



THE REPUBLIC OF UGANDA

## District Road Works

**VOLUME**

**5**

## District Administrative and Operational Guidelines

### Manual A:

### Policy Document for Road Maintenance



Ministry of Works, Housing and Communications

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## ACKNOWLEDGEMENTS

These manuals have been prepared by the Ministry of Works, Housing and Communications, Uganda.

The aim of the manuals is to complement the Ministry's effort in providing guidance and building capacity of Local Governments to enable them handle their mandated roles in planning and management of the road sector development.

This manual is part of a set titled District Road Works. The set consists of 5 Volumes, each volume comprising a series of manuals covering varying aspects under the following headings:

- |          |  |
|----------|--|
| Volume 1 | Planning Manuals                                   |
| Volume 2 | Contract Management Manuals                        |
| Volume 3 | Implementation and Monitoring Manuals              |
| Volume 4 | Technical Manuals                                  |
| Volume 5 | District Administrative and Operational Guidelines |


The Manuals describe in detail the organization and techniques for planning, implementation and administration of a district road network. The manuals support Government strategies on sustainable maintenance of district roads; they encourage community participation, promote use of labour based methods and gender balance, ensure protection of the environment, foster work place safety and health in implementation of road works by adopting appropriate contracting practices and support the local construction industry.

They are primarily aimed at Road Engineers, Planners and Managers involved in the planning and management of district road works.

In line with the topics covered in these manuals, related training modules have been designed and are incorporated in the curriculum of the Mount Elgon Labour Based Training Centre.

The manuals are the property of the Ministry of Works, Housing and Communications, but copying and local distribution is not restricted.

We wish to acknowledge the efforts of COWI Consulting Engineers and Planners AS who assisted in the compilation of the Drafts and the invaluable support of the Danish International Development Agency for the financial assistance extended to the Ministry in preparing the manuals.

  
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**Engineer in Chief / DE**



**Volume 5 Manual A**  
**Policy Document for Road Maintenance**

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## Introduction

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## **Section A-1**

### **Introduction**

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# Introduction

## 1.1 BACKGROUND

The Ministry of Works, Housing and Communications, (MoWHC) has, through its Policy Paper for Sustainable Maintenance of District, Urban and Community Access Roads (DURCAR), 2002, emphasised the importance of systematic and sustainable maintenance of the District roads network.

The national planning document, the Poverty Eradication Action Plan (PEAP), places poverty eradication as the fundamental goal of the Government of Uganda's (GoU) development programme and provides a framework for the development of detailed sector-wide plans and programmes.

In the medium term, the GoU has set three clear priority objectives:

- Sustaining macro economic stability.
- Promotion of economic growth and poverty reduction.
- Improving effectiveness and efficiency of government and public services.

In recognising the fact that roads play a key role in the socio-economic performance of the country (notably in facilitating access to markets and special amenities, supporting private sector growth, etc.), the GoU has accordingly defined the road sector as one of its top priorities. Hence, the GoU's commitment to continued development of a sound transport system that will significantly contribute to rapid and sustainable economic growth and poverty reduction.

Recognising that an efficient transport infrastructure is essential for the development of an integrated self-sustaining economy, the GoU's principal objective in investing in development of the transport sector is:

**“The provision of an efficient, safe and sustainable road network as a pivotal support for accelerated and integrated national development and for consolidation of peace and unity”.**

A strategy for fulfilling this policy accept is set out in the MoWHC's 10-Year Road Sector Development Programme (RSDP) with the following three key objectives:

- Providing a safe and efficient road network that is sufficient to meet present and future traffic demand.
- Establishment and development of efficient road administration.
- Enhancing the development of the local contractor industry capacity that can meet the required construction standards, health and occupational health requirements while generating gainful employment for the people.

In line with the above GoU sector policies, and in order to address the continuous loss of capital investments in transport infrastructure, Central Government and District Administrations have recognised the need to formally address these issues by formulating a District specific “Road Maintenance Policy Document”.

This Policy document will provide principles, procedures and measures, which will enable achievement of the overall goals, expressed in the Government's White Paper on Sustainable Maintenance of District Urban and Community Access Roads including:

**“Maintaining District Road Networks permanently in good condition with a view to stimulating economic growth, and generally improving the socio-economic life of the populace”.**

## 1.2 PURPOSE OF THIS ROAD MAINTENANCE POLICY PAPER

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This policy paper document is an essential tool for creating and sustaining awareness amongst management and policy makers in the District of their duties and responsibilities related to road maintenance.

The general policy statements (development objectives) and Strategic Policy Statements (immediate objectives) serve the District Management in the following areas:

- Presenting overall district roads maintenance objectives covering all maintenance operations (routine, and periodic) for the entire district road network.
- Defining in broad terms maintenance management principles, system and strategies to be used.
- Preparing a detailed strategy (Action Plan) for how to meet the objectives set out in the policy paper.
- Establishing management guidelines and procedures to enable these objectives to be achieved.
- Defining the duties and responsibilities of the District management, policy makers, sub-county leadership and other stakeholders.

The principles of the Policy Document formulation are given in section below.

## 1.3 GENERAL PRINCIPLES OF THE POLICY PAPER

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This policy paper is prepared in line with the Policy for Decentralisation and the Local Council Bill which emphasise:

- Promotion of democracy and accountability.
- Service delivery which is responsive, closer to the community cost effective and sustainable.
- Close partnership with central government, and other stakeholders in order to promote participation, transparency and accountability.

Further the Result Oriented Management (ROM) in November 1996 revised the statement to read:

**"To serve the Community through the co-ordinated delivery of services,  
which focus on national priorities and significant local needs  
in order to promote the socio-economic growth of the District".**

The Districts' strategic objectives to achieve this mission statement are expected to be:

- Identification and collection of sufficient revenue to ensure service delivery standards are met.
- Promotion of democratic and accountable local government.
- Contribute to the growth of local economy.
- Increase the level of basic education.
- Provision of accessible health services.
- Improved District infrastructure.

The general principle for achieving the above six strategic objectives, is a well co-ordinated effort in which policy guidelines are spelt out in line with general central government policies but which are representative of individual district characteristics and requirements.

Finally, District Local Governments should follow the two general principles.

**Start small** - It is important when testing enhanced and/or new methods or systems to consider carefully the implementation strategies, training methods and materials which need to be developed and those key personnel who need to be trained before large-scale investments can be contemplated.

**Exchange experiences** - With the MoWHC, and other district administrations with regard to the adoption and use of national standards for road maintenance systems and procedures which will enhance the success of development efforts and contribute to a nation wide common approach.

Presented in **Section 2** below are the General Policy Statements and the Strategic Policy Statements, which have been structured under the main headings '**Planning and Execution of Works**', '**Finance and Resource Mobilisation**', '**Use and Maintenance of Equipment**' and '**Institutional Development and Capacity Building**'.



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## Section A-2

### The Road Maintenance Policy

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# The Road Maintenance Policy

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## 2.1 GENERAL POLICIES

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### 2.1.1 PLANNING AND EXECUTION OF WORKS

- a) In order to safeguard capital investments, works on district road networks should be carried out in the following order of priority;
- routine maintenance
  - emergency maintenance
  - spot improvements/partial improvement
  - periodic maintenance
  - full rehabilitation/reconstruction
  - new construction/upgrading.

The length of the maintainable district road network should not be increased (through rehabilitation or otherwise) beyond the routine maintenance capacity.

- b) Road works planning should be based on properly defined and systematic procedures as defined in the District Road Manuals, Volumes 1, 2, 3 and 4.
- c) Operational programmes for the execution of maintenance (and rehabilitation) works should be more effective through increased use of local contractors, appropriate technology including labour-based methods and the promotion of gender balance in the work place.

### 2.1.2 FINANCE AND RESOURCE MOBILISATION

- a) Financial resources for road maintenance should be secured and made available on time.
- b) The District Works Department needs to improve procedures related to request for release of funds in order to avoid delays in fund releases from the Treasury. Ministry of Finance, Planning and Economic Development (MFPED) will endeavour to improve communication in order that bureaucratic delays in disbursing funds for road works are minimised.

### 2.1.3 USE AND MAINTENANCE OF EQUIPMENT

- a) The District equipment fleet holding will be kept at a minimum and in accordance with actual need and maintenance capacity.
- b) Steps (to be outlined) will be taken to improve equipment availability and utilisation.

### 2.1.4 INSTITUTIONAL DEVELOPMENT AND CAPACITY BUILDING

- a) The local human resource base will be strengthened and fully utilised. This includes increased use of labour-based methods to the extent possible and training of relevant district staff and local contractors.
- b) The organisational capacity of the Works Department will be strengthened.
- c) Recruitment procedures, training, staff motivation and job security will be improved.

## 2.2 STRATEGIC POLICIES

### 2.2.1 PLANNING AND EXECUTION OF WORKS

#### **Declaration No. 1**

The district shall make every endeavour to provide adequate routine maintenance of all maintainable roads (in particular those roads that have been recently constructed or rehabilitated) to:

- a. Protect the investments.
- b. Provide an acceptable level of service necessary for basic access and road user safety.

**Measures** to fulfil this policy include;

- i. *developing an Annual District Road Work Plan (ADRWP) based on an Annual Survey of Road Network Condition (ADRICS) and use of the Rehabilitation and Maintenance Planning System (RAMPS) to identify maintainable road links and select and prioritise road works (District Road Manuals, Volume 1),*
- ii. *enlisting the services of Community Development, Gender, Environment and other district staff during preparation of the Annual District Road Work Plan (ADRWP).*
- iii. *preparation of three-year rolling plans for district road maintenance and rehabilitation,*
- iv. *establishment of realistic unit rates for routine and other maintenance works (District Road Manuals, Volume 2),*
- v. *adoption of the national standards for Contract Documentation & Procedures for Labour Based Routine Maintenance (District Road Manuals, Volume 2, Manual B),*
- vi. *drawing up a register of petty contractors for routine maintenance works within the district, together with the annual pre-qualification and updating of this register in accordance with the District Local Governments Tender Board Regulations, 1999,*
- vii. *provision of training for district staff and all contractors included on the register,*
- viii. *ensuring that routine maintenance on newly rehabilitated roads is effected immediately after the road is taken over,*
- ix. *strengthening the supervision and monitoring capacity of the District Works Department and in particular employ supervising local Consultants where appropriate,*
- x. *sensitisation of District and Sub-county policy makers and other stake holders on asset based management concepts, and*
- xi. *planning to set aside 10% of maintenance funds to cater for emergencies.*

#### **Declaration No. 2**

The district shall endeavour to progressively reduce force account operations and increase the use of local contractors and consultants for implementation of maintenance and rehabilitation works to:

- a) Improve on effectiveness and efficiency.
- b) Reduce the administrative burden of the Works Department.
- c) Increase levels of accountability.
- d) Introduce competition, more stable and realistic pricing of works and improved quality standards.



**Measures** to fulfil this policy include;

- i. adopting District Tender Board contracting procedures for undertaking routine and periodic maintenance works in accordance with general regulations and national standards (District Road Manuals, Volumes 2 and 3),*
- ii. engaging small-scale domestic contractors for routine maintenance activities,*
- iii. engaging medium scale domestic contractors for regravelling, spot improvement and other maintenance activities, and*
- iv. engaging local consulting firms contractors for design and supervision of regravelling, spot improvement and other maintenance activities.*

### **Declaration No. 3**

The district shall develop the application of labour-based technology for implementation of road maintenance and rehabilitation works in order to:

- a) Enhance sustainability and effective use of available resources.
- b) Increase the use of local resources and reduce dependency on equipment.
- c) Increase skills and capacity among the local communities.
- d) Create employment opportunities in rural areas.
- e) Increase rural household incomes thereby reducing poverty.

**Measures** to fulfil this policy include;

- i. sensitisation and mobilisation of communities through seminars and demonstration sites regarding the effective use of labour based methods in road works,*
- ii. utilising national standards for contract documents to encourage the use of small scale contractors using labour-based technology (District Road Manuals, Volume 2),*
- iii. training in labour-based technology for district staff, local consultants and pre-qualified and registered small scale labour based contractors within the District, and*
- iv. facilitating contractors where appropriate with quality hand tools with cost recovery linked to payment certificates.*

### **Declaration No. 4**

The district shall put in place procedures for mitigating negative environmental impacts associated with road works.

**Measures** to fulfil this policy include;

- i. identifying the causes of negative environmental impacts in relation to road works,*
- ii. creating awareness regarding the relationships between roads, those living alongside roads and environmental problems through information campaigns, etc.,*
- iii. inclusion of instructions on environmental impact mitigation measures in contract documents, and*
- iv. involvement of the District's Environmental Officer in preparation of the Annual District Road Work Plan (ADRWP).*

## **2.2.2 FINANCE AND RESOURCE MOBILISATION**

### **Declaration No. 5**

The district will endeavour to reduce administrative / bureaucratic bottlenecks in fund disbursements.

**Measures** to fulfil this policy include;

- i. improving reporting efficiency of the Works Department to avoid delays in the preparation of QPRs in accordance with national standards (District Road Manuals, Volume 3) and applying for requisitions / fund releases,*
- ii. institutionalisation of improved procedures (within the existing legal framework) for timely payment of contractors, and adherence to financial regulations, control and transparency,*
- iii. improving effectiveness of site supervision in order to avoid delays in approval (or rejection) of road works carried out and the preparation of payment certificates,*
- iv. improving accountability through strengthening the internal audit department, and*
- v. sensitisation of the staff of Treasury Department on the importance of timely release of requisitioned funds.*

### **Declaration No. 6**

The district shall increase efficiency and effectiveness in utilisation of local human resources.

**Measures** to fulfil this policy include;

- i. increasing the use of labour compared to equipment in maintenance and rehabilitation works,*
- ii. paying workers salaries on time in order to create confidence, and*
- iii. operating in accordance with ROM and establish measurable achievable and realistic targets.*

### **Declaration No. 7**

The district shall make all efforts to improve revenue collection in order to increase funds for (among other things) road maintenance.

**Measures** to fulfil this policy include;

- i. ensuring that funds are earmarked for road maintenance and are properly accounted for, and*
- ii. sensitising the populace of the District through the LCs to pay taxes fully and timely;*

## **2.2.3 USE AND MAINTENANCE OF EQUIPMENT**

### **Declaration No. 8**

The district shall put in place an effective system to manage the plant and equipment for road maintenance.

**Measures** to fulfil this policy include;

- i. monitoring actual utilisation rates based on previous records and experience and establish reasons for under-utilisation,*
- ii. determining minimum annual utilisation rates for justification of plant and equipment,*
- iii. writing-off all equipment which is unserviceable, has too high down-time or is unreasonably expensive to maintain,*
- iv. developing and implementing equipment maintenance programs,*

- v. *installing an effective equipment performance monitoring system,*
- vi. *adapting basic workshop facilities and tools for maintenance equipment,*
- vii. *carrying out periodic staff training on plant operation and maintenance, and*
- viii. *contracting out for major maintenance operations .*

### **Declaration Policy No. 9**

The district shall gradually shift from heavy equipment fleet holding to only light equipment for emergency road works in order to:

- a) alleviate high costs of equipment maintenance that exceed the district's financial capacity, and
- b) ease the workload of the Works Department.

**Measures** to fulfil this policy include;

- i. *the district equipment holding being gradually reduced to a manageable size allowing for only limited emergency repairs to be carried out by force account,*
- ii. *the equipment fleet being no larger than what the district can reasonably and cost effectively maintain with its own resources,*
- iii. *provision of detailed and specific lists of suitable light equipment holdings including estimates for running, and maintenance and other recurrent costs, and*
- iv. *making further reduction in equipment fleet (as local contractor industry grows) by curtailing acquisition of new equipment except supervision vehicles.*

## **2.2.4 INSTITUTIONAL DEVELOPMENT AND CAPACITY BUILDING**

### **Declaration No. 10**

The district shall create capacity at the sub-counties for planning, executing and monitoring road maintenance works and sensitising the local communities to appreciate and understand the importance of road maintenance in order to:

- a) Cultivate a sense of ownership of the roads, and
- b) Create interest in the preservation of roads as a community asset.

**Measures** to fulfil this policy include;

- i. *formation of Road Committees within the existing Works Committee at sub-county level,*
- ii. *deploying Assistant Road Inspectors (ARIs) in and paid by each sub-county,*
- iii. *assisting sub-counties ARIs with technical and professional guidance and training,*
- iv. *urging sub-counties to provide basic logistical support for ARIs (e.g. bicycle),*
- v. *embarking on community sensitisation and training programmes regarding the benefits of maintaining roads,*
- vi. *preparing letters of understanding (LOU) specifying the sharing of funding responsibilities between districts and sub-counties,*
- vii. *encouraging the establishment of vehicle owner/user associations to create awareness towards road maintenance, and*
- viii. *establishing closer relationship between Works Department and sub-county councillors regarding contracting out of road maintenance.*

### **Declaration No. 11**

The district shall create an adequate organisational structure to suit the functions of the Works Department.

**Measures** to fulfil this policy include;

- i. introducing departmental work plans (ref. Declaration No. 3) and accountability before subsequent disbursements,*
- ii. introducing performance monitoring and evaluation systems,*
- iii. introducing incentive schemes, promotion, career development and social benefit,;*
- iv. consideration of staff salaries as a priority and ensure payment on time,*
- v. drawing up systematic programmes for management training, and*
- vi. providing adequate logistics in terms of transport, equipment, office accommodation, etc.*

### **Declaration No. 12**

The district shall streamline recruitment procedures.

**Measures** to fulfil this policy include;

- i. compliance with Public Service rules and regulations concerning recruitment,*
- ii. drawing up job descriptions for different categories of staff, and*
- iii. indicating clear qualification requirements for different posts.*

### **Declaration No. 13**

The district shall endeavour to create avenues for career enhancement and ensure job security.

**Measures** to fulfil this policy include;

- i. offering conducive conditions of engagement, and*
- ii. creating opportunities for further professional education and upward mobility.*

### **Declaration No. 13**

The district shall develop an effective manpower development system to train and improve the capacity of staff.

**Measures** to fulfil this policy include;

- i. carrying out training needs assessment,*
- ii. determining relevant training schemes for the Works Department,*
- iii. preparing annual training programmes,*
- iv. bonding beneficiaries for a minimum number of years of service to the District after training,*
- v. identifying institutions or organisations to carry out training and secure admissions for staff to go for further education,*
- vi. securing funds needed for training, and*
- vii. organising periodic seminars/workshops for staff, policy makers, consultants and contractors.*

### **Declaration No. 15**

The district shall introduce minimum safety standards for district roads.

The key **measures** to fulfil this policy include;

- i. ensuring adequate warning signs or other measures at potential accident areas,*
- ii. use of suitable gravel wearing course materials, particularly in curves and on slopes, and*
- iii. organising community safety awareness campaigns on road use (both at district and sub-county) levels.*



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# Section A-3

## Institutional Responsibilities

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## **Section A-3**

### **Institutional Responsibilities**

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# Institutional Responsibilities

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## 3.1 POLICIES AND GENERAL MANAGEMENT

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Uganda's decentralisation policy has been codified into the Local Government Act of 1997 and embraces the principles of participation as well as the bottom-up approach to development with District Local Governments being the overall planning authority for the district.

## 3.2 OBLIGATIONS OF STAKEHOLDERS

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**Community:** To assist in the protection of the road infrastructure within their communities by policing their proper usage and carrying out self-help activities to protect the road and its drainage system together with assisting with selecting village groups to be employed for road maintenance.

**Sub-County:** Through the General Purpose / Works Committees, and responsible for carrying out community mobilisation, education and training together with the monitoring of petty contractors and community organisations employed to maintain those roads within the sub-counties.

**District Administration:** Responsible for overall implementation, monitoring and evaluation of the projects including contract management. It is the district's responsibility to secure adequate funding for road maintenance during any fiscal year. The district's Works Department is responsible for providing professional and technical guidance including logistical support to the sub-counties for road maintenance. The district shall also be responsible for all institutional issues including provision of appropriate training for its staff and the contracting community.

**GoU through the MFPED and MoWHC/DUR:** Support to the districts through the provision of conditional and unconditional PAF Grants to district administration for road maintenance. The GoU shall also be responsible for soliciting external funding from Donors for district programmes.





