| **STAGE** | **FINDINGS** | **2012/13** | | **2013/14** | | **2014/15** | | **2015/16** | | **2016/17** | | **2017/18** | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | **LGA** | **TRD** | **LGA** | **TRD** | **LGA** | **TRD** | **LGA** | **TRD** | **LGA** | **TRD** | **TRR** | **TRD** |
| **PLANNING, DESIGN AND TENDER DOCUMENTATION** | **PLANNING** |  | | | | | | | | | | | |
|
| a) **Maintenance software** (such as HDM4, DROMAS or RMMS) in the planning process and managing roads maintenance interventions were not being used. | **√** |  | **√** |  | **√** |  | **√** |  | **√** |  | **√** |  |
| b) **Engineer's Estimates** are not being prepared in some IAs, and no justification for quantities and adopted rates. |  |  | **√** | **√** | **√** | **√** | **√** |  |  |  | **√** | **√** |
| c) **Incomplete BoQs,** for example they did not include in the preliminaries an item in compliance with measures to minimize the risk of transfer of HIV; did not provide for item for reimbursement to the contractor upon furnishing the sureties and insurances;    MISMATCH: Bill of Quantities descriptions not adequately defining the intended work item and are not supplemented with Drawing or Specifications.   Missing Specifications Reference in the Bills of Quantities column |  |  | **√** |  | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** |
| d) Inadequate description of Bill items, as compared to SMM to the extent that they could have more than one interpretation, |  |  |  |  |  |  | **√** | **√** | **√** | **√** | **√** | **√** |
| e) Lack of Technical Drawings and Strip Maps |  |  | **√** | **√** |  |  | **√** | **√** | **√** | **√** |  |  |
| f)Lack of reports for road condition survey/inventory are not being prepared |  |  |  |  |  |  | **√** |  | **√** |  | **√** |  |
| **PREPARATION OF TECHNICAL SPECIFICATIONS** |  | | | | | | | | | | |  |
| a) **Incomplete Specifications** Eg Specifications lacks acceptance criteria for concrete strength at the ages of 7 and 14 days while compressive tests were requested and carried out for concrete at the ages of 7 and 14 days. The only acceptance criteria provided in the specifications was for concrete strength at the age of 28 days;  Specifications not covering the aspect of inspection and acceptance criteria (Quality Control) and was not provided for in the Bill of Quantities. | **√** |  | **√** |  |  |  | **√** |  | **√** | **√** | **√** |  |
| **USE OF STD DOCUMENTS AND CUSTOMIZATION OF TENDENR DOCUMENTS** | | | | | | | | | | | | |
| a) **Incomplete and inaccurate Tender documents** mainly due to improper/inappropriate customization of Special Conditions of Contract. | **√** |  | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** |
| b) Use of old version of SBD |  |  |  |  |  |  |  |  | **√** |  |  |  |
| **DESIGN ISSUES** |  | | | | | | | | | | |  |
| a) **Missing Design Calculations** for most of the projects for example in Bridge/box culverts | **√** | **√** | **√** | **√** | **√** | **√** | **√** |  |  |  | **√** | **√** |
| **PROCUREMENT** | **a) Compliance of the procurement with procurement law** |  |  |  |  |  |  |  |  |  |  |  |  |
| i. In **appropriate Procurement Method**: Projects were procured using competitive quotation while they exceeded the limit amount for quotation. |  | **√** | **√** | **√** |  |  |  |  |  |  |  |  |
| ii. **Tender Process:** Eg bidders given short time to submit tenders |  | **√** | **√** | **√** | **√** |  |  |  |  | **√** |  |  |
| iii. Standard Contract Documents are used, however there was inadequacy in filling the forms of contracts and or customization of SCC | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** |
| iv. Tender adverts and tender documents were not approved by their respective Tender Boards |  |  |  |  |  |  |  |  | **√** | **√** |  |  |
| v. Wrong citation of employer between tender and contract documents. | **√** |  | **√** |  | **√** |  | **√** |  | **√** | **√** | **√** | **√** |
| **b) Evaluation process and award of contract** |  |  |  |  |  |  |  |  |  |  |  |  |
| Evaluation Committees(Ecs): For example (ECs) members improperly filled covenant forms eg for citing repealed Prevention of Corruption Act, 1971 instead of the correct citation being the Prevention and Combating of Corruption Act, 2007; | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** |
| ii. Tenders evaluated using criteria not stipulated in tender dossier. | **√** |  | **√** | **√** |  |  |  |  |  |  |  |  |
| iii. Tender evaluation reports were not comprehensive lacking such information as copies of advert, letters of appointment of EC members and or minutes of tender opening | **√** |  | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** |
| iv. Communication for confirmation of arithmetic errors to bidders done by the evaluation team instead of AO. |  |  |  |  |  |  | **√** |  | **√** |  | **√** |  |
| v. Notification of intention to award the contract are being prepared. However, they miss completion or delivery period of the project, miss reasons for not being successful or notifying successful or unsuccessful bidders as per requirements under Reg. 231 (4) of GN 446 of 2013 as amended in 2016; |  |  |  |  |  |  | **√** |  | **√** |  | **√** |  |
| vi. Awards made beyond bid validity periods: |  |  | **√** | **√** |  |  | **√** |  |  |  | **√** | **√** |
| vii. TB not approving draft contract documents contrary to section 33(1) (c) which requires TB to approve tendering and contract document and section 38(k) which requires PMU to issue approved contracts. | **√** |  |  |  |  |  | **√** |  | **√** |  | **√** |  |
| **CONSTRUCTION** | **Timeliness of Site Possession** |  |  |  |  |  |  |  |  |  |  |  |  |
| No site possession records were availed to ascertain if there was proper site possession, however, in some projects Site Possessions were delayed to be issued contrary to the requirements of the contracts. | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** |
| **Quality of project programme (schedule of work)** |  |  |  |  |  |  |  |  |  |  |  |  |
| Revised programs of works were either incomplete or not submitted or were submitted late. And for those submitted were not detailed enough to show sub activities | **√** |  | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** |
| Adherence to project programme |  |  |  |  |  |  |  |  |  |  |  |  |
| Project programs were not adhered to as result there were delays in completion of the projects. | **√** |  |  |  |  |  | **√** |  | **√** | **√** | **√** |  |
| **Quality of contractor's site organization and staff** |  |  |  |  |  |  |  |  |  |  |  |  |
| **Quality of quality assurance programme** |  |  |  |  |  |  |  |  |  |  |  |  |
| There were no quality assurance programme prepared. The technical specifications and routine site inspections were being considered as the quality assurance programme | **√** |  | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** |
| Adherence to quality assurance programme |  |  |  |  |  |  |  |  |  |  |  |  |
| Quality of Environmental Management Plan (EMP) |  |  |  |  |  |  |  |  |  |  |  |  |
| There were no Environmental Management Plans (EMP) | **√** |  | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** |
| Management of contractual documents, including surety and insurances bonds |  |  |  |  |  |  |  |  |  |  |  |  |
| The management of sureties and insurances was inadequate. In some projects, performance securities and insurances were wrongly made not applicable, in some projects the amounts of securities and insurances accepted were inadequate compared with the provisions in the contract documents. In some projects, securities and insurances were not submitted at all though the contract documents required their submission | **√** |  | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** |
| **general correspondence** |  |  |  |  |  |  |  |  |  |  |  |  |
| There was poor filing system, delays in acknowledging and responding to received letters | **√** |  | **√** |  |  |  | **√** |  | **√** |  | **√** |  |
| **Site instructions** |  |  |  |  |  |  |  |  |  |  |  |  |
| There were no any written site instructions when it was needed, others were inadequately written. | **√** |  | **√** |  |  |  | **√** |  | **√** |  | **√** |  |
| **Site Meetings** |  |  |  |  |  |  |  |  |  |  |  |  |
| i) Meetings not held  ii) Meetings held but Minutes prepared or not being properly signed. | **√** |  | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** |
| **Progress Reports** |  |  |  |  |  |  |  |  |  |  |  |  |
| For some projects there were no projects progress reports evidenced to be prepared and in other projects Progress reports were not comprehensive as they were lacking such information as financial progress; physical progress; personnel deployment progress: | **√** |  | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** | **√** |
| **Works measurement and Inspection Records** |  |  |  |  |  |  |  |  |  |  |  |  |
| In most projects works measurements were not prepared as payments were being done as per BOQs. For those prepared, the Measurement sheets were not detailed enough to show BoQ pay item referred to and no details of the chainages which were measured |  |  | **√** |  | **√** | **√** | **√** |  | **√** |  | **√** |  |
| **Material Testing Records** |  |  |  |  |  |  |  |  |  |  |  |  |
| For most projects there were no test reports availed to the audit team. | **√** |  | **√** |  | **√** | **√** | **√** |  | **√** |  | **√** |  |
| **Interim and Final Payment Certificates** |  |  |  |  |  |  |  |  |  |  |  |  |
| There were delays in paying certified monies. Retention monies were being deducted contrary to what was stipulated in the contracts whereby for some projects Retention monies were being deducted beyond the limits provided in the contracts |  |  | **√** | **√** | **√** | **√** | **√** |  | **√** | **√** | **√** |  |
| **variation orders** |  |  |  |  |  |  |  |  |  |  |  |  |
| **claims** |  |  |  |  |  |  |  |  |  |  |  |  |
| **Assessment (including validity) of variations** |  |  |  |  |  |  |  |  |  |  |  |  |
| There were improper assessment and management of Variation orders |  |  | **√** |  | **√** |  | **√** |  |  |  |  |  |
| **Assessment (including validity) of claims and related cost overruns** |  |  |  |  |  |  |  |  |  |  |  |  |
| **Assessment (including validity) of project delays and extensions of time** |  |  |  |  |  |  |  |  |  |  |  |  |
| In some delayed projects, there were no evidences showing if extension of time was granted or liquidated damages were being effected. Moreover, there were delays in responding to contractor’s requests for extension of time and completion certificates.Likewise the works were delayed to be completed however liquidated damages were not effected as per requirements of the contracts | **√** |  |  |  | **√** |  | **√** |  | **√** | **√** | **√** |  |
| **COMPLETION STAGE** | a) There were no **as-built drawings** prepared for some of the completed projects. | **√** |  | **√** | **√** | **√** | **√** | **√** |  | **√** |  | **√** |  |
| b) In some of the completed projects **snag list** were not prepared | **√** |  | **√** | **√** | **√** |  |  |  | **√** | **√** | **√** | **√** |
| c) In all completed projects, there were delays in issuance of **certificates of completion** and or **defects liability certificates** | **√** |  | **√** | **√** | **√** | **√** | **√** | **√** | **√** |  | **√** | **√** |
| d) There were **no final project reports** prepared for completed projects. | **√** |  | **√** | **√** | **√** | **√** | **√** | **√** | **√** |  | **√** | **√** |
| i) In some of audited projects, the client did not **take over the sites after the issuance of completion** certificates as required by respective contracts. |  |  |  |  |  |  |  |  |  |  | **√** |  |
| **QUALITY OF EXECUTED WORKS** | Road Signs: To some projects there were no road signs  **Reasons: Inadequate planning and design Solution: Ensure proper planning and design** | **√** |  |  |  | **√** |  | **√** |  | **√** |  |  |  |
| Existence of potholes and ruts in some of the roads stretches. Reasons: In case of Tarmac road the reason could be design of pavement layers, In case of gravel road inadequate supervision could be a cause  Solution: Ensure designs are adequate and enhance capacity in supervision | **√** | **√** |  |  |  |  | **√** | **√** | **√** |  |  |  |
| Road camber inadequately formed.  Reason: Inadequate supervision  Solution: Enhance capacity in supervision | **√** | **√** | **√** |  |  |  | **√** |  | **√** |  | **√** |  |
| Gravel: i) Premature Loose Gravel: Gravel layer course wearing out in most of the road stretches.ii) Less Depth iii) Inadequate Compactioniv) Inadequate binder **Issues**: Quality of the gravel lacking binder, design level for the road against the the level on the sides of the road, inadequate compaction. **Solution:** Ensure proper design in terms of level s and selection of suitable materials for construction | **√** | **√** | **√** |  | **√** |  | **√** |  | **√** |  | **√** |  |
| Drains (mitre, catch water and road side) i) Not specified in the contract, ii) Inadequate in number iii) Inadequately made (shaped).  Probable casues: Poor planning Inadequate design and inadequate supervision | **√** |  | **√** |  | **√** | **√** | **√** |  | **√** |  | **√** |  |
| Non adherence to specified quality of materials for use in concrete works.  Reasons: i) Failure to ensure adherence to specifications ii) Supply of quality aggregates  What can be done to address: i) Enhance supervision skills  ii Promote the establishment of quarries | **√** |  | **√** | **√** | **√** |  | **√** | **√** | **√** | **√** | **√** | **√** |
| Non adherence of road cross section to the contract drawings.  Reasons: Inadequate supervision  Solution: Enhance capacity in works supervision | **√** |  | **√** |  | **√** |  | **√** |  |  |  |  |  |
| Site Cleanliness: In some completed projects the sites are not being cleaned Reasons: Inadequate supervision  Solution: Enhance capacity in works supervision | **√** |  |  |  | **√** |  | **√** |  | **√** |  | **√** |  |
| Non compliance with safety as evidenced by lack of use of safety gears such as dust masks, gloves and boots by the workmen to some projects. Reasons: Inadequate Supervision  Solution: i) Build capacity on works supervision ii) Create more awareness on the existence of contractual provisions on Health and Safety Issues |  |  | **√** | **√** | **√** | **√** |  |  |  |  | **√** |  |
| Workmanship: To some projects, for example culverts and bridges were observed to have un treated honey combs as well as minor cracksReasons: Inadequate supervisionSolutions: Capacity building on supervision skills to clients' technical member of staff. | **√** |  | **√** |  | **√** |  | **√** | **√** | **√** | **√** | **√** | **√** |
| Inadequate fill material on deck slabs and inadequate compaction on approaches to culverts and bridges  Reasons: Inadequate design for the works and supervision Solutions: Enhance capacity on design and supervision | **√** |  |  |  | **√** | **√** |  |  | **√** | **√** | **√** | **√** |
| Constructing culverts without providing cut off walls Reason: Inadequate Design and Supervision Solution: Enhance capacity on design and supervision |  |  |  |  |  |  |  |  | √ |  |  |  |
| Lack of harmonization between utilities authorities and roads authorities to ensure that, during road construction all other services (water, electricity, telecommunication etc) are taken care off  Reason: Inadequate planning Solutions: Ensure proper and exhaustive planning for projects | √ |  |  |  |  |  |  |  | √ |  | √ |  |
| Damages caused by animals encroachment to roads especially gravel roads and structures  Reasons: i) Absence of animal paths/corridors Solution: i) Provide animal paths/corridors | √ |  |  |  |  |  | √ |  | √ |  | √ |  |