

**STATEMENT of POLICY and PROCEDURE**

Manual:	Finance and Accounting	SPP No.	<b>FN 2.09</b>
Section:	Purchasing Cycle	Issued:	Apr 12, 2009
Subject:	<b>SHIPPING AND RECEIVING</b>	Effective:	Apr 12, 2009
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**1 POLICY**

- 1.01 The Institute will follow strict policies for shipping and receiving goods to or from locations governed by Thunder Bay Regional Research Institute and to and from locations governed by its service provider, Thunder Bay Regional Health Sciences Centre (TBRHSC).

**2 PURPOSE**

- 2.01 To responsibly scrutinise all goods, received and shipped, to and from locations governed by Thunder Bay Regional Research Institute and to and from locations governed by its service provider, Thunder Bay Regional Health Sciences Centre (TBRHSC).

**3 HOURS OF OPERATION**

The normal shipping and receiving hours are Monday through Friday, 0700 hours to 1500 hours.

**4 RESPONSIBILITY**

- 4.01 The Thunder Bay Regional Health Sciences Centre (TBRHSC) receiving department is responsible for receiving all incoming goods for Thunder Bay Regional Research Institute as stipulated in the services agreement.

- 4.02 The scientist/researcher is responsible for receiving goods that may be directly delivered to their laboratory or office. The scientist/researcher must follow procedures stipulated in this policy. The scientist/researcher is also responsible for:

- Taking action on any issues associated with the received goods or service if they have directly received the goods or services.
- Ensuring that equipment for patient use is shipped to TBRHSC for mandatory safety inspections.
- Ensuring that equipment has obtained Canada Standards Association (CSA) or recognized equivalent approval prior to using the equipment.

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**5 RECEIVING PROCEDURE**

- 5.01 By following the steps stipulated in Section 6 and referring to the steps set out in Attachment A - "Purchasing of Research Equipment", all receipts are recorded "daily" by the Receiver (TBRHSC Form ENV-16). The time, vendor, carrier, purchase order number and number of pieces received are recorded by the Receiver and confirmed with their signature.
- 5.02 When goods are delivered and received directly by the scientist/researcher, the scientist/researcher must abide by the procedures set out in Section 6, follow the flowchart diagrammed in Attachment A – "Purchasing of Research Equipment" and complete TBRHSC Form ENV-16. TBRHSC Form ENV-16 must be faxed along with the packing slip or, in the absence of the packing slip, a completed TBRHSC Form ENV-04 directly to the TBRHSC shipping and receiving department.

When receiving goods directly, the scientist/researcher must send all information and manuals to the TBRHSC shipping and receiving department. The scientist/researcher may retain a copy of the information and manuals for their own reference.

**6 CSA OR EQUIVALENT APPROVAL REQUIRED ON GOODS RECEIVED**

- 6.01 For electrical equipment used in research, including goods directly received by the scientist/researcher, the receiver/scientist/researcher must abide by the following procedures and the steps diagrammed in Attachment A – "Purchasing of Research Equipment":
1. For electrical equipment which was received without CSA or equivalent approval:
    - a. The scientist/researcher and TBRHSC's Electrical Supervisor will review equipment specifications and assist the TBRHSC's purchasing department with Electrical Safety Authority (ESA) contact and assessment.
    - b. The scientist/researcher completes the ESA approval request paperwork and provides specifications to TBRHSC's purchasing department.
    - c. TBRHSC's purchasing department will contact ESA for an offsite

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assessment.

- d. When approval is confirmed or confirmation is made that an onsite review is needed, the scientist/researcher along with the Director of Research Operations, shall coordinate with Lakehead University an ESA onsite inspection.
- e. The scientist/researcher shall give reasonable timing from the initial receipt of the electrical equipment to when the ESA inspection is performed. Delays may occur for any reason including, but not limited to, possible scheduling conflicts with Lakehead University, efficient scheduling of the inspection to ensure optimal cost savings or the need for modifications to the equipment to bring the equipment to acceptable ESA approval levels.
- f. Once the requirements for a positive approval are met, the electrical equipment will be released to the scientist/researcher after following receiving procedures, if not already completed, as set out in Section 6.02.

**CSA OR EQUIV APPROVAL NOT REQUIRED FOR GOODS RECEIVED**

6.02 For electrical equipment and other goods received not requiring CSA or equivalent approval or electrical equipment that has obtained ESA approval as completed in Section 6.01, the following procedures must be followed:

1. All receipts are checked and verified with the vendor packing slip for accuracy.
2. The packing slip is then confirmed with the finance system purchase order or by comparing the packing slip to the “outstanding purchasing order” report (701111/16).
3. If there is no packing slip, the Receiver must complete a Goods Received Report (TBRHSC Form ENV-04).
4. Once verified, the packing slip is stamped and information recorded. (Date, purchase order number, department, signature etc.)
5. Receipts received without destination I.D. will be opened for inspection/destination.
6. Once receipts are processed, products are expedited to the requisitioning department or to an inventory bin location.
7. All non-stock receipts are recorded in a delivery book (ENV-11) and signed for by the appropriate department.

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8. It is the TBHRSC's Materiel Distribution department's practice to expedite all receipts to their location the same day the shipments are received.

6.03 To ensure patient safety, electrical equipment, including any equipment that will be used for or on patients at a future date, and other goods received that are deemed for patient use, the strict policies of Thunder Bay Regional Health Sciences Centre shall be used. These policies may include, but are not limited to, TBRHSC's CSA/ESA , Health Canada and Biomedical Engineering policies and procedures.

6.04 For goods purchased and directly paid online or via telephone or for goods purchased for no cash consideration, the scientist/researcher must ensure that a zero dollar (\$0) purchase order is obtained by TBRHSC's purchasing department in order for goods to be received by TBRHSC's receiving department. The zero dollar (\$0) purchase order number must be identified in all documentation pertaining to the goods purchased or acquired. The completion of a zero dollar (\$0) purchase requisition form, identifying all required information, will ensure a purchase order number is generated when the purchase requisition is received by TBRHSC's purchasing department.

**7 PACKING SLIPS**

The packing slips are processed daily by TBRHSC's Materiel Distribution personnel, entered into the computer and forwarded to the TBRHSC Accounts Payable Department. A scientist/researcher must ensure that all packing slips for received goods are forwarded to TBRHSC's Materiel Distribution department for financial system updating.

**8 AUTHORIZATION**

All receipts must have a purchase order number created by TBRHSC's Purchasing Department before a release of the goods is made from the TBRHSC's receiving department.

**9 DAMAGES/SHORTAGES/CLAIMS**

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1. Shipments received with discrepancies, ie: damages, shortages, et cetera, must be reported to the TBRHSC's Materiel Distribution Manager or TBRHSC's shipping and receiving department immediately.
2. Damages must be noted on all copies of the freight bill. If packages are severely damaged at time of delivery the Receiver will have the option to refuse a parcel or shipment.
3. Shortages must be noted on the freight bill as well as the packing slip.

**10 CAPITAL EQUIPMENT**

All TBRHSC-owned capital equipment information is recorded in the Capital Equipment Log Book (date, vendor, purchase order, item description, et cetera), at which time a TBRHSC tag number will be applied to the piece of equipment where possible.

**11 ELECTRICAL EQUIPMENT**

All electrical equipment received is forwarded to the TBRHSC's Maintenance/ Biomedical/ Information Technology Departments for CSA approval/inspection as outlined in Section 6. Based on the type of equipment and if received by TBRHSC, TBRHSC's Maintenance, Biomedical Engineering or Information Technology departments will assemble, perform leakage tests as well as visually inspect equipment prior to its release to the Institute. Any other tests required by the manufacturer will be completed.

**12 PERSONAL SHIPMENTS**

1. Personal receipts are not the responsibility of Thunder Bay Regional Health Sciences Centre unless previously arranged with the TBRHSC's Materiel Distribution Manager.
2. All receipts addressed to Thunder Bay Regional Health Sciences Centre become the property of the Thunder Bay Regional Health Sciences Centre once they are signed for by TBRHSC employees. These receipts will be processed according to Materiel Distribution receiving policies. For goods directly or indirectly financed, in whole or in part, by TBRHSC, TBRHSC will

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retain ownership of the goods although the signing, approval or acceptance of the goods is made by a non-employee of TBRHSC.

**13 INTERNATIONAL AND UNITED STATES SHIPMENTS**

For shipments to the United States and International shipments, other than documents, packages must be labelled as per the contents, value and country of manufacture.

**14 HAZARDOUS GOODS PROCEDURE**

All hazardous goods received will be delivered directly to its destination, independent of any other deliveries.

**15 SHIPPING & RECEIVING OF RADIOACTIVE MATERIALS**

I. In the circumstance where radioactive materials are being delivered:

1. To the extent that the supplier provides information, the scientist/researcher will provide notification as to when radioactive materials are anticipated to be delivered.
2. When such materials arrive, they should be clearly identified with regulation radiation warning symbols and there will be paperwork required for sign-off with the delivery of such materials. (Typically these radiation sources will arrive in what appears to be a five-gallon drum.)
3. When such materials arrive, contact the scientist/researcher immediately. Do not handle the package, do not release the carrier, and at no time leave the package unattended.
4. Upon being contacted, the scientist/researcher will send a trained scientist/researcher/physicist to receive the package. The scientist/researcher/physicist will
  - o Perform an initial radiation survey of the package to ensure that there are no extraneous radiation fields.
  - o Inspect the package for damage.
5. If the package is damaged, elevated radiation fields are detected or the scientist/researcher/physicist has any other related concerns, the package will be isolated, the vendor contacted, and corrective actions implemented.

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Only if the integrity of the package is deemed to be satisfactory will the remaining actions be undertaken.

6. Once the scientist/researcher/physicist determines that the package is in a satisfactory condition, that individual will:
  - o Complete and retain the paperwork pertaining to delivery of the material.
  - o Release the carrier.
7. The scientist/researcher/physicist will then accompany the sealed package until it is secured in TBRHSC's Radioactive Materials Storage room or in a storage area deemed by the scientist/researcher/physicist as secured for radioactive materials. Until secured in the storage room, at no time is the scientist/researcher/physicist to leave the package unattended.

II. In the circumstance where the scientist/researcher is shipping radioactive materials:

1. The vendor will make arrangements for shipping of the radioactive material.
2. The vendor will complete all the paperwork required for the shipping of this material, and the scientist/researcher will retain this paperwork until the carrier arrives to transport the package.
3. The scientist/researcher, TBRHSC's Material Distribution personnel, and the carrier will coordinate scheduling for pick-up by the carrier.
4. When the carrier arrives for pick-up, the scientist/researcher will be notified.
5. The scientist/researcher/physicist will, with a radiation survey meter, access the radioactive materials storage room and perform a radiation survey of the package.
6. Only if the survey indicates there are no elevated levels of radiation, the shipping package integrity is satisfactory, and regulation signs are attached to the package indicating the contents will the scientist/researcher/physicist then have the package transported to TBHRSC's Material Distribution department. If there is a problem with package integrity, then the package will be isolated in the storage room, the vendor contacted, and corrective actions implemented.



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7. Once transported to TBRHSC's Material Distribution department, the scientist/researcher/physicist will oversee transfer to the carrier, ensure the completion of applicable paperwork, and retain the paperwork. At no time between the package leaving the radioactive materials storage room and being transferred to the carrier will the scientist/researcher/physicist leave the package unattended.

**16 TRANSPORTATION OF DANGEROUS GOODS**

All staff responsible for handling dangerous goods must be certified as per the Transportation of Dangerous Goods Act.

**17 COURIER SERVICE**

A 24-hour courier service is available to Thunder Bay Regional Health Science Centre. This service can be utilized with the assistance of TBRHSC's Materiel Distribution Department Monday through Friday, 0800 hours to 1600 hours.

**18 SHIPPING**

All returns/shipments processed through TBRHSC's Materiel Distribution Department are the responsibility of the shipping personnel.

**19 HOURS OF OPERATION**

1. TBRHSC's shipping department operates Monday through Friday, 0700 hours to 1400 hours, for same day shipments.
2. Shipments received after 1400 hours will be shipped the next day (Emergency shipments will be addressed separately).
3. Unless otherwise specified, TBRHSC's Materiel Distribution Department will determine the carrier.

**20 RETURN GOODS PROCEDURE**

1. All returns (credits, repairs, et cetera) will be processed through TBRHSC's Materiel Distribution Department in conjunction with TBRHSC's Purchasing Department.



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2. TBRHSC's Purchasing department will complete a Goods Status Report slip.
3. A vendor authorization number may be required (pending vendor policy).
4. Goods Status Report (MM-08) distribution.
  - White - Vendor
  - Yellow - Receiving
  - Goldenrod - Purchasing
  - Pink - Finance

**21 PREPARATION**

1. All shipments are to be properly packaged and labelled.
2. Shipments determined too heavy or awkward will be picked up and packaged by TBRHSC's shipping department.

**22 BILLINGS**

All shipping charges will be allocated to the functional centre, grant account or department of origin. The functional centre name and number, grant account name and number or department of origin's name and number **must** be indicated on the parcel. The shipper will reference the functional centre name and number, grant account name and number or department of origin's name and number on all shipping weigh bills.

**23 CASH OR CHEQUE ON DELIVERY (C.O.D.)**

- (a) Paying "Cash on Delivery" (C.O.D.) is only permitted under unusual circumstances if reasonable alternative arrangements are not available.
- (b) Where C.O.D. terms are agreed to, purchasing will encourage suppliers to accept credit card payments in lieu of cash or cheque.
- (c) No shipment shall be paid C.O.D. by the receiver unless these terms are clearly stated on the purchase order.
- (d) Unless the C.O.D. goods are small enough to be paid from Petty Cash, C.O.D. payments must be made by cheque. When the Purchaser or Designate agrees to C.O.D. terms, arrangements must be made by them

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in advance to produce a payment cheque. The cheque is forwarded along with a copy of the purchase order to the receiving department to be held against delivery.

- (e) At the time that a C.O.D. purchase is received and payment is made, the receipt of the payment should be signed off by the delivery person in the comments section of the Purchase Order.

**24 QUALITY ASSURANCE**

Quality Assurance reports pertaining to areas of the shipping and receiving are completed annually.

**25 DISPOSAL OF EQUIPMENT**

1. All equipment for storage, sale, or disposal will require a Disposal Form (ENU-05 Rev/05/01) completed before leaving the facility.
2. Distribution of Form:
  - White Copy -File
  - Yellow Copy -Finance
  - Pink Copy -Affixed to Equipment
3. Forms must be properly completed with functional centre name and number, grant account name and number or department name and number along with the Manager's signature.
4. Forms should be affixed to the item for disposal, storage, and et cetera.
5. All sales transactions must be approved by TBRHSC's Director of Environmental Services.

**26 ATTACHMENTS**

- Attachment A – “Purchasing of Research Equipment”
- Attachment B – TBRHSC Form ENV-16
- Attachment C – TBRHSC Goods Received Report (TBRHSC Form ENV-04)
- Attachment D – TBRHSC Goods Status Report (MM-08)
- Attachment E – TBRHSC Disposal Form (ENU-05 Rev/05/01)