UNITED NATIONS DEVELOPMENT PROGRAMME

PROJECT DOCUMENT
Trinidad and Tobago

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D P

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I.   PROJECT TITLE: ENTERPRISE CONTENT MANAGEMENT SYSTEM – MINISTRY OF RURAL DEVELOPMENT AND LOCAL GOVERNMENT (MRDLG).

Project Number: 00108091
Implementing Partner: Ministry of Rural Development and Local Government (MRDLG)
Start Date: January 8, 2018 **End Date:** January 7, 2019 **PAC Meeting date:** December 8, 2017

Brief Description
The Ministry of Rural Development and Local Government (MRDLG) plays a pivotal role in securing the functional cooperation necessary for national initiatives in Trinidad and Tobago. By virtue of its remit, the local government system has a more direct and constant connection to citizens than central government. In the execution of the Ministry's functions, municipal corporations and special purpose enterprises assist communities by pooling resources in targeted areas such as infrastructural development, disaster management, public health, and sanitation. Currently, documentation of existing policies, programmes, operating procedures and proposed works at the Ministry and its municipal corporations has been both digital and paper-based with little adherence to best practices when documenting the status of these activities. The Ministry of Rural Development and Local Government through partnership with the UNDP is seeking to develop an Enterprise Content Management System for the Ministry. It is intended that by embarking on this project, institutional capacity can be built and data collection can have integrity to fulfil the theme of Goal 2 under Goal II of the National Development Strategy 2016-2030 (Vision 2030), 'The public service will have modern, effective and efficient management systems.'

Contributing Outcome (UNDAF/CPD, RPD or GPD): UN MSDF Priority Area 1: An inclusive, equitable and prosperous Caribbean. Sustainable Development Goals (SDGs): 1,5,10,17 Indicative Output(s): Access to equitable social protection systems, quality services and sustainable economic opportunities improved.		
Total resources required:		$85,000.00
Total resources allocated:	**UNDP TRAC:**	
	Donor:	
	Donor:	
	Government:	$85,000.00
	In-Kind:	
Unfunded:		

Agreed by (signatures):

Government	UNDP	Implementing Partner (Gov't)
Print Name:	Print Name: Mr. Richard Blewitt	Print Name: Ms. Samdai Rampersad
Date:	Date: 22/ 12/2017	Date: 22/12/17

I. DEVELOPMENT CHALLENGE

The Ministry of Rural Development and Local Government (MRDLG) plays a pivotal role in securing the functional cooperation necessary for national initiatives in Trinidad and Tobago. By virtue of its remit, the local government system has a more direct and constant connection to citizens than central government. In the execution of the Ministry's functions, municipal corporations and special purpose enterprises assist communities by pooling resources in targeted areas such as infrastructural development, disaster management, public health, and sanitation.

The local government system in Trinidad consists of the Ministry of Rural Development and Local Government, which acts as the central coordinating agency, fourteen (14) municipal corporations (MCs) in Trinidad, listed below, as well as three (3) special purpose state enterprises.

City Corporations	Borough Corporations	Regional Corporations
Port of Spain	Arima	Couva/Tabaquite/Talparo
San Fernando	Chaguanas	Diego Martin
	Point Fortin	Mayaro/Rio Claro
		Penal/Debe
		Princes Town
		San Juan/Laventille
		Sangre Grande
		Siparia
		Tunapuna/Piarco

The roles and responsibilities of the Ministry of Rural Development and Local Government (MRDLG) are mainly to:
- Convey the policy perspectives and guidelines of central government;
- Monitor the finances and expenditure of Municipal Corporations (MCs);
- Render expert advice to MCs;
- Issue guidelines on administrative and statutory regulations;
- Supervise the execution of projects and programmes;
- Coordinate the activities of MCs to ensure the efficient and effective delivery of services, and balanced growth and development; and
- Act as an adjudicator in cases of disputes between MCs.

The MRDLG is headed by the Minister of Rural Development and Local Government, who is assisted in administrative duties by two (2) Permanent Secretaries; one overseeing technical affairs, and the other corporate affairs and supported by two (2) Deputy Permanent Secretaries. Each of the fourteen (14) MCs is managed by a Council and administrative arm. The Mayor/Chair is responsible for presiding over the Council, while a Chief Executive Officer (CEO) manages the administrative arm.

Ongoing works within each of the 14 MCs occurs in alignment with all relevant national strategies and policies, including the National Development Strategy 2016-2030 (Vision 2030). Works may be project-based, routine or standalone, based on citizen needs. Currently, documentation of existing policies, programmes, operating procedures and proposed works has been both digital and paper-based with little adherence to best practices when documenting the status of these activities. This has enabled a work environment prone to the following general shortcomings:

- Lack of adequate inventory schemas for data maintenance and its currency management;

- Lack of formal data archival systems contribute to the loss of or deterioration of existing records; and
- Lack of awareness between already completed and ongoing work both within corporations and between/among them, as well as with the MRDLG.

This project aims to create a Single Unified Enterprise Content Management System (ECM) within the Ministry of Rural Development and Local Government. The beneficiaries of this project will mainly include all paper based departments, inter alia, Registry Units, Human Resources, Information Technology (tracking), Policy and Planning, Engineering, etc. relevant stakeholder MDA's (Ministries, Departments, Agencies) and even the general public will also benefit from the services of this ECM Solution.

The UNDP Trinidad and Tobago Country Office, is proposing to assist the Ministry of Rural Development and Local Government with the development of this Enterprise Content Management System. This project seeks to fulfil the theme of Goal 2 under Goal II of the Government of the Republic of Trinidad and Tobago's National Development Strategy 2016-2030 (Vision 2030)[1]; 'the public service will have modern, effective, and efficient management systems'. In an effort to mitigate against the aforementioned shortcomings, this project will adhere to the following strategic initiatives/actions:

- Improving the oversight function of independent institutions;
- Promote greater accountability within the public service;
- Improve the coordination of national policy making and project implementation;
- Improve the efficiency of public institutions; and
- Promote evidence based decision making.

Through advancing technologies, an Enterprise Content Management System has the potential to transform the MRDLG and its fourteen Municipal Corporations by building a single platform on which to build content-enabled applications. Management of content, either internal or external is extremely important to the sustainability and advancement of any organisation. Some examples of information include Human Resource records such as development applications, Registry Information, Contracts, and Financial data.

This project will employ best practices in capacity development at the MRDLG's Head Office. The expansion of the ECM system will be the focus of another project. The Document Tracking system, will allow for greater accountability and ease of access. Additionally, by including all Back File content, it should ensure that no content is ever lost, and a proper archiving of content is readily available.

II. STRATEGY

The UNDP will seek to provide support for the development of a Single Unified Enterprise Content Management System (ECM) within the Ministry of Rural Development and Local Government (MRDLG), utilising residual funds from the recently completely project, 'Capacity Development in Project Management'. In keeping with the UNDAF commitment to capacity development and technical assistance the research products and knowledge transfer derived from this initiative will remain the

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[1] Pg. 45, The Government of the Republic of Trinidad and Tobago's National Development Strategy 2016-2030 (Vision 2030)

legacy of the Government of the Republic of Trinidad and Tobago (GORTT) through the MRDLG. Through this strengthening of institutional capacity, the UNDP will further assist the MRDLG in aligning with the National Development Strategy 2016-2030, which aims to ensure that public institutions are high performing, professional entities which meet the needs of all citizens.

The UNDP, through its core service line of Democratic Governance, is well positioned to facilitate this development of management systems at the MRDLG given its commitment to and experience in strengthening local institutional systems as well as capacity development at national agencies in over one hundred and seventy (170) nation states. This project is in line with Democratic Governance Outcome 2 in the UNDP Country Programme Document (CPD) 2017-2021, 'People centred governance institutions bolstered by transparency, accountability and the rule of law.' As a collaborative partner, UNDP will provide technical expertise and international best practice as well as the commitment to build institutional capacity, thereby providing solid support to the MRDLG. This initiative would therefore contribute to the achievement of Human Development as well as the Sustainable Development Goals (SDGs).

The UNDP will utilise the Country office support to national implementation modality (nim) for execution of this project, with particular emphasis on developing national capacities in government. This modality will contribute to greater national self-ownership and support sustainable institutional capacity development, including resource utilisation, knowledge transfer, management capabilities and technical expertise. The NIM approach will facilitate the project management process, with the UNDP responsible for services provision, from requisition to disbursement.

This project is expected to focus on the Ministry of Rural Development and Local Government's Head Office located at Kent House, Maraval. When this project has been successfully implemented, and pending the availability of funding, the ECM system will rolled out to each of the fourteen (14) Municipal Corporations.

In this manner, the initial cost of the project is intended to be kept achievable, while having the ability to learn and adopt better policies and procedures to ensure a continued efficient roll-out to the MCs. As neither of the projects will be inherently dependant on the other, each will result in the successful adoption of the new technology.

Throughout its implementation, the project will be carefully monitored and evaluated for its effectiveness in increasing the information management capacity and functional capability at the MRDLG. This will ensure the sustainability of frameworks and operating procedures to guarantee optimal data documentation, integrity and sharing to improve information management within the MRDLG.

III. RESULTS AND PARTNERSHIPS

Expected Results:
- Design and implementation of a unified solution for document and content management at the MRDLG;
- Conversion of hardcopy documents to digital information through scanning and digitising;
- Cataloguing of data held by the MRDLG;
- Establishment of metadata standards, design, implementation and data dictionaries;
- Conversion and adherence of past project documents into a standardised format; and

- Enhanced institutional capacity through training, systems development and additional software at the MRDLG.

Partnerships

UNDP Trinidad and Tobago will partner with the Ministry of Rural Development and Local Government (MRDLG) for the creation of an Enterprise Content Management System (ECM), to be implemented at the Ministry. The UNDP will use the Country Office Support to Country office support to national implementation modality (nim) in the execution of this project in partnership with the MRDLG.

In 2001, the OnBase solution was deployed at the Office of the Prime Minister (OPM) at an approximate overhead cost of Three Million Five Hundred Thousand Trinidad and Tobago Dollars ($3,500,000.00 TTD). Since then, the solution has been successfully adopted and is now an integral part of the Cabinet Secretariat.

The Office of the Prime Minister recently upgraded the hardware and software component of the OnBase System and also relocated the Hardware Infrastructure to GoRTT's DC1 (DataCenter 1), which is located in Fujistu's Compound in Barataria. The hardware upgrade was done with the intention of sharing its services with other interested Government Ministries.

It is the intention of the MRDLG to further investigate and pursue a partnership with the OPM since the benefits are as follows:

1) Immediate cost savings of approximately **$ 900,000.00** in hardware and software.
2) Immediate access to the Hardware Infrastructure, via the GovNeTT, as the hardware is housed in DC1.
3) No need for experts or consultants on configuring hardware and virtualization, as this has already been completed and the solution is running on VMware ESXi 6.0 virtualization hypervisor.
4) No need for Backup and Disaster Recovery, as this has already been catered for by the OPM, using Dell AppAssure Appliance.
5) Inherent ability for document sharing between the MRDLG and the OPM, because of shared resources.
6) Inherent security of data due to strict security access controls built into the OnBase system.
7) Ability to continue rolling out this solution to the fourteen MCs, as they all have access to the GovNeTT System.
8) Follow Government's mandate "Do more with less", by partnering and sharing of resources.

Risks and Assumptions:

As outlined in the risk log (Annex I), this project may be compromised by:
- The inability to promptly establish a Project Board for overseeing the project duties and stages;
- The Ministry lacking vital institutional capability and human resources for implementation of the system;
- Little or no buy-in to the project by the departments involved in implementation at the MRDLG; and
- The OPM not being able to facilitate a partnership with the MRDLG.

It is assumed that the MRDLG has the functional capability to facilitate implementation of the ECM. Staff sensitisation sessions at the MRDLG is necessary to ensure a smooth implementation process. Sensitisation with the MRDLG executive should occur, and include the importance of Project Board establishment and participation and the orientation of the Project Focal Point/s.

Stakeholder Engagement

- *Target Groups*: Staff at the MRDLG
- *Other Potentially Affected Groups:* Stakeholder agencies to the MRDLG and its MCs, such as building and infrastructure contractors and developers, as well as the general public who benefit from the services of local government.

Knowledge

- This project is expected to produce the following knowledge products: baseline capability reports including information obtained from Needs Assessments and SWOT analysis, quarterly project update reports to the Project Board and the establishment of the ECM system for document management itself. Through roll-out of the system in the MRDLG in Trinidad, as well as the subsequent training and certification of staff in management of the system, the project supports the transfer and dissemination of information systems knowledge across the Trinidadian local government system.

IV. PROJECT MANAGEMENT

Project Management

This project is aligned with the Government of the Republic of Trinidad and Tobago (GoRTT)'s ongoing local government reform. It is intended that through the strengthening of information and communications technology capabilities, access to information and therefore systems for participatory governance will be strengthened. By facilitating the modernisation of the management systems of local government agencies, information can be stored, retrieved and disseminated effectively and efficiently, which can foster closer integration between the MRDLG and the MCs, as well as support socio-economic development, as trends can be analysed for planning and development. This project will therefore contribute to a more efficient local government system overall.

The project will be operationalised at the Ministry of Rural Development and Local Government (MRDLG), Trinidad, with the support of the UNDP. Development of the project will take place at the MRDLG. UNDP Trinidad and Tobago will utilise the NIM in project implementation and will provide project assurance.

Financing for this project is to be sourced from residual funds allocated by the MRDLG to the UNDP. Project Expenditure Reports will be generated and submitted by the UNDP to the MRDLG on a quarterly basis or upon request. Annual Expenditure Reports, also known as Combined Delivery Reports (CDRs), will be submitted by UNDP to the MRDLG for review and signature in the first quarter of the following year. As mandated by the UNDP Executive Board's cost recovery guidelines for the provision of services, UNDP will charge a five percent (5%) general management support fee on the actual cost of services delivered. This fee would contribute to the costs incurred by UNDP in the provision of technical advice, procurement and financial management services to the project.

The outcomes and outputs of this project will form part of UNDP's corporate programme monitoring, reporting and oversight mechanisms. Project performance will be assessed through the convening of meetings of the Project Board which will forward recommendations to the UNDP Resident Representative and the Permanent Secretary (Corporate), MRDLG, for decisions in effecting changes or modifications to the project. The Project Board will be convened by UNDP in consultation with the MRDLG initially, and will meet on a quarterly basis at a minimum. Minutes of these meetings will be prepared by the Project Focal Point/s (Internal) for approval by all members. A Terminal Project Review meeting will be held prior to the closure of the project. In keeping with UNDP's rules and regulations which govern auditing requirements, all UNDP projects must be audited at least once in their lifecycle.

UNDP will be responsible for (i) selecting and engaging the external auditors to conduct a financial audit of the project and (ii) the coordination of the conduct of the audit activity.

V. RESULTS FRAMEWORK

Intended Outcome as stated in the MSDF 2016

Priority Area: An Inclusive, Equitable and Prosperous Caribbean.

Outcome Statement: Access to equitable social protection systems, quality services and sustainable economic opportunities improved.

Sustainable Development Goals (SDGs): 1, 5, 10, and 17.

Results and Resources Framework, including baselines and targets:

Indicator: number of policies, regulations and standards being implemented at national and subnational levels in response to the SDGs;

Baseline: 0

Target: 4.

Applicable Output(s) from the UNDP Strategic Plan: Output 1.5 – UNDP serves as a connector and generator of knowledge about development solutions (Output Indicator – 1.5.2)

Project title and Atlas Project Number: Enterprise Content Management System: Ministry of Rural Development and Local Government.

OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	Year 4	Year 5	FINAL	
Output 1 *Project Management*	1.1 Project Board established		0	2017						1	Project Focal Points

Output 2										
Deployment of OnBase Enterprise Content Management System										
2.1 Needs Assessment and SWOT analysis for Head Office conducted.	Consultant (MRDLG/UNDP/)	No. of baseline assessments conducted: 0	2017			n/a	n/a	n/a	n/a	1	Quantitative and qualitative measures for Needs Assessments, qualitative for SWOT analysis. Risk: Little/no buy-in from different departments at the MRDLG Insufficient budget to hire consultant.
2.2 Successful testing of Network connectivity to OPM's OnBase Infrastructure	MRDLG	No. of digital archives resulting from successful test: 0	2017	1					1	Two methods of connectivity exist: 1. Connection through the use of GovNeTT 2. Connection through the internet. (SSL Secured) Risks: If connectivity is unsuccessful, then the MRDLG will have to invest in new and expensive hardware.
2.3 Procurement of high performance Production Scanners for Head Office	MRDLG/	No. of tracking systems: 0 No. of production scanners procured: 0	2017	1 2					1 2	Conversion of hardcopy data into digital. Risks: Older files with faded data may not be able to be scanned successfully.

Activity	Responsible	Baseline	Year	Target				Target	Remarks / Risks
2.4 Procurement of necessary licenses and Service fees required by OnBase	MRDLG	No. of databases: 0	2017	1				1	OnBase license fees are necessary as well an OnBase Consultant. Risks: Without an OnBase Consultant locally, to assist, this project might not be successful.
2.5 Scanning and Indexing of all paper based files at Head Office.	MRDLG	No. DBMS existing: 0 % of paper-based documents digitised and uploaded to DBMS: 0%	2017	1 60%				1 60%	Catalogue and indexing of documents, conversion of hardcopy information into digital formats. Risk: unable to extract information from legacy datasets. Document loss Non-standardised cataloguing procedures.
2.6 Staff trained in the use of the system the necessary processes involved. ECM Solution deployed and utilised at Head Office.	MRDLG	No. of certified staff in OnBase (TBD from 1.1 above)	2017	TBD from Output 1.1				TBD	Evidence of staff certification, implementation timelines from quarterly monitoring reports. Risk: Systems malfunctioning, insufficient funds to upgrade hardware and software, ECM Solution is underutilised at the MRDLG.

2.7	MRLDG	No. of data collection processes documented for new ECM system: 0	2017	1			1
Documentation of data collection process for newly adopted ECM system							

VI. MONITORING AND EVALUATION

The project will be monitored by the Project Focal Points, who will report on Output indicator progress to the Project Board on a quarterly basis. The Project Focal Points will also update the risk log on a quarterly basis. The end of project evaluation will be conducted by an external M&E consultant.

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	MRDLG/ UNDP	
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by the Project Focal points in collaboration with the UNDP Programme Officer, and actions are taken to manage risk, with approval from the Project Board. The risk log is actively maintained to keep track of identified risks and actions taken.	MRDLG/ UNDP	
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	MRDLG/ UNDP	
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	MRDLG/ UNDP	

		management decision making to improve the project.	
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	MRDLG/ UNDP/ Project Board
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)		MRDLG/ UNDP/ Project Board
Project Review (Project Board)	The project's governance mechanism (i.e. project board) will hold regular project reviews to assess the performance of the project and review the Annual Work Plan to ensure realistic budgeting over the life of the project. The Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Specify frequency (i.e. at least annually)	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	MRDLG/ UNDP/ Project Board

Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	MSDF Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Quarterly monitoring of project outputs	MRDLG/UNDP	Output 1.5/ 1.5.2[2]	An Inclusive, Equitable and Prosperous Caribbean	At the end of each quarter	MRDLG/UNDP	Built into Project Focal points role.
Impact evaluation one year after completion of course/programme	MRDLG/UNDP	Output 1.5/ 1.5.2	An Inclusive, Equitable and Prosperous Caribbean	One year after completion of project	MRDLG/UNDP	M&E Consultant: $7000.00 USD

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[2] Output 1.5 UNDP serves as a connector and generator of knowledge about development solutions. 1.5.2 Evidence of up-take by development partners of development solutions shared over the knowledge networks .
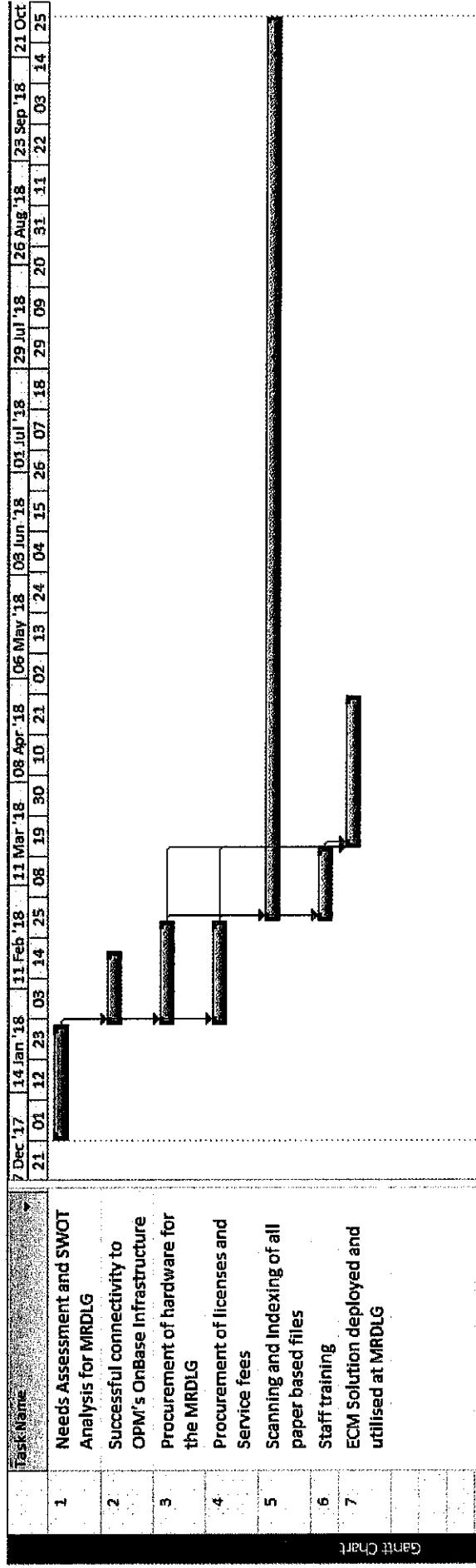
VII. ANNUAL WORK PLAN

EXPECTED OUTPUTS and RESULT INDICATORS	PLANNED ACTIVITIES	Q1	Q2	Q3	Q4	RESPONSIBLE PARTY	Funding Source	Budget Description	Amount (TTD)	Amount (USD)
			TIMEFRAME					PLANNED BUDGET		
Output 1 *Establishment of Project Board*	1.1 Establishment of Project Board, identification of Project Focal Point(s), commitment of funds	X				UNDP, MRDLG			NIL	NIL
	Sub-Total for Output 1								NIL	NIL
Output 2 *Deployment of OnBase Enterprise Content Management System*	2.1 Needs assessments and SWOT analyses for the MRDLG	X	X			Consultant		Consultant	$50,000.00	$7377.46
	2.2 Network and Connectivity Testing.	X				MRDLG			NIL	NIL
	2.3 Procurement of High Performance Scanners.(2) Procurement of Backup Server		X			MRDLG			$133,834.51 $150,000.00	$19,751.69 $22,132.38
	2.4 <u>Licenses</u> Concurrent Client Workstation Client IDOL Concurrent Client IDOL Workstation Client Workflow / Work view Concurrent Client Production Document Imaging license Annual Maintenance Services (Hrs)		X			MRDLG			$50,000.00 $24,000.00 $11,000.00 $6,000.00 $20,000.00 $25,000.00 $22,000.00	$7377.46 $3541.18 $1623.04 $885.30 $2950.98 $3688.73 $3246.08
	2.5 Staff Training			X	X	MRDLG			$10,000.00	$1475.50
	2.6 Documentation of ECM data collection and entry process			X	X	MRDLG			NIL	NIL

15

Sub-Total for Output 2					**$501,835.51**	**$74,049.80**
Output 3 *Effectively evaluate the project.*						
3.1 Recruitment of M&E consultant	X		UNDP, MRDLG		$47,441.80	$7000.00
3.2 Evaluate project prior to project close off		X	UNDP, MRDLG		NIL	NIL
Sub-Total for Output 3					$47,441.80	$7000.00
General Management Support				5%	$26,772.09	$3950.20
TOTAL					**$576,048.40**[3]	**$85,000.00**

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[3] UNDP exchange rate of 6.77704 was used

16

Proposed Gantt Chart of Project Activities

	Task Name	7 Dec '17	14 Jan '18	11 Feb '18	11 Mar '18	08 Apr '18	06 May '18	03 Jun '18	01 Jul '18	29 Jul '18	26 Aug '18	23 Sep '18	21 Oct
1	Needs Assessment and SWOT Analysis for MRDLG												
2	Successful connectivity to OPM's OnBase Infrastructure												
3	Procurement of hardware for the MRDLG												
4	Procurement of licenses and Service fees												
5	Scanning and Indexing of all paper based files												
6	Staff training												
7	ECM Solution deployed and utilised at MRDLG												

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Project Organisation Structure
Project Board

Senior Beneficiary (TBD)	Executive	Senior Supplier
Ministry of Rural Development and Local Government; Municipal Corporations; OPM, Private Sector; NGOs; Public.	Permanent Secretary (Corporate), Ministry of Rural Development and Local Government	UNDP ARR

Project Assurance	Project Manager	Project Support
UNDP Programme Officer	Project Focal Points	Support Staff MRDLG

The roles and responsibilities of the parties are listed below:

Project Board:

1. Makes decisions on major project changes;

2. Provides approval to move to different phases of the project;

3. Oversees project implementation on a quarterly basis via reports/updates from Project Focal Points and

4. Scheduling and convening of Project Board meeting on a quarterly basis at minimum and\or when required.

Executing Agency – The Ministry of Rural Development and Local Government:

1. Obtain and allocate resources for the project in a timely manner;

2. Certification of annual expenditure reports prepared by UNDP;

3. Participate in Project Board meetings;

4. Participate in monitoring and evaluation of project;

5. Collaborate with UNDP in drafting Terms of Reference where necessary;

6. Take responsibility for administrative arrangements within the Municipal Corporations to facilitate working arrangement for project personnel;

7. Ensuring all stakeholders understand the project rationale, objective, change theory and implementation mechanism; and

8. Revisiting the project's Theory of Change, that is, how the project outputs are expected to translate into intended outcomes and the sequence necessary for this to happen effectively. When project implementation personnel are recruited after the project, sessions should be held with new staff to ensure that all key personnel are on the same page and have the same understanding of the project design and implementation.

UNDP- Senior Supplier:

To facilitate implementation of the project, the UNDP Trinidad and Tobago Country Office will provide the following services in accordance with UNDP procedures:
1. Identification and recruitment of experts with prior agreement of the Executing Agency, MRDLG. The MRDLG will liaise with UNDP on any matters of concern.

2. Participate in meetings of the Project Board;

3. Provide thematic and technical backstopping;

4. Participate with the MRDLG in joint supervision of the experts;

5. Regularly review and document the status of project objectives, activities, outputs, risks and

emerging issues and when necessary, convey concerns to relevant parties; and

6. Financial management of the project and preparation of financial reports.

Project Focal Points (Internal to MRDLG):

1. Manage the activities which are required to achieve project outputs;

2. Provide direction and guidance to project team /responsible parties;

3. Liaise with the Project Board to ensure overall direction and integrity of the project;

4. Responsible for project administration;

5. Liaise with UNDP Programme Officer and Project Senior Supplier;

6. Manage project consultants;

7. Ensure M&E activities are conducted as indicated in the Project Document;

8. Liaise with Government on financial matters; and

9. Schedule and convene Project Board meetings on a quarterly basis or as necessary.

IX. LEGAL CONTEXT

This Project Document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement (SBAA) between the participating Government and the United Nations Development Programme, signed on 20 May 1976.

The following type of revisions may be made to the Project Document with the signature of the UNDP Resident Representative after consultation with the Executing Agency and provided he or she is assured in writing that the other signatories of the Project Document have no objections to the proposed changes:

a) Revisions in or addition of any of the Annexes of the Project Document.

b) Revisions that do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the re-arrangement of inputs already agreed to or by cost increases due to inflation.

c) Mandatory annual revisions, which re-phase the delivery of agreed project inputs, or increased expert, or other costs due to inflation, or take into account agency expenditure flexibility.

Consistent with Article III of the SBAA, the responsibility for the safety and security of the executing agency, its personnel and property, and of UNDP's property in the executing agency's custody, rests with the Executing Agency.

The Executing Agency shall:

a) Put in place where the project is being executed an appropriate security plan and maintain the security plan, taking into account the security situation in the country; and

b) Assume all risks and liabilities related to the executing agency's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan where necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The executing agency agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by the UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm . This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

X. ANNEXES

1. **Risk Analysis.**

2. **Terms of Refererence for Project Board and Project Focal Points[4]**

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[4] These are the TOR templates that must be finalised and accepted. In the case of the TOR for the Project Board, this is usually done at the first meeting of the Project Board and recorded in the minutes. There must be agreement on the TOR for the project focal point by the project board prior to the contracting of the Project Focal Point.

ANNEX I: OFFLINE RISK LOG

Project Title: Enterprise Content Management System – Ministry of Rural Development and Local Government (MRDLG).		Award ID:		Date: October 30, 2017			

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, Updated by	Last Update	Status
1	Little to no buy-in and cooperation from stakeholders at the MRDLG.	October 27 2017	Organizational	P = 3 I = 4	*Prior to project commencement the personnel from the MRDLG must be sensitized to the project and kept updated on its progress and impact.*	Project Focal Points	UNDP		e.g. dead, reducing, increasing, no change *(in Atlas, use the Management Response box)*
2	Older files with faded data may not be able to be scanned successfully	October 27 2017	Organizational	P = 4 I = 1	Make every effort to find copies of documents that are not faded and develop a policy about those that are, and cannot be scanned at all.	Project Focal Points/ MRDLG	UNDP		
3	Systems malfunctioning, insufficient funds to upgrade hardware and software.	October 27 2017	Financial	P = 3 I = 4	Ensure that maintenance of system is incorporated into the annual budget of the Ministry, to consider the need for future expansion and upgrades. Demonstrate the benefits of this system to gain additional funding for upgrades as necessary.	Project Focal Points/ MRDLG	MRDLG		

Annex II: Project Board and Project Focal Point Terms of Reference

<table>
<tr>
<td>[UNDP logo]</td>
<td>**UNITED NATIONS DEVELOPMENT PROGRAMME**
TERMS OF REFERENCE
PROJECT BOARD</td>
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</table>

I. Position Information

Post Title: **Project Board**
Agency: **UNDP, MRDLG**
Duty Station: **Trinidad & Tobago**

II. Organisational Context/ Background

The Project Board is the group responsible for making by consensus management decisions for a project when guidance is required by the Project Manager/Project Focal Point, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance to standards[5] that shall ensure best value to money, fairness, integrity transparency and effective international competition. In case a consensus cannot be reached, final decision shall rest with the UNDP Programme Manager. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager/Project Focal Point. This group is consulted by the Project Manager/Project Focal Point for decisions when PM tolerances (normally in terms of time and budget) have been exceeded.

Based on the approved Annual Work Plan (AWP), the Project Board may review and approve project quarterly plans when required and authorizes any major deviation from these agreed quarterly plans. It is the authority that signs off the completion of each quarterly plan as well as authorizes the start of the next quarterly plan. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies. In addition, it approves the appointment and responsibilities of the Project Manager/Project Focal Point and any delegation of its Project Assurance responsibilities.

III. Functions / Key Results Expected

Defining a project
- Review and approve the Initiation Plan (To be developed by Project Manager/Project Focal Point in collaboration with key stakeholders)

Initiating a project
- Agree on Project Manager's/Project Focal Point's responsibilities, as well as the responsibilities of the other members of the Project Management team;

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[5] UNDP Financial Rules and Regulations: Chapter E, Regulation 16.05: a) The administration by executing entities or, under the harmonized operational modalities, implementing partners, of resources obtained from or through UNDP shall be carried out under their respective financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. b) Where the financial governance of an executing entity or, under the harmonized operational modalities, implementing partner, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, that of UNDP shall apply.

- Delegate any Project Assurance function as appropriate;
- Review the Progress Report for the Initiation Stage (if an Initiation Plan was required); and
- Review and appraise detailed Project Plan and AWP, including Atlas reports covering activity definition, quality criteria, issue log, updated risk log and the monitoring and communication plan.

Running a project
- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager/ Project Focal Point;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on Project Manager's/Project Focal Point's tolerances in the AWP and quarterly plans when required;
- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans (related to the monitoring of the project).
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next AWP (where applicable);
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when project manager's/project focal point's tolerances are exceeded; and
- Assess and decide on project changes through revisions;

Closing a project
- Assure that all Project deliverables have been produced satisfactorily (accepting justifications where they have not been);
- Review and approve the Final Project Review Report, including Lessons-learned;
- Make recommendations for follow-on actions;
- Commission project evaluation (only when required by partnership agreement); and
- Notify operational completion of the project to all project stakeholders.

V. Project Board Organisation

Corporate Competencies:

- Demonstrates commitment to UNDP's mission, vision and values.
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability

Organisational Arrangements:

This Project Board contains three roles, including:

1) An Executive: individual representing the project ownership to chair the group.
2) Senior Supplier: individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project. The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project.
3) Senior Beneficiary: individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries.

UNITED NATIONS DEVELOPMENT PROGRAMME
TERMS OF REFERENCE
PROJECT FOCAL POINT

I. Position Information

Post Title: **Project Focal Point**
Agency: **UNDP/ MRDLG**
Type of Contract:
Grade:
Duty Station: **Trinidad and Tobago**

II. Organisational Context/ Background

Under the overall guidance and supervision of the UNDP and the Ministry of Rural Development and Local Government, the Project Focal Point will provide substantive and administrative support to the *'Enterprise Content Management System - MRDLG'* project.

III. Functions / Key Results Expected

The Project Focal Point has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Focal Point is responsible for day-to-day management and decision-making for the project. The Project Focal Point's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The Implementing Partner in collaboration with UNDP appoints the Project Focal Point. Prior to the approval of the project, the <u>Project Developer</u> role is the UNDP staff member responsible for project management functions during formulation until the Project Focal Point from the Implementing Partner is in place.

Summary of key functions:
1. *Analysis, Advice and Support*
2. *Coordination and Provision of technical and oversight support to the management*
3. *Coordinate the development and implementation of systems, procedures and guidelines*
4. *Provide substantive technical advisory support on Strategy and Facility related issues*

Specific responsibilities would include:

Overall project management:

- Manage the realization of project outputs through activities;
- Provide direction and guidance to project team(s)/ responsible party(ies);
- Liaise with the Project Board or its appointed Project Assurance roles to assure the overall direction and integrity of the project;

- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Liaise with any suppliers; and
- May also perform Team Manager and Project Support roles.

Running a project

- Plan the activities of the project and monitor progress against the initial quality criteria.
- Mobilize goods and services to initiative activities, including drafting TORs and work specifications;
- Monitor events as determined in the Monitoring & Communication Plan, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP, using advance of funds, direct payments, or reimbursement using the FACE (Fund Authorization and Certificate of Expenditures) (where applicable);
- Monitor financial resources and accounting to ensure accuracy and reliability of financial reports;
- Manage and monitor the project risks as initially identified in the Project Document appraised by the LPAC, submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the Project Risks Log;
- Be responsible for managing issues and requests for change by maintaining an Issues Log;
- Prepare the Project Quarterly Progress Report (progress against planned activities, update on Risks and Issues, expenditures) and submit the report to the Project Board and Project Assurance;
- Prepare the Annual Review Report, and submit the report to the Project Board; and
- Based on the review, prepare the AWP for the following year, as well as Quarterly Plans if required (where projects are for more than one year).

Closing a Project

- Prepare Final Project Review Reports to be submitted to the Project Board;
- Identify follow-on actions and submit them for consideration to the Project Board;
- Manage the transfer of project deliverables, documents, files, equipment and materials to national beneficiaries; and
- Prepare final CDR/FACE for signature by UNDP and the Implementing Partner (where applicable).

V. Competencies

Corporate Competencies:

- Demonstrates commitment to UNDP's mission, vision and values.
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.

Functional Competencies:

Management and Leadership

- Good managerial and leading skills;
- Demonstrate strong coordination and organizational skills;
- Ability to work as part of a team, sharing information and coordinating efforts within the team;
- Consistently approaches work with energy and a positive and constructive attitude; and
- Excellent analytical and writing skills.

Communication

- Good communication skill both in writing and oral including networking and interpersonal skills; and
- Proven ability to persuade and influence others to cooperate.

Client Orientation

- Researches potential solutions to internal and external client needs and reports back in a timely, succinct and appropriate fashion;
- Organizes and prioritizes work schedule to meet client needs and deadlines;
- Establishes, builds and sustains effective relationships within the work unit and with internal and external clients;
- Proven ability to build strong relations with partners, clients for positive feedback; and
- Ability to undertake and apply gender analysis to ensure gender equitable solutions

Partnership

- Build, coordinate and advise on strategic and programmatic partnership; and
- Facilitate the engagement of major stakeholders or groups in environment and sustainable development decision making, their access to and sharing of information for effective compliance.

Communication and Outreach

Advise on the development and management of the Facility's communication strategy, outreach campaigns and activities to raise the Facility's profile at the national and international levels.

Professionalism

- Demonstrate professional competence and mastery of subject matter;
- Is conscientious and efficient in meeting commitments, observing deadlines and achieving results;
- Speaks and writes clearly and effectively and demonstrates openness in sharing information and keeping people informed; and
- Willing to undertake other assignments as provided by the Head of the Facility.

Leadership

- Proactive in developing strategies to accomplish objectives;
- Establishes and maintains relationships with a broad range of people to understand needs and gain support;
- Drives for change and improvements; and
- Provides leadership and takes responsibility for incorporating gender perspectives and ensuring the equal participation of women and men in all areas of work.

Judgment/Decision-making

- Identifies the key issues in a complex situation;
- Gathers relevant information before making a decision;
- Considers positive and negative impacts of decisions prior to making them;
- Proposes a course of action based on all available information; and
- Checks assumptions against facts.

VI. Recruitment Qualifications

Education:	- He/she will be required to possess post graduate skills in Political Sciences, Development Studies, Economics, Social Studies, IT or related fields.
Experience:	- He/she should have relevant experiences in project management and should have prior experiences in managing complex projects dealing with document management systems. - At least two (2) years' experience working in the Public Sector. - Experience in working with public institution and international organization would be an asset. - A sound knowledge and application of project management software programmes, tools and techniques are essential. - Knowledge of results based management techniques and their application - Ability to establish and manage a (PMO) Project Management Office as well as train personnel in the establishing, managing and operating of PMOs would be an asset. - Knowledge of the challenges involved in project implementation would be an asset.
Language Requirements:	- Excellent knowledge of English, both spoken and written.