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Mr Simon Holmes  
Responsible Officer  
Portsmouth Hospitals NHS Trust

Dear Mr Holmes

**Medical Revalidation Annual Organisational Audit (AOA) Comparator Report  
for: 578 - Portsmouth Hospitals NHS Trust**

Thank you for submitting a response to the NHS England Annual Organisational Audit (AOA) exercise in April/May 2016. The AOA is one element of the Framework of Quality Assurance.

I enclose a report, which sets out your response to the AOA, as per your submission, in terms of the systems that your organisation has in place for implementing the Responsible Officer Regulations. It compares your organisation's submission with that of other designated bodies across England, both in a similar sector and nationwide. A more detailed Senior Responsible Owners annual report will be published in the autumn.

The AOA exercise is designed to help designated bodies assure themselves and their boards (or equivalent management bodies) that the systems underpinning the recommendations they make to the General Medical Council (GMC) on doctors' fitness to practise, and the arrangements for medical appraisal and responding to concerns, are in place and functioning effectively. Similarly, it provides a mechanism for assuring NHS England, as the Senior Responsible Owner for implementation of the Responsible Officer Regulations in England, that systems are functioning, effective and consistent.

In this the third year of the AOA, and the seventh consecutive year of monitoring preparedness for, and the implementation of, medical revalidation, I am pleased to report a continuing upward trend, not only in the overall appraisal rate, but also the improvement of the system in general. I would like to thank you once again for your continued work to ensure that rigorous revalidation and clinical governance processes are in place across the healthcare system.

On reviewing the results presented below, designated bodies should produce an action plan to address any development needs that are identified. Should you need support in improving any element of your system in relation to revalidation, your local revalidation team (contact details below) can provide assistance.

Your higher level responsible officer	Mr Nigel Acheson
Your local revalidation team's lead contact	Ros Crowder
Your local revalidation team's contact details	england.revalidation-south@nhs.net

Board-level accountability for the quality and effectiveness of these systems is important and this report, along with the resulting action plan, should be presented to the board, or an equivalent management body. Including the report in an NHS organisation's Quality Account is also good practice.

This letter has been sent to the responsible officer recorded in the AOA return at 31 March 2016. If you are no longer the responsible officer, please pass this report on to the new responsible officer immediately, or to the Chief Executive of the organisation. If there are any changes to notify, or you have any queries, please contact your local revalidation team.

Please note that for transparency and openness, your submitted AOA return will be shared with your higher level responsible officer and some elements of the return will be shared with the appropriate regulatory bodies. A full report including the anonymised results of all organisations involved in this AOA exercise will be published in the autumn. Thank you for providing assurance to your higher level RO, and the Senior Responsible Owner for revalidation, of your processes.

Further information on revalidation can be found at [www.england.nhs.uk/revalidation](http://www.england.nhs.uk/revalidation)

Yours sincerely

**Simon Bennett**  
Senior Responsible Owner  
Director - Clinical Policy and Professional Standards

cc: Your higher level responsible officer

cc: Your local revalidation team's lead contact

**YOUR ANNUAL ORGANISATIONAL AUDIT**

Analysis is based on the total of 769 returns from designated bodies (DBs) to the 2015/16 Annual Organisational Audit (AOA) exercise for the year ending 31 March 2016 which had been received by NHS England by 29 July 2016

**The following information is presented as per your own AOA submission.**

Name of designated body:	Portsmouth Hospitals NHS Trust
Name of responsible officer:	Mr Simon Holmes
Sector:	Acute hospital/secondary care non-foundation trust
Prescribed connection to:	NHS England (Regional Team - South)

**Please note:**

a) In some instances, data was not suitable for comparative reporting. In these cases your own response may be reported, but comparative data is not. An explanation is given for this within the report. If you require further information on these areas, please contact your local revalidation lead:

Ros Crowder at [england.revalidation-south@nhs.net](mailto:england.revalidation-south@nhs.net).

b) Only the questions asked are presented below. Please refer to AOA 2015/16 for the full indicator definitions if required.

2015/16 AOA indicator  SECTION 1: The Designated Body and the Responsible Officer		Your organisation's response	Same sector: DBs in sector: 55	All sectors: Total DBs: 769
		Your organisation's response	No. of DBs in same sector and (%) that said 'Yes'	No. of DBs in all sectors and (%) that said 'Yes'
1.4	A responsible officer has been nominated/appointed in compliance with the regulations.	Yes	55 (100.0%)	769 (100.0%)
1.5	Where a conflict of interest or appearance of bias has been identified and agreed with the higher level responsible officer; has an alternative responsible officer been appointed?	N/A	This question is not applicable to many DBs	
1.6	In the opinion of the responsible officer, sufficient funds, capacity and other resources have been provided by the designated body to enable them to carry out the responsibilities of the role.	Yes	55 (100.0%)	755 (98.2%)
1.7	The responsible officer is appropriately trained and remains up to date and fit to practice in the role of responsible officer.	Yes	54 (98.2%)	758 (98.6%)
1.8	The responsible officer ensures that accurate records are kept of all relevant information, actions and decisions relating to the responsible officer role.	Yes	54 (98.2%)	764 (99.3%)
1.9	The responsible officer ensures that the designated body's medical revalidation policies and procedures are in accordance with equality and diversity legislation.	Yes	54 (98.2%)	755 (98.2%)

<b>2015/16 AOA indicator</b> <b>SECTION 1 (cont.): The Designated Body and the Responsible Officer</b>		<b>Your organisation's response</b>	<b>Same sector: DBs in sector: 55</b>	<b>All sectors: Total DBs: 769</b>
		Your organisation's response	No. of DBs in same sector and (%) that said 'Yes'	No. of DBs in all sectors and (%) that said 'Yes'
1.10	The responsible officer makes timely recommendations to the GMC about the fitness to practise of all doctors with a prescribed connection to the designated body, in accordance with the GMC requirements and the GMC Responsible Officer Protocol.	Yes	55 (100.0%)	762 (99.1%)
1.11	The governance systems (including clinical governance where appropriate) are subject to external or independent review.	Yes	55 (100.0%)	744 (96.7%)
1.12	The designated body has commissioned or undertaken an independent review* of its processes relating to appraisal and revalidation. (*including peer review, internal audit or an externally commissioned assessment)	Yes	46 (83.6%)	569 (74.0%)

2015/16 AOA indicator SECTION 2: Appraisal		Your organisation's response	Same sector: DBs in sector: 55	All sectors: Total DBs: 769
2.1	Number of doctors with whom the designated body has a prescribed connection as at 31 March 2016	No. of doctors (in organisation)	Total no. of doctors (in SAME sector)	Total no. of doctors (across ALL sectors)
2.1.1	Consultants	394	14853	49289
2.1.2	Staff grade, associate specialist, specialty doctor	27	3810	11593
2.1.3	Doctors on Performers Lists	0	2	45540
2.1.4	Doctors with practising privileges	0	2	1703
2.1.5	Temporary or short-term contract holders	101	3969	16544
2.1.6	Other doctors with a prescribed connection to this designated body	0	81	6640
2.1.7	<b>Total number of doctors with a prescribed connection</b>	522	22717	131309

2015/16 AOA indicator SECTION 2 (cont): Appraisal		Your organisation's response	Same sector: DBs in sector: 55	All sectors: Total DBs: 769
		Completed appraisals (1a & 1b)		
2.1	Number of doctors with whom the designated body has a prescribed connection on 31 March 2016 who had a completed annual appraisal between 1 April 2015 – 31 March 2016	Your organisation's response and (%) calculated appraisal rate	Same sector appraisal rate	ALL sectors appraisal rate
2.1.1	Consultants	380 (96.4%)	91.2%	89.7%
2.1.2	Staff grade, associate specialist, specialty doctor	26 (96.3%)	82.9%	83.8%
2.1.3	Doctors on Performers Lists	N/A	100.0%	93.0%
2.1.4	Doctors with practising privileges	N/A	100.0%	85.4%
2.1.5	Temporary or short-term contract holders	87 (86.1%)	73.7%	75.7%
2.1.6	Other doctors with a prescribed connection to this designated body	N/A	39.5%	81.1%
2.1.7	<b>Total number of doctors who had a completed annual appraisal</b>	493 (94.4%)	86.6%	88.1%

2015/16 AOA indicator SECTION 2 (cont): Appraisal		Your organisation's response	Same sector: DBs in sector: 55	All sectors: Total DBs: 769
		Approved incomplete or missed appraisal (2)		
2.1	Number of doctors with whom the designated body has a prescribed connection on 31 March 2016 who had an Approved incomplete or missed appraisal between 1 April 2015 – 31 March 2016	Your organisation's response and (%) calculated appraisal rate	Same sector appraisal rate	ALL sectors appraisal rate
2.1.1	Consultants	7 (1.8%)	4.2%	5.5%
2.1.2	Staff grade, associate specialist, specialty doctor	1 (3.7%)	8.1%	9.2%
2.1.3	Doctors on Performers Lists	N/A	0.0%	5.4%
2.1.4	Doctors with practising privileges	N/A	0.0%	9.2%
2.1.5	Temporary or short-term contract holders	4 (4.0%)	15.3%	12.6%
2.1.6	Other doctors with a prescribed connection to this designated body	N/A	21.0%	13.7%
2.1.7	<b>Total number of doctors who had an approved incomplete or missed appraisal</b>	12 (2.3%)	6.9%	7.2%



2015/16 AOA indicator SECTION 2 (cont): Appraisal		Your organisation's response	Same sector: DBs in sector: 55	All sectors: Total DBs: 769
		<b>Unapproved incomplete or missed appraisal (3)</b>		
2.1	Number of doctors with whom the designated body has a prescribed connection on 31 March 2016 who had an Unapproved incomplete or missed annual appraisal between 1 April 2015 – 31 March 2016	Your organisation's response and (%) calculated appraisal rate	Same sector appraisal rate	ALL sectors appraisal rate
2.1.1	Consultants	7 (1.8%)	4.5%	4.8%
2.1.2	Staff grade, associate specialist, specialty doctor	0 (0%)	9.1%	7.0%
2.1.3	Doctors on Performers Lists	N/A	0.0%	1.6%
2.1.4	Doctors with practising privileges	N/A	0.0%	5.3%
2.1.5	Temporary or short-term contract holders	10 (9.9%)	11.0%	11.7%
2.1.6	Other doctors with a prescribed connection to this designated body	N/A	39.5%	5.1%
2.1.7	<b>Total number of doctors who had an unapproved incomplete or missed annual appraisal</b>	17 (3.3%)	6.5%	4.8%

2015/16 AOA indicator SECTION 2 (cont.): Appraisal		Your organisation's response	Same sector: DBs in sector: 55	All sectors: Total DBs: 769
		Your organisation's response	No. of DBs in same sector and (%) that said 'Yes'	No. of DBs in all sectors and (%) that said 'Yes'
2.2	Every doctor with a prescribed connection to the designated body with a missed or incomplete medical appraisal has an explanation recorded.	Yes	This question is not applicable to many DBs	
2.3	There is a medical appraisal policy, with core content which is compliant with national guidance, that has been ratified by the designated body's board (or an equivalent governance or executive group).	Yes	54 (98.2%)	742 (96.5%)
2.4	There is a mechanism for quality assuring an appropriate sample of the inputs and outputs of the medical appraisal process to ensure that they comply with GMC requirements and other national guidance, and the outcomes are recorded in the annual report template.	Yes	53 (96.4%)	745 (96.9%)
2.5	There is a process in place for the responsible officer to ensure that key items of information (such as specific complaints, significant events and outlying clinical outcomes) are included in the appraisal portfolio and discussed at the appraisal meeting, so that development needs are identified.	Yes	49 (89.1%)	734 (95.4%)
2.6	The responsible officer ensures that the designated body has access to sufficient numbers of trained appraisers to carry out annual medical appraisals for all doctors with whom it has a prescribed connection.	Yes	53 (96.4%)	753 (97.9%)
2.7	Medical appraisers are supported in their role to calibrate and quality assure their appraisal practice.	Yes	51 (92.7%)	739 (96.1%)

2015/16 AOA indicator		Your organisation's response	Same sector: DBs in sector: 55	All sectors: Total DBs: 769
SECTION 3: Monitoring Performance and responding to concerns				
SECTION 4: Recruitment and Engagement		Your organisation's response	No. of DBs in same sector and (%) that said 'Yes'	No. of DBs in all sectors and (%) that said 'Yes'
3.1	There is a system for monitoring the fitness to practice of doctors with whom the designated body has a prescribed connection.	Yes	53 (96.4%)	752 (97.8%)
3.2	The responsible officer ensures that a responding to concerns policy is in place (which includes arrangements for investigation and intervention for capability, conduct, health and fitness to practice concerns) which is ratified by the designated body's board (or an equivalent governance or executive group).	Yes	53 (96.4%)	741 (96.4%)
3.3	The board (or an equivalent governance or executive group) receives an annual report detailing the number and type of concerns and their outcome.	Yes	53 (96.4%)	749 (97.4%)
3.4	The designated body has arrangements in place to access sufficient trained case investigators and case managers.	Yes	52 (94.5%)	710 (92.3%)
4.1	There is a process in place for obtaining relevant information when the designated body enters into a contract of employment or for the provision of services with doctors (including locums).	Yes	54 (98.2%)	753 (97.9%)

<b>2015/16 AOA indicator SECTION 5: Comments</b>	<b>Your organisation's response</b>
5.1	