

## GUIDANCE NOTES

This document sets out the process and Business Case Template for proposals to deal with unplanned or budgeted resources requirements.

Please bear in mind that this process is not a substitute for the normal School budget processes nor is it intended to undermine the responsibility of budget controllers to prioritise, manage and plan their allocation of resources.

### STEP 1

You must be able to confirm ALL the following points

- i. The requirement cannot be delayed until next year's budget setting process.
- ii. The additional requirement is material to the budget area and cannot be accommodated within or through virement between existing authorised budgets.
- iii. You have discussed the issue with your SMC senior manager and they have agreed the above.

**Please do not proceed any further if you cannot confirm all of these points.**

### STEP 2

Before committing time to completing this document you should discuss the proposal with the Finance Director. This is an important step that is intended to avoid unnecessarily completing a Business case template.

### STEP 3

Complete the Business case Template that is attached to this note. The Finance Director will provide assistance as required.

### STEP 4

Submit the completed template.

**UNBUDGETED EXPENDITURE TEMPLATE - OPERATING OR CAPITAL EXPENDITURE 2016**

		ASSIGNED REFERENCE: UBEX2016/
Division/Department :		SMC Member:
Date:		

Please provide a description of the proposal below: *(Please expand boxes or add additional lines as required)*

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Has an attempt been made to meet the costs from within existing budgets?	
If yes, what other sources of funding have been considered?	
Has the issue been discussed with your SMC member and have they agreed that a Business Case should be prepared?	

**SUMMARY OF RESOURCE REQUIREMENTS**

**Staff Resources required:** *(add additional lines if required)*

	Job Title	Grade	FTE	Start Date	End Date (or state if Recurrent)
1					
2					
3					
4					

**Non Staff Resources required**

	Cost Type	Forecasted costs	One off or p.a?	Start Date of spend	End Date of spend (or state if Recurrent)
1					
2					
3					

**BUSINESS CASE PROFORMA:**

<b>FUNDING</b>
<ol style="list-style-type: none"> <li>1. How will the proposal be funded? For example through additional income, cost savings, costs avoided, income losses reduced or existing budgets (e.g. vacant posts)?</li> <li>2. What contribution is being made from the area seeking the resources?</li> </ol>
<p><i>Additional questions for recurrent resource requests only:</i></p> <ol style="list-style-type: none"> <li>3. Why could efficiencies within existing operations not be identified so as to allow, over time, the requirement to be absorbed within current resources?</li> <li>4. Where staff related, please include a proposed structure chart including the proposed new role(s).</li> </ol>
<b>CONTEXT</b>
<ol style="list-style-type: none"> <li>5. What has changed to give rise to this resource requirement? How has the School managed to date without this service? Why not redeploy existing resources to deliver this service?</li> <li>6. What would the impact of postponing the additional resource(s) be?</li> <li>7. Are there any other areas of significant shortfall in the provision of services in your area and if so how are they being addressed?</li> <li>8. Has the proposal or something similar been submitted previously? If so, please provide details and set out why the proposal is now being resubmitted.</li> <li>8. Why was this not raised during the last annual budget process?</li> </ol>
<b>IMPACT</b>
<ol style="list-style-type: none"> <li>9. What are the deliverables for the School from the proposal?</li> <li>10. Who are the intended beneficiaries of the proposal and have they explicitly subscribed to the proposal, its scope, terms and benefits as quantified in the proposal?</li> <li>11. What will be the impact on existing resources? <ol style="list-style-type: none"> <li>a. will there be additional costs associated with re-grades for those that manage the additional resources? <i>Please specify</i></li> <li>b. will additional space or office equipment be required? <i>Please specify how much / many and what have you agreed with the Service area responsible – eg Estates?</i></li> <li>c. will additional equipment (e.g. PC's, phones, non-standard software etc) be required? <i>Please specify what and how many?</i></li> <li>d. Any other anticipated impact on School resources?</li> </ol> </li> <li>12. How, when and by whom will success be measured?</li> </ol>

PLEASE NOTE : Proposals for additional recurrent allocations will be subject to review during the next annual budget setting process. Approval at this stage does not imply approval during the annual budget setting process.

**Please now forward this form to the Finance Director.**

**FINANCE DIVISION SECTION**

Budget to be allocated:	Aptos Code	£

		Date
Confirmation that criteria set out above are fully met – Head of FP&A	Sign	
Finance Director approval	Sign	
Confirmation provided to Budget Controller	Sign	
Budget controller notified	Sign	

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Form updated: 3<sup>rd</sup> October 2016 – MF approved