

<b>MEETING DATE:</b>	12 June 2014	 <b>North Lincolnshire Clinical Commissioning Group</b>  <b>REPORT TO THE CLINICAL COMMISSIONING GROUP GOVERNING BODY</b>
<b>AGENDA ITEM NUMBER:</b>	Item 7.8	
<b>AUTHOR:</b>	Kerry Ryan	
<b>JOB TITLE:</b> <b>DEPARTMENT:</b>	Human Resources Business Partner North Yorkshire and Humber Commissioning Support Unit	

## TRAVEL AND EXPENSES POLICY

<b>PURPOSE/ACTION REQUIRED:</b>	Decisions for Approval
<b>CONSULTATION AND/OR INVOLVEMENT PROCESS:</b>	All staff have had an opportunity to contribute to the development of these policies. Each policy will also be subject to approval from the Joint Trade Union Partnership Forum (JTUPF).
<b>FREEDOM OF INFORMATION:</b>	<b>Public</b>

<b>1. PURPOSE OF THE REPORT:</b>			
To present the following new and/or revised Workforce policies for the approval of the Governing Body:			
<ul style="list-style-type: none"> <li>• Travel and Expenses Policy</li> </ul>			
<b>2. STRATEGIC OBJECTIVES SUPPORTED BY THIS REPORT:</b>			
<b>Continue to improve the quality of services</b>			
<b>Reduce unwarranted variations in services</b>			
<b>Deliver the best outcomes for every patient</b>			
<b>Improve patient experience</b>			
<b>Reduce the inequalities gap in North Lincolnshire</b>			
<b>3. IMPACT ON RISK ASSURANCE FRAMEWORK:</b>			
Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
<b>4. IMPACT ON THE ENVIRONMENT – SUSTAINABILITY:</b>			
Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
A sustainability assessment has been included within each policy.			

The policy is expected to reduce carbon emissions and pollutions by encouraging more efficient travel.

**5. LEGAL IMPLICATIONS:**

Yes		No	x
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Not applicable

**6. RESOURCE IMPLICATIONS:**

Yes	x	No	
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The policy will ensure fair and consistent use of resources. It is expected to result in a slight increase in CCG travel costs but this may be mitigated by more efficient use of travel.

**7. EQUALITY IMPACT ASSESSMENT:**

Yes	x	No	
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An Equality Impact Assessment has been undertaken on this policy. The data used for this incorporates the full profile of the organisation, including Statutory Office Holders.

No negative or positive impacts were identified on the final policy version.

**8. PROPOSED PUBLIC & PATIENT INVOLVEMENT AND COMMUNICATIONS:**

Yes		No	x
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Patient and/or public involvement would not be required for the development of Workforce policies. It should be noted that all CCG staff have had the opportunity to be involved in and contribute to the development of each of the policies.

**9. RECOMMENDATIONS:**

The CCG is asked to review and approve the Travel and Expenses Policy

This policy implements the CCG's Remuneration Committee's decision to follow Agenda for Change rules regarding travel for all staff except those expressly excluding as per the Scope section of the policy. Approval from the JTUPF is still required.

## Travel and Expenses Policy

*(March 2014)*

<b>Authorship:</b>	CSU Workforce Policy Lead
<b>Committee Approved:</b>	Council of Members / Governing Body / Sub-Committee / Executive Management Team (as appropriate)
<b>Approved date:</b>	
<b>Review Date:</b>	<i>Periodically or if statutory changes are required</i>
<b>Equality Impact Assessment</b>	<b>Completed - Full/Completed - Screening [<del>delete as required</del>]</b>
<b>Sustainability Impact Assessment:</b>	<b>Completed</b>
<b>Target Audience:</b>	All staff employed on Agenda for Change Terms and Conditions
<b>Policy Reference No:</b>	<b>HR34</b>
<b>Version Number:</b>	

The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.

## POLICY AMENDMENTS

Amendments to the Policy will be issued from time to time. A new amendment history will be issued with each change.

<b>New Version Number</b>	<b>Issued by</b>	<b>Nature of Amendment</b>	<b>Approved by &amp; Date</b>	<b>Date on Intranet</b>

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## **1 INTRODUCTION**

Travel is an integral part of the work of many North Lincolnshire Clinical Commissioning Group (CCG) staff and it is right that expenses incurred in travelling should be reimbursed.

Before travelling, employees should consider whether their journey is absolutely necessary and/or if they can car share.

Sections 17 & 18 of the Agenda for Change NHS Terms & Conditions of Service Handbook provides for the reimbursement of staff for mileage allowances and subsistence cost. To view the Agenda for Change NHS Terms & Conditions of Service Handbook go to the NHS Employers web site at [www.nhsemployers.org](http://www.nhsemployers.org) and look for the terms of conditions handbook.

The purpose of this policy is to provide:

- A structured framework to claiming travel expenses
- Practical guidance to staff and managers on process and procedure
- Guidance to ensure that travel and expenses are claimed in a consistent, accurate and timely way
- Guidance on mileage allowance.

## **2 ENGAGEMENT**

The NHS BSA Travel and Expenses for CSU's was used for the basis of this policy and has been agreed with recognised Trade Unions. This has been adapted locally for CCG use and staff have had the opportunity to contribute to its development prior to approval from the Executive Management Team and ratification through the North Yorkshire and Humber Commissioning Support Unit's (NYHCSU) Joint Trade Union Partnership Forum (JTUPF).

## **3 IMPACT ANALYSES**

### **3.1 Equality**

In applying this policy, the CCG will have due regard for the need to eliminate unlawful discrimination, promote equality of opportunity, and provide for good relations between people of diverse groups, in particular on the grounds of the following characteristics protected by the Equality Act (2010); age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sexual orientation.

In developing this policy, an Equality Impact Analysis has been undertaken. As a result of performing the analysis, it is evident that a risk of discrimination exists and this risk has been removed by implementing the actions detailed within the *Action Planning* section of this document at section 3.8. No further actions are required at this stage. All staff are in receipt of the same travel and expense rates and we would expect employees to consider their own personal needs and plan so accordingly.

However, if an employee is able to demonstrate that they have been unable to avoid an expense and it is related to a particular need, this will always be considered by their line manager and met with discretion. The Equality Impact Analysis is attached at Appendix 3.

The application of this policy will be monitored alongside recruitment monitoring data to ensure fair application.

### **3.2 Sustainability**

The policy has been assessed against the CCG's Sustainability themes and no specific impact has been identified. The use of passenger rate encourages car sharing and there is also a mileage rate for pedal and motor cycle use. The Sustainability Impact Assessment is attached at Appendix 4.

### **3.3 Bribery Act 2010**

The CCG follows good NHS business practice as outlined in the Business Conduct Policy and has robust controls in place to prevent bribery.

Under the Bribery Act 2010, it is a criminal offence to:

- Bribe another person by offering, promising or giving a financial or other advantage to induce them to perform improperly a relevant function or activity, or as a reward for already having done so; and
- Be bribed by another person by requesting, agreeing to receive or accepting a financial or other advantage with the intention that a relevant function or activity would then be performed improperly, or as a reward for having already done so.

Due consideration has been given to the Bribery Act 2010 in the development of this policy document and consistent application of this policy will mitigate bribery in relation to travel and expenses.

## **4 SCOPE**

This policy and procedure applies to the following groups within North Lincolnshire Clinical Commissioning Group:

- All directly employed staff including those employed on Agenda for Change Terms and Conditions of Employment and VSM Terms and Conditions of Appointment
- GP Members engaged under Statement of Appointments
- CCG Lay Members
- Secondary Care Consultant (where engaged directly via the CCG)

## **5 POLICY PURPOSE & AIMS**

The purpose of this policy and procedure is to outline the rules set out by the CCG for the reimbursement of travel and expenses that are necessarily incurred by any individual engaged on business approved by the organisation.

The primary purpose of travel and subsistence allowances is to reimburse the necessary costs of meals, accommodation and travel arising as a result of official duties away from home.

The rates and conditions are, where appropriate, those set out in the relevant Terms and Conditions Handbooks, or otherwise agreed by the organisation.

Any abuse of this policy will be investigated and may result in disciplinary action being taken.

Travel and expenses claims are subject to Tax and National Insurance Liabilities. Further details and HM Revenue and Customs guide to personal taxable allowance and rates are available at: [www.hmrc.gov.uk](http://www.hmrc.gov.uk)

## **6 DEFINITIONS**

CCG – Clinical Commissioning Group

CSU – Commissioning Support Unit

## **7 ROLES / RESPONSIBILITIES / DUTIES**

Line Managers are responsible for:

- Seeking advice on the application of this policy from their senior managers and the CSU Workforce Team
- Applying this policy in a fair and equitable manner
- Sign off teams travel and subsistence claims.
- Ensuring appropriate records are kept in relation to this policy.

The Executive Management Team are responsible for:

- Ensuring the fair and equitable application of this policy
- Providing advice in relation to the application of this policy

Employees are responsible for:

- Ensuring appropriate records are maintained on travel claims
- Employees must carefully consider their travel arrangements and apply this policy when arranging business travel
- Comply with the requirements set out within this policy

## **8 TRAVEL FOR BUSINESS PURPOSES**

### **8.1 REASONABLE TRAVEL**

Employees who are responsible for making decisions regarding business trips should take into consideration the need to travel versus other options such as telephone/conference calls or video-conferencing, whilst ensuring the delivery of the CCG's business aims.

If travel is required then the most appropriate means and route taken should be considered (car, train, bus etc) to ensure the best value for money to the CCG.

Although not always feasible, the booking of travel (train, bus etc) should be made as early as possible to ensure the best price is obtained.

## **8.2 CAR SHARING**

Staff are reminded, when reasonably practicable, to car share when attending the same meeting/training event or travelling to the same location for business purposes to reduce the environmental cost and the cost to the organisation.

## **8.3 CARBON FOOTPRINT**

The travel reimbursement guidelines available within the Agenda for Change handbook, discourages excessive travel by employees. The rates of reimbursement are not linked to the engine size of cars, and the guidelines also supports motorcycle and pedal cycle users when their use is efficient and effective use of time and resources.

## **9 TRAVEL EXPENSES**

### **9.1 ELIGIBLE MILES**

Staff will be reimbursed for miles travelled in the performance of their duties for the CCG which are in excess of the home to agreed work base return journey. Eligible miles are normally those travelled from the agreed work base and return. However when the journey starts at a location other than the agreed work base e.g. home, the eligible miles will be as set out in Appendix 1. Further information on reimbursement of travel costs can be found in Section 17 of the Agenda for Change Terms and Conditions and can be found at [click here](#) or visit [www.nhsemployers.org/your-workforce/pay-and-reward/nhs-terms-and-conditions/nhs-terms-and-conditions-of-service-handbook](http://www.nhsemployers.org/your-workforce/pay-and-reward/nhs-terms-and-conditions/nhs-terms-and-conditions-of-service-handbook)

Any journeys that are not standard need to be agreed with the line manager prior to travel.

### **9.2 CAR ALLOWANCE**

All car mileage will be reimbursed at one of two Standard Rates for car drivers registered with the CCG regardless of the vehicle size. The mileage rate is dependent on car usage.

### **9.3 RESERVE RATE**

Any member of staff who does not register their vehicle with the CCG will be reimbursed at the Reserve Rate for any mileage claimed. The reserve rate is also implemented for specific reasons for travel such as excess mileage due to NHS merger or organisational change, which may result in a change of base which incurs additional travelling costs, also temporary moves or secondment . A further limited number of circumstances can also be found in the Agenda for Change Terms and Conditions under paragraph 17.17.

### **9.4 LEASE CARS**

North Lincolnshire CCG does not operate a Lease Car Scheme.

### **9.5 MOTORCYCLE ALLOWANCE**

Members of staff using a motorcycle for official journeys will be reimbursed a mileage rate as set out in the Agenda for Change Handbook.

### **9.6 PEDAL CYCLES**

Members of staff using a pedal cycle for official journeys will be reimbursed a mileage rate as set out in the Agenda for Change Handbook.

### **9.7 PASSENGER RATE**

When members of staff travel together on CCG business and when separate claims would otherwise be made, the driver may claim a passenger allowance as set out in the Agenda for Change Handbook. The name and designation of all passengers must be shown on the claim form. The CCG encourages staff to car share on CCG business to reduce the amount of travel required and reduce the carbon footprint.

### **9.8 OTHER ALLOWANCES**

Staff will be reimbursed the reasonable parking, garage, toll and ferry costs when on CCG business on production of a valid receipt or if a ticket is not available other evidence provided as appropriate. Park and Ride tickets will also be reimbursed, as this may be a more cost effective way of travelling to meetings.

Managers will be expected to discuss and consider any request for a reasonable adjustment to allow an employee with a protected characteristic to be treated in a non-discriminatory way as a result of the application of this policy.

### **9.9 CALL OUT**

Any member of staff called out to return to work following the normal completion of their shift will be paid at the Reserve Rate.

## **9.10 TRAINING COURSES/CONFERENCES/EVENTS**

All employees attending manager approved training courses, conferences or events are eligible to claim mileage over and above home to work mileage on the Standard Rate. Course trainers providing training at a base other than their normal work base will claim mileage over and above home to work mileage on the rate that they are registered to receive.

Subject to the prior agreement of the manager, travel costs incurred when staff attend training courses or conferences and events, in circumstances when the attendance is not required by the CCG, will be reimbursed at the reserve rate.

E.g.

- An employee who attends a training event at the request of their manager will claim travel costs at the standard rate
- An employee who attends a training course for their own development and not required by the role will claim costs at the reserve rate

## **9.11 EXCESS MILEAGE**

Where there is a compulsory requirement for an employee to change their base of work on a temporary or permanent basis e.g. a merger of NHS employers, acceptance of another post as an alternative to redundancy, change of work base, the employee may be reimbursed their extra daily travelling expenses for a period of four years from the date of transfer. Mileage will be reimbursed at the reserve rate or through the submission of receipts, the cost of public transport. This mileage claims are subject to Tax and National Insurance Liabilities. The Excess Travel Authorisation Form is available on the intranet.

If a member of staff who is claiming excess travel subsequently moves home they must complete a new Excess Travel Agreement Form (HR30) in order that the new mileages may be calculated and adjusted accordingly. Refer to the Agenda for Change Handbook for further information.

## **9.12 BULKY EQUIPMENT**

Where, at the requirement of the employer, an employee carries heavy or bulky equipment in a private car, an allowance will be paid for journeys on which the equipment is carried. (The equipment must be either of a weight that is unreasonable to be carried or alter the seating capacity of the vehicle). Refer to the Agenda for Change Handbook for current rates.

## **9.13 PUBLIC TRANSPORT**

If an employee uses public transport for business purposes the cost of bus fares and standard rail fares will be reimbursed, unless it is proven cheaper to travel first class. In this case evidence would need to be provided to show the difference in the prices

of the ticket as the CCG would normally only reimburse at the standard rate of rail travel.

It may be appropriate, in some instances, for employees to drive to a bus or train station to ensure that the total journey cost is cheaper or quicker than it would be to drive the whole distance required. In cases like these employees should ensure they have a written record of their journey requirements and approved by their line manager, preferably prior to commitment is made to travel and the costs being incurred.

#### **9.14 SUBSISTENCE**

Any member of staff who is required to be away from home for business purposes may claim for additional costs that are incurred. Refer to the Agenda for Change Handbook Section 18 and Annex N within the Agenda for Changes Terms and Conditions handbook for current maximum reimbursement limits. Claims will be reimbursed on the basis of original receipts that must be attached to all claims. Copy of receipts are acceptable, if agreed by the manager but these payments will be subject to income tax deductions. The organisation will not pay for the cost of any alcoholic beverages.

#### **9.15 OVERNIGHT ACCOMMODATION**

If a member of staff stays overnight in a hotel, or other similar accommodation, for business purposes that have been approved by their manager, the overnight costs, for bed and breakfast, will be reimbursed. In exceptional circumstances where accommodation is not available within the agreed limit, the employee should seek the most competitive rates and ensure that these are approved by the line manager prior to the expenditure being incurred. Any claims that exceed the agreed limit must be clearly noted to show that prior approval for the expenditure has been given. The cost of up to two further day time meals may be reimbursed in any 24 hours, up to the maximum of the appropriate meals allowance as detailed in the Agenda for Change Handbook at Section 18 and Annex N.

### **10 OTHER EXPENSES**

#### **10.1 EXPENSES OF CANDIDATE FOR APPOINTMENT**

Agreement to pay candidates interview expenses at the reserve rate must be approved with the recruiting manager prior to interview. The recruiting manager is responsible for informing candidates of the process and handling the associated internal administration. Candidates must complete a Travel and Expenses Claim Form and Registration Form in order to facilitate payment. Payment will then be made as promptly as possible via the most appropriate means available. Expenses shall not be made to anyone who refuses an offer of appointment. It will be the individuals not employed by the CCG's responsibility to pay the appropriate tax on expenses as appropriate.

## **10.2 OTHER ELIGIBLE EXPENSES**

On occasion members of the public, carers or present or former patients may be invited to provide opinions or input into appropriate CCG work streams. Where this involvement will require the individual involved to incur unavoidable expenses (e.g. travel or subsistence) these should be brought to the relevant staff members' attention before any commitment to undertake involvement or attend meetings is confirmed. The staff member will then supply the individual concerned with an indication of the expenses which the CCG will be able to reimburse including the rate of any travel costs per mile, and any applicable subsistence allowance. These are paid to the individuals via a BACS payment or through Petty Cash. It will be the individuals not employed by the CCG's responsibility to pay the appropriate tax on expenses as appropriate.

Normally, travel expenses will be reimbursed to allow individuals to attend any meetings at the appropriate reserve rate (which is obtained from the current Section 17 of the Agenda for Change handbook). However, if an individual has special transport requirements these should be disclosed and the CCG will reimburse in full appropriate taxi, passenger transport, or ambulance costs.

## **10.3 RELOCATION EXPENSES**

Please refer to local CCG Relocation Assistance Policy and Procedure.

## **10.4 REIMBURSEMENT OF SUNDRY EXPENSES**

In exceptional circumstances it may be necessary for a member of staff to purchase sundry items which may be required in order to carry out their duties. The budget manager must give prior approval for all such expenditure and original receipts must accompany the claim for reimbursement. The CCG would not expect sundry items to be purchased if they could be obtained through the normal purchasing procedure.

## **11.0 PROCEDURE**

### **11.1 TRAVEL AND EXPENSES CLAIMS FORM SUBMISSION**

All employees required to use their own vehicle for business purposes will have to provide the following documentation which will be copied and added to the employee's personal file. The documents must be kept up to date at all times.

- Driving Licence (paper and photo card)
- Car Insurance – including business
- Road Tax – until paper discs are taken out of circulation
- MOT
- Completed registration form

A registration form checklist for recording is available in Appendix 2.

## **11.2 METHODS OF PAYMENT**

Expenses payments will be made monthly with salary payments. All completed claim forms should be submitted monthly, usually by the 4th working day of the month following the claim, to ensure payment in the next month's salary. Exceptions may occur to this so please refer to the payroll section on the intranet for dates. Payment will be withheld or delayed if the necessary documentation is not completed and appropriate procedures followed. It is the manager's/budget holder's responsibility to ensure that staff are made aware of the correct procedure to follow for the claiming of expenses. Refer to the intranet for claim submission deadlines and pay dates.

All claims should be made within 3 months of the expense taking place. Failure to do so may result in the claim being forfeited. The Chief Financial Officer will make a decision based on the facts available and their decision shall be final.

The CCG is committed to reimbursing legitimate claims that meet the criteria within this policy for travel and expenses. Any claims found to have been falsified or inflated in any way will be investigated and may result in disciplinary action being taken.

## **11.3 CLAIM FORM**

Expenses payments will only be authorised if they are submitted on the correct form and accompanied by original receipts (except for mileage). The claim form is available at Y:\NLCCG\Corporate\CCG Administration\TEMPLATES & SIGNATURES\DOCUMENT TEMPLATES\Internet Claim Forms

## **11.4 AUTHORISATION**

Normally, forms will only be accepted if the most direct route of travel is used. Only forms signed by an authorising manager will be accepted for payment. If the form is not signed it will be returned to the authorising manager, as will incorrectly completed forms.

## **11.5 EXEMPTIONS**

There will be no reimbursement of:

- Parking fines
- Speeding fines
- A contribution towards vehicle running costs or additional personal motoring costs, (the mileage allowance is set at a level to include this).

The CCG forbids the use of handheld mobile phones whilst driving.

## **12 IMPLEMENTATION**

This policy will be communicated to staff through Staff Meetings, ongoing e-mail communications and will be available to all staff via the CCG's website.

Any deliberate breaches in the application of this policy and procedure may be investigated and may result in the matter being treated as a disciplinary offence under the CCG's disciplinary procedure.

### **13 TRAINING & AWARENESS**

Guidance and support will be provided to all Line Managers in the implementation and application of this policy upon request.

### **14 MONITORING & AUDIT**

This Policy is subject to frequent review in line with Agenda for Change NHS Terms and Conditions of Service and in line with the publication of the AA Guides indicating motoring costs. Amendments to mileage allowances will only take place if rates increase or decrease by 5%.

Date of review	Date of impact
November 2013	January 2014
April / May 2014	July 2014

The implementation of this policy will be audited at appropriate intervals by the CSU Workforce Team and reported to the Governing Body.

### **15 POLICY REVIEW**

This policy will be reviewed periodically by the CSU Workforce Team in conjunction with operational managers and Trade Union representatives. Where review is necessary due to legislative change, this will happen immediately.

### **16 REFERENCES**

Disciplinary Policy  
Agenda for Change Handbook  
Recruitment and Selection Policy.

### **17 APPENDICES**

Appendix 1 – Eligibility Mileage  
Appendix 2 – Registration Form Checklist  
Appendix 3 - Equality Impact Analysis Guidance & Form  
Appendix 4 - Sustainability Impact Analysis

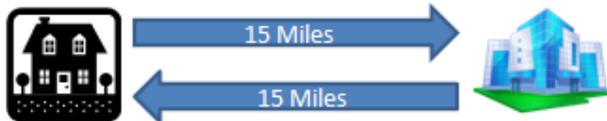
## Appendix 1 - Eligibility Mileage

Eligible mileage – illustrative example		
In this example the distance from the employee's home to the agreed base is 15 miles		
Journey (outward)	Distance	Eligible miles
Home to base	15 miles	None
Home to first call	Less than 15 miles	None
Home to first call	More than 15 miles	Eligible mileage starts from home, less 15 miles
Journey (return)		
Last call to base		Eligible mileage ends at base
Last call to home	Less than 15 miles	None
Last call to home	More than 15 miles	Eligible mileage ends 15 miles from home

### Examples

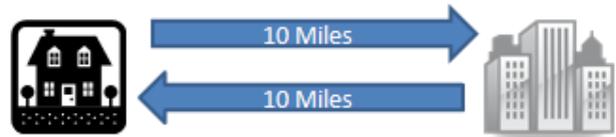
#### No Eligible Miles

Home to Base to Home



#### No Eligible Miles

Home to Meeting / Training to Home



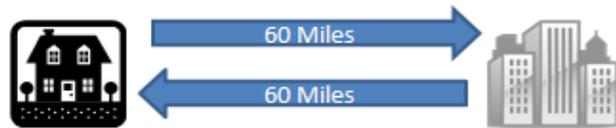
#### 15 Miles to Claim

Home to Meeting / Training to Home



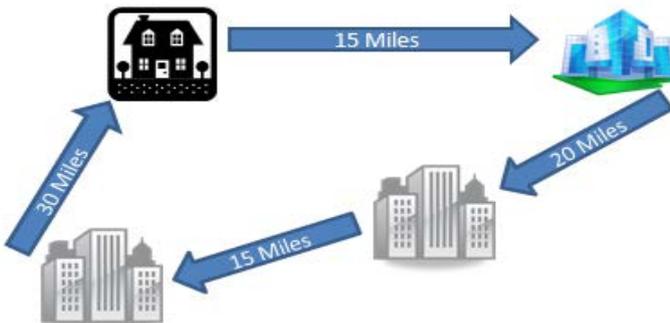
#### 90 Miles to Claim

Home to Meeting/Training to Home



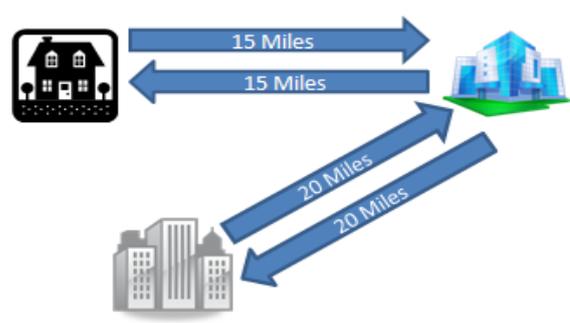
#### 50 Miles to Claim

Home to Base to Meeting to Meeting to Home



#### 40 Miles to Claim

Home to Base to Meeting/Training to Base to Home



## Appendix 2 Registration Form Checklist

Name: \_\_\_\_\_  
Job Title: \_\_\_\_\_  
Organisation: \_\_\_\_\_  
Base: \_\_\_\_\_

All North Lincolnshire CCG employees who are required to use their own vehicle for business purposes need to provide the documentation listed below. This information will be copied and added to your personal file.

(Please ensure the most up to date information is being held)

The below documents should be provided to your line manager and a record of the relevant details made. A new form shall be completed as documents are renewed e.g. insurance

	<b>Effective date and expiry date (where applicable)</b>	<b>Manager name and date seen</b>
<b>Driving Licence (paper and photo card)</b>		
<b>Car Insurance - including business</b>		
<b>Road Tax</b> - until paper discs are taken out of circulation		
<b>MOT</b>		

This form shall be stored in the employee's personal file.

Line Manager Signature: \_\_\_\_\_  
Line Manager Name: \_\_\_\_\_  
Date: \_\_\_\_\_

Payroll form HR3, Record of Vehicle Details, (available on the intranet) should also be completed and returned to payroll.

## 1. Equality Impact Analysis

<b>Policy / Project / Function:</b>	Travel Expenses Policy								
<b>Date of Analysis:</b>	27/3/14								
<b>This Equality Impact Analysis was completed by: (Name and Department)</b>	Workforce Service								
<b>What are the aims and intended effects of this policy, project or function ?</b>	<p>The purpose of this policy is to provide:</p> <ul style="list-style-type: none"> <li>• A structured framework to claiming travel expenses</li> <li>• Practical guidance to staff and managers on process and procedure</li> <li>• Guidance to ensure that travel and expenses are claimed in a consistent, accurate and timely way</li> <li>• Guidance on mileage allowance.</li> </ul>								
<b>Please list any other policies that are related to or referred to as part of this analysis?</b>	Disciplinary Policy Agenda for Change Handbook Recruitment and Selection Policy.								
<b>Who does the policy, project or function affect ?</b>  Please Tick ✓	<table style="width: 100%; border: none;"> <tr> <td style="width: 80%;">Employees</td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> </tr> <tr> <td>Service Users</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Members of the Public</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Other (List Below)</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	Employees	<input checked="" type="checkbox"/>	Service Users	<input type="checkbox"/>	Members of the Public	<input type="checkbox"/>	Other (List Below)	<input type="checkbox"/>
Employees	<input checked="" type="checkbox"/>								
Service Users	<input type="checkbox"/>								
Members of the Public	<input type="checkbox"/>								
Other (List Below)	<input type="checkbox"/>								

## 2. Equality Impact Analysis: Screening

	Could this policy have a positive impact on...		Could this policy have a negative impact on...		Is there any evidence which already exists from previous (e.g. from previous engagement) to evidence this impact
	Yes	No	Yes	No	
<b>Race</b>	<input type="checkbox"/>	✓		✓	
<b>Age</b>	<input type="checkbox"/>	✓		✓	
<b>Sexual Orientation</b>	<input type="checkbox"/>	✓		✓	
<b>Disabled People</b>	<input type="checkbox"/>	✓		✓	Policy amended – see action plan
<b>Gender</b>	<input type="checkbox"/>	✓		✓	
<b>Transgender People</b>	<input type="checkbox"/>	✓		✓	
<b>Pregnancy and Maternity</b>	<input type="checkbox"/>	✓		✓	
<b>Marital Status</b>	<input type="checkbox"/>	✓		✓	
<b>Religion and Belief</b>	<input type="checkbox"/>	✓		✓	
<b>Reasoning</b>	All staff are in receipt of the same travel and expense rates. We would expect employees to consider their own personal needs and plan so accordingly. However, if an employee is able to demonstrate that they have been unable to avoid an expense and it is related to a particular need, this will always be considered by their line manager and met with discretion				

**If there is no positive or negative impact on any of the Nine Protected Characteristics go to Section 7**

### 3. Equality Impact Analysis: Local Profile Data

**Local Profile/Demography of the Groups affected** (population figures) (population figures)  
 This is an employment policy and therefore workforce data is more relevant to this Impact Assessment. Employment data as at Jan 2014

<b>General</b>	Total number of employees in the North Lincs CCG 25
<b>Age</b>	No staff employed are under 30 20% of staff are over 55 80% of staff are aged 30-55
<b>Race</b>	88% of staff employed in the CCG are White 8% of staff are Non-white 4% staff have not stated or defined their ethnicity
<b>Sex</b>	52% staff employed are female 48% staff employed are male
<b>Gender reassignment</b>	No information at this stage
<b>Disability</b>	8% of staff employed declared themselves as having no disability No staff declared a disability 92% did not declare /undefined
<b>Sexual Orientation</b>	All staff are recorded as did not wish to respond /undefined
<b>Religion, faith and belief</b>	All staff are recorded as did not wish to respond /undefined
<b>Marriage and civil partnership</b>	84% of employees are married. No employees are in a civil partnership
<b>Pregnancy and maternity</b>	No information yet as the CCG has not been established long enough to build meaningful data

#### 4. Equality Impact Analysis: Equality Data Available

<p><b>Is any Equality Data available relating to the use or implementation of this policy, project or function?</b></p> <p>Equality data is internal or external information that may indicate how the activity being analysed can affect different groups of people who share the nine <i>Protected Characteristics</i> – referred to hereafter as '<i>Equality Groups</i>'.</p> <p>Examples of <i>Equality Data</i> include: (this list is not definitive)</p> <ol style="list-style-type: none"> <li>1. Application success rates <i>Equality Groups</i></li> <li>2. Complaints by <i>Equality Groups</i></li> <li>3. Service usage and withdrawal of services by <i>Equality Groups</i></li> <li>4. Grievances or decisions upheld and dismissed by <i>Equality Groups</i></li> <li>5. <i>Previous EIAs</i></li> </ol>	<p>Yes <input checked="" type="checkbox"/> Employee data</p> <p>No <input type="checkbox"/></p> <p>Where you have answered yes, please incorporate this data when performing the <i>Equality Impact Assessment Test</i> (the next section of this document).</p>
<p><b>List any Consultation e.g. with employees, service users, Unions or members of the public that has taken place in the development or implementation of this policy, project or function</b></p>	<p>Consultation has taken place both locally and nationally with Trade Unions and staff</p>
<p><b>Promoting Inclusivity</b>  <b>How does the project, service or function contribute towards our aims of eliminating discrimination and promoting equality and diversity within our organisation</b></p>	<p>This Policy does not promote inclusivity but provides a framework to pay travel expenses</p>

### 5. Equality Impact Analysis: Assessment Test

What impact will the implementation of this policy, project or function have on employees, service users or other people who share characteristics protected by *The Equality Act 2010* ?

Protected Characteristic:	No Impact:	Positive Impact:	Negative Impact:	Evidence of impact and if applicable, justification where a <i>Genuine Determining Reason</i> exists
<b>Gender</b> (Men and Women)	✓			
<b>Race</b> (All Racial Groups)	✓			Policy amended – see action plan
<b>Disability</b> (Mental and Physical)	✓			
<b>Religion or Belief</b>	✓			
<b>Sexual Orientation</b> (Heterosexual, Homosexual and Bisexual)	✓			

What impact will the implementation of this policy, project or function have on employees, service users or other people who share characteristics protected by *The Equality Act 2010* ?

Protected Characteristic:	No Impact:	Positive Impact:	Negative Impact:	Evidence of impact and if applicable, justification where a <i>Genuine Determining Reason</i> exists
<b>Pregnancy and Maternity</b>	✓			
<b>Transgender</b>	✓			
<b>Marital Status</b>	✓			
<b>Age</b>	✓			

## 6. Action Planning

**As a result of performing this analysis, what actions are proposed to remove or reduce any risks of adverse outcomes identified on employees, service users or other people who share characteristics protected by *The Equality Act 2010* ?**

Identified Risk:	Recommended Actions:	Responsible Lead:	Completion Date:	Review Date:
Disability – the policy does not refer to disability	The policy has been amended to allow for reasonable adjustments ( see paras 9.8 and 3.1)	HR /Line managers to monitor implementation	Policy amended – monitoring ongoing	On review of policy

## 7. Equality Impact Analysis Findings

<b>Analysis Rating:</b>	<input type="checkbox"/> Red	<input type="checkbox"/> Red/Amber	<input type="checkbox"/> Amber	<input checked="" type="checkbox"/> Green
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		Actions	Wording for Policy / Project / Function
<p><b>Red</b></p> <p><b>Stop and remove the policy</b></p>	<p><b>Red:</b> As a result of performing the analysis, it is evident that a risk of discrimination exists (direct, indirect, unintentional or otherwise) to one or more of the nine groups of people who share <i>Protected Characteristics</i>. It is recommended that the use of the policy be suspended until further work or analysis is performed.</p>	<p><b>Remove the policy</b></p> <p>Complete the action plan above to identify the areas of discrimination and the work or actions which needs to be carried out to minimise the risk of discrimination.</p>	<p>No wording needed as policy is being removed</p>
<p><b>Red Amber</b></p> <p><b>Continue the policy</b></p>	<p>As a result of performing the analysis, it is evident that a risk of discrimination exists (direct, indirect, unintentional or otherwise) to one or more of the nine groups of people who share <i>Protected Characteristics</i>. However, a genuine determining reason may exist that could legitimise or justify the use of this policy and further professional advice should be taken.</p>	<p><b>The policy can be published with the EIA</b></p> <p>List the justification of the discrimination and source the evidence (i.e. clinical need as advised by NICE).</p> <p>Consider if there are any potential actions which would reduce the risk of discrimination.</p> <p>Another EIA must be completed if the policy is changed, reviewed or if further discrimination is identified at a later date.</p>	<p>As a result of performing the analysis, it is evident that a risk of discrimination exists (direct, indirect, unintentional or otherwise) to one or more of the nine groups of people who share <i>Protected Characteristics</i>. However, a genuine determining reason exists which justifies the use of this policy and further professional advice.</p> <p><b><i>[Insert what the discrimination is and the justification of the discrimination plus any actions which could help what reduce the risk]</i></b></p>

### Equality Impact Findings (continued):

		Actions	Wording for Policy / Project / Function
<p><b>Amber</b></p> <p><b>Adjust the Policy</b></p>	<p>As a result of performing the analysis, it is evident that a risk of discrimination (as described above) exists and this risk may be removed or reduced by implementing the actions detailed within the <i>Action Planning</i> section of this document.</p>	<p><b>The policy can be published with the EIA</b></p> <p>The policy can still be published but the Action Plan must be monitored to ensure that work is being carried out to remove or reduce the discrimination.</p> <p>Any changes identified and made to the service/policy/ strategy etc. should be included in the policy.</p> <p>Another EIA must be completed if the policy is changed, reviewed or if further discrimination is identified at a later date.</p>	<p>As a result of performing the analysis, it is evident that a risk of discrimination (as described above) exists and this risk may be removed or reduced by implementing the actions detailed within the <i>Action Planning</i> section of this document.</p> <p><b><i>[Insert what the discrimination is and what work will be carried out to reduce/eliminate the risk]</i></b></p>
<p><b>Green</b></p> <p><b>No major change</b></p>	<p>As a result of performing the analysis, the policy, project or function does not appear to have any adverse effects on people who share <i>Protected Characteristics</i> and no further actions are recommended at this stage.</p>	<p><b>The policy can be published with the EIA</b></p> <p>Another EIA must be completed if the policy is changed, reviewed or if any discrimination is identified at a later date</p>	<p>As a result of performing the analysis, the policy, project or function does not appear to have any adverse effects on people who share <i>Protected Characteristics</i> and no further actions are recommended at this stage.</p>

<b>Brief Summary/Further comments</b>	<p>As a result of performing the analysis, the policy, project or function does not appear to have any adverse effects on people who share <i>Protected Characteristics</i> and no further actions are recommended at this stage.</p>
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<b>Approved By</b>		
<b>Job Title:</b>	<b>Name:</b>	<b>Date:</b>

### SUSTAINABILITY IMPACT ASSESSMENT

Staff preparing a Policy / Board Report / Committee Report / Service Plan / Project are required to complete a Sustainability Impact Assessment. Sustainability is one of the Trust's key Strategies and the Trust has made a corporate commitment to address the environmental effects of activities across Trust services. The purpose of this Sustainability Impact Assessment is to record any positive or negative impacts that this activity is likely to have on each of the Trust's Sustainability Themes. For assistance with completing the Sustainability Impact Assessment, please refer to the instructions below.

<b>Policy / Report / Service Plan / Project Title:</b>				
<b>Theme (Potential impacts of the activity)</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	<b>No specific impact</b>	<b>What will the impact be? If the impact is negative, how can it be mitigated? (action)</b>
Reduce Carbon Emission from buildings by 12.5% by 2010-11 then 30% by 2020			x	
New builds and refurbishments over £2million (capital costs) comply with BREEAM Healthcare requirements.			x	
Reduce the risk of pollution and avoid any breaches in legislation.	x			
Goods and services are procured more sustainability.			x	
Reduce carbon emissions from road vehicles.	x			
Reduce water consumption by 25% by 2020.			x	
Ensure legal compliance with waste legislation.			x	
Reduce the amount of waste produced by 5% by 2010 and by 25% by 2020			x	
Increase the amount of waste being recycled to 40%.			x	
Sustainability training and communications for employees.			x	
Partnership working with local groups and organisations to support sustainable development.			x	
Financial aspects of sustainable development are considered in line with policy requirements and commitments.			x	

