

# Divider Sheet

## **HSC Appraisal Portfolio for Doctors in Training in Northern Ireland**

### **SECTION 5**

#### **SUMMARY OF APPRAISAL DECISION & PERSONAL DECLARATIONS**

This section includes the signed off Summaries of your Appraisals using Form 5.

It is based the GMC Framework document based upon *Good Medical Practice* and it should be agreed and signed by your Appraiser.

The Summary of Appraisal will be the basis of the evidence to be submitted to the GMC for Revalidation purposes.

***If the outcome of an appraisal cannot be agreed this must be recorded as a matter of fact, signed by the appraiser and appraisee and filed in this Section.***

**FORM 5: SUMMARY OF APPRAISAL DISCUSSION**

**Domain1 – Knowledge, Skills and Performance**

Commentary

Action Agreed

**Domain 2 – Safety and Quality**

Commentary

Action Agreed

**Domain 3 – Communication, Partnership and Teamwork**

Commentary

Action Agreed

**Domain 4 - Maintaining Trust**

Commentary

Action Agreed

**SIGN OFF**

We agree that the information in Form 5 is an accurate summary of the appraisal discussion and agreed action, and of the agreed personal development plan.

Appraiser: \_\_\_\_\_  
(GMC Number) \_\_\_\_\_

Appraisee: \_\_\_\_\_  
(GMC Number) \_\_\_\_\_

Date: \_\_/\_\_/\_\_

**Record here the names of any third parties who contributed to the appraisal and indicate the capacity in which they did so:**

**PERSONAL DECLARATION FOR ARCP PANELS, RITA PANELS AND END-OF-POST ASSESSMENTS**

**This declaration should be completed by all junior doctors in training posts (including locum posts) in Northern Ireland. A new signed declaration should be produced with other evidence for the ARCP/RITA panel every year, and may be required by employers for appointments to locum posts.**

**Form 5 A: A Licence to Practice**

The GMC introduced the licence to practise on 16 November 2009. Licensing is the first step towards the introduction of **revalidation**.

To practise medicine in the UK after licensing is introduced, doctors will, by law, need to be both registered and hold a licence to practise. This will apply to doctors practising full time, part time, as a locum, privately or in the NHS, or whether they are employed or self-employed.

Doctors need a licence if they undertake any form of medical practice for which UK law currently requires them to hold GMC registration. These include, but are not limited to, writing prescriptions, holding a post as a doctor in the NHS, and signing death and cremation certificates.

I confirm that I am both registered with the GMC and hold a licence to practice.

NAME (print):.....

GMC number:.....

SIGNATURE:.....

NTN(if applicable):.....

**PMETB Trainee Survey**

As a doctor in training you are required to support the development and evaluation of this training programme by participating actively in the national annual PMETB/COPMeD trainee survey and any other activities that contribute to the quality improvement of training.

Did you participate in the above survey? **Yes**  **No**

If no , please explain:

## **Probity – Guidance**

### **Good Medical Practice: Being honest and trustworthy**

56. Probity means being honest and trustworthy, and acting with integrity: this is at the heart of medical professionalism.

57. You must make sure that your conduct at all times justifies your patients' trust in you and the public's trust in the profession.

58. You must inform the GMC without delay if, anywhere in the world, you have accepted a caution, been charged with or found guilty of a criminal offence, or if another professional body has made a finding against your registration as a result of fitness to practise procedures.

59. If you are suspended by an organisation from a medical post, or have restrictions placed on your practice you must, without delay, inform any other organisations for which you undertake medical work and any patients you see independently.

### **Providing and publishing information about your services**

60. If you publish information about your medical services, you must make sure the information is factual and verifiable.

61. You must not make unjustifiable claims about the quality or outcomes of your services in any information you provide to patients. It must not offer guarantees of cures, nor exploit patients' vulnerability or lack of medical knowledge.

62. You must not put pressure on people to use a service, for example by arousing ill-founded fears for their future health.

### **Writing reports and CVs, giving evidence and signing documents**

63. You must be honest and trustworthy when writing reports, and when completing or signing forms, reports and other documents.

64. You must always be honest about your experience, qualifications and position, particularly when applying for posts.

65. You must do your best to make sure that any documents you write or sign are not false or misleading. This means that you must take reasonable steps to verify the information in the documents, and that you must not deliberately leave out relevant information.

66. If you have agreed to prepare a report, complete or sign a document or provide evidence, you must do so without unreasonable delay.

67. If you are asked to give evidence or act as a witness in litigation or formal inquiries, you must be honest in all your spoken and written statements. You must make clear the limits of your knowledge or competence.

68. You must co-operate fully with any formal inquiry into the treatment of a patient and with any complaints procedure that applies to your work. You must disclose to anyone entitled to ask for it any information relevant to an investigation into your own or a colleague's conduct, performance or health. In doing so, you must follow the guidance in *Confidentiality: Protecting and providing information*.

69. You must assist the coroner or procurator fiscal in an inquest or inquiry into a patient's death by responding to their enquiries and by offering all relevant information. You are entitled to remain silent only when your evidence may lead to criminal proceedings being taken against you.

### **Research**

70. Research involving people directly or indirectly is vital in improving care and reducing uncertainty for patients now and in the future, and improving the health of the population as a whole.

71. If you are involved in designing, organising or carrying out research, you must:

- a. put the protection of the participants' interests first
- b. act with honesty and integrity

### Financial and commercial dealings

72. You must be honest and open in any financial arrangements with patients. In particular:

- a. you must inform patients about your fees and charges, wherever possible before asking for their consent to treatment
- b. you must not exploit patients' vulnerability or lack of medical knowledge when making charges for treatment or services
- c. you must not encourage patients to give, lend or bequeath money or gifts that will directly or indirectly benefit you
- d. you must not put pressure on patients or their families to make donations to other people or organisations
- e. you must not put pressure on patients to accept private treatment

f. if you charge fees, you must tell patients if any part of the fee goes to another healthcare professional.

73. You must be honest in financial and commercial dealings with employers, insurers and other organisations or individuals. In particular:

a. before taking part in discussions about buying or selling goods or services, you must declare any relevant financial or commercial interest that you or your family might have in the transaction

b. if you manage finances, you must make sure the funds are used for the purpose for which they were intended and are kept in a separate account from your personal finances.

### **Conflicts of interest**

74. You must act in your patients' best interests when making referrals and when providing or arranging treatment or care. You must not ask for or accept any inducement, gift or hospitality which may affect or be seen to affect the way you prescribe for, treat or refer patients. You must not offer such inducements to colleagues.

75. If you have financial or commercial interests in organisations providing healthcare or in pharmaceutical or other biomedical companies, these interests must not affect the way you prescribe for, treat or refer patients.

76. If you have a financial or commercial interest in an organisation to which you plan to refer a patient for treatment or investigation, you must tell the patient about your interest. When treating NHS patients you must also tell the healthcare purchaser.

**PERSONAL DECLARATION FOR ARCP PANELS, RITA PANELS AND END-OF-POST ASSESSMENTS**

**This declaration should be completed by all junior doctors in training posts (including locum posts) in Northern Ireland. A new signed declaration should be produced with other evidence for the ARCP/RITA panel every year, and may be required by employers for appointments to locum posts.**

**Form 5 B: Probity Declaration**

Notes:

- If you are able to sign both of the following declarations then you do not need to complete the rest of the pro-forma.
- If you are not able to sign both declarations then you will need to complete the full pro-forma.

***Professional obligations***

I accept the professional obligations placed upon me in paragraphs 56 to 76 of *Good Medical Practice*.

NAME (print):..... GMC number:.....

SIGNATURE:..... NTN(if applicable):.....

***Convictions, findings against you and disciplinary action***

Since my last appraisal **I have not**, in the UK or outside:

- Been convicted of a criminal offence or have proceedings pending against me.
- Had any cases considered by the GMC, other professional regulatory body, or other licensing body or have any such cases pending against me.
- Had any disciplinary actions taken against me by an employer or contractor or have had any contract terminated or suspended on grounds relating to my fitness to practise.

NAME (print):..... GMC number:.....

SIGNATURE:..... NTN(if applicable):.....

## Probity declaration pro forma

(To be completed if you are unable to sign the Probity declaration)

### ***Convictions, findings against you and disciplinary action***

1. Since your last appraisal<sup>1</sup>, have you been convicted of a criminal offence either inside or outside the UK? **Yes**  **No**  If yes, please give details:

.....  
.....

2. Do you have any criminal proceedings pending against you inside or outside the UK?

**Yes**  **No**  If yes, please give details:

.....  
.....

3. Since your last appraisal , have you had any cases considered, heard and concluded against you by any of the following: -
- a. The General Medical Council.
  - b. Any other professional regulatory or other professional licensing body within the UK.
  - c. A professional regulatory or other professional licensing body outside the UK.
- Yes**  **No**  If yes, please give details:

.....  
.....

4. Are there any cases pending against you with any of the following organisations:

- a. The General Medical Council.
  - b. Any other professional regulatory or other professional licensing body within the UK.
  - c. A professional regulatory or other professional licensing body outside the UK.
- Yes**  **No**  If yes, please give brief details:

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.....

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<sup>1</sup> If this is your first appraisal then please fill in the pro-forma answering the questions as they apply to you at the current time.

5. Since your last appraisal<sup>1</sup>, have there been any disciplinary actions taken against you by your employer or your contractor – either in the UK or outside - that have been upheld: **Yes**  **No**  If yes, please give brief details:

.....  
.....

6. Since your last appraisal<sup>1</sup>, has your employment or contract ever been terminated or suspended – in the UK or abroad - on grounds relating to your fitness to practise (conduct, performance or health): **Yes**  **No**  If yes, please give details:

.....  
.....

7. All the information in this declaration is true to the best of my knowledge.

NAME (print):.....

GMC number:.....

SIGNATURE:.....

NTN(if applicable):.....

**PERSONAL DECLARATION FOR ARCP PANELS, RITA PANELS AND END-OF-POST ASSESSMENTS**

**This declaration should be completed by all junior doctors in training posts (including locum posts) in Northern Ireland. A new signed declaration should be produced with other evidence for the ARCP/RITA panel every year, and may be required by employers for appointments to locum posts.**

**Form 5 C: HEALTH DECLARATION:**

Notes:

- If you are able to sign both of the following declarations then you do not need to complete the rest of the pro-forma.
- If you are not able to sign both declarations then you will need to complete the full pro-forma.

***Professional obligations***

The GMC's guidance *Good Medical Practice* and *Serious communicable diseases* says that if a doctor has a serious condition which they could pass on to patients or colleagues they must have any necessary tests and act on the advice given to them by a suitably qualified colleague about necessary treatment and/or modifications to their clinical practice. Moreover, if their judgment or performance could be significantly affected by a condition or illness, they must take and follow advice from a consultant in occupational health or another suitably qualified colleague on whether, and in what ways they should modify their practice.

I accept the professional obligations placed upon me in paragraphs 77 to 79 of *Good Medical Practice* and *Serious communicable diseases*.

NAME (print):..... GMC number:.....

SIGNATURE:..... NTN(if applicable):.....

***Regulatory and voluntary proceedings***

Since my last appraisal **I have not**, in the UK or outside:

- Been the subject of any health proceedings by the GMC or other professional regulatory or licensing body.
- Been the subject of medical supervision or restrictions (whether voluntary or otherwise) imposed by an employer or contractor resulting from any illness of physical condition.

NAME (print):..... GMC number:.....

SIGNATURE:..... NTN(if applicable):.....

## Health declaration pro forma

### (To be completed if you are unable to sign the Health declaration)

#### *Your own health*

The GMC acknowledges that medicine can be a demanding profession and that doctors who become ill deserve help and support. Doctors also have to recognise that illness can impair their judgment and performance and thus put patients and colleagues at risk (this is particularly so in the case of psychiatric conditions, drug and alcohol abuse). The GMC therefore encourages doctors to reflect on their own health, seek professional advice if necessary and consider whether, for health related reasons, they should modify their professional activities.

1. Do you have any illness or physical condition that has since your last appraisal<sup>2</sup> resulted in your restricting or changing your professional activities?

**Yes**  **No**  If yes, please give details of the changes in your professional activities, which it is - or was - necessary for you make:

.....  
.....

#### *Regulatory and voluntary proceedings*

2. Are you - or have you been since your last appraisal been the subject of any proceedings under the GMC's Health Procedures or Health Committee or similar proceedings of other professional regulatory or licensing bodies within the UK or abroad? **Yes**  **No**  If yes, please give details:

.....  
.....

3. Are you currently or since your last appraisal been subject to medical supervision, voluntary or otherwise, and/or any restrictions voluntary or otherwise, imposed by your employer or contractor resulting from any illness or physical condition within the UK or abroad?

**Yes**  **No**  If yes, please give details:

.....  
.....

4. All the information in this declaration is true to the best of my knowledge.

NAME (print):..... GMC number:.....

SIGNATURE:..... NTN(if applicable):.....

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<sup>2</sup> If this is your first appraisal then please fill in the pro-forma answering the questions as they apply to you at the current time.