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Parent Policy: PGME Assessment Policy

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## PGME Learning Plans Procedure

<b>Office of Accountability:</b>	Faculty of Medicine & Dentistry (FoMD)
<b>Office of Administrative Responsibility:</b>	Postgraduate Medical Education (PGME)
<b>Approver:</b>	Postgraduate Medical Education Committee (PGEC)
<b>Classification:</b>	Assessment
<b>Scope:</b>	Residency and Area of Focused Competence (AFC) Programs

### Purpose

This procedure outlines the learning plan expectations for trainees, programs, and the PGME, and additionally outlines the scope, oversight, process, and documentation requirements of implementing learning plans in keeping with the principles described in the parent policy.

Each type of learning plan (Monitoring, Minor, Major, Professionalism) has a distinct goal to support a trainee, as follows:

- Monitoring Plan: A plan that allows for defined and focused observation and assessment of weaknesses and deficiencies over a specified period of time to determine if a learning plan is needed.
- Minor Learning Plan: A plan that provides adjusted learning strategies and dedicated coaching over a specified period of time to address identified weaknesses and deficiencies.  
*Note: As detailed in the procedure, a Minor Learning Plan, on its own, does not result in an extension of training.*
- Major Learning Plan: A plan that is intended to assist the trainee in addressing identified weaknesses and correct deficiencies by adjusting learning strategies in one or more of the following ways:
  - provide a period of focused education to enable the trainee to meet the program and/or specific learning experience's goals and objectives for the relevant postgraduate year level and/or stage of training;
  - provide a period of focused education to address specific CanMEDs role/s and identified area of weakness and/or deficiency; and/or
  - to undertake a focused assessment (e.g. technical skills, sentinel habits).*Note: As detailed in the procedure, a Major Learning Plan may require the adjustment, extension, repetition, or customization of learning experiences, which may result in an extension of training.*
- Professionalism Plan: A plan that is intended to address and correct any lapses in the Professionalism Role.

## **PROCEDURE**

### **1. OVERVIEW**

- a. As per the PGME Assessment Procedure, the program must define the triggers for consideration of learning plans (Monitoring, Minor, Major, Professionalism) in their system of assessment.
  - i. Trainees must be made aware of the triggers for consideration of learning plans.
- b. Where there are concerns about a trainee's progress, the Program Director (or delegate) must meet with the trainee to discuss.
  - i. The Program Director must seek to determine if there is a wellness concern impacting a trainee's progress.
    1. Where appropriate, the Program Director must recommend to the trainee that they contact the Office of Advocacy and Wellbeing (OAW) for further support.
- c. The Program Director must inform a trainee of the program's decision to implement any learning plan (Monitoring, Minor, Major, Professionalism) in writing.
- d. The Program Director, in collaboration with the RPC or AFC Program Committee and informed by the recommendations of the Competence Committee, Assessment Committee, or equivalent, is responsible for developing learning plans.
  - i. The Program Director has the option to seek input into the development of Monitoring and Minor learning plans from the PGME Office.
  - ii. The Program Director must inform the PGME Office of any recommended Major Learning Plan or Professionalism Plan.
    1. A Major Learning Plan or Professionalism Plan cannot be implemented without PGME approval.
- e. Trainees are expected to engage in the process of the development of their learning plan.
  - i. The trainee must respond to the program within ten (10) working days of receipt of any communication about the learning plan.
  - ii. If a trainee is actively seeking support/advice about their learning plan (e.g. with OAW), they must still communicate with the program.
  - iii. If a trainee fails to communicate with the program during the development of the learning plan, the plan will be enacted as written by the program and, where applicable, as approved by PGME. A trainee's lack of engagement in the process will not delay or nullify the implementation of the learning plan.
  - iv. Failure to communicate with the program may result in the implementation of a Professionalism Plan and/or an unpaid Leave of Absence.
- f. Where a program requires additional resources to support a trainee (e.g. learning assessment) for any type of learning plan, they must contact PGME.

### **2. MONITORING PLAN**

- a. When a program is concerned that a learning plan may be required, but triggers have not been met, a period of monitoring can be implemented.
- b. The Program Director, in consultation and/or collaboration with the RPC or AFC Program Committee and informed by the recommendations of the Competence Committee, Assessment Committee, or equivalent, will develop a written Monitoring Plan with input from the trainee.
  - i. The Program Director will make the final decision regarding the Monitoring Plan and will inform the trainee, the RPC or AFC Program Committee, and the Competence Committee, Assessment Committee, or equivalent of their decision in writing.

- ii. The monitoring period is typically supervised by the Program Director, Assistant Program Director, or Faculty/Academic Advisor.
- iii. The Monitoring Plan must address all of the following elements:
  - 1. identified areas of weakness requiring monitoring
  - 2. expected goals of the monitoring period
  - 3. the location, supervision, and duration of the monitoring period
  - 4. methods for assessment during the monitoring period
  - 5. consequences of successful or unsuccessful completion of the monitoring period
- iv. The trainee will be given the opportunity to review and discuss the Monitoring Plan with the Program Director.
  - 1. A Monitoring Plan does not require PGME approval.
- c. A trainee will continue their usual training concurrently during the monitoring period.
- d. A Monitoring Plan, on its own, does not result in the extension of training.
- e. The outcome of a Monitoring Plan shall result in one of the following:
  - i. A successful outcome results in the trainee continuing in the program as usual.
  - ii. An unsuccessful outcome may serve as a trigger for another Monitoring Plan, Minor Learning Plan, Major Learning Plan, or Professionalism Plan.

### **3. MINOR LEARNING PLANS**

- a. Triggers for consideration of a Minor Learning Plan must be outlined in the program's system of assessment.
- b. The Program Director, in consultation and/or collaboration with the RPC or AFC Program Committee and informed by the recommendations of the Competence Committee, Assessment Committee, or equivalent, will develop a formal Minor Learning Plan.
  - i. A Minor Learning Plan may include input from the trainee and/or Faculty/Academic Advisor.
  - ii. The Program Director will make the final decision regarding the Minor Learning Plan and will inform the trainee, the RPC or AFC Program Committee, and the Competence Committee, Assessment Committee, or equivalent of their decision in writing.
- iii. The Minor Learning Plan must address all of the following elements:
  - 1. identified areas of weakness and/or CanMEDS role/s requiring modification in learning and/or assessment opportunities
    - a. a CBD program may also require additional focus on EPA completion
  - 2. expected goals, learning strategies, and outcomes
  - 3. the location, supervision, and duration of the Minor Learning Plan
  - 4. methods for assessment during the Minor Learning Plan
  - 5. consequences of successful, borderline successful, or unsuccessful completion of the Minor Learning Plan
- iv. The trainee will be given the opportunity to review and discuss the Minor Learning Plan with the Program Director (or delegate).
  - 1. The trainee's signature will indicate their agreement to abide by the terms of the Minor Learning Plan. Once signed by the trainee, the supervisor, and the Program Director, the Minor Learning Plan may begin.
  - 2. A Minor Learning Plan does not require PGME approval.

- c. Depending on the specifics of the Minor Learning Plan, a trainee may have learning experiences adjusted to accommodate the plan.
  - i. A program may utilize elective time to repeat learning experiences in order to accommodate a Minor Learning Plan.
- d. A Minor Learning Plan, on its own, does not result in the extension of training.
- e. The outcome of a Minor Learning Plan shall result in one of the following:
  - i. A successful outcome results in the trainee continuing in the program as usual.
  - ii. An unsuccessful outcome may serve as a trigger for another Minor Learning Plan or a Monitoring Plan, Major Learning Plan, or Professionalism Plan.

#### 4. MAJOR LEARNING PLANS

- a. Triggers for consideration of a Major Learning Plan must be outlined in the program's system of assessment.
  - i. Triggers for consideration of a Major Learning Plan may include, but are not limited to, the following:
    - 1. an outcome of any of "not progressing as expected", "borderline", or "unsatisfactory" on trainee assessments
      - a. in CBD Programs:
        - i. two decisions of "not progressing as expected" during the same Stage of Training
        - ii. a decision of "failure to progress" in a Stage of Training
    - 2. low performance, lack of attendance, and/or lack of completion of program requirements
    - 3. an unsuccessful or borderline successful outcome of a Minor Learning Plan
    - 4. recurring deficiency in the same competency after a previous successful or borderline successful Minor Learning Plan
    - 5. an unsuccessful outcome of a previous Major Learning Plan
- b. PGME requires a Major Learning Plan following any of the following:
  - i. the unsuccessful completion after a reintegration plan (see the PGME Leave of Absence Procedure)
  - ii. a Practicum Intervention was conducted (see the Practicum Intervention Policy)
  - iii. a grave violation of any University of Alberta, FoMD, and/or PGME policies and procedures
  - iv. a grave violation of any aspect of the signed Letter of Engagement
- c. The Program Director, in consultation with the RPC or AFC Program Committee and informed by the recommendations of the Competence Committee, Assessment Committee, or equivalent, will determine the need for a formal Major Learning Plan.
  - i. The Program Director must then:
    - 1. inform the PGME Office
    - 2. meet with the trainee within ten (10) working days, or as soon as possible, and:
      - a. discuss the recommendation for the Major Learning Plan;
      - b. advise the trainee of the FoMD's Academic Appeal Policy;
      - c. offer the trainee the opportunity to meet about the plan with the RPC or AFC Program Committee; and
      - d. document the discussion in writing as part of the trainee's academic record.

3. consult with the Assistant Dean, PGME
- d. The Program Director will develop the Major Learning Plan, using the PGME-specified Major Learning Plan template.
  - i. A Major Learning Plan may include input from the trainee, Faculty/Academic Advisor, RPC or AFC Program Committee, and/or Competence Committee, Assessment Committee, or equivalent.
- e. Within fifteen (15) working days following consultation with the Assistant Dean, PGME the Program Director will send a draft of the Major Learning Plan to them for review, input, and initial approval.
  - i. The Program Director must meet with the trainee to review and obtain verbal approval of the Major Learning Plan.
    1. If the trainee disagrees with the details of the plan, the Program Director must inform the PGME and may consult with the ARB.
  - ii. The Program Director sends a copy of the unsigned finalized plan to PGME for request and tracking of signatures and final approval.
    1. The trainee's signature will indicate their agreement to abide by the terms of the Major Learning Plan.
    2. A Major Learning Plan must be approved and signed by the Assistant Dean, PGME, prior to implementation.
    3. A Major Learning Plan cannot begin until it has been fully signed by all parties.
- f. The Major Learning Plan must address all of the following elements:
  - i. identified areas of weakness and/or CanMEDS role/s requiring modification in learning and/or assessment opportunities
    1. a CBD program may also require additional focus on EPA completion
  - ii. expected goals, learning strategies, and outcomes
  - iii. the location, supervision, and duration of the Major Learning Plan
  - iv. methods for assessment during the Major Learning Plan
  - v. consequences of successful or unsuccessful completion of the Major Learning Plan
- g. The Major Learning Plan cannot have an end date that coincides with the Trainee's expected End of Training date.
  - i. The Major Learning Plan must be completed at least one (1) block prior to the expected End of Training date. To accommodate this, an extension of training may be required.
- h. To accommodate the Major Learning Plan, the program may:
  - i. adjust and/or extend learning experiences
  - ii. require a trainee to repeat learning experiences
  - iii. add individualized learning experiences customized to the trainee's learning needs
- i. To accommodate the Major Learning Learning Plan, an extension of training may be required.
  - i. The program may utilize elective time to accommodate adjustments, extensions, repetitions, or customized learning experiences in lieu of an extension of training.
  - ii. In the final year of training, following a review of progress in the program and confirmation of the trainee having met all expected training requirements, the program may submit a request to the Assistant Dean, PGME for a reduction of the aforementioned extension of training up to a maximum of the amount originally extended.

- j. At the end of the Major Learning Plan, a final assessment must be completed using the PGME -specified Outcome Assessment of Learning Plan template, which will attest to the outcome of the plan.
  - i. A copy of the outcome must be sent to the PGME office within fifteen (15) working days of the completion of the Major Learning Plan (regardless of the outcome status).
  - ii. The Program Director will inform the trainee of the right to appeal the outcome assessment as set by the FoMD's Academic Appeals Policy.
- k. A successful outcome of a Major Learning Plan results in the trainee continuing in the program.
- l. In the event of an unsuccessful outcome of a Major Learning Plan, the Program Director, in consultation with the PGME Office and in line with the program's system of assessment, will determine one of the following consequences:
  - i. a Minor Learning Plan
  - ii. another Major Learning Plan
  - iii. a Requirement to Withdraw (see the PGME Requirement to Withdraw Procedure)

## 5. PROFESSIONALISM PLANS

- a. Triggers for consideration of a Professionalism Plan may include, but are not limited to, the following:
  - i. a violation of a confidentiality agreement (e.g. participation in CaRMS resident selection)
  - ii. a violation of the FoMD's Anti-Racism Policy
  - iii. a violation of the Professionalism Values for FoMD Members
  - iv. egregious unprofessional behaviour (including but not limited to intimidation, harassment, and discrimination)
  - v. personal conduct beyond that normally accepted as respectful interpersonal behaviour which disrupts the work environment, prevents a just culture, and/or potentially poses a risk to the delivery of safe and quality healthcare
  - vi. lack of attendance and/or lack of completion of program requirements
  - vii. a Practicum Intervention was conducted (see the Practicum Intervention Policy)
  - viii. a violation of any University of Alberta, FOMD, and/or PGME policies and procedures
  - ix. a violation of any aspect of the signed Letter of Engagement
- b. The Program Director, in consultation with the Associate Dean, Professionalism, the Assistant Dean, PGME, and the RPC or AFC Program Committee, will determine the need for a formal Professionalism Plan.
  - i. The Program Director must then:
    - 1. inform the PGME Office
    - 2. Consult with the Associate Dean, Professionalism, and the Assistant Dean, PGME
    - 3. meet with the trainee within ten (10) working days, or as soon as possible, and:
      - a. discuss the recommendation for the Professionalism Plan;
      - b. advise the trainee of the FoMD's Academic Appeal Policy;
      - c. inform the trainee of the mandatory meeting with the Assistant Dean, PGME, and their ability to bring a personal support person to that meeting;
      - d. offer the trainee the opportunity to meet about the plan with the RPC or AFC Program Committee; and

- e. document the discussion in writing as part of the trainee's academic record.
    - ii. The Trainee must then meet with the Assistant Dean, PGME and the trainee (and their personal support person, if requested) to discuss the recommendation and the lapses of professionalism identified.
  - c. The Program Director (or delegate) will develop the Professionalism Plan, using the PGME-specified Professionalism Learning Plan template.
  - d. The Program Director will send a draft of the Professionalism Plan to the Assistant Dean, PGME for review, input, and initial approval.
    - i. The Program Director must meet with the trainee to review and obtain verbal approval of the Professionalism Plan.
      - 1. If the trainee disagrees with the details of the plan, the Program Director must notify PGME and may consult with the ARB.
    - ii. The Program Director (or delegate) sends a copy of the unsigned finalized plan to PGME for request and tracking of signatures and final approval.
      - 1. The trainee's signature will indicate their agreement to abide by the terms of the Professionalism Plan.
      - 2. A Professionalism Plan must be approved by the Assistant Dean, PGME, prior to implementation.
      - 3. Once the plan is fully signed by all parties, the Professionalism Plan may begin.
  - e. The Professionalism Plan should be individualized to the trainee's learning needs.
    - i. The plan must include all of the following elements:
      - 1. identified lapse/s of professionalism
      - 2. the location, supervision, and duration of the Professionalism Plan
      - 3. methods for assessment during the Professionalism Plan
      - 4. consequences of successful or unsuccessful completion of the Professionalism Plan
  - f. Depending on the specifics of the Professionalism Plan, a trainee may have learning experiences adjusted to accommodate the plan.
    - i. A program may utilize elective time to repeat learning experiences in order to accommodate a Professionalism Plan.
  - g. A Professionalism Plan, on its own, does not typically result in the extension of training.
  - h. At the end of the Professionalism Plan, a final assessment must be completed using the PGME-specified Outcome Assessment of Professionalism Plan template, which will attest to the outcome of the plan.
    - i. A copy of the outcome must be sent to the PGME office within fifteen (15) working days of the completion of the Professionalism Plan (regardless of the outcome status).
    - ii. The Program Director will inform the trainee of the right to appeal the outcome assessment as set by the FOMD's Academic Appeals Policy.
  - i. A successful outcome of a Professionalism Plan results in the trainee continuing in the program.
  - j. In the event of an unsuccessful outcome of a Professionalism Plan, the Program Director, in consultation with the PGME Office and in line with the program's system or framework of assessment, will determine one of the following consequences:
    - i. another Professionalism Plan

- ii. a Requirement to Withdraw (see the PGME Requirement to Withdraw Procedure)

**6. CONSULTATION WITH THE ACADEMIC REVIEW BOARD (ARB)**

- a. As per the PGME Academic Review Board (ARB) Procedure, the ARB will conduct a review and consult on a learning plan under the following circumstances:
  - i. when a trainee disagrees with the specifics of any major learning plan or professionalism plan
  - ii. at the request of the PGME Office, or Program Director, due to an unsuccessful outcome of a learning plan and where further input is needed



## DEFINITIONS

Definitions are listed in the sequence they occur in the document (i.e. not alphabetical).

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.	
<b>Trainees</b>	Refers to residents or fellows registered in accredited postgraduate residency or Area of Focused Competence (AFC) programs.
<b>Monitoring Plan</b>	A plan that allows for defined and focused observation and assessment of weaknesses and deficiencies over a specified period of time to determine if a learning plan is needed.
<b>Minor Learning Plan</b>	A plan that provides adjusted learning strategies and dedicated coaching over a specified period of time to address identified weaknesses and deficiencies. <i>A Minor Learning Plan, on its own, does not result in an extension of training.</i>
<b>Major Learning Plan</b>	<p>Major Learning Plan: A plan that is intended to assist the trainee in addressing identified weaknesses and correct deficiencies by adjusting learning strategies in one or more of the following ways:</p> <ul style="list-style-type: none"> <li>• provide a period of focused education to enable the trainee to meet the program and/or specific learning experience's goals and objectives for the relevant postgraduate year level and/or stage of training;</li> <li>• provide a period of focused education to address specific CanMEDs role/s and identified area of weakness and/or deficiency; and/or</li> <li>• to undertake a focused assessment (e.g. technical skills, sentinel habits).</li> </ul> <p><i>A Major Learning Plan may require the adjustment, extension, repetition, or customization of learning experiences, which may result in an extension of training.</i></p>
<b>Professionalism Plan</b>	A plan that is intended to address and correct any lapses in the Professionalism Role.