

Clinical/Health Care Academics

17 October 2011

To: Heads of Institutions
HR Directors

Please also distribute to: HR specialists, Deans and Heads of medical and dental schools

Action: As suggested in the body of the Update

Attachments: Scottish clinical academic annex for appraisal

SCOTTISH JOINT APPRAISAL SCHEME – THE CURRENT SITUATION

Executive Summary

This Update summarises the current situation in Scotland in relation to the enhanced appraisal scheme for clinical academics in preparation for medical Revalidation in 2012.

Background

- 1 From 16 November 2009 all doctors who wished to continue to practice were required to have a License to Practice issued by the GMC, see UCEA Update 09:127.
- 2 In the future the License to Practice will have to be renewed every five years and the only way that a doctor will be eligible for renewal is by demonstrating that they have participated satisfactorily in an annual appraisal over the five year period.
- 3 Since appraisal is the cornerstone of this important process, the Health and Social Care Act 2008 recommended the implementation of an enhanced appraisal scheme to be ready in time for the full launch of Revalidation in 2012.
- 4 A key feature of the Revalidation process is the role of the Responsible Officer (RO) who will be responsible to the NHS Board and the GMC for ensuring that a structure is developed to deliver enhanced appraisal.
- 5 The enhanced appraisal scheme takes account of Follett principles and has included reference to how the process will be conducted for clinical academics. Clinical academics will not be expected to undergo two appraisals but will continue to participate in joint appraisal.

NHS Scotland Guide to Enhanced Appraisal

- 6 In accordance with this recommendation NHS Scotland published their guide to enhanced appraisal for medical Revalidation in December 2010 which sets out details of the scheme, its governance and documentation.
- 7 As well as an explicit confirmation that clinical academics will be expected to undertake joint appraisal, the document makes a number of other references to clinical academics as follows:
 - A local Appraisal Steering Group will be set up by the RO and Appraisal Lead which will include representation from universities where appropriate.

- When Follett joint appraisals take place a copy of the completed Form 4 (summary of appraisal discussion with agreed action and personal development plan) will be forwarded to the Head of Department.
 - The Follett review¹ states that “Universities and NHS bodies should work together to develop a jointly agreed annual appraisal and performance review process based on that for NHS consultants, to meet the needs of both partners.” That principle continues in the new enhanced appraisal process.
 - University-employed doctors with an honorary NHS contract should have a single joint appraisal. This would usually involve either two appraisers (one NHS, one University), or by agreement between the University and the NHS, a single appraiser fulfilling both roles. In the case of two appraisers the appraisal should be led by the NHS Appraiser.
 - Doctors employed in the NHS with honorary University appointments whose activity involves significant University-related work, but who do not require a joint appraisal, (e.g. research, teaching or administration) must ensure the supporting information provides adequate evidence for these activities.
- 8** Clinical academics will have access to the RO in their main NHS Board but the guidance acknowledges that there will be a small number of doctors who might not have a contract (honorary or substantive) with an NHS Board and therefore no access to a RO. It suggests that these doctors access the RO in the NHS Board in their geographical area, the cost of which would fall to the appraisee.

Annex to the guidance for clinical academics

- 9** The annex to the enhanced appraisal process which is specifically for clinical academics is attached to this Update and has been agreed by Heads of Medical Schools in Scottish HEIs (subject to some further consultation at Edinburgh), the BMA Scottish Medical Academic Staff Committee and National Appraisal Leads.

Next steps

- 10** Training will be available through NHS Education for Scotland (NES) and this is mandatory for all appraisers.
- 11** Institutions are advised to draft local guidance for the completion of the appraisal form as the headings are fairly top level for non clinical work; teaching, research and other activities. For example, agreeing guidance through an initial joint workforce planning meeting.
- 12** In due course and as soon as possible UCEA will review the ‘Clinical academic staff (consultants) appraisal scheme’ guidance notes (2002) to ensure that they take account of the changes brought about by the requirements of Revalidation.

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¹ Sir Brian Follett, Michael Paulson-Ellis. *A Review of Appraisal, Disciplinary and Reporting Arrangements for Senior NHS and University Staff with Academic and Clinical Duties*. Department for Education and Skills, London, 2001.

