

<b>Agenda Item</b>	<b>P1/190/17a</b>	<b>Date: 6<sup>th</sup> September 2017</b>			
<b>Subject /title</b>	<b>Annual Revalidation Report</b>				
<b>Author</b>	<b>Susan Birch, Medical Staffing Officer</b>				
<b>Responsible Director</b>	<b>Peter Kirkbride, Medical Director</b>				
<b>Executive summary and key issues for discussion</b>					
<p>As mandated by NHS England, this report informs the Trust Board about continued progress in developing Medical Appraisal and Medical Revalidation during the 2016/17 year, and sets out the plans for further development in 2017/18</p>					
<b>Strategic context and background papers (if relevant)</b>					
<b>Recommended Resolution</b>					
<p>The board is requested:</p> <ol style="list-style-type: none"> <li>1) to note the contents of this report, and that it will be shared, along with the annual audit, with the higher level responsible officer at NHS England, and to consider any actions required, and</li> <li>2) to approve and sign off a 'statement of compliance' confirming that the organisation, as a designated body, is in compliance with the regulations.</li> </ol>					
<b>Risk and assurance</b>					
<b>Resource Implications</b>					
N/a					
<b>Key communication points (internal and external)</b>					
As per report					
<b>Freedom of Information Status</b>					
<p>FOI exemptions must be applied to specific information within documents, rather than documents as a whole. Only if the redaction renders the rest of the document non-sensical should the document itself be redacted.</p> <p><b>Application Exemptions:</b></p> <ul style="list-style-type: none"> <li>• <b>Prejudice to effective conduct of public affairs</b></li> <li>• <b>Personal Information</b></li> <li>• <b>Info provided in confidence</b></li> <li>• <b>Commercial interests</b></li> <li>• <b>Info intended for future publication</b></li> </ul>	<p>Please tick the appropriate box below:</p> <table border="1" style="margin-left: 20px;"> <tr> <td style="text-align: center;">x</td> </tr> <tr> <td> </td> </tr> <tr> <td> </td> </tr> </table> <p><b>A. This document is for full publication</b></p> <p><b>B. This document includes FOI exempt information</b></p> <p><b>C. This whole document is exempt under FOI</b></p> <p>IMPORTANT:</p> <p>If you have chosen B above, highlight the information that is to be redacted within the document, for subsequent removal.</p> <p>Confirm to the Trust Secretary, which applicable exemption(s) apply to the whole document or highlighted sections.</p>	x			
x					

Equality & Diversity impact assessment		
Are there concerns that the policy/service could have an adverse impact because of:	<b>Yes</b>	<b>No</b>
Age		<b>x</b>
Disability		<b>x</b>
Gender		<b>x</b>
Ethnicity		<b>x</b>
Sexual Orientation		<b>x</b>
Religion / Belief		<b>x</b>
If YES to one or more of the above please add further detail and identify if full impact assessment is required.		
Next steps		
None		
Appendices		
Appendix A GMC Handbook for Boards and Governing Bodies		

**Strategic Objectives supported by this report**

Investment in Liverpool		Maintaining organisational and financial sustainability	<b>x</b>
Continuous improvement and innovation in Chemotherapy services		Continuous improvement and innovation in Radiotherapy and Imaging services	<b>x</b>
Maintaining the Trust's position as the lead provider of non surgical oncology services for Merseyside and Cheshire	<b>x</b>	Development of Research capacity, capability and performance	
Improving Quality	<b>x</b>	Enabling strategies	

**Link to the NHS Constitution**

<b>Patients</b>		<b>Staff</b>	
Access to health care		<i>Working environment</i> Flexible opportunities, healthy and safe working conditions, staff support	
Nationally approved treatments, drugs and programmes		Fair pay and contracts, clear roles and responsibilities	
Respect, consent and confidentiality		<i>Being heard:</i> Involved and represented	
Informed choice		Able to raise grievances Able to make suggestions	
Involvement in your healthcare and in the NHS		Personal and professional development	
Complaint and redress	<b>x</b>	Treated fairly and equally	

# ANNUAL CCC BOARD REVALIDATION REPORT FOR 2014-2015

## 1. Executive summary

This report is for the appraisal period 1st April 2016 to 31st March 2017.

## 2. Purpose of the Paper

The purpose of this report is to inform The Clatterbridge Cancer Centre NHS Foundation Trust Board of Directors about the steps taken to develop Medical Appraisal and support Medical Revalidation during the 2016/17 year and to set out the plans for further development in 2017/18.

## 3. Background

Medical Revalidation was launched in 2012 to strengthen the way that doctors are regulated, with the aim of improving the quality of care provided to patients, improving patient safety and increasing public trust and confidence in the medical system.

Provider organisations have a statutory duty to support their Responsible Officers in discharging their duties under the Responsible Officer Regulations<sup>1</sup> and it is expected that provider boards will oversee compliance by:

- monitoring the frequency and quality of medical appraisals in their organisations;
- checking there are effective systems in place for monitoring the conduct and performance of their doctors;
- confirming that feedback from patients is sought periodically so that their views can inform the appraisal and revalidation process for their doctors; and
- Ensuring that appropriate pre-employment background checks (including pre-engagement for Locums) are carried out to ensure that medical practitioners have qualifications and experience appropriate to the work performed.

Each doctor has to revalidate their GMC registration once every five years. Over the period starting from the beginning of the 2013 calendar year, each doctor has been set a revalidation date, so that all doctors will have been through revalidation over the next five years. Once a doctor has been revalidated, a new five year cycle begins for that individual at the end of which they have to revalidate again. Thus, all doctors will revalidate every five years.

Medical Appraisal has been established at CCC for a number of years, but its format and delivery has had to be updated to comply with the requirements of the GMC for “strengthened” appraisal.

“Strengthened appraisal”, a new form of medical appraisal, is the cornerstone of Medical Revalidation (for the remainder of this document, this will be referred to as “appraisal”). Revalidation of doctors requires satisfactory appraisal, according to this format, to be carried out each year.

All doctors registered by the GMC are required to have a Designated Body (DB) for the purposes of revalidation. CCC is such an organisation. Each DB must have in place an infrastructure that supports appraisal and revalidation, including the appointment of a Responsible Officer (RO). In the case of CCC, and most other Designated Bodies, this is the Medical Director.

When a doctor's revalidation date, as set by the GMC, approaches, the RO is required to make one of the three following recommendations, based on whether or not the doctor has undergone satisfactory annual appraisal over the current revalidation cycle:

- Revalidate
- Defer revalidation – this recommendation is made when some further steps need to be taken to complete satisfactory appraisal or when the doctor is unable to progress the process at the present time due to, for example, maternity leave
- Record non-engagement – this recommendation leads to suspension of the doctor from the Medical Register

Failure to revalidate will ultimately result in removal of the doctor from the Medical Register.

All doctors employed by CCC are subject to revalidation and CCC is their DB with the following exceptions:

- Training grade doctors with a national training number (the Postgraduate Deanery is their Designated Body)
- Doctors carrying out sessional work at CCC whose main employment is at another NHS organisation and agency locums.

#### **4. Governance Arrangements**

The Responsible Officer has access to GMC Connect which is used by Responsible Officers to make recommendations about doctors. GMC Connect contains a list of all doctors who have a prescribed connection to their designated body. The Responsible Officer has to submit revalidation recommendations when they are due

The prescribed list is kept up to date as doctors join or leave the Trust by the Responsible Officer / Medical Workforce Manager

#### **External Monitoring of Performance**

During the 2016-17 period, organisational performance has been monitored through the Annual Organisational Audit administered by the Regional Offices of NHS England who collect a standard dataset. CCC has participated in this audit and the quarterly returns on appraisal and revalidation that are also captured by NHS England.

#### **5. Medical Appraisal**

The appraisee gathers evidence about their practice and reflects on this according to the appraisal format specified by the GMC. This has four domains: knowledge, skills and performance; safety and quality; communication, partnership and teamwork and maintaining trust. The evidence that the appraisee provides is at their discretion but should include details of their Continuing Professional Development (CPD) and, once in every 5 year cycle, should also include multisource feedback from colleagues and patients and a quality improvement activity.

The role of the appraiser is to ensure that sufficient information has been provided for an informed appraisal to take place, to challenge and support the reflection of the appraisee, to assess progress against the Personal Development Plan (PDP) set in their previous appraisal and to agree a PDP for the following year.

The appraiser has to sign off the following statements to complete the appraisal.

- An appraisal has taken place that reflects the whole of the doctor's scope of work and addresses the principles and values set out in Good Medical Practice.
- Appropriate supporting information has been presented in accordance with the Good Medical Practice Framework for appraisal and revalidation and this reflects the nature and scope of the doctor's work.
- A review that demonstrates progress against last year's personal development plan has taken place.
- An agreement has been reached with the doctor about a new personal development plan and any associated actions for the coming year.
- No information has been presented or discussed in the appraisal that raises a concern about the doctor's fitness to practise.

The appraisal document is recorded on the Trust's on line appraisal support system CRMS supplied by The Learning Clinic. This is a secure on line system that records appraisals, including their supporting information and outputs and makes these records visible, as required, by appraisers, the RO and the appraisal support team. All doctors for whom CCC is their DB have their appraisal records entered into this system.

Records of appraisals are tracked and recorded within the system.

The Trust has a contract with Equiniti 360 for Multisource 360 degree feedback from patients and colleagues. This is carried out by all doctors for whom CCC is their DB,

It is a GMC recommendation that no appraisee is appraised by the same appraiser for more than three years in succession. Also, to avoid collusion, "mutual" appraisals where two appraisers appraise each other in the same year are not permitted.

A spreadsheet is held by the Medical Workforce manager to ensure that the Trust is compliant in this. As time passes the CRMS system will be used to capture this information.

#### **a. Appraisal and Revalidation Performance Data 2016/17**

Number of doctors with prescribed connection = 56

The breakdown of appraisal activity is as follows:

56	Prescribed Connections at 31/3/2017
24	Completed Appraisals in year
5	Completed after 1/4/2017
2	new starters in year
25	Outstanding (not excused) [this includes 1 doctor with a prescribed connection to another designated body]

## **b. Appraisers**

In order for the Trust to successfully implement strengthened appraisal, it was necessary to have appraisers trained according to the format stipulated by the Revalidation Support Team (RST).

The number of appraisers required was calculated according to the number of doctors we employ who fulfil the criteria for CCC to be their DB and taking into account the minimum / maximum number of appraisals each appraiser can carry out each year.

Prior to implementation of revalidation, existing appraisers trained under the previous appraisal system underwent “top-up” training. Since then new appraisers have been trained according to the format set out by the RST by the Medical Workforce Manager who underwent the necessary training to do this.

Further appraisers have been engaged recently to enable the ratio of appraisee / appraiser to be reduced and to ensure the Trust has a good number of trained appraisers to cover absences, leavers and those who decide to give up this additional activity. This will continue to be reviewed on an ongoing basis.

A training course for existing and new appraisers was held on 6 July 2017 with a further event to be held in September for those unable to attend the July event.

In addition there are drop in sessions planned for all appraisees in order to answer queries / give demonstrations on CRMS etc. This is part of our planned strategy to increase compliance.

Usually appraisees are notified of their allocated appraiser for the coming appraisal year (2017/18). As there have been problems in that some appraisees have been waiting for an allocated appraiser to have time to see them or an appraiser has been waiting for appraisees to submit their portfolio, the Medical Workforce Team will allocate these on a “first come – first served” basis for the time being.

## **c. Quality Assurance**

The Trust has adopted a formal system of appraisal quality assurance known as the EXCELLENCE tool

The Medical Workforce Manager quality assured completed appraisals prior to final sign off in all cases other than 2 where she had been the appraiser.

In one case the appraiser was asked to revise and expand on their summary documents in order to provide a better explanation of how the appraisee had demonstrated they were keeping up to date and developing their practice.

In three cases the appraisal portfolios contained patient identifiable information. The MW manager redacted these details but had to “un-submit” the portfolio to do so. In these cases the appraisee and appraiser were informed and asked to “sign off” the portfolio again.

In one case a complaint referred to in form 5 (Events, Complaints and Compliments) differed from that described in the appraisal summary. After speaking to the appraiser it appeared both complaints were discussed in the appraisal meeting. The appraisee and the appraiser were contacted to advise that all such complaints should be contained in the supporting information and commented on in the appraisal summary

#### **d. Access, security and confidentiality**

Access to CRMS is via a password-protected website.

The detail of the discussions during the appraisal interview is confidential to the appraisee and appraiser apart from where concerns about performance arise. In this case the appraiser will bring this to the attention of the Responsible Officer.

When uploading information into the CRMS the appraisee is asked to declare that “this document does not contain any patient identifiable data”.

The Medical Workforce Manager carries out a check against the appraisal portfolio before final sign off of the appraisal.

#### **e. Clinical Governance**

Individual Consultant activity data is received and up loaded by the Medical Workforce team to the CRMS system

Individual doctors request data on complaints and SUIs for inclusion in their appraisal portfolio. The Responsible Officer receives copies of all complaints and SUIs as they arise throughout the appraisal year and checks that this has been included in the appraisal submission. This is an area that will be further developed now that the Trust has the DATIX system so that there is a more robust system in place to assure this is accurately recorded in appraisal portfolios. This will allow for better reporting as per NHS England guidance (see Appendix B “Quality assurance audit of appraisal inputs and outputs”)

## 6. Revalidation Recommendations

The Responsible Officer has access to GMC Connect which is used by Responsible Officers to make recommendations about doctors. GMC Connect contains a list of all who have a prescribed connection to their designated body. The Responsible Officer has to submit revalidation recommendations when they are due.

This is the fifth year of medical revalidation. In 2016/17 the figures are as follows:

<b>Recommended for Revalidation</b>	<b>2*</b>
<b>Deferred</b>	<b>0</b>
<b>Non Engagement</b>	<b>0</b>

**\*This represents 100% of recommendations due in this period**

At this point no doctors have been reported to GMC as not being engaged. The Medical Workforce Manager has however written to individuals to highlight the need for them to participate in appraisal on an annual basis and the importance of demonstrating commitment over the whole of the 5 year revalidation cycle.

## 7. Recruitment and engagement background checks

A form has been developed to capture information regarding appraisal and revalidation about doctors who have previously been connected to a different designated body / Responsible Officer. In the case of doctors finishing a period of NTN training and joining the GMC specialist register the CCT is used.

Nationally the NHS jobs portal has been adapted to request information from applicants on their current / previous designated body / Responsible Officer.

## 8. Monitoring Performance

Doctors' performance is measured through a variety of methods including, job planning, monthly 32 day mortality data, new and follow up patient workload reports, complaints, SUIs, contribution to trust wide groups (e.g. SRGs / TCC design group etc.) and compliments.

## 9. Responding to Concerns and Remediation

The Trust has had no instances of action requiring remediation.

## 10. Risk and Issues

Appraisal compliance rates over the last 12 months have decreased. The Trust has recognised this and is actively seeking solutions to address this failing. In mitigation

the Trust has had an unprecedented level of medical staff absence, and as a consequence, appraisees and appraisers have found it increasingly difficult to find time to undertake the preparation and to arrange the appraisal meeting. Medical staff have in a lot of cases been covering for colleagues increasing service demands on their time. This has been exacerbated by the introduction of a new EPR system during this last year.

The importance of appraisal compliance and the link to revalidation will continue to be addressed as a priority.

## **11. Corrective Actions, Improvement Plan and Next Steps**

- Continue to address poor compliance rates for medical appraisal.
- Review of appraisal folders to provide assurance that the appraisal inputs: the pre-appraisal declarations and supporting information provided is available and appropriate 2 weeks before scheduled appraisal date
- Review of appraisal folders to provide assurance that the appraisal outputs: the post-appraisal declarations, PDP, Appraisal summaries and evaluation is available and “signed off” within 28 days of the scheduled appraisal date
- Introduce systems to ensure all complaints and SUIs have been included in appraisals
- Further development of the Appraisers’ Forum

## **12. Recommendations**

**The board is requested:**

- 1) to note the contents of this report, and that it will be shared, along with the annual audit, with the higher level responsible officer at NHS England, and to consider any actions required, and**
- 2) to approve and sign off a ‘statement of compliance’ (sample attached), confirming that the organisation, as a designated body, is in compliance with the regulations.**

## Annual Report Appendix A

Audit of all missed or incomplete appraisals audit

<b>Doctor factors (total)</b>	<b>Number</b>
Maternity leave during the majority of the 'appraisal due window'	0
Long Term Sickness absence during the majority of the 'appraisal due window'	0
Prolonged leave during the majority of the 'appraisal due window'	0
Suspension during the majority of the 'appraisal due window'	0
New starter within 3 month of appraisal due date	0
New starter more than 3 months from appraisal due date	2
Postponed due to incomplete portfolio/insufficient supporting information	0
Appraisal outputs not signed off by doctor within 28 days	11 (of 29 completed)
Lack of time of doctor	0
Lack of engagement of doctor	0
Other doctor factors	0
(describe)	
<b>Appraiser factors</b>	<b>Number</b>
Unplanned absence of appraiser	0
Appraisal outputs not signed off by appraiser within 28 days	n/a **
Lack of time of appraiser	0
Other appraiser factors (describe)	0
(describe)	** not able to give number as dependant on appraisee
<b>Organisational factors</b>	<b>Number</b>
Administration or management factors	0
Failure of electronic information systems	0
Insufficient numbers of trained appraisers	0
Other organisational factors (describe)	0

Quality assurance audit of appraisal inputs and outputs

Total number of appraisals completed <b>29 to date (24 at 31/3/2017)</b>		Number
	Number of appraisal portfolios sampled (to demonstrate adequate sample size)	Number of the sampled appraisal portfolios deemed to be acceptable against standards
Appraisal inputs	29	29
Scope of work: Has a full scope of practice been described?	29	29
Continuing Professional Development (CPD): Is CPD compliant with GMC requirements?	29	29
Quality improvement activity: Is quality improvement activity compliant with GMC requirements?	29	29
Patient feedback exercise: Has a patient feedback exercise been completed?	Yes/No	
Colleague feedback exercise: Has a colleague feedback exercise been completed?	All doctor requiring a 360° has undertaken it in this year	
Review of complaints: Have all complaints been included?	This is still being discussed with the CGST team and will be reviewed over the next 12 months	
Review of significant events/clinical incidents/SUIs: Have all significant events/clinical incidents/SUIs been included?	This is still being discussed with the CGST team and will be reviewed over the next 12 months	
Is there sufficient supporting information from all the doctor's roles and places of work?	Yes	
Is the portfolio sufficiently complete for the stage of the revalidation cycle (year 1 to year 4)? Explanatory note: For example <ul style="list-style-type: none"> <li>• Has a patient and colleague feedback exercise been completed by year 3?</li> <li>• Is the portfolio complete after the appraisal which precedes the revalidation recommendation (year 5)?</li> <li>• Have all types of supporting information been included?</li> </ul>	Yes	
		Yes
		yes
Appraisal Outputs		

Appraisal Summary	29	29
Appraiser Statements	29	29
PDP	29	29

**Audit of revalidation recommendations**

<b>Revalidation recommendations between 1 April 2013 to 31 March 2014</b>	
Recommendations completed on time (within the GMC recommendation window)	2
Late recommendations (completed, but after the GMC recommendation window closed)	0
Missed recommendations (not completed)	0
<b>TOTAL</b>	<b>2</b>
Primary reason for all late/missed recommendations For any late or missed recommendations only one primary reason must be identified	
No responsible officer in post	n/a
New starter/new prescribed connection established within 2 weeks of revalidation due date	n/a
New starter/new prescribed connection established more than 2 weeks from revalidation due date	n/a
Unaware the doctor had a prescribed connection	n/a
Unaware of the doctor's revalidation due date	n/a
Administrative error	n/a
Responsible officer error	n/a
Inadequate resources or support for the responsible officer role	n/a
Other	n/a
Describe other	
<b>TOTAL [sum of (late) + (missed)]</b>	<b>n/a</b>

## Audit of concerns about a doctor's practice

Concerns about a doctor's practice	High level	Medium level	Low level	Total
Number of doctors with concerns about their practice in the last 12 months Explanatory note: Enter the total number of doctors with concerns in the last 12 months. It is recognised that there may be several types of concern but please record the primary concern	0	0	0	0
Capability concerns (as the primary category) in the last 12 months				0
Conduct concerns (as the primary category) in the last 12 months				0
Health concerns (as the primary category) in the last 12 months				0
<b>Remediation/Reskilling/Retraining/Rehabilitation</b>				
Numbers of doctors with whom the designated body has a prescribed connection as at 31 March 2017 who have undergone formal remediation between 1 April 2016 and 31 March 2017 <i>Formal remediation is a planned and managed programme of interventions or a single intervention e.g. coaching, retraining which is implemented as a consequence of a concern about a doctor's practice</i> <i>A doctor should be included here if they were undergoing remediation at any point during the year</i>				0
Consultants (permanent employed staff including honorary contract holders, NHS and other government /public body staff)				
Staff grade, associate specialist, specialty doctor (permanent employed staff including hospital practitioners, clinical assistants who do not have a prescribed connection elsewhere, NHS and other government /public body staff)				0
General practitioner (for NHS England area teams only; doctors on a medical performers list, Armed Forces)				0
Trainee: doctor on national postgraduate training scheme (for local education and training boards only; doctors on national training programmes)				0
Doctors with practising privileges (this is usually for independent healthcare providers, however practising privileges may also rarely be awarded by NHS organisations. All doctors with practising privileges who have a prescribed connection should be included in this section, irrespective of their grade)				0

Temporary or short-term contract holders (temporary employed staff including locums who are directly employed, trust doctors, locums for service, clinical research fellows, trainees not on national training schemes, doctors with fixed-term employment contracts, etc.) All DBs	0
Other (including all responsible officers, and doctors registered with a locum agency, members of faculties/professional bodies, some management/leadership roles, research, civil service, other employed or contracted doctors, doctors in wholly independent practice, etc.) All DBs	0
<b>TOTALS</b>	<b>0</b>
<b>Other Actions/Interventions</b>	
Local Actions:	
Number of doctors who were suspended/excluded from practice between 1 April and 31 March: Explanatory note: All suspensions which have been commenced or completed between 1 April and 31 March should be included	0
Duration of suspension: Explanatory note: All suspensions which have been commenced or completed between 1 April and 31 March should be included Less than 1 week 1 week to 1 month 1 – 3 months 3 - 6 months 6 - 12 months	n/a
Number of doctors who have had local restrictions placed on their practice in the last 12 months?	0
GMC Actions: Number of doctors who:	0
Were referred to the GMC between 1 April and 31 March	0
Underwent or are currently undergoing GMC Fitness to Practice procedures between 1 April and 31 March	0
Had conditions placed on their practice by the GMC or undertakings agreed with the GMC between 1 April and 31 March	0
Had their registration/licence suspended by the GMC between 1 April and 31 March	0
Were erased from the GMC register between 1 April and 31 March	0
National Clinical Assessment Service actions:	0
Number of doctors about whom NCAS has been contacted between 1 April and 31 March:	
For advice	0

For investigation	0
For assessment	0
Number of NCAS investigations performed	0
Number of NCAS assessments performed	0



# **A Framework of Quality Assurance for Responsible Officers and Revalidation**

## **Annex E - Statement of Compliance**

## Statement of Compliance

Version number: 2.0

First published: 4 April 2014

Updated: 22 June 2015

Prepared by: Gary Cooper, Project Manager for Quality Assurance, NHS England

Classification: OFFICIAL

Publications Gateway Reference: 03432

**NB:** The National Health Service Commissioning Board was established on 1 October 2012 as an executive non-departmental public body. Since 1 April 2013, the NHS Commissioning Board has used the name NHS England for operational purposes.

## Designated Body Statement of Compliance

The board / executive management team – [*delete as applicable*] of [*insert official name of DB*] can confirm that

- an AOA has been submitted,
- the organisation is compliant with The Medical Profession (Responsible Officers) Regulations 2010 (as amended in 2013)
- and can confirm that:

1. A licensed medical practitioner with appropriate training and suitable capacity has been nominated or appointed as a responsible officer;

Yes

2. An accurate record of all licensed medical practitioners with a prescribed connection to the designated body is maintained;

Yes

3. There are sufficient numbers of trained appraisers to carry out annual medical appraisals for all licensed medical practitioners;

We continually look to recruit additional medical appraisers to ensure we have sufficient to carry out all appraisals, however despite this, competing demands over the last 12 months including the implementation of a new EPR system has affected compliance rates.

4. Medical appraisers participate in ongoing performance review and training / development activities, to include peer review and calibration of professional judgements (Quality Assurance of Medical Appraisers<sup>1</sup> or equivalent);

Appraiser forums are held to update appraisers and share good practice

5. All licensed medical practitioners<sup>2</sup> either have an annual appraisal in keeping with GMC requirements (MAG or equivalent) or, where this does not occur, there is full understanding of the reasons why and suitable action taken;

Yes – a monthly Trust Management Group report is produced and reasons for non compliance are highlighted.

6. There are effective systems in place for monitoring the conduct and performance of all licensed medical practitioners<sup>1</sup> (which includes, but is not limited to, monitoring: in-house training, clinical outcomes data, significant events, complaints, and feedback from patients and colleagues) and ensuring that information about these matters is provided for doctors to include at their appraisal;

Yes

<sup>1</sup> <http://www.england.nhs.uk/revalidation/ro/app-syst/>

<sup>2</sup> Doctors with a prescribed connection to the designated body on the date of reporting.

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7. There is a process established for responding to concerns about any licensed medical practitioners<sup>1</sup> fitness to practise;

Yes

8. There is a process for obtaining and sharing information of note about any licensed medical practitioner's fitness to practise between this organisation's responsible officer and other responsible officers (or persons with appropriate governance responsibility) in other places where the licensed medical practitioner works;<sup>3</sup>

Yes this is done for all new medical staff employed by the Trust. If a locum is engaged we ask for details from the agency.

9. The appropriate pre-employment background checks (including pre-engagement for locums) are carried out to ensure that all licenced medical practitioners<sup>4</sup> have qualifications and experience appropriate to the work performed;

Yes

10. A development plan is in place that ensures continual improvement and addresses any identified weaknesses or gaps in compliance.

We are concentrating on raising compliance and targeting individuals that might be interested in taking on the medical appraiser role.

Signed on behalf of the designated body

[(Chief executive or chairman (or executive if no board exists)]

Official name of designated body: \_ \_ \_ \_ \_

Name: \_ \_ \_ \_ \_

Signed: \_ \_ \_ \_ \_

Role: \_ \_ \_ \_ \_

Date: \_ \_ \_ \_ \_

<sup>3</sup> The Medical Profession (Responsible Officers) Regulations 2011, regulation 11:  
<http://www.legislation.gov.uk/ukdsi/2010/9780111500286/contents>