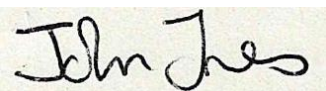


Board of Directors' Meeting 7 October 2021

Agenda item	251/21			
Report	Guardian of Safe Working Hours (GoSW) - Dr Bridget Barrowclough			
Executive Lead	Acting Medical Director - Dr John Jones			
	Link to strategic pillar:		Link to CQC domain:	
	Our patients and community	√	Safe	√
	Our people	√	Effective	√
	Our service delivery	√	Caring	√
	Our partners		Responsive	√
	Our governance		Well Led	√
	Report recommendations:		Link to BAF / risk:	
	For assurance			
	For decision / approval		Link to risk register:	
	For review / discussion			
	For noting	√		
	For information			
	For consent			
Presented to:	-			
Dependent upon (if applicable):	-			
Executive summary:	<p>It is a requirement of the Junior Doctor (JD) Contract 2016 for the Trust Guardian of Safe Working Hours to hold responsibility for ensuring that issues of compliance with safe working hours are addressed in accordance with its Terms and Conditions of Service (TCS). This report provides quantitative data around safe working hours reported by Junior Doctors and Dentists in Training for Q4 2021. During Q4 concerns regarding the working practice of Foundation trainees were escalated to the Surgery Divisional Director and Medical Directorate. Themes of working outside of their rostered hours, workload weekend activity, missed educational opportunities, lack of Junior Doctor Forums and the perceived inability to Exception report have been raised. Exception reporting continues to be encouraged to identify where trainees may be working outside their safe limits with time off in lieu remaining the preferred option to maintain safety. 18 Exception Reports were received in this quarter.</p>			
Appendices	Appendix 1: GoSW Report			
				

Appendix 1

1.0 INTRODUCTION

1.1 Background

The Terms and Conditions of Service for NHS Doctors and Dentists in Training (England) 2016 state:

- The Guardian reports to the Board of the employer (and host organisation, if appropriate), directly or through a committee of the Board, as below.
- The Board must receive a Guardian of Safe Working Report no less than once per quarter. This report shall also be provided to the Junior Local Negotiating Committee (JLNC), or equivalent. It will include data on all rota gaps on all shifts.
- The Board is responsible for providing annual reports to external bodies as defined in these Terms and Conditions, including Health Education England (Local office), Care Quality Commission, General Medical Council and General Dental Council. There may be circumstances where the Guardian identifies that certain posts have issues that cannot be remedied locally, and require a system-wide solution. Where such issues are identified, the Guardian shall inform the Board. The Board will raise the system-wide issue with partner organisations (e.g. Health Education England, NHS England / Improvement) to find a solution.

2.0 SUMMARY OF INFORMATION

2.1 High level data

Number of Doctors and Dentists in Training on 2016 TCS	218
Number of GP trainees hosted by Trust	29
Guardian of Safe Working Hours	2PA/week
Administrative support to GoSW	0.2 WTE
Safe Working Advisor	tbc

2.2 Summary of Exception Reports

Exception Reports (ERs)	Number	Comments
Hours ERs	9	
Education ERs	2	
Pattern of work ERs	4	
Service support ERs	3	
Total ERs for the period	18	*1 GF *1 ISC

*Immediate Safety Concerns (ISC)

*Guardian fines (GF)

**Table 2
Exception Reports**

Doctor Ref	Rota I.D, Grade & Ward	Ward	Site	No. of Exceptions	Issues/Concerns	Actions and/or Resolutions
Dr A	RLZ 007 Surgery FY1	Vascular	RSH	2	Workover due to Workload intensity resulting in workover.	Time off in Lieu (TOIL) agreed.
Dr B	RLZ 007 Surgery FY1	Colorectal	RSH	3	Workover due to Workload intensity resulting in workover.	Time off in Lieu (TOIL) agreed.
Dr C	RLZ 007 Surgery FY1	Colorectal	RSH	1 (Edu)	Unable to attend FY1 teaching due to no SHO cover.	Director of Medical Education (DME) working with department to improve educational opportunities.
Dr D	RLZ 007 Surgery FY1	Upper GI	RSH	1 (Edu)	Unable to attend FY1 teaching due to workload intensity on ward and no SHO cover.	DME working with department to improve educational opportunities.
Dr E	RLZ 007 Surgery FY1	Colorectal	RSH	1	Workover due to workload intensity resulting in workover	Payment agreed
Dr F	RFK Medicine On-Cover FY1	Cardiology	PRH	1 ISC	Workload intensity due to shortage of staff. Support was requested from other members of the team and patient safety was maintained.	Issue was addressed with re-allocation of tasks to other member of the team. No further Action
Dr G	RFK Medicine On-Cover FY1	Care of Elderly	PRH	2	Workload intensity due to shortage of staff. Support was requested from other members of the team and patient safety was maintained.	Issue was addressed with re-allocation of tasks to other member of the team. No further Action
Dr H	RKF 006 Medicine FY1	Gastroenterology	PRH	1	Workload intensity due to shortage of staff.	Issue was addressed with extra staff allocated. Time off in Lieu (TOIL) agreed.
Dr I	RLZ 015 Medicine FY1	Renal	RSH	3	Workload intensity due to shortage of staff.	Payment agreed and Work Schedule Review
	RLZ 015 Medicine FY1	Renal	RSH	3	Workload intensity due to shortage of staff.	Payment agreed

***Educational report (Edu)**

2.3 Comments

Eighteen Exception reports were received from a total of 4818 shifts that were issued over a 3 month period. There are continued challenges to replace staff at short notice during the prolonged Covid pandemic. The GoSW is aware of the impact of this in all areas where there are requirements for periods of self-isolation and for those affected either by family members or personal illness.

2.31 Surgery Division

In this quarter concerns regarding the working practice of Foundation trainees in surgery were raised to the Clinical and Divisional Director.

Throughout the year themes of working over during the day have been brought to the attention of the GoSW via infrequent ERs, the Junior LNC members, during informal drop in sessions and recently in a formal meeting with trainees and the DME.

Unfortunately one trainee reported being actively discouraged from reporting by their Clinical Supervisor.

This would not be considered in the spirit of the Junior Doctor Contract and has been drawn to the attention of the Medical Director.

There were no further reports in this quarter regarding activity on the weekend shift but the Junior Doctors continue to report that this invariably remains a busy shift with difficulty completing tasks in a timely manner due to the volume of patients. There are reports that the Advanced Clinical Practitioner who was redeployed during Covid is not always rostered to support this shift.

A monitoring exercise was performed in an attempt to provide further evidence of doctors working outside of their rostered hours as it was initially felt trainees might be reluctant to formally report. This involved trainees and Trust doctors completing data on hours worked over a two week period. This was not a compulsory exercise and unfortunately engagement in the process was inadequate to substantiate concerns. Of those doctors who completed the exercise there was evidence that despite working over they had chosen not to complete an exception report.

Junior Doctor Forums in the Division were reinstated in this quarter with trainees describing difficulty in attending due to the timing of the meeting amid workload pressures.

Following these concerns the GoSW requested the Surgical Clinical Director to perform a work schedule review of all trainees. However this has not been acknowledged. The GoSW has escalated concerns to the Divisional Director and is aware that a meeting has since been held with him and the Co-Medical Director and the Director of Medical Education.

The GoSW is advised that the Division are looking for immediate changes in the working practice including release of Junior Doctors to attend regular forums and teaching, reinstatement of a Friday educational and weekend handover meeting.

The GoSW awaits feedback from the Surgery Division at end of September 2021. All new Exception reports regarding hours and rest and their outcomes will be monitored in the meantime. At the time of writing 7 further reports have been received in Q1 2021/2022 describing work over outside of the work schedule.

2.32 Medicine and Emergency Care Division

Ten reports were received in medicine with concerns regarding workload intensity on Ward 35. The Supervisor addressing the report advised of issues where doctors are repeatedly moved from their 'parent' ward as a consequence of staffing shortages. Although annual and study leave requests are monitored it appears that at times there is limited flexibility in the workforce to cover gaps especially when short term sickness impacts on planned leave. Further to this incident the GoSW was assured by the Deputy Lead that the trainees remain supported by their senior colleagues at all times.

At the request of the Division the GoSW reports monthly to the Consultant meeting and either attends or receives the minutes of the Junior Doctor Medicine forums.

2.33 Breach Fine

In accordance with Schedule 5 Note 15 of the TCS JD Contract the Guardian of Safe Working can apply a fine to a department where such concerns are shown to be correct in relation to:

- a. A breach of the 48-hour average working week (across the reference period agreed for that placement in the work schedule); or
- b. A breach of the maximum 13 hour shift length; or
- c. A breach of maximum of 72 hours worked across any consecutive 168 hour period
- d. Where 11 hours rest in a 24 hour period has not been achieved (excluding on-call shifts); or
- e. Where five hours of continuous rest between 22:00 hrs and 07:00 hrs during a non-resident on-call shift has not been achieved; or
- f. Where 8 hours of total rest per 24 hour non-resident on-call shift has not been achieved"

One fine was levied to the Surgery Division as it was reported that only 9.5 hours of rest have been achieved between shifts. A fine was made to the department for 1.5 hours totalling £95.34

3.0 Rota Gaps and Deanery Vacancies

Department	Site	Grade	Months Vacant	How Gap was Filled
Surgery (Vascular)	RSH	ST3+	May/June/July	Filled by long term agency locum
Surgery (Vascular)	RSH	ST3+	May/June/July	Replaced in rota with Laparoscopic Colorectal Fellow
Surgery (Colorectal)	RSH	GPVTS	May/June/July	Filled by long term agency locum
Anaesthetics	PRH	ST3+	June/July	Vacancy managed within the department
Anaesthetics	RSH	ST3+	May/June/July	Vacancy managed within the department
Anaesthetics	RSH	ST3+	May/June/July	Vacancy managed within the department
Anaesthetics	RSH	ST3+	May/June/July	Vacancy managed within the department
Anaesthetics	RSH	CT	May/June/July	Vacancy managed within the department
Anaesthetics	RSH	CT	May/June/July	Vacancy managed within the department
ENT	PRH	GPVTS	May/June/July	Filled by long term bank doctor
T & O	PRH	CT	May/June/July	Filled by long term agency locum
Ophthalmology	RSH	ST1-2	May/June/July	Filled by long term agency locum
Oncology	RSH	ST3+	July	Advised not required by department, no impact on rotas
GP	Community	FY2	May/June/July	Based in community, no impact on Trust
GP	Community	FY2	May/June/July	Based in community, no impact on Trust
Emergency Department (ED)	PRH	GPVTS	May/June/July	Filled by long term agency locum
ED	RSH	ST3+	May/June/July	Shifts required to be covered. Identified by department and covered by either agency or bank doctors
ED	RSH	ST3+	May/June/July	Shifts required to be covered. Identified by department and covered by either agency or bank doctors
ED	RSH	ACCS	May/June/July	Filled by long term agency locum
ED	RSH	FY2	May/June/July	Shifts required to be covered. Identified by department and covered by either agency or bank doctors
Medicine (Elderly Care)	PRH	ST3+	May/June/July	Filled by long term agency locum

Medicine (Elderly Care)	PRH	GPVTS	May/June/July	Extra post, no cover required
Medicine (Endo)	PRH	GPVTS	May/June/July	Extra post, no cover required
Medicine (Renal)	PRH	GPVTS	May/June/July	Extra post, no cover required
Medicine (Resp)	PRH	GPVTS	May/June/July	Extra post, no cover required
Medicine (Resp)	RSH	ST3+	May/June/July	Vacancy accommodated within the rota
Medicine (Gastro)	RSH	IMT	May/June/July	Extra Deanery used to cover vacant rota slot
Obs & Gynae	PRH	ST3+	May/June/July	Filled by long term agency locum
Paediatrics	PRH	GPVTS	May/June/July	Rota slot written out of the rota
Neonates	PRH	ST4+	May/June/July	Vacancy managed within the department


It should be noted that this report does not include data on Trust grade vacancies. These doctors work alongside the trainees whose workload is also supported by other health professionals such as Advanced Clinical Practitioners, Physicians Associates and the Hospital at Night team.

Rota gaps as a consequence of those unfilled by locums are managed by Divisions. At times the rota will be reworked using the additional support as above. Long term locums are requested as necessary.

4.0 Locum Bookings by Trainee

Key

Actual hours worked per week

 Trainees who have exceeded the average 48hr weekly limit and have not opted out of WTR

Specialty	Grade	Number of Shifts Worked	Number of hours worked	Number of hours rostered per week	Actual hours worked per week	Opted out of WTR?	Comments
General Medicine (PRH)	ST1-2	1	12.5	45.5	46.5	Y	
General Medicine (PRH)	ST1-2	3	35	45.5	48.25	Y	
GP	FY2	1	8	40	40.75	N	
Emergency Department (RSH)	FY2	1	8	43.25	44	Y	
General Medicine (PRH)	FY2	5	49	45.5	49.25	Y	
Neonates	FY2	3	29.5	45	47.25	N	
GP	FY2	1	10.5	40	41	Y	
General Surgery	FY2	2	25	47	49	Y	
General Medicine (PRH)	FY2	2	25	45.5	47.5	Y	
Trauma & Orthopaedic Surgery (RSH)	FY2	2	17.25	46.5	48	N	
ENT	FY2	1	10	46.75	47.75	N	
Obstetrics & Gynaecology	ST1-2	3	36.75	47.5	50.5	Y	
Anaesthetics (RSH)	ST1-3	2	7	47	47.75	Y	
GP	FY2	2	17	40	41.5	N	
General Medicine (RSH)	ST1-2	7	75	45.75	51.5	N	
General Medicine (PRH)	ST1-2	5	60.5	45.5	50.25	Y	
Trauma & Orthopaedic Surgery (PRH)	FY2	1	13	47.25	48.25	N	
General Medicine (PRH)	FY1	1	5	47.25	47.75	Y	
Trauma & Orthopaedic Surgery (PRH)	FY1	2	12	40	41	Y	
General Surgery	FY1	2	25	46.5	48.5	Y	
Paediatrics	FY1	2	25	41	43	Y	
Psychiatry	FY1	2	25	40	42	N	
General Surgery	FY1	2	25	46.5	48.5	N	
Anaesthetics (PRH)	ST3-8	21	263.5	42	62.25	Y	
General Medicine (PRH)	ST1-2	2	20.5	45.5	47.25	N	
Anaesthetics (PRH)	ST1-3	1	11.5	47	48	Y	
Urology	ST1-2	1	9	45.75	46.5	N	NROC Rota
General Surgery	ST1-2	1	12.5	47	48	Y	
Emergency Department (RSH)	ST1-2	2	16	43.25	44.5	Y	
Trauma & Orthopaedic Surgery (RSH)	FY2	5	55.5	46.5	50.75	N	
Trauma & Orthopaedic Surgery (RSH)	ST1-2	3	34	46.5	49.25	Y	
General Medicine (PRH)	ST1-2	5	54.5	45.5	49.75	Y	
Obstetrics & Gynaecology	ST3-8	2	14.5	47	48.25	N	
Emergency Department (RSH)	FY2	4	33	43.25	46	Y	
Anaesthetics (RSH)	ST3-8	3	29.5	47	49.25	N	
GP	FY2	3	24.5	40	42	Y	
Anaesthetics (PRH)	ST3-8	2	26	42	44	N	
General Surgery	FY1	3	11.5	46.5	47.5	Y	
General Medicine (PRH)	FY1	2	9	47.25	48	Y	
General Surgery	FY1	4	23	46.5	48.5	Y	
General Surgery	FY1	6	52.5	46.5	50.5	Y	
General Medicine (RSH)	ST1-2	9	108	45.75	54	N	
General Medicine (RSH)	ST1-2	2	25	45.75	47.75	Y	
Trauma & Orthopaedic Surgery (PRH)	FY1	3	33	40	42.75	Y	
General Medicine (RSH)	ST3-8	13	107	44	52.25	Y	
General Medicine (PRH)	ST3-8	2	25	44	46	N	

General Medicine (RSH)	ST3-8	6	75	44	49.75	N	
Paediatrics	ST1-3	3	15.5	44.5	45.75	Y	
General Surgery	ST3-8	7	69	47.5	53	Y	
General Medicine (PRH)	ST3-8	1	12.5	44	45	Y	
Obstetrics & Gynaecology	ST3-8	3	23.5	47	49	Y	
Ophthalmology	ST3-8	3	48	47.5	51.25	N	NROC Rota
Anaesthetics (RSH)	ST3-8	1	12.5	47	48	Y	
General Medicine (RSH)	ST3-8	1	9.5	44	44.75	Y	
ENT	ST1-2	11	105.75	46.75	55	Y	
Obstetrics & Gynaecology	ST3-8	4	27.5	47	49.25	Y	
Urology	ST1-2	1	16	45.75	47	N	NROC Rota
Paediatrics	ST3-8	3	25.5	47.5	49.5	Y	
Neonates	ST3-8	6	62	48	52.75	Y	
Anaesthetics (RSH)	ST3-8	1	3.5	47	47.5	N	
Anaesthetics (RSH)	ST3-8	1	3.5	47	47.5	Y	
Oral & Maxillofacial Surgery	ST3-8	27	519	47.5	87	N	NROC Rota
Oncology	FY2	5	62.5	45.75	50.75	Y	
Obstetrics & Gynaecology	ST3-8	2	14	47	48.25	Y	
ENT	FY1	1	8	40	40.75	Y	
<i>Total</i>		<i>239</i>	<i>2667.25</i>				

We have identified trainees who have breached the 48 hr safe limit in this quarter.

In most instances the doctors have not opted out of the Working Time Directive (WTD). It remains the choice of the trainee whether to opt out or not. The doctor is required to ensure that additional hours of work do not breach any of the safety and rest requirements.

It remains the responsibility of the Trust to ensure doctors work within their safe limits.

Since the last report the Medical Director and GoSW relayed concerns to the medical rostering team regarding these breaches. At the time of writing the GoSW awaits confirmation that the Trust have a process in place to check doctors will not breach their hours when offered a locum shift. The medical rostering team have confirmed that all managers and rota co-ordinators have been reminded of the safe working limits.

The GoSW understands that one doctor in Oral and Maxillofacial Surgery breached the limits when working the Non Resident On Call (NROC) locum shift.

When building a rota template that includes a NROC shift, the hours of predictable work contribute to the average weekly hours rather than the full 24 hours. For example, during the non-resident period the doctor may have 3 hours of *predictable* work built in to the shift and as such a 24 hour period consisting of 8 hours on call on site and 16 hours non-resident would total 11 hours of actual work. Trainees cannot Exception report additional hours on a locum shift as this is work outside of their work schedule. It remains unclear whether this doctor has in fact breached their safe limits in this case.

In the case of locums performing NROC shifts and for the purposes of this data all hours are calculated and reimbursed.

The Medical Director has requested further information to clarify the situation.

5.0 Locum Bookings by Agency and Bank

The template for reporting to the Board issued by NHS Employers recommends the GoSW provide data on locum activity as charted below. This highlights areas where shifts might have remained unfilled.

Agency by Department

Specialty	Number of shifts requested	Number of shifts worked	Number of hours requested	Number of hours worked
Acute Medicine	1603	910	13359.5	7541.5
Anaesthetics	197	129	1782	1114
Breast Surgery	10	10	80	80
Cardiology (Medical)	222	194	1883	1636.5
Care of the Elderly	510	278	4571	2502.5
Colorectal Surgery	178	152	1733	1494
Emergency Medicine	995	674	9053	6215.25
Endo and Diab	6	1	48	8
ENT	135	67	1188	576
Gastroenterology	134	65	1072	520
General Medicine	2939	1840	24922.25	15441.75
General Surgery	52	23	508.5	235
Obstetrics	20	20	160	160
Obs & Gynae	193	85	1649	785
Oncology	433	296	3307	2211
Ophthalmology	212	202	1987.5	1902.5
Oral & Maxillofacial Surgery	69	59	703.5	580
T & O Surgery	290	200	2686	1774.5
Paediatrics	66	65	637	624
Paediatrics & Neonates	9	5	124.5	88.5
Renal Medicine	243	153	2018.5	1270.5
Respiratory Medicine	324	179	2835.5	1589.5
Stroke Medicine	5		40	
Upper GI	44		441.5	
Urology	519	216	4230.5	2326.5
Vascular Surgery	65	65	525	525
Grand Total	9473	5888	81545.75	51201.5

Agency by Grade & Reason

Specialty	Grade	Reason	Month	Sum of Demand	Sum of Agency	Sum of Hours Required	Sum of Agency Hours Worked	
Acute Medicine	Consultant	Annual Leave	01-Jun	18		144		
			01-Jul	2		16		
		Covid-19	01-May	21	21	168	168	
			01-Jun	22	22	176	176	
		Extra Cover	01-Jul	22	22	176	176	
			01-May	53	21	424	168	
		Vacancy	01-Jun	31	23	249	185	
			01-Jul	23	23	190.5	190.5	
		Core Trainee	01-May	44	44	397.5	397.5	
			01-Jun	45	45	406.5	406.5	
	FY 1	Covid-19	01-Jul	70	70	605.5	605.5	
			01-May	42	42	334	334	
		Extra Cover	01-Jun	44	44	352	352	
			01-Jul	44	44	352	352	
		Vacancy	01-May	41	41	328	328	
			01-Jun	40	40	320	320	
		FY 1	01-Jul	44	44	352	352	
			01-May	99	99	820.5	820.5	
		StR (ST3-8)	01-Jun	110	110	921.5	921.5	
			01-Jul	104	104	865	865	
Anaesthetics	Consultant	Exempt from On Calls	01-Jun	6	3	75	37.5	
			01-Jun	2		25		
	StR (ST3-8)	Extra Cover	01-May	1	1	8	8	
			01-Jun	22	22	176	176	
	Sick	01-Jul	25	25	202	202		
		01-May	1		12.5			
	Study Leave	01-Jun	6		75			
		01-Jul	3		37.5			
	Acute Medicine Total				985	910	8209	7541.5
	Anaesthetics	Consultant	Vacancy	01-May	49	49	386	386
01-Jun				40	40	364	364	
01-Jul				40	40	364	364	
Anaesthetics Total				129	129	1114	1114	
Breast Surgery	Consultant	Vacancy	01-Jul	10	10	80	80	
Breast Surgery Total				10	10	80	80	
Cardiology (Medical)	Consultant	Vacancy	01-May	42	42	336	336	
			01-Jun	44	44	352	352	
			01-Jul	44	44	352	352	
	Core Trainee	Vacancy	01-May	21	21	205	205	
			01-Jun	21	21	196.5	196.5	
	StR (ST3-8)	Vacancy	01-Jul	22	22	195	195	
			01-May	19	19	184.5	184.5	
Cardiology (Medical) Total				194	194	1636.5	1636.5	
Care of the Elderly	Consultant	Vacancy	01-May	21	21	194	194	
			01-Jun	25	25	222	222	
			01-Jul	44	44	374	374	
	Core Trainee	Vacancy	01-May	38	38	336	336	
			01-Jun	43	43	377.5	377.5	
	StR (ST3-8)	Vacancy	01-Jul	36	36	320	320	
			01-May	32	32	297.5	297.5	
	FY 1	Vacancy	01-Jun	20	20	197	197	
			01-Jul	19	19	184.5	184.5	
	Care of the Elderly Total				278	278	2502.5	2502.5
Colorectal Surgery	Core Trainee	Vacancy	01-May	17	17	181	181	
			01-Jun	22	22	219	219	
			01-Jul	36	36	352	352	
	StR (ST3-8)	Annual Leave	01-Jun	1	1	9	9	
			01-Jul	23	23	221	221	
	FY 1	Vacancy	01-May	19	19	181.5	181.5	
			01-Jun	20	20	204.5	204.5	
Colorectal Surgery Total				152	152	1494	1494	
Emergency Medicine	Consultant	Vacancy	01-May	67	67	613	613	

			01-Jun	69	69	654	654
			01-Jul	72	72	674	674
	Core Trainee	Vacancy	01-May	39	39	337	337
			01-Jun	38	38	328.5	328.5
			01-Jul	38	38	325.5	325.5
	Middle Grade	Extra Cover	01-May	55	54	518.5	510.5
			01-Jun	71	69	677.75	657.75
			01-Jul	69	67	659.75	639.75
	StR (ST3-8)	Extra Cover	01-May	52	52	492.5	492.5
			01-Jun	30	30	294	294
			01-Jul	32	32	307	307
		Sick	01-May	1		12	
		Vacancy	01-May	13	13	105	105
			01-Jun	17	17	138.5	138.5
			01-Jul	17	17	138.25	138.25
	Emergency Medicine Total			680	674	6275.25	6215.25
Endo and Diabetes	Core Trainee	Vacancy	01-May	1	1	8	8
Endocrinology and Diabetes Total				1	1	8	8
ENT	StR (ST3-8)	Other Leave	01-May	21	21	168	168
			01-Jun	24	24	232	232
			01-Jul	22	22	176	176
	ENT Total			67	67	576	576
Gastroenterology	Core Trainee	Vacancy	01-May	21	21	168	168
			01-Jun	22	22	176	176
			01-Jul	22	22	176	176
	Gastroenterology Total			65	65	520	520
General Medicine	Consultant	Annual Leave	01-May	21	21	168	168
			01-Jun	26	22	208	176
			01-Jul	22	22	176	176
		Covid-19	01-May	42	42	336	336
			01-Jun	44	44	352	352
			01-Jul	44	44	352	352
		Extra Cover	01-May	10	10	80	80
		Sick	01-Jul	5		40	
		Vacancy	01-May	42	42	336	336
			01-Jun	44	44	352	352
			01-Jul	49	44	392	352
	Core Trainee	Covid-19	01-May	42	42	336	336
			01-Jun	41	41	328	328
			01-Jul	22	22	176	176
		Extra Cover	01-May	70	70	560.5	560.5
			01-Jun	88	88	704	704
			01-Jul	88	88	704	704
		Vacancy	01-May	318	318	2733.25	2733.25
			01-Jun	356	356	3067	3067
			01-Jul	371	371	3178.5	3178.5
	StR (ST3-8)	Sick	01-May	4	4	50	50
		Vacancy	01-May	40	40	339	339
			01-Jun	41	41	373.5	373.5
			01-Jul	24	24	212	212
	General Medicine Total			1854	1840	15553.75	15441.75
General Surgery	Core Trainee	Vacancy	01-Jun	1	1	12.5	12.5
	FY 1	Extra Cover	01-May	3		37.5	
		Sick	01-Jul	2		16	
		Vacancy	01-Jun	5	5	52	52
			01-Jul	17	17	170.5	170.5
	General Surgery Total			28	23	288.5	235
Obstetrics	StR (ST3-8)	Vacancy	01-May	20	20	160	160
	Obstetrics Total			20	20	160	160
Obs and Gynae	StR (ST3-8)	Other Leave	01-May	2	2	25	25
			01-Jun	4	4	50	50
			01-Jul	9	9	111	111
		Vacancy	01-May	27	27	241.5	241.5
			01-Jun	21	21	181.5	181.5
			01-Jul	22	22	176	176
	Obs and Gynae Total			85	85	785	785
Oncology	Core Trainee	Vacancy	01-May	39	39	312	312
			01-Jun	59	59	472	472
			01-Jul	65	65	520	520
	StR (ST3-8)	Vacancy	01-May	52	52	373	373
			01-Jun	42	42	270	270
			01-Jul	39	39	264	264
	Oncology Total			296	296	2211	2211
Ophthalmology	Consultant	Vacancy	01-May	21	21	178.5	178.5
			01-Jun	22	22	187	187
			01-Jul	20	20	160	160
	Core Trainee	Vacancy	01-May	43	43	424	424
			01-Jun	47	47	483	483
			01-Jul	49	49	470	470
	Ophthalmology Total			202	202	1902.5	1902.5
Oral & MaxiFax Surgery	Consultant	Sick	01-May	6	6	91.5	91.5
			01-Jul	7	7	95.5	95.5
		Vacancy	01-May	20	20	160	160
			01-Jun	17	17	143	143
			01-Jul	11	9	104	90
	Oral and MaxFax Surgery Total			61	59	594	580
T & O Surgery	Core Trainee	Other Leave	01-May	21	21	168	168
			01-Jun	22	22	176	176
			01-Jul	9	9	72	72
		Sick	01-Jul	4	4	52	52
		Vacancy	01-May	18	18	179	179
			01-Jun	21	21	218	218
			01-Jul	19	19	192	192
	FY 1	Sick	01-Jun	2	2	16	16
	Middle Grade	Compassionate / Special Leave	01-May	7	7	81.5	81.5
		Vacancy	01-May	16	16	128	128
			01-Jun	22	22	176	176
			01-Jul	7	7	56	56
	StR (ST3-8)	Vacancy	01-May	5	5	40	40
			01-Jun	1	1	10	10
			01-Jul	26	26	210	210
	T & O Surgery Total			200	200	1774.5	1774.5
Paediatrics	Core Trainee	Sick	01-May	3	3	24	24
			01-Jun	16	16	150.5	150.5

			01-Jul	11	11	115	115
		Vacancy	01-Jun	15	15	147	147
			01-Jul	20	20	187.5	187.5
	STIR (ST3-8)	Sick	01-Jul	1		13	
Paediatrics Total				66	65	637	624
Paeds and Neonates	Consultant	Sick	01-Jun	5	5	88.5	88.5
Paediatrics and Neonates Total				5	5	88.5	88.5
Renal Medicine	Consultant	Sick	01-May	21	21	168	168
			01-Jun	22	22	176	176
			01-Jul	22	22	176	176
		Vacancy	01-May	21	21	168	168
			01-Jun	19	19	152	152
			01-Jul	1		8	
	Core Trainee	Extra Cover	01-Jul	15	15	120	120
		Vacancy	01-Jun	12	12	105.5	105.5
			01-Jul	21	21	205	205
Renal Medicine Total				154	153	1278.5	1270.5
Respiratory Medicine	Core Trainee	Covid-19	01-May	21	21	168	168
			01-Jun	19	19	152	152
		Extra Cover	01-Jul	17	17	136	136
		Vacancy	01-May	32	32	290.5	290.5
			01-Jun	43	43	401	401
			01-Jul	52	47	498	442
Respiratory Medicine Total				184	179	1645.5	1589.5
Urology	Consultant	Covid-19	01-May	73	73	590.5	590.5
			01-Jun	75	75	649	649
			01-Jul	49	49	415	415
		Vacancy	01-Jul	19	19	152	152
Urology Total				216	216	1806.5	1806.5
Vascular Surgery	STIR (ST3-8)	Vacancy	01-May	21	21	168	168
			01-Jun	22	22	181	181
			01-Jul	22	22	176	176
Vascular Surgery Total				65	65	525	525
Grand Total				5997	5888	51665.5	50681.5

Bank by Department

Speciality	Number of Shifts Requested	Number of Shifts Worked	Number of Shifts given to Agency	Number of Hours Requested	Number of Hours Worked
Anaesthetics	199	157	0	2356.25	1833.75
Cardiology	64	64	0	719.67	719.67
Care of the Elderly	46	42	0	362.83	330.83
Community Medicine	27	27	0	220.75	220.75
Dermatology	1	1	0	8	8
Emergency Department	536	427	0	4818.65	3928.65
Endocrinology	0	0	0	0	0
ENT	160	158	0	1787.25	1770
Gastroenterology	31	31	0	271.5	271.5
General Practice	0	0	0	0	0
General Surgery	112	85	0	1391	1121.5
General/Acute Medicine	987	859	0	8672.52	7582.04
Haematology	0	0	0	0	0
Intensive Therapy Unit (ITU)	10	10	0	127	127
Maxillo-facial Surgery	201	201	0	2696.08	2696.08
NICU	13	11	0	142	124
Obstetrics and Gynaecology	75	71	0	468.57	420.57
Oncology	10	10	0	30.5	30.5
Ophthalmology	29	29	0	421	421
Orthopedic Surgery	73	66	0	803.25	740.25
Paediatrics	142	121	0	1432.42	1225
Radiology	19	18	0	267.5	252
Renal Medicine	2	2	0	8.5	8.5
Respiratory	46	46	0	357	357
Stroke Medicine	10	10	0	41	41
Urology	4	3	0	57	49
Grand Total	2797	2449	0	27460.24	24278.59

Bank by Grade

Speciality	Grade	Number of Shifts Requested	Number of Shifts Worked	Number of Shifts Given to Agency	Number of Hours Requested	Number of Hours Worked
Anaesthetics	Consultant	45	30	0	606	412
	Senior House Officer/Sp1-2/Core Trainee	30	27	0	374	336.5
	Specialty Doctor	110	86	0	1218.25	927.25
	Specialty Registrar (SP3+)	14	14	0	158	158
Anaesthetics Total		199	157	0	2356.25	1833.75
Cardiology	Consultant	26	26	0	416.75	416.75
	Senior House Officer/Sp1-2/Core Trainee	38	38	0	302.92	302.92
Cardiology Total		64	64	0	719.67	719.67
Care of the Elderly	Consultant	2	2	0	8	8
	Senior House Officer/Sp1-2/Core Trainee	5	3	0	37.33	21.33
	Specialty Registrar (SP3+)	39	37	0	317.5	301.5
Care of the Elderly Total		46	42	0	362.83	330.83
Community Medicine	Specialty Doctor	27	27	0	220.75	220.75
Community Medicine Total		27	27	0	220.75	220.75
Dermatology		1	1	0	8	8
Dermatology Total		1	1	0	8	8
Emergency Department	Associate Specialist	16	13	0	127	103
	Consultant	39	39	0	634.42	634.42
	Foundation Year 2	1	1	0	6.5	6.5
	Senior House Officer/Sp1-2/Core Trainee	286	224	0	2456	1940.5
	Specialty Doctor	135	97	0	1067.98	771.73
	Specialty Registrar (SP3+)	59	53	0	526.75	472.5
Emergency Department Total		536	427	0	4818.65	3928.65
ENT	Consultant	102	102	0	1171	1171
	Senior House Officer/Sp1-2/Core Trainee	58	56	0	616.25	599
ENT Total		160	158	0	1787.25	1770
Gastroenterology	Consultant	31	31	0	271.5	271.5
Gastroenterology Total		31	31	0	271.5	271.5
General Surgery	Foundation Year 1	16	10	0	145	80
	Foundation Year 2	1	1	0	9	0
	Senior House Officer/Sp1-2/Core Trainee	54	41	0	558	434.5
	Specialty Doctor	40	33	0	670	598
	Specialty Registrar (SP3+)	1	1	0	9	9
General Surgery Total		112	85	0	1391	1121.5
General/Acute Medicine	Consultant	138	138	0	906.16	906.16
	Foundation Year 1	19	4	0	181	42
	Foundation Year 2	20	5	0	199	38.5
	General Practitioner	59	59	0	589	589
	Senior House Officer/Sp1-2/Core Trainee	559	485	0	4876.03	4341.05
	Specialty Doctor	66	62	0	575	525
Specialty Registrar (SP3+)	126	106	0	1346.33	1140.33	
General/Acute Medicine Total		987	859	0	8672.52	7582.04
Intensive Therapy Unit (ITU)	Consultant	10	10	0	127	127
Intensive Therapy Unit (ITU) Total		10	10	0	127	127
Maxillo-facial Surgery	Consultant	1	1	0	16	16
	Dental Core Trainee 2	79	79	0	882.08	882.08
	Dental Core Trainee 3	18	18	0	230	230
	Senior House Officer/Sp1-2/Core Trainee	12	12	0	150	150
	Speciality Doctor (Dentist)	64	64	0	899	899
Specialty Registrar (SP3+)	27	27	0	519	519	
Maxillo-facial Surgery Total		201	201	0	2696.08	2696.08
NICU	Consultant	13	11	0	142	124
NICU Total		13	11	0	142	124
Obstetrics and Gynaecology	Consultant	49	49	0	279.82	279.82
	Foundation Year 1	1	1	0	10.5	0
	Senior House Officer/Sp1-2/Core Trainee	9	6	0	86.25	48.75
	Specialty Registrar (SP3+)	16	16	0	92	92
Obstetrics and Gynaecology Total		75	71	0	468.57	420.57
Oncology	Specialty Doctor	10	10	0	30.5	30.5
Oncology Total		10	10	0	30.5	30.5
Ophthalmology	Specialty Doctor	29	29	0	421	421
Ophthalmology Total		29	29	0	421	421
Orthopaedic Surgery	Consultant	3	3	0	27	0
	Senior House Officer/Sp1-2/Core Trainee	37	34	0	376.25	345.25
	Specialty Doctor	7	7	0	103.25	103.25
	Specialty Registrar (SP3+)	26	25	0	296.75	291.75
Orthopaedic Surgery Total		73	66	0	803.25	740.25
Paediatrics	Associate Specialist	6	6	0	46	46
	Consultant	36	33	0	401	369
	Senior House Officer/Sp1-2/Core Trainee	42	35	0	392.5	328.5
	Specialty Doctor	54	44	0	554.42	456
Specialty Registrar (SP3+)	4	3	0	38.5	25.5	
Paediatrics Total		142	121	0	1432.42	1225
Radiology	Consultant	19	18	0	267.5	252
Radiology Total		19	18	0	267.5	252
Renal Medicine	Consultant	1	1	0	4.5	4.5
	Specialty Doctor	1	1	0	4	4
Renal Medicine Total		2	2	0	8.5	8.5
Respiratory	Consultant	45	45	0	349	349
	Senior House Officer/Sp1-2/Core Trainee	1	1	0	8	8
Respiratory Total		46	46	0	357	357
Stroke Medicine	Consultant	10	10	0	41	41
Stroke Medicine Total		10	10	0	41	41
Urology	Senior House Officer/Sp1-2/Core Trainee	2	1	0	24	16
	Specialty Registrar (SP3+)	2	2	0	33	33
Urology Total		4	3	0	57	49
Grand Total		2797	2449	0	27460.24	24278.59

Bank by Reason

Speciality	Reason	Number of Shifts Requested	Number of Shifts Worked	Number of Shifts Given to Agency	Number of Hours Requested	Number of Hours Worked
Anaesthetics	Adhoc	62	62	0	720.25	720.25
	Extra Cover	1	1		14	14
	Trust vacancy	136	94	0	1622	1099.5
Anaesthetics Total		199	157	0	2356.25	1833.75
Cardiology	Adhoc	64	64	0	719.67	719.67
Cardiology Total		64	64	0	719.67	719.67
Care of the Elderly	Adhoc	14	14	0	106.83	106.83
	Sickness	2	0	0	16	0
	Trust vacancy	30	28	0	240	224
Care of the Elderly Total		46	42	0	362.83	330.83
Community Medicine	Adhoc	27	27	0	220.75	220.75
Community Medicine Total		27	27	0	220.75	220.75
Dermatology		1	1	0	8	8
Dermatology Total		1	1	0	8	8
Emergency Department	Adhoc	100	100	0	1136.15	1136.15
	Annual Leave	8	7	0	58	58
	COVID-19 Related sickness	6	6	0	52.5	52.5
	Extra Cover	196	139	0	1630	1145
	Induction Cover	2	1	0	21	10.5
	LFT Cover	5	5	0	40.5	40.5
	SDEC Cover	1	0	0	6	0
	Sickness	31	10	0	267	83
	Study Leave	2	2	0	19	19
	Trust vacancy	183	157	0	1572.5	1384
	Urgent clinical need	2	0		16	0
Emergency Department Total		536	427	0	4818.65	3928.65
ENT	Adhoc	102	102	0	1171	1171
	Covid-19 Backfill	1	0	0	9	0
	Sickness	2	2	0	26	26
	Trust vacancy	55	54	0	581.25	573
ENT Total		160	158	0	1787.25	1770
Gastroenterology	Adhoc	31	31	0	271.5	271.56
Gastroenterology Total		31	31	0	271.5	271.56
General Surgery	Adhoc	5	5	0	45.5	45.5
	COVID-19 Backfill	23	21	0	399	376
	Extra Cover	3	0	0	37.5	0
	LFT Cover	2	2	0	25	25
	Other Leave	4	4	0	50	50
	Sickness	13	6	0	112	48
	Study Leave	5	4	0	62.5	50
	Trust vacancy	57	43	0	659.5	527
General Surgery Total		112	85	0	1391	1121.5
General/Acute Medicine	Adhoc	318	318	0	2470.16	2470.16
	Annual Leave	41	31	0	406.98	290.48
	COVID-19 Backfill	45	40	0	376.5	314
	COVID-19 Related sickness	12	5	0	93.5	46.5
	Deanery Vacancy	19	19	0	152	152
	Escalations	2		0	8	0
	Extra Cover	191	163	0	1616	1529
	LTFT Cover	4	3	0	50	37.5
	Other Leave	15	13	0	160.5	135.5
	SDEC Cover	75	75	0	645	645
	Sickness	62	24	0	599.98	238.98
	Study Leave	5	3	0	62.5	37.5
	Trust vacancy	188	155	0	1914.4	1568.42
	Urgent Clinical Need	10	10	0	117	117
General/Acute Medicine Total		987	859	0	8672.52	7582.04
Intensive Therapy Unit (ITU)	Adhoc	10	10	0	127	127
Intensive Therapy Unit (ITU) Total		10	10	0	127	127
Maxillo-facial Surgery	Adhoc	199	199	0	2671.08	2671.08
	Sickness	1	1	0	16	16
	Study Leave	1	1	0	9	9
Maxillo-facial Surgery Total		201	201	0	2696.08	2696.08
NICU	Adhoc	7	7	0	87.5	87.5
	Sickness	6	4	0	54.5	36.5
NICU Total		13	11	0	142	124
Obstetrics and Gynaecology	Adhoc	71	71	0	420.57	420.57
	Covid-19 Related Sickness	3	0		37.5	0
	Trust vacancy	1	0	0	10.5	0
Obstetrics and Gynaecology Total		75	71	0	468.57	420.57
Oncology	Adhoc	3	3	0	9.5	9.5
	Trust Vacancy	7	7	0	21	21
Oncology Total		10	10	0	30.5	30.5
Ophthalmology	Adhoc	10	10	0	69	69
	Trust vacancy	19	19	0	352	352
Ophthalmology Total		29	29	0	421	421
Orthopaedic Surgery	Adhoc	16	16	0	217.25	217.25
	Annual Leave	1	1	0	9	9
	COVID-19 Related sickness	1		0	13	0
	Extra Cover	6	4	0	35	23
	LTFT Cover	16	15	0	174	169
	Sickness	14	12	0	128	110
	Study Leave	1	1	0	4	4
	Trust vacancy	17	17	0	208	208
	Urgent Clinical Need	1		0	15	0
Orthopaedic Surgery Total		73	66	0	803.25	740.25
Paediatrics	Adhoc	27	27	0	226	226
	Annual Leave	2	2	0	18.5	18.5
	COVID-19 Backfill	3	2	0	37.5	25
	COVID-19 Related Sickness	2	2	0	24	24
	Sickness	7	4	0	65	34.5
	Trust vacancy	101	84	0	1061.42	897
Paediatrics Total		142	121	0	1432.42	1225

Radiology	Adhoc	3	3	0	45.5	45.5
	COVID-19 Backfill	14	13	0	191	175.5
	COVID-19 Related sickness	2	2	0	31	31
Radiology Total		19	18	0	267.5	252
Renal Medicine	Adhoc	2	2	0	8.5	8.5
Renal Medicine Total		2	2	0	8.5	8.5
Respiratory	Adhoc	46	46	0	357	357
Respiratory Total		46	46	0	357	357
Stroke Medicine	Adhoc	10	10	0	41	41
Stroke Medicine Total		10	10	0	41	41
Urology	Adhoc	2	2	0	33	33
	Sickness	2	1	0	24	16
Urology Total		4	3	0	57	49
Grand Total		2797	2449	0	27460.24	24278.65

6.0 Risks and Actions

6.1 Rota Compliance

All rotas initially provided are processed through the Allocate software to ensure compliance with safe working limits. It is difficult to provide information regarding continued compliance throughout the rotation in the absence of a live rostering system whose functionality would likely prevent breaches.

6.2 Data collection

This report provides quantitative data around safe working hours reported by Junior Doctors and Dentists in Training for Q4 2021 via the Exception reporting process. Data on trainee vacancies and locum activity in all trainee grades is included.

Previous reports have highlighted the challenges posed both locally and nationally regarding the collection and interpretation of the data relating to the JD workforce and their working practice.

The Board is reminded that this report does not contain data on Trust grades who often work on the same rotas as our trainees. Trust grades do not have access to the Exception reporting system in the Trust.

During Q3 2020/2021 the Workforce Directorate proposed to investigate this concern and have since been working collaboratively with the GoSW and Medical Directorate.

Progress on this work is awaited but initial discussions suggest it would be possible to provide the Board with the evidence that doctors in the Trust work within their safe limits throughout their rotation, by collating the data of the hours worked by individual doctors drawing on the locum booking information and rostered hours.

E-rostering may supersede the requirement for this process as the functionality of this system will identify and prevent breaches of rota compliance.

6.3 Exception Reporting Process

Trainees are actively encouraged to raise concerns regarding safe working via the ER System. The GoSW attended induction of all new trainees to the Trust in July. The GoSW is confident that Exception Reports are addressed in a timely manner and escalated when appropriate to the Divisional and Medical Director, however this proves time consuming as some Supervisors require prompting. Further guidance will be distributed in the next quarter to remind Supervisors of their responsibilities preceded by a survey to assess supervisor awareness of the process.

6.4 Junior Doctor Engagement

Two secure suggestion boxes have been installed in each mess to provide an additional opportunity for Junior Doctors to engage with the GoSW and report any concerns they may

have. The suggestion boxes are secure and monitored on a weekly basis by the Guardian of Safe Working or the Guardian of Safe Working Support Officer.

The GoSW continues to attend as many forums as clinical commitments permit to ensure visibility. The GoSW receives the minutes from all other meetings. The GoSW continues to hold a 3 monthly forum and has requested that the Educational Team appoint a Junior Doctor representative from each department to attend these forums in the future in an attempt to improve feedback and further engagement. This proposal has been forwarded to the Medical Director for action.

The GoSW forum continues to be held quarterly in accordance with contractual obligations.

Two 'drop in' sessions which the BMA are kindly sponsoring are being arranged to take place during October. These 'drop in' events are always popular with the Junior Doctors as it gives them an opportunity to meet the GoSW along with other department representatives to discuss any queries or concerns they may have.

7.0 Recommendations

The Board is asked to read and note this report.

**Guardian of Safe Working Hours
Dr Bridget Barrowclough
September 2021**