

# **PATIENT AND PUBLIC INVOLVEMENT REIMBURSEMENT OF EXPENSES POLICY**

## **November 2013**

<b>Authorship :</b>	NYHCSU Workforce Team
<b>Committee Approved :</b>	
<b>Approved Date :</b>	November 2013
<b>Review Date :</b>	November 2015
<b>Equality Impact Assessment :</b>	Completed
<b>Sustainability Impact Assessment :</b>	Completed
<b>Target Audience :</b>	Council of Members, Governing Body and its Committees and Sub-Committees and CCG Staff
<b>Policy Reference No :</b>	HaRD 019
<b>Version Number :</b>	1

**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 and Date</b>	<b>Date on Intranet</b>
1.0		New policy		

# Contents

	<b>Page</b>
1 Introduction	4
2 Objective	4
3 Responsibilities	4
4 Examples of patient and public involvement may include	4
5 Equality and diversity	5
6 Principles of involvement and reimbursement	5
7 What expenses are covered	6
8 What expenses are not covered	7
9 Undertaking activities	7
10 Arrangements for the reimbursement of expenses	8
11 Confidentiality	8
12 Code of conduct	8
13 Health & Safety	8
14 No smoking policy	8
15 Concerns, complaints and disputes	8
16 Monitoring compliance with and effectiveness of this policy	9
17 Bribery Act	9
18 Review	9
Appendix 1 How to complete the claim form for reimbursement of expenses	10
Appendix 2 Claim form for reimbursement of expenses for patient and public involvement	11
Appendix 3 Reimbursement form – bank details for BACS payments	13
Appendix 4 Reimbursement form – payment via cheque	14
Appendix 5 Non-disclosure of confidential information	15
Appendix 6 Code of Conduct	16
Appendix 7 Equality Impact Analysis	17
Appendix 8 Sustainability Impact Assessment	27

## 1 Introduction

As part of the implementation of the changes under the Health and Social Care Act 2012, Harrogate and Rural District Clinical Commissioning Group (HaRD CCG) has now developed as an informed and forward thinking group of clinical leaders to take on the responsibility of commissioning health and care services for their residents.

If the services provided, commissioned, or contracted by the CCG are to be effectively and appropriately developed, the patient and public unique perspective needs to be at the centre of the discussions. The CCG is committed to involving patients and the public in the planning, delivering and monitoring of local health services.

## 2 Objective

The purpose of this document is to provide guidance on reimbursement to patients and the public who give up their time to get involved with the CCG in health and social care planning and decision making. The policy will show what patients and the public can expect to be reimbursed for their valuable contribution and to ensure that they are not out of pocket with their expenses.

## 3 Responsibilities

**Directors** are responsible for ensuring organisational compliance with the duty to involve patients and the public in the planning, design and evaluation of services.

**Managers** are responsible for ensuring that appropriate engagement and involvement activity takes place and that both staff and patients and public are appropriately supported.

**All Staff** are responsible for adequately supporting and recognising the contribution made by participants who give up their time to support the work of the CCG and ensure they are aware on the type of expenses they can claim and the process they should follow.

## 4 Examples of patient and public involvement may include :

- Members of the public taking part in CCG approved events
- Patient engagement events
- Participation in a focus group
- Speaking at CCG events (e.g., AGM, training events)
- Lay support for CCG events (e.g., setting up for workshops)
- Promotional / raising awareness activities (community events)

## 5 Equality and Diversity

The CCG makes a clear statement in its Constitution on how it will meet its public sector equality duty. It has an Equality and Diversity Strategy and Implementation Plan which sets out how it will meet its duties. This includes setting equality objectives and a plan to show how those objectives will be delivered. The CCG's equality objectives are given below :

<b>Objective 1</b> <b>Theme: Accessible information</b>	Provide accessible information and work with patients and carers to develop and test the accessibility of information.
<b>Objective 2</b> <b>Theme: Equality Data</b>	To use data more effectively to promote equality in all decisions made by the CCG.
<b>Objective 3</b> <b>Theme: Engagement</b>	To strengthen stakeholder, community and patient engagement and work in partnership to advance equality and reduce health inequalities and advance equality.
<b>Objective 4</b> <b>Theme: Health Inequalities</b>	To reduce health inequalities for people with learning disabilities. To reduce inequalities for Transgender patients
<b>Objective 5</b> <b>Theme: Workforce</b>	To maintain a well-supported, empowered motivated and engaged workforce.
<b>Objective 6</b> <b>Theme: Leadership</b>	To ensure that leadership is inclusive at all levels.

To ensure the above, this Policy has been analysed for its Equality Impact. As a result of performing the analysis, the policy, does not appear to have any adverse effects on people who share *Protected Characteristics* and no further actions are recommended at this stage.

## 6 Principles of Involvement and Reimbursement

The contribution patients and the public make will be recognised and valued. This can be done in a variety of ways for example, being thanked, positive feedback and acknowledgement, practical assistance, training, personal development or seeing the impact of the work and changes made as a result of involvement.

Patients and the public will be given the right information at the right time to be able to make an informed choice about how and on what terms they want to be involved.

Commissioners / service providers will discuss and agree with participants the terms of involvement prior to them committing to it. Involvement in unpaid activity does not require the participant to register as a volunteer.

Individuals wishing to volunteer can reclaim reasonable and proper expenses they incur whilst carrying out their duties such as travel costs, post, or photocopying charges. Expenses will be paid with reference to the 'NHS Agenda for Change Terms and Conditions' :

<http://www.nhsemployers.org/PayAndContracts/AgendaForChange/mileage/Pages/Mileage-allowances.aspx>

## **7 What expenses are covered?**

The CCG will reimburse reasonable and proper expenses incurred as a consequence of direct involvement in the work of the CCG such as travel, parking, post or photocopying charges. The exact nature of expenses to be claimed and the process for authorisation and payment of claims should be established in advance. This is simply to ensure that costs can be forecast and budgeted for from operational budgets. All claim forms will be authorised by a lead contact.

The following travel related expenses will be reimbursed, provided receipts are attached to the claim form :

- AfC mileage rates will be used to reimburse approved travelling expenses.
- Bus / coach fares
- train fares (second class only)
- car parking charges

### **Taxis**

There will be no reimbursement of taxis or private hire vehicles unless prior agreement with the Project Lead of the CCG has been sought. Taxis will only be used in exceptional circumstances for example for those who are unable to use other forms of public transport.

**Parking / speeding fines and / or loss of personal belongings will not be reimbursed by the CCG.**

**The CCG is committed to offering involvement opportunities to all its population including carers, people with disabilities and those individuals with additional needs.**

A wide range of patients and the public, with different needs and experiences will be encouraged and supported to be involved.

The reimbursement of reasonable and proper expenses incurred as a consequence of direct involvement in the work of the CCG such as travel, parking, post or photocopying charges should not affect patients and the public in receipt of benefits.

## 8 What expenses are not covered?

The CCG will not refund individuals for the purchase of equipment such as computers, mobile telephones or stationery. Individuals should discuss alternative arrangements with the Project Lead of the CCG.

Attendance at open public meetings **does not** qualify for reimbursement of expenses e.g. CCG Annual General Meeting costs, or where members of the public attend a launch or similar event which is open to everyone. The formal involvement of individuals in meetings will qualify e.g. where an individual is actively involved in contributing to an event or conference.

## 9 Undertaking Activities

The CCG will :

- Encourage involvement, providing facilities to enable full engagement where possible
- Work flexibly with participants to accommodate any needs they may have

The Project Lead will :

- Ensure that the participants are fully briefed on their role prior to the task being started and that they are given all relevant documentation and background information
- Ensure communication and access needs are addressed
- Be available to meet with the participants at an agreed time before the activity and address any specific concerns or questions
- Ensure the participant is supported fully during the activity
- Meet with the participant after the activity takes place
- Thank the participant for their involvement and keep them informed of subsequent outcomes
- Give help with the completion of expenses claims forms if required

The Participant will :

- Prepare for activities as agreed with the Project Lead
- Inform the Project Lead at the earliest opportunity if unable to attend for any reason  
Follow guidance from the Project Lead on the general conduct of the activity
- Discuss with the Project Lead any concerns they may have about the activity  
Complete the expenses claim form with all the necessary information and attach receipts

## **10 Arrangements for the Reimbursement of Expenses**

Expenses will only be reimbursed on receipt of a validated and signed expenses claim form. Claim forms should be provided by the Project Leads. Details on how to complete the claim form is attached to the policy as Appendix 1. The claim form is attached to the policy as Appendix 2.

Your Project Lead can assist with problems in completing the expenses claim forms. The CCG will make sure that payment is made as quickly as possible but this can take up to 3 – 4 weeks. Payment is usually made by BACS payment; if, however, someone does not have a bank account a cheque will be issued.

## **11 Confidentiality**

Anyone voluntarily involved in CCG business may have access to information of a sensitive nature. Where this is the case, they will be required to sign a confidentiality agreement (Appendix 5). It is the responsibility of the Project Lead to ensure they have access to this, as appropriate.

## **12 Code of Conduct**

All participants with on-going involvement will comply with and sign the code of conduct agreement attached as (Appendix 6)

## **13 Health & Safety**

The CCG has a Health & Safety policy that needs to be observed at all times. This is available on the CCG website or by contacting the CSU Engagement Team.

## **14 No Smoking Policy**

The CCG operates a No Smoking policy that needs to be observed at all times. This is available on the CCG website or by contacting CSU Engagement Team.

## **15 Concerns, Complaints and Disputes**

If either the participant or project lead has a concern, complaint or dispute, these should be resolved locally between the participant and their Project Lead.

If either side feels the need for third party involvement, a member of the CCG engagement team should be informed. They can then discuss with those concerned the options available and how to take the matter forward.

## **16 Monitoring Compliance with and Effectiveness of this Policy**

An annual audit of recipients will be undertaken to assess compliance.

## **17 Bribery Act**

The CCG follows good NHS business practice as outlined in the Business Conduct Policy and has robust controls in place to prevent bribery. Due consideration has been given to the Bribery Act 2010 in the development of this policy document and it is felt that the Bribery Act is particularly relevant to this policy.

The reimbursement of expenses made to participants is in no way intended as a bribe and they should feel free to express their views openly and honestly.

It should be noted that the act makes bribery a criminal offence and there are four offences :

- bribing, or offering to bribe, another person:
- requesting, agreeing to receive, or accepting a bribe:
- bribing, or offering to bribe, a foreign public official:
- failing to prevent bribery:

All individuals should be aware that in committing an act of bribery they may be subject to a penalty of up to 10 years imprisonment, an unlimited fine, or both. They may also expose the organisation to a conviction punishable with an unlimited fine because the organisation may be liable where a person associated with it commits an act of bribery.

Further information on the Bribery Act can be found at [www.opsi.gov.uk/acts](http://www.opsi.gov.uk/acts). A list of frequently asked questions is available from the CSU Corporate Strategy and Policy Manager.

## **18 Review**

This Policy will be reviewed within one year from the date of implementation along with the reimbursement rates in line with national guidance.

## Appendix 1

### **How to complete the claim form for reimbursement of expenses**

1. Please put your name and telephone number on the form so that we can contact you if necessary. Our preferred method of payment is by BACS as this is cost effective for the CCG as well as the fastest and most convenient method for you. As people's bank account details can change at any time we do require you to complete your bank account details on the reverse side of the claim form for each and every claim submitted. If you do not have a bank account and wish to receive a cheque please complete the details on the reverse side of the claim form and sign the declaration. Please be assured that all details provided will be treated and stored confidentially.
2. Make sure you have also included the name of the Harrogate and Rural District Clinical Commissioning Group Project Lead. We need this so that we can arrange authorisation of the expenses claim and to arrange a prompt payment.
3. Please put the date of each activity, or event you attended in the first and second columns.
4. "Car Mileage" – if you used your car, please write the total number of miles to the meeting and back again. The CCG will calculate the cost of the car mileage when received for processing for payment.
5. "Travel Fares" – please enter any expenditure on buses, trains, taxis or a combination of such. Receipts must be provided. Please refer to point 7 of the policy for appropriate use of taxis.
6. Under "Other Expenses" please list any other costs you have paid for such as parking charges and then enter the actual costs in the next column.
7. Please remember to attach receipts for all expenses claimed, where applicable, or other proof of expenditure, for example tickets from parking machines.
8. Please sign your completed form and send to your named Project Lead or to the Head of Finance.
9. Claim forms must be returned as soon as possible, and no later than two months after the event. Claims submitted after this time may not be paid.

**Appendix 2**

**Claim form for reimbursement of expenses for patient and public involvement**

PLEASE COMPLETE IN BLOCK CAPITALS FOR REIMBURSEMENT. ALL EXPENDITURE MUST BE AGREED IN ADVANCE AND RECEIPTS  
MUST BE ATTACHED TO THIS FORM, WHERE APPLICABLE.  
(Please complete the B.A.C.S form on the reverse for each and every claim submitted)

Name : ..... Telephone No : .....

CCG Project Lead : .....

Date	Details of activity / event	Miles To / From Event if travelled in in own vehicle	Other Travel Cost (i.e. train fares)	Other Expenses (please list)	Cost of Other Expenses	
			£		£	
			£		£	
			£		£	<b>TOTAL</b>
	<b>For CCG Use</b>	£	£		£	£

I declare that the above travel and expenses claimed have been incurred by me. I further declare that no other claim for reimbursement from public or charitable funds has been nor will be made in respect of this claim.

Signature of patient / public participant: ..... Date: .....

Please send this completed form to : Head of Finance (or Project Lead), Harrogate and Rural District CCG, 1 Grimbald Crag Court, St James Business Park, Knaresborough, HG5 8QB

---

**FOR OFFICIAL USE ONLY**

***By HaRD CCG Contact :***

Verified by : ..... Payment agreed by (budget holder) : ..... Budget code : .....

***By Finance Department :***

Claim checked by finance : ..... Date approved : .....

Appendix 3

**Reimbursement Form**

**Bank details for payments via B.A.C.S**

Please complete form using **BLOCK CAPITALS**

<b>Payee name :</b>	Title :
	Forename :
	Surname :
<b>Bank / Building Society Name :</b>	Name :
<b>Account details :</b>	Sort code :
	Account No :
	Roll number (if applicable) :

**Signature :** ..... **Date :** .....

**Please send this completed form to:**  
**Head of Finance (or Project Lead), Harrogate and Rural District CCG, 1 Grimbald Crag Court, St James Business Park, Knaresborough. HG5 8QB**

## Reimbursement Form

### Payment via Cheque

**If you do not have a bank account please complete the details below**

Please complete form using **BLOCK CAPITALS**

<b>Name on cheque to be payable to :</b>	
<b>Address to send the cheque to :</b>	
<b>Declaration :</b>	Postcode : I agree for my expenses to be paid to the above person  Name : .....  Signature : .....  Date : .....

**Please send this completed form to:**  
**Head of Finance (or Project Lead), Harrogate and Rural District CCG, 1 Grimbald Crag Court, St James Business Park, Knaresborough. HG5 8QB**

**Appendix 5**

**Non-Disclosure of Confidential Information**

The NHS has a legally binding obligation not to disclose information of a confidential nature concerning patients' illnesses, their affairs or Trust and staff business and likewise, they have a duty to draw attention to their staff and volunteers to this obligation.

Participants must not disclose, either during or after the termination of their volunteering activity period, any information of a confidential nature relating to the CCG, its patients or any further third party without first obtaining the written permission of the Trust of the party concerned.

Disclosure of confidential information can occur either directly or indirectly and staff and volunteers have a duty to ensure that indirect disclosure does not occur due to the unauthorised access to, or misuse of information.

Any unauthorised disclosure of such information will be regarded as a serious breach of discipline and, therefore, action will be taken. If the volunteer has left the organisation, legal action may be considered by the Trust. An unauthorised disclosure is an offence under the Data Protection Act 1988 and as such the Information Commissioner or Director of Prosecution could commence proceedings against the individual.

Staff should be aware of and adhere to the relevant Information Governance Policies:

Any unauthorised disclosure of such information will be regarded as a serious breach of discipline and therefore, appropriate disciplinary action will be taken.

I have read and understood the above.

Signature : .....

Name (Block Capitals) : .....

Department Base : .....

Date : .....

**Appendix 6**

**Code of Conduct**

The principles listed below make up the Code of Conduct, and reflect a summary of the conditions attached to volunteering in or contributing to the NHS in any unpaid capacity.

- Involvement necessitates respect for all others, be they staff, other volunteers, patients, service users / carers.
- Individuals / groups must be recognised and respected for their own beliefs, irrespective of whether they differ from our own.
- Cultural and ethnic diversity must be acknowledged and valued, and at all times equality and fairness must be promoted.
- Discrimination of any kind (be it direct or indirect) will not be tolerated.
- Language or actions perceived to be aggressive, intimidating or abusive will not be tolerated.
- Practice in a non-judgemental manner and not to impose our own beliefs, values or opinions on anyone else.
- The highest regard for confidentiality must be understood and maintained (including the protection of patient identification and respect for privacy)
- Share any concerns we may have (be it related or of a personal nature) with the appropriate staff contact
- Report any possible breaches of this code to your staff contact and Engagement Lead.

I have read and understood the above.

Signature : .....

Name (Block Capitals) : .....

Department Base : .....

Date : .....

## Equality Impact Analysis

<b>Policy / Project / Function :</b>	Patient and Public Involvement Reimbursement of Expenses Policy HaRD 019								
<b>Date of Analysis:</b>	August 2013								
<b>This Equality Impact Analysis was completed by: (Name and Department)</b>	Bridget Read, Project Manager, Engagement North Yorkshire and Humber Commissioning Support Unit								
<b>What are the aims and intended effects of this policy, project or function?</b>	To provide guidance on reimbursement to the public who give up their time to get involved and the recognition that they should not be out of pocket with their expenses								
<b>Please list any other policies that are related to or referred to as part of this analysis</b>	'NHS Agenda for Change Terms and Conditions' Health & Safety Policy No Smoking Policy Business Conduct Policy								
<b>Who does the policy, project or function affect?</b>  Please Tick ✓	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;">Employees</td> <td style="text-align: right; padding: 5px;"><input type="checkbox"/></td> </tr> <tr> <td style="padding: 5px;">Service Users</td> <td style="text-align: right; padding: 5px;">✓ <input type="checkbox"/></td> </tr> <tr> <td style="padding: 5px;">Members of the Public</td> <td style="text-align: right; padding: 5px;">✓ <input type="checkbox"/></td> </tr> <tr> <td style="padding: 5px;">Other (List Below)</td> <td style="text-align: right; padding: 5px;"><input type="checkbox"/></td> </tr> </table>	Employees	<input type="checkbox"/>	Service Users	✓ <input type="checkbox"/>	Members of the Public	✓ <input type="checkbox"/>	Other (List Below)	<input type="checkbox"/>
Employees	<input type="checkbox"/>								
Service Users	✓ <input type="checkbox"/>								
Members of the Public	✓ <input type="checkbox"/>								
Other (List Below)	<input type="checkbox"/>								

## 1. 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"/>	X <input type="checkbox"/>	<input type="checkbox"/>	X <input type="checkbox"/>	
<b>Age</b>	<input type="checkbox"/>	X <input type="checkbox"/>	<input type="checkbox"/>	X <input type="checkbox"/>	
<b>Sexual Orientation</b>	<input type="checkbox"/>	X <input type="checkbox"/>	<input type="checkbox"/>	X <input type="checkbox"/>	
<b>Disabled People</b>	X <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X <input type="checkbox"/>	
<b>Gender</b>	<input type="checkbox"/>	X <input type="checkbox"/>	<input type="checkbox"/>	X <input type="checkbox"/>	
<b>Transgender People</b>	<input type="checkbox"/>	X <input type="checkbox"/>	<input type="checkbox"/>	X <input type="checkbox"/>	
<b>Pregnancy and Maternity</b>	<input type="checkbox"/>	X <input type="checkbox"/>	<input type="checkbox"/>	X <input type="checkbox"/>	
<b>Marital Status</b>	<input type="checkbox"/>	X <input type="checkbox"/>	<input type="checkbox"/>	X <input type="checkbox"/>	
<b>Religion and Belief</b>	<input type="checkbox"/>	X <input type="checkbox"/>	<input type="checkbox"/>	X <input type="checkbox"/>	
<b>Reasoning</b>	Reimbursement of taxi, passenger transport or ambulance costs where public transport would be difficult because of a disability is a positive impact.				

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

## 2. Equality Impact Analysis: Local Profile Data

### Local Profile/Demography of the Groups affected (population figures)

<b>General</b>	158,700
<b>Age</b>	0 – 15 Year 18.3%. 16 – 29 Years 14.6%. 30 – 44 Years 19.4%. 45 – 59 Years 21.5%. 60 – 74 Years 16.9%. 75 – 89 Years 8.5% 90 Years and over 1.1%
<b>Race</b>	91.7% white, 3.5% white other, 2.3% Chinese or other ethnic group, black or minority ethnic group 2.5%
<b>Sex</b>	49.2% male, 50.8% female
<b>Gender reassignment</b>	No guidance available
<b>Disability</b>	(including LTC) 15.5%
<b>Sexual Orientation</b>	Stonewall suggests that 5 – 7% of the national population are gay, lesbian or bi sexual.
<b>Religion, faith and belief</b>	Christian 68.6%, Buddhist 0.3%, Hindu 0.1%, Jewish 0.2%, Muslim 0.4%, Sikh 0.1%, Other religion 0.3%, no religion 22.9% Religion not stated 7.1%
<b>Marriage and civil partnership</b>	52% men, 48% women
<b>Pregnancy and maternity</b>	TBC

### 3. 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>          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 type="checkbox"/></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 with CCG staff in the development of this policy</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>Reimbursement of taxi or passenger transport where public transport would be difficult will enable people with physical disabilities to participate fully.</p>

#### 4. 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)				
<b>Disability</b> (Mental and Physical)		✓		Reimbursement of special transport costs will ensure disabled people who give up their time to get involved will not be out of pocket with their expenses.
<b>Religion or Belief</b>				
<b>Sexual Orientation</b> (Heterosexual, Homosexual and Bisexual)				

### Equality Impact Analysis: Assessment Test (continued)

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
Pregnancy and Maternity				
Transgender				
Marital Status				
Age				

## 5. 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:

## 6. Equality Impact Analysis Findings

Analysis Rating:	<input type="checkbox"/> Red	<input type="checkbox"/> Red/Amber	<input type="checkbox"/> Amber	<input type="checkbox"/> Green
		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> <ul style="list-style-type: none"> <li>• List the justification of the discrimination and source the evidence (i.e. clinical need as advised by NICE).</li> <li>• Consider if there are any potential actions which would reduce the risk of discrimination.</li> <li>• Another EIA must be completed if the policy is changed, reviewed or if further discrimination is identified at a later date.</li> </ul>	<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>	
---	--

<b>Approved By</b>		
Job Title:	Name:	Date:

Appendix 8

### Sustainability Impact Assessment

Staff preparing a policy, Governing Body (or Sub-Committee) report, service development or project are required to complete a Sustainability Impact Assessment (SIA). The purpose of this SIA is to record any positive or negative impacts that this is likely to have on sustainability.

<b>Title of the document</b>		<b>Patient and Public Involvement Reimbursement of Expenses Policy HaRD 019</b>		
<b>What is the main purpose of the document</b>		<b>The policy provides guidance on the CCG's approach to providing reimbursement to patients the public who give up their time to get involved in the recognition that they should not be out of pocket with their expenses and that the CCG recognise and value the contribution patients and the public make.</b>		
<b>Date completed</b>		<b>November 2014</b>		
<b>Completed by</b>		<b>Engagement Manager</b>		
<b>Domain</b>	<b>Objectives</b>	<b>Impact of activity</b> Negative = -1 Neutral = 0 Positive = 1 Unknown = ? Not applicable = n/a	<b>Brief description of impact</b>	<b>If negative, how can it be mitigated? If positive, how can it be enhanced?</b>
<b>Travel</b>	Will it provide / improve / promote alternatives to car based transport? Will it support more efficient use of cars (car sharing, low emission vehicles, environmentally friendly fuels and technologies)? Will it reduce 'care miles' (telecare, care closer) to home? Will it promote active travel (cycling, walking)? Will it improve access to opportunities and facilities for all groups?	0	The policy reimburses individuals for their personal travel expenses. It does not proactively promote car sharing or cycling as this would be down to the individual's personal choice and circumstances.	

<b>Procurement</b>	<p>Will it specify social, economic and environmental outcomes to be accounted for in procurement and delivery?</p> <p>Will it stimulate innovation among providers of services related to the delivery of the organisations' social, economic and environmental objectives?</p> <p>Will it promote ethical purchasing of goods or services?</p> <p>Will it promote greater efficiency of resource use?</p> <p>Will it obtain maximum value from pharmaceuticals and technologies (medicines management, prescribing, and supply chain)?</p> <p>Will it support local or regional supply chains?</p> <p>Will it promote access to local services (care closer to home)?</p> <p>Will it make current activities more efficient or alter service delivery models</p>	0	Not applicable	
<b>Facilities Management</b>	<p>Will it reduce the amount of waste produced or increase the amount of waste recycled?</p> <p>Will it reduce water consumption?</p>	0	Not applicable	
<b>Workforce</b>	<p>Will it provide employment opportunities for local people?</p> <p>Will it promote or support equal employment opportunities?</p> <p>Will it promote healthy working lives (including health and safety at work, work-life/home-life balance and family friendly policies)?</p> <p>Will it offer employment opportunities to disadvantaged groups?</p>	0	Not applicable	
<b>Community Engagement</b>	<p>Will it promote health and sustainable development?</p> <p>Have you sought the views of our communities in relation to the impact on sustainable development for this activity?</p>	0	The purpose of the policy is to encourage the attendance of patients and public at meetings/events to support the CCG's to contribute their feedback and experience in ensuring the services provided meet the needs of the local community.	

<b>Buildings</b>	<p>Will it improve the resource efficiency of new or refurbished buildings (water, energy, density, use of existing buildings, designing for a longer lifespan)?</p> <p>Will it increase safety and security in new buildings and developments?</p> <p>Will it reduce greenhouse gas emissions from transport (choice of mode of transport, reducing need to travel)?</p> <p>Will it provide sympathetic and appropriate landscaping around new development?</p> <p>Will it improve access to the built environment?</p>	0	Not applicable	
<b>Adaptation to Climate Change</b>	<p>Will it support the plan for the likely effects of climate change (e.g. identifying vulnerable groups; contingency planning for flood, heat wave and other weather extremes)?</p>	0	Not applicable	
<b>Models of Care</b>	<p>Will it minimising 'care miles' making better use of new technologies such as telecare and telehealth, delivering care in settings closer to people's homes?</p> <p>Will it promote prevention and self-management?</p> <p>Will it provide evidence-based, personalised care that achieves the best possible outcomes with the resources available?</p> <p>Will it deliver integrated care, that co-ordinate different elements of care more effectively and remove duplication and redundancy from care pathways?</p>	0	Not applicable	