

**APPRAISAL AND REVALIDATION GUIDANCE FOR
EDUCATIONAL SUPERVISORS AND
CLINICAL / TRUST FELLOWS / DOCTORS**

APRIL 2016

CONTENTS

1. INTRODUCTION	3
2. DEFINITIONS.....	3
3. APPRAISAL PROCESS	4
4. GUIDELINES FOR EDUCATIONAL SUPERVISOR / APPRAISER.....	5
5. GUIDELINES FOR EDUCATION APPRAISEE.....	6
6. REVALIDATION PROCESS	6
7. APPENDIX 1: APPRAISAL TIMELINE.....	8
8. APPENDIX 2: STAGE 1 – PRELIMINARY MEETING.....	9
9. APPENDIX 3: STAGE 1 (OBJECTIVES)	12
10. APPENDIX 4: STAGE 2 – INTERIM MEETING	14
11. APPENDIX 5: STAGE 3 – ANNUAL / END OF YEAR APPRAISAL.....	23

1. **INTRODUCTION**

The following notes and guidelines are intended to provide a framework for successful appraisal meetings between consultants/senior medical or dental staff designated as Educational Supervisor and trust fellow/doctors (excluding Doctors in Training) at Great Ormond Street Hospital for Children NHS Trust. This will enable successful progression through the post, support career development and provide appraisals that will enable adequate information to be provided for a revalidation recommendation to be made. Doctors in training should use the deanery processes for appraisal and assessment.

2. **DEFINITIONS**

Appraisal: reviewing personal, educational and job related achievements. Appraisals are confidential, pastoral and designed to assist an individual to progress by setting personal goals. An appraisal should be perceived as non-threatening and be conducted in the context of the job.

Assessment: 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.

Annual Review: provides 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. In addition, it ensures that adequate information has been provided during the appraisal process to inform the revalidation process.

Revalidation: to practice medicine in the UK, all doctors are required by law to be registered with a licence to practice. Every doctor who is fully registered with a licence to practice will be required to revalidate once every 5 years. This requires the doctor to demonstrate to the GMC that they are practising in accordance with the standards set out in the GMCs Good Medical Practice framework. More information about revalidation can be found on the GMC website <http://www.gmc-uk.org/doctors/revalidation.asp> or by contacting revalidation.support@gosh.nhs.uk.

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 working experience.
- To provide opportunity to discuss performance strengths and weaknesses.
- To identify areas of opportunity for experience and planned development.

Objectives

- To maximise learning opportunities 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
- To provide relevant information required for revalidation

3. **APPRAISAL PROCESS**

1. Educational supervisors must be allocated as part of the local departmental induction process.
2. Early contact should be made by the educational supervisor with the trainee and relevant meetings arranged (as indicated below). If the trainee has not heard from the educational supervisor within the first week of the role the trainee should contact the specialty training lead or other senior member of the department regarding this.
3. Appraisal forms are available from the Medical HR & PGME Services team by emailing revalidation.support@gosh.nhs.uk.
4. Below is a minimum expectation, specialties may undertake “mini” appraisals more frequently if the doctor rotates between different areas e.g. ICUs.

Meeting	When	Forms	Purpose
Stage 1 - Preliminary	1 st – 2 nd Week	<ul style="list-style-type: none"> • Preliminary appraisal meeting • Objectives sheet 	<ul style="list-style-type: none"> • To discuss areas of experience and educational opportunities. • Agree objectives for the employment period • Agree dates for the next two appraisal meetings. • To identify any specific needs in the context of revalidation.
Stage 2 - Interim	6 months	<ul style="list-style-type: none"> • Interim Appraisal Form • Review and update of objectives sheet 	<ul style="list-style-type: none"> • An informal review of progress to date. • Explore any areas of underachievement and agree plan to address. • Discussion and review of objectives.
Stage 3 – End of year / annual review	11-12 months (or annually if contract longer than 12m)	<ul style="list-style-type: none"> • End of year Appraisal form • Review and update of objectives sheet 	<ul style="list-style-type: none"> • A formal discussion where objectives are reviewed, learning points discussed and a plan for next steps if possible. • Final sign off of appraisal.

This assumes that individuals are in post for 12 months, if they are in post for 6 months then timings should be adjusted accordingly (i.e. 3 and 6 months).

5. Continuing Professional Development (CPD) should be recorded and reviewed throughout the year using the objectives sheet.
6. The end of year appraisal must be signed off by the educational supervisor. Following the end of year appraisal meeting **all** paperwork must be returned to the Revalidation Team (revalidation.support@gosh.nhs.uk). This is to ensure the Trust has a copy of all documentation for the purpose of Revalidation.
7. Doctors must collect 360-degree feedback to satisfy the GMC requirements for revalidation. If a doctor is due to for revalidation during, or 3 months after, their employment at GOSH the Trust will provide the functionality to complete this via the Trust’s web-based Doctor 360 system.

4. **GUIDELINES FOR EDUCATIONAL SUPERVISOR / APPRAISER**

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 end of year appraisal meeting.
- Once arranged these meetings should not be cancelled where possible.
- 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 work on.
- Concentrate on behaviours rather than personality.
- Where possible, feedback should be balanced with both positive and negative elements
- **There must be no surprises at this meeting.** Day to day matters should be dealt with at the time of the event and in advance of this meeting.
- 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.

5. **GUIDELINES FOR EDUCATION APPRAISEE**

- The purpose of these meetings is to discuss your needs throughout the employment period and to identify areas of development through the 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 initial discussion.
- Following your preliminary meeting you are required to return a signed copy of your objectives and appraisal meeting timetable to the revalidation.support@gosh.nhs.uk account.
- 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.
- Review/completion of relevant forms and careful preparation prior to meetings will help you focus on your on-going needs and provide a framework for the discussion with your appraiser.
- Following your final review meeting you are required to return all appraisal meeting paperwork to the Revalidation team (revalidation.support@gosh.nhs.uk) within 2 weeks of your end of year review meeting.
- Comments on progress against objectives will be noted at this meeting.
- 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.

6. **REVALIDATION PROCESS**

1. When you first join Great Ormond Street Hospital, you need to connect to GMC Connect to show the hospital as your designated body
2. The Responsible Officer for the trust is Dr Andrew Long, Associate Medical Director.
3. Once you have connected to the trust, your revalidation date will be visible to the revalidation support team who will inform Dr Long when you are due for revalidation.
4. It is imperative that regardless of when your revalidation date falls, be it during your employment at the hospital or once you have left the trust, you complete the full appraisal process. This is to ensure that we or your future employers have all the necessary documentation to successfully submit a recommendation for revalidation.

5. If your revalidation due date falls within your employment at the trust, you will need to contact the revalidation support team to request access to the Edgecumbe 360 feedback system. This will enable you to request feedback from colleagues and patients in-line with the GMC Good Medical Practice framework for revalidation.
6. Feedback from patients and colleagues must be obtained during each revalidation cycle (every 5 years).
7. Feedback requirements:
 - a. Colleague feedback = a total of 12 and a combination of feedback from across the staff groups that you work with
 - b. Patient feedback = a minimum of 17 out of a 30 questionnaires
8. Once you have received all required feedback, you will need to download the reports in a PDF format and forward to revalidation.support@gosh.nhs.uk. The revalidation team will then send this along with your appraisal documentation to the Responsible Officer who will determine if they can submit a recommendation for revalidation.

7. **APPENDIX 1: APPRAISAL TIMELINE**

Meeting	When	Forms	Purpose
Stage 1 - Preliminary	1 st – 2 nd Week	<ul style="list-style-type: none"> • Preliminary appraisal meeting • Objectives sheet 	<ul style="list-style-type: none"> • To discuss areas of experience and educational opportunities. • Agree objectives for the employment period • Agree dates for the next two appraisal meetings. • To identify any specific needs in the context of revalidation.
Stage 2 - Interim	6 months	<ul style="list-style-type: none"> • Interim Appraisal Form • Review and update of objectives sheet 	<ul style="list-style-type: none"> • An informal review of progress to date. • Explore any areas of underachievement and agree plan to address. • Discussion and review of objectives.
Stage 3 – End of year / annual review	11-12 months (or annually if contract longer than 12m)	<ul style="list-style-type: none"> • End of year Appraisal form • Review and update of objectives sheet 	<ul style="list-style-type: none"> • A formal discussion where objectives are reviewed, learning points discussed and a plan for next steps if possible. • Final sign off of appraisal.

8. **APPENDIX 2: STAGE 1 – PRELIMINARY MEETING**

STAGE 1 - PRELIMINARY MEETING

Meeting date	
Appraiser name	
Current post	
Appraiser name	
GMC number	
Start date	
Appraiser GMC number	
Revalidation due date	
Previous revalidation date	
Date of previous colleague feedback	
Date of previous patient feedback	

<p>Scope of practice Revalidation covers all the work you undertake as a doctor and therefore must include work outside GOSH, as well as your main post. This may include locum work, voluntary work, research activity etc.</p>

Discussion

This must include the following:

- CV/background
- Clinical training
- Generic skills
- Research needs
- Aims of placement at GOS
- Quality improvement project: an audit, service improvement or transformation project should be considered. Demonstrating a commitment to quality improvement in patient care is a crucial part of medical care and must be demonstrated for revalidation.
- Career objectives

NB: Please ensure you identify any areas for improvement or development as objectives on the objective sheet.

Is there a need for patient or colleague feedback during the post? (i.e., does revalidation fall during, or 3 months after, employment at GOSH) **Yes/No**

The following must also be completed:

- Educational agreement - (signed & copy sent to PGME)
- Specialty Induction checklist
- Review of any mandatory training requirements.

Statement of probity

The General Medical Council requires that doctors who are preparing for revalidation should provide details of their medical indemnity cover, declare any criminal charges against them (previous or current) and make a declaration to confirm that they comply with the principles relating to professional and personal probity set out in *Good Medical Practice*.

Please confirm that the following two statements are accurate, if not indicate where they do not apply.

1	I am aware of the principles and values on which good practice is founded as outlined in the GMC publication, <i>Good Medical Practice</i> , and of the responsibilities on me as a doctor to comply with these standards and the supporting ethical guidance, particularly in respect of professional and personal probity.
2	I confirm that no concern has been expressed about my compliance with these principles and values.

I confirm that I comply with the two statements above: **Yes/No**

Further information:

Signed:

Date:

Statement of health

The General Medical Council requires that doctors who are preparing for revalidation should confirm that they are registered with a GP every year and make a declaration to confirm that they comply with the principles relating to health set out in *Good Medical Practice*.

I confirm that I can currently registered with a general practitioner: **Yes/No**

Please confirm that the following two statements are accurate, or indicate where they do not apply.

1	I am not suffering from, or aware of, any significant health issues, or such health issues are being appropriately managed
2	I confirm that no concern has been expressed about my compliance with these principles and values.

I confirm that I comply with the two statements above: **Yes/No**

Further information:

Signed:

Date:

9. **APPENDIX 3: STAGE 1 (OBJECTIVES)**

OBJECTIVE SHEET ON-GOING REVIEW PROCESS

Name		Department	
------	--	------------	--

Stage 1 (Objectives) <i>Set at Preliminary Meeting</i>	Action Plan <i>Set at Preliminary Meeting</i>	Stage 2 (Interim) <i>Review and Comment</i>	Stage 3 (End of year) <i>Review and Comment</i>
1.			
2.			
3.			

Stage 1 (Objectives)	Action Plan	Stage 2 (Interim)	Stage 3 (End of year)
<i>Set at Preliminary Meeting</i>	<i>Set at Preliminary Meeting</i>	<i>Review and Comment</i>	<i>Review and Comment</i>
4.			
5.			

Stage 1 – Preliminary meeting		Stage 2 – Interim meeting		Stage 3 – End of year / annual review	
Education supervisor		Education supervisor		Education supervisor	
Appraisee		Appraisee		Appraisee	
Date		Date		Date	

10. APPENDIX 4: STAGE 2 – INTERIM MEETING

STAGE 2 – INTERIM MEETING (9 pages)

The following must be completed and given to your appraiser at least one week before the planned meeting

Meeting date	
---------------------	--

Appraisee name	
Current post	
Appraiser name	
GMC number	
Start date	
Appraiser GMC number	
Revalidation due date	
Previous revalidation date	
Date of previous colleague feedback	
Date of previous patient feedback	

Scope of practice Please review and update your scope of work if there is anything additional since your preliminary meeting

Mandatory training / requirements

Review of any outstanding mandatory training or requirements during the post

DISCUSSION

Do you feel you are progressing satisfactorily in your post at GOSH?	
Yes	No
If no why not?	
Can you highlight the most positive aspects of your job so far?	
Can you highlight the least positive aspects?	
What progress are you making against your agreed objectives?	

Have you undertaken and improvement activity? Provide any details and success or support required

What are the key areas of activity you need to concentrate on in the future?

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

Any other issues you want to discuss?

If any patient or colleague feedback has been undertaken record this here. Your appraiser must have sight of this prior to the appraisal. Reflect on what this feedback means to you and how it might change your practice. You must attached copies of the feedback reports when submitting to revalidation support (revalidation.support@gosh.nhs.uk)

Statement of probity

The General Medical Council requires that doctors who are preparing for revalidation should provide details of their medical indemnity cover, declare any criminal charges against them and make a declaration to confirm that they comply with the principles relating to professional and personal probity set out in *Good Medical Practice*.

Doctors must also provide details of any criminal charges that they have been, or are currently subject to.

Please confirm that the following two statements are accurate, if not indicate where they do not apply.

1	I am aware of the principles and values on which good practice is founded as outlined in the GMC publication, <i>Good Medical Practice</i> , and of the responsibilities on me as a doctor to comply with these standards and the supporting ethical guidance, particularly in respect of professional and personal probity.
2	I confirm that no concern has been expressed about my compliance with these principles and values.

I confirm that I comply with the two statements above: **Yes/No**

Further information:

Signed:

Date:

Statement of health

The General Medical Council requires that doctors who are preparing for revalidation should confirm that they are registered with a GP every year and make a declaration to confirm that they comply with the principles relating to health set out in *Good Medical Practice*.

I confirm that I can currently registered with a general practitioner: **Yes/No**

Please confirm that the following two statements are accurate, or indicate where they do not apply.

1	I am not suffering from, or aware of, any significant health issues, or such health issues are being appropriately managed
2	I confirm that no concern has been expressed about my compliance with these principles and values.

I confirm that I comply with the two statements above: **Yes/No**

Further information:

Signed:

Date:

Significant Events

- A Significant Event (also known as a serious untoward incident, serious incident or serious critical incident) is any untoward or unexpected event which could or did lead to harm of one or more patients. As part of the requirement for revalidation doctors are obliged to record and reflect on significant events in their work.
- You should record here any significant events in which you were named or were involved. You should indicate if the event is resolved (ie the investigation complete) or not. If the investigation is complete, you should reflect on your involvement and if this has changed your practice. You do not need to include full details of the event, those details you do include must be anonymised. If the investigation is not complete, then this event should be discussed at a future meeting.
- If you have been named in an event, this does not mean you were at fault, but reflection is useful as SIs often provide important learning that is broadly applicable.
- If you are not sure where to get information about SIs, please discuss this further with your Educational supervisor.

Please tick one of these boxes:

I have not been involved in an SI since my last appraisal	<input type="checkbox"/>
I have been involved in an SI since my last appraisal	<input type="checkbox"/>

Signed:

Date:

Details of SI and Reflection:

--

Complaints

A complaint is a formal expression of dissatisfaction or grievance relating to an individual doctor, team or about the care of patients. As part of the requirement for revalidation doctors are obliged to record and reflect on any complaints in which they have been named.

If you know you have been involved in a complaint you should discuss this with your educational supervisor and reflect on the outcome and record this here.

If you have been named in an event, this does not mean you were at fault, but reflection is useful as complaints often provide important learning that is broadly applicable.

Please tick one of these boxes:

I have not been involved in a complaint since my last appraisal	
I have been involved in a complaint since my last appraisal	

Details of Complaint and reflection:

Compliments

This section can be used to record any unsolicited compliments received from parents, patients, carers, relatives or colleagues.

Summary of Appraisal Meeting (to be agreed by appraiser and appraisee)

This must be in line with the domains (and component attributes as listed) of Good medical practice and are as follows:

<p>Domain 1: Knowledge, skills and performance</p> <ul style="list-style-type: none">1.1 Maintain your professional performance1.2 Apply knowledge and experience to practice1.3 Ensure that all documentation (including clinical records) formally recording your work is clear, accurate and legible
<p>Domain 2: Safety and Quality</p> <ul style="list-style-type: none">2.1 Contribute to and comply with systems to protect patients2.2 Respond to risks to safety2.3 Protect patients and colleagues from any risk posed by your health
<p>Domain 3: Communication, partnership and teamwork</p> <ul style="list-style-type: none">3.1 Communicate effectively3.2 Work constructively with colleagues and delegate effectively3.3 Establish and maintain partnerships with patients

Domain 4: Maintaining Trust 4.1 Show respect for patients 4.2 Treat patients and colleagues fairly and without discrimination 4.3 Act with honesty and integrity

General Summary

I confirm that all of the above is true and accurate.

Educational supervisor signed		Date	
Appraisee signed		Date	

NB: Following your final appraisal meeting please ensure that you send all your documentation from each meeting to revalidation.support@gosh.nhs.uk.

11. APPENDIX 5: STAGE 3 – ANNUAL / END OF YEAR APPRAISAL

STAGE 3 – END OF YEAR APPRAISAL / ANNUAL REVIEW (9 pages)

The following must be completed and given to your appraiser at least one week before the planned meeting

Meeting date	
---------------------	--

Appraisee name	
Current post	
Appraiser name	
GMC number	
Start date	
Appraiser GMC number	
Revalidation due date	
Previous revalidation date	
Date of previous colleague feedback	
Date of previous patient feedback	

Scope of practice Please review and update your scope of work if there is anything additional since your preliminary meeting

Mandatory training / requirements

Review of any outstanding mandatory training or requirements during the post

DISCUSSION

Do you feel you are progressing satisfactorily in your post at GOSH?	
Yes	No
If no why not?	
Can you highlight the most positive aspects of your job so far?	
Can you highlight the least positive aspects?	
What progress are you making against your agreed objectives?	

Have you undertaken and improvement activity? Provide any details and success or support required

What are the key areas of activity you need to concentrate on in the future?

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

Any other issues you want to discuss?

If any patient or colleague feedback has been undertaken record this here. Your appraiser must have sight of this prior to the appraisal. Reflect on what this feedback means to you and how it might change your practice. You must attached copies of the feedback reports when submitting to revalidation support (revalidation.support@gosh.nhs.uk)

Statement of probity

The General Medical Council requires that doctors who are preparing for revalidation should provide details of their medical indemnity cover, declare any criminal charges against them and make a declaration to confirm that they comply with the principles relating to professional and personal probity set out in *Good Medical Practice*.

Doctors must also provide details of any criminal charges that they have been, or are currently subject to.

Please confirm that the following two statements are accurate, if not indicate where they do not apply.

1	I am aware of the principles and values on which good practice is founded as outlined in the GMC publication, <i>Good Medical Practice</i> , and of the responsibilities on me as a doctor to comply with these standards and the supporting ethical guidance, particularly in respect of professional and personal probity.
2	I confirm that no concern has been expressed about my compliance with these principles and values.

I confirm that I comply with the two statements above: **Yes/No**

Further information:

Signed:

Date:

Statement on health

The General Medical Council requires that doctors who are preparing for revalidation should confirm that they are registered with a GP every year and make a declaration to confirm that they comply with the principles relating to health set out in *Good Medical Practice*.

I confirm that I can currently registered with a general practitioner: **Yes/No**

Please confirm that the following two statements are accurate, or indicate where they do not apply.

1	I am not suffering from, or aware of, any significant health issues, or such health issues are being appropriately managed
2	I confirm that no concern has been expressed about my compliance with these principles and values.

I confirm that I comply with the two statements above: **Yes/No**

Further information:

Signed:

Date:

Significant Events

- A Significant Event (also known as a serious untoward incident, serious incident or serious critical incident) is any untoward or unexpected event which could or did lead to harm of one or more patients. As part of the requirement for revalidation doctors are obliged to record and reflect on significant events in their work.
- You should record here any significant events in which you were named or were involved. You should indicate if the event is resolved (ie the investigation complete) or not. If the investigation is complete, you should reflect on your involvement and if this has changed your practice. You do not need to include full details of the event, those details you do include must be anonymised. If the investigation is not complete, then this event should be discussed at a future meeting.
- If you have been named in an event, this does not mean you were at fault, but reflection is useful as SIs often provide important learning that is broadly applicable.
- If you are not sure where to get information about SIs, please discuss this further with your Educational supervisor.

Please tick one of these boxes:

I have not been involved in an SI since my last appraisal	
I have been involved in an SI since my last appraisal	

Signed:

Date:

Details of SI and Reflection:

--

Complaints

A complaint is a formal expression of dissatisfaction or grievance relating to an individual doctor, team or about the care of patients. As part of the requirement for revalidation doctors are obliged to record and reflect on any complaints in which they have been named.

If you know you have been involved in a complaint you should discuss this with your educational supervisor and reflect on the outcome and record this here.

If you have been named in an event, this does not mean you were at fault, but reflection is useful as complaints often provide important learning that is broadly applicable.

Please tick one of these boxes:

I have not been involved in a complaint since my last appraisal	
I have been involved in a complaint since my last appraisal	

Details of Complaint and reflection:

Compliments

This section can be used to record any unsolicited compliments received from parents, patients, carers, relatives or colleagues.

Summary of Appraisal Meeting (to be agreed by appraiser and appraisee)

This must be in line with the domains (and component attributes as listed) of Good medical practice and are as follows:

<p>Domain 1: Knowledge, skills and performance</p> <ul style="list-style-type: none">1.4 Maintain your professional performance1.5 Apply knowledge and experience to practice1.6 Ensure that all documentation (including clinical records) formally recording your work is clear, accurate and legible
<p>Domain 2: Safety and Quality</p> <ul style="list-style-type: none">2.4 Contribute to and comply with systems to protect patients2.5 Respond to risks to safety2.6 Protect patients and colleagues from any risk posed by your health
<p>Domain 3: Communication, partnership and teamwork</p> <ul style="list-style-type: none">3.4 Communicate effectively3.5 Work constructively with colleagues and delegate effectively3.6 Establish and maintain partnerships with patients

Domain 4: Maintaining Trust 4.4 Show respect for patients 4.5 Treat patients and colleagues fairly and without discrimination 4.6 Act with honesty and integrity

General Summary

I confirm that all of the above is true and accurate.

Educational supervisor signed		Date	
Appraisee signed		Date	

NB: Following your final appraisal meeting please ensure that you send all your documentation from each meeting to revalidation.support@gosh.nhs.uk.