

Divider Sheet

HSC Appraisal Portfolio for Doctors in Training in Northern Ireland

SECTION 3

RECORD OF REFERENCE DOCUMENTATION SUPPORTING THE APPRAISAL FRAMEWORK

The purpose of this Section is to record the background evidence and information that will help to inform your appraisal discussions. You should use the GMC Appraisal Framework to list the evidence used to populate Form 3. Guidance relevant to the GMC Framework Domains precede each itemization of evidence.

You should include relevant information and evidence from your training and practice, including outside the NHS, to help give an overall picture of you and your development needs. All current records of workplace assessment must be included in this section.

Archiving Assessment documents that have led to the award of a Basic or Intermediate Training Certificate can be archived after the appraisal and Annual Review have been completed.

Domain 1 – Knowledge, Skills and Performance

Numbers following generic standards in this framework refer to paragraph numbers in GMP, except where preceded by MfD which refers to our booklet *Management for Doctors*; or Research which refers to *Research: the role and responsibilities of doctors*

Attributes	Generic Standards	Possible sources of evidence
Maintain your professional performance	<p>All doctors</p> <ul style="list-style-type: none"> • Maintain knowledge of the law and other regulation relevant to practice (13) • Keep knowledge and skills up to date (13) • Participate in professional development and educational activities (12). • Take part in regular and systematic audit (14) 	Evidence from training or assessment of skills; logbook, RITA/ARCP forms Examinations obtained, Study leave Audit + reflections + change of practice Validated tools for feedback about doctors' practice ,
Apply knowledge and experience to practice	<p>All doctors</p> <ul style="list-style-type: none"> • Recognise and work within the limits of your competence (3a) <p>Doctors with management, teaching or research roles</p> <ul style="list-style-type: none"> • Follow appropriate national research governance guidelines (71) • Apply the skills, attitudes and practice of a competent teacher/trainer (16) • Work effectively as a manager (MfD 12, 17) <p>Doctors with clinical roles</p> <ul style="list-style-type: none"> • Adequately assess the patient's conditions (2a) • Provide or arrange advice, investigations or treatment where necessary (2b) • Prescribe drugs or treatment, including repeat prescriptions, safely and appropriately (3b) • Provide effective treatments based on the best available evidence (3c) • Take steps to alleviate pain and distress whether or not a cure may be possible (3d) • Consult colleagues, or refer patients to colleagues, when this is in the patient's best interests (2c, 3a, 3i, 54,55) • Support patients in caring for themselves (21e) 	Evidence from training or assessment of skills; logbook, RITA/ARCP forms Audit + reflections + change of practice Validated tools for feedback about doctors' practice Record of Research activities, ethical submissions and outcomes Record of Teaching Activities, additional qualifications, courses attended , evaluations and other feedback Previous PDP's Publications Reflections on your training and progress
Keep clear, accurate and legible records	<p>All doctors</p> <ul style="list-style-type: none"> • Keep clear, accurate and legible records (3f) • Make records at the same time as the events you are recording or as soon as possible afterwards (3f) <p>Doctors with clinical roles</p> <ul style="list-style-type: none"> • Record clinical findings, decisions, information given to patients, drugs prescribed and other information or treatment (3f) 	Anonymised records Evidence from training or assessment of skills; logbook, RITA/ARCP forms

**FORM 3: RECORD OF DOCUMENTATION SUPPORTING APPRAISAL
FRAMEWORK.**

Domain1 – Knowledge, Skills and Performance

List below each document, in the order they appear in your folder.

Maintain your professional performance.

1.
2.
3.
4.
5.

Apply knowledge and experience to practice

6.
7.
8.
9.
10.

Keep clear, accurate and legible records

11.
12.
13.
14.
15.

Domain 2 – Safety and Quality

Attributes	Generic Standards	Possible Sources of Evidence
Put into effect systems to protect patients and improve care	<p>All doctors</p> <ul style="list-style-type: none"> • Respond constructively to the outcome of audit, appraisals and performance reviews (14e) • Take part in systems of quality assurance and quality improvement (14) • Comply with risk management and clinical governance procedures • Co-operate with legitimate requests for information from organisations monitoring public health (14i) • Provide information for confidential inquiries, significant event reporting (14g) <p>Doctors with management roles</p> <ul style="list-style-type: none"> • Make sure that all staff for whose performance you are responsible, including locums and students, are properly supervised. (17) <p>Doctors with clinical roles</p> <ul style="list-style-type: none"> • Report suspected adverse drug reactions (14h) • Ensure arrangements are made for the continuing care of the patient where necessary (40, 48) 	<p>Evidence from training or assessment of skills; logbook, RITA/ARCP forms Record of Clinical Governance Activities including Audit + reflections + change of practice Participation in National /Deanery surveys. Validated tools for feedback about doctors' practice</p> <p>Response to previous PDP's</p> <p>Complaints / outcomes / reflections Critical incidents + reflections</p>
Respond to risks to safety	<p>All doctors</p> <ul style="list-style-type: none"> • Report risks in the health care environment to your employing or contracting bodies. (6) • Safeguard and protect the health and well-being of vulnerable people, including children and the elderly and those with learning disabilities. (26,28) • Take action where there is evidence that a colleague's conduct, performance or health may be putting patients at risk. (43,44) <p>Doctors with clinical roles</p> <ul style="list-style-type: none"> • Respond promptly to risks posed by patients • Follow infection control procedures and regulations 	<p>Personal Statement Statements from Educational supervisors, trainers, work colleagues Patient questionnaires Complaints / outcomes / reflections Critical incidents + reflections</p>
Protect patients and colleagues from any risk posed by your health	<p>All doctors</p> <ul style="list-style-type: none"> • Make arrangements for accessing independent medical advice when necessary. (77) • Be immunised against common serious communicable diseases where vaccines are available (78) 	<p>Statement about registration with GP, appropriate immunisation etc – verifiable if need arises Validated tools for feedback about doctors' practice</p>

Domain 2 – Safety and Quality

List below each document, in the order they appear in your folder.

Put into effect systems to protect patients and improve care

- 1.
- 2.
- 3.
- 4.
- 5.

Respond to risks to safety

- 6.
- 7.
- 8.
- 9.
- 10.

Protect patients and colleagues from any risk posed by your health

- 11.
- 12.
- 13.
- 14.
- 15.

Domain 3 – Communication, Partnership and Teamwork

Attributes	Generic Standards	Possible Sources of Evidence
Communicate effectively	<p>All doctors</p> <ul style="list-style-type: none"> • Communicate effectively with colleagues within and outside the team (41b) • Explain to patients when something has gone wrong (30) <p>Doctors with management roles</p> <ul style="list-style-type: none"> • Encourage colleagues to contribute to discussions and to communicate effectively with each other (MfD 50) <p>Doctors with clinical roles</p> <ul style="list-style-type: none"> • Listen to patients and respect their views about their health (22 a 27a). • Give patients the information they need in order to make decisions about their care in a way they can understand. (22b, 27) • Respond to patients' questions (22c, 27 b) • Keep patients informed about the progress of their care (22c) • Treat those close to the patient considerately. (29) • Pass on information to colleagues involved in, or taking over, your patients' care (40, 51-53) 	<p>Validated tools for feedback about doctors' practice</p> <p>Statement about team structure and role within.</p> <p>Statements from Educational supervisors, trainers, work colleagues</p> <p>Patient questionnaires</p> <p>Complaints / outcomes / reflections</p> <p>Critical incidents + reflections</p>
Work constructively with colleagues and delegate effectively	<p>All doctors</p> <ul style="list-style-type: none"> • Treat colleagues fairly and with respect (46) • Support colleagues who have problems with their performance, conduct or health (41d) • Act as a positive role model for colleagues (41) • Ensure colleagues to whom you delegate have appropriate qualifications, experience (54) <p>Doctors with management roles</p> <ul style="list-style-type: none"> • Provide effective leadership (MfD 50) 	<p>Validated tools for feedback about doctors' practice</p> <p>Statement about team structure and role within.</p> <p>Statements from Educational supervisors, trainers, work colleagues</p>
Establish and maintain partnerships with patients	<p>Doctors with clinical roles</p> <ul style="list-style-type: none"> • Encourage patients to take an interest in their health and take action to improve and maintain it (4, 21f) • Be satisfied that you have consent or other valid authority before you undertake any examination or investigation, provide treatment or involve patients in teaching or research. (36) 	<p>Validated tools for feedback about doctors' practice</p> <p>Patient Questionnaires</p> <p>Statement about adherence to consent guidelines</p>

Domain 3 – Communication, Partnership and Teamwork

List below each document, in the order they appear in your folder.

Communicate effectively

- 1.
- 2.
- 3.
- 4.
- 5.

Work constructively with colleagues and delegate effectively

- 6.
- 7.
- 8.
- 9.
- 10.

Establish and maintain partnerships with patients

- 11.
- 12.
- 13.
- 14.
- 15.

Domain 4 – Maintaining Trust

Attributes	Generic Standards	Possible Sources of Evidence
Show respect for patients	<p>All doctors</p> <ul style="list-style-type: none"> Implement and comply with systems to protect patient confidentiality. (37) <p>Doctors with research roles</p> <ul style="list-style-type: none"> Respect the rights of patients participating in research. (Research 2, 5) <p>Doctors with clinical roles</p> <ul style="list-style-type: none"> Be polite, considerate and honest and respect patients' dignity and privacy (21a, b, d) Treat each patient fairly and as an individual (38-39, 21 c) 	<p>Validated tools for feedback about doctors' practice</p> <p>Confirmation that appropriate ethical approval has been secured for all research undertaken</p> <p>Patient questionnaires</p> <p>Thank You letters</p>
Treat patients and colleagues fairly and without discrimination	<p>All doctors</p> <ul style="list-style-type: none"> Be honest and objective when appraising or assessing colleagues and when writing references (18-19) Respond promptly and fully to complaints. (31) <p>Doctors with clinical roles</p> <ul style="list-style-type: none"> Provide care on the basis of the patient's needs and the likely effect of treatment (7-10) 	<p>Validated tools for feedback about doctors' practice</p> <p>Completion of equalities training</p> <p>Complaints / outcomes / reflections</p>
Act with honesty and integrity	<p>All doctors</p> <ul style="list-style-type: none"> Ensure you have adequate indemnity or insurance cover for activities (34) Be honest in financial and commercial dealings (73) Ensure any published information about your services is factual and verifiable (60, 61) Be honest in any formal statement or report, whether written or oral, making clear the limits of your knowledge or competence. (63-65, 67-68) <p>Doctors with research roles</p> <ul style="list-style-type: none"> Obtain appropriate ethical approval for research projects (Research 5). Be honest in undertaking research and reporting research results (71 b) Ensure that your research is audited regularly. (research 43) <p>Doctors with clinical roles</p> <ul style="list-style-type: none"> Inform patients about any fees and charges before starting treatment (72a) 	<p>Certificate of Medical Insurance</p> <p>.</p> <p>Validated tools for feedback about doctors' practice</p> <p>Practice leaflets etc</p> <p>Evidence of compliance with research Governance Framework to include Record of Research activities, ethical submissions and outcomes</p> <p>Records of funding arrangements for research.</p> <p>Publications</p>

Domain 4 - Maintaining Trust

List below each document, in the order they appear in your folder.

Show respect for patients.

- 1.
- 2.
- 3.
- 4.
- 5.

Treat patients and colleagues fairly and without discrimination

- 6.
- 7.
- 8.
- 9.
- 10.

Act with honesty and integrity

- 11.
- 12.
- 13.
- 14.
- 15.