

Appendix F – Classification Matrix for support and concerns relating to Foundation Training Year

This matrix is intended to assist trainee pharmacists, Designated Supervisors and other staff supporting the Foundation Training Year in classifying concerns, to determine when to manage internally using guidance and resources provided and when to escalate to NES for additional support. The contents are not exhaustive; however, they cover common issues that arise. It is beyond the scope of this document to provide guidance on how to manage any probity, patient safety or fitness to practise issues. Any concerns of this nature should be referred to the GPhC as the regulator.

NES should be notified when a concern has been classified as Level 3. Level 3 classification indicates that there are issues that may impact on the competency sign-off process for the trainee and/or completion of the educational programme within the commissioned timescale or where there are significant concerns about patient safety. It is recognised that in complex situations classified as Level 3, guidance on the management of the case from NES will be helpful to organisations where internal mechanisms have not led to improvements. Where this occurs, NES will provide advice to organisations on the management of the concern. If a Level 1 or 2 case escalates to 3 due to an organisation's internal mechanisms failing to lead to improvements, NES should be notified.

General assessment of level of concern:

| Level 1 | Level 2 | Level 3 |
|--|---|--|
| Suitable for management by employer's internal support mechanisms | Suitable for management by employer's internal support mechanisms | Trainee pharmacist at risk of not completing training programme within the standard timeframe |
| NES does not need to be informed unless there are concerns about programme completion or significant issues risking the integrity/quality of the trainee pharmacist's placement (such as relationship breakdown) | NES does not need to be informed unless there are concerns about programme completion or significant issues risking the integrity/quality of the trainee pharmacist's placement (such as relationship breakdown). | Competency sign-off process impacted upon |
| Support/action plan developed | Support/action plan developed | Management by employer's internal support mechanisms failed to lead to improvements/ trainee pharmacist hit trigger point (see matrix)/issue classified as Level 3 from the outset |
| Documentation should be kept on Turas training portfolio | Documentation should be kept on Turas training portfolio | Case to be escalated to NES for advice, guidance, and possible intervention |
| | Escalation via employer's HR policies/processes if appropriate | Employer's HR policies/processes underway if appropriate |

Further details on classification of level by type:

| Type of concern/ request for support | Level 1 | Level 2 | Level 3 |
|---|---|--|--|
| Progression not as expected due to performance/capability | <ul style="list-style-type: none"> • Failure to demonstrate sufficient competence in work-based assessments, time/workload management and basic organisational skills • Consistent low standard of work, for example, frequent mistakes • Performing adequately at one level but not demonstrating capability to advance to a higher level with more complex decision making, leadership skills and multi-tasking. • Trainee pharmacist unaware of limitations of role and unfamiliar with local Standard Operating Procedures (SOPs) • Basic skill development issues requiring adaption of educational plan e.g., inability to follow through tasks or instructions • Failure to successfully meet expected programme milestones/benchmarks/appraisals/progress reviews • Low-level persistent investigated incidents/never events | <ul style="list-style-type: none"> • Repeated, persistent failure to demonstrate sufficient competence in work-based assessments, time/workload management and basic organisational skills • Trainee pharmacist fails to follow SOPs causing safety/quality issue which risks an unfavourable outcome • Trust capability investigations initiated • Escalation of a performance or capability concern originally classified as Level 1 • Unsatisfactory 13-week appraisal | <ul style="list-style-type: none"> • Investigated serious incidents / never events • Escalation of trust capability/conduct investigations • Specific concerns which may require external remediation e.g., trainee pharmacist wishes to withdraw from programme • Escalation of a performance or capability concern previously classified as Level 2 • Unsatisfactory 26 and/or 39-week appraisal |

| Type of concern/ request for support | Level 1 | Level 2 | Level 3 |
|---|--|---|---|
| Attitude/ behaviour | <p>Low level persistent issues, such as</p> <ul style="list-style-type: none"> • ineffective team working or attitude with patients, colleagues, staff and families • poor rapport with patients, staff, and families • respect for people holding different views • motivation • inappropriate remarks or comments <p>Recognised lack of self-awareness and insight – acting outside of the level of competence or not acting at all</p> <p>Issues identified regarding maintaining trust and professionalism</p> | <p>Employing organisation’s conduct investigations initiated</p> <p>Trainee pharmacist continues to demonstrate issues identified regarding maintaining trust and professionalism</p> <p>Persistent significant issues, such as</p> <ul style="list-style-type: none"> • ineffective team working • attitude with patients, colleagues, staff and families • poor rapport with patients, staff, and families • respect for people holding different views • motivation • inappropriate remarks or comments <p>Recognised lack of self-awareness and insight with limited improvement</p> <p>Communication/teamwork issue which risks an unfavourable outcome in programme completion or registration</p> <p>Escalation of an attitude or behaviour concern originally classified as Level 1</p> | <p>Specific concerns which may need assessment, or remediation</p> <p>Trust conduct/disciplinary findings</p> <p>Fraud</p> <p>Persistent serious issues, such as</p> <ul style="list-style-type: none"> • ineffective team working o attitude with patients, colleagues, staff and families • poor rapport with patients, staff, and families • respect for people holding different views • motivation • inappropriate remarks or comments <p>Significant lack of self-awareness and insight</p> <p>Escalation of an attitude or behaviour concern previously classified as Level 2</p> |

| Type of concern/ request for support | Level 1 | Level 2 | Level 3 |
|---|--|--|---|
| Health | <p>Low level mental or physical health concern which is unlikely to affect progression</p> <p>Health issues that may impact upon training</p> <p>Challenges with a return-to-work schedule</p> | <p>Persistent significant mental or physical health concern which puts programme completion at risk</p> <p>Sickness absence in breach of programme, qualification/course or registration limitations. Health condition which prevents carrying out core duties</p> <p>Escalation of a health concern originally classified as Level 1</p> <p>If there are issues that may impact upon competency sign-off process for the trainee pharmacist and/or completion of the educational programme within the commissioned timescale these should be escalated to Level 3</p> | <p>Persistent serious mental or physical health concern</p> <p>Illness over 5 days compromising ability to carry out duties</p> <p>Health issues which may require change in programme/post</p> <p>Planned prolonged health related absence</p> <p>Extent of absence is jeopardising achievement of requisite number of days of practice required for registration or training programme completion (Over 40-day GPhC absence limit)</p> <p>Requests for training extension on health grounds</p> |

| Type of concern/ request for support | Level 1 | Level 2 | Level 3 |
|---|---|---|---|
| Training environment issue impacting on progression | <p>Trainee pharmacist allegations relating to the workplace which are the employer's responsibility to address, such as:</p> <ul style="list-style-type: none"> • undermining, bullying, harassment and/or discrimination • lack of resources to perform job/role • unrealistic workload • level of supervision not congruent with level of expertise expected • poor management or support from pharmacy team <p>Mismatches between trainee and educational/practice supervisor</p> | Escalation of an unresolved work environment concern originally classified as Level 1 | <p>Relationship between trainee pharmacist and educational and/or practice supervisor and/or employing organisation has broken down</p> <p>Allegations of undermining, bullying or harassment of a trainee pharmacist</p> <p>Specific concerns which may need assessment or remediation between trainee pharmacist and employer</p> <p>Any formal employing organisation's HR process triggered in relation to the working environment</p> <p>Trainee pharmacist has needs that require the content/structure of their educational plan to be substantially adapted e.g., amendment to working hours required</p> <p>Change of Designated Supervisor</p> <p>Escalation of a work environment concern previously classified as Level 2</p> |

| Type of concern/ request for support | Level 1 | Level 2 | Level 3 |
|---|---|---|--|
| Personal circumstances/ life events | <p>Family/personal issues</p> <p>Family expectations outside of work</p> <p>Low level financial issues</p> <p>Victim/witness of crime</p> | <p>Significant family/personal issues which may impact on programme completion</p> <p>Escalation of a life event originally classified as Level 1</p> | <p>Serious family/personal issues which are likely to impact on programme completion</p> <p>Prolonged planned absence (exceeding GPhC 40-day limit)</p> <p>Escalation of a life event previously classified as Level 2</p> |