Procurement Procedures & Operational Guidelines
(Including frequently asked questions)

October 2011
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1. **Background**

The in-house Procurement department was established within the South West Yorkshire Partnership NHS Foundation Trust (SWYPFT) in May 2006 to develop and implement the Agresso Web Purchase Order system and also to help the Trust operate correctly, effectively and fully comply with the Trusts Standing Orders, Standing Financial Instructions and European Union Public Procurement Policy. On 1st May 2011 the former SWYPFT merged with Barnsley Care Services and the procurement teams came together under the Agresso Purchase order system.

All public sector organisations are publicly accountable for the money they spend on behalf of the tax payers and they are therefore required to ensure that their purchasing and tendering procedures are fair, transparent, satisfy all procurement rules/laws and produce value for money. Purchasing activity within the Trust must therefore adhere to the following;

a) UK and EU law  
b) Trust Standing Orders  
c) Trust Standing Financial Instructions  
d) Health & Safety Executive Directives (including Fire Regulations)  
e) Department of Health Directives and Guidance  
f) Government Directives, Initiatives and Guidance  
g) Infection Control Policies and Guidance  
h) Medical Devices Directives

This list is by no means exhaustive and through the very nature of the changing environment in which we work is subject to change however, consideration must be given to all headings when committing Trust expenditure and the following rules remembered;

1. Caveat Emptor – Buyer beware  
2. Ignorance is no defence

The overriding message is that whilst there are many activities undertaken by skilled, competent, and professional members of staff throughout the Trust, the Procurement department is focused upon how the South West Yorkshire Partnership NHS Foundation Trust purchases goods and services from both internal and external supply sources and are there to provide advice on all purchasing issues. Therefore if in any doubt please contact the Procurement department.

2. **Non-Purchase Order Areas of Concern**

As part of the Trusts governance arrangements the Procurement department provides the Trusts Audit Committee with a quarterly report on various aspects of its purchasing activity. Part of this report is focused on the level of expenditure which has been placed by members of the Trust with companies and other third party organisations without an order number. The issues surrounding this process are:
1. Staff have not followed the Trusts Standing Orders/Standing Financial Instructions policies and may well be in breach of their agreed authorisation limit.

2. By adopting this method of purchase we are signing up to the supplier’s terms and conditions of contract leaving the Trust vulnerable should there be any potential contractual conflict.

3. Breaches in the Trusts procurement policies and procedures are subject to full scrutiny of both the Audit Committee and the Internal Audit team and could therefore lead to disciplinary action taken with the individual breaking the policy.

Some of the areas which have gone down the non-purchase order route which should have either a purchase order or be purchased via the Trusts procurement card system are:

- Attending conferences
- Hotel accommodation
- Room hire
- Subscriptions
- Books & Journals
- Hospitality catering
- Consultancy
- Food i.e. milk deliveries, frozen foods
- Software licences
- Trust Organisation/Association membership fees

The above list is not an exhaustive one as there are no doubt many other products / services procured without an order number however; the general rule of thumb is that if we are dealing any company or public sector organisation we should first determine whether or not they will accept an official purchase order from the Trust and if so place a requisition (RFQ) via the Agresso system. If payment is required up front follow the Procurement card procedure.

NB: If Trust staff are unsure as to which process to follow please contact a member of the Procurement team prior to full supplier engagement. It should be noted that these rules, policies and procedures are in place for the safeguard of both the Trust and its employees.

3. **Purchasing Thresholds**

**Quotations**

The quotation threshold is between £5,000 and £15,000 (which includes VAT) although it is good practice to obtain at least one written quotation between £500 and £5,000. A minimum of three competitive quotations are required for expenditure over the quotation threshold which will be sought by the Procurement department applying the appropriate Terms and Conditions of Contract.
If the goods/services are only available from a sole supplier the quotation procedure can be waived with the completion and subsequent approval at the appropriate authority level of a “Quotation Waiver Form” (see appendix I). The form should be completed by the requisitioner of the goods / services ensuring that there is a full description of the goods/service required and a valid reason for the sole supply, any supporting documentation i.e. written quotation from the supplier, specification of the goods / service etc should be attached which will ensure that the expenditure can be authorised by the budget holder, executive director or chief executive with confidence that the instructions are bonfide. The Head of Procurement will make the final decision on whether or not the goods and can be competitively sought by countersigning the waiver form. Any waivers refused will be discussed with the budget holder making the request.

Where the total annual business with a supplier for the same range of routinely purchased products exceeds the Trusts quotation threshold it is recommended that we seek a competitive quotation for an estimated annual quantity at the start of the financial year in order to seek better value for money rather than adopt an as and when approach to the purchase. For help and assistance with this process please contact the Procurement department.

**NB:** It should be noted that all quotation waivers are reported to the Trusts Audit Committee on a quarterly basis and will be subject to their scrutiny therefore It is imperative that quotation waivers are only used where there is a valid and supportable reason to do so.

**Tenders**

The tender threshold is between £15,000 and the European Union current threshold of £101,323. Formal competitive tenders will be sought by the Procurement department from a minimum of three suppliers for purchases made between these two thresholds.

If the goods/services are only available from a sole supplier the tender procedure can be waived with the completion and approval at Chief Executive or Director of Finance level of a “Tender Waiver Form” (see appendix II). The form should be completed by the requisitioner of the goods / services ensuring that there is a full description of the goods / service required and a valid reason for the sole supply and any supporting information i.e. a written quotation from the supplier, specification of the goods / service etc should be attached to the form before being authorised by the budget holder. The form should then be forwarded onto the Head of Procurement along with any supporting information who will either countersign the form or discuss with the budget holder the possibility/benefits of tendering the business. If the Head of Procurement agrees that the goods / services cannot be formerly tendered; after countersigning the form it is then forwarded to the accountable officer (Chief Executive or Director of Finance) for final approval and signature. Unless there are extenuating circumstances the accountable officer should not authorise purchases in which they have direct involvement.
Where the total annual business with a supplier for the same range of routinely purchased products exceeds the Trusts tender threshold it is recommended that we seek a competitive tender for an estimated annual quantity at the start of the financial year in order to seek better value for money rather than adopt an as and when approach to the purchase. For help and assistance with this process please contact the Procurement department.

**NB:** It should be noted that all tender waivers are reported to the Trusts Audit Committee on a quarterly basis and will be subject to their scrutiny therefore it imperative that tender waivers are only used where there is a valid and supportable reason to do so.

**European Union**

The EU limit is set bi-annually and is calculated using the exchange rate between the pound Sterling and the Euro. The current threshold is £101,323 (exclusive of VAT) for both Services and Supply Contracts. Public Procurement Rules dictate that any purchases made over this threshold that are not via an NHS, Government Procurement Services, Regional, or Local EU tendered contract must be advertised in the Official Journal of the European Union (OJEU) before conducting a full tender exercise. This is a legal requirement and cannot be ignored or simply overlooked; failure to comply with the EU tender process for purchases over this value can in the worst case scenarios result in a large fine being imposed on the Trust and any contract(s) that has/have been awarded may be rescinded. The Trust would then be forced to go down the EU route leading to possibly more litigation depending on the current position/status of any contract awards.

The contract value can be an aggregated sum over a maximum period of four years which means that the award of year on year contracts or business activity of £25,350 plus will breach the EU Threshold and is therefore not acceptable.

EU valued non contract purchases which are purchases made for either goods or services over the £101,323 threshold that are not placed against a National, Regional or Local EU compliant tendered contract, by law cannot be waivered. However, under extreme circumstances and with a valid reason to do so the tender process including the advert can be accelerated and the timescales reduced. Also if it is clear that the product/service being purchased is only available from one supply source but is in excess of the EU threshold it may be possible to publish a VEAT (Voluntary Ex-Ante Transparency) Notice. These are integral with the Remedies Directive which was implemented in December 2009. The publication of a VEAT notice requires challenge, if any, must be made within the 10 day (in some circumstances 15 day) standstill period. If no challenge is made to the decision of the purchaser within in these prescribed circumstances, then no later challenge can be made leading to a contract being declared by the Courts as ineffective. Before looking to use the VEAT option it is advisable to seek the opinion of the Trusts legal advisor.
There are a number of services which are classed as “Residual Services” and under the European rules the Trust has only to ensure that there is no discrimination against potential providers from other EU member states which means we don’t have to place an advert in the OJEU. However for any residual service that exceeds the £156,442 threshold a contract award notice has to be published in OJEU. If the “consumable” element of a residual service is higher than the service part of the proposed contract then it will probably mean that is a Part A service and is therefore subject to a full OJEU tender process. The Trust will still have to comply with Standing Orders / Standing Financial Instructions and may therefore formerly tender the service.

Residual services are defined as:

- Hotel and restaurant services
- Rail and transport services
- Water transport services
- Supporting and auxiliary services
- Legal services
- Personnel placement and supply services
- Investigation and security services, except armoured car services
- Education and vocational education services
- Health and social services
- Recreational, cultural and sporting services

The Trust must be clear at the outset that contracts which are thought to be residual services are in fact classified as such prior to commencing with a tender process as by not doing so it could lead to a legal challenge at a later stage.

4. **Orders placed against a formal contract**

Orders placed against National, Regional or Local contracts will only require formal approval if:

- The level of expenditure is over the EU threshold or
- The type of expenditure has a major impact on how a particular service is delivered or
- The purchase warrants the authorisation to proceed from either the Trust Board or the Executive Management Team

These instances will be judged on a case by case basis with support in these matters provided by the Procurement department. The approval of all other expenditure which is against contract but above the Trusts quote/tender threshold will be made via the Agresso Financial system pre-determined approval hierarchy i.e. requisitioner – budget holder – general manager – director – chief executive/director of finance.

5. **Agresso**

Agresso is the Finance / Procurement purchase to pay computer system used by the Trust. It operates via a web requisitioning system with a punch out facility to a
third party eMarketplace catalogue provider. The full web ordering and payment process provides delegated powers and hierarchy levels of budget authorisation throughout the whole of the organisation. With this delegated authority comes the responsibility to ensure that the budgetary authorisation levels are maintained and there is sufficient cover within the cost centre approval workflow process to efficiently authorise or challenge requisitions whilst still ensuring that the front line services are maintained.

Guide to determining individual limits:-

Note: the authorisation is per line and not per requisition

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<th>Requisitioner – Admin</th>
<th>£0 – requisitions placed will always be authorised</th>
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<td>£50</td>
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<tr>
<td></td>
<td>£200</td>
</tr>
<tr>
<td>Manager</td>
<td>£1,000</td>
</tr>
<tr>
<td>Budget Manager</td>
<td>£10,000</td>
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<tr>
<td>Budget Holder</td>
<td>£40,000</td>
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It is the budget holder who determines their requirements in terms of who can requisition against their cost centre(s) and what budgetary level of authorisation those members of staff are given. The Agresso authorisation structure is set to allow cross budget cover for senior management which addresses issues around staff absence. Purchases made in excess of £40K will always require the approval of two directors of the Trust.

It is important that all requisitioners and budget holders alike routinely access the Agresso system to ensure that all outstanding requisitions awaiting authorisation or cancelation are actioned promptly, failure to do so will create delays in the system resulting in orders not being placed. Staff changes must also be notified by email to the Management Accounts department preferably prior to the change to ensure that there is no break in the procurement service.

6. **Budget Holder Responsibility**

As a budget holder working within the Public Sector environment you are responsible for the effective and most appropriate use of public funds in order to provide your service and we all therefore *Publicly Accountable* as we are spending tax payer’s money.

Budget managers do not have any delegated power or authority to overspend their budget and must not commit expenditure beyond their financial authority level. The procurement procedure operates within the Trusts Standing Orders and Standing Financial Instructions and is there to safeguard both the Trust and the individual. It is therefore important that the procurement procedures are followed and adhered to as failure to do so could result in disciplinary action.
7. Contact with Suppliers

a) NHS Code of Conduct – Declaration of Interests and Register of Interests

In order to comply with the Standards of Business Conduct for NHS Staff HSG (93) 5, it is the policy of the Trust that all employees must register (i.e. make the Trust ‘aware of’) when any of the following interest(s) apply: *This also applies if they are requesting acceptance of hospitality or gifts*

- There is a connection directly or indirectly (e.g. family or friend) between their private interests and their Trust employment.
- The member of staff is involved in purchasing decisions.
- There could be, or seen to be, a conflict of interest.
- The private interest has, or could be seen to have, a detrimental effect on the Trust and/or patients' interests.
- The private interest is, or could be, in competition for contracts with the Trust.

  - Any disclosure will be treated in the strictest confidence.
  - The purpose is to protect the individual, the Trust, and public funds. It is also necessary in order to conform to legislation and Department of Health Circulars.
  - Any attempt to mislead by a deliberate failure to disclose interests related to the above, however, would be regarded as a serious matter which could lead to disciplinary action being taken against that individual.

b) Casual Gifts

Casual gifts offered by contractors or others, e.g. at Christmas time, may not be in any way connected with the performance of duties so as to constitute an offence under the Prevention of Corruption Acts. Such gifts should nevertheless be politely but firmly declined. Articles of low intrinsic value such as diaries or calendars, or small tokens of gratitude from patients or their relatives, need not necessarily be refused. In cases of doubt staff should either consult their line manager or politely decline acceptance.

c) Hospitality

Modest hospitality provided it is normal and reasonable in the circumstances, e.g. lunches in the course of working visits, may be acceptable, though it should be similar to the scale of hospitality which the NHS as an employer would be likely to offer.
Staff should decline all other offers of gifts, hospitality of entertainment. If in doubt they should seek advice from their line manager.

Further information on this topic is available on the Trusts internet site or can be obtained from the Trusts Human Resource Department.

d) Supplier Code of Conduct

The Trust recognises the importance of good corporate citizenship and maintaining high standards of social, ethical and environmental conduct. Any breach of the obligations stipulated in the Supplier Code of Conduct is considered a material breach of contract by the supplier.

e) Engaging with Partner Organisations

Care must be taken when engaging with third-party Partner Organisations especially where the arrangement between the organisation and the Trust is presented at the outset as Free of Charge. As a Public Sector organisation spending Public money the Trust has to be seen as being open, fair and transparent in its business transactions all which are subject to both internal and external scrutiny. The following checklist details a number of areas to consider before developing these third party relationships:

i) What are the organisations current relationships with the Trust? E.g. do we currently have commercial business dealings with the organisation, if so is the new partnership merely an extension of the relationship at zero cost.

ii) Are there any other alternatives to using the organisation as a sole supply source in this arrangement? E.g. is their other providers in the market and/or could we simply deal with the subject within our internal resources.

iii) Is the organisation gaining an unfair advantage / benefit which could be open to criticism or challenge by other third parties at a later stage? E.g. can any other third party organisation provide the same service under the same terms?

iv) Will the organisation be seeking monetary payments later or use the outcomes of the relationship for financial gain? E.g. The Trust may through the relationship develop a range of health care protocols or a piece of health care study which has both to the NHS and to the wider Health Care market. These developments may have Intellectual Property Rights which the Trust could have sole or part ownership in their potential value both in monetary terms and Health Care recognition. Therefore it is important that such developments are not given away.
v) What are the long term goals and objectives of the organisation by partnering the Trust in such ventures? E.g. vary rarely are suppliers looking to provide products/services at zero cost to their partner organisation unless there is some kind of gain to their organisation; be that financial, experience of working within the Health Care sector.

NB: Having considered these scenarios and you still feel unsure as to whether the Third Party engagement would be recognised as a fair and equitable arrangement; please contact the Procurement department for advice. With an increasing level of transparency being placed on Public Sector procurement it is advisable to gain the necessary assurance that any Trust Business activity does not discriminate against other potential providers or leave that association open to challenge through EU Procurement law.

8. Receipt & Distribution

Generally the delivery of all goods must be made to one of our Receipt and Distribution Centres (Eagle Point in Wakefield or Barnsley Hospital), the only variance to this will be where it is more sensible for the delivery to go direct i.e. if the item is large and doesn’t warrant double handling, if the item requires commissioning by the supplier (e.g. photocopier, industrial washing machine etc), specific operational requirements or in the case of an extreme urgency whereby time is of the essence and a direct delivery is required to address a specific urgent need.

If at the time of ordering the ward/department feels that the goods should be delivered direct to them please contact the Procurement department who will talk you through the process of direct deliveries. It is the responsibility of the end user departments receiving a direct delivery to inform the Receipt & Distribution centre of the safe receipt of the goods and they must forward the delivery note which accompanied the goods to Receipt & Distribution. Any one signing for goods direct from a supplier should sign the delivery note unchecked this ensures that any shortages or damage to the goods can be challenged at a later date.

Delivery options – Eagle Point

The Trust operates with a central Receipt & Distribution centre which is situated within the Wakefield locality on the Junction 41 Industrial Estate.

Most goods will be delivered direct to Receipt & Distribution as;

- They are the only department within the Trust who have access to receipt goods onto the Agresso computer system.
- They provide a full track and trace system for all goods received by R&D and the subsequent forward delivery to the end user.
- The Trust has a firmer control on its receipts which is an audit requirement.
- R&D provides a consolidated delivery service to end users of both stock and non-stock products.
**Delivery Options – Barnsley**

The receipting of goods for Barnsley BDU is undertaken by the Commercial Department at Kendray Hospital.

On receipt of goods, it is the responsibility of the end user to ensure that NHS Supply Chain deliveries are checked against the delivery note supplied with the goods. Discrepancies including shortages, over delivery, wrong item received etc are reported to the Commercial Team within 3 working days of receipt of goods. Failure to report discrepancies within the timescale may result in the discrepancy being rejected by Supply Chain and no action to resolve being available.

NHS Supply Chain delivery notes should be signed and retained by the user department for 2 years after the end of the financial year to which they relate.

**Returning Goods**

If goods are received which are damaged, wrongly delivered or have been ordered in error there is a set procedure which Trust staff are asked to follow.

To return goods to suppliers the requisitioner must, in the first instance, contact the Procurement department who will deal with returns on a supplier by supplier basis.

**Note:** To return goods which have not been reported as damaged on receipt must be deemed in “Resale Condition” therefore the packaging must be undamaged and not marked.

With NHS Supply Chain anything ordered in error under £10.00 will be kept by the Trust as NHS Supply Chain deem that the value of the goods is far less than the actual cost of collection and credit. If the goods are valued at more than £10.00, damaged or not the item on the order the requisitioner should contact Procurement (contact names & telephone numbers can be found within these guidelines)

With products that are purchased which are not from NHS Supply Chain the procedure is to contact the procurement team to arrange for collection/replacement/credit etc. It should be noted that some companies may not accept goods back if they were simply ordered in error i.e. they were made specifically to order. Some companies may also charge for collection/re-stocking of the product, such issues will be communicated to the requisitioner by the Procurement department and a course of action decided on a case by case basis.

In most cases the goods to be returned will be collected from the original delivery point (Collections for Wakefield, Calderdale & Kirklees BDU’s will therefore have to fall in line with the R&D delivery schedules). In some instances the collection of the goods will be from the end user department i.e. the items are heavy and don’t warrant double handling. Such arrangements will be discussed with the end user by the Procurement department after contact with the supplier has been made. Suppliers often issue returns notes which are attached to the items being returned. The specific requirements for each return will be managed by Procurement.
9. Equipment on Loan

The National Health Service is a constant target for companies who would like to sell their products within the Health Care market. With this in mind Trust staff may at times be approached by sales representatives offering to provide equipment free on loan or to supply goods free of charge. In these instances Trust staff should refuse acceptance of the equipment/goods unless the Trust has been provided protection via an indemnity agreement which is signed by the company or their representative in support of the free equipment / free on loan goods. It is very important that the Trust is fully indemnified against any potential problems which may occur particularly in the case of loan medical equipment before the goods are accepted on Trust premises.

It is imperative that we ensure that an individual NHS Form of Indemnity is completed and signed by the supplier; prior to acceptance of the goods which will cover both the Trust and the individual accepting the goods. Failure to do so will create issues around liability should anything unforeseen happen whilst the equipment / goods are being used by the Trust.

NB: It should be noted that this applies particularly to both patient related medical equipment and medical consumables

If the supplier is unwilling to sign an Indemnity form there are two options;

a. We do not accept the goods
b. We place an order with the supplier for the loan of the goods / equipment at a nominal fee, thereby covering the Trust contractually.

Unscrupulous companies will often offer free goods to the Trust or members of staff i.e. mobile phones which after a given “free period” will then tie the Trust up to a longer term contract that if difficult to get out of. Therefore rather than place both the Trust and the individual at risk please contact the Procurement department before accepting free or loan equipment.

NHS Master Indemnity Agreement (MIA)

The NHS holds a central register of suppliers who have completed indemnity agreements. Procurement must be informed before any engagement with suppliers to ensure that the supplier has a current MIA and arrange for the relevant paperwork is completed.

10. Engaging Agency and Consultancy Suppliers

Agency Suppliers

It is acknowledged that the appointment of Locum, Medical Agency Staff and Non-Medical contracted staff is a specialist area; however the process of appointing such staff is still covered by the Trusts Standing Orders. Whilst at present this area of expenditure is not placed via the Agresso Purchase order system the
financial limits as stated in section two of this document and individual budget authority levels will apply. The onus is therefore placed firmly with the manager/budget holder to ensure that the policies and procedures are followed.

There are a number of NHS contracted Agency and Locum suppliers the full list of which is open to change; this is because as part of the contract agreement the suppliers are subject to routine auditing which is carried out by the Government Procurement Audit team. The result of these audit reviews may mean that suppliers have their contract arrangement suspended if they fail to maintain the contract standards or in the worst case scenario have their contract terminated following any major breaches of the contract specification/terms. Therefore staff are asked to make sure that the supplier is still on contract prior to engaging temporary staff by either referring to the websites detailed below or by consulting with the Procurement team.

All contracted suppliers adhere to the Public Sector terms and conditions of contract; have been through a rigorous tendering procedure to get onto the contract and in doing so meet both the contract specification and the numerous governance standards and criteria within the NHS. This also includes confirmation of CRB checks, qualifications, the prospective employee’s identification, national insurance or a UK work permit.

**Website Links**

**Medical Locums**

http://www.athona.com

**Nurse Agency / Allied Health Professionals**

http://aims.buyingsolutions.gov.uk

**Non Medical / Non Clinical Temporary Staff**

http://www.buyingsolutions.gov.uk/services/ResourcingServices/nonmedicalnonclinical/?slis_ip_user=1

NB: In order to access these web sites, managers will need to log on via a password which can be set up on the web site (or alternatively they can request contract agency information from the Procurement department.

The importance of ensuring that agency staff are supplied via these framework agreements can be defined by the fact that:

- We achieve contract compliance,
- We ensure that the appointment is made under the NHS Terms & Conditions of Contract,
- We secure competitive NHS pricing,
- We reduce and/or eliminate risk
**Long term assignment**

For long terms assignments i.e. greater than £5,000.00 or where the emphasis is placed on the specialism of the candidate required “who you get” i.e. I.T. specialist in a particular system/software package as opposed to the more standard agency appointment i.e. admin support clerk; the Trust’s quotation/tender procedures will apply. This may be in the form of a mini-tender exercise conducted by the Procurement department with the NHS approved list of suppliers or a tender exercise carried out involving suppliers from a specialist market sector.

It is extremely important that before embarking on any such exercise managers should first discuss their issues with their contact in the Human Resources department. Human Resources will provide guidance for managers on the most appropriate option to follow i.e. short term contract and must sign off the preferred route for filling the post requirement.

**Consultancy**

Where the Trust is looking to engage the services of an outside consultant for a specific role or project Trust staff must also adhere to the Trusts Standing Orders. There are a number of Consultancy companies who have contracts with the Public Sector for a vast range of consultancy specialties. These companies have been through a tender process to achieve contract status and should wherever possible be invited to bid for such work.

Where the work involved is not covered by these agreements or where it is considered advantageous to the Trust to invite other suppliers currently not on contract into the tender arena. A formal tender process should be conducted by the Procurement department for these services which will include formulating a full specification of the work / project to be carried out, identifying timescales, determining whether travel & accommodation costs will be covered within the tender and developing a list of robust contract evaluation criteria. On no account should staff engage outside Consultancy providers without going through this due process. Purchase orders should be placed with Consultancy Company’s for all work and they should confirm the terms of their agreement, the period of their assignment and the prices paid. For any assignment where the full extent of the engagement is not known at the outset an estimated period should be quoted “subject to change” at the start of their appointment.

Where it is clear that the Consultancy service can only be obtained from a sole supply source a formal quote/tender waiver should be sought prior to the commencement of the assignment. Again it should be noted that such waivers must have a credible and supportable reason for being sole supply as this will be recorded and will be subject to scrutiny at the Trusts Audit Committee. Consultancy appointments should like other Trust services be monitored and managed by the service department to ensure that the agreed outputs are achieved. These outputs should be duly recorded and be open to audit scrutiny. It is advisable to seek the opinion of the Procurement department before embarking on the process on engaging outside consultants.
11. Disposals

One of the questions often asked is what do I do if I have a piece of equipment or furniture which is surplus to requirements, can I simply throw it away or can I let a member of staff purchase the equipment?

The answer to both parts of this question is no.

If the item that is deemed surplus/redundant is electrical and can no longer be used within the Trust; under the Waste Electrical and Electronic Equipment (WEEE) regulations which came into full force on 1st July 2007 we can no longer throw the item away in the general waste. All electrical items must now be disposed of in an environmentally friendly manner which encourages and enforces recycling of certain types of electrical and electronic equipment. Dependant on the original purchase arrangement of the equipment there maybe a charge levied for the disposal which should be picked up by the ward/department. Members of staff are asked to contact the Facilities department to seek advice and/or arrange for the collection/disposal of non-I.T. equipment, for I.T. equipment please contact the Health Informatics Service.

If the item is considered an asset or still has some monetary value the following process should be applied;

1. A disposal of equipment form (see appendix V) is completed which details such things as;
   a) item description,
   b) manufacturer,
   c) serial number,
   d) age of equipment,
   e) reason for disposal,
   f) condition,
   g) location,
   h) asset number (if applicable),
   i) viewing arrangements

2. Once completed the form must be signed by the appropriate budget holder and then forwarded onto the Procurement department who will make arrangement for the item to be;
   a) transferred to a ward/department within the Trust
   b) sold to another NHS Organisation
   c) sold via auction

The Finance department will be notified accordingly of any changes which affect the asset register.

With regards to the sale of equipment to members of our staff, it is not the policy of the Trust to sell items to Trust staff as we remain liable under Product Liability law for any problems which may occur after the property has transferred over to the member of staff e.g. if the piece of
equipment proves to be faulty and causes injury or damage to the person or their property then the liability for the injury/damage will be with the Trust.

Due to the many confidentiality issues surrounding the storage of Trust and Service User information all redundant computer hard drives are destroyed on Trust premises with the remaining computer parts sent for re-cycling.

**Barnsley BDU** – electronic disposal form on Connect

The Barnsley BDU will continue to use the electronic disposals form available through the Commercial Department section on Connect

The current Surplus Equipment and Disposal Procedure is available on the Supplies pages of Connect

12. **Transport**

**Rail / Air Travel**

Trust staff that have a rail or air travel requirement can arrange such journeys in the following ways providing of course they have the necessary funding and authority to do so:

1. They can book the travel themselves using their own finances and claim the monies back via the Trusts expenses route.

2. If they have access to the Redfern Travel on-line booking system (more often than not this is via their PA/Secretary) they can book the travel through this system ensuring that all information required i.e. travel journey details, passengers details, cost centre are quoted at the point of booking.

3. They can forward a procurement card requisition to the Procurement Department who will book the travel on their behalf. The requisition must include travel journey details, passenger details, cost centre and expenditure code and be duly authorised by the budget holder.

**NB:** It should be noted that cancellations of journeys should be dealt with at the earliest opportunity to ensure that any refunds can be duly sought. Guidance on booking Rail travel can be found on the Procurement departments intranet page [http://nww.swyt.nhs.uk/finance-procurement/Pages/Agresso.aspx](http://nww.swyt.nhs.uk/finance-procurement/Pages/Agresso.aspx)

**Service User Transport**

**Wakefield, Calderdale & Kirklees BDU**

The Trust currently has a Service User Transport contract with the company *Caring For You PTS Limited*. This service has been formerly tendered, arranged to
the Trust's own service specification and provides Trust Wide access. There are a number of dedicated services within the contract for day service assessments and an ad-hoc element for clinical appointments.

Managers whose services do not currently use the Service User Transport contract can do so however they may need to place a purchase order for the journey if it sits outside the contract remit. For advice on who is eligible to receive the service within the current contract price and how to engage with the Company please contact the Procurement department.

Barnsley BDU

Patient Transport Service at Mount Vernon Hospital is provided by Yorkshire Ambulance Service

**Taxis**

The Trust has a number of contractual arrangements with taxis companies within its five localities for details of these companies please contact either the Facilities department or the Procurement department.

13. **Contact details**

If you are unsure about any aspect of purchasing or require advice or Information please contact any of the following members of staff;

**Head of Procurement**

<table>
<thead>
<tr>
<th>Name</th>
<th>Tel No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tony Cooper</td>
<td>01977 628036</td>
</tr>
<tr>
<td>John Charlesworth</td>
<td>01226 434614</td>
</tr>
</tbody>
</table>

**Purchasing Manager**

<table>
<thead>
<tr>
<th>Name</th>
<th>Tel No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Denise Daykin</td>
<td>01977 628025</td>
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</table>

**Supplies Operations Manager**

<table>
<thead>
<tr>
<th>Name</th>
<th>Tel No</th>
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<tbody>
<tr>
<td>Gary Garvey</td>
<td>01226 434611</td>
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</table>

**Contracts Manager**

<table>
<thead>
<tr>
<th>Name</th>
<th>Tel No</th>
</tr>
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<tbody>
<tr>
<td>Michael King</td>
<td>01226 434606</td>
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</tbody>
</table>

**Buying Team (General day to day enquiries)**

<table>
<thead>
<tr>
<th>Name</th>
<th>Tel No</th>
</tr>
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<tbody>
<tr>
<td>Kathy Beverley</td>
<td>01226 434602</td>
</tr>
<tr>
<td>Carley Butcher</td>
<td>01226 434600</td>
</tr>
<tr>
<td>Martin Beards</td>
<td>01977 628027</td>
</tr>
<tr>
<td>Kevin Cocking</td>
<td>01977 628026</td>
</tr>
</tbody>
</table>
14. **Procurement Procedures and Procurement Options**

**Frequently Asked Questions**

This list of *Frequently Asked Questions* is provided to assist those members of Trust staff who through their role within the Trust have cause to (in their daily routine) or are responsible for ordering/requisitioning/approving non-pay expenditure for goods and services, to ensure that they fully comply with the relevant rules, laws, regulations, directives and standards applied to public sector purchasing.

**Question 1**

What is Agresso?

Agresso is the purchase to pay Finance and Procurement computer system used by the Trust.

**Question 2**

When should Agresso be used?

If an activity or an action undertaken by a member of SWYPFT staff will result in an invoice i.e. a telephone request to a supplier for the supply of goods or services, then a requisition must be raised on Agresso and an official purchase order placed.

**Exceptions:**

a) IT Purchases  
b) Purchase Card  
c) Train Travel  
d) Utilities


Question 3

What are the benefits to raising requisitions?

a) When a requisition is raised on Agresso, it identifies a commitment to spend an agreed amount of money, with a particular supplier for identified goods or services. Committed spend identifies forthcoming expenditure from your budget.

b) When goods or services are receipted on Agresso, the expenditure is fixed into that payment period, and the Agresso system automatically accrues this expenditure until an invoice is received and paid. This is particularly important at year end, when costs need to be attributed to the correct financial year.

c) Agresso performs a three way match (purchase order, goods receipt and invoice). If the invoice is received and matches to the purchase order, an automatic payment will be made providing that receipt has been notified on Agresso.

Question 4

Who can raise a requisition?

The budget holder nominates people within their department (budget line) to access Agresso and determines their role and authorisation limits. All authorisers can raise requisitions; however other users will only be able to raise requisitions for nominated cost centres.

Question 5

What is my authorisation limit?

Authorisation limits are primarily determined by the Trusts Scheme of Delegation and the Trusts Standing Financial Instructions, budget holders then agree with the Finance department the individual limits of their staff that are permitted to requisition/order goods from the designated budgets under their management control. Authorisation limits are per line on Agresso, not as traditional requisitions for the whole requisition.

Question 6

Why hasn't the requisition created into a purchase order?

There are three main reasons why a requisition has not been generated into a purchase order which are:
a) **UK Procure requisitions** – the requisition is waiting within Agresso to be approved by an authoriser.

b) **RFQ requisitions** – the requisition has not yet been processed by the Procurement department as there may be a query with the requisition or further work needs to be conducted by the procurement team before processing e.g. obtaining a competitive quote/tender.

c) **RFQ requisitions** – having been processed by the Procurement department the requisitioner has not yet approved the requisition, or the requisition is waiting to be approved by an authoriser.

The Agresso system does not automatically remind people to log on and approve requisitions; therefore it is important that requisitioners advise their approvers that they have placed a requisition.

**Question 7**

What is a transfer point?

Each delivery point within the Trust has an allocated code, which identifies to NHS Supply Chain and the Trust’s Receipt and Distribution Department the delivery address of placed orders this is known as a *transfer point*.

Barnsley BDU would have used the term “Requisition Point”

The cost of the order is charged to the cost centre and not the transfer point. A transfer point can be used by more than one cost centre.

**Question 8** (Barnsley BDU)

Will I still be able to order through NHS Supply Chain LoL (Logistics on Line) system?

The answer to this question is no.

Purchases from NHS Supply Chain are made through Agresso (Punchout)

**Question 9** (Barnsley BDU)

Will my delivery day remain the same?

The answer to this question is yes.

Delivery days will remain unaffected and in line with existing schedules. Attention will be needed when inputting demand for NHS Supply Chain items as requisitions will need to be input a maximum of 5 working days and a minimum of 2 working days before your scheduled delivery day.

Examples of Week 1 & 2 rota dates can be found ....
Question 10

What do I have to think about before raising an electronic requisition?

To enable Procurement to raise an order which fully meets your requirements, a good and accurate specification is required.

Specification:-

- Product Code / Supplier reference number
- Quantity
- Is what you want each or boxed? If boxed, how many in a box?
- Dimensions / Size
- Colour
- Price if known (or the maximum you want to pay excluding VAT, or £1 if not known)
- Supplier if known (if from a catalogue or website – which catalogue, which website)
- General description of what is required, including purpose
- Delivery - date required if important, site contact details and any access arrangements if direct delivery is involved

The accuracy in identifying requirements using a paper requisition and an electronic requisition is no different.

Note: Authorisation limits are per line on Agresso, not as traditional requisitions for the whole requisition

Question 11

How can I spend funds allocated in addition to my budget?

There are a number of funding streams available at different times. These include Innovation Funds non-recurrent monies and BDU under spend.

The criteria and guidelines for spending these allocations varies (please contact your Finance Manager for advice). Procurement can help find suitable suppliers and advise upon contracted products and suppliers prior to the funding request.

All non-pay expenditure must be delivered and receipted before the end of the financial year (31st March).

The Procurement rules for spending these monies still apply - not having enough time to undertake tendering is not a legal reason for non compliance and may break or infringe the Trusts Standing Orders/Standing Financial Instructions.
**Question 12**

**What are charitable funds?**

Charitable funds are available for patient focused activities e.g. toys, games, allotment equipment and plants, trips, venue fees etc.

Requests for funding are to be made to the Senior Financial Accountant, Telephone 01977 628043.

On approval a cost centre code is allocated and advice as to whether a requisition on Agresso is required.

**Question 13**

**Which department receives invoices from suppliers?**

All invoices should be addressed to Creditor Payments - Ward 4, South West Yorkshire Partnership NHS Foundation Trust, Castleford, Normanton & District Hospital, Lumley Street, Castleford WF10 5LT and sent directly from a supplier to this address quoting the purchase order number (or RFQ number).

**Invoices should not be sent to an individual**

**Question 14**

**Why are invoices not paid immediately they are received?**

All invoices received cannot be paid until the process for ensuring the invoice is bonfide has been followed and confirmation of its validity assured. This assurance check is achieved through two processes:

1. Where an order has been placed for the goods/services which has been formally approved by the budget holder through the order process said order needs to be receipted on Agresso and matched against the pre-registered invoice in line with financial procedures. Any discrepancies between the order/receipt/invoice are resolved by the Procurement department in partnership with the Creditor Payments department, the end user and invariably through contact with the supplier.

2. Where an invoice has been received following a purchase which has not gone through the formal Purchase Order route i.e. supply of agency staff, supply of utilities, the invoice is registered onto Agresso and a request for authorisation sent to the budget holder via the Agresso web approval system. Only when the invoice is approved on-line by the budget holder will the invoice be paid.

The Trust is signed up to the Better Payment Practice Code which requires organisations to pay to its suppliers on time and within agreed contractual terms. The majority of contracts require payment within 30 days of invoice;
however the Trust endeavours to pay its local SME (Small, Medium Enterprises) suppliers within 10 days.

To ensure that financial penalties are not incurred and that suppliers do not stop supplying, it is extremely important to ensure that you confirm all receipts of goods and services at the earliest opportunity.

**Question 15**

**Is payment of invoices not relating to purchase orders treated differently?**

All invoices which do not relate to a purchase order are coded by Management Accounts and electronically sent to the relevant approver. Until the invoice is approved on Agresso the invoice is unable to be paid.

**Question 16**

**Receipt & Distribution**

**Notifying receipt of goods**

When goods are received at Receipt and Distribution, they are checked to ensure that goods are not visibly damaged and that the goods received match the supplier’s delivery note. Goods are then “booked in” / receipted onto Agresso against the corresponding purchase order.

The act of receipting identifies to the organisation that an invoice is due and that goods require paying for.

**Note:** until the supplier receives payment the goods still belong to the supplier.

**Notifying receipt of directly delivered goods and services**

**Goods**

When goods are delivered directly to an address which is not Receipt and Distribution, it is the responsibility of the person receiving the goods to undertake the checks:-

- that goods are not visibly damaged
- goods received match the supplier’s delivery note
- any one signing for goods direct from a supplier where there is insufficient time to check and scrutinise the goods should sign the delivery not *unchecked* this ensures that any shortages or damage to the goods can be challenged at a later date.

It is also the responsibility of the person receiving the goods to notify Receipt and Distribution that the goods have been received by:-
a) sending the delivery note to Receipt and Distribution  
b) sending an e-mail to Stephen.Reeve@swyt.nhs.uk identifying the items received

E-mail title: PO 7057191 Screwfix (Supplier Name)

Text: Please book in – delivery note: A88099725 (this would indicated that all items have been received)

If all the expected items have not been received, then the items and quantities received would need to be listed e.g.

2900-12 8-way 2 input booster x 1

**Services (including training, consultants & buffets)**

When services are performed at an address, then the person who has initiated the service is responsible for notifying Receipt and Distribution that the service has taken place

Send an e-mail to Stephen.Reeve@swyt.nhs.uk identifying that the service is completed satisfactorily

a) E-mail title: PO 7057192 JTM (Supplier Name)

Text: Please book in above purchase order; the washing machine on Chantry has been repaired to my satisfaction

b) E-mail title: PO 7057193 West Yorkshire Psychological Therapies Training

Text: Please book in above purchase order; Denise Daykin has attended the course

**Note:** If the service is not satisfactory or someone isn’t attending a course, please contact Procurement in order that appropriate action can be taken

**Barnsley BDU**

The above procedure should be observed, however delivery notes should be sent to Sue Whicker in the Commercial Department at Kendray Hospital or receipt notified by e-mail to sue.whicker@swyt.nhs.uk
**Question 17**

Can I requisition any value of goods/services providing the total cost is within my budgetary approval limit?

In terms of the actual value of goods/services being purchased the budget holder/requisitioner authoriser has full authority to sanction such expenditure providing they have sufficient funds within their budget to do so.

(NB: The budget holder / requisitioner authoriser places the requisition (RFQ) on the Agresso system and the Procurement department will order the goods / services).

However, they should not commit expenditure to suppliers if;

a. The goods/services are not being provided from a Trust approved supply source.

b. The value of goods exceeds the Trusts quotation/tender thresholds of (£5,000/£15,000 respectively) and there is no formal National, Regional or Local contract in place to support the purchase.

c. The value of the goods/service exceeds the EU threshold of £101,323 and there is no formal National, Regional or Local contract in place to support the purchase.

(The Tendering Procedure is available in document format on the Trusts Intranet site)

d. The purchase is for clinical equipment which will require the completion and approval of a Pre Purchase Questionnaire (PPQ) to ensure clinical and infection control compliance before the purchase can take place.

e. The order is for furnishings which don’t meet the Trusts stringent Fire Retardancy standards

f. There has been no order issued by the Procurement department for the purchase.

NB: Requisitioners/Budget holders must not split orders in order to avoid Financial thresholds as this action is in direct breach of the Trusts Standing Financial Instructions (see section 10.9 g) and could therefore result in disciplinary action being taken.

Please remember that the Procurement Department and our Procurement Procedures exist for your, and the Trust’s protection. Therefore if you are in any doubt about the purchase you would like to make, require appropriate purchasing advice or would like to discuss potential contractual situations budget managers/requisitioners are strongly advised to contact the Procurement Department.
**Question 18**

What do I need to do if I have an urgent requirement outside normal office hours for the rental of specialist equipment? i.e. therapy bed, pressure mattress etc.

**Clinical urgent requirements**

All wards should have access to the Trust's Agresso Web requisitioning system therefore if there is a need to rent for example a Huntleigh Healthcare therapy bed or a pressure mattress etc, outside normal office hours you should place an RFQ (Request for Quotation) on Agresso and provide the company with the system generated requisition number as approval to rent the equipment. The Procurement department will then place the official order number when the office opens and then confirm the number to the supplier. If there is no one on your ward with Agresso access at the time of ordering and the supplier will accept a verbal order this may be accepted providing the RFQ (Request for Quotation) is followed up as soon as an Agresso user is available to place the request to the Procurement department.

This system should only be used in cases of extreme urgency where the ward cannot wait until the Procurement department is available to deal with the request.

**Non-Clinical urgent requirements**

Out of hours non-clinical urgent requirements are generally linked to services/goods provided by the Facilities department i.e. a broken boiler, broken window etc. These problems can be addressed through contacting the on-call engineers who have access to an out of hours emergency order system.

In extreme emergencies the RFQ number can be used as authority to purchase goods and services providing that they ensure that they follow through with the process and turn the RFQ requisition into a formal purchase order e.g. to arrange last minute hospitality catering. The provider of the catering service should then quote the RFQ number or the subsequent purchase order number on any invoices submitted to the Trust.

**Non-urgent requirements**

For problems such as broken televisions, DVD players etc which may at the time seem urgent. In these instances the ward should be able to wait until such time as the Procurement department can deal with the request.

**Question 19**

Can the Procurement department place a purchase order?

The procurement team are unable to place purchase orders that haven't been processed through the Agresso system except in the following circumstances:
a) via an IT Procurement Form  
b) via an authorised requisition for a Procurement Card Purchase  
c) When the Agresso system is not working  

If you are struggling to place a requisition please contact the Procurement Team.  

**Question 20**  

**What do I do if I am asked to sign a hire or lease agreement for a piece of equipment I would like for my department?**  

The hire/lease of equipment carries the same degree of responsibility for budget holders as any other purchase and as such budget holders are asked not to enter into arrangements that have not had prior involvement of the procurement team. Therefore prior to the stage of being asked to sign any hire/lease documents you must have first contacted the Procurement department for advice as the equipment you are looking to hire/lease may well be available on a National NHS or Public Sector Contract or at the very least should be purchased under the NHS Terms and Conditions of Contract.  

Many requisitioners/budget holders will no doubt be confronted by Sales Representatives who through their "Cold Calling" approach on your department may entice you upgrade or buy new equipment and then ask you to sign a hire/lease agreement for the said equipment.  

It is extremely important that you **do not** sign their paper work as in doing so you are then agreeing to their terms and conditions which may compromise the Trust. Irrespective as to whether you have contacted your Trust management accountant to determine if there are sufficient funds in your budget to upgrade/replace the equipment you should let the Procurement department conduct the procurement exercise. This will ensure that the NHS Terms and Conditions of Contract are applied and that the purchase you want/would like to make falls within your budgetary authorisation limited over the term of the hire/lease i.e. committing expenditure of £200.00 per quarter over a five-year contract period make exceed your authority level.  

**Please refer all reps for this type of purchase to the Procurement Department**  

**Question 21**  

**How do I purchase clinical equipment which is not sourced via the NHS Supply Chain catalogue?**  

Clinical equipment which is used in patient care must not be purchased without first consulting with the Procurement department who will provide guidance.  

The Trust currently purchases a standard range of clinical equipment which in most instances is supported via a Service Level Agreement / Contract. The standard range of equipment has been approved in terms of CE marking
requirements, management system standards, safety standards, service/spares/installation, ionising radiation, decontamination and warranty.

Any potential purchases made away from the standard range can only take place after approval has been given by the Medical Devices TAG /Medical Physics who will ensure that the equipment fully complies with all of the above.

Before initiating the procurement process for clinical equipment budget holders must also liaise with management accounts to ensure that funding is available within their budget for any on-going maintenance costs the equipment may require. Quite often equipment is purchased from revenue/capital monies without consideration of future demands on revenue budgets for essential routine maintenance.

**Question 22**

**What do I do if I need to change something on an order already placed or if I need to cancel it.**

If you need to change any detail on an order already placed on the Agresso purchase order system or wish to cancel a line or the full order you must always route such requests via the Procurement department. The Procurement department will contact the supplier on your behalf to make the amendments.

They will require confirmation of the changes from the requisitioner/budget holder (via email or fax) as these details will be entered on the notes facility within Agresso in order to satisfy and fully comply with audit requirements. The types of amendments usually requested are;

- Changes to the quantity ordered
- Changes the cost centre
- Changes to the product description/model

If the change required relates to a change of supplier of the goods/service from the one stated on the original order; the original order will need to be cancelled and a new order raised. Some changes to the order i.e. price, quantity will require the re-approval of the budget holder.

If the order has already been processed by the supplier i.e. the goods are on their way therefore quantity amendments and product additions cannot be processed at this stage. If the goods ordered are not required this will be dealt with by the Procurement Department on behalf of the ward /department through the Trusts returns procedure. There may be a cost to returning goods that are ordered in error which will be communicated to the ward/department before the return takes place.
Question 23

How do I order a photocopier?

If you would like to upgrade/purchase/lease a photocopier you must contact the Procurement department. You may have already spoken with the Finance department to determine if there is sufficient funding available within your budget however, having done so you must speak with the Procurement department who will guide you through the procurement process.

The Public Sector has national contracts in place for the lease and purchase of photocopying equipment. The equipment is supplied against nationally agreed pricing and under the Public Sector Terms and Conditions of Contract. The Trust has recently undertaken a review of its photocopier fleet and has now standardised with Canon (UK) Limited.

It is therefore imperative that requisitioners/budget holder do not engage with any photocopier suppliers outside of this agreement as the equipment they supply may have hidden clauses that will lock the Trust into longer term agreements and could present the Trust with problems / additional costs when we look to terminate the agreement or send the equipment back to the lease company i.e. there may be a charge for returning the machines, a contract roll over period or longer than usual termination period.

Question 24

What do I do if the goods/services that I am looking to buy aren’t in the Agresso catalogue and the supplier that can supply the goods/services requires a cheque with the order or payment up front before they will deliver the goods?

There is an onus placed on the NHS not to pay for goods up front in order that we do not make fruitless payments therefore wherever possible we will always look to deal with suppliers that will accept an official purchase order and then invoice the Trust for the goods/services.

However, there are occasions whereby the suppliers require either a cheque with order or full payment before they will release the goods. This maybe known at the time of purchase or may be discovered after an RFQ has been placed on the Agresso system. In these instances the requisitioner should complete either a “Cheque Request Form” or a “Requisition for a Procurement Card Purchase” (see appendix IV). Guidance on which form to complete will be provided by the Procurement Department. After completion both these forms must be sent to the Procurement department who will then forward the cheque request form onto account payments in the Finance department.
**Question 25**

Can I buy furniture and soft furnishings from standard home retailers such as IKEA or Argos either from petty cash or with a purchase order number?

The answer to this question is no.

The reasons being that the domestic furniture/soft furnishing market are not suitable for our Specialist Mental Health Trust environment as;

a. The products supplied do not satisfy/meet the stringent Fire Retardancy standards

b. The quality of the products supplied is a good deal lower than those products provided by the recognised NHS contracted companies making the items less robust and therefore a potential risk to both staff and service users.

**Question 26**

Can I buy electrical goods via petty cash for use in my ward/department?

The answer to this question is no.

The Trust has purchase arrangements with a range of approved suppliers who offer quality products at best value prices. Many of the smaller electrical products are available on the Trusts Agresso catalogue with other products provided via a non-catalogue supply route against contract pricing.

The Trust also has a duty of care to ensure that electrical products purchased satisfy health and safety requirements therefore before any electrical product can be used in any location within the Trust it must first be P.A.T. (Portable Appliance Testing) tested. This safety test is carried out by staff in the Trusts Receipt and Distribution Centre at Wakefield or in their absence the Facilities department. Only when electrical items have been tested and labelled as such are they considered safe for use. Purchases of electrical items through petty cash are in danger of not being tested and therefore place the Trust at risk.

**Question 27**

I would like to purchase a toaster for my ward/department why can’t I simply order the type I would use at home?

The Trusts Agresso catalogue provides toasters which are of a standard accepted by the Trusts Fire Officer. The domestic toaster however is not suitable for our hospital environment as;

a. Being of a domestic standard it is not robust enough to cope with the continual use within a hospital.
b. The domestic toaster doesn’t generally come supplied with a timer merely a pop up system. The timer system is recommended by the Trusts Fire Officer as it represents a reduced risk of fire.

NB: The biggest single cause of fires and fire brigade call-outs within all hospital Trusts is through the use of toasters.

The cost of the recommended type of toaster (Dualit) is considerably more than a domestic toaster however; with the reduction of a fire risk and the increased longevity of the product it is considered to be the only viable option.

**Question 28**

**Can I buy products from the internet and claim the money back via petty cash?**

The answer to this question is generally no.

The NHS has many major companies contracted to supply goods and services all of whom are proven supply sources supplying products to the required NHS standards. There are many risks associated with dealing with unknown internet companies notably if the goods supplied are received faulty returning them can be an issue, also any longer term problems with the products are very difficult to resolve if the Trust doesn’t have an established trading history with the supplier.

However, there is nothing to stop requisitioners using the internet as a supply reference and then contacting the Procurement department with the information for them to source the product from an approved supplier.

If it is clear that the purchase item is a definite requirement and can only be sourced via an internet supplier who does not accept formal purchase orders i.e. a specific publication; the purchase may still be made by completing a Purchase Card Requisition form (see appendix IV) which will then be dealt with and processed by the Procurement department.

**Question 29**

**What sort of items can I purchase from petty cash?**

There is a formal petty cash policy developed by the Finance department which details the areas of expenditure which can/cannot be addressed using petty cash these are;

**Items allowed**

- Service users travel expenses
- Stamps
- Food shopping
- Therapeutic activities
Question 30

How do I buy IT equipment?

The Trust has standardised on Dell computer equipment which means that requisitioners cannot simply go into their local PC World, Comet or Curry’s and select a system they would like for their department. At the outset bundled PC deals as seen in the newspapers or in retail outlets may seem attractive and value for money however the Trust looks at more than the bottom line price when purchasing its IT equipment covering issues such as;

a. Providing a standard specification (including networking ability and operating software supplied).

b. Maintenance requirements (level of support required by the Health Informatics Service)

c. After sales service

d. Compatibility with existing equipment

e. Compliance with Quotation/Tender process (the Dell equipment is supplied via a national Contract).

g. Warranty conditions.

To order IT equipment the requisitioner will require an IT Procurement form (see appendix III). These forms are available to download from the Finance Intranet site when you click on the Agresso Web Requisitioning icon on your PC desktop (if you don’t have access to Agresso or cannot access the Finance/Procurement intranet page; please contact the Procurement department who will ensure that you receive a form via email or by post). The form provides Guidance Notes on how to fill it in and should be signed (once completed) by the appropriate budget holder it should
also contain a relevant finance code for the purchase. The form addresses issues such as;

a. The type of equipment required.

b. Whether the requisitioner has existing equipment which can be re-used or requires recycling. (asset number details are required at this stage)

c. The type applications the end user will require access to outside the standard Outlook and Microsoft Office Professional software.

d. Whether the environment in which the PC is to be used is suitable i.e. the desk is PC compliant, there are sufficient free power sockets and the PC will be stored in a secure location.

e. If there are network requirements.

f. The end user details.

h. The reason(s) why the equipment is required.

If any of the information needs clarifying it may mean that a member of the Health Informatics Service conducts a site survey to ensure that the equipment supplied satisfies all of the above criteria.

To assist requisitioners with the selection of their PC requirements there is a copy of the latest Dell contract price list on the Finance intranet site which shows the standard specification supplied for both desktop and laptop computers. It also offers a number of upgrade options which may be required for the end user to conduct their role effectively i.e. DVD rewriter, increased memory, alternative monitor etc all of which can be added to the purchase request (subject to funding and approval of the budget holder).

**Question 31**

**Can I purchase off the shelf software packages or software products which I think would be useful for my role/department?**

The answer to this question is yes however; guidance will be provided from the Health Informatics Service on which software packages their department will actively support and how any non-standard software can be installed.

Where the Health Informatics Service does not support the software, a suitable maintenance / support package, at the time of purchase is required, this is particularly imperative for any major software packages or packages which are critical to business activity and are not covered by the Health Informatics Service. This policy should be borne in mind when looking to purchase non-standard software.
All software purchases must be made via the IT procurement form.

**Question 32**

*Can I buy cleaning products from a supermarket rather than use the current supply route.*

The answer to this question is no.

It is strongly advisable not to buy any cleaning or chemical products outside of the NHS Supply Chain purchasing route. The reason for this is that these products fall under the C.O.S.H.H. regulations category heading (Control of Substances Hazardous to Health) and as such we require full product specifications identifying chemical composition and information on what to do if the product has been spilt or ingested. All products supplied by NHS Supply Chain have C.O.S.H.H. data sheets readily available via their website. If there is a requirement to buy any C.O.S.H.H. related products outside of this supply route product data sheets must first be obtained prior to purchase. There are many other items covered by the COSHH regulations e.g. paint, solvents therefore care must be taken when purchasing all COSHH related products.

**Question 32**

*Can I contract for services such as job adverts if I receive a call from a prospective journal/magazine?*

The answer to this question is no.

Many phone calls received from companies who supply recruitment/trade journals and magazines are as a direct result of the Trust placing an advert via the Human Resources department. By agreeing to the companies request of placing the advert in their journal/magazine you are committing additional expenditure to the Trust which is not budgeted for and which may conceivably exceed your authority level. Therefore in order to safeguard both the Trust and yourself you must refuse any requests that have not been carried out through a formal channel.

**Question 33**

*What do I need to do when moving office or closing a service?*

When moving office/department or closing a service it is important to ensure that the appropriate checks and communications are put in place prior to the move or closure. In order to maintain or appropriately bring to a close a service the following points should be considered:

1. Does your new office/department location have a new transfer point for the delivery of goods/services to its new location? NB: This will need to be in place at least two weeks prior to the move and the Procurement team informed to ensure the continuation of the procurement services.
2. Do you have equipment that will need either transferring to your new location or returning to the supplier i.e. photocopier, water cooler etc. NB: The Procurement team will need to be informed at the earliest opportunity to arrange the equipment transfer or their removal prior to vacating the premises.

3. Has the post been redirected to the new location or cancelled via the Post Office Services?

Has the premise been vacated in line with the Trusts procedure for decommissioning / vacating properties? The checklist of areas to consider is available from the Trusts Planning department.
### WAIVER OF QUOTATION PROCEDURES
APPLICATION FOR APPROVAL

<table>
<thead>
<tr>
<th>EXPENDITURE VALUE BETWEEN £5,000 AND £15,000 (NET OF VAT)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant:</td>
</tr>
<tr>
<td>Department:</td>
</tr>
<tr>
<td>Description of Goods or Services Required:</td>
</tr>
<tr>
<td>Supplier:</td>
</tr>
<tr>
<td>Requisition Number:</td>
</tr>
<tr>
<td>Requisition Date:</td>
</tr>
<tr>
<td>RFQ Number:</td>
</tr>
<tr>
<td>RFQ Date:</td>
</tr>
<tr>
<td>Net Cost: £</td>
</tr>
<tr>
<td>VAT: £</td>
</tr>
<tr>
<td>Total Cost: £</td>
</tr>
</tbody>
</table>

**Information to support the Waiver Request:**
The expenditure involved in this purchase is between £5,000 - £15,000 (net of VAT) and should therefore be the subject of competitive quotations. However, in accordance with Standing Order (SFI 13.5) it is requested that this requirement be waived for the following reasons:

Applicant’s Signature:  
Job Title:  
Date:  

Authorised by:  
Job Title:  
Date:  

**Note:** Waiver of quotation procedures may be authorised after reviewing the supporting documentation by: Budget Manager, or Executive Director, or Chief Executive

**Note to applicant:** After authorisation, please forward a copy of this form to the Procurement Department together with an appropriately authorised non-stock requisition form or an RFQ reference number, whilst retaining a copy for your own files.

Head of Procurement:  
Date:  

Appendix I
WAIVER OF TENDER PROCEDURES
APPLICATION FOR APPROVAL

EXPENDITURE VALUE BETWEEN £15,000 (NET OF VAT) AND THE OJEU LIMIT (CURRENTLY £101,323)

<table>
<thead>
<tr>
<th>Applicant:</th>
<th>Department:</th>
</tr>
</thead>
</table>

| Description of Goods or Services Required: | |

| Supplier: | |
|-----------| |

<table>
<thead>
<tr>
<th>Requisition Number:</th>
<th>Requisition Date:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>RFQ Number:</th>
<th>RFQ Date:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Net Cost: £</th>
<th>VAT: £</th>
<th>Total Cost: £</th>
</tr>
</thead>
</table>

Information to support the Waiver Request:
The expenditure involved in this purchase is between £15,000 - £100,000 (net of VAT) and should therefore be the subject of competitive tenders. However, in accordance with Standing Orders (SFI 13.4) it is requested that this requirement be waived for the following reasons:

<table>
<thead>
<tr>
<th>Applicant’s Signature:</th>
<th>Job Title:</th>
<th>Date:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Authorised by Service Manager:</th>
<th>Signature &amp; Service:</th>
<th>Date:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Head of Procurement:</th>
<th>Date:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Accountable Officer - Chief Executive or Director of Finance</th>
<th>Date:</th>
</tr>
</thead>
</table>

Notes to applicant:
This form should be sent directly to the Chief Executives Office, Trust Headquarters, to enable authorisation together with any relevant supporting documentation and an appropriately authorised non-stock requisition, RFQ reference form/number. After authorisation, please forward this document to the Procurement Department together with the appropriately authorised non-stock requisition, RFQ reference form/number, whilst retaining a copy for your own files.

Appendix II
SECTION 1 –
Please refer to the attached Guidance Notes when completing this form...

<table>
<thead>
<tr>
<th>Requisitioner:</th>
<th>Job Title:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department:</td>
<td>Location/address</td>
</tr>
<tr>
<td>Tel/Contact No:</td>
<td>Date:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cost Code:</th>
<th>Expense Type:</th>
<th>Requisitioner:</th>
<th>Budget Holder:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>

Signed:
Print Name:

<table>
<thead>
<tr>
<th>Name of End-User(s) (to ensure the I.T equipment is deployed to the correct person)</th>
<th>Location:</th>
<th>Telephone Number:</th>
</tr>
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</table>

Please complete the following, all boxes must be completed or Order will be rejected:

**NOTE:** As the Budget Holder signing this form I can confirm that I have authorised the procurement of these goods/services and that the expenditure will not cause the Budget to become overspent as at the Financial Year End.
SECTION 2 – YOUR REQUIREMENTS (STANDARD ITEMS):

<table>
<thead>
<tr>
<th>Item/Description:</th>
<th>PRICE:</th>
<th>QTY:</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Ex VAT</td>
<td>Inc VAT</td>
<td></td>
</tr>
<tr>
<td>PC &amp; screen (includes keyboard and mouse)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Laptop (includes carrying case only)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Standard 17” screen</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Docking station</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Smart monitor stand (must be ordered with docking station)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Black &amp; White Printer (with Duplexer)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Printer Cable Included)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Colour Printer (with Duplexer)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Printer Cable Included)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>USB Storage device (512Mb approx 7000 word documents)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>USB Storage device (1gig approx 14000 word documents)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Additional/new Network Points (if required)</td>
<td>TBA</td>
<td>TBA</td>
<td></td>
</tr>
<tr>
<td>(Double Socket Provided, refer to Section 3)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prices are subject to change, confirmation of exact values will</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Be sent by e-mail upon receipt of order.</td>
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</tbody>
</table>

YOUR REQUIREMENTS (NON-STANDARD ITEMS): Details of ALL other IT hardware, software or other IT related procurement requirements should be given below.

<table>
<thead>
<tr>
<th>Item/Description:</th>
<th>PRICE:</th>
<th>QTY:</th>
<th>Total</th>
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<tbody>
<tr>
<td></td>
<td>Ex VAT</td>
<td>Inc VAT</td>
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</table>

Total:
SECTION 3 – THE USER ENVIRONMENT

The User Environment is the responsibility of the User; you must ensure that the following requirements are met. If you answer ‘No’ to any of the following requirements, you must arrange for them to be met prior to installation or The Health Informatics Service will be unable to set-up your equipment.

- Is there a suitable desk with adequate working space where the PC is to be located? Yes/No
- Is the Location of the PC Secure? Yes/No
- Are there enough **FREE** power sockets within 1 Metre of the Desk? Yes/No
  (3 if you have ordered a PC and Printer, 2 for a PC Only, 2 for a Laptop & Printer, 3 for a laptop/docking station monitor and printer)
  **If no free sockets are available please contact facilities to have these installed before proceeding with this procurement**

SECTION 4 – NETWORK POINT DETAILS

If you require a network point installing (as identified by site audit or the Service Desk) please complete the following details:-

<table>
<thead>
<tr>
<th><strong>Site Location:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>(Where point to be installed)</td>
</tr>
<tr>
<td>Please include full address AND post code for site.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Location Contact Name:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>(Name of person in office where point to be installed)</td>
</tr>
<tr>
<td>Alternate contact would also be useful.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Contact Tel No:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>(No of person in Office where point to be installed)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Number of Network Point(s):</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>(Double points are provided which will support up to two PC’s in same office from the one installation)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Site Audit. Please call the IT Service Desk</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>If you are unsure as to whether you require a network point, please contact the Service desk and request a network survey of your location.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Site Access Details and Any Other Information:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>(Opening Times, if key’s required, etc)</td>
</tr>
</tbody>
</table>

SECTION 5 - PROCUREMENT JUSTIFICATION

Please enter a brief description of why the equipment is required and the benefits that it presents to the Organisation:—

**THIS MUST BE FILLED IN OR THE ORDER WILL BE REJECTED**

<p>| |</p>
<table>
<thead>
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</tbody>
</table>

Once Completed please return this form to:-

**Procurement Department,**
Ward 4 Finance, Castleford & Normanton District Hospital, Lumley Street, Castleford, WF10 5LT **Fax No 01977 628029**
Guidance Notes

Section 1: Enter your Name in the ‘Originator’ section and all your relevant details, and the date that you are submitting the procurement form. Enter your Cost Code and Expense Type, Sign as the Originator and acquire the Budget holder’s signature.

End-User details: This section should be completed if you have ordered a new PC/Laptop as we need to know the name/details of the User who will be using the equipment. Enter the individual’s name and indicate in the column provided whether they are existing Users or New Users. If they are New Users then IT know that a new user account needs to be setup on the system.

Section 2: Enter the ‘Quantity’ of each item required in the ‘Qty Required’ column and indicate where relevant if training is required. If your equipment is not listed, complete the ‘Non-Standard’ section and attach any relevant quotations which you may have obtained to the back of the Procurement Form.

Section 3: This section informs you that it is YOUR RESPONSIBILITY to ensure that there is a suitable environment for any new equipment that you have ordered. Especially for new PC/Laptop’s and Printers. If you require any further information on desk/power point availability please contact the Facilities Hotline on 01924 327341 (3327-7341).

Section 4: If you are requesting a new Network Point then you must complete this form to enable us to establish your exact requirements. Please provide additional site access details, i.e. opening hours etc.

Section 5: You should enter the basic details/reasoning as to why this equipment is required and of what benefit it is to the Organisation.

If you require any assistance at any point, please contact Procurement on 01977 628026.

Appendix III
# REQUISITION FOR PROCUREMENT CARD PURCHASE

<table>
<thead>
<tr>
<th>UNIT/HOSPITAL:</th>
<th>WARD/DEPARTMENT:</th>
<th>TRANSFER POINT No:</th>
</tr>
</thead>
<tbody>
<tr>
<td>REQUISITIONED BY:</td>
<td>EXT No</td>
<td>BUDGET HOLDER: (SIGNATURE)</td>
</tr>
<tr>
<td>DATE:</td>
<td></td>
<td>BUDGET HOLDER NAME: (PLEASE PRINT)</td>
</tr>
<tr>
<td>DATE:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Quantity</th>
<th>Item/Description</th>
<th>Suggested Supplier</th>
<th>Cost Centre</th>
<th>Subjective Code</th>
</tr>
</thead>
</table>

APPENDIX IV
Equipment Transfer/ Disposal Notification

From: Ward/ Department

<table>
<thead>
<tr>
<th>Item Description:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manufacturer:</td>
</tr>
<tr>
<td>Serial Number:</td>
</tr>
<tr>
<td>Service Records Available? Yes/No</td>
</tr>
<tr>
<td>Reason no longer required:</td>
</tr>
<tr>
<td>Decontamination Certificate Required? Yes / No</td>
</tr>
<tr>
<td>Decontamination Certificate Completed? Yes / No</td>
</tr>
<tr>
<td>Advice from EBME - Required? - Yes / No</td>
</tr>
<tr>
<td>Advice from Estates - Required? - Yes / No</td>
</tr>
<tr>
<td>Condition: (please circle) Good Fair Poor Condemned</td>
</tr>
<tr>
<td>Is this item suitable for sale to another NHS Trust? Yes / No</td>
</tr>
<tr>
<td>Comment:</td>
</tr>
<tr>
<td>Location of Equipment:</td>
</tr>
<tr>
<td>* Capital Asset: Yes / No</td>
</tr>
<tr>
<td>If Capital Asset - Estimated replacement value - £</td>
</tr>
</tbody>
</table>

Arrangements to view via (please print name)__________________________________________

Telephone Number:___________ Date by which removal required: ________________

Requested by: __________________________ Date: ___________________

To be (ticked): Transferred () to ______________________ Scrapped ()

For transfers and scrapping, arrangements to be made by Head of Department subject to approval for capital assets*

Sold () Other() __________________________

Sales and charitable donations will be arranged by the Procurement Department

Approved by: Business Manager / Head of Department ________________

Head of Procurement __________________________ Date ________________

* For Capital Assets: Approved and actioned by: (for Director of Finance)

_________________________ Date ________________