Government of the Republic of Trinidad and Tobago

Office of the Integrity Commission

The Integrity Commission
OF TRINIDAD AND TOBAGO

REQUEST FOR PROPOSALS

RFP Ref #: **RFP/002/03/04/25**

RFP Date: **Thursday 03 April, 2025**

DESIGN SUPPLY AND IMPLEMENTATION OF A CASE MANAGEMENT SYSTEM (CMS) SOLUTION AND RELATED SERVICES

Opening Date of Tender:	– **03 April, 2025**
Closing date for Clarifications:	– **17 April, 2025 (4:00 P.M.)**
Closing date for Responses to clarifications:	– **02 May, 2025 (4:00 P.M.)**
Closing Date for Submission:	– **16 May, 2025 (4:00 P.M.)**

Closing Date for Submission Deadline Extended: – **29 May, 2025 (4:00 P.M.)**

Closing Date for Submission Deadline **Further** Extended: **– 13 June, 2025 (4:00 P.M.)**

THE OFFICE OF THE INTEGRITY COMMISSION OF TRINIDAD AND TOBAGO

TABLE OF CONTENTS

Contents

Part A: Letter of Invitation

Our ref: **RFP/002/03/04/25**
April 04, 2025

Dear Sir/Madam

Re: **RFP/002/03/04/25**

Design Supply and Implementation of a Case Management System (CMS) Solution and Related Services

Reference is made to the captioned matter.

The Office of The Integrity Commission of Trinidad and Tobago, (hereinafter referred to as "the Commission") hereby invites Proposals for the Design, Supply and Implementation of a Case Management System (CMS) Solution and Services related to implementing such a Solution.

A copy of the **Request for Proposal** ("RFP") is attached to this Letter for your careful review and consideration in preparation for submission of your Proposal.

A. Acknowledgement of Invitation and Intent to Offer a Proposal/Bid
Proponents are asked to email their acknowledgment to this RFP using the *RFP Acknowledgement Form (Appendix I)* to procurement@integritycommission.org.tt by **Friday 13th June, 2025 4:00 p.m. (AST)**.

B. Submission of Proposal

a. Organization of Bids / Proposal

Bids shall be submitted using a two (2) envelope/file system, in separate sealed envelopes:

1. One (1) envelope/file containing the Bidder's **Technical** Proposal.
   a. **AND** One (1) USB Flash Drive containing a signed and OCR'd or searchable copy of the Bidder's **Technical** Proposal within this envelope.
2. One (1) envelope/file containing the **Financial** Proposal.
   a. **AND** One (1) USB Flash Drive containing a signed and OCR'd or searchable copy of the Bidder's **Financial** Proposal within this envelope.

The original signed hard-copy version of the bid must be submitted,
No later than Friday 13 June, 2025, at 4:00 P.M.
These envelopes must be **hand-delivered** to the receptionist in the lobby of the Commission's head office located at **Tower D, Level 14, International Waterfront Centre, 1A Wrightson Road, Port of Spain, Trinidad.**

Envelope Labelling:

Technical Proposal

Design and Implementation of a Case Management System and Related Services for the Office of the Integrity Commission, Government of the Republic of Trinidad and Tobago

Financial Proposal

Design and Implementation of a Case Management System and Related Services for the Office of the Integrity Commission, Government of the Republic of Trinidad and Tobago

The sealed envelopes should be labelled "TECHNICAL PROPOSAL", "FINANCIAL PROPOSAL", "ORIGINAL" or "COPY", as appropriate and clearly labelled to the back of EACH envelope with:

[NAME OF PROPOSER]
[ADDRESS]
[CONTACT PHONE NUMBERS]

Please note the names and addresses of vendors must be printed on the envelopes and addressed:

The Registrar
Integrity Commission
Tower D, Level 14, International Waterfront Centre, 1A Wrightson Road,
Port of Spain, Trinidad.

In case of any discrepancy between the copies of the proposals (digital and/or paper), the original hard copy version will govern. The original hard copy version of the proposal **must** be prepared in indelible ink and **must** be stamped and signed by the authorized representative of the organization.

A Proponent requiring clarification of the contents of these RFP Documents must notify The Commission in writing by email to the following email address procurement@integritycommission.org.tt

The Proponent's requests for clarifications must be titled "**QUERY – REQUEST FOR CLARIFICATION** (RFP NUMBER: **RFP/002/03/04/25**". The request must be specific, must refer to the project title, specific section and clause and must be sequentially numbered. Inquiries must be received by no later than **Thursday 17 April, 2025** (**4:00 P.M.**).

The Commission does not bind itself to accept the lowest cost or any proposal. The Commission further reserves the right to award any contract under this RFP in phases, with the option to re-tender for subsequent phases.

Registrar
Integrity Commission

Checklist of Documents to Accompany the Proposal

Proponents are to place a tick in the checkbox for each item that is included in the Proposals

- [ ] Title Page
- [ ] Table of Contents
- [ ] Letter of Transmittal
- [ ] Company Profile
- [ ] Form 1A: Technical Proposal Form
- [ ] Form 2A: Work Experience
- [ ] Form 3A: Comments on the TOR
- [ ] Form 4A: Methodology and Workplan
- [ ] Form 5A: Team Composition
- [ ] Form 6A: Curriculum Vitae
- [ ] Form 7A: Proposed Project Plan / Time Schedule
- [ ] Form 8A: Proponent's Declaration Form
- [ ] Form 9A: Confidentiality Agreement
- [ ] Form 10A: Sample Banker's Reference Letter
- [ ] Appendix I RFP Acknowledgement Form
- [ ] Appendix II Client Reference Form
- [ ] Appendix III - Solution High-Level Requirements / Specification – Assessment
- [ ] Qualification Certificates
- [ ] Certification of Incorporation / Continuance / Registration
- [ ] Return of Beneficial Interest Form
- [ ] Valid Income Tax Clearance Certificate
- [ ] Valid Value Added Tax Clearance Certificate
- [ ] Valid National Insurance Board Compliance Certificate
- [ ] Sample Letter of Engagement/Service Level Agreement
- [ ] OSH Documents
- [ ] Evidence of Insurance (e.g. Professional Indemnity)
- [ ] Form 1B: Financial Proposal Submission Form
- [ ] Form 2B: Price Schedule
- [ ] Form 3B: Breakdown of price per phase / activity.
- [ ] Form 4B: Breakdown of remuneration per phase / activity.
- [ ] Form 5B: Reimbursable and Miscellaneous Expenses.

Part B: Instruction to Proponents

1. INTRODUCTION

The Commission is seeking to engage a suitably qualified Firm with which it can enter into a contract for the **Design Supply and Implementation of a Case Management System (CMS) Solution and Related Services**.

Proponents are hereby invited to submit **a Technical Proposal** and **a Financial Proposal in separate sealed envelopes.** The Proposals will form the basis for contract negotiations and ultimately for a signed contract.

Proponents are responsible for examining with care all the documents and information provided in this Request for Proposal (RFP) and will also be responsible for informing themselves of all relevant conditions, which may in any way affect their Proposal.

All costs incurred by the Proposer associated with preparation of Responses and/or participation in this RFP are entirely the responsibility of the proposer and shall not be chargeable in any manner to The Commission.

2. PROPONENTS' REPRESENTATIVE

Proponents must advise The Commission's representative of the name, business address, telephone number and email address of the individual who is designated as the Proponent's representative for the purpose of this RFP.

3. CONFLICT OF INTEREST

Proponent shall not have a conflict of interest. Proponent shall hold The Commission's interest paramount, without any consideration for future work, and strictly avoid conflicts with other assignments or their own corporate interests. Proponent shall not qualify for any assignment that would be in conflict with their prior or current obligations to other clients, or that may place them in a position of not being able to carry out the assignment in the best interests of The Commission.

Any Proponent who is found to have a conflict of interest with one or more parties in this RFP process shall be disqualified. A Proponent may be considered to have a conflict of interest with one or more parties in this RFP process if:

a) It has, directly or indirectly, controlling shareholders or partners in common; or
b) Its legal representatives are the same as or have a common party in their executive boards or management, or when the decision- making quorum of their shareholders at assemblies or meetings belongs directly or indirectly to the same natural persons or entities; or
c) It has a relationship, directly or through common third parties, that puts it in a position where they have access to information or can influence other Proposals or the decision of The Commission regarding this RFP process; or
d) It submits more than one (1) application for this RFP process.
e) It has participated directly or indirectly, in any capacity, in the preparation of the design, feasibility studies, terms of reference, or technical specifications of the works or related services that are the subject of this RFP process.

In particular, any effort by Proponents to influence The Commission in the process of examination, clarification, evaluation and comparison of Proposals will result in the rejection of the respective Proponent's bid.

In addition, proposals may be rejected if:

i. The Proponent fails to provide the relevant documents requested in this RFP which supports its ability to successfully complete the services specified herein.

ii. The Proponent has pending litigation which may adversely affect its ability to provide the services contained in this RFP.

4. WAIVER AND ALLOCATION OF RISK

The Proponent acknowledges and agrees that it is solely responsible for obtaining its own financial, legal, accounting, engineering, and other advice with respect to the contents of this RFP or any such information as is described in this paragraph. The Proponent who submits a Proposal to The Commission is deemed to have released The Commission from, and waived any action, cause of action, claim, liability, demand, loss, damage, cost or expense, of every kind, in any way connected or arising out of the contents of this RFP or any such information as is described in this paragraph.

A Proponent who submits a Proposal is deemed to have agreed that it is solely responsible for and liable to ensure that it has obtained and considered all information necessary to enable it to understand the requirements of this RFP, and of the project, and to prepare and submit its Proposal.

5. CONFIDENTIALITY

All information supplied by The Commission in connection with this Request for Proposal shall be treated as confidential by the Proponent save for such information that may be disclosed so far as necessary for the purpose of obtaining sureties, guarantees and quotations necessary for the preparation and submissions of the Proposals.

All information supplied by Proponents in response to this Request for Proposal shall be treated as confidential by The Commission, unless disclosure is required by law.

6. MODIFICATION AND WITHDRAWAL OF BIDS

Proponents may modify or withdraw their Proposals after submission provided that the modification or notice of withdrawal is received in writing by The Commission prior to the prescribed deadline for the submission of Proposals.

7. CHANGE TO PROPOSAL DOCUMENTS

Any clarification or change to these Proposal Documents, prior to the Closing date specified herein will be made only by written addenda issued by The Commission to each potential Proponent collecting these Proposal documents as at the date the clarification or change was made.

The Commission will not be held responsible for any interpretations made by Proponents as a result of information received by any means other than by written addenda.

Each addendum, when issued, is to become a part of these Proposal Documents and each Proponent is required to acknowledge receipt of all addenda to The Commission by email to procurement@integritycommission.org.tt .

8. CANCELLATION OF THE RFP PROCESS

The Commission reserves the right to cancel the RFP process in its entirety or even partially for any reason without defraying any costs incurred by any company/firm/joint venture/partnership/consortium. Notice of such cancellation will be communicated to all participating firms.

9. BID REJECTION

Notwithstanding anything to the contrary which may be contained or implied in this RFP, The Commission does not bind itself to accept the lowest Proposal and further reserves the right to reject any and all parts of any and all Proposals. The Commission reserves the right to reject any Proposal which is judged to be in violation of the spirit and intent of this RFP.

10. EVALUATION OF PROPOSALS

Proposals received shall be subjected to a combination of pass/fail or yes/no and weighted evaluation criteria.

The evaluation of Proposals will be conducted in the following stages:

A. PRELIMINARY EXAMINATION

Proposals that are received will be reviewed to ensure that all documents and information requested in the RFP documents are included in the submission. At this point, incomplete submissions may be deemed non-responsive to the requirements outlined in the RFP and will not be considered further.

The Proposals will be examined, on a **yes or no** or **pass or fail** basis to ensure that the mandatory minimum criteria outlined in **(Part C: Terms of Reference, Section 10 - MINIMUM QUALIFICATIONS OF THE PROPONENT)** have been met. Proposals that are deemed substantially non-responsive and/or that fail to meet the minimum mandatory criteria contained therein shall not be further considered.

B. EVALUATION OF TECHNICAL SPECIFICATIONS

Each submission deemed substantially responsive during the preliminary examination stage and that meets the mandatory minimum criteria shall be subjected to a technical evaluation to ensure that the proposed **Case Management System (CMS) Solution and Related Services** meets the requirements outlined in the RFP documents. The technical evaluation shall be conducted based on:

- **Part C: Terms of Reference**, Sections:
  - **3 - SCOPE OF SERVICES**
    - PHASE 1 – Planning
    - PHASE 2 – Procurement
    - PHASE 3 – Implementation
    - PHASE 4 – Project Close-Up / Sign-Off
    - PHASE 5 – Post-Implementation Warranty Period
    - PHASE 6 – Post-Implementation Support Agreement / Period

- **4 - FUNCTIONAL EXPECTATIONS OF THE FINAL SOLUTION**
- **5 - REQUIREMENTS SPECIFICATION**
- **7 - TECHNICAL DETAILS OF THE REQUIREMENTS**

C. QUALIFICATIONS EVALUATION CRITERIA

Proposals that are deemed successful following the evaluation of technical specifications stage will be evaluated against the following pre-determined evaluation criteria and scoring system.

Proponents are required to achieve a minimum score of not less than:

- 60% of the points allocated for five (5) of the evaluation criterion, and
- 80% for the "Design Requirements of Solution/Proposed Solution" criteria, and
- 80% of the maximum score attainable, to be deemed technically qualified to be considered for the award of contract.

Table 1: Evaluation Criteria and Scoring System

No.	Qualification Criteria	Max Score	Min Score
1.	**Proven expertise in the field of Digital Transformation** as evidenced by its number of years' experience and projects completed of a similar nature and complexity: a) Firm's experience in provision / development of software: Proficiency in business process automation, encompassing digitization and the complete digitalization of intricate paper-based procedures involving various document kinds, organizational units and functions, and workflows involving external organizations (**5 Pts**) b) Proficiency in evaluating, creating, developing, and implementing essential business systems, such as ERP, CMS, EDRMS, HRIS, Collaboration, Web-Content Management, Business Intelligence and Data Management systems, and Customer Relationship Management (**8 Pts**) c) Proficiency in intricate organizational transformational change management (**6 Pts**) d) Proficiency in ICT infrastructure, information architecture, information governance, and related policies, plans, and procedures, including assessment, analysis, design, and development (**6 Pts**) e) Firm/Consultants' experience in Records Management (**5 Pts**) f) In the past five (5) years, at least three (3) comparable projects have been completed, at least one of which was in the public or government sector (**5 Pts**) g) Experience with purchasing, installation and support in the local (Trinidad) environment (**5 Pts**)	40	60%
2.	Methodology: a) Methodological approach to the assignment: o Per Phase of the Six (6) Phases within the **Scope of Services (5 pts * 6 = 30 pts)**	74	60%

No.	Qualification Criteria	Max Score	Min Score
	b) The work plan's thoroughness with regard to: risk assessment, planning, resources, deliverables, milestones, timing, implementation, the breadth and depth of transformation and change management activities, and coverage of technology components, testing, training, support and handover: o Per Phase of the Six (6) Phases within the **Scope of Services (5 pts * 6 = 30 pts)** c) Comprehension of the project's results, the organizational setting for its agenda for digital transformation, the risks, presumptions, dependencies, limitations, and compliance needs, etc. (**8 Pts**) d) Proposed project milestones and timelines **(6 pts)**		
3.	Qualifications and experience of the key personnel to be assigned to the contract: a) Resources and areas of experience allocated to the project (**6 Pts**) b) Extent of each person's training, credentials, and qualifications (**6 Pts**) c) Depth and duration of relevant experience (**8 Pts**)	20	60%
4.	Design Requirements of Solution/Proposed Solution: a) Vendor's ability to demonstrate how their system streamlines processes **(5 pts)** b) Vendor's ability to demonstrate cost savings and resource optimization (**5 pts**) c) Vendor's reporting and analytics capabilities (**5 pts**) d) Audit trail and accountability features (**5 pts**) e) Support for online forms, email, and hardcopy submissions **(5 pts)** f) Ability to track submissions, receive automated notifications, and access status updates (**5 pts**) g) Document upload, signing, text extraction, and net worth analysis (**5 pts**) h) Ability to generate on-Prem 'AI'-generated summaries of documents (**5 pts**) i) Case creation, tracking, and management capabilities (**5 pts**) j) Ability to define and automate workflows (**5 pts**) k) Data storage (Documents & Database), retrieval, document management, and version control (**5 pts**) l) Reporting, communication, and search functionalities (**5 pts**) m) Alignment with the specified system architecture and software components (**5 pts**) n) Response time, throughput, and scalability (**5 pts**) o) Integration capabilities, availability, and reliability (**5 pts**) p) Adherence to the specified deployment strategy and process (**5 pts**) q) Security architecture, access control, and data privacy (**5 pts**) r) Audit trail capabilities and usability (**5 pts**)	90	80%
5.	Financial Capacity of the Proponent	5	60%
6.	Client References (from three Clients)	15	60%
	Total	**244**	**80%**

D. EVALUATION OF FINANCIAL PROPOSALS

The Proposals of the Proponents that pass the qualifications evaluation stage having earned at least the minimum attainable score of:

- **60%** of the points allocated for five (5) of the evaluation criterion, and
- **80%** for the “Design Requirements of Solution/Proposed Solution” criteria, and
- **80%** of the maximum score attainable;

during the qualifications/technical evaluation, will be accepted for further evaluation.

In this two-envelope submission evaluation process, on completion of the qualifications/technical evaluation, the Commercial/Financial Proposal of proponents that passed that stage of the evaluation process will be opened and evaluated. The Commercial Proposals of the Proponents that do not pass the qualification evaluation stage will be returned unopened after the contract has been awarded.

The Commercial/Financial Proposal of all proponents that passed the qualification evaluation stage will be reviewed to ensure that all activities required in the scope of services were priced, and that there are no arithmetical errors in the Proponents’ Financial Proposals. In the event of discrepancies between words and figures, the written words will prevail. In the event of discrepancies between unit prices and total amounts, unit prices will prevail.

11. NEGOTIATION OF CONTRACT

The Commission reserves the right to enter into discussion, and as appropriate, negotiate with the top-ranked proponent to clarify, among other things, the scope of services and the deliverables of the assignment. The objective of the negotiations will be for The Commission to achieve best value for money. Should negotiations with the top-ranked Proponent fail, the discussions would be formally terminated. The Financial Proposal of the next ranked Proponent will be opened and evaluated. Negotiations will be conducted with the next ranked Proponent, and so on until the contract can be successfully negotiated.

12. AWARD OF CONTRACT

The contract will be executed following successful negotiations with the top-ranked, or subsequent Proponent, and the fulfilment of The Commission requirements for the creation of binding legal relations, including its internal approval process.

The successful Proponent and The Commission shall make every effort to execute the formal contract within fourteen (14) days from the date of the Letter of Award.

Unsuccessful Proponents will be so notified as soon as possible after the award of contract.

13. PROPOSAL REQUIREMENTS

All Proposals must be made in accordance with the instructions/specifications given herein. The Technical Proposal Forms and Financial Proposal Forms are to be completed, duly signed and/or notarised by the Proponent’s Authorised Representative and submitted in the appropriately labelled Proposal envelopes. Failure to submit all requested documentation may result in the Proposals not being considered for evaluation, or in Proponents failing to achieve maximum scores during the evaluation of Proposals.

A. Technical Qualification Proposal

The Technical Proposal shall contain the following Forms, duly completed and where applicable signed and notarised by the Proponent's Authorised Representative, and other documents required to provide evidence of the Proponent's qualifications and experience:

1) Form 1A: Technical Proposal Submission Form
2) Form 2A: Work Experience
3) Form 3A: Comments and Suggestions of Consultants on the Terms of Reference and on the Data, Services and Facilities to be Provided by The Commission
4) Form 4A: Description of the Methodology and Work Plan for Performing the Assignment
5) Form 5A: Team Composition and Task Assignments
6) Form 6A: Format of Curriculum Vitae (CV) for Proposed Key Professional to be assigned to the Project (Please complete as required. Do not complete with "See Attached Resume")
7) Qualification (academic, technical, training) certificates of proposed key staff
8) Form 7A: Proposed Project Plan / Time Schedule for completing the assignment
9) Form 8A: Proponent's Declaration Form
10) Form 9A: Confidentiality Agreement
11) Form 10A: Sample Banker's Reference Letter
12) Brief Company Profile
13) Certificate of Incorporation and (where applicable continuance) pursuant to the Companies Act 1995, as amended
14) Certificate of Registration
15) Copy of the completed Return of Beneficial Interest in the Shares of a Company Form (Form 45 of the Companies Act, Chapter 81:01 (Section 337C(6), 337D)) (where applicable)
16) Copy of Income Tax and Value Added Tax Clearance valid as at the deadline date for submission of proposals, or a letter of exemption from the Board of Inland Revenue
17) Copy of National Insurance Scheme Compliance Certificate valid as at the deadline date for submission of Proposals, or a letter of exemption from the National Insurance Board
18) Audited Financial Statements or Management Accounts signed by the Company's directors for the financial years **2022, 2023, and 2024**.
19) Statement of compliance with the OSH Act 2004 (as amended) in the form of OSH requirements and OSH Policy Statement, as applicable
20) Statement of compliance with the Minimum Wages Act 1998 and any amendments thereto. *Refer to Form 8A – Proponent's Declaration Form*
21) Disclosure of any or all criminal or civil matters that the Proponent has had for the past ten (10) years. *Refer to Form 8A – Proponent's Declaration Form*
22) Sample Letter of Engagement/Service Level Agreement
23) Any additional information the Proponent deems necessary.

B. Financial Proposal

The Proponent's Financial Proposal shall detail an estimate of fees for the services to be provided which will form the basis of a fixed contract price between the parties. Fees for any additional projects and/or services must be mutually agreed upon by the Proponent and The Commission prior to the commencement of any such project and/or services.

14. PREPARATION AND SUBMISSION OF PROPOSALS

The Proponent shall bear all costs associated with the preparation and submission of its Proposal and The Commission will in no way be responsible or liable for such costs, regardless of the conduct or the outcome of the evaluation process.

The Proposal submitted by Proponents and all correspondence and documents exchanged shall be written in the English Language.

The Proposal shall be signed by the Proponent or by his duly authorised representative. There shall be no erasures or correction fluid applied to the Proposal. All changes shall be "crossed off", corrected and initialled by the Proponent's duly authorised representatives.

Proposals should be as thorough and detailed as possible so that The Commission may properly evaluate the proposer's capabilities to provide the required services. **The Technical and Financial Proposals shall be submitted in separate, sealed envelopes.**

A. Technical Proposal Submission

Proposers are required to submit the following items as a complete Technical Proposal:

a) Title Page showing the RFP subject, the name of the Proposer's firm, local address, telephone number, the name of a contact person, and the date.
b) Table of Contents.
c) Letter of Transmittal.
d) Checklist of documents submitted in the Proposal.
e) The documents and completed forms listed in Section 13A: Qualifications Proposal, above.

B. Financial Proposal Submission

The forms listed below must be completed and submitted with the Proponent's Financial Proposal:

1) Form 1B: Financial Proposal Submission Form
2) Form 2B: Price Schedule
3) Form 3B: Breakdown of price per phase / activity
4) Form 4B: Breakdown of remuneration per phase / activity
5) Form 5B: Reimbursable and Miscellaneous Expenses

(The information provided in these forms will provide a detailed estimate of the provision of the services, and the Proponent's proposed payment terms.

15. SUBMISSIONS AND DUE DATE

The Proposer is required to submit:

1. One (1) envelope/file containing the Bidder's **Technical** Proposal.
    a. **AND** One (1) USB Flash Drive containing a signed and OCR'd or searchable copy of the Bidder's **Technical** Proposal within this envelope.
2. One (1) envelope/file containing the **Financial** Proposal.
    a. **AND** One (1) USB Flash Drive containing a signed and OCR'd or searchable copy of the Bidder's **Financial** Proposal within this envelope.

The original signed hard-copy version of the bid must be submitted,
No later than Friday 13 June, 2025, at 4:00 P.M.

These envelopes must be **hand-delivered** to the receptionist in the lobby of the Commission's head office located at **Tower D, Level 14, International Waterfront Centre, 1A Wrightson Road, Port of Spain, Trinidad.**

Envelope Labelling:

Technical Proposal

> **Design and Implementation of a Case Management System and Related Services for the Office of the Integrity Commission, Government of the Republic of Trinidad and Tobago**

Financial Proposal

> **Design and Implementation of a Case Management System and Related Services for the Office of the Integrity Commission, Government of the Republic of Trinidad and Tobago**

The sealed envelopes should be labelled "TECHNICAL PROPOSAL", "FINANCIAL PROPOSAL", "ORIGINAL" or "COPY", as appropriate and clearly labelled to the back of EACH envelope with:

[NAME OF PROPOSER]
[ADDRESS]
[CONTACT PHONE NUMBERS]

Please note the names and addresses of vendors must be printed on the envelopes and addressed:

> **The Registrar**
> **Integrity Commission**
> **Tower D, Level 14, International Waterfront Centre, 1A Wrightson Road,**
> **Port of Spain, Trinidad.**

The Dimensions of the Proposal Box's slot opening is **15 ½" x 2".** Proponents are asked to take account of these dimensions in the packaging of their Proposals and submissions can be packaged separately so that they fit in the Proposal box. Proposals that cannot be deposited into the designated Proposal box will not be accepted.

In case of any discrepancy between the copies of the proposals (digital and/or paper), the original paper version will govern. The original paper version of the proposal **must** be prepared in indelible ink and **must** be stamped and signed by the authorized representative of the organization.

A Proponent requiring clarification of the contents of these RFP Documents must notify The Office of The Integrity Commission of Trinidad and Tobago in writing by email to the following email address procurement@integritycommission.org.tt

The Commission, may at its sole discretion, extend the deadline stated above by issuing an amendment, in which case all Proponents would be notified in writing and shall therefore be subject to the new deadline as extended.

Proposals received after the deadline date shall be rejected and immediately returned unopened to the proponent.

After the deadline for submission of Proposals, only Proposals marked 'Technical Proposal' shall be opened. All Proposals marked 'Financial Proposal' shall remain unopened and shall be date-stamp and set aside and subsequently lodged with the **Registrar** of The Office of The Integrity Commission of Trinidad and Tobago for safekeeping. These Financial Proposals shall be securely stored in a locked Tender Box and shall only be opened, in accordance with the guidelines set out in the solicitation documents.

Submissions may be withdrawn by bidders in keeping with the procedures in the solicitation document and shall be returned unopened to the Bidders. In this regard, envelopes marked 'Withdrawal' or 'Withdrawn' shall be read out and recorded, and proposals submitted by those firms shall remain unopened and set aside. The original and all copies of the bid will be returned unopened to the bidder.

Each envelope marked 'Modification' shall be opened immediately following the corresponding Proposal from the bidder making the modified submission.

16. VALIDITY PERIOD

Proposals shall be valid for a period not less than One Hundred and Twenty (120) Days from the closing date for the submission of Proposals. The Commission, in exceptional circumstances, reserves the right to request all Proponents to extend the validity period of their Proposals. Any Proponent who extends the validity period in compliance with The Commission's request will not be permitted to otherwise modify its Proposal.

Part C: Terms of Reference

***Design Supply and Implementation of a Case Management System (CMS) Solution and Related Services* RFP/002/03/04/25**

1. BACKGROUND

The Commission invites your organization to submit proposals for the implementation of a suitable Case Management System (CMS) Solution and Related Services, hereinafter referred to as the Solution, in accordance with the requirements set forth in the subsequent sections of this Request for Proposal (RFP).

The Commission is currently engaged in several activities to increase the efficiency of its operations by deploying technology systems that support its business requirements. Like many other government agencies, the Commission is responsible for the collection, creation and storage of several types of documents, the majority of which are required in "hard copy". Different document types are owned by individual divisions/business units but also require input from several individuals, spanning other divisions before a document can be marked as finalized. For any given process, there is the likelihood that both electronic and paper based versions of these documents occur. To this end, the Commission is challenged with enabling a more streamlined, secure approach in respect of:

- *Collecting*
- *Storing;*
- *Creating;*
- *Retrieving;*
- *Managing;*
- *Securing;*
- *Examining;*
- *Collaborating*
- *Archiving;*
- *Searching;*
- *Classifying;*
- *Accessing;*
- *Disseminating; and*
- *Tracking* of its documents.

These challenges, coupled with the initiative to enhance the Commission's overall ICT infrastructure, have made it necessary to implement a **Case Management System**. The Commission is aware that proper processes are necessary in order to maximize the benefits of such a solution and as such has simultaneously embarked upon process improvement reviews and sensitization exercises.

The Vision of the Commission is to have an in-house CMS Solution developed with a similar level of functionality 'generally similar' to the **e-Tax Solution** implemented by the Ministry of Finance, Inland Revenue Division of Trinidad and Tobago, which also has a public-facing component.

2. OBJECTIVES OF THE REQUEST FOR PROPOSAL

The aim of this project is to implement a Case Management System that can assist the Commission with:

1. **Improving the efficiency and productivity of operations in the management of declarations, complaint and record files. A well-designed filing system can facilitate easy and timely retrieval of records.**
2. **Decreasing costs and utilizing resources more productively, as related to the current methods of storage, retrieval and archiving of documents and records.**
3. **Improving decision-making and reporting capabilities. With easy retrieval of documents and data, pertinent information can be quickly compiled for decision- making and future business planning purposes.**
4. **Increased accountability, transparency and traceability.**

3. SCOPE OF SERVICES

The Vendor will be required to perform the following services / activities as part of this engagement, presented in a phased basis:

PHASE 1 – Planning:

i. Work with the Commission to capture and validate Document Management Guiding Principles as these practices currently exist.

ii. Propose a Detailed Project Charter inclusive of a Gantt Schedule/Timeline for the CMS project.

iii. Define, develop and execute a Communication Plan for the CMS project (including approach, methods, communication flowcharts etc.).

iv. Work with the Commission to Establish and monitor metrics for CMS performance monitoring.

v. Design a CMS that meets all the requirements listed in Appendix I.

vi. Work with the Commission to define CMS standards, strategies, and profiles.

vii. Evaluate existing applications for use/re-use with the CMS solution.
viii. Evaluate existing applications to determine integration requirements with the CMS solution.
ix. Identify, document and communicate hardware resources necessary for the CMS.
x. Define a base set of solution profiles. Profile data may include information such as author, date, version, originating application, and hierarchical structures (such as folders and files).
xi. Identify taxonomy and architect integrations to existing data sources and applications (if necessary).
xii. Develop CMS support infrastructure.
xiii. Perform Project Management for the CMS project.
xiv. Perform Risk Management.

<u>PHASE 2 – Procurement:</u>

i. Procure / Supply the necessary components (hardware, software, licences, etc.) for said CMS that meets and or exceeds all the mandatory requirements listed in Appendix III - Solution High-Level Requirements / Specification.

<u>PHASE 3 – Implementation:</u>

<u>Sub-Phase 1:</u>

i. Implement a CMS that meets the requirements listed in Appendix III - Solution High-Level Requirements / Specification with priority given to the **Compliance** Unit's project requirements; e.g. Process Mapping, Workflows, Database Development, etc.
ii. Perform the ingestion / digitization of the Commissions' documents into the CMS Solution.
iii. NOTE: Most documents have already been digitized and may only have to be OCR'd and PDF-A'd before/during ingestion into the CMS Solution.
iv. Create and maintain reusable components that can be instantiated throughout the Commission (e.g. workflows, etc.).

<u>Sub-Phase 2:</u>

i. Same as Sub-Phase 1 above; but now priority would be given to the **Investigations** Unit's project requirements.

PHASE 4 – Project Close-Up / Sign-Off:

i. Define enterprise security and auditing standards.
ii. Conduct User Acceptance Testing with the Commission.
iii. Develop training material and provide training services for the Commission.
iv. Capture lessons learned.
v. Monitor and evaluate performance.
vi. Advise for governance process.
vii. Provide implementation and advisory sites services.
viii. Provide improvement evaluation and recommendations.
ix. Provide a post implementation support plan for CMS.
x. Project Sign-Off

PHASE 5 – Post-Implementation Warranty Period

PHASE 6 – Post-Implementation Support Agreement / Period

4. FUNCTIONAL EXPECTATIONS OF THE FINAL SOLUTION

Regarding the solution being requested by this RFP, the Commission has a **vision** / **expectation** regarding the functionality of the solution.

NOTE: this vision / expectation is being expressed in layman's terms and should in no way limit the possible functionality of the solution being proposed.

a. Intake and Management:

i. Ability to create new Declaration and Complaint records with required fields.
ii. Automated submission numbering and tracking.
iii. Ability to assign Declarations and Complaints to specific users or teams.
iv. Ability to track case submission and progress.
v. Ability to track (and generate reports) on time taken in the entire overall workflow process, as well as between each step in the process – essentially to develop/produce KPI's.
vi. Ability to manage deadlines and milestones.

b. Workflow Automation:

i. Ability to define and automate workflows.
ii. Automated task assignments and notifications.
iii. Ability to manage escalations and approvals.

c. Data Management:

i. Secure storage and retrieval of data.
ii. Data validation and consistency checks.
iii. Ability to export and import data in various formats.
iv. Ability to customize data fields and forms.

d. Document Management:

i. Integrated document storage and version control.
ii. Ability to search and retrieve documents.
iii. Ability to annotate and collaborate on documents.
iv. Ability to manage document access permissions.
v. Ability to apply disposition to documents (retain forever, destruction, secure deletion, transfer to archival storage).
vi. The CMS Solution must have permanent retention, the delete function should only flag as [Deleted]:
vii. All files associated with the deleted item must also inherit the [Deleted] flag.
viii. Submissions and files flagged as [Deleted] should be hidden from the default view but remain available for search/report generation.

e. Reporting and Analytics:

i. Ability to generate customized reports and dashboards.
ii. Ability to track key performance indicators (KPIs).
iii. Ability to analyze data and identify trends.
iv. Ability to schedule reports.

f. Communication and Collaboration:

i. Built-in messaging and notification system.
ii. Provide email acknowledgements to external and internal users for specified interactions with the system.
iii. Send automated emails to internal staff as documents/records/files are moved to the next step in the process/workflow, new documents are added, a record is updated, etc.
1. Along with a direct link in the email to the related documents/records/files in the CMS (which the previous step would have granted them access to (if relevant to the step in the process)).
iv. Send automated emails to IT staff for IT-related events (e.g. an infected attachment, a deleted file, a record deleted, etc.)
v. Ability to share information with stakeholders.

vi. Automatically password-protect documents sent to stakeholders.
vii. Ability to collaborate on activities.
viii. Ability to log all communication related to a Declaration or Complaint.

g. **Search Functionality:**
i. Ability to perform full-text searches across all data and documents.
ii. Advanced search filters and criteria.
iii. Ability to save and reuse search queries.

5. REQUIREMENTS SPECIFICATION

For the comprehensive solution requirements, refer to:

- **PAGE 25, SECTION: "7 - TECHNICAL DETAILS OF THE REQUIREMENTS"**
  &
- **"Appendix III - Solution High-Level Requirements / Specification".**

6. CURRENT ENVIRONMENT - IT INFRASTRUCTURE

The scope of this project is limited to those operations conducted at the Commission's Offices; with the exception of remote backup services being provided by the Bidder / Vendor. The Commission's Offices currently house approximately 40 users, each with an assigned computer – either a desktop or laptop. User computers run Microsoft Windows 10 or later Operating Systems (OS), (and in-future Ubuntu Linux as well), with Microsoft Office 2016 or later as their word processing and email applications. There are three (3) main web browsers that are used within the organization: Mozilla Firefox, Microsoft Edge and Google Chrome.

No member of staff is currently intended to use the CMS solution **remotely / externally**.

External user (non-Members of the Commission) are non-staff individuals, essentially **Complainants** or **Declarants** to the Commission's **Complaints** or **Declaration** processes respectively. They would be using a variety of OS's combined with a variety of web browsers inclusive of Mozilla Firefox, Microsoft Edge, Google Chrome and Safari to name a few. These external users (internet users) would be submitting **Declarations** and **Complaints** documents **securely** into the CMS solution (one of the key requirements of this solution).

1. Server Infrastructure

The Commission currently uses the following networked hardware devices within its internal IT Environment. The Commission intends to utilize these existing hardware devices with the proposed solution; with the exception of any proposed hardware devices (e.g. servers, switches, etc.):

Hardware	**Make/Model**	**Qty**
SERVER	Dell PowerEdge	5
TAPE BACKUP	Dell PowerVault	1
SWITCH	Cisco Catalyst Switch Cisco Catalyst Switch	2 4
FIREWALL	Checkpoint Firewall Checkpoint Smart Reporter	3 1
SERVER RACK	Standard 19 inch (wide), 42U, four-post, cabinet rack	2
MULTIFUNCTION	Konica Minolta bizhub	4
CLIENTS Desktop/Laptop (Win 10, 11) 64-bit Ubuntu 64-bit	Dell Optiplex PC's Dell Latitude Laptops	40

The Commission currently functions with a few critical server-based 'applications':

Table 1 Listing of Applications

1.	**MS Exchange 2019** – Email server and related services
2.	**File Server / Shares (Windows Server 2022)** – Centralized storage of documents
3.	**Veritas NetBackup** – On-site backups
4.	**MS Access and MS Excel Files** – used for tracking Declarant information and Declarations

These applications are hosted on a Hypervisor / Virtualized platform

The Vendor is expected to procure additional licences and support licences/packages from manufacturers as necessary for the Project and final CMS Solution.

The Commission can, however, acquire more licenses if necessary for:

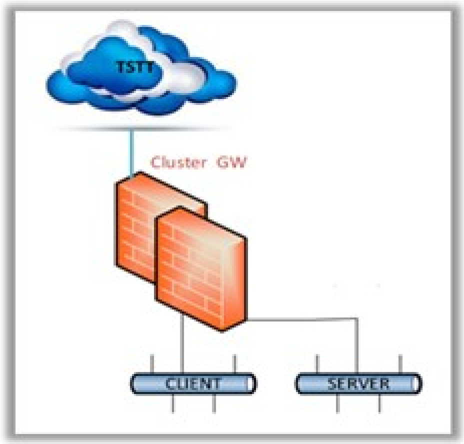
- **Microsoft Windows Server, SQL Server, etc.**
- **Microsoft Client OS'**

Directory services are provided by Microsoft Active Directory services and email infrastructure is an internal MS Exchange 2019 Server.

The Commission currently uses email and file servers with NTFS permissions to share and collaborate on documents and other files, MS Access and MS Excel Files are used for tracking Declarant information and Declarations.

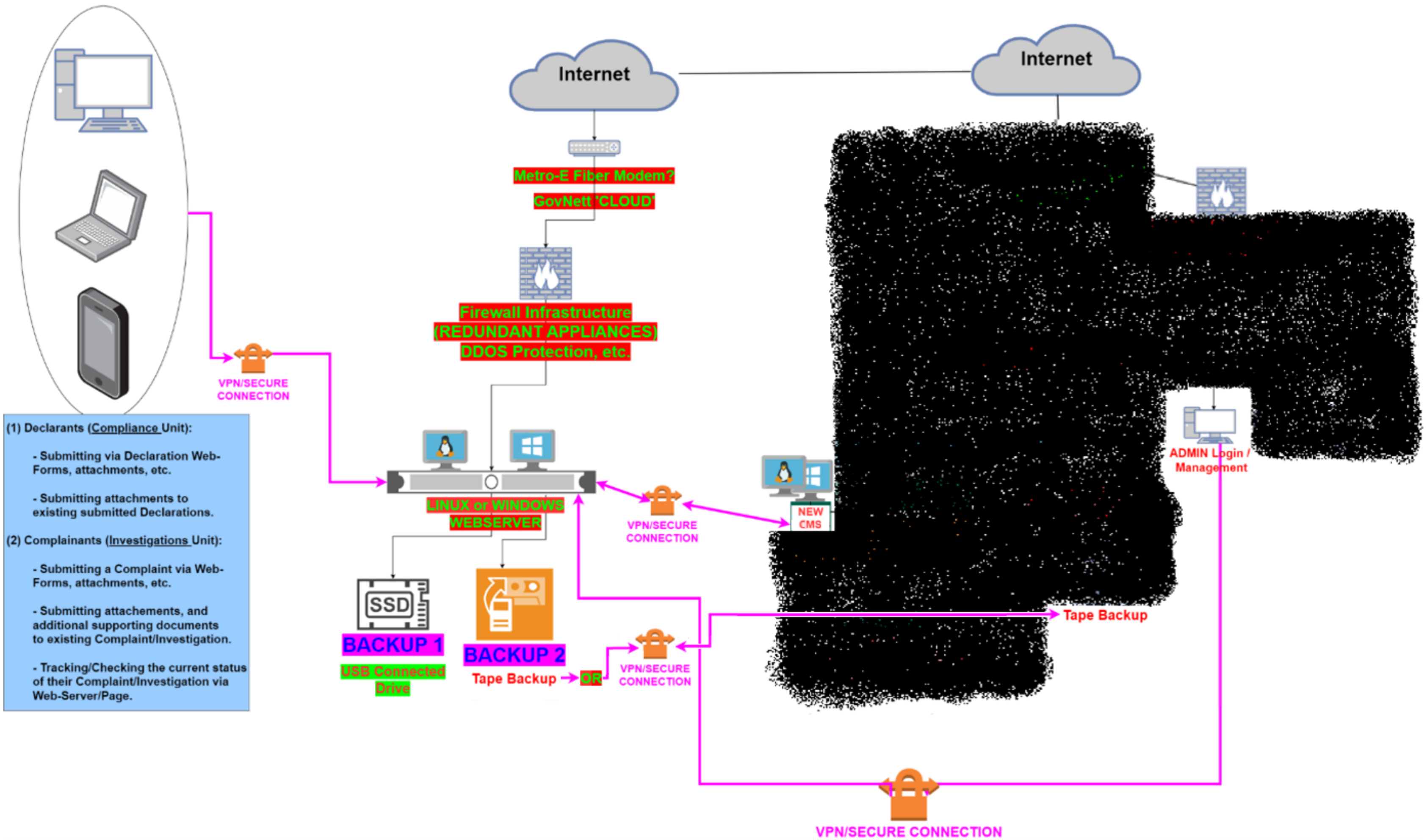
The Commission currently has an **externally** hosted (US-based) informational website using WordPress CMS.

2. Current Network Topology



3. Proposed Network Topology

IC Network Architecture (Proposed)



7. TECHNICAL DETAILS OF THE REQUIREMENTS

In addition to reviewing and filling out the detailed **Solution Requirements Specification** in **Appendix III - Solution High-Level Requirements / Specification**; the Vendor will be required to deliver the following:

i. A CMS solution inclusive of a well-defined system support structure (tiered IT support), defined processes, backup plan and operating procedures/manuals.

ii. A Detailed Charter for the CMS Project inclusive of:

iii. A detailed project plan for recommended CMS solution implementation for the current environment.

iv. Risk Management documentation.

v. Project Management Reporting for the CMS project (including status report, scope, schedule, quality, risk, etc.).

vi. A CMS project Communication Plan.

vii. A base set of solution profiles.

viii. Preliminary migration plans (as reasonably applicable).

ix. Preliminary integration plans (as reasonably applicable).

x. Documentation on enterprise security, auditing standards and retention.

xi. Training documentation for the CMS project and support teams.

xii. A CMS support, maintenance and backup plan.

xiii. Performance metrics of the CMS Solution.

xiv. Lessons learned documentation; including improvement evaluation and recommendations.

8. DELIVERABLES

i. A formal project charter document.

ii. A Gantt Schedule/Timeline for the CMS project.

iii. A detailed communication plan.

iv. The established and monitored metrics document for CMS performance.

v. A detailed design document of the proposed CMS that meets and or exceeds all the mandatory requirements listed in Appendix III and IV.

vi. A document detailing the necessary hardware resources for the CMS.

vii. A document defining the base set of solution profiles.

viii. A document detailing the CMS support infrastructure.

ix. Regular project management reports.

x. A risk management plan, and associated risk reports.

xi. Supplied hardware, software, and licenses that meet Appendix III Solution High-Level Specification.

xii. Procurement documentation.

xiii. A fully implemented CMS that meets and or exceeds all the mandatory requirements listed in Appendix III - Solution High-Level Specification

xiv. The Commissions documents ingested into the CMS.

xv. A document defining enterprise security and auditing standards.

xvi. A UAT report documenting the results of user acceptance testing.

xvii. Training materials for the Commission.

xviii. Documentation of training services provided.

xix. A document capturing lessons learned during the project.

xx. Report on the monitoring and evaluation of performance.

xxi. Report providing advice for the governance process.

xxii. Documentation of Implementation and advisory site services.

xxiii. Report providing improvement evaluation and recommendations.

9. **THE OFFICE OF THE INTEGRITY COMMISSION OF TRINIDAD AND TOBAGO'S PROVISIONS -** The Commission will provide the vendor with the following:

i. <u>Power-Protected Office Cubicles with Wireless Network and Internet Access</u>

ii. <u>Wired Network Access will be provided for Dedicated Secure Devices (Purpose-Built Devices/Laptops specifically for consulting/project work).</u>

iii. <u>A single point of contact at the Commission</u>

iv. <u>Relevant documents to facilitate the successful completion of the project</u>

10. MINIMUM QUALIFICATIONS OF THE PROPONENT

The preferred service provider must be able to demonstrate a minimum level of qualifications, certification and experience as follows:

i. The Proponent **must** be a 'pre-qualified' supplier or contractor, as per guidelines of The Office of Procurement Regulation (OPR).
   i. Please refer to the OPR Handbook – "General Guidelines - Pre-Qualification and Pre-Selection"; located here: https://oprtt.org/wp-content/uploads/2022/09/Pre-Qualification-Pre-Selection-V2.pdf
ii. Certified Records Manager or Equivalent Qualification
iii. PMP Certified or Equivalent Qualification
iv. Certifications in Business and/or IT Process Mapping/Process Management
v. Min. of Five (5) Years' Experience in developing similar solutions for public or private sector organisations
vi. Min. of Five (5) Years' Experience in Implementing **Open-Source** or **Closed-Source** / Commercial Off-the-Shelf (**COTS**) CMS Solutions.

Part D: Forms

Technical Proposal

Form 1A: Technical Proposal submission form.

Form 2A: Proponent's Work Experience

Form 3A: Comments and suggestions of Consultants on the Terms of Reference and on data, services, and facilities to be provided by the Client.

Form 4A: Description of the methodology and Work Plan for performing the assignment.

Form 5A: Team composition and task assignments.

Form 6A: Format of curriculum vitae (CV) for proposed professional staff.

Form 7A: Proposed Project Plan / Time schedule for completing the assignment

Form 8A: Proponent's Declaration Form

Form 9A: Confidentiality Agreement

Form 10A: Banker's Reference Letter

Note: The Proponents must fill in the appropriate information in the enclosed forms and submit these forms with the Proposal. In addition, the Proponent may include any other form(s), which in his opinion will assist in presenting, clearly and concisely, pertinent information relevant to the Work Plan and time schedule. ***Failure to submit these forms, completed as instructed in the RFP, may result in the Proponent's submission not being considered, or not achieving maximum scores during the evaluation of Proposals***.

FORM 1A: TECHNICAL PROPOSAL SUBMISSION FORM

[*Location, Date*]

To: (Client Organisation)

Sir:

We, the undersigned, offer to provide The Design Supply and Implementation of a Case Management System (CMS) Solution and Related Services in accordance with your Request for Proposal dated **April 03, 2025** and subsequent Addenda. We are hereby submitting our Proposal which includes this Technical Proposal, and a Financial Proposal sealed under a separate envelope.

If negotiations are held during the period of validity of the Proposal of one hundred and twenty (120) days, we undertake to negotiate on the basis of the proposed staff. Our Proposal is binding upon us and subject to the modifications resulting from Contract negotiations.

We understand you are not bound to accept any Proposal you receive.

We remain,

Yours sincerely,

Authorised Signature:
Name and Title of Signatory:
Address:

FORM 2A: PROPONENT'S WORK EXPERIENCE

Relevant Services Carried Out in the Last Three Years
That Best Illustrate Qualifications

Using the format below, provide information on assignments of similar nature and complexity completed by your firm/entity i.e. three (3) contracts for the provision of **Designing Supplying and Implementing Case Management System (CMS) Solutions and Related Services** over the past three (3) years. Proponents are advised that all fields must be completed, as the information provided therein is required to ensure the achievement of maximum points during the evaluation of Proposals.

<table>
<tr><td colspan="3">Contract of similar size and nature</td></tr>
<tr><td>Contract Name</td><td colspan="2"></td></tr>
<tr><td colspan="2">Award Date</td><td>Completion Date</td></tr>
<tr><td>Total Contract Value</td><td colspan="2"></td></tr>
<tr><td colspan="3">Client information</td></tr>
<tr><td>Client Name</td><td colspan="2"></td></tr>
<tr><td>Client Address</td><td colspan="2"></td></tr>
<tr><td>Contact Name (Client Representative)</td><td colspan="2"></td></tr>
<tr><td>Telephone (Fixed and Mobile)</td><td colspan="2"></td></tr>
<tr><td>Email</td><td colspan="2"></td></tr>
<tr><td colspan="3">Description of contract similarity</td></tr>
<tr><td colspan="3">- Description of services provided
- Contract Duration
- Number of professional and support staff assigned to the engagement
- Proposed and actual start and end dates
- Contract variance (amount and reasons)</td></tr>
</table>

FORM 3A: COMMENTS AND SUGGESTIONS OF PROPONENTS ON THE TERMS OF REFERENCE AND ON DATA, SERVICES, AND FACILITIES TO BE PROVIDED BY THE COMMISSION

On the Terms of Reference:

1.

2.

3.

On the data, services, and facilities to be provided by The Commission:

1.

2.

3.

4.

5.

FORM 4A. DESCRIPTION OF THE METHODOLOGY AND WORK PLAN FOR PERFORMING THE ASSIGNMENT

FORM 5A: TEAM COMPOSITION AND TASK ASSIGNMENTS

1. Technical/Managerial Staff		
Name	Position	Task

2. Support Staff		
Name	Position	Task

FORM 6A: FORMAT OF CURRICULUM VITAE (CV) FOR PROPOSED KEY PERSONNEL

Proposed Position: ____

Name of Firm: ____

Name of Staff: ____

Profession: ____

Date of Birth: ____

Years with Firm/Entity: ________________________Nationality: ________________

Membership in Professional Societies: ________________________________

____

Detailed Tasks Assigned: ____

____

Key Qualifications:

[*Give an outline of staff member's experience and training most pertinent to tasks on assignment. Describe degree of responsibility held by staff member on relevant previous assignments and give dates and locations. Use about half a page.*]

____

Education:

[*Summarise college/university and other specialised education of staff member, giving names of schools, dates attended, and degrees obtained. Use about one quarter of a page.*]

____

Employment Record:

[*Starting with present position, list in reverse order every employment position held. List positions held by staff member, giving dates, names of employing organisations, titles of positions held, and locations of assignments. Be succinct.*]

____

Languages:

[*For each language (if applicable) indicate proficiency: excellent, good, fair, or poor in speaking, reading, and writing.*]

____

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe me, my qualifications, and my experience.

____Date: ___________
[Signature of staff member and authorised representative of the firm] *Day/Month/Year*

Full name of staff member:____

Full name of authorised representative: _____________________________

FORM 7A: PROPOSED PROJECT PLAN / TIME SCHEDULE FOR COMPLETING THE ASSIGNMENT

A. Project Plan / Time Schedule

	[1st, 2nd, etc. are days from the start of assignment.]												
	1st	2nd	3rd	4th	5th	6th	7th	8th	9th	10th	11th	12th	
Phase / Activity (Work) etc													
Note: Provide a detailed listing of the tasks to be completed for perform the services, along with an estimated timeline for each task.													

FORM 8A: PROPONENT'S DECLARATION FORM

A. LITIGATION

1. Have you ever been convicted of any criminal offence in any jurisdiction?
   ☐ Yes ☐ No

2. Has any of the director(s) ever had a professional license suspended or revoked?
   ☐ Yes ☐ No

3. Has your organisation ever been the subject of any petition for bankruptcy?
   ☐ Yes ☐ No

4. Has your organisation ever had any civil judgment against you?
   ☐ Yes ☐ No

5. Does your organisation have any pending civil litigation matters?
   ☐ Yes ☐ No

6. Does your organisation have any pending criminal matters before the court?
   ☐ Yes ☐ No

7. Has your organisation, or any organisation which you have had control over, ever been the subject of any inquiry or investigation?
   ☐ Yes ☐ No

If you checked **Yes** to any of the above questions, kindly provide the key facts and decisions, including dates, relating to these matters on a separate page to be annexed to this document.

B. STATUTORY COMPLIANCE

1. Is your organisation in compliance with the **OSH Act 2004** (as amended) in the form of OSH requirement applicable to your organisation? Kindly provide details of the compliance with the most recent supporting documents.
   ☐ Yes ☐ No ☐ Not applicable

   If no or not applicable is selected, please provide details:

   ____

2. Is your organisation in compliance with the **Minimum Wages Act, Chap 88:04** (as amended)?
   ☐ Yes ☐ No ☐ Not applicable

If no or not applicable is selected, please provide details:

I/We……………………..make this declaration conscientiously believing the same to be true, and I/we am/are aware that if there is any statement in this declaration which is false in fact, which I/we know or believe to be false or do not believe to be true, I/we may be disqualified from the Tendering process or if awarded the Tender, the contract will be immediately terminated.

……………………………….. ……………………………….. ………………….………..…

Declarant Name Declarant Signature Date

Position: ………………………. Company Seal:

FORM 9A: CONFIDENTIALITY AGREEMENT

THIS AGREEMENT is made the day of 20__.

BETWEEN

The Office of The Integrity Commission of Trinidad and Tobago, _______________________________ with its Head Office located at ____ in the city of Port of Spain in the island of Trinidad (hereinafter referred to as " ________________________") of the One Part; and ………
....
....
.... (hereinafter referred to as "the Contractor/Supplier/Consultant") of the Other Part.

1. The Office of The Integrity Commission of Trinidad and Tobago is considering seeking Proposals in anticipation of awarding a Contract (hereinafter called the "Contract") for the provision of _____________________Goods/Services/Works.

2. The Contractor/Supplier/Consultant wishes to submit a Proposal for the said Contract.

3. Whereas, the Parties intend to exchange information and in the course of such activities it is anticipated that the Parties may wish to disclose to each other proprietary information, which information the Parties regard as confidential.

NOW IT IS HEREBY AGREED as follows:

Definitions

1. In this Agreement, the following words shall have the meanings hereby assigned to them:

   "Agent", in relation to any office or other person includes its/his employees, directors, contractors, sub-contractors, advisers, consultants, legal representatives, accountants and auditors.

   "Disclose" includes but is not limited to any act of divulging, releasing, communicating, transmitting, broadcasting or otherwise transferring or imparting Material Information by any means whatsoever to any person, whether individual or corporate. "Disclosed", "disclosure" and "disclosing" shall be construed accordingly.

"Excepted Information", in relation to either party disclosing or otherwise using the same, means any Material Information which:

a) at the time of Disclosure or use is, or has come to be, in the possession of that party lawfully and otherwise than in consequence of any improper conduct; or
b) has been created, originated or supplied by that party and is not composed or derived from or dependent for its meaning or effect upon Material Information already created, originated or supplied by the other party or any of its Agents; or
c) if obtained directly or indirectly from or through another person or persons, was or came to be (or is reasonably believed to have been or came to be) in the possession of such other person or persons lawfully and otherwise than in consequence of any breach of confidentiality owed by such other person or persons to The Office of The Integrity Commission of Trinidad and Tobago; or
d) is not the subject of any prior or concurrent obligation of confidentiality owed to The Office of The Integrity Commission of Trinidad and Tobago by the party disclosing or using the same or by any of its Agents to The Office of The Integrity Commission of Trinidad and Tobago; or
e) is, or subsequently becomes, otherwise than in consequence of improper conduct, a matter of common or public knowledge or record.

"Improper conduct" includes a breach of any express or implied term of this Agreement or of any other agreement between The Office of The Integrity Commission of Trinidad and Tobago and the Contractor/Supplier/Consultant or any of its Agents. Improper conduct also includes a breach of any other obligation of confidentiality owed by or to The Office of The Integrity Commission of Trinidad and Tobago to or by the Contractor/Supplier/Consultant or any of its Agents.

“Information" includes but is not limited to any information, facts, data, programs, formulae, opinions, comments or ideas expressed in communicable form.

"Material Information" means any information concerning any and all of the past, present or future business, activities, projects, policies, plans or contracts of The Office of The Integrity Commission of Trinidad and Tobago or the Contractor/Supplier/Consultant.

"Relevant Period" means a period commencing on the date of this Agreement and expiring five years thereafter or, if within such period the Contract is awarded to the Contractor/Supplier/Consultant, a period commencing on the date of this Agreement and expiring five (5) years from the date on which the Contract is substantially completed or terminated early or abandoned.

The Contractor/Supplier/Consultant’s undertakings

2. In consideration of the undertakings by The Office of The Integrity Commission of Trinidad and Tobago, the Contractor/Supplier/Consultant undertakes during the Relevant Period: -

a) not to cause or permit any third party to contravene or prejudice the requirements of this clause;
b) not to disclose any Material Information disclosed by or obtained from The Office of The Integrity Commission of Trinidad and Tobago; and
c) not to use Material Information for any purpose except for: -

i. the preparation and submission of the Proposal and supporting documents to The Office of The Integrity Commission of Trinidad and Tobago for the Contract, and any necessary correspondence, discussions or negotiations with The Office of The Integrity Commission of Trinidad and Tobago in anticipation of the award of such Contract;

ii. the proper performance and observance of the Contract, if awarded to the Contractor/Supplier/Consultant together with any correspondence, discussions, negotiations, or other matters necessarily arising in connection with the Contract or with any modification or proposed modification thereof or with the ordering or carrying out of any variations or the placing or performance of any subcontract in connection therewith.

The Office of The Integrity Commission of Trinidad and Tobago's undertakings

3. In consideration of the undertakings by the Contractor/Supplier/Consultant in clause 2 hereof and subject to clause 5 hereof, The Office of The Integrity Commission of Trinidad and Tobago undertakes during the Relevant Period: -

a) to invite the Contractor/Supplier/Consultant to submit a Proposal for the Contract and to make available to the Contractor/Supplier/Consultant any Information, including Material Information that The Office of The Integrity Commission of Trinidad and Tobago may consider necessary to enable the Contractor/Supplier/Consultant to prepare and submit the Proposal and to perform the Contract if awarded to the Contractor/Supplier/Consultant ;

b) not to disclose any Material Information disclosed by or obtained from the Contractor/Supplier/Consultant except as permitted so to do by the Contract;

c) not to cause or permit any third party to contravene or prejudice the requirements of this clause.

Exceptions

4. Clauses 2 and 3(b) and 3(c) shall not apply to any Material Information that is: -

i. Excepted Information or disclosed or used with the prior consent in writing of the other party.

ii. Ordered or required to be disclosed by any applicable law or competent judicial, governmental or other authority or in accordance with the requirements of any stock exchange. Provided always that if such an order or requirement arises the party proposing to disclose shall give to the other party prompt written notice thereof.

5. Notwithstanding clause 2, hereof, the Contractor/Supplier/Consultant may disclose any Material Information disclosed by or obtained from The Office of The Integrity Commission of Trinidad and Tobago to any of its Agents for a purpose or purposes for which the Contractor/Supplier/Consultant is entitled to use the same, provided that the Contractor/Supplier/Consultant undertakes during the Relevant Period: -

i. to ensure that all persons to whom Material Information is or may be disclosed are aware of the terms of this Agreement and will comply with the obligations of the Contractor/Supplier/Consultant as if party themselves to the Agreement; and

ii. if so requested by The Office of The Integrity Commission of Trinidad and Tobago by notice in writing, before making any or any further disclosure, procure the execution by any person or persons identified in the notice, of an agreement in writing (to be prepared by The Office of The Integrity Commission of Trinidad and Tobago) between The Office of The Integrity Commission of Trinidad and Tobago and each such person containing substantially the same terms as those contained in this Agreement.

Return or Destruction of Confidential Information

6. If during the Relevant Period the Contractor/Supplier/Consultant receives from The Office of The Integrity Commission of Trinidad and Tobago or any of its Agents, Material Information in any tangible form and either then or subsequently: -
   a) submits an unsuccessful Proposal, or fails or is not invited to submit a Proposal, for the Contract; or

   b) the Contract in connection with which the Material Information has been supplied to the Contractor/Supplier/Consultant is not proceeded with; or

   c) the Contract, if awarded to the Contractor/Supplier/Consultant, is substantially completed or terminated early or abandoned; or

   d) for any other reason the Contractor/Supplier/Consultant does not or is unlikely to have any further need of the Material Information

   Then the Contractor/Supplier/Consultant undertakes, if The Office of The Integrity Commission of Trinidad and Tobago requests by notice in writing, to return forthwith the Material Information to The Office of The Integrity Commission of Trinidad and

Tobago and/or its Agent and/or to destroy or procure the destruction of the Material Information, including any copies thereof or any part or parts thereof, which may be in the possession of the Contractor/Supplier/Consultant or any of its Agents and to certify in writing to The Office of The Integrity Commission of Trinidad and Tobago that any destruction requested has been carried out, provided that:-

i. The Contractor/Supplier/Consultant shall not be obliged to return or destroy or procure the destruction of any Material Information which is properly and necessarily held by the Contractor/Supplier/Consultant as formal documentation;

ii. The Contractor/Supplier/Consultant shall not be obliged to return or destroy or procure the destruction of any Material Information, which the Contractor/Supplier/Consultant may otherwise reasonably require to retain for purposes of its own essential records in connection with the Contract or the performance of any of its obligations thereunder still outstanding, or as evidence of the terms thereof in the event of any dispute, difference or doubt;

iii. Where, pursuant to proviso (i) above, the Contractor/Supplier/Consultant does not return or destroy or procure the destruction of the Material Information, the Contractor/Supplier/Consultant undertakes without delay to send to The Office of the Integrity Commission of Trinidad and Tobago a statement in writing giving particulars of:
   a) the Material Information concerned;
   b) the reasons why the Contractor/Supplier/Consultant considers it to be formal documentation; and
   c) the Contractor/Supplier/Consultant's reasons for not returning or destroying the same or procuring the destruction thereof.

iv. The Contractor/Supplier/Consultant also undertakes to supply any further particulars and/or take any steps for the continued security thereof during the remainder of the Relevant Period which The Office of The Integrity Commission of Trinidad and Tobago may reasonably require.

7. Without prejudice to clause 6 above, if any Material Information whose return or destruction is requested is in the possession of any of the Contractor/Supplier/Consultant's Agents, the Contractor/Supplier/Consultant undertakes to do everything in its power to procure any action on the part of its Agents to enable the Contractor/Supplier/Consultant to comply with its obligations.

Maintenance of regular exchange of information

8. This Agreement shall not be construed as restricting any normal and/or regular interchange of information between the parties and/or their Agents which may be necessary in connection with the Contract.

Security Measures

9. Each party shall be fully and solely responsible for instituting, maintaining, implementing and enforcing all security or other measures to comply with its obligations under this Agreement. Each party undertakes to use its best endeavours to introduce, implement and enforce any specific security measures or any change in its existing security measures, which may be requested in writing by the other party, which are considered reasonable and practicable and likely to assist or improve the performance of its obligations.

Governing Law

10. This Agreement shall be governed by and construed in accordance with the laws of the Republic of Trinidad and Tobago and in the event of any dispute relating thereto the parties hereto submit to the exclusive jurisdiction of the High Court in the Republic of Trinidad and Tobago.

IN WITNESS whereof The Office of The Integrity Commission of Trinidad and Tobago and the Contractor/Supplier/Consultant have caused this Agreement to be signed for and on their behalf by the signatories hereto who have been duly authorised so to do by The Office of The Integrity Commission of Trinidad and Tobago and the Contractor/Supplier/Consultant respectively.

For and on behalf of
The Office of The Integrity Commission of Trinidad and Tobago

	Witness
Signature...	Signature...
Name...	Name...
Title..	Title..
Date…………	

For and on behalf of CONTRACTOR/SUPPLIER/CONSULTANT [Name]

	Witness
Signature...	Signature...
Name...	Name...
Title..	Title..

FORM 10A: BANKER'S REFERENCE LETTER

Date:

PRIVATE AND CONFIDENTIAL

Office of The Integrity Commission
Tower D, Level 14, International Waterfront Centre, 1A Wrightson Road,
Port of Spain, Trinidad.

Dear Sir/Madam:

(Name of company)

The following information is provided at the request of our above-named customer, in strict confidence, without guarantee, for your private use and without responsibility on the part of this bank or its officials.

The captioned company is involved in (indicate nature of business) and has been banking with us since (year). Credit facilities in the (low, medium or high) (four, five or six) figure bracket have been marked for this account and are being handled to our satisfaction.

We consider the company good for normal contracting transactions and do not think that they would enter into any obligations they could not fulfil.

We hope that the foregoing report is suitable for your purposes.

Yours faithfully
(Signature) ______________________________
(Position) ______________________________

Financial Proposal

Form 1B: Financial Proposal Submission Form.

Form 2B: Price Schedule.

Form 3B: Breakdown of price per phase / activity.

Form 4B: Breakdown of remuneration per phase / activity.

Form 5B: Reimbursable and Miscellaneous Expenses.

Note: The Proponents must fill in the appropriate information in the enclosed forms and submit these forms with the Proposal. ***Failure to submit these forms, completed as instructed in the RFP, may result in the Proponent's submission not being further considered.***

FORM 1B: FINANCIAL PROPOSAL SUBMISSION FORM

[*Location, Date*]

To: [*Name and address of Client*]

Ladies/Gentlemen:

We, the undersigned, offer to provide [*Title of services*] in accordance with your Request for Proposal dated [*Date*] and our Proposal (Technical and Financial Proposals submitted in separate sealed envelopes). Our attached Financial Proposal is proposed in the sum of [*Amount in words and figures*]. This amount is exclusive of 12.5% Value Added Tax, which we have calculated as [*Amount(s) in words and figures*].

Our Financial Proposal shall be binding upon us subject to the modifications resulting from Contract negotiations, up to expiration of the **(one hundred and twenty (120) day)** validity period of the Proposal.

We understand you are not bound to accept any Proposal you receive.

We remain,

Yours sincerely,

Authorised Signature:
Name and Title of Signatory:
Name of Firm:
Address:

FORM 2B: SUMMARY OF COSTS

Costs	Amount(s)
______________________________	
______________________________	
______________________________	
______________________________	
Subtotal	
Value Added Tax (VAT)	
Total Amount of Financial Proposal	______________________________

Proposed payment terms

Proponents are required to provide their proposed payment terms for the provision of the services.

*Additionally, the form provided below (FORM 3B), also provides for the Proponent, a section to summarily identify the Percentage (%) Amount per **Completed Phase** (of the **total Bid Value**) in TT Dollars (TT$).*

*In said section, there are already percentages provided as **proposed** by the Commission, but are **subject to negotiation** at/by the time of Contract Signing.*

FORM 3B: BREAKDOWN OF PRICE PER PHASE / ACTIVITY

Phase / Activity No.	Description	Person Hours	Amount (TT$)	% Amount per Completed Phase (of the total Bid Value) (TT$)
1				e.g. PHASE 1 Completed – 10%
1				
1				
2				PHASE 2 Completed – 5%
3				PHASE 3 Completed – 15%
4				PHASE 4 Completed – 20%
5				PHASE 5 Completed – 20%
6				PHASE 6 Completed – 30%
	Grand Total			

FORM 4B: BREAKDOWN OF REMUNERATION PER PHASE / ACTIVITY

Phase / Activity No.________________________		Name:____________________	
Names	Position	Input[1]	Amount
Regular staff Consultants Grand Total			____________

[1] Staff months, days, or hours as appropriate.

FORM 5B: REIMBURSABLE AND MISCELLANEOUS EXPENSES

NO.	DESCRIPTION	UNIT	QUANTITY	UNIT PRICE	TOTAL AMOUNT (TT$ VAT EX)
1.	(*PLEASE SPECIFY*)				
2.					
	SUBTOTAL				
	VAT @12.5%				
	TOTAL AMOUNT (TT$ VI)				

FORM 2B: PRICE SCHEDULE (ALTERNATIVE, BASED ON REQUIREMENTS OF PROJECT)

No.	Description	Unit of Measure	Quantity	Unit Cost (TT$)	Extended Price (TT$)
1.					
2.					
3.					
4.					
5.					
6.					
7.					
Subtotal					
VAT at 12.5%					
Total					

Appendix I - RFP Acknowledgement Form

Office of The Integrity Commission
Tower D, Level 14,
International Waterfront Centre,
1A Wrightson Road,
Port of Spain, Trinidad.

ATTENTION: Procurement Officer

Dear Sir/Madam,

Subject: RFP # __RFP/002/03/04/25__ Request for Proposal for <u>The Design Supply and Implementation of a Case Management System (CMS) Solution and Related Services</u>

We acknowledge receipt of the above referenced Request for Proposal (RFP) and "will/will not" be submitting a Proposal by the due date.

We confirm that the Proposal that we will submit shall be valid for a period of **(one hundred and twenty (120) day)** from the closing date for the submission of the RFP.

Yours Faithfully

Signature	______________________	Date	________________
Name	______________________	Title	_________________

All communications regarding this Request for Proposal should be sent to the undersigned who is responsible for our Tender.

Signature	_____________________	Date	_______________________
Name	_____________________	Direct Tel No	__________________
Title	______________________	Email Address	_________________
Company	______________________	Co. Tel. No	_________________
Company	______________________	Mobile Tel	_________________
Address	______________________		

Appendix II - Client Reference Form

PART A *(To be completed by the Proponent)*	
Provider Name	
Project Location	
Project Description	
Reference Company	
Reference Name/Designation	
Reference Direct Contact Phone	
Reference Direct Contact Email Address	

PART B *(To be completed by the Proponent)*	
Project Contract Scope	
Assignment Start Date	
Assignment Completion Date	
Reasons for Delays (project start and/or finish)	
Reasons for Variations (contractual changes)	

Signature (Proponent's Duly Authorised Representative):_________________________ Date

PART C *(To be completed by The Commission)*					
Performance Indicators (Please tick appropriate box)	**Poor**	**Fair**	**Satisfactory**	**Very Good**	**Excellent**
How would you rate the quality of the services provided?					
How would you rate the quality of the finish product?					
How would you rate the provider's response time in addressing your requests or queries?					
How would you rate the provider's professional interaction with representatives of your organisation?					
How would you rate the overall performance of the service?					

General comments:

………
………
………
………………..

Signature (Evaluation Committee Member(s)):_________________________ Date

Appendix III - Solution High-Level Requirements / Specification

CMS High-Level Requirements				
	Requirements Prioritization ***M (Mandatory)** – the requirement is mandatory and non-negotiable. It is needed to satisfy identified business needs and for the solution to be considered successful.* ***U (Useful)** – the requirement is useful and would enhance the mandatory requirements. It is negotiable or slightly deferrable with respect to what is required to accomplish the purpose of the mandatory requirements. It is still considered a high priority item that should be included in the solution if possible.* ***O (Optional)** – the requirement is desirable and flexible but not considered necessary. It can readily be changed and does not affect what is required to accomplish the purpose of the mandatory requirements.* ***Response*** **FP** – Fully Provided (Out-of-the-box) **TP -** (Third Party Software Required) **M -** Modification to existing software	**Priority [M, U, O]**	**Response [FP, TP, M, C, NA, O]**	**Comment**

	C - Custom Development Required **NA** - Not Available **O -** Other			
	High-Level CMS Solution Requirements			
	FUNCTIONAL			
1.	**Online forms must appear wizard-like**, prompting/guiding the user through completion**.**	**M**		
2.	**Online forms should be built to mirror the look of current hardcopy forms**. With extra checkboxes, fields, invisible data elements, etc., or anything that can possibly be 'injected' into the CMS Solution for searching, generating reports, etc.	**M**		
3.	**Allow the enforcement of mandatory fields** (online forms and internal application UI) if this may become necessary to restrict the submission of **incomplete/blank** forms.	**M**		
4.	**Regarding the Mandatory Fields:** IT would login and make the changes if/as policy changes from Compliance (and/or Investigations depending on the Form).	**M**		
5.	**Provide email acknowledgements to external and internal users for specified interactions with the system.**	**M**		
6.	**Send automated emails to internal staff as documents/records/files are moved to the next step in the process/workflow, new documents are added, a record is updated, etc.**	**M**		

7.	**Send automated emails to IT staff for IT-related events (e.g. an infected attachment, a deleted file, a record deleted, etc.)**	**M**		
8.	**The CMS Solution must have permanent retention, the delete function should only flag as [Deleted]:** **1. All files associated with the deleted item must also inherit the [Deleted] flag.** **2. Submissions and files flagged as [Deleted] should be hidden from the default view but remain available for search/report generation.**	**M**		
9.	**The ability to bulk export should be explicitly assigned to a user**.	**M**		
10.	**The ability to bulk export documents and metadata must be without limitation.**	**M**		
11.	**The ability to import/ingest existing data from spreadsheet or csv files**.	**M**		
12.	**The ability to import/ingest existing documents from shared network locations**.	**M**		
13.	**Perform automated** (character recognition) of all incoming PDFs, documents (e.g. photos/screenshots).	**M**		
14.	**Perform manual | bulk OCR & PDF-A** of select documents, including standard PDF documents.	**M**		
15.	**Perform manual | bulk ICR** (intelligent character recognition) of documents.	**M**		

16.	**Perform manual | bulk IDA** (intelligent document analysis) of documents.	**M**		
17.	**Perform automatic | manual grammar checking <u>without</u> any external AI,** or external resources that may expose internal data/keywords**.**	**M**		
18.	**Create automatic | manual transcripts from audio/video files.**	**U**		
19.	**Offer full document content and indexed data searching** across all files contained within the system.	**M**		
20.	**Offer listing, searching, sorting and filtering** of declarations and investigations data using but not limited: keywords, document content, metadata, date, date range, etc.	**M**		
21.	**Must do 'simple-to-use' on-demand report generation regarding <u>any data sets/elements</u>** aggregated by the system: Report Use-case examples → I can generate a report of: • All Complaints Received in 2024 • All Complaints Received in 2024 and released into the Workflow. • Number of submitted Declarations for 2017. • The percentage of persons who filed Declarations in 2020 but were not certified.	**M**		
22.	In elaboration, **the system should be able to apply to all data a query and/or filter on any index field or any combination of index fields** for advanced searching.	**M**		
23.	Use the <u>*Internet Movie Database* (IMDB) Advanced title search</u> as a perfect example: https://www.imdb.com/search/title	**M**		

	IMDB's database can search/generate a report on any checkbox-able item in their database; so it is expected that similar checkbox-able (or even user-hidden) elements to **any part, process, task, etc.** in the CMS Solution be searchable/report-generatable.			
24.	A search for any function / operation / task must be built into the CMS Solution; e.g. all modern **Android phones** (even A-Series phones) have a search for "Settings"; a **Konica Minolta Copier** has a search function for operations, etc. both at the user interface on the copier itself, as well as the Web-management back-end.	**M**		
25.	The CMS Solution must be designed to manage the volume of information and digitized records currently at the Commission with allowance for **future storage growth (10 years)**. • **The IC will digitize all declaration and investigative records** of the Commission from **previous years to present.** • **Approximately 6500 records, each record has an average of 250 double sided pages.** • **Roughly 4TB.** **Compliance**-Unit files: • **5400 physical files current total**. • **641** files scanned to PDF so far totalling 62GB • **5400** files (rounded after PDF/A conversion +10%) = **575** GB • **1200** Compliance-Unit declarants annually (varies) • **641** files scanned to PDF = 62 GB * 10% for PDF-A = **68 GB** • **1 file ~ 0.1 GB**	**M**		

	• **1200 files ~ 120GB**
	• **At 10% increase per year:**
	  ○ **2026** (575 +132 GB)
	  ○ **2036** (year 2035) +342 GB
	
	NOTE: This is all estimation.
	
	Investigations-Unit files
	
	• **675 PDF files current total**.
	• **675** files (rounded after PDF/A conversion +10%) = **65** GB
	• **At 10% increase per year:**
	  ○ **2026** (65 +6.5 GB)
	  ○ **2036** (year 2035) +170 GB
	
	NOTE: This is all estimation.			

SECURITY				
26.	**The following security measures must be implemented on the external webserver**: **Implement HTTPS Protocol**: Encrypt data transmission **between the user's browser** and **GovNeTT Datacenter / 'Cloud'** to prevent interception and improve trust. **Enforce Input Validation**: Validate user input on both client and server sides to prevent malicious data injection attacks like SQL injection and cross-site scripting.	**M**		

	Utilize **CAPTCHA** and **ReCAPTCHA**: Reduce spam and bot attacks on the forms by best ensuring only humans can submit them. **Apply Data Encryption** Techniques: Use SSL/TLS encryption, end-to-end encryption, and secure protocols to protect data in transit and at rest. **Control File Uploads**: Validate file types, set size limitations per filetype, sanitize file names, and use secure protocols to prevent malicious file uploads. **Deploy Web Application Firewall** (WAF): Filter and monitor traffic to prevent unauthorized access, data theft, and large-scale attacks.			
27.	**The following additional security measures <u>must</u> be implemented on the external webserver**: **The system shall provide a mechanism that ensures data confidentiality and integrity by offering the installation of a VPN client.** **If a VPN connection is established to enhance security beyond HTTPS, the system shall:** 1. Provide explicit notification to the user before initiating the VPN connection. 2. Clearly indicate the purpose and scope of the VPN connection. 3. Allow the user to control or disable the VPN connection after the file analysis is complete.	**U**		

	4. Provide a log entry detailing the VPN connection establishment, duration, and termination. 5. Not install any executable software without explicit user consent.			
28.	**The CMS Solution (only within IC's local area network) can be linked to Active Directory** for Users, Groups and setting permissions.	**M**		
29.	**Data exchange** between the external webserver housed at GovNeTT and the internal CMS Solution is expected over a secure connection via an API of the internal CMS Solution. This also applies to the 'pushing' of information/data to the API of the external Webserver for publishing of Investigations/Complaint Tracking Updates (i.e. onto the "Investigations Tracking" Webpage), confirmation screens that a submission (Declaration or Complaint) was actually received by the internal CMS, etc.	**M**		
30.	**Online forms, post submission, should have no remnant data or data stored on the Webserver, and GovNeTT Datacenter / 'Cloud'**. The exception being the Investigations Tracking Pages/Posts – which already have limited data in case of a breach of the Webserver.	**M**		
31.	**Declaration forms** should **ONLY** allow the **uploading of specific [business-recognized] file types**, e.g. PDF, DOCX, XLSX, JPG, PNG etc. BMP, TXT, LibreOffice file types, etc. **Not** Zip/Compressed/Encrypted file types.	**M**		

	Not executable file types – e.g. PowerPoint executable, .exe, .com, .bat, .cmd, .ps1, ACTION, APK, APP, BIN (binary executable), CAB, COMMAND, CPL, CSH, EX_, GADGET, INF1, INS, INX, IPA, ISU, JOB, JSE, KSH, LNK, MSC, MSI, MSP, MST, OSX, OUT, PAF, PIF, PRG, REG, RGS, RUN, SCR, SCT, SHB, SHS, U3P, VB, VBE, VBS, VBSCRIPT, WORKFLOW, WS, WSF, WSH, etc.			
32.	**Investigations/Complaint forms** should allow the **<u>uploading of multiple files and file types</u>**, e.g. video, documents, etc.	**M**		
33.	**Perform anti-virus/malware scanning**: of all/every document uploaded by any user, whether via online form (on External Webserver) or in-house application interface.	**M**		
34.	**Provide user Roles and Access Control.**	**M**		
35.	**Specify access control for the following tables/list not limited:** i. **Investigations-Complaints-Heatmap-Keywords-LIST**, 1. This is a list/'database' of keywords that are of note to the IC for Investigations' purposes. 2. E.g. Minister, Assault, abuse of position, etc. 3. i.e. a Taxonomy Keyword Search table/list/'database' ii. **Person(s) Exercising a Public Function**, **iii.** **Person(s) in Public Life**.	**M**		
36.	**Log and audit trails must be enabled for all actions** performed within the **complete** solution (including the CMS and external Webserver), including changes by a super user.	**M**		
37.	**<u>All logins need to have 2FA</u>**	**M**		

	The external public-facing system (i.e. the Compliance Declaration Submission Page), even though it has a password protection layer. This is the Server that would be 'interacting with the public' IP Filtering: For back-end to access the admin side of the server in the GovNeTT Datacenter / 'Cloud', the connection must be coming from the Commission's ISP static IP. The internal CMS' admin logins must have 2FA.			
CRITICAL				
38.	**All software licenses, including those for third-party components, utilized in the implementation of the CMS solution, <u>shall</u> be transferred to and managed by the Commission upon completion of the implementation and acceptance testing.**	**M**		
39.	**Non-renewal of software subscriptions should not result in a system lockout.** **i.e. The CMS solution must continue to provide explicit access to all system functions and data in lieu of any subscription expiration.** **The Commission should hold licences of all 3rd party apps.**	**M**		
40.	**Cloud based CMS Solutions will <u>NOT</u> be considered.** **<u>ONLY</u> On-Premise CMS Solutions will be considered.**	**M**		
41.	**Absolutely No part, component and or functionality of this CMS Solution must be able to use any external CLOUD system/platform, etc.**	**M**		

	e.g. the Grammar checker must be completely localized/on-prem and cannot go onto the internet or external cloud to perform its tasks. e.g. Grammarly uses the Cloud to perform its functions and will not be considered.			
42.	**All publicly accessible webpages must be housed on an external webserver within the GovNeTT Datacenter / 'Cloud'** to benefit from the security infrastructure and reduce exposure of IC's IT infrastructure to potential threats. **IC's Core Office Network will not be considered** for **publicly accessible webpages**.	**M**		
43.	**Open-Source (and Closed-Source) CMS Solutions must be considered by the Vendor.** **Open-Source CMS Solutions proposed must be under recognized and/or established 'vendors' e.g. Libre Office has been in existence for 14 years; or under a 'vendor' with a corporate-level-recognition**	**M**		
44.	**Open-Source or Closed-Source CMS Solutions must be covered by full enterprise-grade support.** **Including licensing and/or vendor-manufacturer support – updates, patches, versions, etc.**	**M**		
45.	**A warranty period of three (3) years on the completed signed-off CMS Solution must be provided by the vendor.**	**M**		
46.	**An option for an extended support agreement, offered as a separate service with distinct pricing. This extended support agreement shall define service level objectives (SLOs) and service level agreements (SLAs), including response times,**	**U**		

	resolution times, and availability guarantees.			
TECHNICAL				

47.	**The Rack-Server setup for the external-facing side of the CMS Solution must have its own <u>self-contained</u> password management CMS Solution, that will manage passwords for:**
	1. On the Compliance Declaration 'Portal' – for approximately/at-least 1200 persons (per year)
	    a. Using 2FA for these persons to setup an account and offer options including:
	        i. Their Cell numbers (via SMS)
	        ii. Google authenticator
	        iii. Etc.
	2. On the Investigations Tracking 'Portal' – for approximately/at-least 200 persons (per year)
	    a. This 'portal' will allow persons with simply a USER-ID (unique alpha sequence) and password to track/see the current status of their Investigation/Complaint – akin to tracking the status of an Amazon Package.
	    b. The internal CMS Solution would create an "Investigations Tracking" Webpage/Post specific to that USER-ID, and automatically update (via the 'inside-facing' API of the External-facing webserver) the appropriate fields pertaining to the status of their Investigation/Complaint.
	        i. This "Investigations Tracking" webpage specific to that USER-ID, would be automatically
		M		

	updated, at each relevant step in the Workflow Process of their Investigation/Complaint. **This self-contained password management system**: is separate from the IC's AD/core authentication for external-faced-users. It will however allow back-end logins from the CMS Solution, to setup/reset login credentials either automatically (via the CMS Solution to internal-'facing' webserver API), or manually via IT Admin login-management.			
48.	**The internal side of the CMS Solution must be a VM – the IC has a VM host with significant processing (CPU) and Storage capacity.** **The IC will provide a Rack-Server for the external-facing side of the CMS Solution – e.g. the Server that will be placed in the GovNeTT Datacenter / 'Cloud'.** **The vendor will install (and configure) the appropriate OS and web applications onto the Server.** **This external-facing webserver could also be implemented as a VM to make backups, migrations, etc. simpler.**	**M**		
49.	**The Core CMS Solution must be able to be installed and run on a Linux or Windows Server OS (Windows Server 2022 currently) and be able to run on future Linux or Windows Server OS' (i.e. the Core CMS Solution is fully supported/maintained by the developer).** **The Core CMS Solution must be able to be migrated and run on a Linux Server OS if necessary, in future (i.e. the Core CMS**	**M**		

	Solution is fully supported/maintained by the developer for Linux as well). **i.e. Fully cross-platform** **Same goes for External Webserver – Linux or Windows Server OS**			
50.	**Vendor must 'add' entire CMS Solution to the IC's current Tape Backup Solution, ensuring that the entire CMS Solution (OS-Level – even if the two (2) Servers (External Web-Server & Core CMS Server) are VM's), Storage Repositories/File Stores, Databases, Workflows, Records, Submitted Documents, etc. are all backed-up to Tape.** This holds for both Servers – the internal Core-CMS Server/VM **AND** the External public-facing Server/VM **Documents** and **Documentation**: Vendor must provide actual As-Built Documentation of entire External and Internal CMS Solution, along with network-topology-maps, logical Workflows, etc. **Training** & **Manuals**: Vendor must develop (linked to final As-Built CMS Solution), Administrator and User Training Tutorial Videos and Word **and** PDF Manuals (such that the manual can be updated by the IC in the troubleshooting/knowledgebase sections of the manual for its users and administrators).	**M**		

51.	The IC has an existing Virtual Server Infrastructure to Host the new Core/Internal CMS Solution, which already has significant capacity to accommodate a new high-CPU and storage. The IC will provide a physical server to be placed in the GovNeTT Datacenter / Cloud.	**M**		
	COMPLIANCE			
52.	**Present two (2) options on the online landing page for Compliance:** **1. Submit a new declaration.** **2. Upload additional documents for an existing declaration.**	**M**		
53.	**Submit a new declaration:** **1. Require the Declarant to first enter their [Unique Identifier Number]. And their National ID Card number. E.g. uploading a picture of their National ID (*to be used as reference for authentication*).** **2. Secondly, select the** [Year] **for Declaration** from a drop-down list with the past X years. **3. This is prerequisite to displaying the actual declaration forms.**	**M**		
54.	**Mandatory fields must be enforced** on the online Declaration form to restrict the submission of incomplete forms. **This includes the uploading of specified documents**.	**M**		
55.	**Assets, Liabilities and Income pages should display a default of ten (10) rows**.	**M**		

	A user may iteratively click to add and complete another row up to **fifty (50) rows maximum**.			
56.	**The System must rename uploaded files** to reflect the Year, Declarant, Purpose and 24HRTimestamp. E.g. "**uploaded bank statement.pdf**" renamed "**2024 John Doe Bank Statement 28 Feb 25 0725.pdf**"	**M**		
57.	**Upon submission** of the online Declaration forms: **1. The Declarant must have an option to print the completed declaration forms**. a. **A [Password] must be generated when they first request login credentials to even get into the Declaration Submission area.** **2. The data must be sent via email** to the Declarant's email **and** someaddress1@integritycommission.tt . • **A unique [Declaration Receipt Number] must be generated.** • **A [Password] must be generated (which would/can be used by them to decrypt/view the documents they submitted…see point below "*The rendered PDF must be protected with the password*".** • **The form must be rendered into a PDF.** • **The rendered PDF must be protected with the [Password].** • **The password protected PDF will be sent as an attachment in an Acknowledgement email to the declarant.**	**M**		

	• **The Acknowledgement email must contain but not limited: [Unique Identifier Number], [Declaration Receipt Number], Submission [Timestamp], [*this list can always be finalized with the CMS vendor during implementation*].** • **The [Password] will be sent to the declarant's phone number via SMS (phone number is captured in Form A. as a mandatory field.)** **3. The copy emailed to someaddress1@integritycommission.tt must:** • **be encrypted during transmission to increase security,** • **include the [Password] and [Declaration Receipt Number] as part of the form data** (*for providing support*)**.**			
58.	**Upload additional documents for an existing declaration.** **1. Log in with their specific username & password (that they would have received when they firstly requested login credentials to even get into the Declaration Submission area.** **2. Require the Declarant to first enter their [Unique Identifier Number] and [Declaration Receipt Number].** **3. This is prerequisite to displaying the document upload form.** **4. Select a [Purpose] (for uploading the document**) from a drop-down list of Purposes.	**M**		

	The System must rename uploaded files to reflect the **Year, Declarant, Purpose and 24HR Timestamp**. **a.** E.g. "**uploaded missing document.pdf**" renamed "**2024 John Doe Deed 09 Mar 25 1502.pdf**" **Upon submission:** 1. **A unique [Document Receipt Number] must be generated.** 2. **An Acknowledgement email must be sent to recipient containing but not limited: [Unique Identifier Number], [Document Receipt Number], Submission [Timestamp],** ***[same as above – this list can always be finalized with the CMS vendor during implementation].*** 3. **A copy emailed to someaddress3@integritycommission.tt must:** • **be encrypted during transmission** (*to increase security.)*, • **include the [Declaration Receipt Number] and [Document Receipt Number]** • **include the uploaded document as an attachment**.			
59.	**When a new Declaration email is received** at someaddress1@integritycommission.tt **an automated workflow should be triggered** to file the declaration; and an email/notification send to Director of Compliance. *Custom email subjects can be used to increase filtering and reduce spam triggering a workflow.*	**M**		

	1. **Upload the Form data to the "Declarations"** table (linear row containing all fields). 2. **From the submitted data, determine if a File already exists for the declarant**, the File name consists of [**Unique Identifier Number**] e.g. **/3164578454** 3. **If a File already exists**, upload the electronic documents to this file. 4. **If a File does not exist**, create a New File, then upload the electronic documents to that file. 5. **Send an email notification to the Director of Compliance** including [**Date** Received]**,** [**Unique Identifier Number]**, [**Year]** of submission, [**National ID]**, [**First name]**, **[Last name], [Email]**, "**Declarations:** [**AutoID]**".			
60.	**Allow the Director of Compliance to initiate / first step the compliance workflow or assign to delegate.**	**M**		
61.	**Allow the Director of Compliance/Delegate to flag a submission as [Duplicate] or [Fake]:** ***For [Duplicate]:*** 1. Allow the user to add a reference (metadata) to the original submission. 2. Automatically update the original with a reference (metadata) to the duplicate submission. 3. All files associated with the duplicate submission must also inherit the [Duplicate] flag.	**M**		

	4. Submissions and files flagged as [Duplicate] should be hidden from the default view but remain available for search/report generation. ***For [Fake]:*** 1. All files associated with the fake submission must also inherit the [Fake] flag. 2. Submissions and files flagged as [Fake] should be hidden from the default view but remain available for search/report generation.			
62.	**When a new Compliance document ("*request for further particulars" (additional information)*) upload email is received** at someaddress3@integritycommission.tt **an automated workflow should be triggered** to file the attached document. *Custom email subjects can be used to increase filtering and reduce spam triggering a workflow.* 1. **Locate the file using the [Unique Identifier Number].** 2. **Upload the additional document to the file.** 3. **Send an email notification to the** Declarant including [**Date** Received]**, [Unique Identifier Number]**, [**Document Receipt Number]**, [Document **Filename]**.	**M**		
63.	**Maintain a list of Annual Declarants / Persons in Public Life** [AutoID, **Unique Identifier Number,** Year, National ID, First name, Last name, Email] with the ability to **filter across ANY, SOME and ALL fields**.	**M**		

64.	**Allow the designated person to manipulate the Annual Declarants list** by performing single or bulk add, edit, delete or upload from file.	**M**		
65.	Once the form data is uploaded to the **"Declarations"** table, the system must automatically generate the NetWorth Analysis and Note to Commission.	**M**		
66.	Upon review (of the newly uploaded Declaration) by **the Director of Compliance/Delegate, the declarations workflow** should be initiated as per the established flowchart.	**M**		
67.	**At the end of the Declaration workflow**, if the Declaration is certified, an electronic copy of **the Certificate must be automatically emailed to the Declarant**.	**M**		
68.	**The system must provide, at a minimum, the following Reports:** • Sort the information by Board, Category of Person in Public/ Different Periods or Fixed Value, Time Value/ Time Periods. • Declarants who did not file. • Declarants who were sent letter(s). • Years filed by a Declarant and the years certified. • Declarants ex-parted and date served. • Those Persons who filed in response to the ex-parte order and paid costs.	**M**		
INVESTIGATION				
69.	**There are five (5) ways an Investigations Complaint can be submitted:** 1. Electronically via the online form.	**M**		

	2. Via a hardcopy letter 3. Via E-mail 4. Directly attending the Commission's office, filling out and submitting an Investigations Complaint Form 5. Fax **If options 2, 3, 4 or 5 are used, then a Digital version** (Paper → .PDF, or Email → .EML file) **must be capable of automatically starting the investigations workflow** (*PDF /EML can be saved to a shared folder/queue*).			
70.	**Present two (2) options on the online landing page for Investigations:** 1. Submit a new complaint. 2. Access an existing complaint. 2.1 View status of complaint. (i*.e. 'Investigation Tracking' – akin to Amazon Package Tracking, or TTPOST, etc.)* 2.2 Upload additional documents.	**M**		
71.	**Submit a new online complaint:** 1. **Complainant must first select which category of persons** under the IPLA the Complaint is about/against, from a drop-down list: • **[Person(s) Exercising a Public Function]** • **[Person(s) in Public Life]** • **[Person(s) Exercising a Public Function and Person(s) in Public Life]** • **[Unsure/Unknown]**	**M**		

	2. **Once the above option is selected, the Complaint form will be displayed** for completion.			
72.	**The online form must allow Complainants to upload multiple supporting documents.** • The system must allow an assigned user to add a "Block" to stop further uploads to a complaint file. • A disclaimer must be displayed once a block is applied. *E.g. Disclaimer – Uploading further documents has been blocked, if you believe this to be an error, please contact our Registrar directly at registrar@integritycommission.org.tt*	**M**		
73.	**Upon submission** of the online Complaint form: **1.** Generate a unique [**Complaint Receipt Number**] and [**Password**], with two options: i. Allow persons to change the P/W (with mandatory P/W requirements and a Dictionary/Common password list to prevent bad/poor password creation) ii. OR prevent them from changing the P/W outright. **2. The Complainant must have an option to print the completed form, including the [Complaint Receipt Number**] and [**Password**].			

	A disclaimer: Please take the opportunity to print your submission now as this option will not be available once you navigate away from this page. **3.** If the complainant provided a reply email address, **send an acknowledgement email containing**: a. **Reply address:** someaddress5@integritycommission.tt b. **[Complaint Receipt Number**] in **Subject and Body**, c. **In an encrypted file:** i. **All the information submitted by the complainant and** ii. **Include all uploaded documents as attachments**. d. Instructions on getting updates: i. For updates reply to this email…or… e. **The** [**Password] will be sent to the Complainant in a separate subsequent email (which may be unencrypted).** **4.** If the complainant provided a phone number, **send an acknowledgement SMS containing**: a. **Reply address: someaddress5@integritycommission.tt** b. **[Complaint Receipt Number**] c. Instructions on getting updates: i. For updates send an email to…or… d. **The** [**Password] will be sent to the Complainant in a separate subsequent SMS.**			

	5. **Send an encrypted email** to someaddress2@integritycommission.tt **containing:** a. **[Complaint Receipt Number**] and [**Password**] (*for providing support*), b. **All the information submitted by the complainant and** c. **Include all uploaded documents as attachments**. The **[Complaint Receipt Number**] would be used by a complainant to track the status of a Complaint.			
74.	**When a new complaint email is received** at someaddress2@integritycommission.tt **an automated workflow should be triggered** to file the complaint. 1. **Upload the Form data to the CMS Solution "Complaints" holding queue.** 2. **Create a New File**, then upload the electronic documents to that file. 3. Update the **Complaints entry with the File location**. 4. **Send an email notification** to the Director of Investigations including ["Complaints: **AutoID**", Date **Received**].	**M**		
75.	**"Complaints" holding queue -** When Form data is uploaded: 1. Mark the new complaint entry as "**Unreleased**". 2. **Automatically assign a chronological [Complaints Queue Number]** e.g. TMP-0000002, TMP-0000003,	**M**		

	TMP-0000004 (sample format only for demonstrative purpose.)
	3. **Automatically generate a "Heatmap/Scoring"** of the keywords in the "Complaint" referencing the following tables/lists.
	  a. **Investigations-Complaints-Heatmap-Keywords-LIST,**
	  b. **Person(s) Exercising a Public Function,**
	  c. **Person(s) in Public Life.**
	4. **Automatically generate a "Complaint Summary" and "Complaint Analysis"** referencing the above tables/lists. i.e. a ChatGPT-type (On-Prem AI-Generated) summary of the entire submitted Complaint in the form of a Report.
	5. **Allow the Director of Investigations to review** the Heatmap/Scoring, Complaint Summary and Complaint Analysis.
	6. **Allow the Director of Investigations to manually assign** the next chronological [Internal IC Investigations Filing Number] e.g. 4/3/125, 4/3/126, 4/3/127 to any "Unreleased" Complaint without sequence.
	I.e. 4/3/125> TMP-0000003, 4/3/126>TMP-0000004, 4/3/127>TMP-0000002.
	7. **Allow the Director of Investigations to assign to themself and or an Investigations Unit Investigator, and or team/AD group**.
	8. **Mark the complaint entry as "Released",** upon assignment.			

	9. **Continue the Investigations** workflow as per the established flowchart.			
76.	**"Complaints" holding-queue– Flags:** • Importance-Level [,] • Time Sensitivity [,] 1. **A manual status update feature** (e.g. reviewed and needs to go to the Director of Public Prosecutions). - A dropdown and/or checkboxes 2. **These flags may trigger additional actions** like sending an email to the Registrar, etc.	**M**		
3.	**The System must rename the electronic files** to include the counter (**e.g. counter value 997**). • E.g. Record/Complaint 4/3/123 in the CMS Solution will have attachments: "**001 - First file uploaded by complainant.pdf**", "**002 - Second file uploaded by complainant.pdf**", etc. • The counter can be a date-time stamp in front of the filename. • The counter should be editable.	**M**		
4.	Access an existing complaint **> Upload additional documents for an existing complaint** **(***This will only apply if the complainant provided a reply email address or phone number when submitting the initial complaint.*)	**M**		

	1. Require the Complainant to first enter the [Complaint Receipt Number] and [Password]. **2. This is prerequisite to displaying the document upload form.** **3. Upon submission of the uploads:** a. Generate a unique [**Document Receipt Number**]. b. **send an acknowledgement email to complainant containing**: **i. [Complaint Receipt Number**], [**Document Receipt Number**], [**Submission Timestamp],** ***[this list can always be finalized with the EDRMS vendor during implementation]*** ii. **Include all uploaded documents as attachments**. **4. Send an encrypted email** to someaddress4@myemaildomain.com **containing:** a. **[Complaint Receipt Number**] and [**Document Receipt Number**] (*for providing support*), b. **Include all uploaded documents as attachments**.			
5.	**When a new document upload email is received** at someaddress4@integritycommission.tt **an automated workflow should be triggered** to file the attached document. 1. **Locate the file using the [Complaint Receipt Number].** 2. **Upload the additional document to the file.** **3. Perform character recognition if applicable.**	**M**		

	4. **Send an email notification to Director of Investigations** including [**Date** Received]**, [Complaint Receipt Number]**, **[Document Receipt Number]**, [Document **Filename], *[this list can always be finalized with the CMS vendor during implementation].***			
6.	**Complainant can obtain an update (*status*) on a complaint by using the online form.** Access an existing complaint **> View status of complaint (online)** **(***This will only apply if the complainant provided a reply email address or phone number when submitting the initial complaint.*) 1. **Require the Complainant to first enter the [Complaint Receipt Number] and [Password].** 2. **This is prerequisite to displaying the status details:** **e.g. Your Complaint [Complaint Receipt Number] was "Assigned to an Investigator"** **e.g. Your Complaint [Complaint Receipt Number] is "Being reviewed"** **e.g. Your Complaint [Complaint Receipt Number] "Has been closed"** • **A disclaimer must be displayed on the tracking page.**	**M**		

	E.g. Disclaimer – if you believe this to be an error, please contact our Registrar directly at registrar@integritycommission.org.tt			
7.	**Allow Complainants to submit complaints via a hardcopy Complaints Form:** **1.** Once the hardcopy is received and scanned to a shared location, the system interface must allow: • An IC assigned user to **automatically access/upload the scanned copy**. • **Perform character recognition**. • **Recognize the zones** if the official complaints form was used. • Populate the **Complaints holding queue** if the official complaints form was used. • **Allow the user to enter/validate/update text** in the Complaints holding queue. • **Generate a [Complaint Receipt Number] and [Password]**. • **Create a New File**, then attach the digital form to that file. • Update the **Complaints holding queue** entry **with the File location**. When a user is releasing from the queue, we can assign a file number/the system will present the next unused file number. • Allow the user to **Print the submitted Complaint** including: a. **[Complaint Receipt Number]** b. All the information submitted by the complainant, c. Instructions on getting updates – since they used the paper method.	**M**		

	d. **A disclaimer:** Please take the opportunity to print your submission now as this option will not be available once you navigate away from this page. 2. **If the complainant provided a reply email address**, send an acknowledgement email containing: a. Reply address: someaddress5@myemaildomain.com , b. [Complaint Receipt Number] in Subject and Body, c. All the information submitted by the complainant, d. Include all scanned documents as attachments, e. Instructions on getting updates. f. The [Password] will be sent to the Complainant in a separate subsequent email (which may be unencrypted). **3. If the complainant provided a phone number, send an acknowledgement SMS containing:** a. Reply address: someaddress5@integritycommission.tt b. [Complaint Receipt Number] c. Instructions on getting updates: For updates send an email to…or… d. The [Password] will be sent to the Complainant in a separate subsequent SMS. 4. **Send an email notification to the Director of Investigations including [“Complaints: AutoID”, Date Received].**			
8.	**Allow Complainants to submit complaints via Hardcopy Letter/Fax/Directly attending the Commission’s office:** Once the hardcopy is received and scanned to a shared location, the system interface must allow:	**M**		

	1. An IC assigned user to automatically access/upload the scanned copy. 2. Perform character recognition. 3. Recognize the zones if the official complaints form was used. 4. Populate the Complaints holding queue if the official complaints form was used. 5. Allow the user to enter/validate/update text in the Complaints holding queue. 6. Allow the user to validate and correct extracted text. 7. **Generate a [Complaint Receipt Number] and [Password]**. 8. **Create a New File**, then attach the digital form to that file. 9. Update the **Complaints holding queue** entry **with the File location**. 10. When a user is releasing from the queue, we can assign a file number/the system will present the next unused file number. 11. Allow the user to **Print the submitted Complaint** including: a. **[Complaint Receipt Number]** b. All the information submitted by the complainant, c. Instructions on getting updates – since they used the paper method. 12. **If the complainant provided a reply email address**, send an acknowledgement email containing: a. Reply address: someaddress5@myemaildomain.com , b. [Complaint Receipt Number] in Subject and Body, c. All the information submitted by the complainant, d. Include all scanned documents as attachments, e. Instructions on getting updates.			

	f. The [Password] will be sent to the Complainant in a separate subsequent email (which may be unencrypted). 13. **If the complainant provided a phone number, send an acknowledgement SMS containing:** a. Reply address: someaddress5@integritycommission.tt b. [Complaint Receipt Number] c. Instructions on getting updates: For updates send an email to…or… d. The [Password] will be sent to the Complainant in a separate subsequent SMS. 14. **Send an email notification** to the Director of Investigations including [“Complaints: **AutoID**”, Date **Received**].			
9.	**Two tables will be associated with the complaints workflow which requires access control:** a. **Persons Exercising Public Functions** “Table” b. **Investigations-Complaints-Heatmap-Keywords-LIST** “Table” • “**Edit**” for Investigations Unit. • “**Read**” for Compliance Unit.	**M**		
10.	**Updates to the Complaints holding queue** will be facilitated only through the Investigation workflow interface.	**M**		
11.	**The system must provide, at a minimum, the following Reports and/or A Report containing the following information:** • Case by Status • Case by Assignee • Date of Complaint	**M**		

	• Complaints received by year • Complaint of High Importance • Complaints with Heatmap rating of Very High for 2023 • Matters closed by year • Matters referred to the DPP • Matters requiring section 5 intervention • Matters in which applications were made to Court for information			

Appendix IV – Example of Compliance Database Contents

A	B	C	D	E	F	G
FILE NUMBER	YEAR OF FILING	TITLE	FIRST NAME	LAST NAME	CATEGORY	BOARD OR POSITION
D1234	2021	Mrs.	Jane	Doe	State Enterprise	InvesTT
D5678	2020	Dr.	John	David	Statuatory Body	Osha
D9101	2019	Mr.	Joe	Dale	Minister of Government	National Security
D1213	2018	Ms.	Judy	Dolly	Senator	Parliament

H	I	J	K	L	M	N	O
EMAIL	CONTACT NUMBER	FORM A	DATE FILED	FORM B	DATE FILED	EX PARTE	DATE OF EX PARTE FILED
jdoe@gmail.com	868 677 1234	YES	1st June 2022	YES	1st June 2022	N/A	N/A
jdavid@hotmail.com	868 677 1235	YES	2nd April 2021	NO	PENDING	N/A	N/A
jdale@yaho0o.com	868 677 1236	NO	PENDING	NO	PENDING	YES	2nd May 2022
jdolly@live.com	868 677 1237	YES	12th April 2022	YES	12th April 2022	YES	2nd February

P	Q	R	S	T	U	V
COURT ORDER	DATE OF ORDER	ORDER SERVED	DATE OF SERVICE	COMPLIED WITH FILING	COMPLIED WITH COST	JUDGEMENT REGISTERED
N/A	N/A	N/A	N/A	N/A	N/A	N/A
N/A	N/A	N/A	N/A	N/A	N/A	N/A
YES	3rd June 2022	YES	29th June 2022	NO	NO	YES
YES	3rd March 2022	YES	2nd April 2022	YES	YES	N/A

W	X	Y	Z	AA
DATE OF REGISTRATION	PRELIMINARY EXAMINATION	QUERIES SENT OUT	RESPONSES PROCESSED	EXAMINED AND RECOMMENDED FOR CERTIFICATION
N/A	COMPLETED	N/A	N/A	YES
N/A	COMPLETED	YES	NO	N/A
3rd July 2022	N/A	N/A	N/A	N/A
N/A	COMPLETED	YES	YES	YES

AB	AC	AD	AE	AF
FURTHER QUERIES	RESPONSES PROCESSED	CERTIFICATE OF COMPLIANCE ISSUED	DATE OF ISSUE	COMMENTS AND NOTES
N/A	N/A	YES	1st August 2022	
N/A	N/A	NO	N/A	
N/A	N/A	NO	N/A	
YES	NO	NO	N/A	

END OF DOCUMENT