REPUBLIC OF NAMIBIA

REPORT OF THE AUDITOR-GENERAL ON PERFORMANCE AUDIT STUDY OF

IDENTITY DOCUMENTS – FOLLOW-UP

IN THE

MINISTRY OF HOME AFFAIRS & IMMIGRATION

FOR THE FINANCIAL YEARS 2007, 2008 AND 2009

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I have the honour to submit herewith my performance audit report of the Identity Documents – Follow-up in the Ministry of Home Affairs and Immigration for financial years 2007, 2008 & 2009 in terms of Article 127(2) of the Namibian Constitution. The report is transmitted to the Honourable Minister of Finance in terms of Section 27(1) of the State Finance Act, 1991, (Act 31 of 1991) to be laid upon the Table of the National Assembly in terms of Section 27(4) of the Act.
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<tr>
<td>OAG</td>
<td>Office of the Auditor-General</td>
</tr>
<tr>
<td>AG</td>
<td>Auditor-General</td>
</tr>
<tr>
<td>ID</td>
<td>Identity Document</td>
</tr>
<tr>
<td>HO</td>
<td>Head Office</td>
</tr>
<tr>
<td>RO</td>
<td>Regional Office</td>
</tr>
<tr>
<td>SWA</td>
<td>South West Africa</td>
</tr>
<tr>
<td>NPRS</td>
<td>National Population Registration System</td>
</tr>
<tr>
<td>AFIS</td>
<td>Automated Fingerprint Information system</td>
</tr>
<tr>
<td>PAC</td>
<td>Parliamentary Standing Committee on Public Accounts</td>
</tr>
<tr>
<td>UNICEF</td>
<td>United Nations Children's Fund</td>
</tr>
<tr>
<td>ACC</td>
<td>Anti-Corruption Commission</td>
</tr>
</tbody>
</table>
EXECUTIVE SUMMARY

I am authorized to carry out performance audits in terms of Section 26 (1) (b) (iv) of the State Finance Act, (Act 31 of 1991) which reads as follows: (The Auditor-General) “may investigate whether any moneys in question have been expended in an efficient, effective and economic manner.” Performance auditing may be defined as examining whether government ministries are “doing the right thing” and utilizing the resources “in the right and least expensive way”.

This report is based on the issuance of identity documents administered by the Division of Population Services within the Ministry of Home Affairs & Immigration. An initial report was submitted to the National Assembly and published in September 2000 pointing out shortcomings in the issuance/administration of Identity Documents. The Parliamentary Standing Committee on Public Accounts (PAC) then undertook fieldwork in March 2006 to collect information on the findings in the report and then submitted their own report to the National Assembly. This follow-up report was a result of issues identified by the PAC that need to be followed-up and it also includes issues originating from the initial report.

The most crucial findings, conclusions and recommendations from this follow-up report are as follows:

FINDINGS

1. The issuance of identity documents (ID’s) is delayed, as it takes up to three-six months (according to the records analyzed) for an ID to be finalized. Factors affecting the finalization of an ID are contributed to the following:

   • Delay in the processing of ID’s at the Head Office (HO)

   • Rejection of application forms received from Regional Office (RO) by the system due to:
     o Omissions of required information from the application form by the staff at the RO.
     o Duplication of applications, whereby applicants apply twice when their application is not finalized within the expected time frame.
     o HO takes up to two-three months to send rejected application forms back to the various RO’s for corrections.
     o RO’s do not have means to inform the applicants that their application forms were rejected and ways to approach the RO to provide outstanding information. This implies that rejected application forms can be filed at the RO for months or up to years without being attended to. The follow-up audit revealed that rejected forms dated back as far as 1994-2007 and 160 application forms for the Eenhana Region dated back to the year 1994.

   • Late submission to HO
     o Late-payment of private courier services by the HO, resulting in the service provider to refuse transportation of parcels. The follow-up audit found at the Swakopmund RO that 265 applications forms were delayed since these forms were not sent to HO for approximately three-four weeks due to late payment of private courier services.
     o RO’s such as Oshakati had applications delayed due to them awaiting the memory card for their image capturing machine back from HO.

   • Shortage of application forms were also found to be a contributing factor to delays.
- Currently the positions for Chief Data Typist and the Senior Data Typists at HO are vacant and there are currently six Data Typists to capture the personal details from application forms received from the 13 RO’s.

2. The follow-up audit found that at the time of the audit, the Ministry had already conducted two of the three envisaged phases of their mobile registration of ID’s in the regions within the country. During the first two phases a number of 37,098 ID’s and 18,219 birth certificates were issued. However, according to interviews, most of the regions stated that the ID’s for which the application was made in November and December 2008 were not printed by the time of the audit, i.e. June 2009.

3. The Ministry envisaged to print 1,500 ID’s per day. However this has not realized to date. This is due to the fact that none of the applications analyzed at the time of the audit, per sample, were printed within the 24 day processing time frame from application to printing.

4. One of the recommendations was that HO enforces rules on how work in the regions should be organized and monitored. However, the follow-up audit found that RO’s present their reports annually indicating their problems in the report. HO does not submit feedback to the RO’s regarding the constraints highlighted in the report.

5. The follow-up audit found that the RO’s or HO does not inform the applicants when their ID documents are ready and no media coverage was made to that effect. RO’s wait for the applicant to approach their offices to enquire on the ID documents. The auditors observed that when applicants come to apply, they are at times not told when they should come to collect their ID’s.

6. The measures for distribution of ID’s are still the same in the regions since the report of the PAC in 2006 when 77,714 were uncollected within the country. The number of uncollected ID’s within the 13 regions are now 90,606 for the period 2008/9. The main contributing factors for the non-collection of ID’s are as follows:

- The only recommendation on the distribution which was implemented was that a separate collection area has been established to prevent the public to stand in long queues to collect their ID’s.

- As recommended, the RO’s did start to make use of councilors to distribute the ID’s. However, some RO’s do not make use of the services of all councilors in their regions as they regard the set-up at the constituencies as not sufficient to accommodate the efficient safekeeping and distribution of ID’s.

- According to physical observations during the follow-up, the auditors noted the following regarding collection of ID’s:
  - Collection at the regions visited does not take longer than three to five minutes provided that the staff assisting the applicant are able to find the ID without difficulty.
  - RO’s file the uncollected ID differently i.e. Swakopmund files all their ID’s alphabetically and again alphabetically considering the application number. As observed the Oshakati Office has difficulty to establish whether the ID’s are collected or uncollected. The audit team noticed that the filing is not up to standard.
  - The NPRS system used by all RO’s to check according to the application number whether an ID is printed or not, was only functioning in Eenhana but not in Swakopmund or Oshakati. According to the last two offices these systems were not functioning at their offices for months. Thus the enquiry to check if an ID was printed had to be made by calling other RO’s which is time-consuming.
CONCLUSIONS

1. The implementation of the recommendation of the PAC advising the Ministry to automate various processes as well as to increase the verification function has been started, but the effects are not reflecting the efficiency of the operations of national documents.

2. The production of ID’s still takes more than the 24 days set as standard by the Ministry to finalise an ID from date of application to date of printing. This is due to the fact that the processing of ID’s after the registration of ID applications still did not improve. Also, the manual verification of application forms by the ID production unit after the data capturing was done, still takes time.

3. The Ministry has moved from the manual reading/verification of fingerprints to the automation through AFIS. However staff in the regions who are supposed to administer the capturing are not trained as fingerprint officers and therefore fingerprint capturing still has errors and when sent to HO the AFIS system will reject such fingerprints.

4. Although the bigger part of the delay of the issuance of ID documents is at HO, the delays at the RO’s still add on to the ever existing delays.

5. Vacancies in the data capturing division contribute to the numerous errors made when capturing the ID documents. This is attributed to the fact that the small number of individuals must capture the data received from all the 13 regions and they are overloaded with work.

6. Errors on the application forms are directed to the staff at RO as they are the ones to complete the application forms on behalf of the applicants. If they make mistakes, those mistakes will be rejected by the system, ultimately causing delays when the application form has to be sent back to RO’s.

7. RO’s do not enforce that applicants state their contact numbers where they can be reached when their application forms are rejected. The audit team concluded that the Ministry is not taking any initiative to deal with the problem of rejections, judging by the large number of rejected forms found at the time of the audit.

8. The high number of uncollected ID’s comes as a result of the non implementation of the recommendation made by the OAG to publish the names of the applicants in the local media for the collection of their ID’s. The Division Population did not properly implement the recommendation of using councilors and church leaders to assist with the distribution.

9. Data typists at HO do not ensure that they change the office collection as stated by the RO staff in case of applications for duplicate ID’s, thus ID’s go to the original office at collection and not the preferred stated office for collection. This then attributed to the number of uncollected ID’s as the ID’s are sent to the old place of collection in cases where an application has moved to a new town/city.

10. There is currently no policy set by the HO for the administration of ID’s within the regions. The lack of such policy resulted in the following problems:

   • An inconsistency exists in the compilation of statistics of identity documents collected and on hand i.e. at times monthly but also annually.
• There is no uniformity as far as revenue collection and the safe keeping thereof is concerned. Revenue collected is not being safely kept especially at the Eenhana RO. This may result in the revenue collected being lost.
• The controlling and monitoring of progress by the HO within the 13 regions may be complicated.

11. There is a possibility that the public will not receive their identity documents in time as the processes of an application is longer than it is supposed to be. This is due to the fact that officials are not efficient and effective in carrying out their duties as result of lack of capacity building and training

12. Officials do not have job descriptions that explain their duties, resulting in them not being clear on their responsibilities.

RECOMMENDATIONS

1. The Ministry of Home Affairs should come up with measures to speed up the verification function as it still did not improve. This should be done in line with their standard period set at 24 working days. Also, the Ministry should re-consider the time frame of 24 days as it seems unrealistic.

2. Staff that should administer the fingerprint capturing at the RO’s must be trained on the AFIS system. Also, the RO’s should only use people who are trained to administer fingerprint capturing to avoid errors.

3. Submissions to HO should be made every week from the Regions to avoid a delay of processing at HO. HO should ensure that the memory cards for the camera capturing the images at the RO are sent with courier services at least a day after the data was loaded on their system at ID production.

4. HO must budget properly in order to make prompt payments to the courier services for the timely transportation of parcels containing documentation to and from the RO’s.

5. The vacancies at the Data Capturing section at the HO should be filled, to decrease the workload and at the same time to ensure proper monitoring of operations at that section.

6. The staff at the RO’s must make sure to capture the correct personal details of applicants when completing the application forms to reduce the number of forms rejected by HO due to errors or omission of details at RO’s. At the same time HO should make sure that it indicates the correct reason for errors on the application form when sending it back to RO’s.

7. The Division population should consider addressing rejections as follows:
   a. It is reasonable to state that HO can not send rejected forms one by one to the RO’s country wide, but HO should refrain from keeping the rejected application forms for months at its office.
   b. Contact details of the applicants should be made compulsory and if they do not have them, they should provide those of another person close to them. These contact details should be used to contact the applicant in time should RO’s find that an application is rejected due to an error/omission on the application form which only the applicant can provide. RO’s should put notices in place to inform the public that their contact details on the application form is crucial.
8. The Division Population Service should publish the names of applicants to collect their ID’s if an ID has been lying for more than 2-3 months after receipt from the HO in the local media, to deal with the high number of uncollected identity documents. RO’s should send list of names to collect ID’s to the Councillor’s offices and the public must be informed that ID’s will be available at the RO and thereafter at the Councillor’s office.

9. Data typists at HO should change the office of collection as indicated by the RO in case of applications for duplicate ID’s as people change their residential addresses and their preference of a collection office.

10. The RO’s should emphasize to the applicants that the ID documents must be collected within a time to be set by the Division Population Services, as it appears as if some members of the public do not collect their ID’s after they applied for them.

11. The HO should set up a policy for the administration of ID’s. This should be done in consultation with the RO’s, to ensure that the situation at each region is considered and that uniformity in administration of ID’s will ultimately be achieved within all the RO’s. This will amongst others, provide clear guidelines to RO’s in terms of compilation of statistics, revenue collection etc.

12. It is recommended that the Eenhana RO be provided with a safe and all RO’s should keep the safe in the strong room.

13. The capacity of officials need to be built through training, thus the Ministry should provide training for them to be efficient and effective in performing their duties.

14. The Ministry should come up with a strategy or a way of informing the public as far as the purpose and importance of ID’s are concerned. Information brochures and booklets should also be produced and distributed in all regions and made available to the public.

15. Officials should be given job descriptions that explain their duties and responsibilities.
CHAPTER 1

1. INTRODUCTION

1.1 The historical background on the Identity Documents Report

A Performance audit main study on the issuance of ID’s administered by the Division of Population Services within the Ministry of Home Affairs & Immigration was completed in July 2000 and tabled in Parliament on 21 September 2000. It was mandated by Section 26 (1) (b) (iv) of the State Finance Act, (Act 31 of 1991) which reads as follows: (The Auditor-General) “may investigate whether any moneys in question have been expended in an efficient, effective and economic manner.”

The PAC undertook fieldwork from October 2005 to collect information and confirm the findings in the Auditor-General’s report. In March 2006 they drafted their own report to the National Assembly. This report of the PAC identified issues that needed to be followed-up. Hence, the Office of the Auditor-General (OAG) conducted a follow-up audit to evaluate whether the required changes have been made within the issuance of identity documents. The issues that were dealt with include findings which formed part of the initial report of the OAG and issues the PAC identified in their report. These findings and the evidence, conclusions and recommendations thereof, are presented in the chapters that follow.

The Identification of Persons Act, Act 2 of 1979, stipulates that “After the date to be fixed by the Administrator General by proclamation in the Official Gazette, any person in the territory who is of or over the age of sixteen years, shall be in possession of an identity document and shall at the request of any member of the security force produce such ID within such reasonable time and to such person and at such place as such member may specify. Any person who fails to comply with any request under the subsection shall until the contrary is proved, be deemed not to be in possession of an identity document and may be arrested without warrant by the member of the security forces making such request.”

1.2 Design of the follow-up study on the issuance of identity documents

1.2.1 Time and geographical limits

The time-period under review was from the time that the PAC reported its findings to the National Assembly, i.e. 2006, 2007 and 2008.

The team visited the HO as well as the following regions being, Khomas, Oshana, Ohangwena and Erongo Regions for the collection of information. Within these regions, the RO’s of the Ministry of Home Affairs were visited.

1.2.2 Methods of data collection

The following methods were used for the collection of information:

- Interviews were held with officials involved in the application and issuance of ID’s to the public. Randomly selected members from the public (applicants for ID’s) were interviewed.
- Documents related to the issuance of ID’s were reviewed.
- Physical observations were made at the offices which included the application process of ID’s, as well as collection thereof.
CHAPTER 2

2. SYSTEMS OVERVIEW

In this section of the findings the progress on the implementation of recommendations made in the Auditor-General’s audit report tabled on 21 September 2000 is presented. Furthermore, implementation of the recommendations made by the PAC resulting from their visit to the selected regions will also be covered and compared to the current state of affairs at the Ministry of Home Affairs.

The Division Population Services within the Ministry of Home Affairs is responsible for the administration/issuance of ID’s within the 13 regions. The Ministry conducts the issuance of ID’s in terms of the Identification of Persons Act, Act 21 of 1996 as amended in 2001.

2.1 Process at Regional Offices

The follow-up audit found that the applications for ID’s are made at RO’s situated across the country and consist of three steps:

- Completion of personal information of the applicants
  - Pink application form for first applicant
  - Blue application form for data update (change of personal particulars)
  - Duplication form for lost documents

- Taking a full set of fingerprints and measuring applicant’s height
  - Pink form- fingerprints and height
  - Blue form- fingerprints and height
  - Duplicate form- only fingerprints

- Taking the image of the applicant and transporting of images to a memory card to be sent to HO in Windhoek.
  - Pink form- image is taken
  - Blue form- image is taken
  - Duplicate- image not taken

The completed application forms and the memory cards containing the images captured at the RO’s countrywide are transferred to the HO in Windhoek, using courier services.

2.2 Process at HO

At the HO there are three main sections being: Processing and classification, information capturing and production as well as verification and dispatch. Within these three main activities there are sub-activities to be conducted by staff members based at the HO, Division Population Services. Upon arrival at the HO the processing of Identity documents are as follows:

2.2.1 Registration of new applications

The memory card containing the images of application forms is registered at the registry section at the HO and taken from the package received from RO’s and submitted to the ID production section for importing of images to the system.
The registry section then records the range of application numbers, i.e. not every single application and they also record the memory card number as well as the region from which they have received the application forms. They sort the application forms to have the pink applications, which are used for an applicant who applies for the first time, versus the blue ones which are used for updating the data of applicants who already had an identity document.

After registration the application forms are sent for fingerprint verification/identification.

### 2.2.2 Fingerprint verification/identification

The Ministry installed the AFIS system (Automated fingerprint information system) through a process which started in 2000. This system has been fully installed by 2006 and used at the HO only.

The AFIS system allows for the computerized matching of captured fingerprints against stored fingerprints on file. It also allows the Ministry to move from manual verification of fingerprints of applicants to automated verification thereof. The system will identify whether a person is already having a record or not. In case of duplication, the system will reject the fingerprint, i.e. the application form.

### 2.2.3 Citizenship approval

This involves the checking and approval of each applicant’s citizenship as applicants are obtaining citizenship differently, i.e. birth, descend etc.

### 2.2.4 Scanning and image capturing of completed ID application forms

The application forms are scanned to capture the signature, picture as well as the fingerprint of the applicant from the application form onto the system. These application forms will then be sent to the data capturing system at HO to verify the fingerprints of applicants versus the personal details.

### 2.2.5 Data capturing

The application forms are then sent to the data typists to capture the details of the applicant i.e. every detail on the application form which was not captured through scanning. According to interviews at HO one data typist can capture approximately 300 forms per day, depending on the speed of typing. When some information, such as the personal details is omitted, the application form will be sent back to the RO as rejected. After data capturing the application forms will be sent for ID production.

### 2.2.6 ID card production and quality control

- **Computer verification**

  After data capturing the clerks in the card production unit must first check that citizenship as well as fingerprints were approved. Furthermore the names and other personal details on the application forms must be confirmed and that these correspond to the information on the NPRS (National Population Registration System).
• **Production**
If the application forms reach a number of 2000 and not more than 3000 a file will be created on the IMAGO (computerized production system). The Clerk must go through the file to ensure that all the records loaded are there and are without an error. An error list must first be printed to ensure that there are no errors and then submit their file via the system for printing.

• **Printing**
The ID’s are currently printed on an engraver printer called LUCHS 5000. Normally the system can print up to 3000 per printing batch. Currently HO indicated in their report to the PAC that they will strive to print 1500 ID cards per day. However, interviews with staff at the card production indicated that they produce between 1 000-1300 per day. For the statistics on the production of ID’s per annum see Table 1. After printing, the system will automatically sort the ID cards according to regions as each region has a separate code.

• **Quality control**
After printing, the cards are checked for their quality before sending the cards to the Regions. Criteria for checking includes: Checking the quality and colour of the image, size of the card as well as font size of writing on the card. Upon completion of the quality control check, cards are scanned individually at the ID production section for the serial numbers and names after which a dispatch list will be printed which must accompany the ID’s to the regions.

• **Dispatch**
After scanning of the cards and quality check, the application forms are packed and sent with the dispatch list to the respective RO’s. The Ministry of Home Affairs normally makes use of courier services for the transportation of the cards to the regions.
CHAPTER 3

3. FINDINGS

3.1 System & process of applications

According to the recommendations of the PAC, the Accounting Officer within the Ministry of Home Affairs needed to regularize the system & process of applications for national documents, which includes the identity documents for Namibians.

In their response regarding the progress of implementing the recommendations, dated April 2009, to the Office of the Auditor-General, the Ministry indicated that they have embarked upon the automation of various processes which were about to start. In line with their plans they now recruited data typists at their HO and purchased computers. According to the staff establishment for HO there are currently six data typists to capture data of applications received from all the regions. However, the positions for Chief and Senior Data Typists are currently vacant.

The follow-up audit found, according to interviews conducted with staff within the regions visited that the HO does not prescribe a standard system to their offices as to how they should administrate the issuance of identity documents. According to the control officers at different RO’s, their offices function according to common practice in line with their own situation and their own initiative.

Physical observations indicated that the RO’s visited do administrate the application of ID’s in the same manner, with only minor notable differences. For example, at the Eenhana as well as Oshakati Region, staff still makes use of group treatment when administering ID applications. They first complete application forms, let applicants wait, then take their fingerprints and lastly capture images as a group. This is not the case in the Khomas and Swakopmund offices. The audit team observed that the group treatment method prolongs the time that applicants spend in a day at the RO’s, to complete their applications.

The reason for group treatment of applicants is that the staff that completes the application forms is the same staff that conducts the rest of the process, i.e. fingerprint capturing as well as image capturing.

Furthermore, within the Oshakati Region, a cleaner on their staff establishment was trained on-the-job to conduct the fingerprint capturing of applicants after she completed the application forms on behalf of the applicants. According to the Control Officer for this RO, this cleaner never received any formal training to conduct such fingerprint capturing at HO or RO. However according to the Control Officer, this cleaner was selected due the confidence with which she captured the fingerprints, considering no formal training has been provided to her.

3.1.1 Mobile registration of ID documents and birth registration

The Ministry has embarked upon a new exercise to bring the service of acquiring national documents closer to the public.

At the time of the audit, the Ministry had finalized 3 phases within all the regions except the Khomas Region.

According to officials at HO, the mobile exercise for the Khomas Region was postponed since applicants in that region can access their RO easier in comparison with those in other vast and remote regions.
The results through documentary evidence from the first and second phase during the period of 4th November to 22nd of December 2008 were found as follows:

Table 1:  No. of national documents registered during the first phase of mobile exercise:

<table>
<thead>
<tr>
<th>Region</th>
<th>Number of identity documents registered</th>
<th>Number of birth certificates issued</th>
</tr>
</thead>
<tbody>
<tr>
<td>*Ohangwena</td>
<td>1 907</td>
<td>3 483</td>
</tr>
<tr>
<td>Oshana</td>
<td>1 043</td>
<td>874</td>
</tr>
<tr>
<td>Erongo</td>
<td>4 226</td>
<td>1 453</td>
</tr>
<tr>
<td>All 13 regions combined</td>
<td>37 098</td>
<td>18 219</td>
</tr>
</tbody>
</table>

* Note: The Ohangwena Region could only start with their mobile exercise from the 2nd of December 2008 due to transport problems.

Table 2:  The financial implications for the mobile exercise are stated below:

<table>
<thead>
<tr>
<th>Nature of expenditure</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cost of mobile trucks bought</td>
<td>N$ 10 066 410</td>
</tr>
<tr>
<td>Cost of purchasing image capturing equipment</td>
<td>1 400 000</td>
</tr>
<tr>
<td>Repair of Omaheke truck</td>
<td>2 386</td>
</tr>
<tr>
<td>Kavango Truck - Fridge</td>
<td>1 031</td>
</tr>
<tr>
<td>Kavango Truck - Satellite activation</td>
<td>18 680</td>
</tr>
<tr>
<td>S&amp;T - Staff on mobile-period-Nov/Dec 2008</td>
<td>2 732 895</td>
</tr>
<tr>
<td>S&amp;T - Staff on mobile-period-March 2009</td>
<td>3 140 630</td>
</tr>
<tr>
<td><strong>Total expenditure</strong></td>
<td><strong>17 362 034</strong></td>
</tr>
</tbody>
</table>

Note to above table: An additional N$ 41 030.00 for the renting of 4x4 vehicles was funded by UNICEF. The figures in the table above were provided in the reports on mobile registration of ID’s collected from the HO. The figures in the table above only include the expenditure incurred for the mobile exercises which were undertaken up to March 2009. The Ministry is still busy with another phase of registering identity documents and birth certificates through mobile exercises throughout the country.

The Ministry stated in their report to the PAC as well as their reports in the media that their intended period for finalizing an ID document will be 24 days (approximately 1 month). Furthermore, they would strive to produce 1500 IDs per day. However, the audit found that none of the ID’s from the applications that were analyzed during the audit was completed within 24 days (approximately 1 month) after receipt of the application form.

At the time of the audit, the Ministry indicated that they do experience a backlog in the processing of ID’s due to the added workload as a result of the mobile registration. Therefore, the applications made by the public to various offices in the country during the period November/December 2008 were not finalized by May 2009, i.e. the time of the audit. See annexure 1 for details.
3.2 Delays in the completion of identity documents

The issuance of identity documents by the Ministry of Home Affairs currently takes between 3-6 months to be finalized. This delay was part of the findings according to the report of the AG that was initially tabled in September 2000 and according to the media and/or the public. See Annexure 1 for details.

This follow-up audit found that the following facts contributed to the delay in the administration and issuance of identity documents:

3.2.1 Submission of completed application forms

The current practice within the Ministry is that all RO’s forward the completed application forms weekly to the HO for processing of ID’s. The follow-up audit found through interviews with officials at the RO’s visited, that they need to complete journals which need to accompany all completed application forms to be sent to the HO. This journal must contain the application numbers as recorded/derived from the serial numbers of the application form along with the surname and initial/s of the applicants.

These journals must be completed promptly after each day’s application forms have been completed. Each application number accompanied by the name of the applicant must be entered on the journal as these journals will be used to register applications at the HO, upon receipt of such application forms at HO. The physical observations conducted during the follow-up audit found the following:

• Khomas Region

The audit team found a journal which did not contain all application numbers but has been completed and was ready for forwarding to HO. The omission of the application number and subsequent surname and initial of the applicant create a problem of record keeping and a situation whereby the RO as well as the HO will not be able to track/trace the application when the applicants approach the office to enquire about the progress of their applications.

• Oshakati, Eenhana and Swakopmund RO’s only compile the journals at the end of each week when application forms along with the memory cards containing the images of the applicants must be sent to the HO for processing and issuing of the ID.

3.2.2 Payments to courier services

According to interviews from staff at the Swakopmund, Oshakati and Eenhana RO’s, as well as documentary analysis, the forwarding of application forms to HO is delayed due to the fact that HO does not pay the courier services on time. As a result of non-payment, the application forms remain at their offices as the courier services refuse to transfer application forms without payment.

See table 3 below for the number of application forms which were delayed for submission to HO. According to Swakopmund RO the same applies for parcels sent back from HO to the RO.
Table 3: Number of forms which dated back to the week before the physical observation, carried out during the audit, was as follows:

Interviews with staff at the Swakopmund RO indicated that the reason for the large number of application forms present in their office at the time of the audit was that the courier services had not been paid by their Ministry to transport forms to the HO in Windhoek.

<table>
<thead>
<tr>
<th>Regional Office</th>
<th>Date of physical observation</th>
<th>Total number of application forms present at time of audit (1+2)</th>
<th>(1) Number of application forms for previous weeks</th>
<th>(2) Number of application forms for current week</th>
</tr>
</thead>
<tbody>
<tr>
<td>Khomas</td>
<td>18/05/2009</td>
<td>45</td>
<td>8</td>
<td>37</td>
</tr>
<tr>
<td>Swakopmund</td>
<td>12/06/2009</td>
<td>304</td>
<td>265</td>
<td>39</td>
</tr>
<tr>
<td>Eenhana</td>
<td>03/06/2009</td>
<td>159</td>
<td>0</td>
<td>159</td>
</tr>
<tr>
<td>Oshakati</td>
<td>08/06/2009</td>
<td>190</td>
<td>149</td>
<td>41 (only for 08/06/09)</td>
</tr>
</tbody>
</table>

Staff during a physical observation at the Oshakati RO commented that application forms were also delayed due to non payment but also due to the fact that they were awaiting the memory card which was at HO to which they should transport the images of new applications.

3.2.3 Availability of application forms

The follow-up audit found that the RO has to order the application forms for the registration of ID’s from HO. Officials at the RO’s have to ensure reasonable stock levels at all times in order so that application forms are available at all times. Interviews with staff at all the RO’s visited as well as some of the selected members of the public indicated that at least once each year these offices can not administrate ID applications due to the shortage of application forms. Members of the public are turned away from the RO’s when there are no application forms available at the respective RO, HO has run out of forms as well as other RO’s also do not have enough forms to transfer them to where needed. When the public has to be turned away from the RO’s, it delays the whole process for the registration and ultimate issuance of ID’s even more.

Table 4: The stock of unused application forms should be as follows:

<table>
<thead>
<tr>
<th>Regional Office</th>
<th>New application forms (Pink application Forms)</th>
<th>Amendment/duplicate application forms (Blue application forms)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Khomas</td>
<td>3 800</td>
<td>5 000</td>
</tr>
<tr>
<td>Eenhana</td>
<td>1 800</td>
<td>1 300</td>
</tr>
<tr>
<td>Oshakati</td>
<td>* 400</td>
<td>3 800</td>
</tr>
<tr>
<td>Swakopmund</td>
<td>1 000</td>
<td>2 625</td>
</tr>
</tbody>
</table>

* For the Oshakati RO the 400 copies as stated in the table above could be finalized in a short period of time, given the large number of new applicants that they receive daily. This stock level is in contradiction with the interviews with staff at the Oshakati RO which stated that they order new stock when their stock level reaches 5000 application forms. The low stock level will lead to a situation whereby staff will have to turn away the members of the public, when the RO runs out of application forms.
Staff interviewed at the Eenhana RO indicated that they order new application forms when stock levels reach 500 application forms, for Khomas RO it is 200 application forms, while for the Swakopmund RO it is 1000 application forms.

3.2.4 Rejected application forms

The application forms for Eenhana RO as stated in table 3 included one application form that has been rejected at HO which dated as far back as 30/08/2000. Staff indicated that this applicant only came to enquire during the time of the audit (i.e. 01-03/06/2009) and they corrected the error to send the form back to HO for the capturing of the information and printing of the ID. According to staff at this RO, members in their community apply for an ID and then do not enquire within a reasonable timeframe after application, to establish whether the ID is finalized/printed or rejected. Thus, the rejected application form sent back from the HO will remain at the RO’s for months up to more than a year, for staff from the RO’s to correct the error and send it back to the HO. Furthermore, the audit found that some of the rejected application forms present at the time of the audit at the Oshakati and Eenhana RO’s dated back as far as 1994. For the Eenhana RO, the number of application forms present at the RO was 160 in total.

- The Oshakati application forms stated in the table (illustrated in table 3) included one rejected application form which dated back to 27/07/2004, i.e. the date that the application was done. This form was sent from the HO only by 26/10/2005 while they established the reason for rejection being that there was no record of the applicant on the system by 30/06/2005.
- Swakopmund RO also included one application form that dated back to the year 2007.

Those application forms that were rejected had to be sent back from HO to the RO’s where they had to be corrected by staff at the RO. Rejected applications for ID’s can take long at RO’s before the corrections can be made, since some rejections can only be done when the applicants approach the RO to enquire about the progress on their application for their ID.

The most common causes for delays in the correction of rejections are that the RO’s can not get hold of applicants within the remote villages/regions should outstanding/additional information be needed from applicants. Reasons hereto being that applicants in the remote areas do not have access to telephones or other means of contact/communication. To date, the RO’s do not attempt to get hold of applicants whose application forms have been rejected by the AFIS system at HO. Some RO’s indicated that the addresses/contact numbers as supplied by the applicants on their application forms are not always correct.

Furthermore, the follow-up audit found that the HO took on average 2-3 months to send the rejected applications to the RO’s for corrections. However, this period can go up to 10 months according to applications that were analyzed. Reasons being that HO does not properly check at the registry level, i.e. first level of entry of forms received from the RO, when they register the applications whether all information is complete. When they establish the omissions or errors they keep the forms per region, until the forms accumulate. According to HO they can not send a small number of application forms to a specific region since they have to pay the courier services for each parcel. This leads to a delay in the correction of rejected application forms by the regions.

The follow-up audit found the following factors as reasons for rejections:

- Omissions of information on the application form such as height, date and place of birth, no signature of the applicants, etc. These omissions are normally made by the staff at the RO, as they compile the application forms manually on behalf of the applicants. If the applicants do not approach the RO, the officials can not complete the application forms or make the corrections in a reasonable period of time.
• When the personal details, such as surname or date of birth on the application form does not correspond to those on the computer system used by the Ministry of Home Affairs (in case of applicants applying for duplicate ID’s, who already had an South-West African ID with details that differ from those on the new application form.)
• When applicants who had an ID previously, lose their ID and apply for a duplicate which is supposed to be done on a blue/update application form, but instead is made on a pink/new application form which is to be completed only by people who never had an ID before. This application will be rejected due to the fact that the person already had an ID, therefore already has a record on the computer system used by the Ministry of Home Affairs.
• The omissions of the images of the applicant from the memory card sent to HO. The application will be sent back for the RO to re-do the exporting of the image from their camera/system to the memory card which has to be sent to HO along with their weekly applications.
• Duplication of applications whereby applicants apply twice when their application is not finalized within the expected time frame.

Table 5: The statistics of rejected application forms for Eenhana, Oshakati, and Swakopmund Regional Offices visited are as follows:

**Eenhana Regional Office**

<table>
<thead>
<tr>
<th>Financial year</th>
<th>Total rejected forms checked</th>
<th>Forms corrected and printed</th>
<th>Forms not in the rejected file, but ID not printed</th>
<th>Forms in the rejection file awaiting correction</th>
</tr>
</thead>
<tbody>
<tr>
<td>2006/7</td>
<td>31</td>
<td>21</td>
<td>6</td>
<td>4</td>
</tr>
<tr>
<td>2007/8</td>
<td>12</td>
<td>4</td>
<td>1</td>
<td>7</td>
</tr>
<tr>
<td>2008/9</td>
<td>4</td>
<td>2</td>
<td>0</td>
<td>2</td>
</tr>
</tbody>
</table>

**Oshakati Regional Office**

<table>
<thead>
<tr>
<th>Financial year</th>
<th>Total rejected forms checked</th>
<th>Forms corrected and printed</th>
<th>Forms not in the rejected file, but not printed</th>
<th>Forms in the rejection file awaiting correction</th>
</tr>
</thead>
<tbody>
<tr>
<td>2006/7</td>
<td>7</td>
<td>5</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>2007/8</td>
<td>9</td>
<td>4</td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td>2008/9</td>
<td>4</td>
<td>0</td>
<td>0</td>
<td>4</td>
</tr>
</tbody>
</table>
Swakopmund Regional Office

<table>
<thead>
<tr>
<th>Financial year</th>
<th>Total rejected forms checked</th>
<th>Forms corrected and printed</th>
<th>Forms not in the rejection file, but not printed</th>
<th>Forms in the rejection file awaiting correction</th>
</tr>
</thead>
<tbody>
<tr>
<td>2008/9</td>
<td>15</td>
<td>2</td>
<td>7</td>
<td>6</td>
</tr>
</tbody>
</table>

Notes to the table above and the description of the columns which are as follows:

- **“Forms corrected and printed”**

This column indicates that the RO corrected the errors indicated on the application form by HO and sent the application form back to the HO for printing of the ID card. In this case, the applicant did approach the RO upon which the outstanding information was submitted and the corrections were made to the application form. In cases where the staff made a mistake when completing the application form they could have corrected the application form without waiting for the applicant to approach the RO.

- **“Forms not in the rejection file, but not printed”**

These application forms were not found in the rejection file kept by the RO, which is an indication that the corrections were supposed to be made and sent for printing. However, the audit team established from the enquiry system kept by the Ministry that the ID’s for these applications were not printed.

- **“Forms in the rejection file awaiting correction”** means that the correction of the reason for the rejection was not made as the application form was still in the file at the RO at the time of the audit and according to the enquiry computer system, ID’s have not been printed. In this case, the error indicated on the form by HO constituted one that could not be corrected by the RO and the applicant did not approach the RO to provide the outstanding information needed for the correction.

### 3.3 Organization and monitoring in the regions

The Division Population Services at HO should develop and enforce rules on how work in the regions should be organized and monitored, and how reports should be completed for the HO.

Interviews conducted with management within the regions visited indicated that the HO does not formally prescribe a standard system to their offices as to how they should organize and monitor work in the regions. The reporting of the activities and problems within the regions are presented in the form of a report to HO. However, no feedback is sent back promptly to the RO’s. According to the management of the RO’s, this situation discourages them to report annually to HO on proceedings which include important aspects such as needs analysis for training, operational activities as well as operational equipment needed to name but a few, which affect the operations at their RO’s.

Furthermore, interviews with both management and operational staff members in all the regions visited indicated that staff never received job descriptions for them to have specific directions as to what is expected from them as employees within the regions. According to these staff members they did request job descriptions from the Human Resource division based at HO on numerous
occasions but to date of the audit, no feedback was received. This also relates to the uncertainty amongst employees especially those who have to act as cashiers besides their duties as administrative staff responsible to administrate the processing of identity documents at the RO.

This was evident in the interviews made with staff from the Oshakati RO where staff who received letters from the internal auditors based at HO to appoint them as sub-receivers as well as stock control officers. Interviews with staff from the Oshakati RO indicated that they were appointed to handle stock control but then faced problems with the arrangements regarding the handling of keys of the RO as well as of store rooms. Currently the person responsible as stock controller as well as the Chief Control Officer keeps keys to the premises. The arrangement of keys is to be handled properly as the holders of keys will be held responsible for any occurrences which could cause damages or financial losses to the Ministry.

- **Visits by the PS to the regions**

The PAC recommended that the Permanent Secretary of Home Affairs must visit different regions annually to monitor conditions and submit the report to the OAG, especially Oshakati and Eenhana.

According to the feedback received from the Ministry of Home Affairs, the Permanent Secretary visited Oshikango, Eenhana, Rundu and Katima Mulilo RO’s whereby he familiarized himself with the working conditions. However, there is no clear indication of what the objective of these visits was.

Interviews with staff also indicated that top management does not often visit the regions to familiarize themselves with the overall conditions at the various RO’s and not entirely with the intension to review the control or monitoring systems in place at the said regions.

### 3.4 Notification and distribution of completed ID’s

- **Notification**

The Auditor-General recommended that the local media should be used to publish names of persons of whom the ID documents are awaiting collection, indicating the relevant office. However, the follow-up audit found that the Ministry does not use the media to inform applicants as to whether their identity documents have been completed. Most control officers indicated during interviews held at the RO’s visited that they are not aware of any steps that the HO had taken to inform the public whether their identity documents are ready for collection or not.

It was also recommended that HO should provide advice on how the RO’s should make use of counselors, church leaders and traditional leaders to distribute identity documents in constituencies and villages. The follow-up audit found that the HO only proposed that ID’s be distributed through councilors in the different constituencies to ease the burden of high numbers of uncollected ID’s. Therefore this exercise is currently used to some degree, as regions such as Khomas do not make use of councilors on a regular basis. Normally it is school principals who collect the ID’s on behalf of their learners. Swakopmund RO also does not make use of all councilors due to the fear of loosing ID’s. The procedure used is that councilors are taking the ID’s and distribute them but require applicants to put their thumbprint on the proof of registration and sign in the counter book. After distribution the receipts are brought back to the RO for sending them to HO for capturing on the computer system. However the follow-up audit established that the collection details are not captured at the HO.

During physical observations the audit team noted that the staff at the RO’s informs their applicants to collect their identity documents 2-3 months after the date of applications at the office of their
preference/choice. According to interviews conducted with staff at the RO’s visited, the Ministry is currently facing problems in the collection of identity documents. One of the contributing factors is that the data capturing section at HO fails to change the office of collection for applicants who applied for duplicate identity documents. Therefore the duplicate identity documents are sent to the office where they applied for their initial application and not to where they applied for the duplicate in cases where the second application was made at a different office. This situation is one of the contributing factors to the large number of uncollected documents remaining at the RO’s across the country. For the financial year 2008/9 the Ministry had 90 606 uncollected identity documents in their possession which include both new and duplicate ID’s.

- **Distribution of identity documents**

The Division Population Services should issue clear guidelines, to the RO’s, on how identity documents should be distributed.

The follow-up audit found that each RO has unwritten rules on the distribution of identity documents after receipt thereof from the HO. The current requirement for the collection of an identity document is that the applicant must present his/her receipt/proof of application when making enquiries to the RO. The collection officer checks for the identity card amongst the collection of uncollected cards and if the card is present, submits it to the applicant. According to physical observations conducted at the regions visited, the collection officers or staff handling the collection/distribution of identity documents takes only 3-5 minutes. The time spent on searching for an identity document merely depends on the system set up by the RO. The Swakopmund RO arranges uncollected identity documents first alphabetically and then again alphabetically and numerical according to the application number. However, the audit team noted that RO’s such as the Eenhana RO distinguish the ID’s according to new and old ID’s (i.e. applicants who had South West African ID’s). Old ID’s are filed alphabetical by surname and new ID’s by serial number, i.e. application number.

Furthermore, the Eenhana RO does not record the details/particulars of applicants when they collect their identity documents. They only take the receipt from the applicant, request the applicants’ thumbprint, before submitting the identity document to the applicant i.e. without entering their names, date of collection, and signature in a book. Staff from the Eenhana RO indicated that they can not record the collection of ID’s since the HO did not supply them with a big prescribed counter book. Swakopmund RO records the collection details, although in a smaller book/register. Oshakati RO keeps collection details for ID’s in the big prescribed counter book. HO does not process the dates of collection on the NPRS system. Furthermore as books have not kept for collection, the audit team could therefore not establish the full period from application to the date of collection.

The AG recommended in his report of the year 2000, that a special counter should be arranged for collection of ID documents. The follow-up audit found that for all regions visited special queues were arranged for collection of ID’s. Khomas and Swakopmund RO’s have separate counters for collection.

**3.5 Verification function**

The AG recommended that the capacity of the verification function should be increased. According to the Ministry this has improved due to the introduction of the AFIS system. The audit found that the Ministry still prints ID’s with wrong particulars as the particulars of applicants as per the application form does not correspond with those on the ID card. Firstly, the staff at the regional level still mixes the applicants images with those of others i.e. staff does not always ensure that the image and personal particulars of the applicants match. Secondly, data capturers capture names and gender of applicants incorrectly. Lastly, the card production section at HO is responsible for final
verification and they are the ones to finally check before they send their computer file through for printing of ID’s on the system.

### 3.6 Collection and depositing of revenue

The PAC recommended that the Accounting Officer urgently advises his officials at RO’s on the provisions of the State Finance Act and Treasury Instructions regarding collecting revenue and depositing of revenue into bank accounts. According to the report of the PAC (March 2006), the team noted with great concern that officials only make bank deposits once a week as instructed by the HO.

The Oshakati RO does the banking the next day, Swakopmund RO is done daily, while Eenhana RO on instruction from HO deposits the money weekly, on Thursdays.

Swakopmund and Oshakati RO’s are having a safe to keep the money when depositing is not done while Eenhana RO does not have a safe. The Khomas RO does not collect revenue as the collection of revenue is done at the HO. Both RO’s that collect revenue have strong rooms and it’s only the Swakopmund RO that keeps the safe in the strong room. The Oshakati RO keeps the safe in the office of the Control Officer even though they have a strong room, while Eenhana RO keeps money in a drawer, in the office of the clerk that is responsible for collecting revenue, even though they also have a strong room.

### 3.7 Training/Capacity building

It was recommended by the PAC that the Accounting Officer embarks upon extensive training of staff especially front-office staff in order to be more efficient.

According to feedback received by the OAG, training has been conducted. The Ministry of Home Affair and Immigration is moving towards E-Governance and they also conducted training in International Computer Driver’s License (ICDL) to equip staff members with the necessary skills.

Interviews conducted at the RO’s that were visited and also at the HO, indicated that they never received training and there are no future plans as far as training is concerned. Furthermore interviews in the regions indicated that requests have been made to the HO for staff to be trained and be equipped with necessary skills to administrate the work in the regions, but the RO’s never received any feedback.

According to the interviews conducted at Swakopmund RO, since the 2001/2002 financial year there was no training other than that for the operation of the image capturing machine. The Control Officer and the Chief Clerk were the only officials formally trained.

Furthermore interviews indicated that the rest of the officials in the RO’s visited only received on-the-job training for all the activities which include administration of fingerprint capturing as well as image capturing. Officials assigned with the responsibility of a sub-receiver of revenue (cashier) did not receive training. This may result in the receipt and deposit book not being completed correctly. The attempts from the RO to minimize errors are done by way of having meetings whereby they identify and address problems. The documents reviewed indicated that the RO’s are requesting training but HO does not arrange training.

### 3.8 Purpose and importance of identity documents

The AGs’ report had recommended that the Ministry of Home Affairs should make the purpose and importance of identity documents clear to the public. The feedback received by OAG from HO,
regarding the implementation of recommendations indicated that the Office of the Permanent Secretary in conjunction with the Public Relations Officer of the Ministry participated regularly on talk shows and radio programmes. The document also stated that information campaigns were run in the printed media to encourage the public on the importance of having identity documents.

According to interviews at the HO, nothing much was done as far as information on the purpose and importance of identity document is concerned as no information booklets were printed.

The interviews at the Swakopmund RO state that, they once had an educational program to educate the public which was their own initiative, as HO does not take any action.

Interviews with staff from the Oshakati RO indicated that they once had an educational campaign sessions on the radio informing the public on the importance of having an ID, who can apply for an ID and what they need to have when they want to apply for an ID. This was an effective exercise as the number of applications has increased.

The RO’s only provide information to the public when they apply for the ID’s. The officials first explain to the public before they start with the administration of ID’s as to what documents are required for an ID. In the absence of the required documents, the public will be sent back to acquire the appropriate documents.

3.9 Recordkeeping/statistics on identity documents

The RO’s should keep statistics of identity documents available in the office as well as the number of identity documents distributed and this information should be availed to HO on a monthly basis. This would enable HO to properly monitor progress and productivity.

The follow-up audit found that RO’s compile statistics on IDs collected and IDs on hand on a monthly basis and only send statistics to the HO at the end of the financial year for the whole financial period. Due to lack of standards, the RO’s do not send monthly reports to HO and the period for compiling statistics is not prescribed (i.e. some are compiled according to financial year and some according to calendar year). Statistics on ID’s compiled by regions are illustrated in tables 6 and 7 below.
Table 6: ID statistics for the financial year 2006/7-2008/9

<table>
<thead>
<tr>
<th>Regional Office</th>
<th>Financial year</th>
<th>ID cards collected</th>
<th>ID cards on hand</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oshakati</td>
<td>2006/2007</td>
<td>13 236</td>
<td>10 536</td>
</tr>
<tr>
<td>Eenhana</td>
<td>2006/2007</td>
<td>6 071/8 834</td>
<td>7 514/7 698*</td>
</tr>
<tr>
<td>Swakopmund</td>
<td>2006/2007</td>
<td>12 354</td>
<td>5 305</td>
</tr>
<tr>
<td>Windhoek</td>
<td>2006/2007</td>
<td>26 965</td>
<td>19 200</td>
</tr>
<tr>
<td>Oshakati</td>
<td>2007/2008</td>
<td>12 887</td>
<td>7 982</td>
</tr>
<tr>
<td>Eenhana</td>
<td>2007/2008</td>
<td>7 785/9 542</td>
<td>5 704/5 053*</td>
</tr>
<tr>
<td>Swakopmund</td>
<td>2007/2008</td>
<td>7 296</td>
<td>6 784</td>
</tr>
<tr>
<td>Windhoek</td>
<td>2007/2008</td>
<td>21 594</td>
<td>16 183</td>
</tr>
<tr>
<td>Oshakati</td>
<td>2008/2009</td>
<td>5 750</td>
<td>7 703</td>
</tr>
<tr>
<td>Eenhana</td>
<td>2008/2009</td>
<td>5 579</td>
<td>3 635</td>
</tr>
<tr>
<td>Swakopmund</td>
<td>2008/2009</td>
<td>8 464</td>
<td>7 181</td>
</tr>
<tr>
<td>Windhoek</td>
<td>2008/2009</td>
<td>22 584</td>
<td>18 194</td>
</tr>
</tbody>
</table>

*In the table above, the figures for Eenhana reflect two different figures due to fact that the report received from HO contradicts the figure indicated in the register held by the RO.

Table 7: Statistics for ID’s produced within all the regions

<table>
<thead>
<tr>
<th>Period</th>
<th>No of ID production</th>
</tr>
</thead>
<tbody>
<tr>
<td>January - December 2006</td>
<td>188 213</td>
</tr>
<tr>
<td>January - December 2007</td>
<td>96 855</td>
</tr>
<tr>
<td>January - December 2008</td>
<td>73 561</td>
</tr>
</tbody>
</table>

The table above reflects the statistics for ID’s produced/printed at the HO which include all regions. The Ministry can not print a report from their NPRS system per region, thus the statistics above could not be reflected per region.

3.10 Allocation of tasks

Specific tasks should be clearly allocated to each official, e.g. his or her main task is to issue birth certificates. However if there are no applicants to be served at any given time, he or she should assist with other tasks.

According to the feedback from the HO regarding the collection and depositing of revenue, the Permanent Secretary has identified some staff members in the regions to act as sub-receivers of revenue.

The feedback further stated that the Ministry of Home Affairs and Immigration always assigns internal auditors to go and inspect the depositing of revenue as well as the accuracy thereof.

Officials that were appointed as sub-receivers of revenue received letters that state that they are being assigned with the responsibility of a sub-receiver of revenue. However, according to interviews the letters did not clearly stipulate the responsibilities of sub-receivers. The sub-receivers then had to rely on the information regarding the rules for revenue collection, provided to them by the internal auditors during their inspections in the regions.
Furthermore the interviews added that the tasks within the RO’s are being rotated in the following ways:

At the Swakopmund RO, the tasks are rotated on a weekly basis. At the Oshakati RO, tasks are rotated after three months and at the Eenhana RO, tasks are not being rotated. However, if there are no more applicants to serve at any given time, they assist with other tasks.

Furthermore, the follow-up audit found that officials at the RO’s visited are not issued with their job description and therefore they do not know what their responsibilities are.

3.11 Permanent resident permits

The PAC recommended that the Ministry of Home Affairs initiates stricter control over the issuance of permanent residence permits to immigrants.

The follow-up audit merely concentrated on the Division of Population Services which does not administer the permits. When applicants approach the RO’s staff merely advises them on the documents required to acquire such permit and then refer them to the nearest immigration office where such permits are currently being administrated.

3.12 Alleged corruption

The PAC recommended that accounting officers should introduce and brief officials on the Anti-Corruption Act.

According to the Ministry of Home Affairs in their correspondence to the OAG indicated they did distribute pamphlets amongst staff members. A Code of Conduct has also been drafted which will be introduced and they also planned to invite the Anti-Corruption Staff to brief staff on the Act. However, the follow-up audit found that all staff interviewed in the regions have never seen pamphlets and never attended sessions on the Anti-Corruption Act. Most interviewees indicated that they only got information from the local media regarding the function of the ACC and never received information about the ACC in their offices.
CHAPTER 4

CONCLUSIONS

1. The implementation of the recommendation of the PAC, advising the Ministry to automate various processes as well as to increase the verification function has been started, but the effects are not reflecting the efficiency of the operations of national documents. Although the Ministry has employed numerous resources, both human and financial into the implementation of the AFIS system, the production of ID’s still takes more than the 24 days set as a standard by the Ministry to finalise an ID from the date of application to the date of printing. This is due to the fact that the processing of ID’s after the registration of ID applications still did not improve. The manual verification of application forms by the ID production unit after the data capturing was done, still takes time.

2. The follow-up audit concluded that the 24 working days set by the Ministry for completion of the ID’s are unreasonable and questionable, given that no ID’s have been completed in that time frame.

3. The delay for the processing of identity documents was 6 months as stated by the OAG’s main report. The result from the follow-up audit indicated that currently it still takes between 3-6 months. The Ministry has moved from the manual reading/verification of fingerprints to the automation through AFIS. Staff in the regions who are supposed to administrate the capturing are not trained as fingerprint officers and therefore fingerprint capturing still has errors and when sent to HO the AFIS system will reject such fingerprints.

4. Although the bigger part of the delay of the issuance of ID documents is at HO, the delays at the RO’s still add on to the ever existing delay. Major contributing factors are that of the handling of rejections as well as late submission to the HO. Late submission is mainly caused by HO not paying for the courier services to transport parcels timely, also HO takes long to send the rejections to RO for corrections. When the rejection is received at the RO it takes months to years to correct the errors and send it back to HO. HO does not undertake proper efforts to send rejections within a reasonable time frame to RO’s.

5. Vacancies in the data capturing division contribute to the numerous errors made when capturing the ID documents. This is attributed to the fact that the small number of individuals must capture the data received from all the 13 regions and they are therefore overloaded with work. When errors are not corrected by the ID production division at HO, these errors are printed on the cards which results in redundant cards which have to be destroyed, ultimately wasting resources of the State.

6. Errors on the application forms are directed to the staff at RO as they are the ones to complete the application forms on behalf of the applicants. If they make mistakes, those mistakes will be rejected by the system, ultimately causing delays when the application form has to be sent back to RO’s.
7. Rejections that remain unchanged at the RO, are a result of a lack of an information system whereby the RO’s could track the applicants if and when information is needed to correct errors on their application forms. RO’s do not enforce that applicants state their contact numbers where they can be reached when their application forms are rejected. The audit team concluded that the Ministry is not taking any initiative to deal with the problem of rejections, judging by the large number of rejected application forms found at the time of the audit.

8. The high number of uncollected ID’s is a result of the non-implementation of the recommendation made by the AG to publish the names of the applicants in the local media for the collection of their ID’s. Also, the fact that councilors are not reliable to take proper ownership in the distribution of ID’s in the Region, resulted therein that the Division Population did not properly implement the recommendation on the using of councilors and church leaders. These officials were not trained and informed on how to properly administrate the distribution of ID’s.

9. The number of uncollected identity documents is still increasing even though the statistics are been availed to the HO which would enable HO to properly monitor progress and productivity and come up with a measure on distribution of identity documents to the public which will minimize the number of uncollected identity documents.

10. The purpose and importance of an identity document which is not made clear to the public, is contributing to the increase of the number of uncollected identity documents.

11. Data typists at HO do not ensure that they change the office of collection as stated by the RO staff in case of applications for duplicate ID’s, thus ID’s go to the original office of collection and not the preferred stated office of collection. This then attributed to the number of uncollected ID’s as the ID’s are sent to the old place of collection in cases where an applicant has moved to a new town/city.

12. There is currently no policy set by the HO for the administration of ID’s within the regions. The lack of such policy resulted in the following problems:

   o An inconsistency exists in the compilation of statistics of identity documents collected and on hand i.e. at times monthly but also annually.
   o There is no uniformity as far as revenue collection and the safe keeping of revenue collected is concerned. Revenue collected is not being safely kept especially at the Eenhana RO. This may result in the revenue collected being lost.
   o The controlling and monitoring of progress by the HO within the 13 regions may be complicated.

13. There is a possibility that the public will not receive their identity documents in time as the processes of an application is longer than it is supposed to be. This is due to the fact that officials are not efficient and effective in carrying out their duties as result of lack of capacity building and training. The results of inefficiency are as follows:

   o Applications for ID’s can be rejected due to the poor quality images, fingerprints etc.
   o Service delivery to the public is also jeopardized and citizens will not have a Namibian document to identify themselves e.g. for banking purposes, application for jobs etc.
14. The Ministry is reluctant in implementing the recommendations of the AG. The public will remain not knowing the purpose and importance of possessing identity documents. The RO’s are doing their best in informing the public what the purpose and importance of identity documents are.

15. Officials do not have job descriptions that explain their duties, resulting in them not being clear on their responsibilities.

RECOMMENDATIONS

1. The Ministry of Home Affairs should come up with measures to speed up the verification function as it still did not improve. This should be done in line with their standard period set at 24 working days. Also the Ministry should re-consider the time frame of 24 days as it seems unrealistic.

2. Staff that should administer the fingerprint capturing at the RO’s must be trained on the AFIS system. Also the RO’s should only use staff who is trained to administer fingerprint capturing to minimize errors.

3. Submissions to HO should be made every week by the Regions to avoid a delay of processing at HO. HO should ensure that the memory cards for capturing the images at the RO are sent with courier services at least a day after the data was loaded on their system at the ID production.

4. HO must budget properly in order to make prompt payments to the courier services for the timely transportation of parcels containing documentation to and from the RO’s.

5. The vacancies at the Data Capturing section at the HO should be filled, to decrease the workload and at the same time to ensure proper monitoring of operations at that section.

6. The staff at the RO’s must make sure to capture the correct personal details of applicants when completing the application forms to reduce the number of forms rejected by HO due to errors or omission of details at RO’s. At the same time HO should make sure that they indicate the correct reason for the errors on the application form when sending it back to RO’s.

7. The Division Population should consider addressing rejections as follows:

   a. It is reasonable to state that HO can not send rejected forms one by one to the RO’s country wide, but HO should refrain from keeping the rejected application forms for months at its office.

   b. Contact details of the applicants should be made compulsory and if they do not have them, they should be requested to provide details of another person close to them. These contact details should be used to contact the applicant on time should RO's find that an application is rejected due to an error/omission on the application form which only the applicant can provide. RO’s should put notices in place to inform the public that their contact details on the application form is crucial.
8. The Division Population Service should publish the names of applicants to collect their ID’s if an ID has been lying for more than 2-3 months after receipt from the HO in the local media, to deal with the high number of uncollected identity documents. RO’s should send a list of names to the Councillor’s offices for the collection of ID’s and the public must be informed that ID’s will be available at the RO and thereafter at the Councillor’s office.

9. In cases of applications for duplicate ID’s, data typists at HO should change the office of collection as indicated on the application forms by the RO, in order to decrease the number of uncollected ID’s.

10. The RO’s should emphasize to the applicants that the ID documents must be collected within a time to be set by the Division Population Services, as it appears as if some members of the public do not collect their ID’s after they applied for them.

11. The HO should set up a policy for the administration of ID’s. This should be done in consultation with the RO’s, to ensure that the situation at each region is considered and that uniformity in administration of ID’s will ultimately be achieved within all the RO’s. This will amongst others, provide clear guidelines to RO’s in terms of compilation of statistics, revenue collection etc.

12. It is recommended that the Eenhana RO be provided with a safe and all RO’s should keep the safe in the strong room.

13. The capacity of officials need to be built through training, thus the Ministry should provide training for them to be efficient and effective in performing their duties. The Ministry should also come up with future plans as far as training/capacity building is concerned and this needs to be communicated to all RO’s. The HO should give feedback regularly to the RO’s on their training requests.

14. The Ministry should come up with a strategy or a way of informing the public as far as the purpose and importance of ID’s are concerned. Information brochures and booklets should also be produced. Once the brochures are produced, they should be distributed in all regions and made available to the public.

15. Officials should be given job descriptions that explain their duties and responsibilities.

COMMENTS BY THE MINISTRY

The draft report was discussed with the Permanent Secretary who challenged the correctness of the information in Annexure 1. Evidence provided by the Ministry indicated that Annexure 1 is not materially misstated as confirmed by Annexure 3. A formal response was requested but when finalising the draft report it was not yet received.
The tables below illustrate the period over which the Ministry completed the ID’s from date of application to the date that the documents were printed.

**Total completion: Date of application to date of printing**

<table>
<thead>
<tr>
<th>Financial year</th>
<th>Ohangwena (Eenhana)</th>
<th>Erongo (Swakopmund)</th>
<th>Khomas Region</th>
<th>Oshana (Oshakati)</th>
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<td>Period (in months)</td>
<td>No. of applications</td>
<td>Period (in months)</td>
<td>No. of applications</td>
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<td>1 - 3</td>
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<td>2008/9</td>
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**Duration 1: Date of application to date of citizenship approval**

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<th>Erongo (Swakopmund)</th>
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<th>Oshana (Oshakati)</th>
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<tbody>
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<td>Period (in weeks)</td>
<td>No. of applications</td>
<td>Period (in weeks)</td>
<td>No. of applications</td>
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Duration 2: Date of citizen approval to computer verification

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<td>Period (in weeks)</td>
<td>No. of applications</td>
<td>Period (in weeks)</td>
<td>No. of applications</td>
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<td>8 of 16</td>
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Duration 3: Date of computer verification to submission for printing

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<td>Period (in weeks)</td>
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ANNEXURE 1 (continued)

Duration 4: Date of submission for printing

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Duration 5: Date received at RO

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<td>Region</td>
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<td>Duration between the application date and the date Id was printed (in months)</td>
<td>Duration between application and citizenship-approval</td>
<td>Duration between computer verification and citizenship-approval</td>
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### Average Card Production Turnaround

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<th>Period</th>
<th>Average Card Production Time in Days per Card</th>
<th>Number of Cards Produced in Period</th>
<th>Total Card produced within 30 days</th>
<th>Percentage of ID’s Produced within 30 days</th>
<th>Number of Cards produced for Khoonas Region</th>
<th>Percentage of Cards produced for Khoonas Region</th>
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</thead>
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<td>90</td>
<td>113824</td>
<td>25515</td>
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<td>6.9%</td>
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<tr>
<td>2007/2008</td>
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<td>56551</td>
<td>13564</td>
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<td>782</td>
<td>1.3%</td>
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