

### Checklist for the Review and Approval of Procedural Documents

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

	Yes/No/ Unsure	Comments
<b>Title of Document</b>		Payroll Policy
Could this policy be incorporated within an existing policy?	N	
Does this policy follow the style and format of the agreed template?	Y	
Has the front sheet been completed?	Y	
Is there an appropriate review date?	Y	
Does the contents page reflect the body of the document?	Y	
Are there measurable standards or KPIs to support the monitoring of compliance with and effectiveness of the document?	Y	
Are all appendices appropriate and/or applicable?	Y	
Have all appropriate stakeholders been consulted?	Y	
Has an Equality Impact Assessment been undertaken?	Y	
Is there a clear plan for implementation?	Y	
Has the document control sheet been completed?	Y	
Are key references cited and supporting documents referenced?	Y	
Does the document identify which Committee/Group will approve it?	Y	



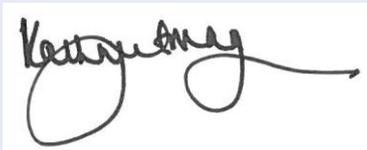
**Individual Approval**

If you are happy to approve this document, please sign and date it and forward to the chair of the committee/group where it will receive final approval.

Name	Caroline Hall	Date	17 October 2017
Signature			

**Committee Approval**

If the committee is happy to approve this document, please sign and date it and forward copies 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.

Name	Kathryn Magson	Date	17 October 2017
Signature			



## **PAYROLL POLICY**

<b>Version Number</b>	1.10
<b>Ratified By</b>	Exec Team
<b>Date Ratified</b>	October 2017
<b>Name of Originator/Author</b>	Amanda Yeates
<b>Responsible Director</b>	Chief Finance Officer
<b>Staff Audience</b>	All staff
<b>Date Issued</b>	October 2017
<b>Next Review Date</b>	October 2019

**DOCUMENT CONTROL**

<b>Plan Version</b>	<b>Page</b>	<b>Details of amendment</b>	<b>Date</b>	<b>Author</b>
1.0		New Plan	Jul 14	AY
1.1	7	Payroll responsibilities updated	Jul 14	AY
1.1	8	Payment arrangements updated	Jul 14	AY
1.1	8	HCAS section updated	Jul 14	AY
1.1	8	Pay progression details updated	Jul 14	AY
1.1	9	Statutory sick pay section updated	Jul 14	AY
1.1	12	Overpayment section revised	Jul 14	AY
1.2	11-12	Overpayment section revised	Jul 14	AY
1.2	14	List of related policies added to	Jul 14	AY
1.2	6	Consequences of non-compliance added	Jul 14	AY
1.3	9	Overtime section summarised	Jul 14	AY
1.3	9	Details of consolidation payment moved from section 5.2 to 5.3	Jul 14	AY
1.4	7	Finance to section added to section 4.1	Jul 14	AY
1.5	39	Section added covering change to bank account details	Aug 14	AY
1.7	8	Last 2 bullet points removed	Aug 14	AY
1.7	10	Correction to numbering	Aug 14	AY
1.7	11	Amendment made to overpayments section	Oct 14	AY
1.8	8	Section 4.1.6 updated with revised responsibilities for LCFS	Jan 16	AY
1.8	9	HCAS section updated with current rates	Jan 16	AY
1.8	9	Section 5.3 updated with current information	Jan 16	AY
1.8	11	On-call section updated to confirm time in lieu entitlement	Jan 16	AY
1.8	9	Section 5.1 on payment updates to be updated with new arrangements from 1 April 2016	Feb 16	AY
1.9	13	Paragraph relating to "mistake of fact" added to section 5.7	Jun 16	AY
1.9	12-13	Payment arrangement for on-call cover updated	Jul 16	AY
1.10	9	Section 5.1 & 5.2 updated	Sep 17	TR
1.10	17	Updated Equality Impact Screening Form included	Sep 17	AY

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<b>1.</b>	<b>INTRODUCTION</b>
	<p>The CCG’s payroll department is based at East and North NHS Trust and are separate from the Human Resources department.</p> <p>Herts Valleys Clinical Commissioning Group (HVCCG) has a responsibility to ensure that employees are paid correctly. This policy applies to all payments made to employees on Agenda for Change Terms and Conditions of Service in a permanent or fixed term contract with the CCG, Lay Members on Contracts of Service and payments made to GPs for clinical advice.</p> <p>For those staff covered by Agenda for Change, this includes 9 different pay bands and each pay band has several pay points. Details of band 1 – 9 pay structures can be found in the Agenda for Change Terms and Conditions handbook.</p>
<b>2.</b>	<b>PURPOSE</b>
	<p>The aims of this policy are to ensure that:</p> <ul style="list-style-type: none"> <li>• All employees and Lay Members are paid correctly</li> <li>• Only bona fide employees and Lay Members are paid</li> <li>• Government legislation is complied with</li> <li>• A transparent, fair and consistent approach is followed when an incorrect salary payment is made</li> </ul> <p>Failure to comply with this policy could result in a criminal investigation being conducted by the Local Counter Fraud Specialist and/or disciplinary action being taken.</p>
<b>3.</b>	<b>DEFINITIONS</b>
<b>3.1</b>	<b>Identification of Payment Error – Error Types</b>
	<p>There are a number of ways in which an employee can be incorrectly paid, including but not restricted to:</p> <ul style="list-style-type: none"> <li>• An overpayment</li> <li>• An underpayment</li> <li>• Payment of incorrect travel or non-travel expenses</li> <li>• Duplication of a payment</li> <li>• Deduction made in error</li> <li>• Incorrect creditor payment</li> </ul>
3.1.1	An <b>overpayment</b> is where an employee, or an ex-employee, is paid an amount in

	<p>excess of their contractual entitlement. The likely causes on an overpayment include, but are not restricted to:</p> <ul style="list-style-type: none"> <li>• A termination notification not being completed, received or processed on time</li> <li>• Late or lack of notification of sickness absence</li> <li>• Staff not returning from maternity leave</li> <li>• An error being made</li> <li>• A late change notification</li> <li>• Incorrect salary banding</li> </ul>
3.1.2	<p>The likely causes of an <b>underpayment</b> include, but are not restricted to:</p> <ul style="list-style-type: none"> <li>• A variation to contract notification being submitted or actioned after payroll cut-off</li> <li>• A late change notification</li> <li>• Incorrect salary banding</li> <li>• Late submission of expense claims, excess hours, enhancements, overtime etc.</li> </ul>
<b>4.</b>	<b>ROLES AND RESPONSIBILITIES</b>
<b>4.1</b>	<b>Roles and Responsibilities within the Organisation</b>
4.1.1	<p>The <b>payroll</b> department are responsible for:</p> <ul style="list-style-type: none"> <li>• Ensuring employees and Lay Members are paid on the correct date</li> <li>• Ensuring all payments made are correct and in line with the information held on the Electronic Staff Record</li> <li>• Maintaining and giving guidance on the NHS pensions scheme</li> <li>• Dealing with staff enquiries via the phone, e-mail or in person in a professional manner</li> <li>• Ensuring all CCG's policies are adhered to if provided</li> <li>• Processing all expenses paid via the monthly payroll. Staff use the SEL Expenses system, once the claims have been authorised by the CCG these are uploaded to the Electronic Staff Record for payment.</li> <li>• Managing the payment of Childcare Voucher invoices</li> <li>• Being vigilant and take responsibility to ensure that all appropriate checks are carried out to stop payment errors from occurring</li> <li>• Ensuring any payment errors are identified and the employees advised in a timely manner</li> <li>• Ensuring any payment errors are resolved following agreed payroll procedures stated in the Service Level Agreement</li> </ul>
4.1.2	<p>The <b>Finance</b> department are responsible for notifying the Human Resources department where changes are to be made to the Electronic Staff Record Structure, e.g. to reflect correct cost centres where there are issues mapping to the general</p>



	ledger. They are also responsible for accounting for overpayments and ensuring recovery appears on the general ledger within the same financial year.
4.1.3	The <b>Human Resources</b> department are responsible for updating the Electronic Staff Record (ESR) with all New Starter's/Leaver's information, movement of positions or any other changes that may affect an employee's salary, in a timely manner.
4.1.4	<p><b>CCG Employees and GPs providing the CCG with clinical advice</b> are responsible for:</p> <ul style="list-style-type: none"> <li>• Checking payments received and advising the Payroll department if this is different to the expected contracted payment. The Theft Act 1968 indicates that although an individual may not set out to obtain any additional salary intentionally, by keeping it and treating it as their own (i.e. spending it), they may be guilty of theft. The CGG reserves the right to refer some cases of overpayment to the Local Counter Fraud Service to undertake a criminal investigation.</li> <li>• Escalating through their line manager when pay anomaly enquiries do not receive an adequate response from the Payroll department within 7 days.</li> </ul>
4.1.5	<p><b>Line Managers</b> are responsible for ensuring that:</p> <ul style="list-style-type: none"> <li>• Changes in employee's contracts, including terminations, are notified to Human Resources in a timely manner. The Manager must supply a forwarding address for the employee.</li> <li>• Employees are notified in writing of any changes to their contractual terms</li> <li>• Any issues relating to unauthorised or inaccurate payroll deductions are escalated with the Payroll department where an employee has not previously received a timely response to their original enquiry</li> <li>• They are vigilant and responsible when signing timesheets</li> </ul>
4.1.6	The <b>Local Counter Fraud Specialist (LCFS)</b> is responsible for investigating all cases of suspected fraud as an example the LCFS will investigate instances of overpayments, false and duplicate payments and any payments earned through dishonesty e.g. false timesheets
<b>4.2</b>	<b>Consultation and Communication with Stakeholders</b>
	<p>The following stakeholders have been consulted and given the opportunity to review this the policy:</p> <ul style="list-style-type: none"> <li>• Payroll department</li> <li>• Human Resources Department</li> <li>• Local Counter Fraud Specialist</li> <li>• HVCCG Exec Team</li> <li>• Trade Unions</li> </ul>



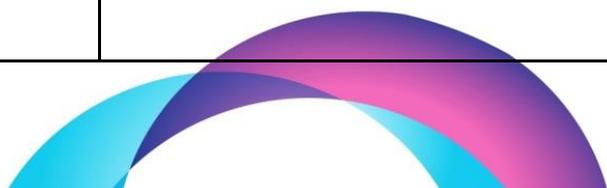
<b>5.</b>	<b>CONTENT</b>
<b>5.1</b>	<b>Payment Arrangements</b>
	<p>All staff will be paid on the 25<sup>th</sup> day of each month. If the 25<sup>th</sup> falls on a weekend then payment is issued on the date before the weekend. All staff must arrange to be paid into a bank or building society account by credit transfer. If any changes are to be made to bank or building society details, a 'Bank Details Form' must be completed and submitted by the employee to the Human Resources department. Staff will be paid the monthly basic salary currently, any expenses or additional duties are paid in arrears.</p> <p>Expenses are usually extracted 2 weeks prior to payday so if claimed from the 1st to 10th of the month staff would receive payment in the current month.</p>
<b>5.2</b>	<b>High Cost Area Supplement (HCAS)</b>
	<p>HCAS is paid as an addition to basic pay for those staff to which Agenda for Change terms and conditions apply. This will be paid to HVCCG employees who meet the criteria at a rate of 5% of basic salary, subject to a minimum and maximum payment in accordance to prevailing pay scales.</p>
<b>5.3</b>	<b>Pay Progression</b>
	<p>Incremental pay progression for all pay points, within each pay band, will be conditional upon individuals demonstrating that they have the requisite knowledge and skills/competencies for their role and that they have demonstrated the required level of performance and delivery during the annual review period. Please see appendix 1 for Core Competency Definitions and Manager Guidance.</p> <p>Provided the appropriate level of performance and delivery has been achieved during the annual review period, as evidenced in the appraisal documentation, individuals will progress from pay point to pay point on an annual basis.</p> <ul style="list-style-type: none"> <li>• For pay bands 1 to 7, 8A and 8B this will apply to all the pay points in each pay band.</li> <li>• For pay bands 8C, 8D and 9 this will apply for the first 4 pay points in the band only.</li> <li>• No live disciplinary warnings</li> </ul> <p>All incremental pay progression will happen automatically; however, where an incremental pay progression is to be deferred the line manager must inform Human Resources of this so that the necessary arrangements can be made to stop the</p>



	<p>incremental pay progression.</p> <p>Pay progression beyond the first four pay points in pay bands 8c, 8d and 9 will be dependent upon the achievement of locally determined levels of performance. Pay progression to the last two incremental points will have to be earned annually, and only retained where the agreed level of performance is attained.</p> <p>Those already on one of the top or penultimate incremental points at 31 March 2013 have full protection.</p> <p>Progress on the annually earned increments is subject to the same criteria as progress up other increments, i.e. individual performance – not dependent on team or organisation’s performance.</p> <p>Please refer to the Incremental Pay Progression Framework for further information.</p>
<b>5.4</b>	<b>Statutory Sick Pay (SSP) Arrangements</b>
	<p>Under the Social Security and Housing Benefits Act 1982, the CCG is responsible for paying SSP to those employees who qualify for this for the first 28 weeks of sickness. Qualifying days for SSP purposes are those days on which employees would normally work (in most cases for full-time staff this would be Monday to Friday). Details of the operation of the scheme, categories excluded from it, conditions of transfer from SSP to the Department of Social Security and the procedure for disputing non-payment, are available from the Payroll department.</p> <p>All employees are entitled to Occupational sick pay from day one of employment and details relating to occupational payments and maternity leave can be found in the Absence Management Policy and the Maternity Policy.</p>



<b>5.5</b>	<b>Overtime Payments</b>												
<p>Overtime payments will only be made in <u>exceptional circumstances</u> and any overtime worked needs to have prior agreement from the employees' line manager. Hours worked in overtime, should be taken off as Time off in Lieu within three months of the overtime taking place, and overtime monetary payments will only be paid in exceptional circumstances. If monetary payments are to be made, these will be paid in line with the terms and conditions in the Agenda for Change handbook. Subsequently, staff paid on bands 8, 9 or on a VSM salary are not entitled to overtime payments.</p> <p>In order to receive payment for overtime hours worked a completed 'Additional Hours / Overtime Claim form' claim form must be submitted and an authorised signatory must authorise payment and certify the claim as valid. Under no circumstances should claim forms be signed and dated in advance.</p> <p>Line managers should monitor employees' working hours and overtime to encourage an appropriate work life balance and ensure legal requirements under the Working Time Regulations policy are met. Only authorised signatories are permitted to authorise and sign off claim forms for staff. They must satisfy themselves that hours of overtime claimed are correct and that time off in lieu was not operationally possible.</p>													
<b>5.6</b>	<b>On-call</b>												
<p>Those employees covered by Agenda for Change terms and conditions (i.e. bands 1 – 9), who are required to be available to provide on-call cover outside their normal working hours, will be entitled to receive a pay enhancement. This enhancement recognises both their availability to provide cover and any advice given by telephone during periods of on-call availability. The enhancement will be based on the proportion of on-call periods in the rota when on-call cover is required. Please see the table below for details:</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="text-align: left;">Frequency of On Call</th> <th style="text-align: left;">Value of enhancements as % of basic pay</th> </tr> </thead> <tbody> <tr> <td>1 in 3 or more frequent</td> <td>9.5%</td> </tr> <tr> <td>1 in 6 or more but less than 1 in 3</td> <td>4.5%</td> </tr> <tr> <td>1 in 9 or more but less than 1 in 6</td> <td>3%</td> </tr> <tr> <td>1 in 12 or more but less than 1 in 9</td> <td>2%</td> </tr> <tr> <td>Less frequent than 1 in 12</td> <td>By local agreement</td> </tr> </tbody> </table>		Frequency of On Call	Value of enhancements as % of basic pay	1 in 3 or more frequent	9.5%	1 in 6 or more but less than 1 in 3	4.5%	1 in 9 or more but less than 1 in 6	3%	1 in 12 or more but less than 1 in 9	2%	Less frequent than 1 in 12	By local agreement
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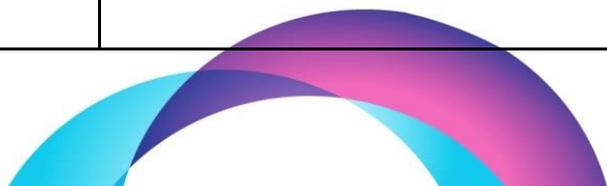
	<p>For these purposes, the average availability required will be measured over a full rota, or over a 13 week period if no standard pattern is applicable. The reference period will not include any periods when the employee is absent from work on either annual leave or sickness absence.</p> <p>Employees who are called into work during a period of on call will receive payment at time and a half (or double time during a bank holiday) for the period they are required to attend, including any travel time. Alternatively, staff may choose to take time off in lieu. However, if for operational reasons time in lieu cannot be taken within 3 months, the hours worked must be paid for.</p> <p>Where staff providing on-call telephone on-call cover experience frequent or lengthy disruption overnight, early morning or at weekends and it would be unreasonable or unsafe to attend the office the following day, time off in lieu should be agreed with their line manager.</p> <p>Staff required provide telephone cover for on call during bank holidays will receive equivalent time in lieu at plain time rates, irrespective of the work done. Time in lieu should be agreed with the appropriate line manager.</p> <p>For further information in relation to payment for on-call duties, please refer to Annex A3 of the Agenda for Change handbook.</p>
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<b>5.7</b>	<b>Overpayments</b>
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	<p>From time to time, an error gives rise to an employee being overpaid either on basic pay, overtime or allowances. It is the policy of the CCG to recover this payment from the employee's salary, within the provision of the Employment Rights Act 1996, as quickly as possible.</p> <p>It is essential that individual managers ensure the completion of new starter, leaver or change of circumstance forms and submit these via Human Resources in a timely manner. Similarly, all line managers must notify the Corporate Support Team of any staff sickness so that this information can be passed on to the payroll department. Errors leading to overpayments are monitored by the payroll department and reported to the Chief Finance Officer. Where an overpayment is considered to have been brought about fraudulently, then the matter will be referred to the Local Counter Fraud Specialist for an investigation to be conducted, in line with the Anti-Fraud and Bribery policy.</p> <p>All employees have a duty to declare any overpayment(s) at the earliest opportunity. Staff who have left employment with the CCG and discover they have been overpaid have a duty to declare this in accordance with their contract of employment. Failure to do so may result in a criminal investigation being undertaken by the Local Counter Fraud Specialist.</p>
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	<p>On discovering an overpayment, Financial Services must be made aware of the overpayment in a timely manner to maximise the ability to recover the debt – the overpayment should be acted upon within 5 working days of being identified. Financial Services will be the main point of contact in relation to all matters relating to overpayments.</p> <p>The payroll department will, on behalf of Financial Services, send a template letter to the individual detailing the overpayment, inviting them to repay the monies and informing them of the methods of payment. These template letters should be modified to show both the reason and the details of overpayment. All essential documents plus a copy of the letter must be sent to Financial Services at the same time as the letter is issued. Essential documents are those that the CCG may rely on in court, i.e. resignation letters, termination forms and payslips.</p> <p>For current employees, the payroll department will then write to the employee, using the standard letter template, advising of the overpayment. Where possible the repayment will be recovered in full from the employee’s next salary payment or by cheque or bank transfer. However, discretion can be used to agree the repayment over a similar period of time as the overpayment to a maximum of 12 months. In exceptional circumstances of proven hardship a longer repayment period may be agreed by the Chief Finance Officer and Associate Director of Human Resources or nominated deputy.</p> <p>For staff leavers, the payroll department will write to the ex-employee requesting either full remittance within 14 days or an alternative proposal if undue hardship is the result.</p> <p>Any further correspondence will be undertaken by the Financial Services on behalf of the CCG. Financial Services will refer the matter immediately to their recovery agents, should the individual fail to respond within the specified time scale.</p> <p>Where an overpayment is made as a result of a mistake of fact (for example, the wrong details have been inserted on to the administrative paperwork or the wrong figure or incorrect sum of money has been input into the payroll system) then the recovery of the overpayment will be made on the basis of a “mistake of fact.” Financial Services will ensure that the overpayment is entered on the overpayments register spread sheet.</p>
<b>5.8</b>	<b>Underpayments</b>
	<p>If an employee has been underpaid the line manager concerned (with assistance as necessary from Human Resources and/or the payroll department) is responsible for ascertaining the reason for the underpayment.</p>



	<p>If the underpayment is for one of the following reasons then the underpayment will normally be rectified in the following month and a manual payment will not be raised:</p> <ul style="list-style-type: none"> <li>• A change of circumstances form received by Human Resources after the deadline for input</li> <li>• An overtime enhancement form or an expenses claim form received by Payroll after the prescribed deadline</li> <li>• Forms that are received before the deadline but are incorrectly completed so have to be returned for correction and subsequently miss the deadline</li> </ul> <p>If the underpayment is for any other reason than those mentioned then Human Resources, the payroll department and the line manager will investigate where the error or oversight leading to the underpayment occurred and assess the necessity to raise a manual payment.</p> <p>Where an employee fails to provide sufficient notice to the Payroll department of any changes to their bank or building society account details and a payment is made to the “wrong” account, the employee must notify their bank or building society and upon confirmation that the monies have been returned to the CCG, a manual payment equivalent to the basic net salary will be made.</p> <p>Where the employee has received basic pay (and unless the under payment is very significant in terms of total pay), as a norm no manual payments will be made by cheque or BACS for less than £100. However, Human Resources, the payroll department and the line manager will consider cases on an individual basis and of the impact the non-payment will have to individual circumstances.</p> <p>Loans will normally be made by BACS directly into the employee’s bank or building society account. This will be on the next available weekly payment run. Payments by BACS are more secure than cheque payments and, given the time required to raise a cheque and for this to then clear through a bank/building society account, BACS payments will provide employees with faster access to their money.</p>
<p><b>5.9</b></p>	<p><b>Change of bank accounts</b></p>
	<p>The payroll team will check all changes to bank account details with HR and/or the staff member concerned to ensure that these are genuine.</p> <p>The CCG has a zero tolerance approach to Fraud and Bribery. All allegations or suspicions of fraudulent changes will be referred to the Local Counter Fraud Specialist for further investigation. Where allegations are proven the CCG will consider all appropriate sanctions and ensure that they are applied consistently. Further information can be found in the CCG’s Whistle Blowing policy.</p>



<b>6.</b>	<b>MONITORING COMPLIANCE</b>
	<ul style="list-style-type: none"> <li>• Authorised signatories will check overtime claim forms and payroll staff will monitor and review authorised claims to ensure they comply with this policy</li> <li>• Monthly analysis of payroll payments</li> <li>• Internal/external audit review</li> </ul>
<b>7.</b>	<b>EDUCATION AND TRAINING</b>
	<ul style="list-style-type: none"> <li>• Managers should be familiar with the organisational processes for appointment, variation to contracts, termination of staff and sickness reporting. Advice can be sought from the Human Resources department where required.</li> <li>• Managers should be familiar with the CCG's Detailed Financial Policies</li> <li>• Individual members of staff should understand their salary entitlement and the information presented on their payslip</li> </ul>
<b>9.</b>	<b>ASSOCIATED DOCUMENTATION</b>
	<ul style="list-style-type: none"> <li>• Theft Act 1968</li> <li>• HVCCG Detailed Financial Policies</li> <li>• HVCCG Whistle Blowing policy</li> <li>• HVCCG Disciplinary Policy</li> <li>• HVCCG Incremental Pay Progression Policy</li> <li>• Agenda for Change Terms and Conditions of Employment, Social Security and Housing Benefits Act 1982</li> <li>• Employment Rights Act 1996</li> </ul>



**APPENDIX 1 – GLOSSARY**

CCG	Clinical Commissioning Group
HCAS	High Cost Area Supplement
HVCCG	Herts Valleys Clinical Executive Team
NHS	National Health Service
SSP	Statutory Sick Pay



## Appendix 2 - HVCCG Equality Impact Screening Form

Name of policy / service	Payroll policy
What is it that is being proposed?	<p>The CCG's payroll department is based at East and North NHS Trust and are separate from the Human Resources department.</p> <p>Herts Valleys Clinical Commissioning Group (HVCCG) has a responsibility to ensure that employees are paid correctly. This policy applies to all payments made to employees on Agenda for Change Terms and Conditions of Service in a permanent or fixed term contract with the CCG, Lay Members on Contracts of Service and payments made to GPs for clinical advice.</p>
What are the intended outcome(s) of the proposal	<p>The aims of this policy are to ensure that:</p> <ul style="list-style-type: none"> <li>• All employees and Lay Members are paid correctly</li> <li>• Only bona fide employees and Lay Members are paid</li> <li>• Government legislation is complied with</li> <li>• A transparent, fair and consistent approach is followed when an incorrect salary payment is made</li> </ul>
Explain why you think a full Equality Impact Assessment is not needed	This policy will not assist with any of the aims of the Equality Act or have any specific impact on the characteristic groups
On what evidence/information have you based your decision?	Terms and conditions of AfC
How will you monitor the impact of policy or service?	Please see section 5 of the policy "Monitoring Compliance"
How will you report your findings?	Internal / external audit review
Having considered the proposal and sufficient evidence to reach a reasonable decision on actual and/or likely current and/or future impact I have decided that a full Equality Impact Assessment is not required.	
Assessors Name and Job title	Amanda Yeates
Date	October 2017

