



Infrastructure
Transparency
Initiative

Uganda

Ray of Sun Shine

A Report of the Fourth
Assurance Process in Uganda

Strengthening Economies and Improving Lives

February 2021

Acknowledgements

CoST Uganda expresses its appreciation to the Government of Uganda through the Ministry of Works and Transport, the Champion of CoST in Uganda, for its stewardship of the programme.

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We further extend our gratitude to the Public Procurement and Disposal of Public Assets Authority (PPDA) which has embraced the work of CoST under the campaign to promote fair business practices between Government and the Private Sector (Contractors and Consulting Engineers). We commend this partnership with the expectation that stakeholders will continue to engage with integrity in the delivery of public infrastructure processes.

We are indebted to all the contractors, consultants, project managers, institutions and communities where the 4th Assurance process was conducted. It is our sincere hope that the recommendations, key observations and comments from this CoST Assurance report will help stakeholders in better implementation, monitoring of ongoing projects and designing of future projects.

CoST Uganda also appreciates the CoST Assurance Team, CoST International Secretariat peer review team and CoST Uganda Team, the development partners and funders of CoST Uganda Chapter, CoST International Secretariat and the FCDO's Business Integrity Initiative (BII) through the IMC World Wide without whom this Assurance and disclosure processes would never have been achieved.

Thank you all for your contributions towards the realization of quality infrastructure, stronger economies and better lives.

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Abbreviations and Acronyms

AF	Additional Funding
AfDB	African Development Bank
AFIC	Africa Freedom of Information Centre
AP	Assurance Professional
BC	Binational Committee
BGH	Busolwe General Hospital
CBOs	Community Based Organizations
CG	Central Government
CISCOT	Civil Society Coalition on Transport Sector
CoST	Construction Sector Transparency Initiative
DFID	Department for International Development
EIB	European Investment Bank
ESIA	Environmental and Social Impact Assessment
ESSA	Environmental and Social Systems Assessment
ESHSS	Environmental Social Health and Safety Safeguards
EU	European Union
FDI	Foreign Direct Investments
FY	Financial Year
GoU	Government of Uganda
GPP	Government Procurement Portal
HC III	Health Center three
HCII	Health Center two
HIDPCs	Heavily Indebted Poor Countries
ICT	Information Communication Technology
IDA	International Development Association
IDA	International Development Association (World Bank)
IDS	Infrastructure Data Standard
JTSR	Uganda's Joint Transport Sector Review
KCCA	Kampala Capital City Authority
KGH	Kawolo General Hospital
KIIDP	Kampala Institutional and Infrastructure Development Project
LG	Local Government
LTD	Limited
MAAIF	Ministry of Agriculture, Animal Industry and Fisheries
MoES	Ministry of Education and Sports
MoFPED	Ministry of Finance, Planning, and Economic Development

MoLG	Ministry of Local Government
MoU	Memorandum of Understanding
MoWT	Ministry of Works and Transport
MSG	Multi-Stakeholder Group
MWE	Ministry of Water and Environment
NBRB	National Building Review Board
NCIP	National Construction Industry Policy
NDP II	National Development Plan II
NGOs	Non-Governmental Organizations
NWSC	National Water and Sewerage Corporation
OAG	Office of the Auditor General
OFID	OPEC Fund for International Development
OPM	Office of the Prime Minister
OSBP	One Stop Border Post
PAPs	Project Affected Peoples
PDE	Parallel Bid Evaluation
PDU	Procurement and Disposal Unit
PE	Procuring and Disposing Entity
PEs	Public enterprises
PPDA	Public Procurement and Disposal of Public Assets Authority
PWD	Persons with Disability
PWDs	Persons with Disabilities
RAP	Resettlement Action Plan
TOR	Terms of Reference
UBOS	Uganda Bureau of Statistics
UgIFT	Uganda Intergovernmental Fiscal Transfer Programme
UgSh	Uganda shillings
UIPE	Uganda Institution of Professional Engineers
UK	United Kingdom
UNDP	United Nations Development Program
UNMA	Uganda National Meteorological Authority
UNRA	Uganda National Roads Authority
WB	World Bank
WDLG	Wakiso District Local Government



The Fourth Assurance Process In Uganda

Word from the Champion

I am pleased to present the “**Ray of Sun Shine, A Report on the Fourth Assurance Process in Uganda**” on 23 public infrastructure projects to the people of Uganda. The 4th Assurance Process was conducted in the key sectors of Government including; Health, Education, Water and Environment, Works and Transport, with the support of the Government of Uganda through the Ministry of Works and Transport. Infrastructure projects are critical to national development and this explains why a significant proportion of government expenditure is dedicated to infrastructure development. And yet, design and execution of these projects quite often is faced with serious challenges such as mistrust, unfair business practices, secrecy, inefficiency and corruption all of which undermine performance, value for money and value for many.

The Ministry of Works and Transport has been a Champion of CoST Uganda since February 2017 and has since continued to promote the CoST approach of Disclosure, Assurance, Multi-Stakeholder Working and Social Accountability to address risks associated to lack of transparency in the delivery of public infrastructure projects across all sectors.

I congratulate CoST Uganda and the eight (8) Procuring and Disposing Entities, and especially the Project Managers for their tireless efforts to enable the successful completion of the 4th Assurance Process, amid the COVID-19 pandemic and the electioneering process. This commitment and expression of partnership is evidence of Government’s commitment to transparency and accountability in crisis situations. We receive the findings and recommendations from this Assurance and commit to taking action to address them.

With the intervention of CoST, transparency and disclosure of project information has improved, while public participation has enabled multi-stakeholder working across project stakeholders, and informed the service delivery accountability processes, we have also observed progress in improved trust, competition and fair business practices between Government, the Private Sector (Contractors/ Consulting Engineers) and the citizens.

Government has taken strides in adopting the Infrastructure Data Standard, this is evidenced by the increase in levels of disclosure from 42% to 61.5% generally in the 3rd and 4th Assurance processes respectively. Considering the levels of disclosure, we see that the culture of transparency is taking root in the country, with the assurance processes working as a learning tool to consolidate disclosure practices. Although the process involves different entities in each process with a few entities consistently engaging in Assurance, the national average levels of disclosure have improved, for instance, in the 3rd Assurance Process, proactive disclosure was at 43% and has improved to 54% in the 4th Assurance process, whereas, reactive disclosure was at 42% in the 3rd Assurance process and has increased to 69% in the 4th Assurance process.

I congratulate all stakeholders for this progressive improvement, especially, entities that have engaged in previous Assurance processes. **Government re-assures CoST International of our commitment to enhance disclosure so as to improve transparency and citizen participation in public infrastructure delivery processes, especially by putting in place a standard disclosure template, issuing guidelines for disclosure and enabling the entities to update public platforms more often.** Our target is to realize full disclosure across all Government systems in the next two financial years.

Government through the Public Procurement and Disposal of Public Assets Authority and the Ministry of Finance, Planning and Economic Development, has embraced the fair business practices agenda, an initiative that CoST Uganda has been promoting in the last one year, through adopting the Open Contracting for Infrastructure Data Standard (OC4IDS) in the ongoing development of the Electronic

“ Our target is to realize full disclosure across all Government systems in the next two financial years. ”

Government Procurement platform (E-GP) and the progressive updates on the Government Procurement Portal (GPP). We will seek CoST International's support in enabling the complete alignment of this standard to the platforms to realize full disclosure and enhance transparency, competition, fairness and participation of the private sector in public infrastructure procurement processes.

This year's CoST Assurance report provides examples that demonstrate CoST's potential in informing the change we want as a country. Government takes keen interest in this report and is committed to enhance full disclosure of public infrastructure projects, take action on reducing time and cost overruns, enhance project planning and management, inclusion and fair business practices,

competition and participation of the private sector, monitoring construction quality, strengthening the procurement system to address inefficiencies such as delays and inadequate due diligence of providers, ensuring public officials adhere to procurement guidelines, standardization of disclosure frameworks, issuing guidelines for infrastructure data disclosure, enhancing local content and private sector participation and improving citizen engagement at all project delivery stages.

Across the world, CoST is known to be a catalyst for positive change in public infrastructure and thus it is our interest that CoST Uganda continues to publish several assurance reports every year. With the COVID-19 experiences and challenges to our infrastructure across the various sectors, we strive to achieve the maximum impact through implementing CoST features to deliver better infrastructure that builds our economy and improves people's lives.

For God and My Country!



GENERAL EDWARD KATUMBA WAMALA
Minister of Works and Transport

Statement of Validation from Assured Entities

On the 27th day of January 2021, representatives from eight Procuring and Disposing Entities gathered at the Golf course hotel in Kampala for a joint validation workshop of the 4th Assurance Report produced by CoST Uganda. The stakeholders discussed, validated and confirmed the findings, recommendations and observations from the 4th Assurance Process on selected public infrastructure projects.

The representatives noted that, the Assurance process was conducted on twenty three (23) projects from Uganda National Roads Authority (UNRA), Kampala Capital City Authority (KCCA), National Water and Sewerage Corporation (NWSC), Wakiso Local Government, Ministries of Education and Sports, Water and Environment, Parliament of Uganda, Health and the Ministry of Works and Transport in the period February 2020 through January 2021.

Acknowledging the challenges brought about by the COVID-19 pandemic and the national electioneering period, the Procuring and Disposing Entities appreciated the readiness, commitment and support of CoST Uganda in providing a second eye on the performance of the respective projects, and also appreciated the Project Managers and Teams who tirelessly provided data, access to project sites, and made comments on the Assurance findings. CoST Uganda held individual engagements with the Procuring and Disposing Entities on respective project findings for initial verification of the information in the Assurance report prior to the joint validation workshop.

Recognizing the value of verifying disclosed public infrastructure data, as a one critical process of ensuring credibility and validity of information to be consumed by stakeholders and the general public. The representatives of the Procuring and Disposing Entities affirmed that, this report contains correct and valid information, findings and recommendations. The entities expressed commitment to take action on the recommendations to enhance performance of public infrastructure projects. The representatives also implored the stakeholders and the general public to take note and make good use of the report for further action.

Government of Uganda through MoWT reinstates its commitment for transparency towards infrastructure transparency through realising full disclosure in the next two financial years.

Executive Summary

Statement on the 4th Assurance Process

The 4th Assurance Process focused on 23 public infrastructure projects being implemented across eight (8) Procuring and Disposing Entities. The Assurance process was spread through the sectors of Health, Education, Water and Environment, Works and Transport, roads, buildings and Bridges. The Procuring and Disclosing Entities (PDEs) that participated in the 4th Assurance process included; Ministry of Works and Transport (7 projects), Kampala Capital City Authority (3 projects), Ministry of Education and Sports (1 project), Ministry of Health (3 projects), Uganda National Roads Authority (UNRA) (4 projects), Ministry of Water and Environment (1 project), National Water and Sewerage Corporation (2 projects), Wakiso District Local Government, (2 projects).

The methodology applied in the 4th Assurance was informed by the CoST International Assurance Manual which provides for disclosure using the CoST Infrastructure Data Standard (IDS), analysis of disclosed twenty seven (27) reactive and forty one (41) proactive data points by the CoST Assurance Team, turning it into compelling information and identifying areas of concern and; good practices for stakeholders to engage with. The 4th Assurance process assessed a list of indicators including, reactive and proactive disclosure, Tender Management and transparency, Deviation from policy regulations, procurement guidelines, cost and time overruns, Projects financing and source of funds, Construction management and Quality, health and safety safeguards, Stakeholder engagement and Inclusiveness (Women, PWDs, and youth) and Feasibility studies.

We see that the culture of transparency is taking root in the country, with the CoST Assurance process working as a learning tool to consolidate disclosure practices. Although involving different entities in each process, the global average levels of disclosure have improved. Disclosure across the 23 projects was at an average of 61.5%, an increase of 19.2% from the 3rd Assurance process which was at 42%. Proactive disclosure increased from 43 to 54% whereas reactive disclosure tremendously increased from 42% to 69%. Proactive disclosure refers to information/data published by public entities without request, such information is basic project information that is published across official public information platforms. Whereas, reactive disclosure is information/data published upon request by the public through the existing legal and policy framework. The increase in disclosure reveals a growing commitment and appreciation of the right of access to information upon request by public officials. Across the five phases of disclosure, it was noted that, in the 23 projects, disclosure staggered with limited data disclosed on project identification and preparation. There was more data disclosed reactively on project implementation and procurement. We have also noted a growing interest in the Assurance Process by Procuring and Disposing Entities. For instance, entities including Uganda National Roads Authority, Ministry of Works and Transport, Ministry of Education and Sports, Ministry of Health, Kampala Capital City Authority, Ministry of Water and Environment and Wakiso District Local Government have continued to recommend and participate in the Assurance Process. The only new Procurement Entity in this Assurance Process was National Water and Sewerage Corporation.

The national average levels of transparency have improved revealed by the increase in disclosure from 42% in 2019 to 61.5% in 2020.

Key findings from the 4th Assurance Report reveal progress in the levels of proactive and reactive disclosure which is attributable to the sustained advocacy by CoST Uganda which has engaged more PDEs and included more projects in the Assurance process. There were concerns of limited consultations between Local and Central Government on centrally procured hybrid projects, which has highlighted the need for continuous monitoring and supervision. Much as disclosure is improving, it was noted that, there was limited data on official entity platforms as much of this was disclosed across donor platforms which may not be known by the public. In many instances, disclosed data was inconsistent, inaccurate and outdated. Of the 23 projects, nine projects disclosed time overruns, only five disclosed cost overruns, whereas 2 projects disclosed cost savings. Time overruns were mainly attributed to delays in procurement, COVID-19, contract cancellations especially for KCCA's Lot 2 and Lot 3. Whereas, cost overruns were mainly attributed to scope changes and changes in designs.

Twenty two of the Assured projects cost approximately Uganda shillings 4.6 Trillion this is USD 1,272 Million. Most of the projects were not yet at the contract award stage. By the time of this Assurance, they were still in procurement and thus are likely to experience cost variations by the time of implementation or not. Across the 23 projects, loans taken were up to 62%, whereas GoU contributed 25% and grants amounted to 12% and 43% of the data required to further assess funding for the projects was not disclosed. Lack of full disclosure affects effective analysis and feedback to stakeholders on such critical issues of funding.

Regarding Environmental, Social, Health and Safety requirements, despite the low levels of disclosure on this indicator, findings revealed an improvement in adherence to health safeguards, adherence to COVID19 provisions for some projects under Ministry of Health. However, most projects did not have measures to observe these provisions. For instance, the KCCA KIIDP 2 Batch 2A Lot 1 Project, some of the toilets were not operational and had caused potential health hazards to the project staff. The same project had supervisors from the contractor who were seen smoking near their subordinates and in a non-regulated area. Under MoWT's Border posts, ramps for PWDs were constructed but the access was not altered to cater for the wheels of the bicycles, there was dampening of walls in some locations, and tiles had peeled off at the toilets, leaking urinals at Elegu, poor drainage across the border posts that often led to floods especially at Elegu. Under MWE's, Bushenyi project site Workers for Bujenje Contractors did not have safety wear, whereas, UNRA's Soroti – Katakwi Akisim road encountered silting along the carriage way, fallen over safety awareness materials and in some instances, safety information was not provided such as along the quarry sites on Kyenjojo – Kabwoya. There were fatalities reported such as an accident resulting in multiple fatalities was reported on Kyenjojo – Kabwoya in February 2020. This resulted in delays of up-to 4 months as investigations were on-going.

There was a good level of involvement for Women and Youth during the project implementation process for most of the projects with UNRA emerging the most transparent with the highest levels of local content, and women involvement in the road projects taking up key personnel roles such as Sociologists, CAD Technicians, Lab Technicians, among others. Compliance with local content and inclusion was progressive in a few entities. The proportion of projects going to local and foreign firms, for supervising contracts 9% went to local consultants, 30% to foreign consultants, 9% were joint ventures whereas 52% of the data required to assess this indicator was not disclosed. For the works contracts 35% of the contracts went to local contractors whereas 22% went to foreign firms. There were no joint ventures under works contracts and 43% of the data required to further establish this indicator was not disclosed. However, local content provisions were found more implementable in Government of Uganda funded projects since donors did not consider these as part of their regulations even when the legal framework in Uganda provides for this. Findings also revealed that, more projects were still being implemented by the Chinese firms and adherence to the Public Procurement and Disposal of Public Assets Authority Reservation Schemes of 2018 was still low.

Across the 23 projects, there was presence of Environmental and social Management plans to guide in the execution of the projects except for the few projects that had not yet started/procured a civil works contractor. Uganda National Roads Authority projects also disclosed the presence of several social awareness campaigns that were carried out along the road projects. Some projects benefited from the stakeholder engagement approach such as the Sembabule Water Supply and Sanitation project under National Water and Sewerage Corporation which did not compensate any land owners, since they had willingly handed over their land for infrastructure development. Whereas, some projects incurred more costs resulting from additional works such as UNRA's Soroti – Katakwi Akisim that experienced additional 16.38km of town roads resulting into additional Ugx 50 billion expense.

Resulting from the findings, the 4th Assurance process recommends that;

1. Government through Public Procurement and Disposal of Public Assets Authority (PPDA) is encouraged to issue a standard disclosure template of key activities undertaken in infrastructure projects and it should be implemented by all PDEs. This should be accompanied with associated guidelines on how infrastructure data should be disclosed. The CoST Infrastructure Data Standard (IDS) and the Open Contracting for Infrastructure Data Standard (OC4IDS) provides for such a standard.
2. PDEs should ensure, regular updates of the public disclosure platforms and establish internal data management and retrieval systems for infrastructure data. NITA – U should assist PDEs to put up robust systems to address this.
3. Ministry of Finance, Planning and Economic Development and PPDA are encouraged to fast track alignment of the Electronic Procurement Portal (E-GP) and the Government Procurement Portal (GPP) to the OC4IDS to enable full disclosure and categorization of procurement data.
4. PPDA should amend the Standard Notice of Best Evaluated Bidder to provide for the estimated value of the works made by the Accounting Officer at the initiation of the procurement. This is important for confirmation that the contract price of the Best Evaluated Bidder is below the Accounting Officer's estimate in accordance with the PPDA Act, 2003.
5. PPDA and the Local Content Monitoring Committee are encouraged to conduct quarterly monitoring of the implementation of the local content and reservation schemes in accordance with the Local Content Guidelines. In addition, these guidelines should be turned into regulations and provide sanctions on noncompliance. PPDA and MoFPED should assess the efficacy of the guidelines annually. The Accounting Officers should ensure that the monthly and quarterly contract reports to be submitted by the Contract / Project Manager and the Procurement and Disposal Unit respectively as provided for under the PPDA (Contracts) Regulations, 2014, are appropriately furnished and assessed.
6. PPDA should require PDEs to publish the contract management plans on the PDEs websites and in related media so that the public and civil society can effectively follow up on the progress of projects. In addition, PDUs should ensure that they monitor the progress of contracts in accordance with the PPDA (Contracts) Regulations, 2014.
7. PDEs, PPDA, MoWT, OPM and MoFPED should reinforce joint stakeholder Monitoring and Evaluation efforts for infrastructure projects with other stakeholders such as CoST Uganda to ensure compliance with national legislation and best practices in a bid to promote value for money.

8. PDEs should recommend to PPDA for suspension the contractors that substantially breach their contractual obligations in accordance with the PPDA Act, 2003. This will curtail cases of contractors successfully participating in tenders in different PDEs while having a poor performance track record.
9. PPDA should conduct awareness raising workshops for PDEs and contractors on the application of the ESHS requirements in the revised Standard Bidding Document for works, and ensure that all projects have established provision of GRC (Grievance Redress Committees)
10. PPDA is encouraged to review the procurement guidelines to provide for considerations of PWDs in infrastructure planning and implementation, participation of women, youth and PWDs and should require PDEs to report on such considerations.

The 4th Assurance Process was done at the peak of the COVID-19 pandemic, all PDE's were affected. Despite the challenges, most entities were responsive to CoST and committed to addressing the recommendations.

Infrastructure Transparency and Fair Business practices in Uganda in the year 2020

Infrastructure relates to basic physical and organizational structures and facilities (such as buildings, roads, power supplies). From a procurement and supply context, infrastructure refers to works as defined in the Public Procurement and Disposal of Public Assets Authority (PPDA) Act, 2003 (as amended). Based on the PPDA Act, infrastructure comprises works associated with the construction, reconstruction, demolition, repair, or renovation of a building or structure, on the surface or underground, on and underwater.

Uganda has put in place policies and established the Public Procurement and Disposal of Public Assets Authority (PPDA) as a dedicated entity for ensuring compliance and improved performance in public contracts. Using public procurement as a strategic infrastructure governance tool helps to shape effective delivery of public services. While major principles that govern public procurement, including transparency, fairness, and competition (OECD 2017), are applied consistently, inefficiencies in public infrastructure procurement influenced by bribes resulting from a lack of information have increased in Uganda. Corruption in procurement in Uganda manifests itself in unnecessary projects, substandard work or unnecessarily expensive work; the diversion of resources; and unjustified or unexpected price increases. Government spending on procurement in Uganda is estimated to be 55% of the national budget. In 2019 this was equivalent to UGX 22.2 trillion or USD 6 billion.

CoST Uganda studies over time have revealed that the public continues to decry the lack of involvement in public infrastructure planning and implementation (2019 Citizens Survey). Lack of effective stakeholder involvement in monitoring planning and implementation of public infrastructure projects often leads to mismanagement, site abandonment, theft of materials and poorly constructed infrastructure which puts the users at risk, time and cost overruns.

The CoST Uganda 2017 Scoping Study – which was a baseline measure for infrastructure transparency and accountability in Uganda revealed that, Uganda promotes construction related information disclosure as reflected in the legal and policy environment; there was political willingness to promote data disclosure; however, the willingness was yet to be translated into total commitment and action, only 12 data points in the CoST IDS were disclosed, but of the 12 data points, only 20% was disclosed. The Scoping Study also revealed that there was willingness of the public and private sector actors to demand for information and ultimately accountability; interest in demand for fairness, but there was minimal competition and participation in public infrastructure procurement from the private sector.

With the implementation of the Fair Business Practices, disclosed data for the period 2019/20 on the Government Procurement Portal (GPP) revealed an increase in number of data points disclosed in the CoST Infrastructure Data Standard from 12 in 2017 to 20 in 2020. In addition, to enhance fair business practices and private sector participation more bidders have engaged in public infrastructure procurement processes from 1.6 bidders per tender in 2019 to 7.3 bidders per tender in July and 12.5 bidders per tender by November 2020. With 49% of the required data in the IDS not disclosed and a majority of the projects going through open bidding, it is imperative that Government steps up its efforts towards enhancing fairness and integrity in public infrastructure procurement processes. Genuine competition leads to low prices and better products which results in resources either being saved or freed up for use on other goods and services.

Progressively, Government is taking strides to enhance transparency and public participation, but with the COVID-19 pandemic striking, the sector has been challenged. Government through PPDA has committed to aligning the E-GP and the GPP to the Open Contracting for Infrastructure Data Standard (OC4IDS), and opening up more information especially procurement data to enable businesses access information on available opportunities to inform their fair participation in public procurement. Government in partnership with CoST Uganda, Directorate for Ethics and Integrity and PPDA has established a forum/platform for the private sector to interface with Government on ethics and integrity in public infrastructure delivery processes. PPDA in partnership with CoST Uganda has also established a rewarding process for best performing Procuring and Disposing Entities in public infrastructure disclosure. A business interaction with Government is also underway with CoST Uganda and PPDA commissioning a study to identify factors affecting private sector participation in public infrastructure delivery processes. This study is expected to provide issues and recommendations on how Government can improve fair business practices for the private sector to engage in public infrastructure procurement.

Averagely, with procurement disclosure being at 51%, in the 2020 procurement data analysis report by CoST Uganda, there is need to realize full disclosure of public infrastructure data in Uganda. There are challenges to realization of full disclosure associated to; failure to harmonize on a clear disclosure framework, lack of guidelines on infrastructure data disclosure, lack of equipment within the Procuring and Disposing Entities, spotty internet connectivity across the country, lack of capacity, secrecy within the public sector system, gaps in data archiving and documentation amongst PDEs, the disclosure platforms not aligned to international standards, delays in public infrastructure procurement and implementation processes and the lack of knowledge on data use.

To further enable transparency in public infrastructure delivery processes, **CoST International launched the Infrastructure Transparency Index (ITI) in 2020. Uganda is privileged to commission its ITI in the year 2021. It is anticipated that with this new index, more transparency and stakeholder access to public infrastructure information will be realized.** This process will be supported by the ongoing efforts by Government to enhance transparency in the sector, and ultimately improve fair business practices, stakeholder engagement and better service delivery.

“Uganda is privileged to commission its ITI in the year 2021. It is anticipated that with this new index, more transparency and stakeholder access to public infrastructure information will be realized.”

About CoST Uganda

THE INFRASTRUCTURE TRANSPARENCY INITIATIVE

What is **CoST** the Infrastructure Transparency Initiative



What is CoST - the Infrastructure Transparency Initiative

CoST – the Infrastructure Transparency Initiative is the leading global initiative improving transparency and accountability in public infrastructure. CoST Uganda is a national chapter of CoST International, a charity based in the United Kingdom.

CoST works with government¹, private sector² and civil society³ to promote the disclosure and validation of data from infrastructure projects. This helps to inform and empower citizens and enables them to hold decision-makers to account. Our experience indicates that informed citizens and responsive public institutions help drive reforms that reduce mismanagement, inefficiency, corruption and the risks posed to the public from poor quality infrastructure.

At the national level, CoST establishes a Multi-Stakeholder Group that guides, leads and builds trust amongst the Government, Private Sector and Civil Society. The National Programme is overseen by a Champion who promotes its core features of Disclosure, Assurance, Multi-Stakeholder working and Social Accountability across Government and other stakeholders.

¹ <http://infrastructuretransparency.org/our-approach/cost-feature-multi-stakeholder/government/>

² <https://infrastructuretransparency.org/our-approach/cost-feature-multi-stakeholder/private-sector/>

³ <http://infrastructuretransparency.org/our-approach/cost-feature-multi-stakeholder/civil-society/>



Vision

Quality infrastructure,
stronger economy and
better lives



Mission

To enable a multi-stakeholder approach in the disclosure, validation and use of infrastructure data. This improves transparency, participation and accountability and contributes to quality infrastructure that meets people's needs.

Our approach, the Four Core Features of CoST

The CoST approach is focused on four core features: disclosure, assurance, multi-stakeholder working and social accountability. These features provide a global standard for CoST implementation in enhancing infrastructure transparency and accountability.

Disclosure: The disclosure process ensures that information about the purpose, scope, costs and execution of infrastructure projects is open and accessible to the public, and that it is disclosed in a timely manner. Key to the process is disclosure by projects Procuring and Disposing Entities in accordance with the CoST Infrastructure Data Standard (CoST IDS).⁴ The CoST IDS requires 40 data points or 'items' to be disclosed at key stages of an infrastructure project cycle including: identification, preparation, completion, procurement and implementation.

Assurance: We promote accountability through the CoST assurance process – an independent review of the disclosed data by assurance teams based within CoST national programmes. The teams identify key issues of concern in relation to the items listed in the CoST IDS and put technical jargon into plain language. This allows social accountability stakeholders to easily understand the issues and hold decision-makers to account.

Multi-stakeholder working: Enhancing transparency and accountability in public infrastructure involves working with different stakeholder groups who have different perspectives and backgrounds, including government, private sector and civil society. CoST brings these stakeholders together through multi-stakeholder groups in each national programme. The groups guide the delivery of CoST and provide a neutral forum for stakeholders to pursue infrastructure transparency and accountability together.

Social accountability: Social accountability stakeholders such as the media and civil society play an important role in holding decision makers to account. CoST works with these stakeholders to promote the findings from its assurance process so that they can then put key issues into the public domain. In this way, civil society, the media and citizens can all be aware of issues and hold decision-makers to account.



⁴ <http://infrastructuretransparency.org/resource/977/>

The Assurance Process and its Methodology

CoST assurance is the process whereby disclosed⁵ data is turned into compelling information, allowing the facts to speak for themselves. By shining a light on what happens at each stage of public infrastructure delivery processes such as planning, procurement and implementation, it aims to strengthen existing accountability mechanisms, without duplicating or undermining the work of others. It achieves this by generating objective information that helps all stakeholders identify and address any areas of concern.

The assurance process was informed by the CoST International Assurance Manual, and the Terms of Reference issued by the CoST Uganda Multi-Stakeholder Group (MSG). The Assurance process is informed by the following objectives;

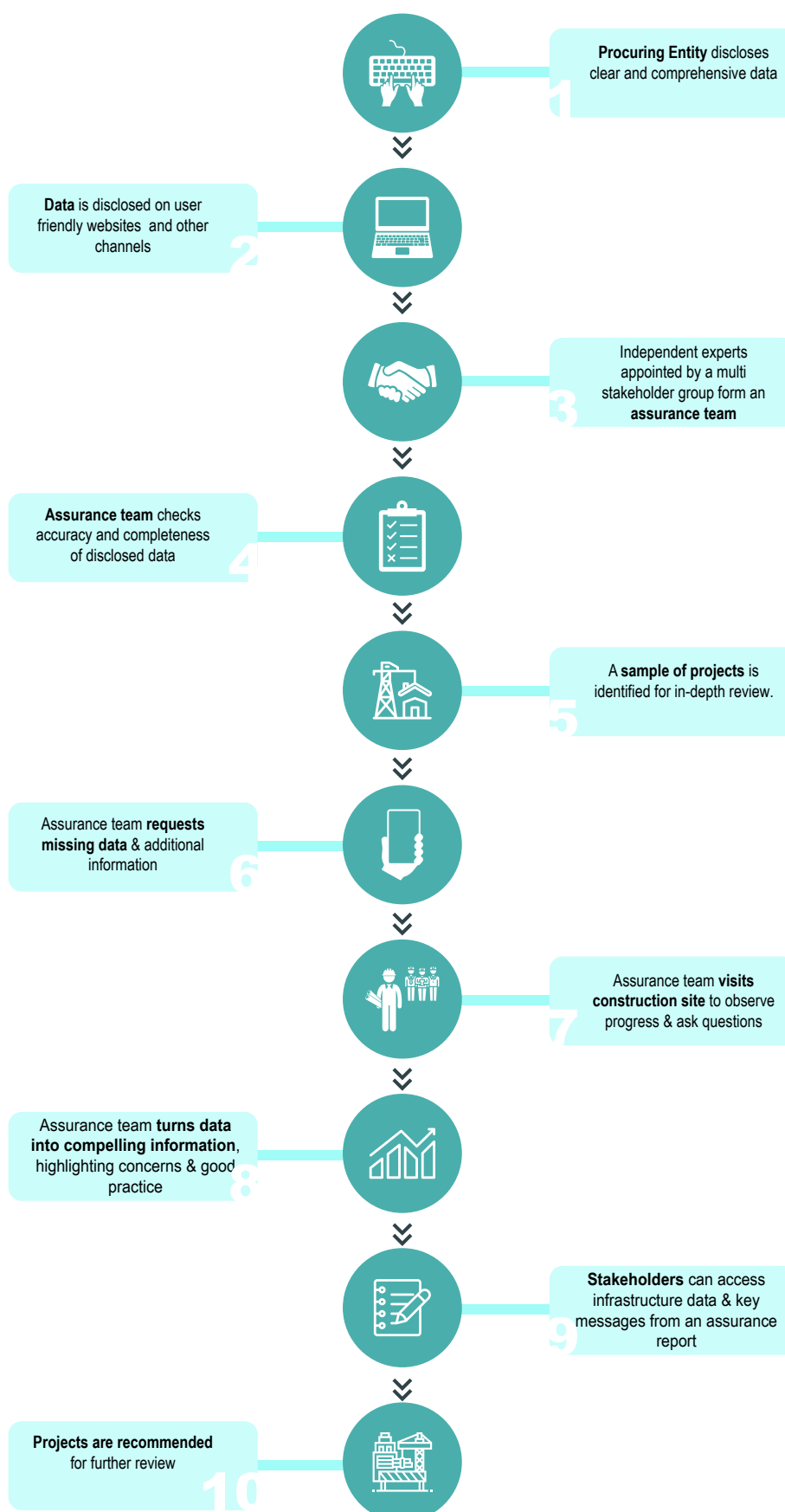
1. To assess whether there is disclosure, and if the disclosed data is valid, complete and accurate as per the CoST standard.
2. To analyse disclosed data and present it as compelling information in order to help detect matters that could be raised with the project owner and its suppliers, and readily communicated to others.
3. To highlight issues of potential concern and propose actionable sector/policy and project level areas of improvement and recommendations to Government, Private Sector and Civil Society.

The Assurance Process was guided by a standard methodology developed and tested by CoST International using the CoST Infrastructure Data Standard and most recently by the Open Contracting for Infrastructure Data Standard. The Procuring and Disposing Entity discloses clear and comprehensive infrastructure data, which is disclosed on user friendly websites and other channels. Independent experts appointed by the Multi-Stakeholder Group (MSG) form an Assurance Team. The Assurance Team checks accuracy and completeness of disclosed data. A sample of projects is identified for an in-depth review.

The Assurance team requests for missing data and additional information about the projects under the in-depth review. The assurance team visits construction sites to observe progress and ask questions. The Assurance team turns data into compelling information highlighting concerns and good practices. The Assurance Team and CoST MSG engage the Procuring and Disposing Entity to validate and verify Assurance report. Stakeholders are able to access infrastructure data and key messages from an Assurance report published by CoST MSG, in this process, some projects are recommended for further reviews whereas others are recommended for improvements and are documented as areas of good practice.

⁵ See Guidance Note 6 for a description of CoST Disclosure via www.infrastructuretransparency.org

CoST International, Assurance Methodology



Statement on the 3rd Assurance Process

The 3rd Assurance Process was conducted in 2019. It focused on 13 projects from four (4) Procuring and Disposing Entities. The Assurance Process was spread through the sectors of Education, Water and Environment, Health, Energy, Roads, Buildings and Bridges. The PDEs that participated in the 3rd Assurance process included; (i) Ministry of Education and Sports (3 projects), (ii) Ministry of Health (4 projects), (iii) Ministry of Energy and Mineral Development (2 projects), (iv) Uganda National Roads Authority (UNRA) (2 projects). The total cost for the 13 projects was Uganda shillings 246,245,037,985 Billion or USD 74 Million.

Disclosure across the thirteen projects was at an average of 42%. Proactive disclosure was at 43% whereas reactive disclosure was at 42%. Low disclosure in the 3rd Assurance Report was attributed to delays in data retrieval and refusal to disclose data by some of the procuring entities.

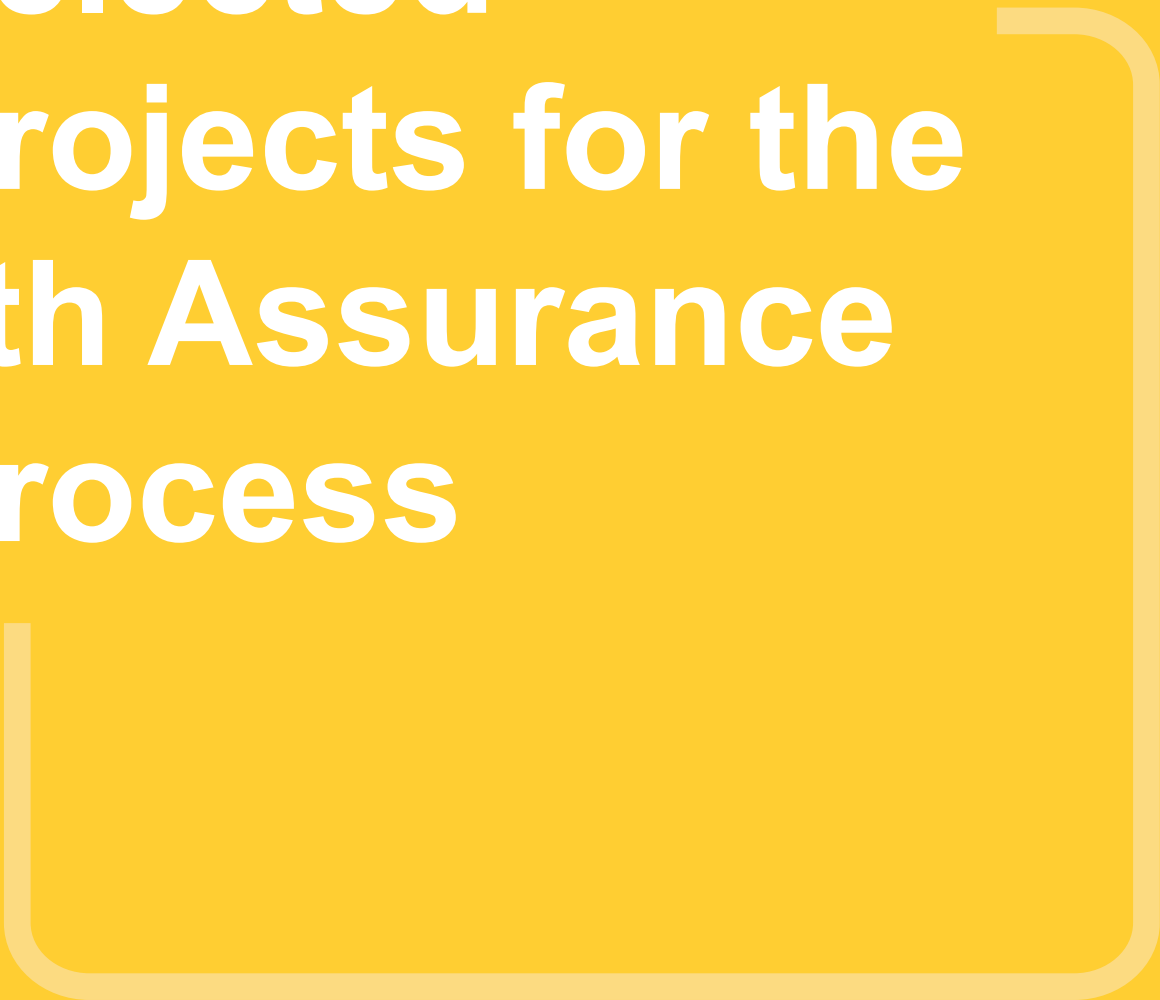
Key findings from the 3rd assurance report included low levels of disclosure, cost and time overruns mainly attributed to scope changes, lack of documentation and data retrieval systems within entities which prevented PDE officials from accessing project documents internally, limited compliance with procurement standards such as local content, poor and in some instances lack of evidence of procurement files, poor planning and construction site management challenges (such as poor drainage management, dust, littering, poor waste management, and lack of attention to environmental protection). Findings revealed a low level of citizen and other stakeholder engagements. In cases where there was citizen engagement there was need for continuous and timely engagements. There was a lack of ownership of projects by the public, projects were termed to belong to Government.

The 3rd Assurance Process recommended that; PDEs should designate officials to constantly update their online and offline platforms with correct information. PPDA was encouraged to include additional infrastructure data points in the GPP to inform full disclosure, and issue guidelines for PDEs to disclose project and contract information. PPDA was advised to monitor compliance of entities with procurement guidelines such as local content and Environmental, Social, Health and Safety requirements. PDEs were also encouraged to always commence contracts upon acquiring all necessary equipment and land, ensure construction management quality, safety of works and site users. Private sector was encouraged to build capacity and interest themselves in projects in the Water and Environment sector; build their capacity and recruit skilled and experienced engineers on construction works. Contractors and Consultants were encouraged to ensure quality controls, regular maintenance of sites, environmental management and ensure timely and constant site supervision and adherence to standards.

There has been progress in addressing recommendations from the 3rd Assurance report, PDEs have taken strides in enhancing disclosure, this has been observed with the increase in disclosure in the 4th Assurance report, the number of projects disclosed during the year 2020, and PDE's responsiveness to CoST Uganda requests for information in the 4th Assurance process. Government has made commitments towards putting in place a formal disclosure requirement by adopting the OC4IDS in the development of the E-GP, the private sector lead associations have initiated capacity building sessions for their respective members. The results of the previous Assurance Processes gave us a back ground for winning a grant with the FCDO to promote fair business practices between Government and the Private sector, this grant has enabled CoST Uganda increase awareness, establish a platform for the private sector to engage with Government on transparency in public infrastructure procurement. We have also recorded a progressive improvement in the construction management processes, inclusion, quality control and disclosure of any variations such as time and cost overruns and the associated reasons for the changes.

01

Selected Projects for the 4th Assurance Process



Procuring and Disposing Entity	Project Name / Procurement Reference Number	Project Description	Procurement Method/ Contract Type	Project Completion Cost	Contract Awardee
KCCA	Second Kampala Institutional & infrastructure development Project (KIIDP 2) KCCA/KIIDP2/ISCS – 20	Upgrade of 5.52km, reconstruction and dualling of 4.25km Roads including signalization of 10 junctions in Nakawa and Central Divisions Batch 2A	ICB Works contract: Admeasurement Contract	Works contract: Ugx 87,912,203,803 VAT exclusive	Works contract: China State Construction Engineering Corporation Ltd. Contract Supervisor / Supervising Consultant C. Lotti & Associati
	City Design update and construction of selected drainage systems Lot 2. KCCA/WRKS/2015-16/00075	Drainage works at Makindye and Lubaga divisions.	OIB Works contract: Admeasurement Contract	Works contract: Ugx 4,254,750,420	Works contract: Bisons Consult International Limited (terminated) Lina Construction Limited Supervision contract: UB Consulting Engineers Ltd
	Design update and construction of selected drainage systems in Kampala city (2.61km) Lot 3. KCCA/WRKS/2015-16/00072	Drainage works on Gabunga-Kazo Angola (440m), Nsamba-Kazo Angola (181m), Yelemia- Kazo Angola (234m), Lutunda (560m), Ssekenge (525m), Metehl (200m) and Bajabaseka drain and crossing (470m)	OIB Works contract: Admeasurement Contract Supervision contract: Framework Contract	Works contract: Ugx 4,475,076,869 VAT inclusive Supervision contract: Ugx 100,300,000	Works contract: Abubaker Technical Services and General Supplies Limited Supervision contract: PROME Consulting Engineers Ltd
MoES	Uganda Skills Development Project in Bushenyi UTC Lot 1. UG-MOESTS-119351-CW-RFB	Construction of; 1) Metal fabrication workshop; 2) plant maintenance Workshop; 3) Manufacturing workshop; 4) Toilet and Changing Room (2 Units); 5) External Storage; and 6) External works.	ODB Works contract: Admeasurement Contract	Works contract: Ugx 9,819,668,736	Works contract: Prism Construction Company Ltd
MoH	Refurbishing and Equipping of Kawolo Hospital	Complete renovation and remodeling	OIB Supervision contract: Time-based Contract	Works contract: Ugx 39,200,000,000 (US\$ 10,865,849.14) Supervision contract: Euros 11,884,379.70	Works contract: Excel Construction Limited Supervision contract: Ingenieria de Espana S.A, SME M.P

	Refurbishing and Equipping of Busolwe Hospital	Schematic designs still being discussed	Yet to be procured	Works contract: Ugx 21,600,000,000 (US\$ 6,000,000) estimates	Yet to be procured
	Uganda Intergovernmental Fiscal Transfers Program	Rehabilitation, expansion and equipping of the existing health facilities. Scope of Work includes: Construction of a General Ward, Improvement of an Out-patient Department, Building of two twin staff houses, Construction of lined VIP Latrine, Placenta Pit and medical waste pit, and General external works in all 62 health centres.	Yet to be procured	Total budget: US\$ 787.59 million. Commitment Amount: US\$ 200 Million An additional funding US\$ 250 million is now being proposed	Yet to be procured
MoWT	Inland ICD –Mukono	Construction of a Railway Inland Container Depot at Mukono Railway Station to reduce logistics costs and promote trade	OIB Works contract: Fixed Contract	Works contract: US\$ 8,600,000 Services: Ugx 695,120,000	Works contract: Ambitious Construction Company Limited
	Construction of Parliament Uganda	Construction of Parliament building	ODB	Works contract: Ugx 206,000,000,000	Not disclosed
	Construction of a one stop border post at Busia	Improved physical infrastructure such as; an administration building and verification sheds, truck parking yard, gate houses, scanner yard	ICB Works contract: Admeasurement Contract	Works contract: Ugx 15,900,000,000	Works contract: Cementers Ug. Ltd JV Cementers Kenya Ltd
	Construction of a one-stop border post at Elegu Uganda-Sudan border	Improved physical infrastructure such as; an administration building and verification sheds, truck parking yard, gate houses, scanner yard	OIB Works contract: Admeasurement Contract	Works contract: US\$ 7,813,228.92 (VAT inclusive)	Works contract: Seyani brothers & Co. (U) Ltd
	Construction of a one-stop border post facilities at Katuna, Uganda	Under Phase 2-Construction of the Road Network	OIB Works contract: Admeasurement Contract	Works contract: Ugx 11,180,000,000	Works contract: Amugoli General Enterprises Ltd
	Construction of one stop Border Post at Malaba	Under Phase 2	ICB Works contract: Admeasurement Contract	Works contract: Ugx 15,700,000,000	Works contract: Cementers Ug. Ltd JV Cementers Kenya Ltd
	Construction of a one-stop border post Facilities at Mirama Hills. MOWT/Wrks/2012-2013/00049	Customs and immigration blocks, warehouse building, clearing agents block, goods inspection and verification block and a police station.	ICB Works contract: Admeasurement Contract	Works contract: US\$ 7,817,703.42 (Tax Inclusive)	Works contract: Dott Services Limited
MWE	Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda	To restore and sustainably manage wetlands and support target communities in wetland areas of Uganda to reduce the risks of climate change posed to agricultural-based livelihoods in 24 districts.	ODB Fuel suppliers: Framework contracts. Material Suppliers: Lump sum contracts.	Project cost: US \$ 44.3 million	In- house execution of project activities by MWE, UNMA, MAAIF

NWSC	Consultancy Services for Design Review of the Mbale Water Supply and Sanitation System Project. NWSC/HQ/SRVCS/ 2017-2018/164552	To improve the integrated water resources planning, management and development, and access to water and sanitation services in priority urban areas.	Design review contract: Lump sum contract	Design review contract: US\$ 432,578	Design review contract: Saman Corporation in Joint Venture with Cheil Engineering CO. LTD (JV) in Association with Air Water Earth LTD (Sub consultant).
	Sembabule Water Treatment Plant and intake Project NWSC-HQ/WRKS/19-20/170758	Construction of new intake and water treatment line including; Flocculator, coagulator, clarifier, filter and ancillary works. Upgrading entire distribution network, and extension to surrounding towns (100km length, 90-200mm).	OIB Works contract: Admeasurement Contract	Works contract: Ugx 14.3 billion	Works contract: Zhonghao Overseas Construction Engineering Company Limited. Supervision contract: In-house by NWSC
UNRA	Capacity Improvement of the Kampala Northern Bypass project (21km)	Construction of an additional carriageway, approximately 17.5km long, to complete the dualisation of the Kampala Northern Bypass to a 4-lane dual carriageway road, providing 05 Grade-separated intersections and pedestrian footbridges. The additional 3.5km is already dual carriageway as was provided in Phase I of the project.	OIB Not disclosed	Works contract: Euros 106.48 million Supervision contract: Euros 6.829 million	Works contract: Mota Engil Engenharia E Contrucao SA Supervision Contract: COWI A/S
	Soroti-Katakwi-Akisim road (100km) UNRA/ Works/2015-16/00002/001	Not disclosed	RIB Not disclosed	Works Contract: Ugx 398.884 billion Supervision Contract: Ugx 14.418 billion	Works Contract: CCCC Supervision Contract: GIBB Africa in Association with MBW Consulting Ltd.
	Upgrading of Kyenjojo-Kabwoya Road (100km) from Gravel to Paved (Bituminous) Standard. UNRA/ WORKS/2013-14/00002/01/01	Upgrading the existing gravel road to Class II paved road with a Double Bitumen Surface Treated (DBST) surfacing, carriageway with 2 lanes of 3.5m wide for each direction and 1.5m paved shoulders either side in rural areas (2.0min trading centers).	ICB Not disclosed	Works contract: UGX 214.564 Billion Supervision contract: US\$ 3,079,482 RAP Contract: UGX 1.08 Billion	Works contract: Shengli Engineering Construction Company of Shengli the Oli Field. Supervision contract: Comptan Engineering and Planning Associates (Ghana). RAP Consultant: Survey Consult Ltd

	Rukungiri-Kihihi-Ishasha/ Kanungu (78.5 km)	Phase one of the road project entails asphaltting of the 52km stretch between Rukungiri to Ishasha while the second phase involves the 27km stretch linking Kihhi to Kanungu, both linking to the paved section of Ntungamo-Rukungiri road, a regional and international link to DRC.	OIB Not disclosed	Works Contract: UGX 207,834,646,967 Supervision contract: USD 4,712,121.76	Works Contractor: China Henan International Construction Company. Supervision Consultant: SMEC International Pty
Wakiso LG	Proposed road embracement protection for Bubebere-Busi Island in Wakiso district	Construction of a road embankment of approximately 2.5km to connect the mainland to the island.	Yet to be procured	Yet to be procured	Yet to be procured
	Construction of Sumbwe Seed School in Wakiso District. MoES/UgIFT/WRKS/2018-19/00119	Construction of 2 classroom blocks; laboratory block; administration block; Teachers houses, Teachers' Kitchen; VIP latrine blocks; sports field; multipurpose hall; Library block; water tank, & other external works.	OIB Works contract: Fixed Lump sum Contract	Works contract: Ugx 2.139 billion	Works contract: Kaleeta Construction. Supervision contract: Directly supervised by Wakiso District Local Government.

Note:

OIB	Open International Bidding	Procurement process set by PPDA-Uganda
ICB	International Competitive Bidding	Procurement process set by World Bank (IDA)
RIB	Restricted International Bidding	Procurement process set by PPDA-Uganda
ODB	Open Domestic Bidding	Procurement process set by PPDA-Uganda

02

Disclosure Of Information



In 2020, the overall levels of disclosure was 61.5% with proactive disclosure at 54% and reactive disclosure at 69%.

Introduction

Information disclosure assessment was based on two levels of the CoST IDS namely, proactive and reactive disclosure. Proactive disclosure assessment looked at public platforms such as physical project signboards, websites of the PE, beneficiary institutions, funder and PPDA (the Government Procurement Portal), as well as disclosure publications by the Procuring and Disposing Entity (PDE). The assessment followed the data points provided by the Infrastructure Data Standard for proactive disclosure shown in Table 1.

The analysis as per CoST Assurance Manual is informed by standard indicators/issues, against key observations and comments realized through the assurance process; these indicators are assessed right from the start of the assurance process; they include; level of proactive and reactive disclosure, cost and time overruns, tender management, implementation and quality, inclusiveness, quality and Environmental management.

Despite the difficulties associated with COVID-19, procurement entities have taken measures to ensure that the public is well informed on public infrastructure development. These efforts should be recognized and sustained.

Table 1: Infrastructure Data Standards for proactive disclosure

Project Information	
Project Identification:	Project Completion
Project reference Number	Project Status (Current)
Project Owner	Completion Cost (Projected)
Sector, Sub-sector	Completion Date (Projected)
Project name	Scope at Completion (projected)
Project Location	Reasons for Changes
Purpose	Reference to Audit and Evaluation reports
Project Description	
Contract Information	
Project preparation	Calendar Implementation
Project Scope (Main output)	Variation to Contract price
Environmental Impact	Escalation of contract price
Land and Settlement Impact	Variation to contract duration
Contact Details	Variation to contract scope
Funding Sources	Reason for price changes
Project Budget	Reason for scope and duration changes
Project Approval Date	
Procurement	
Procuring and Disposing Entity	
Procuring and Disposing Entity Contact Details	
Procurement Process	
Contract type	
Contract status	
Number of firms tendering	
Cost estimates	
Contract administration	
Contract title	
Contract Firms	
Contract Price	
Contract scope of work	
Contract start date	
Contract Duration	

In order to validate the data proactively disclosed by the PDE, CoST Uganda requested for reactive data in accordance with legal framework in Uganda. The CoST Uganda Champion further provided introduction letters of CoST Uganda to the respective entities. The data requested is presented in Table 2 and was used in the analysis of disclosure and transparency of the different PDE's.

Table 2: Infrastructure data standards for reactive disclosure

Project Information	
Project Identification and preparation:	Project Completion
Multi-year programme & Budget Environmental and social impact assessment Resettlement and Compensation plan Project officials and roles Financial Agreement Procurement plan Project Approval decision	Implementation Progress reports Budget amendment decision Project Completion report Project Evaluation report Technical Audit reports Financial Audit reports Contract Officials and Roles
Contract Information	
Procurement	Contract
Procurement method Bidding Documents Contracts Committee Decision or Best Evaluated Bidder Notice Project design report	Contract Agreement and Conditions Registration and Ownership of firms Specifications and drawings
Implementation	
List of variations, changes and amendments List of escalation approvals Quality assurance reports Disbursement records or payment certificates Contract Amendments	

“

The projects under Uganda National Roads Authority (UNRA) had a very good disclosure of an average of 86% of the required data points for proactive disclosure for the 4th Assurance exercise.”

Overall disclosure per project

The Table 3 below indicates the summary of disclosed data points for the 23 selected projects against the 67 proactive and reactive data points required in the CoST Infrastructure Data Standard. The number of data points that have been disclosed for each project are represented as a percentage of the overall number of data points for both proactive and reactive data.

Proactive Disclosure: Proactive disclosure for all 08 PDE's was at an average of 54% ranging from 20% with Wakiso District Local Government (WDLG) to 85% with Uganda National Roads Authority. Much as this is the 03rd Assurance exercise with WDLG, there has not been an improvement in proactive disclosure.

The projects under Uganda National Roads Authority (UNRA) had a very good disclosure of an average of 86% of the required data points for proactive disclosure for the 4th Assurance exercise. However, a number of data points disclosed proactively were sourced from websites of the donors, contractors, consultants and other sources other than the Procuring and Disposing Entities website.

On average, proactive disclosure for Ministry of Works and Transport (MoWT) projects was below average at 44%, however the Construction of Parliament project disclosed at least 78% of the required data points. Low disclosure under MoWT was seen with the construction projects at the Border posts of Busia, Elegu, Mirama hills, Katuna and Malaba.

Disclosure for the other PDE's were fair with MWE at 51%, KCCA, NWSC & MoH at 55% and MoES at 59%. However, it was noted that the proactive disclosure for MoH declined from the previous assurance exercise where the Ministry of Health scored the highest at 89%.

It shall be noted that, the Assurance Process was conducted during the peak of the COVID-19 pandemic where all Procurement Procuring and Disposing Entities were affected. Despite the challenges, we note that public officials labored to publish information to keep the public informed. This progress should be commended and upheld.

Reactive Disclosure: The level of reactive disclosure for all projects was 69% with National Water and Sewerage Corporation and Ministry of Education and Sports disclosing 100% of the required 27 data points and Ministry of Health disclosing the lowest at 44%. Disclosure for the Ministry of Health was low because two of the projects assured were in initial stages and thus no data was available. The Assurance was conducted on projects at various stages to inform analysis on performance of projects at the various delivery phases.

It is important to note that 5 of the 23 Assured projects were still at the Design or Planning stage and therefore could not be assessed for majority of the Reactive data points. These projects were; Busolwe Hospital project, UglFT under MoH; Building Resilient Communities under MWE, Mbale and Small towns' water project under NWSC and Buberere - Busi project under WDLG which were only assessed for Project Identification at the Reactive data disclosure stage.

Low disclosure was also attributed to late disclosure/submission of data by the Procuring and Disposing entities. MoWT, MoH submitted additional data following the validation workshop on 27th January 2021. It is important that to inform timely completion of the Assurance process, all participating PDEs disclose all the required data in time.

Table 3: Summary of disclosed data per project

IDS Disclosure Items		Number of Disclosed Data Points																							
PROACTIVE DISCLOSURE	IDS Points	Kampala Northern Bypass	Soroti-Akaim	Rukungiri-Kanungu	Kyenjojo-Kabwoya	Bushenyi	MoES	WDLG		Mukono ICD	Parliament of Uganda	Busia border post	Elegu border post	Katuna border post	Malaba border post	Mirama border post	KIIDP 2 Batch 2 -Lot 1	Drainage upgrade Lot 2	Drainage upgrade Lot 3	Kawolo hospital	MoH	UgIFT	MWE	NWSC	
								Sumbwe school	Bubere-Busi Island														Building resilient communities	Mbale and small towns water project	Sembabule Water project
PROACTIVE DISCLOSURE																									
Project Identification	7	6	7	6	7	6	3	5	2	4	5	5	2	0	6	7	6	6	6	5	7	6	7	6	6
Project Preparation	7	7	4	6	7	5	0	0	1	4	1	3	2	3	3	7	3	3	5	4	7	7	7	4	4
Project Completion	6	6	6	6	6	4	0	0	2	4	1	4	0	3	3	4	1	1	6	3	4	5	3	3	3
Procurement	15	10	9	12	11	6	4	4	1	14	4	8	10	8	7	10	10	10	8	5	5	8	5	10	10
Calendar Implementation	6	6	6	6	6	3	0	0	0	6	0	6	0	0	5	0	0	0	3	0	0	6	0	0	0
Total	41	35	32	36	37	24	7	9	6	32	11	26	14	14	24	28	20	20	28	17	23	32	22	23	23
Percentage Proactive disclosure		85%	78%	88%	90%	59%	17%	22%	15%	78%	27%	70%	34%	34%	59%	68%	49%	49%	68%	41%	56%	78%	54%	56%	56%
REACTIVE DISCLOSURE																									
Project Identification	8	7	7	7	8	8	7	8	6	2	3	7	4	4	5	6	8	8	5	4	1	7	8	7	7
Completion	6	5	5	6	5	7	7	0	6	1	2	4	3	0	5	2	2	3	2	0	0	0	0	7	7
Procurement	5	3	4	3	4	3	5	0	5	1	1	4	3	2	4	5	5	3	3	0	0	0	0	5	5
Contract	3	0	1	0	1	3	3	0	3	0	0	1	1	0	0	2	3	3	2	0	0	0	0	3	3
Implementation	5	2	5	4	5	5	4	0	2	2	2	5	5	4	1	3	3	4	4	0	0	0	0	5	5
Total	27	17	22	20	23	26	26	8	22	6	8	21	16	10	15	18	21	21	16	4	1	7	8	27	27
Percentage Reactive disclosure		63%	81%	74%	85%	96%	96%	100%	81%	22%	30%	78%	59%	37%	56%	67%	78%	78%	59%	50%	13%	88%	100%	100%	100%
Overall Total	68	52	54	56	60	50	33	17	28	38	19	47	30	24	39	46	41	41	44	21	24	39	30	50	50

NOTE: The analysis for the proactively disclosed data was based on the data disclosed on the PDEs websites, donor websites and public platforms at the various stages of project delivery in the CoST IDS. Analysis of the reactively disclosed data was based on the data disclosed to the AP during the assurance process. 5 projects were only assessed at initial stages since they were still in procurement.

Summary of Disclosure level per Project

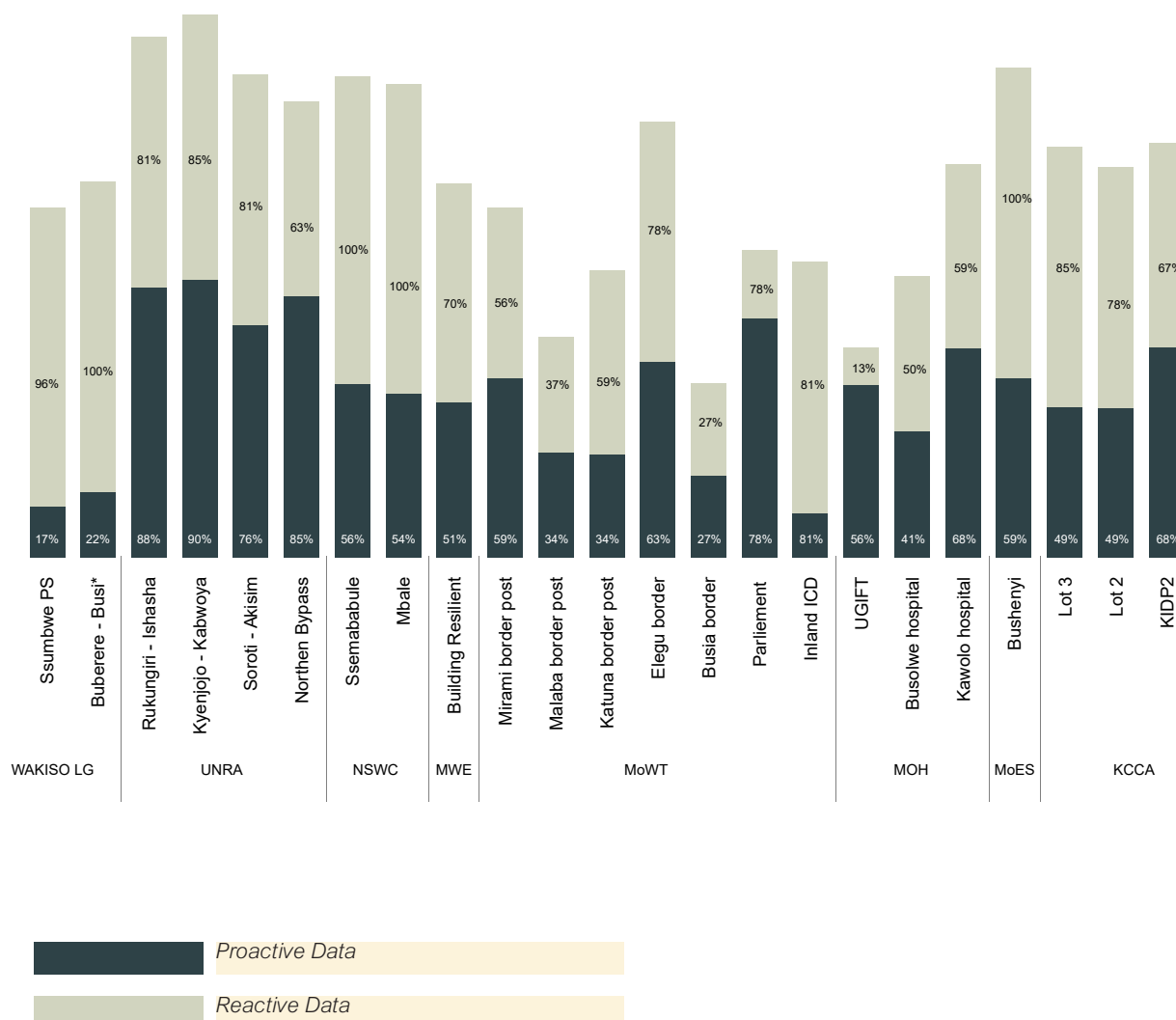


Figure 1: Summary of disclosure level per project

NOTE:

* denoted projects that are either at the design or planning? stage and hence reactive disclosure was only assessed for 8 data points in Project Identification

Disclosure per Procurement Entity

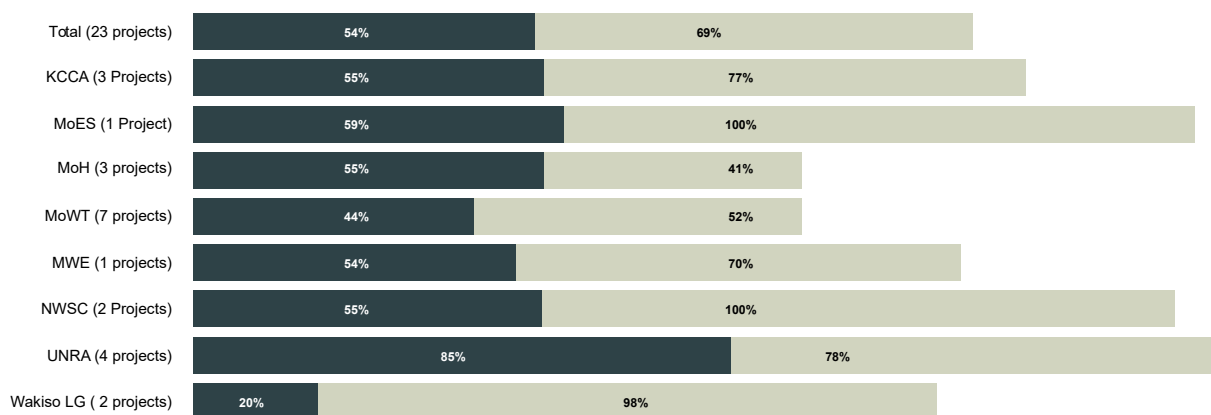
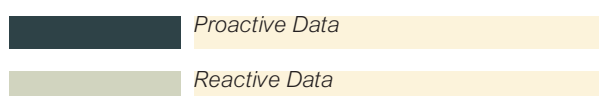


Figure 2: Rate of disclosure per Procurement Entity



Summary of disclosure performance per Procuring and Disposing Entity

Overall performance of projects under Kampala Capital City Authority

Indicators	Observations	Comments
Proactive Disclosure	<p>Overall observation:</p> <ul style="list-style-type: none"> Data disclosed on the Government Procurement Portal (GPP) and the KCCA website was incomplete. Very little or no project information was disclosed on the official entity platforms. Very little or no project information was disclosed on the official entity platforms. KIIDP 2 Batch 2A – Lot 1 project disclosed 28 out of the 41 CoST IDS data points on a few formal platforms. City Design Update and Construction of selected Drainage Systems project – Lot 2 disclosed 49% of the 41 data points. However, only 10% of the data points were obtained on the KCCA website while the rest were obtained from the USER portal. City Design Update and construction of selected Drainage Systems project – Lot 3 disclosed 49% of the 41 data points. However, only 10% of the data points were obtained on the KCCA website while the rest were obtained from the USER portal. 	<ul style="list-style-type: none"> There is no standard disclosure template. The CoST IDS could be used to develop a template. There is an information management system under development, hoped to enable data retrieval. Official disclosure platforms are not updated from time to time and consist of inaccurate data.
Reactive disclosure	<p>KIIDP 2 Batch 2A – Lot 1 project:</p> <ul style="list-style-type: none"> The PDE reactively disclosed 67% for this project. The disclosed information was found consistent and complete. Internal data management and retrieval systems were sufficient across the departments, and data was easy to access upon request. Disclosed 100% on project planning and only 33.3% at the contracting stage, the project is still ongoing, no disclosure at implementation. The project officials were fully available for face-to-face interviews to give clarification of the disclosed information. City Design Update and Construction of selected Drainage Systems project – Lot 2: 78% of the project information was disclosed. Project experienced cancellations of the contract for the contractor, Bison Consult International Limited after a recommendation from the Consultant because of the following reasons; Failure to submit an updated work program, poor site resource mobilization, slow progress of works, absence of key staff to attend to technical issues at site, failure to give accountability of the advance payment. PDE disclosed 100% of the project information related to contract, planning, identification and preparation. However, disclosed only 33.3% on project completion yet the project was completed. City Design Update and construction of selected Drainage Systems project – Lot 3: 78% of the project information was disclosed. 	<ul style="list-style-type: none"> Good internal project information management system in place for KIIDP2 More disclosure on Evaluation reports, and Quality Assurance report would enhance transparency. No due diligence done to establish the capacity of the contractor before signing the contract leading to inefficiencies in delivery and contract cancellations for Lot 2 project.
Overall performance in disclosure	The PDE disclosed on average 66% of all 67 data points as provided by the CoST IDS.	

Overall performance of projects under National Water and Sewerage Corporation

Indicators	Observations	Comments
Proactive disclosure	<p>Overall observations:</p> <ul style="list-style-type: none"> Project information was obtained from the Donor websites (World Bank), NWSC website and local newspapers. No data was disclosed on implementation. Most of the disclosed data was outdated. <p>Mbale and Small Towns Water Supply and Sanitation System Project proactively disclosed 54% of the 21 data points.</p> <p>Sembabule Water Supply and Sanitation System Project proactively disclosed 56.1% of the 21 data points.</p>	<ul style="list-style-type: none"> Disclosed data was mostly outdated, limited disclosure on the official platforms. No standard disclosure template, data is scattered across donor platforms and not on official entity platforms.
Reactive disclosure	<p>Overall observations:</p> <ul style="list-style-type: none"> There was complete reactive disclosure of the project Identification, procurement, and Implementation data. The disclosed project information was complete and consistent. Presence of a good information management system. <p>Mbale and Small Towns Water Supply and Sanitation System Project was only assessed for Project Identification data as the project is still at the design and procurement stage.</p> <p>Sembabule Water Supply and Sanitation System Project reactively disclosed 100% of the project information as per the CoST IDS.</p>	<p>Being a first-time engagement in Assurance, PDE indicated presence of an open-door policy to information requesters.</p>
Overall performance in disclosure	<p>The PDE made available 77% of the 67 data points required under the CoST IDS standard.</p>	<p>Proactive disclosure would enhance openness of the entity.</p>

National Water and Sewerage Corporation engaged in the Assurance for the first time, but indicated presence of an open-door policy to information requesters.

Overall performance of projects under Ministry of Education and Sports

Project	Indicator	Observations	Comments
Bushenyi UTC skills development project	Proactive disclosure	<ul style="list-style-type: none"> Only 59% of the required 41 data points for proactive data were accessed on the available public platforms. Disclosed data on public platforms was generic and not specific to the individual projects/Lots being implemented for the benefit of the end users within the communities. 	<ul style="list-style-type: none"> MoES is commended for its improvement in disclosing information from the previous Assurance processes. There is no standard disclosure template. Data is disclosed on other platforms and not entity official platforms.
	Reactive disclosure	The entity disclosed 100% reactive data points for the Uganda Skills Development Project in Bushenyi.	There is a tremendous improvement in disclosure, the Ministry has engaged in three Assurance Processes.
	Overall performance in disclosure	The entity had a high overall disclosure rate of 79.2% an increment of 16.5% from the year 2019 to 2020.	The entity is encouraged to sustain this level of disclosure across all projects.

Overall performance of projects under Ministry of Health

Indicators	Observations	Comments
Proactive disclosure	<p>Overall observations:</p> <ul style="list-style-type: none"> Data was accessed from the Ministry Website, Newspapers, funder's websites, Construction Company's website and Articles from PML Daily and Construction review Website among others. Most of the data disclosed through the PE website was incomplete. <ol style="list-style-type: none"> <i>Refurbishing and Equipping of Kawolo Hospitals</i> disclosed 68% of the required information was disclosed. <i>Refurbishing and Equipping of Busolwe General Hospital</i> disclosed 41% of the 41 data points. <i>Uganda Intergovernmental Fiscal Transfers Programme (UgIFT)</i> disclosed 56% of the data, however most of it was obtained from the MoFPED website. 	<ul style="list-style-type: none"> A standard disclosure template would enhance increased access to and use of health sector infrastructure data (PE Website, Social media, radio and television). Regular updates of the existing official entity platforms enhance transparency even in crisis situations such as COVID19. Entity experienced challenges in disclosure as it focused more on managing COVID-19. Projects assured were at various stages, with only one complete project, however, its disclosure levels were slightly above average at 68%.
Reactive disclosure	<p>59% of the required data for the <i>Refurbishing and Equipping of Kawolo Hospitals</i> was disclosed. The information accessed reactively was complete and found consistent across the different documents.</p> <p>50% of the required data for the <i>Refurbishing and Equipping of Busolwe General Hospital</i> was disclosed. The project was still at the design stage as the schematic Designs were still being discussed between the Isdefe (Consultant) and MoH so the project was assessed only against 08 data points under Project Identification.</p> <p><i>Uganda Intergovernmental Fiscal Transfers Programme (UgIFT)</i> disclosed 13% of the 08 Data points under Project Identification. This project is at design and procurement stage so was only assessed for project identification.</p> <p>No data retrieval and archiving systems, data retrieval process was generally challenging, data could not be easily accessed. Accessed data was inconsistent with what was proactively disclosed.</p>	<ul style="list-style-type: none"> Ensuring disclosed data is consistent with what the entity has documented in project documents is good practice and the Ministry of Health is commended for this. The Ministry disclosed less data points as compared the previous assurance exercise. Timely planning and implementation of projects, especially in the interest of COVID-19 and the demand within the receiving communities to build trust.
Overall performance in disclosure	The entity had an overall disclosure rate of 48% which was progressive given that two of the projects were in planning phase.	

Overall performance of projects under Ministry of Water and Environment

Indicators	Observations	Comments
Proactive disclosure	Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda project <ul style="list-style-type: none"> The PDE proactively disclosed an average of 51.2% of the project information as per the CoST IDS while 48.8% was not disclosed. Project information was obtained from the Donor websites (Green Climate Fund, UNDP), MWE website. There was insufficient data disclosed across the project delivery phases. And no data disclosed on implementation. Most of the disclosed data was outdated. No evaluation reports and procurement files were disclosed. 	<ul style="list-style-type: none"> Adopt a standard disclosure format/ template. PDE websites are rarely updated with current project status. Disclosing incomplete data affects access to accurate and use of project and contract data for engagements and project monitoring.
Reactive disclosure	<ul style="list-style-type: none"> The PDE reactively disclosed 07 out of the 08 data points under Project Identification. 70.3% was disclosed as per CoST IDS. The project is at design and planning stage so it was only assessed against the 08 Project Identification data points for reactive disclosure. Information was found consistent in all different project documents disclosed. 	<ul style="list-style-type: none"> Consistent data reveals presence of good data management and retrieval systems. Procurement files were under audit, this affected disclosure of procurement information.
Overall performance in disclosure	There has been an improvement in the level of disclosure of the entity from 53.75% in the previous assurance exercise of 2019 to 60.6% in the current exercise.	

Overall performance of projects under Ministry of Works and Transport

Indicators	Observations	Comments
Proactive disclosure	<ul style="list-style-type: none"> • <i>ICD Mukono inland project</i> disclosed 15% of the 41 data points on the public domain. • <i>Parliament of Uganda project</i> disclosed 78% of the data points. Information under this project was accessed through the MoWT, the entity is a co-stakeholder on the project and does supervision. Much of the Assurance process correspondences were done with the MoWT and access to Parliament was not granted to the Assurance professional. • 49.0% of the data points are proactively disclosed for Border posts (Busia, Malaba, Katuna, Elegu, and Mirama Hills). Project identification was the highest disclosed at 77% while project competition is the least at 36.67%. Project planning and completion data is the least disclosed. Project sign boards were not available at some project sites. 	<ul style="list-style-type: none"> • All Border posts are completed projects as per the entity's information, proactive disclosure is expected to be higher. • No standard disclosure template across the entity disclosed data affecting level of disclosure such as sign boards.
Reactive disclosure	52% of the data points are reactively disclosed for Border posts (Busia, Malaba, Katuna, Elegu, and Mirama Hills). Project identification is the highest disclosed at 62.5% while project procurement is the least at 35%. Project procurement and competition data is the least disclosed.	<ul style="list-style-type: none"> • The rate of reactive disclosure by the PDE is not to the required standard. • Data management and retrieval systems should be developed and implemented.
Overall performance in disclosure	The Overall level of disclosure for the PE was recorded as 48%.	

Overall performance of projects under Uganda National Roads Authority

Indicators	Observations	Comments
Proactive disclosure	<p>Overall observations:</p> <ul style="list-style-type: none"> The data available on the PDEs website was out-of-date. At the time of preparation of this report (December 2020), the project data on the PDE's website had been updated in April 2019. Data was disclosed openly on the UNRA official website, Consultant's website (COWI), Donors website (European Investment Bank, European Union, World Bank and African Development Bank), Ministry of Finance website and Local Newspapers. <p>Kampala Northern Bypass disclosed 85% of the required 41 data points.</p> <p>In addition, there were inconsistencies in disclosed information; for instance, according to UNRA, the project name is Kampala Northern Bypass (17.5km) while according to MoFPED it is titled Capacity Improvement of the Kampala Northern Bypass project (21Km).</p> <p>Soroti-Katakwi-Akisim road project disclosed 76% of the required data.</p> <p>Rukungiri –Ishasha/Kanungu road (78.5km) disclosed 88% of the required data.</p> <p>Kyenjojo – Kabwoya road project (100km) disclosed 88% of the required data.</p>	<ul style="list-style-type: none"> The rate of proactive disclosure by the PDE is promising. Regular updates of disclosed data, ensuring consistency and clarity enables access to accurate and correct data. Adoption of a standard disclosure template. The PDE is encouraged to reference the audited reports on their website including the interventions put in place to respond to observations and recommendations from the audited reports. There is need to harmonize the information disclosed across the various public platform. The PDE is encouraged to reference disclosed information from the Development partners' websites.
4Reactive disclosure	<p>Overall observations</p> <p>Data relating to the pre - implementation process namely; list of bidders, contract agreement and conditions were not accessed by the AP.</p> <ol style="list-style-type: none"> <i>Kampala Northern Bypass project</i> disclosed 60% of the 27 data points requested for. <i>Soroti-Katakwi-Akisim road project</i> disclosed 77% of the required data. <i>Rukungiri –Ishasha/Kanungu road (78.5km)</i> disclosed 71% of the required data <i>Kyenjojo – Kabwoya road project (100km)</i> disclosed 21 out of the 27 required data points <p>Access to project and contract data was challenging as data was not centrally archived and thus, could not be easily accessed.</p>	<ul style="list-style-type: none"> Tender information could not be accessed. Establishment of or strengthening internal data management and retrieval systems. Development of a standard disclosure template – the CoST IDS presents a good framework for disclosure.
Overall performance in disclosure	<p>The entity had a high overall disclosure rate of 85% an increment of 37% from the year 2019 to 2020 indicating a significant increase in disclosure levels. The entity is commended for this and encouraged to carry this on to other projects.</p>	

Overall performance of projects under Wakiso District Local Government

Indicators	Project	Observations	Comments
Proactive disclosure	Proposed Bubebere-Busi Island Embankment protection project	Only 22% of the required data points for proactive data were accessed without request and on the available public platforms.	Whereas the entity had all the required data internally, there was laxity in publishing the data across the previous assurance processes. Entity is encouraged to use press briefs and update its available platforms.
	Construction of Sumbwe seed school	Only 17% of the required data points for proactive data were accessed without request and on the available public platforms.	
Reactive disclosure	Proposed Bubebere-Busi Island Embankment protection project	<p>The PDE disclosed all the 08 data points under Project Identification for reactive disclosure. This project is at the design and planning stage so the Project was only assessed for Project Identification.</p> <p>Observed an improvement in physical data management and retrieval systems.</p>	<p>Entity is commended for the willingness to disclose 100% of the reactive information upon request, and an improvement in data management.</p> <p>Project design reports should be acquired prior to implementation and allow a period for design review to building facilities that are tailored to the prevailing circumstances, site conditions, and specific in scope for the benefit of the community.</p>
	Construction of Sumbwe seed school	<p>The PDE disclosed up to 96% of the 27 data points for reactive disclosure.</p> <p>Project design drawings were available on the project site, however, the complete design report relating to the different aspects of the project was not available or rather not disclosed.</p> <p>The PDE indicated that project design drawings were issued by the MoES without prior site visits in the different areas.</p> <p>Standard designs are provided for all schools and as such the entity faces a few challenges in implementing these projects as the designs may not be suitable for every region with differing site condition. Sumbwe seed school for example would require high-rise structures due to space limitations as the project is in a town. This will allow for space for other facilities like a playground.</p>	<p>Central Government entities undertaking procurement processes or aspects of procurement processes for Local Government entities should ensure efficient and effective stakeholder engagement, consultations during design to ensure effective implementation and address any possible variations.</p> <p>In the previous assurance, recommendations were made to provide for more human resources in the Engineering department. In this Assurance more officers were put in place to support the District Engineer.</p>
Overall performance in disclosure		The entity had a decline in the levels of disclosure by a percentage decrease of 23% from the year 2018 to 2020. This indicates that the entity became reluctant to disclosing data especially proactive data as almost all the reactive information was obtained.	Use of media press briefs and compliance with disclosure on public platforms.

Summary of undisclosed data for all assured projects

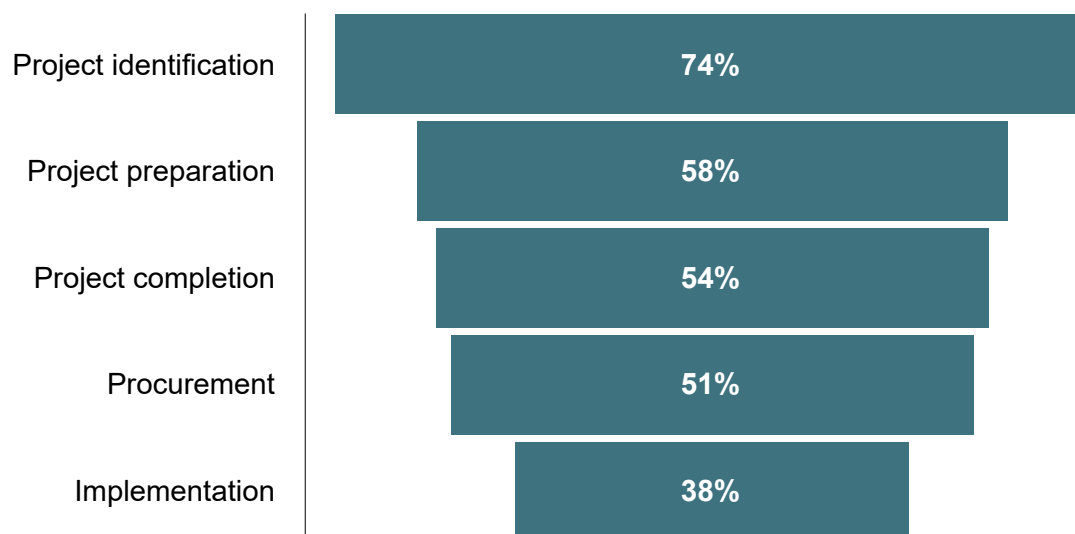


Figure 3: Disclosure rates of proactive data at summary level

From Figure 3 above, project implementation had the lowest level of disclosure for summary level at 38%. It is important to note that all 04 projects under UNRA disclosed all 06 data points under project implementation. However, it can be deduced from Figure 4 that much as the disclosure for procurement data was average at 51%, some data points under procurement like contract type were disclosed by only 03 projects (Malaba border post and Katuna border post projects under MoWT and the Building Resilient communities' project under MWE). In addition, procurement data points on project lifespan, cost estimate, number of firms

tendering, procurement process and contract scope of work were disclosed by only 22%, 26%, 30%, 35% and 39% of the 23 projects. From the proactively disclosed data and across the process, findings revealed that, all entities did not have a standard disclosure template, there were no guidelines for disclosure of infrastructure data, disclosed data was incomplete and, in most instances, inconsistent across various platforms. Conclusively, in Figure 3 above, one can easily tell how transparency (disclosure) saunters through the five stages of project delivery.

Disclosure Of Proactive Data (n = 23)

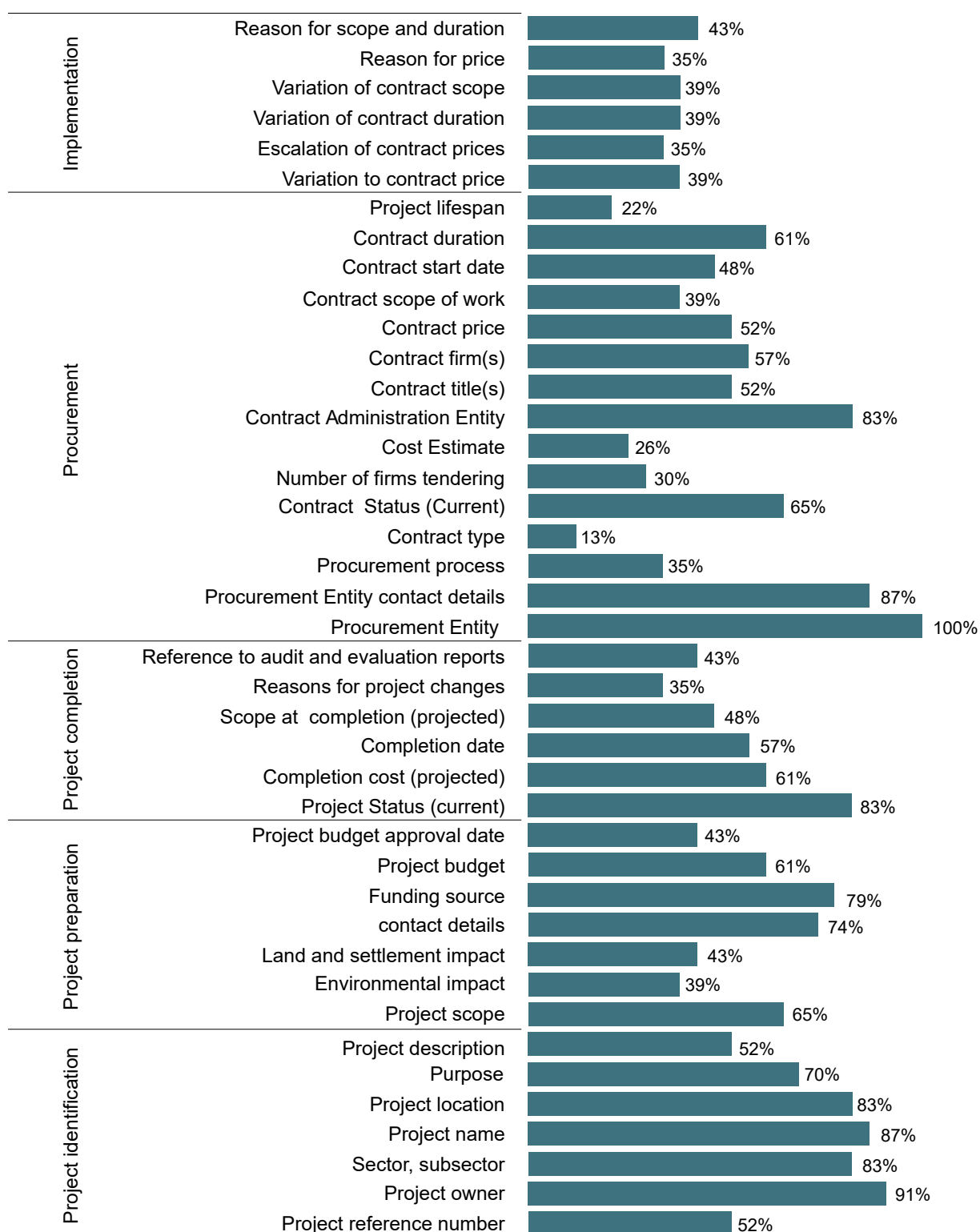


Figure 4: Disclosure of proactive data points for the 23 projects

Summary of undisclosed data for all assured projects

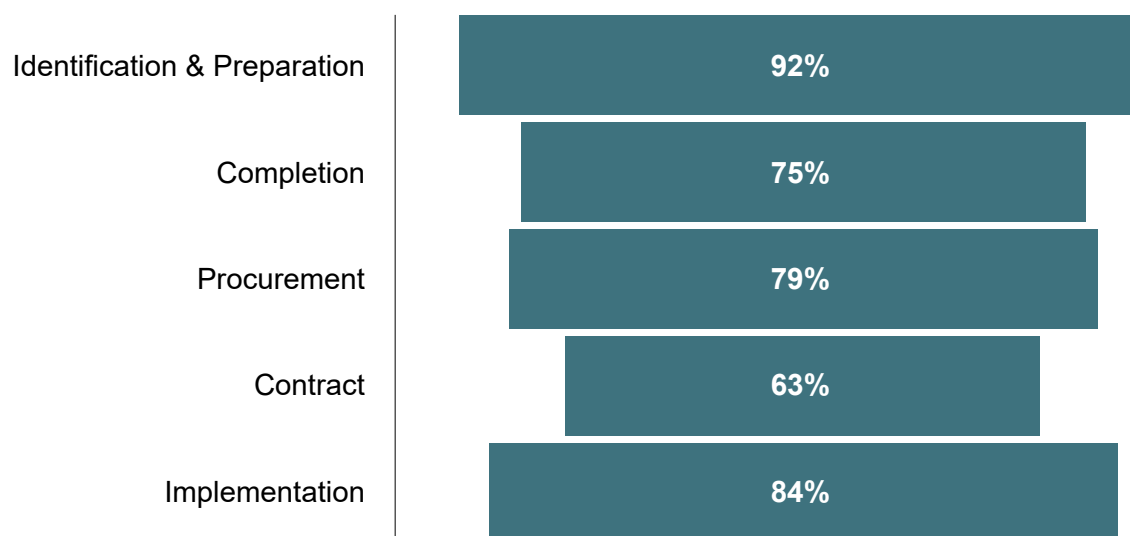


Figure 5: Level of disclosure of reactive data at summary level

As demonstrated in Figure 5 the level of disclosure of reactive data was at an average of 70%. During the Assurance process, the APs were not able to completely access the procurement and contract data since some of the projects were at different phases. The Assurance Team also observed a lack of effective internal data management and archiving systems across most of the Assured Entities. The least disclosed data was contract information with only 9 out of 23 projects disclosing "Registration and ownership of firms." Most of the projects were still ongoing hence the project technical audit and evaluation audits

were not yet done as of the period of Assurance.

Conclusively, in Figure 5 above, one can establish that upon request, entities are comfortable to disclose data on most critical phases such as implementation, identification/preparation and procurement. This information is very critical for the public to build trust and for the private sector to prepare bankable bids to influence participation in procurement.

Disclosure Of Proactive Data (n = 19)

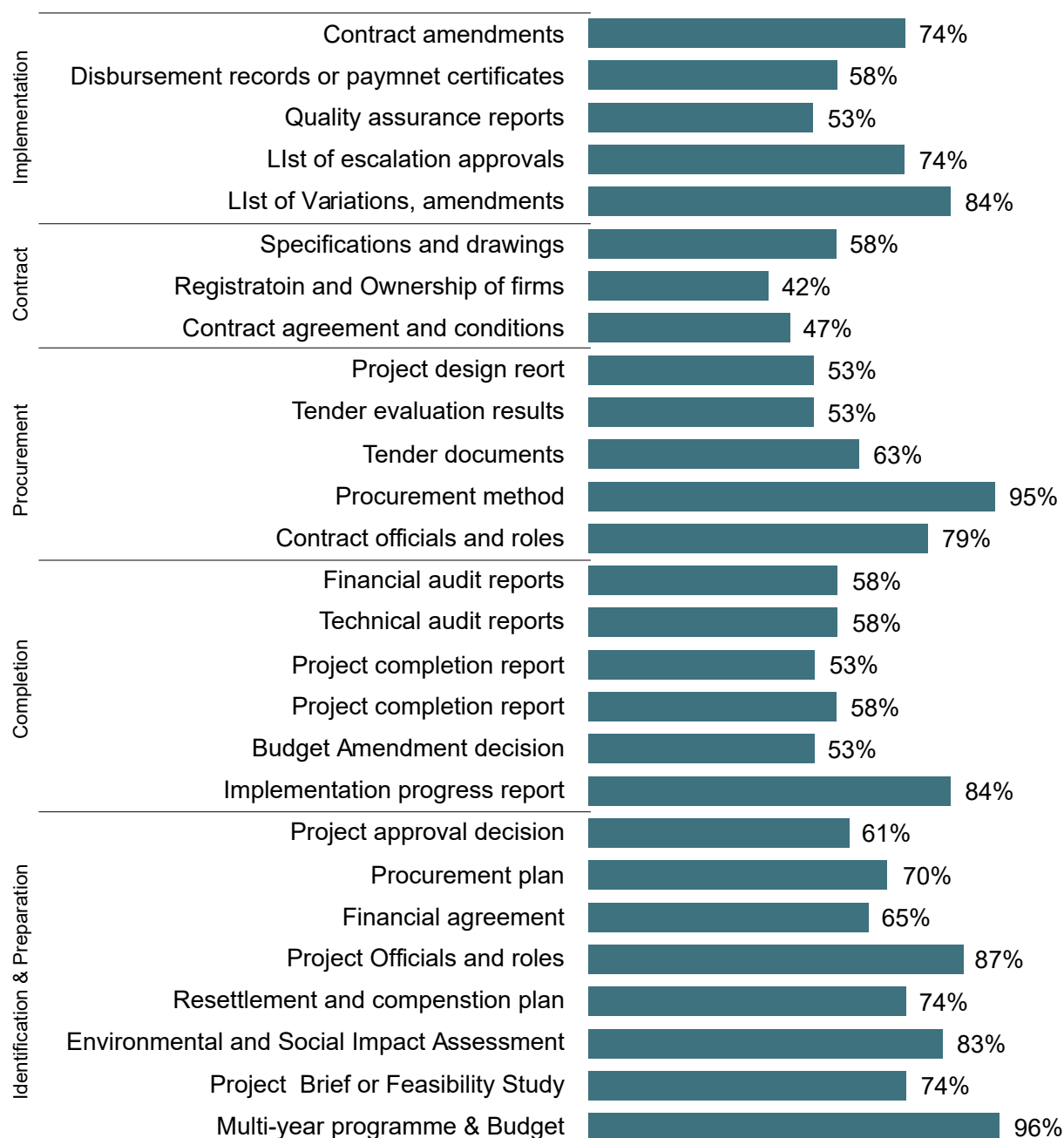


Figure 6: Disclosure of reactive data points for the 23 assured projects

Disclosure trends in the last 4 years

The 4th Assurance Process assessed the trends of disclosure since the inception of the CoST assurance program in Uganda. It was noted that disclosure for the 08 PDE's assured generally improved over the years. However, disclosure declined with the Ministry of Health from 73% in the previous exercise conducted in 2019 to 48% in the current assurance exercise. During the validation meeting, the PDE indicated that the COVID-19 pandemic experienced in 2020 affected the disclosure of both proactive and reactive data as the personnel at the Ministry were engaged in activities geared towards minimizing the impact of the pandemic. Further to this, the disclosure from Wakiso District Local Government declined from 69% in 2018 to 59% in the current exercise.

The entities in the Works and Transport sector enjoyed improvements in disclosure with the exception of the Ministry of Works and Transport that reported a decline from 53% in 2018 to 48% in the current exercise.

Much as this was the first assurance exercise with National Water and Sewerage Corporation, they reported a good level of disclosure at 77%. The PDEs in the Water sector demonstrated good levels of disclosure in the current exercise. The exercise noted improvements in disclosure from the Ministry of Education and Sports from 26% in 2019 to 77% in the current exercise.

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Ministry of health indicated that the COVID-19 pandemic experienced in 2020 affected the disclosure of both proactive and reactive data as the personnel at the Ministry were engaged in activities geared towards minimizing the impact of the pandemic.

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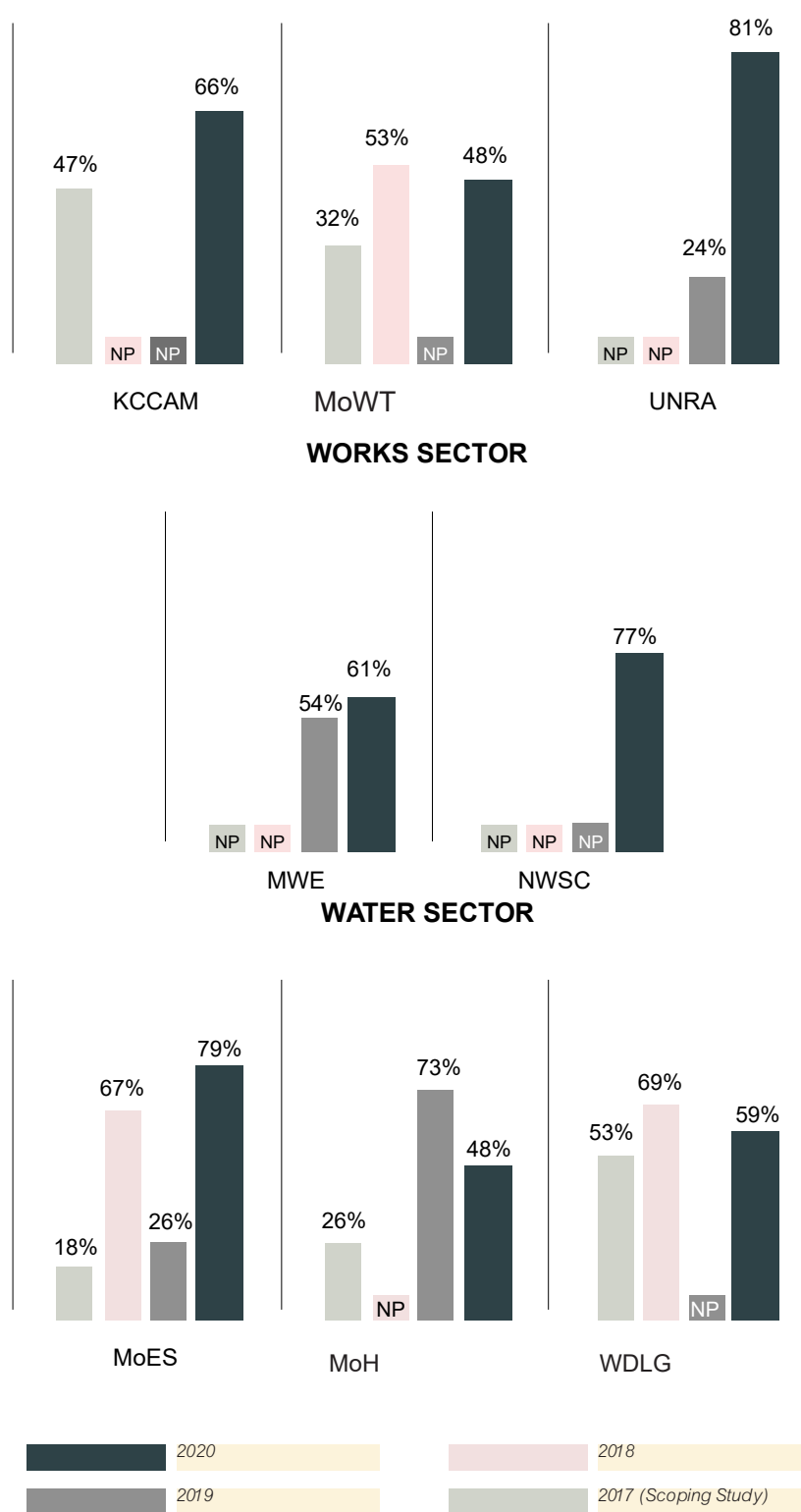
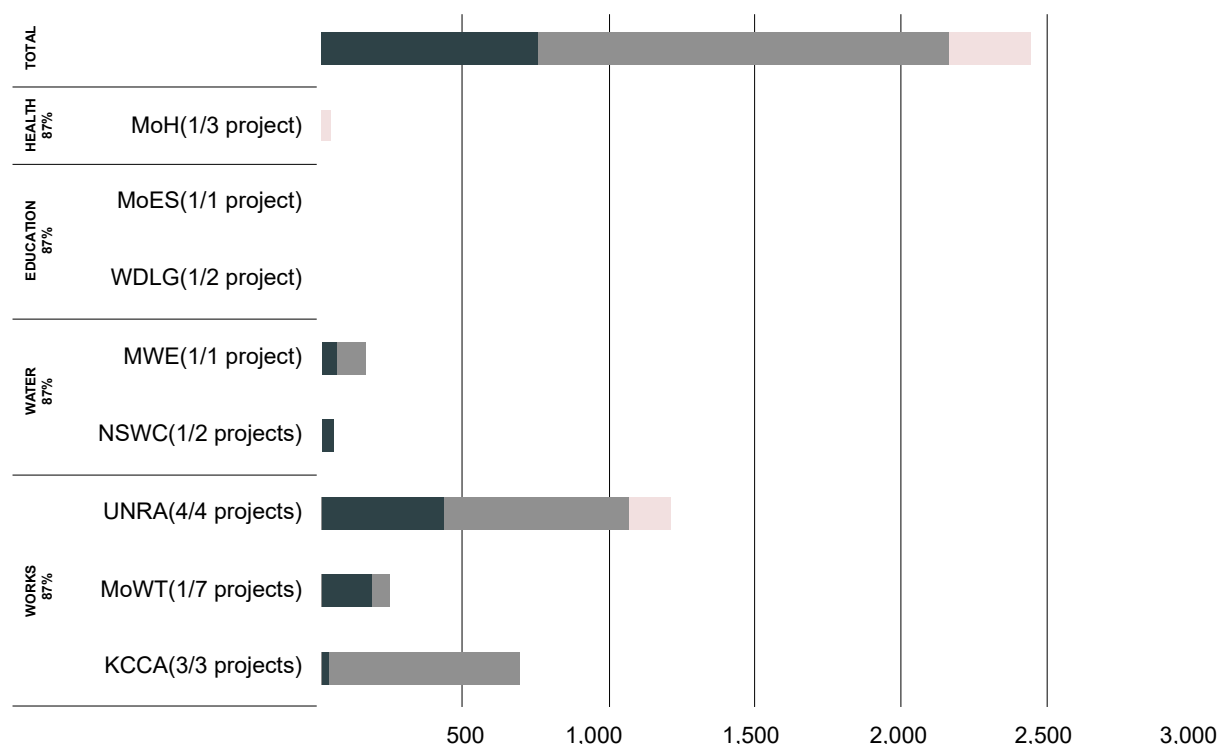


Figure 7: Disclosure trends for the 08 PE's assured

Note: NP – Did not Participate

Source of funds and cost per project



	WORKS (87%)			WATER (10%)		EDUCATION (1%)		HEALTH (2%)	TOTAL
	KCCA (3/3 PROJECTS)	MoWT (1/7 projects)	UNRA (4/4 projects)	NWSC (1/2 projects)	MWE (1/1 projects)	WDLG (1/2 projects)	MoES (1/1 project)	MoH (1/3 project)	
GoU (Ugx billions)	40.79	191.18	436	14.3	67.96	2.14	-6	00	758.37
Loans (Ugx Billions)	656.25	58.64	635	43.13	-7	0.809	0.81		1,410.63
Grants (Ugx Billions)			140		98.03			42.32	280.35

Figure 8: Sources of funding for the 23 projects under 4th Assurance process

Note: The funding sources for Busolwe Hospital project and UglFT programme under MoH were not included in this analysis as the details of these funding sources were not disclosed. The two projects are in procurement.

For the 14 projects that were used for this analysis, Loans taken were 62%, whereas GoU contributed 25% and grants amounted to 12%. It provides a good indication of the international relations supporting infrastructure development in the country and the high dependence on international support for infrastructure development. The works sector took the highest budget at 87%, followed by the water sector at 10%, health sector 2% and the education sector with the lowest at 1%.

Completeness and accuracy of disclosed data

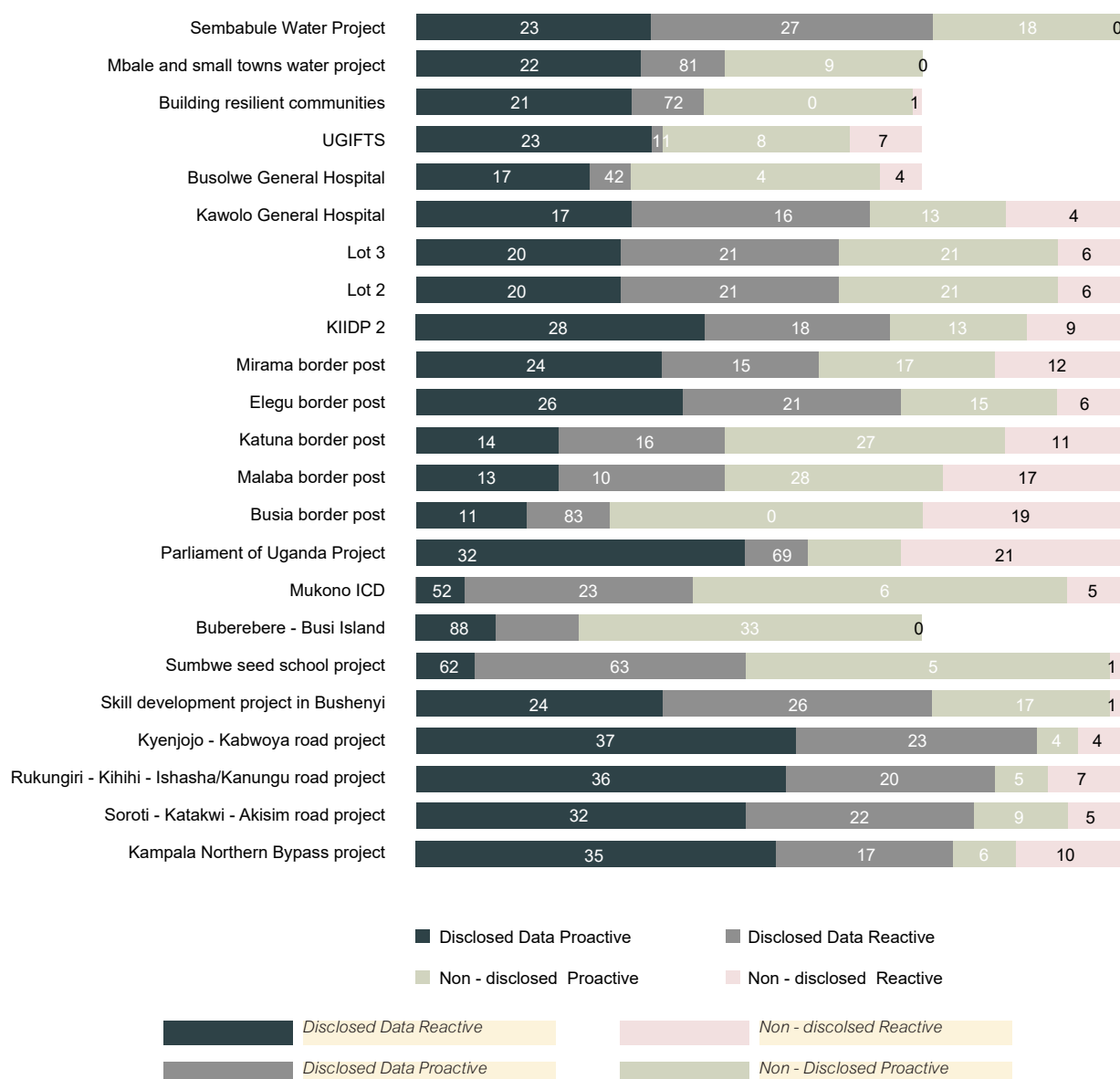


Figure 9: Summary of completeness of data per project

Completeness of the disclosed data points was determined against number of undisclosed data points as per the CoST IDS. Table 4 indicates that 61.5% of all the required 67 data points was disclosed. There has been an average disclosure of data points hence there is a big variance between the disclosed and undisclosed. Kyenjojo-Kabwoya road project disclosed the highest data points of 60 out of 68 followed by Rukungiri-Kihiki-Ishasha/Kanungu road project with 56 data points out of 68. The lowest data points were scored by Buberere-Busi with 16 out of 68 followed by Busia Border post project with 19 out of 68. Incomplete data has a direct link to the impacts of access of information and contravenes the public procurement principles of transparency and accountability which are provided for in the PPDA Act. Further efforts are required to improve the disclosure levels for the project information.

03

Transparency and Project Management

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PDEs should carry out their procurement processes in a manner which promotes accountability and transparency.

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Introduction

This section of the Assurance Report highlights available disclosure frameworks used, Stakeholder Engagements, Transparency in Procurement/Tender Management, Cost Overruns, Time Overruns and Management of Construction Quality across the 8 Procuring and Disposing Entities and 23 Projects assured with Ministry of Health (3), Ministry of Water and Environment (1), National Water and Sewage Corporation (2), Ministry of Education and Sports (1), Wakiso District Local Government (2), UNRA (4), KCCA (3) and (7) Ministry of Works and Transport.

Disclosure frameworks within Procuring and Disposing Entities Assured

With the exception of UNRA, MoH and KCCA, it was noted that across the 8 PDEs and 23 projects assured, data disclosure on the public domain was limited. However, upon request, most PDE's had the data in their offices. Most of the data proactively disclosed was accessed from PDE websites, donor, consultant and contractor's websites and social media platforms. It was however noted that these platforms often had

information that was not up-to-date and in some cases up to 11 months out of date. Disclosure is key in public procurement and the PPDA Act, 2003 emphasizes that PDEs should carry out their procurement processes in a manner which promotes accountability and transparency.

During the Disclosure process, most of the proactive data captured in this assurance exercise was verified through Reactive data accessed from the Entities. The proactive data on the PDE Websites was in most cases found to be limited and not containing vital key information such as the duration, scope, project lifespan among others.

This Assurance Exercise focused on disclosure platforms such as project signboards, PDE Website, Newspaper pull-outs, Radio TV Talk shows and stakeholder engagements. The Table below illustrates available disclosure platforms used by the PDE's to publish information to the general public and project beneficiaries, analysis of the current usage by the PDE and ways the PDE may effectively use these platforms as a tool to enhance transparency and public participation.

Table 4: Disclosure platforms used by PDE's

Disclosure platform	Observations	Comments
Project sign board.	<p>All projects had project sign boards erected with the most relevant data however for the project under MWE, Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda, only one site in Bushenyi had the project signboard erected at a far location from the project start section with the rest (Mitooma, Sheema, Ntungamo and Buhweju) not available.</p> <p>It was also noted that for the projects with no project signposts erected, no works had started and not all information was readily available for public disclosure and consumption.</p> <p>Some projects had signboards that were falling off, or had fallen off. Such as projects under UNRA and MoES. Other projects did not have any health and safety information disclosed on site.</p>	<ul style="list-style-type: none"> • A project signboard is a good platform to proactively disclose project information to the neighbouring communities who are in most cases the beneficiary communities. However, the signboards could also include additional information like contact information such as contract price. • Projects should have more than one project sign board which should be placed at appropriate locations accessible to possible users. • Information that is provided on this platform should be standardised, simplified, translated and updated regularly to promote transparency. • It's imperative that a legal standard disclosure format/guideline is followed when displaying project data to ensure compliance with national regulations and community interests.
PDE website	<p>The PDE websites across all the entities assured had limited information about on-going/Completed projects. Much of the data was accessed from other available platforms like development partners' websites, newspaper articles, and social media among others.</p> <p>For example, projects under UNRA, the data provided was also outdated up-to 11 months for some projects.</p>	<ul style="list-style-type: none"> • The PDEs website is a good platform for easy and quick access to information. • The PDEs should make efforts to provide regular updates on their websites to promote access to information related to infrastructure projects by the PDEs
Newspaper pull-outs	<p>There was limited information disclosed through this medium with almost all information accessed digitally from the PDEs or where this medium was used, such data could not be recovered physically.</p>	<ul style="list-style-type: none"> • The PDEs website is a good platform for easy and quick access to information. • The PDEs should make efforts to provide regular updates on their websites to promote access to information related to infrastructure projects by the PDEs
Radio/TV talk shows	<p>There was evidence of this indicator for projects under UNRA and Wakiso District Local Government (WDLG).</p> <p>Projects with limited to no information for this indicator were under MoES, NWSC, MWE, KCCA, MoWT and KCCA.</p>	<ul style="list-style-type: none"> • This is a good platform for proactive information dissemination at all levels. • Radios and Televisions provide an opportunity for mass dissemination as they have a wide coverage in terms of viewership and listenership.
Stakeholder engagements	<p>There was evidence of this indicator from projects under UNRA, KCCA, MOES and WDLG through Focus Group interviews with primary beneficiaries, face to face interactions with community and project officials.</p> <p>It was however noted that for the Entities such as NWSC, MWE, MoWT and MoH, there was no information disclosed regarding stakeholder engagements.</p>	<ul style="list-style-type: none"> • All PDEs are encouraged to continue to disclose information on this indicator to provide relevant insight to the ownership and appreciation by all beneficiaries of the projects being implemented. • This is a good practice as it offers a good platform to disclose project information to the different stakeholders as the project progresses. • It promotes transparency and accountability as the stakeholders are able to make inquiries, raise and address concerns on the projects. • The PDEs are applauded for engaging in stakeholder meetings and disclosing the levels of these engagements.

The 4th Assurance revealed that lack of sufficient planning, limited consultations and involvement of lower level stakeholders such as Local Governments in centrally procured projects resulted in insufficient designs and construction management challenges.

Stakeholder engagement

Stakeholder participation is a core principle of the CoST Initiative and as such this helps build ownership and trust with all beneficiaries in turn fostering Transparency and Accountability. It was evident that Entities such UNRA, KCCA, MoES and WDLG had some level of engagement with community, District Leadership and other stakeholders about the projects assured. These PDEs are commended for conducting stakeholder consultations and taking into consideration the feedback from such consultations.

The Table below illustrates the observations and comments from the Stakeholder Engagements across all Projects and Entities.

Table 5: Stakeholder engagement across the 23 assured projects

Procuring Entity	Projects	Comments
Ministry of Health	Refurbishing and Equipping of Kawolo General Hospital	<ul style="list-style-type: none"> Results from the validation meeting and field findings revealed that the entity has involved the local Governments in the planning, preparation and implementation processes. The projects had generated a lot of excitement in the communities and yet works had not started, this revealed that the entity had engaged the stakeholders.
	Refurbishing and Equipping of Busolwe General Hospital	
	Uganda Intergovernmental Fiscal Transfer programme (UgIFT)	
Ministry of Water and Environment	Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda project	<ul style="list-style-type: none"> Observed communication gaps and delays in financial disbursements in project management between the project stakeholders. Some districts mostly in the South Western like Ntungamo, Bushenyi, and Mitooma had not received the funds for the project yet the funds were released by the MWE.
National Water and Sewage Corporation	Mbale and Small Towns Water supply and Sanitation Project (Busolwe, Kadama, Tirinyi, Kibuku, Butaleja, Budaka) Water supply and Sanitation Project, under MWE and NWSC)	<ul style="list-style-type: none"> High stakeholder involvement of beneficiary districts. The NWSC Mbale office has also engaged the community members and the technical team during the design review. For the Sembabule project, the PDE has involved the district technical team, political team in the implementation of the project. Women have been involved in the safety department of the project.
	Sembabule Water Supply Improvement Project	<ul style="list-style-type: none"> For the Sembabule project, the PDE has involved the district technical team, political team in the implementation of the project. Women have been involved in the safety department of the project.
Ministry of Education and Sports	Bushenyi UTC skills development project	<ul style="list-style-type: none"> Lack of consultation and involvement of the local beneficiaries and the district in design and procurement of the projects by the MoES causing challenges at implementation for Sumbwe seed school. Sumbwe seed school for example is a town project which ideally would have required the adoption of high raised structures due to the limited space and considering additional space for various other facilities like playgrounds in the school. The designs issued for Sumbwe seed school were not up to date and therefore need to be specific, improved and tailored to the prevailing site conditions to serve their intended purpose. The Ministry of Education and Sports issued inappropriate designs.
Wakiso District Local Government	Bubebere - Busi Island, Proposed road embankment protection.	
	Sumbwe Seed School	
UNRA	Capacity Improvement of the Kampala Northern Bypass (21km)	<ul style="list-style-type: none"> Arising from the stakeholder consultations on the Kampala Northern Bypass project, women noted that they limited the use of existing foot bridges to cross the carriageway because the design of the footbridges made it possible for men standing beneath the bridge to inappropriately look up at women walking along the bridges. As a result, the design of the new foot bridges took this concern into consideration.
	Soroti - Katakwi - Akisim road (100km)	
	Rukungiri-Kihihi-Ishasha-Kanungu road (78.5km)	
	Upgrading of Kyenjojo – Kabwoya road (100km)	

KCCA	Second Kampala Institutional & infrastructure development Project (KIIDP 2) Batch 2 – Lot 1	<ul style="list-style-type: none"> The PDE held engagement meetings with stakeholders who included political leaders, local leaders and community residents. The number of meetings, participants, key issues discussed and acted upon attendees was not disclosed. During site visit, it was observed that the women were recruited as traffic controllers with flags, and cooking for the casual workers. Many youth were employed as equipment operators, Track drivers, and mechanics.
	Contracts for City Design update and construction of selected drainage systems Lot 2	
	Contracts for City Design update and construction of selected drainage systems Lot 3	
Ministry of Works and Transport	Inland – ICD Mukono and Gulu.	No information disclosed.
	Construction at Parliament of Uganda	No information disclosed.
	Border posts (Busia, Malaba, Katuna, Elegu, Mirama Hills)	No information disclosed.

Adherence to PPDA procurement guidelines, local content, reservation schemes is still a challenge, with many projects delaying in procurement. The Chinese took the highest number of contracts in the 23 projects.

Tender management

In order to assess this indicator, the Assurance Team accessed information like the number of bidders who submitted for the project, the procurement method, contract price and the bidder awarded the contract. The Public Procurement and Disposal Authority (PPDA) of Uganda has issued guidelines for reservation of specific contracts for national and resident contractors and these reservations were used in the analysis. **The thresholds for reservation to the national and resident contractors are 45 Billion Uganda Shillings and below for road works and 10 Billion Uganda Shillings and below for other public works (buildings and related infrastructure).** These guidelines are also applicable to projects funded by the development partners, with the exception of cases where the financing agreement specifically excludes the application of the local content guidelines. It was observed that for the City Design update and construction of selected drainage systems Lot 2 and City Design update and construction of selected drainage systems Lot 3 projects under KCCA and the Sumbwe Seed Primary school under WDLG were advertised as “Open International Bidding (OIB)” much as their contract sums were below the threshold for restriction as they were valued at approximately 4 billion Uganda shillings. However, both works contracts were awarded to local contractors, one would wonder as to why, the OIB method was opted for. It can be considered that, disclosure on local content should be done as follows:



Table 6: Summary of tender management

S/N	PE	Projects	No of Firms that bid	Firms	Awarded Service Providers/ Contractors/ Design/ Supervision Consultants	Contract Duration/ Project cost	Procurement Method
1	MoH	Refurbishing and Equipping of Kawolo General Hospital	3	Ambitious Construction Ltd, M/S Excel Construction Ltd and Roko Construction Limited	M/S Excel Construction Limited (Civil works contractor) Isdefe (Spanish Design Consultant)	18 Months Works contract: Ugx 39,200,000,000 (US\$ 10,865,849.14) Supervision contract: Euros 11,884,379.70	International Competitive Bidding
		Refurbishing and Equipping of Busolwe General Hospital	ND	ND	Isdefe (Spanish Design Consultant), Contractor not yet procured	ND Works contract: Ugx 21,600,000,000 (US\$ 6,000,000) estimates	ND
		Uganda Intergovernmental Fiscal Transfer programme	ND	ND	ND	ND Total budget: US\$ 787.59 million.	ND
2	MWE	Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda project	ND	ND	ND	ND Project cost: US \$ 44.3 million	Open Domestic Bidding
3	NWSC	Mbale and Small Towns Water supply and Sanitation Project (Busolwe, Kadama, Tirinyi, Kibuku, Butaleja, Budaka) Water supply and Sanitation Project, under MWE and NWSC)	37 (Consultancy services)	ND	Saman Corporation in Joint Venture with Cheil Engineering CO. LTD (JV) in Association with Air Water Earth LTD (Sub consultant).	10 Months Design review contract: US\$ 432,578	Open International Bidding Should have been restricted to national and resident contractors under the Local Content Guidelines
		Sembabule Water Supply Improvement Project	24	ND	Zhonghao Overseas Construction Engineering Company Limited	12 Months Works contract: Ugx 14.3 billion	Open International Bidding

4	MoES	Uganda Skills Development Project, Bushenyi Project site.	ND	ND	Civil works: Prism Construction Company Ltd Project Design: Sileshi Consulting Engineers and Architects	09 Months Works contract: Ugx 9,819,668,736	Open Domestic Bidding
5	WDLG	Bubebere - Busi Island, Proposed road Embankment protection.	ND	ND	ND	ND Yet to be procured	ND
		Sumbwe Seed School	04	ND	Kaleeta Construction	ND Works contract: Ugx 2.139 billion	Open International Bidding <i>According to the PPDA regulations on reservations for resident and national firms, this contract should have been advertised as a Domestic bid.</i>
6	UNRA	Capacity Improvement of the Kampala Northern Bypass (21km)	08	<ul style="list-style-type: none"> KJ Connect, Vinci Concessions and Mota-Engil Strabag and IC Ictas Tecnasol Luisa Goncal China Communications Construction Company and China First Highway Engineering Company Ltd CCECL and CRCCIG Enkula Expressway Shapoorji Pacconji group CCKS consortium comprising Chinese firms and South Korean firms. 	Mota Engil Engenharia E Contrucao SA (Civil Works Contractor), COWI A/S (Supervision Consultant)	ND Works contract: Euros 106.48 million Supervision contract: Euros 6.829 million	Open international Bidding Should have been restricted to national and resident contractors under the Local Content Guidelines
		Soroti- Katakwi - Akisim road (100km)	ND	ND	Works Contractor: CCCC Supervision Consultant: GIBB Africa in Association with MBW Consulting Ltd.	36 Months Works Contract: Ugx 398.884 billion Supervision Contract: Ugx 14.418 billion	ND
		Rukungiri-Kihihi-Ishasha-Kanungu road (78.5km)	06	<ul style="list-style-type: none"> Zhongmei Engineering Group Limited Al Mayehu Katema General Contractor China Railway Seventh Group Dott Services Limited Ashoka Bulicon Ltd Nashik India CGCO Group Co. Ltd 	Works Contractor: China Henan International Construction Company. Supervision Consultant: SMEC International Pty	37 Months Works Contract: UGX 207,834,646,967 Supervision contract: USD 4,712,121.76	International Competitive Bidding

		Upgrading of Kyenjojo – Kabwoya road (100km)	ND	ND	Works contractor: Shengli Engineering Construction Company of Shengli the Oli Field. Supervision contract: Comtran Engineering and Planning Associates (Ghana). RAP Consultant: Survey Consult Ltd	Civil works: 36 months Consultancy Design: 7 months Consultancy supervision: 36 months Works contract: UGX 214.564 Billion Supervision contract: US\$ 3,079,482 RAP Contract: UGX 1.08 Billion	International Competitive Bidding
7	KCCA	Second Kampala Institutional & infrastructure development Project (KIIDP 2)	ND	ND	Consultant: C. LOTTI & ASSOCIATI Contractor: CHINA STATE CONSTRUCTION ENGINEERING CORPORATION LTD.	Kulambiro - 10 months Nakawa-Ntinda - 18 Months Acacia - 14 months Works contract: Ugx 87,912,203,803 VAT exclusive	International Competitive Bidding.
		Contracts for City Design update and construction of selected drainage systems Lot 2	09	ND	Consultant: M/s UB Consulting Engineers Ltd Contractor: M/s Bisons Consult International Ltd Lina Construction Limited	12 Months Works contract: Ugx 4,254,750,420	Open International Bidding Note: According to PPDA a road works contract of less than Ugx 10 billion should be reserved for national and resident contractors but this bid was advertised as an Open International Bid
		Contracts for City Design update and construction of selected drainage systems Lot 3	11	ND	Consultant: M/s PROME Consulting Engineers Ltd Contractor: M/s Abubaker Technical Services & General Supplies Ltd	12 Months Works contract: Ugx 4,475,076,869 VAT inclusive Supervision contract: Ugx 100,300,000	Open International Bidding Note: According to PPDA a road works contract of less than Ugx 10 billion should be reserved for national and resident contractors but this bid was advertised as an Open International Bid

8	MoWT	Inland – ICD Mukono.	ND	ND	Ambitious Construction Company Limited	5 Years	International Competitive Bidding
		Construction at Parliament of Uganda	05	ND	JV Roko Construction Ltd and Roko Limited (Rwanda)	Works contract: Ugx 179,800,000,000	Open Domestic Bidding
		Border posts (Busia, Malaba, Katuna, Elegu, Mirama Hills)	ND	Elegu Border Post: ND Katuna Border Post: ND Malaba Border Post: ND Mirama Hills Border Post: ND	Elegu: M/s Seyani brothers & Co. (U) Ltd Katuna: Amugoli General Enterprises Ltd Malaba: ND Mirama Hills: Dott services limited	Elegu: 12 months, US\$ 7,813,228.92 (VAT inclusive) Katuna: ND, Ugx 11.18 billion Malaba: 12 months, Ugx 15.7 billion Mirama: 12 months, US\$ 7,817,703.42 (Tax Inclusive) Busia: 12 months, Ugx 15.9 billion	Elegu Border Post: Open International Bidding Katuna Border Post: Open International Bidding Malaba Border Post: International Competitive Bidding Mirama Hills Border Post: International Competitive Bidding

Results from the tender disclosed data reveal a lack of sufficient capacity amongst public officials and the private sector on procurement regulations and the bidding documents, information disclosure, infrastructure monitoring and stakeholder engagement. In addition, accounting officers have no legal provisions requiring them to comply with disclosure requirements.

Summary of Cost variations

The Figure 10 provides a summary of the cost overruns and cost savings disclosed by the respective projects.

Cost variations were reported on 11 of the 23 assured projects at 209.67%. It is important to note that the Drainage upgrade Lot 2 project and Drainage upgrade Lot 3 project under KCCA realized cost savings of 0.97% and 3.3% respectively of the overall project budgets. However, the Kampala Northern Bypass project recorded the highest cost overrun of 62% over the projected budget.

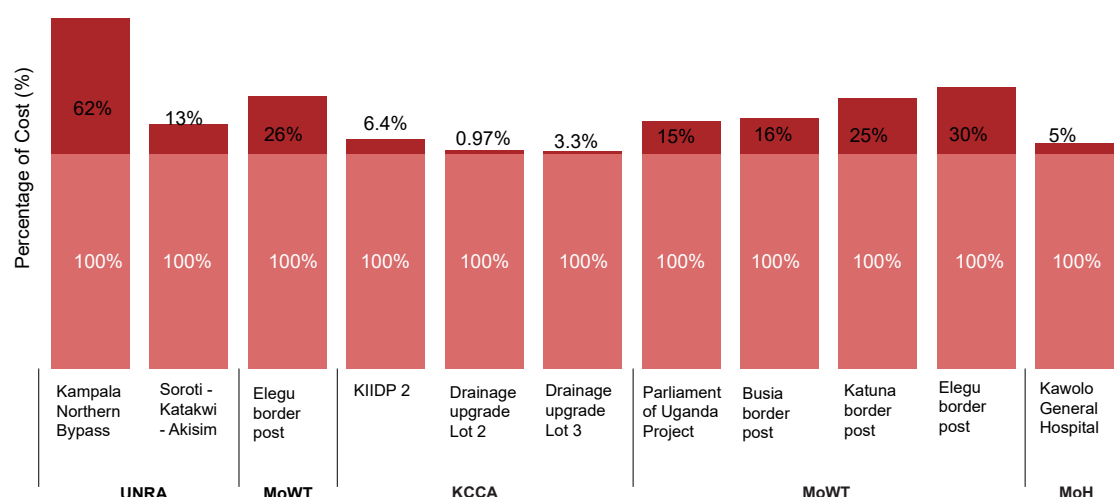


Figure 10: Cost variations reported by 11 of the 23 assured projects

Cost variations reported by 11 of the 23 assured projects at 209.67%.

Table 7: Summary of cost variations on the selected projects

S/N	Procuring Entity	Projects	Project Cost	Cost Overruns	Reasons for Cost overruns
1	Ministry of Health	Refurbishing and Equipping of Kawolo General Hospital	US\$ 10,399,056 (Civil Works). EUR 886,346 (Consultancy services)	3.84% (Civil works) 22.49% (Consultancy services)	<p>Variation Orders resulting from unexpected circumstances and events which could result in security issues or delays in the project. VO 001 Cutting Trees, VO 002 Demolition and replacement of septic Tank, VO 003 Retaining wall behind new OPD (works), VO 004 Harmonization of Sanitary Fittings VO 005 Temporary installation of Labour suite in the existing Maternity Block, VO 007 Redesign of hospital sewage and water supply system (works)</p> <p>Variation Orders resulting from unfunded works identified by the Project Stakeholders VO 010 Variations to medical equipment's list VO 013 Add new Incinerator to Bill 09. General Systems VO 015 Add new Incinerator house to Bill 09. General Systems. These variations were approved</p>
		Refurbishing and Equipping of Busolwe General Hospital	Debt Swap -US\$ 4 to 5 Million, GoU - UGX 6 Billion	Project at Design and Procurement stage	N/A
		Uganda Intergovernmental Fiscal Transfer Programme	ND	Project at Design and Procurement stage	N/A
2	Ministry of Water and Environment	Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda project	US\$ 44.3M	N/A	Much as there were no cost overruns reported, the project has experienced slow absorption of funds.

3	National Water and Sewage Corporation	Mbale and Small Towns Water supply and Sanitation Project (Busolwe, Kadama, Tirinyi, Kibuku, Butaleja, Budaka) Water supply and Sanitation Project, under MWE and NWSC)	Loan – US\$ 40,500,000 US\$ 432,578 VAT Exclusive for design Review	N/A	N/A
		Sembabule Water Supply Improvement Project	GOU – US\$ 3,783,784	N/A	N/A
4	Ministry of Education and Sports	Uganda Skills Development Project, Bushenyi Project site.	UGX - 9,819,668,736	ND	The entity did not report any cost overruns, however as a result of changes in the project site location; the contractor issued a compensation variation claim in the amount of UGX 401,884,300 due to the effect of changing site, relocation of storm water pipes, underground power cables, reconstruction of existing incinerators, a borehole, sewerage pipes and reconstruction of site offices. This claim by September had not yet been approved by the entity. It should however be noted that whereas there would be an increase in cost for implementation works, the project was still running under cost and there would be no cost overruns whatsoever.
5	Wakiso District Local Government	Bubebere - Busi Island, Proposed road Embankment protection.	ND	ND	ND
		Sumbwe Seed School	UGX 2,138,728,950	ND	ND

6	UNRA	Capacity Improvement of the Kampala Northern Bypass (21km)	EU – Euros 40 million (Grant) EIB – Euros 7.2 million (Loan) GoU – Not declared (Investment)	Works contract: Euros 38.546 million *56.74% Supervision contract: Euros 3.398 million *99.03% Overall project cost overrun - 62%	Changes in land use necessitated changes in the drainage design to a high-capacity drainage. The design did not cater for compensation of the road diversions.
		Soroti- Katakwi - Akisim road (100km)	Works Contract: UGX 398.884 billion Supervision Contract: UGX 14.418 billion	13% of overall budget	Original design omitted 10km of swamp and therefore adjustments had to be made to the project budget. Additional 16.38km of town roads were approved during the course of the project. In the original design and contract documentation, provisional sums were provided for the town roads allowing for contingency to cater for adjustments. However, the additional 10km of swamp improvements used up the contingency sum. These variations were approved
		Rukungiri-Kihihi-Ishasha-Kanungu road (78.5km)	Works Contract: UGX 207,834,646,967 Supervision contract: USD 4,712,121.76	ND	Claim notices for Extension of Time (EoT) have been submitted by the Contractor for approval by the Engineer.
		Upgrading of Kyenjojo – Kabwoya road (100km)	Works contract: UGX 214.564 Billion Supervision contract: US\$ 3,079,482 RAP Contract: UGX 1.08 Billion	0% (No price changes)	The available report from the OAG dated December 2018 indicated that much as there had been scope changes, they haven't resulted in additional project costs over and above the project budget..

7	KCCA	Second Kampala Institutional & infrastructure development Project (KIIDP 2) –Batch 2A	UGX 82,321,569,919 VAT Exclusive	6.35% (Consultant as of May 2020)	Increase in the traffic. Approved changes in manhole specifications to avoid vandalism. Changes in the solar specifications for durability. Need to increase the width of the road and pedestrian walkways. Absence of some items in the Bills of Quantities yet they are included in the approved drawings like rock fill for box culverts. Need for more lighting along the roads
		Contracts for City Design update and construction of selected drainage systems Lot 2	UGX 4,293,764,417	Cost saving of UGX 39,013,997 *(-0.97%)	Luwomba and Nyanam Channels (Longer channels) were replaced by Kabaawo and Sebanja Channels (shorter Channels). The Approval of these variations were not Disclosed
		Contracts for City Design update and construction of selected drainage systems Lot 3	Civil Works - UGX 4,627,966,029 Supervision - Ugx 100,300,000	Cost saving of UGX 152,889,160 (-3.3%)	They were due to additional works for Kawooya drain. The approvals were not disclosed
8	Ministry of Works and Transport	Inland – ICD Mukono.	\$7,813,228.92 (VAT inclusive)	ND	ND
		Construction at Parliament of Uganda	ND	15% rise in cost	ND
		Border posts (Busia, Malaba, Katuna, Elegu, Mirama Hills)	Elegu Border Post: ND Katuna Border Post: ND Malaba Border Post: ND Mirama Hills Border Post: USD 7,817,703.42 (Tax Inclusive)	Elegu Border Post: US\$ 2,006,000 (25.67%) Katuna Border Post: ND Malaba Border Post: ND Mirama Hills Border Post: ND	Elegu Border Post: There was variation of scope to include phase II works of construction of dry cargo verification shed, warehouse, aggregation centre, additional drainage, parking and landscaping at the Elegu border crossing. The Approvals were not disclosed Katuna Border Post: ND Malaba Border Post: ND Mirama Hills Border Post: ND

Summary of Time Overruns

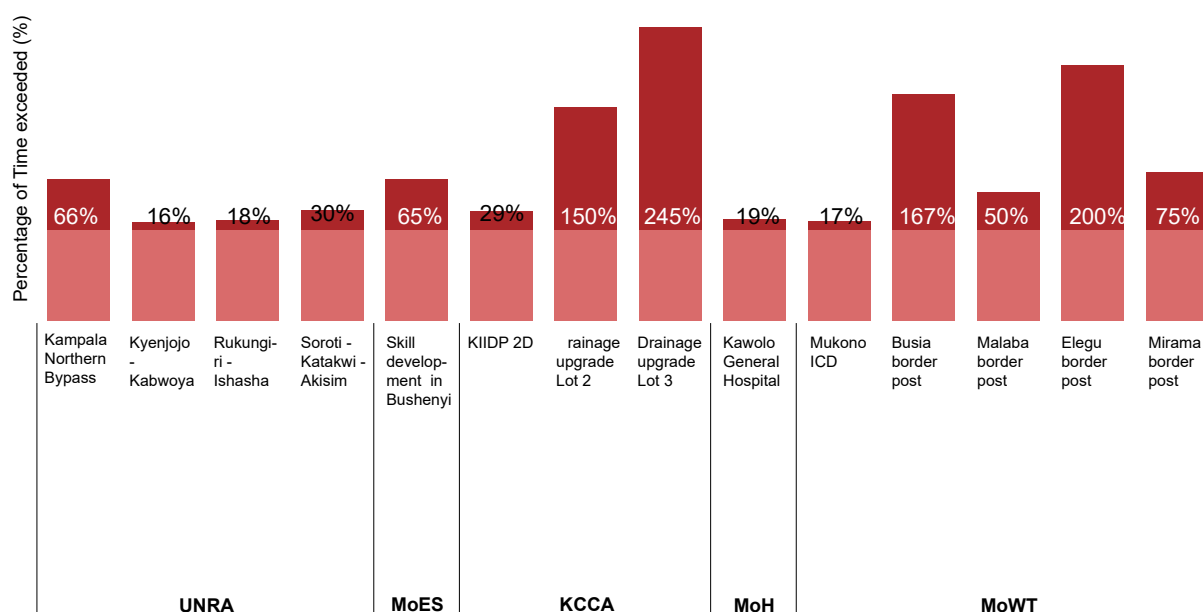


Figure 11: Time variation reported on 14 out of the 23 assured projects

Figure 11, 14 of the 23 assured projects reported time variations against the proposed implementation work plans. Four projects disclosed time overruns exceeding 100% of the project durations. The City Design update and construction of selected drainage systems Lot 3 under KCCA reported the highest time overrun of 29.5 months over and above the projected duration of 12 months.

**14 of the 23
assured projects
reported time
variations against
the proposed
implementation
work plans of up to
1,147%.**

Table 8: Summary of Time variations on the 23 assured projects

S/N	Procuring Entity	Project	Duration	Time Overruns	Reasons for Time Overruns
1	Ministry of Health	Refurbishing and Equipping of Kawolo General Hospital	18 Months	Works contract: 19% Supervision contract: 8%	<p>Variation Orders resulting from unexpected circumstances and events which could result in security issues or delays in the project.</p> <p>VO 001 Cutting Trees, VO 002 Demolition and replacement of septic Tank, VO 003 Retaining wall behind new OPD (works), VO 004 Harmonization of Sanitary Fittings VO 005 Temporary installation of Labour suite in the existing Maternity Block, VO 007 Redesign of hospital sewage and water supply system (works)</p> <p>Variation Orders resulting from unfunded works identified by the Project Stakeholders</p> <p>VO 010 Variations to medical equipment's list VO 013 Add new Incinerator to Bill 09. General Systems VO 015 Add new Incinerator house to Bill 09. General Systems. These variations were approved</p>
		Refurbishing and Equipping of Busolwe General Hospital	ND	ND	ND
		Uganda Intergovernmental Fiscal Transfer programme	ND	ND	ND
2	Ministry of Water and Environment	Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda project	8 years	0%	<p><i>Not Disclosed; however, there is need to develop an updated project activity schedule with deliverables that need to be monitored by UNDP in terms of project cost and physical progress. Otherwise, due to the slow physical progress (16.5% in 3.5years), the project may experience a time overrun in the future.</i></p>
3	National Water and Sewerage Corporation	Mbale and Small Towns Water supply and Sanitation Project	10 Months	N/A	N/A
		Sembabule Water Supply Improvement Project	12 Months	0%	N/A

4	Ministry of Education and Sports	Uganda Skills Development Project, Bushenyi Project site.	09 Months	ND Physical Status slippage of 65% observed	It was observed that project status was at 26% physical progress against a planned progress of 91%. The slippage in time was majorly due to the COVID-19 restrictions that slowed down the construction processes as revealed by the site team. Additionally, there was need to change the site location due to poor ground conditions that facilitated some loss in time. From the above it was quite evident that the project would experience time overruns and indeed the project completion time was extended from 5th November 2020 to 5th February 2021; a time extension of 3 months.
5	Wakiso District Local Government	Bubebere - Busi Island, Proposed road Embankment protection.	ND	ND	Construction works had not yet commenced. Entity did not have funds for the remaining works, and yet, this was a major connection bridge to the Island.
		Sumbwe Seed School	Government of Uganda (GoU) in conjunction with World Bank	0%	There were no time overruns evidenced on the construction for Sumbwe seed school as the project was running as planned without variations in time and scope.

6	Uganda National Roads Authority	Capacity Improvement of the Kampala Northern Bypass (21km)	ND	337 days approved Extension of Time from July 2017 to 29 May 2019. Additional variation in contract duration as revised completion date is August 15, 2022 *86.3 Months (239%)	The delays resulted from issues to deal with acquisition of land, and the need to redesign the drainage in some areas due to changes in land use at the time of conception of the project and the construction phase.
		Soroti- Katakwi - Akisim road (100km)	36 Months	30.14%	Extension of Time (EoT) of 62 days from 01/Nov/2019 to 30/Jan/2020 approved due to abnormal rainfall
		Rukungiri-Kihihi-Ishasha-Kanungu road (78.5km)	37 Months	0%	No variation reported by the PE
		Upgrading of Kyenjojo – Kabwoya road (100km)	Civil works: 36 months Consultancy Design: 7 months Consultancy supervision: 36 months	*165 Days as of October 2018	Design review changes like <ul style="list-style-type: none"> • Subbase and base thickness increase from 150mm to 175mm • A thicker sub-grade between Kagadi and Kyenjojo due to change in traffic class from T6 to T7. • Change from corrugated pipes to concrete pipes and replacement of two Armco pipe crossings with box culverts.
7	Kampala Capital City Authority	Second Kampala Institutional & infrastructure development Project (KIIDP 2) Batch 2A Lot 1	Kulambiro - 10 months Nakawa-Ntinda - 18 Months Acacia - 14 months	Kulambiro - 85 days (28%) Nakawa-Ntinda - 89 days (16.5%) Acacia - 124 days (29.5%)	<ul style="list-style-type: none"> • Increase in the traffic. • Approved changes in manhole specifications to avoid vandalism. • Changes in the solar specifications for durability. • Need to increase the width of the road and pedestrian walkways. • Absence of some items in the Bills of Quantities yet they are included in the approved drawings like rock fill for box culverts. • Need for more lighting along the roads
		Contracts for City Design update and construction of selected drainage systems Lot 2	12 Months	3 Time extensions totaling to 1.5 years (150%)	Luwomba and Nyanama Channels (Longer channels) were replaced by Kabaawo and Sebanja Channels (shorter Channels). The Approval of these variations were not Disclosed
		Contracts for City Design update and construction of selected drainage systems Lot 3	12 Months	8 time extensions totaling to 29.5 Months (245%)	They were due to additional works for Kawooya drain. The approvals were not disclosed.

8	Ministry of Works and Transport	Inland – ICD Mukono.	5 Years	ND	ND
		Construction at Parliament of Uganda	ND	An estimated 33% rise in duration of project time.	ND
		Border posts (Busia, Malaba, Katuna, Elegu, Mirama Hills)	Elegu Border Post: 12 Months. Katuna Border Post: ND Malaba Border Post: ND Mirama Hills Border Post: 12 Months	Elegu Border Post: ND Katuna Border Post: ND Malaba Border Post: ND Mirama Hills Border Post: 9 months (75%)	Elegu Border Post: There was variation of scope to include phase II works of construction of dry cargo verification shed, warehouse, aggregation centre, additional drainage, parking and landscaping at the Elegu border crossing. The Approvals were not disclosed Katuna Border Post: ND Malaba Border Post: ND Mirama Hills Border Post: ND



Management of Construction quality and stakeholder engagement

Majority of the PDEs provided information relating to construction quality and stakeholder engagement through the monthly progress reports, materials reports and the Environmental and Social Impact assessment reports.

One major challenge faced in the roads construction projects was the fact that community members were harvesting the road pavement materials (aggregates) affecting the quality of the road base. In addition, it was also reported that there was persistent theft of the road signage. As such, UNRA was investigating the use of Glass Reinforced Fibre instead of metallic signage to mitigate this challenge.

Table 9: Summary of construction management and quality

PE	Project	Observation
KCCA	KIIDP2 Batch 2A Lot 1	<ul style="list-style-type: none"> During the site visit, some site toilets were not working, and it was becoming an issue at the material stoke pile area. The contractor made tests of the materials and the completed sections of the roads. Project sign boards and safety warnings were erected at all sites and narrate the project information to the public. Some supervisors from the contractor were observed smoking near their subordinates.
	City Design Update and Construction of selected Drainage Systems project – Lot 2	<ul style="list-style-type: none"> 22 progress reports were submitted by the Contractor to the PE. Based on the comments from the Consultant, the contractor had a poor site resource mobilization. There were challenges in resolving the technical issues at site since the technical key staff were absent at site. The contractor had a slow progress in implementing the project activities.
	City Design Update and Construction of selected Drainage Systems project – Lot 3	<ul style="list-style-type: none"> 21 progress reports were submitted by the Contractor to the PE. All the materials used at the site were tested from material Laboratory and the test results were approved by the Consultant because they were within the required limits. All the completed works were approved by the Consultant as effective to operate. All the drainage channels were effectively operational, however, communities were using the storm water drainage as their sewerage channel and rubbish dumping channels. Communities appreciated the impact of the drainage project since their lives and property were secure from the floods.
NWSC	Mbale and Small Towns Water Supply and Sanitation System	<p>The project design review was still ongoing by the time of the Assurance process.</p> <p>Some community members confirmed that the Mbale water supply system would not supply a high population that had grown in Mbale. Some water supply channels had leakages.</p>
	Sembabule Water Supply and Sanitation System Project	<ul style="list-style-type: none"> Progress of work was fast, the contractor had installed safety warning signs at the project sites. Most of the workers were fully dressed in safety gear, the project documents were well filed and organized. The old water system was observed to be having leakages. The sanitation facilities were found clean. A few supervisors from the NWSC were found onsite.
MoES	Bushenyi UTC skills development project	<p>A quality control plan was available on site.</p> <p>The Contractor and Client prepared monthly progress reports detailing the scope of works, works executed in a given time period, physical and financial progress, Environmental and occupational health and safety, with pictorial evidence of works in progress.</p> <p>The entity had a clerk of works, and a supervising Engineer who continued to manage the site on behalf of the entity.</p> <p>The contractor had not submitted a procurement schedule for his material supply to the employer for his appropriate follow up something that could easily cause project delays.</p>
MoH	Refurbishing and Equipping of Kawolo Hospitals	<p>21 Monthly/ Implementation progress reports by Isdefe (Consultant) and approved by the PE (MoH) were submitted to the AP prepared.</p> <p>It was noted that delays in approval of invoices submitted to the PE had affected project progress. For example invoices submitted on 6/11/2018, 18/3/2019, 2/4/2019 had not yet been approved by December 2020.</p> <ul style="list-style-type: none"> All civil works on the project site were generally complete and hospital was operational - visited on 24th August 2020. There was presence of a perimeter wall that was not included in the original design. The Facility was equipped with Ramps and other enabling facilities for PWDs. There was some signage within the facility, however more signage to direct patients to the different facilities was lacking. Maintenance budget for increased power usage at the facility required appraisal.

	Refurbishing and Equipping of Busolwe General Hospital	<ul style="list-style-type: none"> Civil works on the facility had not yet started. Project status could not be established The Hospital facilities were in a dilapidated state required several renovations. Galvanized steel Chain-Link was used to protect the Facility premises. The different categories of waste were adequately disposed, however the facilities for disposal needed appraisal <p>Patients decried the absence of adequate sanitary services at the hospital. The High Population at the facility overwhelmed available staff on duty.</p>
	Uganda Intergovernmental Fiscal Transfers Programme (UgIFT)	<ul style="list-style-type: none"> Project sites were well managed and maintained Civil works for most sites had not started Communities were very anxious at the project. PE acquired land in time – Land acquisition agreements in place, Local Governments were involved in initial stages. Focus on inclusion – women issues were highly raised during engagements Concerns on accessibility, poor road network for most of the Health Centres Concerns on access to water and other sanitary facilities for use at the health facilities Low holding capacity of the health units for staff and patients Concerns of security at the HCs with no perimeter wall/fencing in some Health Facilities visited. Compliance with COVID-19 provisions was generally appreciable with all Health Centers adhering to the MoH National Guidelines Supervisory role carried out by the MoH needed more Action from the Ministry.
MoWT	ICD Mukono and Gulu Inland project	<ul style="list-style-type: none"> ICD Gulu contractor should put in place access (Ramps) for PWDs to the facilities.
	Parliament of Uganda project	<ul style="list-style-type: none"> Access to the project site was not granted to the Assurance Professional to establish this indicator.
	Busia border post project	<ul style="list-style-type: none"> Ramps for PWDs were constructed but the access needs to be altered to cater for the wheels of the bicycles. The Level of contract documentation should be improved in order to make enforcement of quality assurance easy. Process of making variations to the project should be made faster so that it does not cause excessive delays to projects. More information should be made available by the PE on signboards to enable citizen access to information. Drainage consideration at the facilities should be revisited. Inclusiveness for PWDs to ably access the facilities should be put in place. Training or supervision of users on proper usage of the washroom facilities to avoid vandalism.
	Elegu border post project	
	Katuna border post project	
	Malaba border post project	
	Mirama hills border post project	
MWE	Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda project	Under the site in Bushenyi under “Output 2” the representative of the contractor (Bujenje Contractors Limited) is a public servant in the agricultural department at Sheema District.
UNRA	Capacity Improvement of the Kampala Northern Bypass (21km)	<p>The contractor had set up safety warning signs along the project road.</p> <p>It was however noted that traffic management was still a challenge along the project road with incidences of traffic congestion observed.</p>
	Soroti-Katakwi-Akisim road (100km)	Progress reports indicating quality control measures were made available. The contractor and consultant had independent material testing laboratories.
	Rukungiri-Kihihi-Ishasha-Kanungu road (78.5km)	During the site visit, the Consultant provided material reports for material testing. In addition, the progress reports availed indicated quality control measures in place. A well-furnished material testing laboratories are on site. All materials are tested and approved by the Consultant prior to execution of the construction process.
	Upgrading of Kyenjojo-Kabwoya road (100km)	The entity conducted regular site visits along with the Consultant and Contractor to ensure that the recommendations were being implemented. An equipped materials laboratory with staff is present at the project site.

WDLG	Proposed Bubebere-Busi Island Embarkment protection project	The project had not yet commenced for construction works and therefore project implementation aspects and quality control procedures were not analyzed. The district indicate a lack of funds for the yet very important project – phase two.
	Construction of Sumbwe seed school	<p>During the project site visit, the construction supervisor indicated that the entity was able to control the quality of works, however, there was no clear evidence of a defined quality assurance/control system.</p> <p>The contractor had also been off site for a period of two weeks without the employer's knowledge and as such, some installation works for the buildings had not progressed.</p> <p>Whereas the contract was being directly managed by the entity, there was no resident representative on site..</p>

Environmental management, inclusiveness and stakeholder engagement

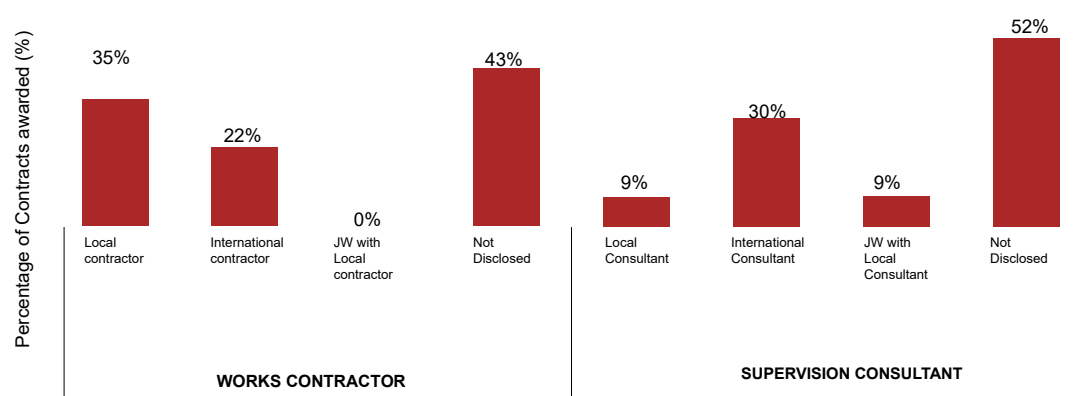


Figure 12: Local content of awarded contracts

Figure 11, 14 of the 23 assured projects reported time variations against the proposed implementation work plans. Four projects disclosed time overruns exceeding 100% of the project durations. The City Design update and construction of selected drainage systems Lot 3 under KCCA reported the highest time overrun of 29.5 months over and above the projected duration of 12 months.

For supervising contracts 9% of the contracts went to local consultants, 30% foreign, 9% joint ventures whereas 52% of the data required to assess this indicator was not disclosed. And for the works contracts 35% of the contracts went to local contractors, 22% went to foreign firms, there were no joint ventures and 43% of the data required to further establish this indicator was not disclosed.

Table 10 Table showing compliance with local content, inclusion across the assured projects

Project	Comment
KIIDP 2 Batch 2A – Lot 1 Project under KCCA	<ul style="list-style-type: none"> The PDE held engagement meetings with stakeholders who included political leaders, local leaders and community residents. The number of meetings, participants, key issues discussed and acted upon was not disclosed. During site visit, it was observed that women took up roles as flag bearers and cooks. Many youth have been employed as equipment operators, Track drivers, and mechanics. The ESIA report Volume I revealed that 80% of the community easily accessed information through TV and radio. Other sources such as newspapers, internet accounted for the 20% No female led companies were engaged.
City Design Update and Construction of selected Drainage Systems project – Lot 2 under KCCA	<ul style="list-style-type: none"> Women were involved in Occupational Health and quality control on the contractor's side. The PDE also involved female Engineers during the bid evaluation process, numbers could not be established. More youth were involved in the physical work activities. No female led companies were engaged.
City Design Update and Construction of selected Drainage Systems project – Lot 3 under KCCA	<ul style="list-style-type: none"> The PDE involved female Engineers as part of the contracts and bid evaluation committees. The Consultant had also employed female Engineers as drainage inspectors and surveyors. No female led companies were engaged. No documentation indicated whether the contractor involved women in executing the works. However, many youths were involved with the contractor in the executing of the project activities. No documentation indicated whether the PDE, contractor or consultant involved PWDs or considered their requirements in the project.
Mbale and Small Towns Water Supply and Sanitation System Project under NWSC	<ul style="list-style-type: none"> The PDE involved the women in the procurement process (Evaluation Committee). No female led companies were engaged. The consultant had involved youth in implementing the project activities. No documentation indicated the involvement of the PWDs in the project or on issues that affect them. Based on the project methodology by the consultant, there would have been engagement of the local communities where the proposed project sites would be located. There was no details regarding this indicator.
Sembabule Water Supply and Sanitation System Project under NWSC	<ul style="list-style-type: none"> The PDE involved the women in the procurement process (Evaluation Committee) and the contractor had involved youth in implementing the project activities and women in the health and safety positions at sites and cleaners. No women led companies were engaged in procurement. No documentation indicated the involvement of the PWDs in the project or action on issues that affect them. During site visits, it was observed that many stakeholders like Sembabule district technical team, community local people were engaged in the project, these had offered their land without compensation for development.
Bushenyi UTC skills development project under MoES	<ul style="list-style-type: none"> No women led companies were engaged in procurement. No documentation indicated the involvement of the PWDs in the project or action on issues that affect them. The project had skilled and unskilled laborers, most of whom were locals from the community. The project also considered gender balance and 20% of the workers were women. Stakeholder engagements had been carried out with the college community and its surrounding environment to raise awareness about the dangers associated with the construction site and other aspects related to the project. All the key stakeholders including Bushenyi DLG were involved in the project implementation process.

Refurbishing and Equipping of Kawolo Hospitals under MoH	<ul style="list-style-type: none"> • PDE did not reveal data relating to the level of inclusiveness of Women, Youth and PWDs. • Information relating to the Environmental and Social Impact Assessment for the project was also not accessed by the AP that would help to adequately address this indicator. • The PDE indicated that the project design and planning was carried out by the Ministry of Health and any further engagements with the local communities' fell under the mandate of the local leadership and Hospital Facilities Management. This indicated quite a disconnection between the Ministry and local leaders on project management beyond construction. • There was no evidence pointing to stakeholder engagements held between the Ministry of Health and local communities.
Refurbishing and Equipping of Busolwe General Hospital project under MoH	<ul style="list-style-type: none"> • No information disclosed to establish indicators under inclusion and local content.
Uganda Intergovernmental Fiscal Transfers Programme (UgIFT) under MoH	<ul style="list-style-type: none"> • No information disclosed to establish indicators under inclusion and local content.
Parliament of Uganda project, Busia, Elegu, Katuna, Malaba, Mirama Hillis Border posts and ICD Mukono and Gulu Inland projects under Ministry of Works and Transport.	<ul style="list-style-type: none"> • No information disclosed to establish indicators under inclusion and local content.
Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda project under MWE	<ul style="list-style-type: none"> • Women had been involved in the project Implementation activities like Monitoring and Evaluation Specialist was a female, some district project focal staff were female like in Ntungamo, Buhweju. • Youth had been employed in restoration of wetlands. • There were no documents indicating that the project had involved the PWDs or considerations on the issues that affect them. • During site visits, it was observed that there has been positively high stakeholder engagement between the implementing Institutions and project districts and Communities. • No documentation regarding inclusion and local content in procurement.
Capacity Improvement of the Kampala Northern Bypass under UNRA	<ul style="list-style-type: none"> • Stakeholder consultations included Focus Group Discussions with women vulnerable groups for development of the ESIA 2011 report produced. • Arising from the stakeholder consultations, it was established that women limit the use of existing foot bridges to cross the carriageway. This was due to the design of the footbridges which makes it possible for men standing beneath the bridge to look up at women walking along the bridges. As a result, the design of the new foot bridges took this concern into consideration. • No documentation regarding inclusion and local content in procurement.
Soroti-Katakwi-Akisim road project under UNRA	<ul style="list-style-type: none"> • Contractor's workforce included a total of 568 Ugandans and 43 Chinese indicating a local content of 93% for Contractor's staffing. Consultant's workforce included of 21 (77.8%) male and 6 females (22.2%). • The female were part of the key personnel occupying positions such as; Lab technician, CAD technician, Sociologist and Secretary. There were no persons with disabilities on the consultant's workforce. • Routine discussions between the key Stake holders like the District Environmental Officers of Napak and Moroto, Political leaders, Community members, the Engineer and the Contractor were conducted. • No documentation regarding inclusion and local content in procurement.
Rukungiri –Ishasha/Kanungu road (78.5km) under UNRA	<ul style="list-style-type: none"> • The project's personnel comprise of 70 Female out of 431 staff on the Contractor's workforce and 05 Female out of 18 staff on the Consultant's workforce. • In regard to local content, the Consultant's workforce comprised of 88% local staff while 93% of the 431 staff in the Contractor's workforce were Ugandans. • No documentation regarding inclusion and local content in procurement.

Kyenjojo – Kabwoya road project (100km) under UNRA	<ul style="list-style-type: none"> • The Environmental & Social Impact statement provided for; Qualified female workers being given priority, conduct of gender awareness sessions during project implementation and provision of gender-conscious facilities in the workplaces. • The Contractor's workforce comprised of 12% women. Three (03) women were equipment operators for the Rollers (02 women) and Batching plant (01 Woman). In regard to local content, the Consultant's workforce comprises of 11 Ugandans out of the 17 staff while the Contractors comprise of 13 Ugandans out of the 52 staff in Management and a total of 89% of the 531 staff were Ugandans. • No documentation regarding inclusion and local content in procurement.
Proposed Bubebere-Busi Island Embankment protection project under WDLG	<ul style="list-style-type: none"> • Project inclusiveness could not be analyzed as the project had not yet proceeded to the construction stage. • The entity carried out stakeholder engagements through various meetings to address the community needs and have all the stake holders involved in the planning for the project prior to implementation. • No documentation regarding inclusion and local content in procurement.
Construction of Sumbwe seed school under WDLG	<ul style="list-style-type: none"> • The project had one lady, youth and other community dwellers involved for skilled and unskilled laborers in the construction process as relayed by the project administrator. • The entity carried out stake holder engagements through various meetings to address the community needs and had all the stake holders involved in the preparation for project implementation. • No documentation regarding inclusion and local content in procurement.

04

Recommendations



Indicators	Observation across the assured projects	Recommendations	Responsible actor
Proactive Disclosure	<ul style="list-style-type: none"> Disclosure of proactive data ranged between 12% and 98%. In some cases, majority of the data was obtained from websites of donors, consultants and contractors with fewer data points disclosed on the PDE's official platforms. Data available on some PDE websites were outdated and in some cases by over a year by the time of preparation of this report. Data was also inconsistent and inaccurate across various public information platforms. 	<ol style="list-style-type: none"> Government through Public Procurement and Disposal of Public Assets Authority (PPDA) is encouraged to issue a standard disclosure template of key activities undertaken in infrastructure projects and it should be implemented by all PDEs. This should be accompanied with associated guidelines on how infrastructure data should be disclosed. The CoST Infrastructure Data Standard (IDS) and the Open Contracting for Infrastructure Data Standard (OC4IDS) provides for such a standard. PDEs should ensure, regular updates of the public disclosure platforms and establish internal data management and retrieval systems for procurement data. NITA – U should assist PDEs to put up robust systems to address this. 	<ul style="list-style-type: none"> All PDEs PPDA NITA-U
Reactive disclosure	<ul style="list-style-type: none"> Insufficient project procurement information was disclosed by most of the entities Assured upon request. Most of the requested data was found to be scattered and not centrally archived. 		
Tender Management and transparency	<ul style="list-style-type: none"> Disclosed data revealed a lack of consistency, accuracy in preparation of bidding documents, contracts and other related project documents. Disclosure of tender information was very low across all the projects, affecting analysis on number of firms tendering, and comparisons on competition in relation to local and foreign firms engaging. Most projects went through the Open International bidding procurement method. t 	<ol style="list-style-type: none"> Ministry of Finance, Planning and Economic Development and PPDA are encouraged to fast track alignment of the Electronic Procurement Portal (E-GP) and the Government Procurement Portal (GPP) to the OC4IDS to enable full disclosure and categorization of procurement data. PPDA should amend the Standard Notice of Best Evaluated Bidder to provide for the estimated value of the works made by the Accounting Officer at the initiation of the procurement. This is important for confirmation that the contract price of the Best Evaluated Bidder is below the Accounting Officer's estimate in accordance with the PPDA Act, 2003. 	<ul style="list-style-type: none"> PPDA MoFPED

Indicators	Observation across the assured projects	Recommendations	Responsible actor
Deviation from policy regulations, procurement guidelines	<ul style="list-style-type: none"> The lack of compliance with the PPDA 2018 reservation schemes for local content indicate a deviation from Policy regulations and procurement guidelines. For (MoH) Refurbishing and Equipping of Kawolo General Hospital and Refurbishing and Equipping of Busolwe General Hospital, the Bi-national committee approved a design consultant under the Debt Swap Programme agreed by the Republic of Uganda and the Kingdom of Spain without a procurement process regulated by PPDA or any foreign established procurement procedure. And for KCCA, the City Design update and construction of selected drainage systems Lot 2 and City Design update and construction of selected drainage systems Lot 3 projects under KCCA and the Sumbwe Seed Primary school under WDLG were advertised as "Open International Bidding (OIB)" much as their contract sums were below the threshold for restriction under PPDA. However, both works contracts were awarded to local contractors. It was noted through the validation meetings with the PEs that for donor funded projects, it was not possible to comply with the local reservations, even when, the PPDA Local Content Guidelines specifically state that they shall also apply to projects funded by development partners with the exception of cases where the financing agreement specifically excludes the application of the Guidelines. Also observed that entities rarely conducted adequate due diligence on selected bidders before contract signing, which often resulted into contract cancellations. 	<p>5. PPDA and the Local Content Monitoring Committee are encouraged to conduct quarterly monitoring of the implementation of the local content and reservation schemes in accordance with the Local Content Guidelines. In addition, these guidelines should be turned into regulations and provide sanctions on noncompliance. PPDA and MoFPED should assess the efficacy of the guidelines annually.</p>	<ul style="list-style-type: none"> PPDA Development Partners MoFPED
Cost overrun	<ul style="list-style-type: none"> 209.67% cost variations were reported on 11 of the 23 projects. It is important to note that the Drainage upgrade Lot 2 project and Drainage upgrade Lot 3 project under KCCA realized cost savings of 0.97% and 3.3% respectively of the overall project budgets. However, the Kampala Northern Bypass project recorded the highest cost overrun of 62% over the projected budget. 	<p>6. The Accounting Officers should ensure that the monthly and quarterly contract reports to be submitted by the Contract / Project Manager and the Procurement and Disposal Unit respectively as provided for under the PPDA (Contracts) Regulations, 2014, are appropriately furnished and assessed.</p>	<ul style="list-style-type: none"> All PDEs Contractors Consultants

Indicators	Observation across the assured projects	Recommendations	Responsible actor
Time overrun	<ul style="list-style-type: none"> 14 of the 23 assured projects reported time variations against the proposed implementation work plans of up to 1,147%. Four projects disclosed time overruns exceeding 100% of the project durations. The City Design update and construction of selected drainage systems Lot 3 under KCCA reported the highest time overrun of 29.5 months over and above the projected duration of 12 months. 	<p>7. PPDA should require PDEs to publish the contract management plans on the PDEs websites and in related media so that the public and civil society can effectively follow up on the progress of projects. In addition, PDUs should ensure that they monitor the progress of contracts in accordance with the PPDA (Contracts) Regulations, 2014.</p>	<ul style="list-style-type: none"> All PDEs PDEs
Projects financing and source of funds	<ul style="list-style-type: none"> For the 14 projects that disclosed data on this indicator, 62% of the funding was obtained as loans while the Government of Uganda contributed 25% to the infrastructure development of the projects. While only 12% of the funding had been provided as grants, it provided a good indication of the international relations supporting infrastructure development in the country and a high level of dependency on external support for infrastructure development. 	<p>8. PDEs, PPDA, MoWT, OPM and MoFPED and Development partners should reinforce joint stakeholder Monitoring and Evaluation efforts for infrastructure projects with other stakeholders such as CoST Uganda to ensure compliance with national legislation and best practices in a bid to promote value for money.</p>	<ul style="list-style-type: none"> All PDEs PPDA Development partners MoWT MoFPED OPM
Construction management and Quality	<ul style="list-style-type: none"> Across all the projects assured there was limited information disclosed regarding the Quality Control measures put in place during implementation. Some projects had not been adequately planned to the satisfaction of community members such as (NWSC) the Mbale and small towns' water supply sanitation system where community members pointed out that Water supply system was not sufficient to supply the high population in the areas and that some water supply channels had leakages. Inadequacies in design, insufficient planning and compliance with designs resulting into time and cost overruns. 	<p>9. PDEs should recommend to PPDA for suspension the contractors that substantially breach their contractual obligations in accordance with the PPDA Act, 2003. This will curtail cases of contractors successfully participating in tenders in different PDEs while having a poor performance track record.</p>	<ul style="list-style-type: none"> All PDEs PPDA

Indicators	Observation across the assured projects	Recommendations	Responsible actor
Environmental, Social, Health and Safety requirements	<ul style="list-style-type: none"> Limited compliance with ESHS provisions. For example under the (KCCA) KIIDP 2 Batch 2A Lot 1 Project, some of the toilets were not operational and had caused potential health hazards to the project staff. The same project that some of the supervisors from the contractor were seen smoking near their subordinates and in a non-regulated area. There was limited information regarding Health and safety guidelines disclosed by the PDEs for Assurance. It was noted during the site visits for the UglFT Programme – upgrading HCIs to HCIIIs that COVID-19 regulations were being enforced with almost all Health centers having put in place Hand washing centres, sanitizers and facemask notices to access services. Across all projects there was the presence of an Environmental and social Management plan that was in place to guide in the execution of the projects except for the few projects that had not yet started/procured a civil works contractor. UNRA projects also disclosed the presence of several social awareness campaigns that were carried out along the road projects under this Assurance Exercise. The revised Standard Bidding Document for Works using the Open and Restricted bidding was issued by PPDA in September 2019. It comprehensively provides for ESHS requirements. PDEs indicated less adherence to these provisions. 	<p>10. PPDA should conduct awareness raising workshops for PDEs and contractors on the application of the ESHS requirements in the revised Standard Bidding Document for works, and ensure that all projects have established provision of GRC (Grievance Redress Committees)</p>	<ul style="list-style-type: none"> All PDE's PPDA

Indicators	Observation across the assured projects	Recommendations	Responsible actor
Stakeholder engagement and Inclusiveness (Women, youth, PWDs, Local content)	<ul style="list-style-type: none"> • There was a good level of involvement for Women and Youth during the project implementation process for most of the projects with UNRA emerging the most transparent with the highest levels of local content and women involvement in the road projects taking up key personnel roles such as Sociologists, CAD Technicians, Lab Technicians, among others. • Across most of the project the concept of local content was limited to human resource with most contractors and consultants only disclosing staffing numbers and not by nationality and origin and roles undertaken by local and domestic workers. • Limited evidence on number of local firms engaging in procurement and those who won contracts. • Limited information regarding women led companies and their eventual involvement in procurement. • There was limited information disclosed by all entities in regard to PWDs or compliance with issues related to their concerns on infrastructure projects. 	<ul style="list-style-type: none"> • PPDA is encouraged to review the procurement guidelines to provide for considerations of PWDs in infrastructure planning and implementation, participation of women, youth and PWDs and should require PDEs to report on such considerations. 	<ul style="list-style-type: none"> • PPDA • All PDEs
Feasibility studies,	<ul style="list-style-type: none"> • Under (NWSC) Sembabule Water supply and sanitation project there was no land compensation that was carried out because some of the landowners willingly gave their land for the benefits of the project to the community and its beneficiaries. • Disclosure of these important studies and the role of key actors could not be established from disclosed data across most of the projects. 	<ul style="list-style-type: none"> • PDEs should involve Utility and other Regulatory Agencies like NEMA, UWA, NWSC, UMEME, and UNMA to ensure all necessary approvals are acquired before works can commence to reduce any delays caused by these approvals. 	<ul style="list-style-type: none"> • All PDEs • Regulatory Authorities

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Annex

High - Level Meeting on Fair Business Practices, and the 4th Assurance Report

Outcome Document Findings and Recommendations

**February 10th 2021
Protea Hotel, Kampala, Uganda**

87 participants representing Government, Private Sector, Civil Society and the Media gathered in Kampala and online to discuss Fair Business Practices, and the 4th Assurance Report findings and recommendations, under the auspices of CoST Uganda Chapter, in collaboration with the Champion Ministry of Works and Transport, CoST International, FCDO's Business Integrity Initiative (BII), Uganda Association of Building and Civil Engineering Contractors (UNABCEC), Uganda Association of Consulting Engineers (UACE) and Public Procurement and Disposal of Public Assets Authority (PPDA). The high level meeting was held on 10th February 2021 to discuss Fair Business Practices and results of the 4th Assurance Report on public infrastructure projects in Uganda.

Preamble

Noting that the Africa Union's 2063 vision seeks to achieve an integrated, prosperous and peaceful Africa, driven by its own citizens, representing a dynamic force in the international arena, with infrastructure development identified as critical for the continent's development and transformation and;

Recognizing goal nine of the Sustainable Development Goals that aims at building resilient infrastructure, promoting inclusive and sustainable industrialization and fostering innovation;

Contributing towards Uganda's 2040 vision which recognizes that there is a weak private sector, inadequate infrastructure and an underdeveloped service sector, and prioritizes infrastructure for (energy, transport, water, oil and gas among others);

Recognizing that Uganda in 2014 joined CoST International with an aim of institutionalising transparency in the delivery of public infrastructure projects, through the application of CoST core features of Disclosure, Assurance, Multi-Stakeholder working and Social Accountability;

Appreciating that Uganda has put in place legal and policy mechanisms for transparency, including the Access to Information Act (2005), established the Public Procurement and Disposal of Public Assets Authority (PPDA), as a dedicated entity for ensuring compliance and improved performance in public contracts, and established various anticorruption institutions and that; Government spending on procurement in Uganda is estimated to be approximately 55% of the national budget annually;

Underscoring that Government of Uganda has recorded a slow but progressive disclosure and use of infrastructure data as revealed by CoST Uganda's 4th Assurance Report in 2021;

Stakeholders at the high level meeting on Fair Business Practices and results of the 4th Assurance process agreed that public procurement is a strategic infrastructure governance tool that helps to shape effective delivery of public services and that, full disclosure, and participation of all stakeholders in the sector in times of crises is needed now than more ever;

Stakeholders also agreed that, increased access to information on available business opportunities promotes competition thereby creating a level playing field for the private sector to engage, and enables them prepare bankable bids. Genuine competition leads to low prices and better products which results in resources either being saved or freed up for use on other goods and services and thus made the following findings, commitments and recommendations;

Findings

1. Stakeholders acknowledged that despite the slight increase in disclosure, there is no standard disclosure template. Across entity websites data is insufficient, outdated, inconsistent and inaccurate. Physical disclosure along project sites is still insufficient with most of the projects having broken, fallen over while others lacking sufficient information walls.
2. Ministries, Agencies and Departments appreciate the Infrastructure Data Standard as a simple template for disclosing public infrastructure projects, although, there is no legal or policy requirement guaranteeing or requiring the application of the standard deliberately, and there are no incentives or sanctions for disclosure. Although the number of data points required for publication by Government has improved from 12 to 20 information areas, this is way below the required standard of 67 data points in the CoST Infrastructure Data Standard to which Uganda adopted to increase infrastructure transparency.
3. Limited application and knowledge of the legal and policy framework on procurement, such as local content, inclusion, Environmental, Health and Safety Safeguards, joint ventures and reservation and preference schemes partly because they are not known, and do not have sanctions for noncompliance. In addition, the proportion of projects won and implemented by local firms is low compared to those won by foreign firms with over 50% of the data on these aspects not disclosed.
4. Limited consultations and involvement of lower level stakeholders such as Local Governments in centrally procured projects resulting into insufficient designs, lack of knowledge of the revised bidding documents for such projects. There is a concern on the effectiveness of hybrid procurements/projects which lack guidelines, and are not monitored and evaluated sufficiently thus suffocating the local governments. The revised bidding documents requiring this provision are not popularized and are not clear on sanctions for noncompliance.
5. Substantial time and cost overruns and delays in procurement. Time overruns are mainly attributed to delays in procurement, COVID-19, contract cancellations due to poor quality of works. Whereas, cost overruns are mainly attributed to scope changes and changes in designs, an indication of insufficient planning.
6. Lack of sufficient capacity amongst public officials and the private sector on procurement regulations and the bidding documents, information disclosure, infrastructure monitoring and stakeholder engagement. In addition, accounting officers have no legal provisions requiring them to comply with disclosure requirements.
7. There is no public national register or classification of providers in the public infrastructure sector. In addition, local firms' full participation in infrastructure delivery processes is affected by the high interest rates.

Recognizing the value of transparency in the delivery of public infrastructure projects in Uganda, for the private sector, Government, and the Civil Society, and in the interest of building an inclusive sector that appreciates and promotes the right of access to information, stakeholder engagement and effective use of public infrastructure investments, to inform realization of quality infrastructure, stronger economic and better lives for all Ugandans, relevant stakeholders are called upon to undertake the following actions:

Recommendations

Public Procurement and Disposal of Public Assets Authority (PPDA)

1. PPDA is encouraged to issue a standard disclosure template of key activities undertaken in infrastructure projects and it should be implemented by all PDEs. This should be accompanied with associated guidelines on how infrastructure data should be disclosed. The CoST Infrastructure Data Standard (IDS) and the Open Contracting for Infrastructure Data Standard (OC4IDS) provides for such a standard.
2. PPDA should amend the Standard Notice of Best Evaluated Bidder to provide for the estimated value of the works made by the Accounting Officer at the initiation of the procurement. This is important for confirmation that the contract price of the Best Evaluated Bidder is below the Accounting Officer's estimate in accordance with the PPDA Act, 2003.
3. PPDA and the Local Content Monitoring Committee are encouraged to conduct quarterly monitoring of the implementation of the local content and reservation schemes in accordance with the Local Content Guidelines. In addition, these guidelines should be turned into regulations and provide sanctions on noncompliance. PPDA and MoFPED should assess the efficacy of the guidelines annually.
4. PPDA should require PDEs to publish the contract management plans on the PDEs websites and in related media so that the public and civil society can effectively follow up on the progress of projects. In addition, PDUs should ensure that they monitor the progress of contracts in accordance with the PPDA (Contracts) Regulations, 2014.
5. PPDA is encouraged to review the procurement guidelines to provide for considerations of PWDs in infrastructure planning and implementation, participation of women, youth and PWDs and should require PDEs to report on such considerations.
6. PPDA should conduct awareness raising workshops for PDEs and the private sector on the application of the ESHS requirements in the revised Standard Bidding Document for works, taxation, local content and ensure that all projects have established provision of GRC (Grievance Redress Committees)

Ministry of Finance, Planning and Economic Development (MoFPED)

1. Ministry of Finance, Planning and Economic Development (MoFPED) and PPDA are encouraged to fast track alignment of the Electronic Procurement Portal (E-GP) and the Government Procurement Portal (GPP) to the OC4IDS to enable full disclosure and categorization of procurement data.
2. MoFPED should reinforce joint stakeholder Monitoring and Evaluation efforts for infrastructure projects with other stakeholders such as CoST Uganda to ensure compliance with national legislation and best practices in a bid to promote value for money.
3. MoFPED should make key critical sector issues such as disclosure of infrastructure data, local content, and inclusion as part of the performance indicators for the accounting officers in MDAs and Local Governments.
4. Fast tracking the completion/update and classification of the National Register for providers and establishment of a credit facility for local providers/guarantee fund, and turning local content, joint ventures and reservation and preference schemes guidelines into Regulations.
5. MoFPED is encouraged to establish alliances and business hubs at regional level with line sector Associations,
6. lobby for members on issues such as taxation, global application of tax requirements.

Procurement Entities

1. The accounting officers in PDEs should ensure, regular updates of the public disclosure platforms and establish internal data management and retrieval systems for infrastructure data. NITA – U should assist PDEs to put up robust systems to address this.
2. The Accounting Officers should ensure that the monthly and quarterly contract reports to be submitted by the Contract / Project Manager and the Procurement and Disposal Unit respectively as provided for under the PPDA (Contracts) Regulations, 2014, are appropriately furnished and assessed.
3. The accounting officers in PDEs should recommend to PPDA for suspension the contractors that substantially breach their contractual obligations in accordance with the PPDA Act, 2003. This will curtail cases of contractors successfully participating in tenders in different PDEs while having a poor performance track record.

Infrastructure Transparency Initiative

Notes:

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