


TRUST BOARD COVER SHEET

Meeting Date	28 th September 2023	
Agenda item	Medical Director's Report Medical Appraisal and Revalidation	
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This paper sits within the Trust Board role of: Accountability		
This paper is presented for: Assurance		
Links to Trust Corporate Objectives	<input checked="" type="checkbox"/>	Promoting Safe, High Quality Care
	<input type="checkbox"/>	Supporting people to live long, healthy active lives
	<input checked="" type="checkbox"/>	Improving our services
	<input type="checkbox"/>	Making best use of our resources
	<input checked="" type="checkbox"/>	Being a great place to work – supporting, developing and valuing our staff
	<input type="checkbox"/>	Working in partnership

	<p><i>This report cover sheet has been prepared by the Accountable Director.</i></p> <p><i>Its purpose is to provide the Trust Board with a clear summary of the report/paper being presented, with the key matters for attention and the ask of the Trust Board.</i></p> <p><i>It details how it impacts the people we serve.</i></p>
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1. Detailed summary of paper contents:

This paper outlines the purpose of Medical Appraisal and Revalidation. It also provides assurance to Trust Board on the implementation of the Responsible Officer Regulations in relation to Medical Revalidation.

2. Areas of improvement/achievement:

- Improved medical appraisal rates compared with same time in the previous year (August)
- For the period March 2021 to August 2023, there were 334 doctors due for revalidation as follows
 - 273 revalidated
 - 61 doctors had their revalidation deferred (almost all due to insufficient information)
- New Medical Appraisal/Revalidation Dashboard/ tracking system created
- New Medical Appraiser Allocation tracking system created.
- Feedback from RQIA - Review of Urology services from a Medical Appraisal and Revalidation perspective
- Electronic Paying and Private Patients 'Change of Status form' approved and implemented from 13th August 2023 including revised policy.

3. Areas of concern/risk/challenge:

- Increasing Medical Mentors for recruitment of international doctors

4. Impact: Indicate if this impacts with any of the following and how:

Corporate Risk Register	
Board Assurance Framework	
Equality and Human Rights	

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1. Medical Appraisal

Defined as:

“A positive process of constructive dialogue, in which the doctor being appraised has a formal, structured opportunity to reflect on his/her work and to consider how his/her effectiveness might be improved. It should support doctors in their aim to deliver high quality care whilst ensuring they are practicing within a safe and effective framework”.

The aims and objectives of appraisal are to enable doctors and employers to:

- Review regularly an individual's work and performance, utilising relevant and appropriate comparative performance data from local, regional and national sources
- Optimise the use of skills and resources in seeking to achieve the delivery of service priorities
- Consider the doctor's contribution to the quality and improvement of services and priorities delivered locally
- Define personal and professional development needs and agree plans for these to be met
- Identify the need for the working environment to be adequately resourced to enable any service objectives in the agreed job plan review to be met
- Provide an opportunity for doctors to discuss and seek support for their participation in activities for the wider HSC
- Contribute to the governance requirements of the organisation
- Allow the process of *“Medical Revalidation”* of the doctor's licence to practice

2. Medical Revalidation

The General Medical Council (GMC) implemented a system of revalidation for its registrants in 2012 which was subsequently improved following the Pearson Review in 2017. The change in medical regulation was designed to provide an assurance to patients and the public that doctors are keeping up to date and are fit to practise. All registrants wishing to practise medicine have been issued with a licence to practise from the GMC. Renewal of this licence will be subject to the process of revalidation whereby a senior doctor in a healthcare organisation, known as a Responsible Officer, will make a recommendation to the GMC that those doctors with whom they have a prescribed relationship are practising to the standards defined by the GMC in Good Medical Practice.

Good medical practice has been updated. It sets out the standards of patient care and professional behaviour expected of all doctors in the UK, across all specialties, career stages and sectors. These standards will also apply to physician associates and anaesthesia associates in the future

The updated standards will come into effect on 30 January 2024. [Updated Good Medical Practice 2024](#).


As noted above, one of the main thresholds that a doctor has to reach is to have successfully completed five annual appraisals over the previous 5 years.

3. Current position of Appraisal activity

Current position **15th September 2023**. We have an increase in Appraisal activity from August 2022.

Appraisal Year	Doctors Requiring Appraisals	Appraisal Complete		Appraisal in Progress		Appraisal Not Complete	
2018	296	296	100%	0	0%	0	0%
2019	345	344	99.9%	0	0%	1	0.1%
2020	384	382	99.4 %	1	0.3%	1	0.3%
2021	429	405	94%	4	1%	20	5%
2022	476	276	58%	7	1%	193	41%

The following table displays the increase of completed appraisals by end of August 2023 (Appraisal year 2022) compared with the end of August 2022 (Appraisal year 2021). The Trust has increased awareness of Medical Appraisal throughout the Trust via a letter from the Medical Director to all substantive staff detailing the Medical Appraisal requirements, together with sharing of the new Medical Engagement Procedure timetable in January 2023. In addition, awareness has also been increased via Appraiser network meetings and Newsletters. The Trust considers that this has influenced the improved appraisal performance so far this year as detailed below.

Appraisal Year	Doctors Requiring Appraisals	Appraisal Completed by Aug		Overall increase
2021	429	113	26%	 24%
2022	476	238	50%	

For the period March 2021 to August 2023, there were 334 doctors due for revalidation, 273 revalidated. 61 doctors had their revalidation deferred with a summary of the rationale for deferral outlined below.

Number deferred	Reason
0	Sick Leave
0	Maternity Leave
0	Career Break
0	New Starts
60	Insufficient information
1	Temporarily given up licence
0	Other Processes (Non Engagement)

4. Appraisal Training

The Medical Directorate Appraisal and Revalidation Team continue to deliver bespoke Appraiser refresher/new appraiser training programme for 2023. The training has been bench marked against NHS England Appraiser training [NHS England Appraiser training and support](#)

The training is delivered on a quarterly basis by the Trusts Responsible Officer and Senior Managers from the Medical Appraisal and Revalidation Team. Training dates for 2023 have been circulated.

5. New Appraisal/Revalidation dashboard

The Medical appraisal and revalidation dashboard for all Divisional Medical Directors is now live and accessible. We have recruited a Data Quality Officer, the postholder is currently reviewing the current version to enhance user friendliness and overall visual presentation. The revised dashboard will continue to highlight the following:

- Completion rate of appraisal in pictorial and data format.
- Revalidation – number of deferrals/revalidations
- Populates annual revalidations
- Identifies Appraisers within Division and number of appraisals completed or to be completed (inclusion in Job plans)

6. Medical Appraisal Facilitation Programme

The programme commenced in July 2022 and runs in conjunction with the Appraiser refresher/new appraiser training programme for 2023. New Appraisers will be invited to participate in the programme.

Appraisers who complete the Appraisal Mentoring Programme will receive a certificate of completion which can be used as evidence of medical leadership development.

7. Regional Appraisal Programme System (RASP) 'Preparation drop in sessions'

Supplementary to the Medical Appraisal Trust in-house Appraisal programme, the Medical Revalidation Senior Managers continue to deliver 'RASP drop in sessions / virtual sessions across Trust acute and non-acute sites. The sessions are always positively received. Drop-in sessions / virtual sessions incorporate a question-and-answer style session, helping doctors to reinforce their understanding of the importance of Medical Appraisal and Revalidation including details on what is expected in their supporting information and discussion. Dates for 2023 have been circulated and will be facilitated in both Acute and Non Acute sites.

The drop-in sessions/virtual sessions aim to:

- Improve the understanding of the roles and responsibilities of Medical Appraisal and Revalidation, the services we provide and the people who work within it.

- Enhance opportunities for doctors to speak to members of the revalidation team about particular issues or queries relating to their appraisal and revalidation.
- Offer timely advice and support at the point of need especially around accessing the Regional Appraisal system programme (RASP).

The drop-in sessions are offered on a regular basis (bi monthly) and will be themed to maintain focus for particular areas of support or guidance. The themes that will be covered include:

- Navigating the system
- Supportive information/documents
- Reflective Practice

8. Appraiser Network Meeting

Supplementary to the Medical Appraisal Facilitation Programme is the ongoing delivery and facilitation quarterly Appraiser Network Meetings. The purpose of these meetings is to facilitate new and existing Medical Appraisers to openly discuss positives aspects of the Appraisers role and also discuss concerns, issues in a supportive environment helping to enhance problem solving skills, action planning and personal and professional knowledge and skills. These meetings are facilitated by the Senior Appraisal and Revalidation Manager with Medical representation. 2023 meetings have been circulated.

8. Paying and Private Patients Policy

Senior Appraisal and Revalidation Manager has undertaken a review of the Trust Guidance on Paying/Private Patients Sept 2018. Review of the current guidance identified the absence of some important information. The aforementioned mentioned has been added to the new Trust policy. The new policy was peer review (BMA) and uploaded onto sharepoint for implementation into practice in July 2023.

9. Electronic Change of Status form

New electronic Change of Status form (Formerly known as PP4 form) was uploaded onto sharepoint for implementation into practice in August 2023. Formal communication was put into effect in August 2023 including a new quality assurance monitoring framework.

10. Appraisee Training

The Medical Directorate Appraisal and Revalidation team created an Appraisee awareness video, outing individual roles and responsibilities. The awareness video encourages medical staff to self-assess by reflecting honestly on their whole practice.

The awareness video reviews the following:

- Purpose of Whole Practice Medical Appraisal
- Good Medical Practice – four domains
- Guidance on supporting information for Appraisal and Revalidation
- Medical Appraisal toolkit
- The Appraisal discussion

11. Medical Mentoring Scheme

Medical Mentoring within the Southern Health & Social Care Trust was introduced in 2015. The programme has been reviewed and approved by the Medical Directorate, information relating to same has been shared across all Divisional Directors with an invite for new Medical Mentors.

Medical Mentoring:

“The process whereby an experienced, highly regarded, empathic person (the mentor), guides another individual (the mentee) in the development and re-examination of their own ideas, learning, and personal and professional development.” (Mentoring for Doctors, Enhancing the Benefit, Oxley, 2003)

BMA (Feb 2022) state the following benefits:

- Aids the development of doctors at all stages of their career.
- Improves retention rates and work performance as well as working relationships.
- Encourages equality and reduces discrimination.

Benefits of the new scheme for the Mentee

- A better understanding of the culture and structure of an organisation.
- Improves self-confidence.
- Increases skills and knowledge.
- It can be a supportive environment in which successes and failures can be evaluated.
- Potential for increased visibility and demonstration of your career focus.
- You get individual attention from experienced senior colleagues.

Benefits of the new scheme for the Mentor

- Mentee's development.
- Enhances self-esteem.
- Revitalises your interest in work through an opportunity to examine one's own achievements and skills.
- Opportunities to test new ideas.
- Improves your ability to share experiences and knowledge

12. Medical Appraisal and Revalidation Policy

The Trust has a new Medical Appraisal and Revalidation policy, this was uploaded into Share point in June 2023, the policy is easily accessible via [sharepoint Medical Appraisal](#)

13. Medical Engagement Procedure

The Trust introduced a Medical Appraisal and Revalidation Engagement Procedure in January 2023. The procedure outlines the contractual duties of the Doctor to engage in the Revalidation process. The policy is easily accessible via [sharepoint Medical Appraisal](#). The Senior Manager for Appraisal and Revalidation firmly believes the increase in Appraisal compliance is a direct result of the contents, including reminder letters and escalation flowchart detailed in the Medical Engagement Procedure.

14. Medical Appraisal and Revalidation Process Mapping Exercise

There are two key reasons for deciding to process map the Medical and Nursing Appraisal/Revalidation processes, based upon the Neurology recommendations and the ongoing Urology Public inquiry.

1. Understand how the different aspects of the current Medical and Nursing Appraisal/Revalidation team processes on a daily basis. Measuring these processes will facilitate the Senior Manager to manage more effectively and make necessary improvements.
2. Clearly defining processes within the team will enable the identification of problem areas and understand where waste and inefficiency may exist and their impact on staff and services, this knowledge will provide a solid basis from which to develop solutions and introduce and plan new improved Medical and Nursing Appraisal/Revalidation processes.



The System Assurance Team generated a thematic analysis of the review/recommendations including actions plans with timeframes. The Inquiry Panel has made **76 recommendations**, which, they state if implemented, should significantly reduce the risk of a recurrence of similar events and improve patient safety. These recommendations have been made in respect of the NI Department of Health, the General Medical Council (GMC), Health care Organisations and Independent Health Care Providers.










Thematic analysis of the findings has been completed with the following emerging key themes:

- **Appraisal and Revalidation**
- **Assurance**
- **Communication and Information**
- **Concerns**
- **Management and Clinical Management**
- **Medical Culture**

Outcomes of the Process Mapping exercise are being implemented into practice in a phased approach.

15. Appraiser to Appraisee Allocation (Medical Appraisals 2023, 2024 and 2025)

The Medical Directorate Appraisal and Revalidation team have created a new monitoring allocation system for the allocation of Appraisers. The system is easy to manipulate and Medical Revalidation admin team can recognize immediately, Appraisers have capacity to undertake the role of Appraiser. The  represents Appraiser has reached their Appraisal quota. The  represents Appraiser has capacity to undertake additional Appraisals. There is a section to record varying types of communications - key information and messages.

DEPUTY MED DIRECTORS						
First Name	Surname	2023	2024	2025	Go To Table	
Aisling	Diamond	 7	 7	 7	View	
Damian	Gormley	 8	 8	 8	View	
Damian	Scullion (Anaes)	 7	 7	 7	View	

The following outlines the new monitoring allocation system for allocation of Appraisers.



2023 Appraiser Allocation V2.0.xlsx

16. Microsoft Sharepoint

All relevant Medical and Appraisal information is uploaded onto Microsoft SharePoint. The sharepoint platform was reviewed and updated in August 2023. The system is updated on a 'live basis'.

Medical Appraisal and Revalidation

 Induction Appraisal	 Training Videos and Presentations	 Appraisal and Revalidation Policy	 Appraisal and Revalidation Newsletters
 Responsible Officer	 Medical Appraisal & Revalidation General Information	 GMC Information	 Appraisal and Revalidation Engagement Procedure
 CLIP	 Medical Appraisal Toolkit	 Medical HR Hub	 RASP

17. Appraisal process for Physician Associates (PAs)

Revalidation will be based on the collection of six pieces of supporting information. The information will be discussed and reflected upon at annual appraisals.

Before regulation starts, the GMC will issue further guidance on the information to be collected. This will mirror the six categories of supporting information that we currently require for doctors:

- Continuing professional development,
- Complaints and compliments,
- Feedback from colleagues,
- Feedback from patients,
- Quality improvement activity, and;
- Significant events.

The GMC during 2023, will update the existing guidance for employers, [Effective clinical governance for the medical profession](#), to reflect the requirements for revalidating to PAs and Anaesthesia Associate (AAs) in future. Meetings are ongoing with the PA Trust lead and regional colleagues in respect of adding staff group to the Regional Appraisal Trust Programme (RASP).

The SHSCT Senior Manager with colleagues has evaluated the effectiveness of our Trust arrangements using the Effective clinical governance for the medical profession, monitoring arrangements are in place to review periodically.

18. Feedback from RQIA - Review of Urology services

The Senior Appraisal and Revalidation Manager collected and collate the required information; for the pre-engagement sessions. The Senior Appraisal and Revalidation Manager attended one of the scheduled session, participating in the discussion in relation to the Governance of Medical Appraisal and Revalidation.

19. Current risks for Medical Revalidation and Appraisal

The workforce within the Medical Appraisal and Revalidation at present has a stabilised workforce. The joint working with the Nursing Appraisal and Revalidation Team continues to provide resilience to deal with the workload challenges.