NESC Appraisal Complaints Procedures 08.06.09

Concerns, Complaints and Disputes Procedure

1. Concerns about the Assigned Appraiser

If the appraisee has a concern about the appraiser assigned to them, (s)he should raise it immediately with the NESC Local Appraisal Lead, explaining the reason for the concern if appropriate. The NESC Local Appraisal Lead will make arrangements for another appraiser to be allocated.

2. Concerns about the conduct of the appraisal

If the appraisee is concerned about the conduct or content of the appraisal discussion, they should follow the following procedure:

Step One: the appraisee should raise his/her concerns with the appraiser at the time of the discussion, and, if the discussion continues and the appraisee remains dissatisfied, the appraisee should record their concerns on the summary statement. The appraisee also has the option of terminating the discussion.

Step Two: in the event of termination of the discussion, or if the appraisee remains dissatisfied after raising concerns during the discussion, the appraisee should contact the NESC Local Appraisal Lead in the first instance.

The NESC Local Appraisal Lead will try to find an informal resolution to the problem through discussion with both parties and mediation. At any point during this stage of the process, the appraisee may choose to request LMC representation during discussions.

If the concern is about the outcome of an appraisal, one option might be to offer an alternative appraisal for a "second opinion". Under exceptional circumstances, appraisers can be recruited from neighbouring PCT areas, normally those who also contract for appraisal with NESC, but there is also an option to request an appraiser from outside the NESC area.

Step Three: Should concerns remain unresolved, the appraisee should raise his/her concerns in writing to the NESC Regional Appraisal Lead and/or NESC Project Manager and ask for a full investigation to be instituted.

The timeline for investigation of a complaint is detailed below.

Step Four: If the complainant is still dissatisfied with the outcome and conclusions of the investigation, a panel will be convened to consider the matter further. The panel will normally consist of:

- Primary Care Taskforce Lead (panel chair)
- Wessex Head of School
- An appropriate third person eg NESC Regional Appraisal Lead, PCT Clinical Governance Lead from the relevant PCT
Both appraisee and appraiser will have the right to LMC representation at the panel.

The panel will be conducted in accordance with the SHA/NESC grievance policy.

3. **Concerns about the appraisal system as a whole**

Where concerns or views relate to the appraisal system as a whole the proper route is through the NESC Regional Appraisal and Revalidation lead.

The NESC Regional Appraisal and Revalidation lead will try to find an informal resolution to the problem through discussion with both parties and mediation. At any point during this stage of the process, the appraisee may choose to request LMC representation during discussions, and the procedure may continue as for concerns about the conduct of the appraisal.

4. **Process and timelines for the complaints procedure**

Any complaint will be acknowledged within two working days of being received at the office, unless there are exceptional reasons why this is impossible.

The person designated responsible for dealing with the complaint will conduct appropriate investigations and root cause analysis where required by the circumstances of the complaint.

NESC will respond to the complainant with the findings of the investigation and analysis within one calendar month of the acknowledgment of the complaint.

The complainant may then choose to request that a panel be convened to consider the matter further and appeal any decision made at the first stage of response.