

Delivery date: _____

Evidence if delivery is delayed: _____

Effect on objective or workload: _____

Agreed adjustment: _____

At review, distinguish performance within the doctor's control from an outcome prevented by an unmet dependency. Record changed circumstances prospectively. Do not leave the objective unchanged and later treat the missing organisational input as evidence that the doctor failed. If patient safety is affected, use the appropriate governance route rather than waiting for pay progression or the next annual job-plan cycle.

Appendix C Appraisal and professional portfolio toolkit

Tool C1 twelve week preparation plan

Begin early enough to correct scope and access problems without turning the final week into document collection.

Twelve to nine weeks before:

- confirm appraiser, date, designated body and responsible officer connection;
- review the whole scope of practice, including separate employers and professional roles;
- check which supporting information is due and which evidence cycle applies;
- request missing feedback, authorised activity information or role confirmation; and
- identify any active process requiring separate advice.

Eight to five weeks before:

- select proportionate evidence across the whole scope;
- update the previous personal development plan honestly;
- write concise reflections focused on learning and change;
- remove unnecessary identifiers and check sharing permissions; and
- discuss reasonable adjustments or practical support early.

Four to two weeks before:

- complete the required submission on the approved system;
- check that attachments open and dates are correct;
- explain gaps rather than filling them with weak material;
- identify three matters that need a genuine appraisal conversation; and
- retain confirmation of submission.

After appraisal:

- read the summary before agreeing it;
- correct factual inaccuracies promptly;
- record the personal development plan and dependencies;
- preserve the agreed output in an authorised location; and
- schedule actions and the next evidence review.

Tool C2 whole practice scope record

Role or appointment: _____

Organisation and nation: _____

Dates and working pattern: _____

Clinical or professional duties: _____

Governance, supervision and indemnity arrangements: _____

Information included in this appraisal: _____

Information not yet available, with reason: _____

Material change or risk to discuss: _____

Repeat this record for every place in which a licence is used, including occasional and independent work. If a role has ended, record its end date and relevant unresolved follow-through.

Tool C3 core evidence index

Create one entry for each useful item. The index may point to an approved location rather than contain the document itself.

Evidence identifier: _____

Activity title and dates: _____

Scope or role concerned: _____

Your contribution: _____

What the item directly demonstrates: _____

Possible purpose: appraisal / job plan / progression / recruitment / Portfolio Pathway / other

Source location and access restriction: _____

Status: draft / approved / superseded / verification required

Permission or anonymisation action: _____

Missing complementary evidence: _____

Review or archive date: _____

Tool C4 structured reflection

Use the event or information as a prompt for learning, not as an invitation to reproduce confidential detail.

What was the professional situation, described without unnecessary identifiers?

What did I notice, decide or contribute?

What evidence or feedback challenged my first interpretation?

What did I learn about my practice, team or system?

What changed, or what will I test next?

How will I know whether the change is useful and sustained?

What should remain a separate incident, complaint, employment or legal response?

Tool C5 PDP builder

Development need: _____

Why it matters to current or intended scope: _____

Specific action by the doctor: _____

Opportunity, time, supervision or resource required: _____

Person responsible for providing that support: _____

Evidence of progress: _____

Target and interim review dates: _____

Alternative if the opportunity is unavailable: _____

Outcome at review: complete / partly complete / changed / discontinued

Learning and next decision: _____

Avoid making attendance the outcome unless attendance itself is the genuine need. A stronger outcome explains what new capability, change in practice or tested contribution should result. Preserve dependencies so that an organisational failure to provide agreed access is not rewritten as personal non-achievement.

Tool C6 portfolio maintenance cycle

Each quarter:

- update scope and appointment changes;
- index a small number of meaningful items;
- record contribution and outcome while they can still be verified;
- request authorised summaries before access is lost;
- review evidence gaps against intended destinations; and
- remove unnecessary duplicates through the approved process.

At career change:

- separate personal professional records from organisational records;
- arrange lawful retention or later access;
- obtain factual confirmation of roles and contributions;
- export agreed appraisal outputs in a readable form;
- check future appraisal and responsible-officer connection; and
- update the portfolio so former responsibilities do not appear current.

The portfolio is ready when it supports an honest answer efficiently. Volume is not a completion measure. Appraisal acceptance does not prove that the same item meets a recruitment or Portfolio Pathway standard.

Tool C7 evidence quality review

Select one important claim and test the chain supporting it.

Claim stated in one sentence: _____

Primary record of the activity: _____

My identifiable contribution: _____

Result or present status: _____

Independent confirmation and basis of knowledge: _____

Learning or change in practice: _____

Limitation that a fair reader should know: _____

Next evidence needed: _____

Strong verbs require specific support. “Led”, “designed”, “implemented”, “assessed” and “supervised” are different claims. If the evidence shows contribution rather than sole leadership, change the verb. If a result belongs to a team, describe the team result and your part in it.

Tool C8 confidentiality and sharing check

Before copying or uploading any material, ask:

- Does it contain direct or indirect patient identifiers?

- Could a colleague, complainant or small service be recognised from the combination of facts?
- Is the document an organisational record, and do I have authority to retain or share it?
- Can an approved aggregate summary demonstrate the point instead?
- Does the recipient require the whole document or only an extract?
- Is the transfer method approved and access appropriately restricted?
- Has the material been checked after redaction rather than assumed safe?

Document and intended recipient: _____

Permission or lawful route: _____

Identifiers or contextual clues removed: _____

Approved location and retention review: _____

Do not place sensitive material into a public website, general-purpose browser form or unapproved artificial-intelligence service. Anonymisation is not achieved merely by removing a name if the remaining facts permit re-identification. Where doubt remains, seek information-governance advice before copying.

Tool C9 appraisal conversation brief

The submission provides evidence; the brief protects the purpose of the conversation.

Three matters I need to think through:

1. _____
2. _____
3. _____

Change in scope or responsibility: _____

Success or difficulty I may be underplaying: _____

Feedback that requires exploration: _____

Support or development that depends on my employer: _____

Matter that belongs to another process: _____

The appraiser can help reflection and development but cannot necessarily determine a contractual dispute, investigate an incident or promise an employment resource. Name these boundaries so that the appraisal summary records an appropriate action rather than an apparent resolution.

Tool C10 closing an evidence year

At the end of the cycle, create a short index of agreed outputs, completed objectives, incomplete work and material carried forward. Explain why an item remains open. Archive superseded drafts according to organisational rules, and retain the approved version or a lawful reference to it. Confirm that links work outside the soon-to-close appraisal year.

Year reviewed: _____

Most important demonstrated change: _____

Objective carried forward and reason: _____

Evidence requiring future confirmation: _____

Scope change for next year: _____

Date of next quarterly review: _____

A concise closing record protects continuity when the appraiser, employer or platform changes. It also prevents an unfinished project from being presented next year as either a new activity or an unexplained failure.

Tool C11 evidence selection test

Before adding an item to a submission, answer five questions:

1. Which requirement or appraisal discussion does it support?
2. What does it demonstrate directly, and what requires explanation?
3. Is it current enough for this purpose?
4. May it lawfully and professionally be shared in this form?
5. Would a shorter authorised summary answer the question better?

Item: _____

Decision or discussion supported: _____

Reason included: _____

Reason excluded or replaced: _____

Conversely, an elegant reflection cannot replace evidence of an activity where the receiving process requires it.

Tool C12 deletion archive and access review

Folder or platform reviewed: _____

Active material retained: _____

Superseded duplicates handled under: _____

Material requiring organisational retention: _____