



Reporting by Exception

Quick Guide for Doctors

What is Exception Reporting?

What is it?

- Exception reporting is an opportunity for you to report any incidences where your actual work has varied from your agreed work schedule. This can include staying past your shift finish time, or inability to achieve breaks.
- As well as insuring you are properly remunerated for any work undertaken outside of contracted hours, it helps us maintain safe working by raising awareness of problem rotas and giving evidence needed to adjust them.

Guardian of Safe Working / Compliance Manager

The guardian of safe working has been introduced to protect patients and doctors; making sure that doctors aren't working unsafe hours.

Your guardian will;

- Act as a champion of safe working hours
- Escalate concerns and issues to relevant parties
- Intervene to reduce any identified risks to you or your patients
- You can contact them at Philip.Weston@liverpoolft.nhs.uk / justine.hadcroft@liverpoolft.nhs.uk
- System admin and access for the system is dealt with by MedicalCompliance@liverpoolft.nhs.uk

Table of Contents

- Login
- Account Setup
- Receiving User Account Login Details
- Setting Password
- Dashboard
- Viewing Own Current/Historic Exception Reports
- Creating a New Exception report
- Agree/Disagreeing with an outcome

Login

- Once your account has been setup by your System Administration you will receive an email from “No Reply HealthMedics” detailing your unique Username & a temporary password.
- Select the link shown within the email or enter: <https://www.healthmedics.allocatehealthsuite.com> directly into your browser.
- You may wish to save this link as a home screen icon on your smart device. Use the **add to home screen** option in your browser’s menu to add the link or alternatively save the link as a Favourite or Bookmark on a computer.
- Enter the login details exactly as they appear in the email. Ensure that no blank spaces appear at the end of your credentials if using the Copy & Paste function and click **login**.

HealthMedics


Login Details

Username
Your Username

Password
Your Password

Remember me **Login**

[Forgotten your username/password?](#)

Allocate Software  Need help logging in? [Click here](#)
Allocate Security and Privacy Policy [Learn more](#)

User Account Setup

- If this is the first time you have used the system, you will be requested to check and update your personal details.
- Your name, work email address and GMC/GDC number (where applicable) may have been pre-populated by your local System Administrator.
- The remaining fields are non-mandatory and can be updated at a later stage. If you choose to add a secondary or personal email address, all automated system notifications will be sent to both email addresses.
- Enter your new Password and select “Save”

Update Your Personal Details

Please check the information below and ensure it is correct before changing your password and clicking save to continue (required fields marked with a *).

Title: *

First Name: *

Surname: *

Telephone Number:

Mobile Phone Number:

E-mail: *

Personal E-mail:

Gender:

Date of Birth:

Address Line 1:

Address Line 2:

Address Line 3:

City:

County:

Postcode:

Awaiting GMC Number:

GMC Number: * (6 or 7 digits)

Change your password
Passwords must be a minimum of six characters in length and contain at least one number.

New password: *

Re-enter new password: *

Help & Support:

Allocate Software PLC
1 Church Road
Richmond
TW9 2QU

Phone: 0844 4179512
Fax: 0844 4179512
E-mail: info@allocatesoftware.com
Web: www.allocatesoftware.com

Dashboard

- The dashboard will list all of the Exception Reports that have been raised by you. From here you will also be able to create a new exception and download your organisation's Exception Reporting policy if one has been created.
- The key metrics display your total Exception Reports and those in draft that have been saved but not yet submitted to your Supervisor.
- The dashboard will display key information such as the submitted date, remaining days until the next decision is required to be made by yourself or the organisation and an outcome where applicable. In addition a red triangle symbol is shown if the Exception report has been linked to an immediate safety concern involving yourself or patients.
- Click on any of the rows in the dashboard to view the individual Exception Report details.

The screenshot shows the eRota dashboard for Richmond Hill. The top navigation bar includes the eRota logo, the location 'Richmond Hill', and a user profile section with 'Logout' and 'Dr User 142894'. Below the navigation bar are three tabs: 'My Exceptions', 'Monitoring', and 'User Profile'. The main content area is titled 'My exception reports' and features two large metrics: '14 Exceptions in total' and '0 In Draft'. There are two buttons: 'DOWNLOAD TRUST POLICY' and 'Create New Exception'. Below these metrics is a table of exception reports.

Submitted	Remaining days	Doctor	Reference	ISC	Rota	Supervisor	Type	Stage	State	Outcome
23 Nov 2016 04:16	-5	User 142894	u14289171116_1	▲	Anaesthetics 1:7...	Dr User 142880	Hours	Initial Review	Waiting For Doctor Agreement	Compensation & work schedule review
14 Nov 2016 04:11	-14	User 142894	u14289141116_1	▲	Anaesthetics 1:7...	Dr User 142880	Hours	Initial Review	Pending	
10 Nov 2016 09:59	-16	User 142894	u14289101116_4		Urology 1:6 w/ni...	Dr User 142900	Hours	Level 1	Unresolved	Organisation Changes
10 Nov 2016 09:58	-14	User 142894	u14289101116_3		Anaesthetics 1:7...	Dr User 142880	Hours	Level 1	Pending	
10 Nov 2016 09:57		User 142894	u14289101116_2		Anaesthetics 1:7...	Dr User 142880	Hours	Initial Review	Unresolved	Compensation & work schedule review

Viewing an Exception Report

- After selecting the report you wish to view from the Dashboard, you will be taken through to the report detail in full . By selecting each of the stages to the top right of the screen you can view the information contained within each stage. To navigate back to the dashboard simply select 'My Exceptions' from the top/centre of the screen:
- Once an Exception Report has been submitted to your Supervisor it can no longer be edited by yourself. Your Supervisor can return your Exception Report back to you for further amendments/editing upon request.

eRota Richmond Hill Logout Dr User 142894

My Exceptions Monitoring User Profile

Exception Report – Dr User 142894

Reference code
u14289171116_1

Rota name
Anaesthetics 1:7 FY2 FS

Supervisor
Dr User 142880

Exception submitted on
23 Nov 2016 04:16

Exception episodes

9 November 2016 17:30
Difference in the hours of work
- Immediate safety concern

17 November 2016 17:30
Difference in the hours of work
- Immediate safety concern

Variance from the work schedule
Schedule to finish at 17:30 but on both occasions was required to stay late due to patient related complications.

INITIAL REVIEW LEVEL 1 LEVEL 2 FINAL

Initial review – Waiting for doctor agreement

Review meeting date
23 Nov 2016 03:15

Review meeting attendees
Dr Helen Kennedy
Dr Dave Jones
Mrs Alice Green

Review meeting notes
Productive meeting that discussed the current concerns in the department and the requirement to review the contracted finish times. Suggest that this progresses through to a work schedule review.

Related Attachments
Example revised work schedule.pdf [DOWNLOAD](#)

Review meeting outcome
Compensation & work schedule review *Can you confirm your finish times on each occasion please?*

Doctor agreement

After their review, your supervisor has recommended the outcome to be **compensation & work schedule review**.

Creating a New Exception Report

- To raise a new Exception Report, click “**Create New Exception**” from your dashboard.
- **Rota name:** the name of your current rota (as defined by your medical staffing department in eRota; it may be displayed on your personalised work schedule).
- **Supervisor:** the name of the person delegated to undertake the Initial and Work Schedule Level 1 review for you. This may be a Clinical or Educational supervisor.
- **Exception type:** whether your Exception relates to a difference in hours, difference in pattern of hours or education and training opportunities. A single Exception Report can only contain episodes relating to one Exception type.
- **Exception date:** the date on which the episode occurred. You will be notified on screen if the date falls outside of the contractual time limits for submission however you can still submit the Exception.

eRota | Richmond Hill | Logout | Dr User 142894

My Exceptions | Monitoring | User Profile

New Exception Report - Draft

[Back To Exceptions](#)

Rota Name*
Anaesthetics 1:7 FY2 FS

Supervisor*
Dr User 142880

Exception Type*
Difference in the hours of work

Exception date*	Occurrence time
9 Nov 2016	17:30
<input checked="" type="checkbox"/> Immediate safety concern	
⚠ This episode occurred more than 7 days prior to submission and may be outside of the contractual requirements	
17 Nov 2016	17:30
<input checked="" type="checkbox"/> Immediate safety concern	

Creating a New Exception Report Cont'd

- **Occurrence time:** the approximate start time of the Exception episode. This can be left at 00:00 if a start time is not appropriate for the episode.
- **Immediate safety concern:** enables you to flag whether you feel the episode resulted in a safety concern that affected yourself or patients.
- **Variance from work schedule:** enables you to define in more detail how your Exception episodes differ from your planned work schedule. For example, you may wish to define your normal start and finish times to illustrate how your hours have increased.
- **Steps taken to resolve matters prior to escalation:** enables you to record any conversations that may have taken place between yourself and a manager or other colleagues before recording the Exception.
- **Action buttons:**
- **Submit:** saves your Exception and notifies the named Supervisor, your organisation's administrators and Guardian of Safe Working. Your Director of Medical Education will also be notified if the Exception type relates to education or training.
- **Save:** saves your Exception in a draft stage for later submission.
- **Cancel:** deletes your Exception Report and returns you to the dashboard.

Clinical/Education Supervisor Review

- After submission your named Supervisor will make an Initial Review of your Exception Report. Often this review will be carried out face-to-face and they will update the report with their Initial Review notes and any relevant attachments.
- Occasionally, your Supervisor may request Additional Information or clarity from your original submission. If so, you will receive an automated notification asking you to login. In this scenario, you will be able to fully edit the report to make the required changes before re-submitting.

The screenshot displays the 'Exception Report' interface for Dr Winston Smith. The report details include a reference code, rota name, supervisor, submission date, and a list of exception episodes. A dropdown menu is open, showing options for compensation and review. The 'Initial review' section is currently 'Pending'.

Exception Report – Dr Winston Smith

Reference code: wsmith041016_1

Rota name: T&O Junior (2016)

Supervisor: Dr Francis Fitzgerald

Exception submitted on: 04 Oct 2016 12:21

Exception episodes: 3 October 2016 00:00
Difference in the hours of work

Variance from the work schedule: Unable to finish on time as I wasn't able to conduct a formal handover

Steps taken to resolve matters prior to escalation: Spoke with the rota coordinator

INITIAL REVIEW LEVEL 1 LEVEL 2 FINAL

Initial review – Pending

Review meeting date: 17:08

Review meeting attendees: 0/5000

Review meeting notes: 0/5000

Drop attachment files here, or click to select files to upload.

No further action 0/5000

Compensation: Time off in lieu

Compensation: Overtime payment

Compensation & work schedule review

Work schedule review

Request for more info

CANCEL SUBMIT

Agree/Disagreeing with Outcome

- When an Initial Review decision has been made, you will receive an automated notification asking you to login and either Agree or Disagree with that decision; this should take place within 14 days.
- Time-off-in-lieu or payment cannot be authorised until you have confirmed your agreement with the decision.
- If you disagree with the decision then the Exception Report automatically moves to a level 1 Work Schedule Review stage where your supervisor will review your work pattern against the work schedule and make some recommendations.

Doctor agreement

After their review, your supervisor has recommended the outcome to be **compensation & work schedule review**.

Do you:

Agree

Disagree

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