

MAKING PAYMENTS USING PAYMENT REQUEST FORM

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:	Making Payments using Payment Request Form
Date Issued:	10 th January 2017
Date to be reviewed:	10 th January 2018

Policy Title:	Making Payments using payment request form	
Supersedes: (Please List)	All previous versions of making payments using payment request form policies	
Description of Amendment(s):	Reformatting to new policy template/ rewording as necessary / review of impact analysis	
This policy will impact on:	All employees	
Financial Implications:	No change	
Policy Area:	Finance	
Version No:	2.0	
Issued By:	Danny Storr, Deputy CFO	
Author:	Victoria Rimmington, Finance Manager	
Document Reference:	FIN013	
Effective Date:	10 th January 2017	
Review Date:	10 th January 2018	
Impact Assessment Date:	3 rd November 2016	
APPROVAL RECORD	Approved IAGC	15 th November 2016
Consultation:	IAGC 15th November 2016	
	IAGC 10 th January 2017	

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1. Policy Statement

The CCG incurs costs for the goods and services it consumes in order to deliver healthcare to its target population.

The following procedure is intended to provide guidance to employees and managers of the steps to take, and the controls in place to enable timely payments to be made where standard procurement practices cannot be followed and an invoice cannot be obtained.

2. Principles

This policy is available on the internet for all staff.

This should only be used when an invoice cannot be used or the purchase card.

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

The effectiveness of this procedure will be monitored via audit reports which will provide detail on the number and reasons for payment requests.

This procedure will be reviewed on an annual basis, more frequently if required

5. Responsibilities

All Staff

All staff are responsible for the accurate completion of payment request forms in accordance with this procedure.

Authorised Signatories

Authorised signatories are responsible for authorising the payment request forms.

Finance Staff

Embed finance team are responsible for logging and recording payment request forms in the Oracle GL system and for processing payment on the next available payments run.

6. Procedure for Making Payments

Payment requests should only be made where an invoice cannot be obtained, for example, to order a book or secure a place on a course or conference where payment is required in advance.

The CCG has a purchasing card which is held by the Chief Finance Officer which can often be used for advance payments and bookings. Any queries regarding purchasing should be directed to the CCG finance team.

All payment requests must be made using the correct form which is available from the finance team.

In line with standard audit procedures cheques cannot be returned to the initiator.

Details of the request must be entered including name and address of payee; bank details, brief description of payment, amount and date to pay. Bank details must be checked with the payee.

The form must be signed and dated upon completion and ensure that the authorising officer is an approved authorised signatory.

The financial code(s) must be added. If there are multiple codes please ensure the amounts payable for each code are clearly identifiable.

The form should then be forwarded to the Embed finance team. Embed will log the payment request on internal systems and allocate a payment request number (HPRxxxx). This number will act as a proxy for an invoice number and will assist in monitoring and cash management.

Payment request forms will be entered on Oracle by the Embed Finance team; this will be sent for the authorisation and will then be paid on the next available payment run.

Embed are required to keep scanned images of payment request forms as a matter of routine.

APPENDIX A

Equality Impact Analysis:									
Policy / Project / Function:	Financial Procedure – Making Payments using a Payment Request form V2.0								
Date of Analysis:	01 November 2016								
This Equality Impact Analysis was completed by: (Name and Department)	Victoria Rimmington Finance Manager Resources								
What are the aims and intended effects of this policy, project or function?	This procedure is intended to provide guidance to employees and managers of the steps to take, and the controls in place to enable timely payments to be made where standard procurement practices cannot be followed and an invoice cannot be obtained.								
Please list any other policies that are related to or referred to as part of this analysis									
Who does the policy, project or function affect ? 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"/>								

Equality Impact Analysis:	
Local Profile/Demography of the Groups affected (population figures) Relevant data can be found in the attached Knowledge Management Toolkit (Employee data as at January 2016)	
General	Total number of employees in the CCG is 78
Age	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
Race	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
Sex	70.51% of staff employed are female 39.49% of staff employed are male
Gender reassignment	No information available
Disability	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
Sexual Orientation	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
Religion, faith and belief	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
Marriage and civil partnership	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
Pregnancy and maternity	No information yet as the CCG has not been established long enough to build meaningful data

Equality Impact Analysis:	
<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> <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>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</p>	
<p>Promoting Inclusivity 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 employees of the CCG, any staff who are seconded to the CCG, contract and agency staff and any other individual working on CCG premises.</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* ?

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

Identified Risk:	Recommended Actions:	Responsible Lead:	Completion Date:	Review Date:
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:	
Analysis Rating:	<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="text-align: center;"><input type="checkbox"/> Red</div> <div style="text-align: center;"><input type="checkbox"/> Red Amber</div> <div style="text-align: center;"><input type="checkbox"/> Amber</div> <div style="text-align: center;"><input checked="" type="checkbox"/> Green</div> </div>
Red – Stop and remove the policy	Red: 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.
Red Amber – Continue the policy	Red Amber: 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.
Amber – Adjust the Policy	Amber: 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.
Green – No major change	Green: 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.
Other Comments:	
Confirmed by (Manager): (Name and Title)	
Date:	02.02.17