

# BUDGET UPLOAD PROCEDURE

## 2016

**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.

Name of Policy:	Budget Upload Procedure
Date Issued:	16 <sup>th</sup> November 2016
Date to be reviewed:	16 <sup>th</sup> November 2017

<b>Policy Title:</b>	<b>Budget Upload Procedure</b>	
<b>Supersedes: (Please List)</b>	Any previous versions of budget upload procedure	
<b>Description of Amendment(s):</b>	Reformatting to new policy template/ rewording as necessary / review of impact analysis	
<b>This policy will impact on:</b>	Finance Staff Only	
<b>Financial Implications:</b>	No Change	
<b>Policy Area:</b>	Finance	
<b>Version No:</b>	2.0	
<b>Issued By:</b>	Danny Storr, Deputy CFO	
<b>Author:</b>	Victoria Rimmington, Finance Manager	
<b>Document Reference:</b>	FIN014	
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<b>APPROVAL RECORD</b>	Approved IAGC	15 <sup>th</sup> November 2016
<b>Consultation:</b>	IAGC 15th November 2016	

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## 1. Policy Statement

The purpose of this document is to outline the procedure for input of Budget Virements and journals.

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. Principles

This policy is available on the internet for all staff

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

## 3. Impact Analysis

### 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 A)

### Bribery Act 2010

The CCG follows good NHS business practice as outlined in the Business Conduct Policy and has robust controls in place to prevent bribery.

Under the Bribery Act 2010, it is a criminal offence to:

- Bribe another person by offering, promising or giving a financial or other advantage to induce them to perform improperly a relevant function or activity, or as a reward for already having done so; and

- Be bribed by another person by requesting, agreeing to receive or accepting a financial or other advantage with the intention that a relevant function or activity would then be performed improperly, or as a reward for having already done so.

Due consideration has been given to the Bribery Act 2010 in the development of this policy document and consistent application of this policy will mitigate bribery in relation to this policy.

#### **4. Monitoring and Review**

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

#### **5. Responsibilities**

##### **Finance Staff**

It is the responsibility of all finance staff in both CCG and Embed to input journals/virements in line with this procedure and keep up to date with NHS guidance, ensuring all templates/authorised emails are saved on the Y drive.

##### **Authorised Signatory**

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

#### **6. NHS Constitution**

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.

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

## 7. Procedure for input of Budget Virements

### Virement Input

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

[http://nww.sharedbusinessservices.nhs.uk/ISFE\\_homepage.htm](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.

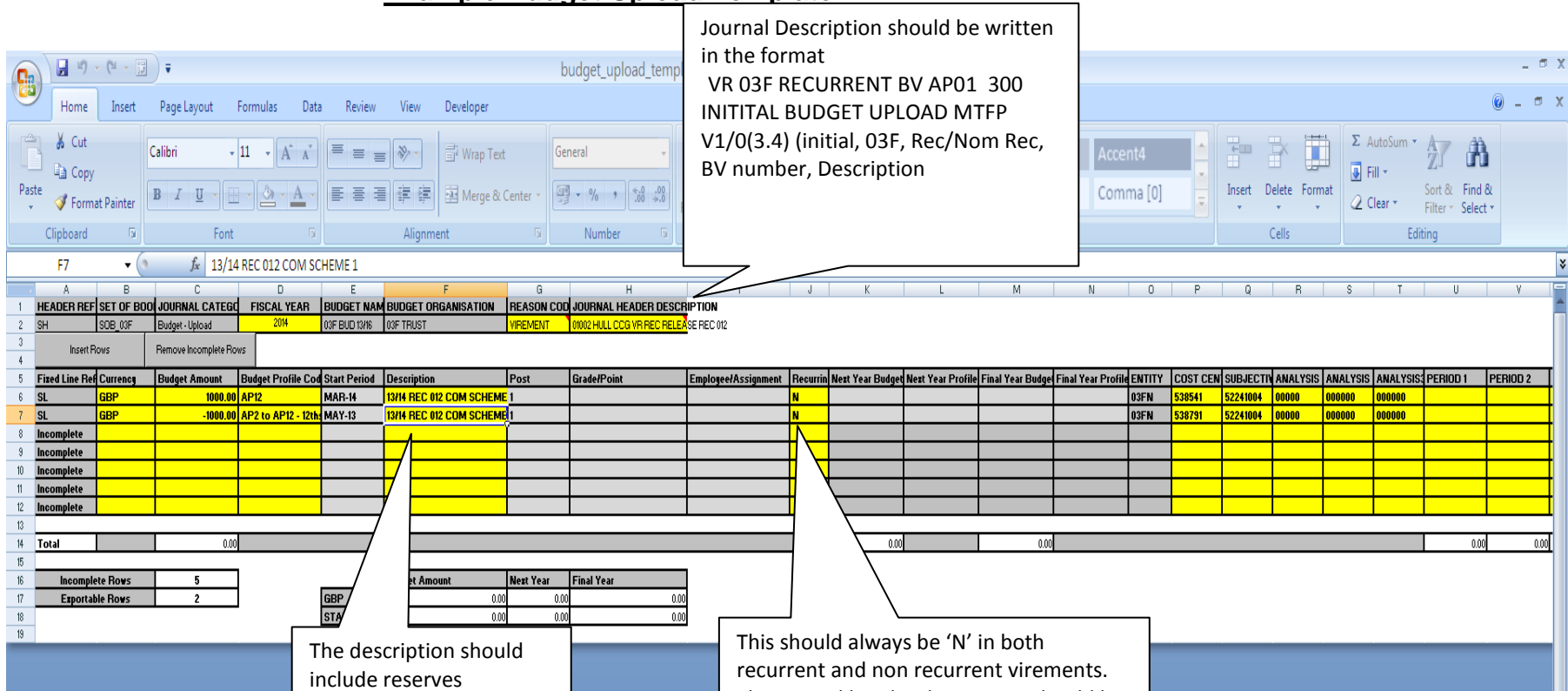
Recurrent and non recurrent virements need to be logged in the relevant file for a reference number to name and save the virement in the current year BV folder.

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.

See Page 7 virement example to complete the template.

### Example Budget Upload Template



Journal Description should be written in the format  
VR 03F RECURRENT BV AP01 300  
INITIAL BUDGET UPLOAD MTFP  
V1/0(3.4) (initial, 03F, Rec/Nom Rec,  
BV number, Description

Header Ref	Set of Books	Journal Category	Fiscal Year	Budget Name	Budget Organisation	Reason Code	Journal Header Description
SH1	SDB 03F	Budget - Upload	2014	03F BUD 13/16	03F TRUST	VIREMENT	01002 HULL CCG VR REC RELEASE REC 012

Fixed Line Ref	Currency	Budget Amount	Budget Profile Code	Start Period	Description	Post	Grade/Point	Employee/Assignment	Recurrin	Next Year Budget	Next Year Profile	Final Year Budget	Final Year Profile	ENTITY	COST CEN	SUBJECTIVE	ANALYSIS	ANALYSIS	ANALYSIS	PERIOD 1	PERIOD 2
SL	GBP	1000.00	AP12	MAR-14	13/14 REC 012 COM SCHEME 1				N					03FN	538541	52241004	00000	000000	000000		
SL	GBP	-1000.00	AP2 to AP12 - 12th	MAY-13	13/14 REC 012 COM SCHEME 1				N					03FN	538791	52241004	00000	000000	000000		
Incomplete																					
Incomplete																					
Incomplete																					
Incomplete																					
Incomplete																					
Total																					
0.00																					

	Next Year	Final Year
GBP	0.00	0.00
STA	0.00	0.00

The description should include reserves reference number and service/scheme wherever possible

This should always be 'N' in both recurrent and non recurrent virements. The journal header description should be used to verify whether the journal is recurrent or not.



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 needs to be saved in the virements folder using the BV number. Save another copy as a PDF to send to Senior Finance Manager for authorisation.

### **Authorisation of Virement**

Send the PDF 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.

### **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 at the Embed 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.

### **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. Associated Documents**

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

**APPENDIX A**

<b>Equality Impact Analysis:</b>									
<b>Policy / Project / Function:</b>	Financial Procedure – Budget Upload V2.0								
<b>Date of Analysis:</b>	01 November 2016								
<b>This Equality Impact Analysis was completed by: (Name and Department)</b>	Victoria Rimmington Finance Manager Resources								
<b>What are the aims and intended effects of this policy, project or function?</b>	This procedure is intended document the procedures for uploading budgets is controlled.								
<b>Please list any other policies that are related to or referred to as part of this analysis</b>									
<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: center; padding: 5px;"><input checked="" type="checkbox"/></td> </tr> <tr> <td style="padding: 5px;">Service Users</td> <td style="text-align: center; padding: 5px;"><input type="checkbox"/></td> </tr> <tr> <td style="padding: 5px;">Members of the Public</td> <td style="text-align: center; padding: 5px;"><input type="checkbox"/></td> </tr> <tr> <td style="padding: 5px;">Other (List Below)</td> <td style="text-align: center; padding: 5px;"><input type="checkbox"/></td> </tr> </table>	Employees	<input checked="" type="checkbox"/>	Service Users	<input type="checkbox"/>	Members of the Public	<input type="checkbox"/>	Other (List Below)	<input type="checkbox"/>
Employees	<input checked="" type="checkbox"/>								
Service Users	<input type="checkbox"/>								
Members of the Public	<input type="checkbox"/>								
Other (List Below)	<input type="checkbox"/>								

<b>Equality Impact Analysis:</b>	
<b>Local Profile/Demography of the Groups affected</b> (population figures) Relevant data can be found in the attached Knowledge Management Toolkit (Employee data as at January 2016)	
<b>General</b>	Total number of employees in the CCG is 78
<b>Age</b>	73.07% of staff are aged 30-55 20.51% of staff are over 55 6.41% of staff employed are aged 30 or under
<b>Race</b>	94.87% of staff employed in the CCG declared themselves White 3.85% of staff are not stated/undefined 1.27% of staff declared themselves Asian.
<b>Sex</b>	70.51% of staff employed are female 39.49% of staff employed are male
<b>Gender reassignment</b>	No information
<b>Disability</b>	57.69% of staff employed declared themselves as having no disability 38.46% of staff did not declare /undefined 3.85% of staff declared a disability
<b>Sexual Orientation</b>	56.41% of staff described themselves as heterosexual 43.59% did not wish to respond /undefined No staff described themselves as gay, lesbian or bisexual
<b>Religion, faith and belief</b>	47.44% were undefined or did not wish to declare – the largest group 35.90 of staff declared themselves Christian 11.54% declared themselves Atheist 5.13% of staff declared their faith as 'other' Zero staff declared as Islam, Buddhism, Hindu, Judaism or Sikhism
<b>Marriage and civil partnership</b>	64.10% of employees are married. 25.64% are single 7.69% are divorced/legally separated 2.56% are undefined 0% of employees are in a civil partnership
<b>Pregnancy and maternity</b>	No information yet as the CCG has not been established long enough to build meaningful data

Equality Impact Analysis:	
<p><b>Is any Equality Data available relating to the use or implementation of this policy, project or function ?</b></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> <p>1: Application success rates <i>Equality Groups</i></p> <p>2: Complaints by <i>Equality Groups</i></p> <p>3: Service usage and withdrawal of services by <i>Equality Groups</i></p> <p>4: Grievances or decisions upheld and dismissed by <i>Equality Groups</i></p>	<p>Yes <input type="checkbox"/></p> <p>No <input checked="" 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><b>Promoting Inclusivity</b> How does the project, service or function contribute towards our aims of eliminating discrimination and promoting equality and diversity within our organisation</p>	<p>This procedure applies to all finance employees working for the CCG.</p>

**Equality Impact 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* ?**


<b>Protected Characteristic:</b>	<b>No Impact:</b>	<b>Positive Impact:</b>	<b>Negative Impact:</b>	<b>Evidence of impact and if applicable, justification where a <i>Genuine Determining Reason</i> exists</b>
<b>Gender</b> (Men and Women)	✓			This has been considered and has a neutral impact. The policy applies equally to all staff regardless of gender
<b>Race</b> (All Racial Groups)			✓	Potential Language barrier. Policies can be translated as necessary by using the “policies in different format” form available on the intranet
<b>Disability</b> (Mental and Physical)			✓	Potential Visual Impairment barrier. Policy and forms can be changed into suitable format using “policies in different format” form available on the intranet.
<b>Religion or Belief</b>	✓			This has been considered and has a neutral impact. The policy applies equally to all staff regardless of religion or belief
<b>Sexual Orientation</b> (Heterosexual, Homosexual and Bisexual)	✓			This has been considered and has a neutral impact. The policy applies equally to all staff regardless of sexual orientation.
<b>Pregnancy and Maternity</b>	✓			This has been considered and has a neutral impact. The policy applies equally to all staff.
<b>Transgender</b>	✓			This has been considered and has a neutral impact. The policy applies equally to all staff.
<b>Marital Status</b>	✓			This has been considered and has a neutral impact. The policy applies equally to all staff regardless of marital status.
<b>Age</b>	✓			This has been considered and has a neutral impact. The policy applies equally to all staff.

**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* ?**

<b>Identified Risk:</b>	<b>Recommended Actions:</b>	<b>Responsible Lead:</b>	<b>Completion Date:</b>	<b>Review Date:</b>
Potential language barrier where employees first language is not English.	The CCG's Communication Team has developed the 'portal' to signpost individuals to alternative formats	CCG Communication s Team	End 2014	End 2016
Potential disability barrier where employee has visual impairment	The CCG's Communication Team has developed the 'portal' to signpost individuals to alternative formats	CCG Communication s Team	End 2014	End 2016

Equality Impact Findings:	
<b>Analysis Rating:</b>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> Red      Red      Amber      Green Amber
<b>Red – Stop and remove the policy</b>	<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.
<b>Red Amber – Continue the policy</b>	<b>Red Amber:</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> . However, a genuine determining reason may exist that could legitimise or justify the use of this policy and further professional advice should be taken.
<b>Amber – Adjust the Policy</b>	<b>Amber:</b> 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.
<b>Green – No major change</b>	<b>Green:</b> 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.

<b>Other Comments:</b>	
<b>Confirmed by (Manager): (Name and Title)</b>	
<b>Date:</b>	03.11.16