

APPRAISALS

**GUIDANCE AND INFORMATION
FOR EDUCATIONAL SUPERVISORS
AND
JUNIOR DOCTORS**

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IMPORTANT

The forms listed below must be copied and sent to the PGME Department, Level 3 Weston House or faxed to 0207 762 6760

Educational Agreement between Trainee and Trainer

Appraisal Meetings Timetable (Form 1)

Interim Meeting (Form 2)

Final Meeting (Form 3)

INTRODUCTION

The following notes and guidelines are intended to provide a framework for successful appraisal meetings between consultants designated as Educational Supervisor and all junior doctors at Great Ormond Street Hospital for Children NHS Trust.

DEFINITIONS

In order to clarify the differences between *Appraisal*, *Assessment* and *Annual Review* the North Thames Post Graduate Medical and Dental Education have produced the following guidance.

Appraisal is concerned with setting personal goals. It reviews personal, educational and job related achievements, is confidential, pastoral and designed to assist an individual to progress. It should be perceived as non-threatening and be conducted in the context of the job. Trainees should participate on a regular basis.

Assessment is concerned with career goals, measures achievement in the college curriculum against set standards, and informs the regulatory process about career progress. It is seen as a judgmental process. Trainees should be assessed on a regular basis throughout their training programme.

Annual Review, under the auspices of the postgraduate dean, controls onward progress in the training scheme. It is a review of the past year's achievements, the results of assessments that have taken place, and a mechanism for making decisions about career progress.

The purpose and objectives of the appraisal scheme defined in this document are as follows:-

Purpose

- To create a planned open discussion between the appraiser and appraisee.
- To encourage a feedback mechanism for continuous improvement of the trainees training experience.
- To provide opportunity to discuss performance strengths and weakness.
- To identify areas of opportunity for experience and planned development.

Objectives

- To maximise training opportunity and therefore enhance job satisfaction.
- To encourage positive two-way communication.
- To maintain high standards of performance and service delivery.
- To identify capabilities for future potential.

TERMINOLOGY

Appraiser - Consultant designated as Educational Supervisor

Appraisee - Specialist Registrar (SpR), Specialist Trainee (ST 1 – 8) Trust Doctor (TD), Clinical Fellow (CF), Senior House Officer (SHO) Staff & Associate Specialist Grade (SASG)

PGME – Postgraduate Medical Education

TIMING OF THE APPRAISAL MEETINGS

Timetable for Appraisal, Assessment and the Annual Review Year

When	What	Who
1 st week	Educational Induction	PGME
1 st – 2 nd Week	Agree Training Plan and Objectives (A)	Educational Supervisor
6 months	Appraisal (B)	Educational Supervisor
9-10 months	Internal Assessment (SpR years 1,3 and 5)	Unit Training Director Consultant (non-supervising)
	External Assessment (SpR years 2 and 4)	Unit Training Director Independent Consultant (external to specialty)
11-12 months	Annual Review	Regional Panel
12 months	Appraisal and review of training (C)	Educational Supervisor

(Where a trainee rotates at the end of the year's training programme, it will not be possible to set new educational objectives as part of appraisal. These will need to be agreed in the first month of the new training programme – make sure you take your last assessment with you to your next meeting)

A. Preliminary meeting

This will form part of the induction process, and must take place between the 1st and 2nd week.

Purpose

- To discuss areas of experience and educational opportunities as identified in the Training Programme using the pro-forma provided.
- To consider a number of mutually agreed objectives for the training period, and make arrangements for the next two appraisal meetings.

B. Interim Meeting

This takes place half way through whether that is 3, 6 or 12 months.

Purpose

- An informal review of progress to date.
- Discussion and review of objectives. Notes of this meeting should continue to be kept by you.

C. Final Appraisal Meeting

This takes place towards the end of your contract with GOSH

Purpose

- A formal discussion where objectives are reviewed, learning points discussed and a plan for next steps if possible.
- Detailed records of the meeting must be kept as you take this information to your appraisal at the beginning of your next rotation.

ROLE IN THE APPRAISAL PROCESS

Appraisal meetings are carried out between the consultant designated as Educational Supervisor and the SpR, ST, TD, CF, SASG or SHO to whom he/she is responsible. The named educational supervisor should be given out at hospital induction or during specialty induction. Following allocation the first step is to make the necessary arrangements for these meetings which is the responsibility of both the Educational Supervisor and the junior doctor.

THE APPRAISAL PROCESS

The preliminary meeting is **MANDATORY** and takes place within the second week of the training period. This meeting will provide the opportunity to discuss in detail the training objectives, clarify any areas of concern and reach agreement on the date of future meetings. All agreed objectives are recorded at this meeting. Dates should be recorded on the form provided (**FORM1**) and **must** be sent to the PGME Department, along with the Educational Agreement.

The interim meeting will serve to assess progress, acknowledge success and explore areas of under achievement with suggested ideas for improvement. The appraisee will be given **Personal Preparation** which will help them to focus on their progress against expectations and to clarify learning objectives along with any additional support required to meet those objectives.

The final appraisal meeting takes place towards the end of any training period and will be a record of training aims achieved and objectives met. Due to the importance of this final meeting, more time should be set aside to allow for adequate discussion, evaluation and feedback. Final review of objectives using information from the form provided will be part of this meeting. The details should then be recorded on the **Final Appraisal Record Sheet**. The appraiser will handwrite it with a section for the appraisee to record any observations they wish to make, the completed form will then be photocopied.

Dates for all meetings should be recorded on the form provided by PGME Department; these are available via the PGME and GOS intranet sites, on your induction CD or by contacting the PGME department directly.

GUIDELINES FOR EDUCATIONAL SUPERVISOR

The following key points will help to ensure that the best use is made of the time allocated for the appraisal meeting.

- Dates and times of all three meetings should be mutually agreed and recorded at the start of the training period to ensure commitment to the process. As a rough guide you will need 45 minutes - 1 hour for both the preliminary and interim meetings and 1½ - 2 hours for the final assessment.
- Once arranged these meetings should not be cancelled.
- A suitable venue, which is private and free from interruptions, should be used.
- If offices are to be used avoid sitting across a desk and arrange for telephone calls and bleeps to be diverted.
- You will be the key to the success of the meeting and your style will reflect a desire to have an open frank discussion with the appraisee.
- Use open questions, help the appraisee feel at ease and encourage them to participate in the discussion.
- Listen to their views and opinions maintaining an open supportive approach throughout the meeting.
- When discussing areas that may require some criticism ensure it is constructive. Give examples and suggested solutions that the appraisee can do something about.
- Concentrate on behaviours rather than personality.
- Sandwich negative feedback between the positive.
- **There must be no surprises at this meeting.** Day to day matters should be dealt with at the time.
- This meeting is not a disciplinary interview.
- At the end of the meeting there should be a clear understanding of the content and mutually agreed action.

GUIDELINES FOR THE APPRAISEE

- The purpose of these meetings is to discuss your needs throughout the employment period and to identify areas of development through setting of key objectives.
- Dates for the meetings should be recorded in your diary. If a review is not held at the appropriate time, your appraiser should be reminded that the dates were agreed in the discussion.
- The success of the meetings depends upon an open two way discussion with mutually agreed points for action being identified.
- You have a shared responsibility in making the meetings effective and worthwhile.
- Completion of your Personal Preparation prior to your Interim meeting will help you focus on your on-going needs and provide a framework for the discussion with your appraiser. You should bring this form with you to the meeting, along with your Objective Sheet
- Comments on progress against objectives will be noted at this meeting.
- **Final Appraisal Record Sheet.** There is a section on this form which invites you to record any comments or observations you wish to make.
- You need to keep the original forms and send the appropriate sheets to inform the PGME Dept that you have met with your Educational Supervisor.
- If for whatever reason you have been unable to reach a mutually agreed situation the Educational Supervisor should refer the matter to the PGME department
- If you so wish you can have direct access to the Clinical Tutor, College Tutor, Medical Education Lead or TPD without prejudice to the outcome of your appraisal discussions. One of them should be able to see you to discuss personal or work related issues if requested. Contact Lindsey Levy PGME manager on ext 5420 to request a meeting.

EDUCATIONAL AGREEMENT BETWEEN TRAINEE AND TRAINER

Postgraduate Medical Education (PGME) is an important part of all training posts in the NHS. Such education leads to improved quality of care by doctors, but this takes time and effort by both teachers and learners.

Name of Trainee:
Department:

During your employment at **Great Ormond Street Hospital NHS Trust** you will be provided with the following:

1. Regular in-service training.
2. An opportunity to discuss with your Educational Supervisor your performance, career pathways, need for study leave and examination needs as well as pastoral guidance if required.
3. At least 3 hours a week of protected time for education.
4. A structured Personal Training Plan, dependent on your needs and aspirations, to be agreed with your Educational Supervisor.
5. A library for your educational needs and support from the PGME department.
6. Study leave appropriate to your requirements with the guidelines laid down by the Trust.

During your employment **you** will:

1. Take an active part in the educational programme and be prepared to spend some of your own time on educational activities.
2. Give educational and personal assessment sessions a high priority and be punctual in your attendance. If you are unable to take part in a planned session, notify the organiser as early as possible.
3. If you have a problem seek the help of your Educational Supervisor. The Unit Training Director and the PGME department and Co-Medical Director are also available to give support and advice.
4. Make your own educational plan in discussion with your Educational Supervisor within the available resources.
5. Give adequate notice of all study leave (6 weeks notice is required) so that cover arrangements can be agreed with your educational supervisor. Approval must also be given by the rota co-ordinator (if relevant) All study leave claims should be approved and signed off by the PGME Manager before study leave is taken. Failure to do submit claims prior to leave may result in non-reimbursement of course fees.
6. Remember that your colleagues within the department will have similar educational requirements. Make sure that your own educational plan integrates with those of your colleagues.

Your Educational Supervisor is:

The PGME Manager is: Lindsey Levy
The Medical Director is: Dr Barbara Buckley

I am happy to accept training and will fulfil my part of the educational contract as outlined above. This contract is a statement of good intent and does not form part of a contract of employment with **Great Ormond Street Hospital NHS Trust** or any other form of contract.

Name _____ **Signed** _____ **Date** _____
(Trainee)

Name _____ **Signed** _____ **Date** _____
(Educational Supervisor)

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FORM 1

APPRAISAL MEETINGS TIMETABLE

Appraisee: _____ **Grade:** _____

Appraiser: _____

Preliminary Meeting
Date
Interim Meeting
Date
Final Meeting
Date

Signed (Educational Supervisor) _____

Date _____

NB: Copies of completed forms should be sent to the PGME Dept level 3 Weston House or faxed to 0207 762 6760

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PRELIMINARY MEETING FORM

Appraisee: _____ Grade _____

Appraiser: _____

Areas for discussion:

Please tick those discussed/action

1. CV/background

2. Clinical training

3. Generic skills

4. Research needs

5. Training agreement - (signed & copy sent to PGME)

6. Aims of placement at GOS

7. Career objectives

8. Completion of Objective Sheet

9. Specialty Induction checklist

APPRAISAL MEETINGS – SPR/ST/SHO/CF/TD
OBJECTIVE SHEET ON-GOING REVIEW PROCESS

NAME:

DEPARTMENT:

Objectives	Action Plan	Interim Meeting	Final Meeting
<i>Set at Preliminary Meeting</i>	<i>Set at Preliminary Meeting</i>	<i>Review and Comment</i>	<i>Review and Comment</i>
1.			
2.			
3.			

Objectives	Action Plan	Interim Meeting	Final Meeting
<i>Set at Preliminary Meeting</i>	<i>Set at Preliminary Meeting</i>	<i>Review and Comment</i>	<i>Review and Comment</i>

Preliminary Meeting
Signed:

Interim Meeting
Signed:

Final Meeting
Signed:

Education Supervisor:

Education Supervisor:

Education Supervisor:

Trainee:

Trainee:

Trainee:

Date:

Date:

Date:

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FORM 2

INTERIM APPRAISAL MEETING

Appraisee: _____ **Grade:** _____

Appraiser: _____

Interim Meeting

Date Held

Relevant Information for PGME:

Signed (Educational Supervisor) _____

Date _____

Please return this form to PGME Department level 3 Weston House, or fax to 0207 762 6760

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PREPARATION FORM

(To be completed in preparation for discussion at Interim Meeting)

Appraisee: _____ **Date:** _____

It is recommended that you use this form to help you think about your progress against the training objectives outlined in your training programme and your personal learning objectives.

1. Do you feel you are progressing satisfactorily in training at GOS? (Please circle)

Yes NO

If no why not?

2. Can you highlight the most positive aspects of your placement so far?

3. Can you highlight the least positive aspects?

4. What progress are you making against your agreed objectives?

5. What are the key areas of activity you need to concentrate on for the remainder of your placement?

6. What support/training will you need to achieve your objectives?

7. Any other issues you want to discuss?

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FORM 3

Appraisee: _____ **Grade:** _____

Appraiser: _____

Final Meeting

Date Held

Relevant Information for PGME:

Signed (Educational Supervisor) _____

Date _____

Please return this form to the PGME Department Level 3 Weston House or fax to 0207 762 6760

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FINAL APPRAISAL

Appraisee: _____ Grade _____

Appraiser: _____ Date _____

Discuss Objective Sheet

Were all the objectives set at the Preliminary Meeting met? (Please circle)

Yes No

What aspects of performance require further improvement?

1.

Provide details on how these could be achieved?

2.

3.

4.	
5.	
6.	
7.	
8.	
9.	

Appraisee's comments:

(all comments will be treated confidentially and they may be used to improve training at GOS in the future)

1. Is length of training appropriate? (Please circle)

Yes

Too short

Too long

Comments:

2. Is the **balance** of training appropriate?

3. Did you find the teaching adequate/effective?

4. Any suggestions, complaints, comments etc?

I confirm that this is a fair and accurate representation of the appraisal meeting.

Signatures:

Appraisee: _____ **Date:** _____

Appraiser: _____ **Date:** _____

Please return this form to PGME Department Level 3 Weston House, or fax to 0207 762 6760