



ANNUAL ADMINISTRATIVE REPORT 2019

Table of Contents

1.0 INTRODUCTION	1
2.0 VISION, MISSION, PHILOSOPHY AND THE STRATEGIC OBJECTIVES.....	1
3.0 ORGANIZATIONAL STRUCTURE.....	3
3.1 Organizational Profile	3
3.2 Corporate Structure.....	4
3.3 Services and Special Projects	7
3.4 Legislative Framework	8
3.5 Reporting Relationships.....	8
4.0 POLICIES AND DEVELOPMENT INITIATIVES.....	8
4.1 Short-Term Plans	8
4.2 Medium-Term Plans.....	9
4.3 Performance Objectives.....	9
5.0 FINANCIAL OPERATIONS	9
5.1 Budget Formulation	9
5.2 Expenditure and Income.....	10
5.3 Debt Policy	10
5.4 Investment Policy.....	10
5.5 Internal Audit	11
6.0 HUMAN RESOURCE	11
6.1 Structure	11
6.2 Category of Employees	11
6.3 Performance Assessment	11
6.4 Employee Support Services.....	12
7.0 PROCUREMENT PROCEDURES	12
8.0 PUBLIC AND COMMUNITY RELATIONS.....	12
8.1 Access to Services	12
8.2 Strategic Partnerships.....	13
ATTACHMENTS	



ANNUAL ADMINISTRATIVE REPORT 2019

1.0 INTRODUCTION

This report is provided in compliance with Section 66D of the Constitution of the Republic of Trinidad and Tobago. It covers the year fiscal 2019, i.e. from October 01, 2018 to September 30, 2019.

2.0 VISION, MISSION, PHILOSOPHY AND THE STRATEGIC OBJECTIVES

The Caribbean Industrial Research Institute's (CARIRI) Draft Strategic Plan for 2019 - 2023 identifies its vision as: "A catalyst for sustainable development efficiently delivering quality solutions, products and services through the use of innovation and technology."

Its mission is defined as: "To be a leading provider of client-focused innovation and technology-based solutions designed to foster socio-economic development while contributing to a healthy environment and an improved quality of life."

The core values of the Institute are:

1. We shall be a socially and environmentally responsible organization that contributes to sustainable national and regional development.
2. We shall apply the principles of confidentiality, transparency, accountability and integrity in our dealings with employees, suppliers, customers and other stakeholders.

3. We shall be innovative in delivering the highest level of quality and service excellence to our customers.
4. We shall provide value added solutions that demonstrate the highest level of excellence and service quality.
5. We shall take pride in our people and organization, empowering our employees, recognizing excellence, providing a safe and comfortable work environment that nurtures employee creativity and productivity and promotes respect and equity.
6. We shall promote and strive for efficiency in all our operations as we strive to be more productive and financially independent.

The broad strategic objectives established for the period 2019 - 2023 are:

1. To be more financially independent.
2. To develop a people centred environment that fosters productivity, teamwork and employee well-being.
3. To exceed customer expectations and develop long term relationships through customer service excellence.
4. To increase awareness of our expertise nationally and regionally while building brand loyalty through service excellence.

5. To strategically partner with our stakeholders to provide value added solutions.
6. To advance our operational efficiency and effectiveness through stakeholder alignment and process optimization.
7. To be a regional partner for social, economic and environmental sustainability through the promotion of environmental resource protection, empowerment of people and communities and support to governments and industries.
8. To become a more socially and environmentally conscious organization contributing to societal good and economic sustainability, locally and regionally through innovation and technology.

3.0 ORGANIZATIONAL STRUCTURE

3.1 Organizational Profile

CARIRI was established in 1970 through an Act of Parliament (Act No. 19 of 1971). It was an initiative of the Government of Trinidad and Tobago in collaboration with the United Nations Development Programme (UNDP) and the United Nations Industrial Development Organization (UNIDO). The objectives of the Institute, as defined in the Act, includes provision of technical and industrial services to public and private enterprises and engagement of industrial research programmes related to the needs of Trinidad and Tobago and the Caribbean. In essence, CARIRI was and continues to be a national institute with a regional mandate.

The Institute has evolved over the past fifty years to become one of the leading technological organizations in the region providing a mix of technical and business support services. It is recognized as a focal point for innovation and entrepreneurship and has focused on the development and growth of many enterprises across a range of sectors in Trinidad and Tobago. The Institute is recognized as a major player in the protection and conservation of the environment, providing a range of environmental monitoring and consultancy services.

The Institute operates from three (3) locations:

1. UWI Campus, St. Augustine
2. Trincity Industrial Estate, Macoya
3. Innovation Avenue, Freeport

The Institute has a staff complement of 163 inclusive of professional, technical, administrative and support staff. The Banking, Insurance and General Workers Union (BIGWU) is the recognized union for monthly paid staff.

3.2 Corporate Structure

The Institute is headed by a Board of Management with Members drawn from the private and public sectors, including the University of the West Indies. In 2019 there was no Board of Management.

There are four (4) Executive Manager positions:

1. Chief Executive Officer
2. Executive Manager - Corporate Services
3. Executive Manager - Engineering and Analytical Services
4. Executive Manager - Research, Development and Innovation

The positions of Executive Manager Engineering and Analytical Services and Executive Manager Research Development and Innovation have been vacant for close to five (5) years. Additionally the position of Chief Executive Officer became vacant in September of 2018.

The term of the Board of Management ended in March of 2016. It was determined that a new Board of Management could not be appointed until changes were made to the Act of Parliament that gave rise to CARIRI. The Act required persons from certain organizations (e.g. the Industrial Development Corporation) to be included in the Board of Management. These organizations no longer existed and it required an amendment to the Act to allow for the appointment of a Board of Management. Up to 2019 a new Board of Management was not appointed.

Therefore for 2019 CARIRI operated with one (1) Executive Manager, no Chief Executive Officer and no Board of Management.

In 2019 the Institute had ten (10) Departments that were engaged in revenue generating activities:

1. Analytical Chemistry
2. Effluent Management Services
3. Food and General Microbiology

4. Petroleum and Sustainable Energy Services
5. Biotechnology
6. Industrial Materials
7. Metallurgy
8. Indoor Air Quality
9. Air Quality Management Services
10. Environmental Microbiology

There were two (2) Departments that provided internal support services but also generated revenue through the provision of services to external customers. These were:

1. Calibration and Maintenance Services
2. Information and Communication Technology

Additionally the Institute has its Centre for Enterprise Development (CED) in Couva and a number of programmes and services are offered at this location, including:

1. Business Hatchery
2. Innovation Gap Analysis
3. Idea Advisory Services
4. Business Incubator
5. Technology Bays

The Departments that provide support services are:

1. Accounts

2. Procurement
3. Human Resource
4. Business Services
5. Marketing
6. Facilities Management
7. Health and Safety
8. Quality Management

3.3 Services and Special Projects

CARIRI provides a diverse set of services to a wide range of customers in the private and public sectors, including Government Ministries and Agencies. While its major market is Trinidad and Tobago, services are also provided to the public and private sectors in other CARICOM countries. CARIRI serves micro, small, medium, large and multinational organizations.

CARIRI received funding from the Inter American Development Bank to undertake a project entitled Bridging the Gap to Commercial Application of Innovation. The three (3) year project aims to encourage the innovation spirit of the national community. Two primary objectives of the project are:

1. To support individuals and firms in the development and monetization/commercialization of business opportunities.
2. To support local enterprises to apply innovation for increased competitiveness and sustainability.

3.4 Legislative Framework

The Institute's operations are guided by Act No. 19 of 1971. This Act provided for the Incorporation of the Caribbean Industrial Research Institute. The Act was deemed to have come into operation on January 01, 1970. The Act was amended on September 07, 1981 through Act No. 30 of 1981 cited as the Caribbean Industrial Research Institute (Amendment and Validation) Act 1981.

3.5 Reporting Relationship

The Institute reports to the Ministry of Planning and Development. In the absence of a Chief Executive Officer and a Board of Management, the most senior officer in the Institute, the Executive Manager - Corporate Services, report to the Permanent Secretary in the Ministry of Planning and Development.

4.0 POLICIES AND DEVELOPMENT INITIATIVES

4.1 Short Term Plans

The Institute is in discussions with the Ministry of Planning and Development in regard to amendments to the CARIRI Act to facilitate the appointment of a Board of Management. Once a Board of Management is appointed the Institute will be in a position to appoint a Chief Executive Officer and fill vacancies at the Executive level of the Institute. The Institute will also be in a position to develop its Strategic Plan that would identify the medium and long term activities and goals.

4.2 Medium Term Plans

The Institute has traditionally positioned itself as an internationally accredited laboratory with revenue from testing services being its primary source of income. While maintaining its position as the leading analytical laboratory in the region, CARIRI is rapidly diversifying its services to encompass innovation, entrepreneurship and ICT. This is taking place with the growth of the Centre for Enterprise Development at Freeport.

The Institute has been able to attract funding from international and local enterprises to assist in the promotion of these areas.

4.3 Performance Objectives

The Institute is striving to reduce dependence on Government for funding of its operations. This it aims to do through enhanced revenue earnings and improved cost management. The Institute will be diversifying the range of services and while testing services remain the cash cow, the Institute will look at related consultancy services.

5.0 FINANCIAL OPERATIONS

5.1 Budget Formulation

The Institute operates with a recurrent and a capital budget. Under the recurrent budget approximately 40 percent of expenses is covered through internally generated funds. Budgets are submitted to the Line

Ministry in March - April of each year and includes projections for at least two (2) years.

At the internal level each Department submits an annual operating plan, including revenue and expenditure estimates. This is used for review of operations.

5.2 Expenditure and Income

For fiscal 2019 (October 01, 2018 to September 30, 2019) the Institute earned revenue of TT\$19.27MN. It received TT\$28.0MN in Government subvention for recurrent expenditure. Its total expenditure was TT\$65.74 of which staff costs accounted for TT\$43.49MN. Staff costs accounted for TT\$43.49MN. The staff costs included a provision for retroactive payments of TT\$7.55MN. This is a result of an outstanding Collective Labour Agreement for that period.

5.3 Debt Policy

The CARIRI Act does not make provision for borrowing and the Institute does not have any debts.

5.4 Investment Policy

Any surplus funds that the Institute may have are held in call deposits or on its current account at commercial banks. Currently the Institute has call deposits and accounts at Republic Bank Limited and call deposits at Scotia Bank

The Institute's Pension Plan is managed by First Citizens Bank.

5.5 Internal Audit

The internal audit function at CARIRI is outsourced to a private firm, Sunil Budhu and Associates.

6.0 HUMAN RESOURCE

6.1 Structure

The Institute's Organizational Structure is shown in Attachment I. The positions of CEO, Research Development and Innovation Manager, Analytical and Engineering Services Manager and Change Manager are vacant. Additionally there is no Board of Management.

6.2 Category of Employees

The category of employees is shown in Attachment II. There are both permanent workers (123) and contract staff (approximately 43). The Institute also hires Project Employees engaged for specific projects as may be necessary.

6.3 Performance Assessment

Performance assessments are done for staff on an annual basis. The assessments are done by the immediate supervisors and are to be completed no later than June 30 of each year. The Institute uses an

internally developed instrument, Performance Review and Improvement System.

6.4 Employee Support Services

All employees have access to support through the Employee Assistant Programme. The programme is administered by PEAPSL Consultancy Limited.

7.0 PROCUREMENT PROCEDURES

CARIRI has two (2) international accreditation / certification systems:

1. ISO 9001
2. ISO 17025

As a requirement of these systems the Institute develops Standard Operating Procedures (SOP) to guide its procurement process. A copy of the procedure is attached (Attachment III). The procedure conforms with the local requirements.

8.0 PUBLIC AND COMMUNITY RELATIONS

8.1 Access to Services

CARIRI's services are available to all organizations and individuals in Trinidad and Tobago and the Region. This includes government ministries and agencies, multinational and international organizations, public and private sectors entities, non-government organizations and individuals.

The majority of CARIRI's services are provided on a fee for service basis. Clients may access the services by visiting any of the three (3) locations, through telephone or website access or visiting CARIRI's booths when the Institute participates in exhibitions, trade fairs, etc.

While some services (e.g. indoor air quality assessments) are delivered on-site, most of the testing and analytical services are conducted at the Institute's laboratories.

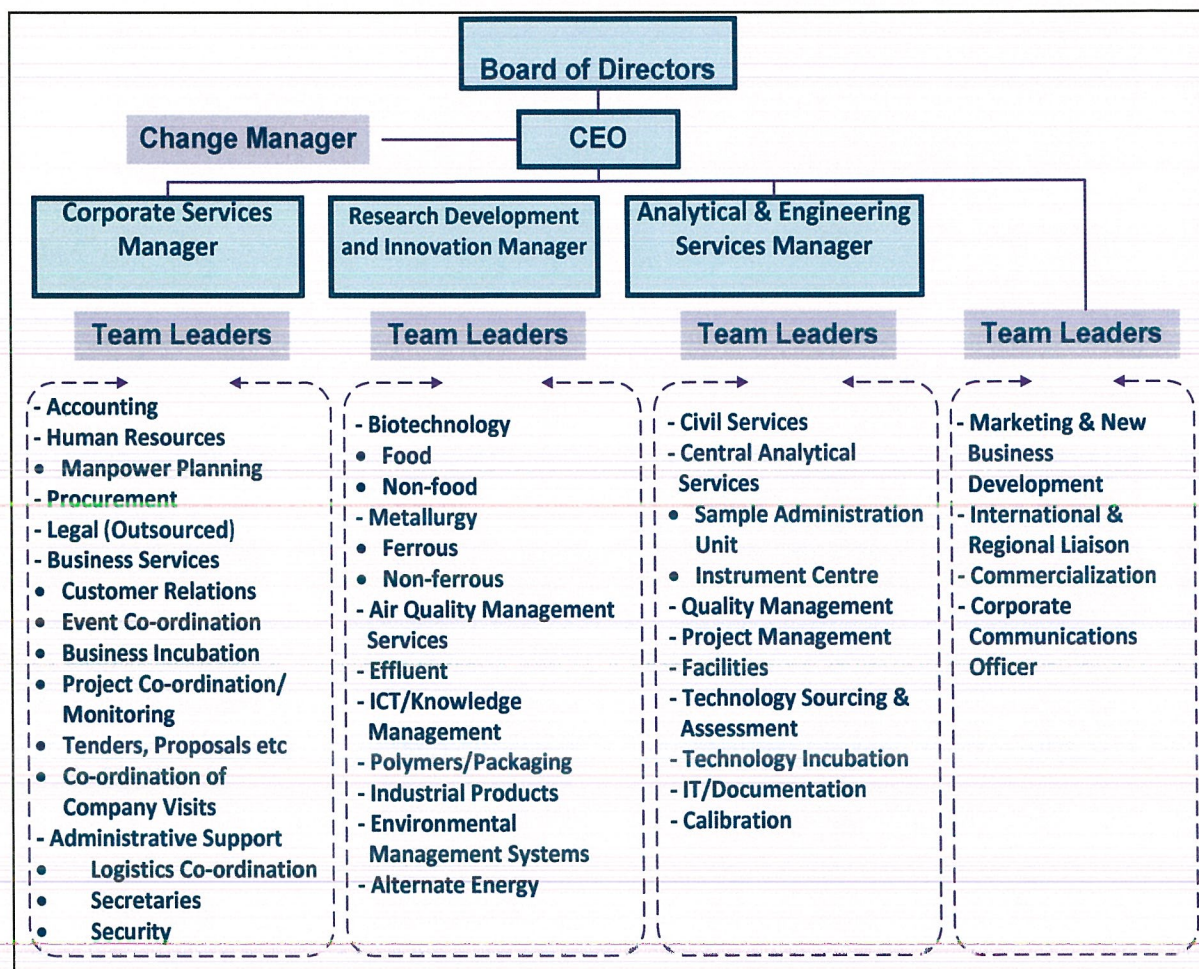
8.2 Strategic Partnerships

CARIRI has developed a number of formal and informal partnerships with local, regional and international stakeholders. This includes memoranda of understanding and contractual arrangements. The Institute is a founding member of the World Association of Industrial and Technological Organizations (WAITRO).

Key international stakeholders include the World Bank, the Inter-American Development Bank, the Caribbean Development Bank and the European Union.

ATTACHMENT I

ORGANISATIONAL STRUCTURE



ATTACHMENT II - JOB CLASSIFICATIONS

GRADES	POSITION
MANIPULATIVE	Messenger
	Driver
ADMIN TECH I	Technical Assistant 1
	Clerical Assistant/Typist I
	Receptionist/Telephone Operator
	Driver/Sampler I
ADMIN TECH II	Information Assistant
	Accounting Assistant I
	Craftsman I
	Driver Sampler II
	Printer I
	Technical Assistant II
	Clerical Assistant/Typist II
	Storekeeper
	Technician I
	Secretary I
ADMIN TECH III	Accounting Assistant II
	Printer II
	Technician II
	Marketing Assistant
	Secretary II
ADMIN TECH IV	Senior Accounting Assistant
	Senior Craftsman
	Procurement Officer
	Senior Secretary
	Administrative Assistant
ADMIN/TECH/PROFESSIONAL	Senior Technician
	Draughtsman
	Workshop Supervisor
	Technologist
	Research Assistant
	Management Trainee
	Information Officer
ADMIN/TECH/PROFESSIONAL I	Accounting Officer I, Analytical Chemist I
	Business Development Officer I
	Chemical Engineer I, Chemist I, Civil Engineer I

ATTACHMENT II - JOB CLASSIFICATIONS

GRADES	POSITION
	Documentalist I, Electrical Engineer I
	Environmental Engineer I, Environmental Specialist I
	Food Technologist I, Human Resource Officer I
	Marketing Specialist I, Material Scientist I
	Mechanical Engineer I, Metallurgist I
	Microbiologist I, Petroleum Chemist I
	Petroleum Engineer I, Physicist I
	Public Relations Officer, Researcher I
	Supervisor Facilities Maintenance
	Systems Analyst/Webmaster I
ADMIN/TECH/PROFESSIONAL II	Accounting Officer II, Analytical Chemist II
	Business Development Officer II
	Chemical Engineer II, Chemist II
	Civil Engineer II, Documentalist II, Electrical Engineer II
	Environmental Engineer II
	Environmental Specialist II, Food Technologist II
	Human Resource Officer II
	Marketing Specialist II, Material Scientist II
	Mechanical Engineer II, Metallurgist II
	Microbiologist II, Petroleum Chemist II
	Petroleum Engineer II, Physicist II
	Researcher II
SNR ADMIN/TECH/PROFESSIONAL	Snr. Accounting Officer
	Snr. Business Development Officer
	Snr. Chemical Engineer, Snr. Chemist
	Snr. Documentalist, Snr. Electrical Engineer
	Snr. Environmental Engineer, Snr. Environmental Specialist
	Snr. Food Technologist, Snr. Researcher
	Snr. Metallurgist, Snr. Mechanical Engineer
	Snr. Marketing Specialist, Snr. Civil Engineer
	Snr. Microbiologist, Snr. Material Scientist
	Snr. Analytical Chemist, Snr. Petroleum Chemist
	Snr. Petroleum Engineer, Snr. Physicist
	Snr. Human Resource Officer, Snr. Researcher
MANAGEMENT I	Principal Researcher
	Principal Consultant

ATTACHMENT III



**CONTROL OF EXTERNALLY PROVIDED
GOODS AND SERVICES**

DOCUMENT#:
CAR.SOP.13

**STANDARD OPERATING PROCEDURE
FOR THE
CONTROL OF EXTERNALLY
PROVIDED GOODS AND SERVICES**

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE

Authorised by: Executive Management

[illegible]



CONTROL OF EXTERNALLY PROVIDED GOODS AND SERVICES

DOCUMENT#:
CAR.SOP.13

1.0 PURPOSE

The purpose of this procedure is to ensure that the control of externally provided goods and services are carried out in an efficient, effective and consistent manner, inclusive of receipt.

2.0 SCOPE

This procedure covers the procurement, receipt, inspection and acceptance of externally provided goods and services, as well as ensuring the health, safety and environment of employees.

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE

3.0 RESPONSIBILITIES:

- 3.1 The Executive Manager, Corporate Services has overall responsibility for ensuring that this procedure is followed.
- 3.2 Executive Management has responsibility for coordinating the temporary acquisition of goods including liaising with relevant Section Heads and lenders.
- 3.3 The Section Head, Procurement is responsible for maintaining the Approved Vendors (External Providers) List as well as carrying out the procurement function as outlined in this procedure. As well as liaising with CARIRI Management to ensure that this process is fulfilled efficiently.
- 3.4 Section Heads are responsible for:
 - Ensuring that adequate lead time is given to accommodate good procurement procedures.
 - Adequately planning purchasing needs so that 'rush' orders are minimal.
 - Notifying the Head of Procurement or his designate of damages or errors upon receipt and inspection of supplies or equipment.
 - The receipt and verification of equipment procured for their sections.
 - Inspection of items to be borrowed by the organisation, ensuring that they are fit for use, meet all requirements and are returned in good condition (where applicable). They are also responsible for liaising with Executive Management on this topic.



CONTROL OF EXTERNALLY PROVIDED GOODS AND SERVICES

DOCUMENT#:
CAR.SOP.13

3.5 The Storekeeper is responsible for the receipt and processing of all delivery notes for items procured by the Institute.

3.6 Section Head, Facilities Maintenance is responsible for the receipt, verification, disbursement of items, and maintenance of stock levels as it pertains to janitorial supplies.

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE

4.0 REFERENCES

- 4.1 ISO 9001:2015 Section 8.4 - Externally Provided Processes, Products and Services
- 4.2 Business Process Manual Section 8 - Core Processes
- 4.3 Public Procurement and Disposal of Public Property Act

5.0 DEFINITIONS

- 5.1 **Procurement** - All processes that pertain to the obtaining of any goods and services including identification of the Institute's needs, selection and solicitation of external providers, preparation and award of contracts, receipt of goods and/or administration of contracted services.
- 5.2 **Emergency Purchases** - Purchases which occur where there is a natural disaster or industrial disaster and /or the safety of people, and/or property, and/or plant, and/or equipment and/or community and/or environment are in jeopardy such that it requires immediate action.
- 5.3 **External Provider** - A supplier or potential supplier of products or services to CARIRI. The term can be used interchangeably with the word Vendor.
- 5.4 **Loan** - A temporary acquisition of goods and services from a provider external to the Institute that does not include a fee. Where a fee is quoted, the procurement process is implemented.



CONTROL OF EXTERNALLY PROVIDED GOODS AND SERVICES

DOCUMENT#:
CAR.SOP.13

6.0 PROCEDURE

Inputs

- Purchase Requisition
- Equipment Procurement Specification Sheet
- Request for Purchase of Equipment

Output

- Receipt of goods and services which conform to the specification of the requisitioner

A. PROCUREMENT

Process Steps

General Goods and Services

1. Any employee can initiate a purchase by completing a Purchase Requisition Form (**PROC.F.01**). This form is submitted to the relevant Section Head.

Note: For equipment purchases estimated over **TT\$25,000.00**, a Change Request Form (**CAR.F.05**) is completed along with the Request for Purchase of Equipment Form (**PROC.F.05**) and submitted to Quality Services. Once the equipment purchase is approved, the Purchase Requisition and an Equipment Procurement Specification Sheet (**PROC.F.07**) must be completed.

2. The Section Head verifies the need for the item(s) and/or services(s) and ensures that the specifications are clearly detailed.
3. If the Section Head does not agree with the requisition, he or she writes an appropriate comment on the form and returns a copy to the employee who initiated the requisition.
4. The Section Head assigns a unique Requisition number to the request, which is sent to Procurement Department for processing. A register of requisitions is maintained by each Section.
5. The Head of Procurement verifies the purchase requisition which is then passed to Executive Management for approval and returned to Procurement. If rejected, the Section Head is so advised.

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE



CONTROL OF EXTERNALLY PROVIDED GOODS AND SERVICES

DOCUMENT#:
CAR.SOP.13

6. A purchase order number is then assigned. One copy of the purchase requisition is sent to the Section Head, one copy to the Accounts Department and the third copy is kept in the Procurement Department for processing and follow-up. A vendor is selected via the Selection Process outlined in Appendix I – “External Provider Selection Process”.
7. A purchase order is prepared, sent to the Section Head for verification and returned to Procurement who then sends it for final approval. The approved purchase order is then dispatched.
8. Single sourcing is allowed for purchases where there is only one supplier.
9. If the purchase is a ‘cash-with order’, then the Purchase Order is sent to the external provider with an accompanying cheque.

Emergency Purchases

1. In the event of an emergency and in the absence of Executive Management, the most Senior Company Official on duty may authorise the purchase of goods and/or services necessary to avert danger or to bring the situation under control.
2. Within two working days of the termination of the emergency, a purchase requisition with an attached memo is sent to the Procurement Department who forwards it to Executive Management for ratification. Such application /memo shall include, but is not limited, to a statement of the emergency circumstances, Company’s (cost) estimate, actual cost, and reasons why the External provider was chosen.

Publications

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE

The Section Head or designate must first check with Quality Services Department to ensure that the item to be requested is not already held by CARIRI before preparing a Purchase Requisition. All purchased publications (including internet downloads) are forwarded to the Quality Services Department to be controlled.



CONTROL OF EXTERNALLY PROVIDED GOODS AND SERVICES

DOCUMENT#:
CAR.SOP.13

Internet Purchases/Other Online Publications

1. Purchase requisitions are prepared and processed as for other goods and services.
2. After the Purchase Order is approved, it is forwarded to the Accounts Department who then places the order. Any downloads are forwarded to the relevant department.
3. The Purchase Order is then returned to the Procurement Department for dispatch. The external provider's copy of the Purchase Order is not sent to the external provider but is retained by the Accounts Department.

Temporary Acquisition of External Provider's Property

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE

1. The relevant Section Head informs an Executive Manager of the need for the temporary acquisition of goods and services.
2. The appropriate forms (Acquisition Consumable [CAR.F.19] or Acquisition Non-consumable Form [CAR.F.20]) are completed and assigned a code by the Section Head ("A-XXX-n" where "XXX" is an abbreviation for the Section borrowing the item and "n" is a number assigned sequentially) and submitted to the Executive Manager.
3. The completed application form is reviewed by the relevant signatories for approval as per Appendix II – "Signing Authority".
4. If approval is granted, the form is forwarded to the Section Head, Procurement who coordinates with the relevant Section Head and external provider to determine whether the item under consideration can be acquired for CARIRI's use, and if so, the relevant stipulations and other details are obtained. Once the loan is possible, arrangements are made for use of the property.
5. When the property is received/ collected, it is inspected by the requester, and if found suitable for use, then all information pertinent to the property (e.g. MSDS, calibration, operation manuals/instructions, etc.) is recorded on the appropriate form. If the property is not suitable for use, then it is not accepted and Executive Management is informed and arrangements made for its return, where applicable. Where possible, another external provider is sought.



CONTROL OF EXTERNALLY PROVIDED GOODS AND SERVICES

DOCUMENT#:
CAR.SOP.13

6. On acceptance of the item, the external provider completes the Acquisition form. The form, as well as any delivery records presented by the external provider is retained. A copy of the Acquisition form is provided to the external provider.
7. At the end of the loan period, the property is returned/ replaced (where applicable) to the external provider. The details of the item returned are recorded on the relevant Acquisition Form.
8. If the property cannot be returned/ replaced in the stipulated time frame, or if the property cannot be returned in an acceptable manner, the information is documented on the Acquisition Form and the Section Head, Procurement and Executive Manager are informed by the relevant Section Head.
9. A discussion is held between the external provider, the relevant Section Head and Executive Management to resolve the issues and a proposed resolution and deadline is agreed upon and recorded on the Acquisition Form.
10. An acquisition is considered closed by the Executive Manager when:
 - a. the property is returned in acceptable condition, properly disposed of, or a suitable replacement is handed over; and/or
 - b. payment for all applicable repair, replacement or other costs due is made.
11. The form is then lodged with the Business Services Unit.

B. RECEIPT, INSPECTION AND CONTROL OF GOODS AND EQUIPMENT

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE

1. The Head of Procurement co ordinates the receipt of goods with Stores and receipt of services with the Section Head.
2. Supplies or equipment are usually received by Stores unless delivered directly to another section of CARIRI.
3. On delivery of supplies or equipment to CARIRI, the Storekeeper verifies the items against the details of the Purchase Order. If necessary, the relevant Section Head is contacted to inspect the item(s) received together with the Storekeeper.
4. If items are delivered directly to another section of CARIRI, the relevant Section Head inspects the item(s), completes the delivery slip and forwards it to the Storekeeper within three (3) working days for verification.



CONTROL OF EXTERNALLY PROVIDED GOODS AND SERVICES

DOCUMENT#:
CAR.SOP.13

5. Once the delivered items are acceptable, both the Storekeeper and the relevant Section Head sign and date the delivery documentation. If only partial acceptance is possible an appropriate note is made on both the delivery note and purchase order.
6. If items are not acceptable, the supplier is informed. If the item cannot be immediately returned, it is tagged to indicate that it is not acceptable and segregated pending return to the external provider.
7. Where invoices are received, the Storekeeper signs the relevant invoices, indicating what has been received, and passes the invoices to the Procurement Department for checking and verifying that payment may be made.
8. Once items are accepted, the Storekeeper sends a copy of the delivery note and/or invoice to the relevant Section Head and the Accounts Department. The original delivery note filed in Stores,
9. If the items received are for Stores, then the Storekeeper ensures the stock quantity records are updated.
10. If the items received are not for Stores and are to be sent to another Department, the delivery note and/or invoice is signed by the Section Head and forwarded to Stores within three days.
11. When standard stock items are issued from Stores, the person receiving the items signs next to the items on a Request for Laboratory Consumables Form (**PROC.F.02**) kept in the Stores. In the case of stationery, a Stationery Requisition Form (**PROC.F.03**) is completed and forwarded for authorisation by the Section Head. The Storekeeper issues the items on receipt of the approved form. The person receiving the items signs for receipt.
12. The stock records are subsequently updated by the Storekeeper.
13. Items kept in Stores are kept in marked locations and protected from contamination or deterioration. The Storekeeper maintains a computerized Stock List which indicates the quantities and locations of items in stock.
14. The Storekeeper uses a first in first out (FIFO) method of stock movement, and through periodic inspections ensures that items do not remain in Stores if they have passed their shelf-life. Any such items are immediately tagged and segregated and disposed of after the approval of the Disposal Committee has been obtained.

7.0 RELATED DOCUMENTED INFORMATION

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE



**CONTROL OF EXTERNALLY PROVIDED
GOODS AND SERVICES**

DOCUMENT#:
CAR.SOP.13

- 7.1. Purchase Requisition Form (**PROC.F.01**)
- 7.2. Request for Laboratory Consumables (**PROC.F.02**)
- 7.3. Stationery Request (**PROC.F.03**)
- 7.4. Request for Purchase of Equipment (**PROC.F.05**)
- 7.5. Equipment Specification Sheet (**PROC.F.07**)
- 7.6. Purchase Order Form (**CAR/ADM/PO/2007-06-11/012**)
- 7.7. Acquisition Form- Consumables (**CAR.F.19**)
- 7.8. Acquisition Form - Non-Consumables (**CAR.F.20**)
- 7.9. Outsourcing and Purchasing (**CAR.HSE.WI.02**)

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE

Note: All forms can be found on the All Staff Drive (J:\FORMS\Procurement/General Forms)



**CONTROL OF EXTERNALLY PROVIDED
GOODS AND SERVICES**

DOCUMENT#:
CAR.SOP.13

APPENDIX I

External Provider Selection Process

(A) Purchases up to TT\$1,000

Single sourcing is acceptable in this category if external providers are selected from the Approved Vendors (External Providers) List or if the item has only one known external provider. Purchase Orders up to TT\$1,000.00 shall be signed by two authorised signatories.

(B) Purchases greater than TT\$1,000 and up to TT\$5,000

“ Prices are obtained from a minimum of three external providers. The quotations are evaluated by the Section Head, Procurement or designate and sent to Management for approval. Once the Purchase Requisition with the recommended supplier is approved, a Purchase Order is processed and approved by two authorised signatories.

(C) Purchases greater than TT\$5,000 and up to TT\$50,000

- i. The Section Head, Procurement invites at least three external providers from the Approved Vendors (External Providers) List to submit quotations based on a prepared specification sheet or scope of work.
- ii. Depending on the nature and complexity of the items being procured, the Head of Procurement may evaluate the bids, or have the bids evaluated by an individual specialist or by the Evaluation Committee.
- iii. Evaluations are based on the following minimum criteria:
 - Price
 - Past Performance
 - Availability of spares
 - After sale service
 - Supplier’s history
 - Manufacturer’s reputation
 - Delivery time
 - Payment terms

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE

	CONTROL OF EXTERNALLY PROVIDED GOODS AND SERVICES	DOCUMENT#: CAR.SOP.13
---	--	---------------------------------

- Conformance to specifications

Competency (where applicable)

(D) Purchases greater than TT\$50,000 and up to TT\$100,000

- i. At the request of Executive Management, tenders may be invited for purchases greater than TT\$50,000 and up to TT\$100,000. The Head of Procurement prepares a tender document package including:
 - Specification Sheet or Scope of Work;
 - Tender Submission Form;
 - Instruction to tenders for submission of sealed bids;
 - Closing date and time;
 - Conditions of Contract;
 - Other supporting documents
- ii. If advertising in the press is required, the Section Head, Procurement prepares a suitable advertisement, which is approved by the Chief Executive Officer or their designate.
- iii. This advertisement invites interested parties to submit Letters of Interest to CARIRI. If an interested party is not already an approved external provider, then they must be registered and assessed in accordance with the procedure (**CAR.SOP.18**) Assessment of Vendors (External Providers), to determine if they will be accepted as an approved external provider. Approved external providers are then invited to tender based on the Tender Package
- iv. Tenders are received and opened by the Section Head, Procurement and the Accountant. It is then forwarded for further evaluation by the Requisitioner and the Evaluation Committee. Purchase Orders and Contract awards in relation to tenders must be approved by the Chief Executive Officer or their designate.
- v. The successful external provider may be given a Contract with CARIRI in addition to a purchase order for the supply of goods and services specified.

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE



**CONTROL OF EXTERNALLY PROVIDED
GOODS AND SERVICES**

DOCUMENT#:
CAR.SOP.13

- vi. It should be noted that in all categories of purchase, prior to requesting quotations or tenders the approval of the Chief Executive Officer or their designate must be sought for single sourcing.

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE



**CONTROL OF EXTERNALLY PROVIDED
GOODS AND SERVICES**

DOCUMENT#:
CAR.SOP.13

(E) Purchases above TT\$100,000

The procedures as described under item (C) and (D) are followed. Except, in this category, Tenders shall be invited.

NOTE - For instances where Tenders are required, The Head of Procurement or individual specialist or Evaluation Committee writes a report on the evaluation including a justification for the external provider recommended. This report is attached to the Purchase Requisition and forwarded for approval. Once approved, a Purchase Order is prepared and the procurement is carried out.

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE



CONTROL OF EXTERNALLY PROVIDED GOODS AND SERVICES

DOCUMENT#:
CAR.SOP.13

APPENDIX II

Signing Authority for Borrowing Items

Consumables:

Replacement Values

≤ TT\$1,000 (up to a maximum accumulated replacement value of TT\$10,000 for Open Loans)

1 Signatory - Lab Manager / Section Head

Accumulated replacement value for Open Loans

> TT\$10,000

2 Signatories as per Other Items below

Other Items:

Replacement Values

≤ TT\$25,000

2 Signatories one of whom must be Executive Management

TT\$25,001 - TT\$999,999

2 A Signatories both must be Executive Management

≥ TT\$1,000,000

2 A Signatories both must be Executive Management

SAMPLE COPY
NOT AUTHORIZED FOR UPDATE

Signatory Categories

A1 signatories - Chairman, Deputy Chairman, Member of the Board of Management, CEO,
Executive Managers

A2 signatories - Executive Managers

B signatories - Management I and Concessionary Contract Signatories