

NHS Education for Scotland  
**Educational Governance Framework**  
4th edition

*Getting it right, making it better*

May 2015

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## Foreword

Our Educational Governance Framework expresses NES's commitment to high standards and improving quality across our numerous programmes. Since it was first published in 2006, the Framework has been effective in assuring our Board that educational quality and performance is subject to appropriate scrutiny. It has also made us more accountable to patients and families, other NHS Boards, the Scottish Government Health and Care Directorates, health profession regulators, education providers and our other partners and stakeholders. From the outset, the Educational Governance Framework established key principles, a robust governance structure, an accountabilities framework and a comprehensive reporting process for our educational initiatives. Although Educational Governance is analogous to clinical governance as practised by the territorial NHS Boards, it reflects our unique educational context and the importance of our relationships with partners in health, education, social services and elsewhere.

The Educational Governance Framework has been implemented vigorously across all our directorates and educational programmes. We have completed six full monitoring cycles encompassing each of our professional directorates and all major educational programmes. As confirmed by external review and internal audit, this work has been successful in assuring the NES Board about the management of educational quality and performance, highlighting areas of good practice and risks, and providing the basis for accountability and control. NES's experience of Educational Governance, together with regular reviews and audits, has greatly enhanced our collective understanding of requirements and good practice in this key area of our work. Accordingly, our core Educational Governance principles, processes and structures have evolved substantially.

This fourth edition of the Educational Governance Framework retains much of the substance of previous editions, reflecting the widely held view that our processes and practices are fit for purpose. We have however taken the opportunity to reflect on our practice and have identified ways of enhancing existing practice to ensure that Educational Governance is better aligned with our strategic priorities.

We are pleased to present the revised Educational Governance Framework as a key reference document for all NES staff involved in the planning, development, implementation and quality management of education and training. The Framework also stands as a source of assurance for other NHS Boards, the Scottish Government, primary and social care partners and others with a stake in the quality of our work.

**Caroline Lamb**  
**Acting Chief Executive**  
**NHS Education for Scotland**

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*Quality improvement is about learning. To improve we must understand where we are, where we need to be, and how to get there.*

The Health Foundation, Quality Improvement made simple (ND), London: Health Foundation

## **1. Introduction**

The governance arrangements for organisations such as NES comprise several inter-related elements; starting from broad strategic aims and including the structures and procedures used by organisations to monitor, support and control their activities. In most large organisations and businesses the term *corporate governance* is a convenient way of referring to various aspects of management including staff governance, performance management, quality assurance, financial management, information governance and research governance. NHSScotland emphasises the importance of effective governance as a means of setting strategic directions and ensuring that performance and quality are continuously improved for the benefit of patients and their families.

For territorial NHS health boards, the critical importance of standards of care is reflected in their reliance on effective clinical governance arrangements. Similarly, given NES's unique mission within NHSScotland, our Educational Governance arrangements are a defining feature of the organisation. Since the publication of the original Educational Governance Framework in May 2006, NES remains committed to its key principles. Our collective understanding of Educational Governance concepts and practice has however developed through experience of implementation, frequent review, audit and research. This fourth edition of the Framework reflects the growing maturity of Educational Governance at NES and presents some key changes in process.

The most significant development since the publication of the third edition of the Educational Governance Framework has been the implementation of triennial Directorate reviews. This enhancement of our quality monitoring processes has proved successful in allowing directorates to reflect on their strategic aims, educational quality, processes, key issues and future priorities. It has also facilitated inter-professional learning within NES and provided senior staff and the Board with additional assurance. A key feature of the directorate review process has been the involvement of external stakeholders in providing new perspectives. This has added significant value to the process and we are extending the involvement of external stakeholders to programme monitoring.

Following cross-directorate review of our Educational Governance practice and processes, we have identified opportunities to enhance our quality monitoring approach. The changes set out in this document are intended to ensure that our Educational Governance resources are focused on our highest priorities and we receive assurance on the outcomes of our work. More specifically, the Framework details a new approach to the prioritisation

of educational programmes, ensuring that Educational Governance monitoring is focused on programmes of greatest significance to the organisation.

In presenting monitoring reports programme teams have provided evidence of successful delivery of educational products and services. The reports have also documented good practice and positive feedback from learners and other stakeholders. The revised Educational Governance Framework places a greater emphasis on programme outcomes, or impact in keeping with NES's Key Outcome of '*A demonstrable impact of our work on healthcare services*'.<sup>1</sup> In most cases this will require programme teams to detail the 'educational impact'<sup>2</sup> of their work. Teams are also encouraged to present evidence of 'performance impact'<sup>3</sup> or 'service impact'<sup>4</sup> where feasible.

A third notable change to the Educational Governance Framework is encouragement of wider participation in quality monitoring by NES staff and external experts. The review of programme quality monitoring reports has been restricted to our Educational & Research Governance Executive Group. However, given the extensive expertise available within NES and from external partners we will be inviting a wider range of individuals to assist in the critical review of educational programmes. We believe that this involvement may also offer benefits to the individuals involved in terms of their professional development and understanding of educational practice.

In summary, we hope the fourth edition of the Framework builds appropriately on the progress achieved by NES in this area of governance. The Framework will remain a key point of reference for all staff wishing to understand Educational Governance concepts, principles, structures and processes. It may also be of interest to territorial NHS Boards where we believe that Educational Governance has a potentially significant contribution to make in the quality of education and training, and thus to patient care.

**Professor Stewart Irvine**  
**Director of Medicine**  
**Executive Lead for Educational & Research Governance**  
**NHS Education for Scotland**

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<sup>1</sup> NHS Education for Scotland, (2014) [A refreshed Strategic Framework for 2014-2019](#), Edinburgh: NES

<sup>2</sup> The assessed learning and confidence gained by participating staff

<sup>3</sup> Observed changes in work practices, behaviour or performance

<sup>4</sup> Documented changes in service quality, efficiency, compliance, performance etc.

## 2. What is Educational Governance?

'Educational Governance' is increasingly practised by healthcare organisations in the UK, although there is no universally accepted definition or approach. Our research at NES indicates that Educational Governance shares characteristics with clinical governance, staff governance and other aspects of health service management. The purpose of governance in these cases is to maximise accountability for quality in service provision and patient care. This is usually achieved through a framework approach comprising standards, processes and reporting structures. Following this approach, we have defined Educational Governance as:

***The systems and standards through which organisations control their educational activities and demonstrate accountability for continuous improvement of quality and performance.***<sup>5</sup>

A NES literature review on Educational Governance in the NHS highlights a number of features and desirable characteristics associated with effective practice. These include the need for Board involvement and oversight (and accountability), use of appropriate standards and benchmarks, alignment of educational interventions with service needs and organisational/NHS priorities, the importance of quality enhancement and the development of a positive learning culture. The literature also places Educational Governance in a wider, integrated governance framework comprising elements such as clinical audit, risk management and organisational development.

The current iteration of the Framework addresses each of these areas, ensuring that NES is fully aligned with contemporary governance practice.

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<sup>5</sup> Coward, R (2011) *Educational Governance in the NHS: A literature review*, International Journal of Health Care Quality Assurance, vol.3, October, pp. 57- 66, London: Emerald Publishing

### 3. Purpose, aims and principles

**The central purpose of the Educational Governance Framework is to ensure that all NES educational programmes are accountable for their quality and performance.** To this end the NES Board and senior managers will require assurance that arrangements are in place for effective quality management and that significant risks are visible and subject to appropriate controls. It is further expected that NES will achieve a number of specific benefits from the Framework as described below.

#### 3.1 Specific benefits

- **Assurance**

Among the primary benefits to be derived from Educational Governance is to ensure the NES Board is in a position to exercise its statutory responsibilities for governance. The NES Board and the senior management team are ultimately accountable for the range and quality of outputs from the organisation. It is therefore important that the most senior levels of the organisation receive regular information about educational quality and the operation of quality management arrangements.

The Board should be confident that standards, structures and mechanisms are in place to maintain and continuously enhance educational quality. This will require robust lines of reporting and the flow of relevant performance data. By maintaining oversight of educational outputs and impact Board members will be in a position to give direction to the NES executive. It is not expected that the Board will receive detailed information about the operation of individual programmes (although this may be desirable on an exceptional basis).

- **Quality improvement**

A major feature of the Framework is the emphasis placed on quality improvement. Quality improvement is defined as the deliberate steps taken to bring about continuous enhancement of education provided, funded or quality assured by NES. Through the sharing of good practice and a process of critical review the Educational Governance Framework will contribute to improved service quality and better outcomes.

- **Organisational learning and integration**

The Educational Governance Framework has proven successful in encouraging inter-professional learning in different aspects of educational practice.

- **Managing risk and reducing exposure to legal challenge**

NES's educational programmes are subject to numerous potential quality, reputational, financial and other risks. The existence of clear standards, reporting lines, robust quality management procedures and well defined

accountabilities contribute significantly to our risk management as it relates to educational activity.

One significant risk for NES is the possible exposure to legal challenge in cases of clinical incidents where the quality of education and training is at issue. In such cases NES should be in a position where it can demonstrate that it has in place appropriate arrangements for identifying and controlling risk, and robust quality management procedures.

- **Exercising accountability for educational outputs, quality and value added**

NES is increasingly accountable to a growing list of external stakeholders for the relevance, quality and value for money of its educational outputs. The Educational Governance Framework is an important means of demonstrating due process and effective management to the Scottish Government, Healthcare Improvement Scotland, territorial NHS Health Boards, partners in the social care sector, professional and statutory bodies, the Scottish public etc.

- **Demonstrating leadership of the Educational Governance agenda in NHSScotland.**

It is intended that the Educational Governance Framework will enable NES to demonstrate its leadership of the Educational Governance agenda in NHSScotland as envisioned in the initial 2001 consultation paper leading to the establishment of the organization.<sup>6</sup> This paper expressed the intention to assess the educational performance of local NHS systems in the same way as clinical governance, and in connection with the Staff Governance Framework. NES is sharing its knowledge and experience of Educational Governance with other NHS Health Boards and is actively promoting related concepts, principles and processes.

### 3.2 Educational Governance principles

Educational Governance at NES is based on the application of key governance principles. These are derived from NES's experience of educational quality management, but also take into account authoritative guidance and research literature on this subject as well as the published by the Independent Commission on Good Governance in Public Services.<sup>7</sup> The Educational Governance principles are as follows:

- a) Educational Governance is focused on achieving our educational outcomes and improving the quality of our activities, and thus contributing to the maintenance and improvement of services and patient care. It also helps to ensure alignment of educational services with NES's corporate values and strategic priorities.

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<sup>6</sup> Scottish Executive Health Department, A new special health board for education in NHSScotland, (2001)

<sup>7</sup> Including '[Good Governance Standards for Public Services](#)' Independent Commission for Good Governance in Public Services (2004) and the '[International Framework: Good governance in the public sector](#)' International Federation of Accountants and CIPFA (2014)

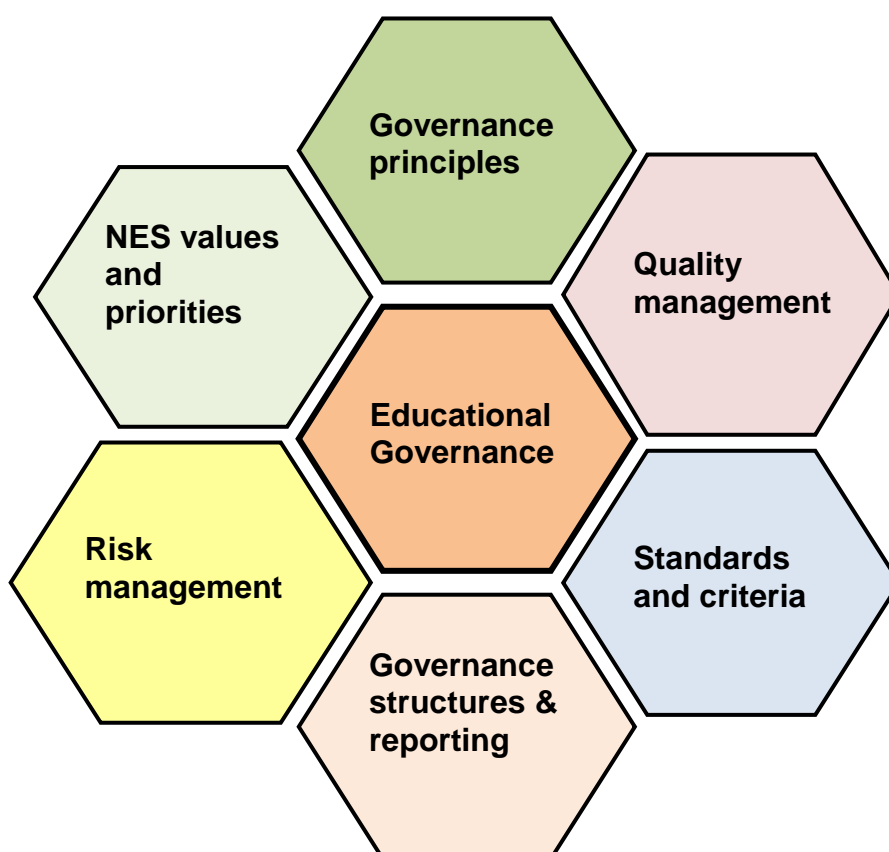


- b) Educational Governance processes are integrated within NES's wider corporate governance arrangements.
- c) Governance processes will be proportionate to the importance of individual educational programmes, as reflected in the type and frequency of scrutiny applied.
- d) Educational quality management processes involving external partners (including health profession regulators) are subject to scrutiny by the NES Board.
- e) The development and implementation of Educational Governance processes are conducted on a multi-professional basis.
- f) The NES Board is closely involved in the development of Educational Governance strategy and the scrutiny of process.
- g) There is a risk management approach to quality improvement, with clear action plans and transparent reporting processes.
- h) Educational Governance processes minimise bureaucracy and additional work through the re-use of existing reports and data where possible.
- i) The quality of NES educational activities is determined through the collection and analysis of evidence against recognised standards. In most cases this will involve peer review by NES staff and external organisations and experts.

#### 4. Elements of Educational Governance

The NES Educational Governance Framework comprises six inter-related elements as illustrated by figure 1 below. Further details on each of these elements are also provided below.

**Figure 1. The six elements of the NES Educational Governance Framework**



##### 4.1 NES values and priorities

As indicated in the Educational Governance principles set out at 3.2 above NES's Educational Governance Framework should ensure that our educational services are fully aligned with organisational values and strategic priorities. Accordingly, our Educational Governance Framework will address the following educational principles as expressed in our Strategic Framework 2014–2019:<sup>8</sup>

- We enable education for the best care, improved outcomes, safety and the efficient use of resources.
- We promote learning that is motivational, aspirational and meaningful to everyday work.

<sup>8</sup> [A refreshed NES Strategic Framework for 2014 – 2019](#) (2014)

- We enable personalisation of learning so that it is adaptable to different needs and styles.
- We build our activities on evidence-based practice.
- We achieve regulatory or other standards and we innovate to achieve more.
- We support broad-based education that meets the needs of the workforce and can be adapted to different circumstances.
- We deliver education close to the workplace that brings people together to improve outcomes.
- We evaluate the effectiveness of our education and share the lessons learned widely.
- We enable sharing, transfer and delivery of educational best practice and improvement tools across the workforce.

These principles provide a broad guide to planning and evaluating NES's educational initiatives. NES also expects that all educational programmes will address strategic priorities as set out in the refreshed strategic framework, annual delivery plans and other corporate planning documents. By ensuring appropriate alignment of educational programmes with corporate principles and priorities, Educational Governance processes will support performance management and reporting.

## **4.2 Governance principles**

In addition to the above organisational values and priorities, the NES Framework is based on the nine key principles for Educational Governance set out in 3.2 above. The governance principles provide a robust set of design criteria for the development and implementation of governance structures and quality management processes.

## **4.3 Governance structures and reporting**

At the heart of the Educational Governance Framework is the Educational and Research Governance Committee (E&RGC), which has primary responsibility for ensuring robust educational quality management arrangements throughout NES. It is responsible for strategic oversight of the development, implementation and review of educational standards (as appropriate) and quality improvement. It also has primary responsibility for scrutinising the operation of governance and quality mechanisms to ensure they are effective. The E&RGC comprises non-executive Board members and reports directly to the NES Board.

Responsibility for monitoring educational quality and performance is delegated to the Educational & Research Governance Executive Group. The Executive Group is a multi-professional forum comprising Educational Governance leads from each of the NES directorates. It is chaired by the Executive Lead for Educational & Research Governance<sup>9</sup> and supported by an Educational Projects Manager who acts as operational lead. The primary function of the Executive Group is to monitor educational performance and quality through the analysis of reports submitted by directorates and project teams. Monitoring processes are designed to identify good practice for dissemination and to ensure that educational quality is improving. The Executive Group will consider and develop NES policy relating to education and training where there is an organisational need. Executive Group members are responsible for the development of Educational Governance monitoring arrangements in accordance with the strategic direction set by the Educational & Research Governance Committee. The remits for the Educational & Research Governance Committee and Executive Group are provided at Appendix 3.

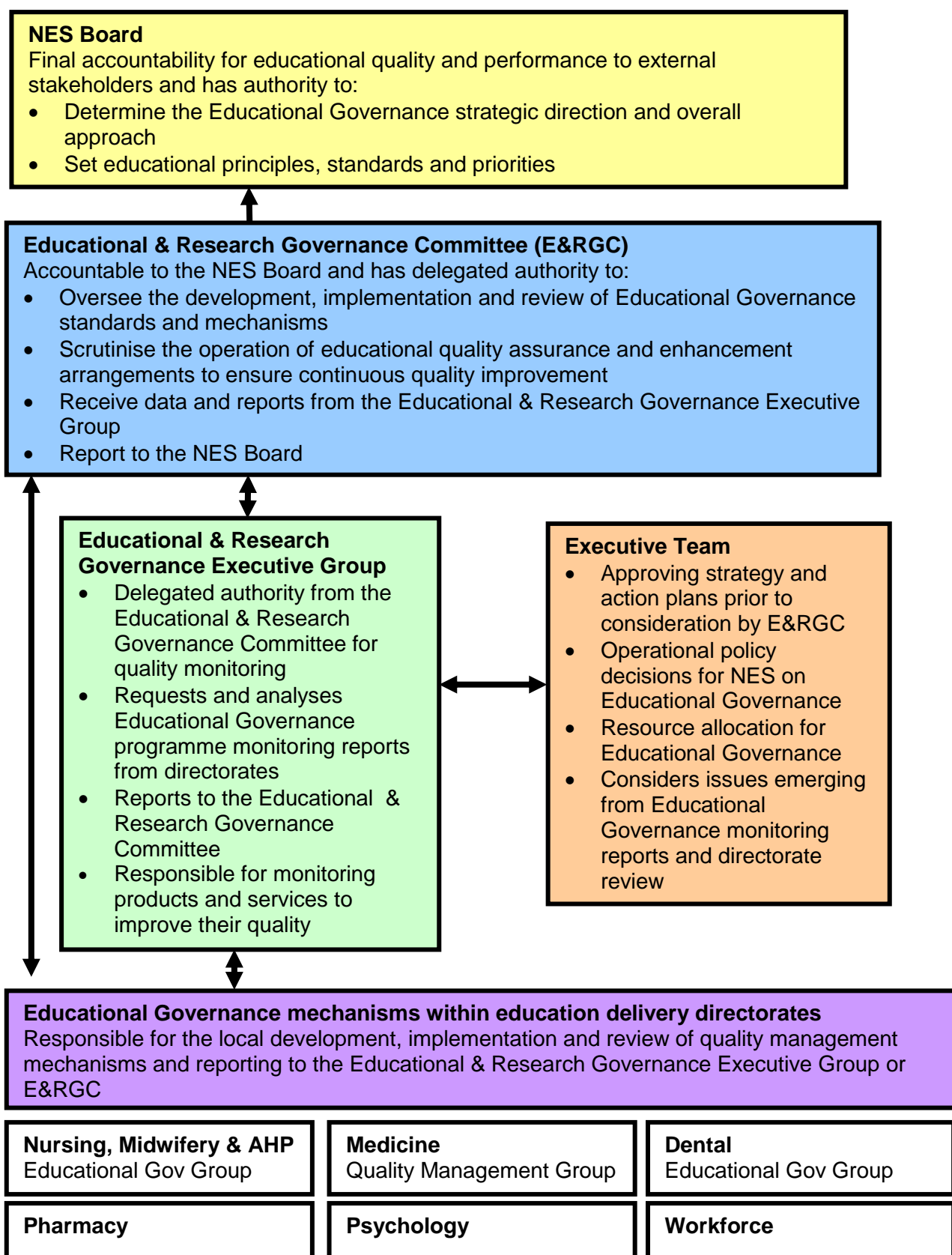
Educational Governance responsibilities are shared widely throughout NES. This is reflected by the creation of quality management and educational groups for individual directorates and/or educational programmes. These directorate level groups lead on the development, implementation and review of quality management arrangements for their respective professional groups or cross-cutting initiatives.

At the level of individual educational programmes and projects, it is expected that programme boards and project steering groups will manage quality and performance. NES's Educational Governance structures are illustrated by Figure 2 below and an Accountabilities Framework is presented at Appendix 2. Programme and project quality management arrangements are a focus for Educational Governance monitoring.

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<sup>9</sup> The Director of Medicine is currently the designated Executive Lead for Educational & Research Governance.

Figure 2: NES Educational Governance structures



#### **4.4 Risk management**

As indicated in 3.1 above, one of the specific benefits of the Educational Governance Framework is to assist with the management of risk. This is achieved through the identification, management and reporting of educational risks, which ensures that programme teams, directorates and wider NES are aware of key risks and have mitigating measures in place. Reporting of educational risks to governance groups also ensures that senior managers and Board committees are able to intervene in exceptional cases.

The focus on educational risk as part of Educational Governance processes allows integration with corporate NES Risk Registers and risk management processes.

#### **4.5 Standards and criteria**

NES and partner organisations use standards and criteria to express the quality required of educational initiatives and activities. In several contexts these standards are set by external bodies, such as healthcare profession regulators (e.g. Health Care Professions Council) and the Quality Assurance Agency's Quality Code for Higher Education. In other cases, standards are developed by NES programme teams according to the specific requirements of educational projects.

Educational quality management processes involve the application of informed judgements about compliance with external and NES educational standards.

#### **4.6 Quality management**

NES operates procedures for managing educational quality at various levels of the organisation. These include the processes used for individual projects and courses (e.g. learner feedback mechanisms, validation processes, project evaluations etc), whole directorates (such as the Medical Quality Management Framework) and for NES as a whole. These procedures may be specified by external regulatory and professional bodies, but directorates and programme teams often have discretion to determine their own quality management arrangements according to professional, organisational and policy contexts. NES's corporate processes will focus on the adequacy of 'local' quality management, compliance with external or internally set standards, and improvements achieved or required.

Although the quality management processes applying to programmes are context driven, they should also comply with any relevant NES policies, processes and standards. For example, it is expected that NES funded or designed educational programmes will be consistent with the [NES Inclusive Learning & Education Policy](#).

### **Inclusive Education and Learning**

The NES Inclusive Education and Learning Policy is an important reference point for Educational Governance. This sets out our commitment to making education and training accessible and inclusive of learners who may find themselves at risk of marginalisation or exclusion. Our approach to inclusive education is proportionate and flexible, and suited to the professional or multiprofessional context in which education is being developed.

Educational Governance reports should demonstrate how directorates and programme teams have acted to make education more inclusive in the following ways:

- Developing educational products and resources inclusively, in response to learners' needs and in accordance with best practice
- Engaging with our educational service users on an ongoing basis to understand their diverse needs, and using this knowledge to inform the way we carry out our work
- Promoting equality of opportunity in access to the education which is being offered
- Providing accessible learning, learning support and reasonable adjustments to support access to education and enhancement of outcomes from education
- Delivering education, training and learning inclusively where NES is the direct provider of training
- Developing the knowledge and skills of our staff to support inclusive education
- Integrating the review of inclusive education into Educational Governance arrangements in an effective, proportionate manner.
- Taking an anticipatory approach to inclusivity, ensuring that education is accessible without the need to respond to special requests.

## **5. Processes and structures**

### **5.1 Accountabilities**

A key feature of the Educational Governance Framework is the allocation of accountability for educational quality and performance, and quality management processes. The assignment of accountability and responsibilities means that there is clear ownership of programmes, procedures and issues, and a locus for control. NES's arrangements are set out in the Accountabilities Framework at Appendix 2, which illustrates Board, management and operational responsibilities for Educational Governance and educational quality.

### **5.2 Educational Governance monitoring procedures**

NES operates a range of procedures for the management, assurance and control of educational quality. As indicated above, these arrangements are used at the level of our directorates, programmes or individual projects. They are designed to provide the Educational & Research Governance Committee, senior managers and the Board with optimal assurance about quality management, risk management and quality improvement in relation to our educational programmes.

The monitoring procedures set out below accord with the Educational Governance principles at Section 3 above. Thus, reporting and scrutiny arrangements are designed to be:

- focused on enhancement of educational outcomes (not just outputs)
- integrated within NES's wider corporate governance structures and processes
- proportionate to the risk and strategic importance of individual educational programmes
- conducted on a multi-professional basis
- as efficient as possible, minimising bureaucracy and additional work.

#### **5.2.1 Educational Governance monitoring reports**

The central corporate monitoring process is the production and analysis of Educational Governance monitoring reports for NES educational programmes and whole directorates. In keeping with the principle of proportionality, the type and frequency of report is related to the strategic or operational significance of individual programmes. High profile, high benefit, high risk, permanent programmes are the subject of more detailed and frequent reports than lower risk, time-limited educational projects.



Although the frequency and format of Educational Governance monitoring reports will differ between programmes, they are all designed to provide assurance about quality and risk management. This may involve the presentation of pre-existing quality reports (such as the Annual Deanery Report required by the General Medical Council) or the use of the NES Educational Governance programme monitoring report template (Appendix 4). Whatever report format is used programme teams, deaneries or directorates will be expected to provide assurance on the following points:

- adherence to relevant educational standards (including the [NES Inclusive Education Policy](#))
- alignment with NES educational objectives as set out in the Refreshed [Strategic Framework](#) and [annual local delivery plans](#);
- appropriate structures, standards, resources and processes are in place to evaluate and manage educational quality and performance;
- areas for improvement and enhancement have been identified and plans are in place to address these;
- areas of educational risk are identified and managed effectively
- the impact of the education and training.

Educational Governance monitoring reports will be approved by the accountable managers and groups prior to submission for review by the Educational & Research Governance Executive Group or Educational & Research Governance Committee. The line of reporting (to either the E&RGC or ERGEG) will depend on the involvement of health profession regulatory bodies. Where educational programmes are subject to such external scrutiny, reports will be submitted directly to the Educational & Research Governance Committee and copied to the ERGEG. An agreed schedule (published separately) indicates the Educational Governance forum responsible for considering Educational Governance monitoring reports, together with the report format and frequency. The Educational Governance programme monitoring report template is presented at Appendix 4.

The three Educational Governance monitoring processes are set out in Figure 3 below.

### Figure 3. Summary of Educational Governance monitoring processes

#### **i) Programmes covered by formal external scrutiny (including externally regulated education)**

##### **Scope:**

Educational Governance monitoring reports are required for educational programmes covered by formal scrutiny by an external regulator, professional body, or governmental agency. Such programmes are considered critical to NES's overall mission and receive major resource allocations. This type of educational activity is considered to be associated with the attainment of key organisational goals and high levels of risk.

**Frequency:** Annual (plus other reports as required)

##### **Format:**

Directorates submit copies of reports to and from professional, statutory and regulatory bodies indicating compliance with standards and planned enhancement/remedial activity. Such reports also provide details of feedback from regulatory bodies including overall assessments and recommendations.

##### **Governance route and process:**

Reports on programmes subject to formal external scrutiny/regulation are submitted directly to the Educational & Research Governance Committee for review and comment. Reports are also submitted to the Educational & Research Governance Executive Group for information. The lead officer responsible for this type of educational workstream (or their senior representative) will normally attend E&RGC meetings to present reports and respond to questions and observations.

## **ii) Significant educational programmes not covered by external regulation**

### **Scope:**

A second category of Educational Governance monitoring report applies to educational programmes that are not covered by formal external scrutiny/regulation but are identified as 'significant' by the Educational Governance profiling process (see 5.2.2 below).

**Frequency:** Biennial

### **Format:**

The relevant Programme Team submits a standard Educational Governance programme monitoring report providing a comprehensive overview of the initiative. Specifically, this includes:

- a description of the programme (purpose, origins, objectives, inputs, outputs etc)
- arrangements in place for the management of quality and performance (governance, quality assurance processes, evaluation etc),
- the standards or criteria against which the initiative is evaluated/assessed,
- evidence of performance against the defined standards or criteria, including its educational or service impact;
- areas of achievement or practice worthy of sharing and dissemination
- an action plan detailing priorities for quality enhancement/performance improvement
- an assessment of the main risks to the initiative and the related control measures.

### **Governance route and process:**

Educational Governance programme monitoring reports on significant educational programmes not covered by formal external scrutiny/regulation are initially considered by the Educational & Research Governance Executive Group (analysis will be led by a designated critical reader). A summary Educational Governance programme monitoring report, including the outcomes of the Executive Group review and the programme team's response is submitted to the Educational & Research Governance Committee, for scrutiny of due process, recommendation and additional comment.

## 5.2.2 Profiling for Educational Governance programme monitoring

The Educational Governance profiling process is used to identify 'significant' educational programmes that are to be subject to biennial Educational Governance monitoring. The profiling process, adapted from the NES [Risk Management Strategy](#), requires directorates to score all of their programmes, except those identified as covered by formal external scrutiny/regulation, using a standard matrix.

The profiling process for each programme involves the following steps:

### 1. Identifying all benefits and risks relating to the programme in each of the following five categories:

- Strategic/policy (importance of related strategic or policy objectives)
- Operational/service delivery (benefits/risks to service – including to patient safety relating to education and training)
- Finance (opportunities to save resources or risks of poor value for money or financial loss)
- Reputational/credibility (opportunities to enhance NES's credibility or address reputational risks)
- Accountability/governance (compliance/risk of non-compliance with regulations, laws and standards)

### 2. Scoring programme benefits and risks in each of the above categories

Scoring is based on the [NES risk scoring definitions](#) and comprises two components – the **impact** of benefits/risks, and the **likelihood** of risks materialising or benefits not being achieved. Both impact and likelihood are scored on a five point scale, with 5 being the highest and 1 the lowest. The **overall score** is the likelihood score multiplied by the impact score. The risk scores that are used for the purpose of Educational Governance profiling are those for inherent risk – i.e. not allowing for any mitigation/controls. The scoring process is such that the relative size/cost of programmes and their strategic significance are treated as important risk factors.

### 3. Comparing the overall score for each category with the corresponding NES risk appetite

The NES Board has agreed a corporate 'risk appetite' under each of the five categories set out above. This is the amount of risk that we are prepared to accept, tolerate or be exposed to at any point in time.

Any programme for which the Educational Governance profiling process results in one or more overall scores exceeding the risk appetite in any of the categories is classed as 'significant' and thus subject to biennial Educational Governance programme monitoring.

Initial profiling of programmes by directorates will be reviewed by the Corporate Educational Governance Team (CEGT) (comprising the Executive Lead for Educational Governance and the Educational Projects Manager). Where necessary the CEGT will discuss individual programme profiles with the relevant director before deciding on the finalised profiles.

As a safeguard, directorates and the CEGT will be able to identify programmes as 'significant' on the basis of criticality, even if their risk scores do not exceed the relevant thresholds. Reasons will be clearly stated.

Programmes not identified as 'significant' will not normally be subject to separate Educational Governance monitoring reports, but will be considered during the triennial Directorate Review process. In the event that **all** of a Directorate's programmes are assessed as low risk across all risk categories, it may be desirable to identify at least one programme for biennial review. This will help provide assurance for the Board.

### **iii) Directorate reviews**

#### **Scope:**

In addition to considering reports on educational projects and programmes NES will review each of its five main education delivery directorates (Medicine, Dental, NMAHP, Pharmacy, Psychology) on a regular cycle. This process involves a review of all directorate educational activities, including systems of governance and quality management.

**Frequency:** Triennial

#### **Format:**

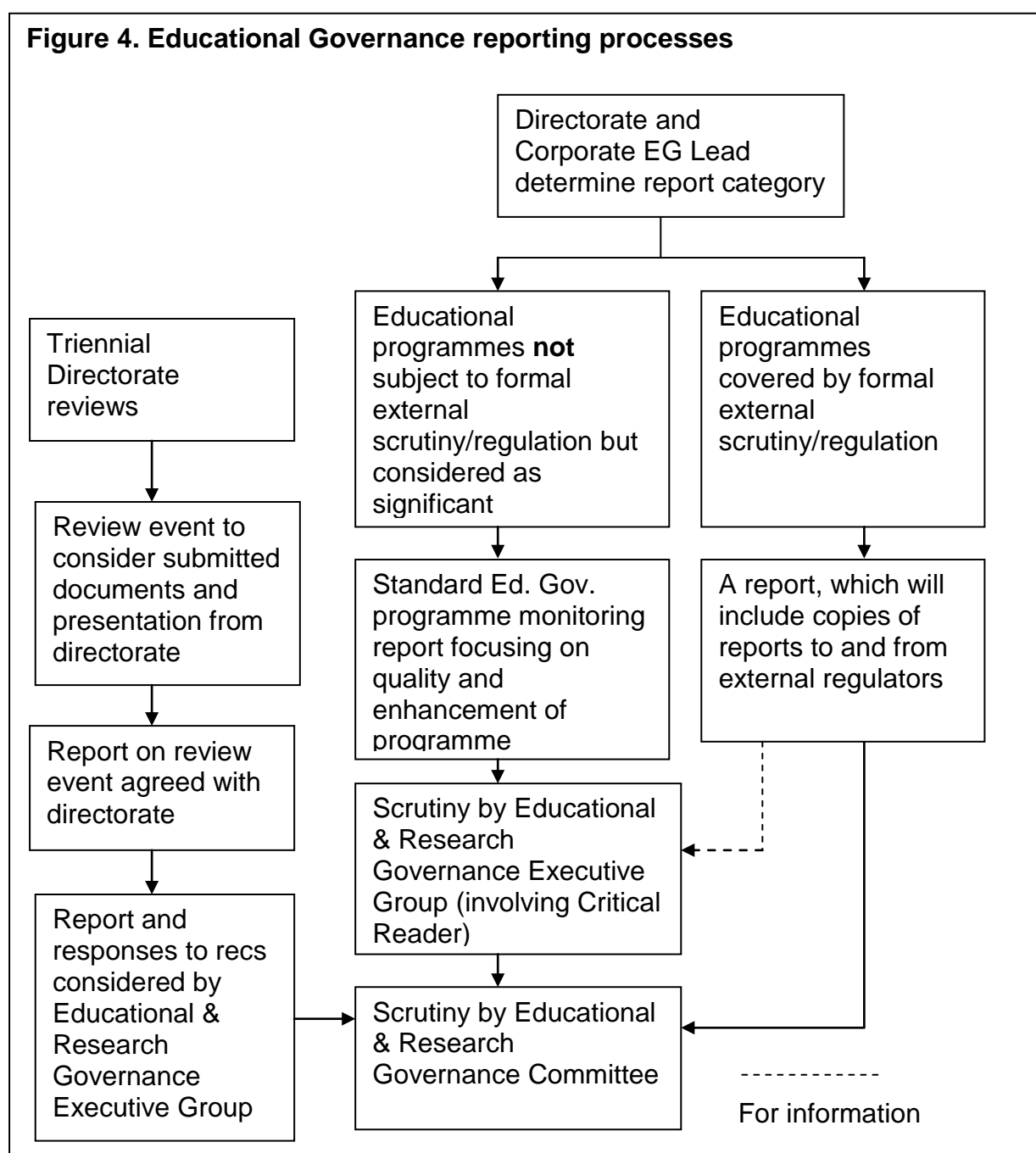
The review will involve the discussion and analysis of submitted documentation and a presentation at a review event. The review event will involve the relevant director and other directorate representatives who will present to the Educational & Research Governance Executive Group plus external representatives and other NES staff. The event will be chaired by a member of the Educational Leadership Group or a suitably experienced external panel member.

#### **Governance route and process:**

The Review Panel will meet with the Directorate Team to exchange information and discuss issues. A summary report of the event will be prepared by the Executive Secretary to the E&RGEG, which will be checked for accuracy by the Directorate and confirmed by the Review Panel. The report will include the Review Panel's recommendations together with the Directorate Team's responses. Following scrutiny by the E&RGEG the report will be submitted to the Educational & Research Governance Committee for information and scrutiny of process. The Director and/or their representative will be invited to attend the E&RGEG and E&RGC meetings where the report is considered.

### 5.2.3 Allocation to reporting routes

Following the Educational Governance profiling process, all educational activities will be provisionally allocated to one of the reporting routes described above (annual report direct to the E&RGC, biennial report or triennial directorate review). The allocation of programmes to reporting routes is subject to agreement between the corporate Educational Governance Leads, and the relevant professional leads and Educational Governance leads in each directorate . The distribution of activities between the different categories of reporting and the related governance processes are illustrated by the algorithm at Figure 4 below.



#### 5.2.4 Critical reading

Educational Governance programme monitoring reports considered by the Educational & Research Governance Executive Group are subject to review by appointed critical readers who take lead responsibility for analysis. The purpose of the critical reading process is to ensure that Educational Governance programme monitoring reports are subject to thorough scrutiny and analysis. In discharging this responsibility the critical readers will lead the Executive Group discussion relating to the monitoring report and prepare questions for the programme/directorate team for clarification and explanation. It is recommended that these questions and comments are distributed prior to the meeting if possible.

The main focus for the process is the Educational Governance programme monitoring report, which is forwarded to the critical reader four weeks before the E&RGEG meeting by the Secretary. Reports may be accompanied by supporting information such as evaluation reports, procedural documents, external review reports, summaries of participant feedback etc. The supporting documents will typically be used to obtain further information or assurance on issues raised by the main report, or to seek clarification. These will be provided to the critical readers but made available to E&RGEG members only on request.

The particular focuses of the critical reading process are to:

- identify areas of the report for clarification
- identify where further information is needed
- seek assurance that the quality and risk management arrangements, including evaluations, are fit for purpose
- identify evidence that education and training is developed and delivered in a way that is inclusive of the needs and preferences of all learners
- identify evidence of appropriate impact, quality and performance
- highlight particular quality and performance issues for further attention;
- ensure that the directorate's work/project/initiative fits well with NES, Scottish Government and professional standards, strategies and imperatives
- highlight good practice and achievements worthy of dissemination and inter-professional learning
- check that planned quality enhancement activities are appropriate and address main quality issues highlighted in the report
- check that strategic and operational risks to educational quality and performance have been identified and that suitable arrangements are in place to manage these.

Critical readers may be members of the Educational & Research Governance Executive Group or other NES staff with relevant expertise and experience in the development and management of educational programmes. Additionally, Programme Teams will be invited to nominate external experts to assist in the critical reading process. Such external experts, who will be paired with a NES

critical reader, should have prior knowledge of the programme and understand its educational outcomes and professional context. All critical readers will be provided with information and briefing to assist them in their role.

Following full consideration of Educational Governance programme monitoring reports, critical reader comments and additional information provided at the meeting, the Executive Group will identify noteworthy practice and issues to be addressed. A summary report of the discussion will include an assurance statement indicating the Executive Group's level of assurance in relation to programme quality and quality management, and highlighting deficits to be remedied.

### **Educational impact<sup>1</sup>**

NES has a corporate commitment to making '*A measurable impact of our work on healthcare services*'.<sup>2</sup> This means that we are responsible for planning and evaluating the difference we make in areas such as knowledge and skills, changes in practice, and improvements to services. This is distinct from our reporting of outputs or deliverables (e.g. courses delivered or numbers of learners). Our Educational Governance processes have a role to play in supporting this corporate commitment by checking the impact achieved in educational programmes and the methods used to assess impact.

In compiling Educational Governance programme monitoring reports NES Programme Teams will be asked to outline the following:

- intended educational impact of programmes (e.g. 50% increase in the number of clinicians who are able to perform a new procedure)
- progress towards impact targets (e.g. 25% increase in number of staff competent in the procedure)
- methods for measuring impact (e.g. assessment results)
- challenges to progress and measurement (e.g. limited participation in assessment process).

The Educational Governance programme monitoring template (Appendix 4) includes an 'Impact' section for Programme Teams to provide information on this aspect of their work.

Support on impact planning and assessment is available from the NES Planning and Corporate Governance Team ([rob.coward@nes.scot.nhs.uk](mailto:rob.coward@nes.scot.nhs.uk)) in the form of training, guidance materials, consultancy and advice.

<sup>1</sup>Educational impact is defined as the changes in learners' skills, knowledge and confidence resulting from NES's educational programmes.

<sup>2</sup>Refreshed strategy NES Strategic Framework 2014-2019

### **5.2.3 Directorate reviews**

In addition to reviewing reports on educational programmes, the Educational & Research Governance Executive Group will hold triennial peer review events for each of the five main NES educational directorates. The purpose



of these events is to take a broad overview of the directorate and to seek assurance that educational performance and quality are being managed effectively. A secondary purpose is to ensure that smaller educational programmes and projects are subject to scrutiny. The review is an opportunity for directorates to explain the arrangements in place for quality assurance/improvement and to present evidence of current performance in key programmes. An important area of focus is directorates' good practice and successes, as well as the emerging issues to be addressed with remedial action.

Prior to the event, the Directorate will be invited to submit a concise self-assessment report to the review panel together with key supporting documents. The report and supporting documents should provide evidence of processes, performance, and quality.

### **Review Panel composition**

The Review Panel will comprise the members of the Educational & Research Governance Executive Group and other NES staff with experience of educational development and management. The Directorate under review will also be asked to identify up to four independent panel members who can comment on issues of educational quality and performance. These external nominees should be in a position to provide informed comment on at least one educational workstream and could include representatives of professional and regulatory bodies or service user organisations, representatives from counterparts in other UK countries etc. External panel members will be fully briefed on the process and are expected to take an equal part in panel discussions. An external panel member may also be asked to chair the review event.

### **Running order**

The event itself will begin with a brief meeting of the review panel followed by a presentation from the Directorate team. Members of the review panel will have an opportunity to ask questions relating to the submitted documentation and presentation; seeking clarification where necessary, asking for additional information, or asking the directorate to respond to observations. Following this plenary session the panel will meet to highlight key points for inclusion in a final report, and to identify any residual areas where greater clarity is needed.

### **Outputs and outcomes**

In concluding the event the panel will make summative observations identifying areas of good practice for wider notice and issues for attention by the Directorate. Panel members may also make specific recommendations to the Directorate where it is considered there are opportunities for improvement e.g. collaboration with other directorates or external organisations. The panel may recommend requirements where there is clear evidence the remedial action or quality improvement is needed. Such recommended requirements will be subject to consideration by the Executive Team and will be approved by the E&RGC.

The review event concludes with a meeting between the Panel and the Director to feedback key points and recommendations. A report detailing the directorate review process, issues discussed and recommendations is produced by the Educational Governance operational lead officer. This will also include the Directorate Team's response to each of the recommendations. The review report is fully owned by NES. The Educational & Research Governance Executive Group and Committee are responsible for considering responses to review recommendations (see 5.2.4 ii) below). The standard agenda for review events is presented at Appendix 5.

Detailed guidance for Directorate Teams in drafting self-assessments, collating evidence and preparing presentations and for members of the Review Panel will be provided.

#### **5.2.4 Outputs from Educational Governance quality monitoring processes**

##### **i) Educational Governance programme monitoring reports**

The output from the reporting process to the Executive Group will be summative comments about the quality and performance of key educational initiatives, together with recommendations to the directorate or programme team about enhancements or issues raised. The directorate or programme team will respond to the comments and recommendations indicating future action to be taken. The response may challenge particular Executive Group recommendations, citing appropriate reasons.

A summary Educational Governance programme monitoring report, including the Executive Group's comments and recommendations and the team's response, will be forwarded to the Educational & Research Governance Committee. The Committee's role in this respect will be to ensure that due process has been implemented effectively and to identify any issues relating to the design or implementation of the control measures.

##### **ii) Reports on programmes covered by formal external scrutiny/regulation**

Reports on programmes that are covered by formal external scrutiny/regulation are submitted directly to the Educational & Research Governance Committee for scrutiny. The outcome of this scrutiny will be summary comments about educational quality, quality management arrangements, risk etc, together with recommendations. Reports submitted directly to the E&RGC will be circulated to E&RGEG members for information together with the pertaining Committee minutes.

##### **iii) Triennial directorate review reports**

Reports of Directorate Reviews will be prepared by the Educational Governance operational lead following the review events. These reports will document the following:

- the review process and participants
- documentation submitted by the directorate
- key points from the Director's presentation
- quality improvement priorities
- commendations, comments and questions raised by EGEG members and others together with the Directorate's responses
- noteworthy practice and recommendations
- final comments from the Director about the review process and issues raised.

The draft report will be checked for accuracy by the Review Panel Chair and the Director of the team under review. It is then considered by the E&RGEG before distribution to the Educational & Research Governance Committee for final approval.

### **5.2.5 Action plans**

A key feature of the Educational Governance monitoring process is the development and scrutiny of action plans relating to the future direction of the directorate, programme or project. Action plans are developed by the directorate or programme team to indicate quality enhancement priorities for the next reporting period. These priorities should address areas for improvement indicated by the need for compliance with relevant standards, feedback from learners and other stakeholders, learner performance, recruitment statistics, evaluation studies, research findings, changes in clinical practice, new legislation, policy and guidelines etc. As usual for action plans, they will specify the groups and individuals responsible for the planned improvements and the anticipated timescales for completion.

Action plans presented in Educational Governance monitoring reports will be re-visited in subsequent reports to assess the progress achieved in implementing planned improvements.

## 6. References

Coward, R (2011) *Educational Governance in the NHS: A literature review*, International Journal of Health Care Quality Assurance, vol.3, October, pp. 57- 66, London: Emerald Publishing

General Medical Council (2008) *Generic standards for training*, London: General Medical Council

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The Health Foundation (ND) *Quality improvement made simple*, The Health Foundation

Independent Commission for Good Governance in Public Services (2004) *The Good Governance Standard for Public Services*, London: Chartered Institute of Public Finance and Accountancy and Office for Public Management Ltd.

NES (2011) *Inclusive Education and Learning Policy*, Edinburgh: NES

NES (2011) *Risk Management Strategy*, Edinburgh: NES

NES (2014) *Medical Education Quality Management Framework*, Edinburgh: NES

NES (2014) *A refreshed NES Strategic Framework for 2014 – 2019*, Edinburgh: NES

NHS North West (2009) *Making Educational Governance a reality in the North West*, Manchester: NHS North West

NHS Quality Improvement Scotland (2006) *Clinical Governance and Risk Management: Self-assessment workbook for non-clinical special health boards*, Glasgow: NHS Quality Improvement Scotland

OECD (2004) *OECD Principles of good corporate governance*, Geneva: OECD

Scottish Government Health Directorates (2010) *NHSScotland Quality Strategy - putting people at the heart of our NHS*, Edinburgh: Scottish Government

## Appendix 1

### Educational Governance action plan

Outcome	Objectives	Deliverables	Responsibility	Target dates	Risks
Quality monitoring and improvement focused on most significant risks and strategic educational priorities	Educational directorates identify programmes for quality monitoring using risk profiling process	Agreed monitoring schedule for 2015-2018	Rob Coward	End-March 2015	Risk profiling process not applied consistently.
Enhance corporate understanding of educational quality and quality management	Widen participation in programme quality monitoring including critical reading	At least eight new critical readers	Rob Coward	Dec 2015	Inability to recruit additional critical readers
Enhance value of quality monitoring	Involve external experts in quality monitoring processes, including critical reading	At least five external critical readers	Rob Coward	Dec 2015	New critical readers fail to add value to quality monitoring and improvement Excessive administrative burden.
Develop NES intelligence on Educational Governance practiced by Health Boards	Complete descriptive research on Educational Governance practice and processes in all NHSScotland Boards	Report presented at E&RGC and prepared for journal publication	Rob Coward	Dec 2015	Boards unwilling or unable to provide required information

## Appendix 2

### Accountability Framework

Responsibility of:	Responsible for:
<b>NES Board</b>	<p>Determines the overall strategic direction and overall approach to Educational Governance. The Board has ultimate accountability for educational quality and performance and delegates authority to the Educational &amp; Research Governance Committee.</p>
<b>Educational &amp; Research Governance Committee</b>	<p>Responsible for the system of educational quality management. Its remit is to:</p> <ul style="list-style-type: none"> <li>• <i>advise the Board on educational quality assurance and enhancement issues which may influence NES's strategic direction.</i></li> <li>• <i>oversee the development of educational standards and quality assurance and enhancement mechanisms;</i></li> <li>• <i>scrutinise the effectiveness of Educational Governance arrangements.</i></li> <li>• <i>arrange for the ongoing monitoring of educational quality against agreed standards.</i></li> <li>• <i>report to the Board on outcomes of Committee activity.</i></li> <li>• <i>undertake such work as may be delegated by the Board.</i></li> <li>• <i>work in partnership on Educational Governance and enhancement issues with other Board standing committees and external agencies.</i></li> <li>• <i>Recommend actions to be undertaken by programme teams or other executive officers.</i></li> </ul> <p>The committee delegates scrutiny and monitoring functions to an Executive Group.</p>
<b>Educational &amp; Research Governance Executive Group</b>	<p>Responsible for the development, implementation and review of Educational Governance principles, standards and processes. Its remit is to:</p> <ul style="list-style-type: none"> <li>• <i>develop a three-year schedule of work, ensuring that directorate quality management arrangements and major educational activities are subject to scrutiny and monitoring.</i></li> <li>• <i>develop appropriate Educational Governance monitoring methodologies and recommend these to the Educational &amp; Research Governance Committee for approval.</i></li> <li>• <i>request, receive and scrutinise reports from the directorates in accordance with agreed quality monitoring methodologies.</i></li> <li>• <i>report the outcomes of scrutiny and monitoring activities to the Committee, highlighting noteworthy practice and issues for attention.</i></li> <li>• <i>undertake such work as may be delegated by the Committee.</i></li> <li>• <i>work in partnership with relevant external agencies on Educational Governance and quality enhancement issues.</i></li> </ul>

<p><b>Directorate Educational Governance groups</b></p>	<p>Directorates will convene Educational Governance groups (or otherwise assign Educational Governance responsibilities to other management groups) according to contexts. They will be responsible for:</p> <ul style="list-style-type: none"> <li>• developing, implementing and reviewing quality assurance mechanisms for the directorate or individual programmes</li> <li>• ensuring alignment of directorate educational programmes and educational management with external requirements and NES guidance</li> <li>• monitoring implementation of quality management processes</li> <li>• analysis of performance data</li> <li>• reporting to Educational &amp; Research Governance Executive Group.</li> </ul>
<p><b>Chief Executive</b></p>	<p>Overall executive responsibility for educational quality and performance management arrangements within NES</p>
<p><b>Designated Director for Educational Governance</b></p>	<p>As executive lead for Educational Governance, has corporate responsibility for advising the Educational &amp; Research Governance Committee, Executive Team and the NES Board on the development, implementation and review of Educational Governance arrangements.</p>
<p><b>Executive Team</b></p>	<p>The Executive Team is responsible for:</p> <ul style="list-style-type: none"> <li>• approving Educational Governance processes, strategy and action plans prior to consideration by E&amp;RGC</li> <li>• operational policy decisions for NES on Educational Governance as required</li> <li>• resource allocation for Educational Governance</li> <li>• monitoring progress of Educational Governance processes.</li> </ul>
<p><b>Directorates</b></p>	<p>Each NES Directorate will have (a) designated member(s) of staff with responsibility for leading on:</p> <ul style="list-style-type: none"> <li>• developing quality management systems within the Directorate</li> <li>• monitoring the Directorate’s educational outputs</li> <li>• providing Directorate colleagues with advice and support on educational quality management issues</li> <li>• involving other NES staff and external representatives in the Directorate’s educational quality management processes;</li> <li>• collaboration with other Directorate Educational Governance leads to bring consistency to the NES wide approach, share knowledge and experience, make the necessary changes happen e.g. process or behavioural changes.</li> </ul>

## Appendix 3

### Committee remits

#### Educational and Research Governance Committee

##### Purpose

The Educational and Research Governance Committee (E&RGC) is established as a standing committee of the NES Board with delegated authority for quality improvement in core areas of business. It is responsible for ensuring that educational and research activities are governed to standards of best practice to ensure compliance with external regulation. The Committee is also accountable for putting in place arrangements for monitoring educational and research initiatives against agreed criteria as well as ensuring educational and educational research activities are aligned with NES's values and strategic aims. Its governance responsibilities include scrutiny of NES compliance with statutory requirements, NHSScotland policy and good practice in equality and diversity as it affects education and training. On behalf of the Board, the Committee also develops a NES strategy for effective patient focus and public involvement in NES programmes and monitors compliance with statutory requirements and NHSScotland standards in this regard.

##### Remit

- to advise the Board on matters relating to educational research and the management of educational quality;
- to oversee the development and implementation of strategies, policies, structures and processes governing educational research and the management of educational quality;
- to be assured of the effective management of educational and educational research programmes, including the identification and management of risk;
- to monitor compliance of educational activities with statutory duties, NHSScotland policy and NES priorities in relation to equality and diversity;
- to promote collaboration within NES and with external agencies in relation to Educational Governance, educational research, development and evaluation;
- to promote education and training in relation to research and quality management within NES to monitor capacity and capability in these areas;
- to develop effective strategy for patient focus and the involvement of service users in NES programmes, and monitor compliance with statutory requirements and NHSScotland standards in this regard;



- to monitor approval processes for disbursement of educational research funds;
- to work collaboratively with other Board standing committees in relation to educational quality and educational research;
- to encourage innovative and creative approaches in all aspects of educational research and Educational Governance;
- to report to the Board on the outcomes of NES educational governance activity and research and development programmes.

The remit of the Educational & Research Governance Committee will be reviewed annually.

## **Educational & Research Governance Executive Group – remit and membership**

### **Purpose**

The Educational & Research Governance Executive Group (the Executive Group) has delegated responsibility from the Educational & Research Governance Committee ('the Committee') to scrutinise educational and research governance arrangements and monitor quality in these areas across the NES professional directorates and functions.

The Executive Group promotes effective service user participation in NES programmes. It also promotes effective equality and diversity practice in research and educational activities. The Executive Group monitors compliance with statutory requirements and NHSScotland standards in these regards.

The Executive Group reports directly to the Educational & Research Governance Committee.

### **Remit**

The remit of the Educational & Research Governance Executive Group is to:

- i. develop a plan of work, ensuring that all major educational and research activities are subject to scrutiny and monitoring
- ii. develop appropriate quality monitoring processes for education and research on behalf of the Committee
- iii. review reports from NES directorates and programme teams to seek assurance that educational and research activities are consistent with relevant legislation, regulations, policies and strategic priorities
- iv. promote and monitor the participation of service users in NES programmes and quality monitoring processes ensuring compliance with statutory requirements and NHSScotland standards
- v. promote an inclusive approach to educational development and delivery, consistent with NES's agreed equality outcomes and statutory requirements
- iv. report the outcomes of review and monitoring activities to the Committee, highlighting noteworthy practice and issues for attention
- v. refer significant emerging issues to the Educational Leadership Group for information and action as appropriate
- vi. provide appropriate advice and support for quality improvement in education and research activities where relevant
- vii. undertake such work as may be delegated by the Committee

viii. work in partnership with relevant external agencies on educational and research governance, service user participation, equality and diversity and quality enhancement issues.

### **Membership**

The membership of the Educational & Research Governance Executive Group will comprise representatives from the following NES directorates and functions:

Lead Director, Educational & Research Governance (Chair)

One representative from each of the following professional groups:

- Allied Health Professions
- Dentistry
- Nursing and Midwifery
- Medicine
- Pharmacy
- Psychology
- Educational Projects Manager (Executive Secretary)
- Lead for Research Governance
- Equality & Diversity Adviser
- Educational Projects Manager (PCCP)

The Executive Group may also co-opt representatives of relevant external agencies or service users as required.

### **Frequency of meetings**

The Executive Group will meet a minimum of four times per year, and on further occasions each year for the review of directorates.

The remit and membership will be reviewed annually.

March 2013

## Appendix 4

### NHS Education for Scotland

#### NHS Education for Scotland Educational Governance

#### Educational Governance programme monitoring report

This form is for use by Programme Teams in reporting to the Educational & Research Governance Committee in relation to the management of educational quality and performance. The report is to be used for significant educational programmes not covered by formal external scrutiny/regulation.

Programme:

Directorate:

Completed by:

Date approved by Programme Lead/  
Director:

#### 1. Reporting period

Please state the dates to which this report refers (this should be the period since the previous Educational Governance report).

#### 2. Context for the report

*Please indicate which projects and initiatives are covered by the report, providing a brief description of their purpose and other key information. This should include the **programme inputs** (staff, budget and other resources) and **outputs** (e.g. numbers of courses presented, numbers of learners successfully completing). **Where the report relates to initiatives that have been subject to previous Educational Governance monitoring reports, this section should list the priority actions set out in the first report and indicate the progress achieved against each one. This information can be presented as a table.***

### **3. Quality improvement strategy**

*Please provide a brief description (or a reference to accompanying documentation) of the quality improvement strategy pertaining to the Programme. This should describe matters such as programme governance, programme development, validation/approval or accreditation, external regulation and evaluations. Please use this section to identify the individuals and groups accountable and responsible for programme quality and performance.*

### **4. Standards and performance criteria**

*Please indicate what standards, objectives and performance criteria are used to appraise the quality of the Programme. How are standards and performance criteria used to gauge quality (e.g. programme review, quality assurance visits)?*

### **5. Quality improvement**

*Please indicate how quality management processes are used to affect improvements in educational and service outcomes. Where possible, provide examples of where measurable improvements in quality and performance have been identified through evaluation and other quality improvement approaches e.g. LEAN, Total Quality Management.*

### **6. Quality and performance outcomes**

*Please provide details of noteworthy issues relating to educational quality and performance. This should include areas of high quality or issues requiring remedial action. This analysis of educational performance during the reporting period should be based on the performance indicators, objectives and standards specified in the report. It should provide an account of progress toward objectives and targets, and issues to be addressed in future activity.*

*This section may be used to comment on dimensions of educational quality such as impact on service, the learner experience (including attainment), recruitment, selection and appointment, delivery of curriculum including assessment, support and development of trainees, trainers and local faculty*

*Evidence of quality and performance outcomes will normally be derived from evaluation activities, programme reviews/reports, assessment data and quality improvement activities.*

### **7. Key achievements and innovation**

*Please describe any key achievements and innovative practice demonstrated during the reporting period (for example, development of new provision to meet service needs, enhancement of existing provision).*

### **8. Impact**

*Explain the intended impact of the programme, progress towards impact targets the methods for measuring impact and any challenges to progress and measurement. Advice and guidance on planning and measuring impact is available from the NES Planning and Corporate Governance Team<sup>10</sup>.*

### **9. Complaints**

*Did you receive complaints or negative comments<sup>11</sup> relating to the programme? Please record the number and nature of the complaints/negative comments received, together with an indication how they were resolved and the time taken to do so. Importantly, please indicate lessons learned through the complaints and the actions taken to improve quality and/or performance as a result.*

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<sup>10</sup> Contact Rob Coward, Educational Projects Manager (rob.coward@nes.scot.nhs.uk)

<sup>11</sup> This excludes negative ratings or comments submitted as part of a NES evaluation exercise.

## **10. Participation and partnerships**

*We support the participation of service users and external organisations in the development, delivery or quality management of educational initiatives. Please provide brief details of any public participation in the initiative/programme and/or involvement external organisations including third sector bodies. This should include the purpose of the involvement and partnership working.*

## **11. Inclusivity**

*Please describe the measures taken to ensure that educational initiatives are fully inclusive of all learners within the target staff group(s). This section of the report should be used to record key points from related Equality Impact Assessments and any reasonable adjustments<sup>12</sup> made to enable learners to participate and succeed in NES education and training initiatives.*

## **12. Educational infrastructure**

*Many of NES's educational initiatives involve infrastructure provided by other NES directorates and teams, or by external organisations. Briefly describe the external educational infrastructure for the programme including tutors, educational supervisors, ePortal, e-Portfolio, learning management systems, and Knowledge Network services.*

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<sup>12</sup> The Equality Act 2010 requires service providers and employers to make 'reasonable adjustments' to facilitate access for people with disabilities. Guidance on reasonable adjustments is available from Kristi Long (kristi.long@nes.scot.nhs.uk)

### 13. Quality improvement priorities

*Reflecting on the educational quality issues identified above, describe how the Programme Team plans to improve educational quality in the next reporting period. This should include anticipated changes to quality management/improvement processes.*

**The status of items identified in the action plan will be addressed in subsequent Educational Governance programme monitoring reports.**

Issue to be addressed	Action	Responsible officer(s)	Expected completion date



**14. Risk assessment and management**

Risk identified	Exposure to NES	Scoring		Actions planned or taken to address the identified risk
		Impact (1 to 5 scale)	Likelihood (1 to 5 scale)	

## **Appendix 5**

### **Schedule for directorate review events**

#### **Panel members:**

- Chair – external expert or member of NES Educational Leadership Group
- External members as nominated by directorate under review (up to 4)
- NES staff with expertise and experience in educational development and management
- Educational Projects Manager who will record the event and produce a final report.

#### **Directorate Team:**

- Director and other directorate staff as appropriate

### **AGENDA**

1. Private meeting of Review Panel for introductions and initial thoughts on the submitted documents
2. Welcome to Directorate Team and introductory remarks from the Chair
3. Presentation by Directorate Team
4. Question and Answer session
5. Private meeting of Review Panel to agree key points for final report and any recommendations or requirements
6. Final session with Directorate Team for feedback and closing remarks from the Chair including a summary of the next steps in the process

## Appendix 6

### Glossary of terms

<b>Clinical governance</b>	The means through which NHS organisations are accountable for both continuously improving the quality of their services, and safeguarding high standards of care, by creating an environment in which excellence in clinical care will flourish. Management of clinical risk at an organisational level is an important aspect of clinical governance. Clinical risk management recognises that risk can arise at many points in a patient's journey, and that aspects of organisational management can systematically influence the degree of risk.
<b>Educational Governance</b>	The systems and standards through which organisations control their educational activities and demonstrate accountability for continuous improvement of quality and performance.
<b>Quality assurance</b>	The systems and procedures used to ensure that quality standards are built into educational programmes from the outset (e.g. programme approval arrangements, procedural documentation).
<b>Quality control</b>	The monitoring and moderation of outcomes to ensure they are maintained at a consistent level and that variations in performance are rectified.
<b>Quality enhancement</b>	The planned and systematic procedures and interventions designed to bring about continuous quality improvement.
<b>Quality management</b>	The totality of quality control, quality assurance and quality enhancement arrangements.
<b>Risk management</b>	The systematic identification, evaluation and treatment of risk. A continuous process with the aim of reducing risk to organisations and individuals.

## Appendix 7

### Contacts

Pharmacy representative	To be agreed	To be agreed
Rob Coward	Educational Projects Manager	Rob.coward@nes.scot.nhs.uk
Ronald MacVicar	Director, Postgraduate GP Education	Ronald.macvicar@nes.scot.nhs.uk
Isobel Madden	Associate Dean for Dental Education	Isobel.Madden@nes.scot.nhs.uk
Alastair McLellan	Dean, Postgraduate Medicine	Alastair.mclellan@nes.scot.nhs.uk
Stewart Irvine	Director of Medicine/ Exec Lead for Educational Governance	Stewart.irvine@nes.scot.nhs.uk
Sonya Lam	Director AHPs	Sonya.Lam@nes.scot.nhs.uk
Judy Thomson	Director of Training for Psychology Services	Judy.thomson@nes.scot.nhs.uk
Lesley Whyte	Programme Director, NMAHP	Lesley.whyte@nes.scot.nhs.uk