REPORT FROM THE MINISTER OF EDUCATION

ON THE RECOMMENDATIONS FROM THE

TWENTY-FIRST REPORT OF THE

PUBLIC ADMINISTRATION AND APPROPRIATIONS COMMITTEE

OF THE

FIFTH SESSION OF THE 11TH PARLIAMENT

Re:

An Inquiry into the oversight of State Agencies under the purview of the Ministry of Education and funding to Private Secondary School Institutions

April 16, 2020

Section I – Oversight by the Ministry

Recommendation 1

"The Ministry of Education should seek to acquire the necessary staff to effectively monitor the agencies under its purview. A status update on the recruitment of staff should be submitted to the Parliament by February 28, 2020."

Regrettably, the position with respect to adequate staff to effectively monitor the agencies under the purview of the Ministry of Education has deteriorated further as the Research, Planning and Technical Services (RPTS) Division which is the Division that is charged with the responsibility for monitoring the eleven state agencies under the purview of the Ministry, continues to experience staff shortages.

The Operational Research Officer II in that Division proceeded on pre-retirement leave in March 2019 and subsequently retired in August 2019. No replacement has been provided by the Service Commission Department to date. One of the entry-level positions, Research Officer I was filled by the Service Commission Department in February 2019 but that officer resigned in February 2020. The position of Planning Officer II was also filled by the Service Commission Department, however that officer passed away before she could assume duty in the post.

Despite these staffing shortages, the existing staff of the RPTS Division, which currently comprises an acting Director, a Statistical Officer III, two (2) Business Operations Assistants II (on short term contract) and one (1) Associate Professional continue to function and perform the monitoring role.

The Human Resource Division of the Ministry of Education continues to dialogue with the Service Commission Department and request staff to fill the ten (10) vacant posts on the permanent establishment of the RPTS Division.

Section II – Monitoring and Evaluation

Recommendation I

"The Ministry of Education should provide an update on the recruitment of the requisite staff to fill the Monitoring and Evaluation Unit. This should be completed by February 28, 2020."

The contracts of the staff that were attached to the Monitoring and Evaluation Unit of the Ministry ended in 2018. The Ministry of Education has been engaged with the Public Management Consulting Division (PMCD) of the Ministry of Public Administration to rationalize the staff of the Ministry since the merger of the former Ministry of Education with the former Ministry of Tertiary Education and Skills Training. One component of that exercise is to determine the structure of the Ministry with respect to Research, Policy, Planning and where the Monitoring and Evaluation Unit would be placed within the organization. The exercise is still ongoing and the Human Resource Division of the Ministry continues to work with the PMCD to finalise the organizational structure of the Ministry going forward. As a result, no request has been made to recruit staff for the Monitoring and Evaluation Unit.

Recommendation II

"The Ministry of Education should submit a copy of the completed Monitoring and Reporting Framework to the Parliament by February 28, 2020."

A copy of the draft "Monitoring and Reporting Framework to ensure Compliance and Good Governance for State Agencies under the Purview of the Ministry of Education" is attached at **Appendix I**. The draft Framework was circulated to Members of the Ministry's internal review committee and a presentation made to the Committee in November 2019. The Committee recommended that key performance indicators (KPIs) should be developed for the institutions to measure performance and compliance, before the framework can be finalised.

Recognising the differences in the mandate of the agencies, it was agreed that the KPIs would have to be developed in keeping with the roles and responsibilities of the respective agencies. Accordingly, the KPIs for the universities and college (UWI, UTT and COSTAATT) would be different from those for the regulatory bodies (ACTT and NTA), the TVET providers (MIC-IT, NESC and YTEPP) and the special purpose companies (the EFCL and the NSDSL). To date, the KPIs for the universities and college have been drafted and KPIs for the TVET providers are being developed. Thereafter KPIs for the regulatory bodies and the special purpose companies will be developed.

After the KPIs are finalized, the framework will be resubmitted to the Ministry's internal review committee and the Management Executive Team for approval.

Section III – Rationalisation of Agencies

Recommendation I

"The Ministry of Education should provide a status report on the exercise to rationalize agencies by February 28, 2020."

The Ministry of Education has conducted research into the three (3) institutions that provide Technical Vocational Education and Training at the post-secondary level to assess whether there is any overlap of programme offerings and how this could be rationalised in the best interest of the country given the current fiscal challenges facing the nation. Careful consideration is also being given to the future needs of the country and the available and required career paths in the sub-sector. A draft report has been prepared outlining the findings of the research and assessment conducted. However the analysis is not complete, given the staff shortages being experienced in the Research, Planning and Technical Services Division, who is responsible for this exercise, with support from the Curriculum Division.

A review was also conducted into the mandates of the two (2) regulatory bodies, the Accreditation Council of Trinidad and Tobago (ACTT) and the National Training Agency (NTA), which showed that benefits could be derived by both agencies if they were under one umbrella. Such an initiative would result in cost savings and reduction in any duplication of work, greater efficiency and synergy, and re-engineering of internal processes. However, no final decision has been taken with respect to any rationalization of these two agencies at this time.

Section IV – Outstanding Financial Statements

Recommendation I

"The Ministry of Education should submit a status update on the outstanding financial statements as well as administrative reports from all entities listed in the table shown on pages 12 and 13 of the Report as at October 31, 2019 by January 30, 2020."

The status update on the outstanding audited financial statements and administrative reports of the eleven agencies under the purview of the Ministry of Education are presented in **Appendices II** and **III**, respectively.

Recommendation II

"The Ministry of Education should develop an effective review process that ensures accountability and transparency. The approved process should be completed by January 30, 2020."

The review process developed by the Ministry of Education for the receipt and evaluation of the Audited Financial Statements of the agencies under the purview of the Ministry can be found in Flow Chart II of Appendix II of the Monitoring and Reporting Framework attached at **Appendix I**.

Section V – Project Management

Recommendation I

"The Ministry should develop a mandatory process with regard to project management to be adhered to by all agencies under its purview. A copy should be submitted to the Parliament by January 30, 2020."

A copy of the process utilized by the Project and Programmes Management Unit of the Ministry to manage projects funded by the PSIP programme for tertiary institutions is presented at **Appendix IV**.

It should be noted that with effect from April 2019, the National Maintenance Training and Security Company Limited (MTS) was contracted by the Ministry of Finance to provide project management services on behalf of the Ministry of Education, for the completion of construction and outfitting of schools. The project management process agreed to by the Ministries and the MTS to facilitate the arrangement is outlined in **Appendix V**. Also included in Appendix V are the Emergency Repair Response Process and the School Repair Process Flowchart.

Section VI - Reporting

Recommendation I

"The Ministry should submit the payment schedule for the last three (3) months of fiscal 2019 by January 30, 2020."

The payment schedules in respect of the tertiary institutions for the months of July, August and September 2019 are enclosed at **Appendix VI.**

Section VII – Follow-up on Nepotism at the Youth Training and Employment Partnership Programme

Recommendation I

"The Ministry of Education should provide to the Parliament, a report on the occurrence of nepotism at YTEPP and identify the causes for this occurrence. This report should be submitted to Parliament by January 30, 2020."

The report prepared by the YTEPP on the occurrence of nepotism at that institution is attached at **Appendix VII**.

Recommendation II

"The Ministry of Education should provide an update on the mechanism(s) if any, which it has developed to reduce the risk of such impropriety. A detailed description of these mechanisms should be submitted to Parliament by January 30, 2020."

No separate formal mechanism has been developed by the Ministry to reduce the risk of nepotism at the agencies. However, following the public revelation of the occurrence of the incident, all agencies were requested to ensure that measures were in place to avoid an occurrence in the future.

Appendix I

DRAFT

Monitoring and Reporting Framework
To Ensure Compliance and Good Governance
For State Agencies
Under the Purview of the Ministry of Education

Background

I

1. An efficient and effective public sector is critical to sustainable development, economic growth and the well-being of all citizens. As Trinidad and Tobago continues to evolve rapidly, there are increasing concerns among citizens about public sector performance in light of the needs for more value for money, improved accountability and transparency regarding public expenditure. Demands from both internal and external government stakeholders also continue to rise as there is now greater demand for better service delivery, enhanced responsiveness and improved and more targeted performance.

2. As recipients of approximately $2Bn dollars in government funding, State Enterprises and State Agencies under the purview of the Ministry of Education are being called upon to demonstrate good governance and ensure higher levels of compliance. As such, a Monitoring and Reporting Framework developed from the requirements in the State Enterprises Performance Monitoring Manual (SEPMM), espousing the tenets of best practice, is essential to enable the Ministry of Education to achieve its requisite oversight role in respect of the agencies under its portfolio.

Monitoring and Reporting

3. By definition, monitoring is a continuous function that uses the systematic collection of data on specified indicators to provide management and main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives in the use of allocated funds. Reporting can be defined as the systematic

presenting of data and information regarding ongoing or completed projects, programmes or policies to end-users in a way that is understandable and can be easily analyzed.

4. In accordance with the State Enterprises Performance Monitoring Manual, the monitoring agents listed include:

   i. The Cabinet
   ii. The Minister of Finance (Corporation Sole)
   iii. The Investments Division (on behalf of Corporation Sole)
   iv. The Line Ministries
   v. The Board of Directors (The Chairman, the Members of the Board, the Audit Committee of the Board, the Finance and Investment Committee of the Board, the Chief Executive Officer, the Management Team, the Corporate Secretary).

5. As stated in the SEPMM, **section 3.2**, the mechanism for monitoring State Enterprises by Central Government (Investments Division and Line Ministries) was developed around a clear understanding by all parties that the Minister of Finance (Corporation Sole) has a responsibility to ensure that:

   i. All investments generate optimal returns. As such, it is necessary that there is a formal mechanism for monitoring State Enterprises by the Government of the Republic of Trinidad and Tobago (GORTT).
   ii. Information disclosure and reporting on the performance of State Enterprises and State Agencies is necessary to promote responsibility, transparency and accountability, improve the standards of corporate governance and allow the effective sharing of information among local, regional and international authorities and other stakeholders.

6. Consistent with the SEPMM, effective monitoring, as defined, takes into consideration:

   i. The use of performance indicators acceptable to the GORTT and State Enterprises;
   ii. Performance indicators which may vary from Company to Company but are based on objective and measurable international industry standards;
   iii. Periodic review of indicators;

iv. The responsibility of the Investments Division and the Line Ministry to monitor the activities of individual companies; and

v. Feedback provided on the information supplied.

State Agencies under the purview of the Line Ministry

7. Under the purview of the Ministry of Education, there are eleven (11) state agencies. These are seen in **Appendix I, Figure 1** and listed below. They include:

Two (2) regulatory bodies

i. The Accreditation Council of Trinidad and Tobago (ACTT)

ii. The National Training Agency (NTA)

Three (3) University Institutions/Colleges

iii. The University of the West Indies (UWI)

iv. The University of Trinidad and Tobago (UTT)

v. The College of Science, Technology and Applied Arts of Trinidad and Tobago (COSTAATT)

Three (3) Technical and Vocational Education and Training Institutions

vi. The Metal Industries Company, Institute of Technology (MIC-IT)

vii. The National Energy Skills Center (NESC)

viii. The Youth Training and Employment Partnership Programme (YTEPP)

Two (2) Special Purpose State Agencies

ix. The Education Facilities Company Limited (EFCL)

x. The National Schools Dietary Services Limited (NSDSL)

Other

xi. The National Institute of Higher Education, Research, Science and Technology (NIHERST)

8. The State Enterprises Performance Monitoring Manual lists five of the eleven state agencies of which the Minister of Finance (Corporation Sole) has 100% ownership or is a majority shareholder. These consist of:

i. The Education Facilities Company Limited (EFCL) (Exchequer and Audit Act 20 of 1959, Chap 69:01)
ii. The National Schools Dietary Services Limited (NSDSL) (Exchequer and Audit Act 20 of 1959, Chap 69:01)
iii. The Metal Industries Company, Institute of Technology (MIC-IT) (Companies Act, 35 of 1995, Chap 81:01)
iv. The National Training Agency (NTA) (Companies Act, 1995)
v. The Youth Training and Employment Partnership Programme (YTEPP) (Exchequer and Audit Act 20 of 1959, Chap 69:01)

For an overview of the reporting relationships between State Enterprises and Central Government and adapted from the State Enterprises Performance Monitoring Manual, see **Appendix I, Figure 2**.

9. The remaining six agencies fall under separate governing legislation, as follows:

i. The University of the West Indies (UWI) (Royal Charter)
ii. The University of Trinidad and Tobago (UTT) (Companies Act, 35 of 1995, Chap 81:01)
iii. The College of Science, Technology and Applied Arts of Trinidad and Tobago (COSTAATT) (Act 77 of 2000, Chap 39:56 of the Laws of T&T)
iv. The National Energy Skills Center (NESC) (Companies Act, 1995)
v. The National Institute of Higher Education, Research, Science and Technology (NIHERST) (Act 20 of 1984, Chap 39:58 of the Laws of T&T)
vi. The Accreditation Council of Trinidad and Tobago (ACTT) (Act 16 of 2004, Chap 39:06 of the Laws of T&T).

For an overview of the reporting relationships between State Agencies and Central Government and adapted from the State Enterprises Performance Monitoring Manual, see **Appendix I, Figure 3**.

Compliance Framework

10. The following section lists and defines the documents in accordance with the State Enterprises Performance Monitoring Manual (SEPMM) involved in the Monitoring and Reporting Process.

i. **Strategic Plan**

a) **Requirement of SEPMM – Appendix E (Page 110)**

'The Strategic Plan is a rolling three to five year plan that encompasses the strategic direction and the strategic themes that the Board intends to execute, in the continuous building of organization capacity and capability to meet the challenges of satisfying the ever increasing expectations of its stakeholders and meeting the enterprise's obligations towards them."

b) **Purpose**

To set forth the overall direction, vision, and mission of the enterprise and recognizes the requirement to set performance goals and to identify measures to gauge progress towards these goals.

c) **Timeline**

Submitted six (6) months prior to the start of the period of the Plan (for companies receiving Subventions) and one (1) month for others.

ii. **Audited Financial Statements**

a) **Requirement of SEPMM – Section 3.2.5 (Page 30)**

The Audited Financial Statements are yearly financial statements that bear the report of independent auditors attesting to the financial statements' fairness and compliance with Generally Accepted Accounting Principles (GAAP). These reports are to be laid in Parliament and subsequently submitted to the Public Accounts and Enterprises Committee for consideration. They are to be submitted to the Investments Division and the Line Ministry.

b) **Purpose**

To provide independent assurance that management has presented a "true and fair" view of the organization's financial performance and position in its financial statements.

c) **Timeline**

Submitted four (4) months after the end of the Financial Year.

iii. **Board Minutes**

a) **Requirement of SEPMM – Section 3.2.7 (Page 31)**

Board Minutes should be made available to the Investments Division and respective Line Ministry. They should include the following:

- Business decisions to further achievement of strategic objectives;
- Financial Performance – actual versus planned performance and reason(s) for variances;
- Human Resource Management Issues;
- Capital Expenditure – planned versus actual and reason(s) for variances;
- Litigation Issues;
- Statutory Matters; and
- Any other performance matters.

b) **Purpose**

To ensure that the Board is proceeding within the framework of the Strategic Plan and the GORTT policy decisions. Minutes of Meetings of the Board of Directors will inform the GORTT of the consistency between the deliberations and proceedings of the Board and the Company's objectives.

c) **Timeline**

Submitted one (1) week following confirmation.

iv. **Administrative Reports**

a) **Reference to Requirement of SEPMM – Section 3.2.6 (Page 30)**

These reports on the exercise of the functions and powers of the State Agencies in the previous year are to be submitted to the President before July 1 each year via their respective Line Minister and be laid within sixty (60) days in each House of Parliament.

b) Legislative Requirement

Section 66D of the Constitution of the Republic of Trinidad and Tobago, Act No. 20 of 1999 states that State Agencies are required to report to the public on their performance annually.

c) Timeline

Submitted by June 30 of each year.

v. **Internal Audit Report**

a) **Requirement of SEPMM – Section 4.1 (Page 34)**

The Internal Audit Report is an evaluation of the organization's internal controls, including its corporate governance and accounting processes.

b) **Purpose**

To ensure compliance with laws and regulations and accurate and timely financial reporting and data collection, as well as helping to maintain operational efficiency by identifying problems and correcting lapses before they are discovered in an external audit.

c) **Timeline**

Submitted fourteen (14) days after the end of each quarter.

vi. **Annual Budget**

a) **Requirement of SEPMM - Section 3.2.2 (Page 29)**

Companies that require subventions from the GORTT are required to submit their Annual Budgets to the Investments Division and the respective Line Ministry. The targets presented in the Annual Budget should be consistent with those defined in the Strategic Plan. Any deviations from the Plan should be clearly identified and justified against the long term objectives of the Company and changes in the socioeconomic environment. Annual Budgets should include such details as: the Operating Budget, the Capital Budget – identification of capital projects, Financing Arrangements, Cash flows – timing of receipts and payments, Liability obligations and Returns to the shareholder."

b) **Purpose**

To operationalize the activities and objectives set out in the Strategic Plan.

c) **Timeline**

Submitted six (6) months prior to start of Financial Year (for companies receiving Subventions) and one (1) month for others.

vii. **Annual Business Plan**

a) **Requirement of SEPMM – Appendix E (Page 94)**

To accomplish the Strategic Plan, the Annual Business Plan is developed. The business plan should define the measures, activities, and goals that, when taken together, indicate how well the enterprise's overall goals are being achieved, in the annual performance cycle.

b) **Purpose**

To serve as a roadmap for the organization, outlining objectives to be achieved and intended courses of action geared towards the accomplishment of these objectives.

c) Timeline

Submitted six (6) months prior to start of Financial Year (for companies receiving Subventions) and one (1) month for others.

viii. **Annual Performance Appraisal Report**

a) **Requirement of SEPMM – Appendix E (Page 110)**

The Annual Performance Appraisal Report is a systematic evaluation of the performance of the organization submitted to the Line Ministry.

b) **Purpose**

To evaluate the organizations in terms of their quality of performance and aid in understanding their abilities for further growth and development.

c) **Timeline**

Submitted four (4) months after the end of the Financial Year.

ix. **Litigation Proceedings**

a) **Requirement of SEPMM – Section 3.1.16 (Page 22)**

State Enterprises are to utilize avenues other than the courts for resolution of disputes. Under no circumstances should legal action be initiated by one State Enterprise against another without prior approval of the Minister of Finance.

b) **Timeline**

Submitted at the end of the first month after every Quarter.

x. **Procurement Procedures**

a) **Requirement of SEPMM – Section 4.1 (Page 34)**

"The exchange of information between the Ministry of Finance and the State Agencies are guided by the principles of confidentiality of client information, transparency and accountability to the Minister of Finance (Corporation Sole) under the provisions of the Exchequer and Audit Act and the Corporation Sole Act. Consequently, procurement practices are monitored through the examination of monthly returns of award of contract by State Agencies. In instances where awards appear not to be transparent, follow-up through audit procedures at the State Agencies are pursued. This may take the form of a focused audit investigation of the particular award or a full systems audit of the procurement system of the Enterprise."

b) **Legislative Requirement**

In accordance with Part III, Section 37 of the Public Procurement and Disposal of Public Property Act, 2015, a procuring entity shall submit to the Office of the Procurement Regulator no later than three (3) weeks after the end of each quarter a report of all contracts awarded during the immediately preceding quarter.

c) **Timeline**

The five (5) institutions governed by the SEPMM are required to submit to the Ministry of Finance on a monthly basis, within fourteen (14) days after the end of the month and the remaining six (6) institutions submit no later than three (3) weeks after the end of each quarter.

xi. **Return of the Award of Contracts**

a) **Requirement of SEPMM – Section 4.1 (Page 34)**

The Return of Award of Contracts lists all contracts which were awarded during the month, together with the value of each contract. The Minister of Finance will review and audit contracts awarded by State Enterprises and State Agencies as considered necessary and appropriate.

b) **Legislative Requirement**

According to the Public Procurement and Disposal of Public Property Act, 2015, Part III, Section 37, a procuring entity shall submit to the Office of the Procurement Regulator no later than three (3) weeks after the end of each quarter a report of all contracts awarded during the immediately preceding quarter.

c) **Timeline**

The five (5) institutions governed by the SEPMM are required to submit their report of all contracts awarded fourteen (14) days after month end and the remaining six (6) are required to submit their reports no later than three (3) weeks after the end of each quarter.

xii. **Monthly Cash Statement of Operations**

a) **Requirement of SEPMM – Section 4.2.1 (Page 36)**

Monthly Cash Flow Statements represent the operating activities of the State Agencies on a monthly basis and are to be submitted to the Investments Division as well as the Line Ministry. The indicators examined are the Operating Surplus/Deficit, Current Transfers, Capital Expenditure and Capital Transfers. These indicators are reviewed for any slippages since these will directly import GORTT policies.

b) **Purpose**

To track the utilization of public funds by the State Agencies on a monthly basis.

c) **Timeline**

Submitted within three (3) weeks after month end.

xiii. **Quarterly Reports**

a) **Requirement of SEPMM – Section 4.2.2 (Page 36)**

"These Reports contain information from the Companies' Balance Sheets and Income Statements. The information provided is used to calculate or estimate a number of key performance monitoring indicators. General Performance Indicators include profitability, net earnings, return on assets, return on shareholders' equity, foreign exchange earnings and usage and levels of employment by industry. Financial Performance Indicators consists of working capital, the current ratio and interest cover. Investment Performance Indicators encompass the financial gearing ratio, dividend cover and earnings per share. The Debt Performance Indicators are comprised of the debt burden ratio and levels of inter-agency debt."

b) **Purpose**

To provide information necessary to calculate or estimate a number of key performance indicators which will be reviewed by the Investments Division and the Line Ministry to ensure that the targets of the Annual Budgets and in the final analysis, those of the Company's Strategic Plan are being met.

c) **Timeline**

Submitted at the end of the first month after each quarter.

xiv. **Loan/Overdraft Portfolio**

a) **Requirement of SEPMM – Section 4.2.3 (Page 37)**

"The Loan/Overdraft Portfolio of the State Agencies are produced on a quarterly basis. The Division uses these Reports to remit Principal and Interest Payments to the Lending Institutions on or before the due date of payment to avoid late payment penalties. At the end of each financial year, a Status Report on State Enterprises Debt (Government Guaranteed and Letters of Comfort) is submitted to the Comptroller of Accounts after reconciliation with the Economic Management Division of the Ministry (responsible for GORTT overall debt management). This information is inputted into the Annual Public Debt Statement Reports."

b) **Purpose**

To monitor inter alia the level of indebtedness of the sector and to ensure sustainability of the sector's Public Debt.

c) **Timeline**

Submitted after the end of the first month after each quarter.

11. **Additional Measures**

xv. **Grant of Loans to Staff**

Some agencies have granted loans to members of staff. However, the use of public funds to grant loans does not form part of the core function/mandate of any of the State Agencies under the purview of the Ministry of Education except where provided for in compensation packages. Nevertheless, some agencies have granted loans to staff for computers and medical expenses and in other instances, agencies have granted loans in the form of salary advances. All agencies have been advised to cease the practice of granting loans to staff as it is not a core mandate of the agencies.

xvi. **Travel/Transportation Allowance Matters**

State Agencies are required to submit to the Ministry of Education a statement of the number and category of staff in receipt of travel/transportation allowance as well as the value of the allowances to which members of staff are entitled. Travel and Transportation allowances may also form part of wage negotiation agreements.

xvii. **Cellular Phone Matters**

a) **Requirement of SEPMM – Appendix C (Page 86)**

Cellular phones are to be issued to such employees deemed by the Head of Agencies to require the use of cellular phones based on demonstrated need and job function. Limits should be set as to the maximum expenditure which may be met in respect of telephone calls.

xviii. **Signage of Vehicles**

It is the policy of the Government that all vehicles owned and operated by all agencies and institutions under its purview should be clearly marked with the appropriate signage of the Ministry and the agency.

Monitoring and Reporting Framework

12. The Monitoring and Reporting Framework being proposed aims to assist the Ministry of Education in keeping au courant of the documents required in order to effectively monitor the operations, activities and performance of the State Agencies under the purview of the organization. The framework encompasses three crucial components which include: the Monitoring of State Agencies, the Reporting System and Data Collection and Management.

13. The following visual representation, **Figure 1: Monitoring and Reporting Framework For State Agencies Under the Purview of the Ministry of Education** depicts the agenda for the Companies falling under the purview of the Line Ministry and **Table 1** summarizes the information as it pertains to the components of the framework.

Figure 1

Monitoring and Reporting Framework

For State Agencies

Under the Purview of the Ministry of Education

14. As State Agencies submit the necessary reports outlined and defined in paragraph 10, the Ministry utilizes the information provided in these documents to monitor the activities of the agencies and assess performance and compliance. Information communicated to the Ministry of Education via these reports is therefore critical in enabling relevant personnel to make accurate and sound assessments of the operations of the State Agencies which would by extension, lead to enhanced decision-making and management.

15. As State Enterprises and State Agencies submit their reports throughout the year, the Ministry through its relevant departments are able to collect, assess and evaluate the data provided. In the event of queries arising however, the state agency will be written to ensure that issues are appropriately addressed before documents are finally submitted to the Permanent Secretary. **Appendix II provides Flow Charts for the procedures for each of the requirements outlined in paragraph 10.**

Table 1

Monitoring and Reporting Framework Components

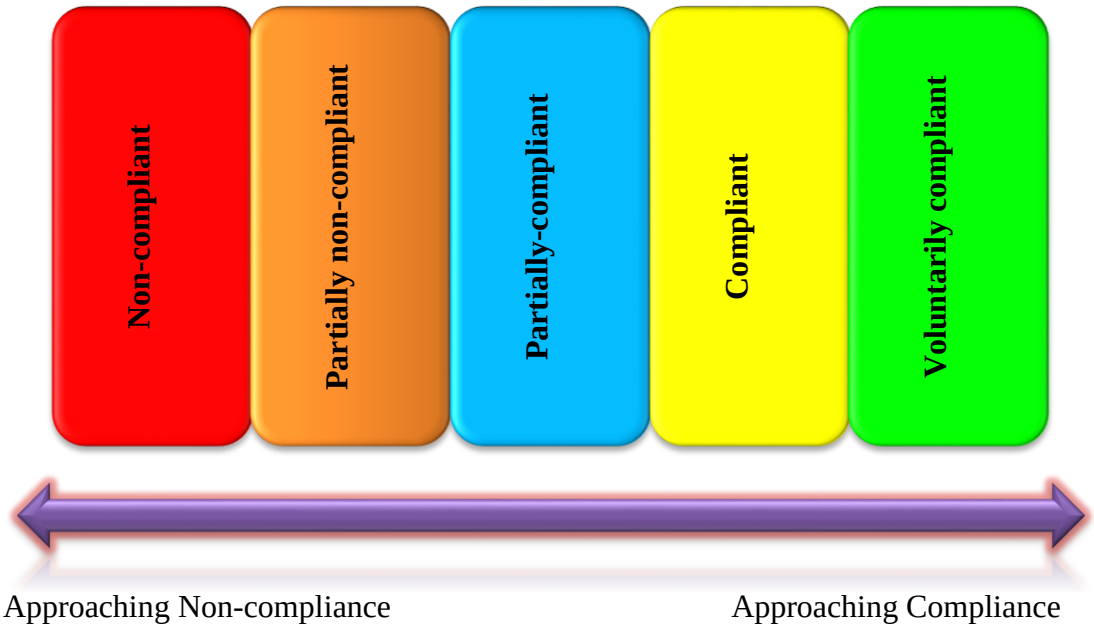
Monitoring System	Reporting of Documents	Data Collection, Review and Analysis
The Investments Division (Ministry of Finance) and Ministry of Education are responsible for monitoring the activities of the State Agencies. Monitoring agents by extension also include: the Cabinet, the Minister of Finance (Corporation Sole) and the Board of Directors.	The documents to be reported include the 14 documents listed and defined in accordance with the State Enterprises Performance Monitoring Manual under the monitoring and reporting process identified at paragraph 10.	Each document will be received and dispatched to the relevant department who will review the data as needed and provide an analysis and comments upon completion.

The Compliance Continuum

16. A continuum in accordance with the Oxford Dictionary is a continuous sequence in which adjacent elements are not perceptibly different from each other however, the extremes are quite distinct. In an effort to monitor and determine the extent to which State Enterprises and State Agencies under the purview of the Ministry of Education demonstrate compliance with specified rules and regulations, a compliance continuum is being proposed in **Figure 2**.

Figure 2

The Compliance Continuum



17. The Compliance Continuum as seen above can be divided into five categories, as follows:

Category 1: Non-compliant - failure to commit to specified deadlines

Category 2: Partially non-compliant – approaching failure to commit to specified deadlines

Category 3: Partially compliant – occasionally meets specified deadlines

Category 4: Compliant – committed to specified deadlines

Category 5: Voluntarily compliant – willingly reporting before specified deadlines

18. State Agencies that are categorized as non-compliant and partially non-compliant fail or nearly fail to commit to specified deadlines and therefore fall short of operating within established boundaries. On the other hand, State Agencies who are deemed partially-compliant are understood to make more of an effort to obey the Line Ministry's rules and operate within the Ministry's regulations. Alternatively, on the other end of the continuum, agencies that are categorized as compliant or voluntarily compliant are acknowledged as operating within the law as such agencies ensure that documents are reported to the

appropriate section and within the required timeframes as outlined in the State Enterprises Performance Monitoring Manual.

Bi-annual Progress Mechanism

19. In an effort to more effectively manage the companies under the purview of the Ministry of Education, a Bi-annual Progress Mechanism is being proposed. This system will consist of two components, a bi-annual progress report completed by the State Agencies and meetings held by the Ministry of Education with the State Agencies.

20. The Bi-annual Progress Report being suggested will be communicated formally by the State Agency solely to the Ministry of Education (**See Appendix III, Figure 1)**. It will serve the function of an assessment that takes place on two separate occasions during the course of one fiscal year. The first report will be required to be submitted at the end of April and the second at the end of October. This report will also give the agencies the opportunity to conduct its own self-assessment for the meetings to be held. The report will include details such as:

i. A self-assessment review to measure compliance with the Monitoring and Reporting Framework based on the Compliance Continuum and justification for inability to fulfill compliance requirements.
ii. Short-term goals and objectives of the agency achieved during the reporting period and not yet achieved along with justification.
iii. Updates on the progress and development of projects and programmes.
iv. Information regarding whether or not projects and targets are completed and met on time and within budget.
v. Challenges and risks affecting agencies' progress towards attaining goals (human, legal, financial, environmental etc.). **(See Appendix III for Bi-annual Progress Report Template)**

21. The second component of the Bi-annual Progress Mechanism consists of meetings to be held with State Agencies by the Ministry of Education. These will be conducted as a review

of the aforementioned details with significant emphasis on the challenges and risks identified in the Bi-annual Progress Report submitted as well as the agencies' status of compliance and measures by which they can enhance their status if such improvement is needed.

22. The Bi-annual meetings will take place not only to allow the Ministry and the State Agencies to discuss the impact of these issues on their operations and activities but also to find methods to approach and ultimately resolve the issues being experienced in addition to the challenges, risks and difficulties anticipated to arise in the future. It will therefore enable the Ministry to identify existing gaps and arrive at agreements on measures to close those gaps.

23. The Bi-annual Progress Mechanism will provide an opportunity for the Ministry of Education to measure its overall impact on the education sector with respect to its mandate and success of the agencies. It seeks to determine whether or not the Ministry of Education as a whole is on track towards achieving its established goals and objectives. It will also ensure that the Ministry fulfils its oversight duty as it relates to the operations and activities of the State Agencies.

Conclusion

24. The Monitoring and Reporting Framework discussed will serve as a valuable foundation geared towards enhancing the oversight function of the Ministry of Education of the State Agencies under its purview. This system strives to ensure that State Agencies provide timely and relevant information so that more informed and effective decision-making can take place thereby facilitating corrective actions and reducing error as a whole. The proposed tool aims to ensure that good governance is exhibited in the management of all agencies. This framework seeks to assist the Ministry of Education in being able to oversee the State Agencies' operations and activities and thereby make more precise assessments of the companies' performance and maintain greater levels of control.

Figure 1

State Agencies under the Purview of the Ministry of Education

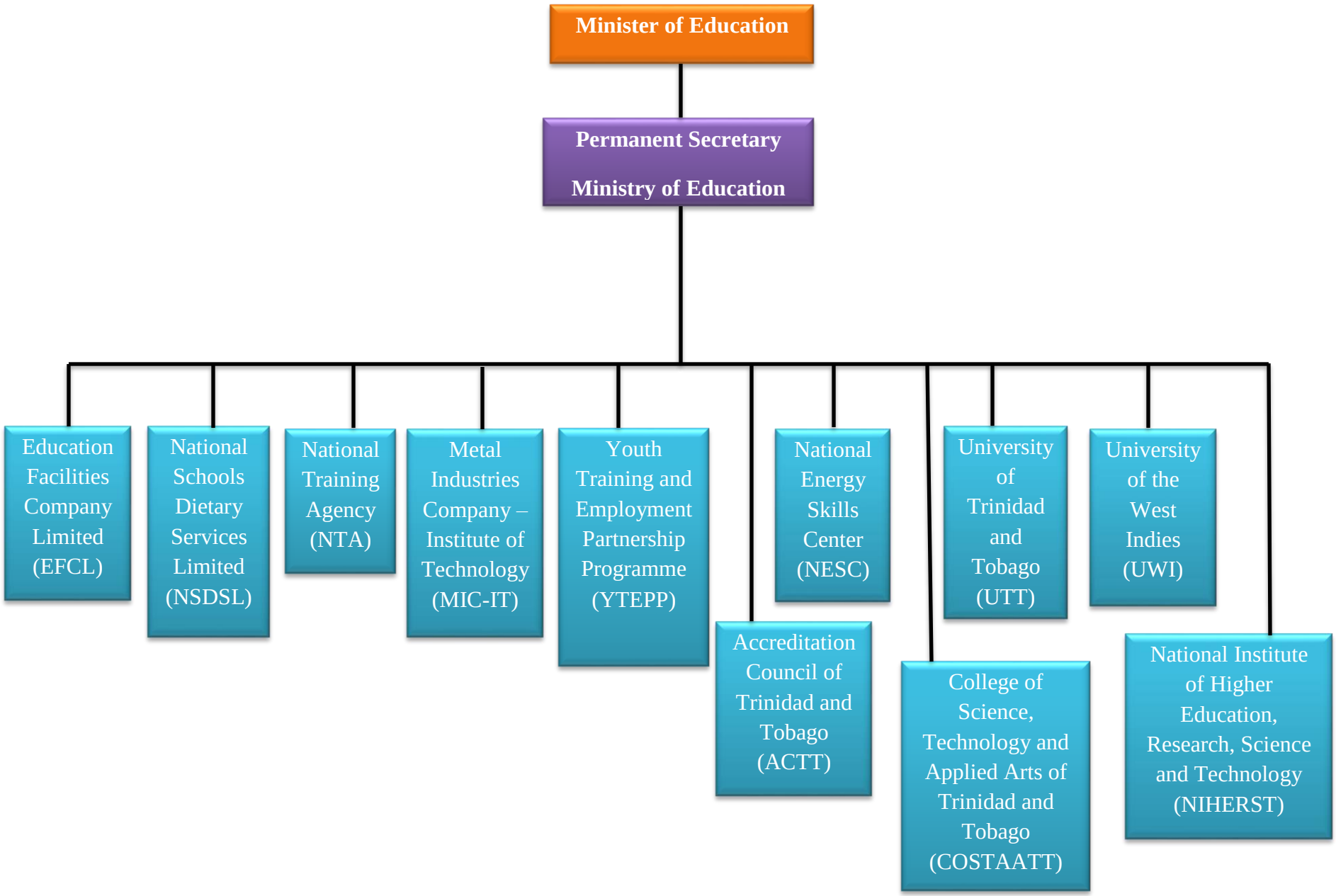


Figure 2 Appendix I

Reporting Relationships between State Enterprises Listed under the SEPMM and the Ministry of Education

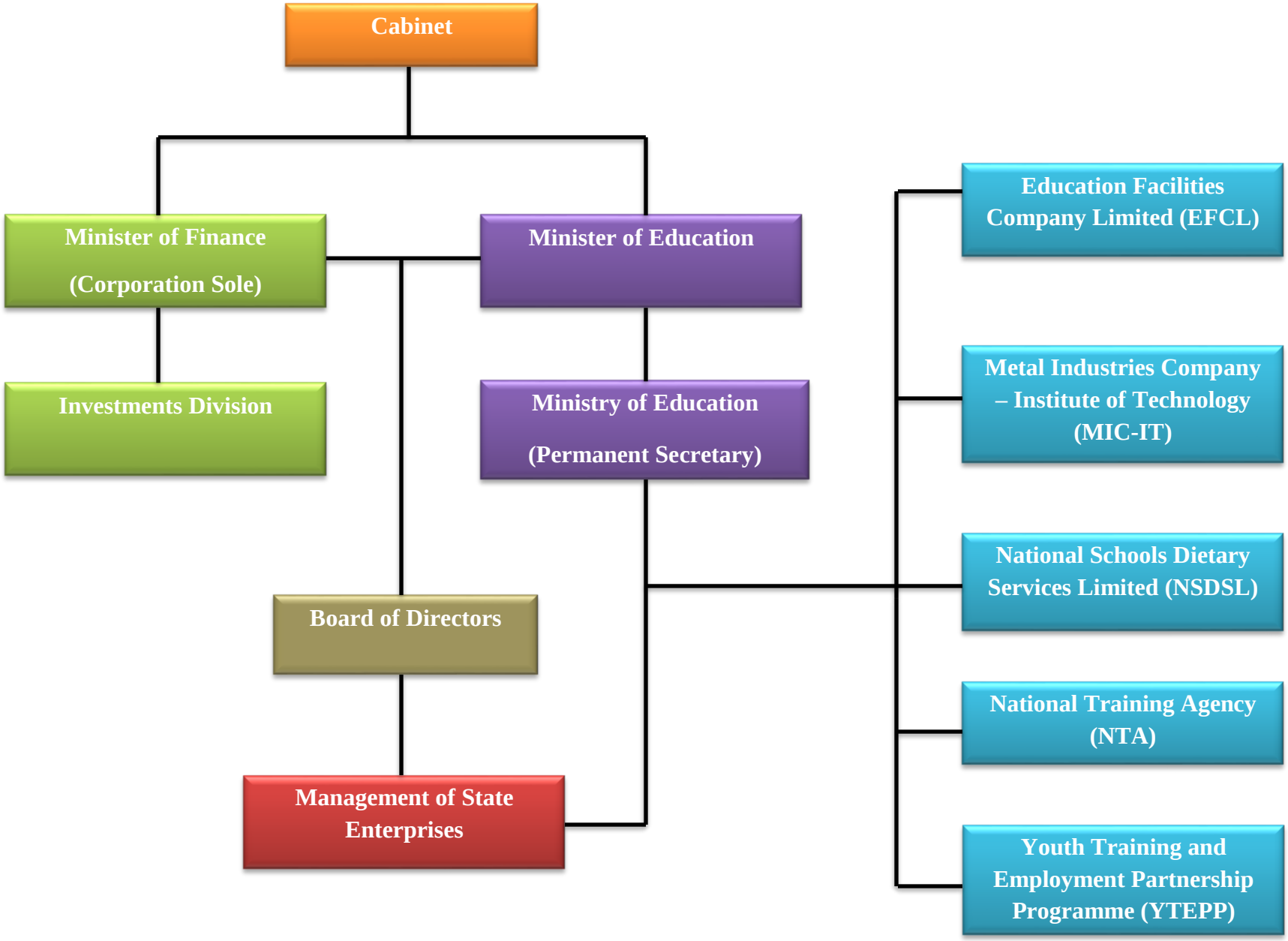
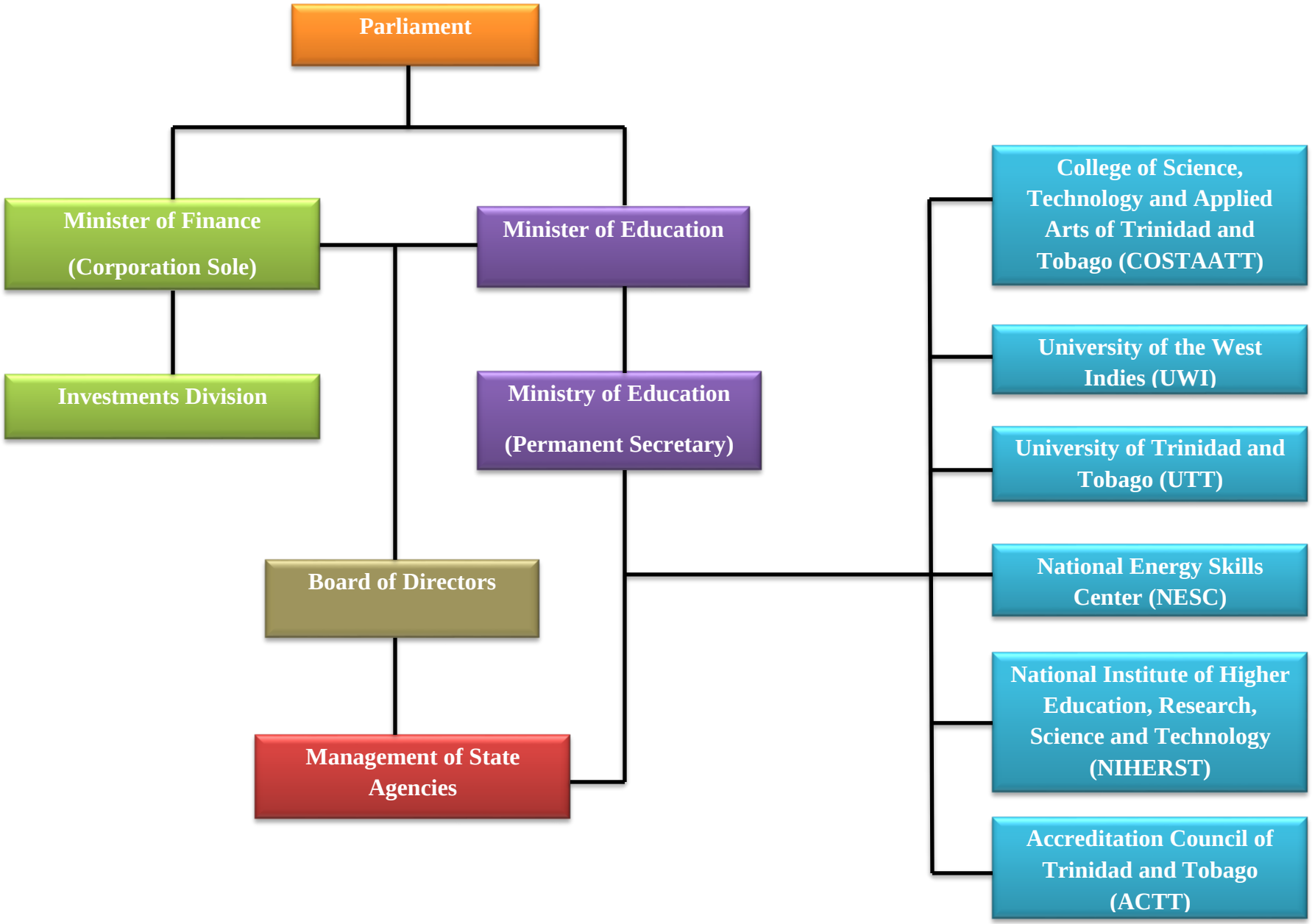


Figure 3

Reporting Relationships between other Agencies/Institutions and the Ministry of Education



APPENDIX II

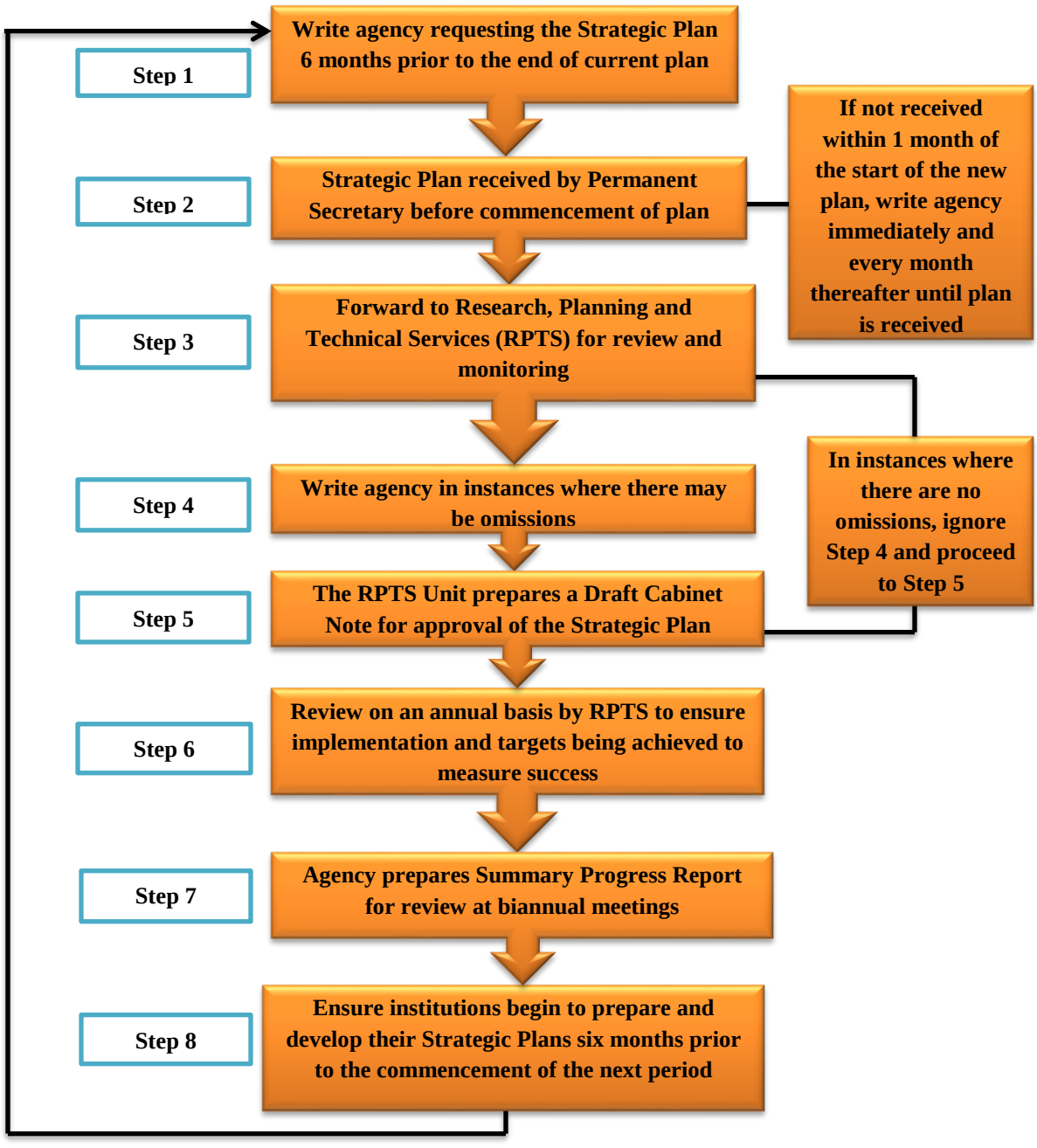
FLOW CHARTS AND PROCEDURES

Strategic Plan

State Agencies are required to submit their Strategic Plans to both the Investments Division and Ministry of Education at least six (6) months prior to the start of the implementation period of the plan, for those receiving subventions to allow for National Budgetary Preparation activities and one (1) month for others. **Flow Chart 1** depicts the process as it relates to the Strategic Plan and the next section more specifically outlines the procedure in writing.

Flow Chart 1

Strategic Plan



Process from Research, Planning and Technical Services to Permanent Secretary regarding the Strategic Plan

1. The Schedule Officer writes a letter to the agency, approved and signed by the Director, Research, Planning and Technical Services (RPTS) requesting the Strategic Plan six (6) months prior to the end of the current Strategic Plan.

2. The Strategic Plan is received by the Permanent Secretary before its commencement.

3. If the Strategic Plan is not received within one (1) month of its commencement, the Schedule Officer writes a follow-up letter to the agency immediately and every month thereafter until the new Strategic Plan is received.

4. The Permanent Secretary forwards the Strategic Plan to the RPTS Unit for review and monitoring.

5. Based on the review of the Strategic Plan by the RPTS Unit, a letter is sent to the agency by the Schedule Officer regarding any omissions.

6. The RPTS Unit prepares the Draft Cabinet Note (DCN) for approval of the Strategic Plan.

7. The RPTS Unit monitors the Strategic Plan on an annual basis to ensure implementation and that targets are being achieved to measure success.

8. The agency prepares a Summary Progress Report for review and implementation of the Strategic Plan which is included at the Bi-annual meetings on an ongoing basis.

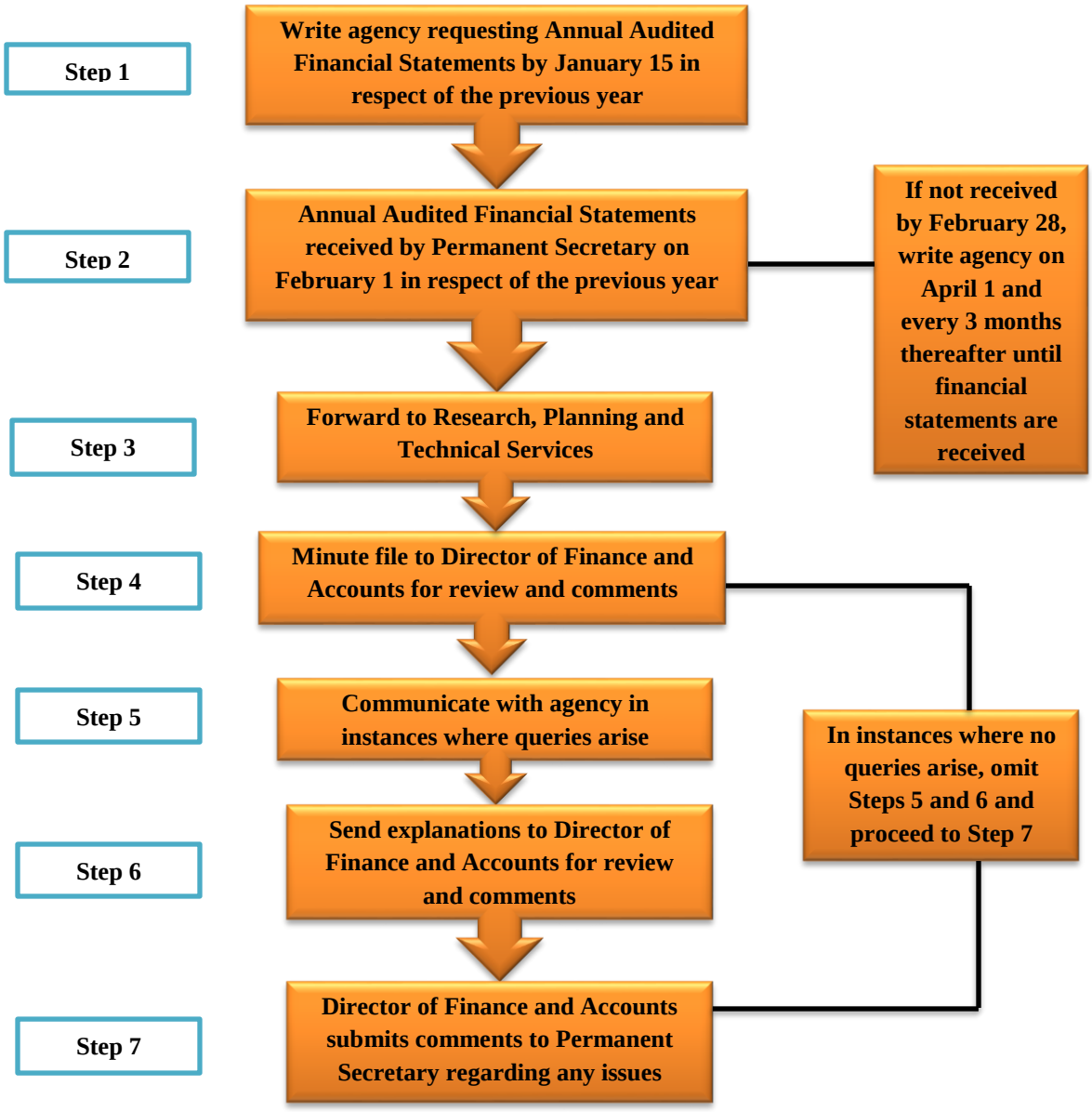
9. The RPTS Unit ensures that institutions begin to prepare and develop their Strategic Plans six months prior to the end of the current plan and commencement of the next period.

Annual Audited Financial Statements

Annual Audited Financial Statements are to be submitted four months after the end of the financial year to both the Investments Division and the Ministry of Education. **Flow Chart 2** depicts the process as it relates to the Annual Audited Financial Statements and the next section more specifically outlines the procedure in writing.

Flow Chart 2

Annual Audited Financial Statements



Process from Research, Planning and Technical Services to Permanent Secretary regarding the Annual Audited Financial Statements

1. The Schedule Officer writes a letter to the agency, approved and signed by the Director, Research, Planning and Technical Services (RPTS) by no later than January 15 in respect of the previous year.

2. The Annual Audited Financial Statements are received by the Permanent Secretary before or on February 1 in respect of the previous year and forwarded to the RPTS Unit.

3. If the Annual Audited Financial Statements are not received by February 28 of the relevant year, the Schedule Officer writes a follow-up letter to the agency on April 1 and every three (3) months thereafter until received.

4. The Director, RPTS minutes the file to the Director, Finance and Accounts (DFA) for review and comments.

5. Based on the review of the Annual Audited Financial Statements, the DFA communicates with the agency in the event of queries arising.

6. Explanations regarding queries with respect to the Annual Audited Financial Statements are submitted to the DFA for further review and comments.

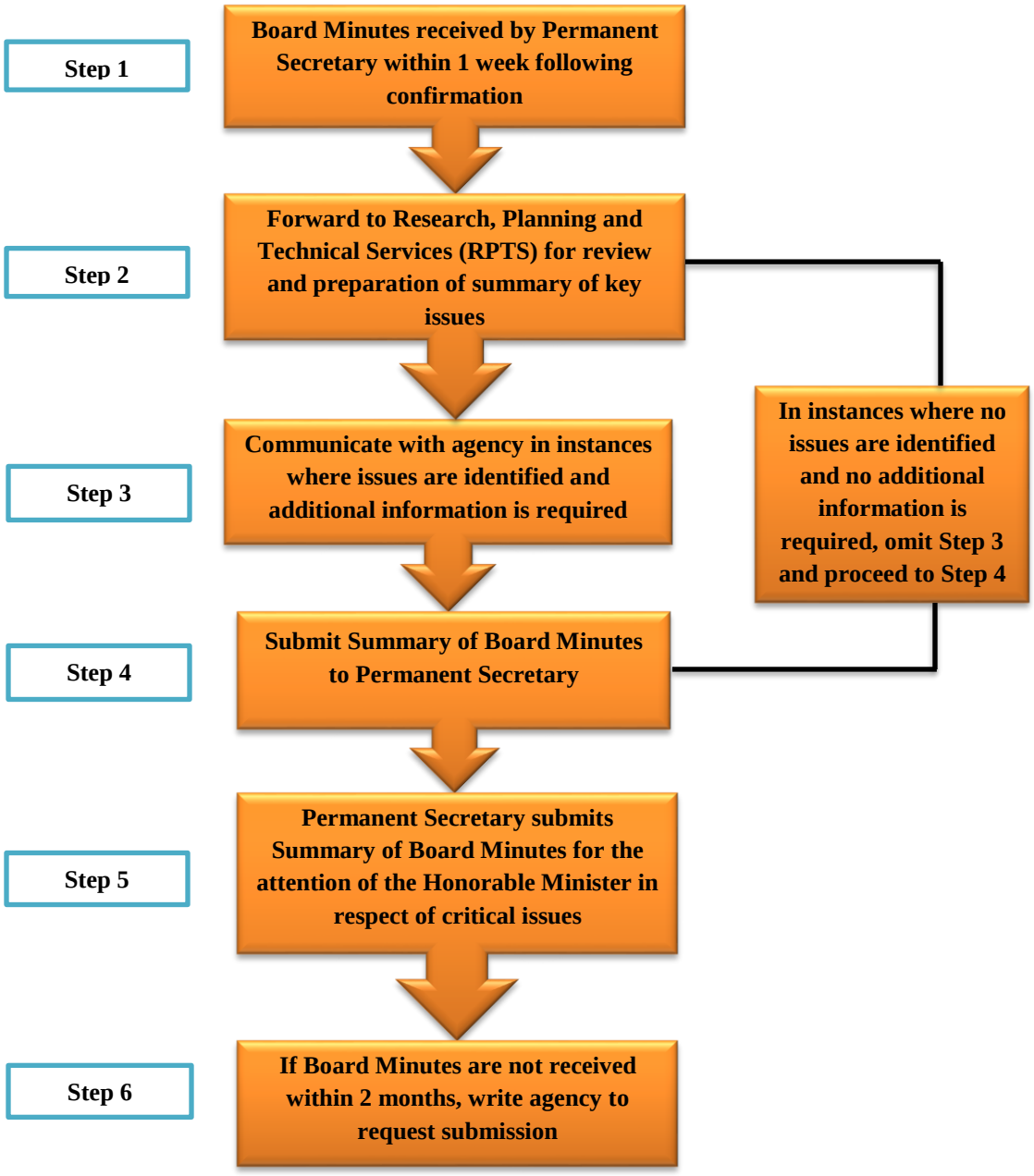
7. The DFA submits comments to the Permanent Secretary regarding any issues that require attention.

Board Minutes

State Agencies are required to submit their Board Minutes one (1) week following confirmation to the Investments Division and Ministry of Education. **Flow Chart 3** depicts the process as it relates to the Board Minutes and the next section more specifically outlines the procedure in writing.

Flow Chart 3

Board Minutes



Process from Research, Planning and Technical Services to Permanent Secretary regarding the Board Minutes

1. The Board Minutes are received by the Permanent Secretary within 1 week of confirmation.

2. The Permanent Secretary forwards the Board Minutes to the Research, Planning and Technical Services (RPTS) Unit for review and preparation of summary of key issues.

3. The Schedule Officer writes a letter to the agency in instances where issues are identified and additional information is required.

4. The Summary of Board Minutes is submitted by the Director, RPTS to the Permanent Secretary highlighting any critical issues.

5. The Permanent Secretary submits the Summary of Board Minutes for the attention of the Honorable Minister in respect of critical issues.

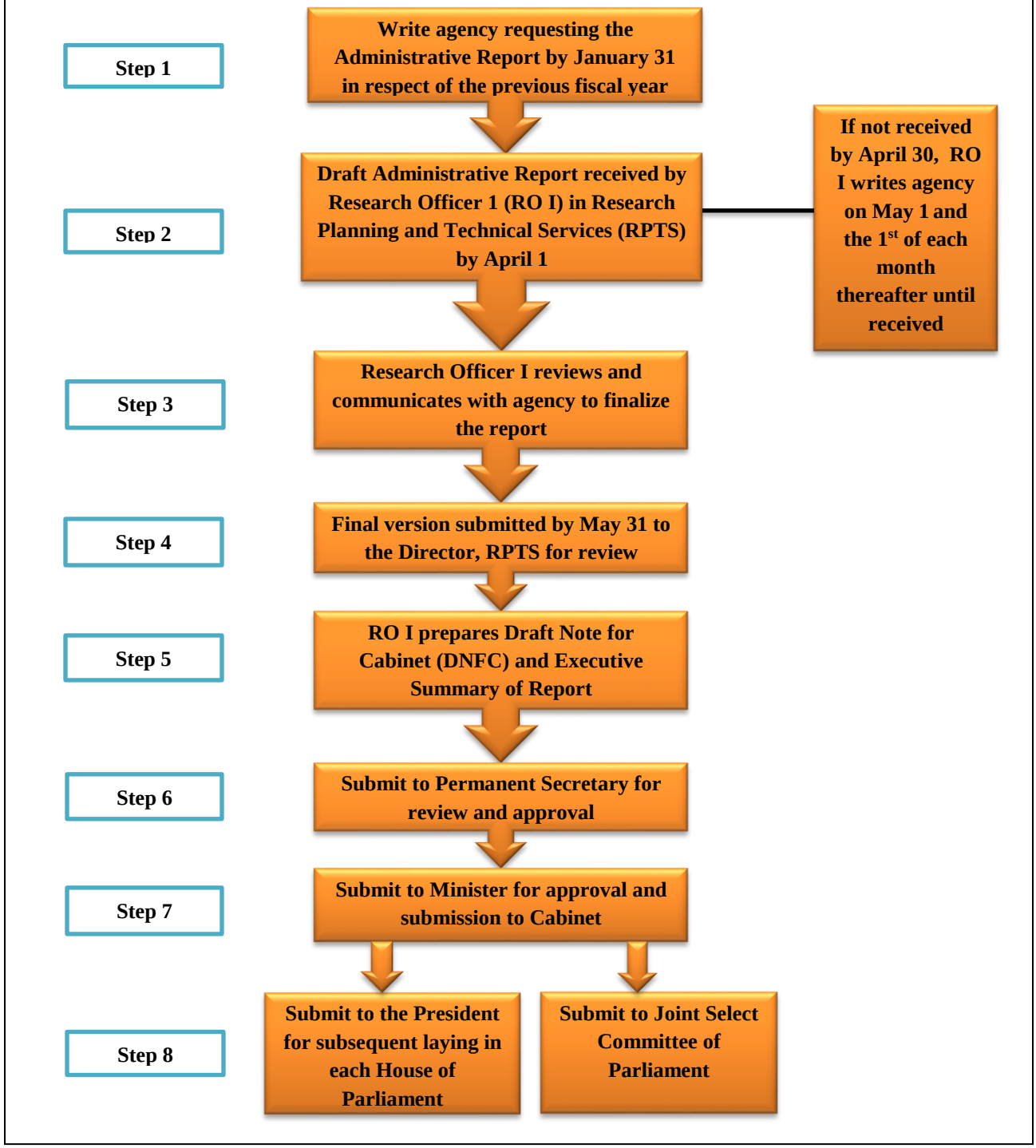
6. If the Board Minutes are not received after two (2) months, the Schedule Officer writes a letter to the agency immediately to request submission of the outstanding minutes.

Administrative Reports

State Agencies are required to submit their Administrative Reports to the Ministry of Education at the end of June. **Flow Chart 4** depicts the process as it relates to the Administrative Reports and the next section more specifically outlines the procedure in writing.

Flow Chart 4

Administrative Reports



Process from Research, Planning and Technical Services to Permanent Secretary regarding the Administrative Reports

1. Research Officer I writes a letter to the agency, approved and signed by the Director, Research, Planning and Technical Services (RPTS) requesting the Administrative Report no later than January 31 in respect of the previous fiscal year.

2. The Draft Administrative Report is received by Research Officer I at the RPTS Unit by April 1 in respect of the previous fiscal year.

3. If the Draft Administrative Report is not received by April 30, Research Officer I writes a follow-up letter to the agency on May 1 and the 1st of each month thereafter requesting the agency's submission of the outstanding report.

4. Research Officer I reviews the Draft Administrative Report and communicates with the agency to finalize the report.

5. The final version of the Administrative Report is submitted by May 31 in respect of the previous fiscal year to the Director, RPTS for review.

6. Once reviewed by the Director, RPTS, Research Officer I prepares a Draft Note for Cabinet and Executive Summary of the report.

7. The Draft Note for Cabinet and Executive Summary of Report are submitted to the Permanent Secretary for review and approval.

8. The Draft Note for Cabinet and Executive Summary of Report are then submitted to the Honorable Minister for approval and submission to Cabinet.

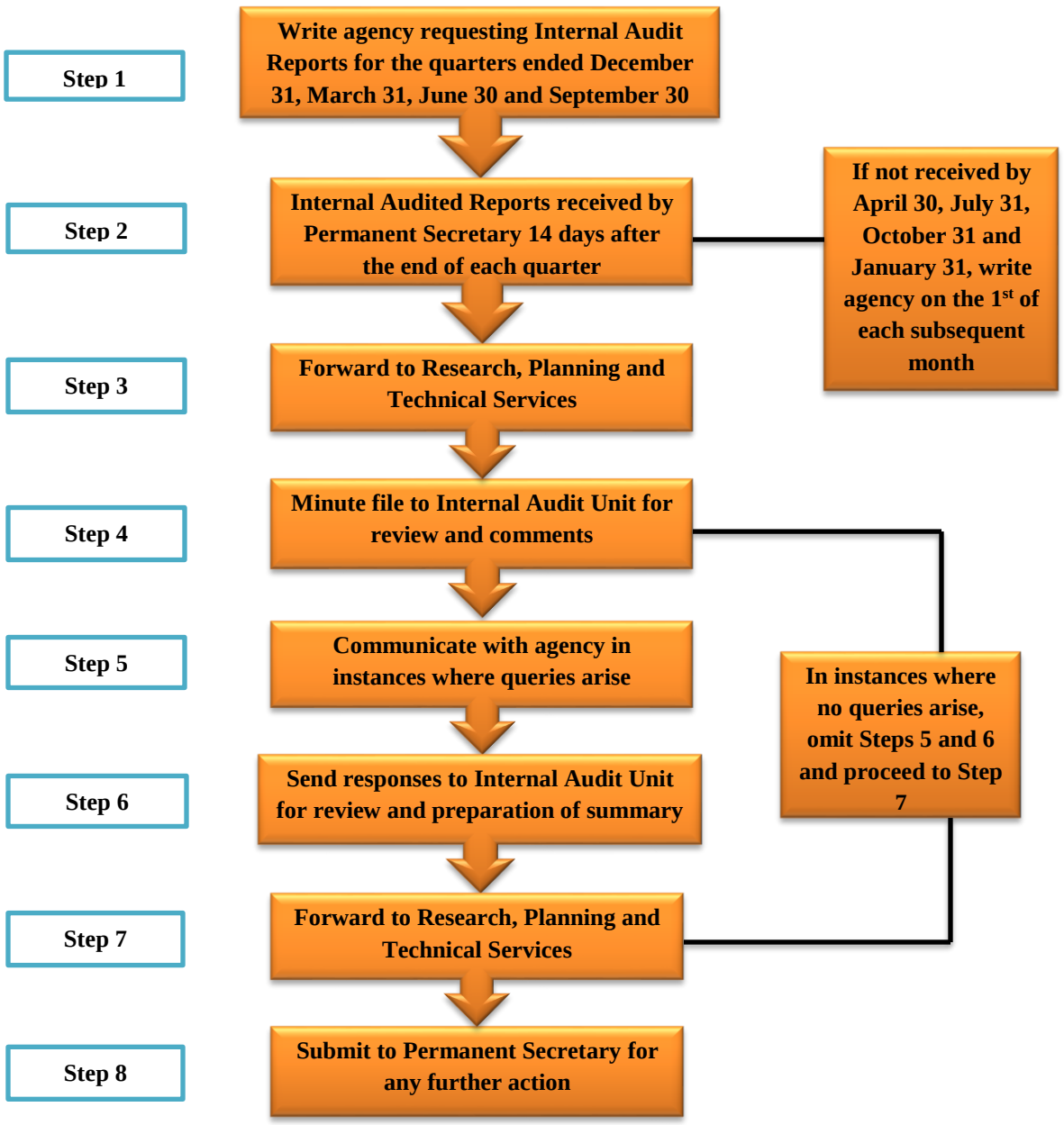
9. Once approval is received from Cabinet, the Administrative Reports are submitted to:-
    i. Her Excellency, the President of the Republic of Trinidad and Tobago for subsequent laying in each House of Parliament; and
    ii. The Joint Select Committee of Parliament.

Internal Audit Report

The monitoring process involves the utilization of the Internal Audit Report. This document is required to be submitted to the Investments Division fourteen (14) days after the end of every quarter. **Flow chart 5** depicts the process as it relates to the Internal Audit Report and the next section more specifically outlines the procedure in writing

Flow Chart 5

Internal Audit Reports



Process from Research, Planning and Technical Services to Permanent Secretary regarding the Internal Audit Reports

1. The Schedule Officer writes a letter to the agency, approved and signed by the Director, Research, Planning and Technical Services (RPTS) requesting the Internal Audit Reports due on January 14, April 14, July 14 and October 14 for the quarters ended December 31, March 31, June 30 and September 30, respectively.

2. The Internal Audit Reports are received by the Permanent Secretary before or on April 14, July 14, October 14 and January 14 in respect of the quarter ended.

3. If the Internal Audit Reports are not received by April 30, July 31, October 31 and January 31, the Schedule Officer writes a follow-up letter to the agency on the 1st of the subsequent month to request the agency's submission of the outstanding Internal Audit Reports.

4. The Permanent Secretary forwards the Internal Audit Reports to the Director, RPTS Unit.

5. The Director, RPTS minutes the file to the Auditor III for review and comments.

6. Based on the review of the Internal Audit Reports by the Auditor III, the Schedule Officer in RPTS communicates with the agency in the event of queries arising.

7. Once received, the responses are submitted to the Internal Audit Unit for further review and comments.

8. The Auditor III reviews, prepares a summary of the Internal Audit Reports and submits to the RPTS Unit.

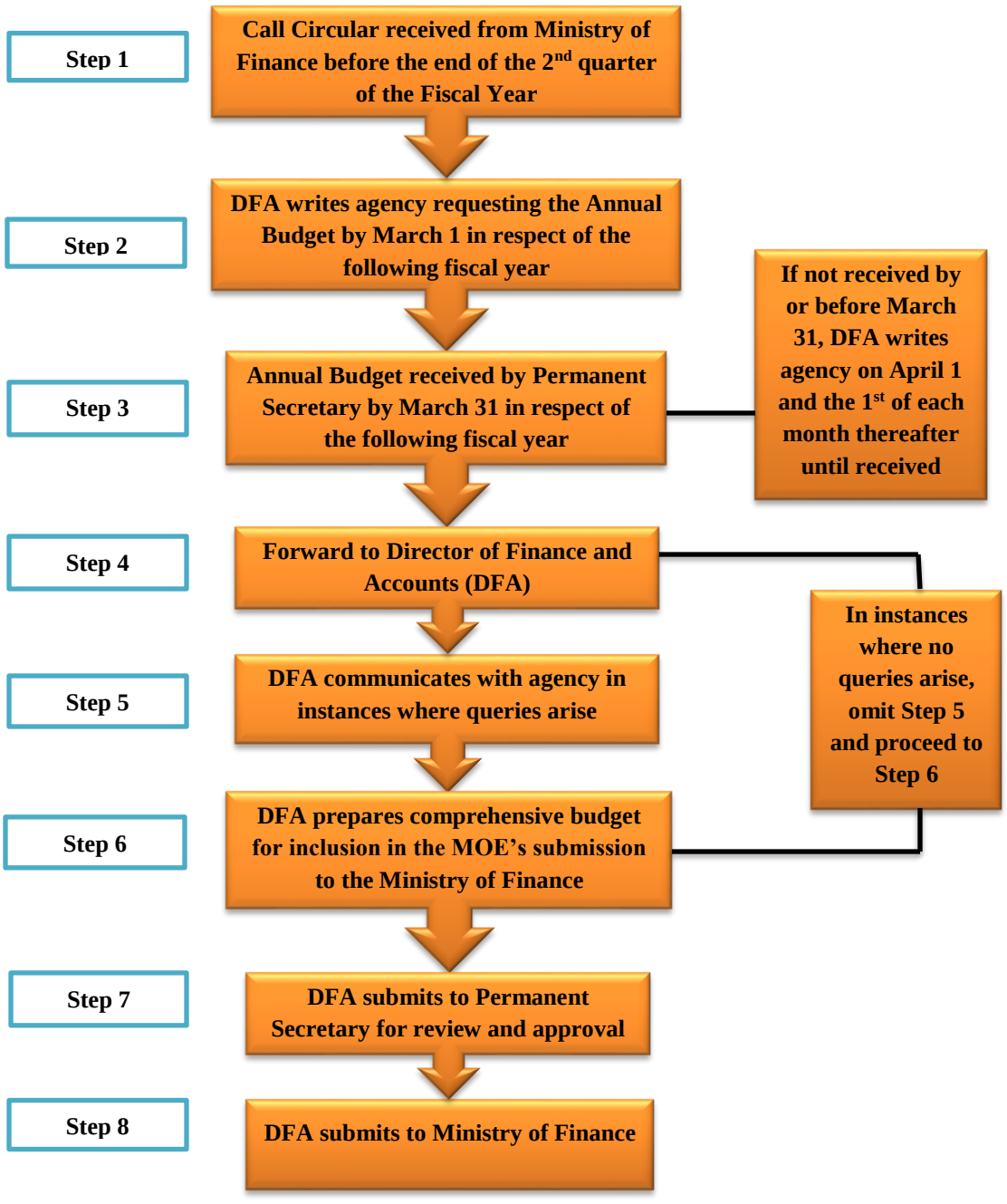
9. The Director, RPTS submits the reviews of the Internal Audit Reports by the Auditor III to the Permanent Secretary for any further action.

Annual Budget

State Agencies are required to submit their Annual Budget to the Investments Division and the Ministry of Education six (6) months prior to the start of the Financial Year for companies receiving Subventions and one (1) month for others. **Flow Chart 6** depicts the process as it relates to the Annual Budget and the next section more specifically outlines the procedure in writing.

Flow Chart 6

Annual Budget



Process from Research, Planning and Technical Services to Permanent Secretary regarding the Annual Budget

1. The Call Circular is received from the Ministry of Finance before the end of the 2nd quarter of the fiscal year.

2. The Director, Finance and Accounts (DFA) writes a letter to the agency requesting the Annual Budget no later than March 1 in respect of the following fiscal year.

3. The Annual Budget is received by the Permanent Secretary by March 31 in respect of the following fiscal year.

4. If the Annual Budget is not received by March 31, the DFA writes a follow-up letter to the agency on April 1 and the 1st of each month thereafter until the Annual Budget is received.

5. The Permanent Secretary forwards the submission to the DFA for review and comments.

6. The DFA communicates with the agency in the event of queries arising.

7. The DFA prepares a comprehensive budget for inclusion in the Ministry of Education's submission to the Ministry of Finance.

8. In instances where no queries arise, the DFA proceeds directly to preparing the comprehensive budget.

9. The DFA submits the comprehensive budget to the Permanent Secretary for review and approval.

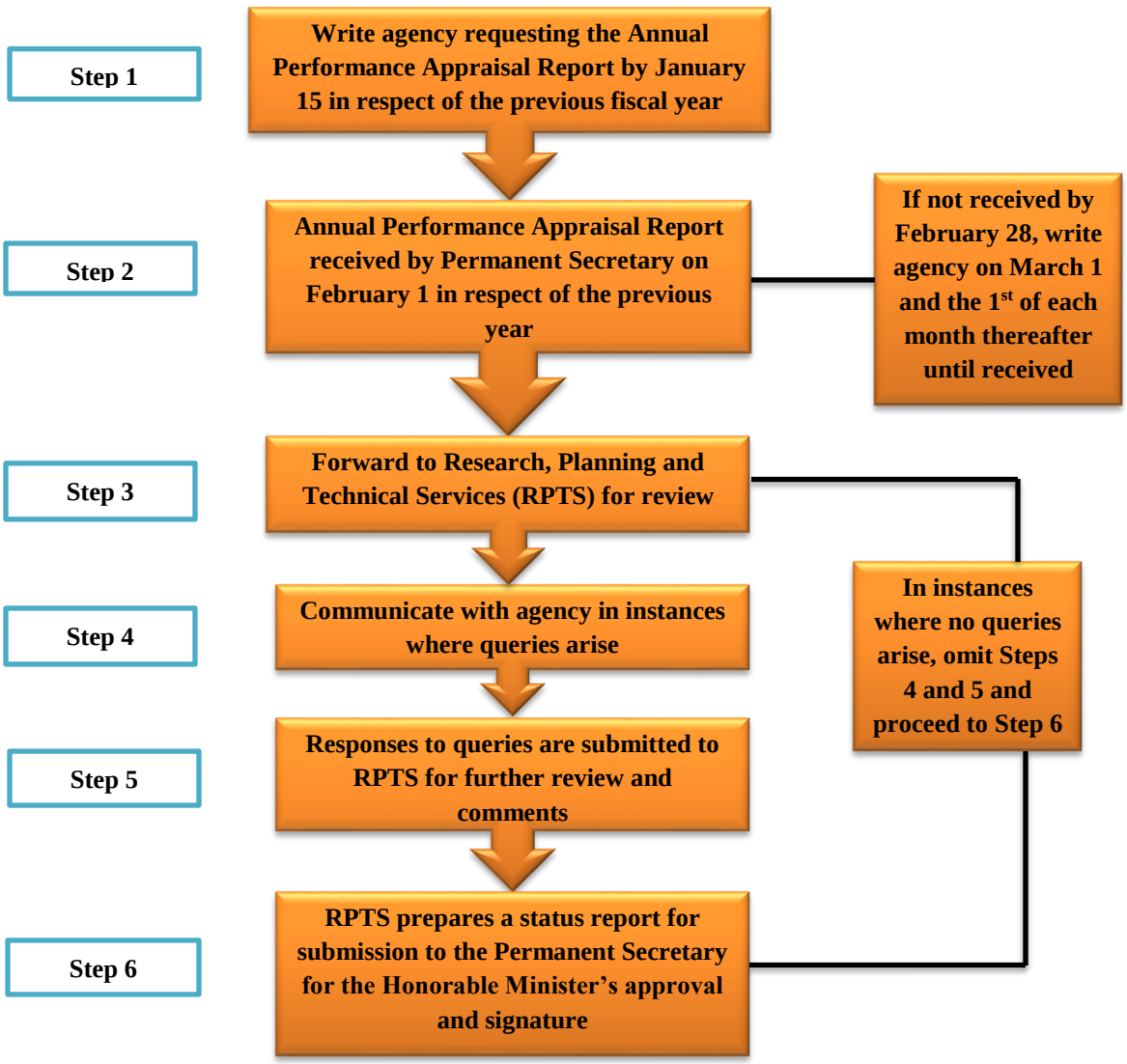
10. The DFA submits the Annual Budget to the Ministry of Finance on behalf of the Permanent Secretary.

Annual Performance Appraisal Report

State Agencies are required to submit their Annual Performance Appraisal Report to the Ministry of Education four (4) months after the end of the Financial Year. **Flow Chart 7** depicts the process as it relates to the Annual Performance Appraisal Report and the next section more specifically outlines the procedure in writing.

Flow Chart 7

Annual Performance Appraisal Report



Process from Research, Planning and Technical Services to Permanent Secretary regarding the Annual Performance Appraisal Report

1. The Schedule Officer prepares a letter to the agency, approved and signed by the Permanent Secretary requesting the Annual Performance Appraisal Report by January 15 in respect of the previous fiscal year ended September 30.

2. The Annual Performance Appraisal Report is received by the Permanent Secretary before or on February 1 in respect of the previous fiscal year ended.

3. If the Annual Performance Appraisal Report is not received by February 28 in respect of the previous year, the Schedule Officer writes a follow-up letter to the agency on March 1 and the 1st of each month thereafter until received.

4. The Permanent Secretary forwards the Annual Performance Appraisal Report to the RPTS Unit for review.

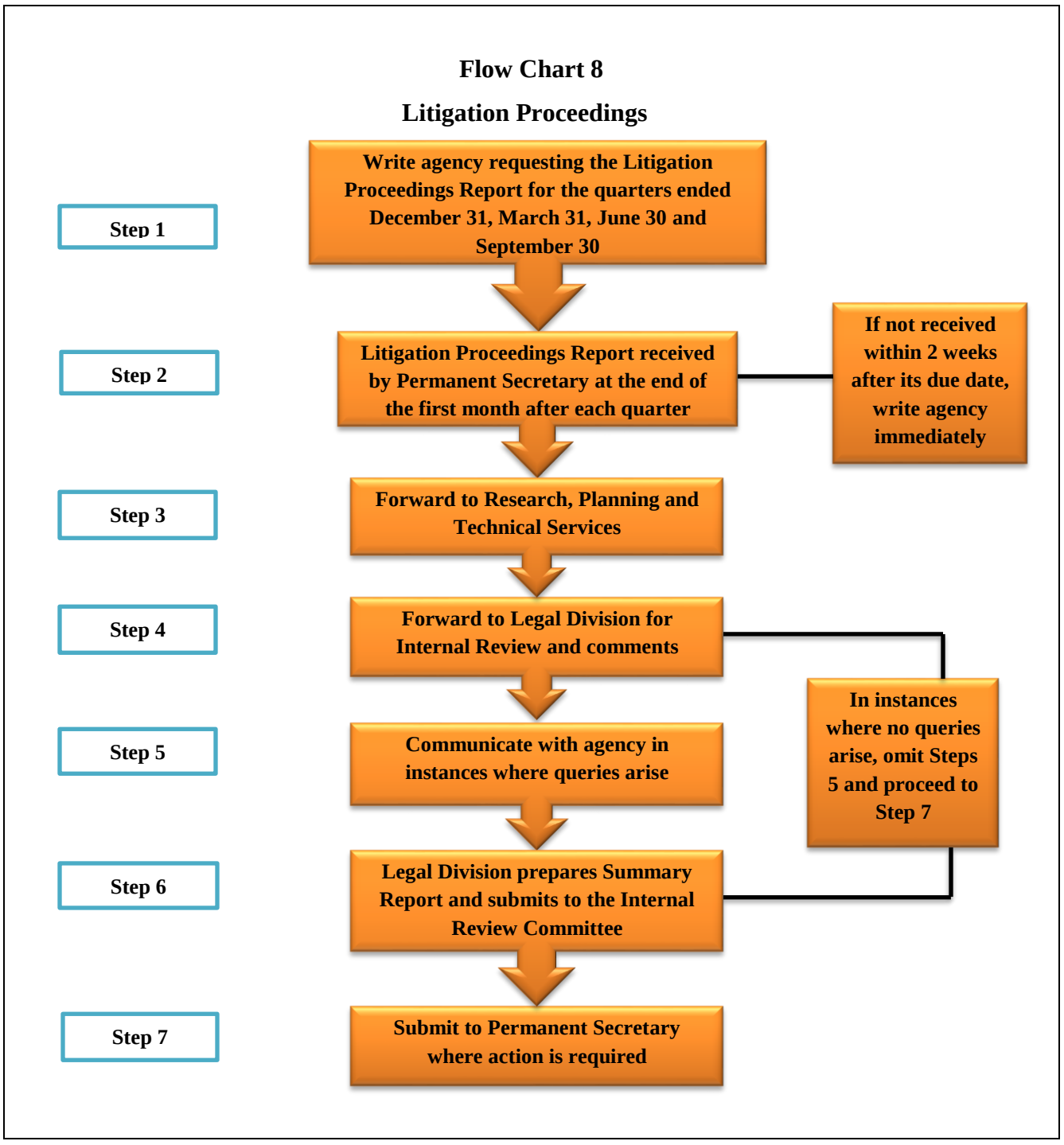
5. Based on the review of the Annual Performance Appraisal Report by the RPTS Unit, the Schedule Officer communicates with the agency in the event of queries arising.

6. Responses are submitted to the RPTS Unit by the agencies regarding queries for further review and comments.

7. The RPTS Unit prepares a status report for submission to the Permanent Secretary for the Honorable Minister's approval and signature to complete the Annual Performance Appraisal Report.

Litigation Proceedings

State Agencies are required to submit their Litigation Proceedings at the end of the first month after each quarter to the Investments Division. **Flow Chart 8** depicts the process as it relates to Litigation Proceedings and the next section more specifically outlines the procedure in writing.



Process from Research, Planning and Technical Services to Permanent Secretary regarding the Litigation Proceedings

1. The Schedule Officer writes a letter to the agency, approved and signed by the Director, Research, Planning and Technical Services (RPTS) requesting the Litigation Proceedings Report due on January 31, April 30, July 31 and October 31 for the quarters ended December 31, March 31, June 30 and September 30, respectively.

2. The Litigation Proceedings Report is received by the Permanent Secretary the end of the first month after every quarter.

3. If the Litigation Proceedings Report is not received within 2 weeks after its due date, the Schedule Officer writes a follow-up letter to the agency immediately to request the submission of the outstanding document.

4. The Permanent Secretary forwards the Litigation Proceedings to the Director, RPTS Unit.

5. The RPTS Unit forwards the Litigation Proceedings Report to the Legal Division for an Internal Review and comments.

6. Based on the review of the Litigation Proceedings Report, the Schedule Officer writes a letter to the agency in the event of queries arising.

7. The Legal Division prepares and submits a Summary Report to the Internal Review Committee.

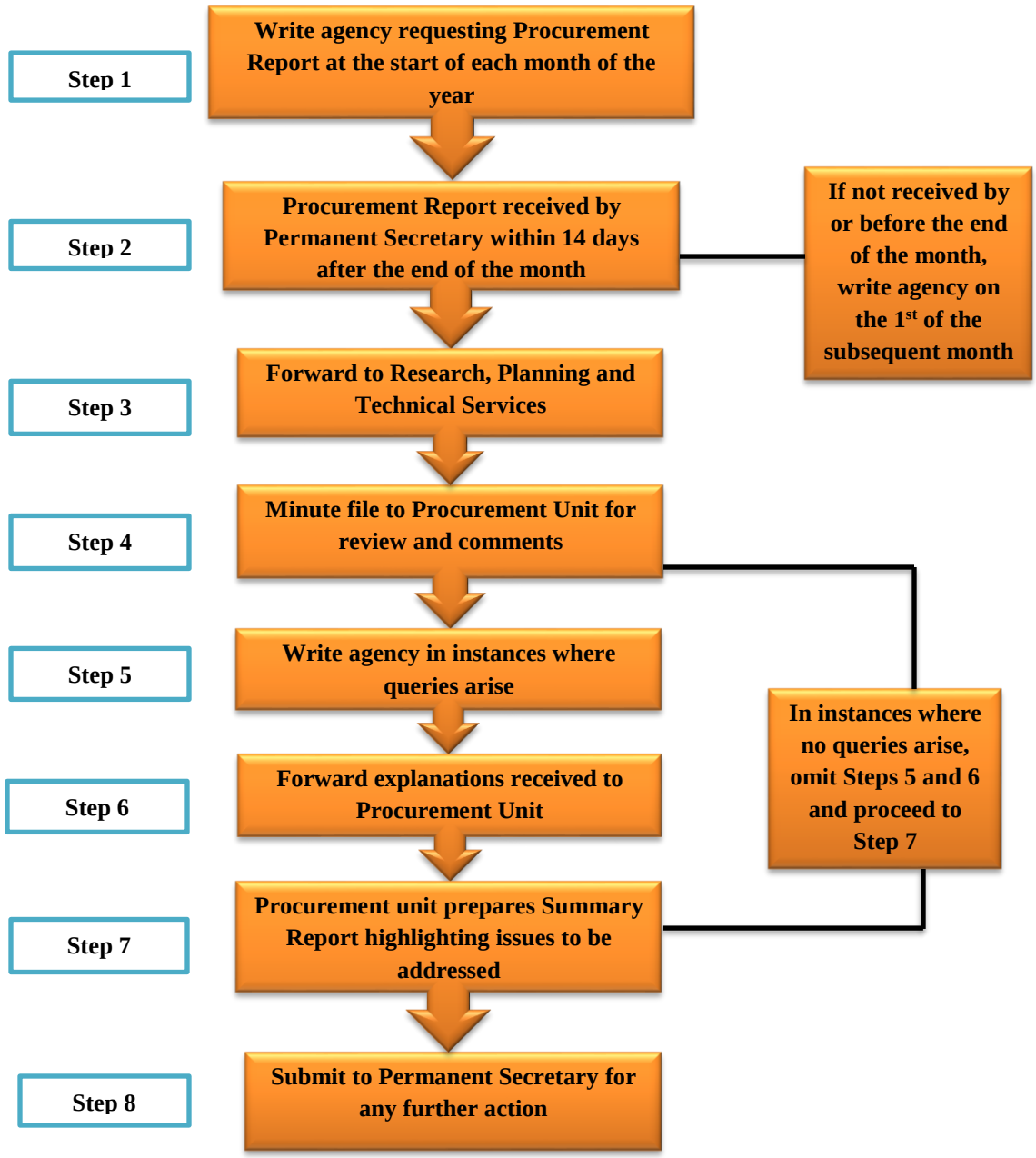
8. The Legal Division submits to the Permanent Secretary where action is required.

Procurement Report

The monitoring process involves the utilization of Procurement Reports. This document is required to be submitted to the Investments Division within fourteen (14) days after the end of every month. **Flow Chart 9** depicts the process as it relates to the Procurement Reports and the next section more specifically outlines the procedure in writing.

Flow Chart 9

Procurement Reports



Process from Research, Planning and Technical Services to Permanent Secretary regarding the Procurement Reports

1. The Schedule Officer writes a letter to the agency, approved and signed by the Director, Research, Planning and Technical Services (RPTS) at the start of each month of the year in respect of the previous month.

2. Procurement Reports are received by the Permanent Secretary within 14 days after the end of each month of the relevant year.

3. If the Procurement Reports are not received by the end of the month in which they are due, the Schedule Officer writes a follow-up letter to the agency on the 1st of the subsequent month to request the agency's submission of the outstanding document.

4. The Permanent Secretary forwards the Procurement Reports to the Director, RPTS Unit.

5. The Director, RPTS minutes the file to the Procurement Specialist for review and comments.

6. Based on the review by the Procurement Specialist, the Schedule Officer communicates with the agency in the event of queries arising.

7. Explanations and responses received are forwarded to the Procurement Unit.

8. The Procurement Unit prepares a Summary Report highlighting issues to be addressed.

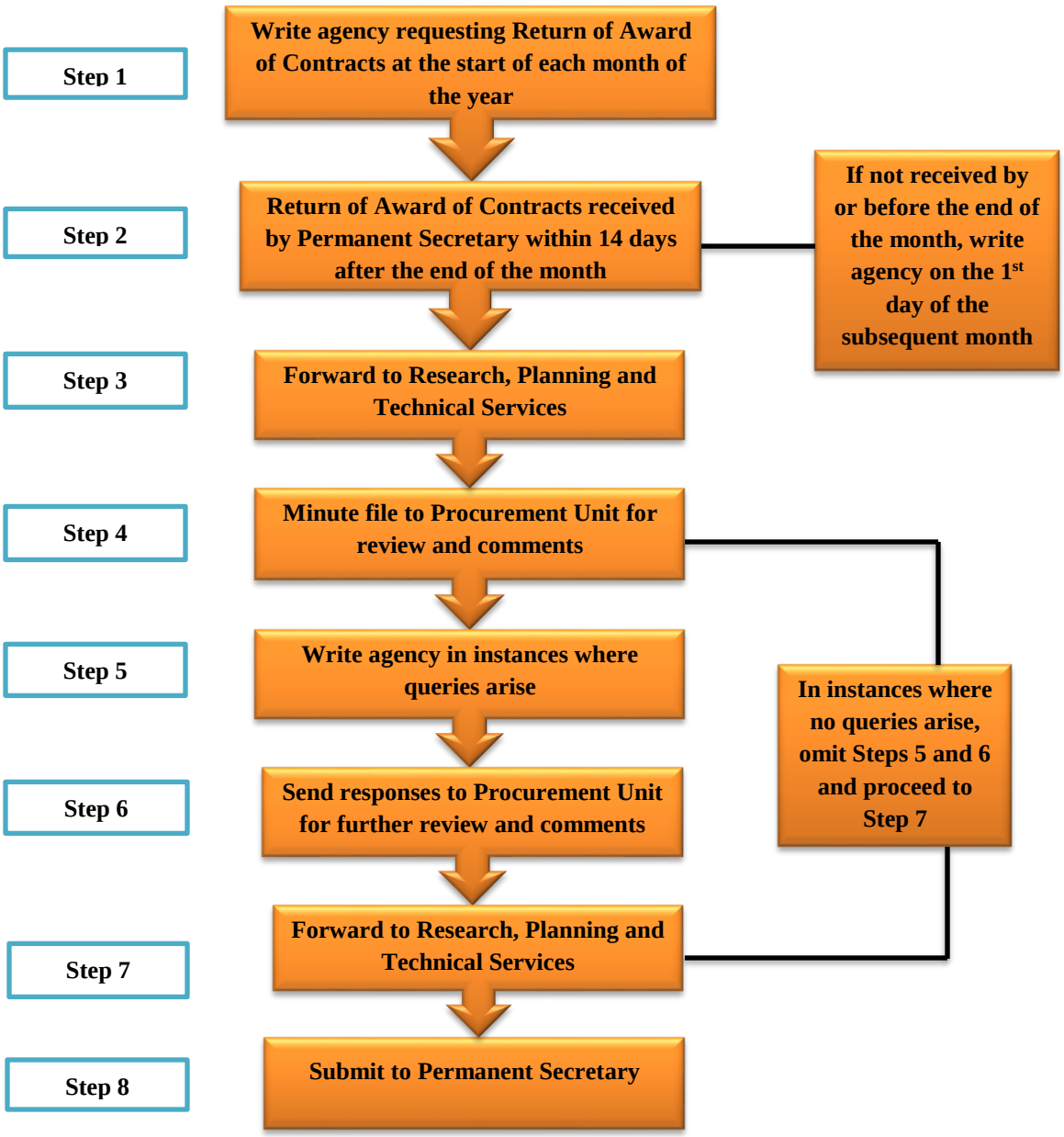
9. The Procurement Specialist submits the Summary Report to the Permanent Secretary for any further action required.

Return of Award of Contracts

State Agencies are required to submit the Return of Award of Contracts within fourteen (14) days following the end of each month to the Investments Division. **Flow Chart 10** depicts the process as it relates to the Return of Award of Contracts and the next section more specifically outlines the procedure in writing.

Flow Chart 10

Return of Award of Contracts



Process from Research, Planning and Technical Services to Permanent Secretary regarding the Return of Award of Contracts

1. The Schedule Officer writes a letter to the agency, approved and signed by the Director, Research, Planning and Technical Services (RPTS) at the start of each month of the year in respect of the previous month.

2. The Return of Award of Contracts are received by the Permanent Secretary within 14 days after the end of each month of the relevant year.

3. If the Return of Award of Contracts are not received by the end of the month in which they are due, the Schedule Officer writes a follow-up letter to the agency on the 1st of the subsequent month to request the agency's submission of the outstanding document.

4. The Permanent Secretary forwards the Return of Award of Contracts to the Director, RPTS Unit.

5. The Director, RPTS minutes the file to the Procurement Specialist for review and comments.

6. Based on the review by the Procurement Specialist, the Schedule Officer communicates with the agency in the event of queries arising.

7. Once received, the responses are submitted to the Procurement Unit for further review and comments.

8. After the Procurement Specialist makes a final review, the Return of Award of Contracts are forwarded to the RPTS Unit.

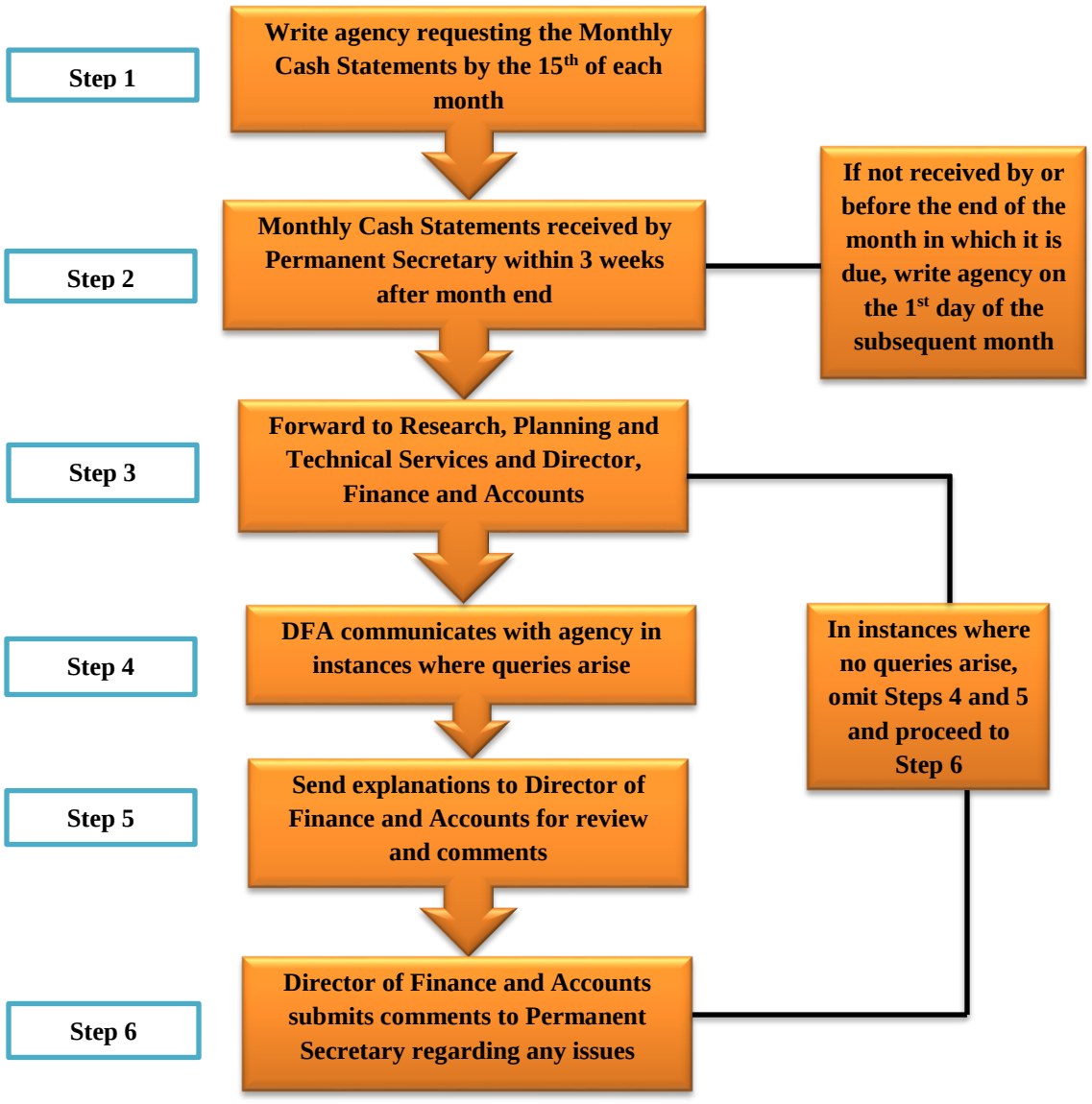
9. The Director, RPTS submits the Return of Award of Contracts to the Permanent Secretary for any other action required.

Monthly Cash Statements of Operations

State Agencies are required to submit their Monthly Cash Statements of Operations three (3) weeks after the end of each month to the Investments Division and Ministry of Education. **Flow Chart 11** depicts the process as it relates to the Monthly Cash Statements of Operations and the next section more specifically outlines the procedure in writing.

Flow Chart 11

Monthly Cash Statements of Operations



Process from Research, Planning and Technical Services to Permanent Secretary regarding the Monthly Cash Statements of Operations

1. The Schedule Officer writes a letter to the agency, approved and signed by the Director, Research, Planning and Technical Services (RPTS) by the 15th of each month requesting the Monthly Cash Statement of Operations.

2. The Monthly Cash Statements of Operations are received by the Permanent Secretary within 3 weeks after the end of the month.

3. If the Monthly Cash Statements of Operations are not received by the end of the month in which it is due, the Schedule Officer writes a follow-up letter to the agency on the 1st day of the subsequent month to request the agency's submission of the outstanding document.

4. The Permanent Secretary forwards the Monthly Cash Statements of Operations to the Director, RPTS Unit and the Director, Finance and Accounts (DFA).

5. Based on the review of the Monthly Cash Statements of Operations, the DFA communicates with the agency in the event of queries arising.

6. The explanations regarding the Monthly Cash Statements of Operations are submitted to the DFA for further review and comments.

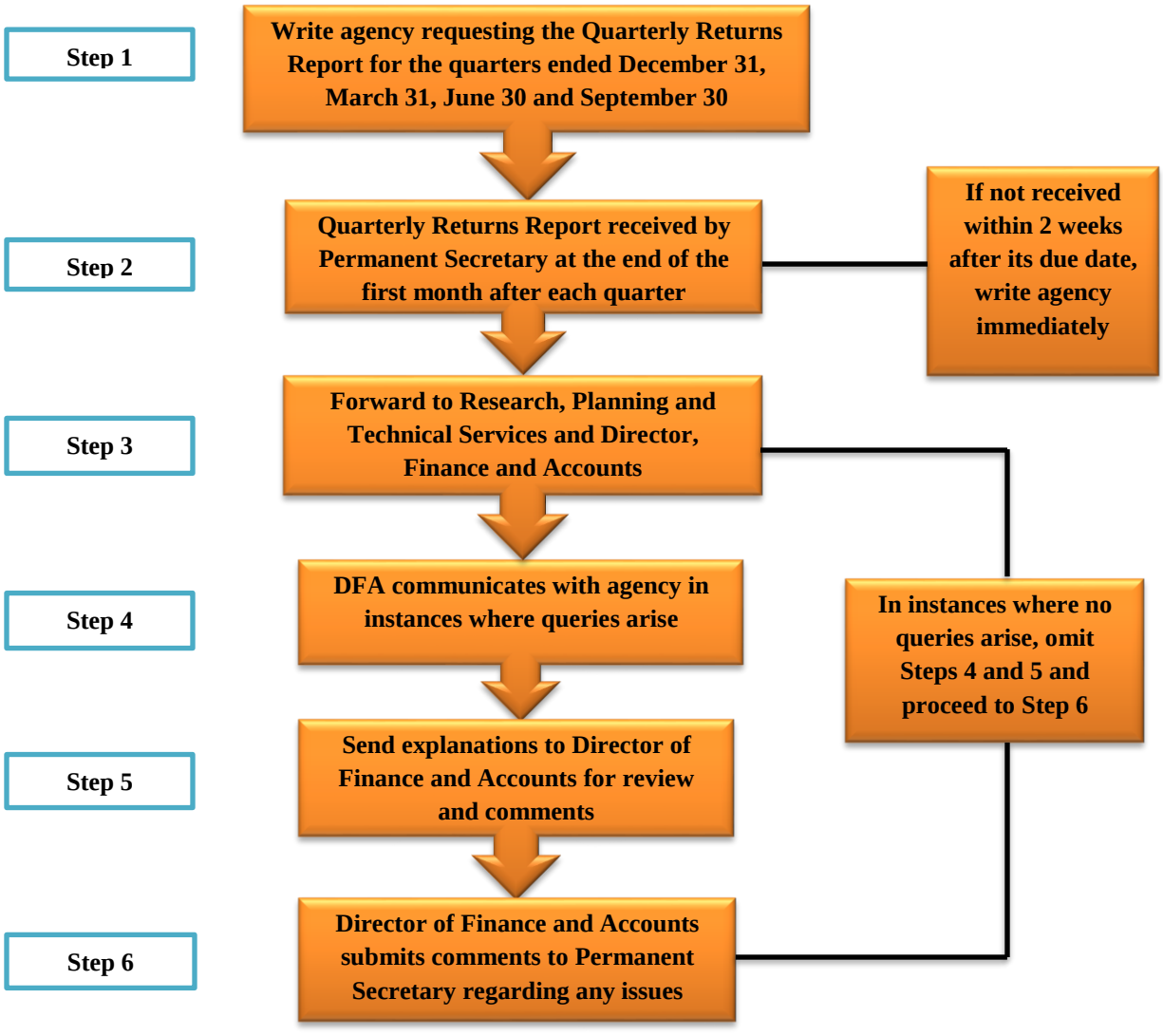
7. The DFA submits comments to the Permanent Secretary regarding any issues that require attention.

Quarterly Returns Report

State Agencies are required to submit their Quarterly Returns Report at the end of the first month after each quarter to the Investments Division. **Flow Chart 12** depicts the process as it relates to the Quarterly Returns Report and the next section more specifically outlines the procedure in writing.

Flow Chart 12

Quarterly Returns Report



Process from Research, Planning and Technical Services to Permanent Secretary regarding the Quarterly Returns Report

1. The Schedule Officer writes a letter to the agency, approved and signed by the Director, Research, Planning and Technical Services (RPTS) requesting the Quarterly Returns Report due on January 31, April 30, July 31 and October 31 for the quarters ended December 31, March 31, June 30 and September 30, respectively.

2. The Quarterly Returns Report is received by the Permanent Secretary at the end of the first month after every quarter.

3. If the Quarterly Returns Report is not received within 2 weeks after its due date, the Schedule Officer writes a follow-up letter to the agency immediately to request the submission of the outstanding document.

4. The Permanent Secretary forwards the Quarterly Returns Report to the Director, RPTS Unit and the Director, Finance and Accounts (DFA).

5. Based on the review of the Quarterly Returns Report, the DFA communicates with the agency in the event of queries arising.

6. The explanations regarding the Quarterly Returns Report are submitted to the DFA for further review and comments.

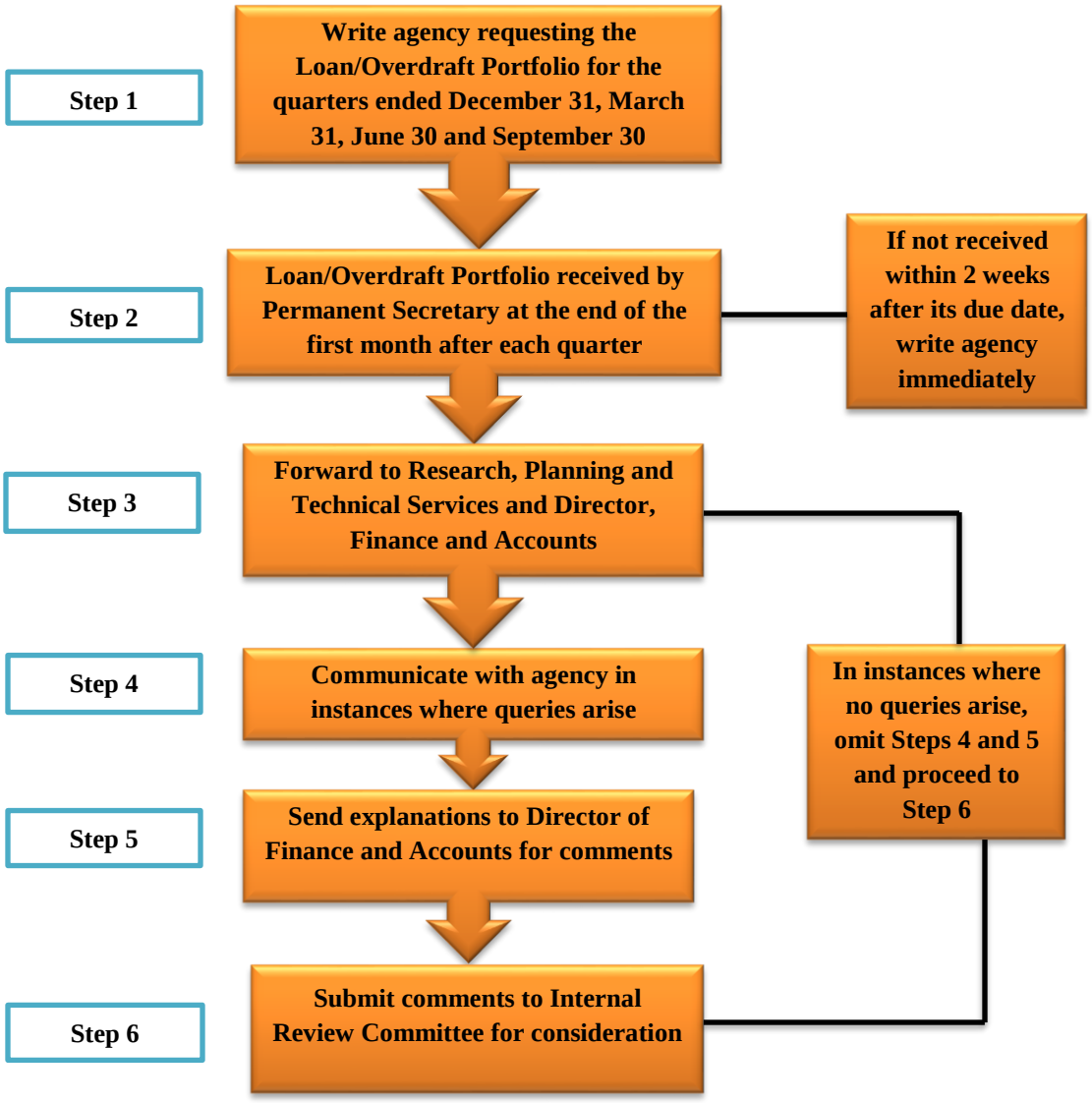
7. The DFA submits comments to the Permanent Secretary regarding any issues that require attention.

Loan/Overdraft Portfolio

State Agencies are required to submit their Loan/Overdraft Portfolio at the end of the first month after each quarter to the Investments Division. **Flow Chart 13** depicts the process as it relates to the Quarterly Returns Report and the next section more specifically outlines the procedure in writing.

Flow Chart 13

Loan/Overdraft Portfolio



Process from Research, Planning and Technical Services to Permanent Secretary regarding the Loan/Overdraft Portfolio

1. The Schedule Officer writes a letter to the agency, approved and signed by the Director, Research, Planning and Technical Services (RPTS) requesting the Loan/Overdraft Portfolio due on January 31, April 30, July 31 and October 31 for the quarters ended December 31, March 31, June 30 and September 30, respectively.

2. The Loan/Overdraft Portfolio is received by the Permanent Secretary at the end of the first month after every quarter.

3. If the Loan/Overdraft Portfolio is not received within 2 weeks after its due date, the Schedule Officer writes a follow-up letter to the agency immediately to request the submission of the document as early as possible.

4. The Permanent Secretary forwards the Loan/Overdraft Portfolio to the Director, RPTS Unit and the Director, Finance and Accounts.

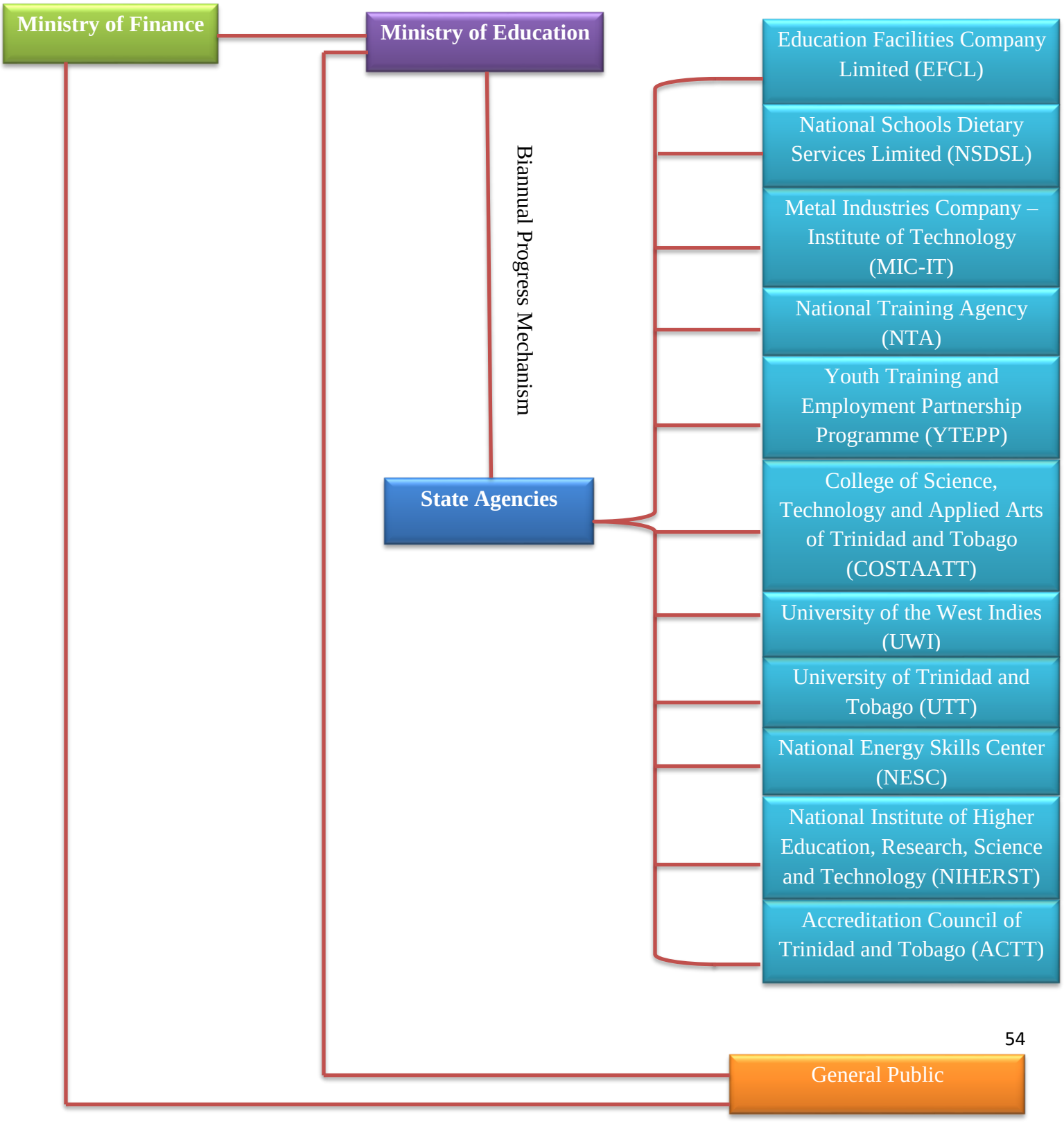
5. Based on the review of the Loan/Overdraft Portfolio, the DFA communicates with the agency in the event of queries arising.

6. The explanations regarding the Loan/Overdraft Portfolio are submitted to the DFA for further comments.

7. The DFA prepares a Summary Report and submits to the Internal Review Committee for consideration.

Figure 4

Bi-annual Progress Reporting for State Agencies under the Purview of the Ministry of Education



Appendix III

BI-ANNUAL PROGRESS REPORT

(State Agency Name)

(Period Covered)

Part 1

Fulfillment of Compliance Requirements in accordance with the Compliance Continuum

Identify the level of compliance demonstrated by the institution

_____
_____
_____
_____

Identify measures to improve levels of compliance demonstrated

_____
_____
_____
_____

Part 2

Progress toward Achievement

State short-term goals and objectives achieved to date

_____
_____
_____

State goals and objectives not achieved/delayed in achievement

_____
_____
_____

State reason(s) for goals and objectives not being achieved

_____
_____
_____

State key projects and programmes undertaken during the period covered

_____
_____
_____

Part 3

Anticipated Programme and Project Completion

Indicate whether or not programmes and projects are presumed to be completed on time.

Provide justification

_____
_____
_____

Indicate whether or not programmes and projects are presumed to be completed within budget.

Provide justification

_____
_____
_____

Part 4

Current Challenges and Risks

Identify challenges and risks faced during the period covered that affected the progress of the Institution

_____
_____
_____
_____

Identify mitigating courses of action taken to address aforementioned challenges and risks

_____
_____
_____
_____

Part 5

Anticipated Challenges and Risks

Identify any anticipated challenges and risks that may hinder the progress of the institution

_____
_____
_____
_____

State recommendations on how to address the aforementioned challenges and risks

_____
_____
_____
_____

Monitoring Compliance of State Enterprises (Template)

Monitoring System	Reporting Document	Details for Submission	Receiving Agency	State Enterprises					Data Collection and Management
				EFCL	NSDSL	MIC-IT	NTA	YTEPP	
The Investments Division and Ministry of Education are responsible for monitoring the activities of individual companies. Monitoring agents by extension also include The Cabinet, the Minister of Finance (Corporation Sole) and the Board of Directors.	Strategic Plan	Six (6) months prior to start of period of the Plan (for companies receiving Subventions) One (1) month for others	Investments Division and Line Ministry						
	Annual Budget	Six (6) months prior to start of Financial Year (for companies receiving Subventions) One (1) month for others	Investments Division and Line Ministry						
	Annual Performance Appraisal Report								
	Board Minutes	One (1) week following Confirmation	Investments Division and Line Ministry						
	Return of the Award of Contracts	14 days after month end	Investments Division						

Monitoring System	Reporting Document	Details for Submission	Receiving Agency	State Enterprises					Data Collection and Management
				EFCL	NSDSL	MIC-IT	NTA	YTEPP	
The Investments Division and Ministry of Education are responsible for monitoring the activities of individual companies. Monitoring agents by extension also include The Cabinet, the Minister of Finance (Corporation Sole) and the Board of Directors.	Monthly Cash Flow Statements	Within three (3) weeks after month end	Investments Division and Line Ministry						
	Quarterly Reports	End of first month after Quarter	Investments Division						
	Audited Financial Statements	Four (4) months after end of Financial Year	Investments Division and Line Ministry						
	Internal Audit Reports	14 days after end of the Quarter	Investments Division						
	Administrative Reports	End of June	Line Ministry						
	Litigation Proceedings	End of first month after Quarter	Investments Division						
	Procurement Procedures	Within fourteen (14) days following the end of each month	Investments Division						
	Annual Business Plan								

Monitoring System	Reporting Document	Details for Submission	Receiving Agency	State Enterprises					Data Collection and Management
				EFCL	NSDSL	MIC-IT	NTA	YTEPP	
The Investments Division and Ministry of Education are responsible for monitoring the activities of individual companies. Monitoring agents by extension also include The Cabinet, the Minister of Finance (Corporation Sole) and the Board of Directors.	Loan/Overdraft Portfolio	End of first month after Quarter	Investments Division						
	Grant of Loans to Staff								
	Travel and Transportation Allowance Matters								
	Cell Phone Matters								
	Signage of Vehicles								

Monitoring Compliance of State Agencies (Template)

Monitoring System	Reporting Document	Details for Submission	Receiving Agency	State Agencies						Data Collection and Management
				COSTAATT	UWI	UTT	NESC	NIHERST	ACTT	
The Investments Division and Ministry of Education are responsible for monitoring the activities of individual companies. Monitoring agents by extension also include The Cabinet, the Minister of Finance (Corporation Sole) and the Board of Directors.	Strategic Plan	Six (6) months prior to start of period of the Plan (for companies receiving Subventions) One (1) month for others	Investments Division and Line Ministry							
	Annual Budget	Six (6) months prior to start of Financial Year (for companies receiving Subventions) One (1) month for others	Investments Division and Line Ministry							
	Annual Performance Appraisal Report									
	Board Minutes	One (1) week following Confirmation	Investments Division and Line Ministry							
	Return of the Award of Contracts	14 days after month end	Investments Division							

Monitoring System	Reporting Document	Details for Submission	Receiving Agency	State Agencies						Data Collection and Management
				COSTAATT	UWI	UTT	NESC	NIHERST	ACTT	
The Investments Division and Ministry of Education are responsible for monitoring the activities of individual companies. Monitoring agents by extension also include The Cabinet, the Minister of Finance (Corporation Sole) and the Board of Directors.	Monthly Cash Flow Statements	Within three (3) weeks after month end	Investments Division and Line Ministry							
	Quarterly Reports	End of first month after Quarter	Investments Division							
	Audited Financial Statements	Four (4) months after end of Financial Year	Investments Division and Line Ministry							
	Internal Audit Reports	14 days after end of the Quarter	Investments Division							
	Administrative Reports	End of June	Line Ministry							
	Litigation Proceedings	End of first month after Quarter	Investments Division							
	Procurement Procedures	Within fourteen (14) days following the end of each month	Investments Division							
	Annual Business Plan									

Monitoring System	Reporting Document	Details for Submission	Receiving Agency	State Agencies						Data Collection and Management
				COSTAATT	UWI	UTT	NESC	NIHERST	ACTT	
The Investments Division and Ministry of Education are responsible for monitoring the activities of individual companies. Monitoring agents by extension also include The Cabinet, the Minister of Finance (Corporation Sole) and the Board of Directors.	Loan/Overdraft Portfolio	End of first month after Quarter	Investments Division							
	Grant of Loans to Staff									
	Travel and Transportation Allowance Matters									
	Cell Phone Matters									
	Signage of Vehicles									

Appendix II

Status on Audited Financial Statements as at April 16, 2019

No.	External Agencies	Outstanding Periods	Status
1.	EFCL	2015/2016 to 2018/2019	-
2.	NSDSL	NIL	Up to date to 2018/2019
3.	MIC-IT	2018/2019	Audited Financial Statements submitted to 2017/2018.
4.	NTA	2011/2012 to 2018/2019	External Auditors, KPMG completed the audit for 2011/2012. NTA awaiting final document. Fieldwork for audits for 2012/2013 and 2013/2014 completed. Auditors were to visit NTA in March 2020 to complete the audit but visit has to be re-scheduled. The Audits for 2014/2015 to 2017/2018 have not commenced. Auditors were expected to start by end of April 2020 but due to COVID 19, start date is uncertain.
5.	YTEPP	NIL	Up to date to 2018/2019
6.	NESC	NIL	Board approved the Audited Financial Statement for 2018/2019 but Ministry awaiting copy.
7.	NIHERST	2012/2013 to 2017/2018	Financial Statements for 2011/2012 and 2012/2013 audited but Management letter for 2012/2013 outstanding. Due to a manpower shortage at the Auditor General's Department, financial statements for 2013/2014 to date remain outstanding.

APPENDIX III

Status of Administrative Reports as at April 16, 2020

No.	External Agencies	Outstanding Periods	Status
1.	EFCL	2018/2019	Reports for the periods 2014/2015 to 2017/2018 received by the Ministry and are currently under review.
2.	NSDSL	2018/2019	Report for 2016/2017 submitted to Cabinet for approval. Report for 2017/2018 received by the Ministry and is currently under review.
3.	MIC-IT	2018/2019	Report for 2015/2016 submitted to Cabinet for approval. Reports for 2016/2017 and 2017/2018 received and meetings held with the institution between July and December 2019. Revised drafts currently under review by the Ministry.
4.	NTA	2018/2019	Reports for the periods 2014/2015 to 2017/2018 received by the Ministry. Meetings held with the institution in September and November 2019. Revised drafts for 2014/2015 to 2016/2017 submitted and are currently under review by the Ministry. Awaiting revised draft for 2017/2108.
5.	YTEPP	2018/2019	Reports for the periods 2016/2017 and 2017/2018 received by the Ministry and are currently under review.
6.	NESC	2018/2019	Reports for the periods 2016/2017 and 2017/2018 received by the Ministry and meetings held with the institution between March and September 2019. The revised drafts are currently under review.
7.	NIHERST	2018/2019	Reports for the periods 2016/2017 and 2017/2018 received by the Ministry and are currently under review.

WORKLOAD STATISTICS
MINISTRY: MINISTRY OF EDUCATION

UNIT: PROGRAMME AND PROJECT MANAGEMENT UNIT (PPMU)

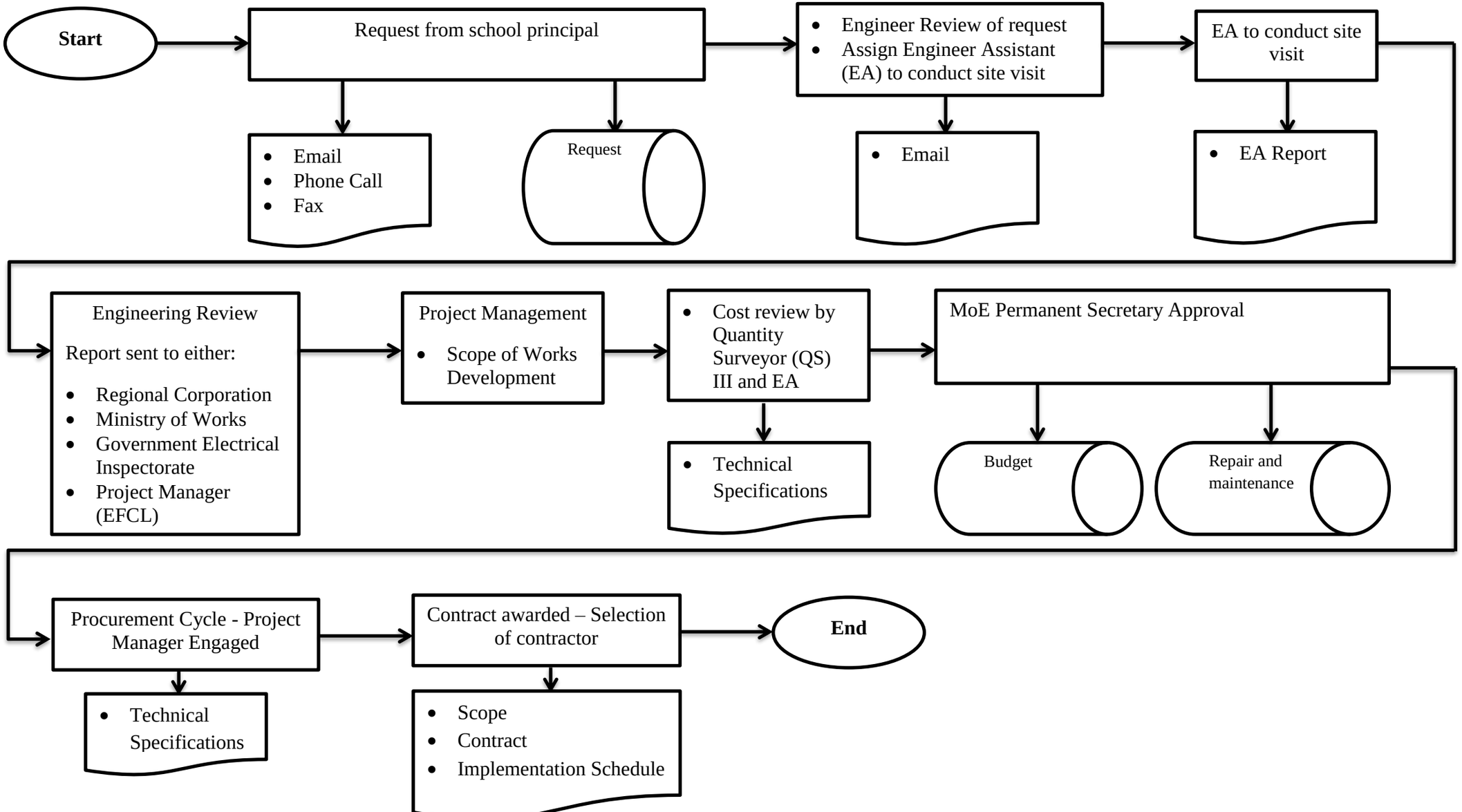
CORE FUNCTION	TASKS	FREQUENCY	VOLUME PER MONTH	OFFICERS INVOLVED
(i) Advising the Permanent Secretary of matters related to all project/programme under the Ministry's Public Sector Investment Programme (PSIP)	Preparation of Reports; Preparation of Notes; Attend Meetings	HIGH	At least 4 times per month	Programme/ Project Manager & Project Support Officer
(ii) Implementation of strategies in accordance with the Ministry's strategic plan and Government's policies;	Development of Project Proposals/ Review and Finalization of Project Proposals submitted by portfolio agencies	HIGH	Varies with most proposals being facilitated during the period February - May each year	Programme/ Project Manager & Project Support Officer
	Prepare Cabinet Notes	MEDIUM	2 per month dependent on number of new projects	Programme/ Project Manager & Project Support Officer
	Prepare Development Programme Draft Budget Estimates	LOW	February - May each year	Programme/ Project Manager & Project Support Officer
	Facilitate Meetings with Project Implementing Agencies	HIGH	At least 4 times per month	Programme/ Project Manager & Project Support Officer
	Review and Finalise project documents	HIGH	This is done on a daily basis	Programme/ Project Manager & Project Support Officer
	Facilitate release of funds	HIGH	2-3 times per month	Programme/ Project Manager & Project Support Officer
	Monitor Project Progress	HIGH	This is done on a daily basis depending on the type and size of the project being implemented.	Programme/ Project Manager & Project Support Officer

CORE FUNCTION	TASKS	FREQUENCY	VOLUME PER MONTH	OFFICERS INVOLVED
	Manage Project Scope and Cost	HIGH	Daily	Programme/ Project Manager
	Manage Project Schedules			
	Contract Administration	MEDIUM	2 times per week	Programme/ Project Manager
	All other related activities	Dependant on Type	Dependant on Type	Programme/ Project Manager & Project Support Officer
(iii) Liaising with the Ministry of Finance and the Ministry of Planning to secure project funding and on all other matters related to PSIP projects	Meetings; Communication via emails, letters/memos, reports.	HIGH	Daily	Programme/ Project Manager & Project Support Officer
(iv) Matters related to land acquisition;	Letters and memos; Liaise with relevant entities; Facilitate meetings and site visits; process documents.	MEDIUM	1-2 times per month	Programme/ Project Manager & Project Support Officer
(v) Ensuring all public sector procedures, processes and guidelines are adhered to at all times in the execution of projects/programmes;	Meetings; review of project documents; access information on procurement process used.	HIGH	Daily	Programme/ Project Manager & Project Support Officer
(vi) Providing support to all portfolio agencies in respect of project development, implementation and management thereby ensuring transparency, accountability and value for money in the procurement of works, goods and services	Meetings; review of project documents; access information on procurement process used.	HIGH	Daily	Programme/ Project Manager & Project Support Officer
(vii) Preparation of the Annual Development Programme Budget Estimates and management of annual budget allocation for the PSIP;	Facilitate meetings; process correspondence; review and finalise project documents, liaise with the relevant Ministries and agencies.	MEDIUM	February - May each year	Programme/ Project Manager & Project Support Officer
(viii) Monitoring of all projects/programmes under the PSIP	Meetings, Site Visits; Project Schedule Management; Risk Management, Cost Control and Quality management	HIGH	Daily	Programme/ Project Manager & Project Support Officer
(ix) Liaising with external agencies and other stakeholders of matters relating to PSIP;	Correspondence; Meetings.	HIGH	Daily	Programme/ Project Manager & Project Support Officer

CORE FUNCTION	TASKS	FREQUENCY	VOLUME PER MONTH	OFFICERS INVOLVED
(x) Preparing reports on projects/programmes as required by the Minister, Permanent Secretary, Ministry of Finance and Ministry of Planning and the Economy;	Reports of various types as required	HIGH	Daily	Programme/ Project Manager & Project Support Officer
(xi) Preparing expenditure forecast (quarterly) and expenditure statements (monthly) for the Ministry of Finance;	Updating Spreadsheets; Liaising with Agencies; Processing correspondence	MEDIUM	Monthly	Programme/ Project Manager & Project Support Officer
(xii) Preparation of Cabinet Notes for all PSIP projects and programmes and obtaining approvals from Cabinet as required for project execution;	Liaise with project stakeholders; Prepare Cabinet Notes	MEDIUM	2 per month dependent on number of new projects	Programme/ Project Manager & Project Support Officer
(xiii) Management of Contracts awarded by the Ministry for PSIP projects/programmes;	Meetings; Correspondence; Process Project Documents; Site Visits	MEDIUM	2 per month dependent on number of new projects	Programme/ Project Manager & Project Support Officer
(xiv) Facilitating payments to contractors, consultants and suppliers either directly for projects implemented by the Ministry or indirectly via portfolio agencies;	Process releases; process project invoices; prepare correspondence, site visits, liaise with Ministry of Finance - Budget Division and Division of Finance and Accounts at the Ministry of Education	HIGH	Daily	Programme/ Project Manager & Project Support Officer
(xvi) Conducting project reviews and project audits;	Review project documents; Prepare Reports	MEDIUM	As required	Programme/ Project Manager & Project Support Officer
(xvii) Oversees the approval process of any changes in design scope or cost in accordance with the procedures, processes and policies of the Government of Trinidad and Tobago and the Financial Regulations;	Review and Process project documents; Prepare Cabinet Notes to access approval	MEDIUM	As required	Programme/ Project Manager & Project Support Officer
(xviii) Represents the Ministry in all matters relating to the Ministry's PSIP.	Meetings, events, workshops etc.	HIGH	As required	Programme/ Project Manager & Project Support Officer
(xix) Ensuring compliance with all statutory requirements for the execution of projects;	Liaise with agencies and stakeholders as required; conduct meetings	HIGH	As required	Programme/ Project Manager & Project Support Officer

CORE FUNCTION	TASKS	FREQUENCY	VOLUME PER MONTH	OFFICERS INVOLVED
(xx) Maintaining a project document management system and a project information management system for all PSIP projects;	Process correspondence, process project documents, manage database	HIGH	Daily	Programme/ Project Manager & Project Support Officer

Ministry of Education – Generic/Idealised/Ideal Emergency Repair Response Process



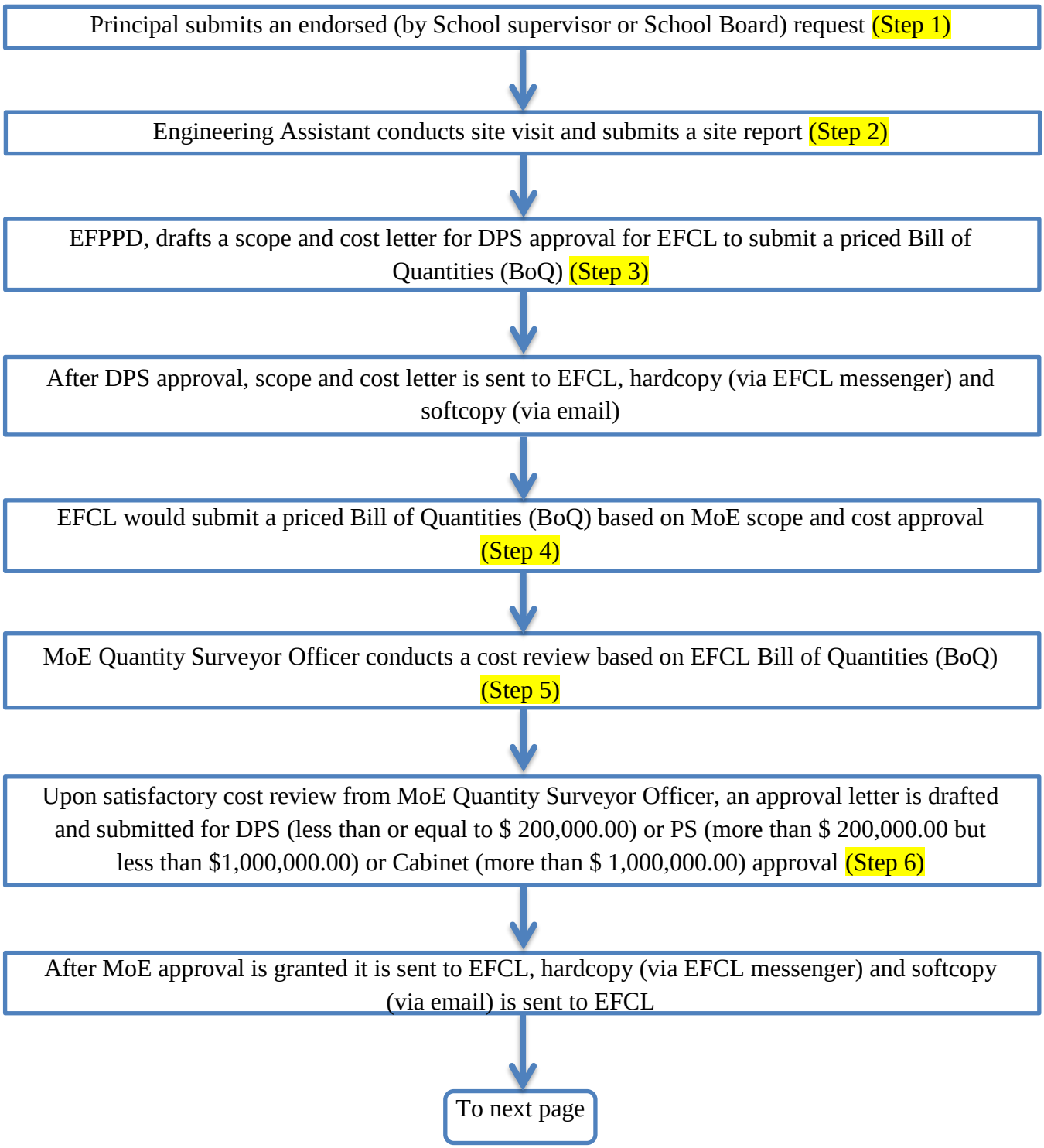
Appendix V

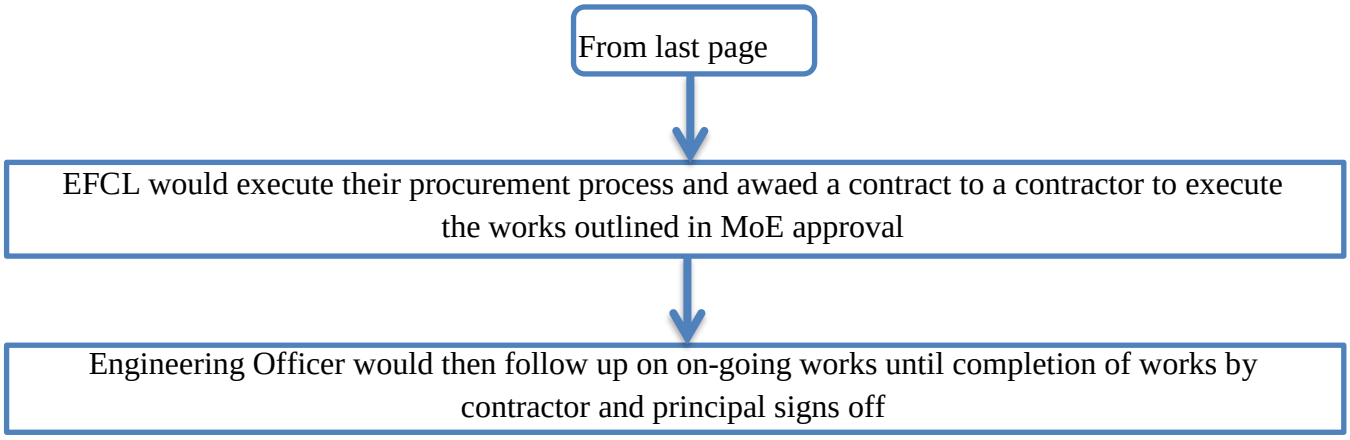
Project Management Process for School Construction

As Project Manager for school construction, the process to be utilized by the MTS is outlined as follows:

i. Procure and manage consultants, contractors and suppliers;
ii. Manage the tendering process, evaluation and award of execution of contracts;
iii. Procure consultants, including Quantity Surveyors who would have responsibility for:
    a. Preliminary surveys of each school;
    b. Preparation of Bills of Quantities
    c. Refining budget estimates;
    d. Drafting of tender documents and assisting in tender evaluation;
    e. Providing quantity surveying services for on-site valuation and validation of interim, contingency and final payments;
iv. Report on projects to the Ministry;
v. Certify and Evaluate contractors and supplies payments;
vi. Review and approve designs;
vii. Prepare close off reports and handover documents; and
viii. Process payments.

Ministry of Education, school repair process flowchart




From last page
EFCL would execute their procurement process and awaed a contract to a contractor to execute the works outlined in MoE approval
Engineering Officer would then follow up on on-going works until completion of works by contractor and principal signs off

MINISTRY OF EDUCATION - TERTIARY EDUCATION SKILLS TRAINING DIVISION
PUBLIC SECTOR INVESTMENT PROGRAMME (PSIP) PAYMENT SCHEDULE SEPTEMBER N0. 20

			Release of Funds														
	Project Number and Name	Revised Budget Allocation	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	Jun.	Jul.	Aug.	Sept.	Total Release to Date	Balance of Allocation	Remarks for Release of Funds No. 18 and 20 of 2019
F001	Support to Non-University Tertiary Education (EU Grant - Budgetary Support)	**0**	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	0	0	
	Metal Industries Company																
D001	Establishment of the Diego Martin HYPE Centre	**96,081**	0	0	0	96,081	0	0	0	0	0	0	0	0	96,081	0	
D002	Establishment of Sangre Grande MIC/HYPE Centre	**0**	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
D003	Construction of HYPE Administration and O'Meara Centre	**216,183**	0	0	0	0	0	0	0	0	0	0	0	0	0	216,183	
D004	Tobago Technology Centre	**0**	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
J001	National Skills Development Programme	**408,897**	0	0	0	0	0	0	0	0	0	0	0	408,897	408,897	0	**Please process cheque to the MIC-IT in the sum of $408,897 from Release No. 20**
J002	Metal Industries Company- Training Subsidy	**2000,000**	250,000	160,000	160,000	160,000	160,000	80,000	70,000	140,000	0	0	**200,000**	0	1380,000	620,000	
J003	Upgrading of Technology Centres at Port of Spain, Pointe-a-Pierre, Ste. Madeline and Laventille	**190,244**	0	0	0	0	0	0	0	0	190,244	0	0	0	190,244	0	
J004	Government Vocational Centre - Construction of New Facilities at Pt. Fortin	**582,220**	0	0	0	0	0	0	0	0	582,220	0	0	0	582,220	0	
J011	Establishment of Pleasantville Technology Centre	**0**	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
J017	Establishment of a Skills & Technology Centre in Debe/Penal	**62,988**	0	0	0	62,988	0	0	0	0	0	0	0	0	62,988	0	
J033	Acquisition of Capital Equipment for MIC	**0**	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
J037	St. Bede Technology Centre-Establishment of Woodworking Workshop	**0**	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
J045	Moruga Technology Centre (MIC)	**662,346**	0	0	0	0	0	0	0	0	662,346	0	0	0	0	662,346	
	Total	**4218,959**	**250,000**	**160,000**	**160,000**	**319,069**	**160,000**	**80,000**	**70,000**	**140,000**	**1434,810**	**0**	**200,000**	**408,897**	3382,776	836,183	
	National Energy Skills Centre																
J009	Relocation of NESC's Head Office and the Brechin Castle Technology Centre	**696,721**	0	0	0	0	0	0	0	0	553,134	0	0	62,374	615,508	81,213	**Please process cheque to the NESC in the sum of $62,374 from Release No. 20**
J012	Ste Madeleine Technology Center	**0**	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
J020	Construction of Hall of Residence for Trainees	**0**	0	0	0	0	0	0	0	0	0	0	0	0	0		
J021	Mayao Skills and Technology Center	**0**	0	0	0	0	0	0	0	0	0	0	0	0	0		
J022	Establishment of Workforce Assessment Centre in NESC	**0**	0	0	0	0	0	0	0	0	0	0	0	332,481	332,481	0	**Please process cheque to the NESC in the sum of $332,481 from Release No. 20**
J023	Upgrade of the NESC Laventille Skills and Technology Centre	**0**	0	0	0	0	0	0	0	0	0	0	0	140,625	140,625	0	**Please process cheque to the nesc in the sum of $140,625 from Release No. 20**
J024	Upgrade of NESC Skiils and Technology Centre in Goldsborough, Tobago	**1500,000**	0	0	0	0	0	0	0	0	0	0	0	316,072	316,072	1183,928	**Please process cheque to the nesc in the sum of $316,072 from Release No. 20**

MINISTRY OF EDUCATION - TERTIARY EDUCATION SKILLS TRAINING DIVISION
PUBLIC SECTOR INVESTMENT PROGRAMME (PSIP) PAYMENT SCHEDULE SEPTEMBER N0. 20

Project Number and Name		Revised Budget Allocation	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	Jun.	Jul.	Aug.	Sept.	Total Release to Date	Balance of Allocation	Remarks for Release of Funds No. 18 and 20 of 2019
J035	La brea Technology Centre	**353,755**	0	0	0	0	0	0	0	0	295,403	0	0	65,646	361,049	-7,294	**Please process cheque to the NESC in the sum of $65,646 from Release No. 20**
J044	Upgrade of NESC-Skills and Technology Centre Ste. Madeleine	**1500,000**	0	0	0	0	0	0	0	0	0	0	0	0	0	1500,000	
J046	Upgarde of NESC Technology Centre- La Brea	**449,524**	0	0	0	0	0	0	0	0	0	0	0	0	0	449,524	
J047	Upgrade og Infrastructure and Equipment of the NESc Drilling Academy	**1500,000**	0	0	0	0	0	0	0	0	0	0	0	0	0	1500,000	
J048	Upgrade of NESc Skills and Technology Centre- Point Lisas	**1500,000**	0	0	0	0	0	0	0	0	0	0	0	0	0	1500,000	
	Total	**7500,000**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**848,537**	**0**	**0**	**917,198**	1765,735	5734,265	
	UTT																
J005	Eastern Caribbean Institute of Agriculture & Forestry- Improvements to Facilities	**1500,000**	0	0	0	0	0	0	0	0	0	0	0	0	0	1500,000	
J006	John S. Donaldson Technical Institute - Improvement of Facilities	**2000,000**	0	0	0	0	29,145	0	0	0	0	0	0	0	29,145	1970,855	
J007	San Fernando Technical Institute - Upgrade of Facilities and Equipment	**2000,000**	0	0	0	0	0	0	0	0	0	0	0	0	0	2000,000	
J008	Establishment of the University of Trinidad and Tobago	**4000,000**	0	0	0	0	0	0	0	0	0	0	0	0	0	4000,000	
J014	U.T.T.- Point Lisas Campus	**300,000**	0	0	0	0	0	0	0	0	0	0	0	0	0	300,000	
J025	Establishment of the Aviation Institute- UTT Camden Campus- Phase 1	**15000,000**	0	0	0	0	6257,596	0	0	0	0	0	0	4667,835	10925,431	4074,569	**Please process cheque to the UTT in the sum of $4,667,835 from Release No. 20**
	Total	**24800,000**	**0**	**0**	**0**	**0**	**6286,741**	**0**	**0**	**0**	**0**	**0**	**0**	**4667,835**	10954,576	13845,424	
	College of Science, Technology & Applied Arts of Trinidad and Tobago																
J039	COSTAATT El Dorado Academy of Nursing and Allied Health	**3000,000**	0	0	0	0	0	0	0	0	0	0		158,204	158,204	2841,796	**Please process cheque to the COSTAATT in the sum of $158,204 from Release No. 20**
J041	COSTAATT Technology upgrade	**2000,000**	0	0	0	0	0	0	0	0	0	0			0	2000,000	
	Total	**5000,000**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**158,204**	158,204	4841,796	
	Youth Training and Employment Partnership Programme Ltd (YTEPP)																
J032	Establishment of a training Facility in Chaguanas	**0**	0	0	0	0	0	0	0	0	0	0	0		0	0	
	Total	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	0	0	
	University of the West Indies / UWI Open Campus																
F019	Development Works at the University of the West Indies	**0**	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
F024	Upgrade of the Campus Sewer Collection System and Sewer Treatment Plant	**13605,000**	0	0	0	0	0	0	0	0	4477,741	0	0	1027,408	5505,149	8099,851	**Please process cheque to the UWI in the sum of $1,027,408 from Release No. 20**
F025	Building of the Health Economics Unit	**2221,000**	0	0	0	0	2221,000	0	0	0	0	0	0	0	2221,000	0	
F027	Building of the International Fine Cocoa Innovation Centre	**0**	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
F028	Renovation of Chemistry C1 Building and Replacement of Fume Hoods	**5652,008**	0	0	0	0	0	0	0	0	0	0	0	0	0	5652,008	
F029	New Administrative Building for Campus Security	**0**	0	0	0	0	0	0	0	0	0	0	0	0	0	0	

MINISTRY OF EDUCATION - TERTIARY EDUCATION SKILLS TRAINING DIVISION
PUBLIC SECTOR INVESTMENT PROGRAMME (PSIP) PAYMENT SCHEDULE SEPTEMBER N0. 20

	Project Number and Name	Revised Budget Allocation	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	Jun.	Jul.	Aug.	Sept.	Total Release to Date	Balance of Allocation	Remarks for Release of Funds No. 18 and 20 of 2019
	Total	**21478,008**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**4477,741**	**0**	**0**	**1027,408**	5505,149	15972,859	
	NIHERST																
J030	Teach Me	**300,000**	30,000	25,000	25,000	0	25,000	10,000	0	0	25,000	**25,000**	9,000	0	174,000	126,000	
J031	STI Mapping and Priority Setting	**0**	0	0	0	0	0	0	0	0	0	0		0	0	0	
	Total	**300,000**	**30,000**	**25,000**	**25,000**	**0**	**25,000**	**10,000**	**0**	**0**	**25,000**	**25,000**	**9,000**	**0**	174,000	126,000	
	MINISTRY OF EDUCATION																
A033	Enhancing the Information Technology Infrastructure of the Ministry	**3000,000**	0	0	0	0	0	0	0	0	0	0	0	0	0	3000,000	
A037	School Improvement Project - Laventille Community	**526,622**												526,622		0	**Please process cheque to the Ministry of Education in the sum of $526,622 from Release No. 20**
F016	Relocation of Ministry of Education - Head office	**97,369**												97,369		0	**Please process cheque to the Ministry of Education in the sum of $97369 from Release No. 20**
F030	Upgrade of the Rudranath Capildeo Learning Resource Centre (RCLRC) Phase I	**4000,000**	0	0	0	0	0	0	0	0	0	0	0	0	0	4000,000	
	Total	**7623,991**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**623,991**	623,991	7000,000	
	INFRASTRUCTURE DEVELOPMENT FUND (IDF)																
J041	UTT Main Campus Tamana E-Teck Park Wallerfield	**90700,000**	0	0	0	0	23416,551	38732,450	0	0	0	**22960,624**	0	0	85109,625	5590,375	
	Total	**90700,000**	**0**	**0**	**0**	**0**	**23416,551**	**38732,450**	**0**	**0**	**0**	**22960,624**	**0**	**0**	85109,625	5590,375	
	TOTAL CONSOLIDATED & IDF FUNDS	**161620,958**	**280,000**	**185,000**	**185,000**	**319,069**	**29888,292**	**38822,450**	**70,000**	**140,000**	**6786,088**	**22985,624**	**209,000**	**7803,533**	**107674,056**	**53946,902**	
															66.62%		

Prepared by:

_____ _____

Director - Finance and Accounts **Date**

Approved by:

_____ _____

Lenor Baptiste-Simmons **Date**
Permanent Secretary (Ag.)
Ministry of Education

J004	National Science Centre Niherst	Release of funds #11 not recorded
J014	ECIAF	Release of Funds #10 and 12 not recorded
J021	UTT	Release of Funds #9, #10, #11, #12 not recorded
J023	Constructionof Technology Centre Chaguanas	Release of Funds #12 not recorded
J031	Pleasantville Technology Centre	Release of Funds #12 not recorded
A003	MSTTE IT	Release of funds #11 not recorded
A007	ACTT	Release #10, #11, #12 not recorded
F011	TTHTI	Release #10, #11, #12 not recorded
F014	UWI Development	Release #10, #11, #12 not recorded
F020	St Johns Road UWI	Release #11 not recorded
F030	UWI Seismic Unit	Release #10, #12 not recorded
F032	Student Rec. Centre Mt Hope	Release #12 not recorded
F046	Open Campus	Release #11 not recorded
J071	*Nursing Eldorado*	*1.8Mn to be released in tranche 2 for September*
D015	*Tobago Technology Centre*	*The last 1Mn be released in Tranche 2 for Sep.*
J059	*Cardiovascular*	*The 4Mn transferred to be released in Tranche 2 for Sep.*
J015	*JD*	*.675 to be released in tranche 2 for September*
F012	*Headquarters NTA*	*1.3 Mn to be released in Tranche 2 for spetember*

Appendix VII

REPORT ON INSTANCE OF NEPOTISM AT YTEPP LIMITED

Circumstances surrounding the contracting of the relative

There was an instance of nepotism involving the provision of services by Ms. Sharlene Thompson, the wife of the former Chief Executive Officer (CEO), Mr Nigel Forgenie, whose spouse did not carry his surname.

It was discovered that during the period 2010-2016, Ms. Thompson facilitated the provision of services to the YTEPP Future Leaders (YFL) programme for a total of thirteen (13) Saturdays, amounting to a total of Fifty four thousand, Five Hundred and Fifty dollars (($54,550.00) in the following areas of:

- Etiquette training for young leaders
- Dining and Dance
- Business Etiquette with Emotional Intelligence

YTEPP's Future Leaders (YFL) Programme served as a catalyst in the transformation process, from 'at-risk youth' to positively influential leaders in their spheres. To this end, systematic leadership training, customised for the target audience (Presidents of all YTEPP Student Body Councils) was the tool and platform utilised to enable this process and included counselling, community service, volunteerism and the social skills needed for both personal and professional success in life. The initial session facilitated by Ms. Thompson, incurred a cost of Four Thousand, Eight Hundred Dollars ($4,800) and was reduced to Thirty-Five Hundred Dollars ($3,500) per session.

Action taken by Management and the Board upon discovering the instance of nepotism

YTEPP Limited does not have a Nepotism Policy. However there is a Conflict of Interest declaration that all permanent employees are required to sign. The Company's Application Form also requires applicants for employment to declare any relations or interest in the Company.

A statement on conflict of interest is included in the contracts of all full-time employees. A formal policy on conflict of interest has been developed and is before the Board for approval and will form part of the Administrative Policy of YTEPP Limited. The Company has further decided that in order to strengthen its governance procedures, persons on interview panels will be required to sign statements of declaration, with regard to new applicants for employment.

The Board of Directors took disciplinary action in relation to the issue of conflict of interest with respect to the former CEO, who was subsequently dismissed, based on this revelation and his attempt to conceal the information.

Whether the services of the individual involved in the case was terminated and from what date

The last payment made to Ms. Thompson was on June 17th 2016. Since then, no further services were facilitated by her.

Conflict of Interest Declaration for Contractors

The new procurement legislation takes into consideration measures to treat with conflict of interest, and this is addressed in our new Procurement Policy. Additionally, contractors will be required to sign a declaration stating they are not affiliated with any employee, who is able to influence the outcome of any contract.

.