Aneurin Bevan University Health Board

Roster Policy
(Excluding Medical and Dental)

N.B. Staff should be discouraged from printing this document. This is to avoid the risk of out of date printed versions of the document. The Intranet should be referred to for the current version of the document.

Contents

1.   Executive Summary

The effective management of both clinical and non-clinical workforce is paramount to the success of the Health Board in delivering high quality care in the most cost effective manner.

This policy has been developed to identify the core principles, which must be complied with to facilitate the effective use of rostering via electronic or manual systems and to ensure consistent rostering standards are applied throughout the Health Board.

The policy will be communicated to staff via a number of routes.

2.   Scope of Policy

This policy will be applicable to **all** staff covered by both manual and electronic rostering systems other than Medical and Dental staff that have separate guidelines. The policy will support the rollout of electronic rostering (HealthRoster).

The policy is supported by a toolkit for rostered staff Managers which is discipline specific, via e-rostering:
http://howis.wales.nhs.uk/sitesplus/866/document/360460

3.   Aims

The aims of this policy are:

3.1   To ensure safe and appropriate skill mix staffing levels are met.

3.2   Secure compliance with the Working Time Regulations.

3.3   To minimise operational and clinical risk.

3.4   To improve the utilisation of substantive staff and reduce bank and agency spend by giving the Clinical and Non-clinical Senior Management teams' clear visibility of staffs contracted hours.

3.5   To improve planning of unavailability of staff due to e.g. annual leave, sickness and study leave.

3.6   To ensure rosters are fair, consistent, and fit for purpose.

4.   Purpose

This document is intended to provide organisational wide standards, which may need to be supported by local protocols for individual staff groups.

5.0   Core Principles on Which The Roster Will Be Generated

5.1   Working Time Regulations

5.1.1 The rostering of any staff must meet the legal requirements of Working Time Regulations and this policy supports and underpins specific rules relating to this.

5.1.2 Clinical or Non-clinical managers must ensure that an individual's working hours do not exceed the maximum number of working hours in the reference period in accordance with the provisions of the Working Time Regulations, as stated in the Working Time Regulations Policy and Procedure (unless an employee has opted out).

5.1.3 Where a member of staff has opted out of the maximum 48 hours per week stipulation, that member of staff will not exceed 60 hours per week, averaged over the reference period of 17 weeks (including bank working).

5.1.4 Any continuous shift worked within a rota will be limited to a maximum of 12 hours (paid).

5.1.5 Exceptions to maximum 12 hours shift worked are where senior clinical staff are required to mirror Medical rotas, but must still be WTR Compliant for these staff

5.1.6 Staff who are in receipt of Flexible working agreements will have these reviewed periodically, and on their conclusion, will return to participate in the full rota requirements (See Flexible Working Policy).

5.1.7 Staff should have a minimum rest period of 11 hours in each 24 hour period. In circumstances, where this is not practicable for service continuity please refer to the Working Time Regulations Policy and Procedure.

N.B. Any exception allowed within the regulations (derogation) reducing the daily rest period, such as double back shifts (e.g. late to early), must be with full agreement of rota staff, which is normally established on acceptance of the post. Where this applies, compensatory rest must be identified within the rota.

5.1.8 All working time of more than 6 hours must include a minimum 20 minute uninterrupted unpaid break.

Breaks will be agreed with the manager at the commencement of the shift/day working pattern, recognising both the needs of the service and the entitlement of staff to be unavailable for work during these periods.

Exceptions to 5.1.7 should be rare and are for situations where individuals cannot leave their workplace/area during breaks in which case such time is counted as working time and must be paid. The decision not to take a break or to remain within the department by a member of staff does not fall into this category.

5.1.9 Discretionary breaks are not an entitlement and can only be authorised by the manager in charge ensuring service needs are not compromised. Any discretionary break must not exceed 10 minutes and must be within their work area.

5.2   Roster Creation, Approval and Publication

5.2.1 The publication of rosters at least 6 weeks in advance using either manual systems or electronic systems, where implemented.

5.2.2 Any changes to the roster in order to ensure adequate staff cover and safe services after the publication date must occur by mutual agreement between the staff member and manager and may be subject to additional payment(s) under NHS National Terms and Conditions

5.2.3 There should be an individual on every shift 'in charge' who has been identified as having the required skills and competencies for a supervisory/coordinating role.

5.2.4 Staff requests for flexible working arrangements should be considered in line with the Flexible working policy.

5.2.5 The roster must be kept up to date. Any shift changes must be agreed with the appropriate manager, ensuring skill mix is not compromised. If any changes are required, these should be amended at the earliest opportunity.

5.2.6 Escalation to general manager or divisional director in the event rosters are not approved timely and according to the roster publication timetable.

5.2.7 Where shifts cannot be filled with the staff available, the manager is required to follow their local escalation process.

5.3 Roster Finalisation (shifts worked)

5.3.1 Ensure the worked roster is locked down/finalised within the appropriate timescale by the authorised manager to ensure timely payment to staff.

5.3.2 Ensure a pay amendment form (PAF)/retrospective pay amendment is submitted for managing and approving any retrospective payroll adjustments.

Allocation of shifts/weekends and days off.

5.3.3 Appropriate and safe staffing levels and skill mix for service requirements should be reviewed in conjunction with the agreed Departmental/Divisional Workforce Plan.

5.3.4 The roster must ensure fairness in the allocation of weekend working.

5.3.5 Where possible, i.e. not detrimental to service or individual needs, sets of days and/or nights will be kept together.

5.3.6 Consecutive shifts are subject to maximum rules.

For 12-hour and 10 hour shifts, day or night there must be no more than:

A set of 3 consecutive 12-hour shifts must be followed by a minimum of 2 days rest,

A set of 4 consecutive 10-hour shifts must be followed by a minimum 2 days rest.

This allows the opportunity for maximum recuperation.

The above includes consecutive shifts worked in substantive and/or Bank roles, or the accumulation of both.

5.4 Management of Time Owing and Net Hours

5.4.1 Any time worked over hours and claimed back as time off in lieu, which is mutually agreed prior to its commencement, must be recorded in the roster and approved by the Departmental Manager, and taken within 12 weeks and worked back in line with the escalation policy.

5.5 General Principles

5.5.1 Ensure that hard to fill, high priority shifts are prioritised and filled first.

5.5.2   Allocate staff to remaining shifts according to the roster template and staff availability.

5.5.3   Annual leave should be allocated evenly throughout each quarter to avoid accumulation of large amounts of leave towards the end of the financial year.

5.5.4   Annual leave should be booked via the Me App using local protocols. More information on annual leave should be sought through the annual leave policy.

5.5.5   There should be a process for a periodic review of monitoring and audit for each roster.

6.0 Communicating the Policy to Staff

6.1 Communication of the policy will be via a number of routes.

- Staff will be made aware of the policy on induction to the ward/department.

- Awareness of the policy will also be a component of any relevant corporate training programmes.

- The policy will be communicated through a formal cascade process.

- The policy will be available on the intranet and in hard copy where Intranet access is more limited.

7.0 Responsibilities

7.1 The **Chief Executive** is accountable for ensuring:

- Proper application of the policy through appropriate management arrangements.

- Commitment by the Health Board to equal opportunities within employment.

- Commitment through endorsement of the policy.

- Identification and allocation of any resources required for the policy.

7.2 Clinical and Non-clinical Managers are responsible for ensuring:

- The adherence of this policy and any associated procedures are implemented fairly and consistently.

- Rostering practice is in accordance with this policy and associated procedure in particular the Working Time Regulations Policy.

- Staff are familiar with the content of this policy and procedures.

- Review appropriate and safe staffing levels and skill mix on an annual basis in conjunction with the agreed Departmental Workforce Plan.

7.3 Department/Ward/Service Manager must be competently trained to carry out the following roles and responsibilities**:**

- Identifying the skill mix, and number of staff required, taking into consideration service need and demands. The Department/Ward/Service Manager should allocate shifts to individuals appropriately trained to carry out those shift requirements.

- Proposed changes should be effected in partnership with Trade Union representatives. Any review/update should be in conjunction with the best practice document, H.S.E. Guidance on Shift Working (2006).

- Ensuring compliance with standing financial instructions and financial hierarchy in respect of any expenditure.

- Ensuring that cross cover options are explored prior to requesting temporary and/or bank staff, to effectively utilise substantive staff and avoid over or under staffing and unsafe staffing levels.

- Creation of rosters, which are compliant with relevant organisational policies and relevant local protocols.

- Secure retention of completed rosters in PDF format (e-rostered areas) hard copy file non-e-rostered areas for four years post the year of completion in line with the Clinical and Non-Clinical Records Retention Schedule Policy.

7.4 Employee Responsibility

- To work the published roster and to notify their Manager/Supervisor, or their deputy, of all alterations or absences e.g. start/end times of shifts, annual/special leave, sickness etc**.**

- Employees' contract of work is with the Aneurin Bevan University Health Board rather than individual departments therefore they may be expected to work within a comparable role in another area to meet fluctuations in service demands. Due consideration should be given however to the reasonableness of expecting cross-site cover without prior notice or allowing for any increased travelling time. The individual should have the relevant competencies/skills required for this. This will be discussed and agreed with the employee prior to changes to work location.

- In unforeseen emergencies, or other fluctuations in service demands, it may be necessary for the manager to negotiate and mutually agree with the employee an alteration to their published rota.

- No holiday bookings or travel arrangements should be made until the authorising Manager has sanctioned the annual leave requested.

For a detailed list of roles and responsibilities, please refer to the E Rostering - Roles and Responsibilities - A Guide for Staff (excluding medical and dental).
8.0 ASSOCIATED ABUHB POLICIES

This policy is to be used in conjunction with ABUHB policies, including:

- Managing Attendance at Work Policy
- Flexible Working Policy
- Study Leave Policy
- Annual Leave & Statutory Holidays ~~Leave~~ Policy
- Working Time Regulations Policy and Procedure
- Employment of Disabled People ~~Persons~~ Policy
- Special Leave Policy (All Wales)
- Paternity Leave Policy
- Maternity & Adoption Leave Policy
- Shared Parental Leave Policy
- Non-Clinical and Clinical Records Retention Schedule Policy
- Supporting Staff who are victims of domestic abuse
- Trade Union Partnership Agreement
- Capability Policy (All Wales)

This policy has undergone an equality impact assessment screening process using the toolkit designed by the NHS Centre Equality & Human Rights.

EXAMPLE ONLY

ELECTRONIC ROSTER PUBLICATION TIMETABLE
Jan 2020 - Dec 2021

Roster Start Date	Roster Closed to Requests	Roster Completed by Creator	Roster Fully Approved by/ Published on:
Sunday, 19 January 2020	Friday, 22 November 2019	Friday, 29 November 2019	Friday, 06 December 2019
Sunday, 16 February 2020	Friday, 20 December 2019	Friday, 27 December 2019	Friday, 03 January 2020
Sunday, 15 March 2020	Friday, 17 January 2020	Friday, 24 January 2020	Friday, 31 January 2020
Sunday, 12 April 2020	Friday, 14 February 2020	Friday, 21 February 2020	Friday, 28 February 2020
Sunday, 10 May 2020	Friday, 13 March 2020	Friday, 20 March 2020	Friday, 27 March 2020
Sunday, 07 June 2020	Friday, 10 April 2020	Friday, 17 April 2020	Friday, 24 April 2020
Sunday, 05 July 2020	Friday, 08 May 2020	Friday, 15 May 2020	Friday, 22 May 2020
Sunday, 02 August 2020	Friday, 05 June 2020	Friday, 12 June 2020	Friday, 19 June 2020
Sunday, 30 August 2020	Friday, 03 July 2020	Friday, 10 July 2020	Friday, 17 July 2020
Sunday, 27 September 2020	Friday, 31 July 2020	Friday, 07 August 2020	Friday, 14 August 2020
Sunday, 25 October 2020	Friday, 28 August 2020	Friday, 04 September 2020	Friday, 11 September 2020
Sunday, 22 November 2020	Friday, 25 September 2020	Friday, 02 October 2020	Friday, 09 October 2020
Sunday, 20 December 2020	Friday, 23 October 2020	Friday, 30 October 2020	Friday, 06 November 2020
Sunday, 17 January 2021	Friday, 20 November 2020	Friday, 27 November 2020	Friday, 04 December 2020
Sunday, 14 February 2021	Friday, 18 December 2020	Friday, 25 December 2020	Friday, 01 January 2021
Sunday, 14 March 2021	Friday, 15 January 2021	Friday, 22 January 2021	Friday, 29 January 2021
Sunday, 11 April 2021	Friday, 12 February 2021	Friday, 19 February 2021	Friday, 26 February 2021
Sunday, 09 May 2021	Friday, 12 March 2021	Friday, 19 March 2021	Friday, 26 March 2021
Sunday, 06 June 2021	Friday, 09 April 2021	Friday, 16 April 2021	Friday, 23 April 2021
Sunday, 04 July 2021	Friday, 07 May 2021	Friday, 14 May 2021	Friday, 21 May 2021
Sunday, 01 August 2021	Friday, 04 June 2021	Friday, 11 June 2021	Friday, 18 June 2021
Sunday, 29 August 2021	Friday, 02 July 2021	Friday, 09 July 2021	Friday, 16 July 2021
Sunday, 26 September 2021	Friday, 30 July 2021	Friday, 06 August 2021	Friday, 13 August 2021
Sunday, 24 October 2021	Friday, 27 August 2021	Friday, 03 September 2021	Friday, 10 September 2021
Sunday, 21 November 2021	Friday, 24 September 2021	Friday, 01 October 2021	Friday, 08 October 2021
Sunday, 19 December 2021	Friday, 22 October 2021	Friday, 29 October 2021	Friday, 05 November 2021

Please ensure that rosters are finalised by 23:59 every Tuesday on a weekly basis - exceptions for weeks with a bank holiday
Rolling 4 week publication to maintain minimum 6 weeks notice period