Final report

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Peer Review Benchmark of Roads Asset Management in the SADC Region

Steps to the Future
15 January 2014
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The programme is currently active in Ethiopia, Kenya, Ghana, Malawi, Mozambique, Tanzania, Zambia, South Africa, Democratic Republic of Congo and South Sudan and is developing relationships with a number of other countries and regional organisations across Africa.

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**Report summary**

From August to November 2013 the Asanra Member States Self Assessments were reviewed according to the PAS Assessment Methodology tool by Ronald van der Vegte and Kees Wieringa, I.E.S. Asset Management bv.

This report presents the results as well as the regarding Member States action plans (see Abstract).
It should be noted that the BSI Symbol and UKAS Accreditation mark signify that Crown Agents operate a documented Quality Management System registered with the British Standards Institution to the international quality standard BS EN ISO 9001:2008. The provision of consultancy services in revenue enhancement and expenditure and debt management including: customs, taxation and trade, human institutional and organisational development, engineering, procurement management advice and reform, health logistics and procurement services. The management of third party quality assurance and inspection services related to the supply of manufactured and processed products. International freight forwarding services utilising in house sub-contract warehousing. Verification of service as follows: Air Import – Clearance UK airport; Exports – Airport of departure; Sea Imports – Clearance UK port; Sea Exports – Port of loading.
Abstract

From August to November 2013 the Roads Asset Management self-assessments of the Asanra Member States Malawi, South Africa, Zambia, Zimbabwe, Botswana, Namibia, Tanzania, Mozambique and Lesotho were reviewed according to the PAS 55 standards. The review was performed by means of the PAS Assessment Methodology ((PAM-tool) questionnaire. The goals of the review were to verify the respective outcomes and to substantiate their final maturity ratings.

During the meeting on 15 January 2014 the results of these reviews have been reported to the Implementation Team. After the presentation the Implementation Team developed their respective Member States steps and action plans from the present situation towards Asanra’s vision in a workshop setting.

This report shows the results of the review as well as the results of the workshop.

In general one can say that there is much engagement and will to improve in all Member States. Recommendations are:

1. Focus during implementation on the gaps one by one
2. Use practical training (from outside and/or from other Member States)
3. Seek for management commitment as a basis for improvement

The assessors were Mr. Ronald van der Vegte and Mr. Kees Wieringa, I.E.S. Asset Management bv..
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1. The self assessment review

1.1 Our approach

The approach is like the Deming principle of Plan, Do, Check and Act according to the scheme below.

Training in the use of the PAS-55 specification for infrastructure asset management was provided to representatives from nine SADC Member States in early 2012. Following this training the participating countries carried out their own self-assessments of their performance in road asset management. The self-assessments were reviewed in-country by the IES team and some adjustments made. The workshop in January 2014 was the final activity under this project. It included a presentation by IES of the findings of the review process, as well as participatory exercises to assist the Member States to establish necessary actions to improve their performance in road asset management.

The workshop is the last step of the sequence to establish necessary actions.

1.2 The review assignment

The assignment regarding the review was to verify the Member States outcomes of their respective self-assessments and to substantiate their final ratings.

The participating Member States in stake were:

- Malawi
- South Africa
- Zambia
- Zimbabwe
- Botswana
- Namibia
- Tanzania
- Mozambique
- Lesotho
1.3 Audit schedule

The time schedule of the audits as executed in 2013 has been as follows:

<table>
<thead>
<tr>
<th>#</th>
<th>Location</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Lilongwe, Malawi</td>
<td>7 – 9 August</td>
</tr>
<tr>
<td>2</td>
<td>Pretoria, South Africa</td>
<td>12 – 14 August</td>
</tr>
<tr>
<td>3</td>
<td>Lusaka, Zambia</td>
<td>16 + 19 – 20 August</td>
</tr>
<tr>
<td>4</td>
<td>Harare, Zimbabwe</td>
<td>2 – 4 September</td>
</tr>
<tr>
<td>5</td>
<td>Gaborone, Botswana</td>
<td>6 + 9 – 10 September</td>
</tr>
<tr>
<td>6</td>
<td>Windhoek, Namibia</td>
<td>12 – 13 + 16 September</td>
</tr>
<tr>
<td>7</td>
<td>Dar Es Salaam, Tanzania</td>
<td>7 – 8 + 11 November</td>
</tr>
<tr>
<td>8</td>
<td>Maputo, Moçambique</td>
<td>13 – 15 November</td>
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<tr>
<td>9</td>
<td>Maseru, Lesotho</td>
<td>18 – 20 November</td>
</tr>
</tbody>
</table>

1.4 The review procedure

The procedure as executed during the reviews was as follows
1. Brief explanation of the assignment and the goal
2. Introduction of the participants
3. Brief introduction of the PAS 55 and PAM tool
4. Explanation of the questionnaire
5. Execution of the review by means of the questionnaire
6. Provision of feedback of the preliminary results (assuming that all requested evidence were delivered)
7. Feedback from the delegates ("what did we hear", "what would we like to add")
8. Evaluation of the review by the delegates

1.5 The review results

The results of the review are indicated by means of a score signifying the maturity level (0 – 4) per clause as indicated in the PAM tool as well as per remarks from the assessors in general terms. The scores are represented in a radar graph for each member state.

The in this report presented Member State reviews were presented earlier at the end of each assessment as feedback. The Member States comments on this feedback are also presented here.
1.5.1 General observations and scores

Regarding general observations all Member States demonstrate as follows:

- There was positive engagement in the process by the participating countries and a willingness to improve performance in road asset management
- PAM tool questionnaire is found to be difficult to understand
- There were different attitudes while doing the self-assessment
  - Some Member States scored lower to provide more improvement space for themselves
  - Some Member States scored higher to get a higher qualification
- The clauses regarding Risk Management (“thinking the unthinkable”) are in general undeveloped
- Often there appeared to be a funding gap, leading to a vicious circle (no funds -> no maintenance -> degradation of the roads quality and value -> need for more funds -> etc.)
- Fuzzy responsibilities regarding the roles of Asset Owner, Asset Manager and Service Provider
- A need to know the next steps on how to proceed with this process

Regarding the maturity of the PAM clauses, the Member States overall scored weak (≤1) in the red and orange coloured clauses as follows:

- Red clauses: ≥ 7 out of 9 Member States scored level ≤ 1
- Orange clauses: 4-6 out of 9 Member States scored level ≤ 1
- Black clauses: otherwise

<table>
<thead>
<tr>
<th>Clause #</th>
<th>Clause description</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1</td>
<td>General requirements</td>
</tr>
<tr>
<td>4.2</td>
<td>Asset management policy</td>
</tr>
<tr>
<td>4.3.1</td>
<td>Asset management strategy</td>
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<td>4.3.2</td>
<td>Asset management objectives</td>
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<td>4.3.3</td>
<td>Asset management plan(s)</td>
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<td>4.3.4</td>
<td>Contingency planning</td>
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<tr>
<td>4.4.1</td>
<td>Structure, authority and responsibilities</td>
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<td>4.4.2</td>
<td>Outsourcing of asset management activities</td>
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<td>4.4.3</td>
<td>Training, awareness and competence</td>
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<td>4.4.4</td>
<td>Communication, participation and consultation</td>
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<td>4.4.5</td>
<td>Asset Management System documentation</td>
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<td>4.4.6</td>
<td>Information management</td>
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<tr>
<td>4.4.7.1</td>
<td>Risk management process(es)</td>
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<td>4.4.7.2</td>
<td>Risk management methodology</td>
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<td>4.4.7.3</td>
<td>Risk identification and assessment</td>
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<td>4.4.7.4</td>
<td>Use and maintenance of asset risk information</td>
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<tr>
<td>4.4.8</td>
<td>Legal and other requirements</td>
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<td>4.4.9</td>
<td>Management of Change</td>
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<tr>
<td>4.5.1</td>
<td>Life Cycle Activities</td>
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<td>4.5.2</td>
<td>Tools, facilities and equipment</td>
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<tr>
<td>4.6.1</td>
<td>Performance and condition monitoring</td>
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<tr>
<td>4.6.2</td>
<td>Investigation of asset-related failures, incidents and nonconformities</td>
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<td>4.6.3</td>
<td>Evaluation of compliance</td>
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<tr>
<td>4.6.4</td>
<td>Audit</td>
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</tbody>
</table>
1.5.2 Results per Member State (in order as visited)
The results are shown here as they were presented during the workshop on 15 January 2014 in Pretoria.
Illustrated are: facts and figures regarding the interviewees, the organisation, the network, the maturity levels (self-assessment, preliminary review and final review after analysing the evidence) and feedback of the interviewees where applicable.

1.5.2.1 Malawi

Malawi
7-9 August 2013, facts & figures

- Interviewees
  - Benjamin Kapoteza
  - Mavuto Eduard Mdala
  - Placid C. Kasakatira
  - Diffrey Dlatemba
  - Alex Makuhatha
  - Paul J. Kulemaka
  - Stephen Siuande
  - Adrian Mathini
  - Elia Sisya
  - Joey Malota

Road Authority and Fund resort directly under the Ministry of Transport

Assets:
- Main roads
- Secondary roads
- Tertiary roads
- District roads
- Urban roads
- Community roads (no stewardship of RA/RF)

In total the network (excluding community roads) covers about 15,500 km of which 4,300 km is paved.

Malawi
7-9 August 2013 (no feedback)
1.5.2.2 South Africa

South Africa
12-14 August 2013, facts & figures

- Interviewees
  - Edwin Kruger
  - Louw Kannemeyer
  - Michelle van der Walt
  - Werner Lategan

- 746,000 km infrastructure
- 153,000 km paved
- 19,704 km stewardship SANRAL
- 3,120 km toll roads
- 8,000 bridges & culverts
- 70% LD Freight Traffic
- Toll ports

- 1 Head Office (58 FTE)
- 4 Regional Offices (190 FTE)
- Board (8 members)
- Ministry of Transport

South Africa
12-14 August 2013

4.1 General requirements
4.2 Asset management policy
4.3.1 Asset management strategy
4.3.2 Asset management objectives
4.3.3 Asset management plan(s)
4.3.4 Contingency planning
4.4 Structure, authority and responsibilities
4.4.1 Outsourcing of asset management activities
4.4.2 Training, awareness and competence
4.4.3 Communication, participation and consultation
4.4.4 Asset Management System documentation
4.4.5 Information management
4.4.6 Risk management process(es)
4.4.7 Risk management methodology
4.4.8 Risk identification and assessment
4.4.9 Use and maintenance of asset risk information
4.4.10 Legal and other requirements
4.4.11 Management of Change
4.4.12 Tools, facilities and equipment
4.4.13 Performance and condition monitoring
4.4.14 Investigation of asset-related failures, incidents and nonconformities
4.4.15 Evaluation of compliance
4.4.16 Audits
4.4.17 Corrective & Preventative action
4.4.18 Continuous Improvement
4.4.19 Records
4.7 Management review

South Africa key words

- politically more independent than other participating countries
- tendency to standardisation
- tendency to regulate / control
- tendency to eliminate human errors
- real time data reporting
- engagement of users / public
- professionalising of risk management

- “Voortrekker” (nationally / internationally leading organisation)

- tendency to perfection ….. where does it end ?
1.5.2.3 Zambia

Zambia 16-20 August 2013, facts & figures

Interviewees

- Grace Mutembo
- Mubanga Mulenga
- Nonde Musawa
- Lloyd Siamunyanga
- Lukezo Juwaki
- Sandra Seleweka
- Stephen N. Mwale
- William Mulusa

Players

1. Ministry of Transport, Works, Supply and Communications
2. Ministry of Finance
3. National Road Fund Agency (NRFA)
4. Road Development Agency (RDA)
5. Road Transport & Safety Agency (RTSA)
6. Ministry of Local Government and Housing (MLGH)
7. National Council for Construction (NCC)

Assets (40.454 km):

- Trunk roads (International interconnections)
- Main roads (Provincial interconnections)
- District roads (Districtional interconnections)
- Urban roads (Towns)
- Primary roads (agriculture use)
- Unclassified
- Bridges

**7.000 km paved**
**Zambia**

**key words**

- Critical while judging their own maturity levels, thus creating maximum improvement space
- Highly educated employees
- Awareness of PAS 55 is applying, not yet fully in line
- Complex organization, possibly leading to paralysis
- Need for focus on the most urgent issues (change the wheels)

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**1.5.2.4 Zimbabwe**

**Zimbabwe**

*2-4 September 2013, facts & figures (1/2)*

**Interviewees**

- A.A. Zindoga
- B.Z. Wiridzai
- J.G. Mtetwa
- C. Gwenzi
- D. Kwenda
- R. Sigauke
- R. Magaruwa
- T. Nbeweyembwa
- A. Tambudzai
- A. Nyikadzino
- W.M.M. Kudzvuramoto
- M. Ndoro
- M.T. Pasipamire
- I.D. Michael
- J.S. Kangara
- E. Shenje
- L. Nyagura
- G.T. Kufa
- L.C. Nkomozepi
- R. Katsande
Players
1. Ministry of Transport,
2. Ministry of Finance
3. Zinara: Zimbabwe national Roads Administration (Road fund)
4. DOR (Department of Roads)
5. UC (Urban Councils) [Ministry of Local Government]
6. RDC (Rural District Council) [Ministry of Local Government]
7. DDF (District Development Fund)

- Assets (88.133 km roads; bridges; traffic & public lights in Zimbabwe)
  - Major Roads (18.462 km; 8.900 paved)
  - Urban Roads (8.194 km)
  - District Roads (36.477 km)
  - DDF roads (25.000 km)

Zimbabwe
2-4 September 2013

4.1 General requirements
4.2 Asset management policy
4.3.1 Asset management strategy
4.3.2 Asset management objectives
4.3.3 Asset management plan(s)
4.3.4 Contingency planning
4.4.1 Structure, authority and responsibilities
4.4.2 Outsourcing of asset management activities
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4.4.7.2 Risk management methodology
4.4.7.3 Risk identification and assessment
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4.6.4 Audit
4.6.5 Corrective & Preventative action
4.6.6 Continual Improvement
4.7 Records
4.8 Management review

Zimbabwe key words

- Funding deficiency (threat)
- Need for faith and support to provide push forward
- Need for focus / prioritisation
- Stop the brain drain
- Re-activate HDM again
**Zimbabwe**

**Feedback**

### Team's reactions

- Recognize the gaps
- We need AM training / experience
- Need for clear prioritization
- Need for more uniform AM-approach
- How to start effectively
- Need to change our mindset (out of the box thinking)

### Team's questions

- How to use the results?
- How to adopt experience of other Member State’s experiences?
- How to get trained?
- How to get practical guidelines from PAS55?

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**1.5.2.5 Botswana**

**Botswana**

6-10 September 2013, facts & figures (1/2)

- Interviewees
  - Lorato S. Ditiro
  - Ogomoditse Ramontsho
  - Mphetang Mmolawa
  - Kehnny K. Mmopa
  - Kgakgamatso Kalasi
  - Phillip Kgafela

- Observer
  - Deputy Director Jacob R. Sello

**Botswana**

6-10 September 2013, facts & figures (2/2)

**Players**

1. Ministry of Transport & Communications
2. Past: 3 departmental regions & 1 Road head quarter (to coordinate)
3. Now: 7 departmental regions & 1 Road head quarter (to coordinate)

**Assets**

- Total public highway network is 19.300 km
- Asset replacement value 24,2 billion pula
- Road department:
  - Major Roads (18.000 km; 6.400 paved)
  - 50 Bridges
  - Traffic & public lights in Botswana
  - Annual maintenance fund 600 million pula
Botswana
6-10 September 2013

key words

- Scores do not yet reflect the efforts
- Need for direction and coherency
- High potentials of the Road department employees
- Cooperation between team members
1.5.2.6 Namibia

**Namibia**

12-13 September 2013, facts & figures (1/2)

- **Interviewees**
  - Manfred Burth
  - Angela Kabende
  - Chris Fikunawa
  - Theo Ndenge
  - Palesa Hekandjo
  - Sirkka Nghikongwe
  - Benson Namupala
  - Rudolph Rittmann
  - Ako Ali-Jaf

**Namibia**

12-13 September 2013, facts & figures (2/2)

- **Players**
  - Ministry of Finance
  - Ministry of Work and Transport
  - Road Fund Administration
  - Road Authority
  - Roads Contractor Company

- **Scope Assets**
  - In total 45.665 km of roads
    - 6.664 paved
    - 39.0001 gravel / salt / earth roads
    - 600 bridges

**Namibia**

12-13 September 2013
**Namibia**

**key words**

- High potentials
- Clear results HDM4
- High maturity levels and roads management system, but ….
  - scattered policy statements
  - asset related risks yet to be incorporated
- Vicious circle
  - legislation = solid (Acts)
  - execution is a challenge
  - Priorities new/current not always balanced

**Namibia**

Feedback

Team’s reactions

- AM ⋇ Risks
- Asset Management > maintenance = important
- Policies scattered
- Asset Management Strategy clarifies the role of different stakeholders
- Management should direct Asset Management
- The Asset Management cycle has been clarified

- Stakeholder involvement needed
- Legislation in place; now executing
- Involvement ministry important
- Human factor is key to success!
- Roads AM = business > public service alone

- How to involve all employees??

**1.5.2.7 Tanzania**

**Tanzania**

7-11 November 2013, facts & figures

- Interviewees
  - Mussa George
  - Ronald Lwakatare
  - Mathias Magwanya
  - Mellow Livoga
Tanzania
7-11 November 2013, facts & figures

• Players
  – Ministry of Finance (projects)
  – Ministry of Works (maintenance)
  – Roads Fund Board
  – Tanzania National Roads Agency (Tanroads)

• Scope Assets (as managed by Tanroads)
  – In total 35,000 km of roads
    • 7,000 paved
    • 28,000 unpaved
    • 5132 bridges

Tanzania
7-11 November 2013

4.1 General requirements
4.2 Asset management policy
4.3 Asset management strategy
4.3.1 Asset management objectives
4.3.2 Asset management plan(s)
4.3.3 Contingency planning
4.4 Outsourcing of asset management activities
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4.5.1 Tools, facilities and equipment
4.5.2 Performance and condition monitoring
4.5.3 Investigation of asset-related failures, incidents and nonconformities
4.5.4 Evaluation of compliance
4.6 Audit
4.6.1 Corrective & Preventative action
4.6.2 Continual Improvement
4.6.3 Records
4.7 Management review

Tanzania
key words

• Improvement since self assessment
• Asset Management mainly focussed on roads (excluding bridges etc.)
• Justification gap, funding dilemma
• Risk management
• Data safeguarding = risky
**Tanzania**

**Feedback**

Team’s reactions

- Learned a lot
- Next steps?

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**1.5.2.8 Mozambique**

**Mozambique**

13-15 November 2013, facts & figures

- Interviewees
  - Anibal Nuvunga (National Roads Administration, Directorate of Planning)
  - Calado Ouana (National Roads Administration)
  - César Macuácua (National Roads Administration, Directorate of Maintenance)
  - Carlos Fortes (Road Fund, Directorate of Planning)

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**Mozambique**

13-15 November 2013, facts & figures

- Players
  - Ministry of Finance
  - Ministry of Public Works and Housing
  - Road Fund
  - National Roads Administration (ANE)

- Scope Assets (as managed by ANE)
  - In total 30,562 km of roads
    - 6,363 km paved
    - 24,199 km unpaved
    - 903 bridges (≥ 6 m)
Mozambique
13-15 November 2013

Mozambique
key words

- Budgeting process matches Life Cycle Costing (5/3/1 year budget cycles)
- Audit process on track
- Asset Management objective goals need to be more specific
- Continual improvement is a challenge

Mozambique
Feedback

Team’s reactions

- Risk management needs to be improved

Mentioned issues

- External: invoice payments
- How to prioritize
- Discontinuities caused by
  - change of politics
  - change of management
  - contract issues (bankruptcy, management, ……)

1.5.2.9 Lesotho
Lesotho
18-20 November 2013, facts & figures

• Interviewees
  – Ralph Makafane
  – Khasapane Kikine
  – Mphela Matela
  – Moliehi Nthakana
  – Jeremia Ramashamole
  – Senate Molapo
  – Lerato Molefe

Lesotho
18-20 November 2013, facts & figures

• Players
  – Ministry of Finance
  – Ministry of Public Works and Transport (AO)
  – Roads Directorate (AMgr)

• Scope Assets (as managed by)
  – In total 7,438 km of roads
    • 1,217 km paved
    • 6,211 km unpaved
    • 37 bridges

Lesotho
18-20 November 2013

4.1 General requirements
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4.6.4 Audit
4.6.5 Corrective & Preventative action
4.6.6 Continuous improvement
4.6.7 Records
4.7 Management review
**Lesotho**

**key words**

- All parties involved were there
- PAM questionnaire difficult to understand
- Funding and LCC in line
- Plan-Do of Deming circle in Asset Management are OK; Check-Act steps are yet to be improved

**Lesotho**

**Feedback**

Team’s reactions

- Risk management needs to be improved
- Good organisation
- We have a policy
- Feel encouraged

Mentioned issues

- Common strategy (in- & external) necessary
- PAM tool to be translated
- Roadmap to be developed
- Training welcome
2. **Workshop “Steps to the Future”**

The workshop’s goal was to acknowledge the final review results and to establish the first steps forward for Asanra as a whole and per Member State individually.

2.1 **Workshop steps**

The set up of the workshop followed the principle of divergence and convergence as a process towards getting gradually more focus on the core aspects and reaching commitment especially by involving the participants.

The steps in order of sequence were:

1. Feedback by the participants of the presentation of the review  
   a. What did we hear?  
   b. What would we like to add?
2. Imagine our situation three years from now into the future
3. Our perceptions of the success factors
4. Establish possible actions Asanra wide
5. Establish concrete action plan per Member State

Illustrated in this report are the steps as they were carried performed as well as the outcomes of the participants per step during the event.

The participants worked team wise on these steps, mainly in 5 teams:

- Team Red
- Team Orange
- Team Yellow
- Team Green
- Team Blue

2.2 **Feedback regarding the presented review**

2.2.1 **What did we hear?**

The reactions were as follows:

**Team Red**

- Every Member State is willing to improve on Asset Management
- Understanding of the PAM tool was lacking in some Member States
- No Risk Management in most Member States
- Funding is a constraint
- Building new roads is “sexy”, doing maintenance is not
- Contradicting responsibilities
- 7 Out of 9 perform POOR on 4.3.4; 4.4.6; (highlighted as red)
- 4 -6 Perform FAIR (highlighted as orange)
- Of all Member Roads Authorities only South Africa is at certification stage

**Team Orange**

- Risk management is a challenge e.g. wash away risks
- Limited funds to manage risks (Road Funds do have budgets for emergencies)
- Understanding the PAM questionnaire
  - More training needed
Final report

- Need for user manuals
- Training for technical staff more important than training of management

- Most of the countries not close to the certification standards
  - Redefine a more appropriate level for Asanra, own targets of compliance
  - Should we focus only on some questions of the PAM tool where we did not do well?
- How much effort is needed to get to certification?

Team Yellow

- Deficiency in Asset Management
- Risk Management problem
- Weakness in Auditing
- Asset Management documentation (according to PAS 55)
- Realise importance of Asset Management (training Awareness)
- Notice several problems

Team Green

- All the Member States are aware of the implementation of Asset Management
- Funding gaps
- Institutional aspects
- Risk aspect not taken in account
- Lack of ownership

Team Blue

- Risk Management lacking
- Lack of clear and defined Asset Policy
- Variable understanding of Asset Management aspects/results
- M&E process lacking
- Willingness to improve

2.2.2 What would we like to add?

Team Red

- We would like Asanra secretariat to use South Africa as a benchmark
- How to rearrange ourselves to PAS 55?
- Donor funding disrupts own policy developments
- How do we make our own management to make a buy in to the process?
- Sustainability of Asset Management System

Team Yellow

- More participation from stakeholders
- Continued training PAM/PAS 55
- Senior management buy-in
- Systematic evaluation of implementation
- Policy & authorization on the highest level of management
- Weakness to be dealt with country by country

Team Green

- Implementation of Road Sector reform (1999) would facilitate attainment of PAS requirement
- Aligning terminology to ISO 55000
- How do we compare with other Industries / Road Authorities elsewhere?