

ASA POLICY MANUAL

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CONTRACTUAL ARRANGEMENTS

No contracts in excess of £5,000 (excluding pool hire) are to be agreed without the prior approval of the ASA Committee.

A summary to be prepared for the ASA Committee of all contracts in excess of £5,000 (excluding pool hire.)

Where Districts are party to an ASA Contractual arrangement they shall be notified of same and give their formal approval to same.

ASA Committee Minutes: 27/28 March 1998
Grammatical amendment made 9th April 1999
Format amended 11th July 2003

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REGISTER OF PECUNIARY INTERESTS

The ASA must maintain a register of pecuniary interests in connection with ASA Committee members, members of ASA sub-committees, senior professional staff and Directors of subsidiary companies, covering the following main issues:

- Any employment or income received from work undertaken within the sport.
- Any income received from the sport as a partner or director or employee within a firm.
- Any sponsorship received.
- Any sponsorship given to any aspect of the sport.
- Any contracts with the sport for the provision of services or goods for profit.
- Any interests in any corporate bodies for personal benefit which do business with the Association or associated companies.

The register is to also include interests of close family members.

ASA Committee Minutes: 5.4.97

Grammatical amendments made 9th April 1999

Format amended 11th July 2003

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PURCHASE AUTHORITY LEVELS

Level One	Officers: Chief Executive Director of Finance Chairman
Level Two	Senior Managers and nominated Heads of Department Head of Legal Affairs Director of Education Director of Development Commercial Director Facilities Officer Director of Membership Services & Resources National Performance Director - Swimming Director Disability Swimming National Performance Director – Diving World Class Potential Programme Director Editor - Swimming Times Membership Services Manager/ ISTC CEO Awards Centre Manager World Class Manager
Level Three	Nominated Signatories: Line Managers Assistant World Class Plan Manager PA to Chief Executive PA to Director of Membership Services & Resources PA to Director of Development PA to Director of Education PA to Commercial Director Regional Development Officers Team Manager Education Assistant ITC Manager
Level Four	Budget Holders and Administrators: Technical Committee Administrators Senior National Events Administrator International Events Administrator Athlete Support Administrator Information Technology Administrator Communications Assistant PA to Head of Legal Affairs Sports Science Manager Hotel and Meetings Administrator (National Events Team) Senior Press Officer

The Finance Office staff have no primary authority but may on occasions act as “approval” signatory in the absence of key signatories.

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SIGNING LIMITS

CATEGORY	AUTHORISED LEVEL	LIMIT
Capital Expenditure - including equipment purchases and capital projects	Level One	No limit subject to ASA Committee decisions and within budget.
Contractual commissions.	Level One	No limit subject to ASA/ Committee decisions and within budget.
Working replacements (within budget.) (All signatories)	Level Four Level Three Level Two Level One	£1,000 plus Vat £5,000 plus Vat £10,000 plus Vat No limit subject to ASA Committee decisions and within budget
Equipment purchases - routine items. (All signatories)	Level Four Level Three Level Two Level One	£1,000 plus Vat £5,000 plus Vat £10,000 plus Vat No limit subject to ASA Committee decisions and within budget
Routine contracts. (All signatories)	Level Two	To value of current contract providing within budget.
Travel and Accommodation - excluding events. (All signatories)	Level Four Level Three Level Two Level One	£1,000 plus Vat £5,000 plus Vat £10,000 plus Vat No limit subject to ASA Committee decisions and within budget
National event organisation expenditure. (National Event Team, Director of Membership Services & Resources, Officers.)	Level Four Level Three Level Two Level One	£1,000 plus Vat £10,000 plus Vat £20,000 plus Vat No limit subject to ASA Committee decisions and within budget
International event organisation expenditure. (International Events Administrator, World Class Plan Manager, Director of Membership Services & Resources, Officers)	Level Four Level Three Level Two Level One	£1,000 plus Vat £20,000 plus Vat £30,000 plus Vat No limit subject to ASA Committee decisions and within budget

Format amended 11th July 2003

Corrections made 26th August 2003

Amended following review 5th September 2003

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INTERNATIONAL COMPETITION AND TRAINING FUND CRITERIA

Criteria set by the GB National Youth Coach

ASA Committee: 18th March 1999

Format amended 11th July 2003

Amended following review 5th September 2003

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BUDGET PROCESS

1. The Director of Finance is to set timings for the budget process year. The ASA Committee is to approve all timing.
2. All Committees / Cost Centre Holders are required to submit their first draft to the Director of Finance by the scheduled date.
3. The Director of Finance is to submit initial draft to ASA Committee by the scheduled date.
4. The Director of Finance is to advise Committees / Cost Centre holders of revisions required by ASA Committee by the scheduled date.
5. Committee Administrators / Cost Centre holders are required to issue revised budgets to the Director of Finance by the scheduled date.
6. The Director of Finance is to submit final budgets and full line items to the ASA Committee by the scheduled date.

ASA Committee 28th July 1998
Grammatical changes made 9th April 1999
Format amended 11th July 2003

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PROCUREMENT POLICY

1. Staff and volunteers requiring goods or services should complete a requisition form clearly stating their requirement and relevant budget code. Where applicable a full technical specification should be included with the requisition.
2. The requisition must be signed by an authorised signatory as set out in the levels of authority policy.
3. The Purchasing Officer will check that the requisition is valid by verifying the authority limit and budget code prior to processing the order.
4. All orders for goods and services must be placed by the Purchasing Officer who will negotiate terms and will pass the requisition to the Finance Office who will produce a written/computerised purchase order.
5. All suppliers asked to quote must be given exactly the same information regarding the requirement.
6. Written information will be sent to suppliers asked to quote for purchases over £1,000.
7. For purchases between £1,000 and £5,000 two written quotes must be obtained.
8. For purchases over £5,000 three written quotes must be obtained.
9. For all purchases over £10,000 sealed bid tenders must be sought. When inviting a tender full details of the requirement must be stated along with the closing date for the tender. All sealed bid tenders must be enclosed in plain envelopes with no markings to distinguish the sender, marked for the attention of the Chief Executive. All envelopes to be opened on the same day on the agreed date.
10. Letters of intent are not permitted without the express consent of the ASA Committee.
11. If there is a need to appoint a supplier to provide goods at interim periods of time over a long period (eg. furniture during a long term refurbishment programme) the above process should be conducted at the onset and the supplier appointed for the duration of the project.

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12. All purchases must comply with EU Procurement Directives. The Directives set out the principles for Works, Supplies, Services and Utilities contracts which are above specified financial threshold levels. The rules specify procedures for advertising and awarding depending on the type of contract which contracting authorities must comply with.
13. Contracts above the threshold levels affected by the EU procurement rules must be advertised in the Supplement to the Official Journal of the European Communities (OJEC) before being notified elsewhere. The current levels and full directives can be found on the Public Tenders website – www.publictender.co.uk/legislation.
14. If a firm repeatedly proves themselves to be the cheapest provider of a particular service and the work is of a satisfactory standard the Director of Membership Services & Resources should be advised to obtain approval to add the firm to the list of nominated suppliers. It will be permissible to utilise their services for orders of £1,000 or less without obtaining further quotes.
15. The Purchasing Officer will be responsible for maintaining the list of Nominated Suppliers and ensuring that comparable quotes are obtained at least every six months to ensure that they should be retained on the list.
16. The list of Nominated Suppliers will also include regular service contractors (e.g. cleaners.) The contract will be renewed on an annual basis and re-appointment will be made in accordance with the above policy.
17. Goods or services will be delivered to the originator of the requisition who is responsible for checking that the goods or services match the order exactly. A satisfaction note should then be sent to the Purchasing Officer advising that the order has been received correctly (or noting any variance.)
18. The Purchasing Officer will send a copy of the Satisfaction note and purchase order to the Finance Office.
19. Invoices will be sent directly to the Finance Office who will only pay the invoice on receipt of the satisfaction notes and purchase order from the Purchasing Officer providing that the purchase order matches the invoice. Authorisation must be obtained prior to paying invoices which differ from the purchase order.
20. The Purchasing Officer will be responsible for maintaining a basic level of stationery for weekly call off by staff and volunteers.

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- 21 Staff and volunteers requiring stationery should complete a stationery requisition and submit it to the Purchasing Officer.

Committee Minutes: 21/22 November 1997

Amended: ASA Committee 15th July 2000

Format amended 11th July 2003

Amended ASA Committee 17th September 2003

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TRAVEL EXPENSES

1. Essential travel for business purposes - ASA Staff
40p per mile or 2nd class rail fare
2. Essential travel for business purposes - ASA Volunteers
25p per mile or 2nd class rail fare
3. Economy class air travel by ASA Staff and Volunteers may only be made by prior agreement and must be booked via the ASA appointed travel agent.
4. Assembly costs for Team staff and athletes:
2nd class rail fare from normal training venue to assembly point and return. Internal flights may be arranged at the discretion of the office for swimmers and athletes.

Grammatical amendment made 9th April 1999
Amended 7th July 2001
Format amended 11th July 2003
Amended following review 5th September 2003

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BUDGETS - LINE ITEM ADJUSTMENT CRITERIA

1. Cost Centre holders must advise the Director of Finance of individual line items to be included in the Management Accounts. Finance Office to compile Management Accounts detailing the line items.
2. Cost Centre holders and the Director of Finance are to prepare detailed accounts for each line item. Director of Finance is to create spread sheets for Cost Centres to work to.
3. Cost Centre holders are to advise the Director of Finance of actual figures and any amendments to the agreed budgets. The Director of Finance is to complete spread sheets and send copies to Cost Centre holder.
4. The Director of Finance is to ensure that the information contained in the individual spreadsheets matches the figures compiled by the Finance Office from invoices and receipts received. Director of Finance and Finance Manager are to reconcile any differences in liaison with the Cost Centre holder.
5. The Director of Finance is to check that the actual figures and revised forecast figures are within budget. The Director of Finance is to advise Cost Centre holder of any overspend. In the event of any overspend future events must be cut accordingly to ensure that the overall budget is not exceeded.
6. Cost Centre holders are to advise the Director of Finance of any changes they wish to make to line items - e.g. change events or reduce the size of one event to increase another. The Director of Finance is to change individual spread sheets accordingly whilst ensuring that the revised figures are within the specified overall budget.

ASA Committee: 28th July 1998
Grammatical changes made 9th April 1999
Format amended 11th July 2003
Amended following review 5th September 2003

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POSTAGE COSTS

The ASA will pay the postage costs incurred by the Districts in circulating to affiliated clubs the ASA Annual Reports, the ASA Handbook and such other items as the ASA Committee shall from time to time agree.

ASA Committee minutes - 27/28 March 1998
Format amended 11th July 2003

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VOLUNTEER EXPENSE CLAIMS POLICY

This policy has been replaced by policy F1011

Approved by ASA Committee 15th July 2000

Replaced by policy 1049: 7.10.2001

Format amended 11th July 2003

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VOLUNTEER EXPENSE CLAIMS POLICY

This policy has been replaced by policy F1011

Approved by ASA Committee 15th July 2000

Replaced by policy 1049 7th October 2001

Format amended 11th July 2003

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REGULATIONS FOR THE PAYMENT OF EXPENSES BY THE ASA

The payment of expenses shall be subject to the authorisation of the person responsible for the finances of the activity, hereafter referred to as the designated officer.

The Association requires that all claims submitted are accompanied by receipts showing the payment, and where appropriate, any VAT with a VAT registration number. (For this purpose Switch and credit card slips are not acceptable.) Claims submitted without receipts may result in a delay in payment. However, for amounts under £5 whilst desirable to submit receipts, it is recognised that this is not always practicable.

For the guidance of members, the following expenses shall normally be considered for payment:

- Rail Travel and Public Road Transport - standard fare or concessionary fares that are available and suitable.
- Taxis - actual fare, provided that reasonable public transport is not available.
- Air Travel - Economy class or lowest prevailing fares available.
- Private Car - 25p per mile, calculated over the shortest practicable route.
(The Association may, at time to time, review this rate.)

Mileage claims will be checked against a current route planner. Diversions, alternative routes etc. must be denoted on the form and the reason for the diversion etc. stated. If the route involves a several stage journey each individual leg of the journey must be recorded.

Where overnight accommodation is necessary, it should, where possible, be arranged through the Association office or a designated officer. Payment of expenses shall be against actual costs incurred. Normal reimbursement of payment up to £20 is payable for an evening meal.

Expenses claimed in excess of these guidelines must contain a note explaining the reason for the difference together with a bona fide receipt.

The ASA may, at its discretion, authorise the payment of expenses in excess of the scales above. No duplication of expenses is permitted.

When anyone travels outside Great Britain, at the behest of, or under the control of the ASA, the travel arrangements will be made and paid for by the ASA.

17th October 2000

Format amended 11th July 2003