

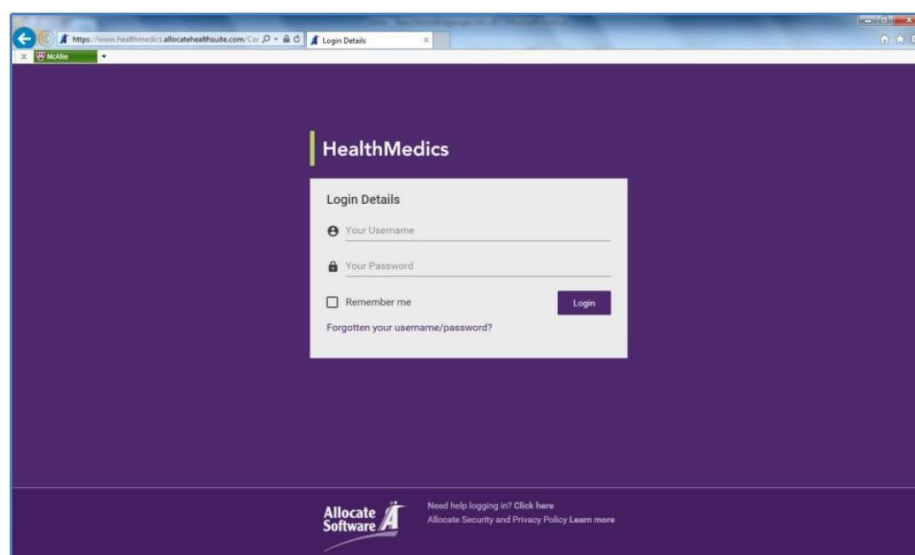
How to exception report – a 10 step guide for trainees on the new 2016 Terms and Conditions of Service (The 'New Junior Doctor's Contract')

STEP 1: Google 'Zircadian'. Top of the search list will be the login page for the Allocate software for exception reporting: Web address: <https://www.healthmedics.allocatehealthsuite.com/Core/>

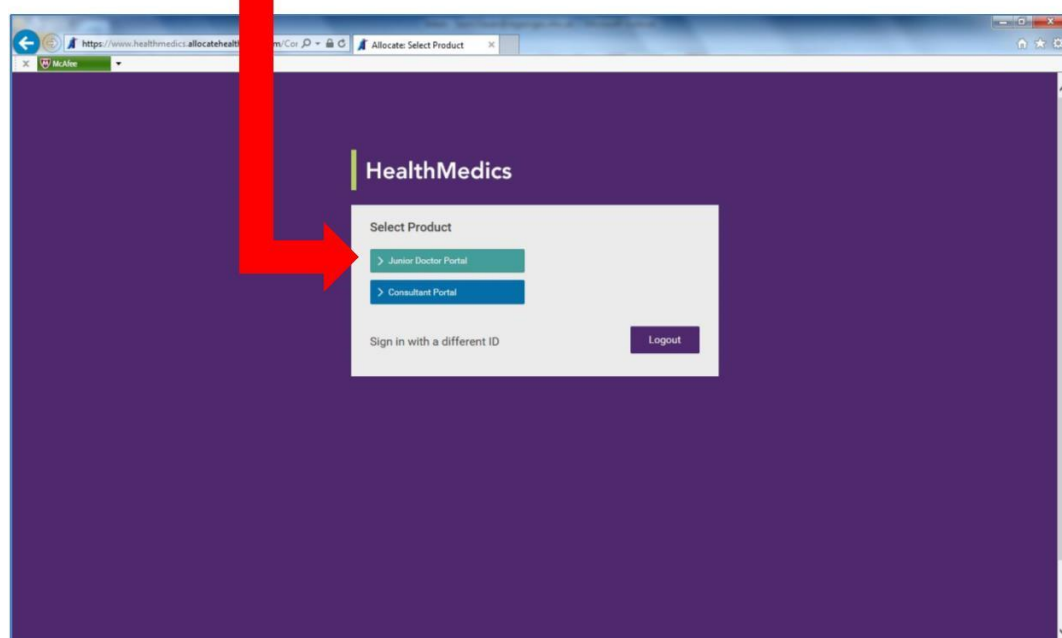
STEP 2: The Allocate system works best with FIREFOX or GOOGLE CHROME browsers. Use these if the page above shows any overlapping text

STEP 3: With your work schedules, you should have been sent log in details for the exception reporting system. IF NOT, please contact medical staffing. If you are a GP trainees please e-mail GPST@stgeorges.nhs.uk requesting these details

STEP 4: Log in to the screen below and follow the instructions below.



STEP 5: Click on Junior Doctor Portal



STEP 6: This will bring you to the screen below. To start an exception report click on 'Create New Exception'

The screenshot shows the 'My exception reports' dashboard. At the top, there are two counters: 'Exceptions in total' (0) and 'In Draft' (0). Below these is a table with columns: Submitted, Remaining days, Doctor, Trust, Reference, No. episodes, ISC, Rota, Supervisor, Type, Stage, State, Outcome, and Comments. A 'Create New Exception' button is located in the top right corner. A large red arrow points from this button towards the text in Step 6.

STEP 7: At the screen below:

Select **your rota from the drop-down menu.**

Then select **who you want your exception report to go to from the drop down menu.**

In most instances this will be the clinical supervisor for your placement. Some services will prefer these to go to educational supervisors and some services will have a departmental education lead (i.e. college tutor) who they want all exceptions to go to. Please check who the most appropriate person is with your clinical service lead. If the person is not listed, please contact Medical Staffing or GPST@stgeorges.nhs.uk.

Note: The report can only go to one person and will be copied automatically to the Guardian of Safe Working. The desired outcome for any extra hours you have worked is for you to get Time Off in Lieu (or Overtime Payment). Hence the report should go to the most appropriate person who can arrange this.

The screenshot shows the 'New Exception Report' form. It includes fields for 'Rota Name *', 'Supervisor *', 'Exception Type *', 'Exception date*', 'Occurrence time' (00:00), 'Variance from work schedule *' (0/5000), and 'Steps taken to resolve matters *' (0/5000). There is a checkbox for 'Immediate safety concern' and a button for 'Add Occurrence'. A red arrow points from the 'Supervisor *' dropdown menu towards the text in Step 7.

BEFORE CONTINUING, PLEASE READ EXTRACTS BELOW FROM 2016 TCS

“The generic work schedule will list and identify the intended learning outcomes (mapped to the educational curriculum), the scheduled duties of the doctor, time for quality improvement and patient safety activities, periods of formal study (other than study leave), and the number and distribution of hours for which the doctor is contracted.”

“Work schedule discussions should establish whether any changes in support or resources, or in planned service duties, are needed to enable the doctor to achieve the objectives within rostered working hours.”

“The educational supervisor will make every effort to agree with the doctor appropriate changes to the work schedule, and to implement the changes within a reasonable time, taking into account the remaining duration of the post/placement. If it is not possible to reach agreement or achieve the agreed outcome the doctor may exception report. ”

STEP 8: Select the exception type from the drop down menu.

If there has been a difference in the total hours of work (e.g. earlier start/later finish than start/finish times in work schedule), select **Difference in hours of work**. This should also be selected if **rest breaks** have been missed

Difference in pattern of hours worked – this should be selected if the sequencing of shifts differs from work schedule

Difference in educational opportunities or available support – this should be selected if educational opportunities or available support different to that stated in work schedule

Difference in the support available during service commitments – this should be selected if support during service commitments different to that stated in work schedule

The screenshot shows the 'eRota' web interface for 'St Georges University Hospitals NHS Foundation Trust'. The user is logged in as 'Dr Sunil Dasan'. The page title is 'New Exception Report'. The form contains the following fields:

- Rota Name ***: A dropdown menu.
- Supervisor ***: A dropdown menu.
- Exception Type ***: A dropdown menu, highlighted by a red arrow.
- Exception date***: A date input field.
- Occurrence time**: A time input field set to '00:00'.
- ☐ **Immediate safety concern**: A checkbox with a trash icon to its right.
- Add Occurrence**: A button with a plus icon.
- Variance from work schedule ***: A text input field with a character count '0/5000'.
- Steps taken to resolve matters ***: A text input field with a character count '0/5000'.

Then enter the date of the exception and time it occurred

If you have selected **Difference in the hours of work** you will be asked to specify whether the exception was for extra hours worked (Overtime) or Natural breaks or Rest. **Select one**

If you have selected Overtime, you will be asked to specify start and finish times. **Please specify the start and finish times of the ADDITIONAL hours you have worked.** Therefore if your work schedule specifies a finish time of 5pm and you worked till 7pm then you would enter this as shown below.

The screenshot shows the 'Create Exception Report' form. The 'Exception Type' is 'Difference in the hours of work'. The 'Exception date' is '18 Jul 2017' and the 'Occurrence time' is '17:00'. The 'Start' time is '17:00' and the 'Finish' time is '19:00'. The 'Normal time hours' are '02:00' and 'Night premium hours' are '00:00'. The 'Overtime' radio button is selected. There are also options for 'Natural Breaks', 'Rest', 'None', and 'Immediate safety concern'. A red arrow points to the 'Add Occurrence' button. At the bottom, there are fields for 'Variance from work schedule' and 'Steps taken to resolve matters', both with a '0/5000' character count. A note at the bottom states '* Indicates mandatory fields'. The form has 'SUBMIT', 'SAVE', 'CANCEL', and 'DELETE' buttons at the bottom.

Trainees must raise immediate safety concerns to patients or doctors to their duty senior or head of service immediately in person or by phone. This should be followed up by an exception report in 24 hours with the **Immediate Safety Concern (ISC)** box ticked. Examples of Safe Working ISCs include if doctors working hours exceed safe limits, if gaps between working hours are reduced to below safe limits or if doctor staffing levels are below safe limits.

Note: Multiple exception episodes can be entered in one report by clicking **Add Occurrence**.

If a trainee worked another 1 ½ hours on the following day, this may be entered as shown:

The screenshot shows the 'Create Exception Report' form with two occurrences of overtime. The first occurrence is for '18 Jul 2017' with a start time of '17:00' and a finish time of '19:00'. The second occurrence is for '19 Jul 2017' with a start time of '17:00' and a finish time of '18:30'. The 'Overtime' radio button is selected for both. The 'Normal time hours' are '02:00' and 'Night premium hours' are '00:00' for the first occurrence, and '01:30' and 'Night premium hours' are '00:00' for the second occurrence. A red arrow points to the 'Add Occurrence' button. The form has 'SUBMIT', 'SAVE', 'CANCEL', and 'DELETE' buttons at the bottom.

STEP 9: Enter narrative detail regarding your exception report. What was the variation from your work schedule? What was the reason for it? What steps had been taken (either at the time or previously) to highlight the issue /alert others / stop it from happening?

Entering as much detail here will enable your Supervisor and the Guardian of Safe Working to fully understand the detail behind the exception report

The screenshot shows a web browser window with the URL <https://www.healthmedics.allocatehealthsuite.com/Exc> and a tab titled 'Create Exception Report'. The form contains the following fields and options:

- Exception date***: 18 Jul 2017
- Occurrence time**: 17:00
- Start***: 17:00
- Finish***: 19:00
- Normal time hours**: 02:00
- Night premium hours**: 00:00
- Options**: ☒ Overtime, ☐ Natural Breaks, ☐ Rest, ☐ None, ☐ Immediate safety concern
- + Add Occurrence**
- Variance from work schedule ***: Procedure list finished at 7pm instead of 5pm (45/5000)
- Steps taken to resolve matters ***: This list always starts late and has more patients booked at the end of the list than at the beginning. As a result these lists frequently overrun. I have discussed this with my seniors and have tried to have discussions with individuals coordinating these lists and with the wider team. Unfortunately there has been no change during my time here. (352/5000)
- * Indicates mandatory fields**
- Buttons**: SUBMIT, SAVE, CANCEL, DELETE

STEP 10: Click **Submit**

The exception report will go to the Supervisor specified in the report and a copy will go to the Guardian of Safe Working if it is a working hours issue. Alternatively if it is a training issue, a copy will be sent to the Director of Medical Education.

The Supervisor will discuss with the trainee what action is necessary to address the variation or concern which has been reported. They will then specify an outcome in the report. The trainee will then be asked to agree or disagree with the response.

Further information:

For further help and assistance, please contact the Dr Rosy Wells, Guardian of Safe Working
GuardianofSafeWorking@stgeorges.nhs.uk