



PUBLIC PROCUREMENT AND DISPOSAL
OF PUBLIC ASSETS AUTHORITY
"Procurement That Delivers"

THE PUBLIC PROCUREMENT AND DISPOSAL OF PUBLIC ASSETS AUTHORITY

COMPLIANCE INSPECTION REPORT FOR NATIONAL IDENTIFICATION AND REGISTRATION AUTHORITY FOR FINANCIAL YEAR 2021/2022

OCTOBER 2022

TABLE OF CONTENTS

Acronyms.....	4
EXECUTIVE SUMMARY	5
CHAPTER 1: INTRODUCTION	7
1.1 Background	7
1.2 Objective of the compliance inspection	7
1.3 Structure of the Entity	7
1.4 Scope of the Compliance Inspection.....	8
1.5 Methodology	8
CHAPTER TWO: FINDINGS OF THE AUTHORITY	9
2.1. To establish the level of compliance by the PDE with the general provisions of the PPDA Act, 2003 and Regulations, 2014.....	9
2.2. To establish the level of compliance with the PPDA Act, 2003 and Regulations, 2014 in the conduct of procurement and disposal activities	12
2.3. To assess the level of efficiency and effectiveness in contract implementation.....	14
CHAPTER THREE: OVERVIEW OF THE PERFORMANCE OF THE ENTITY	17
3.1 Overall Compliance Inspection Conclusion	17
3.2 Entity's Performance	17
Appendix 1: Findings and rating on the individual contracts reviewed	19
Appendix 2: List of sampled procurements for NIRA for Financial Year 2021/2022	20
Appendix 3: List of the Contracts Committee members	21
Appendix 4: Procurement and Disposal Unit Members	21
Appendix 5: Risk Rating Criteria	21

Table of Figures

Figure 1: Graphical representation of the cases by value	17
Figure 2: Graphical representation of the cases by number	18

Acronyms

AO	Accounting Officer
CC	Contracts Committee
FY	Financial Year
HPDU	Head, Procurement and Disposal Unit
NIRA	National Identification and Registration Authority
NCONS	Non Consultancy Services
ODB	Open Domestic Bidding
PDE	Procuring and Disposing Entity
PDU	Procurement and Disposal Unit
PPDA	Public Procurement and Disposal of Public Assets Authority
RDB	Restricted Domestic Bidding
RFP	Request for Proposals
SBD	Standard Bidding Document
SPLS	Supplies
UGX	Uganda Shillings

EXECUTIVE SUMMARY

The Public Procurement and Disposal of Public Assets Authority carried out a compliance inspection on the procurement and disposal activities of National Identification and Registration Authority (NIRA). The exercise covered a sample of ten (10) procurement transactions carried out during the Financial Year 2021/2022. The compliance inspection exercise involved a review of the procurement system, procurement processes following the Public Procurement and Disposal of Assets Act, 2003 and Regulations, 2014.

From the findings of the compliance inspection exercise, the summary performance of the Entity revealed an aggregate risk rating of **31.69%** which is **satisfactory** performance.

Despite the satisfactory performance, the following key exceptions were noted:

1. Transactions worth UGX 15,801,740,590 were not procured thereby denying services to the intended beneficiaries.
2. The Entity did not have a disposal plan and the board of survey for the FY was never concluded yet there are various idle items that are due for disposal.
3. The Authority observed irregularities during the evaluation of bids in two procurement transactions worth UGX 229,064,500 such as; delayed evaluation and approval of a non-compliant bid.
4. Lack of appointment of contract managers and where the appointment was made, there was no evidence of acceptance by the appointed officers. The appointed contract managers may deny the appointment in the event that the contract is not implemented in line with the terms and conditions.
5. Delayed delivery in two transactions worth UGX 338,000,000: The items were delivered after the contractual period and no penalty was charged to the providers for the delay.

The Authority recommends that:

1. The Accounting Officer and Management should constantly review the budget and procurement plan to ensure that all procurements planned and budgeted for are undertaken. Where need arises, a review of the plan and budget should be done in accordance with Section 58(4) of the PPDA Act, 2003. The Head Procurement should also review and update the procurement plan, where necessary, on a quarterly basis in accordance with Section 58 (4) of the PPDA Act, 2003.
2. The Accounting Officer, who possesses overall responsibility for the execution of the procurement and disposal process in the Entity as mandated under Section 26 of the PPDA Act 2003, should in each Financial Year cause the public assets of the Entity to be reviewed, to identify the assets to be disposed off in the following year in accordance with Regulation 2 of the PPDA (Disposal of Public Assets) Regulations, 2014.
3. The Evaluation Committee should ensure that:
 - The evaluation is conducted in accordance with the criteria provided in the bidding document without any amendment to the criteria as stipulated under Regulation 22 (1) of the PPDA (Procurement of Consultancy Services) Regulations, 2014.

- The accuracy, validity and authenticity of documents submitted by bidders during the evaluation process is verified.
 - The evaluation process is conducted within the timelines stipulated under Regulation 5 of the PPDA (Evaluation) Regulations, 2014
4. The Procurement and Disposal Unit should:
- Provide a copy of the contract to the person appointed by the Accounting Officer to manage the contract in accordance with Regulation 51 (2) of the PPDA (Contracts) Regulations, 2014.
 - Ensure that the contract managers acknowledge receipt of the terms of reference of the appointment.
 - Ensure that the contract manager prepares a contract management plan using Form 49 in Schedule 2, and forward a copy to the to the procurement and disposal unit for purposes of monitoring.
5. The Heads of department should ensure that the appointed contract managers manage contracts in accordance with the terms and conditions stated in the contract as required under Regulation 53 (3) (a) (i) of the PPDA (Contracts) Regulations, 2014. Where any changes to the terms are necessary, these should be documented and approvals sought as required under Regulation 53 (3) (b) of the PPDA (Contracts) Regulations, 2014

CHAPTER 1: INTRODUCTION

1.1 Background

The Public Procurement and Disposal of Public Assets Authority (PPDA) conducted a compliance inspection exercise on the procurement and disposal activities of NIRA. The exercise covered a sample of ten (10) procurement transactions carried out during Financial Year 2021/2022. The exercise involved a review of the procurement system, procurement processes following the Public Procurement and Disposal of Assets Act, 2003 and Regulations, 2014.

1.2 Objective of the compliance inspection

The primary objective of the exercise was to provide assurance on full and correct application of the PPDA Act, Regulations and Guidelines by NIRA.

The specific objectives were:

- a) To establish the level of compliance of the procurement and disposal activities with provisions of the PPDA Act, Regulations and Guidelines.
- b) To establish the level of efficiency in the conduct of the procurement and disposal process up to contracting in the Entity.
- c) To assess the level of achievement of Value for Money (efficiency, cost and effectiveness) in contract execution.

1.3 Structure of the Entity

The Entity is headed by the Executive Director, who is the substantive Accounting Officer.

a. User Departments

The Entity is subdivided into the following departments:

Table 1: User Departments

S/NO	Title of User Department
1	Finance and Administration
2	Human resource
3	Information and Communications Technology
4	Legal and Board Affairs
5	Planning and Strategy
6	Public Relations
7	Registration and Operations

b. Budget and source of funding

The Entity is funded by Government of Uganda. The Entity's procurement budget for the Financial Year 2021/22 was UGX 36,486,078,626

1.4 Scope of the Compliance Inspection

PPDA carried out the procurement and disposal Compliance Inspection of NIRA from 19th -22nd July 2022. The exercise covered a sample of ten (10) procurement transactions worth **UGX 5,857,728,059.56** conducted during the FY 2021/2022, review of procurement structures and review of the procurement plan performance. The list of sampled transactions is contained in **Appendix 1**. However, three (3) of these transactions worth UGX 3,527,180,590.24 are under further review by the Authority.

1.5 Methodology

NIRA was notified about the upcoming exercise on 14th July 2022. A sample of ten (10) procurement transactions was selected based on stratified random sampling using Contracts Committee minutes, the contracts register, and monthly procurement and disposal reports.

Two (2) officers conducted the exercise under the supervision of the Manager Performance Monitoring. During the exercise, the team examined records and documents for each of the ten (10) sampled procurement transactions. The team also reviewed the procurement plan for the Financial Year 2021/2022.

On completion of data collection, members of the team met with various stakeholders such as the Accounting Officer, Contracts Committee members, Procurement and Disposal Unit staff and User Department representatives to discuss and get clarifications on some of the preliminary findings.

CHAPTER TWO: FINDINGS OF THE AUTHORITY

2.1. To establish the level of compliance by the PDE with the general provisions of the PPDA Act, 2003 and Regulations, 2014

2.1.1. Procurement Planning and Procurement Plan Management

2.1.1. Procurement Plan Implementation

The Authority assessed the Entity's procurement plan. The table below details information about the plan and utilization of funds. The procurement plan absorption rate was 84.1% with a variance of UGX 5,715,334,197.

Table 2: Procurement Plan Implementation

<i>Analysis of procurement spend</i>	
Total procurement budget/plan value inclusive VAT (UGX)	36,137,063,186
Total procurement spend value inclusive VAT (UGX)	30,421,728,989
Procurement plan implementation (%)	84.1%
Budget Variance (UGX)	5,715,334,197

Implication

Procurements worth UGX 5,715,334,197 were not implemented thereby denying the services to the intended beneficiaries.

Management Response

A number of procurements were not undertaken due to failure by Ministry of Finance to release all the funds that had been budgeted for. Procurements worth UGX 5,627,805,940 were affected. Although they were initiated, they were never concluded.

Recommendations

- The Accounting Officer and Management should constantly review the budget and procurement plan to ensure that all procurements planned and budgeted for are undertaken. Where need arises, a review of the plan and budget should be done in accordance with Section 58(4) of the PPDA Act, 2003.
- The Head Procurement should review and update the procurement plan, where necessary, on a quarterly basis in accordance with Section 58 (4) of the PPDA Act, 2003.

2.1.2. Disposal

The Entity did not have a disposal plan for the FY 2020-21. The PDU explained that the Board of Survey for the Financial Year was not concluded. Furthermore, the items that are due for disposal are owned by Ministry of Internal Affairs and have never been handed over to NIRA.

Implication

There is a possibility of disposing assets at a price that is lesser than the best achievable price in the market due to gradual loss in value of the asset.

Management response

It's true there was no disposal plan in 202-21. However, NIRA developed the plan for FY 2022-23 and will continue with the practice in the subsequent financial years as required by the law.

Recommendation

The Accounting Officer, who possesses overall responsibility for the execution of the procurement and disposal process in the Entity as mandated under Section 26 of the PPDA Act 2003, should in each financial year cause the public assets of the Entity to be reviewed, to identify the assets to be disposed off in the following year in accordance with Regulation 2 of the PPDA (Disposal of Public Assets) Regulations, 2014.

2.1.3. Irregularities during the bidding process

The Authority observed the following irregularities/anomalies during the bidding process of two procurement transactions worth UGX 184,205,000:

Table 3: Irregularities during the bidding process

S/no	Subject of Procurement	Contract value UGX	PPDA Findings
1.	Procurement of disinfectants	154,000,000	There was no Contracts Committee approval of the method of procurement, shortlist of bidders, bidding document and the evaluation Committee.
2.	Procurement of vehicle tracking renewal	30,205,000	<ul style="list-style-type: none">• The bidding document did not state the required specifications for the system. In addition, the document only mentioned the number of vehicles whose subscription was to be renewed and did not allude to the number of years of the renewal that was required.• Delayed submission to contracts committee for approval of method, bidding document, shortlist and evaluation committee. Whereas confirmation of funding was made on 28th February 2022, the approval by the Contracts Committee was obtained on 2nd June

			2022, approximately 3months later.
	TOTAL	184,205,000	

Implication

This undermines the oversight the role of the Contracts Committee which is enshrined in Section 29 of the PPDA Act.

Management Response

1. The procurement of disinfectants was approved by the Contracts Committee at its 6th Meeting held on 30th September 2022 vide minute 4/06-30-09-21 and the minute is available on file for verification.
2. The bidding document did not state the required specifications for the system because this was a renewal of licenses from the same service provider and the specifications were considered at the time of the original procurement.
3. The delays to submit the procurement for approval by the Contracts Committee is noted and regretted.

Recommendation

The Authority did not have access to the above meeting minute.

The Contracts Committee should:

- Authorize the choice of a procurement and disposal procedure and the bidding document in accordance with Section 29 (1) (a) of the PPDA Act, 2003.
- Ensure that its decisions are made within ten working days upon receipt of a submission from the procuring and disposal unit in accordance with Section 29 (2) of the PPDA Act, 2003

2.1.4. Lack of Contracts Committee approval

The Authority noted that there was no Contracts Committee approval of contract award to Trailmycar Solutions Ltd in the procurement of vehicle tracking renewal worth UGX 30,205,000 as required under Section 29 of the PPDA Act, 2003.

Implication

This undermines the oversight the role of the Contracts Committee which is enshrined in Section 29 of the PPDA Act.

Management response

The evaluation report and contract award recommendation for the procurement was approved by the Contracts Committee at its 27th Contracts Committee Meeting held on 13th June 2022 vide minute 5/25/13-06-22. The minute is available for verification.

Recommendation

The Authority did not have access to the above meeting minute.

The Contracts Committee should make award decisions in accordance with Section 29 (1) (c) of the PPDA Act, 2003.

2.2. To establish the level of compliance with the PPDA Act, 2003 and Regulations, 2014 in the conduct of procurement and disposal activities

Procuring and Disposing Entities are required to apply the public procurement and disposal rules set out in the PPDA Act 2003, Regulations 2014 and Guidelines. The following areas of non-compliance were noted during the audit.

2.2.1. Irregularities during evaluation

The Authority observed the following irregularities during the evaluation of bids in two procurement transactions worth UGX 229,064,500:

Table 4: Irregularities during the evaluation process

S/no	Subject of Procurement	Contract value (UGX)	PPDA Findings
1.	Procurement of Vehicle Tracking Renewal	30,205,000	The sole bidder did not submit a Power of Attorney yet it was evaluated compliant during the evaluation stage.
2.	Procurement of Time and Attendance Solution for Branch Offices	198,859,500	Delayed evaluation of bids. The bids were opened was on 19 th March 2021 but the evaluation exercise was concluded on 23 rd April 2021, a delay of 6 days contrary to Regulation 5 of the PPDA (Evaluation) Regulations, 2014.
3.	TOTAL	229,064,500	

Implication

- The bid submitted by Trailmycar Solutions invalid and makes the resultant contract voidable in the absence of a power of attorney.
- Delays during the evaluation process create lengthy lead times.

Management Response

- The power of attorney is available for verification
- The delay was occasioned by absence of technical staff from office in a field activity. However, the observation and recommendations are noted for improvement.

Recommendation

The Authority did not access the missing document.

The Evaluation committee should ensure that:

- The evaluation is conducted in accordance with the criteria provided in the bidding document without any amendment to the criteria as stipulated under Regulation 22 (1) of the PPDA (Procurement of Consultancy Services) Regulations, 2014.
- The accuracy, validity and authenticity of documents submitted by bidders during the evaluation process is verified.
- The evaluation process is conducted within the timelines stipulated under Regulation 5 of the PPDA (Evaluation) Regulations, 2014

2.2.2. Record keeping

The Authority noted that there was no access to some key procurement records in transactions worth UGX 3,151,866,868.56 as shown in the Table below:

Table 5: Missing Records

S/no	Subject of Procurement	Contract (UGX)	Price	Missing Records
1.	Procurement of Assorted Office Furniture		184,000,000	There was no evidence of submission of a performance security of 5% of the contract value as required under GCC 19.1 of the Special Conditions of the Contract.
2.	Procurement of Smart Labels		193,282,000	No appointment of a contract manager
3.	Procurement of Power Backup Solution for the Server room		234,200,969.32	No appointment of a contract manager
4.	Procurement of disaster recovery Phase I		2,286,367,991.61	Evidence of completing the services
5.	Procurement of Support and Maintenance of the 3 PAR Storage System and VMWARE		223.810,907.63	Evidence of completing the services
6.	Procurement of vehicle tracking renewal UGX		30,205,000	<ul style="list-style-type: none">• No appointment of a contract manager• No evidence that the service was delivered to the Entity.
	TOTAL		3,151,866,868.56	

Implications

- Failure to maintain procurement records on their respective action files shows lack of accountability and transparency in the procurement processes and also makes it difficult for the Entity to manage or follow up contract implementation.
- The absence of complete procurement files hampers the audit trail.

Management Response

- The performance security for assorted furniture was never received from the supplier. This is an anomaly which shall be rectified going forward
- The appointments of contract managers are available for verification.
- The evidence of completing the services is available for verification.

Recommendation

The Head Procurement and Disposal Unit should always maintain procurement and disposal records and reports on their respective action files in accordance with Regulation 53 (3) (a) (vii) of the PPDA (Contracts) Regulations, 2014.

2.3. To assess the level of efficiency and effectiveness in contract implementation

2.3.1. Irregularities during contract management

The Authority observed the following irregular practices in six (6) procurement transactions worth UGX 338,000,000:

Table 6: Irregularities at contract management

S/no	Subject of Procurement	PPDA Findings
1.	Procurement of assorted furniture	<p>i. Delayed delivery leading to a financial loss: The bidding document stated that the date of delivery would be 30 working days from the date of signing the contract. The LPO which was the contract document was signed on 11th November 2021 and the furniture was to be delivered by 23rd December 2021. However, the furniture was delivered on 14th March 2022, a delay of 11 weeks and 4 days.</p> <p>In addition, there was no evidence that liquidated damages of 0.5% per week/maximum of 5% were deducted as a result of the delayed delivery of the items contrary to GCC 28 of the Special Conditions of the Contract. The supplier delayed for 11 weeks which should have attracted a penalty of UGX 9,200,000 (5% of UGX 184,000,000). However, the deduction was not made.</p>

S/no	Subject of Procurement	PPDA Findings
		ii. There was no evidence of submission of a performance security of 5% of the contract value as required under GCC 19.1 of the Special Conditions of the Contract. iii. No evidence of payment
2.	Procurement of disinfectants worth UGX 154,000,000	Delayed delivery: The bidding document stated that the date of delivery would be 10 working days from the date of signing the contract. The LPO which was the contract document was signed on 11 th November 2021 and the disinfectants were to be delivered by 25 th November 2021. However, the supplies were delivered on 2 nd December 2021.

Implication

This is a breach of the contract provisions. Delays also affect service delivery to the intended beneficiaries.

Management Response

The Entity did not respond to the query.

Recommendations

- The Accounting Officer should recover UGX 9,200,000 that was supposed to be deducted from Nila Mult Concepts Ltd as liquidated damages for delayed delivery.
- The Heads of department should ensure that the appointed contract managers manage contracts in accordance with the terms and conditions stated in the contract as required under Regulation 53 (3) (a) (i) of the PPDA(Contracts) Regulations, 2014. Where any changes to the terms are necessary, these should be documented and approvals sought as required under Regulation 53 (3) (b) of the PPDA (Contracts) Regulations, 2014.

2.3.2. Lack of evidence of acceptance of the appointment as contract manager

The Authority observed that whereas contract managers were appointed for most of the sampled transactions, there was no evidence of acceptance of the appointment.

Implication

The appointed contract managers may deny the appointment in the event that the contract is not implemented in line with the terms and conditions.

Management Response

The Entity did not respond to the query

Recommendation

The Procurement and Disposal Unit should:

- Provide a copy of the contract to the person appointed by the accounting officer to manage the contract in accordance with Regulation 51 (2) of the PPDA (Contracts) Regulations, 2014.
- Ensure that the contract managers acknowledge receipt of the terms of reference of the appointment.
- Ensure that the contract manager prepares a contract management plan using Form 49 in Schedule 2, and forward a copy to the to the procurement and disposal unit for purposes of monitoring.

CHAPTER THREE: OVERVIEW OF THE PERFORMANCE OF THE ENTITY

This section presents the scores per area assessed under different inspection questions.

3.1 Overall Compliance Inspection Conclusion

The performance of NIRA for the Financial Year 2021/22 was **satisfactory** with overall weighted average risk rating of **31.69%**.

3.2 Entity's Performance

The risk rating was weighted to determine the overall risk level of the Entity. The weighting was derived using the average weighted index as shown below:

Table 7: Summary of Performance

Risk category	No.	No. %	Value (UGX)	Value%	Weights	Total weighted Average	
						By No	By Value
High	2	28.57	214,205,000	9.19	0.6	17.14	5.51
Medium	2	28.57	352,859,500	15.14	0.3	8.57	4.54
Low	1	14.29	193,282,000	8.29	0.1	1.43	0.83
Satisfactory	2	28.57	1,570,200,969	67.37	0	0	0
Total	7	100	2,330,547,469	100	1	27.14	10.89

$$\text{Performance by Number} = \frac{27.14 \times 100}{60} = 45.23\%$$

$$\text{Performance by Value} = \frac{10.89 \times 100}{60} = 18.15\%$$

$$\text{The average weighted risk rating} = \frac{45.23 + 18.15}{2} = 31.69\%$$

Table 8: Overall Entity Ranking

Risk Rating	Description of Performance
0-20%	Highly Satisfactory
21-50%	Satisfactory
51-80%	Unsatisfactory
81 -100%	Highly Unsatisfactory

Figure 1: Graphical representation of the cases by value

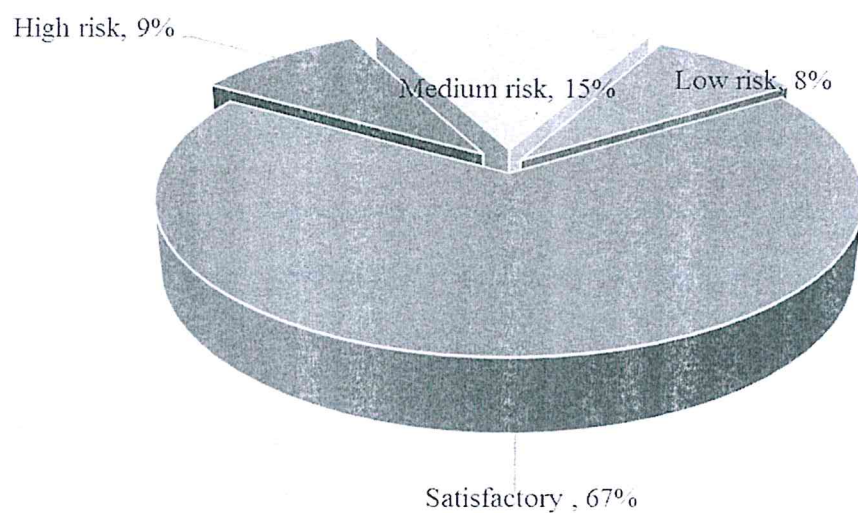
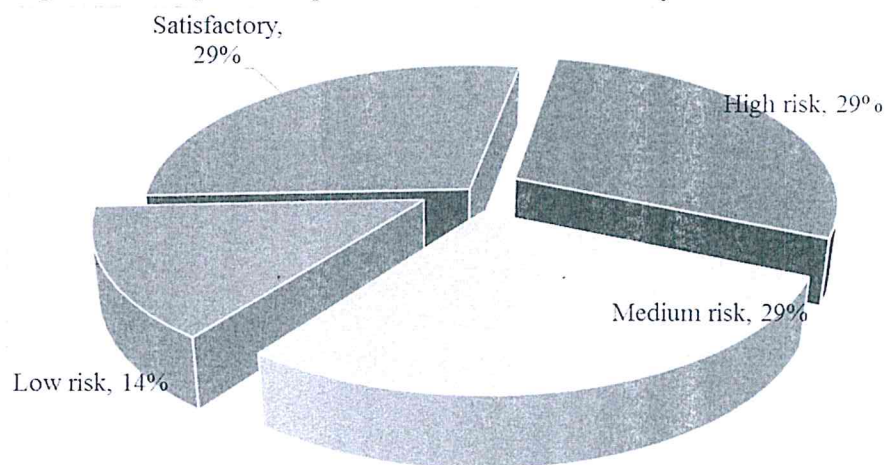


Figure 2: Graphical representation of the cases by number



Appendix 1: Findings and rating on the individual contracts reviewed

No.	HIGH RISK CONTRACTS	REASONS FOR HIGH RISK
1.	Procurement of assorted office furniture	<p>i. Delayed delivery leading to a financial loss: The furniture was to be delivered by 23rd December 2021. However, the furniture was delivered on 14th March 2022, a delay of 11 weeks and 4 days.</p> <p>In addition, there was no evidence that liquidated damages of 0.5% per week/maximum of 5% were deducted as a result of the delayed delivery of the items contrary to GCC 28 of the Special Conditions of the Contract.</p> <p>ii. There was no evidence of submission of a performance security of 5% of the contract value as required under GCC 19.1 of the Special Conditions of the Contract to hedge against contract non-performance</p>
2.	Procurement of vehicle tracking renewal	The sole bidder did not submit a Power of Attorney yet the firm was found compliant during the evaluation stage.

	MEDIUM RISK CONTRACTS	REASONS FOR MEDIUM RISK
1.	Procurement of disinfectants	Delayed delivery: The disinfectants were to be delivered by 25 th November 2021. However, the supplies were delivered on 2 nd December 2021.
2.	Procurement of time and attendance solution for branch offices	Delayed evaluation of bids. The bids were not evaluated within the days provided under Regulation 5 of the PPDA (Evaluation) Regulations, 2014.

	LOW RISK CONTRACTS	REASONS FOR LOW RISK
1.	Procurement of smart labels	Lack of evidence of appointment of the contract manager

Appendix 2: List of sampled procurements for NIRA for Financial Year 2021/2022

S/NO	REFERENCE NUMBER	SUBJECT OF PROCUREMENT	METHOD OF PROCUREMENT	PROVIDER	CONTRACT VALUE
1.	NIRA/SUPLS/21-22/00277	Procurement of Time and Attendance Solution for Branch Offices	Open Domestic Bidding	Zescom Technologies Ltd	198,859,500
2.	NIRA/NCONS/21-22/00120	Procurement of disaster recovery Phase 1	Direct Procurement	Uganda Security Printing Company	2,286,367,991.61
3.	NIRA/SUPLS/21-22/00247	Procurement of Power Backup Solution for the Server room	Open Domestic Bidding	Service and Computer Industries	234,200,969.32
4.	NIRA/SUPLS/2021-22/00261	Procurement of Smart Labels	Restricted Domestic Bidding	Vintage Touch Limited	193,282,000
5.	NIRA/NCONS/21-22/00	Procurement of vehicle tracking renewal.	Direct Procurement	Trailmycar Solutions	30,205,000
6.	NIRA/SUPLS/21-22/00112	Procurement of Disinfectants	Restricted Domestic Bidding	Vintage Touch Limited	154,000,000
7.	NIRA/SUPLS/21-22/00052	Procurement of Assorted Office Furniture	Restricted Domestic Bidding	Nila Multi Concepts Ltd	184,000,000
8.	NIRA/NCOS/21-22/00396	Procurement of Medical Insurance for Staff and dependants	Open Domestic bidding	M/S UAP Old Mutual and. M/S AAR Healthcare Services	1,336,000,000
9.	NIRA/NCONS/21-22/00115	Procurement of Support and Maintenance of the 3 PAR Storage System and VMWARE.	Direct Procurement	Uganda Security Printing Company	223,810,907.63
10.	NIRA/NCONS/2021-22/00099	Maintenance of Personalisation Machines and Capacity building for PERSO staff.	Direct Procurement	Uganda Security Printing Company	1,017,001,691
	TOTAL				5,857,728,059.56

Appendix 3: List of the Contracts Committee members

No.	Name	Designation	Position on Contracts Committee	Appointment date	Expiry date
1.	Christopher Kantinti	Manager Cyber Security	Chairperson	13 th December 2021	15 th July 2022
2.	Brenda Kezaabu A.	Manager Legal and Advisory Services	Secretary	13 th December 2021	13 th December 2024
3.	Capt. Darius Turyahikayo	Senior Registration Officer	Member	24 th February 2022	24 th February 2025
4.	Kasumba Stephen	Manager Monitoring and Evaluation	Member	13 th December 2021	13 th December 2024
5.	Col. Grace Kyomugisha	Manager Registration and Operations	Member	14 th September 2020	14 th September 2023

Appendix 4: Procurement and Disposal Unit Members

No	Name	Position in PDU
1.	Moses Karuhanga	Head Procurement and Disposal Unit
2.	Kenneth Bwengye	Senior Procurement Officer
3.	Sarah Akello	Procurement Officer

Appendix 5: Risk Rating Criteria

RISK	DESCRIPTION	AREA	IMPLICATION
HIGH	Such procurements were considered to have serious weaknesses, which could cause material financial loss or carry risk for the regulatory system or the entity's reputation. Such cases warrant immediate attention by senior management. Significant deviations from established policies and principles and/or generally accepted industry standards will normally be rated "high".	Planning: Lack of or failure to procure within the approved plan	This implies emergencies and use of the direct procurement method which affects competition and value for money.
		Bidding Process: Use of wrong/inappropriate procurement methods, failure to seek Contracts Committee approvals and usurping the powers of the PDU.	This implies use of less competitive methods which affects transparency, accountability and value for money.
		Evaluation: Use of inappropriate evaluation methodologies or failure to conduct evaluation.	This implies financial loss caused by awarding contracts at higher prices or shoddy work caused by failure to recommend award to a responsive bidder.
		Record Keeping: Missing procurement files and missing key records on the files namely; solicitation	This implies that one cannot ascertain the audit trail namely; whether there was

RISK	DESCRIPTION	AREA	IMPLICATION
		document, submitted bids, evaluation report and contract.	competition and fairness in the procurement process.
		Fraud/forgery: Falsification of Documents	This implies lack of transparency and value for money.
		Contract Management: Payment for shoddy work or work not delivered.	This implies financial loss since there has been no value for money for the funds spent and the services have not been received by the intended beneficiaries
MEDIUM	Procurements that were considered to have weaknesses which, although less likely to lead to material financial loss or to risk damaging the regulatory system or the entity's reputation, warrant timely management action using the existing management framework to ensure a formal and effective system of management controls is put in place. Such procurements would normally be graded "medium" provided that there is sufficient evidence of "hands on management control and oversight" at an appropriate level of seniority.	Planning: Lack of initiation of procurements and confirmation of funds.	This implies committing the Entity without funds thereby causing domestic arrears.
		Bidding Process: Deviations from standard procedures namely bidding periods, standard formats, use of PP Forms and records of issue and receipts of bids, usage of non-pre-qualified firms and splitting procurement requirements.	This implies lack of efficiency, standardisation and avoiding competition.
		Procurement Structures: Lack of procurement structures	This implies lack of independence of functions and powers and interference in the procurement process.
		Record Keeping: Missing Contracts Committee records and incomplete contract management records.	This implies that one cannot ascertain the audit trail namely; whether the necessary approvals were obtained in a procurement process.
		Contract and Contract Management: Failure to appoint Contract Supervisors, failure to seek the Solicitor General's approval for contracts above UGX. 200 million and lack of notices of Best Evaluated Bidders.	This leads to unjustified contract amendment and variations which lead to unjustified delayed contract completion and lack of value for money. Bidders are not given the right of appeal.
		Failure by the Entity to incorporate in the solicitation	

RISK	DESCRIPTION	AREA	IMPLICATION
		document aspects of gender, social inclusion, environment, health and safety. Aspects of gender, social inclusion, environment, health and safety not covered by the contractor during contract implementation.	
LOW	Procurements with weaknesses where resolution within the normal management framework is considered desirable to improve efficiency or to ensure that the business matches current market best practice. Deviations from laid down detailed procedures would normally be graded "low" provided that there is sufficient evidence of management action to put in place and monitor compliance with detailed procedures.	Planning: Lack of procurement reference numbers. Bidding Process: Not signing the Ethical Code of Conduct	This leads to failure to track the procurements which leads to poor record keeping. This leads to failure to declare conflict of interest and lack of transparency.

SATISFACTORY

Relates to following laid down procurement procedures and guidelines and no significant deviation is identified during the conduct of the procurement process based on the records available at the time.

