
APPENDIX D

Appraisal Forms for General Practitioners Working in the NHS

NHS APPRAISAL

Appraisal for General Practitioners working in the NHS

www.doh.gov.uk/gpappraisal

ANNUAL APPRAISAL FOR GENERAL PRACTITIONERS

Introduction

This pack includes the documentation necessary for your annual appraisal.

There are five forms:

- 1 Basic details
- 2 Current medical activities
- 3 Material for appraisal

They must be completed by you before the appraisal discussion. The first two forms are brief and factual. Form 3 requires care. You are invited to submit documents in support of Form 3 and these will need to be assembled. Your PCT may be able to help with some material.

Form 3 is prefaced with explanatory notes.

Some of the material you provide now will carry forward without further work to future appraisals.

Your appraiser will bring two further forms to your meeting. Form 4 is the formal summary of the appraisal and should be completed during and immediately after the discussion. This is the responsibility of your Appraiser. Form 5 may be used to make a more detailed and confidential record of the appraisal discussion, but it is optional.

ANNUAL APPRAISAL FOR GENERAL PRACTITIONERS FORM 1: BASIC DETAILS

Name

Registered address and telephone number

Main practice address and telephone number (if applicable)

Name of PCT [supplementary list] you are registered with and date of registration

Qualifications UK or elsewhere, with dates

GMC Registration Type now held, registration number and date of first full registration

Date of last revalidation If any

Date of certification JCPTGP certificate or date of starting practice if before 1981

Date of appointment to current post (if applicable)

Main current post in general practice eg GMS Principal or PMS doctor with a patient list, GP retainer, assistant or locum

Other current posts Please list any other current appointments with (1) starting dates (2) average time spent on them (3) whether public sector eg Benefits Agency, or private sector eg nursing home. You should list here any regular locum posts you work.

Previous posts NHS and elsewhere, last five years, with dates, including locum appointments lasting more than one month.

Other relevant personal details Please give any other brief information you wish that helps to describe you eg membership of professional groups or societies

ANNUAL APPRAISAL FOR GENERAL PRACTITIONERS FORM 2: CURRENT MEDICAL ACTIVITIES

This form requires a *brief and factual* description of the work you do in general practice and in other posts. You will be able to give more detail later.

Average no of hours per week worked

Please summarise the 'in-hours' activities you undertake in general practice e.g. minor surgery, child health services

Emergency, on-call and out-of-hours work

Brief details of other clinical work eg as clinical assistant, hospital practitioner etc

Any other NHS or non-NHS work that you undertake as a GP eg teaching, management (nb clinical posts which have a management element should be included in the previous section), research, examiner, forensic

Work for regional, national or international organisations

Other professional activities

ANNUAL APPRAISAL FOR GENERAL PRACTITIONERS FORM 3: MATERIAL FOR APPRAISAL

This form, and the papers you supply with it, will be the main basis of your appraisal. It is organised around the headings used by the General Medical Council in *Good Medical Practice* and the Royal College of General Practitioners in *Good Medical Practice for General Practitioners*, and it is strongly recommended that you look at these documents as prompts. The same headings will be used to summarise your appraisal discussion.

The wording under each heading differs, but typically you are asked to provide:

- a commentary on your work
- an account of how your work has improved since your last appraisal
- your view of your continuing development needs
- a summary of factors which constrain you in achieving what you aim for.

It is not expected that you will provide exhaustive detail about your work. But the material should convey the important facts, features, themes or issues, and reflect the full span of your work as a doctor within and outside the NHS. The form is a starting point and framework to enable you and your appraiser to have a focused and efficient discussion about what you do and what you need. It is a tool, not an examination paper or application form, and it can be completed with some flexibility. **Common sense should be exercised if you feel you are repeating yourself, or if you want to include something for which there is no apparent opportunity. And if a section or a page really needs only a word or two there is no need to do more. Complete as many sections as are relevant to your work.**

The work you put into completing this form is your main preparation for appraisal, and the value of your appraisal will largely depend on it. It will also be an important part of your appraiser's preparation.

The form is fairly open-ended, although some prompts and suggestions are supplied to help you. Please expand the spaces available as necessary, or attach extra sheets.

You are invited to submit documents in support of what you say in the form. You are not expected to "prove" your assertions about your work, but your appraiser will probably want to test some of them with you through discussion and the documents will help both of you.

The papers you assemble in support of the form should be listed in the appropriate spaces and supplied for your appraiser in a folder, organised in the same order. If the same material is listed in the form more than once, to illustrate different points, do not include it twice in the folder but explain on the form where it is to be found.

The first papers in your folder should be the summary of your last appraisal and your Personal Development Plan (ie last year's Form 4).

All the papers may well be appropriate for inclusion in your Revalidation Folder.

<p>Good clinical care</p> <p><i>Commentary - what do you think are the main strengths and weaknesses of your clinical practice?</i></p> <p>Examples of documentation you might refer to and supply: up-to-date audit data (as appropriate); prescribing analyses (if applicable); PCT clinical governance reviews (as appropriate); relevant clinical guidelines you use; records of any significant event audits or critical incident reports; any complaints and records of their investigation; any reflective diary you keep about these events; any plaudits you have received; any 'in-house' or personal monitoring materials you use; references or feedback from colleagues.</p>
<p><i>How has the clinical care you provide improved since your last appraisal?¹</i></p> <p>Refer as appropriate to your last appraisal and Personal Development Plan.</p>
<p><i>What do you think are your clinical care development needs for the future?</i></p> <p>This is in preparation for agreeing an updated PDP.</p>
<p><i>What factors in your workplace(s), or more widely, constrain you significantly in achieving what you aim for in your clinical work?</i></p> <p>It may be constructive to focus on issues that can be addressed locally, or ways wider issues could be addressed locally.</p>
<p><i>Documents list</i></p> <p>1 2 etc</p>

¹ If this is your first appraisal, look at the last year; this applies throughout the forms.

Maintaining good medical practice

The last section asked about the quality of your clinical care and how it has improved; this one is about *how* you have kept up to date and achieved improvements.

Commentary - what steps have you taken since your last appraisal to maintain and improve your knowledge and skills?

Examples of documentation you might refer to and attach: your PDP; your practice development plan (if applicable); records of all CPD/CME activity or other education/courses; membership of a non-principals group or other opportunities for group learning with colleagues. Please summarise your professional reading habits.

What have you found particularly successful or otherwise about the steps you have taken?

Do you find some teaching/learning methods more effective than others? How will you reflect this in your future approach to maintaining good medical practice?

What professional or personal factors significantly constrain you in maintaining and developing your skills and knowledge?

How do you see your job and career developing over the next few years?

Documents list

1
2
etc

Relationships with patients

Commentary - what do you think are the main strengths and weaknesses of your relationships with patients?

Examples of documentation you might refer to and supply: information for patients about services in the practice(s) in which you work; any complaints material, including your handling of it; appreciative feedback; patient survey data (as appropriate); relevant significant event reports; peer reviews; protocols eg for handling informed consent in the practice(s) in which you work. You might be able to obtain some of this information from the practices in which you have worked over the last year.

How do you feel your relationships with patients have improved since your last appraisal?

Refer as appropriate to your last appraisal and PDP.

What would you like to do better? What do you think are your current development needs in this area?

This is in preparation for agreeing an updated PDP.

What factors in your workplace(s) or more widely constrain you in achieving what you aim for in your patient relationships?

What can be addressed locally?

Documents list

- 1
- 2
- etc

Working with colleagues

Commentary - what do you think are the main strengths and weaknesses of your relationships with colleagues?

Examples of documentation you might refer to and supply: a description of the team structure in which you work (if applicable); records of any peer reviews or systematic feedback; references from colleagues; information about any problems that have arisen between you and colleagues (including consultants); membership of a non-principals group.

How do you feel your relationships with colleagues have improved since your last appraisal?

Refer as appropriate to your last appraisal and PDP.

What would you like to do better? What do you think are your current development needs in this area?

This is in preparation for agreeing an updated PDP.

What factors in your workplace(s) or more widely significantly constrain you in achieving what you aim for in your colleague relationships?

What can be addressed locally?

Documents list

1
2
etc

Teaching and training

Commentary - what do you think are the main strengths and weaknesses of your work as a teacher or trainer?

Examples of documentation you might refer to and supply: a summary of your formal teaching/training work and any informal supervision or mentoring; any recorded feedback.

Has your teaching or training work changed since your last appraisal? Has it improved?

Refer as appropriate to your last appraisal and PDP.

Would you like to do more? What would you like to do better? What do you think are your current development needs?

This is in preparation for agreeing an updated PDP.

What factors constrain you in achieving what you aim for in your teaching or training work?

Arranging cover, for example. What can be addressed locally?

Documents list

1
2
etc

<p>Probity</p> <p><i>What safeguards are in place to ensure propriety in your financial and commercial affairs, research work, use of your professional position etc? Have there been any problems?</i></p> <p>Please supply and refer to any records of concerns. You could also include any Declaration of Interest forms you have completed for your posts.</p>
<p><i>Has the position changed since your last appraisal or in the last year?</i></p> <p>Please refer as appropriate to your last appraisal and PDP.</p>
<p><i>Do you feel the position needs to change? How?</i></p> <p>Does anything need to be included in your updated Plan?</p>
<p><i>What factors in your workplace(s) or more widely significantly constrain you in this area?</i></p>
<p><i>Documents list</i></p> <p>1 2 etc</p>

Management activity

Please describe any management activities you undertake that are not related to your practice or the practice(s) in which you work. How would you describe your strengths and weaknesses?

You may already have mentioned a role in your PCT, for example, or advisory work for the Strategic Health Authority or an NHS Trust, or a national position you hold. This section is about how well you think it works.

Do you think your management work has improved?

Please refer as appropriate to your last appraisal and your Personal Development Plan.

What are your development needs?

What might be included in your updated PDP?

What are the constraints?

Documents list

1
2
etc

Research

How would you appraise any research work that you do?

You may have mentioned your research activity already but this is an opportunity to say more, and how well you think it goes. You might supply and refer to any reports or publications.

Do you feel your research skills have improved?

Please refer if appropriate to your last appraisal or Personal Development Plan.

Do you have development needs in this area to reflect in your updated Plan?

What are the constraints?

Documents list

- 1
- 2
- etc

Health

Do you feel there are any health-related issues for you that may put patients at risk?

Please mention any problems or concerns raised during the year and any steps you feel should be taken to safeguard the position.

Documents list

1
2
etc

Overview of development during the year

With your Personal Development Plan in mind, please look back over the previous sections. How well have you achieved the goals agreed last year? Where you did not succeed, can you describe the reasons?

Overview of development needs

Please summarise what you think your main development needs are for the coming year. Where relevant, how will the reasons for not succeeding last year be overcome?

Overview of constraints

Please summarise the chief factors that you have identified as addressable constraints.

Sign off

We confirm that the above information is an accurate record of the documentation provided by the appraisee and used in the appraisal process, and of the appraisee's position with regard to development in the course of the past year, current development needs, and constraints.

Signed:

Appraisee

Appraiser

Date:

FORM 4: SUMMARY OF APPRAISAL DISCUSSION WITH AGREED ACTION AND PERSONAL DEVELOPMENT PLAN

This form sets out an agreed summary of the appraisal discussion and a description of the actions agreed, including those forming your personal development plan.

The form will be completed by your appraiser and then agreed by you.

SUMMARY OF APPRAISAL DISCUSSION

Good clinical care

Commentary

Action agreed

Maintaining good medical practice

Commentary

Action agreed

Relationships with patients

Commentary

Action agreed

Working with colleagues

Commentary

Action agreed

Teaching and training

Commentary

Action agreed

Probity

Commentary

Action agreed

Management activity

Commentary

Action agreed

Research

Commentary

Action agreed

Health

Commentary

Action agreed

Any other points

PERSONAL DEVELOPMENT PLAN

Using the template provided here, the appraiser and appraisee should identify key development objectives for the year ahead which relate to the appraisee's personal and/or professional development. They will include action identified in the summary above but may also include other development activities agreed or decided upon in other contexts. Please indicate clearly the timescales for achievement.

GPs approaching retirement age may wish to consider their retirement intentions and actions that could be taken to retain their contribution to the NHS.

The important areas to cover are:

- action to maintain skills and the level of service to patients
- action to develop or acquire new skills
- action to change or improve existing practice.

PERSONAL DEVELOPMENT TEMPLATE

This plan should be updated whenever there has been a change - either when a goal is achieved or modified or where a new need is identified. The original version should also be retained for discussion at the next appraisal.

What development needs have I?	How will I address them?	Date by which I plan to achieve the development goal	Outcome	Completed
Explain the need.	Explain how you will take action, and what resources you will need?	The date agreed with your appraiser for achieving the development goal.	How will your practice change as a result of the development activity?	Agreement from your appraiser that the development need has been met.
1				
2				
3				
4 etc				

Sign off

We agree that the above is an accurate summary of the appraisal discussion and agreed action, and of the agreed personal development plan.

Signed:

Appraiser

(GMC Number)

Appraisee

Date:

Please record here the names of any third parties that contributed to the appraisal and indicate the capacity in which they did so

FORM 5: DETAILED CONFIDENTIAL ACCOUNT OF APPRAISAL INTERVIEW

This form provides an *optional* framework for keeping a fuller account of the appraisal discussion than is recorded on Form 4. It might inform or help the next appraisal round.

Although, as the guidance makes clear, an appraiser has a duty to pass on any serious concerns arising during appraisal that could affect patient care, this form is *confidential* and is not intended to form part of the documentation going to the Clinical Governance Lead and Chief Executive (see appraisal guidance).

You should nevertheless exercise great caution in commenting on third parties. Any comments you make about third parties should be supported by firm evidence. You should not use this form to record concerns about the performance of colleagues on which action should be taken under a separate procedure, for example GMC fitness to practise procedures (see section in guidance, 'Outcomes of appraisal').

Completion of this form is not obligatory.

Good clinical care

Maintaining good medical practice

Relationships with patients

Working with colleagues

Teaching and training

Probity

Management activity

Research

Health

Sign off

We agree that the above is an accurate account.

Signed:

Appraiser

Appraisee

Date: