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e-Appraisal – the background

The e-Appraisal system is designed to help you complete your annual appraisals in line with the requirements of revalidation and help the Responsible Officer (RO) see how doctors are progressing towards revalidation. It also enables the person managing the appraisals at the trust to oversee the whole appraisal process.

The e-Appraisal system has an online version of the Revalidation Support Team’s MAG model appraisal form together with easy to follow workflows and reminders to help you and your appraiser complete the appraisal process in a timely manner.

Underpinning the system is a powerful document management system that facilitates the collecting, uploading and organising of supporting information that is required to be collected over the 5 year revalidation cycle in a quick and secure way. You can then make that information available to both your appraiser and responsible officer quickly and easily when required.

In addition, as part of the Consultant Portal it provides the ability for you to organise your medical HR administration relating to job planning, leave, appraisal & revalidation and 360 colleague & patient feedback all in one place.
Where and how is the information stored?

The e-Appraisal software has a number of users roles built into it. Different users have different levels and rights to the information stored in the doctor’s e-Appraisal account. This manual is written for doctor users.

Each doctor can choose a named trust administrator who has access to their portfolio. This nominated trust administrator has access to all the doctors’ information apart from the content of private documents. The trust administrator can upload supporting information to a doctor’s account.

Doctor users only have access to their own information. Doctor users can view all of their own documentation, both non-private and private.

A doctor user can nominate a secretary or someone who can access the account on their behalf. This role has been created so that they can upload supporting information into the portfolio on the doctor’s behalf. A user with a secretary role can only view the summary details of private documents, such as the document type or name. They cannot view the content of private documents.

Doctors can also have an appraiser role. During the appraisal year in question, an appraiser has full access to the doctor’s account and can view all documentation from previous years and all private documentation. However, once the appraisal has been signed off, the doctor’s portfolio can no longer be accessed.

The Responsible Officer role has access to all the doctors’ information including the content of doctor’s private documentation.

The supporting information is held on servers in Reading provided by 2E2, a recognised internet service provider (ISP) on the NHS Managed Services framework. The communication to and from the servers is encrypted by utilising Advanced Encryption Standard to encode its TCP/IP based client/server socket communications.
1 Getting started

1.1 LOGGING IN

Once your e-Appraisal module has been activated, you will be sent an email with your username and password. If you already use another module within the Consultant Portal then you can continue to use your existing login details.

To log in to the Consultant Portal, open up your browser window and type in the following web address: www.zircadian.com. Towards the top left hand side of the screen, click log in to your consultant portal.

You should have recently received an email with your username and password. Enter these details into the appropriate fields, remembering that your password is case sensitive.

If you have logged in previously, you will need to enter the password you chose upon your first login.

1.2 LOGGING IN FOR THE FIRST TIME

When you login for the first time you will be asked to confirm your own personal details held in the system. Any personal details already held in the system for you would have been passed to Zircadian by your Trust during the implementation phase. Make any changes as necessary, and then enter a new password (minimum of 6 characters including 1 numeric) and click save.

1.3 ASSESSING THE E-APPRAISAL MODULE

Once you have successfully logged in to the Consultant Portal, you will need to select e-Appraisal from the module menu bar running across the top of the screen.
1.4 Confirming your e-Appraisal Details

Before you can begin using the e-Appraisal module you will be presented with a page that requires you to confirm certain details. Many of these details will have been pre-populated by your trust administrator. If any of these details are incorrect, you will need to indicate that you don’t agree, and then use the message box provided to inform your trust administrator. If this is the case, you will need to wait until your administrator updates your account before continuing. If your details are correct, you should agree and then select the submit button.

Those appraisers who do not have a clinical role within the Consultant Portal will not be required to complete this stage.

The appraiser role within e-Appraisal allows users to track the progress of those doctors they are responsible for, view doctor’s appraisal forms and complete the post appraisal sections of the form.
2 Completing your appraisal form

2.1 My Appraisal

The My Appraisal page is an appraisal form that has been based on the Revalidation Support Team’s MAG model appraisal form which is designed with the appraisal meeting in mind, in a logical manner that mirrors how the appraisal conversation may flow.

All aspects of a medical practitioner’s role can be, and should be, detailed within this form, including clinical, managerial and academic work, research, private practice, locum work and voluntary roles.

You should complete up to and including section 15, “Pre-Appraisal Preparation”. Sections 16, 17 and 18 are to be completed during and immediately after the appraisal meeting by both you and your appraiser.

Your Appraiser can only access the Appraisal form once it has been completed and you have confirmed the completion statement in the “Pre-appraisal Preparation” section of the Appraisal form.

The section “Appraisal process – summary of workflows” provides further details about the appraisal workflow in the system.

Please note: According to the Operating Statement Analysis Report (OSAR 2010), a completed appraisal is one where the appraisal meeting takes place within the appraisal year and the appraisal summary and personal development plan (PDP) is signed off within 28 days of the meeting. If this is overrun the appraisal is deemed to be incomplete.
2.2  **TIPS FOR COMPLETING THE FORM**

- The 🎨 help icon in various sections of the appraisal form provides details about what information should be provide with the section.
- To add a document to a section of the form either click **attach** within a section or click **add document** at the top of the form. Documents can also be faxed or scanned directly into the relevant section of your appraisal form. For more information about attaching documents see the section “Uploading documents into your form”.
- To view an attached document, click on the **view document** link. Any documents that are being converted to an image will have the word ‘processing’ displayed in place of the link.
- The ⛔ locked icon tells you that only you, your Appraiser and your Responsible Officer can view the document. If the 🔒 unlocked icon is displayed it means that your Secretary and the Trust Administrator can also view the document.
- To view or edit the document properties, click the 📝 document properties icon.
- To delete a document, click on ✖️ delete.
- At any time, the information in a section can be saved by clicking **save**.

Once you have completed a section, tick the box marked please tick here to confirm that you have completed this section and click **save**, the system will then check that all the necessary information has been provided.

2.3  **EXPORTING YOUR APPRAISAL**

If you want to export the appraisal at any time then you can do so using the **Export Appraisal** option at the top of the **Appraisal Form**.

This will prompt a box to appear, select **Download** to create a PDF document containing all your information; this may take a few minutes depending on your internet connection and size of the appraisal.
When the download is complete if using Internet Explorer you will see the following option, select either Open or Save to save the document to your PC.

When using Firefox you will see the download box as below, select OK to either open or Save the file.
2.4 ADDITIONAL FUNCTIONALITY

The refresh button forces the screen to reload, displaying any new documentation that may have been recently added to the appraisal form.

The unallocated folder is the default folder for any new documents that are batch scanned into the appraisal form. To move a document into a particular section of the form, select the edit icon and select the document type.
3  Uploading documentation

You will likely have significant documentation, initially both in electronic format and paper format, which needs to be kept as supporting evidence for both your eventual revalidation and for presentation at your annual appraisal.

Allocate Software’s e-Appraisal system is underpinned by a market leading electronic document management system called ImageNow, supplied by Perceptive Software (a Lexmark company).

The system converts all documents (both electronic and paper) into Tagged Image File Format (TIFF) files. This means the documentation is stored in the most secure but accessible way.

TIFF documents can be viewed in any internet browser so that users who need to review the documentation do not need additional software applications. It is also the most secure way to store the files as they leave no electronic footprint that could be used to access them.

As a doctor user, you can add supporting documentation into the system in 3 ways – by adding existing electronic files, faxing paper documentation or scanning paper documentation via your trust administrator.

3.1  ADDING ELECTRONIC DOCUMENTS

From your My Appraisal page, select add document in the top right corner or the attach button from within a section of the form. Click browse to navigate to the document from either your own PC or a network location. Once you have selected a document, you must specify the document type and its validity period.

New documents can be given an appropriate name within the appraisal form by completing the rename document field. A concise and consistent naming convention for all documentation will assist with locating these documents later on.

Once the save button is clicked, the document is processed, converted into TIFF format and saved into the relevant section of the appraisal form. The conversion of documents can take up to around five minutes depending on its size and processing speed of the computer. Once complete, a confirmation email will be sent to you stating that the document is in the system and available to view.
e-Appraisal supports the following electronic document types:

- PDF
- PPT
- TIF
- TXT
- GIF
- HTML
- BMP
- JPG
- JPEG
- DOC
- DOCX
- XLS
- XLSX

### 3.2 Uploading Paper Documentation by Fax

If you do not have access to a scanner then you can upload documentation into your account using a fax machine. A fax cover sheet needs to be generated from the e-Appraisal module that will instruct the fax machine as to the location it should send the document. To create the cover sheet, click on barcode generator within the e-Appraisal menu at the top of the screen. You will be required to select the appropriate appraisal period and the document type.

![Barcode Generator](image)

Click **download barcode** to display the document cover sheet. The PDF file displayed will contain the four barcodes needed to specify the owner of the document and where it should be sent. The sheet also contains the fax number to which the cover sheet and document should be sent.
Once you have printed the barcode cover sheet, place it on top of the document you wish to fax and send it to the specified fax number on the cover sheet. Once this has been successfully converted into a TIFF file and uploaded into your account, it will be available in the unallocated folder of your portfolio.

### 3.3 ADDING PAPER DOCUMENTATION BY SCANNING

Your trust administrator may have been setup with a high performance scanner and special software to enable the ability to upload scanned documents directly into your account. If you have a large quantity of multiple page documents, the scanning method will be significantly quicker.
4 Viewing documents in your appraisal form

Once documents have been uploaded into e-Appraisal they can be viewed from anywhere providing you have access to the internet and an internet browser with Java installed (Java JRE version 1.6.x is required and Java 1.6.20 is recommended).

4.1 Accessing documents

Within your appraisal form, clink on view document. A new window (entitled WebNow 6) will open displaying the document.

Within the WebNow window you will be able to perform a number of actions on your document, such as printing or rotating the images as required. Controls at the foot of the page will enable you to navigate through the document if it contains multiple pages.
5 Appraisal process – summary of workflows

As well as helping to upload and store your supporting documentation for appraisal, the system will also guide the appraisee through the process of appraisal. The diagram below summarises the different stages that the appraisal goes through. Below the diagram is a brief overview of each stage.
5.1 The Stages

<table>
<thead>
<tr>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provisional Date</td>
<td>The trust administrator will have set a provisional appraisal date for the doctor the first time the system is used. The doctor confirms this date when they confirm their details when they first log in. However it may be many months in advance and therefore can be subject to change – hence it is called provisional date.</td>
</tr>
<tr>
<td></td>
<td>The appraiser is required to confirm or change this date, otherwise six weeks before the provisional appraisal date, a reminder email will be sent to them every 3 days until the date is confirmed or changed. Once the appraiser has confirmed this date or specified a new date, the doctor will be sent an email confirming the date of the appraisal.</td>
</tr>
<tr>
<td></td>
<td>Once the date is confirmed, the appraisal moves to either “Awaiting Appraisee to complete form” stage or in the case where the doctor has already completed his sections of the appraisal form, the appraisal moves to the “Awaiting meeting” stage.</td>
</tr>
<tr>
<td>Awaiting Appraisee To Complete Form</td>
<td>During this stage the doctor should be completing sections 1 – 15 of the appraisal form. When the doctor completes section 15 “Pre-appraisal preparation”, the appraiser will be notified that the doctor’s appraisal is ready for review and the status will change to “Awaiting meeting” The appraisal will remain editable in this stage.</td>
</tr>
<tr>
<td></td>
<td>In the “Awaiting Appraisee to complete form” stage, if for whatever reason the appraisal needs to be postponed then the appraiser can organise a new date with the doctor and postpone the meeting in the system. The Doctor will receive an email confirmation of this new date.</td>
</tr>
</tbody>
</table>
| Awaiting Meeting | Once the appraisal has reached the “Awaiting meeting” stage the next email the doctor and the appraiser will receive will be the day before the appraisal meeting. It reminds them that the appraisal is scheduled for the next day. The doctor can also postpone the meeting at this stage.

Once the appraisal has taken place, the appraiser needs to confirm that the meeting took place and the meeting date (should it be different to the date in the system), the system will then expect the Appraiser to complete the appraisal outputs and sign off, and the status will be updated to “Awaiting Appraiser Outputs & Sign-off”, the appraisal then becomes locked down and can no longer be edited. If however this was completed during the meeting, the status will change to “Awaiting Appraisee Sign off”.

Note during this stage (and the “Awaiting Meeting” stage) only the First Appraiser can complete the post appraisal sections of the form and sign off.

Once the First Appraiser has signed off, the Second Appraiser will be notified.

During this stage, the First Appraiser will receive reminder emails every 3 days until they have signed off the appraisal form. |
| Awaiting (1st) Appraiser Outputs & Sign -Off | When a Second Appraiser is assigned the “Awaiting Appraiser Outputs & Sign-off” stage is replaced with the “Awaiting 1st Appraiser Outputs & Sign-off” stage so that you can determine which Appraiser the stage is referring to.

Note during this stage (and the “Awaiting Meeting” stage) only the First Appraiser can complete the post appraisal sections of the form and sign off.

Once the First Appraiser has signed off, the Second Appraiser will be notified.

During this stage, the First Appraiser will receive reminder emails every 3 days until they have signed off the appraisal form. |
| Awaiting 2\textsuperscript{nd} Appraiser Sign-off | Once the First Appraiser has signed-off, the system moves to the “Awaiting Second Appraiser Sign-off” stage.  
During this stage, the Second Appraiser can either sign off on the appraisal form or disagree with what the First Appraiser entered in the Post-appraisal Output sections of the form.  
If the Second Appraiser signs off on the Appraisal form then the system will move to the existing “Awaiting Appraisee Sign-off” stage.  
If however, the Second Appraiser is not happy with the information entered by the First Appraiser, they can select the Disagree option which will allow them to provide a reason as to why they have disagreed and the system will move the workflow back to the “Awaiting 1\textsuperscript{ST} Appraiser Outputs & Sign–off” stage so that the necessary amendments can be made.  
During this stage, the Second Appraiser will receive reminder emails every 3 days until they have signed off the appraisal form. |
| Awaiting Appraisee Sign-Off | When the appraisal is in the “Awaiting Appraisee Sign off” state, the doctor can either sign the appraisal off or disagree with any of the appraisal outputs (PDP, Appraisal Summary or Statements to the responsible officer). On the doctor’s dashboard, will be displayed a “Sign-off” button and a “Disagree” button.  
If the doctor clicks the “Sign-Off” button they will be taken to the “Appraisal outputs” section of their Appraisal form (section 18) and will be required to confirm the statement of acceptance. Once completed, an email will be sent to the doctor, the appraiser and the trust administrator confirming that the appraisal for the appraisal period has been signed off.  
If the doctor declines to sign off their appraisal by clicking the “Disagree” button they will be prompted to enter the reasons for the disagreement (in no more than 200 characters). An email will then be sent to their appraiser, confirming that the doctor has declined to sign off and specifying the reason why. In most circumstances the appraiser can then update the appraisal outputs and sign off again. The doctor will be required to go through the sign–off process again.  
The Doctor will receive an email reminder every 3 days until they have completed the outputs and signed off. |
<table>
<thead>
<tr>
<th>Appraisal Signed-Off</th>
</tr>
</thead>
<tbody>
<tr>
<td>Once the appraisal has been signed off by the doctor, the appraisal will be completely locked down. The system will set the provisional appraisal date on the 12 month anniversary of the completed one and an email will be sent to the doctor, appraiser and trust administrator notifying them that the appraisal has been signed off. The trust administrator will be required to update the system with the appraiser for the next appraisal period for the doctor.</td>
</tr>
</tbody>
</table>
6 Additional help

6.1 FROM YOUR TRUST

Your trust will have appointed a primary trust administrator who will be familiar with the appraisal process and the management of the e-Appraisal module. Your trust administrator may also have access to scanning functionality of e-Appraisal.

6.2 FROM ALLOCATE SOFTWARE

The Zircadian Medics Support Team are on-hand during normal office hours (0900-1730) to support users with any module of the Junior Doctor or Consultant portals. They can be contacted by phone on 020 8946 8199, or via email at support@zircadian.com.

6.3 PROVIDING FEEDBACK

As you will appreciate, the detailed process of appraisals and revalidation is likely to continue to evolve in the near future. We expect that the system will undergo a continuous process of evolution as the details of these processes are finalised.

We would very much appreciate your feedback about the e-Appraisal module whether positive or negative. It is important for us to identify things that work well, but also things that might cause annoyance or frustration. We strive to take all feedback on board and consider any changes that might enhance user experience.

You can provide us with feedback at any time by emailing support@zircadian.com or by clicking the feedback link at the foot of every screen.