

### Immediate safety concerns...

In cases when the doctor believes there is an immediate and substantive risk to the safety of patients or of the doctor, the doctor must:

- ✚ Raise it immediately (orally) with the clinician responsible for the service
- ✚ Log the exception on the DRS4 Exception Reporting system within 24 hours of the occurrence

Where the supervising Clinician believes there is a serious and immediate risk:

- ✚ doctor is granted immediate time off and/or given immediate support
- ✚ clinician notifies Educational Supervisor and Guardian within 24 hours (orally)
- ✚ Clinical Supervisor undertakes immediate Work Schedule Review, and ensures appropriate remedial action is taken

### Exception Reporting At A Glance



## Junior Doctors

### Terms and Conditions of Service for NHS Doctors and Dentists in Training (England) 2016

### Summary of the Exception Reporting Procedure

The purpose of this pamphlet is to provide Junior Doctors with a brief overview of the Exception Reporting procedure, which supports critical elements of the Terms and Conditions of Service for NHS Doctors and Dentists in Training (England) 2016, in particular the maintenance of safe working hours and doctors' education and training. For full details of the Trust's Safe Working Hours Exception Reporting and Work Schedule procedure, please visit the Trust's intranet.

## The PURPOSE of Exception Reporting

- ✚ A mechanism for Junior Doctors to inform the Trust if day-to-day work varies significantly and/or regularly from their agreed schedule, impacting upon, or likely to impact upon patient safety, doctor safety or doctors' education and training
- ✚ Primarily, variations will be differences in:
  - ✓ Total hours of work (including rest breaks, on-call hours worked)
  - ✓ Pattern of hours worked
  - ✓ Educational opportunities and support available to the doctor
- ✚ To ensure that prompt resolution and/or remedial action is taken
- ✚ To be used if a doctor believes he/she is entitled to claim appropriate compensation for additional hours worked, beyond their agreed work schedule, to secure patient safety, but the claim for additional pay or time off in lieu has been declined

Formal Exception Reports and responses are reviewed by the Guardian to identify frequency & patterns, consider fines, etc.

## Stage 1 – Formal Exception Reporting

- ✚ Doctor logs the concern via the DRS4 Exception Reporting system. Doctor submits the exception log to their Clinical Supervisor
- ✚ Doctors should raise concerns ASAP after the exception occurs and, in any event, within 14 days (7 days if claiming for additional pay/lieu time)
- ✚ Clinical Supervisor discusses with doctor, and facilitates or implements any investigation and/or consideration with the Rota Co-ordinator, and/or other relevant parties, to decide what, if any, action must be taken.
- ✚ Clinical Supervisor sets out the agreed outcome via the DRS4 Exception Reporting system which generates an electronic response to the doctor
- ✚ If the outcome is a failure to agree, or that a work schedule review is required, then the Work Schedule Review process should be invoked via the DRS4 Reporting system

## Stage 2 – Work Schedule Review

- ✚ Raised if the matter is not satisfactorily resolved at stage 1
- ✚ Doctor logs the concern via the DRS4 Exception Reporting system, indicating that they wish to escalate the concern to a Level 1- work schedule review WSR).
- ✚ Clinical Supervisor arranges to meet with the Doctor within 7 working days of receipt of WSR (ideally). Supervisor discusses with doctor, and facilitates or implements any investigation and/or consideration with the Rota Co-ordinator, and/or other relevant parties, to decide what, if any, action must be taken.
- ✚ Clinical Supervisor sets out the agreed outcome via the DRS4 Exception Reporting system which generates an electronic response to the doctor
- ✚ If the outcome is a failure to agree, then the Level 2 - Work Schedule Review process should be invoked within 14 working days of receiving the outcome of the Level 1 review, to either DME (training concerns) or GSWH (safe working hours concerns)