health
3. responsibility for caring for children
4. responsibility for caring for ill/disabled partner, relative or other dependant

Other well-founded reasons may be considered but will be prioritised by the Postgraduate Dental Dean and all requests will be dependent on the capacity of the programme and available resources, including the needs of the service and the employer. Postgraduate Dental Deans should view enquiries about less than full-time training sympathetically and will need to confirm that an application is well founded on an individual basis. Where Postgraduate Dental Deans believe that an application is not well founded they should consult their colleagues and the relevant Deanery/HEE Local Office HR resource to ensure a consistent approach before making a final decision.

Foundation Dentists accepted into less than full-time training will:

- reflect the same balance of work as their full-time colleagues
- not be permitted to engage in any other paid or unpaid employment whilst in less than full-time training.

## Section 5:

### Progressing as a Foundation Dentist

#### 5.1 Competences, experience and performance

The curriculum approved by COPDEND and the Departments of Health for Dental Foundation Training programmes defines the standards of knowledge, skills and behaviours which must be demonstrated in order to achieve the award of a Certificate of Satisfactory Completion of Dental Foundation Training (CSCDFT).

Competences, knowledge, skills and attitudes take time and systematic practice to acquire and to become embedded as part of regular performance. Implicit therefore in a competence based programme of training must be an understanding of both the minimum level of frequency and experience and the time required to acquire competence and to confirm performance in the dental foundation training programme.

Assessment strategies for Dental Foundation Training must not deliver just “snapshots” of skills and competences, but must deliver a programme of assessment which looks at the sustainability of competences and the clinical and professional performance of Foundation Dentists in everyday practice.

The emphasis on workplace assessments aims to address this through assessing performance and demonstrating the standards and competences across the clinical and non-clinical domains with the Dental Foundation Training competency framework. It means that Educational Supervisors and Foundation Dentists must be realistic about undertaking these assessments and that employers must ensure that appropriate opportunities are provided to enable this to happen effectively. Clearly, Educational Supervisors must make time available for the process.

Foundation Dentists progress at different rates, depending on their own abilities, their determination, and their exposure to situations that enable them to develop the required knowledge, skills and behaviours in the context of NHS dental practice. It is important that Deaneries/HEE Local Offices, Educational Supervisors, Foundation Dentists and employers are clear as to what is acceptable progress within Dental Foundation Training. This will enable reasonable limits for remediation to be set and so that Foundation Dentists are aware of the boundaries within which remediation can and will be offered.

#### 5.2 Educational appraisal

The purpose of educational appraisal is to:

- help review, identify and agree educational needs at an early stage by agreeing educational objectives which are SMART (Specific, Measurable, Achievable, Realistic, Time bound)
- provide a mechanism to receive the report of the Review of Competence Progression (RCP) panel and to discuss these with the Foundation Dentist
- provide a mechanism for reviewing progress at a time when

remedial action can be taken quickly

- assist in the development in Foundation Dentists' self-reflection and self-appraisal skills that will be needed throughout a professional career
- enable learning opportunities to be identified in order to facilitate a Foundation Dentist's access to these
- provide a mechanism for giving feedback on the quality of the training provided
- make training more efficient and effective for a Foundation Dentist.

Educational appraisal is a developmental, formative process. It should enable the training for individual Foundation Dentists to be optimised, taking into account the available resources and the needs of other Foundation Dentists in the programme. Training opportunities must meet the training standards as set by the GDC and COPDEND.

Appraisal should be viewed as a continuous process. As a minimum, the educational element of appraisal should take place at the beginning, middle, and towards the end of training, the last two elements marked by the RCP process, as described in the Guidance Supplement. However, appraisal may be needed more frequently, for example after an assessment outcome which has identified inadequate progress.

Each Foundation Dentist should have a professional development plan for their training placement which sets out their specific aims and learning outcomes for of their training, based on the requirements of the curriculum for Dental Foundation Training and on their RCP outcome. This should be the basis of any appraisal discussions throughout all stages of training.

The Educational Supervisor and Foundation Dentist should discuss and be clear about the use of the e-Portfolio. Regular help and advice should be available to the Foundation Dentist to ensure that the e-Portfolio entries are developed to support professional learning.

Regular feedback should be provided by the Educational Supervisor on progress. This should be a two way process, and in the context of an effective professional conversation. Foundation Dentists should feel able to discuss the merits or otherwise of their training experience. The detailed content of the discussion which takes place within appraisal sessions should normally be confidential and a summary of the appraisal discussion should be agreed and recorded and any agreed actions documented. Appraisal summaries should be part of the Foundation Dentist's portfolio.

The educational appraisal process is the principal mechanism whereby there is the opportunity to identify concerns about progress as early as possible. Examples of some early warning signs which should alert the Educational Supervisor that intervention may be required include:

- failure to participate in undertaking structured learning events (workplace based assessments) across all areas where these are required, or in specific instances;
- issues raised in multi-source feedback information from either

- staff or patients;
- significant or unexplained absences.

These concerns should to be brought to the attention of the Foundation Dentist during appraisal meetings. Account should be taken of all relevant factors which might affect progress (for example, health or domestic circumstances) and should be recorded in writing. A specific action plan to address the concerns should be agreed and documented between the Educational Supervisor and the Foundation Dentist. If concerns persist or increase, further action should be taken, either through the assessment process or, if timing is inappropriate, through direct contact with the TPD and Employer (where applicable), alerting them of these concerns.

### **5.3 Early Stage Review (ESR)**

In an educational programme which is normally of one-year's duration it is essential to identify relevant personal, professional and clinical needs at an early stage to enable supporting mechanisms to be put in place as soon as possible. It is not desirable that concerns with regard to competence progression should be first identified at the Interim RCP panel stage.

This section deals with the elements of evaluation which are required ahead of the reviews of competence progression to provide TPDs, Educational Supervisors and Foundation Dentists with an early identification of any specific needs of individual Foundation Dentists to support progress towards Satisfactory Completion of Dental Foundation Training and to demonstrate the areas of competence set out in the curriculum.. Early Stage Review is not, in itself, part of the RCP process but Panels should have the ability to review and consider the ESR documentation and any associated action plan to assist them in making a decision if necessary.

The ESR should be conducted within the training practice by the Educational Supervisor within the first two months of Dental Foundation Training. Evaluation methods will include early review of skills, Direct Observation of Procedural Skills (DOPS) and clinical experience log.

Where the need for additional training support is identified the Educational Supervisor should inform the programme TPD who will develop a structured action plan in conjunction with the Educational Supervisor and the Foundation Dentist to address the identified needs. The Postgraduate Dental Dean must be informed as soon as the need is apparent.

The action plan and specific reports by the Educational Supervisor and TPD on the Foundation Dentist's progress against its objectives must be made available for the Interim RCP panel as part of the review process.

### **5.4 Assessment and the Reviews of Competence Progression (RCP)**

This section deals with the elements of the reviews of competence progression that are designed to provide evidence and a judgement about progress. It does not address the important processes of educational workplace based appraisal and programme planning that

should respectively precede and follow from the formal assessment process. (See Section G2 in the Guidance Supplement)

Assessment strategies will normally also include well-constructed in-work and real-time assessments such as directly observed procedures – Direct Observation of Procedural Skills (DOPS), A Dental Evaluation of Performance Tool (ADEPT); case note review or case-based discussion (CbD); multi-source feedback report (MSF); patient survey questionnaire (PSQ) and other documented evidence of progress of the individual against competencies within the curriculum for Dental Foundation Training. The Educational Supervisor’s Structured Reports (see Report R4 for Interim RCP and Report R6 for Final RCP in Supplement 2) or an equivalent summary should be used to provide a summary of the outcome of these for the RCP panels. This report must:

- reflect the learning agreement and objectives developed between the Foundation Dentist and his/her Educational Supervisor
- be supported by evidence from the workplace based assessments (ADEPTs, CbDs etc. required in Dental Foundation Training)
- take into account any remedial action taken during the training period for whatever reason.

Portfolios, assignments and audit reports document other sorts of experience and attainment of skills which Foundation Dentists may need to demonstrate. They are not always, in and of themselves, assessment tools, but are a valid record of progress. Information about these areas should be retained in the specific Dental Foundation Training electronic portfolio which all Foundation Dentists must keep in order to record their evidence and progress in their training. The portfolio will also form the basis of the educational and workplace based appraisal process (subsection [5.2](#)) and the planning process (subsection [5.21](#)). Clinical assessments records presented at reviews should be anonymised in terms of patient identification.

Foundation Dentists should familiarise themselves with the relevant Dental Foundation Training assessment and other documentation required for the assessment process (and the supporting appraisal and planning processes) at the start of the training programme.

Foundation Dentists should also familiarise themselves with the principles of the GDC’s Standards for the Dental Team. They must:

- put patients’ interests first
- communicate effectively with patients
- obtain valid consent
- maintain and protect patients’ information
- have a clear and effective complaints procedure
- work with colleagues in a way that is in the patients’ best interests
- maintain, develop and work within their professional knowledge and skills

- raise concerns if patients are at risk
- make sure their personal behaviour maintains patients' confidence in them and in the dental profession.

The Foundation Dentist's Educational Supervisor must ensure that the Foundation Dentist:

- is aware of his/her responsibility to initiate workplace based assessments
- maintains an up-to-date e-portfolio including undertaking all assessments of knowledge and skills in a timely fashion based on the recommended timescale in Section G5 in the Guidance Supplement.

If genuine and reasonable attempts have been made by the Foundation Dentist to arrange for workplace based assessments to be undertaken but there have been logistic difficulties in achieving this, the Foundation Dentist must raise this with their Educational Supervisor or TPD immediately. The workplace based assessments must be available for the assessment outcome panel.

The Educational Supervisor and Training Programme Director (TPD) must facilitate appropriate assessment arrangements within the timescales required by the assessment process.

The Educational Supervisor will be responsible for completing a structured report (see Report R4 and Report R6 in Supplement 2) which must be discussed with the Foundation Dentist prior to submission. This report is a synthesis of the evidence in the Foundation Dentist's e-portfolio which summarises the Foundation Dentist's workplace assessments, experience and additional activities which contribute to the training process. The report and the discussion which should ensue following its compilation must be evidence based, timely, open and honest.

If there are concerns about a Foundation Dentist's performance, based on the available evidence, the Foundation Dentist must be made aware of these. Foundation Dentists are entitled to a transparent process in which they are assessed against agreed standards, given feedback on the outcome of assessments, and given the opportunity to address any shortcomings. Foundation Dentists are responsible for listening, raising concerns or issues promptly and for taking the agreed action. The discussion and actions arising from the concerns should be documented. The Educational Supervisor and Foundation Dentist should each retain a copy of the documented discussion.

## **5.5 Collecting the evidence**

Each Deanery/HEE Local Office is required to map its assessment processes against the approved curriculum. Structured reports should be prepared by the Foundation Dentist's Educational Supervisor (see Reports R4, R4S, R6 and R6S in Supplement 2) and should reflect the evidence which the Foundation Dentist and Educational Supervisor agreed should be collected to reflect the learning agreement for the period of training under review. The purpose of the reports are to collate the results of the required in-work assessments (e.g. ADEPTs,

CbDs) and further experiential activities required by the dental foundation programme (e.g. portfolios, assignments, audits). Foundation Dentists may need guidance on the compilation of a satisfactory audit report. It is essential that all Foundation Dentists and Educational Supervisors familiarise themselves with the Dental Foundation Training curriculum and assessment programme.

The Foundation Dentist's Educational Supervisor will also be his/her clinical supervisor other than when the Educational Supervisor is not available.

Deaneries/HEE Local Offices will make local arrangements to receive the necessary documentation from Foundation Dentists and Educational Supervisors and will give them at least two weeks' notice of the date by which it is required so that Foundation Dentists and Educational Supervisors can collate and submit the required evidence and reports summarising the Foundation Dentist's progress. It is the responsibility of each Foundation Dentist and Educational Supervisor to provide the documentation by the required date and they should be aware that failure to do so will result in the panel being unable to consider their progress. As a consequence, the Foundation Dentist will not be able to document attained competences or progress in Dental Foundation Training for the period under review. Failure to comply with the requirement to present evidence is dealt with in subsections [5.10-5.13](#). It is anticipated that assessment panels will receive most of the evidence electronically.

It is up to the Foundation Dentist and Educational Supervisor to ensure that the documentary evidence (including e-Portfolio) which is submitted is complete. This should include evidence which the Foundation Dentist or Educational Supervisor may view as negative. All workplace based assessment (WPBA) outcomes should be included in the evidence submitted to the Review of Competence Progression (RCP) Panels and be retained in the Foundation Dentist's portfolio so that they are available for discussion with Educational Supervisors during educational appraisal discussions.

Where the documentary evidence submitted is incomplete or otherwise inadequate so that a panel cannot reach a judgement, no decision should be taken about the performance or progress of the Foundation Dentist. The failure to produce timely, adequate evidence for the panel will result in an incomplete outcome (Outcome 5) and will require the Foundation Dentist to explain to the panel and Deanery/HEE Local Office in writing the reasons for the deficiencies in the documentation. The fact that Outcome 5 has occurred will remain as a part of the Foundation Dentist's record but once the relevant evidence has been submitted then a new outcome will be added according to the evidence evaluated by the assessment panel.

It will be necessary for the TPD to provide a report including, for example, detailing events that led to a negative assessment by the Foundation Dentist's Educational Supervisor. It is essential that the Foundation Dentist has been made aware of this and has seen the Educational Supervisor's report prior to its submission to the panel. It is not intended that the Foundation Dentist should agree the report's content but is intended to ensure that the Foundation Dentist is aware of what had been said. Where the report indicates that there may be a risk to patients arising from the Foundation Dentist's practice, this risk

needs to be shared with the Postgraduate Dental Dean And, again, the Foundation Dentist needs to be made aware that this is the case. It is anticipated that serious risks will have been identified and managed at an early stage in the training programme and that the purpose of the report to a panel will be to formalise the situation within the RCP process.

The Foundation Dentist may submit, as part of their evidence to an RCP, a response to the Educational Supervisor's report or to any other element of the assessment documentation for the panel to take into account in their deliberations. Whilst such a document will be considered "privileged" and will be viewed and considered only by the panel in the first instance, depending on its content the Foundation Dentist must expect that it will be followed up appropriately. Where, for example, a Foundation Dentist raises allegations of bullying, harassment or other inappropriate conduct on the part of an Educational Supervisor or other healthcare professional, such allegations must be taken very seriously - and will normally have been identified and managed at an early stage in the programme. Whilst the panel itself is not set up to investigate or deal with allegations of this nature, it will bring such concerns to the attention of the Deanery/HEE Local Office in writing immediately following the panel, for further consideration and possible investigation. All Deaneries/HEE Local Offices and employers of Foundation Dentists will have policies on managing allegations of inappropriate learning and working environments. Foundation Dentists are encouraged to follow these policies and training providers must make their policies on bullying and harassment known to Foundation Dentists as part of their induction.

## **5.6 What is the purpose of the Reviews of Competence Progression?**

The review panels provide a formal process which uses the evidence gathered by the Foundation Dentist, relating to his/her progress in the training programme. The Interim RCP will normally be undertaken at the mid-point of training and the Final RCP approximately two months before the end of training for all Foundation Dentists and will enable the Foundation Dentist, the Postgraduate Dental Dean and employers to document that the competence and progress required is being gained at an appropriate rate and through appropriate experience. The Reviews are not in themselves a means or tool of assessment but have been designed to fulfil the following functions:

- provide an effective mechanism for recording the evidence of the Foundation Dentist's progress within the training programme
- provide a means whereby the evidence of the outcome of formal assessment, (e.g. agreed in-work assessment tools and other assessment strategies), which are part of the assessment programme, are coordinated and recorded to provide a coherent record of a Foundation Dentist's progress
- provided adequate documentation has been presented, to make judgements about the competence and progress of a Foundation Dentist
- provide a basis for formally implementing targeted and/or remedial training if deemed necessary by the panel
- provide a final statement of the Foundation Dentist's

demonstration of the competences and requirements for Dental Foundation Training (Final RCP only) and, if satisfactory, a recommendation for the completion of the training programme. This will enable the Postgraduate Dental Dean to award a Certificate of Satisfactory Completion of Dental Foundation Training

- ensure that Educational Supervisors, the practice and training opportunities in training placements are satisfactory. Negative feedback on such issues may be reported directly to the Deanery/HEE Local Office. In addition, concern may be raised in survey data. In the first instance, the Deanery/HEE Local Office will attempt to resolve matters and ensure that the Foundation Dentist is not penalised. However, the Deanery/HEE Local Office will need to ensure that any clinical skills or knowledge missed is provided in an alternative way. Unresolved issues may require the Postgraduate Dental Dean to initiate a targeted visit

The RCP process is applicable to all Foundation Dentists, including the Dental Foundation Training element of General Professional Training (GPT) schemes.

## **5.7 The RCP Panels**

The panels have two objectives:

- to consider and approve the adequacy of the evidence and documentation provided by the Foundation Dentist. The panel should provide comment and feedback where applicable on the quality of the structured Educational Supervisor's report or assessor's documentation;
- provided that adequate documentation has been presented, to make a judgement about whether or not training is progressing in a satisfactory manner (Interim RCP) or has been satisfactorily completed (Final RCP).

## 5.8 RCP Outcomes in Dental Foundation Training

Outcome and Descriptor	Detail	Applicable to Panel(s)
<p><b>Outcome 1</b> Demonstrating progress and the development of competences and prescribed elements at the expected rate.</p>	<p>Satisfactory progress is defined as demonstrating the competences within the dental foundation curriculum approved by the Departments of Health at the rate required and meeting the prescribed elements of the Deanery/HEE Local Office training programme. The rate of progress should be measured within the context of the above.</p>	<p>Interim RCP</p>
<p><b>Outcome 2</b> Development of specific competences and/or prescribed elements required</p>	<p>The Foundation Dentist may not have demonstrated the competencies and/or prescribed elements at an appropriate level at this stage and some of these need to be further developed. The panel will need to specifically identify in writing the further development(s) which is/are required. The documentation will be returned to the TPD, who will make clear to the Foundation Dentist, the Educational Supervisor and the employer (where different) what must be done to achieve the required competences and the assessment strategy for these. At the Final Review of Competence Progression (Final RCP) it will be essential to identify and document that these competences have been met.</p>	<p>Interim RCP</p>
<p><b>Outcome 3</b> Inadequate progress by the Foundation Dentist – additional training time required.</p>	<p>The panel has identified that a formal additional period of training is required which will extend the duration of the training programme. Where such an outcome is anticipated, the Foundation Dentist must meet with the panel. The Foundation Dentist, Educational Supervisor and (where different) the employer will need to receive clear recommendations from the panel about what additional training is required and the circumstances under which it should be delivered (e.g. concerning the level of supervision). It will, however, be a matter for the Deanery/HEE Local Office to determine the details of the additional training within the context of the panel's recommendations, since this will depend on local circumstance and resources. Where such additional training is required because of concerns over progress, the overall duration of the extension to training is at the discretion of the Postgraduate Dental Dean, but with an absolute maximum of one year additional training during the total duration of the training programme. The panel should consider the outcome of the remedial programme as soon as practicable after its completion.</p>	<p>Final RCP Stage 2</p>
<p><b>Outcome 4</b> Released from training programme with competencies demonstrated/not demonstrated identified</p>	<p>The panel will recommend that the Foundation Dentist is released from the training programme if there is still insufficient and sustained lack of progress, despite having had additional training to address concerns over progress, if appropriate. The panel should ensure that any relevant competency areas which have been demonstrated by the Foundation Dentist are documented. The Foundation Dentist may wish to seek further advice from the Postgraduate Dental Dean about future career options.</p>	<p>Final RCP Stage 2</p>

<p><b>Outcome 5</b> Incomplete evidence presented – additional evidence required</p>	<p>The panel can make no statement about progress or otherwise since the Foundation Dentist has supplied either no information or incomplete information to the panel. If this occurs the Foundation Dentist may require additional time (normally a maximum of ten working days) to submit the evidence. Once the required documentation has been received, the panel should consider it (the panel does not have to meet with the Foundation Dentist if it chooses not to and the review will be done “virtually” if practicable) and issue an assessment outcome. In Final RCP this review may be carried out by a Stage 2 Panel</p>	<p>Interim RCP  Final RCP Stage 1</p>
<p><b>Outcome 6</b> Demonstrated all required competences and prescribed elements</p>	<p>The panel will recommend that the Foundation Dentist has completed the training programme and for award of a Certificate of Satisfactory Completion of Dental Foundation Training (CSCDFT) by the Postgraduate Dental Dean. The panel will need to consider the overall progress of the Foundation Dentist and ensure that all the competency areas of the curriculum have been demonstrated and all prescribed elements within the programme have been submitted to a satisfactory standard before recommending the Foundation Dentist for completion of the training programme to the Postgraduate Dental Dean.</p>	<p>Final RCP Stage 1  Final RCP Stage 2  Outcome 6R Review</p>
<p><b>Outcome 6R</b> Demonstrated all required competences and prescribed elements subject to completion of identified actions</p>	<p>An Outcome 6R will be recommended when a Foundation Dentist has completed the majority of the requirements for Satisfactory Completion and any missing requirements should be able to be completed within the initial period of training. In awarding an Outcome 6R the panel will consider realistically the ability of the Foundation Dentist to complete the outstanding requirements within the specified period. If this is not likely to be the case, an Outcome 6R should not be recommended.</p> <p>The panel will need to consider the overall progress of the Foundation Dentist and ensure that the majority of competency areas of the curriculum have been demonstrated and/or the majority of the prescribed elements within the programme have been submitted to a satisfactory standard. The panel will need to identify the specific elements that must be demonstrated and reviewed within the remainder of the specified training period for satisfactory completion of the training programme to be confirmed.</p>	<p>Final RCP Stage 1  Final RCP Stage 2</p>
<p><b>Outcome 7</b> Referral to Stage 2 Panel for further consideration</p>	<p>The panel is unable to recommend an Outcome 6 for the Foundation Dentist and has forwarded the evidence provided for consideration by a Final Review of Competence Progression Stage 2 panel for review.</p>	<p>Final RCP Stage 1</p>

## 5.9 Review of Competence Progression (RCP) Panels

The panels have an important role which their composition should reflect. Interim RCP Panels will have a local composition with increasing externality for Final RCP Stage 1 and Stage 2 Panels.

### 5.10 Interim RCP Panels

Interim RCP Panels should consist of at least the two following panel members:

- Regional Foundation Programmes Advisor or Associate Dean or equivalent
- TPD or equivalent from another Scheme in the Deanery/HEE Local Office area

The TPD or equivalent from the Foundation Dentist's Scheme may be in attendance to provide information or clarification if requested by the Panel. The Scheme TPD should not be involved in setting the Panel's Outcome recommendation or in presenting the evidence to the Panel.

Interim RCP Panels can award only *one* of the following Outcomes (see 5.8 for details):

- **Outcome 1** (Demonstrating progress and the development of competences and prescribed elements at the expected rate) or;
- **Outcome 2** (Development of specific competences and/or prescribed elements required) or;
- **Outcome 5** (Insufficient Evidence).

For operation purposes an Interim RCP Panel could review more than one Scheme at a sitting, subject to the requirements of paragraph 7.40.

In addition, where an Outcome 2 is anticipated it may be advisable to invite an external assessor (Lay Member or TPD or equivalent from another Deanery/HEE Local Office) to join the Panel.

### 5.11 Final RCP Panels (Stage 1)

Final RCP Panels (Stage 1) should consist of at least two of the following three panel members:

- Regional Foundation Programmes Advisor or Associate Dean or equivalent
- TPD or equivalent from another Scheme within the Deanery/HEE Local Office
- TPD or equivalent from another Scheme outside the Deanery/HEE Local Office area
- TPD or equivalent from the Foundation Dentist's Scheme may be in attendance to provide information or clarification if requested by the Panel. The Scheme TPD should not be involved in setting the Panel's Outcome recommendation or in presenting the evidence to the Panel.

Limited externality is required as the Final RCP Panel (Stage 1) is only able to award the following Outcomes (see 5.8 for details):

- **Outcome 5** (Insufficient Evidence) or,
- **Outcome 6** (Demonstrated all required competencies and prescribed elements) or,
- **Outcome 6R** (Demonstrated all competences and prescribed elements subject to completion of identified actions) or,
- **Outcome 7** (Referral to Stage 2 Panel for further consideration)

### 5.12 Final RCP Panels (Stage 2)

Final RCP Panels (Stage 2) should consist of at least the following four panel members:

- Regional Foundation Programmes Advisor or Associate Dean or equivalent
- Regional Foundation Programmes Advisor or Associate Dean or equivalent from another Deanery/HEE Local Office
- TPD or equivalent from another Programme in the Deanery/HEE Local Office area or in another area
- Lay member and/or other external representative

Additional externality is required as the Final RCP Panel (Stage 2) is able to award the following Outcomes (see 5.8 for details):

- **Outcome 3** (Inadequate progress by the Foundation Dentist – additional training time required) or;
- **Outcome 4** (Released from training programme with competences demonstrated/not demonstrated identified) or;
- **Outcome 6** ((Demonstrated all required competencies and prescribed elements) or,
- **Outcome 6R** (Demonstrated all competences and prescribed elements subject to completion of identified actions)

In the event of a Final RCP Stage 2 Panel recommendation of Outcomes 3 or 4, the external members should be present or party to the decision by virtue of teleconference or correspondence.

If required, a Final RCP Stage 2 Panel will meet as soon as practicable after Stage 1 Panels to consider any cases referred to it by a Stage One Panel. Final Review Stage 2 Panels can award Outcomes 3, 4, 6 or 6R.

Since decisions from the Final RCP Stage 2 Panel have important implications for both the public and for individual Foundation Dentists the inclusion of a lay member and/or other external representative is essential to ensure consistent, transparent and robust decision-making on behalf of both the public and Foundation Dentists. Lay members will be appointed from a list compiled by the Deanery/HEE Local Office or, where this is not possible, a lay member may be may be an executive or non-executive member of a Deanery/HEE Local Office board or other senior non-dental member of management. Other external members may be included from an appropriate organisation

for quality assurance purposes. Lay participants and other external representative will need to receive appropriate training to undertake this work.

Depending on the number of assessments referred to the Final RCP Stage 2 process, the Stage 2 Panels may be combined to carry out reviews for more than Deanery/HEE Local Office. In this eventuality, the principle of a minimum of four Panel members as described above, should be maintained

Where it is likely or even possible that a Foundation Dentist could have an outcome indicating insufficient progress which will require an extension to the time for completion of the training programme, the TPD should notify the Associate Dean/Regional Advisor or equivalent.

If a lay or other external member has concerns about the outcomes from the panel, these will be raised with the Postgraduate Dental Dean for further consideration. The Postgraduate Dental Dean may decide to establish a different panel to consider further the evidence that has been presented and the outcomes recommended.

All members of Panels (including the lay member and those acting as external members) must be trained in equality and diversity issues. This training should be kept-up-to date and should be refreshed every three years.

### 5.13 Assessment of Outcome 6R Evidence

Assessment of Outcome 6R evidence will be limited to the Foundation Dentist's submission of evidence against one or more specific requirements set by a Final RCP (Stage 1 or 2) panel and will determine whether or not a Foundation Dentist receives a Certificate of Satisfactory Completion of Dental Foundation Training (CSCDFT) or a Certificate of Completion of Dental Foundation Training (CCDFT).

The recommendations of assessors of Outcome 6R evidence must be recorded on the relevant RCP form – (see Panel Report PR4 in Supplement 2)

Assessors of Outcome 6R evidence should consist of at least two Deanery/HEE Local Office TPDs or Administrators, one of whom should be the Regional Advisor/Associate Dean/PAD. Where an Outcome 4 is anticipated, another TPD should review the submission and a majority view taken. The majority decision of the reviewers is final.

Assessors are only able to award *one* of the following Outcomes (see [5.8](#) for details):

- **Outcome 6** (Demonstrated all required competencies and prescribed elements) or,
- **Outcome 4** (Released from training programme with competencies demonstrated/not demonstrated identified).

Evidence must be submitted by the Foundation Dentist for review before the end of the allotted training time to demonstrate that the requirements set by a Final RCP Panel (Stages 1 or 2) in connection with an Outcome 6R award have been met. Where all requirements

have been demonstrably met, the assessors will recommend that an Outcome 6 is confirmed and a Certificate of Satisfactory Completion of Dental Foundation Training (CSCDFT) issued. Where some or all of the requirements have not been met, the assessors will recommend the award of an Outcome 4 and a Certificate of Completion of Dental Foundation (CCDFT) issued with the outstanding requirements identified on the reverse.

#### **5.14 How the panels work**

All panels will be convened by the Deanery/HEE Local Office. The Interim and Final panels will normally be chaired by the Regional Advisor/Associate Dean.

The process is an assessment of the documented evidence that is submitted by the Foundation Dentist and as such *the Foundation Dentist should not normally attend the panel*. Foundation Dentists must *not* be present at the panel assessment meeting.

Any mitigating circumstances should be identified before the review meeting by the TPD and/or ES Reports, and/or a written submission to the review by the Foundation Dentist.

However, where the TPD or Educational Supervisor has indicated that there may be an unsatisfactory outcome through the review process (Outcomes 2, 3 or 4), the Foundation Dentist will have been informed prior to the panel of the possible outcome and should meet with the panel chair to receive feedback after the panel has considered the evidence and made its judgement. If this is not possible, the Foundation Dentist should receive feedback from the panel chair or Regional Advisor/Associate Dean as soon as practicable afterwards.

The purpose of the Foundation Dentist meeting with the panel *after* it has reached its decision (for the reasons described in 7.47) is to discuss the recommendations for focused or additional remedial training if these are required. If the panel recommends focussed training on the acquisition of specific competences (Outcomes 2 or 3) then the timescale for this should be agreed with the Foundation Dentist.

If additional remedial training is required (Outcome 3), the panel should indicate the intended outcome and proposed timescale. The details of *how* a remedial programme will be delivered will be determined by the TPD, Regional Advisor/Associate Dean and the Postgraduate Dental Dean. The remedial programme will be planned within the context of available resources, taking into account the needs of other Foundation Dentists in the Dental Foundation programme and must be within the limits of patient safety.

This additional training must be agreed with the Foundation Dentist, and with the proposed training site/employer and Educational Supervisor who will be providing it. Full information about the circumstances leading to the additional training requirement must be transmitted by the Deanery/HEE Local Office to the proposed Educational Supervisor and employer (where applicable), including any areas of weakness and any negative reports. The information transmission will be shared with the Foundation Dentist but agreement to it being shared with any new employer and Educational Supervisor

is a requisite of continuing in the training programme.

Panels should systematically consider the evidence as presented for each Foundation Dentist against the Dental Foundation Training Curriculum assessment framework and make a judgement based upon the defined criteria so that one of the outcomes described in subsection 5.10 ([Interim RCP](#)) or in 5.11-5.12 ([Final RCP](#)) is agreed.

Details of placements, training modules etc. completed by the Foundation Dentist must be recorded on the relevant RCP form – (see Panel Reports PR1 (Interim RCP), PR2 (Final RCP Stage 1) and PR3 (Final Review Stage 3) in Supplement 2). An RCP outcomes form is required for all Foundation Dentists, even where they do not complete a review.

At the Final RCP the expected date for satisfactory completion of Dental Foundation Training should be considered, taking into account such factors as a change to or from less than full-time training or delays in achieving the standard of competence described within the Dental Foundation Training Curriculum, for whatever reason. The expected date for the satisfactory completion of training is important information, since it is required for planning subsequent recruitment into the Dental Foundation Training programme and for keeping an overview of the available workforce in the Dental Foundation Training.

The outcome recommended by the panel will be made available by the Postgraduate Dental Dean to the Training Programme Director (TPD) or equivalent. The TPD will receive three copies of the outcomes form:

- one copy should be sent to the Foundation Dentist's Educational Supervisor. This should be used to form the basis of the further educational appraisal and workplace based assessment that the Educational Supervisor undertakes.
- the second copy should be given to the Foundation Dentist who must sign it and return it to the Deanery/HEE Local Office within **ten** working days. The Foundation Dentist should retain a copy of the signed form in their portfolio. The Deanery/HEE Local Office will retain the signed copy in the Foundation Dentist's file. Where electronic systems for assessment/annual reviews are used, digital signatures will be acceptable
- the third copy will be retained by the TPD. The TPD (with or without the Foundation Dentist's Educational Supervisor) should arrange to meet with the Foundation Dentist to **discuss the outcome** and to **plan** the next part of their training where this is required (subsection [5.21](#)) and document the plan fully. Where the Educational Supervisor is not present at such a meeting, it is important that s/he is briefed by the TPD.

Any concerns which emerge about a Foundation Dentist's fitness to practice must be reported without delay to the Postgraduate Dental Dean for further advice and guidance.

## 5.15 RCP Panels Meetings

Interim Review Panels will normally meet during the sixth month of Dental Foundation Training to assess the progress of each Foundation

Dentist to date. Interim Review Panels will be locally (Deanery/HEE Local Office) based and can award Outcomes 1, 2 or 5 only (see subsection [5.10](#))

Stage One Final Review Panels will normally meet during the tenth month of Dental Foundation Training and can award Outcomes 5, 6, 6R or refer the case to a Stage 2 Panel (Outcome 7).

Stage Two Final Review Panels will normally meet towards the end of the tenth month or beginning of the eleventh month to consider any cases referred to it by a Stage One Panel. Stage Two Final Review Panels can award Outcomes 3, 4, 6 or 6R. Depending on the caseload, a Stage 2 panel may be regionally rather than locally based.

#### **5.16 Additional or remedial training**

Whilst the review panel must recommend the outcome for an individual Foundation Dentist on the basis of the submitted evidence it must also take into account any mitigating factors on the Foundation Dentist's part such as ill health or domestic circumstances. This information should be available as part of the evidence submitted in advance to the panel. It should also consider aspects within the environment such as changing circumstances or the supervision available in determining its specific recommendations with respect to the additional time which may be required. Whilst these factors should be taken into account in planning future training for the individual Foundation Dentist, they in and of themselves should not change the outcome arrived at based on the available evidence received by the panel.

The panel may identify the need for additional training time (Outcome 3 or Outcome 5) which extends the indicative date for completion of the training programme for a Foundation Dentist. This has important implications overall for the use of training and educational resources, since it means that an individual Foundation Dentist with delayed progress requires more of the training resource beyond the resources allocated for Dental Foundation Training. Additional costs in connection with both salary and placement are considerable.

However, because it is recognised that Foundation Dentists may progress at different rates for a number of reasons, at the discretion of the Postgraduate Dental Dean, Foundation Dentists may be able to have additional training time of normally up to six months within the total duration of the training programme, but with an absolute maximum of one year additional training during the total duration of the training programme. If the Foundation Dentist fails to comply with the planned additional training, he/she may be asked to leave it and the training programme before the additional training has been completed

When additional training is required, the Postgraduate Dental Dean will establish specific educational agreements (and a new contract of employment and side letter with the employer) with the receiving training practice and Educational Supervisor, which will cover all aspects of the placements, including detailing the training required, clinical limitations on practice and any measures in place from the regulator. This will ensure that the Foundation Dentist receives the training that has been identified, as well as assuming patient safety during the process.

In most cases additional training will resolve the issue and the Foundation Dentist in question will complete the Dental Foundation Training programme. In certain circumstances following additional training, it is possible that the Foundation Dentist still does not meet the standards required, either of the Dental Foundation programme or of dentistry in general. Such an outcome must be based on substantial documented evidence.

The outcome of any additional training will be reviewed by a Final Review Panel convened for that purpose which may seek to take further and external advice from other senior clinicians in the programme. The panel will decide if the outcome of the additional training allows the Foundation Dentist to complete the Dental Foundation Training programme, whether further additional training is required, or if they have not met or even cannot meet the standards required. The latter case will lead to the recommendation that the Foundation Dentist leaves the programme. The Foundation Dentist will be provided with documentary evidence of the competency areas and prescribed elements that they have demonstrated. Following such a recommendation, the Postgraduate Dental Dean will advise the Foundation Dentist that their Dental Foundation Training has been discontinued. The Postgraduate Dental Dean will also notify Educational Supervisor and the NHSE Area Team (or the equivalent organisation in Wales or Northern Ireland) that the individual is no longer in Dental Foundation Training and that, following statutory guidance, their contract of employment be withdrawn.

#### **5.17 The role of the Postgraduate Dental Dean in the RCP Process**

The Postgraduate Dental Dean has responsibility for a range of managerial and operational issues with respect to postgraduate dental training. Amongst these is the management of the review process, the setting up of panels and the provisions for further review and appeals.

The Postgraduate Dental Dean should maintain a training record for each Foundation Dentist in which completed review outcome information is stored. For security purposes a photograph of the Foundation Dentist should be attached to this folder. The folder, previous outcome forms and supporting documentation must be available to the panel whenever the Foundation Dentist is reviewed. The Postgraduate Dental Dean's staff will provide administrative support for the panel. This information may be stored electronically by the Deanery/HEE Local Office.

On appointment of the Foundation Dentist to the training programme the Postgraduate Dental Dean will:

- ensure that an approved contract of employment and side letter is in place between the Foundation Dentist and their employer
- enter into an Educational Agreement with the Foundation Dentist setting out the obligations of the Foundation Dentist and those of the Postgraduate Dental Dean within the training programme
- enter into an Educational Agreement with the Educational Supervisor and the Educational Supervisor's employer (if different) setting out the obligations of the Educational

Supervisor and the Educational Supervisor's employer (if different) and those of the Postgraduate Dental Dean within the training programme.

- place copies of the above contact, side letter practice disciplinary and grievance policies and educational agreements in the appropriate Deanery/HEE Local Office folder to enable the Deanery/HEE Local Office information to be updated.

At the end of each review process the Postgraduate Dental Dean will:

- forward copies of the outcome document to the Foundation Dentist, the Foundation Dentist's Educational Supervisor and the relevant Training Programme Director (TPD)
- place a copy in the Foundation Dentist's Deanery/HEE Local Office folder

Where concerns about a Foundation Dentist have been raised with the Postgraduate Dental Dean – either following an outcome from the review process or through some other mechanism - the Postgraduate Dental Dean (or named deputy) should liaise directly with the Educational Supervisor and (where applicable) the practice owner where the Foundation Dentist is employed to investigate and consider whether further action is required.

#### **5.18 The role of the Training Programme Director (or equivalent) in the RCP Process**

If the outcome of a review is **not satisfactory** then the TPD and Educational Supervisor should arrange to meet with the Foundation Dentist. A meeting time should have already been agreed prior to the panel meeting since the Foundation Dentist, TPD and Educational Supervisor will have been aware of the possibility/likelihood of an adverse outcome from the panel.

The purpose of this meeting is to discuss the further action which is required as a result of the panel's recommendations. If necessary, the TPD should arrange to have a member Deanery/HEE Local Office support staff present to document the agreed arrangements. A copy of the outcome documentation and the plan to support further action should be given to the Foundation Dentist and should also be retained in the Foundation Dentist's file at the Deanery/HEE Local Office. It is important to note that this meeting is not about the decision taken by the panel, but is about planning the required action which the panel has identified must be taken in order to address the areas of competence/experience that require attention.

#### **5.19 The role of the Foundation Dentist in the RCP Process**

Foundation Dentists will need to sign the appropriate Educational Agreement which reminds them of their professional responsibilities, including the need to participate actively in the assessment process. These obligations relate to professional and training requirements and do not form any part of the contract of employment. A copy of the signed form must be sent to the Postgraduate Dental Dean by the Foundation Dentist. Foundation Dentists must ensure that the Deanery/HEE Local Office has an up-to-date email address at all times and is one which the Foundation Dentist regularly checks.

## **5.20 Review of competence progression for Foundation Dentists in less than full time training**

The review process for Foundation Dentists in less than full-time training will take place at the equivalent time in the programme as for full-time Foundation Dentists. The panel should take particular care to consider that progress has been appropriate. It is helpful to express the part-time training undertaken by a Foundation Dentist as a percentage of full-time training so that the calculation of the date for the end of training can be calculated based on the specific Dental Foundation requirements.

## **5.21 Review Planning following Outcomes 2 or 3**

Once the outcome for a Foundation Dentist is known, Foundation Dentists must meet with their Educational Supervisor and/or TPD to plan the next phase of their training.

The plan for the Foundation Dentist's next phase of training should be set within the context of the objectives that must be met during the next phase of training and must reflect the requirements of the Dental Foundation Training curriculum.

The appraisal and planning meetings should be coordinated to ensure that the Foundation Dentist's objectives and RCP review outcomes drive the planning process, rather than the reverse.

Once the plan for the Foundation Dentist's next phase of training has been agreed, this should be documented within the Foundation Dentist's learning portfolio

It should never come as a surprise to Foundation Dentists that action through the annual review process is under consideration since any shortcomings should be identified and discussed with them as soon as it is apparent that they may have an effect on progress.

The review panel chair (or nominated representative) will meet with all Foundation Dentists who are judged on the evidence submitted to:

- require development of specific competences and/or prescribed elements required (Outcome 2 – Interim RCP)
- require additional training because of inadequate progress (Outcome 3 – Final RCP); or
- be required to leave the training programme before its completion (Outcome 4 – Final RCP)

The purpose of this meeting is to plan the further action which is required to address issues of progress in relation to Outcome 2 or Outcome 3 and to make clear to the Foundation Dentist the competences with which a Foundation Dentist who has an Outcome 4 will leave the programme.

However, a Foundation Dentist has the right to request a review and in some circumstances, an appeal if one of these outcomes is recommended by the Final review panel.

## 5.22 Reviews and Appeals of RCP Outcomes

A **review** is a process where an individual or a group who originally made a decision return to it to reconsider whether it was appropriate. They must take into account the representations of the person asking for the review and any other relevant information, including additional relevant evidence, whether it formed part of the original considerations or has been freshly submitted.

An **appeal** is a procedure whereby the decision of one individual or a group is considered by another (different) individual or body. Again, an appeal can take into account both information available at the time the original decision was made, newly submitted information and the representations of the appellant. Those involved in an appeal must not have played a part in the original decision or the review.

## 5.23 Review of Outcomes 2 and 6R

Outcome 2 usually involves closer than normal monitoring, supervision and feedback on progress to ensure that the specific areas of competence which have been identified for further development are obtained, but does not require that the indicative date for completion of the training programme will change. The Interim Review Panel will have recorded the evidential basis on which the decision was made and it will have been documented on the outcome form and communicated to the Foundation Dentist by the Regional Advisor/Associate Dean or the Training Programme Director.

Outcome 6R requires the Foundation Dentist to carry out one or more specific actions to satisfactorily complete Dental Foundation Training. The Final Review Panel (Stage 1 or 2) will have recorded the specific requirements which will have been documented on the outcome form and communicated to the Foundation Dentist by the Regional Advisor/Associate Dean or the Training Programme Director.

The Foundation Dentist will have the opportunity to discuss these outcomes with the Regional Advisor/Associate Dean or the Training Programme Director and to see all the documents on which the decision about the outcome was based. If the Foundation Dentist disagrees with the decision they have a right to ask for it to be reconsidered. Requests for such reconsideration (review) must be made in writing to the Postgraduate Dental Dean within six working days of being notified of the panel's decision. The Postgraduate Dental Dean will then arrange a review of the decision which should take place within eleven working days of receipt of such a request from a Foundation Dentist. Foundation Dentists may provide additional evidence at this stage (e.g. evidence of mitigating circumstances or other evidence relevant to the original panel's decision) and this must be received as part of the request for the review so that the panel is able to consider it in detail. The review may be undertaken virtually and the Chair will endeavour to include as many panel members as possible. After the review, the panel will ensure the trainee receives its decision with reasons in writing. If the panel considers it appropriate, it may invite the trainee to meet with a senior representative to discuss the decision of the review.

The panel which is reviewing the Outcome 2 recommendation should have administrative support from the Deanery/HEE Local Office so that

its proceedings can be documented. An account of the proceedings should be given to the Foundation Dentist and also retained by the Deanery/HEE Local Office. A decision of the panel following such a review is final and an appeal process is not applicable.

#### **5.24 Appealing the review of competence progression outcome: Outcomes 3 and 4**

Foundation Dentists will have the right of appeal if they receive an outcome which results in a recommendation for:

- an extension of the indicative time to complete the training programme (Outcome 3) or
- the Foundation Dentist to leave the training programme with identified areas of competence that have been demonstrated, but without completion of the programme (Outcome 4)

Such outcomes will usually be derived from the review panel, but may also be the result of the Regional Advisor/Associate Dean having requested that the panel convene specifically to consider the progress of a Foundation Dentist causing concern, despite informal attempts to address these through the appraisal process. This decision would normally be undertaken in consultation with the Postgraduate Dental Dean.

Foundation Dentists will be asked to indicate at a Final review panel that they understand the panel's recommendation. Appeals should be made in writing to the Postgraduate Dental Dean within six working days of the Foundation Dentist being notified of the panel's decision.

The appeal procedure has two steps.

#### **5.25 Step 1: Review**

Step 1 provides the opportunity for discussion between Foundation Dentist, Educational Supervisor, TPD and Regional Advisor/Associate Dean to resolve matters. The purpose of this stage is to reach a common understanding of a Foundation Dentist's problems and to decide on the best course of action. The discussion should take place within six working days of the appeal being notified to the Postgraduate Dental Dean.

Where, following the Step 1 process, a Foundation Dentist accepts that areas of competence have not been demonstrated, thereby resulting in an extension to the planned training programme, an action plan should be developed, including identification of the criteria and evidence against which demonstration of competences will be assessed. In addition, a revised indicative date for completion of training should be set by the Postgraduate Dental Dean. This should not normally be greater than an aggregated period of six months from the original date of the end of training, except in *exceptional* circumstances agreed by the Postgraduate Dental Dean when the maximum period of further training can be extended to one year.

#### **5.26 Step 2: Formal appeal hearing**

If a Foundation Dentist does not accept the outcome of Step 1, they have the right to request an appeal hearing. Appeal requests should be made in writing to the PGDD within ten working days of the trainee

being notified of the ARCP outcome or review decision, whichever is the later. The request must specifically state the grounds for appeal.

If the request is accepted, the appeal is undertaken by a different group of educators to those on the original panel, and any subsequent review. The PGDD will convene an appeal panel to consider the evidence and to form a judgement. It should consider evidence from both the trainee and from those who are closely involved with their training such as the ES or TPD. Where the trainee has agreed to this, written-only evidence is acceptable. Foundation Dentists may support their appeals with further written evidence. Should the trainee wish to submit additional documentary evidence for the panel to consider as part of the appeal, this must be received at least five working days before the appeal hearing.

A formal appeal hearing should normally take place within eleven working days of receipt of a request for an appeal where practicable. Members of the original review panel must not take part in the appeal process. All documentation which will be considered by the appeal panel must be made available to the Foundation Dentist.

If the review panel has recommended that the Foundation Dentist should be withdrawn from the training programme, the Postgraduate Dental Dean should always assume that a Step 2 hearing request will follow and take the necessary steps to arrange it. An appeal hearing in these circumstances should proceed unless the Foundation Dentist formally withdraws, in writing, from the programme at this stage. The Postgraduate Dental Dean should always confirm the position in writing with the Foundation Dentist where the Foundation Dentist declines an appeal hearing.

The Postgraduate Dental Dean will convene an appeal panel to consider the evidence and to form a judgement. The hearing should be arranged as near to local Deanery/HEE Local Office level as possible. It should consider representations and evidence from both the Foundation Dentist and from those who are closely involved with their training, such as the Educational Supervisor or TPD. The appeal panel should include:

- the Postgraduate Dental Dean or a nominated representative as chair,
- a Postgraduate Dental Dean or nominated representative from an adjacent region,
- a Regional Advisor/Associate Dean Postgraduate Dental Dean from an adjacent region,
- a Lay and/or other external representative.

The membership of the panel should not include any of those involved in the discussions under Step 1 nor should it include any members of the original Final review panels. A representative from the Deanery/HEE Local Office must be present to advise the chair, for example, on specific equal opportunities matters and to record the proceedings of the appeal.

Where the local Postgraduate Dental Dean has been part of an Interim and/or Final Review Panel, an appeal panel should be chaired by a Postgraduate Dental Dean from another Deanery/HEE Local Office area and the local Postgraduate Dental Dean should not take part in the appeal panel process.

Depending on the number of appeals received, appeal panels may be

combined to carry out appeals for more than Deanery/HEE Local Office. In this eventuality, the principle of a minimum of four Panel members, as described above, should be maintained.

Foundation Dentists have a right to be present at the appeal, to address it and to submit written evidence beforehand. Foundation Dentists may bring additional representation, such as a friend, colleague, or a representative from a professional body. It is not usual for a family member or legal representative to be present at appeals. If the Foundation Dentist wishes to bring a legal representative, this will be at the discretion of the panel chair and requests must be made five working days in advance of the appeal hearing. Legal representatives should be reminded that appeal hearings are not courts of law and the panel governs its own procedure, including the questioning to be allowed of others by the legal representatives.

Foundation Dentists will be notified in writing of the panel's decision with reasons within five working days where possible of the appeal hearing. The decision of the appeal panel is final and there is no further right of appeal.

Where following the appeal process a Foundation Dentist accepts that areas of competence have not been fully demonstrated, thereby resulting in an extension to the planned training programme (outcome 3), an action plan should be developed, including identification of the criteria against which achievement of competences will be assessed. In addition, a revised indicative date for completion of training should be set. This should not normally be greater than six months from the original indicative date of the end of training, except in *exceptional* circumstances agreed by the Postgraduate Dental Dean when the maximum period of further training can be extended by a further six months.

Outcome documentation from the original Final review panel should not be signed off by Postgraduate Dental Deans until all review or appeal procedures have been completed.

The review or appeal panels may decide at any stage that Outcomes 2, 3 or 4 are not justified. If so, the original evidence and outcome will be recorded and retained by Postgraduate Dental Deans but the outcome should be amended to indicate only the agreed position following review or appeal. This revised documentation should be forwarded to those indicated in subsection [5.17](#)

- It may be that the outcome of an appeal is to alter an earlier recommendation while still maintaining the view that progress has been unsatisfactory. For example, a decision to withdraw a Foundation Dentist from a programme may be replaced by a requirement for an extension of training time in order to gain the required competences. In such cases, the outcome documentation should show only the position following the decision of the appeal panel.
- When an Outcome 4 recommendation is upheld by the appeal panel, the Postgraduate Dental Dean will be notified and will write to the Foundation Dentist to confirm the decision at the completion of the appeal process. The effective date for the cessation of the training programme is the date of the letter confirming the decision by the Postgraduate Dental Dean.

- An appeal panel should not impose an increased sanction on the Foundation Dentist, whereby a RCP Outcome 3 may be changed to an Outcome 4. Where new information has come to light that may raise a concern, these issues will be brought to the attention of the PGDD.
- Where lack of progress may result in the extension or termination of a contract of employment, the employer should be kept informed of each step in the appeal process.

### **5.27 Termination of a training contract**

A Foundation Dentist dismissed from their contract of employment for misconduct will normally be deemed by the Postgraduate Dental Dean to be unsuitable to continue with the Dental Foundation Training programme.

### **5.28 Quality Management and Quality Assurance arrangements**

Local externality within the Interim RCP process is provided by the inclusion of a TPD or equivalent from another Scheme on the Panel and the ability to include an assessor from another Deanery/HEE Local Office where an Outcome 2 is anticipated.

Externality within the Final RCP Stage 1 process is provided by the inclusion of a TPD or equivalent from another Deanery/HEE Local Office on the Panel.

Additional externality within the Final RCP Stage 2 process is provided by the inclusion of a Regional Foundation Programmes Advisor/Associate Dean or equivalent from another Deanery/HEE Local Office and a Lay Member and/or other external representative on the Panel.

As an interim quality assurance measure, two Postgraduate Dental Deans or Associate Deans/Regional Advisors from other and different Deaneries/HEE Local Offices should review at least 10% of all local outcomes annually, together with any recommendations from the Final RCP Stage 2 Panel about concerns over progress. Further options for external quality assurance of the RCP process are being explored.

## Section 6:

### Being a Foundation Dentist and an employee

#### 6.1 Accountability issues for employers, Postgraduate Dental Deans and Foundation Dentists

Foundation Dentists are pursuing training programmes under the auspices of the Postgraduate Dental Dean and are employees in practices. In fulfilling these roles they incur certain rights and responsibilities.

While the Postgraduate Dental Dean is responsible for managing the delivery of clinical training to Foundation Dentists this is always within the context of employing bodies. Foundation Dentists therefore clearly have an employment relationship with their individual employer and are subject to individual employer's policies and procedures. It is the view of COPDEND that Postgraduate Dental Deans should be involved from the outset where performance issues arise relating to Foundation Dentists.

It is important therefore that employers are fully aware of the performance and progress of all dentists, including Foundation Dentists in their employ. In addition, there must be a systematic approach to dealing with poorly performing Foundation Dentists. In this context, the relationship between the employer and the Postgraduate Dental Dean must be clearly defined.

#### 6.2 Roles and responsibilities

The Postgraduate Dental Dean is responsible for the Foundation Dentist's clinical training and education while in recognised NHS training posts and programmes. The Postgraduate Dental Dean does not employ Foundation Dentists, but commissions training from the Educational Supervisor normally through an educational contract with the Educational Supervisor and the practice. Through this contract the Postgraduate Dental Dean has a legitimate interest in matters arising which relate to the education and training of Foundation Dentists within the employing environment.

The Postgraduate Dental Dean is also responsible for setting requirements and standards for Educational Supervisors and practices to support the delivery of good quality education and training.

HEE Local Offices/Deaneries are responsible for:

- organising training programmes/posts for Foundation Dentists
- the Reviews of Competence Progression (RCP) process
- the management of Foundation Dentists in difficulty
- the issuing of Dental Foundation Training Certificates on the authority of the Postgraduate Dental Dean.

Equally, employers have a legitimate interest in being clear about the performance of Foundation Dentists as their employees. Foundation Dentists are subject to employment law and to national and local policies and procedures which govern all aspects of their employment. Excellent two-way communication between Postgraduate Dental Deans and Educational Supervisors/employers about the performance

of Foundation Dentists is therefore essential.

So, whilst Deaneries/HEE Local Offices are responsible for commissioning and managing good quality training and education, Educational Supervisors and employers must ensure that mechanisms are in place to support the training of Foundation Dentists and to enable problems which may be identified to be addressed at an early stage in an open and supportive way. At a minimum this should include:

- ensuring that any dentists acting as Clinical Supervisors are appropriately and contemporaneously trained for their role
- ensuring that clinical responsibility is tailored to a realistic assessment of the Foundation Dentists' competence so that patient safety remains paramount and the Foundation Dentist is not put at risk by undertaking clinical work beyond his/her capability
- thorough induction to the training practice as set out in the DFT e-Portfolio. This should include, for example, introduction to key team members and their roles, a working understanding of the equipment which might be required (especially in an emergency situation), access to and requirements for the use of protocols and guidance documents, supervision arrangements, etc.
- clearly defined supervisory arrangements, including identified support when the Educational Supervisor is not present
- clearly defined and timely training arrangements for Foundation Dentists, with objectives agreed early in their training placement with their Educational Supervisor
- regular opportunities to continue to plan, review and update these objectives
- regular assessment of competence based on the COPDEND approved assessment strategy for Dental Foundation Training, undertaken by trained assessors and handled in a transparent manner with substantiated and documented evidence of poor performance and conduct where and when this is necessary
- where necessary, the support to deliver defined and agreed additional remedial training
- access to pastoral support.

### **6.3 Resignation**

On those occasions where a Foundation Dentist chooses to resign of their own volition, the Foundation Dentist must inform his/her employer in writing, complying with the length of notice set out in the Foundation Dentist's employment contract. The resignation letter must be copied to the Postgraduate Dental Dean and the relevant Deanery/HEE Local Office administrator

### **6.4 Managing concerns over performance during training**

In all professions it is recognised that sometimes employees may encounter difficulties during their career. These may show themselves in various ways, e.g. in terms of conduct, competence, poor performance, ill health or dropping out of the system.

Although it is recognised that the cost of training dentists is high and that their retention is therefore often cost effective, it cannot be at the expense of patient safety which is of paramount importance.

The Postgraduate Dental Dean should be made aware of any disciplinary action against a Foundation Dentist, at the earliest possible stage.

Once a finding has been reached, the Postgraduate Dental Dean will need to consider whether it is appropriate to arrange an alternative training placement and the terms of that placement. If it is not appropriate to arrange further placements because the findings preclude further training, removal from the training programme is the natural consequence.

Misconduct should be taken forward in accordance with the employer's agreed disciplinary procedures in line with local policies. Processes must be in accordance with those set out in employment law. The Postgraduate Dental Dean must be involved from the outset.

The Postgraduate Dental Dean will seek assurance from the Educational Supervisor and employer through the educational contract that Foundation Dentists will be managed in accordance with best employment practice.

The Postgraduate Dental Dean (or other Deanery/HEE Local Office staff) must not be involved as a member of a disciplinary or appeal panel in any disciplinary procedures taken by an employer against a Foundation Dentist, but may provide evidence to the panel and advise on training and education matters if required.

Termination of a Foundation Dentist's employment contract after due process will normally mean that Dental Foundation Training is discontinued. In such circumstances the Deanery/HEE Local Office will review the employer's reports detailing the reasons for the termination of the contract of employment and consequent dismissal, and hence determine whether the circumstances warrant a termination of Dental Foundation Training

Whilst the decision on this ultimately rests with the Postgraduate Dental Dean, a final decision will normally be reached after wider Deanery/HEE Local Office consideration of the circumstances. This process may be undertaken by correspondence or by holding a meeting.

## **6.5 Poor performance and competence**

In the first instance where there are issues around poor performance and professional competence, Educational Supervisors and employers should advise the Postgraduate Dental Dean and TPD of any Foundation Dentist who is experiencing difficulties and the action being taken to support and remedy any deficiencies. The Postgraduate Dental Dean, TPD and employer must work closely together to identify the most effective means of helping/supporting the Foundation Dentist, whilst ensuring that patient safety is maintained at all times. Educational and informal, but clearly identified and documented, action should be taken wherever possible, prior to invoking formal measures.

There may also be a need for early involvement of services such as the local Trainee Support Service or equivalent

#### **6.6 Critical incidents**

On occasion a Foundation Dentist might make or be involved in a serious, isolated clinical error. Such situations may lead to a formal inquiry and are stressful for all staff involved. The Postgraduate Dental Dean should be kept informed in writing at each stage of any such inquiry and should ensure that pastoral support is offered to the Foundation Dentist throughout the process.

#### **6.7 Poor performance and the GDC**

Foundation Dentists remain subject to regulatory action where necessary. On occasion, the performance of a Foundation Dentist may be poor enough to warrant referral to the GDC. Significant fitness to practise concerns might include serious misconduct, health concerns or sustained poor performance, any of which may threaten patient safety. Guidance on managing such situations is available from the GDC (Current Registrant/Reporting/unfitness to practise at [www.gdc-uk.org](http://www.gdc-uk.org)).

#### **6.8 Ill health**

When identified, matters relating to ill-health or to substance misuse should be dealt with through occupational health processes and outside disciplinary procedures where possible. When the Foundation Dentist's fitness to practise is impaired by a health condition, the GDC must be told and the Postgraduate Dental Dean should be informed in writing. The GDC should also be involved if the Foundation Dentist fails to comply with any measures that have been put in place locally to address health issues.

## **Protocol for making revisions to the Guide**

1. The Dental Blue Guide will be reviewed regularly to ensure correction and clarification of paragraphs if necessary and to reflect policy decisions taken since the previous publication.
2. The reviews will be undertaken by the Postgraduate Dental Deans through the COPDEND Secretariat
3. Individual stakeholders are invited to submit requests for changes/amendments to the Secretariat giving reasons why the changes are necessary
4. The COPDEND Secretariat will consider requests and write the relevant changes, subject to testing of impact of any additions.
5. Revised Guides will be published electronically with a list of the latest amendments

### **Revisions in this Version and Supplements**

- LETB changed to HEE Local Office throughout
- Consolidation of Sections
- Revised TPD Report Form for Final RCP
- New Outcome 6R
- Process to support sign-off of Outcome 6R
- Appeals process wording changed to match current best practice
- Sample Certificates of Completion added (2)
- Outcome 6R sign-off form added
- Revised guidance on recommended minimum clinical activity

## Glossary

**ABFTD - Advisory Board for Foundation Training in Dentistry:** A sub-committee of the Faculty of Dental Surgery which advises COPDEND on Dental Foundation Training matters.

**Associate Dean/Regional Advisor:** A dentist who is responsible to the Postgraduate Dental Dean for the overall organisation of Dental Foundation Training Schemes in a Deanery/HEE Local Office.

**RCP - Review of Competence Progression:** The process whereby FDs have the evidence of their progress reviewed by an appropriately convened panel so that a judgement about their progress can be made and transmitted to the Training Programme Director, the FD and the FD's Educational Supervisor and employer (where different).

**Clinical Supervisor:** A dentist who is available in the training practice to provide advice and support when the Educational Supervisor is not available. The Educational Supervisor is responsible for ensuring that any clinical supervision is provided by a suitably qualified and experienced practitioner.

**Competence:** The possession of requisite or adequate ability; having acquired the knowledge and skills necessary to perform those tasks which reflect the scope of professional practices. It may be different from **performance**, which denotes what someone is actually doing in a real life situation.

**Competences:** The skills that Foundation dentists need based on the curriculum.

**Contract:** The formal nationally approved employment contract between a Foundation Dentist and their Educational Supervisor (and Employer where different).

**COPDEND:** UK Committee of Postgraduate Dental Deans and Directors.

**CCDFT:** - Certificate of Completion of Dental Foundation Training:  
Awarded by the Postgraduate Dental Dean or Director of Postgraduate Dental Education after completion of a Dental Foundation Training programme without all the competencies or prescribed elements demonstrated.

**CSCDFT:** - Certificate of Satisfactory Completion of Dental Foundation Training:  
Awarded by the Postgraduate Dental Dean or Director of Postgraduate Dental Education after satisfactory completion of a Dental Foundation Training programme.

**Curriculum:** A statement of the aims and intended learning outcomes of an educational programme. It states the rationale, content, organisation, processes and methods of teaching, learning, assessment, supervision, and feedback. If appropriate, it will also stipulate the entry criteria and duration of the programme.

**Deanery:** In Wales and Northern Ireland, the organisation responsible for the local or regional management and delivery of Dental Foundation Training. (See 'HEE Local Office' in England).

**Dental Foundation Training:** The first year of postgraduate training in primary care for a dentist following graduation from dental school in the UK.

**DFT employment contract** Foundation Dentists are employed through a standard national contract between the ES, the FD and the practice owner (where applicable). The contract also has a side letter detailing specific items of importance for the ES, FD and employer

**Domain:** The scope of knowledge, skills, competences and professional characteristics which can be combined for practical reasons into one cluster.

**Educational agreement:** A formal educational arrangement between the trainee and the Deanery/HEE Local Office or the trainer and the Deanery/HEE Local Office.

**Educational appraisal:** A positive process to provide feedback on the Foundation Dentist's performance, chart their continuing progress and identify their developmental needs.

**Educational agreement** The Postgraduate Dental Dean does not employ Foundation Dentists, but commissions training from the employer normally through an educational agreement with the practice providing postgraduate education. Through this agreement the Postgraduate Dental Dean has a legitimate interest in matters arising which relate to the education and training of postgraduate trainees within the employing environment.

**Educational Supervisor:** A trainer who is selected and appropriately trained to be responsible for the overall supervision and management of a specified trainee's educational progress during a training placement or series of placements. The Educational Supervisor is responsible for the FD's educational agreement. In Dental Foundation Training the Educational Supervisor is also the Clinical Supervisor except when the Educational Supervisor is not available.

**Equality or Equal Opportunities:** The term used to describe 'policies and practices that tackle inequalities, aiming to ensure that all staff are treated fairly, and that service users do not experience discrimination.

**Foundation Dentist:** A dentist employed under the terms of a Dental Foundation Training or General Professional Training contract.

**GDC - General Dental Council:** The regulatory body with regard to registration of the dental team.

**GPT - General Professional Training:** A longitudinal programme combining the elements of Dental Foundation Training and Dental Core Training Year/Level 1. General professional Training normally runs for a period of two years.

**JCPTD - Joint Committee for Postgraduate Training in Dentistry:** The body responsible for advising on postgraduate training in dentistry.

**HEE Local Office – Local Education and Training Board:** In England, the organisation responsible for the local or regional management and delivery of Dental Foundation Training. (See 'Deanery' in Wales and Northern Ireland).

**Patch Associate Dean (PAD):** Equivalent role in London to Associate Dean or Regional Advisor.

**Professionalism:** Adherence to a set of values comprising statutory professional obligations,

formally agreed codes of conduct, and the informal expectations of patients and colleagues. Key values include acting in the patients' best interest and maintaining the standards of competence and knowledge expected of members of highly trained professions. These standards will include ethical elements such as integrity, probity, accountability, duty and honour. In addition to dental knowledge and skills, dental professionals should present psychosocial and humanistic qualities such as caring, empathy, humility and compassion, social responsibility and sensitivity to people's culture and beliefs.

**Regional Advisor:** See Associate Dean.

**Scheme:** A managed educational experience. Schemes and their programmes are managed by a training programme director (TPD) or their equivalent. A programme in this context is not a personal programme undertaken by a particular trainee."

**Trainee Support Tutor (TST):** Equivalent role in London to Training Programme Director.

**Training Programme Director (TPD):** A dentist who is responsible for the organisation of an individual Dental Foundation Training Scheme in a Deanery/HEE Local Office. May be known as a Foundation Training Advisor in some areas.

**Workplace based appraisal:** The process whereby trainees are appraised by their educational supervisors using the assessments and other information which has been gathered in the workplace.

**WPBA - Workplace based assessments:** The assessment of working practices that Foundation Dentists may actually do in the workplace and that are predominantly carried in the workplace.