

# How to Exception Report - Practical Guide for Residents

## What is an Exception Report?

Exception reports are used when day-to-day work varies significantly and/or regularly from the agreed work schedule. Exception reports could relate to:

- variation in the hours of work and/or rest;
- or the pattern of work;
- or missed educational or learning opportunities;
- or a lack of support available to the doctor

***Please note, following national agreement a new process is coming. Further information will be shared in due course.***

Exception Reports must be submitted via the Allocate Exception Reporting tool. In accordance with the Terms and Conditions of Service, Exceptions Reports must be submitted within 14 days of the Exception taking place or 7 days where payment is a possible outcome. As such it is recommended that all Exceptions Reports are submitted within 7 days of the Exception taking place. Exception Reports submitted outside of this timeframe may not be accepted.

You will be sent your log-in details prior to, or on your commencement in post.

***Please ensure that you log in to the platform to see if you are able to login successfully and are able to access the system.***

If you have either **not** received your login details or you are **not** able to login to the system, please contact the Guardian Administrator at [cuh.guardian@nhs.net](mailto:cuh.guardian@nhs.net) for support.

If you have not used the Allocate system for monitoring or Exception Reporting at a previous Trust you will receive an email from [noreply@healthmedics.allocatehealthsuite.com](mailto:noreply@healthmedics.allocatehealthsuite.com) with your username and password and be prompted to change your password on first log in.

If you have used the Allocate system for monitoring or Exception Reporting at a previous Trust your account details will remain the same. As your user account is attached to a specific Trust, upon commencement with CUH, your account will be moved from your previous Trust to CUH to allow you to exception report. If you are unsure of your log-in details please contact the Guardian Administrator via [cuh.guardian@nhs.net](mailto:cuh.guardian@nhs.net) who will be able to re-set your account for you.

The Guardian Administrator is able to, and will, update your work email address in the system to your NHS.net email address. However we are only able to update a personal email address for those accounts which we create as new. If you have an existing account, only you can change your personal email address by updating your account information. This can be done by clicking your name on the top right hand side of the screen.

Access is gained from the existing Health Medics address:

<https://www.healthmedics.allocatehealthsuite.com/Core/>

As this is a web-based system it is accessible via any device with an internet connection. The exception reporting tool has been designed to enable access to all screens on mobile devices. Please note: This system is compatible with Internet Explorer 11 and later, and also Chrome, Firefox and Safari. The Trust computers run Internet Explorer 9 therefore if you are in the Trust please use Chrome.

### The Exception Reporting System

Upon logging into the system, doctors will be directed to the new exception reporting dashboard, which should look like this:

Created	Submitted	Reference	Rota	Type	EDSU	Stage	State	Outcome
30 Sep 2016	30 Sep 2016 01:29	hkenne300916_4	General Surgery ...	Hours	Dr Trevor Edsu	Level1	Waiting For Doctor Agreement	Prospective Changes
30 Sep 2016	30 Sep 2016 10:40	hkenne300916_3	General Surgery ...	Hours	Dr Trevor Edsu	Initial Review	-	-
30 Sep 2016	30 Sep 2016 09:42	hkenne300916_2	General Surgery ...	Hours	Dr Trevor Edsu	Final	Pending	-

(Desktop view)

To see more detail of an on-going or completed exception report you just need to click the related row on the grid.

### Submitting an Exception Report

To submit a new exception report you need to click the button 'Create New Exception' on the top right of the screen. This will take you to the following page:

Back To Exceptions

Rota Name\*

Educational Supervisor\*

Exception Type\*

Occurance time

Exception date\* 00:00

☐ Immediate safety concern

(Mobile view)

You will need to include the following information:

- Rota name - This is a smart search of all live rotas here at CUH. Your rota name is listed on your **work schedule** e.g. General Surgery FHO1 2016, ENT Junior 2016 etc.
- Educational Supervisor - This is a smart search of all active Educational Supervisors (ES) here at CUH. Your Educational Supervisor will be allocated to you as part of your local induction. If you are unable to locate your ES on this list please contact the Guardian Administrator via [cuh.guardian@nhs.net](mailto:cuh.guardian@nhs.net) who will be able to add them to the system.

**Please note:** Once your Exception Report has been submitted we will temporarily re-allocate your ES to 'Guardian Administrator' in order to assist with the administrative requirements managing your Exception Report. It is important that you select your ES and not the 'Guardian Administrator' [from the smart search] as this will cause a delay in processing your report until your correct ES is identified.

- Exception Type - This is a drop down list containing 4 categories:
  - Difference in the hours of work
  - Difference in the pattern of hours worked
  - Difference in educational opportunities or available support
  - Difference in the support available during service commitments

If you select the Exception Type 'Difference in hours or work' you will be given 4 options to choose from:

- Overtime
- Natural Breaks
- Rest (this applies to both the rest between shifts, if this is fewer than the required 11 hours, or the 5 hours of rest required whilst on a non-resident on-call shift between the hours of 22:00-07:00)
- None

If you select 'Overtime' you are required to indicate **the start and finish times of the overtime period** not the full length of the shift worked; this in turn will calculate the number of normal time and night premium hours that the period covers. The start and finish times of the overtime period are automatically rounded to the nearest 15 minutes. The start and end time of the overtime period should be written in 24 hour clock.

Exception Type\*  
Difference in the hours of work

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Exception date*	Occurrence time
7 Feb 2017	00:00

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☒ Overtime

Start*	Finish*
17:30	22:45

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Normal time hours: 03:30  
Night premium hours: 01:45

☐ Natural Breaks  
☐ Rest  
☐ None  
☒ Immediate safety concern



- Exception episode - multiple exception episodes can be added to a single exception report as long as they are all of the same type e.g. difference in hours on 3 out of 5 of your working days that week; this can be submitted on one exception report.

If on the same day you are reporting two of the four categories of exception these must be submitted on separate exception reports e.g. your hours varied and you missed an educational opportunity; they can only be submitted in two reports.

Each episode must have a date however the occurrence time is non-mandatory. If you are submitting an exception report for a difference in work hours please include the occurrence time, either here or in the free text later in the report. If you do not provide this information, we will be required to contact you to clarify these details, which is likely to result in a short delay in your exception report being actioned.

For each episode, doctors can indicate whether or not this was an immediate safety concern (ISC) by checking the tick box. ISCs progress through the workflow like all other exception reports, however they are red flagged as important issues on ES, GOSWH, DME and Guardian Administrator dashboards.

- Variance from work schedule - This is a free text field for you to indicate why the episode is different from your contracted rota and responsibilities e.g. 'I worked an additional two hours this evening as my Consultant didn't commence their ward round until 5pm'. Please do not just enter 'I worked an additional two hours because I was busy completing jobs.' This is not sufficient detail and you will be contacted by the Guardian Administrator to provide more information. Specific detail such as patient hospital numbers that you looking after are not required at this stage (and is not likely to ever be required, in the event that it is, this can be easily obtained from EPIC) but basic detail is

important for issues to be addressed, or there will be a delay in processing the report

- Steps taken to resolve matters prior to escalation - This is a free text field enabling you to indicate, where it has been possible, any previous actions or discussion that have taken place prior to submission of the report e.g. 'My Consultant, Mr Smith, asked me to stay an additional two hours due to clinic overrunning and agreed that I should be paid for these hours' or 'My Consultant, Mr Smith, asked me to stay an additional two hours as our last case in theatre started late and agreed that I could come in two hours later than my normal start time tomorrow'.

The Consultant should either be agreeing that the overrun is necessary and that an Exception Report will be submitted; or they can determine that the overrun isn't necessary and that any outstanding activity should either be passed over to the relevant person, or can be done the following shift allowing you to leave on time.

Where there is a critical patient safety event requiring you to stay late to complete this it is not expected that you cease your clinical intervention to seek permission to stay from a Consultant. In this case you should enter something like 'There was a patient crashing which resulted in my staying an additional two hours. The Consultant responsible for this patient was Mr Smith.' Please however ensure that you discuss the overrun with a Consultant prior to leaving for the day so that they are aware this took place.

Please ensure that the name of the Consultant that the overrun is discussed with is included in this section.

When you are logged in via a desktop, there is further help text available when completing a new Exception Report which you can access this by clicking the help '?' at the top right of the screen. This will then display the help panel. This is not currently available on mobile devices.

Once you have completed the required detail you will have the following options:

- Submit - saves the exception report and submits the details. A submitted exception report can no longer be edited by the doctor.
- Save - saves the exception report in a draft stage so that it can be edited and submitted at a later point. A draft exception cannot be viewed by any other user.
- Cancel - reverts the user back to the dashboard without saving any of the entered details.
- Delete - available only for those exceptions in draft. This deletes the exception report; this action cannot be undone.

### Outcome of Exception Report

You will receive one of two notifications:

- A request for further information
- An Exception Report outcome

Both of these types of notification will be sent to you via your work and personal email address within the system.

If you are asked to provide further information you will be able update the original exception report with the information required. You will then be able to re-submit the report for review.

If you are sent an outcome, at any stage of the process, **you are required to either agree or disagree with the decision made.**

#### Doctor agreement

After their review, your educational supervisor has recommended the outcome to be **no further action**.

Do you:


☐ Agree

☒ Disagree

Please indicate why you have disagreed with the initial decision

xxx xx xxxx xxx xxxx x

Please note that on submit, your work schedule will be moved to the level 1 work schedule review stage.

 CANCEL

 SUBMIT

**If payment, TOIL or a work schedule review form part of the outcome sent to you, we cannot action this (you will not get paid), until we receive confirmation of your acceptance of the Exception.**

If you disagree, you will still need to respond to the Exception, providing a comment and once submitted the Exception will automatically then be escalated to the next level.

If, after 14 days, you have not selected either Agree or Disagree, the Exception will be listed as 'Unresolved', the countdown will cease, and no further action will be able to be undertaken until you complete the Exception.

Once agreement has been reached the Exception Report will be listed as 'Complete' within the system.

Agreement at any stage will result in the completion of the process, whilst disagreement will require comment and the report will move to the next review stage (Level 1, Level 2 or Final).