



GIG
CYMRU
NHS
WALES

Iechyd Cyhoeddus
Cymru
Public Health
Wales

Reference Number: xxxx
Version Number: v0c
Date of next review: xxx

Appraisal and Revalidation Policy – UKPHR Specialist Registrants

Policy Statement

It is the policy of Public Health Wales (PHW) to support all UK Public Health Register (UKPHR) specialist registrants to successfully revalidate ensuring assurance of competence of public health practice.

It is the policy of PHW to ensure effective arrangements exist to facilitate professional appraisal and revalidation for all such employees in a fair and consistent manner.

Supporting Procedures and Written Control Documents

[All Corporate policies and procedures are available on the Public Health Wales Website](#)

Impact

Assessments

Approved by

Approval Date

Review Date

Date of Publication:

TBC

Group with authority to approve supporting procedures

PODCOM

Accountable Executive Director/Director

Professor KHAW Fu Meng, Executive Medical Director
Neil Lewis, Executive HR Director

Author

Ruth Tofton, Business/Workforce Development Manager, Office of the Medical Director (OMD)

Disclaimer

If the review date of this document has passed please ensure that the version you are using is the most up to date either by contacting the document author or the [Board Business Unit](#).

This is a controlled document, the master copy is retained by the Board Business Unit

Whilst this document may be printed, the electronic version posted on the internet is the master copy. Any printed copies of this document are not controlled. This document should **not** be saved onto local or network drives but should always be accessed from the [internet](#).

Summary of reviews/amendments

Version number	Date of Review	Date of Approval	Date published	Summary of Amendments

CONTENTS

1. Policy Statement
2. Scope of policy
3. Objectives of appraisal
4. Key principles
5. Professional appraisal in the context of revalidation
6. Accountability, roles and responsibilities
7. Managing exceptions
8. Integration between appraisal and other quality and safety systems
9. Confidentiality
10. General Data Protection Regulation (GDPR) 2018
11. Freedom of Information Act 2000
12. Equality and Diversity
13. Review
14. Monitoring
15. Approval

1. Policy Statement

1.1 It is the policy of Public Health Wales (PHW) to support all UK Public Health Register (UKPHR) specialist registrants to successfully revalidate ensuring assurance of competence of public health practice.

1.2 It is the policy of PHW to ensure effective arrangements exist to facilitate professional appraisal and revalidation for all such employees in a fair and consistent manner.

2. Scope of Policy

2.1 This policy is applicable to all UKPHR specialist registrants, employed by PHW.

2.2 PHW will wish to monitor and have an interest in the outcome of the specialist's revalidation to ensure that its duties as PHW are discharged.

3. Objectives of revalidation

3.1 Specialist revalidation with UKPHR gives an assurance of competence of public health practice at the time of registration. It is a means of ensuring that registrants focus on maintaining and enhancing the quality of service they provide and, improving their public health practice whilst registered, to ensure they continue to meet standards. Revalidation also complements existing systems for identifying any potential issues relation to registrants' fitness to practise.

3.2 Revalidation is intended to be a process, not merely a test at a single point in time, by which UKPHR, the public and others can be assured that all UKPHR's registrants maintain and build on the competence they demonstrated when they first achieved their registration.

3.3 UKPHR Specialist registrants are required to undertake revalidation once every five years. The requirements of revalidation for UKPHR specialist registrants are aligned as closely as possible to those of medical practitioners on the General Medical Council's (GMC) Public Health Specialist Register.

3.4 The mandatory requirements of UKPHR revalidation are:

- Confirmation of engagement in annual Professional Appraisal
- Confirmation of engagement in annual Personal Development Planning (PDP)
- Health & Conduct declaration
- Confirmation of Professional Indemnity arrangements

- Evidence of Continuing Professional Development (CPD) within a five-year registration cycle
- Colleague Feedback – demonstrated by completion of a 360-feedback report completed within a five-year registration cycle using a tool approved by UKPHR. You can find a list of tools approved by UKPHR [here](#)
- Confirmation of Compliance via reference

3.5 Further details on the requirements can be found in the UKPHR policy for the Revalidation of Specialist Registrants (June 2023)¹ and in further Guidance for Revalidation of UKPHR Specialist Registrants (August 2023)².

4. Key Principles

4.1 Professional appraisal is an annual requirement (in most cases contractual) for all specialist registrants. It should be a positive process which adds value for the individual and the organisation without being unnecessarily burdensome.

4.2 Specialist registrants employed by PHW and/or based in Wales, will undertake the same professional appraisal process as medical colleagues. This is the professional appraisal system administered by Health Education and Improvement Wales (HEIW) through its Medical Appraisal Revalidation System (MARS). This system is open to all specialists in public health irrespective of employer. On the completion of each annual professional appraisal, the MARS system will facilitate a UKPHR specialist to access and download an ‘appraisal summary’ which can be used for the purpose of a UKPHR revalidation submission. It is the UKPHR specialists’ personal responsibility to access the relevant ‘appraisal summary’ and submit this to UKPHR, as part of a revalidation submission, in the prescribed way.

4.3 Annual professional appraisal for every UKPHR specialist registrant will be based on a system which reflects the UKPHR’s Code of Conduct, Good Public Health Practice and GMC’s Good Medical Practice framework. This core set of supporting information required for appraisal for the purposes of revalidation is defined by UKPHR in their Guidance for Revalidation of UKPHR Specialist Registrants document. Each professional appraisal discussion should reflect the seven requirements of UKPHR’s revalidation scheme (outlined above). Professional appraisers will need to see supporting information and evidence relating to each of these requirements. Any additional guidance provided, for example by the Royal Colleges, is advisory only for the purpose of revalidation.

¹ [Revalidation-Policy-Specialists-June-2023.pdf \(ukphr.org\)](#)

² [Revalidation-Guidance-Specialists-August-2023.pdf \(ukphr.org\)](#)

4.4 It is good practice for all members of the public health workforce to be involved in personal development planning in relation to their work. UKPHR will require specialist registrants to plan their personal development annually.

4.4 Appraisal is a professional process. All appraisers must have received appropriate professional appraisal training and must keep these skills up to date through regular refresher training.

4.5 It is the professional and ethical responsibility of each appraisee and their appraiser to ensure that there are no conflicts of interest in the conduct of the professional appraisal. If, however, your professional appraisal is conducted by an appraiser who is also your line manager, this is not an automatic bar and this would need to be declared when submitting your application for revalidation.

4.5 Professional appraisal and management (work-based) appraisal are separate processes, although each process should inform the other and some information will need to flow between them. It is a requirement of PHW employees to undertake an annual work-based appraisal. The UKPHR revalidation scheme makes no requirement in respect of work-based appraisal but there are crossovers between work-based and professional appraisal, e.g. personal development planning. Therefore, UKPHR may ask questions relating to work-based appraisal in the revalidation process but, an absence of work-based appraisal, will not be a bar to completing the revalidation process.

4.6 Appraisal will be subject to whole system quality management which will include minimum levels of quality assurance.

5. Professional appraisal in the context of revalidation

5.2 UKPHR has referenced a number of documents which describe revalidation and the requirements of professional appraisal in this context:

- *UKPHR's Code of Conduct* – highlights the Code's central role in the core public health workforce's practice and encourages registrants to consider how it applies in their everyday practice.
- *Good Public Health Practice (2nd Edition 2016)* – publication by Faculty of Public Health/UKPHR which sets out the standards which apply to the public health practice of all UKPHR's registrants.
- *Good Medical Practice (2023)* – publication by General Medical Council (GMC) which defines the principles and values on which doctors should base their practice.
- *Guidance - Revalidation of UKPHR's Specialist registrants* – assists specialist registrants whether revalidation is required and, if so, with which requirements they must comply.
- *UKPHR's policy for the revalidation of Specialist Registrants*

All of these documents, as well as further information, are available via the UKPHR's website: [Revalidation - UK Public Health Register \(ukphr.org\)](http://ukphr.org)

6. Accountability, roles and responsibilities

6.1 For all specialists, annual professional appraisal is a personal /professional responsibility. It is a requirement of revalidation. For most individuals it is a contractual requirement, and/or a requirement of continued employment with PHW.

6.2 The UKPHR's revalidation scheme has no base in legislation, there is no system of Responsible Officer (RO) to support the confirmation role, unlike the GMC's revalidation scheme. For this reason, UKPHR requires specialist registrants seeking revalidation to provide a completed reference. It is the registrant's responsibility to seek a reference and ensure the form is completed, providing it to UKPHR at the time of revalidation along with their application. The reference form must be completed by the registrant's line manager. If the registrant does not have a line manager, it can be completed by the most recent professional appraiser. To maintain objectivity, the referee cannot have any close links with the specialist registrant i.e., someone who you have a personal relationship with such as family and friends.

6.3 Appraisers are responsible for maintaining their own skills in this role (e.g., through taking up approved training), preparing for and facilitating appraisal discussions and producing the appraisal summary and PDP in line with agreed quality criteria.

6.4 Appraisal leads, where appointed, provide support regarding the management and governance of appraisal, managing appraisers locally and supporting the revalidation team within their organisation's structure. Appraisal Leads are responsible for maintaining their own skills in this role as required.

6.5 Appropriate leadership, support and ongoing development will be provided for appraisers and Appraisal Leads, usually by (or via) PHW.

7. Managing non-engagement

7.1 Whilst support and guidance will be provided by the Office of the Medical Director (OMD), should specialist registrants fail to complete their professional appraisal within the required timeframes, there may be a requirement to carry out an initial assessment under the All Wales Disciplinary Procedure and Policy. Engagement in the revalidation process is a requirement of employment for specialist registrants employed in PHW.

8. Integration between professional appraisal and other quality and safety systems

8.1 Clinical governance information plays a key role in the supporting information for professional appraisal and revalidation. Specialist registrants, as part of professional appraisal, are required to include evidence of quality improvement activity which may include clinical audit, significant event analysis, or other quality improvement activity as suggested by UKPHR. It is the specialist registrant's role to ensure this information is included in their supporting information, but PHW also has a role to play in ensuring this information is as accessible as possible.

8.2 Professional appraisal, performance management and rehabilitation/remediation are separate systems which fulfil separate purposes, while all contributing to overall clinical governance and the wider quality and safety agenda. However, for specialist registrants to be properly supported and for revalidation to operate effectively and fairly, it is essential there are clear, consistent, and transparent links and information flows between these systems.

8.3 Specialist registrants should have an opportunity to discuss at their professional appraisal any factors constraining their ability to deliver their roles or progress their PDP. It is best practice for PHW to collate these constraints and issues of workplace governance reported in professional appraisal summaries, and feed these into their workplace governance processes.

8.4 Professional appraisal and CPD are closely linked. Specialist registrants are required to bring evidence of CPD relating to their practice to their professional appraisal, and one of the key outputs of a professional appraisal is the PDP. It is best practice for PHW to collate the agreed development needs reported in professional appraisal summaries, and to describe in their local training strategies the links between these identified development needs, and organisational development activity.

8.5 Colleague and patient feedback systems will comply with the UKPHR's *Guidance on Revalidation of UKPHR's Specialist registrants*.

9. Confidentiality

9.1 The professional appraisal discussion is a discussion between colleagues regarding the appraisee's development and remains confidential.

9.2 A sample of professional appraisal outputs (appraisal summary and PDP) will be reviewed anonymously for quality assurance purposes via a national exercise and/or local process.

9.3 All professional appraisal outputs (appraisal summary and PDP) will be subject to appropriate quality assurance.

9.4 It remains the case that should information come to light in the professional appraisal discussion which raises concerns about fitness to practise or patient safety, the appraiser has a professional responsibility to escalate the issue in accordance with the appropriate Fitness to Practise Policy.

9.5 All PHW employed specialist registrants are required to use MARS³ which is governed by specific Terms and Conditions of Use for MARS⁴, including confidentiality, to which all users agree at registration, and on allocation of additional roles within the system.

10. General Data Protection Regulation (GDPR) 2018

The All Wales Information Governance Policy will cover professional appraisal and revalidation.

11. Freedom of Information Act 2000

All PHWs' records and documents, apart from certain limited exemptions, can be subject to disclosure under the Freedom of Information Act 2000. Records and documents exempt from disclosure would, under most circumstances, include those relating to identifiable individuals arising in a personnel or staff development context. Details of the application of the Freedom of Information Act within PHW may be found on the PHWs' website.

12. Equality and Diversity

12.1 PHWs' commitment to diversity and inclusion will apply to professional appraisal and revalidation.

12.2 This policy has been impact assessed to ensure that it promotes equality and human rights. The assessment was undertaken using the toolkit of the NHS Centre for Equality and Human Rights and completed on 10/4/24.

13. Review

This policy will be reviewed every five years. Earlier review may be required in response to exceptional circumstances, organisational change or relevant changes in legislation or guidance.

³ <https://marswales.org/>

⁴ <https://marswales.org/>

14. Monitoring

It is the responsibility of PHW to monitor local compliance with this policy.

15. Designated Body Approval

This section to be completed by the Designated Body as appropriate

Signatures / Dates