SOAR: Scottish Online Appraisal Resource

User Guide for SOAR

▶ **Local Health Board Administrators**

Scottish Online Appraisal Resource (SOAR) is an online system used by doctors (Appraisees) and Appraisers (NES-trained) to support the administration and management of Medical Appraisal for those working in Scotland.

SOAR is used to maintain details of your Appraisees and Appraisers, schedule of Appraisal Interviews, and provides a facility to monitor the completion of Appraisals. Appraisees and Appraisers are asked to complete the appraisal process on SOAR via online forms and the uploading of their relevant supporting information.

As administrators, you will not have access to the doctors' appraisal documentation - only appraisal status and meeting details.

This guide shows you how to:

- Access SOAR
- Access and Update your doctors' details
- Add New Users (Appraiser/Appraisee)
- Allocate Appraisers and Appraisees
- Deal with login requests
- Amend appraisal details
  - including adhoc change of Appraiser(s)
- View/Track Appraisal status

Contact for SOAR enquiries:

E-mail: SOAR@nes.scot.nhs.uk

September 2015

Content

1) Accessing SOAR

Medical Appraisal Scotland

First, please visit the Medical Appraisal Scotland website: www.appraisal.nes.scot.nhs.uk

This is the main information website for Medical Appraisal and Revalidation for those working in Scotland. If you have time, please go through the various resources available to you and your doctors.

From the home page, follow the link for "SOAR Login" and click link to login. If for any reason the link fails, the direct link to SOAR is:

- https://online.appraisal.nes.scot.nhs.uk

Login to SOAR

Figure 1a: SOAR Login

To login, enter your individual login name, password and security question answer.

Never used SOAR before?

If you are a new / recently appointed Administrator, please liaise with the central team at NES to get your login credentials organised. Contact the SOAR Helpdesk (SOAR@nes.scot.nhs.uk) confirming who you are and we will take it from there.

When you have received your login details, proceed to login as illustrated in Figure 1a.

Logging in for the first time

When you first login, you will be asked to read and confirm the data confidentiality agreement before proceeding. It's a standard data privacy agreement, and as part of your local induction into the NHS, you will have had training already with regards to data handling and privacy/confidentiality agreements. The SOAR data protection and confidentiality policy is used to highlight to users that what they can and cannot access is dependent on the user role they've been given.

If you have any concerns, please do not hesitate to get back in touch to discuss these.

Once you have read through the policy, scroll to the bottom of the page and select OK to proceed. You will next be asked to update your password and security questions.

Figure 1b: First time SOAR Login

It is highly recommended that you take this opportunity to change the password to something you normally use, to save you from having to remember a new password.

You can include any characters, numbers, as well as symbols (!"£$%^#@? etc) - but make sure your password is **alpha-numeric** and **at least 8 characters** long (e.g. 20Pizzas, Santa123, 500Miles etc).

The password is case sensitive, but you are not required to use UPPERCASE if you don't wish to (although we recommend it).

You will also need to complete the "Security Questions" section below.

You will need to **confirm** your password and security questions by entering them a second time on the right hand column – click **Save** when finished.

Also, if your contact details are not accurate, please update accordingly.

The above steps also apply to your doctors for any new user account you create on SOAR, or any user account you reset.

You should now be logged in to SOAR – so let's get familiarised with the system.

2) Familiarising with SOAR

Once you have successfully logged in, you will be taken to your Welcome Screen / Dashboard (figure 2a). Take a moment to familiarise yourself with the layout of the website.
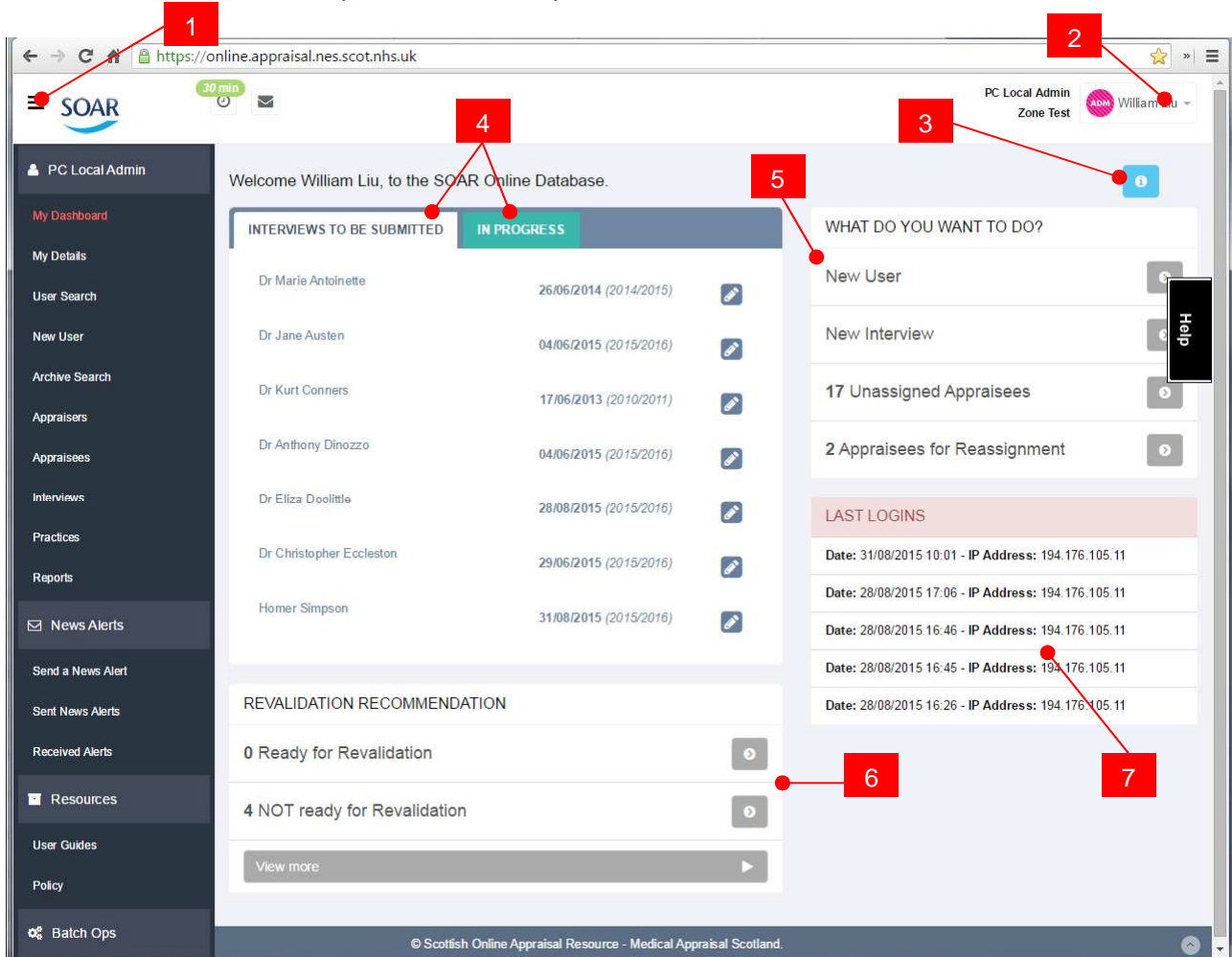
Figure 2a: SOAR Dashboard

Dashboard

The dashboard has various "widgets" displaying different information, offering different functions:

1. Toggle (hide/show) menu on left

2. Click on the dropdown menu on your name to change user roles

3. Information icon (see below)

4. Appraisal progress widget – this shows two lists:

    - Interviews to be submitted: Appraisals have been created for these doctors but they have not yet submitted their forms to the appraiser for sharing;

    - In progress: shows scheduled appraisals where the Appraisees have submitted their documents and are either waiting for appraisal to take place, or for Form 4 to be completed

5. "What do you want to do?" widget, listing the more common tasks performed by admins:

    - Creating new user

- Creating new interviews (although this is normally done by Appraisers)
- Review list of Appraisees not assigned to Appraisers
- Review list of Appraisees in Health Board, sorted by those who have had the most appraisals with the same Appraiser

6. Revalidation widget, showing you at-a-glance how many Appraisees are due and Ready/Not-Ready for their Revalidation

7. Last Login widget, showing you the date/time and IP address of when you last logged into SOAR. If there are any suspicious activities (i.e. login dates/times you do not recognise), please contact us and we will investigate further (it might be a change in password might be needed).

Information Icon

If at any time you find yourself in a section of SOAR and you are not sure what to do, there is an **Information Icon** near the top right of every page. Simply click on it, and a pop-up window will appear giving you a brief guide to the functions on that page.

Help

On the right hand side of the screen is a small black box labelled "HELP". If you are ever stuck on a page, or have particular queries whilst using SOAR, click on this and fill in the form to submit a Helpdesk ticket.

Text Size & Accessibility

If the text is too small on your screen, you can increase the font size of your web browser by going to the menu at the top of your browser, and select **View > Text Size** and increase or decrease as desired.

You can also use the shortcut by holding down the Control key [Ctrl] and the + or – sign on the keyboard. Ctrl and 0 will reset the text size back to default.

Time Out

For security purposes, there is a "Time out" function on SOAR. If you are inactive on a webpage for 30 mins or more, you will get timed out, and will have to login again to return to the page you were working on.

Local Admin Menu

Regardless of whether you are a Primary or Secondary Care Administrator, the access and functions you have are similar.

The main menu is on the left hand side of the screen. As you can see from figure 2a, the menu has three main headings, **Local Admin, News Alerts,** and **Batch Ops**.

Under **Local Admin** is where you will find the key functions available to you:

- My Dashboard *(click on this link to bring you back to the main Welcome Screen)*
- My Details *(this link takes you to your User Details section)*
- User Search *(allowing you to search for all users on SOAR)*

- New User *(allows you to add a new user to SOAR)*
- Appraisers *(this shows a list of Appraisers working in your Health Board)*
- Appraisees *(this shows a list of Appraisees belonging to your Health Board)*
- Interviews *(allows you to search/browse and create an appraisal interview)*
- Reports *(a collection of reports that you might find useful)*

For Primary Care Admins, you can click on "Practices" and this will bring up a list of all the GP Practices in your Health Board. Amend and update the practice details as needed and just follow the on-screen instructions.

Under **News Alerts** is the SOAR "messaging system". Currently this functionality is only used to make News Alerts / Announcements, but we hope to develop this feature in due course.

Under **Batch Ops** is the function to help your RO to make **Revalidation Recommendations**.

We will go through the different key functions on SOAR as we guide you through the key tasks required of you on the system. But before we do that, click on **My Details** from the menu, and we will go through the user profile pages first.

User Details

When you perform a user search, you click on their name from the search results to get to their user details. Click on **My Details** to look at your own details – all user profile pages are the same, but access is determined by the role you are given.

Figure 2b: SOAR – My Details

Tabs

As you can appreciate, there is a lot of information available on SOAR, and sometimes it is not easy to display it all on the same screen, even if the information is related. Depending on the section, a sub-menu appears along the top under the main heading (where appropriate), allowing you to navigate through the extra information available. This sub-menu appears in the form of a series of "tabs", a common menu display on the web. On SOAR, the tabs are used in a user's details and an interview's details.

Depending on the role(s) the user has, they will have different tabs associated with their profiles. Here is a full list of all available tabs:

- **Details**: user contact details, and login details
- **Roles**: allocated user roles on SOAR
- **PC (or SC) Appraisee**: user details for the Appraisee (e.g. who is the allocated appraiser, co-appraiser, which practice they work in, etc)
- **PC (or SC) Appraiser**: user details in the Appraiser role (started/ended when, how many sessions, etc)
- **Admin Notes**: post-it note style function to record miscellaneous information (user joined/left Performers List when, etc)
- **Email Notifications**: what email notifications you or your user can receive
- **Appraisals**: shows appraisal history as recorded on SOAR
- **Revalidation**: shows revalidation records taken from GMC; and function to nominate user as Ready or Not Ready for Revalidation
- **PC (or SC) Appraisal Coordinator**: can disregard this tab for now *(but please see page 24)*

We will look in more detail at the **Details** and **Roles** tabs in the next section.

PC (or SC) Appraisee / Appraiser

In the Appraiser tab is where you can amend the user's details as an Appraiser (number of sessions agreed, started as Appraiser when, etc); and similarly in the Appraisee tab, you can edit details about the user as an Appraisee (who their appraiser is, which practice they belong to etc).
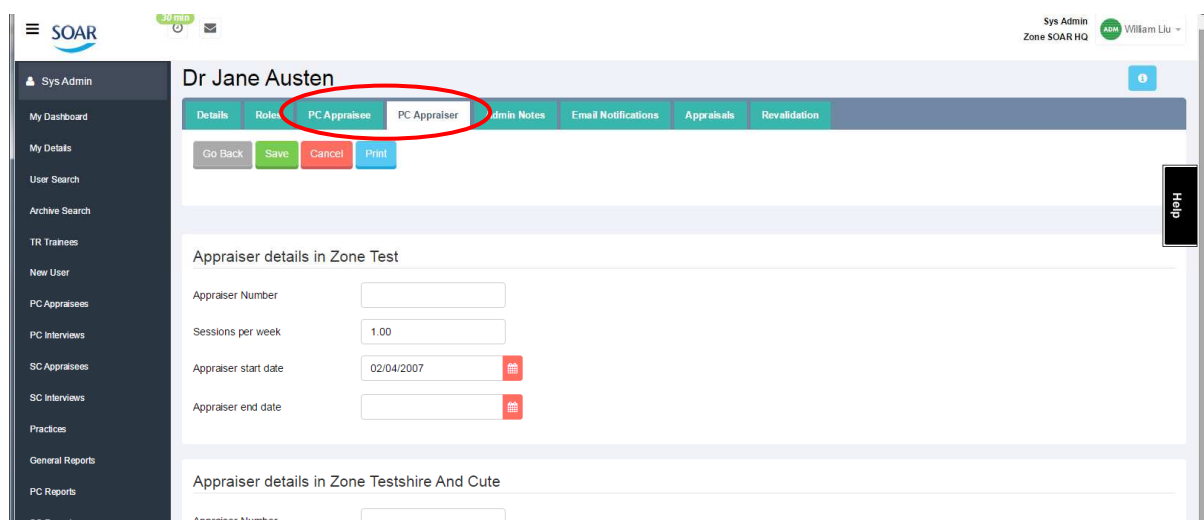
Figure 2c: SOAR – User Details – Appraiser

Admin Notes

Admin Notes allow you to add notes about a particular appraisee, where there is no other place on the system for these. This feature is **shared** between Appraisers and Local Admins. **Appraisees have no access to this**.

This function is often used by Local Admin teams to keep note of significant events surrounding the appraisee regarding their appraisal. For example, when the doctor joined the local Performers List, or if an appraisee's appraisal is on hold until their return from maternity leave, then a note can be placed here to say so. (Think of it as a virtual post-it note on someone's file.)

Email Notifications

SOAR generates automatic emails to confirm when a person's details have been changed. This section allows you to opt-out of these emails if you so wish.

You will NOT be able to opt-out of the **Login Details Changes** emails on your own account. You will receive an automatic email confirming your login name and password if/when these are updated. However, you can opt in or out of these emails for users in your Health Board. If you do not want to receive email notifications whenever one of your doctors changes their password or security question, make sure this is un-ticked.

Appraisers and Appraisees cannot opt out of automatic notifications about Form 4 sign off, Documents submitted for appraisals, etc – but you can.

Figure 2d: SOAR – User Details – Email Notifications

Appraisals Tab

The Appraisals tab allows you to view the user's appraisal history at a glance. It lists all appraisals they undertook as an appraisee (provided this was recorded on SOAR), with a link to go into each interview's details (via the notepad icon). Underneath the appraisal history will be details of their appraiser role (if they were ever an appraiser), such as when the appraiser login was created, deleted, for which Health Board, etc.

Figure 2e: SOAR – User Details – Appraisal History

Revalidation Tab

As the name suggests, this tab will display all the information relating to the appraisee's revalidation. A table of appraisal history is displayed on top, showing the scorings on the core elements within each of the domains, the readiness of the appraisee for revalidation in each appraisal, etc.

We will review this in more detail in section **6: Revalidation Dashboard**.

Now that you have a general familiarisation with SOAR, let's go through some of the key functions you need to know.

3) How do I…?

Look up a user

Most of the time you will login to SOAR to look up the records of a particular user. There are two ways to do this. From the menu, click on either:

- **Appraisees**: shows list of doctors belonging to your Health Board; or
- **User Search**: allows you to search for all users on SOAR

The functions and search filters between the two facilities are very similar. The only difference is **Appraisees** will bring up a list of all doctors allocated to your Health Board, and **User Search** allows you to search for everyone on SOAR. However, although you are allowed to search for users outside of your Health Board area, you can only amend details of those users who are IN your Health Board.

User Search – search filters

There are a number of different search filters available to help you in searching for a particular user:

- **GMC number** – we recommend that you always search or confirm a user's credentials via their unique GMC number. We have had incidences before of two users with the same first and last name, working in the same Health Board but in different practices. We had the wrong email linked to the wrong GMC number, because local HR got the information mixed up at their end. Always best to ask the user to provide their GMC number. If not,
- **Email Address** – this is another good unique identifier for individual doctors. All accounts on SOAR use the user's GMC number and email address as the unique identifier. No two accounts on SOAR will have the same GMC number and/or email address (apart from Trainee accounts). If you cannot find the user you are looking for via the provided GMC number or email address, try
- **Surname** – you can search for users via their surname in the search filters – but be careful with the spelling. All user records on SOAR are created manually, so we are prone to typos and human error. Check for Mac vs. Mc, try variations of typos (e.g. Smith, Simth, Smiht).

You should also try searching with the surname in the email or user name fields. We have had instances where data imported had the doctor's first and last name the wrong way around!

If you can't locate the user via the above filters, try searching via Health Board and Role. We've dealt with users in the past who left phone messages, but we were unable to make out their surname (e.g. Halworth, Howard, Gower, etc) – you might be able to search for someone by looking up a list of appraisers or appraisees.

When you have located the user you are looking for, click on their name in the search results to access the user profile, where you can amend their login details, amend their Appraiser assignment, or view their Appraisal or Revalidation records.

Figure 3a: SOAR – User Search

Deal with Login Requests

SOAR users are encouraged to contact the local admin teams in the first instance for help with their logins, via the SOAR Login Request form. It's a basic request form, and the link to the form can be found on the SOAR login page. Alternatively, the direct link is:

- https://online.appraisal.nes.scot.nhs.uk/public/registration.aspx

On successful completion of this form, SOAR will email you the submitted request (unless you de-selected the "New Registration" option under "Email Notification" tab), which you will need to action. In the submitted request, the user is asked to provide their name, GMC number and email address, which should help you to locate them more easily on SOAR.

Provided the user selects the correct Health Board, the request should come to you ok. If not, the request will get sent to the Health Board they selected instead. Sometimes, you may receive requests from users you've never heard of, and chances are, they are either trainees, or they've entered the wrong health board from the dropdown list on the request form. If this happens, forward the request to the SOAR Helpdesk (SOAR@nes.scot.nhs.uk) and we will send it on to the correct team.

Using the details provided by the user, search for them either via **Appraisees** or **User Search** from the menu as discussed in the previous section.
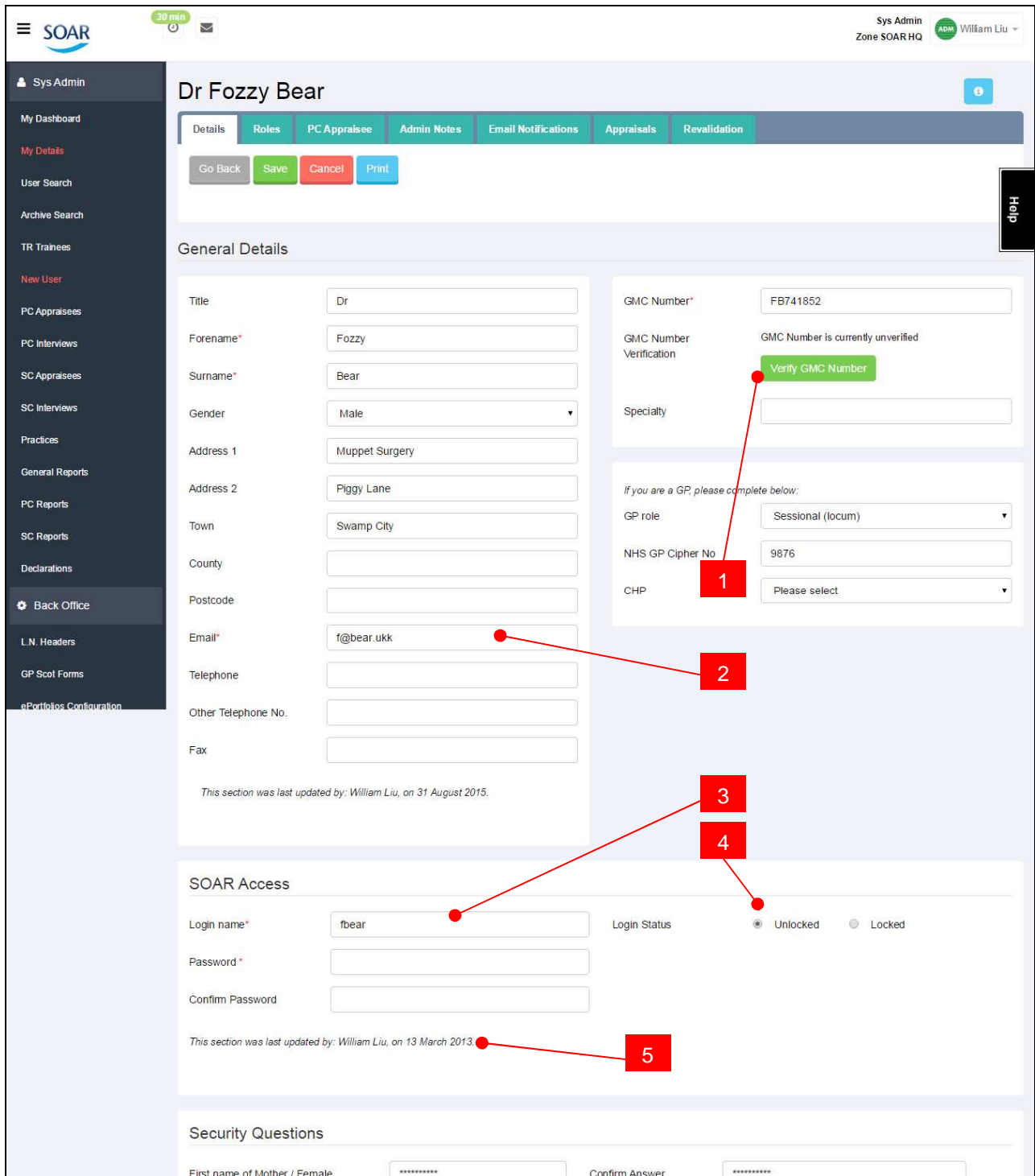
Figure 3b: SOAR – User Details

When you have brought up the user's details, check the following before you amend the user's details (figure 3b):

1) **Has GMC number been verified?** – If yes, it will show who verified it and when; if not, a link will show "Verify GMC number". Click on this and SOAR will check against the GMC register for that user and show the name and GMC number for you to compare and confirm.

2) **Check email address** – as well as the usual check on the user's email address, it is worth checking to see if there's an extra space at the end of the email. This can usually be indicated if you scroll to

the bottom of the page and the "reset password and security questions" button is greyed out. Sometimes, when email addresses are copied/pasted into SOAR, an additional space at the end of the address is pasted in by accident.

3) **Login name** – often the user will provide a preferred login name, so it's worth checking to ensure the current login name matches up to their "preferred" choice (if available) – it will help them better remember their login details.

4) **Is the account locked**? – If the account status is locked, the user will NOT be able to login regardless of what login name or password you set them. If this is the case, select "Unlocked" and click "Save" first before you do anything else. User accounts are locked if they tried to login with the correct login name and password, but the wrong answer to the security question 3x times.

5) **Has the section been updated by someone else already**? – it's not uncommon (unfortunately) for users to complete a login request form, wait 10 minutes, and then email us at the helpdesk to say they've not had a response to their request. Sometimes, depending on circumstances, we'd action the login request and reply via the helpdesk (we try to cc local admin teams into our responses if they tell us they've contacted the local admins). Check and make sure the "last updated" date is not past the date you received the login request. If so, chances are it's already been actioned by ourselves (or in some cases they've used the forgotten login function and managed to log back in), so no further action would be required on your part. (Although you might want to confirm receipt of their request and reply with something like "Thanks for filling in the login request form, but I note from the system your request has since been actioned by someone else. Should you need further assistance please get back in touch." – or something better worded to that effect!)

If everything checks out, all that's left is to actually deal with the login request. You have a couple of options:

- **Reset Password*** – it might be that the user has simply forgotten their password, in which case, all you do is give the account a dummy password, confirm it, and then click Save. The system will email the user with a note of their login name and password upon Save.
- **Reset Password and Security Questions** – if the user cannot log in because they don't recall the answers to their security questions, scroll to the bottom of the page and click on the "Reset password and security questions" button near the bottom right. This wipes the password and security question answers, and SOAR will email the user with a new system-generated password and instructions on how to login.

Please be aware that the above will trigger system emails and these are dependent on the email address being correct on the user profile/details tab.

* Tip: When changing passwords, you can include any characters or numbers, as well as symbols (!"£$%^#@? etc). Just ensure the password is:

- *At least* 8 characters long
- Alpha-numeric (include numbers and letters)
- Different from the login name

Also, you should not amend the user's security questions. Simply use the reset function provided if users aren't able to recall their security questions.

However, you may wish to deal with it differently if the user got in touch over the phone. What we've done in this situation is to change the answer to the question they are seeing on their screen to help them login whilst we're on the phone – but before we hang up, we ensure they've changed the security questions/updated the password, talking them through the process. When they've clicked Save, we should see the "last updated" date amended on our screens when we refresh our page. But it's entirely up to you how you deal with this.

Remember to **Save** any changes you make. If you make a change on this tab, or on any of the other tabs, and then try to leave the screen without saving, you will be prompted with a message (figure 3c):
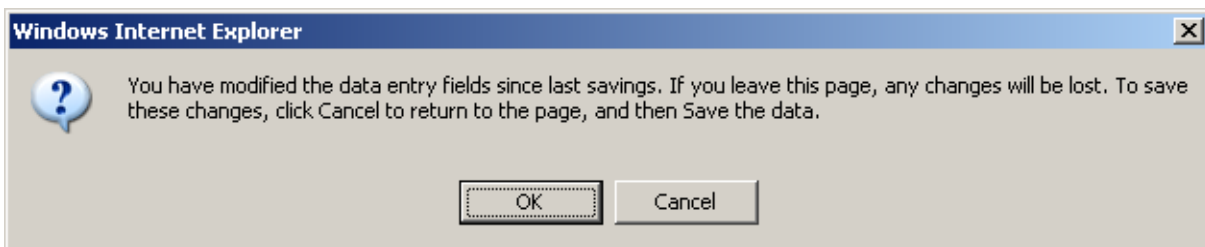
Figure 3c: SOAR – Save Prompt

To save the changes you made, click **Cancel** to get rid of the Save Prompt, then click the **Save** button underneath the tabs. You will be told if the Save was successful or not in the next screen (figure 3d). If you were to click OK, the changes you made will **NOT** be saved, and you will be taken to wherever you just clicked, be it the tabs or an item on the menu.

To cancel any changes you made, just click on the **Cancel** button, next to Save.
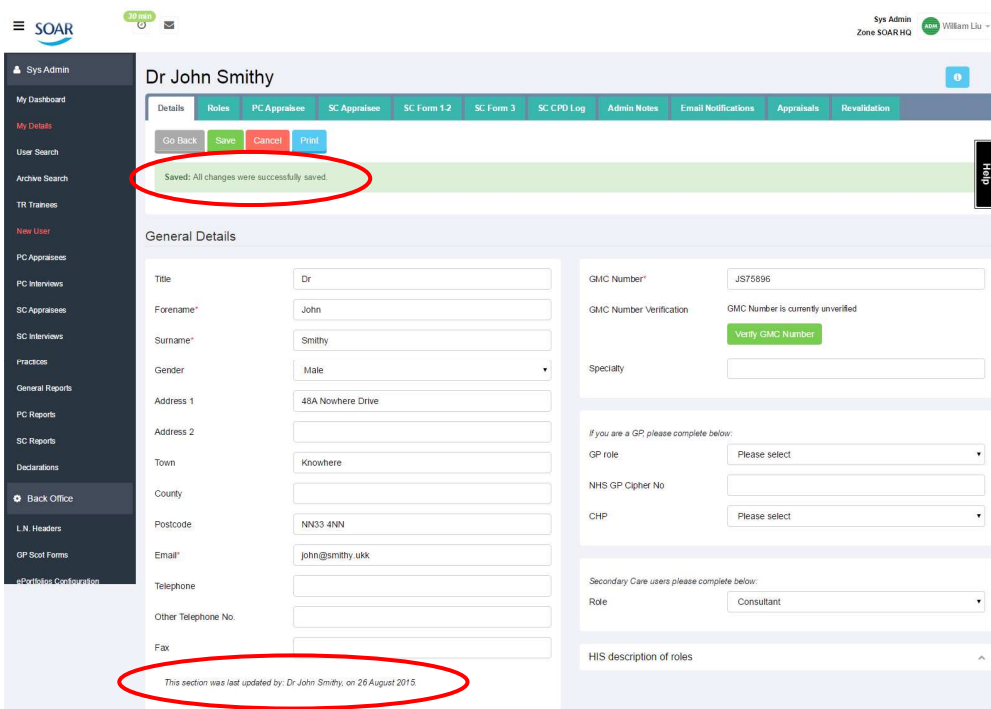
Figure 3d: SOAR – My Details – Successful Save

Create a New User

If after exhausting all search options you still cannot find the particular user you are looking for, then it's likely that the user is new to SOAR (e.g. just moved to Scotland, just graduated, etc). In which case, you will need to add them as a **New User**.

It's a 3-step procedure to create a new user (figure 3e):

1) Create **New User** (profile)
2) Assign user **Role**(s)
3) Re-type **Password** (to trigger system auto email notification)

The new user account is created at this point. To finish off, you'll need to:

4) **Assign an Appraiser** to the Appraisee
5) Add any necessary **Admin Notes**

Figure 3e: SOAR – Create New User

Dr Fozzy Bear

Details | Roles | PC Appraisee | Admin Notes | Email Notifications | Appraisals | Revalidation

Go Back | Save | Cancel | Print
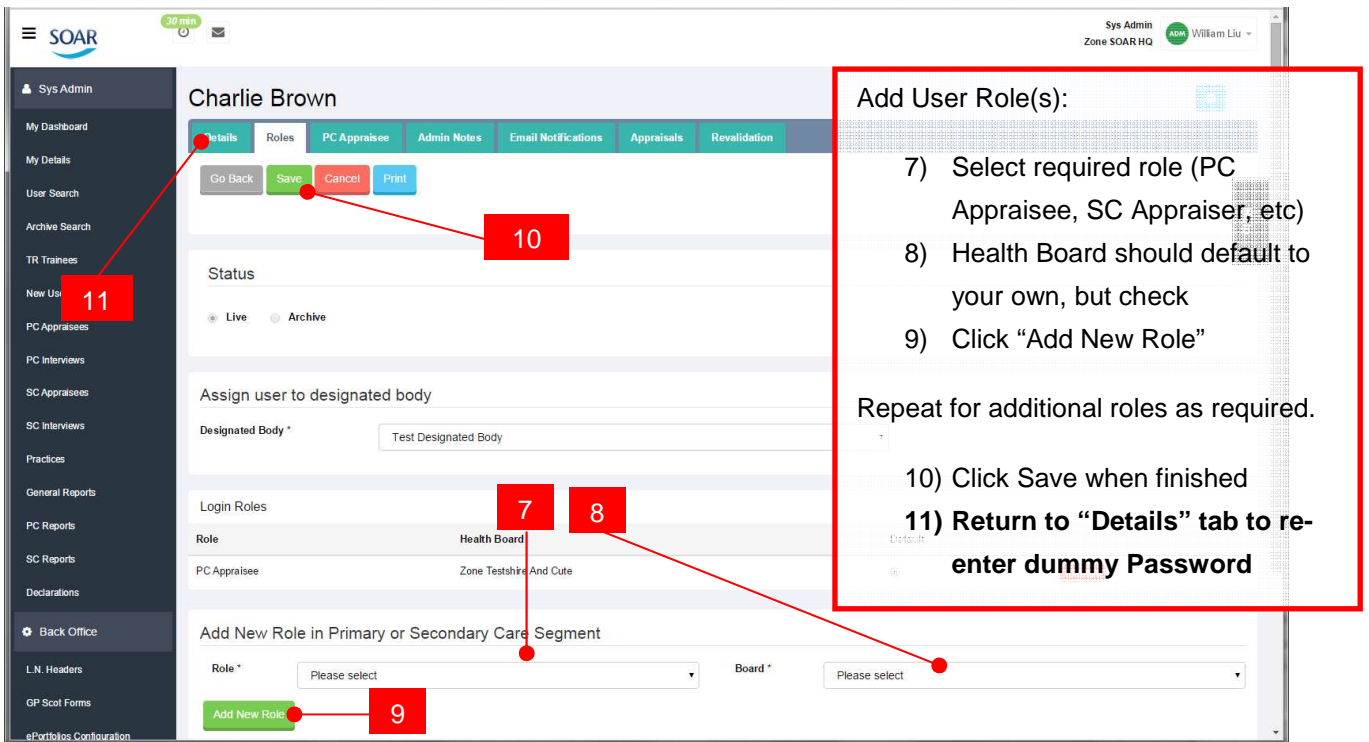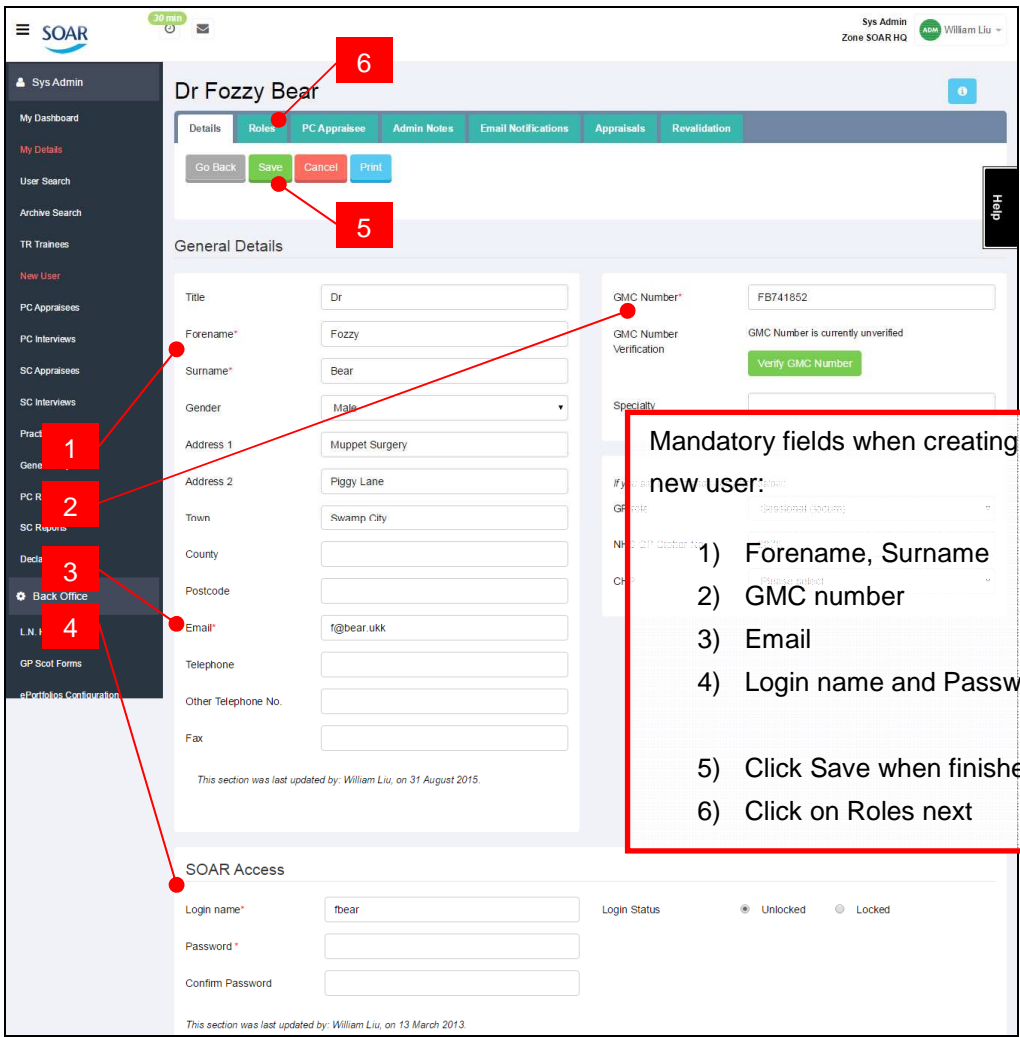
General Details

Title	Dr
Forename*	Fozzy
Surname*	Bear
Gender	Male
Address 1	Muppet Surgery
Address 2	Piggy Lane
Town	Swamp City
County	
Postcode	
Email*	f@bear.ukk
Telephone	
Other Telephone No.	
Fax	

This section was last updated by: William Liu, on 31 August 2015.

GMC Number* — FB741852
GMC Number Verification — GMC Number is currently unverified
Verify GMC Number
Specialty

SOAR Access

Login name*	fbear
Password *	
Confirm Password	

Login Status Unlocked Locked

This section was last updated by: William Liu, on 13 March 2013.

Mandatory fields when creating a new user:

1) Forename, Surname
2) GMC number
3) Email
4) Login name and Password

5) Click Save when finished
6) Click on Roles next

Charlie Brown

Details | Roles | PC Appraisee | Admin Notes | Email Notifications | Appraisals | Revalidation

Go Back | Save | Cancel | Print

Status

 Live   Archive

Assign user to designated body

Designated Body *   Test Designated Body

Login Roles

Role	Health Board
PC Appraisee	Zone Testshire And Cute

Add New Role in Primary or Secondary Care Segment

Role *   Please select   Board *   Please select

Add New Role

Add User Role(s):

7) Select required role (PC Appraisee, SC Appraiser, etc)
8) Health Board should default to your own, but check
9) Click "Add New Role"

Repeat for additional roles as required.

10) Click Save when finished
11) **Return to "Details" tab to re-enter dummy Password**

Allocate Appraiser to Appraisees

Figure 4a: SOAR – Appraiser allocation

To assign an Appraiser to an Appraisee:

1) Select Appraiser from dropdown
2) Click "Save"
3) Click "Notify" button to trigger email to both Appraiser and Appraisee confirming new assignment
4) Select Co-Appraiser (for Clinical Academics, if applicable)
5) Select/Add Appraisal Coordinator (Line Managers, Clinical Directors, etc - if applicable)
6) For GPs, select the Practice the GP works in

Appraisers are normally added by ourselves once they've successfully gone through the NES Appraiser Training courses. But if the Appraiser you are looking for is not in the dropdown list, you can search for that user on SOAR and add them as an Appraiser in your Health Board. This will add their name to the dropdown menu for selection. (Or email SOAR@nes.scot.nhs.uk and we will check and action as required.)

Similarly with the Co-Appraisers and Appraisal Coordinators: if they cannot be located on the dropdown list, ensure they've been given the appropriate role on SOAR first.

If the GP Practice you are looking for is not on the list, click on "Practices" from the menu to add as required.

Changing Appraiser Allocation

An appraisee needs a change in their Appraiser allocation if they have been appraised by the same Appraiser for more than 3-5 years. In a 5 year Revalidation cycle, the Appraisee should have been appraised by at least two different Appraisers.

Liaise with your Appraisal Lead. Most Health Boards will have a protocol in place to check this and change the Appraiser allocation after 3, 4 or 5 appraisals.

Because different Health Boards have different benchmarks set, SOAR is unable to bring up a list of appraisees "due" for a change of Appraiser. Instead, you can review the list of Appraisees allocated to your Health Board, and sort them by the number of appraisals they have had with their current Appraiser.

(Or you can use the "What do you want to do?" widget on your dashboard to bring up the same list.)

Figure 4b: View list of Appraisees sorted by number of times appraised by current Appraiser

1) Click on "Appraisees" from the menu
2) Click on the Search Results' column heading for "Appraisals" – twice:
   - Once to sort it in Ascending order,
   - A second time to sort it in Descending order (this is the one you want)

GP Practices / Assign Appraiser to multiple Appraisees
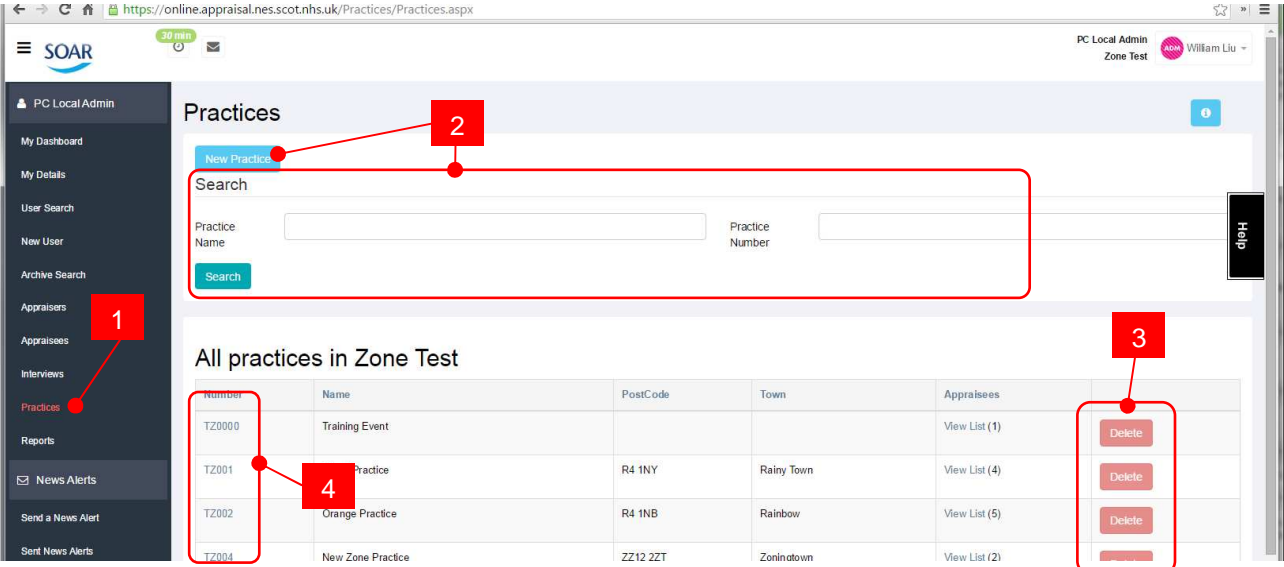
1) To view, edit or create a new Practice, click on **Practices** from the menu. This brings up a list of all the GP Practices in your Health Board area.
2) You can search for a practice by its Name or Practice Number; or create a New Practice.
3) You can delete a particular Practice from the list, but ONLY if the Practice has no doctors assigned.
4) Click on the Practice Number to view the Practice Details.
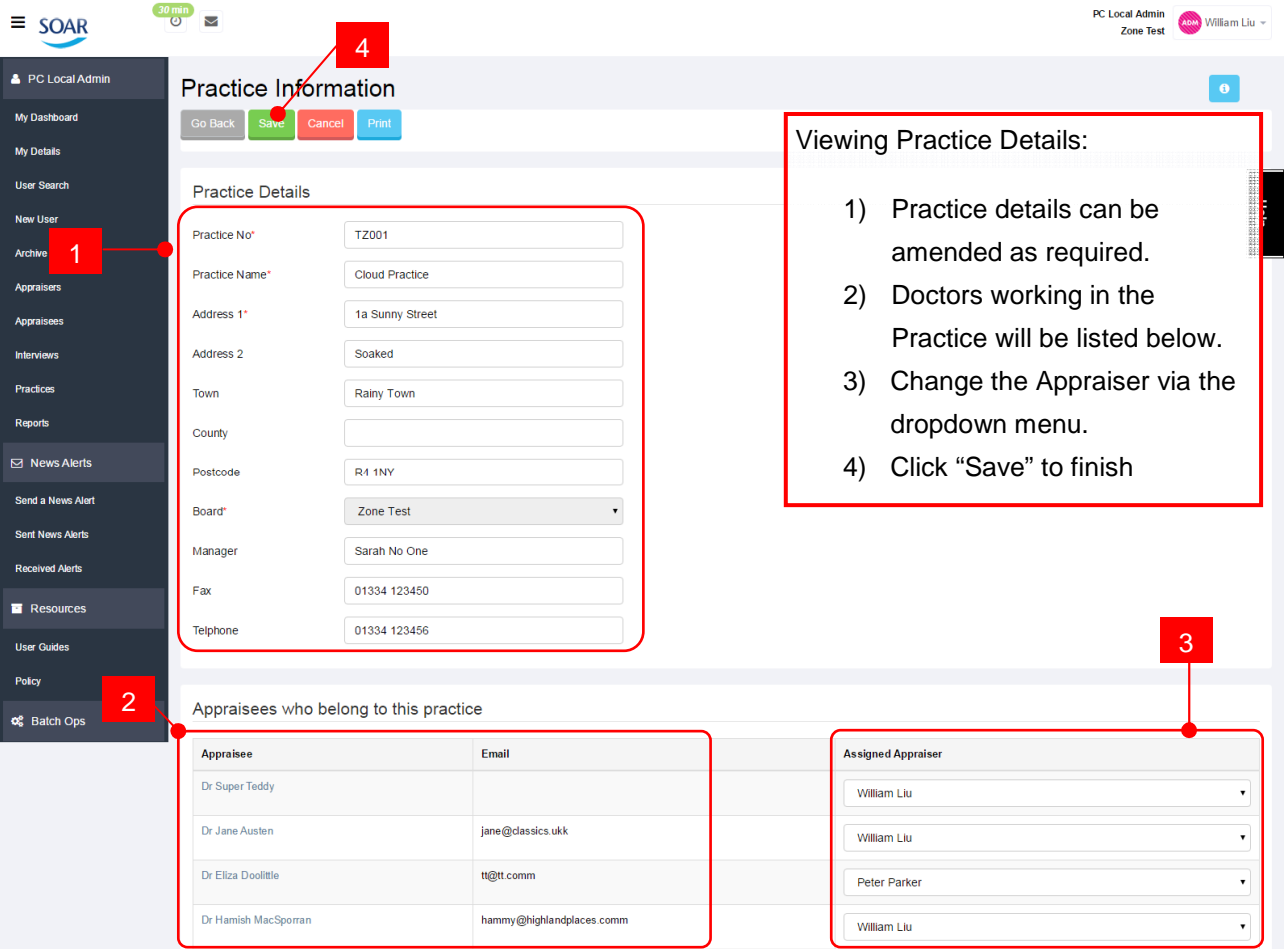
Viewing Practice Details:

1) Practice details can be amended as required.
2) Doctors working in the Practice will be listed below.
3) Change the Appraiser via the dropdown menu.
4) Click "Save" to finish

Assign Appraisal Co-ordinators

There are two types of users who are assigned the "Appraisal Co-ordinator" role on SOAR: those who need to be informed of certain doctors' appraisal progress (e.g. Clinical Directors (CDs), Associated Medical Directors (AMDs), Line Managers, etc); and Clinical Academic / University admin teams.

Those given the Co-ordinator role on SOAR need to be manually assigned to individual doctors. They have the same access as an Appraisal Lead but are restricted to those allocated to them (by you).

To assign a co-ordinator:

- Add as a new user if not already on SOAR (CDs and AMDs might be, but not Uni admin teams)
- Assign them the "Appraisal Co-ordinator" role in your Health Board
- Allocate those doctors who need to be assigned to the "co-ordinators" via the PC/SC Appraisee tab in the user profile pages

Unfortunately there is no quick way to action this. For those in Secondary Care (where this is a more common requirement), you can try the "Appraisee Assignment" function from the menu. This allows you to select multiple Appraisees and assign them to a single Co-ordinator.

Adding Admin Notes

If you've just added a new user to SOAR, you may wish to add additional information to the profile, such as when the user was added to the Performers List, or any special notes of interest as appropriate.

Only the Admins and Appraisers can see the Admin Notes section. Think of it as a virtual post-it note for relevant (but not critical) information.

To add an Admin Note:

1) Go to the "Admin Notes" tab
2) Enter the note/message
3) Click "Add New Note"

Track Appraisal progress

SOAR provides a number of reports to aid you with tracking appraisal progress for those in your Health Board. However, the reporting features on SOAR are undergoing an overhaul and we hope to have a new set of reports available in due course.

Meantime, to check latest progress, you can search for interviews and particular interview statuses.

Interview statuses:

- **To Be Submitted** – the Appraisee has not yet submitted their appraisal forms, nor have they accepted the confidentiality statement
- **In Progress** – the Appraisee has submitted their appraisal forms
- **Completed** – Form 4 signed off by both Appraiser and Appraisee

Alternatively, you can also filter the search results via the Form statuses:

- **Form 4 Draft (or Completed)** – appraisals where the Form 4 are still in draft, or completed
- **Form 5A Draft (or Completed)** – Exemption of Appraisal (maternity / sick leave, sabbatical etc)
- **Form 5B Draft (or Completed)** – Non-engagement

1) Set the date or period you wish to search for
2) Set the Interview Status
3) Click Search to bring up your results
4) Sort your results via the column headings
5) Click on the corresponding notepad icon to get to the interview details
6) Add or search specifically for the post appraisal form status

Create New Interview

Normally it's the Appraisers' responsibility to organise, arrange and create the appraisal interviews on SOAR. Some Health Boards' Local Admin teams are responsible for the management of the Health Board's appraisal calendar, in which case you might be responsible for organising and creating interviews on SOAR.

Sometimes, it could be a case of the Appraiser forgetting to create the interview on SOAR, and the Appraisee has come to you for help.

An interview NEEDS to be created in order for the Appraisee to be able to submit their completed appraisal forms for sharing. (But it does not stop them from working on their forms.)

To create an interview, simply click on the "Create Interview" button (7), and fill in the necessary information in the interview page (Appraiser, Appraisee, location of meeting, date, time, other notes about the interview).

Appraisal Period

If/when you are creating an interview on SOAR, the "Appraisal Period" field will automatically be populated depending on the date the appraisal meeting is scheduled to take place.

For the purposes of SOAR, the Appraisal Period is used to track when an appraisal took place in fiscal years (April to March). At any given appraisal, we would expect Appraisees to submit supporting information and discuss how things have progressed over the past year or since last appraisal. The material discussed is not what we need to track; for reporting purposes (HIS/Scottish Government/GMC etc) we are tracking WHEN the appraisal took place.

Changing of Appraiser during an Appraisal

There may be some circumstance where a change of Appraiser is required midway through an appraisal process (e.g. Appraiser suddenly took ill). It is possible to change the Appraiser of an appraisal provided the Form 4 has not been forwarded or signed off.

Figure 5a: Interview details page

To do this, simply search and navigate to the interview details page, click on the "Change" button next to the Appraiser's name, select the new Appraiser and then click Save.

Once the Appraiser has been changed on the interview – the new Appraiser will have access to the Appraisee's submitted forms, and will also be responsible for drafting / signing off the Form 4.

The allocated Appraiser will still have access to the Appraisee's appraisal records.

Changing the Appraiser on the interview details page will NOT change the Appraiser/Appraisee allocation, and vice versa, changing their allocation will not automatically change the Appraiser on the interview page.

Joint University Appraisals / Co-Appraiser

Figure 5a above shows that you can also change or allocate a "Co-Appraiser" to an interview on an adhoc basis if one wasn't assigned in the first place.

The Co-Appraiser function is used for Academic / University joint appraisals on SOAR. The Co-Appraiser will have equal access as the NHS Appraiser to the allocated Appraisees' interview details, submitted forms, and Form 4 sign off responsibilities.

To assign a Co-Appraiser and mark them as Clinical Academics (so they complete the additional appraisal form), navigate to the Appraisee's profile and select the options in their PC/SC Appraisee tab.

For more information on how joint academic appraisals work, please visit:
http://www.appraisal.nes.scot.nhs.uk/help-me-with/soar/academic-appraisals.aspx

Close off old uncompleted appraisals

Figure 3 also shows options to enable Forms 5A, B and C. You will also notice a function for "Enable Manual Completion". This function is only used to close off old appraisals (particularly around 2011/2012) from when SOAR was introduced to Secondary Care and there were a large number of appraisals created on the system, but for various reasons the appraisal was finished on paper forms outside of SOAR.

If that's the case, you can use this function to close off those particular appraisals. Simply click the button and follow the on-screen instructions.

This function is NOT designed to log old paper appraisals. We will not be able to support this as it has to be done individually and is limited to how far back it can go.

Recognition of Trainer

At the time of writing, the process of Recognition of Trainer (RoT) is still being bedded down. In brief, those identified as "Trainers" from data import will be asked to complete an additional form on SOAR, and this will be discussed with the Appraiser at the appraisal and logged accordingly on Form 4.

DMEs (Directors of Medical Education) and EOs (Educational Organisations) will be granted read-only access to SOAR in a future project so they can access the RoT information.

We are not expecting you to be inundated with queries on this, but there may be situations where the user is no longer a Trainer and because their details have not been updated on the import, they are unable to progress with the submission of their appraisal forms. If this happens, please contact the DME in the first instance so that the information from the import is updated (from a system called Turas). Contact us thereafter and we will make the manual change on SOAR – but the DMEs must update the information on Turas, otherwise anything we amend on SOAR will be overwritten in the next data import.

The Appraisee is leaving my Health Board

If an appraisee is leaving your Health Board (e.g. retirement, relocation, moving abroad, etc) you will need to remove their role from SOAR and archive accordingly, so that they are not counted in reports. To do so:

1) Verify with HR / staffing teams to make sure that the doctor in question is leaving, why, when etc

2) Check and make sure the appraisee does not have any incomplete appraisals (if so, liaise with the appraisee and appraiser to ensure they are completed first, or if appraisal is not to take place, delete the interview as appropriate and leave an admin note…)

3) Add an Admin Note to say why the appraisee is leaving your area.

4) Go to the "Roles" tab and remove the roles relating to your Health Board (the appraisee might be an Appraiser for other Health Boards, so leave these as they are unless you are aware of their particular arrangements).

An Appraisee is joining my Health Board from another

If an appraisee is joining your area, but they currently belong to another Scottish Health Board, you will need to liaise with that Health Board's admin team to have them remove the login role from there first. Once this is done, you will then be able to "pick up" the appraisee and add them to your area.

Obviously, you and your counterpart in the other Health Board will need to verify the request via HR checks to make sure the appraisee in question is definitely working in your area before they are added or removed.

Contact details for other Health Board admins can be found on the Medical Appraisal Scotland website:

http://www.appraisal.nes.scot.nhs.uk/contacts/admin-teams.aspx

If your details are not on this page but you feel they should be, please let us know.

Adding non-GMC users to SOAR

There may be situations where you have to add users to SOAR who do not have a GMC number, like Dentists, Public Health Consultants, or University Appraisers.

They can still be added to SOAR. Simply add them as you would a regular user, but when prompted for a GMC number, **prefix with appropriate initials** followed by random numbers to make up 7 characters. For example - GDC1234, PH23456, UA34567 etc. (Although dentist will have their GDC number so you can prefix GDC and then add their GDC number.) This allows us to filter these users out in later reports.

4)   Form 5A and 5B

If the appraisee did not participate in an annual appraisal, we need to log why this was. Annual Appraisal is a contractual obligation for ALL doctors. If there's a reason why they weren't appraised, we need to know why, and log it accordingly, as it WILL affect their Revalidation status.

Appraisal Form 5 is used to log missed appraisals (in lieu of Form 4, which confirms the appraisal). There are two types of Form 5, one used to log legitimate reasons for not being appraised within a fiscal year (5A), and the other for failure to engage (5B). There is also a Form 5C used by the local admin team or the Appraiser to log any Clinical Governance issues.

Form 5A: Exemption from Appraisal

Form 5A is used to log if someone had a legitimate reason for exemption from the appraisal period. For example, maternity leave, sabbatical, sick leave, etc.

Please note Form 5A (and B) is only used if the person in question is NOT being appraised within a particular fiscal period. For example, if a doctor had gone on maternity leave for 8 months, but returns and completes an appraisal before the end of the fiscal year, then they are NOT required to complete a Form 5A. The doctor may wish to document that s/he had been on maternity leave in the Health self declaration.

On SOAR, currently only the Appraiser can create Form 5A. However, we intend to change this so that Local Admins can also create Form 5A.

Regardless of who creates the Form 5A (or 5B), we ask that the local Appraisal Lead is advised FIRST, prior to the creation/submission of this form.

The process is similar to Form 4, where the Appraiser creates and completes the Form 5A, and then it is submitted to the Appraisal Lead for their review and sign off. Once signed off, a confirmation email is sent to the Appraiser, Appraisee, Appraisal Lead, and Admin team.

SOAR

SC Appraiser
Zone Test

William Liu

SC Appraiser
- My Dashboard
- My Details
- Appraisees
- Interviews
- Reports

News Alerts
- Send a News Alert
- Sent News Alerts
- Received Alerts

Resources
- Royal College / Faculty
- User Guides
- Policy

Interview for 2015/2016 for Marjorie McArthur

Interview | Form 5A (Draft)

Go Back | Save | Cancel

3

Notification of Exemption in Appraisal

This form is used if the appraisee has a legitimate and valid reason for not being able to engage in an appraisal under the Scottish Medical Appraisal Scheme for this relevant year.

The Appraiser should consult with their Local Appraisal Lead before filling out this form.

Form 5A is to be completed and signed by the appraiser, and sent to the Local Appraisal Lead, as well as the doctor who is unable to proceed with the appraisal process.

1

Local Appraisal Lead *   Please select

I wish to inform you that I have been unable to complete an appraisal with the doctor below for the reasons noted overleaf.

Appraisee Details:

Surname	McArthur
Forename(s)	Marjorie
GMC Number	9991
Health Board	Zone Test

Appraiser Details:

Surname	Liu
Forename(s)	William
GMC Number	wliu
Health Board	Zone Test

Interview Details:

Relevant Year of appraisal Interview	2015/2016

2

I have been unable to arrange an appraisal with this appraisee for the following reason(s):

- ☐ This doctor is on maternity leave
- ☐ This doctor is on a sabbatical
- ☐ This doctor is currently working abroad
- ☐ Other (please specify):

When will the appraisee leave, and return to work?

Leaving Date *

Return to work date *

Any other Comments

HTML | **B** | *I* | U | ABC | ≡ ≡ ≡ ≡ | Paragraph | ☰ ☰ ☰ ☰ | ↶ ↷ | — | Ω | ✎

☑ Not Yet Forwarded

Approve and Forward to Local Appraisal Lead   **4**

✗ Submitted by Appraiser

✗ Approved by Local Appraisal Lead

Completing Form 5A:

1) Select the Appraisal Lead who needs to sign this off (or deputy, etc).
2) Complete the rest of the form.
3) Click "Save" and return later to finish, or
4) Click "Approve and Forward" if you are happy with the form.

Form 5A will await the Appraisal Lead's sign off thereafter.

Form 5B: Notification of Non-Participation in Appraisal

This form is used if, after reasonable encouragement and support, a doctor declines to take part in or fails to complete an appraisal under the Scottish Medical Appraisal Scheme for the appraisal period (counting in fiscal years).

Completion of Form 5B is similar to Form 5A, where the Appraiser creates it and forwards it to the Appraisal Lead for their approval. Unlike Form 5A, Form 5B CAN be created by yourself in the role of Local Admin (usually done at the request of the Appraisal Lead) – but similar to the Form 5A, this is also usually actioned by the Appraiser.

Again, consult with your local Appraisal Lead first.

Form 5B is to be completed and signed by the Appraiser (or yourself), and sent to the Appraisal Lead, as well as the doctor who failed to complete the appraisal process. The Appraisal Lead will contact the doctor to offer further help and support. If the doctor continues to refuse to participate in or complete an appraisal, the matter will be escalated to the Medical Director for notification and any necessary further action.

Form 5C: Notification of Clinical Governance Issues

This form is used if the appraisee has displayed any evidence or behaviour during the course of the appraisal process which raises concerns in relation to Clinical Governance.

This form can be completed either by the Appraiser, the Local Administrator or the Appraisal Lead.

For Appraisers, consult with your Appraisal Lead before filling out this form. The completed Form 5C is stored on SOAR, and will be made available to the Responsible Officer for Revalidation purposes.

The most widely used definition of clinical governance is as follows:

"A framework through which NHS organisations are accountable for continually improving the quality of their services and safeguarding high standards of care by creating an environment in which excellence in clinical care will flourish."

G Scally and L J Donaldson, 'Clinical governance and the drive for quality improvement in the new NHS in England' BMJ (4 July 1998): 61-65

On SOAR, Form 5C is recorded in the same way as a 5A or 5B.

If no interview is created to log either 5B or 5C, please create an interview to do so. The interview meeting date for this does not matter. Completion of Form 5C does not mean the Appraisee in question is exempt from Appraisal. The Appraisee is still expected to proceed with the annual process. The logged Clinical Governance issue ensures that the RO is notified of this and factored into the revalidation decision making process.

5) Unlock Form 4 / Enable Additional Documents

When Form 4 is signed off, the appraisal interview is marked as completed, and the submitted Forms 1-3 are locked and archived, along with the signed-off Form 4.

There might be situations where the Appraiser will need to amend and provide further details on the Form 4, or the Appraisee might need to add more supporting information as part of their Revalidation (e.g. MSF, PSQ reports and reflections, etc).

In these situations, the Form 4 will need to be unlocked – as Local Admin, you have the function to do this, as well as enabling additional documents to be added.

To unlock Form 4, navigate to the interview, then to the Form 4 tab. Scroll to the bottom to find the "unlock" and "enable documents" buttons.

1) Search for interview either via user profile (User Search > Name > Appraisals) or Interviews page
2) Navigate to the interview's Form 4
3) Click on the "Unlock Form 4" button
4) When unlocked, there will be an "Enable Additional Documentation" button – click on this to allow the appraisee to add more supporting information

The system will send out automated emails to the Appraiser and Appraisee when either of the buttons are clicked.

6) Revalidation Dashboard

We've covered the essentials regarding dealing with login requests, and also how to assign Appraisers to Appraisees. You may also be asked to help the Responsible Officer (Medical Director) with accessing or checking details of appraisees who are due for Revalidation, or to assist with the Revalidation process itself.

SOAR has a "Revalidation Recommendation" dashboard, which allows you, the Appraisal Lead, and the RO to review someone's Revalidation status, and it also gives the RO the option to make the recommendation directly from SOAR to the GMC. The dashboard works by listing those deemed as "due" for revalidation in the system-defined "Ready" and "Not Ready" lists.

Ready/Not Ready lists

SOAR interacts with the GMC Connect system every evening to grab the latest Revalidation data, and SOAR is updated accordingly thereafter. Those marked as "Under notice" in their Revalidation profile means they are within 3 months of their revalidation date. **The dashboard on SOAR will only display those who are "under notice"**, and they are split into the Ready/Not Ready lists.

Those who meet the following system criteria will be shown on the "Ready" list. The appraisees must have:

- All "1" scorings in all the Core Elements in the 4 Domains in their appraisals
- At least 1x "1" scored in MSF
- At least 1x "1" scored in PSQ
- No more than 1x 5A logged against them
- No 5B or 5C logged against them
- "No issues" in their declarations in their latest signed off appraisal
- For GPs, they will have been marked by their appraiser as "on-track" for Revalidation in their latest signed off appraisal

Those who do not meet the system criteria above will automatically be placed in the "Not Ready" list – however, the **Local Admins, Appraisal Leads and/or the RO have the function to manually overwrite** anyone in the "Not Ready" list and move them over to the "Ready" list if deemed appropriate (and vice versa!).

The idea is that when the RO comes to review the Ready/Not-Ready lists, they can make a positive recommendation for those in the Ready list in a batch operation, and review those in the Not-Ready list individually and make a revalidation recommendation from there.

Only the RO can make the actual Revalidation Recommendation. By placing the appraisees in the relevant Ready/Not Ready lists, you are simply aiding the RO in the Revalidation process.

Those on the Ready list can be revalidated via a "batch" operation function (select list > Revalidate). Those on the Not Ready list will require individual review and recommendations (Defer / Non-engagement).

1) Click on "Revalidation Recommendation" from menu to get to dashboard

2) By default, it will bring up "Ready" list, but you can set the search filters as you need them

3) You can also search via the appraisees' penultimate GMC number (second last digit)

4) Don't forget to click Search

5) Searched results will be listed below.

6) **ROs** will have a Select All function…

7) …that allows them to make a positive recommendation for all those selected

When a recommendation has been made by the RO, it is held on SOAR for 24 hours before it is sent to the GMC. This gives the RO the opportunity to cancel/amend the recommendation if required.

The RO is given the same option to Revalidate someone on SOAR as they do via GMC Connect. The purpose of the dashboard is to allow the ROs to access the necessary appraisal records and reflect before making a recommendation, and to allow them to then make the recommendation from SOAR, rather than having to login separately to GMC Connect to do so.

To reiterate, you are NOT asked to make the recommendation in place of the RO. By placing appraisees in the Ready/Not Ready lists, you are assisting the RO in the decision-making process. We would expect you to have had discussions with the RO and/or the Appraisal Lead first before you action anything on the dashboard. If you are asked to make the recommendation on behalf of the RO, then we will need to assign you an RO role on SOAR – please contact the helpdesk if that's the case.

7) Sessional GP Claim forms

In liaison with NHS NSS (National Services Scotland), a Sessional Claim form for Sessional / Locum GPs was created on SOAR. This claim form is only available for GPs.

For those who are marked as "Sessional (Locum)" in the GPs' user profile page on SOAR, the Sessional Claim form will appear automatically once their Form 4 has been signed off. They are asked to complete this form and submit it for processing. The PSD team from NSS will log into SOAR every quarter to download the claim forms and process them **outside of SOAR**. We are not involved with the payment process.

From the local admins' point of view – the only thing you are asked to do is ensure that the Sessional GPs in your respective Health Boards are marked accordingly on their profile pages.

If for whatever reason, the appraisal was signed off but the claim form did not appear automatically for the Sessional GP, you can manually enable this for them. Simply navigate to the signed off appraisal and click the Enable Claim Form button. We as SysAdmin could also action this, but since we have no way to verify they are who they say they are, we will be reliant on your input and assistance with this.

Enabling Sessional GP Claim form:

1) In the GP's profile, ensure the "GP Role" is set to "Sessional (locum)".
2) If the claim form is not automatically generated, navigate to the appraisal details page and click the "Enable Claim Form" button
3) The Claim Form will appear automatically (but you won't be able to access this)

8)   Access / Permissions

SOAR access is based on user roles. For example, an Appraisee wouldn't be able to review someone else's appraisal records or documents, nor will an Appraiser be able to access details of those who have not been allocated to them.

On the Medical Appraisal Scotland website, there is a Permissions matrix document that shows which user role has access to what functions on SOAR:

http://www.appraisal.nes.scot.nhs.uk/help-me-with/soar/about-soar/security.aspx

9)   Reports

SOAR is about to undergo a significant overhaul of the reporting setup. We are aware that currently, due to the redesign and a mix of the Primary and Secondary Care online forms, some of the reports are no longer giving the correct counts. We will be creating brand new reports as part of the overhaul to ensure this is rectified.

In the meantime, the existing reports on SOAR should be self-explanatory by the report titles. General rule is to set the search filters to the required dates/periods and click Search. Most reports will have a description in the blue *"i"* icon in the top right for further information.

If there are any particular reports you need that are NOT available on SOAR, please get in touch and we will see how we can help. (Chances are, if you need the report, so will other Health Boards!)

10) Contacting the SOAR Helpdesk

Unfortunately, due to capacity, we currently do not offer telephone support for SOAR users, and we ask that you do not disclose our contact numbers to your doctors.

ALL SOAR queries are handled via the helpdesk. All they have to do is email SOAR@nes.scot.nhs.uk (or complete the online form via the "Help" box on SOAR) – we can call the users back if the query is particularly complex, **but we want to ensure that user support is directed to just one point of contact**.

It saves us (and the users) time in dealing with the queries.

11) Recap!

The majority of your time/tasks associated with SOAR will be:

- To deal with user login requests
- Allocate Appraiser/Appraisee (in liaison with your Appraisal Lead)

Additionally, you might receive requests to:

- Assist with the RO's revalidation recommendation lists
- Check an appraisee's appraisal history/records
- Unlock an appraisee's Form 4; and
- Enable the Appraisee to add more supporting info to a completed interview.

You are NOT expected to:

- Complete an appraisee's appraisal forms
- Upload any of their documents for them

For all SOAR related queries, please email the helpdesk – if you need to speak with any one of us over the phone, email the helpdesk and let us know what number to call you back on.

Do get in touch if you have any queries you are unsure of – we are here to help!

Please visit www.appraisal.nes.scot.nhs.uk for referencing.