

Appendix 1: Exception Reporting

In Q3 a total of 20 exception reports were raised.

Exception Reports (ER) – Quarter 3	
Total number of exception reports received	20
Number relating to immediate patient safety issues	1
Number relating to hours of working	15
Number relating to pattern of work	1
Number relating to educational opportunities	2
Number relating to service support available to the doctor	1

The table below shows the number of exception reports carried over, raised, closed and outstanding for Q3. Please note this data excludes exception reports related to educational opportunities.

Exception reports by department				
Specialty	No. exceptions carried over from last report	No. exceptions raised	No. exceptions closed	No. exceptions outstanding
Anaesthetics	0	1	1	0
General Medicine	3	10	13	0
General Surgery	2	1	3	0
Haematology	0	2	2	0
Renal Medicine	0	3	3	0
Trauma and Orthopaedics	0	2	2	0
Urology	4	1	1	4
Vascular Surgery	1	0	1	0
Gastroenterology	0	0	1	0
Total	10	20	26	4

The below table provides a breakdown of the number of exception reports divided by medical grades for Q3.

Exception reports by grade				
Specialty	No. exceptions carried over from last report	No. exceptions raised	No. exceptions closed	No. exceptions outstanding
FY1	3	8	11	0
FY2	0	1	1	0
CT1-2 / ST1-2	1	8	9	0
CT3+ / ST3+	6	3	5	4
Total	10	20	26	4

Appendix 2: Locum Bookings by Department, Grade and Reason

Locum bookings (shifts) by department

Department	Filled by Agency	Managed Bank	Unfilled
Acute Medicine	0	275	0
Anaesthetics	22	77	0
Breast Surgery	66	1	0
Cardiology (Medical)	0	60	0
Care of the Elderly	0	6	0
Emergency Medicine	212	414	1
Endocrinology and Diabetes	0	47	0
Gastroenterology	0	51	1
General Medicine	2	1542	0
General Surgery	56	111	0
Neonatal Medicine	6	8	0
Obstetrics and Gynaecology	0	104	0
Oncology	0	17	0
Ophthalmology	0	18	0
Oral and Maxillofacial Surgery	51	111	0
Orthopaedic and Trauma Surgery	20	135	0
Paediatrics	44	108	0
Renal Medicine	0	41	0
Respiratory Medicine	0	45	0
Stroke Medicine	0	142	0
Urology	0	16	0
ENT	67	86	0
ITU	0	22	0
Dermatology	0	2	0
Grand Total	546	3439	2

Locum bookings (shifts) by grade

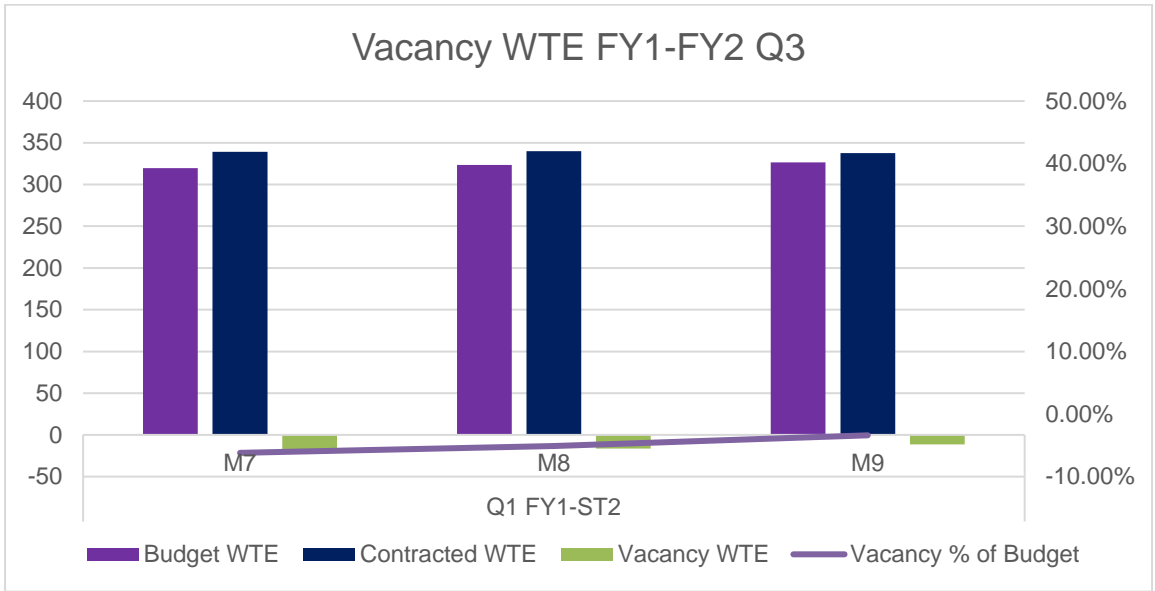
Grade	Filled by Agency	Filled by Bank	Unfilled
FY 1	0	4	0
Core Trainee	29	2469	1
StR (ST3-8)	517	966	1
Grand Total	546	3439	2

Locum bookings (shifts) by reason

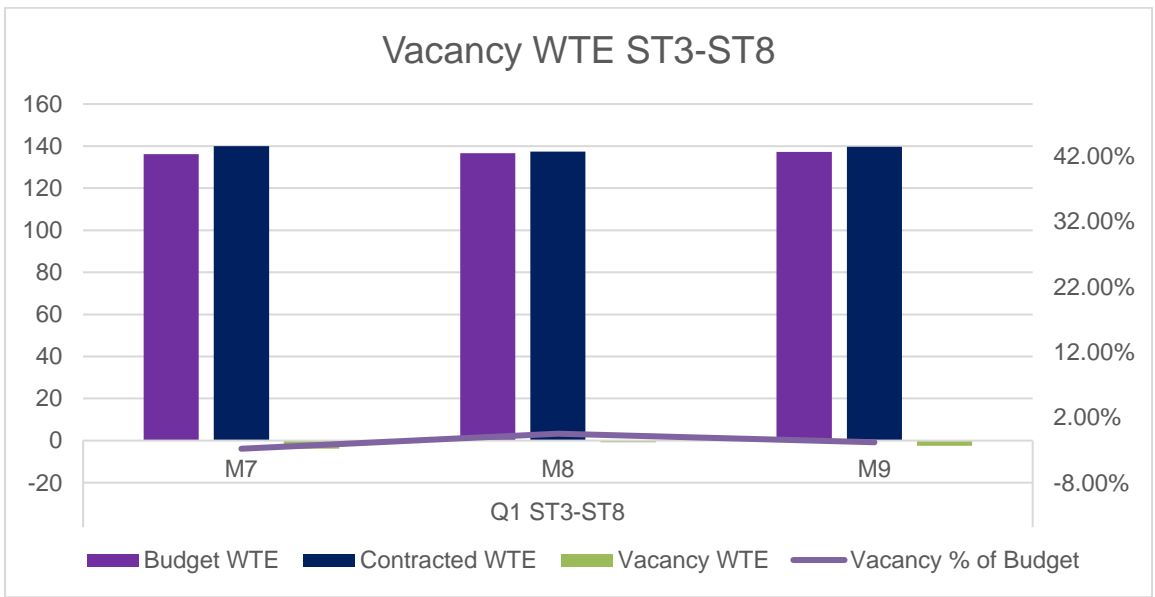
Reason	Filled by Agency	Filled by Bank	Unfilled
Annual Leave	0	86	0
Compassionate / Special Leave	4	32	0
Covering Shadowing Period	1	40	0
Elective Recovery Fund	0	11	0
Escalation area	0	305	0
Exempt from On Calls	0	58	0
Extra Cover	38	248	0
Less Than FT Trainee Gap	0	16	0
Paternity Leave	0	21	0
Pregnancy / Maternity Leave	0	25	0
Sick	87	760	1
Strike	0	4	0
Study Leave	3	11	0
Vacancy	413	1803	1
Winter Pressures	0	18	0
Career Break	0	1	0
Grand Total	546	3439	2

Appendix 3: Vacancy WTE for Resident and Locally Employed Doctors Q1

	Q3 FY1-ST2		
	M7	M8	M9
Budget WTE	319.66	323.60	326.42
Contracted WTE	339.32	340.01	337.67
Vacancy WTE	-19.66	-16.41	-11.25
Vacancy % of Budget	-6.2%	-5.1%	-3.4%



	Q3 ST3-ST8		
	M7	M8	M9
Budget WTE	136.16	136.69	137.21
Contracted WTE	139.94	137.42	139.63
Vacancy WTE	-3.78	-0.73	-2.42
Vacancy % of Budget	-2.8%	-0.5%	-1.8%



Appendix 4: Budgeted, Contracted, Vacancy (WTE) and Vacancy % of Budget M6-M8 (FY1-ST2)

Care Group	Specialty	M7 ST3-8				M8 ST3-8				M9 FY1-ST2			
		Budget WTE	Contract ed WTE	Vacancy WTE	Vacancy % of budget	Budget WTE	Contract ed WTE	Vacancy WTE	Vacancy % of budget	Budget WTE	Contract ed WTE	Vacancy WTE	Vacancy % of budget
Corporate	Medical Directorate	7.60	1.00	6.60	87%	7.60	1.00	6.60	87%	14.00	26.71	-12.71	-91%
Reserves	Reserves	2.68	0.00	2.68	100%	3.21	0.00	3.21	100%	10.12	0.00	10.12	100%
MEC	Operational Management	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
MEC	General Medicine	21.00	9.35	11.65	55%	21.00	9.46	11.54	55%	34.00	24.80	9.20	27%
MEC	Stroke Medicine	0.00	2.00	-2.00	0%	0.00	2.00	-2.00	0%	1.00	4.00	-3.00	-300%
MEC	Neurology	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
MEC	Dermatology	0.00	1.00	-1.00	0%	0.00	1.00	-1.00	0%	0.00	0.00	0.00	0%
MEC	Respiratory	7.00	8.11	-1.11	-16%	7.00	8.96	-1.96	-28%	12.00	15.86	-3.86	-32%
MEC	Cardiology	5.00	5.00	0.00	0%	5.00	5.00	0.00	0%	6.00	4.93	1.07	18%
MEC	Nephrology	5.00	3.66	1.34	27%	5.00	3.66	1.34	27%	14.00	12.93	1.07	8%
MEC	Diabetes & Endo	3.00	3.00	0.00	0%	3.00	3.00	0.00	0%	9.00	11.00	-2.00	-22%
MEC	Acute Medicine	12.00	9.67	2.33	19%	12.00	9.16	2.84	24%	22.80	26.17	-3.37	-15%
MEC	A&E	4.00	4.00	0.00	0%	4.00	5.10	-1.10	-28%	51.00	46.30	4.70	9%
MEC	COOA	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
MEC	Pathology	6.00	4.89	1.11	19%	6.00	4.89	1.11	19%	20.90	20.46	0.44	2%
CSS	Radiology	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	4.80	6.00	-1.20	-25%
CSS	Anaesthesia	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
SAC	Oncology	9.00	19.21	-10.21	-113%	9.00	17.01	-8.01	-89%	22.00	13.81	8.19	37%
SAC	Clinical Haematology	4.00	3.80	0.20	5%	4.00	3.00	1.00	25%	3.00	3.00	0.00	0%
SAC	General Surgery	1.00	0.80	0.20	20%	1.00	0.80	0.20	20%	2.00	3.00	-1.00	-50%
SAC	ENT	10.00	11.23	-1.23	-12%	10.00	10.51	-0.51	-5%	17.00	22.00	-5.00	-29%
SAC	Gastroenterology	3.00	3.22	-0.22	-7%	3.00	3.00	0.00	0%	8.00	9.00	-1.00	-13%
SAC	ITU	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
SAC	Ophthalmology	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
SAC	Max Fax	2.00	1.00	1.00	50%	2.00	1.00	1.00	50%	3.00	3.00	0.00	0%
SAC	T&O	1.00	0.00	1.00	100%	1.00	0.00	1.00	100%	4.00	6.26	-2.26	-57%
SAC	Palliative Care	7.88	19.32	-11.44	-145%	7.88	20.68	-12.80	-162%	23.80	27.39	-3.59	-15%
SAC	Scheduled Care	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	2.00	-2.00	0%
SAC	Theatres	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
SAC	Urology	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
SAC	Vascular Surgery	5.00	6.64	-1.64	-33%	5.00	6.00	-1.00	-20%	4.00	5.72	-1.72	-43%
SAC	Gynaecology	3.00	4.85	-1.85	-62%	3.00	4.00	-1.00	-33%	6.00	6.00	0.00	0%
WAC	Neonatology	8.00	9.81	-1.81	-23%	8.00	9.81	-1.81	-23%	13.00	13.00	0.00	0%
WAC	Paediatrics	3.00	3.00	0.00	0%	3.00	3.00	0.00	0%	4.00	4.00	0.00	0%
WAC	Paediatrics	6.00	5.38	0.62	10%	6.00	5.38	0.62	10%	17.00	20.33	-3.33	-20%
Total		136.16	139.94	-3.78	0.81	136.69	137.42	-0.73	1.28	326.42	337.67	-11.25	-5.10

Appendix 5: Budgeted, Contracted, Vacancy (WTE) and Vacancy % of Budget M6-M8 (ST3-ST8)

Specialty	M7 FY1-ST2				M8 FY1-ST2				M9 ST3-8			
	Budget WTE	Contract ed WTE	Vacancy WTE	Vacancy % of budget	Budget WTE	Contract ed WTE	Vacancy WTE	Vacancy % of budget	Budget WTE	Contract ed WTE	Vacancy WTE	Vacancy % of budget
Medical Directorate	14.00	17.40	-3.40	-24%	14.00	18.40	-4.40	-31%	7.60	2.20	5.40	71%
Reserves	8.26	0.00	8.26	100%	9.20	0.00	9.20	100%	3.73	0.00	3.73	100%
Operational Manager	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
General Medicine	34.00	25.85	8.15	24%	34.00	25.06	8.94	26%	21.00	9.46	11.54	55%
Stroke Medicine	1.00	3.00	-2.00	-200%	1.00	3.00	-2.00	-200%	0.00	2.00	-2.00	0%
Neurology	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
Dermatology	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	1.00	-1.00	0%
Respiratory	12.00	17.96	-5.96	-50%	12.00	17.96	-5.96	-50%	7.00	9.00	-2.00	-29%
Cardiology	6.00	7.00	-1.00	-17%	6.00	7.00	-1.00	-17%	5.00	5.00	0.00	0%
Nephrology	14.00	15.72	-1.72	-12%	14.00	15.72	-1.72	-12%	5.00	3.68	1.32	26%
Diabetes & Endo	9.00	10.00	-1.00	-11%	9.00	10.00	-1.00	-11%	3.00	3.00	0.00	0%
Acute Medicine	22.80	26.57	-3.77	-17%	22.80	25.60	-2.80	-12%	12.00	9.16	2.84	24%
A&E	51.00	50.80	0.20	0%	51.00	50.60	0.40	1%	4.00	5.40	-1.40	-35%
COOA	18.00	20.95	-2.95	-16%	18.00	20.85	-2.85	-16%	6.00	5.89	0.11	2%
Pathology	4.80	4.00	0.80	17%	4.80	5.00	-0.20	-4%	0.00	0.00	0.00	0%
Radiology	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
Anaesthesia	21.00	13.87	7.13	34%	23.00	14.81	8.19	36%	9.00	15.98	-6.98	-78%
Oncology	3.00	3.00	0.00	0%	3.00	3.00	0.00	0%	4.00	2.80	1.20	30%
Clinical Haematology	2.00	3.00	-1.00	-50%	2.00	3.00	-1.00	-50%	1.00	0.80	0.20	20%
General Surgery	17.00	22.19	-5.19	-31%	17.00	22.00	-5.00	-29%	10.00	11.07	-1.07	-11%
ENT	8.00	10.00	-2.00	-25%	8.00	10.00	-2.00	-25%	3.00	3.00	0.00	0%
Gastroenterology	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
ITU	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
Ophthalmology	3.00	3.00	0.00	0%	3.00	3.00	0.00	0%	2.00	1.00	1.00	50%
Max Fax	4.00	7.00	-3.00	-75%	4.00	7.00	-3.00	-75%	1.00	0.00	1.00	100%
T&O	22.80	27.71	-4.91	-22%	23.80	27.71	-3.91	-16%	7.88	21.00	-13.12	-166%
Palliative Care	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
Scheduled Care	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
Theatres	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%	0.00	0.00	0.00	0%
Urology	4.00	5.72	-1.72	-43%	4.00	5.72	-1.72	-43%	5.00	6.00	-1.00	-20%
Vascular Surgery	6.00	5.00	1.00	17%	6.00	5.00	1.00	17%	3.00	4.00	-1.00	-33%
Gynaecology	13.00	15.00	-2.00	-15%	13.00	14.00	-1.00	-8%	8.00	9.81	-1.81	-23%
Neonatology	4.00	5.00	-1.00	-25%	4.00	5.00	-1.00	-25%	3.00	3.00	0.00	0%
Paediatrics	17.00	19.58	-2.58	-15%	17.00	20.58	-3.58	-21%	6.00	5.38	0.62	10%
	319.66	339.32	-19.66	-4.56	323.60	340.01	-16.41	-4.67	137.21	139.63	-2.42	0.94

Appendix 6: Rostering Dashboard for Safe Working Hours Q3

The below tables summarises the instances identified from the retrospective rostering dashboard. Each breach is a singular count of the number of instances where a rest requirement has not been met. Where this is consecutive days, each day is counted as a breach (e.g. if a doctor worked 10 consecutive days, days 8-10 would be counted as 3 breaches). The number of episodes shows the occurrences by grouping breaches by runs of shifts worked.

Specialty	Sum of No. Episodes	Sum of No. Breaches
Emergency Medicine	2	3
General Surgery	0	0
T&O	3	4
ENT	1	1
Oral & Max Fax	6	20
Grand Total	12	28

The table below categorises the breaches into the safe working hours listed in Schedule 3 of the 2016 Junior Doctor Contract. A summary of the headings is provided below.

- **No rest of 4 long (48 hours)** - No more than four long shifts (where a long shift is defined as being a shift rostered to last longer than 10 hours) shall be rostered or worked on consecutive days. Where four long shifts are rostered on consecutive days, there must be a minimum 48-hour rest period rostered immediately following the conclusion of the fourth long shift.
- **No rest after singular or max 4 nights** - Where shifts (excluding non-resident on-call shifts) defined as having 3 hours fall into the period 23:00-06:00 rostered singularly, or consecutively, there must be a minimum 46-hour rest period rostered immediately following the conclusion of the shift(s).
- **More than 7 consecutive days** - A maximum of seven shifts of any length can be rostered or worked on seven consecutive days
- **No rest after 7 consecutive days** - Where seven shifts of any length are rostered or worked on seven consecutive days, there must be a minimum 48-hours' rest rostered immediately following the conclusion of the seventh shift.
- **Over 72 hours** - No more than 72 hours' actual work should be rostered for or undertaken by any doctor, working on any working pattern, in any period of 168 consecutive hours.

Specialty	No rest after 4 long (48 hours)?	No rest after singular or max 4 nights?	More than 7 consecutive days?	No rest after 7 consecutive shifts?	Over 72 hours?
Emergency Medicine	1	0	1	1	0
General Surgery	0	0	0	0	0
T&O	2	0	1	0	1
ENT	1	0	0	0	0
Oral & Max Fax	0	0	8	4	8
Grand Total	4	0	10	4	9

It is recognised that singular episodes can represent breaches in different categories of safe working hours. As an example, a singular episode could breach rest after 4 long days, more than 7 consecutive days and more than 72 hours worked in one run of shifts, which explains the higher number of breaches recorded vs episodes counted.