Appraisal and Revalidation KPI Data

Appendix A

A – Audit of all missed or incomplete appraisals

<table>
<thead>
<tr>
<th>Doctor factors (total)</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maternity leave during the majority of the ‘appraisal due window’</td>
<td>2</td>
</tr>
<tr>
<td>Sickness absence during the majority of the ‘appraisal due window’</td>
<td>6</td>
</tr>
<tr>
<td>Prolonged leave during the majority of the ‘appraisal due window’</td>
<td>8</td>
</tr>
<tr>
<td>Suspension during the majority of the ‘appraisal due window’</td>
<td>0</td>
</tr>
<tr>
<td>New starter within 3 month of appraisal due date</td>
<td>0</td>
</tr>
<tr>
<td>New starter more than 3 months from appraisal due date</td>
<td>2</td>
</tr>
<tr>
<td>Postponed due to incomplete portfolio/insufficient supporting information</td>
<td>2</td>
</tr>
<tr>
<td>Appraisal outputs not signed off by doctor within 28 days</td>
<td>42</td>
</tr>
<tr>
<td>Lack of time of doctor</td>
<td>20</td>
</tr>
<tr>
<td>Lack of engagement of doctor</td>
<td>1</td>
</tr>
<tr>
<td>Other doctor factors (describe)</td>
<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Appraiser factors</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unplanned absence of appraiser</td>
<td>0</td>
</tr>
<tr>
<td>Appraisal outputs not signed off by appraiser within 28 days</td>
<td>26</td>
</tr>
<tr>
<td>Lack of time of appraiser</td>
<td>2</td>
</tr>
<tr>
<td>Other appraiser factors (describe)</td>
<td>1</td>
</tr>
<tr>
<td>(describe)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Organisational factors</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration or management factors</td>
<td>0</td>
</tr>
<tr>
<td>Failure of electronic information systems</td>
<td>0</td>
</tr>
<tr>
<td>Insufficient numbers of trained appraisers</td>
<td>109</td>
</tr>
<tr>
<td>Other organisational factors (describe)</td>
<td>0</td>
</tr>
</tbody>
</table>
## B – Quality assurance of appraisal inputs and outputs

<table>
<thead>
<tr>
<th>Total number of appraisals completed</th>
<th>Number of appraisal portfolios sampled (to demonstrate adequate sample size)</th>
<th>Number of the sampled appraisal portfolios deemed to be acceptable against standards</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appraisal inputs</td>
<td>Number audited</td>
<td>Number acceptable</td>
</tr>
<tr>
<td>Scope of work: Has a full scope of practice been described?</td>
<td>54</td>
<td>50</td>
</tr>
<tr>
<td>Continuing Professional Development (CPD): Is CPD compliant with GMC requirements?</td>
<td>54</td>
<td>34</td>
</tr>
<tr>
<td>Quality improvement activity: Is quality improvement activity compliant with GMC requirements?</td>
<td>54</td>
<td>33</td>
</tr>
<tr>
<td>Patient feedback exercise: Has a patient feedback exercise been completed?</td>
<td>54</td>
<td>52</td>
</tr>
<tr>
<td>Colleague feedback exercise: Has a colleague feedback exercise been completed?</td>
<td>54</td>
<td>49</td>
</tr>
<tr>
<td>Review of complaints: Have all complaints been included?</td>
<td>54</td>
<td>38</td>
</tr>
<tr>
<td>Review of significant events/clinical incidents/SUIs: Have all significant events/clinical incidents/SUIs been included?</td>
<td>54</td>
<td>42</td>
</tr>
<tr>
<td>Is there sufficient supporting information from all the doctor’s roles and places of work?</td>
<td>54</td>
<td>51</td>
</tr>
<tr>
<td>Is the portfolio sufficiently complete for the stage of the revalidation cycle (year 1 to year 4)?</td>
<td>54</td>
<td>34</td>
</tr>
</tbody>
</table>

**Explanatory note:**

For example:
- Has a patient and colleague feedback exercise been completed by year 3?
- Is the portfolio complete after the appraisal which precedes the revalidation recommendation (year 5)?
- Have all types of supporting information been included?

### Appraisal Outputs

<table>
<thead>
<tr>
<th>Appraisal Summary</th>
<th>54</th>
<th>54</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appraiser Statements</td>
<td>54</td>
<td>54</td>
</tr>
<tr>
<td>Personal Development Plan (PDP)</td>
<td>54</td>
<td>54</td>
</tr>
</tbody>
</table>

**Total number of appraisals completed**

410
### C – Audit of revalidation recommendations

<table>
<thead>
<tr>
<th>Revalidation recommendations between 1 April 2014 to 31 March 2015</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Recommendations completed on time (within the GMC recommendation window)</td>
<td>247</td>
</tr>
<tr>
<td>Late recommendations (completed, but after the GMC recommendation window closed)</td>
<td>0</td>
</tr>
<tr>
<td>Missed recommendations (not completed)</td>
<td>0</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>274</strong></td>
</tr>
</tbody>
</table>

Primary reason for all late/missed recommendations
For any late or missed recommendations only one primary reason must be identified

<table>
<thead>
<tr>
<th>Reason</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>No responsible officer in post</td>
<td>0</td>
</tr>
<tr>
<td>New starter/new prescribed connection established within 2 weeks of revalidation due date</td>
<td>0</td>
</tr>
<tr>
<td>New starter/new prescribed connection established more than 2 weeks from revalidation due date</td>
<td>0</td>
</tr>
<tr>
<td>Unaware the doctor had a prescribed connection</td>
<td>0</td>
</tr>
<tr>
<td>Unaware of the doctor’s revalidation due date</td>
<td>0</td>
</tr>
<tr>
<td>Administrative error</td>
<td>0</td>
</tr>
<tr>
<td>Responsible officer error</td>
<td>0</td>
</tr>
<tr>
<td>Inadequate resources or support for the responsible officer role</td>
<td>0</td>
</tr>
<tr>
<td>Other</td>
<td>0</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>247</strong></td>
</tr>
</tbody>
</table>