

Specialist Advisor & Bank Inspector fees, expenses, travel and subsistence Policy and Procedures

DOCUMENT CONTROL

Date updated:	18/07/2019 amend 13.4 address 20/05/2019 amend 21.3 email
Responsible Officer:	Head of Financial Accounting / Flexible Workforce Manager
Review date:	01/11/2018

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Values

Our values are fundamental to the way in which the Care Quality Commission (CQC) operates and the behaviours expected of all staff. This policy aims to provide a framework for the reimbursement of expenses which demonstrates our commitment to becoming a high performing organisation in accordance with our core values.

Excellence

We are inspired by the impact that CQC can have across all areas of its work and are ambitious for ourselves and for people who use services. We do the right things, in the right way, at the right time to enable us to have the greatest impact in our work and we are disciplined in our application of managerial best practice, to ensure we are well run, economic and efficient.

In accordance with CQC's strategy and HM Treasury's Managing Public Money it is essential that this policy promotes the importance of value for money to ensure that we are able to demonstrate that our use of public resources is appropriate and spent efficiently within agreed budgets.

Caring

We are passionate about making a positive difference because we care about people. We are driven by the needs of people who use services, people who work across the Health and Social care landscape and our people. We care about each and every person, and we are thoughtful about the impact we can make as individuals and as an organisation

It is important to us that we are approachable so we are thoughtful and kind as we interact with each other, and others. We respect the views and ideas of everyone, and value difference in all our interactions. Our work is underpinned by a desire to treat everyone with dignity and respect.

We are committed to ensuring that we are clear about the support staff can expect and that they will be reimbursed for expenses incurred in the course of CQC business in a timely manner.

Integrity

We demonstrate the highest ethical and moral standards which instils trust in what we do. We are courageous, even when it is hard, so we don't compromise on ensuring we do the right thing for people who use services, and for each other. We are clear about what we will do and how we will do it, and take responsibility for our actions.

We are open, honest and transparent in all our work. We are objective and free from bias to ensure that our judgements are viewed as ethical, fair and driven by a passion for doing the right thing.

It is important that the policy sets clear guidance to allow consistent application, mandates rules which are fair enabling staff to perform their role effectively and also highlights the responsibility of all staff to ensure that expenses incurred are necessary and demonstrate value for money.

Teamwork

We accomplish so much more by working together and with others. We are driven to achieve for our teams, for CQC, and for stakeholders. We motivate, encourage and support each other to reach common goals, and we share our achievements with others. We work collaboratively with each other and partners to create solutions for the benefit of people who use services.

We recognise the strengths of others and look for ways to complement them. We learn from each other to enable us to be the best we can be.

Through the policy it is important to promote the use of the Travel and Accommodation team and the central contracts that we have in place. The policy also seeks to promote collaboration between teams to find the most cost-effective ways of working.

1. Introduction

- 1.1 It is CQC policy to ensure Specialist Advisors (SpAs) and Bank Inspectors (BIs) are reimbursed promptly and appropriately for any services provided and are paid for any expenses incurred whilst undertaking work related to CQC Regulatory Activity.
- 1.2 CQC Regulatory Activity as it relates to SpAs and BIs is outlined in Annex A. The location, length of activity and applicable payment should be agreed in advance of the activity taking place.
- 1.3 It is CQC policy to remunerate individuals for the days spent undertaking CQC activity along with travel and subsistence costs which will allow individuals to attend inspections or other venues as required. These payments will be balanced with the duty of CQC to ensure best use of public monies.
- 1.4 CQC recognises that any travel, other than by cycling or walking, can have an impact on the environment. The procedures set out below attempt to minimise the environmental effects of any travel by ensuring that people use the most carbon neutral method available.

2. Scope

- 2.1 This Policy applies to all SpAs and BIs (via a Casual Worker Agreement or through a Secondment agreement). They will be collectively termed ‘individuals’ where applicable within this policy.
- 2.2 Secondees should make their pay and mileage claims via their employers in the first instance, who will invoice CQC to recover the costs. These claims must be countersigned by an authorised signatory who will be the lead Inspector.
- 2.3 All Individuals who have agreed to the CQC terms of engagement should use CQC's central travel and hotel booking facilities and should not arrange for reimbursement through their employer unless under a secondment agreement. All bookings should demonstrate value for money and must be booked through CQC's central contract provider. Individuals should under no circumstances arrange their own tickets or accommodation.
- 2.4 CQC will remunerate for days spent working on Regulatory Activity as outlined in Annex A.

3. Key responsibilities

- 3.1 Responsibility for the accuracy of claims rests with the claimant and approver. The role of the Finance Liaison Team is to process claims in accordance with these guidelines and provide advice regarding its interpretation.

- 3.2 Authorising signatories are responsible for confirming that any pay or mileage claimed by individuals as part of the inspection teams has been incurred whilst on CQC business. The authorising signatory is responsible for ensuring the claims are valid and that receipts have been attached to the claim and the form is fully complete and accurate and within 3 months of the work carried out. Failure to provide receipts may lead to a claim being refused. It is important that the signatory either signs a hard copy of the individuals Payment Form (which will contain details of day rate, mileage or expenses claim) or submits an electronic version at the end of an inspection.
- 3.3 The approver for an individual on a casual workers agreement is responsible for retaining a scanned copy of all signed/ completed claim forms and receipts and for SpAs sending these electronically to CQC's Finance department for payment SPApayments@cqc.org.uk and for Bank Inspectors to FlexibleWorkforce@cqc.org.uk.
- 3.4 If an individual is seconded by an NHS trust or other organisation, CQC will accept scanned receipts and a signed Specialist Advisors Payment form which CQC's Finance department are responsible for storing electronically. NHS trusts or other organisations should send their invoices within 3 months to NHS SBS at the following address:

Care Quality Commission, T70 Payables F175, Phoenix House, Topcliffe Lane, Wakefield, West Yorkshire, WF3 1WE.

4. Remuneration - SpAs

SpAs

- 4.1 All SpAs who are invited to undertake work related to Regulatory Activity on behalf of the CQC will be paid in accordance with Annex C. Where work may be offered which will require the SpAs services for less than one day, this arrangement will be agreed in advance of the assignment with the rates outlined in Annex C being applicable.
- 4.2 In addition to the day rate, SpAs are paid for annual leave as set out in Annex C. This is calculated hourly and paid as a lump sum in addition to the standard day rate.
- 4.3 CQC do not remunerate for travel time. Time spent preparing for an inspection; which may include attending a pre inspection conference call, reading/reviewing data packs, training materials and additional information i.e. key lines of enquiry and the completion of inspection notes which may occur following attendance at inspection are included within the day / inspection rate.
- 4.4 CQC also do not remunerate for non-mandatory webinar training, attending an assessment centre at the pre engagement stage or for attending a mandatory MCQ

following 12 months out of clinical practice. Exception is given for elements of mandatory training that is deemed a requirement for the SpA role and this will be made clear in advance of the training being undertaken.

- 4.5 If an individual is on a casual workers agreement through CQC all claims for SpA remuneration must be completed using a Specialist Advisors Claim Form which will need to be signed and submitted electronically by a Lead Inspector along with scanned copies of any receipted items.

5. Miscellaneous Expenses - SpAs

- 5.1 SpAs may not claim for postage, faxes, Wi-Fi/internet access and other incidental business expenditure incurred while engaged on CQC business.
- 5.2 SpAs can claim for telephone calls and printing costs where this has been identified as part of an ongoing business requirement.
- 5.3 The cost of any fines for motoring or parking offences incurred in the course of CQC business will not be reimbursed. It is the responsibility of the individual to settle any liability directly with the issuing authority.

6. How to claim - SpAs

- 6.1 All claims for remuneration or reimbursement for individuals on a casual workers agreement must be made by providing the Lead Inspector with a Specialist Advisor Claim form and all hard copy receipts at the end of an inspection.
- 6.2 A fully completed soft copy of the payment and expenses form will be sent to CQC's Finance department (SPAPayments@cqc.org.uk) by the authorised signatory to process for payment. If a form is not completed appropriately it will be returned which will lead to a delay in payment.
- 6.3 All claims must be submitted in a timely manner and are only eligible for reimbursement up to three months past the date incurred. The date incurred being when the activity has been signed off as complete.
- 6.4 No claim will be processed without an authorised copy of a Specialist Advisor Claim form. Electronic authorisation from the approver's email address is acceptable.

7. Remuneration - Bank Inspectors

- 7.1 All BIs who are invited to undertake work related to Regulatory Activity on the behalf of the CQC will be paid in accordance with Annex C. Where work may be offered which will require the BIs services for less than one day, this arrangement will be agreed in advance of the assignment with the rates outlined in Annex C being applicable.

- 7.2 For BIs who are asked to lead an inspection they will be paid for the activity on submission of the final report.
- 7.3 In addition to the day rate, BIs are paid for annual leave as set out in Annex C. This is calculated hourly and paid as a lump sum in addition to the standard day rate.
- 7.4 Payment to BIs for time spent preparing for an inspection and report writing will be agreed in advance.
- 7.5 CQC do not remunerate for non-mandatory webinar training. Exception is given for elements of mandatory training that is deemed a requirement for the BI role and this will be made clear in advance of the training being undertaken.
- 7.7 All claims for BI remuneration must be completed using a Bank Inspector Payment Form which will need to be signed by a Lead Inspector who must be provided with hard copies for receipted items.

8. Miscellaneous Expenses - Bank Inspectors

- 8.1 Bank Inspectors may not claim for postage, faxes, Wi-Fi/internet access and other incidental business expenditure incurred while engaged on CQC business.
- 8.2 Bank Inspectors can claim for telephone calls and printing costs where this has been identified as part of an ongoing business requirement.
- 8.3 The cost of any fines for motoring or parking offences incurred in the course of CQC business will not be reimbursed. It is the responsibility of the individual to settle any liability directly with the issuing authority.

9. How to claim - Bank Inspectors

- 9.1 All claims for remuneration or reimbursement must be made by providing the Lead Inspector with a Bank Inspector Payment form and all hard copy receipts at the end of an inspection.
- 9.2 The approver for an individual on a casual workers agreement is responsible for retaining a scanned copy of all signed/ completed claim forms and receipts and sending these electronically to the Flexible Workforce Office for processing (FlexibleWorkforce@cqc.org.uk). If a form is not completed appropriately it will be returned which will lead to a delay in payment.
- 9.3 All claims must be submitted in a timely manner and are only eligible for reimbursement up to three months past the date incurred. The date incurred being when the activity has been signed off as complete.

- 9.4 No claim will be processed without an authorised copy of a Bank Inspector Payment Form. Electronic authorisation from the approver's email address is acceptable.

10. Remuneration - Secondees

- 10.1 For all secondees, a Specialist Advisors Payment form signed by the Lead Inspector must be submitted to the individuals NHS trust/and or other organisation, along with any receipts which will be sent to CQC in a scanned format. The invoice should be sent to the following address within 3 months of the date of inspection.

Care Quality Commission, T70 Payables F175, Phoenix House, Topcliffe Lane, Wakefield, West Yorkshire, WF3 1WE.

11. How to claim - Secondees

- 11.1 If an individual is seconded via an NHS trust or other organisation, the individual will need to ensure that a Specialist Advisor Payment Form signed by the authorised signatory is sent to their own NHS Trust's / other organisation's Finance team who will need to include a copy of the SpA form; along with the invoice and scanned copies of the receipts when billing CQC.
- 11.2 All NHS trusts and other organisations must invoice CQC within 3 months of the date the costs were incurred. No payment will be made outside of this agreement.
- 11.3 No claim will be processed without an authorised copy of a Specialist Advisor Payment Form. Electronic authorisation from the approver's email address is acceptable.

12. Expenses

- 12.1 All rail, air and hotel bookings must be made in advance through the Travel and Accommodation team. CQC are not able to reimburse any rail tickets claimed through expenses unless in exceptional circumstances where this has been agreed in advance and pre approval has been received to do so.
- 12.2 CQC will make the necessary travel bookings to ensure that travel between the individual's home, and the CQC business location is provided while being as cost effective as possible. All rail or air bookings must be made through CQC. Hotel accommodation will also be arranged by CQC through CQC's contracted travel service provider. Payment for time spent travelling to and from Regulatory Activity and any preparation time prior to the activity is included in the day rate you will receive for the assignment.
- 12.3 Wherever possible individuals are encouraged to use public transport, in preference to using cars, on the grounds of reducing cost and minimising the impact of the journey on the environment.

12.4 False or exaggerated claims intentionally submitted for pay or mileage will be treated as fraud and the appropriate investigatory action will be taken in line with CQC's policy. Suspicions of fraudulent activity will also be reported to our Fraud Specialist, and investigations will be undertaken which may result in civil or criminal sanctions being applied.

13. Rail travel

- 13.1 Rail travel must be booked in advance through the Travel and Accommodation team who will provide full support in the booking of the most cost-efficient travel. In circumstances where a last-minute rail booking is required, the Travel and Accommodation team can arrange for a ticket on departure.
- 13.2 Submitting a claim for the reimbursement of rail travel is not permitted unless in exceptional circumstances where this has been agreed in advance and pre-approval has been received to do so.
- 13.3 First Class rail travel (including Advance First Class tickets) cannot be booked or be reimbursed under any circumstance.
- 13.4 In exceptional and unforeseen circumstances, should an individual not be able to travel, the unused tickets and any seat coupons will need to be returned directly to Inspection Support, 4th Floor, Citygate, Gallowgate, Newcastle upon Tyne, NE1 4PA.

14. Transport within London

- 14.1 The use of contactless credit or debit card or Oyster to pay for public transport within London is permitted.
- 14.2 SpAs / BIs submitting claims for reimbursement must include details of the journey and its purpose. Any claim must be supported by a copy of a statement highlighting the cost to be reimbursed.
- 14.3 The cost of purchasing an Oyster card, used for CQC business travel only, is eligible for reimbursement.

15. Taxi travel

- 15.1 The use of taxis is not an entitlement and business journeys should be made by public transport wherever possible.
- 15.2 Taxis should only be used where public transport is unavailable, if it offers better value to CQC, where saving business time is essential, for reasonable adjustment cases, welfare reasons or due to safety concerns.

- 15.3 The use of a taxi must be authorised by the inspection lead prior to booking. The reason for using a taxi must be included alongside details of the journey on the expenses claim.
- 15.4 Taxi travel should be booked through central contracts where available.

16. Air travel

- 16.1 Individuals may need to travel within the UK when travel by train may not be the most cost-effective option, to attend an inspection in connection with their work. Air travel can be used if it represents the most practical and economical method available. In such circumstances air travel may be arranged with due regard to the cost impact on the environment.
- 16.2 All tickets must be booked as far in advance as possible through the Travel and Accommodation team using CQC's contracted service provider to ensure the purchase of the best value ticket available. First class or Business class air travel is not permitted within CQC's Policy.

17. Travel by private/own transport

- 17.1 The use of a private vehicle should only be considered when it offers best value to CQC.
- 17.2 Mileage allowances are specified in Annex B. The mileage allowance covers the full cost, inclusive of fuel.
- 17.3 Submitted mileage claims must include details of the journey, including postcodes from and to, alongside an explanation of the business purpose.
- 17.4 A passenger allowance is payable when making a journey with a CQC colleague.
- 17.5 All SpAs and BIs driving whilst on CQC business must adhere to the Driving for Work Code of Practice.
- 17.6 Where a SpA or BI uses a car instead of public transport, they must comply with the Driving for Work code of practice. SpAs and BIs must ensure that they have completed the eLearning training module, have valid business use and/or commuting insurance, hold a valid driving licence, valid MOT certificate and have shown these documents to the Flexible Workforce Office within the last 12 months.
- 17.7 The FWO will ensure annually that SpAs and BIs hold a valid driving licence, MOT and car insurance when using their own car.

17.8 CQC will not pay any penalty imposed under the Road Traffic Acts or any associated expense arising from a traffic accident or offence. Parking fines and other public transport fines will not be reimbursed by CQC.

18. Hotel accommodation

18.1 Overnight accommodation will only be booked by exception with prior approval by the Inspection Planners for the Hospitals Directorate or by the Flexible Workforce Office for PMS and ASC Directorates in accordance with Annex B3.

18.2 All accommodation bookings will be made by the Travel and Accommodation team. Should the end time of an inspection mean that an individual will arrive home after 10pm, CQC will by exception and with prior approval from the Lead Inspector, provide accommodation in a hotel for an additional night. Accommodation is solely for the occupation of the SpA or BI and will be booked on this basis.

19. Subsistence

19.1 Subsistence is only eligible for reimbursement if this is not provided as part of the inspection.

19.2 The following allowances for subsistence are permitted in accordance with the rates outlined within Annex B2:

- Breakfast allowance: this is payable in circumstances where individuals are required to travel for business purposes prior to 7am. This allowance is separate to the daily allowance. Receipts must be obtained and submitted and approved by the authorising signatory.
- Daily allowance: this includes one lunch and one evening meal per overnight stay. This allowance can be reclaimed by a SpA for an overnight stay (if not included in accommodation booking). Receipts must be obtained and submitted and approved by the authorising signatory. CQC does not reimburse the cost of any alcohol that may be consumed.
- Evening meal allowance: payable when individuals are required to work later than 8pm and where travel means that you do not get home until after 9pm. Receipts must be obtained and submitted and approved by the authorising signatory. CQC does not reimburse the cost of any alcohol that may be consumed.

19.3 Breakfast should always be provided as part of an accommodation booking, however in exceptional circumstances where this has not been possible individuals can claim for breakfast in addition to the usual maximum daily rate outlined in annex B2.

20. Cancellation

20.1 On occasion inspections may be cancelled at short notice due to unforeseen circumstances which are beyond the control of CQC.

20.2 Standard process with regards to short notice cancellations is as follows;

Inspection cancelled within 24 hours	100% of day rate relating to 1st day of inspection
Inspection cancelled between 24 & 48 hours	50% of day rate relating to 1st day of inspection

20.3 For the purposes of cancellation a Saturday and Sunday (or Bank Holidays) do not count, therefore any inspections due to take place on a Monday which are cancelled on a Friday would be classified as within 24 hours. Those due to take place on a Tuesday which are cancelled on a Friday would be classified as between 24 & 48 hours.

21. Disclosure and Barring Service Checks

21.1 All individuals are required to undertake an Enhanced DBS check before their first inspection with CQC. This fee will be reimbursed by CQC upon proof of purchase.

21.2 CQC will send all individuals (via email,) log in details to progress the online DBS application. An individual should log in online before going to the Post office to have the necessary documents verified, making a payment of £17.50.

21.3 This payment can only be reimbursed with the associated receipt. An enhanced DBS check will need to be completed every 3 years. Should you have any queries regarding the process, please contact flexibleworkforce@cqc.org.uk

22. Records

22.1 All receipts should be scanned and stored electronically where possible. In all circumstances the receipt should be accessible by the approver clearly showing both the amount and nature of the expenditure being claimed.

22.2 Claimants should retain the original receipt until they have received confirmation that their claim has been made, following this the scanned document is a sufficient record. Whether stored electronically or as paper, the records should be retained for a period of three years from the end of the tax year. (As an example, receipts incurred on 30 April 2015 would need to be kept until 5 April 2019).

Annex A - Regulatory Activity

Regulatory Activity is limited to the following:

- Attendance at Inspection
- Attendance at a Thematic Review*
- Attendance at a Place Review*
- Desktop support to an Inspection team (telephone advice or document review)
- Registration Work
- Attendance at Tribunal / Court / Regional or National QA CQC Panels
- Completion of witness statements at CQCs request which assist with Tribunal / Court action
- Requirement to attend Face to Face training
- Delivery of training to CQC colleagues on new legislation
- Recovery time following an out of hour's inspection agreed at the Directorates discretion
- Support the development of CQC's approach to regulating providers of health and care through digital channels
- Support to inspectors monitoring and managing enquiries to include safeguarding and whistle blowing
- Preparation of enforcement documentation
- Attendance at Management Review meetings

Any activity not listed above is not eligible for reimbursement

***For the purposes of payment, attendance at Thematic / Place reviews are considered within the scope of Regulatory Activity**

Annex B - Travel and expense allowance limits

All rates apply from 1st December 2016

B1 - Travel by private vehicle

Private Car	45 pence per mile for the first 10,000 miles in each tax year 25 pence per mile for any mileage above 10,000 miles in each tax year NB. The Tax year starts on the 5th April
Passenger Rate.	5 pence per mile per passenger
Motorcycle.	24 pence per mile
Bicycle.	20 pence per mile

B2 - Subsistence

Type	Limit (£)	Receipt Required	Notes
Breakfast allowance	£5.00	Yes	Payable when required to travel prior to 7am.
Daily allowance	£27.50	Yes	Includes lunch and an evening meal where this is not included in overnight accommodation.
Evening meal	£15.00	Yes	Payable when required to work after 8pm and where travel means you do not get home until 9pm, separate to the daily allowance.

B3 - Accommodation

Hotels in London (inside M25).	£145 bed and breakfast (Maximum allowance – no contingency).
Hotels outside London.	£95 bed and breakfast (Excluding £5 contingency).
Dinner during an overnight stay in a hotel. (Lunch can be claimed as part of this allowance)	Up to £27.50 as part of Daily Allowance (NB. the cost of alcoholic beverages cannot be claimed).
Non-hotel accommodation (e.g. with friend or relative).	£25 per night (no receipt necessary but this payment is liable to the deduction of tax and national insurance).

Annex C1 - Remuneration for full day

Type	Day / Inspection rate	Annual leave payment added to day rate and rounded to nearest whole pound (calculated hourly based on standard 8 hour CQC day)
SpA – All Directorates	£268	£32
SpA – Current GP (In active practice and on GMC GP Register)	£482	£58
BI – PMS / ASC / Registration / Hospitals Non-Comprehensive on site	£250	£30
BI – Hospitals Comprehensive on site / Medicines Management	£300	£36

Annex C2 - Remuneration for half day

Type	Day / Inspection rate	Annual leave payment added to day rate and rounded to nearest whole pound (calculated hourly based on standard 4 hour CQC half day)
SpA – All Directorates	£134	£16
SpA – Current GP (In active practice and on GMC GP Register)	£241	£29
BI – PMS / ASC / Registration / Hospitals Non-Comprehensive on site	£125	£15
BI – Hospitals Comprehensive on site / Medicines Management	£150	£18

Annex C3 - Remuneration for hourly rate

Type	Day / Inspection rate	Annual leave payment added to hourly rate
SpA – All Directorates	£33.50	£4
SpA – Current GP (In active practice and on GMC GP Register)	£60.25	£7
BI – PMS / ASC / Registration / Hospitals Non Comprehensive on site	£31.25	£4
BI – Hospitals Comprehensive on site / Medicines Management	£37.50	£5