Annual Flowchart for Consultant/Staff and Associate Specialist Appraisal Process*

2. Agree who is appraising whom within the 1. Consider appraiser training and education needs within Directorates (April) Directorate (April) Role of Associates/Deputies/Lead Clinicians Attendance at training/education sessions Agree appraisal responsibilities for University staff Review key documents - Scottish Executive, GMC, etc. Review Lothian intranet website for any recent updates on appraisal 3. Agree and Communicate Timetable to all 4. Prepare for Individual Appraisal Interviews Consultants/SAS (Head of Service) April -May Agree an agenda with appraisee in advance Include timetable for any appraisee training and education Review appraisal documentation - forms 1,2 &3 Provide ample time for compiling of appraisal folders and Review content of individuals appraisal folder and CPD CPD portfolio. Remind staff of need to include HAI CME record - assure that HAI covered Inform Consultants/SAS of the Lothian wide processes for Prepare any specific questions for issues you or managing appraisal appraisee wish to discuss Consider distribution of appraisal folders, forms and any Book time in diary and any required facilities, rooms, etc. other supporting paperwork Arrange any cover required 6. Conduct the Appraisal Interview - Part 1 Help appraisee review his/her performance over last 12 months 5. Final Preparation for Individual Appraisal Focus on specific examples Interview Balance positive and negative issues Keep to prepared agenda Ensure there are no potential interruptions during interview e.g. bleeps, phones, etc. Use open and constructive questioning Ensure facilities are in place - seating, tea/coffee, etc Final review of paperwork and own preparation 7. Conduct the Appraisal Interview – Part 2 Identify with appraisee strengths and weaknesses 8. Conduct the Appraisal Interview - Part 3 Ensure adequate discussion on health and probity issues Possible development needs Agree 'SMART' objectives for the coming year (PDP) How these could be met and what resources would be required New service developments and impact on skills set required Personal ambitions and career development planning 9. Complete Appraisal Documentation 10. Form 4 - Part 1 CD to: Complete form 4 and sign off with appraisee summarising:

- Outcomes of appraisal
- Agreed actions
- Personal Development Plan (PDP)
- Decide if forms 5 and 6 need to be completed
- Sign off any other documentation (form 3)
- Advise appraisee of onward process for Form 4 and PDP
 - appraisee retains copy in his/her own file
 - appraiser's copy goes via CD to Consultant's/SAS personal file (medical personnel)
 - for joint appraisals, CD should forward copy to College HR Manager acting on behalf of the Head of School

12. Summary of appraisal process

- Heads of Service to forward a copy (by the end of January) of the Directorate Summary templates to the Directors of Operations (Acute Division) and General Managers (Primary Care) to allow collation of divisional development needs.
- Associate Medical Director (Education/Performance) to produce annual report for Chief Executive Officer NHS Lothian as confirmation of completion of process (end of March)

- Sign off Directorate Summary template indicating completion of all appraisals and form 4s together with a summary of key, common development issues in Directorate (developed in discussion with other Appraisers in Directorate) - Feedback should follow with colleagues
- Forward all form 4s (in strict confidence) to medical personnel (by end of December)
- Provide list of doctors not appraised (with reasons) for Head of Service (by end of December)

11. Form 4 - Part 2

- Heads of Service to sign off completion of Consultant/SAS appraisal process for Division or primary care organisation, as delegated by Chief Operating Officer
- Heads of Service to provide a list of doctors who have not had a satisfactory appraisal and therefore should not be considered for pay progression if appropriate (by end of
- On a 3 year cycle the quality of the appraisal process to be audited according to a standard format (to be agreed)
- Next audit due 2009

