

RAISING DEBTOR REQUESTS

NOVEMBER / 2019

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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:	Raising Debtor Requests
Date Issued:	12 th November 2019
Date to be reviewed:	31 st March 2022

Policy Title:	Raising Debtor Requests	
Supersedes: (Please List)	Raising Debtor Requests V3.0 or any previous versions	
Description of Amendment(s):	Reformatting to new policy template/ rewording as necessary / review of impact analysis	
This policy will impact on:	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	
Policy Area:	Finance	
Version No:	V4.0	
Author:	Victoria Rimmington, Finance Manager	
Effective Date:	12 th November 2019	
Review Date:	31 st March 2022	
Equality Impact Assessment Date:	27 th September 2019	
APPROVAL RECORD		Date:
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Consultation:	Integrated Audit and Governance Committee	12 th November 2019
	Integrated Audit and Governance Committee	14 th November 2017
	Integrated Audit and Governance Committee	15 th November 2016

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1. INTRODUCTION

In order for the CCG to receive income from another organisation, it is necessary to raise a debtor request form.

This procedure outlines the necessary steps to take to request payment from another organisation

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.

This policy is available on the internet for all staff

3. POLICY PURPOSE AND AIMS

This procedure is intended to inform employees and managers of the steps to take, and the controls in place to ensure debtors request forms are completed in accordance with the following procedure.

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. ROLES / RESPONSIBILITIES / DUTIES

6.1 All Staff

All staff are responsible for completing debtor request forms in accordance with this procedure and in accordance with any related instructions that may be issued by financial services

6.2 Authorised Signatories

Authorised signatories are responsible for ensuring that debtor request forms are accurate and completed appropriately before they approve them.

6.3 Financial Services (currently hosted by NHS East Riding CCG)

Financial services team are responsible for the logging and batching of all debtor request forms and for raising official invoices to other organisations

7. PROCEDURES FOR RAISING INVOICE TO OTHER ORGANISATIONS

Invoices to other organisations (debtors) are raised by Financial Services on the instruction of CCG authorised debtor requests.

To raise a debtor account, a “Hull CCG Debtor Request Form” should be completed available from the finance team.

The completed form must signed by the requested and authorised by a CCG authorised signatory and then send to the financial services team for an official invoice to be raised.

Financial Services will allocate a debtor request number, update the debtor request log, and raise the invoice promptly.

Financial Services will retain a copy of the debtor request and any supporting documentation submitted for reference purposes.

As soon as the invoice has been raised the Financial Services team will credit the relevant budget with the income.

Debtor invoices are monitored by the financial services teams for credit control purposes to ensure income is received and as part of this process the team may call upon the originators of debtor requests to assist with and resolve debtor queries.

Following some invoice disputes, Financial Services may be required to raise and issue credit notes which cancel part or the entire original invoice. In such cases a credit note request should be completed and authorised by the initiators of the corresponding debtor request (i.e. CCG staff) and then this should be forwarded to the Financial Services team for processing.

In instances where disputes have arisen as a result of debtor request processing errors then correcting credit notes can be raised and issued by the Financial Services team alone without the need for authority from the CCG.

Every month the aged debt reports will be downloaded from oracle as part of board report; these will be reviewed and monitored by senior CCG staff and appropriate committees as necessary. Monthly and/or quarterly meetings will be held between Financial Services and CCG staff to discuss the debtor's position (NHS & non-NHS). Debt greater than £5,000 and older than 90 days will be included on the next CCG Integrated Audit and Governance Committee report with comments/actions.

Outstanding non-NHS debtors who have been through the reminder/dunning letter cycle should receive a credit control call from Financial Services. Where invoice settlement does not follow, a list of persistent debtors will be compiled and passed to the CCG for approval... The Oracle system will be updated by Financial Services staff to reflect this status which will in turn update the aged debt report.

Where every attempt to recover monies has been exhausted and therefore unable to recover monies owed by debtors on behalf of the CCG then these debts will be considered for write-off (see 'Writing off bad debts procedure').

Outstanding NHS debtors will be reviewed and actioned as part of the quarterly agreement of balances process.

8. MONITORING AND REVIEW

Monitoring compliance with and effectiveness of this procedure will be accomplished via the accounts receivable KPIs as outlined in the financial service specification with NHS East Riding CCG and periodic Internal Audit reviews of accounts receivable systems.

This procedure will be reviewed every two years, more frequently if necessary

9. ASSOCIATED DOCUMENTATION

The following associated documentation can be found on the CCG website

- Writing off Bad Debts

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:	Raising Debtor Requests
Date of Analysis:	19 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?	This procedure is intended to inform employees and managers of the steps to take, and the controls in place to ensure debtors request forms are completed in accordance with the following procedure.
Are there any significant changes to previous policy likely to have an impact on staff / other stakeholder groups?	No significant changes
Please list any other policies that are related to or referred to as part of this analysis	Writing off Bad Debts Policy
Who will the policy, project or function affect?	All Employees of CCG and Financial services team
What engagement / consultation has been done, or is planned for this policy and the equality impact assessment?	IAGC
Promoting Inclusivity and Hull CCG's Equality Objectives.	This policy applies to all regardless of any protected characteristic.
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.
How does the policy promote our equality objectives:	

<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="checked" style="float: right; margin-left: 20px;" type="checkbox"/></p> <p>No <input style="float: right; margin-left: 20px;" 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