

IM&T Purchasing & Procurement

Policy & Procedure

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# 1. IM&T Services Purchasing, Procurement and Development Control Procedure

# General Policy Statement

The objectives of the organisation's IM&T purchasing, service change and project initiation policy are to ensure they support the strategic IM&T objectives of Trust, ensure compliance with national and local IM&T standards and ensure maximum long-term value for money. The following general principles must be applied in all IM&T related purchasing, service changes and project starts:

1. All purchases/developments must be suitable for the purpose for which they are acquired, and that all relevant costs are identified and funding in advance of a procurement or development/project start
2. All purchases/developments must be of an acceptable quality;
3. Purchasing and development decisions must take into account the long-term cost of all acquisitions;
4. Orders must be placed using the appropriate forms on the intranet. The forms require budget code holder approval prior to the order being placed.
5. All purchases/developments must have technical approval from the ICT Business & Telecommunications Manager and financial authority approval from the budget holder to whom costs will be charged;
6. All products or services purchased externally must be on the approved IM&T products list unless specific permission is given to purchase a non-approved product/service;
7. All suppliers of goods and/or services to the organisation must be on the approved suppliers list unless specific permission is given to purchase from non-approved suppliers;
8. Purchasing must be sufficiently flexible to allow rapid response to operational requirements and to enable the organisation to take advantages of business opportunities arising from new IT products or services;
9. IM&T purchasing/developments should:
	1. Conform to agreed local and national IM&T policy and strategy.
	2. Assist management in controlling IM&T expenditure.
	3. Be efficient & flexible.
	4. Assist in the control of IT inventory.
	5. Comply with NHS Information Governance Standards and national legislation (e.g. Data Protection Act)
	6. Where the estimated cost of the development requires, follow the approval route set out in the NHS Capital Investment Manual for production and approval of outline and Full Business Cases (see Appendix

# 2. Procedure for Purchasing an Item on the Standard List

1. The ICT department will maintain a list of standard hardware and software products including PCs, laptops, software, printers and mobile devices, Appendix 1. All products on the Standard list have technical approval as defined in this policy.
2. To purchase a product on the standard hardware list, complete the ICT Equipment Order Request Form which is located in Appendix 4 of this policy. A cost centre and signature of the budget holder or authorised signatory must be completed and the form faxed back to the ICT department.
3. The Business & Telecoms Officer will then raise the requisition.
4. All PCs will be delivered to site and will be installed by an IT technician only and NOT directly to the user. A job will need to be logged with the IT service desk to arrange installation.
* The technician will install all new updates as well as any pre-ordered software.
* PCs will also be logged down in the asset register which will include the username, location and asset tag number.
* PCs will be added to the active directory.

All computers are now labelled and imaged with the ELCMHT standard PC set up before leaving the factory. This may involve several steps. Typical activities include:

* configuring;
* setting up standard software;
* installing the required application software;
* creating a network address;
* adding virus protection;
* adding security features (software or hardware);
* tagging (i.e. putting a reference number tag on the product).
1. All handhelds, laptops and mobile devices will be delivered to the ICT Department not directly to the user. The reasons for this are:
* The ICT Department can check that the correct goods have been delivered.
* Where appropriate, the goods can be tested, and set up. This may involve several steps. Typical activities include:
* configuring;
* setting up standard software;
* installing the required application software;
* creating a network address;
* adding virus protection;
* adding security features (software or hardware);
* tagging (i.e. putting a reference number tag on the product);
* Device added to the asset list.
1. The purchaser must inform ICT of all items delivered directly to site so they can be entered into the IT inventory and receipt the order for payment on Oracle.
2. For software, licences must be checked, quantity or corporate discounts confirmed and any necessary registration or site licence agreement compliance procedures carried out.

# 3. Procedure for Purchasing Non-standard Equipment, Software and Services

1. A brief initial case for the purchase must be submitted to the Associate Director of ICT. It must state
	1. What is required?
	2. Why it is needed, what business need will be met.
	3. When it will be needed, implications of missing target dates.
	4. Estimated costs and budgetary limits.
	5. Name and designation of budget holder who will authorise expenditure

In the majority of cases, completing the standard forms included at Appendix 5 is expected to be sufficient, providing the above issues are covered in the supporting narrative. If the request is straight forward; e.g. 1 or 2 additional data / telephone points; it will be passed to an IT officer for technical approval and to provide a detailed quote.

1. If the purchase required is part of a significant or capital development project, or has significant technical implications, then an IM&T lead will be assigned to manage those aspects of the project. All IM&T costs, including the cost of additional IM&T staffing if required, will be charged to the capital development/ project. See Appendix 3 “Information and Communications Technology (ICT) Requirements to be Included in Capital Investment and Refurbishment Plans”
2. The purchase of, development of or change to key systems – especially where they hold personal/sensitive data or support performance management – requires thorough assessment in line with national Information Governance requirements (see section 4 for more detail).
3. Requests that are not straightforward will be referred to the Information Directorate Management Team for technical approval, in some cases a more detailed business case and higher level approval may be requested, see Appendix 2. For example if:
	1. It is expensive;
	2. It has technical implications for other parts of the system/other systems;
	3. It has wider organisational implications;
	4. Special implementation is required;
	5. It is likely to generate additional support requirements.
4. All approved projects will be assigned a named IM&T lead and the project proposer must assign a named user contact.
5. All IM&T projects will be conducted using the PRINCE 2 project methodology.
6. Appeals must have the support of the relevant Directorate Management Team and will be made to the Trust’s CfH Programme Board.

# 4. Controls on New systems, System Changes and proposals for developing and using Databases

###### All databases/systems

Before a system or database project goes into the detailed planning and implementation stages the following details need to be set out in a Project Brief and considered by the Trust’s ICT Team.

The brief will need to address the following areas as a minimum: -

**Specification**

An outline of the purpose of the system/change/development

How this supports service objectives

How this supports the Trust’s wider IM&T strategic objectives

**Costs, benefits and funding**

Expected costs

Expected benefits

Assurance on funding

**Project management**

Project management arrangements

**System management**

Proposed system manager

Proposed location of system – standalone, or on network

**Contractual and support arrangements**

Details/costs of third party support contracts, Service Level Agreements, performance standards and contacts (for escalation of faults via the helpdesk)

SLAs

**System environment**

Scale/scope/purpose and usage expected of the database/system – number of users and frequency of access required

Assessment of potential Network traffic impacts (Number of users and frequency of access)

#### System testing

Details of Pilot/Run tests to check impact on other network users

**System and service continuity**

Agreed support and system management and security arrangements

Agreement of protocols for taking the system out of use if the network does prove unable to support the system

Agreement and documentation of service continuity, contingency, data back-up and appropriate remote data storage and disaster recovery plans

**Information Governance Requirements**

Assurance that the system/development meets national Information Governance Standards – in particular

* Formal gate-keeping and approval/sponsorship of system access in line with NHS Registration Authority requirements
* CfH Statement of Compliance (See Appendix 4)
* Data Protection Act requirements
* Appropriate and secure arrangements for remote access to the system (if maintained via a third party)
* Role Base Access Controls (RBAC) that ensure “need to know” only restrictions to access personal and sensitive data
* Appropriate controls and protection against viruses and malicious code (especially for third party hosted systems)

**Information reporting and Data Quality**

All proposals and system changes must be assessed to ensure that information reporting components meet NHS data dictionary and data quality standards and that any impact on this is formally assessed prior to selection of suppliers and deployment

###### Access Databases - Special controls are needed here as

1. Access databases do not perform well over networks
2. If hosted on networks, they need to be specially configured and even then can be very heavy users of bandwidth
3. This very often leads to major performance problems for all users of the network (email, internet access, H and P Drives) including those users not using the database
4. Other Trusts hosting services for our staff will not install Access Databases (with several users) on their networks for this reason
5. ELCMHT's Information Strategy introduced development controls/standards/prior approval for new databases to avoid this problem and ensure there is a gateway to check System Management and Data Protection Controls are in place

# 5. IM&T Requirements for service development, capital development, refurbishment and accommodation/re-location

The Trust must ensure that ICT budget allowances for services set out in Appendix 3 of this paper are considered and included within all service development, capital development, and refurbishment and accommodation/relocation scheme budgets.

This includes making provision for installation, support, maintenance and rolling equipment replacement programmes

# Appendix 1 - IM&T Standard List

# This has been moved to the ICT Intranet page:

# <http://elcmhtintranet/ICT_Dept.html>

# *If this link doesn’t work just copy it into your browser.*

#

#

# Appendix 2 – The Five Case Model

1. The Strategic Case.

The overall strategic context for Information Management & Technology. It explains how the proposed IM&T investment will support and contribute to improved health and the effective and efficient development and provision of healthcare. Within the Outline Business Case (OBC) identify the relevant NHS and Information policies and targets, as well as the Trust's own priorities, that relate to the proposed work. Identify the objectives of the investment. At Full Business Case (FBC) stage re-confirm the continued validity of the Strategic Case.

2. The Economic Case.

Preparing the economic case involves establishing a list of options, assessing their costs, quantifying their benefits, assessing risks, and establishing a preferred option. It needs to be based on a clear link between the strategic case and the options to meet it.

3. The Financial Case.

The OBC should contain some indicative costs for the solution, (based on a survey of selected suppliers) source of funding and a statement on affordability. At FBC stage confirm affordability before award of contract.

4. The Commercial Case.

The OBC should demonstrate whether European Union procurement processes are being followed and that procurement decisions are appropriately delegated to the Board of ELCMHT.

We shall invite/consider private finance/PPP procurement methods during discussions with suppliers and such funding will be pursued should suppliers be willing to consider the approach and should it demonstrate value for money benefits for the Trust.

5. The Project Management Case

The OBC must demonstrate a clear Project Management structure for the work. Implementation, Benefits realisation and risk management plans will be further developed as part of the FBC

**Financial Approval Thresholds**

The requirements for financial approval of IM&T business cases are based on the whole life cost of the proposed investment and its relation to the delegated limit, as shown in the table below (YES means approval needed by).

|  |  |  |  |
| --- | --- | --- | --- |
| Investment size | Trust Board | NHS Executive | HM Treasury |
| Whole life cost less than £250,000 **and** Trust turnover less than £30 million | YES |  |  |
| Whole life cost more than £250,000 **and** Trust turnover less than £30 million | YES | YES |  |
| Whole life cost less than delegated limit of £1m **and** Trust turnover more than £30 million | YES |  |  |
| Whole life cost more than delegated limit, and less than £20m  | YES | YES |  |
| Whole life cost more than £20m **and** it is a Full Business Case [see Note 3] | YES | YES | YES |

Detailed financial modelling will be undertaken at Full Business Case stage (when a likely schedule of payments will have been negotiated with preferred suppliers and when cash and resource releasing benefits will have been quantified)

# Appendix 3 - Capital and Service developments; Refurbishment and relocations

INFORMATION AND COMMUNICATION TECHNOLOGY (ICT) REQUIREMENTS TO BE INCLUDED IN CAPITAL INVESTMENT AND REFURBISHMENT PLANS

(As agreed by Capital Project Steering Group March 2001)

1. **INTRODUCTION/PURPOSE OF PAPER**

In January 2001, the Trust’s Executive Group agrees that any new service and capital development budgets should explicitly include ICT (amongst other corporate) costs within their plans and budgets – as no other central funds were available.

This paper set out the types of ICT services, equipment and structured cabling, which the Trust’s Information Management & Technology (IM&T) Directorate recommend are included within the design and budgets of capital schemes.

The ICT industry is fast moving with rapidly changing technical standards. It is therefore essential that an ICT specialist - preferably from within the Trust’s IM&T Directorate - is involved from the outset in all relevant stages of development projects.

1. **ICT SERVICES, EQUIPMENT AND INFRASTRUCTURE TYPES**

**2.1 CAPITAL**

**2.1.1. Basic Infrastructure and desktop services**

**a) Information Technology**

Inclusion of IT structured cabling (including trunking and pull through), hubs, routers, switches and sockets to all relevant clinical, patient/user and admin areas

Purchase of new Domain Servers, PCs, and printers where required and where none being transferred

PC and Server Operating systems, Office and other Applications software - as user based or site licences as required

Ensuring all relevant staff groups are provided with Email, Internet and shared network based services access. Provision of PCs, licences and cabling for staff should be the minimum requirement – with particular regard to enabling access to service critical systems (e.g. electronic patient records) and enabling the timely capture and recording of information on those systems.

Wireless Local Area Network technology where deemed appropriate.

**b) Communications Technology**

Inclusion of relevant Telecommunications structured cabling, switches, telephone switchboard and sockets to all relevant clinical, patient/user and admin areas.

Purchase of new handsets and faxes where required and where none being transferred

Software and other user based licences required.

Ensuring that Mobile phone, air-call/bleep signal coverage is adequate for the delivery of business needs in all areas

**c) Patient Power**

Where appropriate – and subject to local/national policy- developments should recognise the requirement to provide bedside phones and digital TVs. As a minimum the cable trunking and pull throughs should be provided

**d) General**

Appropriate physical security (e.g. swipe card/CCTV) and environment management (e.g. Air conditioning) in key distribution point locations (Server rooms etc) and for valuable/portable items.

Appropriate physical security arrangements for physical records stores/libraries - NB Patient and Staff Records

Power supplies - including UPS and smoothing protection for power supplies to key distribution points on networks and switchboards

Power sockets sufficient to cope with all equipment to be installed (Most PCs require two sockets, Printers/faxes need one)

Office furniture and fixed cabinets able to host the above equipment

Installation where required of physical and visual aids to ensure compliance with health and safety and disability discrimination requirements

**2.1.2. Systems**

Where new developments require the provision of new systems these should be specified in a formally signed off Output Based Specification (OBS) which will form part of any contract agreed with the supplier/consortium building the facilities or providing services.

The OBS is a detailed specification of systems requirements and should also include sufficient technical information to enable effective network design, sizing and costing.

The design of any new system should support and be consistent with the planned working practices or "Operational Policies" agreed for each new department or service. These documents will which define working arrangements, system access and equipment required in each new location.

The points from which access to specific systems is required should be clearly set out in relevant “Room Sheets”.

**2.1.3 Design and installation costs associated with the above (professional fees)**

* + 1. **ICT technician Support**

All development budgets should include the costs of a project post to support the detailed design, user input and IM&T Dept and supplier liaison to the project.

Budgets should also allow for provision of on site ICT planning, support and testing during any installation and decant stages

**2.1.5. Training**

Any IT or Telephone service training needs for users and professional ICT staff engaged to support the new services

**2.1.6. Process redesign**

Training and support for any process design and benefits realisation work arising from IT or new systems installation or services

**2.2 ONGOING REVENUE COSTS ASSOCIATED WITH THE ABOVE**

All ongoing revenue costs associated with rental, lease or maintenance and upgrade of equipment, communications lines, software and licences

On going IT support staff for expanded user base

Any ongoing training required

**3. GENERAL/CONCLUSION**

The Trust must ensure that ICT budget allowances for services set out in section 2 of this paper are considered and included within all service development, capital development, and refurbishment and accommodation/relocation scheme budgets.

As most IT equipment has short (3/4 year) life cycle - a rolling replacement programme for such items should be established and allowed for in appropriate capital budgets

# Appendix 4 NHS CfH Statement of Compliance Standards

**Key standards from Information Governance (IG) Toolkit**

|  |  |
| --- | --- |
| 101 | The MHT must have adequate governance in place to support the current and evolving IG agenda |
| 102 | The MHT must have access to adequate confidentiality and data protection expertise |
| 103 | The MHT must have access to adequate information security expertise |
| 109 | The MHT must ensure that staff and those working on behalf of the organisation comply with the terms and conditions set out on the RA01 form |
| 110 | The MHT must have formal contractual arrangements that include information governance requirements with all contractors and support organisations |
| 111 | All those carrying out work on behalf of the MHT must have employment contracts that clearly identify their responsibility for compliance with information governance requirements  |
| 113 | The MHT must assess staff training needs and ensure that job/role specific information governance training is provided to all staff |
| 201 | The MHT must have a Confidentiality Code of Conduct that provides all staff with clear guidance on the disclosure of patient personal information |
| 202 | The MHT must ensure that processing of confidential patient information is supported by appropriate patient consent or other applicable legal justification  |
| 206 | The MHT must have adequate procedures for managing patient confidentiality alerts and monitoring system audit trail data to safeguard patient confidentiality  |
| 208 | The MHT must have in place safe-haven procedures for all routine flows of patient personal information to the MHT |
| 302 | Documented and accessible IG event reporting and investigation procedures must be in place and explained to staff  |
| 303 | Staff Registration/Authentication processes which fully meet NHS CFH requirements must be in place  |
| 304 | The MHT must have developed a plan for phasing in ‘Legitimate Relationship’ access controls?  |
| 308 | The MHT must ensure that digital information shared with other organisations is secure in transit |
| 313 | Procedures must be in place to ensure that all information networks under the MHT’s control are configured, managed, operated and used in a secure manner  |
| 401 | The MHT must have documented and monitored procedures for ensuring that the correct NHS Number is allocated/recorded and used for every patient  |

**Key Guidance Document(s)**

- NHS CFH SoC overview

- NHS CFH SOC1

# <http://nww.connectingforhealth.nhs.uk/implementation/registrationauthorities>Appendix 5 – IMT Purchasing Procurement Forms

**Please see the full list of IT request forms by clicking** [**here**](http://elftintranet/sites/common/Private/Community_View.aspx?id=407&pageid=4616)