Revalidation Update

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NHS Revalidation Support Team

25.3.11 East of England SHA RO Network Meeting
Purpose of Revalidation

“To assure patients and the public, employers and other healthcare professionals that licensed doctors are up to date and are practising to the appropriate professional standards”

GMC: Revalidation – the way ahead 2009
What will revalidation be like?

“based on robust local systems, that support high quality care in the organisations and practice settings where that care is delivered”

“appraisal and clinical governance will remain the key foundations of the process”

GMC: Revalidation – a statement of intent October 2010
What will revalidation be like?

“must not create unnecessary burdens which distract doctors from caring for their patients but at the same time must be robust enough to provide assurance for the public”

GMC: Revalidation – a statement of intent October 2010
Revalidation Update

Organisational Readiness
NHS restructuring
Responsible Officer Training
Data and Information
Pathfinder Pilots
Appraisers
What’s next?
### GMC Layers of Professional Regulation

#### Integrated governance and organisational responsibilities lie in these areas

<table>
<thead>
<tr>
<th>Personal regulation</th>
<th>Team-based regulation</th>
<th>Workplace regulation</th>
<th>National regulation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Collects folder of evidence</td>
<td>Provides 360-degree feedback</td>
<td>Operates a quality assured appraisal scheme</td>
<td>GMC generic principles (Good medical practice)</td>
</tr>
<tr>
<td>Reflects on practice through participation in appraisal</td>
<td>Patient surveys</td>
<td>Operates effective clinical governance systems</td>
<td>GMC guidance on folder content</td>
</tr>
<tr>
<td>Submits completed revalidation submission</td>
<td>Action when a colleague's conduct, performance or health puts patients at risk</td>
<td>Provides local certification</td>
<td>College specialty related standards and evidence</td>
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<td>Prompt and effective action if actual or emerging impairment</td>
<td>GMC approves working environments</td>
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</tbody>
</table>
|                         |                       | Prompt and effective action to deal with impairment | }

Good Doctors Safer Patients 2006
Organisational Readiness Self Assessment Tool

End of Year Report for 2010-2011
Organisational Readiness Self Assessment

• Streamlined, simpler, end of year report
• Coordinated by SHAs
• 2 stage self-assessment
  – April/May 2011 - new baseline current state of readiness
  – April/May 2012 - inform formal assessment of readiness and inform organisation’s progress
• Interim Reports – short reports, key metrics
  – October 2011
  – January 2012
Organisational Readiness Self Assessment

Section 1: Details of Designated Body
Numbers of doctors the RO has responsibility for

Section 2: Responsible Officer
RO has been appointed
Appropriate RO training undertaken
Appropriate RO support available
Funding and resource is sufficient to undertake the role
Organisational Readiness Self Assessment

Section 3: Appraisal system
Numbers of doctors who have completed their appraisal
Audit of all missed or incomplete appraisals
Appraisal policy in place
Appraisers have been trained
Appraisers supported in the role and receive feedback on performance
Number of appraisers is sufficient
Organisational Readiness Self Assessment

Section 4: Organisational governance
Governance in place, subject to external review
Monitoring performance, fitness to practise of doctors
Key information available at appraisal
Information for new doctors obtained from previous organisations
Audit and patient/colleague feedback systems in place
Process for investigating concerns
Policy for rehabilitation, remediation and targeted support
RO monitors compliance with GMC conditions/undertakings
Revalidation Update

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What’s next?
The impact of NHS structural changes

- SHAs remain statutory bodies until March 2012
- PCTs remain statutory bodies until March 2013

Statutory organisations will remain Designated Bodies until these dates even if they delegate responsibilities to a transitional or shadow organisation

Currently unclear but in the future:
- Possibly Commissioning Consortia or Clusters
- Possibly intermediate tier of National Commissioning Board
Revalidation Update

Organisational Readiness
NHS restructuring

Responsible Officer Training

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What’s next?
Introductory Responsible Officer Training

Not a full ‘training programme’

Aims:

• To ensure all incoming ROs have sufficient knowledge of the scope and statutory responsibilities of the role
• To provide an understanding of the competencies and resources required to carry out the role in accordance with the regulations and guidance
• To ensure there is an established training programme for the future [including the training specification and materials and regional training expertise]
Introductory Responsible Officer Training

- Coordinated through SHAs
- March to October 2011
- Centrally defined training specification/materials
- 1.5 days, 3 modules, local, flexible
- Free for ROs, other relevant staff can attend
- Ongoing support and development through regional RO Support networks
Responsible Officer Competencies

- Communication
- Managing the process of medical revalidation, appraisal, quality assurance of appraisers, remediation, mediation, negotiation, investigation and rehabilitation, equality and diversity issues, dealing with colleagues about whom there is concern
- Knowledge of regulation and the law as it relates to medical revalidation and of the specific underpinning processes. Understanding of principles of natural justice and the legal process, accountability and governance
Responsible Officer Competencies

- Maintaining the knowledge and skills needed for the role, consistency, rigour and accountability
- Strategic responsibilities of the RO, building and maintaining external relationships, accessing the organisation’s resources
- Clinical governance, quality improvement and quality assurance of systems underpinning revalidation, information flows
Module 1: Revalidation overview and the RO regulations and guidance

- General background to revalidation, legislation, proposed timetable, impact of NHS structural changes
- Range of the RO’s responsibilities
- Prescribed connections
- Process for conflict of interest
- Support and resources available for the RO
Module 2: Organisational governance, information and appraisal systems

- Accountability for performance, quality, fitness to practise
- Monitoring performance
- Information flows within and between organisations
- Appraisal system, appraisers training/support
- Ensuring the Designated Body is ready for revalidation
Module 3: Responding to concerns about a doctors performance, conduct or health

- Fitness for purpose vs fitness to practise
- Thresholds for intervention: knowledge, skills, performance, conduct/behaviour and health
- Using resources, support and advice
- Good practice in performing investigations
- Good practice in support, rehabilitation and remediation
- Formal action plan agreements and behavioural contracts
- Ensuring compliance with GMC conditions and undertakings
- Equality and diversity issues
Revalidation Update

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What’s next?
"Data rich but information Poor..."
Working in Teams

Diabetes care process

Hip fracture care process

Post-natal Depression process
Funnel plot of all UK cardiac surgeons observed mortality over a 3 year period

UKCSR: funnel plot 3 year isolated CABG data by consultant; financial years 2001–2003 (n = 64 488)

- Overall rate
- 99.9% lower alert
- 99.9% lower alert
- Consultant
- 99.99% lower alarm
- 99.99% lower alarm

Bridgewater B, Keogh B. Heart 2008;94:936-942
PCI: volume of procedures v adverse outcomes

Regression Equation $Y = 1.272 - 0.001X$

Slope p-value = 0.02

Journal of the American College of Cardiology 2005
Patient and Colleague Feedback Questionnaires

Figure 2  Patient and colleague scores (standardised measures) for 252 doctors with ≥22 patient questionnaires and ≥8 colleague questionnaires. Internal reference lines added at z ≤ −1.96.
Using Data and Information

- Raw Data
- Information
- Knowledge

- Validation
- Interpretation + Analysis
- Learning
Monitoring Clinical Performance and Quality

Ideally, data for appraisal revalidation is:

- **Accurate**: so it forms a firm foundation to build on
- **Independently produced**: so it is objective, not ‘selected’
- **Verifiable**: so original material can be sourced
- **Relevant**: relates to the quality of the team/doctor’s work
- **Collected using standard method and definitions**: so performance and quality can be benchmarked against comparators
- **Validated**: so has been through a review process – usually team or peer review
- **Related to the individual**: so the individual doctor’s clinical performance is measured
Revalidation Update

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What’s next?
Pathfinder Pilots

Pathfinder Pilots cover:

- Possible components of a strengthened form of appraisal
- Collection of supporting information
- Organisational systems of appraisal and clinical governance
- Specialist and GP frameworks
- Training of appraisers
- Evaluation of portfolio of supporting information
- No evaluation of a specific model of MSF
- Appraisal discussion
- Responsible Officer role – training, competencies, support
- Information flows
- Impact, costs, benefits
Interim Report Feb 2011

Appraisees in both primary and secondary care found the following most useful in terms of evaluating their own standards of practice and planning how to improve patient care:

- CPD
- Audits and informal data review
- Significant events / Case reviews

colleague and patient feedback tools were not considered by pilot participants under this section
Some appraisees found the additional emphasis on reflection helpful.

The majority of the appraisers agreed that the appraisal discussion added value to the assessment process.

In the majority of cases, the appraisees’ self-assessment agreed with the appraiser assessment.
Interim Report Oct 2010

Appraisees

- Smaller proportions of GP appraisees undertake management, research or teaching than consultants
- Most appraisees spend over 70% of their time working in their main area of clinical work
- CPD: acute care = 87.1 hours; primary care = 75.5 hours
- 67% appraisees spent 10 hours or less (average = 5.9 hours) collating information and preparing for appraisal last year

Appraisal discussions

Pre appraisal prep  
GP 2.5 hours  Consultants 1.6 hours

Appraisal meeting  
GP 2.5 hours  Consultants 1.6 hours
Interim Report Oct 2010

Appraisers
84% received training for their appraisal role
37/232 appraisers not trained: [26 secondary; 7 MH; 0 primary]

64% primary care - additional training at least annually
58% acute care - no additional training

Number of appraisees per appraiser
Secondary average = 6 [0-8]
primary care average = 12 [6-20]
MH average = 4
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What’s next?
A good appraisal is characterised by:

- Constructive feedback
- Supportive approach to concerns
- Confidentiality
- Fairness
- Openness
- Trust
- Affirmation of good practice
- Quality Summary and Outputs
- A focused PDP
The Skilled Appraiser

- Recruitment and selection
  - Core elements of person specification and job description
- Skills, knowledge, behaviour
  - Core competencies
  - Training specification and materials
- Development and support
  - Ongoing support
- Feedback on performance in the role
  - Guidance and methods
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## Possible Timeline

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<thead>
<tr>
<th>Year</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013 2014 etc</th>
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<td>Testing, Piloting Refinement</td>
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<td>Self-Assessments</td>
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<td>‘Go Live’ Decision</td>
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<tr>
<td>Phased Implementation</td>
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