

## Harrogate Integrated Facilities

### ERostering and Attendance Policy

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## 1. PURPOSE

Harrogate Integrated Facilities recognises the value of its workforce and is committed to supporting staff to provide high quality services. Whilst acknowledging the need to balance the effective provision of service with supporting staff to achieve an appropriate work life balance, it is recognised that the organisation needs to be able respond to changing service requirements. A flexible, efficient and robust rostering system is key to achieving this objective.

## 2. BACKGROUND/CONTEXT

2.1 The purpose of this policy is to ensure the effective utilisation of the workforce through efficient rostering by:

- Improving the wellbeing of the staff by effective rostering that takes account of staff needs balanced against the business requirements for effective service delivery
- Improving the utilisation of existing staff and reducing bank and agency spend by giving Service Managers clear visibility of staff contracted hours
- Ensuring that rosters are fair, consistent and fit for purpose, with the appropriate skill mix, to ensure safe, high quality standards of service
- Support the deployment of staff according to service needs across the organisation
- Providing accurate management information regarding the establishment and resource deployment, thereby driving service improvement and efficiencies in the workforce across services/departments, and opportunities for flexible working.
- Improving the monitoring and management of sickness and absence by department and/or individual, generating comparisons, identifying trends and priorities for action
- Improving the planning of training time, annual leave etc.
- Ensuring compliance with the requirements of the European Working Time Regulations 1998.
- Providing a mechanism for reporting against set Key Performance Indicators (KPIs)
- Facilitating the accurate payment of staff through data being entered at source

2.2 The components of the e-Rostering system include:

- Rostering
- Absence management
- Registering attendance at work

- Payroll
- Safe Staffing
- E-Rostering reports which can facilitate staffing and service management decisions

2.3 The aim of this policy is to provide guidance to managers and employees. The policy sets out guidance on:

- Responsibilities
- Key principles including roster responsibilities, general roster management, staffing levels, payroll
- Rules and guidelines for the use of the e-Rostering system
- How rosters can be managed including shift duration, gaps in rosters in line with HSE managing shift work guidelines.
- Guidance on roster methodology including registering attendance, shifts and working patterns, management of working time and leave

### 3. DEFINITIONS

Company	Harrogate Integrated Facilities
HIF	Harrogate Integrated Facilities
Parent Company	Harrogate District Foundation Trust
Trust	Harrogate District Foundation Trust
ERostering	Electronic Rostering System
ERA	Electronic Rostering and Attendance System
ClockedIN	Time and Attendance Platform
HSE	Health and Safety Executive
VCG	Vacancy Control Group
WTR	Working Time Regulations
RLDATIX	Health Care Software Company

### 4. POLICY EFFECT

4.1 The Electronic Rostering and Attendance (ERA) system is a time and attendance, and ERostering system that allows staff working time to be recorded electronically. The system also enables rosters to be compiled, leave to be requested and authorised, absences to be recorded and enhanced payments and overtime to be calculated and paid electronically.

4.2 The ERostering system is provided by Allocate Software and encompasses different platforms:

- Optima – ERostering
- Loop – Employee module

- Roster Perform (RP) – Reporting module
  - ClockedIn – Time and attendance platform
- 4.3 Managers who are responsible for staff attendance and e-rostering will be supported by the e-Rostering team to effectively and accurately use the system, including training and staff support.
- 4.4 The e-Rostering system interfaces with the Electronic Staff Record system (ESR) so that information about employment, attendance and leave are shared between the two systems.
- 4.5 Any potential fraudulent activity must be reported in line with the Groups HDFT/HIF Anti-Fraud, Bribery and Corruption Policy and will be subject to investigation under the appropriate policy and may result in formal action.

## 5. PRODUCING ROSTERS

- 5.1 A roster is a tool that is used to ensure that the right people with the right skills are in the right place at the right time, to meet the demands of the service whilst taking into account staff numbers, capacity, capability, adequate rest and headroom.
- 5.2 Managers are responsible for the allocation of staff to ensure the effective delivery of services with due consideration of:
- Service needs/demands
  - The health, safety and welfare of staff and service users (patients)
  - The agreed establishment and staffing rostering framework
- 5.3 Once a roster has been created it is partially approved by the Departmental Supervisor and then fully approved by the Roster Service Manager before it goes live. Once the roster is live it can be viewed electronically via Loop by the individuals who are scheduled to work on it.
- 5.4 During the roster period, Roster Unit Managers can make shift by shift adjustments to take into account any changes in circumstances that may arise e.g. sick leave / other leave.
- 5.5 Once the roster has been worked, the Roster Unit Manager have up until the payroll deadline in the subsequent calendar month to review and finalise the roster to ensure that all the information contained within it is correct. The roster is then sent to payroll for processing by the e-Rostering team.
- 5.6 The roster planning and management process is explained in more detail below:



## 6. ROSTER PLANNING

- 6.1 Rosters must be completed as agreed in advance of the start date, using Optima. This will enable staff to better manage their personal arrangements and allow managers sufficient time to fill vacant shifts. All rosters will start on a Monday and run for a 28-day period in accordance with the published roster calendar. All rosters

should be composed to adequately cover 24 hours (or agreed set hours) utilising permanent staff proportionally across all shifts.

- 6.2 Shifts given a high priority on Optima should be filled first, i.e. nights and weekends. The use of bank, agency and overtime for nights and weekends should be avoided wherever possible.
- 6.3 Managers are expected to apply the use of additional basic hours, overtime and / or bank staff only where necessary and with due consideration of patient safety, service need and staff health and wellbeing.
- 6.4 All additional basic hours, overtime and / or temporary (short-term) staff cover is subject to approval in advance by the appropriate manager e.g., Department Manager, Head of Service, Budget Holder.
- 6.5 Gaps in rosters should be covered in the first instance by asking part-time staff to work additional hours. Any remaining gaps should be covered by bank staff.
- 6.6 Long term placement of temporary staff requires prior approval from the Vacancy Control Group (VCG).
- 6.7 Overtime should not be authorised where it is to cover annual leave, unless required to cover a safety risk. In this case the required approval should be sought from the Head of Service.
- 6.8 Routine booking of additional shifts and overtime during a period of Annual Leave should be avoided. If required, this needs to be escalated to a Senior Manager for approval.

## **7. TEMPORARY STAFFING**

- 7.1 Temporary Staffing requests should be made in keeping with the company guidelines.
- 7.2 Available shifts should be sent to bank only once all efforts have been made to utilise all available contracted hours on the roster as well as seek available staff via redeployment from other areas.
- 7.3 The use of agency staff should only be considered an option if all substantive and bank options of cover have been exhausted. Use of temporary staffing will be monitored and reviewed on an ongoing basis.
- 7.4 Agency workers should only be booked once authority has been received from the Head of Service, using only the approved agencies in the first instance

## **8. APPROVE THE ROSTER**

- 8.1 Before rosters are worked, they must be reviewed and approved at several stages:
  - Partial Approval – Departmental Manager. This indicates the roster is prepared and ready for review at the Roster Review Meeting
  - The roster is reviewed at the Roster Review Meeting chaired by the Deputy Director or in his/her absence a nominated Service Manager.
  - This is approval of a planned roster, acknowledging that further changes may be required due to unpredictable changes in demand or available resource.
- 8.2 Roster approval applies to all departments and employees of HIF.

- 8.3 The approval and publication of working rosters will be aligned to the published roster calendar.
- 8.4 The roster will be measured against key performance indicators (KPI's)
- 8.5 Any roster that falls outside of the set parameters must be reviewed and scrutinised for approval / rejection. If the roster is not approved, it will be returned to the Department Manager to make the necessary adjustments to resubmit. When Approval has been reached, the roster is automatically published to Loop for staff to view.

## **9. WORK AND MAINTAIN THE ROSTER**

- 9.1 Any changes that are made to the published roster must be updated in real time; this includes shift changes, additional duties, temporary staff duties, sickness and other unavailability shifts (see section 13).
- 9.2 All changes made, after the roster has been approved, will be clearly marked for audit purposes. If this has an impact on the booking of temporary staff, this should be immediately communicated to the affected staff member.

## **10. FINALISE THE ROSTER**

- 10.1 All updates to the roster must be made as soon as practically possible, taking into consideration Payroll deadlines (this includes changes to shifts, times of attendance, late finishes, sickness and holiday). The actual worked roster should be verified and finalised by the Department Manager on a week-by-week basis to ensure accuracy and timeliness. It is the Department Manager's responsibility to ensure appropriate staff have access and have been trained to make these changes.
- 10.2 At the end of the calendar month the Roster Department Manager is responsible for checking and confirming that the roster accurately reflects any changes that have occurred during the relevant period and where applicable all additional hours / overtime and all absences have been correctly input.
- 10.3 Once this is complete, the roster can be fully finalised for payroll submission. It is the Department Managers responsibility to run and check this report to ensure payroll accuracy.
- 10.4 Managers should use the monthly payroll authorisation process as an opportunity to ensure the details displayed in Optima are correct. Managers should pay particular attention to contracted hours, pay band and to ensure new starters have been added and all leavers removed (taking into account both the timescales for the interface with ESR and payroll deadlines). Any errors should be crossed checked with ESR and amended using the Manager Self Service module which will update Optima. .
- 10.5 The e-Rostering team will prompt managers when the monthly electronic payroll process is due (on the 1st of the month or nearest working day) and when the process is due to close (payroll information is submitted by the rostering team on approximately the 4th working day of the month).
- 10.6 All exceptions generated from Time Clocks must have been reviewed and determined by the Department manager. Failure to resolve these will result in the payroll being prevented from running. In this instance, immediate reference will be made to the Deputy Director for resolution.
- 10.7 Rosters should be finalised in keeping with Organisational cut off dates for Payroll. Departments not finalised in line with deadline will be advised by the Rostering Team of any un-finalised duties or un-availabilities in the pay period.

10.8 Staff should check their individual rosters via Loop to ensure the roster is a true reflection of hours worked and the electronic timesheets are as expected in terms of additional pay and payment rates. Any discrepancies must be escalated to the appropriate line manager without delay.

## 11. PAYMENTS

11.1 All additional basic hours, overtime, on-call payments and enhancements are recorded by the relevant manager in Optima and paid automatically via an electronic link to Payroll Services. All department managers must complete the Payroll authorisation process each month within the designated payroll approval window.

11.2 All additional payments to basic pay must be recorded in Optima. These payments are:

Payment	Definition
Additional Hours	Hours worked by part-time staff over and above their normal contracted hours, but less than full time hours
Enhanced [Unsocial] Hours	Hours worked per week within full-time hours (37½ per week) between 8.00pm and 6.00am Monday to Friday, and all hours worked on a Saturday, Sunday or Bank Holiday (midnight to midnight).  (NB Enhanced hours cannot be claimed during overtime or work done whilst on-call)
Overtime	Hours worked in excess of standard (full time) hours i.e. more than 37½ per week.  (Part-time staff cannot claim overtime rate until they have exceeded 37½ per week)
On-Call	Payment for each occasion an employee is available on-call AND any advice given by telephone during that time subject to agreement by the manager
On-Call: Work Done	Hours worked having been called in to work whilst available on-call (Refer to Collective On-Call Agreement for more details)
Annual Leave	Annual leave pay is calculated including regular overtime hours worked in the last 12 months.

11.3 All rates of pay are in accordance with NHS Terms and Conditions of Service and/or HIF Terms and Conditions or Employment

- 11.4 Payment of overtime for part time staff will occur when the employee exceeds full time weekly working hours e.g. 37.5 hours per week.
- 11.5 The Departmental Manager needs to ensure that no overtime or additional hours have been assigned to a member of staff who owes the Company hours and special attention is paid to bank holiday shifts and sickness period to avoid over/under payments.
- 11.6 Where an employee holds more than one contract of employment with the Company, the two contracts should be treated entirely separately i.e. no account should be taken of the total hours (of the two contracts together) for the purposes of overtime.

## 12. SKILL MIX AND SAFE STAFFING

- 12.1 An agreed and funded staffing baseline is essential to delivering high quality care. Each roster should have an agreed total number of staff and skill mix for each shift, approved by the Head of Service.
- 12.2 The skill mix and establishment should be reviewed at least annually, with the budget setting and workforce planning process. Skill Mix and establishment reviews may happen more frequently if a need / risk is identified.
- 12.3 In areas where the workload is known to vary according to the day of the week staff numbers and skill mix should reflect this.
- 12.4 Each area should have an agreed level of staff with specific competencies on each shift, to enable appropriate cover.

## 13. FLEXIBLE WORKING

The Company is committed to improving working lives and will support staff to positively explore ways in which they can better balance their work and personal lives. Managers are encouraged to accommodate flexible working arrangements where it also meets the business needs for the service, the team and the individual in line with the Flexible and Agile Working Policies.

## 14. TIME OWING

### 14.1 Time Off In Lieu (TOIL)

A manager can award TOIL as required for service need. Balances are indicated in the Optima system using the "Net Hours" column and should not exceed plus or minus 12 hours

14.2 Managers and staff should review TOIL balances on a regular basis.

14.3 To maximise efficiency within the management of exceptions, no exceptions will be generated within a 30-minute tolerance before the planned shift start and 15 minutes after the planned shift end. Staff are expected to work their full contractual hours

Exceptions will be generated as follows:

- If staff clock **in after** the shift start time
- If staff clock **out before** the shift end time.
- If staff clock in before the 30 minute window before their shift start time`
- If staff clock out after the 15 minute window after their shift end time.

14.4 If an employee clocks outside of tolerances an exception will be generated.

- This may result in:

- TOIL – Time off In Lieu where the employee has worked agreed hours over and above the shift time
- Time Owning: where the employee has
  - Clocked in after the shift start time and/or
  - Clocked out before the shift end time

It is the manager's responsibility to agree TOIL or Time Owed where appropriate and based on service need and manage the exception accordingly.

- 14.5 TOIL and Time Owed should not exceed 12 hours, the time off/time to be worked back should be planned and not extend past the next roster period.
- 14.6 A manager has discretion to award TOIL within the tolerances if required for service need, even if an exception has not been generated. If this is required, the shift times should be adjusted accordingly.
- 14.7 If TOIL is agreed it is for the whole-time above shift time end e.g. If a person stays 20 minutes after their shift they receive 20 minutes TOIL. n
- 14.8 If, for operational reasons, TOIL cannot be taken back within three months the employee is entitled to ask for payment for work done in accordance with Terms and Conditions of Service. Payment will not be made in excess of the agreed tolerance levels unless under exceptional circumstances.
- 14. The maximum amount of TOIL that can be utilised in one episode should not exceed one working day. If a full day is taken the Department Manager should cancel the shift and select TOIL as the Cancel reason.
- 14.10 The net hours displayed on the roster support the tracking of hours worked over (and under) contracted hours for any given period.
- 14.11 When an employee leaves the Company/ moves internally, managers are required to review TOIL/Time owed balances and to take action where necessary regarding any outstanding balances.
- 14.12 Staff working on corporate standard shifts (e.g. 09:00-17:00/08:00-16:00) have a cumulative 'net hours left' balance based on their clocking's. TOIL may not apply to staff that work corporate standard shifts. Managers should be aware of this +/- balance and ensure all staff work contracted hours within the rostered period.

## **15. ANNUAL LEAVE**

- 15.1 All staff should make annual leave requests via Loop.
- 15.2 All requests will be considered in the light of service needs, and the Department Manager will endeavour, as far as possible, to meet individual requests. However, it cannot be assumed that the roster will be developed to accommodate all requests, as service needs will take priority.
- 15.3 A request for annual leave shall not be granted where it would incur additional cost to cover, for example, additional basic hours / overtime / temporary / bank / agency staff.
- 15.4 Employees should review their outstanding annual leave entitlement on a regular basis via Loop and plan their requests as far ahead as possible to ensure they take their entitlement before the end of the leave year and help ensure rosters can be covered at all times. Annual leave may be planned up to 12 months in advance.

## **16. SHIFT PATTERNS**

- 16.1 Shifts and the working pattern of shifts should reflect service needs. Managers requesting the creation of new shifts or shift patterns must be able to demonstrate this and provide clear justification of its requirement for the needs of the service.
- 16.2 Staff will be required to work a variety of shifts and shift patterns as agreed by their Manager or as specified in their contract of employment/flexible working agreement.
- 16.3 Staff may have a minimum of one weekend off per 4-week roster, unless they specifically request not to have weekends off. Additional weekends off can be rostered if the departmental requirements allow.
- 16.4 Night Duty should where possible not exceed a maximum of four consecutive shifts.
- 16.5 The maximum number of nights that a worker should be expected to work in a 28-day period is 7. This excludes staff who specifically request to work a greater number of nights.
- 16.6 Staff should be rostered for two consecutive days off per week whenever possible.
- 16.7 All staff should have a minimum of 11 hours continuous rest in every 24-hour period.
- 16.8 All staff should have a minimum of 24 hours continuous rest in every seven days or minimum 48 hours rest in every 14 days.
- 16.10 Staff should not work more than an average of 48 hours per week over a rolling 17-week reference period.
- 16.11 It is acknowledged that an employee may wish to work more hours than the maximum weekly limit. Such an employee shall be permitted to do so provided that they have entered into an individual and voluntary written agreement with the Company to dis-apply the 48-hour rule. Please refer to the Working Time Regulations.

## **17. BREAKS DURING SHIFTS**

- 17.1 All shifts of more than six hours (up to 12 hours) should include a minimum of 20 minutes unpaid break in accordance with Agenda for Change and the European Working Time Directive.
- 17.2 The Company standard unpaid break lengths are 30 minutes for a typical 7.5/8 hour shift and 1 hour for 12 hour shifts (split into to two 30 minute breaks).
- 17.3 Breaks should be accurately recorded within duties in Optima, if there are any changes to the length of break, within EWTR regulations, the break length should be updated on the duty.
- 17.4 The Manager or person in charge and the individual are responsible for ensuring that breaks are taken. If breaks are unable to be taken an agreed time due to service need, they should be taken as soon after this point as possible.
- 17.5 If staff are unable to take an uninterrupted break, due to service demands, having to have a bleep/radio they will receive payment for the break period. This will be agreed in advance in line with job roles and responsibilities. No other breaks will be paid.
- 17.6 Breaks should not be taken at the end of a shift, as their purpose is to provide rest time during the shift.

## **18. STAFF DEPLOYMENT**

It is accepted that in the event of a Severe Operational Pressure/Critical Incidents, staff will be temporarily deployed, taking into consideration their skills, to provide the best

use or resources to support operational needs. The Optima system will be used to manage workforce redeployment should these situations occur.

## **19. UNAVAILABILITY – ANNUAL LEAVE ENTITLEMENT**

- 19.1 Annual Leave is calculated and arranged in accordance with the Annual Leave Policy and recorded in Optima.
- 19.2 At the beginning of the new leave year the e-Rostering team will input Annual Leave entitlements, including Bank Holiday entitlements, into Optima for all staff in accordance with data compiled from ESR in relation to contracted hours and length of service.
- 19.3 Any changes required to this balance in relation to change in contract hours / length of service mid-year, will be calculated in ESR once the contract change is input by the manager and uploaded to Optima.
- 19.4 All new starters annual leave entitlement will be updated on the system within the first month of their employment and is derived from their contract of employment.
- 19.5 The split between recording Annual Leave and Bank Holiday absences should be accurately represented within Optima in accordance with an employee's entitlement to each.

### **Annual Leave Allocation**

- 19.6 Each department should calculate how many staff can be given annual leave in any one week, with a defined limit to ensure agreed skills mix. An agreed number should be set and adhered to.
- 19.7 Staff should be made aware of the need to maintain this number constantly throughout the year. If this number should not be met by way of requests and / or the manager considers the amount of outstanding annual leave will put rosters at risk of not being covered, staff will be required to submit a request to take some or all of their remaining leave (on available dates) without delay. If an employee fails to make a request, the manager will consult with them with a view to allocating some or all of their outstanding leave. Managers reserve the right to allocate dates on which leave must be taken. In such circumstances, no more than two consecutive weeks will be allocated at any one time, and notification of the date(s) will be given at least four weeks in advance.

### **School Holidays and Bank Holidays**

- 19.8 The amount of annual leave taken during school and bank holidays should remain within the above range identified in 19.6.
- 19.9 Discussions should be encouraged between those requesting time off so that each member of staff has an equal chance of being granted annual leave.

### **Christmas and New Year**

- 19.10 This period will be treated as all other weeks in terms of leave. Each department will determine how the usual level of leave will be allocated i.e. a few staff may get some leave as opposed to a small number of staff having blocks of leave. This will depend on the staffing levels at the time.
- 19.11 All requests for Christmas / New Year annual leave should be made ideally by 1st October and agreed locally. Staff should be notified if their leave request has been approved by the end of October.
- 19.12 No temporary staff should be routinely booked on planned rosters for Christmas / New Year periods.

19.13 Fairness in allocating leave over Christmas and New Year will be ensured using the appropriate staff levels and agreed by departmental managers.

#### **Guide for Departmental Managers**

19.14 Where possible, all leave should be planned and booked in advance, at the start of the annual leave year.

19.15 Staff should take 25% of their leave each quarter throughout the leave year as follows: -

- 25% of leave taken 1st quarter
- 50% next two quarters
- 25% last quarter

19.16 For planned annual leave the amount of hours taken should mirror the rostered patterns for that period.

19.17 It is an individual's responsibility to ensure that they have taken their full annual leave entitlement before 31st March.

19.18 Departmental Managers are responsible for ensuring staff are planning annual leave throughout the year to support their own health and wellbeing and to ensure annual leave does not accumulate towards the end of the financial year. In exceptional circumstances a maximum of 5 days annual leave can be carried over (pro-rata for part-time employees) with management agreement

19.19 Annual leave should be booked or cancelled before a roster is planned. Annual leave requested after this can only be given if staffing levels permit near to the day.

19.20 Annual leave requests that exceed the documented acceptable level for the department will not be approved. However, in exceptional circumstances requests will be considered.

#### **20. UNAVAILABILITY - STUDY LEAVE**

20.1 Study leave will be assigned in line with Mandatory and Statutory requirements and approved training courses recorded in Optima

20.2 The Department Manager should:

- Utilise the available number of study days in each roster
- Prioritise mandatory training requirements for staff which may include induction, updates, etc.
- Produce rosters ensuring staff have the required mandatory and approved training days allocated.

#### **21. UNAVAILABILITY - SICKNESS ABSENCE**

21.1 Sickness Absence will be managed in accordance with the Promoting Health and Wellbeing & Attendance Management Policy

21.2 If off-duty days follow on from sick days, the Department Manager / Team Leader must be kept informed of recovery. Unless notified otherwise off-duty days will be reclassified as sick leave.

- 21.3 Managers are responsible for ensuring only one sickness episode is entered for each period of absence.
- 21.4 When staff are absent due to sickness the planned working hours that have been scheduled on Optima should be entered onto the system and not contractual hours. This will enable accurate measurement of lost productive hours and ensure Net Hours Left Balances are displayed correctly.
- 21.5 Following a period of short-term sick leave if an employee is in a Formal 12-week Monitoring period, they will be restricted from undertaking any additional overtime or bank work during this period. There may be circumstances where, in order to meet the needs of the service and/or the individual it may be necessary to allow an employee to work additional hours following a period of sickness.

## **22. UNAVAILABILITY – ABSENCE RECORDING**

- 22.1 All absences should be recorded by managers in the ERostering system.
- 22.2 If any un-availabilities are recorded incorrectly for locked roster periods Department managers should email the e- Rostering Team, so that the change can be made to both Optima and ESR.

## **23. STAFF REGISTERING ATTENDANCE**

- 23.1 The Company requires employees to register their attendance using any of the departmental on-site clocking in/out devices. All employees assigned to roster on Optima will be expected to clock in at work prior to their assigned start time and clock out when they go off duty, (this will be done primarily by the employees' thumb or index fingerprint). An alternative method of clocking in and clocking out is available for employees – the use of a fob, which is available from your line manager.
- 23.2 Clocking In and Out data is processed by OnTime (RLDatix) to record an employee's personal clocking in/out times in Optima (Health Roster). The fingerprint (biometric) is converted into a 150-digit algorithm. This is the only number that the system utilises to recognise an employee. The 150-digit algorithm aligns to the individual's pay record within the existing Health Roster/Optima environment and interfaces with ESR.

The finger scans are removed from the system 30 days after the employee's record is closed on Optima (Health Roster).

Data in relation to the time and attendance records (timesheets) is retained only as long as necessary for business or other compelling purposes, once these purposes have been satisfied personal data will be securely deleted. Further information can be found in the HDFT/HIF Privacy Policies on the internet.



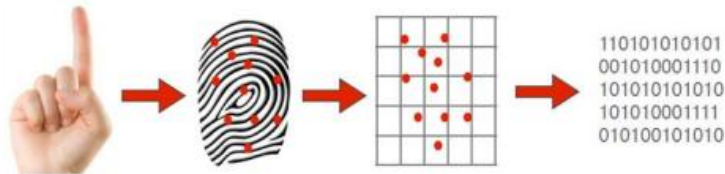
Structurizr -  
Allocate Software H

## HealthRoster e-Timeclocks

### Fingerprint Conversion/Data Protection



The fingerprint scanner system has two basic jobs -- it needs to get an image of your finger, and it needs to determine whether the pattern of ridges and valleys in this image matches the pattern of ridges and valleys in pre-scanned images. Only specific characteristics, which are unique to every fingerprint, are filtered and saved as a mathematical representation. Therefore, there is no requirement to store finger prints.

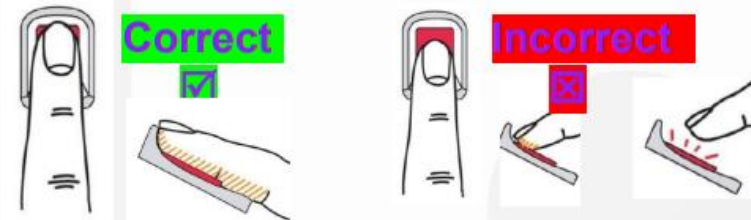


#### What are the data protection issues that have been identified?

It is important to note that these biometric time clocks do not actually collect and store fingerprints. Instead, it saves a mathematical representation of the employee's biometric data. When the biometric time clock scans a finger during a supervised enrolment process, only an encrypted mathematical representation of the fingerprint is stored. Thus, it's virtually impossible to duplicate the original image from that mathematical representation.

All data is protected under the Allocate Cloud terms & conditions for Cloud customers. On Premise customers have the data stored on servers provided to Allocate by the customers on Trust specified infrastructure.

### Securing the Best Reading



- Ensure you are using the correct finger(s) – the one which you registered with
- Ensure you are applying your finger with sufficient pressure to allow the machine to identify you
- Try giving your hands a wipe if they may be a little oily
- Try warming your hands if they are particularly cold
- It may take a few attempts until you get used to the position and pressure your fingers needs to be in order to clock successfully.

### Cleaning the Timeclock

- It is NOT recommended that you regularly use industrial cleaning solvents (especially those that are alcohol-based) on the scanning surface. Repeated use could lead to the silicone layer becoming damaged. Such damage will result in decreased capture sensitivity.
- A piece of scotch tape, placed sticky side down and then peeled off should be sufficient to remove any dust or latent oil or dirt build up. Typically once a week should be sufficient.
- Do not spray any cleaners directly on to the scanning surface.
- Do not use paper towels to clean the scanner as these can leave paper particles on the silicone layer.

- 23.3 Employees are required to clock out when they leave work for any reason other than assigned work duties, including time off for medical appointments.
- 23.4 Employees should register their attendance in good time when they are ready to start (up to 30 minutes' prior) and finish work (up to 15 minutes after) at their workplace. Staff should use the nearest working device to their place of work.
- 23.5 The system will record the times individuals are clocking in and out of the workplace, this will ensure that employees are paid correctly, and any time differences are authorised in line with other policies e.g. approved carers leave, approved time off for medical appointments, overtime etc.
- 23.6 The system will also log any overtime worked which will be transferred to Optima and authorised in a timely manner if previously approved by the line manager.
- 23.7 All anomalies to the expected attendance at work times, will be overseen by the relevant manager who will make the adjustments within Optima e.g. sickness absence.
- 23.8 For staff required to wear a uniform, it is their responsibility to change before the shift commences and after it finishes – staff are not entitled to changing time within working time.
- 23.8 In cases where an on-site clocking in/out device is faulty, staff should make every effort to find the nearest alternative device to use. Faulty on-site hand devices should be reported directly to the duty supervisor who will then inform one of the nominated Super-Users who can raise a service request.
- 23.9 In cases where an employee is unable to use the clocking in/out device to register their attendance, they should inform their line manager who will manually enter an accurate time in Optima for them.
- 23.10 Attendance registering and usage is subject to audit.

#### **24. ON-CALL SHIFTS**

For all guidelines on On-Call shifts please refer to the Collective On-Call Agreement. When called onto site, the employee should use the clocking in/out device to record the times of the call out. Departmental managers should review this information within Optima.

#### **25. PAYROLL QUERIES**

- 25.1 If an employee finds an error on their roster/timesheet through Loop or on their payslip the first point of contact should always be their manager.
- 25.2 It is the manager's responsibility to investigate the error and contact the necessary department to correct the mistake.
- 25.3 If the error relates to already submitted payroll data in relation to overtime, additional hours or enhancements, the manager must contact the e-Rostering Team to correct the mistake. They will also need to submit a manual timesheet authorised by the Head of Service and then send directly to Payroll.

25.5 Queries regarding incorrect contracted hours or grades should be directed to the line manager.

## **26. SELF-AUTHORISATION**

A member of staff who has access to their own record within Optima should not authorise or action any annual leave requests, exceptions, additional payments or finalise their own duties or un-availabilities.

## **27. TRAINING**

27.1 All users of the Optima system will receive appropriate training. This can be booked by selecting an available date listed on the e-Rostering team intranet site and being requested by a line manager.

27.2 This training is a requirement for those managing attendance, annual leave, rosters and payroll processes on e-Rostering system.

27.3 All employees within the Company will be trained in registering their attendance at work.

## **28. ROLES AND RESPONSIBILITIES**

### **28.1 Corporate Responsibility**

The Executive Team and HIF Board hold corporate accountability for ensuring there are robust systems and processes in place across the organisation to make informed and accurate decisions concerning workforce planning and provision. The Managing Director and Senior Management Team to ensure that there are systems and processes in place to capture accurate data on staffing levels and skill mix, staff movements, training and turnover to inform decisions on workforce planning. The Executive Team is accountable to the Trust Board for ensuring Company-wide compliance with policy.

### **28.2 ERostering Team Responsibilities**

- Ensuring that the e-Rostering platform (Allocate Optima) is fit for purpose and maximised to its full potential
- Monitoring rosters on completion and reporting against KPIs, feeding back to the appropriate managers where better rostering could improve the utilisation of the workforce
- Ensuring the Optima system remains appropriately configured
- Providing support and ongoing training to the Optima users
- Liaising with the Allocate Support Team to resolve system issues as required
- Submitting the overall Company payroll file
- Producing the organisation wide Roster Calendar

### **28.3 Roster Service Manager (Department Manager) Responsibilities**

- Review and approve rosters submitted from relevant departments
- Reallocate staff and authorise the use of temporary staffing solutions if necessary and where required
- Continuously review and monitor staffing capacity and capability across areas of responsibility
- Support Supervisors to ensure they have appropriate staffing capacity and capability on a shift-by-shift basis, and following escalation procedures where necessary
- Fully approve the roster (Level Two approval) or rejecting rosters that do not comply with the Key Performance Indicators in Roster Analyser

- Deal with any exceptions which are associated with their direct reports
- Complete full finalisation of shifts in line with payroll deadlines
- Be responsible to the senior management Team for ensuring policy implementation
- Nominate a roster deputy and ensure that these staff are appropriately trained
- Ensure that all exceptions that are generated using the time clocks for logging in/out are addressed in the appropriate manner.

#### **28.4 Departmental Supervisors**

The following tasks are delegated to the departmental supervisors.

- Produce and manage safe and efficient staff rosters ensuring that rosters are updated on a shift-by-shift basis
- Ensure that a quality roster is produced, maintained and finalised in line with Key Performance Indicators
- Ensure that expenditure does not exceed the allocated budget within their department(s)
- Partially approve the roster (Level One approval)
- Respond in a timely manner to unplanned changes in staffing, changing demands, including the request for the use of temporary staffing where shortages are identified
- Escalate concerns to line manager where staffing capacity and capability are inadequate to meet service/patient needs
- Ensure that there are enough staff in the right place at the right time, based on the agreed and funded skill mix, to meet the needs of the service
- Ensure fair and equitable allocation of Annual Leave and Training time
- Consider all roster requests from staff, ensuring fairness and equity in working patterns
- Deal with any exceptions that are generated by department staff as a result of logging in and out of work using the Time clocks equipment that are out of the rostered shift times
- Complete finalisation on a weekly basis and full finalisation in line with payroll deadlines
- Take responsibility for making decisions relating to rostering and absence management in accordance with related HR policies.
- Be responsible for ensuring policy implementation and compliance in their area(s)
- Prepare the draft roster in readiness for review by the Roster Unit Manager
- Update the roster as it is worked by inputting Unavailability's (unavailable for normal duty) time, including sickness and leave.
- Assist in the day-to-day maintenance of the roster

#### **28.5 All Staff**

- Attending work as per their duty roster
- Adhering to the requirements set out by this policy
- Notifying their Line Manager of any changes to a planned shift

#### **All Staff Assigned to a Roster in Optima**

- Requesting shifts (if required) and annual leave using Loop App
- Accurately registering their attendance at work using the Time Clocks devices as required.

### **29. EQUALITY ANALYSIS**

This policy has undergone a full impact assessment.

### **30. CONSULTATION, REVIEW AND COMMUNICATION**

This policy has been approved and ratified at the JNCC. The consultation undertaken for the current version is documented in appendix 1.

**31. STANDARDS/KEY PERFORMANCE INDICATORS**

The Policy will be monitored against the number of exceptions raised through the time and attendance module, gaps in rosters and payroll queries.

## 32. MONITORING COMPLIANCE AND EFFECTIVENESS

This section, using the template below, must include details of how compliance and effectiveness of implementation of the Policy will be monitored. This will include monitoring for any adverse impact on different groups. This should include the role of the Policy Lead and overseeing Governance Group in reviewing assurance.

Where an audit is required in order to measure compliance or effectiveness, the audit should be included in the Trust Annual Clinical Audit Programme and an audit tool should be made available.

Policy element to be monitored	Standards and Performance indicators	Process for monitoring	Individual or group responsible for monitoring	Frequency or monitoring	Responsible individual or group for development of action plan	Responsible group for review of assurance reports and oversight of action plan
<i>Time and Attendance</i>	<i>Number of Exceptions</i>	Weekly Rostering Tasks	Department Manager	Weekly	Department Manager	Roster Review Meeting
<i>Gaps in Rosters/Skill Mix</i>	<i>Number of Gaps in Rosters</i>	Weekly Rostering Tasks	Department Manager	Weekly	Department Manager	Roster Review Meeting
<i>Authorisation of Absences</i>	<i>Number of Absences/Staffing Levels</i>	Weekly Rostering Tasks	Department Manager	Weekly	Department Manager	Roster Review Meeting
<i>Roster Publishing Dates</i>	<i>Number of times publishing dates missed</i>	Monthly Roster Review Meeting	Department Manager	Monthly	Department Manager	Roster Review Meeting
<i>Excess Hours</i>	<i>To remain within +/- 12 hours</i>	Weekly Rostering Tasks	Department Manager	Monthly	Department Manager	Roster Review Meeting



### **33. REFERENCES/ASSOCIATED DOCUMENTATION**

The policy must be read in conjunction with the following documents:

- Annual Leave Policy (Trust /HIF Policy)
- Flexible Working Policy (Trust/HIF Policy)
- Working Time Regulations
- NHS Terms & Conditions of Service
- HIF Terms & Conditions of Service
- On-Call Agreement (Trust/HIF Collective Agreement)
- Bank Staff Policy (Trust/HIF)
- Managing Attendance & Promoting Health, Wellbeing Policy (Trust/HIF Policy)
- Special Leave Policy (Trust/HIF Policy)
- Study Leave Policy for non-medical Staff Policy (Trust/HIF Policy)
- Anti-Fraud, Bribery and Corruption Policy (Trust/HIF Policy)
- ERostering User Guides

34: Consultation Summary

<p><b>Those listed opposite have been consulted and any comments/actions incorporated as appropriate.</b></p> <p>The author must ensure that relevant individuals/groups have been involved in consultation as required prior to this document being submitted for approval.</p>	<b>List Groups and/or Individuals Consulted</b>
	JNCC
	HIF Management
	HR

**ERostering Time and Attendance Policy**

Version 1

Approved by

..... Date .....

A Gillett, for Management side

..... Date .....

H Levitt , for Trade Union Representatives