

Finance Update for Directors of Professional Service 1-2020

Dear Colleagues

I am writing to you with

- An annual recap of the main responsibilities that attach to your position under the [Financial Regulations](#) and how we will support you – see table below.
- A recap of expenditure that is not an acceptable use of University funds, unless specially allowed for in the terms of external funding – see attached document.
- A ‘road map’ setting out actions we will be asking you to take throughout the remainder of the financial year – see attached document.

I hope these are helpful to you. Please don’t hesitate to get in touch if my team or I can support you in any way.

The [Finance Service Desk](#) is always there for you or your staff to support any finance-related enquiry, including contact with the Insurance and Procurement teams.

In addition to your Finance Business Partner, you can also contact my senior team directly:

- Steve Law (financial planning and reporting, income and treasury, finance system)
- Carey McLaughlin (major projects, taxation, counter fraud, risk and insurance)
- Ian McKee (procurement, purchase to pay and commercial services)
- Sian Thomas (Financial Regulations, financial literacy, value for money)

Responsibilities under the Financial Regulations:

As a Director of Professional Service your primary responsibilities over and above those of any member of staff are as follows:

Responsibility	How Finance will support you
Financial planning, budgeting and financial management	Your Business Partner (FBP) is your first port of call to understand your needs and provide support.
Maintaining the financial control environment in your Division	
Ensure compliance in your area of responsibility.	Your FBP will talk you through our compliance dashboard. Our Service Desk will support staff who struggle to get it right to the point that we need you to take appropriate action.
Ensure your staff understand their responsibilities, and the implications of non-compliance.	I will draft a reminder of responsibilities for you to send to your staff in January. This will also encourage them to engage with the wide range of support and training we offer, including face-to-face via teams. 37 new joiners across the University have not completed their training and haven't engaged with the service desk for help - they have been informed that their systems access will be removed on November 15th unless they contact us. From now on we will require all staff nominated for systems access to complete on-line induction training which includes financial responsibilities, so you will not need to take any action on this going forwards.

Review delegations to staff annually to make sure their responsibilities continue to be appropriate.	The FBPs will lead a review from January depending on your area. Once complete, this should only require an annual light touch refresh going forward. We are bringing in finance system improvements to make sure the right staff are involved according to transactional risk.
Maintain University standards of conduct.	Please contact the governance team.
Ensuring the care and custody of assets, avoiding loss, achieving Value for Money	
Ensure the care, custody and security of the assets within your control. This includes buildings, IT equipment and assets purchased from all sources, including research grants.	Your FBP can advise and facilitate this.
Overall responsibility for achieving value for money in your Division and ensuring the requirements of the Purchasing Policy are met.	We will provide awareness raising/training for all staff in January and help relevant staff identified by you to plan any actions needed. The key messages for all staff are: <ul style="list-style-type: none"> • spend wisely • challenge duplication and waste • follow the University process • apply the University training • ask for help if uncertain. Your FBP can facilitate informal training and workshops as well as 1.2.1 advice around purchasing.
Providing information to Directors of Finance and Human Resources	
Provide information in connection with the appointment, resignation or dismissal of members of staff, and on any contractual change.	Your FBP can advise and facilitate this with your HR Business Partner.
Research, consultancy and other income	
Where a Director of Professional Service is acting as PI, ensure that their line manager takes on the relevant responsibilities for authorisation etc.	Support is within the responsibility of the Director of Research and Enterprise. Your FBP can advise and facilitate this.
Approve <ul style="list-style-type: none"> • proposed consultancy activity • the terms of funding of successful bids for external funding. Be responsible for any loss to the University resulting from a failure to meet conditions of funding	Support is within the responsibility of the Director of Research and Enterprise. Your FBP can advise and facilitate this.
Ensure that <ul style="list-style-type: none"> • best value is obtained for the sale of any goods to external bodies or to members of staff • an approved commercial agreement is put in place for the use of University premises or facilities in their control • any agreements entered into with external bodies mitigate commercial risk 	Your FBP can advise and facilitate this.

and cover any legal liabilities to which the University may be exposed.	
Risk management and insurance	
Take advice from the Director of Finance to ensure that any agreements with external bodies contain adequate insurance provisions to cover legal liabilities and indemnities to which the University may be exposed.	Your FBP can advise and facilitate this.
<p>Notify the Director of Finance of any</p> <ul style="list-style-type: none"> • potential new risks and additional property and equipment that may require insurance and of any alterations affecting existing risks • event that may give rise to an insurance claim and prepare a claim in conjunction with the Director of Finance for submission to the insurers. 	You can contact the Insurance team through the Finance Service Desk or your FBP can advise and facilitate this.

Best regards,

Allan Spencer, Director of Finance

2020/21 Finance 'Road Map' for Directors of Professional Services

	November	December	January	Q3 (Feb-Apr)	Q4 (May-July)
Financial Responsibilities and Financial Literacy (lead contact Sian Thomas)	Directors of Professional Services receive annual reminder of their financial responsibilities and 'road-map' of the year ahead from Allan Spencer. Directors of Professional Services who are purchasing card holders receive annual declaration of conditions. <i>Finance can offer bespoke workshops to Directors of Professional Services and their staff on request.</i>	<i>Finance can offer bespoke workshops to Directors of Professional Services and their staff on request.</i>	In parallel with 'all staff' communications, Directors of Professional Services receive email text to send to their staff on: <ul style="list-style-type: none"> • annual responsibility reminder for all staff • awareness of new Value for Money Policy and Anti-Facilitation of Tax Evasion Policy • signposting to literacy and other support. <i>Finance can offer bespoke workshops to Directors of Professional Services and their staff on request.</i>	Directors of Professional Services complete literacy and responsibilities self-assessment to inform future support. Finance can extend this to senior teams on request. <i>Finance can offer bespoke workshops to Directors of Professional Services and their staff on request.</i>	Directors of Professional Services receive email text to send to staff with a reminder of their year-end responsibilities. <i>Finance can offer bespoke workshops to Directors of Professional Services and their staff on request.</i>
Anti-Facilitation of Tax Evasion Policy/Criminal Finance Act (Carey McLaughlin)			Directors of Professional Services asked to: <ul style="list-style-type: none"> • familiarise themselves with the new Anti-Facilitation of Tax Evasion Policy via short e learning/guide • nominate relevant staff for training. <i>(Also in communication to staff above)</i>	Directors of Professional Services support compulsory training for relevant staff.	
Value for Money (Sian Thomas)			Directors of Professional Services asked to: <ul style="list-style-type: none"> • familiarise themselves with the new Value for Money Policy via a short guide • nominate staff to implement local actions required to embed value for money practice. <i>(Also in communication to staff above)</i>	Directors of Professional Services to continue to consider value for money/embed practice.	Directors of Professional Services to continue to consider value for money/embed practice.
Compliance (Ian McKee)	Directors of Professional Services to act on issues where identified by Finance.	Directors of Professional Services to act on issues where identified by Finance.	Directors of Professional Services to act on issues where identified by Finance.	Directors of Professional Services to act on issues where identified by Finance.	Directors of Professional Services to receive annual review.
Delegations Review (Heidi Jones)			Extend the 'group' authorisation approach to Level 2. Review the current authorization structure.	Launch extension of 'group' authorisation for Professional Services.	
IPBP (Heidi Jones)		Development of Professional Services detailed 21/22 Budget and high-level plans for the following 3 years.	Development of Professional Services detailed 21/22 Budget and high-level plans for the following 3 years.	Finalisation of Professional Services 21/22 and following years plans.	
Forecasts (Heidi Jones)			Develop and sign off Professional Services Q2 forecast for 20/21.	Develop and sign off Professional Services Q3 forecast for 20/21.	

Goods and services which are not an acceptable use of University funds:

The following items are not considered to be an acceptable use of our funds and may not be authorised in any circumstances without prior consultation with, and the agreement of the, Director of Finance:

- **Day-to-day living expenses** (e.g. toiletries, clothing, newspapers and snacks)
- **Traffic fines**
- **Usual travel** (between home and usual place of work)
- **Gratuities** (except when the culture is such that paying a gratuity is seen as an integral part of the cost of receiving a service)
- **Formal attire** (dinner jacket or ball gown costs to attend formal functions)
- **Care costs** (childcare costs, kennel/cattery costs or vets' fees and similar expenditure)
- **Alcohol** - except in these specified instances:
 - visitor hospitality, staff leaving events and student welcome/leaving events within the financial limits set for these activities
 - other University events with a clear business purpose that are open to all staff if authorised in advance by the Director of Finance
 - where alcohol is served at a conference or event with a clear business purpose and is included within the attendance fee.

(the above must be expressly permitted by the funder if the purchase is made from research income)

- **Personal gifts** (such as flowers and chocolates)
- **Staff parties** (except leaving parties and University staff parties open to ALL staff)
- **Subscriptions to professional bodies and academic/learned societies** - except in these specified instances:
 - an individual's membership is an expressly stated contractual condition of a course accreditation, or a research or other funding award the University is dependent upon
 - membership is corporate, or where the individual is a member because they represent the University in their specific role.