

Form 1: Preparation

To complete this form, refer to Guidance set out on Page 20 of the Toolkit

1.	What are you equality impact assessing?	All Wales Medical Appraisal Policy
2.	Policy Aims and Brief Description	<p>This policy is applicable to all doctors, employed by the <i>Designated Body</i>, as well as to all medical independent contractors on the performers list, doctors in training, and locums.</p> <p>Appraisal is a professional, formative and developmental process. It is about identifying development needs, not performance management. It is a positive process to give doctors feedback on their past performance, to chart continuing progress and identify development needs.</p> <p>During their annual appraisals, doctors will use supporting information to demonstrate that they are continuing to meet the principles and values set out in <i>Good Medical Practice</i>.</p> <p>The objectives of medical appraisal in Wales are to:</p> <p>Provide individuals with an opportunity to:</p> <ul style="list-style-type: none">• Reflect on their practice and their approach to medicine• Reflect on the supporting information they have gathered and what that information demonstrates about their practice• Identify areas of practice where they could make improvements

		<p>or undertake further development</p> <ul style="list-style-type: none"> • Demonstrate that they are up to date.. <p>Provide assurances to their organisation/s and to the public that doctors are remaining up to date across their whole practice.</p> <p>Provide a route to revalidation which builds on and strengthens existing systems with minimum bureaucracy.</p>
3.	Who is responsible for the Policy/work?	NHS organisations/BMA
4.	Who is Involved in undertaking this EqIA?	Revalidation and Appraisal Implementation Sub Group
5.	Is the Policy related to other Policies/areas of work?	Equality, Sickness, Dignity at Work Policies. Codes of Conduct of Professional/Regulatory Bodies
6.	Stakeholders	<p>All doctors, employed by the <i>Designated Body</i>, as well as to all medical independent contractors on the performers list, doctors in training, and locums.</p> <p>Medical Appraisal Managers Responsible officers W&OD Directors</p>
7.	What might help/hinder the success of the Policy?	<p>Factors that may hinder:</p> <p>Lack of leadership and commitment at Board level Lack of doctor and BMA support for proposals</p>

Lack of infrastructure/system to support organisational capability.

Factors that may help:

Effective internal communication

All Wales implementation plan to ensure delivery of policy objectives and good practice

Form 2: Information Gathering

To complete this form, refer to guidance set out on Page 22 of the Toolkit

	Race	Disability	Gender	Gender Reassignment	Sexual Orientation	Age	Maternity and Pregnancy	Religion or Belief
Is the policy relevant to the public specific duties relating to each equality strand? Tick as appropriate (for a definition of Relevance, refer to Page 22)								
In other words, should the Policy:								
<ul style="list-style-type: none"> eliminate discrimination and eliminate harassment in relation to: 		✓	✓	✓	✓	✓	✓	✓
<ul style="list-style-type: none"> promote equality of opportunity in relation to: 		✓	✓	✓	✓	✓	✓	✓
<ul style="list-style-type: none"> promote good relationships and positive attitudes in relation to: 		✓	✓	✓	✓	✓	✓	✓
<ul style="list-style-type: none"> encourage participation in public life in relation to: 								
In relation to disability only, should the Policy take account of difference, even if it involves treating some individuals more favourably?		✓						

The Human Rights Act contains 15 rights, all of which NHS organisations have a duty to act compatibly with and to respect, protect and fulfil. The 6 rights that are particularly relevant to healthcare are listed below. For a fuller explanation of these rights and other rights in the Human Rights Act please refer to **Appendix A: The Legislative Framework**.

Depending on the Policy you are considering, you may find the examples below helpful in relation to the Articles.

	Yes	No
Consider, is the Policy relevant to:		
Article 2 : The right to life Examples: The protection and promotion of the safety and welfare of patients and staff; issues of patient restraint and control	<p>The proposals may be relevant to the protection of safety and welfare of patients and staff. In line with the Disability Discrimination Act it may be considered a reasonable adjustment to make special arrangements for a doctor with a disability in terms of their appraisal</p>	
Article 3 : The right not be tortured or treated in an inhuman or degrading way Examples: Issues of dignity and privacy; the protection and promotion of the safety and welfare of patients and staff; the treatment of vulnerable groups or groups that may	<p>Issues of dignity and respect and impact of</p>	

<p>experience social exclusion, for example, gypsies and travellers; Issues of patient restraint and control</p>	<p>inappropriate behaviours in the workplace.</p>	
<p>Article 5 : The right to liberty</p> <p>Examples: Issues of patient choice, control, empowerment and independence; issues of patient restraint and control</p>	<p>Potential for issues of patient choice and empowerment</p>	
<p>Article 6 : The right to a fair trial</p> <p>Example: issues of patient choice, control, empowerment and independence</p>	<p>Issue of fair decision making processes.</p>	

Protected Characteristics	Information Gathered
Race	There is no local or national research to inform the assessment.
Disability	There is no local or national research to inform the assessment.
Gender	There is no local or national research to inform the assessment.
Gender Reassignment	There is no local or national research to inform the assessment.
Sexual Orientation	There is no local or national research to inform the assessment.
Age	There is no local or national research to inform the assessment.
Religion or Belief	There is no local or national research to inform the assessment.
Pregnancy and Maternity	There is no local or national research to inform the assessment.
Welsh Language	There is no local or national research to inform the assessment.
Human Rights	<p>There is no local or national research to inform the assessment.</p> <p>General</p> <p>There are gaps in workforce data across all of the protected characteristics. Disaggregated</p>

workforce monitoring data is required to inform future policy review and assessment.

Form 3 : Assessment of Relevance and Priority

Equality Strand	Evidence: Existing Information to suggest some groups affected. Gathered from Step 2. (See Scoring Chart A)	Potential Impact: Nature, profile, scale, cost, numbers affected, significance. Insert one overall score (See Scoring Chart B)	Decision: Multiply 'evidence' score by 'potential impact' score. (See Scoring Chart C)
Race	1	+1	1
Disability	1	+1	1
Gender	1	+1	1
Gender reassignment	1	+1	1
Sexual Orientation	1	+1	1
Age	1	+2	2
Religion or Belief	1	+1	1
Maternity and Pregnancy	1	+2	2
Welsh Language	1	+1	1
Human Rights	1	+1	1 12 /10=1.2

Scoring Chart A: Evidence Available Decision

3	Existing data/research
2	Anecdotal/awareness data only
1	No evidence or suggestion

Scoring Chart B: Potential Impact

-3	High negative
-2	Medium negative
-1	Low negative

Scoring Chart C: Impact

-6 to -9	High Impact (H)
-3 to -5	Medium Impact (M)
-1 to -2	Low Impact (L)

0	No impact
+1	Low positive
+2	Medium positive
+3	High positive

0	No Impact (N)
1 to 9	Positive Impact (P)

Form 7 : Outcome Report

To complete this form, refer to guidance at Page 41 of the Toolkit

Organisation:	Welsh Assembly Government/NHS Wales/BMA
----------------------	---

Proposal Sponsored by:	Name:	Bruce Ferguson
	Title:	Chairman
	Department:	Revalidation and Appraisal Implementation Group

Policy Title:	All Wales Medical Appraisal Policy
----------------------	------------------------------------

Brief Aims and Objectives of Policy:	<p>This policy is applicable to all doctors, employed by the <i>Designated Body</i>, as well as to all medical independent contractors on the performers list, doctors in training, and locums.</p> <p>Appraisal is a professional, formative and developmental process. It is about identifying development needs, not performance management. It is a positive process to give doctors feedback on their past performance, to chart continuing progress and identify development needs.</p> <p>During their annual appraisals, doctors will use supporting information to demonstrate that they are continuing to meet the principles and values set out in <i>Good Medical Practice</i>.</p> <p>The objectives of medical appraisal in Wales are to:</p> <p>Provide individuals with an opportunity to:</p>
---	--

	<ul style="list-style-type: none"> • Reflect on their practice and their approach to medicine • Reflect on the supporting information they have gathered and what that information demonstrates about their practice • Identify areas of practice where they could make improvements or undertake further development • Demonstrate that they are up to date.. <p>Provide assurances to their organisation/s and to the public that doctors are remaining up to date across their whole practice.</p> <p>Provide a route to revalidation which builds on and strengthens existing systems with minimum bureaucracy.</p>
--	---

Was the decision reached to proceed to full Equality Impact Assessment?:	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
	Record Reasons for Decision: <ul style="list-style-type: none"> • The principles and values of the policy are grounded in the promotion of fair and equal treatment of doctors. 	
If no, are there any issues to be addressed?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
	Record Details:	

Is the Policy Lawful?	Yes ✓	No <input type="checkbox"/>

Will the Policy be adopted?	Yes ✓	No <input type="checkbox"/>
	If no, please record the reason and any further action required:	

Are monitoring arrangements in place?	Yes ✓	No <input type="checkbox"/>
	Refer to Action Plan (Form 8) Monitoring arrangements will be addressed through local application of all Wales implementation plan. Scrutiny and review of monitoring reports will be undertaken at regular intervals by the Responsible Officers and Boards.	

Who is the Lead Officer?	Name:	Bruce Ferguson
	Title:	Chair
	Department:	Revalidation and Appraisal Implementation Group
Review Date of Policy:	TBC	

Signature of all parties	Name	Title	Signature
	Andrew Davies		

Please Note: An Action Plan should be attached to this Outcome Report prior to signature

Form 8: Action Plan for All Wales Medical Appraisal Policy

	ACTION	WHO	HOW/ WHEN
Monitoring Arrangements			
How will the Policy be monitored?	Monitoring arrangements will be determined locally. Monitoring outcomes will be reported to Health Boards	Responsible Officers	Not less than annual reporting
What monitoring data will be collected?	Local implementation disaggregated against each protected equality characteristic (particularly gender, disability, pregnancy and maternity), and workplace/directorate. Also, organisations should monitor the number of related grievances.	Workforce and OD Directors/Responsible Officers	Ongoing