

BUDGET UPLOAD PROCEDURE

NOVEMBER / 2019

Important: This document can only be considered valid when viewed on the CCG's website.

If this document has been printed or saved to another location, you must check that the version number on your copy matches that of the document online.

If you need this document in a different format or language (e.g. large print, Braille, audio or easy read), please contact us on 01482 344700, or email HULLCCG.contactus@nhs.net, or write to: NHS Hull Clinical Commissioning Group, 2nd Floor, Wilberforce Court, Alfred Gelder Street, Hull HU1 1UY.

Name of Policy:	Budget Upload Procedure
Date Issued:	December 2019
Date to be reviewed:	12 th November 2021

Policy Title:	Budget Holder Procedure	
Supersedes: (Please List)	Any previous versions of Budget Holder Procedure	
Description of Amendment(s):	Reformatting to new policy template/ rewording as necessary / review of impact analysis	
This policy will impact on:	Finance Staff Only	
Policy Area:	Finance	
Version No:	4.0	
Author:	Victoria Rimmington, Finance Manager	
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Review Date:	12 th November 2021	
Equality Impact Assessment Date:	27 th September 2019	
APPROVAL RECORD		Date:
	Integrated Audit and Governance Committee	12 th November 2019
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Consultation:	IAGC	12 th November 2019
	IAGC	14th November 2017
	IAGC	15th November 2016



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1. INTRODUCTION

This documents the procedures for the input of Budget Virements.

This will allow consistency in all virements and journals input and follow guidelines from NHS England.

This procedure is only applicable for finance staff.

2. SCOPE

This policy is available on the CCG website

Guidance and support will be provided by senior finance staff as and when required.

3. POLICY PURPOSE AND AIMS

The purpose of this document is to outline the procedure for input of Budget Virements to ensure consistency and compliance with NHS England guidance

4. IMPACT ANALYSIS

4.1 Equality

The CCG is committed to:

- Eliminating discrimination and promoting equality and diversity in its policies, procedures and guidelines, and
- Designing and implementing services, policies and measures that meet the diverse needs of its population and workforce, ensuring that no individual or group is disadvantaged.

To ensure the above this policy has been Equality Impact Assessed (see Appendix 1)

4.2 Bribery Act 2010

NHS Hull Clinical Commissioning Group has a responsibility to ensure that all staff are made aware of their duties and responsibilities arising from The Bribery Act 2010.

The Bribery Act 2010 makes it a criminal offence to bribe or be bribed by another person by offering or requesting a financial or other advantage as a reward or incentive to perform a relevant function or activity improperly performed. The penalties for any breaches of the Act are potentially severe. There is no upper limit

on the level of fines that can be imposed and an individual convicted of an offence can face a prison sentence of up to 10 years.

For further information see <http://www.justice.gov.uk/guidance/docs/bribery-act-2010-quick-start-guide.pdf>.

If you require assistance in determining the implications of the Bribery Act please contact the Local Counter Fraud Specialist on telephone number 01482 866800 or email at nikki.cooper1@nhs.net.

Due consideration has been given to the Bribery Act 2010 in the review of this policy document and no specific risks were identified.

5. NHS CONSTITUTION

5.1 The CCG is committed to:

- The achievement of the principles, values, rights, pledges and responsibilities detailed in the NHS Constitution, and
- Ensuring they are taken account of in the production of its Policies Procedures and Guidelines.

5.2 This policy supports the NHS Constitution by committing to use NHS resources responsibly and fairly and providing best value for taxpayer's money.

6. RESPONSIBILITIES

6.1 Finance Staff

It is the responsibility of all finance staff in both CCG and financial services team (currently hosted by East Riding CCG) to input journals/virements in line with this procedure and keep up to date with NHS guidance, ensuring all templates/authorised emails is saved on the Y drive.

6.2 Authorised Signatory

Only authorised signatories with correct limits can approve journals and virements. They must check all templates before approving by email.

7. PROCEDURE FOR INPUT OF BUDGET VIREMENTS

7.1 Virement Input

The budget virement template can be downloaded from the following website.

http://nww.sharedbusinessservices.nhs.uk/ISFE_homepage.htm

To download the template click on the Budget Upload template, this should open in Excel and once opened enter the organisation code 03F for Hull CCG.

Click “enter data” which will then allow you to build your virement and you will have a screen as per example on page 3 to complete.

Recurrent and non recurrent virements need to be logged in the relevant file for a reference number to name and save the virement in the current year BV folder.

Recurrent and non-recurrent virements must be input on separate virements.

This assists with completion of the allocations, financial plan and reserves monitoring update after month end.

When completed the totals should all be nil. If they aren't the virement isn't balanced and needs checking and amending otherwise it will not upload.

Make sure all rows completed state “SL” in column A and remove all unused/incomplete lines.

This virement then need to be saved in the virements folder using the BV number and send to Senior Finance Manager for authorisation.

See Page 7 virement example to complete the template.

7.2 **Authorisation of virement**

Send a copy of the file to the Senior Finance Manager via email asking for the attached virement to be authorised making sure the virement number is stated in the subject.

Once received confirmation via email that the virement is approved, save this email with the virement and proceed onto the next steps.

7.3 **Upload to Oracle**

On the Header tab of the virement spreadsheet choose “create Oracle Export”. This will then ask you to save, remove the last three “nnn” from the file name and replace with the virement number and description saving in the virement folder.

From the internet link (see page 2) click on file upload, you will then be asked to log in using your oracle username and password. It will then ask you to browse to upload the file. Locate the file which you have just saved from oracle export and submit.

An email should be received within the next 10 minutes which will notify whether the upload was successful or not.

If successful the email will give a number to approve the journal in oracle.

If unsuccessful it will give reasoning why this won't upload, most common when code combinations aren't set up. Financial services (hosted by East Riding CCG) will be able to assist.

When solved the problem with uploading, the corrections must be made on the spreadsheet and the oracle upload steps must be completed until you receive a successful email. Note that the file name cannot be the same as the first upload.

7.4 **Posting Virement**

The successful upload email will contain a number which you need to find the journal on oracle to post.

Login to Oracle, NHS 03F GL Staff, Journals, Enter.

In the batch field enter the number (include the %'s as per email). This will find the journal, once found click approve. This will then be automatically posted on the next ½ hour slot.

If the virement amount is above your approval limits, this will be sent to the Head of finance by Oracle to approve via email.

8. MONITORING AND REVIEW

This procedure will be reviewed every two years and more often if required, particularly if any NHS guidance changes.

9. ASSOCIATED DOCUMENTATION

This procedure should be used in line with the Shared Business Services ISFE Training Guide “User guide for Finance Staff”

APPENDIX 1

Please refer to the EIA Overview & Navigation Guidelines located in Y:\HULLCCG\Corporate Templates and Forms\Equality and Diversity Information before completing your EIA)

HR / Corporate Policy Equality Impact Analysis:	
Policy / Project / Function:	Budget Upload Procedure
Date of Analysis:	18 th September 2019
Completed by: (Name and Department)	Victoria Rimmington, Finance Manager
What are the aims and intended effects of this policy, project or function?	The purpose of this document is to outline the procedure for input of Budget Virements to ensure consistency and compliance with NHS England guidance
Are there any significant changes to previous policy likely to have an impact on staff / other stakeholder groups?	No significant changes made
Please list any other policies that are related to or referred to as part of this analysis	None
Who will the policy, project or function affect?	Finance employees working for NHS Hull CCG ledgers
What engagement / consultation has been done, or is planned for this policy and the equality impact assessment?	IACG Consultation
Promoting Inclusivity and Hull CCG's Equality Objectives.	This policy applies to all regardless of any protected characteristics
How does the project, service or function contribute towards our aims of eliminating discrimination and promoting equality and diversity within our organisation?	This policy is available on the internet and is available in different formats and languages if necessary

<p>How does the policy promote our equality objectives:</p> <ol style="list-style-type: none"> 1. Ensure patients and public have improved access to information and minimise communications barriers 2. To ensure and provide evidence that equality is consciously considered in all commissioning activities and ownership of this is part of everyone's day-to-day job 3. Recruit and maintain a well-supported, skilled workforce, which is representative of the population we serve 4. Ensure the that NHS Hull Clinical Commissioning Group is welcoming and inclusive to people from all backgrounds and with a range of access needs 	
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Equality Data	
<p>Is any Equality Data available relating to the use or implementation of this policy, project or function?</p> <p>Equality data is internal or external information that may indicate how the activity being analysed can affect different groups of people who share the nine <i>Protected Characteristics</i> – referred to hereafter as '<i>Equality Groups</i>'.</p> <p>Examples of <i>Equality Data</i> include: (this list is not definitive)</p> <ol style="list-style-type: none"> 1: Recruitment data, e.g. applications compared to the population profile, application success rates 2: Complaints by groups who share / represent protected characteristics 4: Grievances or decisions upheld and dismissed by protected characteristic group 5: Insight gained through engagement 	<p>Yes <input checked="" 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). If you answered No, what information will you use to assess impact?</p> <p>Please note that due to the small number of staff employed by the CCG, data with returns small enough to identify individuals cannot be published. However, the data should still be analysed as part of the EIA process, and where it is possible to identify trends or issues, these should be recorded in the EIA.</p>

Assessing Impact

Is this policy (or the implementation of this policy) likely to have a particular impact on any of the protected characteristic groups?

(Based on analysis of the data / insights gathered through engagement, or your knowledge of the substance of this policy)

Protected Characteristic:	No Impact:	Positive Impact:	Negative Impact:	Evidence of impact and, if applicable, justification where a <i>Genuine Determining Reason</i> ¹ exists (see footnote below – seek further advice in this case)
<p>It is anticipated that these guidelines will have a positive impact as they support policy writers to complete meaningful EIAs, by providing this template and a range of potential issues to consider across the protected characteristics below. There may of course be other issues relevant to your policy, not listed below, and some of the issues listed below may not be relevant to your policy.</p>				
Gender	✓			This procedure has been considered to have no impact and applies to all regardless of gender
Age	✓			This procedure has been considered to have no impact and applies to all regardless of age
Race / ethnicity / nationality	✓			This procedure has been considered to have no impact and applies to all regardless of any religion race, ethnicity or nationality
Disability	✓			This procedure has been considered to have no impact and applies to all regardless of any disabilities
Religion or Belief	✓			This procedure has been considered to have no impact and

1. ¹ The action is proportionate to the legitimate aims of the organisation (please seek further advice)

				applies to all regardless of any religions and/or beliefs
Sexual Orientation	✓			This procedure has been considered to have no impact and applies to all regardless of sexual orientation
Pregnancy and Maternity	✓			This procedure has been considered to have no impact and applies to all regardless of pregnancy or maternity
Transgender / Gender reassignment	✓			This procedure has been considered to have no impact and applies to all regardless of transgender or gender reassignment
Marriage or civil partnership	✓			This procedure has been considered to have no impact and applies to all regardless of marriage or civil partnerships

Action Planning:

As a result of performing this analysis, what actions are proposed to remove or reduce any risks of adverse impact or strengthen the promotion of equality?

Identified Risk:	Recommended Actions:	Responsible Lead:	Completion Date:	Review Date:

Sign-off

All policy EIAs must be signed off by Mike Napier, Associate Director of Corporate Affairs

I agree with this assessment / action plan

If *disagree*, state action/s required, reasons and details of who is to carry them out with timescales:



Signed:

Date: 27.09.19