



Water and Sewerage Authority – Administrative Report: FY 2015/16

Administrative Report

Fiscal Year 2015/2016

(iv) **Achieve Financial Stability:** The Authority committed to focusing on initiatives over the next fiscal year and beyond to enhance its overall financial stability through the following:

- Collection drives on overdue accounts;
- Review and management of the Authority's budget and cost reduction strategies so as to reduce overall expenditure;
- Debt management;
- Completion of up-to-date Audited Financial Statements; and
- Strengthening of internal controls to effectively manage risk and prevent fraud.

(v) **Implement Integrated Water Resources Management (IWRM) Practices:** The Authority planned to pursue implementation of IWRM practices which is recognized as international best practice for the management of the water sector. The focus would be on the following:

- Revision of the National IWRM Policy
- Separation of Water Resources Agency from WASA
- Enhancement of Hydrological Monitoring Networks for Trinidad and Tobago

13. Accordingly, the Minister of Public Utilities submits and Cabinet is asked to:

- (i) **note** the Administrative Report of the Water and Sewerage Authority (WASA) for the fiscal year 2016, a copy of which is attached as **Appendix I** to this Note; and
- (ii) **agree** that the Administrative Report identified at (i) above be submitted to the President, for subsequent laying in both Houses of Parliament, in accordance with the provision of section 66D of the Constitution of the Republic of Trinidad and Tobago.

MINISTRY OF PUBLIC UTILITIES

EXECUTIVE SUMMARY

In conformance with the request from the Ministry of Public Utilities, the Water and Sewerage Authority (the Authority) prepared its Administrative Report for the fiscal year (FY) 2015/16 (October 2015 to September 2016). The report provides an overview of the Authority's operations, performance, financial position and compliance with statutory regulations.

The Water and Sewerage Authority is a statutory authority created by an Act of Parliament – Act 16 of 1965 and the Authority's operation is regulated. The key regulators are the Regulated Industries Commission (RIC), the Environmental Management Authority (EMA) and the Occupational Safety and Health (OSH) Authority and Agency. Additionally, the Authority fulfils its obligations under Sections 7, 8 and 9 of the Freedom of Information Act 1999 (FOIA) and the Securities (General) By-laws 2015.

The Authority's vision is 'To be the best performing water utility in the Western Hemisphere' and strategic objectives for FY 2015/16 were (i) to expand 24/7 water delivery service, (ii) to develop a Wastewater Programme, (iii) to undergo an organisational restructuring exercise, (iv) to improve operating ratio and (v) to engage in institutional strengthening to improve governance.

The Authority's expenditure¹ for fiscal year 2015/16 was **Two Billion, Seven Hundred and Sixty-four Million, Four Hundred and Fourteen Thousand, Three Hundred and Fifty-nine Dollars** (\$2,764,414,359) which is a 7.2% less than the budgeted estimate of **Two Billion, Nine Hundred and Seventy-nine Million, Two Hundred and Sixty Thousand Dollars** (\$2,979,260,000) for the period.

Total income² for the Authority for fiscal year 2015/16 amounted to **Two Billion, Nine Hundred and Forty-two Million, One Hundred and Sixty-seven Thousand, One Hundred and Sixty Dollars** (\$2,942,167,160) which was 1.2% lower than the budgeted estimate of **Two Billion, Nine Hundred and Seventy-nine Million, Two Hundred and Sixty Thousand Dollars** (\$2,979,260,000) for the said period.

¹ Source: WASA's Unaudited Financial Statements – Fiscal Year 2015/16

² Source: WASA's Unaudited Financial Statements – Fiscal Year 2015/16

Water and Wastewater Services

The Authority's average water production for FY 2015/16 was approximately 224 million gallons per day (mgd) and provided service to **Three Hundred and Seventy-three Thousand, Two Hundred And Forty-nine** (373,249) customers. The Authority treated approximately 130 ML/d wastewater flows and provided centralised sewerage service to **Seventy-Six Thousand, Eight Hundred And Eighty** (76,880) customers.

The operating organisational structure in fiscal year 2015/16 comprised six (6) divisions headed by Directors, the General Counsel and Corporate Secretary and Head Internal Audit, all reporting to the Chief Executive Officer. The Authority's manpower level at the end of FY 2015/16 was **Five Thousand, and Thirty-Four Thousand** (5,034) employees.

The Authority developed its short, medium and long term plans (2015-2025) which focus on improving water and wastewater services, corporate image, operational efficiency, financial sustainability, staff productivity, governance and managing water demand.

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1. Vision, Mission, Philosophy and Strategic Objectives

1.1. Vision

The Authority's vision is 'To be the best performing water utility in the Western Hemisphere'.

1.2. Mission

WASA's mission statements are:

- To be a leading provider of water and wastewater services;
- To deliver customer service along the highest internationally recognized and accepted standards;
- To continuously develop best business practices utilizing advanced technology and a well-developed and motivated workforce;
- To leverage on industry expertise to offer global water and wastewater services;
- To sustain a commercialized business while remaining sensitive to our stakeholders and the environment.

1.3. Philosophy

1.3.1. Core Values

The Authority developed core value statements with the aim to shape the Authority's culture to promote efficiency, productivity and guide behaviour in keeping with good governance.

- **Respect:** Treating its stakeholders equally with appreciation and value, devoid of discrimination as diversity is recognized in the inherent worth of every human being.
- **Integrity:** Conducting its business with honesty, transparency and accountability, placing the public's interest above personal interest.
- **Excellence:** Providing the best quality service and customer care that would translate into satisfaction and sustainability.
- **Professionalism:** Preserving its corporate image through people, who are self-regulated, committed to upholding the highest standards and are examples that positively influence and enhance the communities in which we operate.
- **Trust:** Being truthful in its declarations, to be ethical in conducting business and building relationships based on mutual respect.

1.3.2. Strategic Objectives

The Authority's strategic objectives are as follows:

1. To improve and expand the access to water service to support social well-being and economic growth.
2. To improve and expand wastewater services to support the health of the people and the environment.
3. To continuously improve performance by minimizing operational cost and adopting appropriate technologies and practices.
4. To proactively establish operational resilience by Enterprise Risk Management.
5. To guarantee water availability and preserve the environment by the adoption of integrated water resources principles.

1. Organisational Structure

1.1. Organisational profile, legislative and regulatory framework

The Water and Sewerage Authority (WASA) is a statutory authority created by an Act of Parliament – Act 16 of 1965. The Act was thereafter modified by a series of amendments and legally empowers the Authority as the sole provider of water and wastewater services in Trinidad and Tobago: *'The Authority is responsible for maintaining and developing the waterworks and other property relating thereto and for administering the supply of water thereby established and promoting the conservation and proper use of water resources and the provision of water supplies in Trinidad and Tobago.'* WASA's operation is regulated with the key regulators being:

- The Regulated Industries Commission (RIC) – the economic regulator of tariff which is dependent on levels of service;
- The Environmental Management Authority (EMA) – regulator of how operations impact the environment;
- The Trinidad and Tobago Securities and Exchange Commission (SEC) – regulator of Reporting Issuers continuous disclosure obligations; and
- The Occupational Safety and Health (OSH) Authority and Agency – regulator of work practices.

The Water Resources Agency was appended to WASA in March 1976. The Agency has responsibility for both the regulatory and operational activities related to the management of the Water Resources in Trinidad and Tobago. Additionally, the Authority fulfils its obligations under Sections 7, 8 and 9 of the Freedom of Information Act 1999 (FOIA).

This regulatory framework guides and controls the development and operations of the Water and Wastewater Sectors.

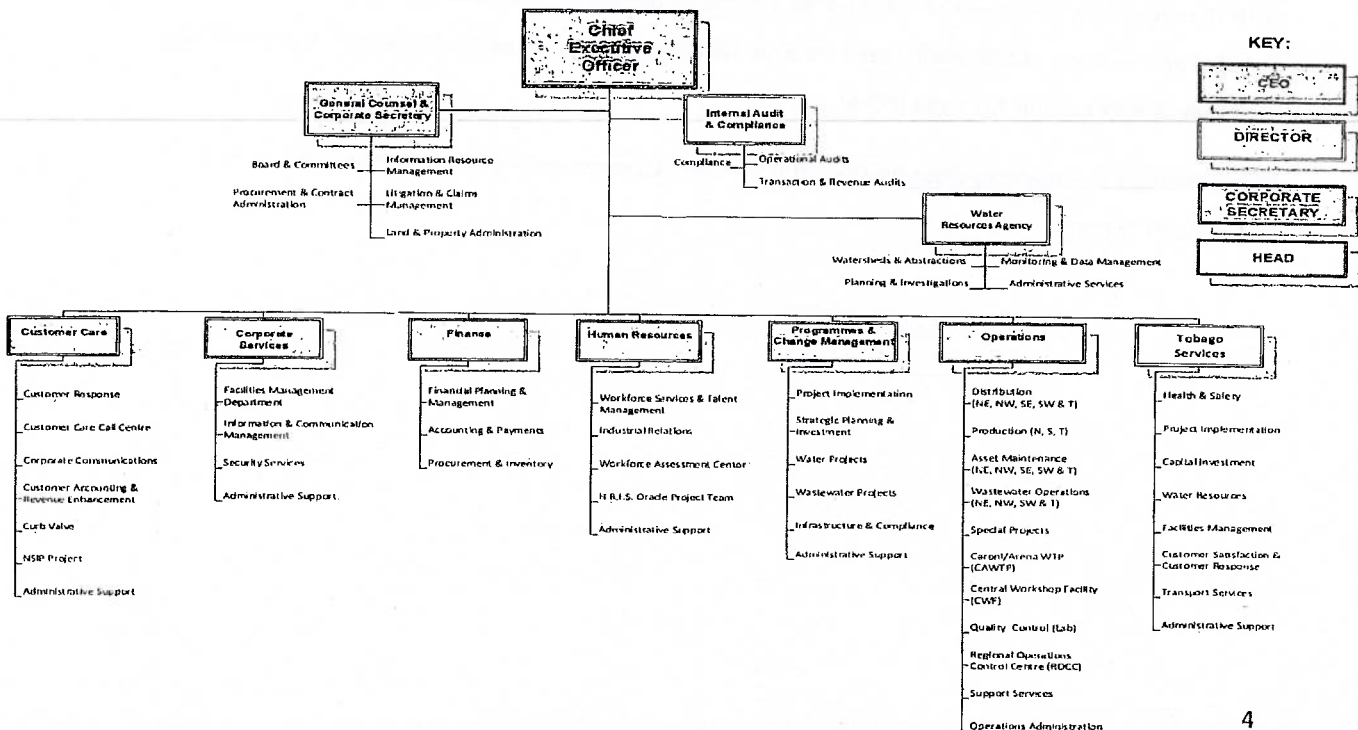
1.2. Corporate structure – Divisions, Departments, Units

In the Financial year 2015/2016 the Water and Sewerage Authority corporate structure comprised of six (6) Divisions and two (2) Departments namely:

- Corporate Services Division
- Customer Care Division
- Finance Division
- Human Resources Division
- Operations Division
- Programme and Change Management Division
- Internal Audit and Compliance Department
- Corporate Secretariat Department

Within each of the six (6) Division there are a number of Departments which are responsible for specific functions which collectively contributes the key results areas of each Division and ultimately to the goals of the Authority. Figure 1 highlights the Division and the Departments within each of the Divisions.

Figure 1: Executive Management Team for Fiscal Year 2015/16



1.3. Services/products

As at the end of FY 2015/16, the Authority produced circa 224 mgd and provided water service to **Three Hundred and Seventy-three Thousand, Two Hundred And Forty-nine (373,249)** customers. The Authority treated approximately 130 ML/d wastewater flows and provides centralised sewerage service to **Seventy-six Thousand, Eight Hundred And Eighty (76,880)** customers.

The Authority is engaged in the following activities as it conducts the business of providing:

1. **Water services.** To provide water supply to the population of Trinidad and Tobago, the Authority manages a water supply system which involves:
 - Development of surface, ground and desalination water sources;
 - Construction and rehabilitation of water infrastructure, namely, Water Treatment Plants, Booster Pumping Stations, Reservoirs and Wells;
 - Development of pipeline network inclusive of the installation, extension and replacement of transmission and distribution pipelines;
 - Operation and maintenance of water treatment facilities to produce water for domestic and industrial use.
2. **Wastewater services.** To provide sanitation services to the population of Trinidad and Tobago, the Authority manages a wastewater system which involves:
 - Construction and rehabilitation of wastewater infrastructure, namely, Wastewater Treatment Plants and Lift Stations.
 - Installation, extension, replacement and maintenance of sewer lines.
 - Operation and maintenance of wastewater treatment facilities to collect, treat and discharge domestic and industrial effluent that conforms to regulatory standards, into the receiving water courses.
 - Adoption of existing facilities and integration of systems to expand centralized sewerage coverage.
3. **Supporting services**
 - 3.1. Approvals and licences. The Authority issues the following licences and approvals:
 - Approvals for water and wastewater reticulation systems for single properties (domestic and non-domestic) and building developments;
 - Licences which permit the abstraction of water from surface and groundwater sources.

3.2. Protection of catchment areas and conservation. To ensure sustainability of the water resources for the future, WASA conducts education programmes on catchment protection and conservation which is important to both water quality and quantity.

1.4. Delegated Levels of Authority

The level of authorization for procurement of goods and services is detailed in Table 1:

Table 1: Authorization for procurement of goods and services

Item	Amendments
Purchase Requisition Authorization Levels	≤ \$100, 000.00 Accountable Manager
	\$100, 000.00 - \$250, 000.00 Accountable Manager and Senior Manager
	> \$250, 000.00 - \$500, 000.00 Accountable Manager, Senior Manager and Head
	> \$500, 000.00 Accountable Manager, Senior Manager, Head and Director
Award of Contracts Authorization Levels	< \$1Mn Chief Executive Officer
	> \$1Mn - \$5Mn Tenders Committee
	> \$5Mn Board of Commissioners

1.5. Reporting Functions – Departmental Reports, Reports to Ministries, President/Parliament

The Authority prepares reports for various stakeholders as required. The table below identifies some of the key reports.

Table 2: Key Reports

Report	Stakeholder	Frequency
Divisions' Reports	WASA's Board of Commissioners	Monthly
Public Sector Investment programme (PSIP) Status Report	Ministry of Public Utilities	Monthly
PSIP Quarterly Achievement Report	Ministry of Public Utilities	Quarterly
Financial Statements Annual Reports	Trinidad and Tobago Securities and Exchange Commission (SEC)	Quarterly Annually
Overall and Guaranteed Standards Report Financial and operational data	Regulated Industries Commission (RIC)	As requested

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Report	Stakeholder	Frequency
Freedom of Information Act 1999 (FOIA)	Ministry of Public Utilities	Quarterly
Status of Negotiations with Collective Bargaining Units	Ministry of Public Utilities	As requested
Pension Plan Report	First Citizen Bank (FCB) Trust Company Beacon, Woodrow and De Souza	Quarterly
Gratuity Payment	Ministry of Finance	As required
Pension Benefits	Ministry of Finance	As required

2. Policies and development initiatives

2.1. Short, medium and long-term plans

The Authority developed its short, medium and long-term plans based on improvements in customer service, optimizing cost, enhancing revenue and development of human capital.

The plans focus on improving water and wastewaters services, corporate image, operational efficiency, financial sustainability, staff productivity, governance and managing water demand.

Short and Medium Term Plans

The major initiatives in the short and medium term horizons are as follows:

- **Improve Water Services**
 - *Water Sustainability.* Expansion and monitoring of hydrological network; monitoring and protection of well fields and conditions of watersheds.
 - *Develop New Water Sources.* Ground Water Development Programme; Expansion of desalinated plant.
 - *Improve Reliability of Service.* Desilting and Rehabilitation of Hillsborough Dam.
 - *Upgrade Water Delivery Infrastructure.* Water Treatment Plants, transmission and distribution pipelines, booster pumping stations and storage tanks including replacement of transmission mains.
- **Improve Wastewater Services**
 - *Expansion of Wastewater Coverage.* Expansion of collection systems and Treatment Facilities at Malabar and San Fernando; rehabilitation and extension of the Sewerage System in South West Tobago.
 - *Public Education.* Build awareness in wastewater education.
- **Implement Demand Management**
 - *Network and pressure management:* bulk metering on plants and along transmission mains; increase district metered areas.
- **Corporate Image**
 - *Improve Corporate Image.* Enhance existing administrative facilities and plants.
 - *Expand Communication Channels.* Improve customer communication; outreach programme in rural communities and media; social media.

- *Social Responsibility.* Facilitate Water Sector education programmes, protection of watersheds.
- Improve Operational Efficiency
 - *Optimize Water Delivery.* Rehabilitate Water Treatment Plants, upgrade of Booster Stations.
 - *Optimize Wastewater Treatment.* Rehabilitate wastewater treatment plants, Sewers and Lift Stations.
 - *Verification of Title and Asset Inventory Exercise.* Pursue vesting of land parcels.
 - *Reassessment of Procurement Processes and Procedures.* Alignment of the Procurement processes with the new public procurement and disposal of public property bill.
 - *Integrate IT Platforms.* Implement enterprise resource planning solution: human resource system and payroll, customer information system.
 - Improve Internal Control system. Evaluate, improve and manage internal controls in accordance with COSO framework.
 - *Audited Accounts.* Complete outstanding fiscal years audited statements.
- Improve Staff Productivity. Implement systems that maximize staff outputs.
- Reduce Water Loss
 - *Illegal Connections.* Crackdown on illegal connections.
 - *Expand Metering.* Implement metering programme.
 - *Leakage management.* Reduce visible leaks
- Achieve Financial Viability
 - *Implement Disconnection Drive.* Target non-paying consumers.
 - *Provide expert services.* Provide water and wastewater infrastructure services for projects of GORTT and other agencies.
 - *Increase in tariff.* Pursue increase in rates for potable water and wastewater services.
 - *Benchmark operation cost.* Implement cost control measures.
- Build Organisation Human Capacity
 - *Succession Planning.* Review and develop recruitment procedure to fill critical positions.
 - *Close Skills Gap.* Conduct training programmes to improve performance.
 - *Staff Performance:* increase productivity of marginal performers through the use of PAS inclusive of an individual performance plan.
- Organisation Restructuring

- *Restructure Organisation.* Development and implementation of new monthly paid organization arrangement.
- Governance and Transparency
 - *Corporate Governance Action Plan.* Implement critical corporate governance practices in corporatization framework, control, information and disclosure and financial discipline.
 - *Corporate Reputation.* Establish system for promoting and monitoring compliance with Code of Ethics and business conduct; rollout the anti-fraud policy; monitor legal compliance, implement standardized & re-engineered process for licensing sanitary constructors.
- Risk Management
 - *Enterprise Risk Management (ERM).* Development of a robust ERM Framework.
- Health and Safety
 - *Meet Regulatory Requirements.* Continue institutionalizing HS&E actions throughout the Authority.

Long Term Plans

The programme of works in potable water delivery will focus on increasing water availability while reducing demand. Projects identified address source protection, development of new sources, rehabilitation of existing sources, rehabilitation and upgrade of the transmission network, expansion and rehabilitation of the distribution network. Specific works will include construction of impounding reservoirs, construction and rehabilitation of water treatment plants, installation of pipelines, construction and rehabilitation of storage reservoirs and booster pump stations, commencement of universal metering, pressure management and the undertaking of a Customer Cadastre. It will also identify actions to be done by others including control of quarrying, dumping, deforestation and increase of tariff.

The Wastewater Programme will focus on major maintenance of wastewater assets, upgrade of facilities to satisfy effluent compliance, expansion of wastewater coverage and construction of regional wastewater systems to service catchments with expansion and integration of existing wastewater systems, decommissioning of existing wastewater plants and pumping stations and refurbishment of private wastewater facilities.

2.2. Performance objectives and Accomplishments.

2.2.1. Performance Objectives and Accomplishments

In 2015, the Government of the Republic of Trinidad and Tobago (GORTT) developed initiatives for the Water Sector. In keeping with this mandate from GORTT, WASA is currently pursuing several projects/programmes aimed at managing the water resources in a holistic and integrated manner. Table 3 lists GORTT's initiatives, WASA's programme/projects and the status as at September 2016.

Table 3: Performance objectives and accomplishments for fiscal year 2015/16

#	GORTT Initiative	WASA's Programme/projects
1.	Adopt and Implement Integrated Water Resources Management (IWRM)	<ul style="list-style-type: none"> Adopt a River Programme. <i>Status: This programme is ongoing and supported by the Green Fund. To date, 41 watersheds/areas have been adopted.</i> Collaborative Water Management Projects with other Government Agencies: <ul style="list-style-type: none"> Study to develop flood mitigation, and water supply alternatives for the South Oropouche River Basin (WASA and Drainage Division). <i>Status: 60% completed; To be completed in FY 2016/17.</i>
2.	Create an appropriate Institutional Framework and Organizational Structures for effective water management including the establishment of a Water Resources Agency (WRA) as a separate organization to manage the country's water resources	<ul style="list-style-type: none"> Consultant engaged to review and revise the National Integrated Water Resources Management (IWRM) Policy. <i>Status: 1. Draft policy has been developed. The Ministry of Public Utilities and WASA have invited members of the public and stakeholders to submit comments on the draft policy. The deadline date is January 2017.</i> <i>2. Technical Steering Committee has been established by Cabinet.</i> Development of Institutional, Financial and Corporate Governance Frameworks for the Proposed Water Resources Management Authority. <i>Status: Bids were received and evaluated</i> A Transition Committee was established to oversee separation of WRA from WASA. <i>Status: 1. The Committee continues to meet with key stakeholders 2. Draft report is being prepared</i>
3.	Develop and maintain an effective water resources/hydrological	<ul style="list-style-type: none"> Enhancement of the Hydrological Monitoring Networks for Trinidad And Tobago

#	GORTT Initiative	WASA's Programme/projects
	<p>monitoring network, reliable data collection and water resources assessment, and development and maintenance of a national water data and information system.</p>	<p><i>Status: Bids to be cancelled and re-invited</i></p> <ul style="list-style-type: none"> • Development of a National Water Resources Information System Web-based Portal Including User Training. <p><i>Status: Bids to be cancelled and re-invited</i></p>
4.	<p>Implement a Water Loss Reduction Programme</p>	<ul style="list-style-type: none"> • Leakage Reduction Plan has been developed which is aimed at reducing leakage. <p><i>Status: backlog on leaks</i></p> <ul style="list-style-type: none"> • Network and Pressure Management Project <p><i>Status: 92% complete</i></p>
5.	<p>Improve security of water supply by upgrading the water infrastructure to extend the water supply service to areas underserved or unserved and increasing service storage.</p>	<ul style="list-style-type: none"> • Rehabilitation of Water Infrastructure (Continuing Programme) <ul style="list-style-type: none"> ○ Well Development Programme (Trinidad) - drilling and equipping of wells at Avocat, Santa Cruz, Granville, Chatham Arouca and HCL Well, Trincity. <p><i>Status: Bids to be re-invited for the procurement of contactors for works at Granville, Chatham, Arouca and Avocat wells.</i></p> ○ Well Development Programme (Tobago) – drilling and equipping of 8 production wells to provide an additional 4.0 IMGD of water. <p><i>Status: Bids to be invited for the procurement of contractor to drill and develop production wells.</i></p> <ul style="list-style-type: none"> ○ Rehabilitation of Water Treatment Plants (Trinidad) ○ Mechanical Electrical and Process equipment replacement at major facilities. ○ <p><i>Procurement of contractor for works at Maloney, Maraval, Carlsen Field; El Socorro, Valsayn and PETROTRIN Guayaguayare,</i></p> <ul style="list-style-type: none"> ○ Construction of Service Reservoirs (Trinidad) –La Fillette, Tucker Valley, Hololo, Quare, and Guanapo. <p><i>Status: Procurement of contractor for works and services completed for all reservoirs.</i></p>

#	GORTT Initiative	WASA's Programme/projects
		<ul style="list-style-type: none"> ○ Installation and replacement of major pipelines (Trinidad) <p><i>Status: Ongoing works on the dualling of the Caroni South Trunk.</i></p> <ul style="list-style-type: none"> ○ Installation and replacement of major pipelines (Tobago) <p><i>Status: Ongoing pipeline works from Pembroke to Richmond.</i></p> <ul style="list-style-type: none"> ○ Desilting of Hillsborough Dam <p><i>Status: Planning stage</i></p> <ul style="list-style-type: none"> ○ Construct Intake at Rincon, Mc David in Surrey Lopinot, Acono, and Aripo <p><i>Status: Planning stage</i></p> <ul style="list-style-type: none"> ○ Construct Fishing Pond Booster <p><i>Status: Planning stage</i></p> <ul style="list-style-type: none"> • Development of New Water Source (Tobago) – Construction of a desalination plant at the Cove Industrial Estate. <p><i>Status: Bids to be invited from short listed contractors.</i></p> <ul style="list-style-type: none"> • Institutional strengthening – Customer Information System <p><i>Status: commenced implementation of the Customer Information System project as part of Enterprise Planning Solution.</i></p>
6.	Develop a Water Supply Drought Management Plan and a Water Supply Management Plan for the Dry Season and implementation of required actions.	<ul style="list-style-type: none"> • Development of Water Supply Drought Management Plan <p><i>Status: Evaluation of bids in progress</i></p> <ul style="list-style-type: none"> • Development of a Dry Season Water Supply Management Plan for Trinidad and Tobago. <p><i>Status: Evaluation of bids in progress</i></p> <ul style="list-style-type: none"> • Development of an Integrated Water Security Programme for Tobago <p><i>Status: Evaluation of bids in progress</i></p>
7.	Implement a Wastewater Management Programme.	<ul style="list-style-type: none"> • Construction works at the Malabar and San Fernando Wastewater Treatment Plants. On completion, this would improve wastewater services in the Malabar and San Fernando catchments and expand the centralized sewerage coverage from 30% to 34%. <p><i>Status: Malabar Wastewater Treatment Plant (49%); San Fernando Wastewater Treatment Plant (24%)</i></p>

#	GORIT Initiative	WASA's Programme/projects
8.	Implement approved projects addressing specific concerns or issues to improve water supply and /or water management which have been identified by 'stakeholders' at national and community levels.	<i>Status: No request for projects at this time</i>
9.	Develop and implement Flood Management Plans including mitigation response and adaptation measures	<ul style="list-style-type: none"> • Enhancement of Systems for Flood Monitoring, Early Warning, Mapping and provision of Training. <i>Status: Evaluation of bids in progress</i>

2.2.2. Remedial plans to address performance gaps

Improve Water Services

In an effort to improve the delivery of service to customers, WASA will implement strategies to more effectively manage demand and supply to create a balance that will meet the requirements of the various sectors. These strategies will include:

- Protection of catchments and aquifers to reduce degradation done to anthropogenic activities to maintain raw water quality within treatable limits;
- Improvement of treatment processes to meet the requirements based on current and projected raw water qualities;
- Reduction in reliance on surface water sources by development of ground and desalination sources and Water Reuse;
- Provision of impounding storage to mitigate against reductions in base flows;
- Leakage Management as part of programme to reduce non-revenue water; and
- Plant rehabilitation to improve reliability and to sustain water schedules.

The programme of works that will address the short to medium term are highlighted in the five (5) year Water Infrastructure Plan.

Improve Wastewater services

WASA proposes to service the catchments by the construction of regional wastewater treatment plants and the associated sewerage collection system. In assessing the country's development needs in the wastewater sector, it was determined that seven (7) major wastewater catchments would address the sanitation needs of the country and bring us closer to achieving 60% wastewater coverage. The catchments comprise:

- Port of Spain
- East West Corridor comprising of sub-catchments, Bamboo, Trincity, Maloney, Malabar and Wallerfield/Valencia
- San Fernando
- Chaguanas
- Couva
- Scarborough
- South West, Tobago.

The programme of works that will wastewater services improvements in the short to medium term are highlighted in the five (5) year Wastewater Infrastructure Plan.

Balance Demand and Supply

Several initiatives need to be pursued collectively to balance demand and supply including:

- Three complementary projects are proposed.
 - Introduction of Universal Metering Programme
 - Increase of Tariff
 - Update of Customer Cadastre

It is to be emphasized that all three (3) of these projects must be implemented; leaving out any will reduce the effectiveness of the others.

- Continuation of Network Pressure Management Programme including establishment of District Material Areas (DMA) and Service Storage.
- Installation of Bulk Meters and SCADA to permit real time management of production sources and transmission and distribution networks

- Replacement of high leakage pipelines on the transmission and distribution systems.
- Develop and Implement water conservation projects.
- Revision of legislation to promote conservation and provide for appropriate penalties for breaches.

It is to be emphasized that these measures require implementation of appropriate tariff to make the measures for conservation financially beneficial to customers.

Achieve Financial Sustainability

The Authority will focus on initiatives over the next fiscal year and beyond to enhance the Authority's overall financial stability using five (5) objectives that can improve the Authority's financial position. These objectives are:

1. Enhancement of current revenue initiatives and collection drives on overdue accounts.
2. Review and management of the Authority's budget and cost reduction strategies so as to reduce overall expenditure.
3. Debt management
4. Completion of up-to-date Audited Financial Statements.
5. Strengthening of internal controls to effectively manage risk and prevent fraud.

Implement Integrated Water Resources Management (IWRM) Practices

The Authority will pursue implementation of IWRM practices which is recognised as international best practice for the management of the water sector. The Authority will focus on the following:

- Revision of National Integrated Water Resources Management Policy
- Separation of Water Resources Agency from WASA
- Enhancement of Hydrological Monitoring Networks for Trinidad and Tobago

3. Financial Operations

3.1. Budget formulation

3.1.1. Recurrent Budget

In compiling the Authority's annual recurrent budget, the following guidelines were compiled and circulated to all budget holders for recurrent estimates in fiscal year 2015/16.

Operating Budgets

- Divisions were required to set out their goals prior to and as a basis for the request for funds, as well as state performance measures and targets identified to monitor performance during the year. These must be in line with the Authority's corporate goals and objectives.
- Divisions must provide for all major increases/ (decreases) in expenditure, as this will determine whether the estimate submitted is adequate.
- Where a Department did not submit a budget, their FY 2014/15 year to date performance will be appraised and an allocation in line with the spending trend less 10% will be granted (for all expenditure excluding Employment and Rental – property, vehicle, telephones, etc). If however a budget is submitted but there are no goals to support the proposals, then the budget allocations will be capped at the FY 2014/15 forecast outturn.
- For this fiscal year, liaisons from the Finance Division were attached to each Division and worked with Budget Holders (BHs) to deliver each Division's Budgets for FY 2015/16.
- BHs were granted five (5) weeks to complete their data submission exercise.
- Assumptions
 - Inflation Rate (core inflation) – 3.5%
 - Exchange Rates as at March 2015 –
 - US\$1: TT\$6.37
 - GBP1: TT\$9.82
 - EURO1: TT\$7.20
 - CAN\$1: TT\$5.24
- Management's goal for FY2015/2016 is to achieve a 10% increase in activity with a corresponding 6.0% increase in revenue.
- The following were included in each Division's budget submissions:

- *Goals:* These were clearly stated or defined and were in line with the Authority's corporate goals and objectives.
- *Assumptions:* These were the factors that the BH considered when deciding his/her budget needs or requirements (these are in addition to the ones listed above).
- *Justifications:* The reasons/explanations the BH submitted with his/her budget document in order to substantiate or defend their budget requests. Board approvals, Tender Committee approvals, Executive approvals and other Committee approvals can be used to justify expenditure. Extracts from the minutes of these meetings must be provided.

Revenue Budget

- Revenue forecasts were stated in respect of the Authority's major sources of Revenue i.e. water rates and sewerage rates and other miscellaneous sources like connection charges, clearance certificates, sludge disposal etc.
- Revenue was provided on the basis of classes and segments and all assumptions must be fully stated.

Recurrent Expenditure Budget

The cost assigned here is in respect of core business activities like pipeline repairs and maintenance, upkeep of plant and equipment, etc. and non-core business such as administrative costs, support costs, and other expenses needed to set up or maintain certain conditions necessary for the performance of the Authority's mission. Some examples of administrative cost include financing, training and development, legal, and audit costs. These costs occur on a repetitive basis annually.

Capital Expenditure

- Capital expenditure included all expenditure resulting from projects involving construction, purchase, refurbishment, improvement, re-arrangement, extensions or lease of property, pipelines, buildings, storage structures, machinery and equipment and movable assets such as furniture, computers and fixtures. Notwithstanding their nature, the intangible costs of a project, for example, salaries and allowances, wages, consultant fees, vehicle rental and maintenance etc. were capitalized and form part of the asset created.

- In line with accounting conventions, an asset must provide a benefit to the Authority over a period of years and so any expenditure on an asset, which meets the criteria, must also have a life of more than one year. In effect an asset, which has a life of less than one year, is not treated as capital expenditure but rather as recurrent expenditure.

The instructions for the compilation of the capital expenditure recurrent budget, 2015/16 were as follows:

- Each Division's capital expenditure submission must be in the form of a listing of projects falling within each class and include justification of the requested project.
- Capital expenditure may be in respect of a project or a single item, which must be submitted on the form provided. Estimates must be prepared for every task in the work breakdown structure and then added up to provide a total project cost estimate. Budget Holders should think broadly about their projects. For example, if a project is providing a new building or space for employees, include the cost of furniture, equipment, computers, lighting, etc., necessary for the building to be fully functional. (Each project must be ranked according to its priority as this will be used when budget adjustments must be made).
- A project, which has been approved during FY 2014/15 or prior years, has already started but is projected to continue/end in FY 2015/16, no additional submissions will be required. These projects would have already been accounted for in the ORACLE Project Module.
- Any project that was approved in FY 2014/15 but will likely remain uncommitted at September 30, 2015 will automatically lapse and should be re-introduced as a new project for the upcoming budget period. These projects will be given priority before any new projects in the event of budget adjustments being made.
- A request for Capital Expenditure should:
 - provide a detailed description of the asset;
 - State the basis of cost estimates;
 - Project Definition, including time frame and annual costs to implementation;
 - Project Justification: Technical, Economic, Other;
 - Whether the project is part of the strategic plan;
 - State the Class (objective) of the project and explain why; and
 - Provide cost estimates on an Annual Basis over the life of the project.
- Government Funded Programmes (PSIP, NSDP, WSMP, IDF, etc) are not included this submission.

3.2. Income versus Expenditure

Income

Table 4 shows of the total projected income of \$2,979.26Mn actual income was earned from the following:

Table 4: Income FY 2015/16

Income Category	Budget / Allocation	Unaudited Actual Revenue	Variance
Subvention	2,150,000,000	2,150,700,000	700,000
Other Income – Water & Sewer Revenue	829,260,000	791,467,160	(37,792,840)
Total Income	2,979,260,000	2,942,167,160	(37,092,840)

The actual income of \$2,942.2Mn fell short of the budgeted income of \$2,979.2Mn by \$37Mn. largely because of the decrease in the Authority's largest revenue stream- Industrial Water Revenue.

Declining gas production and low gas, oil and steel prices lead to plant closures of companies such as Arcelor Mittal and consequently a decline in demand for water within the Pt. Lisas Industrial Estate and the earned revenue therefrom.

Further, the decrease in commercialisation revenue due to the reduction in infrastructural works and housing developments both public and private also impacted revenue negatively.

Expenditure

The following tables summarise expenditure into three main expenditure categories (1) Salaries & Wages (2) Operating & Administrative and (3) Capital expenditure. The actual expenditure for each category is compared against the budgetary allocation for the year showing the variance from budget.

Tables 5 and 6 outline the performance of Operating & Administrative expenses and Capital expenditure for the year ending September 30, 2016.

Table 5: Operating and Administrative Services

Expenditure Category	Budget /Allocation	Unaudited Actual Expenditure	Variance
Salaries & Wages Expense	1,405,447,000	1,203,219,152	202,227,848
Operating & Administrative Charges (Includes Depreciation, taxation Interest & Financing Expenses, Accruals etc.)	1,573,813,000	1,561,195,207	12,617,793
Grand Total Expenditure	2,979,260,000	2,764,414,359	214,845,641
Surplus / (Deficit)	NIL	177,752,801	177,752,801

Therefore, at the year-end there was an unaudited Operating Surplus of \$177.75Mn after Government Subvention which was reduced by internal capital expenditure in the year. Further, arrears of unpaid invoices from previous were substantial and limited the amount of funds available for Capital Expenditure in the year.

Table 6 - Internal Capital Projects

Programme	Budget/Allocation FY 2015/2016
Internal Capital Investment Programme (ICIP)	67,444,846.60

The allocation for internal capital projects initiated in FY 2015/2016 to improve the Water and Wastewater Infrastructure was as follows:

- Refurbishment of the Scarborough’s Waste Water Treatment Plant (WWTP) at a total cost of \$8,501,000.00 (subsequently transferred to PSIP)
- Installation of 795m of 400mm Ductile Iron Main from Valsayn High Lift #4 to Freeman Road along Abercromby Street, St. Joseph at a total cost of \$4,248,288.00 and

Procurement of one (1) 300,000 Gallon Glass Fused Storage Tank for the Guanapo Water Treatment Plant at a cost of \$3,000,000.00. (subsequently transferred to PSIP)

The Authority acknowledges a variance between the income and expenditure on the Authority's *Unaudited Financial Statements for FY 2015/16* and the 2016 Actual Income and Expenditure on the *Draft Estimates of Income & Expenditure: Statutory Boards & Similar Bodies 2018*. The differences are as a result of the following:

- Income
 - Subventions. The \$700,00 variance represents subventions received for Water Resources Management Unit
 - Depreciation. The Authority does not include this item as income on the Unaudited Financial Statements
 - Water and Sewer Revenue. WASA's recognises revenue using the accrual basis of accounting in accordance with the International Accounting Standards
 - Miscellaneous. WASA's recognises revenue using the accrual basis of accounting in accordance with the International Accounting Standards
- Expenditure
 - WASA has completed the financial audits for FYs 2012/13 and 2013/14 which has resulted in updated reconciliations for FYs 2014/15 and 2015/16. As a result, WASA's Unaudited Financial Statements for FY 2015/16 would reflect the reconciliation.
 - The 2016 Actual Expenditure stated in the *Draft Estimates of Income & Expenditure: Statutory Boards & Similar Bodies 2018* does not reflect the reconciliations from the Authority's Audited Financial Statements for FYs 2012/13 and 2013/14.

3.3. Debt policy

A Debt policy for WASA is being finalised.

3.4. Investment Policy

The Authority developed a procedure which is used to guide investment decisions. A policy has not been developed. Appendix 1 provides the Investment procedure.

3.5. Internal Audit functions

The mission of the Internal Audit and Compliance Department (IACD) is to provide independent, objective assurance and consulting services designed to add value and improve the organization's operations. This department assists the Authority by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

Governance

- The Internal Audit and Compliance Department conducts assessment and makes appropriate recommendations for improving the governance process to accomplish the following objectives:
 - Promote appropriate ethics and values within the Authority;
 - Ensure effective organizational performance management and accountability;
 - Communicate risk and control information to appropriate areas of the Authority; and
 - Coordinate the activities of and communicate information among the Board, external and internal auditors and management.
- IACD evaluates the design, implementation, and effectiveness of the Authority's ethics-related objectives, programmes and activities and assesses whether the information technology governance of the Authority sustains and supports its strategies and objectives.
- Internal auditors ensure that consulting engagement objectives must be consistent with the overall values and goals of the Authority.

Risk Management

- The Internal Audit and Compliance department evaluates the effectiveness and contributes to the improvement of risk management processes.
- Determining whether risk management processes are effective is a judgment based on the internal auditor's assessment that:
 - The objectives of the Authority support and align with its mission;
 - Significant risks are identified and assessed;
 - Appropriate risk responses are selected that align risks with the Authority's risk appetite; and
 - Relevant risk information is captured and communicated in a timely manner across the Authority, enabling staff, management, and the Board to carry out their responsibilities. This information is gathered during audit engagements.
- IACD evaluates risk exposures relating to the Authority's governance, operations and information systems regarding the achievement of strategic, financial, operational and compliance objectives.
- IACD evaluates the potential for the occurrence of fraud and how the Authority manages fraud risk.

- During consulting engagements, internal auditors must address risks consistent with the engagement’s objectives and be alert to the existence of other significant risks.
- When assisting management in establishing or improving risk management processes, internal auditors refrain from assuming any management responsibility by actually managing risks.

Control

- The Internal Audit and Compliance department assists the Authority in maintaining effective controls by evaluating their effectiveness and efficiency and by promoting continuous improvement.
- IACD evaluates the adequacy and effectiveness of controls in responding to risks within the Authority’s governance, operations, and information systems regarding the:
 - Achievement of the Authority’s strategic objectives;
 - Reliability and integrity of financial and operational information;
 - Effectiveness and efficiency of operations and programmes;
 - Safeguarding of assets; and
 - Compliance with laws, regulations, policies, procedures, and contracts.
- Internal auditors review operations and programmes to ascertain the extent to which results are consistent with established goals and objectives to determine whether such are being implemented or performed as the Authority intended.
- During consulting engagements, internal auditors address controls consistent with the engagement’s objectives and be alert to significant control issues.

4. Human Resource Development Plan

4.1. Organisational establishment

The organizational structure for the Water and Sewerage Authority was implemented effective 01 December 1999. The organizational arrangement implemented in 1999 was not applicable and unable to support our thrust to improve the levels of water and wastewater services. Consequently, in 2014, approval was given to revise the organizational structure, to include Heads and Senior Managers. This structural arrangement was continued in the 2015/2016 financial year.

4.2. Category of employees (Monthly Paid, Daily Paid, Temporary Staff, Contract Staff)
 The Authority's manpower level in fiscal year 2015/16 was **Five Thousand and Thirty-Four (5,034)** employees. The category of workers is detailed in Table 7 below.

Table 7: Manpower Summary

CATEGORY OF PERSONS ENGAGED	FISCAL YEAR 2015/16		
	Monthly	Daily	Total
Permanent/Temporary	2329	1077	3406
Contract/Casual/Part-time/Trainees	259	207	466
Contingent (Local Labour/ NSDP/ Project)	432	729	1161
TOTAL	5033		

4.3. Career path systems

The Human Resources Division continues to utilize Career Pathing as one of the strategies to create a culture of performance within the Authority. In 2012, the Authority commenced a Voluntary Early Separation Programme (VESP), which concluded in 2014. During that period, nine hundred and sixty-one (961) employees were separated from the Authority through VESP. Of this total, four hundred and fourteen (414) employees were holders of cabinet approved positions. This resulted in the abolition of these positions on the Cabinet Approved Structure. Despite this challenge, advice on the various career paths and career opportunities are provided to both categories of employees namely, the Daily Rated and Monthly Paid employees.

In light of the aforementioned, the Human Resources Division, continues to advise employees on the following: -

- The career options in which they can aspire to within the Authority post VESP.
- Alternative career options that can be considered.
- The criteria and eligibility requirements for the various career options.

The Human Resources Division continues to use Career Pathing as an opportunity to educate both the Daily Rated and Monthly Paid employees regarding the qualification, knowledge, skills and abilities required to successfully perform in positions within the Authority. This strategy is also intended to create an engaged workforce, as employees can acquire job specific knowledge and qualifications which can be used to engage in continuous development in their areas of interest. This increases the employees' opportunities to progress their career within the respective Department, Division, or within another Division, based on the availability of positions.

Employees' interest regarding the various career opportunities can also be obtained from the following: -

Performance Management Data – Section E of the Performance Appraisal form facilitates the documentation of employee's career interest.

Workforce Assessment - The Workforce Assessment Centre provides career advice and information for both semi- skilled and skilled employees within the Authority. Employees who desire to progress to a higher position, can access information regarding the competencies required and thereafter be assessed and certified, so that should the opportunity present itself, they can apply for the relevant position consistent with their career interest within the Authority.

Training and Development - Training is one of the mechanisms utilized by the Human Resources Division as a strategy to enhance employees' skills and prepare them for future positions within the Authority, either within their current stream or consistent with their career interest.

The Human Resources Division remains committed to creating an engaged workforce and improve employees' morale and productivity within the Authority, through the Career Pathing.

4.4. Performance assessment/management strategies

4.4.1. Monthly Paid Employees

The Performance Management Systems continues to play an integral part in improving the Authority's performance. In 2015, the Performance Appraisal period was modified to align with the Authority's fiscal year, which also allow Managers to be able to plan their projects and initiatives consistent with the areas of priority, and the availability of funds.

As part of the process, Supervisors are required to: -

- Identify projects, plans and initiatives to be pursued in the financial year.
- Develop and discuss Performance Objectives for each relevant employee.
- Monitor, guide and advise the employee during the Performance cycle.
- Appraise the employees' performance at the end of the Performance cycle.

In an effort to improve the organization's overall performance through its employees, Supervisors were advised to develop stretched targets for their direct reports. This strategy is intended to have a two (2) prong approach namely:

- To develop the employees job competencies by challenging them to achieve more in the performance period.
- To increase the outputs of the organization.

Despite the major disruptions experienced throughout the Authority in 2016 and the various challenges faced by the staff in the Head Office Complex due to the loss of their workstation, and their ability to access vital information, employees were expected to deliver the required levels of services. In the face of all these challenges, the Human Resources Division successfully maintained the level of engagement in the Performance Management activities.

4.4.2. Daily Rated Workers

The Human Resources Division and the National Union of Government and Federated Workers (NUGFW) continues to engage in discussions on the most suitable method and approach to be adopted to appraise the Daily Rated employees. Discussions have been held on the elements of the draft performance appraisal instrument, which was designed to evaluate the work conducted by the individual employee. However, during our collaboration on this matter with the Bargaining Union representation of the Daily

Rated employees, the Human Resources Division took into consideration the concerns expressed, and committed to engaging in additional research on the issue.

The research being conducted will be used to determine the alternative options available to assess the performance of the skilled and semi-skilled employees who work as part of a crew, yet responsible for the execution of a specific duty on the team. Also, there exist peculiarities whereby employees can be reassigned to various crews, as and when the need arises.

In this regard, the Human Resources Division is exploring the following options regarding appraising the Daily Rated employees:

Individual appraisal - whereby an evaluation will be conducted on the work executed by each member who functions in a team-based environment and whereby each member work is connected to another member's work.

Team base appraisal - whereby an evaluation will be conducted on the work executed by each crew relative to tasks assigned.

Individual and team appraisal - to capture data relative to the work executed by the crew as well as the individual's performance on the team.

4.5. Promotion – selection procedures

The Standard Operating Procedure for Promotion and Appointment provided a structured approach by which the Management in consultation with the respective Trade Unions would determine the placement of employees into vacant positions on the Authority's Cabinet Approved Structure.

Appendix 2 is the Standard Operating Procedure for Promotions and Appointment within the Authority.

4.6. Employee support services

In keeping with the Authority's thrust to promote an emotionally, mentally, physically, and socially stable workforce the Human Resource Division has maintained its Employee Support Services as one of its strategies for improving employee productivity and performance through the provision of the following:

- Confidential problem assessment & Counselling
- Referral Services
- Crisis or emergency intervention
- Management consultation

- Supervisor Training
- Educational Workshops

The services are designed to minimize the effect of the identified concerns of individuals and/or job performance. Within the period specified the Workforce Wellness Services which was rebranded in 2013 from the Employee Assistance Programme has been accessed by a number of persons and proven to be beneficial to the organizations workforce as indicated from the details listed below.

- Approximately one hundred and twenty-seven (127) employees were referred and accessed counselling.
- There were approximately eight (8) crisis intervention and crisis debriefing sessions which have been held with fifty-nine (59) employees.
- One (1) employee was referred for Drug Rehabilitation.

5. Procurement Procedures and criteria used in selecting each system

5.1. Open tender

Also known as public tenders, this is a bidding process that is open to all qualified bidders. These Tenders are invited through advertisements or other forms of public notice from an eligible party. Open tendering is used when the Authority's list of registered Contractors does not cater for a particular type of Article, Works or Services, is inadequate for competitive bidding or under any other circumstances as approved by the Tenders Committee.

Procedure:

- For Tenders invited by open tendering a pre-qualification or post-qualification process must be conducted.
- Invitations for the procurement of services will only be pursued subsequent to a pre-qualification exercise.
- The qualification of a Contractor must be based on an assessment of the Contractor's ability to supply the required Articles or perform the required Works or Services satisfactorily. It must also consider the Contractor's experience, record on similar work, capabilities with respect to size-efficiency and financial situation, litigation history and status as a duly registered legal entity.
- In the absence of pre-qualification, a post-qualification questionnaire shall be included in the Invitation to Tender which must specify the minimum pre-requisites qualifying Contractor to supply the Articles or carry out the Works involved.

For all Invitations to Tender (ITT) the contractor is required to provide the following:

- A detailed specification of the Articles required or a sufficient Scope of Works or Services to be undertaken and shall whenever necessary also contain the place where and the time when additional information relating thereto can be obtained;
- The form or manner in which the Tender is to be made;
- The duration of Works or Services, or the period for delivery for Articles;
- The closing date and time for submission of Tenders;

- Prior to June 2014 - The place and location of the tender box in which the offer is to be deposited. After June 2014 with the introduction of the Oracle E-Business Suite software financial package bids on Tenders were submitted and opened electronically;
- Applicable matters such as requirements as to evidence from the Board of Inland Revenue of the discharge of tax liabilities, Vat registration, deposit requirements of bonds, signature of offers by duly authorized persons etc;
- A pro-forma contract, where such terms and conditions are not covered by the Authority's General Terms and Conditions of Contract;
- Any other essential matter (s);
- The Letter of Invitation shall be signed by the Manager Purchasing;
- Any extension to the closing date shall be immediately communicated to all Contractors.

5.2. Selected tender

This is a bidding procedure involving only the Authority's Registered Contractors where selection is made from a shortlist of said registered contractors.

5.2.1. Contractor Selection

The executing/relevant Directorate or delegate in consultation with the Director of Logistics or delegate shall be responsible for the recommendation of Contractors invited to Tender.

Where a Procurement Agent has been employed by the Authority such recommendation may be the responsibility of the Procurement Agent. A suggested list may be obtained from the executing Directorate in consultation with the Purchasing Department.

Recommendations on the selection of Contractors are to be submitted to the relevant Committees for approval. When a person, firm or company recommended is not on the Authority's registered list of Contractors the relevant information for pre-qualification must be submitted prior to the issue of the Invitation to Tender.

5.2.2. Invitees

- Tenders up to \$10,000.00: Minimum of 3 Contractors
- Tenders greater than \$10,000.00 and up to \$50,000.00: Minimum of 5 Contractors
- Tenders greater than \$50,000.00: Minimum of 7 Contractors
- Tenders covered by pre-qualification: Only pre-qualified Contractors

The number of invitees should only be reduced where fewer than the specified number of Contractors are registered to supply the particular type of Articles or perform the particular Works or Services. If the category has more than the stated number of registered Contractors, every effort must be made to ensure that all Contractors, by rotation are given an equal opportunity to bid. In the rotation process, due cognizance must be given, inter-alia, to the Contractor's past performance and geographical location.

5.3. Sole tender

The sole tender procedure within the Authority may come in two (2) different forms, namely, Emergencies (Tender Rule 17) and Non-Competitive Procurement (Tender Rule 18).

5.3.1. Emergencies: Tender Rule 17

Where the safety of people, property, plant and equipment is in jeopardy or where the continuity of the Authority's operations demand that contract (s) be awarded, the most senior official on duty, if unable to contact the Executive Director, the Chairman of the Authority or the Chairman of the Tenders Committee, may award contracts for Articles, Works or Services necessary to avert danger or to bring the situation under control. In such situations the following process shall be observed:

- Within twenty-four (24) hours from the award of the contract, the Executive Director, the Chairman of the Authority or the Chairman of the Tenders Committee must be advised of the action taken.
- Within forty-eight (48) hours from the award of the contract, a report of the action taken must be submitted to the Executive Director (CEO) for transmission to the Chairman of the Authority. The report must include:
 - A Statement of the emergency circumstance that prevailed.
 - Authority's estimate
 - Actual cost
 - Reasons why the particular Contractor was chosen.
 - The attempts made to contact the Executive Director (CEO), the Chairman of the Authority or the Chairman of the Tenders Committee and the results of such attempts.

5.3.2. Non-Competitive Procurement: Tender Rule 18

All contracts for the supply of Articles, Works or Services must be awarded on the basis of competitive bidding except as follows:

- Where Articles are spares or replacement parts for equipment in use.
- Where the purchase of similar type equipment already in use is more cost effective.
- Where Articles, Works or Services are available through a sole source or supplier.
- Where Works are to be carried out on a site where the employment of another Contractor will hinder the progress of the works already being performed by an existing Contractor, taking due account of the cost effectiveness if the approach is adopted.
- Where services are to be carried out by a Contractor who is already in possession of relevant information and data and it would be more cost effective for such Contractor to perform the required services.
- In cases of emergency as described in Article 17 above.

To commence such jobs, please be advised of the following:

- The application must include a detailed description of the Articles, Works or Services and a certification that the Contractor is the only one possessing the necessary capabilities locally, or the particulars of the circumstances surrounding the recommendation for the Contractor.
- The application must indicate whether or not the terms/price appear to be reasonable. This could be in the form of an Authority's estimate.
- Where the value of the Articles, Works or Services is in an amount in excess of five hundred thousand dollars (\$500, 000.00) a recommendation shall be made by the Executive Director (CEO) to the Tenders Committee.
- Where the value of the Articles, Works or Services does not exceed five hundred thousand dollars (\$500, 000.00) prior approval for the above is required from the Executive Director (CEO).

6. Public and Community relations

6.1. Client and public access to services/service delivery systems

Business areas/services

- WASA's customer base at September 2016 is **Four Hundred And Nineteen Thousand, One Hundred And fifty-Two (419,152)** of which **Seventy-Seven Thousand, Nine Hundred And Thirty (77,930)** are wastewater customers.
- The Authority provides water and wastewater services, issues licenses and approvals as well protect the catchment and promote conservation.
- The public can access services at the Authority's twelve (12) Customer Service Centres.
- In fiscal year 2015/16 the public accessed information on the Authority from the two (2) Public Education Centres **One Hundred (100)** times.

Service penetration

- The organization provides water services to 93.6% of the population.
- WASA provides centralized wastewater services to 30% of the population.
- The Authority's customers can also access services using online tools: facebook, twitter, email and website.

6.2. Community and stakeholder relations/outreach

For the fiscal year 2015/16, the Authority engaged in fourteen (14) outreach activities at schools' career fairs, Water Sector related commemorative days, environmental groups/NGOs and school exhibitions. The Authority also hosted a wastewater competition themed 'Life Cycle of Wastewater' held for primary schools located in the Malabar and San Fernando catchment areas of the IDB funded Multi phase Wastewater Rehabilitation project. The competition attracted one hundred and ninety-one (191) entries from forty-one (41) schools.

6.3. Strategic partnerships (local, regional and international)

The Authority fosters partnerships with the following agencies:

Regional and International partnerships

- The organization for Economic Cooperation and Development's (OECD) Guidelines on Corporate Governance of State –Owned Enterprises
- Committee of Sponsoring Organisations (COSO) Internal Control Frameworks
- America Water Works Association (AWWA)
- National Water and Sewerage Corporation (NWSC)
- Inter-American Development Bank (IDB)

Local partnerships

- The Government of the Republic of Trinidad & Tobago
 - ✓ The Ministry of Public Utilities
 - ✓ Ministry of Finance
 - ✓ Ministry of Planning
- Regulators
 - ✓ Regulated Industries Commission (RIC)
 - ✓ Environmental Management Agency (EMA)
 - ✓ Occupational Safety and Health (OSH) Authority and Agency
 - ✓ Trinidad and Tobago Securities and Exchange Commission
 - ✓ Freedom of Information Unit (FOIU) of the Ministry Of Public Administration and Communications.
- Employees
- Customers
- Contractors
- Trade Unions: Public Services Association (PSA); National Union of Government and Federated Workers (NUGFW); Estate Police Association (EPA)

SOP Title / Investment Procedures :

Date: 20/12/2011

Revision #:

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1.0 Purpose and Applicability

The purpose of this SOP is to establish a uniform process for the preparation and monitoring of Investments.

2.0 Definitions

N/A

3.0 Responsibilities

3.1 Assistant Manager, Treasury

Responsible for

- Monitor maturity dates for all investments
- Ensure investment documents are prepared and sent to banks on or before maturity dates
- Email banks to request quotes for investments
- Negotiate/liaise with financial institutions for new investments
- Evaluate new quotes
- Obtain approvals for new investments and re-investments
- Check letters for re-investments and new investments
- Prepare letters for re-investments and new investments and cover memo as necessary
- Ensure funds transferred re: investments/interest income are received
- Ensure interest income as calculated by financial institution is accurate
- Check online bank statements for receipt of interest income
- Ensure signatures on investment certificates are obtained and sent to bank
- Update investment schedule upon maturities
- Prepare monthly investment status schedule
- Prepare monthly investment reconciliation

3.2 Treasury Staff

Responsible for:

- Prepare letters for re-investments and new investments
- Prepare cover memo for Chairman's approval and signature on Investments
- Obtain signatures on investment certificates, copy, file and return certificates to bank

Title/Designation

Signature

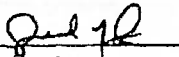
Date (dd/mm/yyyy)

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4.0 Procedure

1. Investments are monitored on a daily basis for maturity dates
2. Two weeks prior to each maturity date, an email is sent to the various financial institutions requesting quotes
3. A schedule of all quotes received is prepared
4. Evaluation of quotes
5. Obtain approval for new and re-investments.
6. The financial institutions are notified via email of the outcome (successful or unsuccessful)
7. Letters are prepared based on outcome of highest quote
8. A cover memo is prepared to send documents for the Chairman's approval and signature
9. All documents are sent to the Manager, Exchequer Services for approval before submitting to Chief Financial Officer
10. An email is sent to Manager, Exchequer Services, Deputy General Manager-Finance and Chief Financial Officer as notification of deadlines dates for investments
11. Upon receipt of the signed letters, the documents are faxed to the banks on or before investment maturity dates
12. On the following day, the bank account is checked to confirm receipt of interest income

Deborah Finlayson
Title/Designation


Signature

20/12/11
Date (dd/mm/yyyy)

Appendix 2: Standard Operating procedure – Appointment and Promotion

1.0 PURPOSE

To outline the process to be applied to facilitate the filling of vacancies on the Authority's Cabinet Approved Structure.

2.0 SCOPE

This procedure highlights the process by which Management and the Union would place employees against positions on the Authority's Cabinet Approved Structure.

3.0 PREREQUISITES

- Access to HR Live
- Employment contract
- Recruitment database
- Personnel file
- Access to Promotions and Appointment database
- Copy of the Authority's Cabinet Approved Structure
- Access to Job Descriptions database

4.0 RESPONSIBILITIES

4.1 HUMAN RESOURCES DIVISION

- Develop a vacancy listing based on the Authority's Cabinet Approved Structure.
- Engage in discussions with the Union to identify a listing of candidates with the required competencies to fill vacancies on the Authority's Structure and develop a ranked listing of recommended persons to fill each vacancy.
- Submit listing of candidates to be promoted and/or appointed to the Director Human Resources in order to seek the requisite approvals from the Board and/or Human Resources Committee.
- Arrange medical visits for persons who have been selected for first appointment.
- Update the Authority's establishment to reflect all promotions and appointment.
- Dispatch letters of promotion and appointment to employees through their respective Line Management.
- Update record of service for employees promoted and appointed on the HRIS.
- File letters of promotion and appointment in the respective employee personal files.

4.2 UNION

- Review relevant vacancy listing and concur with Management on the list of employees to be promoted and appointed on the Cabinet Approved Structure.

4.3 LINE MANAGEMENT

- The Director of each Division and/or his representative would review the listing of persons recommended for promotion and appointment under his/her respective Division and concur with the submissions by affixing his/her signature on the document and returning the correspondence to the Human Resource Division.

4.4 EMPLOYEE

- Present himself/ herself for medical examination if it is the first time that he/she has been appointed.
- Collect letters of appointment or promotion.

4.5 AUTHORITY'S REGISTERED MEDICAL PRACTITIONER

- Conduct medical assessments for employees to be appointed to determine their fitness for employment and submit a report advising whether or not the person is fit to be employed with the Authority.

4.6 HUMAN RESOURCES COMMITTEE AND THE BOARD OF DIRECTORS

- Review listing of employees to be appointed and promoted and grants the requisite approval.

4.7 FINANCE DIVISION

- Process payment of salary adjustments for those persons who are so entitled based on the preparation of an updated record of service to reflect promotion and/ or appointment.

5.0 PROCEDURE

- i. The Human Resources Division prepares vacancy listing on the Authority's Cabinet Approved Structure
- ii. The Human Resources Division develops a listing of recommended persons to fill vacant positions on the Authority's structure and engages in discussions with the Union to get concurrence. The following criteria is used to develop a list of recommended candidates:
 - a. **Tenure** – the employee must satisfy a minimum of two (2) years performing in the recommended position or a similar capacity

- b. **Employment Status** – consideration for appointment is done using employment status in ranked order; (i) Permanent (ii) Temporary (iii) Contract
 - c. **Pre-requisites** – job specific qualifications, training and seniority in the position
 - d. **Line Management** – recommendations, endorsement, assessment
- iii. Once, Management and the Union concur on the listing of persons to be promoted and appointed, the Senior Manager, Administrative Services reviews the listing and a copy of the list is transmitted to each Divisional Director.
 - iv. The Divisional Director and his/ her representative review the listing and provide feedback to the Human Resources Division within one (1) week of receiving the recommended listing
 - v. Once the listing has been reviewed, he/ she affixed his/ her signature on the document as evidence of his/ her approval and identifies any recommendations for which he/ she has a query.
 - vi. The listings are then returned to the Human Resources Division by the respective Divisional Director and is then transmitted to the Office of the Director, Human Resources.
 - vii. The Director, Human Resources reviews the list and submits recommendations to the Board and the Human Resources Committee for final approval.
 - viii. After the list has been approved by the Board and the Human Resources Committee, the Human Resources Division prepares the employee letters of appointment / promotion and obtains the signature of the Chief Executive Officer before they are dispatched to the respective individuals through the Office of the respective Divisional Directors under which the employee is assigned.

NB: In the instances of first time appointment, the Human Resources Division makes the necessary arrangement for the persons to undergo medical examination by one of the Authority's approved medical practitioners. The doctor's medical report must indicate that the employee is fit for employment before he/ she receives his/ her instrument of first appointment.

- ix. The Human Resources Division places a copy of the letter of appointment or promotion in the employee personal file.
- x. The Human Resources Division updates the positions on the Authority's structure to reflect all promotions and appointment.
- xi. The Human Resources Division updates the record of service details for those persons appointed and promoted and prepares any necessary salary adjustment for payment by the Finance Division.

6.0 MONITORING AND EVALUATION

- Chief Executive Officer

- Board of Commissioners and the Human Resources Committee
- Internal Audit

7.0 TIMEFRAME

- Ongoing

8.0 REFERENCES

- Collective Agreement