

## 15. Annual Report Template Appendix A – Audit of all missed or incomplete appraisals

<b>Doctor factors (total)</b>	<b>Number</b>
Maternity leave during the majority of the 'appraisal due window'	2
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	6
New starter more than 3 months from appraisal due date	2
Postponed due to incomplete portfolio/insufficient supporting information	4
Appraisal outputs not signed off by doctor within 28 days	0
Lack of time of doctor	0
Lack of engagement of doctor	0
Other doctor factors	1
(describe) Health concerns	
<b>Appraiser factors</b>	<b>Number</b>
Unplanned absence of appraiser	0
Appraisal outputs not signed off by appraiser within 28 days	0
Lack of time of appraiser	3
Other appraiser factors (describe)	0
(describe)	
<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

## 16. Annual Report Template Appendix B – Quality assurance of appraisal inputs and outputs

Total number of appraisals completed		131
	Number of appraisal portfolios sampled (to demonstrate adequate sample size)	Number of the sampled appraisal portfolios deemed to be acceptable against standards
Appraisal inputs	21	21
Scope of work: Has a full scope of practice been described?	21	21
Continuing Professional Development (CPD): Is CPD compliant with GMC requirements?	21	21
Quality improvement activity: Is quality improvement activity compliant with GMC requirements?	21	21
Patient feedback exercise: Has a patient feedback exercise been completed?	Yes – where required (6)	
Colleague feedback exercise: Has a colleague feedback exercise been completed?	Yes (4)	4 (standard at least once every 3 years)
Review of complaints: Have all complaints been included?	Yes	21
Review of significant events/clinical incidents/SUIs: Have all significant events/clinical incidents/SUIs been included?	Yes	21
Is there sufficient supporting information from all the doctor's roles and places of work?	Yes	21
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>	21	21
Appraisal Outputs		
Appraisal Summary	21	21
Appraiser Statements	21	21
Personal Development Plan (PDP)	21	21

## 17. Annual Report Template Appendix C – Audit of concerns about a doctor's practice

Concerns about a doctor's practice	High level <sup>2</sup>	Medium level <sup>2</sup>	Low level <sup>2</sup>	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	0	0	0
Conduct concerns (as the primary category) in the last 12 months	0	0	0	0
Health concerns (as the primary category) in the last 12 months	0	0	0	0
<b>Remediation/Reskilling/Retraining/Rehabilitation</b>				
Numbers of doctors with whom the designated body has a prescribed connection as at 31 March 2015 who have undergone formal remediation between 1 April 2014 and 31 March 2015. 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 A doctor should be included here if they were undergoing remediation at any point during the year				0
Consultants (permanent employed staff including honorary contract holders, NHS and other government /public body staff)				0
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 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-				0

<sup>2</sup> [http://www.england.nhs.uk/revalidation/wp-content/uploads/sites/10/2014/03/rst\\_gauging\\_concern\\_level\\_2013.pdf](http://www.england.nhs.uk/revalidation/wp-content/uploads/sites/10/2014/03/rst_gauging_concern_level_2013.pdf)

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term employment contracts, etc) All Designated Bodies	
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 Designated Bodies	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	0
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 by the designated body 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 the National Clinical Advisory Service (NCAS) has been contacted between 1 April and 31 March for advice or for assessment	
Number of NCAS assessments performed	0

## 18. Annual Report Template Appendix D – Audit of revalidation recommendations

<b>Revalidation recommendations between 1 April 2017 to 31 March 2018</b>	
Recommendations completed on time (within the GMC recommendation window)	4
Late recommendations (completed, but after the GMC recommendation window closed)	0
Missed recommendations (not completed)	0
<b>TOTAL</b>	<b>4</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	0
New starter/new prescribed connection established within 2 weeks of revalidation due date	0
New starter/new prescribed connection established more than 2 weeks from revalidation due date	0
Unaware the doctor had a prescribed connection	0
Unaware of the doctor's revalidation due date	0
Administrative error	0
Responsible officer error	0
Inadequate resources or support for the responsible officer role	0
Other	0
Describe other	N/A
<b>TOTAL [sum of (late) + (missed)]</b>	<b>0</b>

## 19. Annual Report Template Appendix E – Audit of recruitment and engagement background checks

Number of new doctors (including all new prescribed connections) who have commenced in last 12 months (including where appropriate locum doctors)																
Permanent employed doctors	3															
Temporary employed doctors (* this includes 77 Deanery doctors)	123 *															
Locums brought in to the designated body through a locum agency	0															
Locums brought in to the designated body through 'Staff Bank' arrangements	6															
Doctors on Performers Lists	0															
Other	0															
Explanatory note: This includes independent contractors, doctors with practising privileges, etc. For membership organisations this includes new members, for locum agencies this includes doctors who have registered with the agency, etc																
TOTAL	132															
For how many of these doctors was the following information available within 1 month of the doctor's starting date (numbers)																
	Total	Identity check	Past GMC issues	GMC conditions or undertakings	On-going GMC/NCAS investigations	Disclosure and Barring Service (DBS)	2 recent references	Name of last responsible officer	Reference from last responsible officer	Language competency	Local conditions or undertakings	Qualification check	Revalidation due date	Appraisal due date	Appraisal outputs	Unresolved performance concerns
Permanent employed doctors	3	3	0	0	0	3	3			0		3				
Temporary employed doctors	123	123	0	0	0	123	39			13		39				
Locums brought in to the designated body through	0	0	0	0	0	0	0			0		0				

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a locum agency																					
Locums brought in to the designated body through 'Staff Bank' arrangements	6	6	0	0	0	0	6	2		0		6									
Doctors on Performers Lists	0																				
Other (independent contractors, practising privileges, members, registrants, etc)	0																				
<b>Total</b>	<b>132</b>	<b>132</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>132</b>	<b>44</b>		<b>13</b>		<b>48</b>									

For Providers of healthcare i.e. hospital trusts – use of locum doctors:

Explanatory note: Number of locum sessions used (days) as a proportion of total medical establishment (days)

The total WTE headcount is included to show the proportion of the posts in each speciality that are covered by locum doctors

Locum use by speciality:	Total establishment in speciality (current approved WTE headcount)	Consultant: Overall number of locum days used	SAS doctors: Overall number of locum days used	Trainees (all grades): Overall number of locum days used	Total Overall number of locum days used
Surgery	0	0	0	0	0
Medicine	0	0	0	0	0
Psychiatry	N/A				
Obstetrics/Gynaecology	N/A				
Accident and Emergency	N/A				
Anaesthetics	0	0	0	0	0

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	Total	Pre-employment checks completed (number)	Induction or orientation completed (number)	Exit reports completed (number)	Concerns reported to agency or responsible officer (number)
Radiology	0	0	0	0	0
Pathology	0	0	0	0	0
Other	0	0	0	0	0
Total in designated body (This includes all doctors not just those with a prescribed connection)	0	0	0	0	0
Number of individual locum attachments by duration of attachment (each contract is a separate 'attachment' even if the same doctor fills more than one contract)					
2 days or less	0	0	0		0
3 days to one week	0	0	0		0
1 week to 1 month	0	0	0		0
1-3 months	0	0	0		0
3-6 months	0	0	0		0
6-12 months	0	0	0		0
More than 12 months	0	0	0		0
Total	0	0	0		0