28 GB
Reimbursement of Travel and Subsistence Expenses Policy

<table>
<thead>
<tr>
<th>Policy number</th>
<th>28 GB</th>
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<tbody>
<tr>
<td>Version</td>
<td>3.1</td>
</tr>
<tr>
<td>Approved by</td>
<td>Governing Body</td>
</tr>
<tr>
<td>Name of author/originator</td>
<td>Toni-Dee Downer</td>
</tr>
<tr>
<td>Owner (director)</td>
<td>Elaine Newton, Director of Governance and Compliance</td>
</tr>
<tr>
<td>Date of approval</td>
<td>April 2017</td>
</tr>
<tr>
<td>Date of last review</td>
<td>July 2015</td>
</tr>
<tr>
<td>Review to be completed by</td>
<td>April 2019</td>
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### Version control sheet

<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
<th>Author</th>
<th>Status</th>
<th>Comment</th>
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<tr>
<td>1.0</td>
<td>August 2013</td>
<td>Bob Champion</td>
<td>Approved</td>
<td>Governing Body</td>
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<tr>
<td>2.0</td>
<td>December 2014</td>
<td>Toni Downer</td>
<td>Draft</td>
<td>For SPF and Remuneration Committee Approval and Board ratification</td>
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<td>2.1</td>
<td>July 2015</td>
<td>Toni Downer</td>
<td>Final Approved</td>
<td>Governing Body</td>
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<td>3.0</td>
<td>December 2016</td>
<td>Toni Downer</td>
<td>Final Draft</td>
<td>Clarification of annual mileage year from payroll</td>
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<td>3.1</td>
<td>January 2017</td>
<td>Toni Downer</td>
<td>Final Draft</td>
<td>For SPF and Remuneration Committee Approval and Board ratification</td>
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<td>3.1</td>
<td>April 2017</td>
<td>Toni Downer</td>
<td>Final</td>
<td>Approved and ratified by Remuneration Committee and Governing Body</td>
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Equality statement

NHS Guildford and Waverley aims to design and implement services, policies and measures that meet the diverse needs of our service, population and workforce, ensuring that none are placed at a disadvantage over others. We take into account the Human Rights Act 1998 and promote equal opportunities for all. This document has been assessed to ensure that no employee receives less favourable treatment on the protected characteristics of their age, disability, sex (gender), gender reassignment, sexual orientation, marriage and civil partnership, race, religion or belief, pregnancy and maternity.

Members of staff, volunteers or members of the public may request assistance with this policy if they have particular needs. If the member of staff has language difficulties and difficulty in understanding this policy, the use of an interpreter will be considered.

We embrace the four staff pledges in the NHS Constitution. This policy is consistent with these pledges.

See next page for an Equality Analysis of this policy.
Equality Analysis

Equality analysis is a way of considering the effect on different groups protected from discrimination by the Equality Act, such as people of different ages. There are two reasons for this:

- to consider if there are any unintended consequences for some groups
- to consider if the policy will be fully effective for all target groups

### Name of Policy:
Reimbursement of Travel & Subsistence Policy

### Policy Ref:
28 GB

### Is this New?
[ ]

### Or Existing?
[ X ]

### Assessment conducted by (name, role):
Toni-Dee Downer, Senior HR Manager

### Date of Analysis:
12/12/2016

### Directorate:
Governance and Compliance

### Who is intended to follow this policy? Explain the aim of the policy as applied to this group.
This policy applies to all members of staff, permanently or temporarily appointed to work for the CCG, whether paid directly via the CCG's payroll provider, through practice arrangements or via invoices (this includes Governing Body members).

### Who is intended to benefit from this policy? Explain the aim of the policy as applied to this group.
The key principle is that regardless of contractual or employment status, reimbursement of all expenses will be in accordance with NHS Terms and Conditions of Service as detailed in the NHS Terms and Conditions of Service Handbook. Any subsequent changes to the reimbursement of relevant expenses will be in accordance with any nationally agreed changes.

### 1. Evidence considered. What data or other information have you used to evaluate if this policy is likely to have a positive or an adverse impact upon protected groups when implemented?
- Demographic data
- The results of consultations or recent surveys
- Comparison between your policies and functions and similar policies and functions in other public bodies
- Analysis of complaints of discrimination (none received)
- Recommendations of inspection and audit reports

### 2. Consultation. Have you consulted people from protected groups? What were their views?
The review of this policy has been consulted with Staff Partnership Forum and is in accordance with NHS terms and conditions of employment which is a nationally agreed terms of appointment for NHS staff; therefore this is compliant to all equality requirements.
3. **Promoting equality.** Does this policy have a positive impact on equality? What evidence is there to support this? Could it do more?

Neutral effect. As detailed in the Equality Statement, policies can be made available in different formats for CCG staff with different communication needs.

4. **Identifying the adverse impact of policies**

Identify any issues in the policy where equality characteristics require consideration for either those abiding by the policy or those the policy is aimed to benefit, based upon your research.

<table>
<thead>
<tr>
<th>a) People from different age groups:</th>
</tr>
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<tbody>
<tr>
<td>No adverse impact predicted from this policy.</td>
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<table>
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<tr>
<th>b) Disabled people:</th>
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<th>c) Women and men:</th>
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<th>d) Religious people or those with strongly held philosophical beliefs:</th>
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<th>e) Black and minority ethnic (BME) people:</th>
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<td>No adverse impact predicted from this policy.</td>
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<th>f) Transgender people:</th>
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<th>g) Lesbians, gay men and bisexual people:</th>
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<th>h) Women who are pregnant or on maternity leave:</th>
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<td>No adverse impact predicted from this policy.</td>
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<tr>
<th>i) People who are married or in a civil partnership:</th>
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<tbody>
<tr>
<td>No adverse impact predicted from this policy.</td>
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</table>

5. **Monitoring** How will you monitor the impact of the policy on protected groups?

Complaints made to line managers that are brought to the attention of the Human Resources team.
1. Introduction and Policy Objective

1.1. This policy applies to all members of staff, permanently or temporarily appointed to work for the CCG, whether paid directly via the CCG's payroll provider, through practice arrangements or via invoices (this includes Governing Body members).

1.2. For the purpose of clarity, any claimant under this policy will be referred to as staff. The key principle is that regardless of contractual or employment status, reimbursement of all expenses will be in accordance with NHS Terms and Conditions of Service as detailed in the NHS Terms and Conditions of Service Handbook. Any subsequent changes to the reimbursement of relevant expenses will be in accordance with any nationally agreed changes.

2. Core Standards

2.1. This policy outlines the reimbursement of costs incurred by employees who, with the agreement of the CCG, use their own vehicles or pedal cycles, to make journeys in the performance of their duties. A summary of motoring costs, which are taken into account in calculating the levels of allowances is in the NHS terms and conditions handbook.

2.2. When using their vehicles in the performance of their duties all staff must ensure they possess a valid driving licence, that their vehicle has a current Motoring Organisation Test (MOT) certificate and motor insurance which covers business travel and that evidence is shown to the line manager and recorded. A copy of motor insurance certificate is required and must be submitted to HR to monitor compliance, prior to expenses being claimed for any mileage. They must also be fit to drive and drive safely and they must obey the relevant laws e.g. speed limits. The employee must inform their line manager if there is a change in status.

2.3. The CCG and employee will agree the most suitable means of transport for the routine journeys which employees have to make in the performance of their duties. It is expected that journeys will be planned to take the shortest distance. If a particular journey is unusual, in terms of distance or purpose, the mode of travel and the anticipated mileage will be agreed between the employer and employee, before it starts.

2.4. Allowable travel and subsistence expenses will only be reimbursed when supported by relevant documented evidence, including official receipts and entered on the appropriate claim form, which must be authorised by the line manager.
2.5. Employees must submit claim forms for authorisation and payment within the first week of the month following the month which the claim is valid and in any case, within three months of the expense/mileage incurring.

2.6. Payments will only be made via the CCG payroll and will be paid each month after the expense has been incurred, subject to the claim being suitably authorised and received by the payroll provider prior to the cut-off date.

3. Scope

3.1. This policy supersedes all other relevant policies under previous terms and conditions of employment held by individuals who have transferred into the CCG from other NHS organisations.

3.2. This policy describes the policy commitments and financial arrangements the CCG can offer to all staff and officers that need to travel at the behest of the organisation and necessarily incur expenses as a result. This therefore provides a fair, transparent and consistently applicable process by which legitimate business expenses are applied for, authorised and reimbursed.

4. Roles and Responsibilities

4.1. The Governing Body and Committees

4.1.1. The Guildford and Waverley CCG Governing Body is responsible for ensuring that sufficient resources are provided to support the requirements and application of the people management policies across the CCG and that compliance with the necessary legislation and professional conduct is maintained; monitoring the application of policies and outcomes, for equality.

4.1.2. The Remuneration Committee will review any recommended changes to this policy, ensuring adherence to the NHS Terms and Conditions of Employment, biennial.

4.1.3. The Governing Body will ratify the approved policies for circulation to staff.

4.2. Directors and Managers

4.2.1. Ensure that any change of base (for travel expenses purposes) are appropriately reported to Human Resources.

4.2.2. Ensure that they are registered as an authorised signatory for the signing off of expenses for team members and identify a substitute manager who can sign off expenses in their absence.
4.2.3. Check travel expenses for accuracy before approval and submission.

4.2.4. Check staff have a valid driving licence, up to date insurance documentation which covers business travel and MOT certificate, (where applicable).

4.3. **Human Resources**

4.3.1. Human Resources will ensure compliance and best practice recommendations as and when required, for approval.

4.3.2. Ensure that the Policy is fairly and consistently applied to all staff irrespective of their age, sex, religious belief, disability, or sexual orientation.

4.3.3. Communication via appropriate communication mechanisms to inform staff about any changes to terms and conditions relating to travel and associated expenses, (mileage rates in particular).

4.3.4. Any recommended changes will be consulted via the Staff Partnership Forum prior to implementation.

4.3.5. Provide advice and guidance to managers and staff on the correct application of the Reimbursement of Travel and Subsistence Expenses Policy.

4.3.6. Human Resource will ensure a copy is available on the Staff Portal of the intranet site and that the location awareness is communicated to all staff via induction and current internal communication channels.

4.4. **All Staff**

4.4.1. Read and understand the travel and expenses policy prior to making any claim.

4.4.2. Ensure your manager is notified of any change in personal details as soon as practically possible.

4.4.3. Ensure you possess a valid driving licence, motor insurance which covers business travel and MOT certificate (where applicable). A copy of the appropriate motor insurance certificate is required and must be submitted to HR for monitoring purposes, prior to any mileage claims being submitted.
4.4.4. Ensure you are fit to drive, that you drive safely and obey the relevant laws.

4.4.5. Ensure that you inform your manager, at the earliest available opportunity of any change in driving status, e.g. driving ban.

4.4.6. Ensure that all claims for expenses should be submitted the month after they have occurred but at the very latest must be submitted within three months of the claim period (e.g. claims for June must be submitted by the end of September.)

5. Procedure

5.1. Claims Procedure

5.1.1. All claims for expenses should be submitted the month after they have occurred but at the very latest must be submitted within three months of the claim period (e.g. claims for June must be submitted by the end of September.) This is to ensure accurate reporting of expenditure and to ensure effective budget management occurs in the year the expense is incurred.

5.1.2. Receipts for individual items should be shown to the manager when they are authorising the travel expenses form and then kept for a period of 6 years in line with the HMRC rules. Original receipts should be submitted with the travel claim and copies should be retained locally should they need to be referred to at a later date.

5.2. Allowable Travel Expenses

5.2.1. In accordance with the Agenda for Change terms and conditions, for journeys made on or after 1st July 2014 a different approach to the reimbursement of travel expenses was agreed nationally and replaces the previous Section 17 of the Handbook. It applies to all employees on national terms and conditions of service who have been in receipt of the nationally agreed mileage payments and the terms of this policy apply to all employees and officers of the CCG.

5.2.2. Employees who use their vehicles to make journeys in the performance of their duties will be reimbursed their motoring costs at the appropriate rates shown in the table below. These rates of reimbursement apply to journeys undertaken on and after 1 July 2014. The rates of reimbursement implemented will be those resulting from the review of the new AA guides in April/May 2014. These rates have been obtained by referring to costs for the average private vehicle user included in the AA guides to motoring (see Annex 12 of the Handbook).
<table>
<thead>
<tr>
<th>Type of vehicle/allowance</th>
<th>Annual mileage up to 3,500 Miles (Standard Rate)</th>
<th>Annual mileage over 3,500 miles (Standard Rate)</th>
<th>All eligible miles travelled</th>
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</thead>
<tbody>
<tr>
<td>Car (all fuels)</td>
<td>56p per mile</td>
<td>20p per mile</td>
<td></td>
</tr>
<tr>
<td>Motorcycle</td>
<td></td>
<td></td>
<td>28p per mile</td>
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<tr>
<td>Pedal cycle</td>
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<td>20p per mile</td>
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<td>Passenger allowance</td>
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<td></td>
<td>5p per mile</td>
</tr>
<tr>
<td>Reserve rate</td>
<td></td>
<td></td>
<td>28p per mile</td>
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<tr>
<td>Heavy equipment</td>
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<td>3p per mile</td>
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</table>

5.2.3. The NHS Staff Council will continue to review these rates annually from 2014 and any subsequent changes agreed nationally will be reflected in this policy.

5.3. **Rate Definitions**

5.3.1. Annual car business mileage up to 3,500 miles, regardless of engine type or size will be paid at 56p per mile. Mileage above 3,500 in the same year (reporting year 1st August to 31st July) will subsequently be paid at 20p per mile.

5.3.2. All business mileage undertaken on a motorcycle will be reimbursed at 28p per mile.

5.3.3. All business mileage undertaken on a pedal cycle will be reimbursed at 20p per mile.

5.3.4. Passenger allowance is 5p per person per mile. With the exception of lease, pool or hire vehicle users, where other employees or members of the CCG are conveyed in the same vehicle on NHS business and their fares would otherwise be payable by the CCG, the passenger allowance will be payable to the vehicle driver.

5.3.5. Heavy equipment rate of 3p per mile is applicable in the following circumstances: Where the equipment exceeds a weight, which could reasonably be carried by hand; or the equipment cannot be carried in the boot of the vehicle and is so bulky as to reduce the seating capacity.
of the vehicle.

5.3.6. Reserve rate is applicable under the following circumstances:

- If an employee unreasonably declines the employers' offer of a lease vehicle: In determining reasonableness the line manager and employee should seek to reach a joint agreement as to whether a lease vehicle is appropriate and the timeframe by which the new arrangements will apply. All the relevant circumstances of the employee and employer will be considered including an employees' personal need for a particular type of car and the CCG’s need to provide a cost-effective option for business travel; - if the employee’s circumstances subsequently change the original decision will be reviewed. The agreed principles underlying local lease vehicle policies are in Annex M;

- When employees are required to return to work or work overtime in line with Section 3 on any day, and incur additional travel to work expenses on that day. This provision will apply if the employee chooses to be paid for the extra hours or takes time off in lieu (TOIL – see Section 3);

- When a claim for excess mileage is made in situations where there is a compulsory change of base, either permanent or temporary, resulting in extra daily travelling expenses. The period of payment will be for local partnerships to determine, subject to a maximum period of 4 years from the date of transfer. (refer to section 17 of the Agenda for Changes Terms and Conditions of Employment Handbook);

- If an employee uses his or her own vehicle when suitable public transport is available and appropriate in the circumstances, subject to a maximum of the public transport cost which would have been incurred.

5.4. Attendance on Training Courses

5.4.1. Additional travel costs incurred when attending courses, conferences or events at the employer’s instigation will be reimbursed at the standard rates in the table above when the manager agrees that travel costs should be reimbursed. 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 above, in line with the rules on eligible mileage.
5.5. **Other Allowances**

5.5.1. Staff who necessarily incur charges in the performance of their duties, in relation to parking and tolls etc. shall be refunded these expenses on production of receipts and should be noted on the expenses claim form. This does not include reimbursement of parking charges incurred as a result of attendance at the normal place of work.

5.5.2. Pedal cyclists – staff who use pedal cycles to make journeys in the performance of their duties will be reimbursed for eligible miles travelled at the rate in table above.

5.5.3. Public transport - if a member of staff uses public transport for business purposes, the cost of bus fares and standard rail fares should be reimbursed and should be noted on the expenses claim form.

5.5.4. Where there is a compulsory change of base, either permanent or temporary, resulting in extra public transport costs for the employee, these extra costs will be reimbursed, subject to a maximum period of four years from the date of transfer. (For those employees using their own vehicles for business purposes and incurring additional costs, in home to new base mileage, this will be reimbursed at the reserve rate as identified in the table above.

5.5.5. Other business related expenses such as subsistence and accommodation costs will be reimbursed in accordance with Section 18 and Annex N of the Handbook and will be reviewed annually from 2014 and any subsequent changes agreed nationally will be reflected in this policy.

5.5.6. Change of Post - Should the employee subsequently apply for a new post within the same location they keep their original entitlement to claim excess travel costs. From the date the employee takes up a new post, they will then be entitled to the remaining period of the four years to claim any excess mileage.

5.5.7. Change of Base - Should the employee apply for a new post within a different location they keep their entitlement to claim excess travel costs but these cannot exceed the original mileage amount.

5.5.7.1. For example:

- An employee moves their base from Guildford to West Clandon and incurs an excess mileage of 4 miles (single journey and being the shortest journey to travel).
5.5.7.2. The NHS Terms & Conditions handbook, section 17 states

- when a claim for **excess mileage** is made in situations where there is a compulsory change of base, either permanent or temporary, resulting in extra daily travelling expenses. The period of payment will be for local partnerships to determine, subject to a maximum period of 4 years from the date of transfer. Excess mileage claims protection does not cover expenses such as parking.

- where there is a compulsory change of base, either permanent or temporary, resulting in extra public transport costs for the employee, these extra costs will be reimbursed, subject to a maximum period of four years from the date of transfer.

- When this situation arises for Guildford & Waverley CCG the duration of protection period will form part of the consultation concerning the change and shared with the SPF (Staff Partnership Forum) and in accordance with the CCG’s Organisational Change Policy.

5.5.8. **Move of home address** - Employees must notify their line manager of any change to their home address and excess mileage will be recalculated accordingly. If an employee who is claiming excess mileage moves their home address during the four year claim period, they are not entitled to any additional excess mileage as a result of this move of home address. If the move of home results in a lesser excess mileage, the amount of excess mileage to be claimed will be recalculated accordingly and the lesser excess mileage paid

5.5.9. **Staff travelling to other locations as part of their role** - There may be some occasions where it is more practical for the individual to travel from home rather than their work base as this will be the shorter distance. The maximum travel claim that can be made is either calculated from the work base, plus excess miles (return) or actual mileage travelled, whichever is the shortest. It should be noted here that the official mileage is calculated from the new work location rather than the old work location.

5.5.10. **Lease Cars** - The maximum reimbursement for lease car users including claims for excess mileage is at the lease car rate.
6. References

6.1. This policy is in accordance with the NHS Terms and Conditions of Employment.

6.2. Policy recommendations have been sourced from NHS Employers.

6.3. Previous Reimbursement of Travel & Subsistence Expenses Policy

Appendices

7.1. Travel Expenses Template

7.1.1. The travel expenses form is available to all staff on the intranet staff portal.

7.1.2. A copy is available from the administration team or the HR department.

7.1.3. Please ensure that you complete both the front cover and claim form for all monthly expenses.
Claim for Travelling and Subsistence Allowances

I certify that

1. The travelling and subsistence allowances claimed are in accordance with NHS regulations, Whitley Council Agreements or Agenda for Change Terms and Conditions and are in respect of expenses actually incurred whilst engaged on the business stated and have not been claimed elsewhere.

2. The motor vehicle in respect of which mileage allowance is claimed is covered by full or third party insurance including cover for the full business use of the organisation and cover against risk or injury to, or death of, official passengers and damage to property. I undertake to indemnify the organisation in respect of any claim made against me for which my insurance policy does not provide cover and

(i) On the occasions where day allowances are claimed I necessarily spent more on meals than if I had been at my permanent place of work, and where an allowance for a period of more than the stipulated time is allowed in Annex N of the Agenda for Change Terms and Conditions of Service Handbook/Whitley Council Agreement

(ii) I have included all receipts relating to my claim for subsistence, and understand if I fail to provide receipts my claim will be subject to Income Tax.

Declaration

I confirm that the expenses submitted are a true, accurate record of expenses that I am entitled to claim. I understand that if I knowingly give false information this may result in disciplinary action and I may be liable for prosecution and civil recovery proceedings. I consent to the disclosure of information to and by the organisation and to be provided where necessary to the Local Counter Fraud Specialist and to NHS Protect for the purpose of verification of this claim and the investigation, prevention, detection and prosecution of fraud.

Signed  Date

Certificate of Authorising Manager

I confirm that I have checked the claim and to the best of my knowledge, the individual above is entitled to re-imbursement of the amounts stipulated. I understand that if I knowingly give false information, disciplinary action may be taken and I may be liable for prosecution. I confirm the expenses journeys claimed on the form were necessarily incurred by the person above in the performance of their normal duties and that authorisation was given for the use of the vehicle and that the mileage claim is correct. Any claim for travel at a higher rate other than Public Transport Rate is approved as I have verified that the relevant insurance is held.

Signed  Date

Name:  (Please Print)  Email Address

Title

Please circle appropriate User Type:-  AIC - Private Car User  Lease Car User

Is this the first claim you have made for mileage driven in this vehicle?  Yes  No

Does this car replace all those you have previously used?  Yes  No

If this is not your only vehicle, will this be the main or default vehicle?

Notes

Each individual claim form MUST be signed and authorised

All information above must be completed on ALL travel claim forms.

All claims for excess travel following a permanent change of base are taxable and the mileage should be stated in the relevant taxable column.

All column totals MUST be completed.

Only expenses for travel & subsistence will be paid on this claim form, unless authorised by the Director of Finance.

Managers MUST cross through any blank lines overleaf before authorising the payments.

Managers are expected to ensure complete records are kept to substantiate claims for tax relief resulting in emergency travel.

Once authorised, this form should NOT be passed back to the employee.
<table>
<thead>
<tr>
<th>Date</th>
<th>Places visited and Purpose</th>
<th>Overall miles from start of journey to end of journey (A)</th>
<th>Home to Base outward and/or return journey (where applicable) (B)</th>
<th>Standard Rate (A - B, where applicable)</th>
<th>Lease Rate (A - B, where applicable)</th>
<th>Motor Cycle (A - B, where applicable)</th>
<th>Excess / Public Transport / - (Reserve Rate) (A - B, where applicable)</th>
<th>Pedal Bike Miles</th>
<th>Passengers @ .05p and Bulky Equipment @ .03p</th>
<th>Rail and other travel expenses (receipt attached)</th>
<th>Time (Required when claiming Subsistence)</th>
<th>Subsistence</th>
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**MILEAGE CLAIMED**

- **Non Taxable**
- **Taxable**

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<thead>
<tr>
<th>Name</th>
<th>Miles</th>
<th>Amount</th>
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<tr>
<td></td>
<td></td>
<td>£ p £</td>
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</table>

**TOTALS**

Please ensure all columns are totalled
7.2 Procedural Document Checklist for Approval

### Procedural document checklist for approval

To be completed and attached to any document which guides practice when submitted to the appropriate committee for consideration and approval.

<table>
<thead>
<tr>
<th>Title of document being reviewed:</th>
<th>Yes/No/Unsure</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>A Is there a sponsoring director?</td>
<td>Yes</td>
<td></td>
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</tbody>
</table>

1. **Title**

   - Is the title clear and unambiguous? Yes
   - Is it clear whether the document is a guideline, policy, protocol or standard? Yes

2. **Rationale**

   - Are reasons for development of the document stated? Yes

3. **Development Process**

   - Is the method described in brief? Yes
   - Are individuals involved in the development identified? Yes
   - Do you feel a reasonable attempt has been made to ensure relevant expertise has been used? Yes
   - Is there evidence of consultation with stakeholders and users? Yes

4. **Content**

   - Is the objective of the document clear? Yes
   - Is the target population clear and unambiguous? Yes
   - Are the intended outcomes described? Yes
   - Are the statements clear and unambiguous? Yes

5. **Evidence Base**

   - Is the type of evidence to support the document identified explicitly? Yes
   - Are key references cited? Yes
# Procedural document checklist for approval

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<tbody>
<tr>
<td>Are the references cited in full?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Are local/organisational supporting documents referenced?</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

## 6. Approval

<table>
<thead>
<tr>
<th></th>
<th>Yes/No/Unsure</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the document identify which committee/group will approve it?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>If appropriate, has assurance been sought?</td>
<td>Unsure</td>
<td></td>
</tr>
</tbody>
</table>

## 7. Dissemination and Implementation

<table>
<thead>
<tr>
<th></th>
<th>Yes/No/Unsure</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is there an outline/plan to identify how this will be done?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Does the plan include the necessary training/support to ensure compliance?</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

## 8. Document Control

<table>
<thead>
<tr>
<th></th>
<th>Yes/No/Unsure</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the document identify where it will be held?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Have archiving arrangements for superseded documents been addressed?</td>
<td>Unsure</td>
<td></td>
</tr>
</tbody>
</table>

## 9. Process for Monitoring Compliance

<table>
<thead>
<tr>
<th></th>
<th>Yes/No/Unsure</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are there measurable standards or KPIs to support monitoring compliance of the document?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Is there a plan to review or audit compliance with the document?</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

## 10. Review Date

<table>
<thead>
<tr>
<th></th>
<th>Yes/No/Unsure</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the review date identified?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Is the frequency of review identified? If so, is it acceptable?</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

## 11. Overall Responsibility for the Document
Procedural document checklist for approval

To be completed and attached to any document which guides practice when submitted to the appropriate committee for consideration and approval.

<table>
<thead>
<tr>
<th>Title of document being reviewed:</th>
<th>Yes/No/Unsure</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is it clear who will be responsible for coordinating the dissemination, implementation and review of the documentation?</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

Director Approval

On approval, please sign and date it and forward to the chair of the committee/group where it will receive final approval.

<table>
<thead>
<tr>
<th>Name</th>
<th>Elaine Newton</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Committee Approval

On approval, Chair to sign and date so it can then be forwarded to the person with responsibility for disseminating and implementing the document and the person who is responsible for maintaining the organisation’s database of approved documents.

<table>
<thead>
<tr>
<th>Name</th>
<th>Phelim Brady</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 7.3 Appendix 2 Compliance & Audit Table

*Explain how the procedures will be audited i.e. how you will provide assurance that the policy is being adhered to*

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Measurable</th>
<th>Frequency</th>
<th>Reporting to</th>
<th>Action Plan/Monitoring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policies are approved by the agreed date</td>
<td>100%</td>
<td>Biennial</td>
<td>Remuneration Committee</td>
<td>Policy Database</td>
</tr>
</tbody>
</table>
| Systems in place for:  
• Distribution (including version control)  
• Monitoring of Implementation Plan  
• Implementation  
• Timely review of all policies and procedures including equality analysis  
• Archiving/Retention/Deletion of policies | Database showing status of HR current policies  
On internet/intranet site and referenced in Appraisals/PDP | Biannually | Remuneration Committee/Governing Body | HR Report |
| Iterative development of Policy responding to comments received regarding the viability of policy implementation | Number of comments received  
Implementation review with staff | Biannually | Remuneration Committee/Governing Body following review with DGC | Action Plan to address comments |