

## QUARTER 4

### QUARTERLY REPORT ON SAFE WORKING HOURS MAY 2017 – JULY 2017: DOCTORS AND DENTISTS IN TRAINING

#### 1. Executive summary

A mandatory component of the new Junior Doctors' contract implemented in 2016 is the process of 'Exception Reporting'. This was to formally record any deviations in implementation that might involve the number of hours worked, rest periods, patterns of work, level of support at work, problems with access to educational activities or any other issue that might affect the safety of staff and patients. The role of 'The Guardian' was implemented, the Guardian of Safe Working (GOSW) is an independent person who will monitor, escalate and intervene when there were deviations in Junior Doctors' working patterns from the agreed work schedules.

Quarterly reports from the Guardian provide updates regarding Quality Assurance and the implementation of the new contract and any safety issues encountered.

The Guardian will prepare, no less than quarterly, a report for the trust board or equivalent body, which summarizes all exception reports, work schedule reviews and Rota gaps, and provides assurance on compliance with safe working hours by both the employer and doctors in approved training programs.

The Guardian of Safe Working hours was appointed in December 2016 and the first quarterly report was unfortunately outside the standard quarterly time lines. Previous data confirms that from the point of transition (1st December 2016) to the end of March 2017 there were a total of 135 exception raised. This quarterly report refers to May – July 2017 and reports 26 exceptions raised. During April 2017 there were a total of 11 exceptions raised.

There has been a significant decrease in the number of exceptions raised, this has been fed-back as a result of changes to working patterns, recognition for additional bank / agency shifts. It is expected that these will increase over the next quarter due to the intake of new FY1 doctors who will be embedding into their new roles as a doctor and new to SUH.

Quarterly reports will be available in November for August to October data (Q1), February for November to January data (Q2), May for February to April data (Q3) and finally August for May to July data (Q4)

The Guardian will oversee all diversity and equality issues associated with ensuring safe working practices. This will include liaison with the DME to ensure that a member of the educational faculty in the trust is designated as a champion for flexible training.

The essence of the report is to identify and ensure Trust compliance with NHS guidelines for the implementation of the new TCS as outlined in appendix 1.

## 2. Introduction

The purpose of the new Doctors in training contract is to ensure that doctors in training are fully trained and work in ways that are safe and fair. This is reflected in the 2016 TCS (appendix 1) in training which references the role of the guardian of Safe Working Hours.

The local pathway for Exception Reporting has been designed on the lines of the national template with some minor changes to suit local situations. The Exception Report is sent to the Clinical Supervisor and copied to the GOSW and the Guardian team. This is followed by an 'Initial Meeting' between the trainee and the Clinical Supervisor to discuss the circumstances leading to the report and achieve local resolution, usually by appropriate financial compensation or Time off in Lieu (TOIL).

If a pattern is identified this would result in a 'Work Schedule review'. Any Immediate Safety Concern (ISC) would require a meeting and remedial actions within 24 hours. The GOSW monitors the progress of this process and will send a standard reminder emails or talk to the trainee / supervisor in person when progress is slow or reports overdue.

Fines will be levied on the directorate, in line with standard national recommendations relating to breaches in the T&Cs.

There are two types of exception reports, one linked to additional hours and one linked to failure to obtain educational exposure.

### 3. High level data for [Lead Employer Trust]

- Number of doctors / dentists in training (total): 151
- Number of doctors / dentists in training on 2016 TCS (total): 113
- Amount of time available in job plan for guardian to do the role: 1 PAs
- Admin support provided to the guardian (if any): 0.25 WTE
- Amount of job-planned time for educational supervisors: 0.25 PAs per trainee
- Junior Doctor Forum: Rolled out December 2016
- Exception reporting system: Rolled out December 2016
- Exception reporting system training: Ongoing

#### 3.1. Exception reports (working hours) May to July 2017

| Exception reports by department |  |                       |                       |                            |
|---------------------------------|--|-----------------------|-----------------------|----------------------------|
| Specialty / Department          | No. exceptions carried over from last report | No. exceptions raised | No. exceptions closed | No. exceptions outstanding |
| A&E                             |  |                       |                       |                            |
| Anaesthetics                    |  |                       |                       |                            |
| General Medicine                | 4  | 23                    | 4                     | 23                         |
| ENT                             |  |                       |                       |                            |
| General Surgery                 |  | 3                     | 3                     | 0                          |
| Heamatology                     |  |                       |                       |                            |
| Obs & Gynae                     |  |                       |                       |                            |
| Oncology                        |  |                       |                       |                            |
| Ophthalmology                   |  |                       |                       |                            |

|                 |          |           |          |           |
|-----------------|----------|-----------|----------|-----------|
| Orthopaedics    |          |           |          |           |
| Palliative Care |          |           |          |           |
| Paediatrics     |          |           |          |           |
| Psychiatry      |          |           |          |           |
| Radiology       |          |           |          |           |
| Sexual Health   |          |           |          |           |
| Stroke          |          |           |          |           |
| Urology         |          |           |          |           |
| Vascular        |          |           |          |           |
| <b>Total</b>    | <b>4</b> | <b>26</b> | <b>7</b> | <b>23</b> |

| Exception reports by grade |  |                       |                       |                            |
|----------------------------|--|-----------------------|-----------------------|----------------------------|
| Grade                      | No. exceptions carried over from last report | No. exceptions raised | No. exceptions closed | No. exceptions outstanding |
| F1                         | 4  | 26                    | 7                     | 23                         |
| F2                         |  |                       |                       |                            |
| CT1-2 / ST1-2              |  |                       |                       |                            |
| ST3-8                      |  |                       |                       |                            |
| <b>Total</b>               | <b>4</b>                                     | <b>26</b>             | <b>7</b>              | <b>23</b>                  |

| Exception reports by rota |  |                       |                       |                            |
|---------------------------|--|-----------------------|-----------------------|----------------------------|
| Specialty                 | No. exceptions carried over from last report | No. exceptions raised | No. exceptions closed | No. exceptions outstanding |
| AMU FY1/ST (4 Drs)        |  | 3                     |                       | 3                          |
| General Medicine FY1      | 4  | 20                    | 4                     | 20                         |
| General Surgery FY1       |  | 3                     | 3                     | 0                          |
| <b>Total</b>              | <b>4</b>                                     | <b>26</b>             | <b>7</b>              | <b>23</b>                  |

| Exception reports (response time) |                           |                         |                                 |            |
|-----------------------------------|---------------------------|-------------------------|---------------------------------|------------|
|                                   | Addressed within 48 hours | Addressed within 7 days | Addressed in longer than 7 days | Still open |
| F1                                |                           | 1                       | 6                               | 23         |
| F2                                |                           |                         |                                 |            |
| CT1-2 / ST1-2                     |                           |                         |                                 |            |
| ST3-8                             |                           |                         |                                 |            |
| <b>Total</b>                      |                           | <b>1</b>                | <b>6</b>                        | <b>23</b>  |

### 3.2. Work schedule reviews

Work schedule reviews were undertaken for Foundation year doctors Rota's in both General Medicine and General Surgery. These were in part required due to Rota gaps which recruitment are working hard to address, and also due to patterns of days off on the Rota's. The outcome of the review is that new Rota's have been introduced to both areas at rotation and will be monitored to ensure they meet the needs of the departments.

It is important to note that a number of the Trust Rota's are supported by Trust doctors (Doctors not in training) and with the current vacancy rate averaging at c 16% this is having an impact on increased working hours for both doctors in training and Trust doctors.

| Work schedule reviews by grade |   | Department                               |
|--------------------------------|---|--|
| F1                             | 2 | General Medicine (1) General Surgery (1) |
| F2                             | 2 | General Medicine (1) General Surgery (1) |
| CT1-2 / ST1-2                  |   |  |
| ST3+                           |   |  |

## 4. Bank bookings - May to July 2017

### 4.1. Bank by Specialty

| Specialty        | Number of shifts requested | Number of shifts worked | Number of shifts offered to agency | Number of hours worked by bank |
|------------------|----------------------------|-------------------------|------------------------------------|--------------------------------|
| A&E              | 217                        | 55                      | 162                                | 383.5                          |
| Anaesthetics     | 47                         | 12                      | 35                                 | 162                            |
| General Medicine | 1371                       | 290                     | 1078                               | 2223.25                        |
| ENT              |                            |                         |                                    |                                |
| General Surgery  | 351                        | 54                      | 297                                | 497.08                         |
| Heamatology      | 283                        | 56                      | 227                                | 438.5                          |
| Obs & Gynae      | 92                         | 87                      | 5                                  | 852                            |
| Oncology         | 95                         | 31                      | 64                                 | 317                            |
| Ophthalmology    | 86                         | 31                      | 55                                 | 289                            |
| Orthopaedics     | 466                        | 44                      | 422                                | 407                            |
| Palliative Care  |                            |                         |                                    |                                |
| Paediatrics      | 497                        | 134                     | 363                                | 1320.33                        |
| Psychiatry       |                            |                         |                                    |                                |
| Radiology        | 83                         |                         | 83                                 |                                |
| Sexual Health    |                            |                         |                                    |                                |
| Stroke           | 198                        | 52                      | 146                                | 464.42                         |
| Urology          | 119                        | 6                       | 113                                | 79                             |
| Vascular         |                            |                         |                                    |                                |
| <b>Total</b>     | <b>3905</b>                | <b>855</b>              | <b>3050</b>                        | <b>7438.08</b>                 |

#### 4.2. Bank by Grade

| Specialty     | Number of shifts requested | Number of shifts worked | Number of hours worked |
|---------------|----------------------------|-------------------------|------------------------|
| F1            |                            | 129                     | 1064.75                |
| F2            |                            | 107                     | 995.33                 |
| CT1 – ST1     |                            | 113                     | 920.25                 |
| ST2+          |                            | 53                      | 408.5                  |
| Specialty reg |                            | 206                     | 1983.08                |
| Specialty Doc |                            | 181                     | 1566.92                |
| Consultant    |                            | 66                      | 499.25                 |
| <b>Total</b>  | <b>3905</b>                | <b>855</b>              | <b>7438.08</b>         |

#### 4.3. Bank Requests by Cover Reason

| Cover request reason | Bank       | Agency      | Unfilled   | Grand Total |
|----------------------|------------|-------------|------------|-------------|
| Annual Leave         | 6          | 41          |            | 47          |
| Change Over          | 1          |             |            | 1           |
| Compassionate Leave  | 3          | 29          |            | 32          |
| Dependency Up        | 10         | 63          | 31         | 104         |
| Sickness L. Term     | 1          | 26          | 14         | 41          |
| Sickness Short Term  | 8          |             | 2          | 10          |
| Study Day            | 6          |             |            | 11          |
| Urgent Leave         | 5          |             |            | 5           |
| Vacancy              | 813        | 1968        | 873        | 3654        |
| <b>Total</b>         | <b>855</b> | <b>2127</b> | <b>920</b> | <b>3905</b> |

### 5. Agency Bookings – May to July 2017

#### 5.1. Agency Bookings by Specialty

| Specialty        | Number of shifts requested | Number of shifts worked | Number of hours worked* |
|------------------|----------------------------|-------------------------|-------------------------|
| A&E              | 162                        | 125                     | 1060                    |
| Anaesthetics     | 35                         | 23                      | 138                     |
| General Medicine | 1078                       | 751                     | 6768.92                 |
| ENT              |                            |                         |                         |
| General Surgery  | 297                        | 110                     | 1142.5                  |
| Haematology      | 227                        | 151                     | 1669.59                 |
| Obs & Gynae      | 5                          |                         |                         |
| Oncology         | 64                         | 61                      | 481                     |
| Ophthalmology    | 55                         | 51                      | 448.25                  |
| Orthopaedics     | 422                        | 365                     | 3544.83                 |

|                 |             |             |                |
|-----------------|-------------|-------------|----------------|
| Palliative Care |             |             |                |
| Paediatrics     | 363         | 248         | 2429.5         |
| Psychiatry      |             |             |                |
| Radiology       | 83          |             |                |
| Sexual Health   |             |             |                |
| Stroke          | 146         | 141         | 1385.66        |
| Urology         | 113         | 101         | 1032.25        |
| Vascular        |             |             |                |
| <b>Total</b>    | <b>3050</b> | <b>2127</b> | <b>20100.5</b> |

### 5.2. Agency Booking By Grade

| Specialty     | Number of shifts requested | Number of shifts worked | Number of hours worked |
|---------------|----------------------------|-------------------------|------------------------|
| F1            |                            | 49                      | 567                    |
| F2            |                            | 272                     | 2771.33                |
| CT1 – ST1     |                            | 50                      | 488.75                 |
| ST2+          |                            | 159                     | 1567.5                 |
| Specialty reg |                            | 161                     | 1582.17                |
| Specialty Doc |                            | 102                     | 929.25                 |
| Consultant    |                            | 1284                    | 11759.25               |
| <b>Total</b>  | <b>3050</b>                | <b>2127</b>             | <b>20100.5</b>         |

### 5.3. Agency Booking Cover Reason

| Cover request reason | Bank       | Agency      | Unfilled   | Grand Total |
|----------------------|------------|-------------|------------|-------------|
| Annual Leave         | 6          | 41          |            | 47          |
| Change Over          | 1          |             |            | 1           |
| Compassionate Leave  | 3          | 29          |            | 32          |
| Dependency Up        | 10         | 63          | 31         | 104         |
| Sickness L. Term     | 1          | 26          | 14         | 41          |
| Sickness Short Term  | 8          |             | 2          | 10          |
| Study Day            | 6          |             |            | 11          |
| Urgent Leave         | 5          |             |            | 5           |
| Vacancy              | 813        | 1968        | 873        | 3654        |
| <b>Total</b>         | <b>855</b> | <b>2127</b> | <b>920</b> | <b>3905</b> |

## 6. Medical Trainee Vacancies

| Specialty                | Grade              | Quarter 1<br>Aug 2016<br>to Oct<br>2016 | Quarter 2<br>Nov 2016<br>to Jan<br>2017 | Quarter 3<br>Feb 2017<br>to Apr<br>2017 | Quarter 4<br>May 2017<br>to July<br>2017 | Total gaps<br>(average<br>WTE) |
|--------------------------|--------------------|---|---|---|--|--------------------------------|
| A&E x 14                 | F2, ACCS,CT3+,ST3+ | 11                                      | 11                                      | 11                                      | 11                                       | 3                              |
| Anaesthetics<br>x 15     | ST1/2,ACCS,ST3+    | 14.4                                    | 15.4                                    | 14                                      | 13                                       | 0.8                            |
| General<br>Medicine x 55 | F1,F2,ST1/2,ST3+   | 52                                      | 48                                      | 48                                      | 48                                       | 5.75                           |
| ENT x 2                  | ST2,ST3+           | 2                                       | 2                                       | 2                                       | 2  | 0                              |
| General<br>Surgery x 17  | F1,F2,ST1/2,ST3+   | 17                                      | 18                                      | 18                                      | 17                                       | +0.5                           |
| Heamatology<br>x 3       | CMT,ST3+           | 3                                       | 3                                       | 3                                       | 3  | 0                              |
| Obs & Gynae<br>x 7       | F2,ST1/2,ST3+      | 5                                       | 5                                       | 7                                       | 7  | 1                              |
| Oncology x 10            | F1, CMT,ST3+       | 10                                      | 9                                       | 9                                       | 9  | 0.75                           |
| Ophthalmology<br>x 3     | ST1/2,ST3+         | 3                                       | 3                                       | 2                                       | 2  | 0.5                            |
| Orthopaedics<br>x 9      | F2,ST1/2,ST3+      | 8                                       | 9                                       | 7                                       | 6  | 1.5                            |
| Palliative Care<br>x 2   | ST4                | 2                                       | 2                                       | 2                                       | 2  | 0                              |
| Paediatrics x<br>16      | F2,ST1/2,ST4+      | 15                                      | 13.8                                    | 13                                      | 11                                       | 2.8                            |
| Psychiatry x 2           | F2                 | 5                                       | 5                                       | 5                                       | 4  | 0.25                           |
| Radiology x4             | ST1/2, ST3+        | 4                                       | 4                                       | 4                                       | 4  | 0                              |
| Sexual Health<br>x 1     | F2                 | 0                                       | 0.5                                     | 0.5                                     | 0.5                                      | 0.5                            |
| Stroke x 1               | ST3+               | 0                                       | 0                                       | 0                                       | 0  | 1                              |
| Urology x 5              | F1,F2,ST1/2,ST3+   | 5                                       | 5                                       | 4                                       | 4  | 0.5                            |
| Vascular x 6             | F1,F2,ST1/2,ST3+   | 6                                       | 6                                       | 6                                       | 6  | 0                              |
| <b>Total</b>             |                    | <b>162.4</b>                            | <b>159.7</b>                            | <b>155.5</b>                            | <b>149.5</b>                             | <b>18.85</b>                   |

## 7. Vacancies by month for the Quarter 4, and shifts not filled by Bank or Agency by Quarter 4

| Specialty        | Grade | Month 10 | Month 11 | Month 12 | Number of shifts uncovered |
|------------------|-------|----------|----------|----------|----------------------------|
| A&E              |       | 3        | 3        | 3        | 37                         |
| Anaesthetics     |       | 0.8      | 0.8      | 0.8      | 12                         |
| General Medicine |       | 5.75     | 5.75     | 5.75     | 398                        |
| ENT              |       | 0        | 0        | 00       | 0                          |
| General Surgery  |       | +0.5     | +0.5     | +0.5     | 187                        |
| Heamatology      |       | 0        | 0        | 0        | 0                          |
| Obs & Gynae      |       | 1        | 1        | 1        | 7                          |
| Oncology         |       | 0.75     | 0.75     | 0.75     | 3                          |
| Ophthalmology    |       | 0.5      | 0.5      | 0.5      | 4                          |
| Orthopaedics     |       | 1.5      | 1.5      | 1.5      | 57                         |
| Palliative Care  |       | 0        | 0        | 0        | 0                          |
| Paediatrics      |       | 2.8      | 2.8      | 2.8      | 115                        |
| Psychiatry       |       | 0.25     | 0.25     | 0.25     | 0                          |
| Radiology        |       | 0        | 0        | 0        | 83                         |
| Sexual Health    |       | 0.5      | 0.5      | 0.5      | 0                          |
| Stroke           |       | 1        | 1        | 1        | 5                          |
| Urology          |       | 0.5      | 0.5      | 0.5      | 12                         |
| Vascular         |       | 0        | 0        | 0        |                            |
| <b>Total</b>     |       |          |          |          | <b>920</b>                 |

## 8. Trainees outside the Trust overseen by the Guardian

| Specialty                     | Grade | Quarter 1<br>Aug 2016<br>to Oct<br>2016 | Quarter 2<br>Nov 2016<br>to Jan<br>2017 | Quarter 3<br>Feb 2017<br>to Apr<br>2017 | Quarter 4<br>May 2017<br>to July<br>2017 | Total gaps<br>(average<br>WTE) |
|-------------------------------|-------|---|---|---|--|--------------------------------|
| GP trainees x<br>116          | ST1/2 | 27.2                                    | 25.7                                    | 24.8                                    | 26.9                                     | 2.85                           |
| Public health<br>trainees x 4 | F2    | 1                                       | 1                                       | 1                                       | 1  | 0                              |



## 9. Fines

| Fines by department |                        |                       |
|---------------------|------------------------|-----------------------|
| Department          | Number of fines levied | Value of fines levied |
|                     | £0                     |                       |
| Total               |                        |                       |

| Fines (cumulative)             |                    |                            |                                |
|--------------------------------|--------------------|----------------------------|--------------------------------|
| Balance at end of last quarter | Fines this quarter | Disbursements this quarter | Balance at end of this quarter |
| £0                             | £0                 | £0                         | £0                             |

## 10. Qualitative information

Lack of engagement by clinical and educational supervisors in the process was raised in the Junior Doctor Forum. Delays have been incurred in supervisors meeting with the doctors to address the exceptions.

Personal discussions were held with the concerned supervisors, Clinical Director and Rota Coordinator to engage them actively and work together to resolve the underlying issues.

Rota planning has been changed to address Rota gaps as well as ensure a better skill-mix. Changes were implemented to ensure 'bleep free' periods as well as introduction of a 'Diary record' system to communicate Junior Doctor non-urgent jobs rather than bleep each time.

## 11. Issues arising

Training available on the electronic exception report system should be expanded. Ensure that there are regular training courses available to all members of staff on a regular basis and on induction dates.

Rota gaps remain challenging and as such made an impact on the amount of exception reports generated. The most common reason for filing the report was deviation in the number of hours worked. The dashboard revealed that the majority of the reports were from Medical Directorate with some departments (Oncology, DME, Respiratory and Renal) being more commonly involved.

## 12. Actions taken to resolve issues

Exception reporting was featured in the welcome induction to all new staff and demonstrations were given to each group on how to and when to submit an exception report.

Personal discussions were held with those supervisors not engaging in a timely manner. The Clinical Director and Rota Coordinator to discuss concerns / issues with supervisors and work together to resolve the underlying concern.

Rota planning has been changed to address rota gaps as well as ensure a better skill-mix. Changes were implemented to ensure 'bleep free' periods as well as introduction of a 'Diary record' system to communicate Junior Doctor non-urgent jobs rather than bleep each time.

GOSW asked for feedback on which areas were resistant to the exception reporting and are not following the process to enable him to address this personally.

The Guardian attended the Regional Guardian Network meeting at Cambridge to represent Southend and learn and share experiences and working practices.

### **13. Summary**

Overall the Trust has worked strategically to ensure that the 2016 T&Cs have been embedded appropriately within the organisation. The Trust is able to demonstrate compliant Rota's as a result of Rota redesign whilst there is still room for improvement in terms of reducing the Trust vacancy rates the Trust is able to demonstrate that it has embraced the new contract and worked hard with Doctors in Training to ensure that they have felt supported during this period of transition

The Juniors Doctors Forum quarterly meetings ensure that issues are identified and acted upon and gives voice to all specialties so as to ensure amicable resolution and compliance ensuring safety (Both employee and patients) along with access to appropriate training.

The process is still relatively new and hospitals nationally are still in a process of learning and evolving. Southend has quickly established the local process and has successfully weathered the initial storm of having the largest number of exception reports in the region. The main focus has been on learning from the reasons for exception reports and ensuring prompt remedial actions were taken to address them. This approach has been successful in reducing the number of reports. An important priority has been to ensure that the Junior Doctors' confidence in the process is maintained by listening to their concerns and suggestions, as well as actively involving them in the process.

### **Questions for consideration**

Board to note the report and to consider the above.

### **Appendices**

*As indicated in the report.*

<Z:\Guardian of Safe Working\reports\JDF charts quarter 4 2016 to 2017.xls>