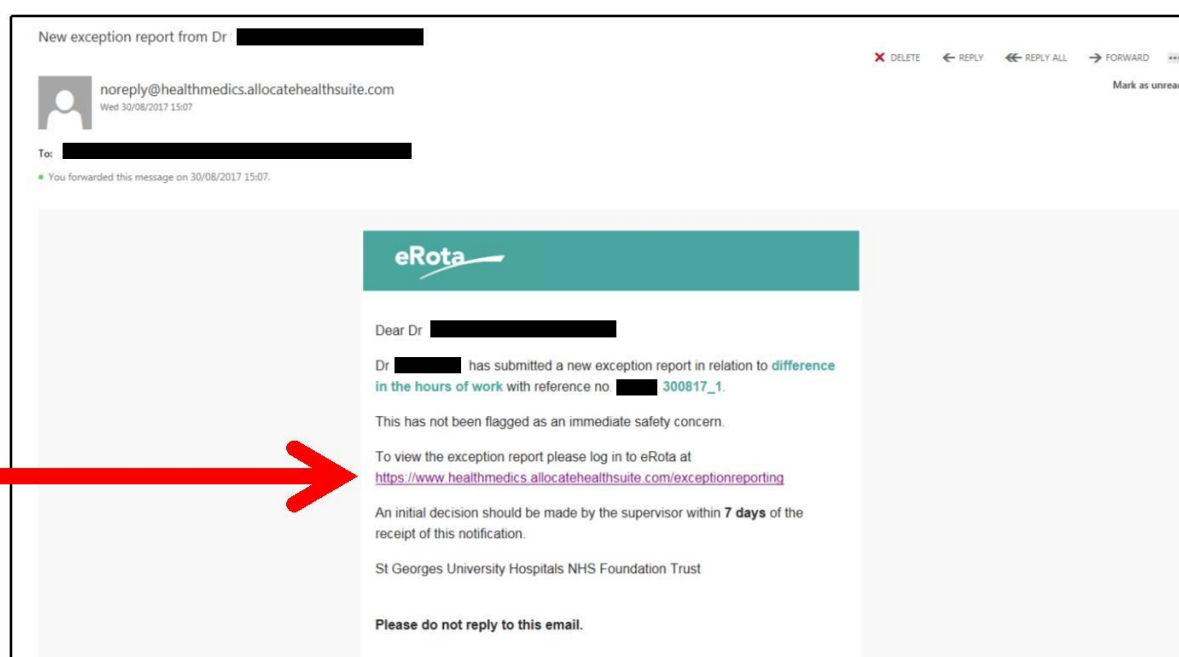


## How to respond to exception reports – a guide for supervisors responding to exception reports for trainees on the 2016 Terms and Conditions of Service (The 'New Junior Doctor's Contract')

**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/>

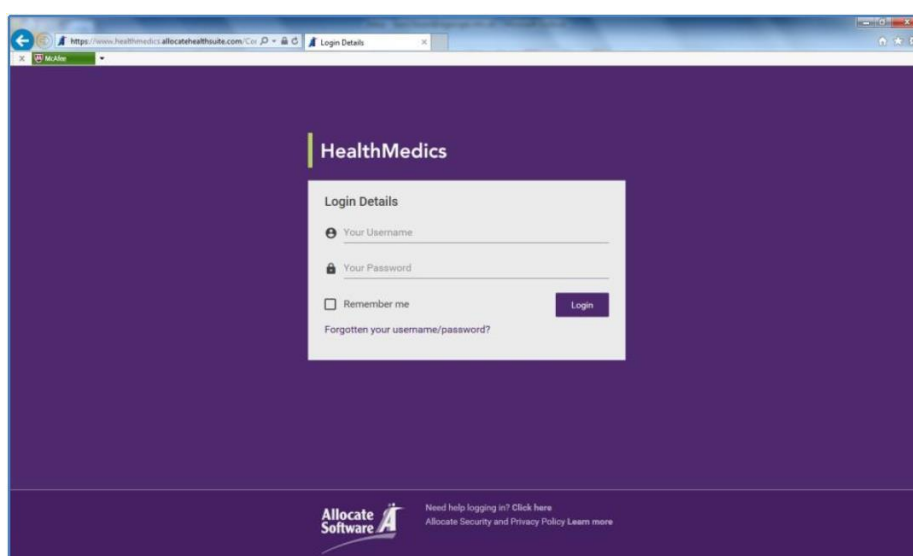
Alternatively you may be responding to an e-mail notification you have received of an exception report (such as the anonymised one shown below):



**Click on the link in the e-mail which should take you to the Allocate Log-in page**

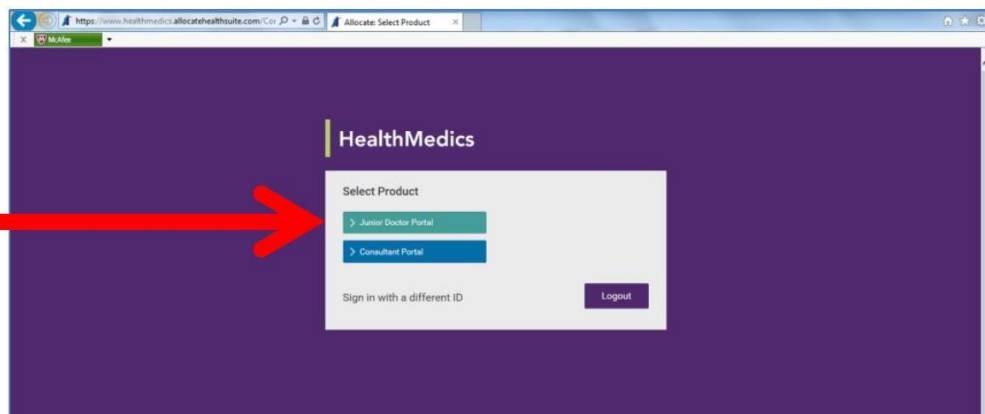
**STEP 2:** The Allocate system works best with FIREFOX or GOOGLE CHROME browsers. Use these if the Allocate log-in page shows any overlapping text

**STEP 3:** Log in to the screen below and follow the instructions below.

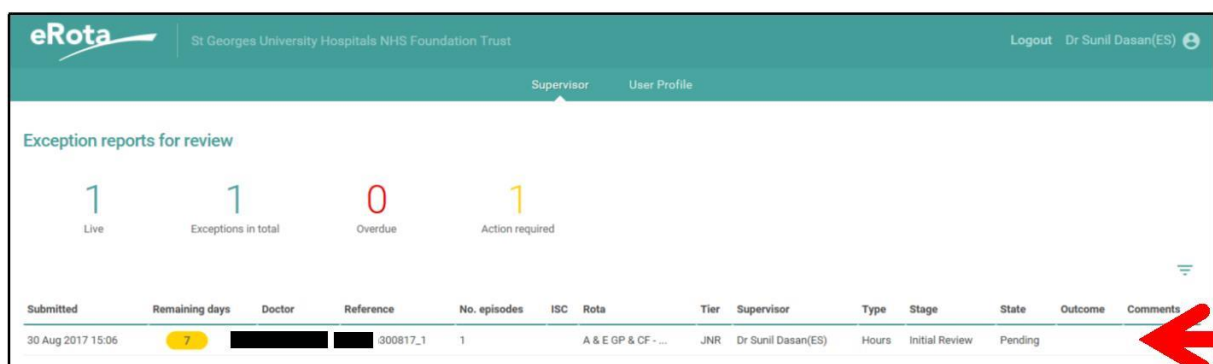


**STEP 4:** If you are a Consultant employed by St George's, you should have log in details (the same as you use for Zircadian job planning). PLEASE CHECK THE E-MAIL ADDRESS ON THE SYSTEM IS CORRECT as notifications about exception reports will go to this address. If you are a GP please e-mail [GPST@stgeorges.nhs.uk](mailto:GPST@stgeorges.nhs.uk) requesting these details if you do not have them.

**STEP 5:** Click on Junior Doctor Portal. If you do not have the Junior Doctor Portal button, you may still need to be set up on the system. Please e-mail [GuardianofSafeWorking@StGeorges.nhs.uk](mailto:GuardianofSafeWorking@StGeorges.nhs.uk) to ensure this happens



**STEP 6:** This will bring you to the screen below. This shows the number of exception reports you have for review. Click on the exception you wish to review.



**STEP 7:** This will bring to the screen below. Here you will see the exception report on the left. The section on the right is for you to complete.

The screenshot shows the 'Exception Report' form for Dr. [Redacted]. The form is divided into two main sections: 'Exception Report' on the left and 'Initial Review' on the right.

**Exception Report (Left):**

- Reference code: 300817\_1
- Rota name: A & E GP & CF - August 2017
- Supervisor: Dr Sunil Dasan(ES)
- Exception submitted on: 30 Aug 2017 15:06
- Exception episodes:
  - Difference in the hours of work: 28 August 2017 00:00
  - Overtime: Start: 16:30 Finish: 17:30 Normal time hours: 01:00 Night premium hours: 00:00
- Variance from the work schedule: Seeing patient in Resus. Patient septic and requiring aggressive fluid resuscitation. Left at 5.30 pm rather than scheduled finish time of 4.30pm

**Initial Review (Right):**

- Initial review - Pending
- Review meeting date: 16:09
- Review meeting attendees: 0/5000
- Review meeting notes: 0/5000
- Drop attachment files here, or click to select files to upload.
- Review meeting outcome: [Dropdown menu]
- Buttons: CANCEL, SUBMIT

**STEP 8:** You should discuss the exception report with your trainee before completing it. This will involve discussing the circumstances of the exception, any contributory factors to be addressed and **the actions to be taken in response to this exception**. An example of a response is shown below:

The most important aspect of the response is the **'Review meeting outcome'**. Please select an option from the drop down menu here.

In most instances the preferred solution for any additional hours worked will be to select the **'Compensation: Time off in lieu'** outcome. Details of when this time off in lieu will be taken should be provided in the review meeting notes.

If time off in lieu is not possible the **'Compensation: Overtime payment'** outcome should be used. **Payment will be actioned automatically** at the month end by medical staffing.

**STEP 9:** Click **Submit**. The exception will then appear in your dashboard as follows

Submitted	Remaining days	Doctor	Reference	No. episodes	ISC	Rota	Tier	Supervisor	Type	Stage	State	Outcome	Comments
30 Aug 2017 15:06	7	[REDACTED]	[REDACTED]	300817_1	1	A & E GP & CF - ...	JNR	Dr Sunil Dasan(ES)	Hours	Initial Review	Waiting For Doctor Agreement	Compensation: Time off in lieu	

**STEP 10:** The trainee will then be asked to **indicate their agreement /disagreement** with the exception report outcome.

If they disagree with the outcome, the exception will move to a Level 1 review where further efforts will be necessary to reach agreement with the trainee.

The screenshot shows a web interface for an 'Exception Report'. The left sidebar contains details about the report, including the reference code, trust name, rota name, supervisor, and submission date. The main content area is titled 'INITIAL REVIEW' and shows the 'Initial review' status as 'Waiting for doctor agreement'. It includes sections for 'Review meeting date', 'Review meeting attendees', 'Review meeting notes', 'Related Attachments', 'Review meeting outcome', and 'Doctor agreement'. A red arrow points from the text above to the 'Doctor agreement' section, which contains a message from the supervisor and two radio buttons: 'Agree' (selected) and 'Disagree'.

Exception Report — Dr [REDACTED]

Reference code  
[REDACTED] 300817\_1

Trust  
St Georges University Hospitals NHS Foundation Trust

Rota name  
A & E GP & CF - August 2017

Supervisor  
Dr Sunil Dasan(ES)

Exception submitted on  
30 Aug 2017 15:06

Exception episodes

Difference in the hours of work  
28 August 2017 00:00

Overtime  
Start: 16:30 Finish: 17:30  
Normal time hours: 01:00 Night premium hours: 00:00

Variance from the work schedule  
Seeing patient in Resus. Patient septic and requiring aggressive fluid resuscitation. Left at 5:30 pm rather than scheduled finish time of 4:30pm

Steps taken to resolve matters  
Resus busy with other patients. Unable to hand over my patient as other doctors busy. Stayed to ensure patient safety, to ensure all treatment given in a timely manner, to liaise with ICU and to refer patient appropriately

INITIAL REVIEW LEVEL 1 LEVEL 2 FINAL

Initial review — Waiting for doctor agreement

Review meeting date  
01 Sep 2017 16:09

Review meeting attendees  
Dr \*\*\*\*\*  
Dr S Dasan

Review meeting notes  
Discussed exception. Dealing with sick patient. Had to stay late as patient required treatment /stabilisation and other members of team dealing with patients. Tried to escalate to consultant at time but they were also busy.

Discussed options if similar situation were to arise again. Unlikely to be any other solution but to continue to treat patient and take time in lieu at the beginning or end of another shift when able. To compensate for this episode, Dr \*\*\*\*\* to take 1 hour as time off in lieu when next on shift on 4th September (I am also on duty so they may start their shift 1 hour later than their rostered start time). I will inform the rota coordinator

Related Attachments  
No Documents attached

Review meeting outcome  
Compensation: Time off in lieu

Doctor agreement

After their review, your supervisor has recommended the outcome to be compensation: time off in lieu. Do you:

☒ Agree  
☐ Disagree

For full details of the actions following an exception report, please see the [Safe Working](#) and [Training Issues](#) flow charts.

### Further information

For further help and assistance, please contact the Dr Rosy Wells, Guardian of Safe Working

[GuardianofSafeWorking@stgeorges.nhs.uk](mailto:GuardianofSafeWorking@stgeorges.nhs.uk)

