

Back to Basics: Annual Leave

5. Rules



Introduction

While organisations may differ in their policies regarding leave, what unites them all is that restrictions, at least to a point, are required to ensure that the leave request process runs smoothly and in line with what the organisation requires. Whether this ranges from items as simple as restricting the amount of leave to what is in the entitlement, to ensuring there are not too many workers on leave at once, all the way to how much notice is required when booking leave, there are many rules in the system that can be used to ensure this works in line with your policies. There will be a basic outline of how rules work, but the main focus of this guide is to explore the key rules for annual leave.

1. Rules Basics

Before going into detail on the key rules required for appropriate rostering of annual leave, it is first important to understand the very basics of how the rules work. There are guides on the portal (see support documentation section) that go into this in detail, but the key sections will be outlined here.

The first area that you will need to look at when considering rules is Reference Data> Rules> Warnings and Violations, with the feature accesses *Ref Data Actions: Rules* and *Ref Data Tools: Rules*.

Name	Rule Type	Severity	Target	Scope
> Availability				
> Employee Online				
> Person Unavailabilities				
> Shift Restrictions				
> Skills And Grade				
> Temporary Staffing				
> Unit Unavailabilities				
> Work Contract				
> Working Restrictions				

You will see the rules split into 9 sections and when you click on the arrow, it will open the rules that sit within that section. You can see in a report format the key pieces of information, such as the severity, and the scope of the rule.

When you single click on the rule, it will open up a new window on the right hand side that allows you to alter these details and also to set exclusions on the rule. All decisions regarding the set up of these rules is completely down to the organisation and their internal processes and policies.

Warnings & Violations

Name: This person has more leave planned than their entitlement allows

Rule: Leave Entitlement Rule

Target: Unavailability

Scope: Global

Name	Rule Type	Severity	Target
> Availability			
> Employee Online			
Person Unavailabilities			
⚠ This person has more leave planned than the Entitlement Type allows.	Earned Entitlement Rule	Off	Unavailability
⚠ This person has more leave planned than their earned balance allows	Earned Leave Entitlement Rule	Off	Unavailability
⚠ This junior doctor does not have enough rest after consecutive days worked.	Junior Doctors Rest After Consecutive Days Unavailabili	Warning	Unavailability
⚠ This person has more leave planned than their entitlement allows	Leave Entitlement Rule	Warning	Unavailability
⚠ The max percentage of staff on leave in a week has been exceeded.	Max Percent Staff On Leave Rule	Warning	Unavailability
⚠ This unavailability exceeds the maximum length allowed.	Max Unavailability Length Rule	Warning	Unavailability
⚠ The person has exceeded the threshold for self-certified sickness days in a rollin	Maximum Number Of Self-Certified Sickness Days In Ro	Warning	Unavailability
⚠ The person has exceeded the limit for sick leave episodes in a yearly employmer	Maximum Number Of Sick Leave Episodes In A Yearly Ei	Warning	Unavailability
⚠ This earned accrual has balance below the threshold.	Min Allowed Earned Accrual Balance Rule	Off	Unavailability
⚠ This public holiday has balance below the threshold.	Min Allowed Public Holiday Balance Rule	Violation	Unavailability
⚠ This person has more leave planned than the Entitlement Type allows.	Non Earned Entitlement Rule	Warning	Unavailability
⚠ Unable to Request Unavailability Over Shift.	Prevent Leave Over Shift Rule	Violation	Unavailability
⚠ This person does not have enough rest after consecutive days worked.	Rest After Consecutive Days Unavailability Rule	Off	Unavailability

Rule Definition Details

Explanation Highlights where a person's assigned leave exceeds their leave entitlement.

Weighting: 30

Violation
 Warning
 Off

EOL Always Treat As Violation

Exclusions

Manual Rostering
 Personal Patterns
 Global Patterns
 Demand Patterns
 Auto Rostering
 Shared Patterns
 Global Patterns Candidate Selectio
 Exclude For Temporary Staff

Warnings and Violations

- If the rule is set as a **Violation**, this will prevent the rule from ever being broken in Allocate Optima (HealthRoster) and EOL/Loop. It will flag with the rule message, and will prevent the action from being taken. This would be set for rules with serious implications if they are broken, an example may be the Professional Registration Rule where you would not want to allow a worker to work a registered shift without the appropriate qualification.

- Violation
 Warning
 Off

EOL Always Treat As Violation

Note

If the rule applies to a duty or unavailability that is laid down before the rule is set to a violation, then this duty / unavailability will remain in its current state until the 'Retest Rules' option is selected, after which the unavailability would display the broken rule, and the duty will flag as red, and will display the broken rule.

- If the rule is set as a **Warning**, this will allow the action to be taken in Allocate Optima (HealthRoster) and in EOL/Loop, but will mark the duty as orange to display the broken rule, and will display a warning on the unavailability.

It is important to note that if EOL Violation is not ticked, any duty or unavailability request rules will still be allowed to break and will go through. A warning will display in EOL when they request or book, and it will display as a broken rule in the roster too. For unavailabilities, in EOL an orange icon will display by the requested leave to indicate that it is in a requested status but has broken a rostering rule.



Annual Leave

8-22 Feb 2023

This is useful for rules that may be acceptable to break occasionally, and that the roster manager can action and deem to still be safe. Generally it is not advised to untick EOL Treat As A Violation for rules that impact EOL, to avoid end users breaking the rostering rules.

Violation

Warning

Off

EOL Always Treat As Violation

Note

Certain actions cannot be taken in EOL even if the rule is not set as an EOL Violation. This includes actions such as booking or requesting duties with the incorrect grade or skill as the duties will simply not display to be able to book.

- If the rule is set to **'EOL Always Treat as Violation'**, this is always paired with the rest of the rule being a Warning. This will allow the action to be taken in Allocate Optima (HealthRoster) (and will flag as a warning in the roster) but will prevent it from being actioned in EOL. This is useful if there are duty rules in place where you would not want the end users to book duties that would break it, but you want to allow the manager in Optima (HealthRoster) to be able to action if deemed necessary. An example may be the Gender Requirement Rule, where you would want to prevent users from booking if they do not match the gender requirement in the unit, but this can be actioned by the manager if required, and would flag as a warning.

Violation

Warning

Off



EOL Always Treat As Violation

- If you turn the rule **off**, then this or any duty/unavailability rules associated with it simply would not trigger. This is used for rules that are not used at all, for example if your organisation does not use On Call duties, then you may require the Consecutive OnCalls rule to be turned off.

Violation

Warning

Off

EOL Always Treat As Violation

Exclusions

Below the warnings and violation tick boxes, you can also see a list of exclusions that you can select for the rule.

Exclusions	
<input type="checkbox"/> Manual Rostering	<input type="checkbox"/> Auto Rostering
<input type="checkbox"/> Personal Patterns	<input type="checkbox"/> Shared Patterns
<input type="checkbox"/> Global Patterns	<input type="checkbox"/> Global Patterns Candidate Selection
<input type="checkbox"/> Demand Patterns	<input type="checkbox"/> Exclude For Temporary Staff

- **Manual Rostering**

Refers to all assignments that are made manually.

Note

While this includes dragging shifts manually, this also refers to bookings made by the end user in EOL/Loop as the system classes this as manual rostering.

- **Autoroostering**

Refers to all assignments laid down by autoroster.

- **Personal Patterns, Shared Patterns, Global Patterns or Demand Patterns**

Refers to all assignments as part of the associated pattern laid down by autoroster.

- **Exclude for Temporary Staffing**

Refers to assignments to a staff member's non-substantive posting.

Note

In the system, unavailabilities apply to the person rather than the posting, as such, if the Exclude for Temp Staffing tick box is ticked for a staff member with a bank/agency posting, the person will be excluded from the rule, even if they have a substantive posting too.

Global Rules

You will notice some of these rules are set with a scope of **Global**. This will allow the rule to trigger for the entire organisation and are useful if there is a trust wide policy that needs be enforced.

Rule Definition ✕

Warnings & Violations

Name This person has more leave planned than the Entitlement Type allows.

Rule Non Earned Entitlement Rule

Target Unavailability

Scope **Global**

Edit Rule Definition Rule Instances

Rule Definition Details

These can be viewed, tailored and created in Admin > Rostering Admin > Global Rules with the feature accesses *Ref Data Actions: Rules* and *Ref Data Tools: Rules* and *Roster Admin Actions: Manage Rules*.

Rostering Admin			
Name	Rule Type	Applicability Type	
T - Sickiness 7 days or more must be medically cert	Sickness Certification Rule	Applies To All Except	
T - Over a Year on Sick Leave Check Stop Pay	Max Unavailability Length Rule	Applies To All Except	
T - Over 6 mths Sickiness Check Pay Reduction to Half	Max Unavailability Length Rule	Applies To All Except	
T - Minimum 7 days notice request A/L	EOL Request Notice Period Rule	Applies To All Except	
T - Max10 Sick Episodes In a year Check sick record	Person Sickiness Rule	Applies To All Except	
T - 4 Carers Leave Episodes per year	Max Unavailability Episodes in Period Rule	Applies To All Except	
T - 3rd Sick Episode within 3 mth Refer to Occ Health	Person Sickiness Rule	Applies To All Except	
MigrationOnlyDutyRule	Migration Only Duty Rule	Only Applies To	

If you see the Global Rules that are prefixed with a T, these will likely have been created as default in your implementation. You may also in newer instances, see default Global Rules in the system prefixed with 'Global'.

Global Rules	
Name	
Minimum 6 Weeks Notice Required for Study Leave Requests	
Minimum 6 Weeks Notice Required for Annual Leave Requests	
MigrationOnlyDutyRule	
Global Shifts over 'X' hours should have at least 'X' minutes rest	
Global Restrict staff from requesting Annual Leave during Embargo Periods	
Global Restrict BankBooking if Substantive NetHours Owed Rule	
Global Rest After Consecutive Days Rule (Unavailability)	
Global Rest After Consecutive Days Rule (Duty)	

You will also see any Global Rules that have been manually created in this list too. To create a

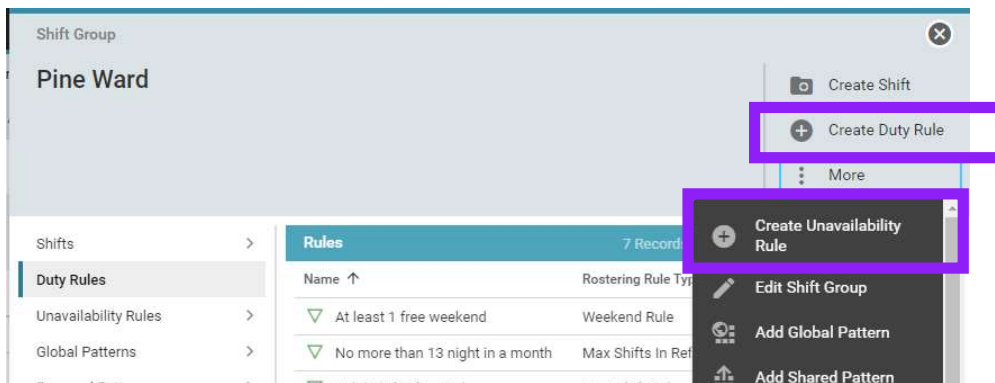
global duty or unavailability rule, simply choose the corresponding button:



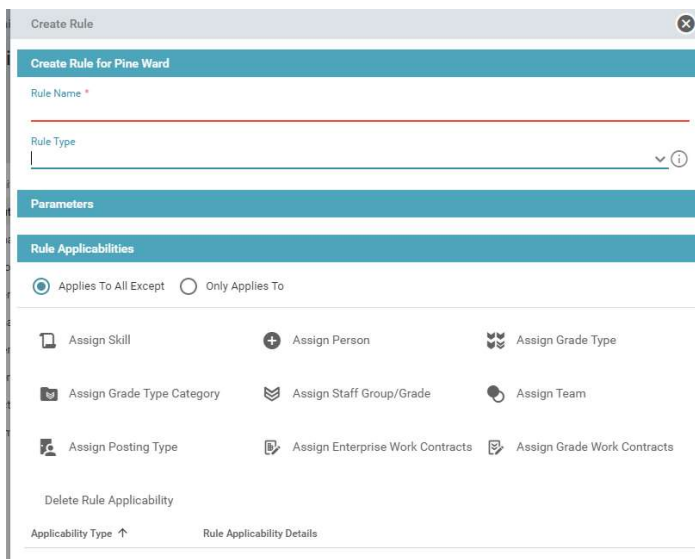
Unit Rules

It is very common for a unit to have its own set of rules that may not apply to the entire trust, in this case the best option is to create a duty or unavailability rule within that unit. To do this navigate to Admin> Rostering Admin> Shifts, Patterns and Rules with *Roster Admin Actions: Shifts Patterns & Rules* and *Roster Admin Tools: Shifts Patterns and Rules* and *Roster Admin Actions: Manage Rules*.

Here you can create a Duty Rule, which applies to duties within the unit, or an Unavailability Rule which would apply to Unavailabilities in the unit. To do this, select the unit in question, this will open a window on the right hand side. Simply select the corresponding option from the list in the top right hand corner.



This will open another window, where you input the details for the rule you are creating, including the name, the rule type from a pre-selected list, parameters if applicable, and who the rule applies to.



2. Annual Leave Rules

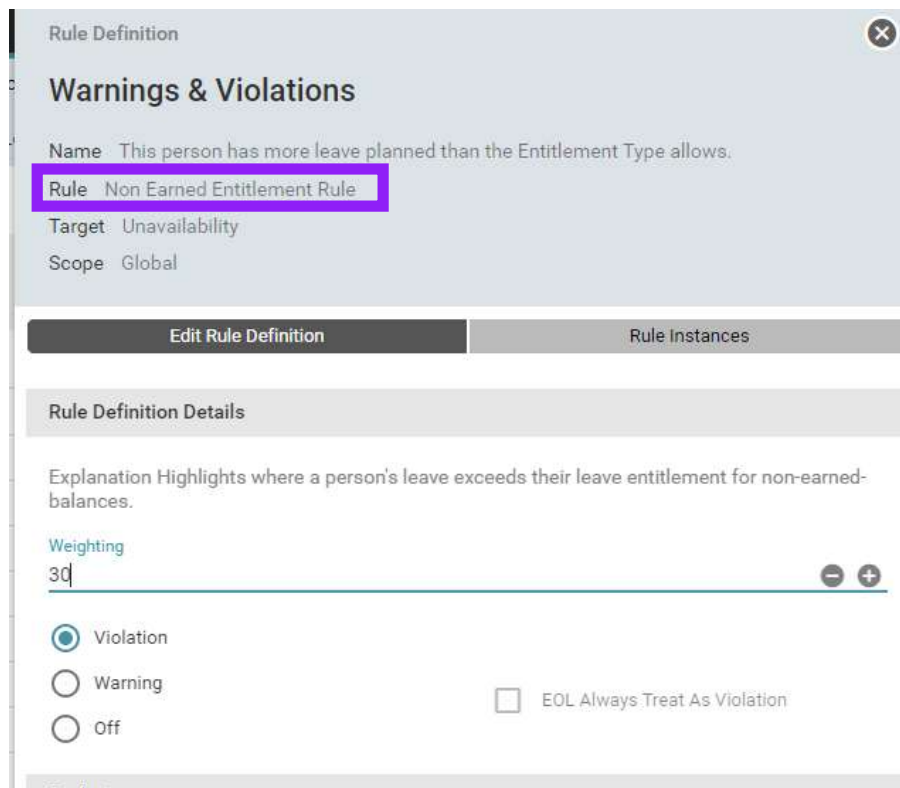
With a basic understanding of how the rules work, you can now move the focus to the rules that are required for good rostering of annual leave.

Global Rules

- **Leave Entitlement Rule / Non Earned Entitlement Rule**

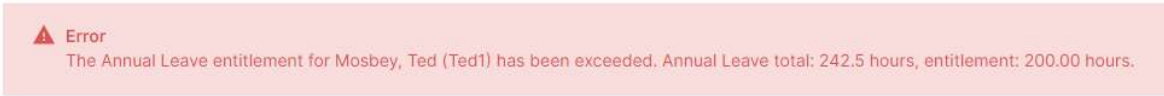
Perhaps one of the most fundamental of unavailability rostering rules is the Non Earned Entitlement Rule, and the Leave Entitlement Rule. Both of these rules prevent the users from taking leave over the amount that is dictated in their entitlement.

The Leave Entitlement Rule applies to all types of entitlements, and was therefore superseded by the **Non Earned Entitlement Rule** and **Earned Entitlement Rule** in 10.7.2 to account for the different types of unavailabilities and entitlements. Non Earned is what we are focusing on here, as this refers to Annual Leave, while Earned refers to Toil or Lieu for example. As such, these two rules can be enabled, and the Leave Entitlement Rule can be turned off.



This rule is key in ensuring that users do not exceed their entitlement, and in most instances should be kept on, as either a Violation or a Warning with EOL Violation ticked. As this is a Global Rule this cannot be configured more than the level of warning and exclusions.

When more leave is booked than their entitlement allows in EOL when set to EOL Violation, this will trigger the below message:

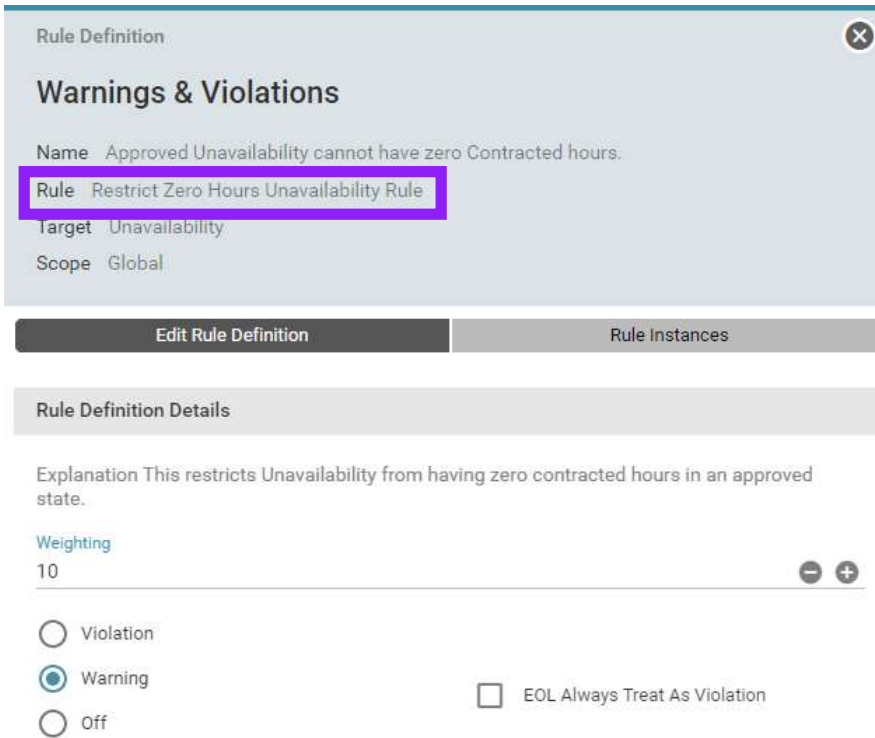


And when more leave is booked than their entitlement allows in Allocate Optima (HealthRoster), it displays the name of the rule you have created, with the message below indicating how much the user is over their entitlement:



- **Restrict Zero Hours Unavailability Hours**

This is a useful tool for preventing periods of leave being approved if they have been populated with 0 hours. This can help ensure that all leave has hours populated in it.



This can be set as either a Violation or Warning, but if this is not a priority for your organisation, you can turn this rule off. It is useful for ensuring the ward managers are checking the hours assigned to the leave before they approve it, ensuring it is in line with the internal policies.

As this is a Global Rule this cannot be configured more than the level of warning and exclusions. It is not possible to trigger this in EOL, but in Allocate Optima (HealthRoster) when a period of leave has zero hours assigned, this will display the name of the rule you have created, with the below message.



Global Restrict Zero Hours Unavailability Rule

Approved Unavailability 'Annual Leave' cannot have zero contracted hours.

Note

This can be a useful rule but bear in mind that this does apply to **all unavailability reasons**, so consider this carefully as you may require certain unavailability reasons to have 0 hours, such as TOIL. Ensure you use this in line with any internal policies.

Non - Global Rules

- **Max Unavailability Length Rule**

This is a useful rule for controlling the amount of leave a staff member can take at one time. This will usually fall in line with your internal policies, and is useful for ensuring the roster can remain fair, and that the unavailability's don't bunch throughout the year, leaving the roster understaffed.

The screenshot shows the 'Rule Definition' configuration page. At the top, there is a title bar 'Rule Definition' with a close button. Below it is the section 'Warnings & Violations'. The 'Name' field contains the text 'This unavailability exceeds the maximum length allowed.' The 'Rule' field is highlighted with a purple box and contains 'Max Unavailability Length Rule'. The 'Target' field is 'Unavailability' and the 'Scope' is 'Any'. Below the configuration fields are two buttons: 'Edit Rule Definition' and 'Rule Instances'. Underneath is a section 'Rule Definition Details' with an 'Explanation' field containing 'Highlights where an unavailability is longer than the defined maximum duration.' Below that is a 'Weighting' field with the value '30' and minus/plus icons. At the bottom, there are three radio buttons: 'Violation', 'Warning' (which is selected), and 'Off'. To the right of the 'Warning' radio button is a checked checkbox labeled 'EOL Always Treat As Violation'.

It is common for this rule to be set as a Warning with EOL Violation ticked, but this can also be set to a Violation, or off depending on the internal impact of this rule being broken.

This can be set as a Global Rule if required, or to set this up for your unit navigate to Shifts, Patterns and Rules, select the unit and choose Create Unavailability Rule. You will need to select the Rule Type 'Max Unavailability Length Rule' and name it

something appropriate. You can also set it to override any Global Rules that have been created that may interfere with this rule.

Create Rule for Hollie Test Unit

Rule Name *
Max 2 Weeks

Rule Type
Max Unavailability Length Rule

Overrides Global Rule
-

You will need to select the Unavailability Reason Group as Annual Leave, and Reason if applicable, and then set the Threshold, which for this rule is in days. Ticking 'Use Duration' will ensure the system takes into account the amount of days of the entire duration of leave. If unticked, the system will only take into account days with Work Hours assigned. Ensure the decision to tick or untick this is in line with your internal policies and how your workers should book leave.

Parameters

Unavailability Reason Group *
Annual Leave

Unavailability Reason
A/L

Threshold (Days) *
14

Use Duration

You can also set any applicabilities you require, by selecting the 'Assign...' buttons. An example of this may be that you only want this to apply to RNs, so you would select 'Assign Grade Type' and select RN.

Rule Applicabilities

Applies To All Except Only Applies To

Assign Skill Assign Person Assign Grade Type
Assign Grade Type Category Assign Staff Group/Grade Assign Team
Assign Posting Type Assign Enterprise Work Contracts Assign Grade Work Contracts

Delete Rule Applicability

Applicability Ty	Rule Applicability Details
Grade Type	RN

When a period of leave longer than the set time is requested in EOL, if set to an EOL Violation, it will display a variation of the below message dependent on the parameters:



Cannot have an episode of Annual Leave - A/L greater than 14 days.

When a period of leave longer than the set time is added in Allocate Optima (HealthRoster), it will display the name of the rule you have created, with a variation of the below message dependent on the parameters:



Max 2 Weeks

Cannot have more than 14 working days of Annual Leave in one episode.

▪ **Max Unavailability on Day Rule**

This rule prevents too many people being off at once on a day. It is a useful tool for ensuring that there is enough staff available to work at any time, and to avoid understaffing that may lead to bank or agency spending if too many people are off at once. This will usually be set within your internal policies and in line with the amount of staff within the unit and team to allow for cover of any leave that may be taken.

Warnings & Violations

Name There are too many people unavailable on the same day.

Rule Max Unavailability On Day Rule

Target Unavailability

Scope Any

Edit Rule Definition Rule Instances

Rule Definition Details

Explanation Limits the amount of people who can be unavailable with the nominated reason at the same time.

Weighting 30

Violation

Warning

Off

EOL Always Treat As Violation

It is common for this rule to be set as a Warning with EOL Violation ticked, but this can also be set to a Violation depending on the internal impact of this rule being broken. This can be set as a Global Rule if required or to set this up for your unit navigate to Shifts, Patterns and Rules, select the unit and choose Create Unavailability Rule. You will need to set the Rule Type 'Max Unavailability On Day Rule', and name it something appropriate. You can also set it to override any Global Rules that have been created that may interfere with this rule.

Create Rule

Create Rule for Hollie Test Unit

Rule Name *
Max 3 RN On Leave

Rule Type
Max Unavailability On Day Rule

Overrides Global Rule
-

You have the option to set this for Any Unavailability, but to set it to apply only to Annual Leave, you can select this from the Unavailability Reason Group and Reason dropdowns. Set the threshold to define what the maximum amount of workers is allowed, so if this is three, and a fourth person would break the rule, then set the threshold to three.

Parameters

Any Unavailability

Unavailability Reason Group
Annual Leave

Unavailability Reason
A/L

Threshold *
3

You can set up the applicabilities in the section below it too:

Rule Applicabilities

Applies To All Except Only Applies To

Assign Skill Assign Person Assign Grade Type

Assign Grade Type Category Assign Staff Group/Grade Assign Team

Assign Posting Type Assign Enterprise Work Contracts Assign Grade Work Contracts

Delete Rule Applicability

Applicability Ty Rule Applicability Details

Grade Type RN

If the set amount of workers are already on annual leave, and another request is made in EOL, with EOL Violation set, it will display the below message:



Cannot have more than 3 people on Annual Leave on 03/02/2023.

If the set amount of workers are already on annual leave, and another period is added in Allocate Optima (HealthRoster), this will display the name of the rule you have created, with the below message:



Max 3 RN On Leave

Cannot have more than 3 people on Annual Leave on 03/02/2023.

▪ Max Unavailability Hours In Week Rule

This rule is a way to limit the amount of unavailability hours taken in the unit within a week. This is commonly used for unavailability reasons such as TOIL for example, or other reasons under the Other Leave group, but can also be used for Annual Leave. While the Max Episodes rule may be simpler for this purpose, this allows more detail to be specified in the rule, and considers the whole week rather than the day, it also allows for more flexibility by including half days, or a certain amount of hours of leave, which can be useful if trying to encourage more flexible working. This can be aligned with your internal policies regarding the amount of leave that can be taken by a team or unit at one time.

The screenshot shows the configuration page for a rule. The 'Name' field contains 'There are too many unavailability hours for the week'. The 'Rule' field is highlighted with a purple box and contains 'Max Unavailability Hours In Week Rule'. The 'Target' is 'Unavailability' and the 'Scope' is 'Any'. Below the rule name are two tabs: 'Edit Rule Definition' and 'Rule Instances'. Under 'Rule Definition Details', the 'Explanation' states: 'Highlights where the limit of hours within the reference period has been exceeded for the unit for that given week (all weeks in the unavailability period are checked individually)'. The 'Weighting' is set to 30. There are three radio buttons for 'Violation', 'Warning', and 'Off', with 'Warning' selected. A checkbox labeled 'EOL Always Treat As Violation' is checked.

It is common for this rule to be set as a Warning with EOL Violation ticked, but this can also be set to a Violation depending on the internal impact of this rule being broken. This can be set as a Global Rule if required or to set this up for your unit navigate to Shifts, Patterns and Rules, select the unit and choose Create Unavailability Rule.

You will need to choose the Rule Type 'Max Unavailability Hours in Week Rule', and name this something appropriate. You can also set it to override any Global Rules that have

been created that may interfere with this rule.

Create Rule

Create Rule for Hollie Test Unit

Rule Name *
Max 80 Hours in Week

Rule Type
Max Unavailability Hours In Week Rule

Overrides Global Rule
-

You have the option to set this for Any Unavailability, but to set it to apply only to Annual Leave, you can select this from the Unavailability Reason Group and Reason dropdowns. Set the threshold to define what the permitted maximum amount of hours is, so if this is 80, and 80.5 or more hours would break this rule, then set the threshold for 80.

Parameters

Any Unavailability

Unavailability Reason Group *
Annual Leave

Unavailability Reason
A/L

Threshold (Hours) *
80.00

You can set up the applicabilities in the section below it too:

Rule Applicabilities

Applies To All Except Only Applies To

Assign Skill Assign Person Assign Grade Type

Assign Grade Type Category Assign Staff Group/Grade Assign Team

Assign Posting Type Assign Enterprise Work Contracts Assign Grade Work Contracts

Delete Rule Applicability

Grade Type	Details
RN	

When more than the set amount of hours permitted is requested in EOL, with EOL Violation set, this will display with a variation of the below message dependent on the set parameters:

Error
Cannot have more than 80:00 Unavailability hours of Annual Leave - A/L in week 06/02/2023 - 12/02/2023 yet 108:00 hours are assigned.

When more than the set amount of hours permitted is added in Allocate Optima (HealthRoster), it will display the name of the rule you have created, with a variation of the below message:



Max 80 Hours in Week

Cannot have more than 80:00 Unavailability hours of Annual Leave - A/L in week 06/02/2023 - 12/02/2023 yet 100:00 hours are assigned.

▪ **Max Percent Staff on Leave Rule**

This rule is used for restricting the amount of workers on annual leave in a week, and rather than limiting by hours, or by a specified number of workers, as the aforementioned rules do, this calculates based on a percentage of the contracted hours in the week. This is useful for units where the amount of workers may change frequently, and so the set figure allowed on leave at a time does not need to be recalculated every time the amount of workers in the unit changes. As it uses a percentage figure it is a variable figure, and can save time for those in charge of managing this figure, although this would need to be aligned with the internal policies. It can also be used to align with a global headroom percentage if set as a global rule.

Warnings & Violations

Name The max percentage of staff on leave in a week has been exceeded.

Rule Max Percent Staff On Leave Rule

Target Unavailability

Scope Any

Edit Rule Definition Rule Instances

Rule Definition Details

Explanation The maximum amount of applicable people on leave in a given week has been exceeded.

Weighting
30

Violation

Warning

Off

EOL Always Treat As Violation

It is common for this rule to be set as a Warning with EOL Violation ticked, but this can also be set to a Violation depending on the internal impact of this rule being broken. This can be set as a Global Rule if required or to set this up for your unit navigate to Shifts, Patterns and Rules, select the unit and choose Create Unavailability Rule.

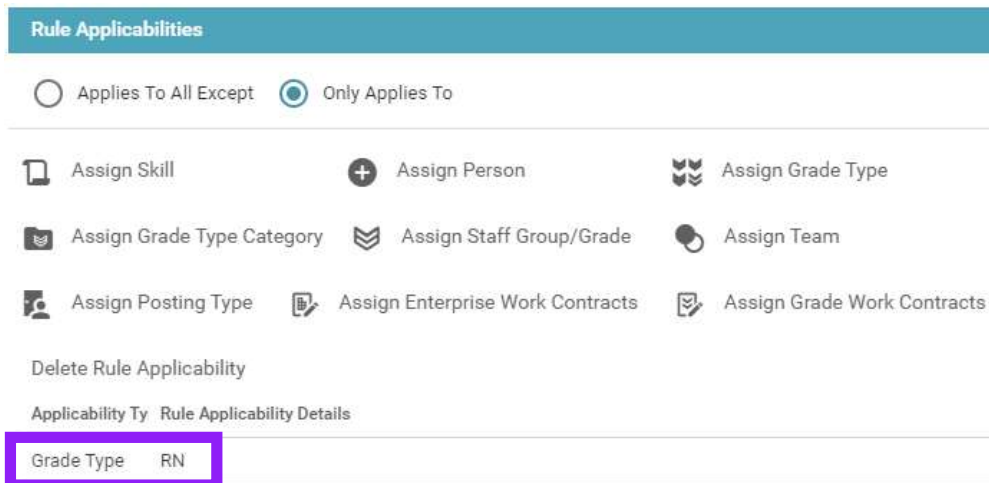
You will need to set this to the Rule Type 'Max Percent Staff On Leave Rule', and name this something appropriate. You can also set it to override any Global Rules that have been created that may interfere with this rule.



This rule applies only to Annual Leave and the only parameter to set is the percentage. Set this to the maximum amount of people on annual leave permitted.



You can set up the applicabilities in the section below it too:



When more than the set percentage of workers on annual leave is requested in EOL, with EOL Violation set, it will display with the below message:



When more than the set percentage of workers on annual leave is added in Allocate Optima (HealthRoster), it will display the name of the rule you have created, with the below message:



▪ EOL Request Notice Period

This rule is used to enforce a set period of notice that a user needs to give to be able to book leave. It is useful to prevent requests for a short period of time away, for example to prevent a worker from booking a period of leave for the following week. This is useful as it allows roster managers enough time to plan their rosters, and to ensure any leave is covered. If not enough notice is given, this can lead to over taking of leave, which in turn can lead to increased bank spending. This would need to be set within the unit or organisation's internal policies. It can also be useful to align this with your organisation roster approval timelines.

Warnings & Violations

Name The EOL unavailability notice period has not been met.

Rule EOL Request Notice Period Rule

Target Unavailability

Scope Any

[Edit Rule Definition](#) [Rule Instances](#)

Rule Definition Details

Explanation Highlights when an unavailability has been entered with too short a notice period before it starts via Employee Online.

Weighting
10 – +

Violation

Warning

Off

EOL Always Treat As Violation

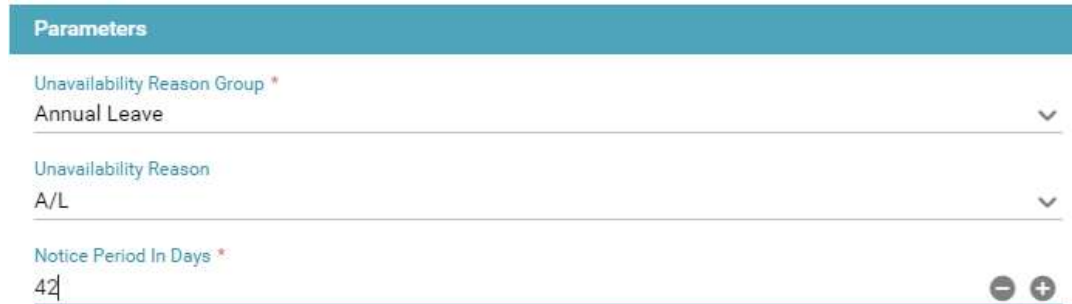
This rule only applies to requests being made via EOL or Loop, and as such, if using this rule, it is recommended to set this to at least EOL Violation ticked with Warning, or just Violation to prevent staff from being able to book this leave. This can be set as a Global Rule if required or to set this up for your unit navigate to Shifts, Patterns and Rules, select the unit and choose Create Unavailability Rule.

You will need to select the Rule Type 'EOL Request Notice Period' and name it something appropriate. You can also set it to override any Global Rules that have been created that

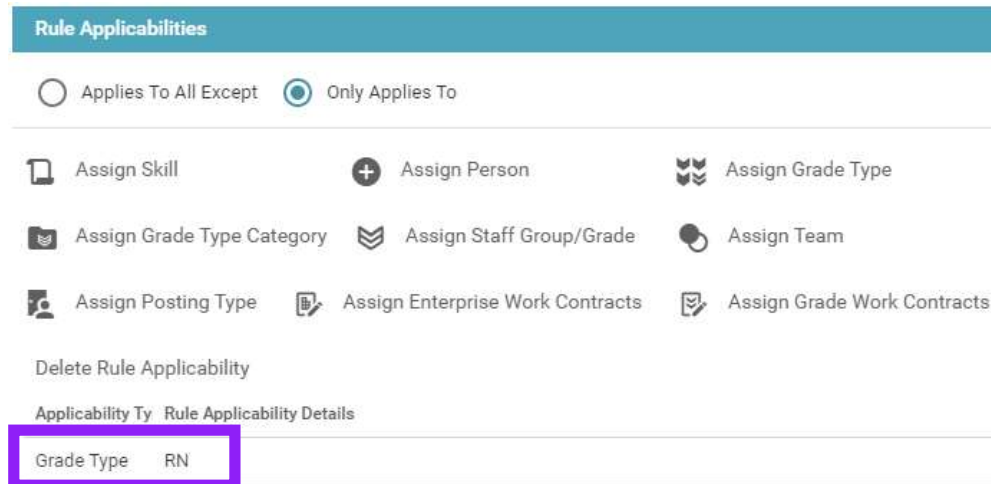
may interfere with this rule.



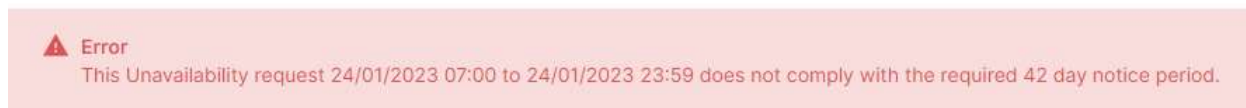
You will need to select Unavailability Reason Group to Annual Leave and the Unavailability Reason if applicable. Then set the Notice Period in days, so if you require the staff members to give 6 weeks notice, you can set this to 42 days, so if they try to request this for 41 days time, they will not be able to.



You can set up the applicabilities in the section below it too:



This rule only applies to EOL or Loop/Me, and when leave is requested without the required notice, when the rule is set to Violation it will display with the below message:



- **EOL Request Over Approved Roster**

This rule is used to prevent unavailability requests over an approved roster, but it is important to note that this rule will only trigger if the request would cancel something with work time that is approved on that date, for example an assigned duty or unavailability. It will not fire if there is no item with work hours on the roster for the day of the request.

For this reason, it is recommended that if this rule is required, that it is at least used in conjunction with the EOL Notice Period Rule, which you could try to align with your roster approval dates and request periods.

The screenshot shows the configuration page for a rule. The title is "Warnings & Violations". The rule name is "Unavailability requested via EOL over Approved Roster(s)". The rule type is "EOL Request Over Approved Roster Rule", which is highlighted with a purple box. The target is "Unavailability" and the scope is "Any". Below this are two tabs: "Edit Rule Definition" and "Rule Instances". Under "Rule Definition Details", the explanation is "Prevents requests over approved rosters via Employee Online". The weighting is set to "10". There are three radio button options: "Violation", "Warning" (which is selected), and "Off". A checkbox labeled "EOL Always Treat As Violation" is checked.

This rule only applies to requests being made via EOL or Loop, and as such it is recommended to set this to at least EOL Violation ticked with Warning, or Violation to prevent staff from being able to book this leave. To set this up for your unit, navigate to Shifts, Patterns and Rules, select the unit and choose Create Unavailability Rule.

You will need to set this to the Rule Type 'EOL Request Over Approved Roster Rule', and name this something appropriate. You can also set it to override any Global Rules that have been created that may interfere with this rule.

The screenshot shows the "Create Rule" form for the "Hollie Test Unit". The rule name is "Leave Over Approved Roster". The rule type is "EOL Request Over Approved Roster Rule", which is highlighted with a purple box. There is a checkbox for "Overrides Global Rule" which is currently unchecked.

Due to the nature of this rule, no parameters can be set for this rule.

Parameters

No Parameters Required

This rule only applies to EOL or Loop/Me, and when overlapping with an approved assignment with worktime, when the rule is set to Violation it will display with the below message:

Error
This Unavailability overlaps with an approved Roster for Hollie Test Unit.

Prevent Leave Over Shift Rule

This rule is used to prevent or warn if a worker is requesting a period of leave if they have already been assigned a specific shift. This could be used for preventing leave over particularly unpopular duties, or difficult duties to fill or rearrange.

Warnings & Violations

Name: Unable to Request Unavailability Over Shift.

Rule: Prevent Leave Over Shift Rule

Target: Unavailability

Scope: Any

Edit Rule Definition | Rule Instances

Rule Definition Details

Explanation: When a person is assigned the specified Shifts on the rule, the rule will prevent Unavailability from being requested depending on whether it is set as a warning or violation.

Weighting: 30

Violation

Warning

off

EOL Always Treat As Violation

It is common for this rule to be set as a Warning with EOL Violation ticked, but this can also be set to a Violation depending on the internal impact of this rule being broken. This can be set as a Global Rule if required, or to set this up for your unit navigate to Shifts, Patterns and Rules, select the unit and choose Create Unavailability Rule.

You will need to set this to the Rule Type 'Prevent Leave Over Shift Rule', and name this something appropriate. You can also set it to override any Global Rules that have been created that may interfere with this rule.

Create Rule

Create Rule for Hollie Test Unit

Rule Name *
No RN Leave Over On Call Night


Rule Type
Prevent Leave Over Shift Rule

Overrides Global Rule
-

This applies to all types of unavailability, so cannot be tailored only to Annual Leave. In the Parameters section you can select the shift or shift type that you need this to apply to.

Parameters




Available Shift Types and Shifts Selected Shift Types and Shifts




 OC N (OC N) 20:00 - 07:00




You can set up the applicabilities in the section below it too:

Rule Applicabilities

Applies To All Except Only Applies To

 Assign Skill  Assign Person  Assign Grade Type

 Assign Grade Type Category  Assign Staff Group/Grade  Assign Team

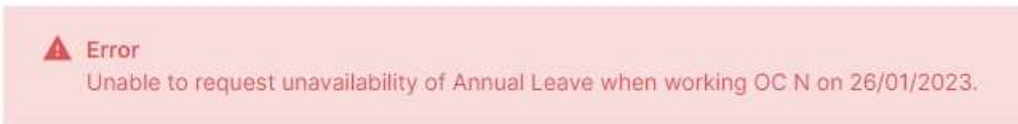
 Assign Posting Type  Assign Enterprise Work Contracts  Assign Grade Work Contracts

Delete Rule Applicability

Applicability Ty Rule Applicability Details

Grade Type	RN
------------	----

When a period of unavailability is requested that overlaps the specific shift or shift type in EOL with EOL Violation set, this will display the below message:



When a period of unavailability is added that overlaps the specific shift or shift type in in Allocate Optima (HealthRoster) this will display the name of the rule you have created, with the below message:



- **Restrict Annual Leave During Embargo Periods**

From 11.1.4 you will see the option to create Embargo Periods. These are used to prevent annual leave requests in a given period, for example in Christmas or school holidays

where requests may be high and you organise this leave in a different method to within Allocate Optima (HealthRoster). These are set up in Reference Data> Unavailability> Embargo Periods, and you will need the feature accesses *Ref Data Tools: Embargo Periods* and *Ref Data Actions: Embargo Periods*. Here you set up the dates that you wish to prevent leave being added or requested. If these are set up, you will need to turn on the Embargo Periods rule to ensure that users are unable to make such requests.

Warnings & Violations

Name Restrict staff from requesting Annual Leave during Embargo Periods.
Rule Restrict Annual Leave During Embargo Periods
Target Unavailability
Scope Any

Edit Rule Definition | **Rule Instances**

Rule Definition Details

Explanation Restrict staff from requesting Annual Leave during Embargo Periods.

Weighting
30

Violation
 Warning
 Off

EOL Always Treat As Violation

It is common for this rule to be set as a Warning with EOL Violation ticked, but this can also be set to a Violation depending on the internal impact of this rule being broken. This can be set as a Global Rule if required, or to set this up for a specific unit navigate to Shifts, Patterns and Rules, select the unit and choose Create Unavailability Rule.

You will need to set this to the Rule Type 'Restrict Annual Leave During Embargo Periods', and name this something appropriate. You can also set it to override any Global Rules that have been created that may interfere with this rule.

Create Rule

Create Rule for Hollie Test Unit

Rule Name *
Prevent Leave Over Christmas

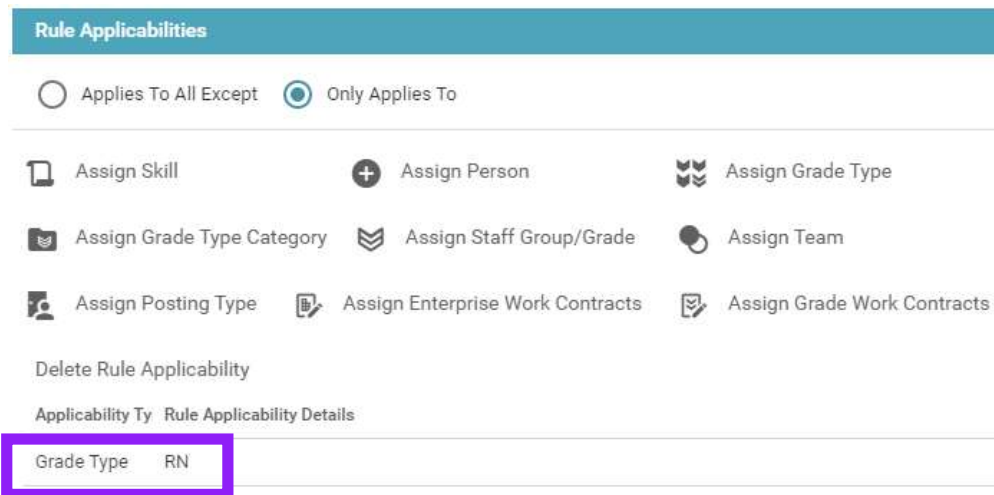
Rule Type
Restrict Annual Leave During Embargo Periods

Overrides Global Rule
-

As outlined in the rule name and description, this rule only applies to the unavailability reason type Annual Leave. In the parameters section, you can select the embargo period that you wish this rule to apply to. In the example below, the Christmas embargo period, created in Reference Data is selected.



You can set up the applicabilities in the section below it too:



When a request within the embargo period is made in EOL when set to EOL Violation, it will trigger with the below message:



When leave is added in a requested state within the embargo period in Allocate Optima (HealthRoster), it will display the name of the rule you have created, with the below message:



■ Days Off Around Annual Leave Rule

This is a duty rule that is used to ensure that the duty assigned the day before and the day after a period of annual leave of a certain length is a rest shift. This may be used if such an understanding exists in your internal policies regarding annual leave.

Warnings & Violations

Name The first shift before and after Annual Leave of this length should be a rest shift.

Rule Days Off Around Annual Leave Rule

Target Duty

Scope Shift Group

[Edit Rule Definition](#) [Rule Instances](#)

Rule Definition Details

Explanation Prevents any duty other than a rest shift being before or after Annual Leave of a certain length.

Weighting
10 – +

Violation

Warning EOL Always Treat As Violation

Off

The length of annual leave for this to trigger is set in Reference Data> Organisation> Settings in the setting named Min Annual Leave Length Needing Adjacent Rest. Here if you wish the rule to trigger on a period of leave that lasts 5 or more days, you can set the value to 5.

Setting

Min Annual Leave Length Needing Adjacent Rest

The minimum length, in days, of an episode of annual leave to which the 'Days Off Around Annual Leave' rule can be applied

Value
5

It is common for this rule to be set as a Warning with EOL Violation ticked, but this can also be set to a Violation depending on the internal impact of this rule being broken. This can only be set up unit by unit, to do this navigate to Shifts, Patterns and Rules, select the unit and choose Create Duty Rule.

You will need to set this to the Rule Type 'Days Off Around Annual Leave Rule', and name this something appropriate.

Create Rule ✕

Create Rule for Hollie Test Unit

Rule Name *
Day Off Before Annual Leave

Rule Type
Days Off Around Annual Leave Rule ▼ ⓘ

This applies only to the unavailability group Annual Leave and due to the nature of the rule, no parameters can be selected. The rule will simply ensure that a duty with the duty type Rest is assigned before the unavailability.

Parameters

No Parameters Required

You can set up the applicabilities in the section below it too:

Rule Applicabilities

Applies To All Except Only Applies To

Assign Skill
 Assign Person
 Assign Grade Type
 Assign Grade Type Category
 Assign Staff Group/Grade
 Assign Team
 Assign Posting Type
 Assign Enterprise Work Contracts
 Assign Grade Work Contracts

Delete Rule Applicability

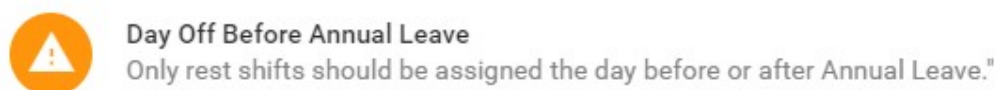
Applicability Ty Rule Applicability Details

Grade Type RN

When requesting or booking a duty in EOL when set to EOL Violation, this will display the below message:



When a duty other than a rest shift is assigned in Allocate Optima (HealthRoster) it will display the rule name and the below message:



- **Max Unavailability Days in Period Rule**

This rule is used for limiting the amount of unavailability days of a particular unavailability reason, that a person can take within a specified reference period. This one is often used for unavailability reasons other than Annual Leave, for example, sickness, or compassionate leave to prevent staff members taking too many days of this unavailability reason in a set period. It can be used for Annual Leave if required, although it is more common place to use this with a combination of the aforementioned rules to restrict this to ensure you are in line with your internal policies.

Warnings & Violations

Name This person has too many unavailability days in the reference period.

Rule Max Unavailability Days in Period Rule

Target Unavailability

Scope Any

[Edit Rule Definition](#) [Rule Instances](#)

Rule Definition Details

Explanation Highlights where a person has exceeded the limit of unavailability days of the nominated reason over the reference period.

Weighting
30 − +

Violation

Warning EOL Always Treat As Violation

Off

It is common for this rule to be set as a Warning with EOL Violation ticked, but this can also be set to a Violation depending on the internal impact of this rule being broken. This can be set as a Global Rule if required, or to set this up for a specific unit navigate to Shifts, Patterns and Rules, select the unit and choose Create Unavailability Rule.

You will need to set this to the Rule Type 'Max Unavailability Days In Period Rule', and name this something appropriate. You can also set it to override any Global Rules that have been created that may interfere with this rule.

Create Rule

Create Rule for Hollie Test Unit

Rule Name *
Max 10 Annual Leave Days in 3 Months

Rule Type
Max Unavailability Days in Period Rule

Overrides Global Rule
-

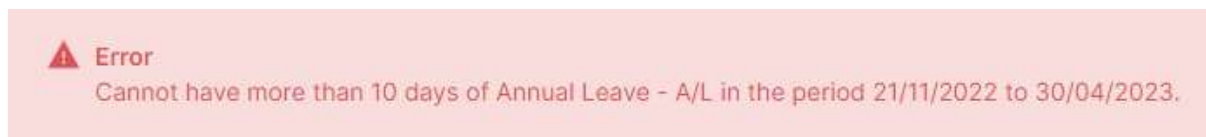
You will need to select Unavailability Reason Group to Annual Leave and the Unavailability Reason if applicable. Then for the threshold you need to select the amount of weeks you need the rule to refer to, and the amount of days within that set period that you would need it to consider before triggering. Here in this example, we have the rule set to trigger if there are more than 10 days of Annual Leave in three months.

Parameters
Unavailability Reason Group *
Annual Leave
Unavailability Reason
A/L
Weeks In Ref Period *
12
Threshold (Days) *
10

You can set up the applicabilities in the section below it too:

Rule Applicabilities
<input type="radio"/> Applies To All Except <input checked="" type="radio"/> Only Applies To
<input type="checkbox"/> Assign Skill <input type="checkbox"/> Assign Person <input type="checkbox"/> Assign Grade Type
<input type="checkbox"/> Assign Grade Type Category <input type="checkbox"/> Assign Staff Group/Grade <input type="checkbox"/> Assign Team
<input type="checkbox"/> Assign Posting Type <input type="checkbox"/> Assign Enterprise Work Contracts <input type="checkbox"/> Assign Grade Work Contracts
Delete Rule Applicability
Applicability Ty Rule Applicability Details
Grade Type RN

When more than the set amount of leave is requested in EOL with EOL Violation set, this will trigger with a variation of the below message:



When more than the set amount of days leave is added in Allocate Optima (HealthRoster), this will display the rule name with a variation of the below message:



- **Max Unavailability Episodes in Period Rule**

This rule is used for preventing a user from having too many episodes of leave within a select period. This is most often used for the unavailability reason 'Sickness', to align with any internal policies to prevent too many episodes of sickness. This can be used for Annual Leave if required, with a combination of the other aforementioned rules.

The screenshot shows the configuration page for the 'Max Unavailability Episodes in Period Rule'. The 'Name' field contains the text 'This person has too many episodes of this unavailability over the reference period.' The 'Rule' field is highlighted with a purple box and contains 'Max Unavailability Episodes in Period Rule'. The 'Target' is set to 'Unavailability' and the 'Scope' is 'Any'. Below the configuration are two tabs: 'Edit Rule Definition' (active) and 'Rule Instances'. Under the 'Edit Rule Definition' tab, the 'Rule Definition Details' section shows an 'Explanation' that highlights where a person has exceeded the limit of unavailability episodes. The 'Weighting' is set to 30. There are three radio button options: 'Violation', 'Warning' (selected), and 'Off'. A checkbox labeled 'EOL Always Treat As Violation' is checked.

It is common for this rule to be set as a Warning with EOL Violation ticked, but this can also be set to a Violation depending on the internal impact of this rule being broken. This can be set as a Global Rule if required, or to set this up for a specific unit navigate to Shifts, Patterns and Rules, select the unit and choose Create Unavailability Rule.

You will need to set this to the Rule Type 'Max Unavailability Episodes in Period Rule', and name this something appropriate. You can also set it to override any Global Rules that have been created that may interfere with this rule.

The screenshot shows the 'Create Rule' dialog box for 'Hollie Test Unit'. The 'Rule Name' field contains 'Max 3 Episodes in 3 Months'. The 'Rule Type' dropdown menu is highlighted with a purple box and shows 'Max Unavailability Episodes in Period Rule'. The 'Overrides Global Rule' dropdown menu is set to '-'. There is a close button (X) in the top right corner.

You will need to select Unavailability Reason Group to Annual Leave and the Unavailability Reason if applicable. Then for the threshold you need to select the amount of weeks you need the rule to refer to, and the amount of episodes within that set period that you would need it to consider before triggering. Here in this example, we have the rule set to trigger if there are more than 3 episodes of Annual Leave in three months.

Parameters	
Unavailability Reason Group *	Annual Leave
Unavailability Reason	A/L
Weeks In Ref Period *	12
Threshold (Episodes) *	3

You can set up the applicabilities in the section below it too:

Rule Applicabilities		
<input type="radio"/> Applies To All Except	<input checked="" type="radio"/> Only Applies To	
Assign Skill	Assign Person	Assign Grade Type
Assign Grade Type Category	Assign Staff Group/Grade	Assign Team
Assign Posting Type	Assign Enterprise Work Contracts	Assign Grade Work Contracts
Delete Rule Applicability		
Applicability Ty	Rule Applicability Details	
Grade Type	RN	

If requesting more than the set amount of episodes in EOL with EOL Violation set, it will display the below message:



If adding more than the set amount of episodes in EOL with EOL Violation set it will display the name of the rule with the below message:



Supporting Documentation

- Allocate Optima (HealthRoster) 11- Rules (Entity Guide) Feature Guide
[https://www.allocate.support/hc/en-us/articles/5749094872348-Allocate Optima \(HealthRoster\)-Rules-Entity-Guide-](https://www.allocate.support/hc/en-us/articles/5749094872348-Allocate-Optima-(HealthRoster)-Rules-Entity-Guide-)
- Allocate Optima (HealthRoster) 11- Duty Rules
[https://www.allocate.support/hc/en-us/articles/360017469739-Allocate Optima \(HealthRoster\)-Duty-Rules-](https://www.allocate.support/hc/en-us/articles/360017469739-Allocate-Optima-(HealthRoster)-Duty-Rules-)
- Allocate Optima (HealthRoster) 11 – Rules Feature Guide
[https://www.allocate.support/hc/en-us/articles/360016889440-Allocate Optima \(HealthRoster\)-Rules](https://www.allocate.support/hc/en-us/articles/360016889440-Allocate-Optima-(HealthRoster)-Rules)



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