

# MAKING PAYMENTS USING PAYMENT REQUEST FORM

## NOVEMBER / 2019

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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](mailto: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:	Making Payments using Payment Request form
Date Issued:	12 <sup>th</sup> November 2019
Date to be reviewed:	31 <sup>st</sup> March 2022

<b>Policy Title:</b>	<b>Making Payments using Payment Request form</b>	
<b>Supersedes: (Please List)</b>	All previous versions of making payments using payment request form policies	
<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>	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 including financial service employees	
<b>Policy Area:</b>	Finance	
<b>Version No:</b>	4.0	
<b>Author:</b>	Victoria Rimmington, Finance Manager	
<b>Effective Date:</b>	12 <sup>th</sup> November 2019	
<b>Review Date:</b>	31 <sup>st</sup> March 2022	
<b>Equality Impact Assessment Date:</b>	27 <sup>th</sup> September 2019	
<b>APPROVAL RECORD</b>		<b>Date:</b>
	Integrated Audit and Governance Committee – Extension of Review Date	09 <sup>th</sup> November 2021
	Integrated Audit and Governance Committee	12 <sup>th</sup> November 2019
	Integrated Audit and Governance Committee	14 <sup>th</sup> November 2017
	Integrated Audit and Governance Committee	15 <sup>th</sup> November 2016
<b>Consultation:</b>	Integrated Audit and Governance Committee	12 <sup>th</sup> November 2019
	Integrated Audit and Governance Committee	14 <sup>th</sup> November 2017
	Integrated Audit and Governance Committee	15 <sup>th</sup> November 2016



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## **1. INTRODUCTION**

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

When an invoice cannot be obtained or payment by purchase card, payment using payment request form allows timely payments to be made when necessary

## **2. SCOPE**

This policy 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 including financial service employees (currently hosted by NHS East Riding CCG)..

This policy is available on the NHS Hull CCG website.

## **3. POLICY PURPOSE AND AIMS**

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.

## **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](mailto: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 All staff**

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

### **6.2 Authorised Signatories**

Authorised signatories are responsible for authorising the payment request forms

### **6.3 Finance Staff**

Financial Services 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

## **7. 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 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 financial services team. They will log the payment request on internal systems and allocate a payment request number. 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 financial services team; this will be sent for the authorisation. The authorised signatory will authorise the payment request on oracle. This will then be paid on the next available payment run.

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

## **8. 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 every two years, more frequently if required

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:	
<b>Policy / Project / Function:</b>	Making Payments using a payment request form
<b>Date of Analysis:</b>	19 <sup>th</sup> September 2019
<b>Completed by: (Name and Department)</b>	Victoria Rimmington, Finance Manager
<b>What are the aims and intended effects of this policy, project or function?</b>	It 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
<b>Are there any significant changes to previous policy likely to have an impact on staff / other stakeholder groups?</b>	No significant changes
<b>Please list any other policies that are related to or referred to as part of this analysis</b>	None
<b>Who will the policy, project or function affect?</b>	All staff working for CCG including financial services team (hosted by East Riding CCG)
<b>What engagement / consultation has been done, or is planned for this policy and the equality impact assessment?</b>	IAGC
<b>Promoting Inclusivity and Hull CCG's Equality Objectives.</b>  How does the project, service or function contribute towards our aims of eliminating discrimination and promoting equality and diversity within our organisation?  How does the policy promote our equality objectives:	This policy applies to all regardless of any protected characteristic. This policy is available on the internet and is available in different formats and languages if necessary.

<p>1. Ensure patients and public have improved access to information and minimise communications barriers</p> <p>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</p> <p>3. Recruit and maintain a well-supported, skilled workforce, which is representative of the population we serve</p> <p>Ensure the that NHS Hull Clinical Commissioning Group is welcoming and inclusive to people from all backgrounds and with a range of access needs</p>	
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Equality Data	
<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: Recruitment data, e.g. applications compared to the population profile, application success rates</p> <p>2: Complaints by groups who share / represent protected characteristics</p> <p>4: Grievances or decisions upheld and dismissed by protected characteristic group</p> <p>5: Insight gained through engagement</p>	<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><b>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.</b></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> <sup>1</sup> 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>				
<b>Gender</b>	✓			This procedure has been considered to have no impact and applies to all regardless of gender
<b>Age</b>	✓			This procedure has been considered to have no impact and applies to all regardless of age
<b>Race / ethnicity / nationality</b>	✓			This procedure has been considered to have no impact and applies to all regardless of any religion race, ethnicity or nationality
<b>Disability</b>	✓			This procedure has been considered to have no impact and applies to all regardless of any disabilities
<b>Religion or Belief</b>	✓			This procedure has been considered to have no impact and

1. <sup>1</sup> 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
<b>Sexual Orientation</b>	✓			This procedure has been considered to have no impact and applies to all regardless of sexual orientation
<b>Pregnancy and Maternity</b>	✓			This procedure has been considered to have no impact and applies to all regardless of pregnancy or maternity
<b>Transgender / Gender reassignment</b>	✓			This procedure has been considered to have no impact and applies to all regardless of transgender or gender reassignment
<b>Marriage or civil partnership</b>	✓			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?**

<b>Identified Risk:</b>	<b>Recommended Actions:</b>	<b>Responsible Lead:</b>	<b>Completion Date:</b>	<b>Review Date:</b>

**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