

Report on the Evaluation of Service Delivery at the Department of Home Affairs: Visa Applications and Port Control



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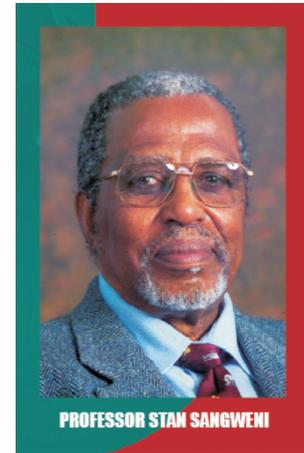
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Foreword

The FIFA Soccer World Cup event will be hosted by South Africa in 2010. Given that this is the second largest sporting event in the world (the first being the Olympics), South Africa can expect many visitors into the country. South Africa's readiness to receive the expected visitors and their experience within the country will have a huge influence on, amongst others, future tourism and foreign investment. State institutions will play a critical role in the preparations, the actual hosting and in efforts to sustain the positive impact of the event beyond 2010.



The Department of Home Affairs (DHA) is one of the departments that have a critical role to play towards the successful hosting of this event, especially given that visitors' first experience of South Africa will be through interaction with it and, depending on the nature of this experience, will leave them with an impression of the country and its people. The effectiveness and efficiency with which the Department facilitates the entry into and the exit of visitors from the Republic of South Africa will be key in creating a positive perception amongst foreign visitors.

In 2008 a key focus of the PSC has been to assess the state of readiness of the Public Service for 2010 and beyond. It is within this context that the PSC undertook a study to evaluate the visa applications as well as port control processes of the DHA. These are likely to be key services the Department will render to prospective visitors.

I am pleased to present this report on an Evaluation of the Department of Home Affairs' Service Delivery in terms of Visa Applications and Port Control Services. The report provides valuable information on the Department's state of readiness in terms of these services as well as an overview of the innovative plans the Department has made in preparation for 2010.

I trust that the findings and recommendations contained in this report will contribute further towards improving the state of readiness of the DHA to meet the challenges of 2010.

A handwritten signature in black ink that reads "Sangweni".

PROF SS SANGWENI
CHAIRPERSON: PUBLIC SERVICE COMMISSION

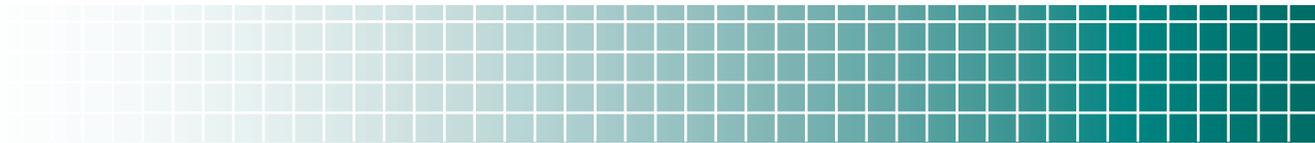


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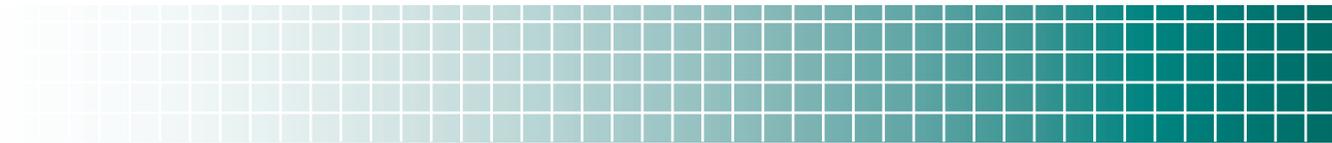
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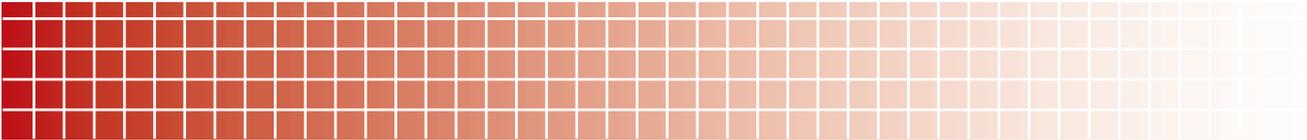
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LIST OF ACRONYMS

| | |
|-------|----------------------------------------------------------|
| ALOs | Airline Liaison Officers |
| API | Advanced Passenger Information |
| APP | Advanced Passenger Processing |
| AU | African Union |
| BCOCC | Border Control Operational Coordinating Committee |
| DAR | Departmental Annual Report |
| DHA | Department of Home Affairs |
| DOA | Department of Agriculture |
| DOH | Department of Health |
| FIFA | <i>Federation Internationale de Football Association</i> |
| IST | Interim Support Team |
| JCPS | Justice, Crime Prevention and Security (Cluster) |
| LOC | Local Organising Committee |
| MCS | Movement Control System |
| NIA | National Intelligence Agency |
| PAs | Performance Agreements |
| PoE | Port of Entry |
| PSC | Public Service Commission |
| SADC | Southern African Development Community |
| SANIA | South African National Intelligence Agency |
| SAMP | South African Migration Project |
| SAPS | South African Police Service |
| SARS | South African Revenue Services |
| SITA | State Information Technology Agency |
| TAP | Turnaround Programme |
| TBCSA | Tourism Business Council of South Africa |
| VIP | Very Important People |



Executive Summary

BACKGROUND TO THE STUDY

South Africa will be hosting both the 2009 Federation Internationale de Football Association (FIFA) Confederation Cup and the major soccer event on the international calendar, namely, the 2010 FIFA Soccer World Cup. The 2010 Soccer World Cup Tourism Organising Plan¹ estimates that approximately 445 000 foreign visitors will enter the country to attend each of the two events. Given the size of the event and its socio-economic considerations, state institutions play an important role in efforts to ensure the successful hosting of the event and to sustain the positive impact of the event beyond 2010. The Department of Home Affairs (DHA) will play a critical role in the hosting of these major events. Not only is it required to process the legal entry of the many tourists expected in the country, but in most likelihood it will be the first interaction that visitors will have with the country.

Given the PSC's focus on assessing the state of readiness of the Public Service for 2010 and beyond, it decided to assess the visa application and port control processes of the DHA. The PSC's broad aim of this evaluation was to make recommendations to the Department about the effective and efficient processing of visa applications and control of movement of people across the South African borders before, during and after the abovementioned Soccer events.

OBJECTIVES OF THE STUDY

The main aim of the project was to evaluate the effectiveness with which the DHA manages the applications for visas as well as Ports of Entry, and to make recommendations to promote the effectiveness and efficiency of these processes.

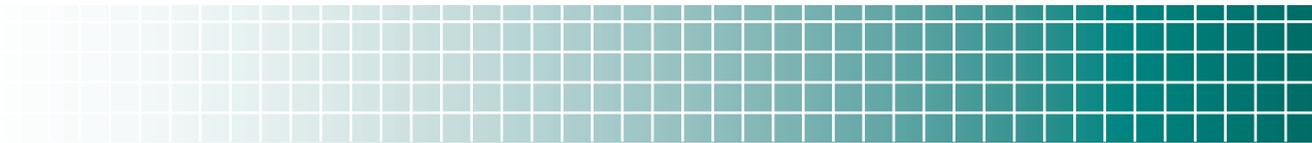
The specific objectives of the project were to:

- Assess the quality of current service delivery by the Department of Home Affairs in terms of visa applications and admitting foreign visitors into the country at Ports of Entry.
- Assess the degree to which the Department of Home Affairs has put in place plans, programmes, processes and systems to effectively and efficiently manage the visa application and foreign visitor admittance processes in preparation for the 2009 FIFA Confederation Cup and the 2010 FIFA World Cup events.
- Assess whether these plans, programmes, processes and systems will contribute to the effective and efficient management of the visa application and foreign visitor admittance processes.
- Establish how the implementation of these plans, programmes, processes and systems is monitored.
- Identify the challenges and constraints experienced by the Department in implementing these plans, programmes, processes and systems.
- Provide feedback on progress with the implementation of relevant recommendations from previous PSC reports on the Department.

SCOPE OF THE STUDY

The scope of the study included the Visa Applications and Port Control Services of the Immigration Branch of the DHA. These two functions of the DHA are central to the management of the movement of foreign visitors into the Republic of South Africa.

¹ Republic of South Africa. Department of Environmental Affairs and Tourism. 2010 Soccer World Cup Tourism Organising Plan. 2005.



METHODOLOGY

The processes followed in conducting this study included a literature review of key documents, development of semi-structured questionnaires, interviews with relevant persons from DHA, *in loco* inspections of selected Ports of Entry.

SAMPLING

The study applied a purposive sampling procedure. Attention was given to the ports that would be most critical for the entry of people into South Africa for attending both the 2009 Confederation Cup as the 2010 Soccer World Cup events. The DHA provided the PSC with a list of all Ports of Entry and a representative sample was drawn from the list. The sample included five (5) Land Border Posts shared with each of South Africa's neighbouring countries (except with Namibia²). Four (4) airports were also included in the study.

Document Review

A review of all available information on the immigration function of the DHA was undertaken. Documents such as the Department's Annual Report (DAR), the Strategic Plan for 2005/06 – 2009/10, departmental web-sites, speeches by various role players such as the Minister and the Director-General of Home Affairs to identify challenges related to the areas included in the scope and progress the Department has made in addressing these, were reviewed. Reports on the Department by various intervention teams were also studied.

Data Collection Instruments

Two semi-structured questionnaires were developed to serve as data collection tools. One tool was to collect data from managers of the Home Affairs offices at Ports of Entry and another tool to collect data during the interviews with Provincial Managers of the Department. The data collection instruments for use during the interviews with managers at the PoEs and the Provincial Managers sought to establish, among others, the progress with preparations for the 2010 FIFA World Cup, the extent of the involvement of the PoE management in these preparations and the challenges that are being faced.

Interviews

In-depth face-to-face interviews were conducted with managers of the identified Ports of Entry and with the Provincial Managers responsible for the sampled Ports of Entry.

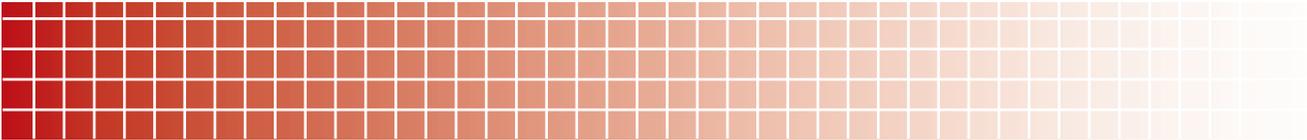
Unannounced *In Loco* Inspections at Ports of Entry

Unannounced *in loco* inspections were carried out at the selected Ports of Entry. During unannounced *in loco* inspections, the selected Ports of Entry (Land Ports of Entry and airports) were not alerted about the visits. The main aim of the unannounced *in loco* inspections was to determine the Department's current performance and to establish the level of courtesy with which customers are handled.

Data Analysis

Data analysis commenced with a process of organising data into key themes and sub-themes. The themes were developed according to the objectives of the study.

² Ports of Entry from Namibia were not included in the study because of the small proportion of the soccer fraternity that is expected to enter South Africa through any of the land border posts shared with Namibia, especially because Kimberley is not a host city for any of the two events.



LIMITATIONS OF THE STUDY

The following limitations were identified during the study:

The project team could not secure interviews with all relevant programme managers in the Department because key posts in both Visas and Port Control services were vacant. Some senior managers were also not available as a result of other official commitments.

The verification of information was hampered in some instances by the Department's inability to release documents because they were regarded as confidential in the sense that at the time of the study their content was not yet for public consumption.

KEY FINDINGS

The following are the key findings of the study:

Delays are experienced in the visa applications and port control processes

Delays in the visa applications process are experienced as a result of incomplete visa applications and not as a result of inadequate capacity on the side of the Department. The study also found that there is a lack of proper queue management systems at PoEs. The absence of such queue management systems often leads to uncertainty amongst service users, regarding which queue to stand in.

The Department has put in place plans in preparation for the 2009 and 2010 FIFA World Cup events

It was found that the Department has developed detailed integrated plans (covering all relevant programmes such as visa applications and port control) with regard to the 2009 and 2010 FIFA events. The plans address the following critical priorities:

Infrastructure development

The Department plans to introduce a system that will allow the sharing of airline passenger data to facilitate the pre-screening of passengers prior to their departure or arrival. The Department is also working closely with the Border Control Operational Coordinating Committee (BCOCC) to ensure that the basic infrastructure at the Ports of Entry is in place and maintained.

Strengthening human resources capacity

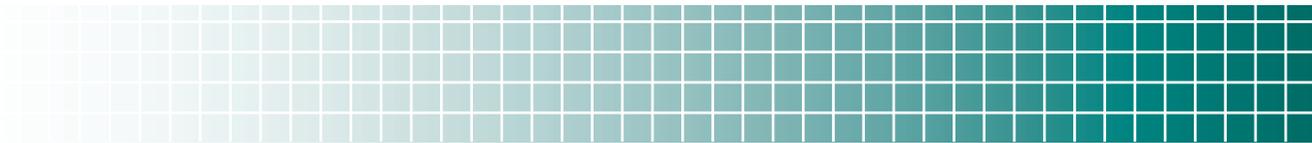
The Department is faced with critical challenges in the area of human resource management and capacity. These include a high vacancy rate and posts that are not properly graded, among others. In order to address these and other challenges in preparation for 2010, the Department has developed human resource plans.

Improving business processes

The effectiveness of the current business processes of the Department is uneven, with visa applications being managed better while the port control processes still manifest key weaknesses.

Promoting communication

All the efforts of the Department towards delivering improved services during the 2010 FIFA World Cup may not amount to much unless they are accompanied by an effective awareness raising campaign which informs the public about what is available as well as their responsibilities.



The Department has made progress in the implementation of the plans for 2010

According to progress reports to the Inter-Ministerial Committee on 22 October 2008³, the Department was on track in its implementation of critical measures to ensure its readiness to effectively and efficiently facilitate the movement of the estimated numbers of foreign arrivals at Ports of Entry in 2010. The study found the following:

The Department has put in place mechanisms for monitoring the implementation of plans for 2010

The Department has, with the assistance of the Turnaround Programme (TAP), put plans in place to address most of the challenges it has identified in its preparations for 2010. However, no system could be identified at the offices visited that would be effectively and efficiently monitoring the plans and the impact such plans will have on service delivery and the performance of the PoEs.

There are still challenges and constraints experienced by the Department in implementing the plans for 2010

The Department is still experiencing challenges and constraints in implementing plans for 2010. These challenges include the huge number of visitors expected during 2010, the expected increase in visa applications and the expected increase in Inspectorate functions.

RECOMMENDATIONS

The study identified areas that need to be addressed to ensure that the Department succeeds in its preparations for 2010 as well as its current turnaround attempts. The following are the key recommendations of the study:

Process guidelines in terms of new processes should be available at ports of entry

Although it was indicated that Immigration Officers will undergo training in terms of all the new processes and systems applicable to the different offices (Land Border Posts and Airports), the Department should ensure that the necessary procedure manuals and guidelines are available at the Ports of Entry where the processes and systems are introduced. This will ensure consistency and efficiency in the way customers are handled at these offices.

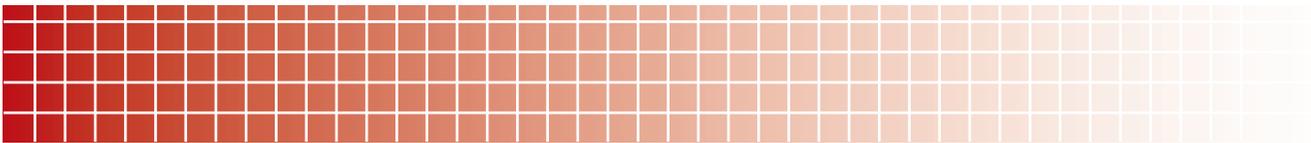
Immigration services should be declared critical services

Immigration services have become specialised services and Immigration Officers also undergo special training. The effectiveness and efficiency with which these services are carried out during the FIFA events will have a definite impact on the overall success of South Africa hosting the events. It is, therefore, imperative that these services be declared critical services and that the necessary dispensation for Immigration Officers is introduced to ensure that unforeseen strikes amongst them do not debilitate the Department's Immigration Services during and after the 2010 FIFA event.

A proper monitoring and evaluation system should be introduced

A proper monitoring and evaluation system should be introduced to provide management with reliable and up-to-date information on the performance of programmes, including the two programmes under review in this study, namely, Visa Applications and Port Control Services. The system should further enable the Department to track progress with the implementation of plans (including recommendations of previous intervention teams).

³ Republic of South Africa. Department of Home Affairs. Report to the 2010 Inter-Ministerial Committee. 22 October 2008.



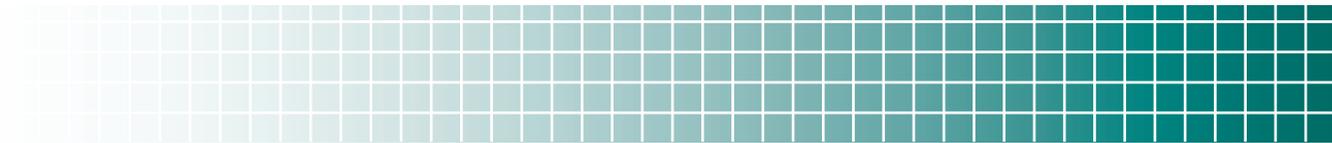
There should be a focused leadership drive to ensure the implementation of the turnaround plans

It was noted that the Department has introduced measures to address many of the leadership and management issues identified in previous interventions and seems to have started employing top managers with the necessary vision, skills and commitment that can drive the change processes towards ensuring improved service delivery in preparations for 2010 and beyond. It is, however, not evident that this drive is being filtered down to the rest of the senior management team as well as lower level officials. Ensuring that all managers understand their specific role in the implementation of the turnaround plans and capturing their responsibilities in this regard in their performance agreements, will help ensure that the necessary changes are effected and the plans are fully implemented.

The responsibility for the performance of a port of entry should be shared between the departments involved

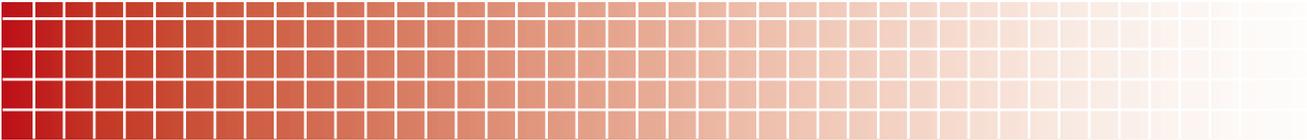
The Border Control Operational Coordinating Committee should establish a subcommittee to address issues of integrating service delivery and sharing responsibilities for the performance of PoEs. Only when all the role players at a Port of Entry take full responsibility for the functions that they are mandated to perform, will it succeed in facilitating the effective and efficient movement of goods and people across the border.





Chapter One

Introduction



1.1 BACKGROUND TO THE STUDY

South Africa will be hosting both the 2009 Federation Internationale de Football Association (FIFA) Confederation Cup and the major soccer event on the international calendar, namely, the 2010 FIFA Soccer World Cup. The 2010 Soccer World Cup Tourism Organising Plan⁴ estimates that approximately 445 000 foreign visitors will enter the country to attend each of the two events. Given the size of the event and its socio-economic considerations, state institutions play a critical role in efforts to ensure the successful hosting of the event and to sustain the positive impact of the event beyond 2010.

The Department of Home Affairs (DHA) will play a critical role in the hosting of these major events. Not only is it required to process the legal entry of the many tourists expected in the country but in most likelihood it will be the first interaction that visitors will have with the country. The DHA is, in terms of the Immigration Act⁵, amongst others, mandated with regulating and monitoring the entry into, residence within and departure of persons who wish to visit or stay in South Africa through issuing appropriate permits or documents to applicants. Such documents include visas, work permits, study permits and permanent residence permits. For foreign visitors to legally enter South Africa, they have to apply for visas at the foreign offices of the DHA based in their respective home countries.

Apart from issuing appropriate permits or documents to prospective visitors to the country, the Department also contributes to maintaining the integrity of the Republic of South Africa as a sovereign state through detecting, arresting and deporting prohibited and undesirable persons through what is called port control services. These actions further contribute to the combating of transnational crime(s). The Department carries out these functions against the human rights framework provided in the Constitutive Act of the African Union (AU)⁶ on immigration matters and the Southern African Development Community (SADC) Protocol on Tourism⁷.

Taken together, all these considerations underscore the important role the DHA will have to fulfill in the build up to, during and after the 2010 Soccer World Cup event. Its effectiveness, efficiency and courtesy will be under the spotlight and will create an image in the visitors' minds about the country, and will influence, amongst others, future tourism and foreign investment. Encouragingly, the DHA acknowledges the implications of their role in that they stated that "in particular Home Affairs will be presented with major challenges relating to the Soccer World Cup 2010 that will entail the efficient processing of the millions of foreign soccer players and fans"⁸. The event does not only pose a challenge to the Department to improve the facilitation of the entry processes, but also to improve border post security.

Given the PSC's focus on assessing the state of readiness of the Public Service for 2010 and beyond, it decided to assess the visa application and port control processes of the DHA. The PSC's broad aim of the PSC with this evaluation was to make recommendations to the Department about the effective and efficient processing of visa applications and control of movement of people across the South African borders before, during and after the abovementioned Soccer events.

1.2 MANDATE OF THE PUBLIC SERVICE COMMISSION

In Section 196 (4) (b) and (c) the Constitution, 1996⁹ mandates the PSC to, amongst others, "investigate, monitor and evaluate the organisation and administration, and the personnel practices, of the public service" and to "propose measures to ensure effective and efficient performance within the Public Service". Section 195, inter alia, requires that "people's needs be responded to" and that the "efficient, economic and effective use of resources be promoted".

In line with its constitutional mandate, the PSC decided to evaluate service delivery at the DHA, especially focusing on Visa Applications and Port Control as critical services that will contribute significantly to South Africa's hosting of the 2010 FIFA Soccer World Cup.

⁴ Republic of South Africa. Department of Environmental Affairs and Tourism. 2010 Soccer World Cup Tourism Organising Plan. 2005.

⁵ Republic of South Africa. Department of Home Affairs. Immigration Act, No. 13 of 2002.

⁶ African Union. Constitutive Act of the African Union, 2000.

⁷ Southern African Development Community. Protocol on Tourism. 1998.

⁸ The Republic of South Africa. The Department of Home Affairs. 2005/06 – 2009/10 Strategic Plan.

⁹ The Republic of South Africa, The Constitution of the Republic of South Africa. Act 108 of 1996.

1.3 OBJECTIVES OF THE STUDY

The main aim of the project was to evaluate the effectiveness with which the DHA manages the applications for visas as well as Ports of Entry, and to make recommendations to promote the effectiveness and efficiency of these processes.

The specific objectives of the project were to:

- Assess the quality of current service delivery by the Department of Home Affairs in terms of visa applications and admitting foreign visitors into the country at Ports of Entry.
- Assess the degree to which the Department of Home Affairs has put in place plans, programmes, processes and systems to effectively and efficiently manage the visa application and foreign visitor admittance processes in preparation for the 2009 FIFA Confederation Cup and the 2010 FIFA World Cup events.
- Assess whether these plans, programmes, processes and systems will contribute to the effective and efficient management of the visa application and foreign visitor admittance processes.
- Establish how the implementation of these plans, programmes, processes and systems is monitored.
- Identify the challenges and constraints experienced by the Department in implementing these plans, programmes, processes and systems.
- Provide feedback on progress with the implementation of relevant recommendations from previous PSC reports on the Department.

In following up on the implementation of recommendations relevant to visa applications and port control the following reports were considered:

- *The Final Report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs (January 2007)*¹⁰. The Report emanated from the work of a Support Intervention Team (SIT) which was constituted to assist the Department of Home Affairs on the key issues of *Leadership and Management, Human Resources, Information and Communication Technology, Service Delivery and Financial Management*. The Support Intervention Team comprised the Office, the Department of Public Service and Administration, the Auditor-General and the Department of Home Affairs. The Report provides strategic considerations and recommendations emanating from the support intervention. It also reflects on the progress achieved since the start of the support intervention in July 2006 to January 2007.
- *The Consolidated Report on Inspections of Service Delivery Sites (August 2007)*¹¹ with specific reference to the Section on the Department of Home Affairs. In an effort to monitor the transformation of service delivery, the PSC embarked on a programme of inspecting service delivery sites. The broad aim of these inspections was to assess the quality of services provided to the public and to determine if departments are meeting the required service standards and the needs of citizens as users of these services. This Report is a consolidation of findings and recommendations arising from the inspections that were conducted during 2005/2006 which included the Departments of Home Affairs, Labour, Housing (Gauteng) and Social Development (Free State).

1.4 STRUCTURE OF THE REPORT

This report is structured in the following manner:

Chapter 2 describes the methodology that was applied in the study.

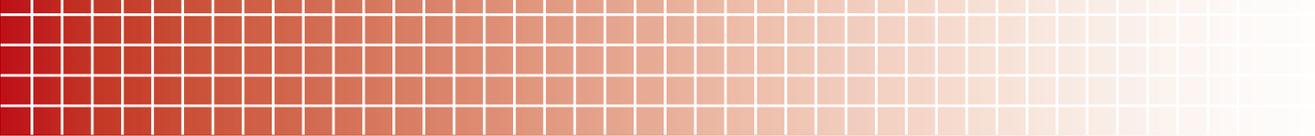
Chapter 3 discusses an overview of the Department of Home Affairs.

Chapter 4 presents the key findings of the study.

Chapter 5 presents the conclusions and recommendations drawn from the study.

¹⁰ The Final Report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs, January 2007. Unpublished Report.

¹¹ Republic of South Africa. Public Service Commission. Consolidated Report on Inspections of Service Delivery Sites, August 2007.



Chapter Two

Methodology

2.1 INTRODUCTION

This chapter outlines the scope of the study and the research methodology that was used to collect data on the visa applications and port control processes of the DHA. The chapter also presents the limitations experienced during the study.

2.2 SCOPE OF THE STUDY

The scope of the study covered the Visa Applications and Port Control Services of the Immigration Branch of the DHA. These two areas are key to the processing of the documentation of prospective foreign visitors to the Republic of South Africa. For the purpose of understanding the context in which the two services are carried out in the Department, the following is a brief overview of each of them:

2.2.1 Visa Applications

Any person who wants to enter the Republic has to apply for a visa. Once a visa is issued, it authorises a prospective visitor to proceed from their respective home country to South Africa. A visa is only issued after proper screening of the applicant is done to ensure that an undesirable person is not admitted to the country. At the Port of Entry, a visa provides Immigration Officers with the necessary information to ensure that visitors are admitted for the correct purpose and period into South Africa.

2.2.2 Port Control Services

Foreign visitors enter or leave the country through a Port of Entry. At the port of entry there are officials who manage the process of entry and departure from the Republic. Foreign visitors will be concerned about the effective and efficient handling of their physical entrance into South Africa and would like to have a sense that their stay in the country will be a safe experience. The PSC, therefore, identified the need to include Port Control Services in this study.

2.3 METHODOLOGY

2.3.1 Sampling

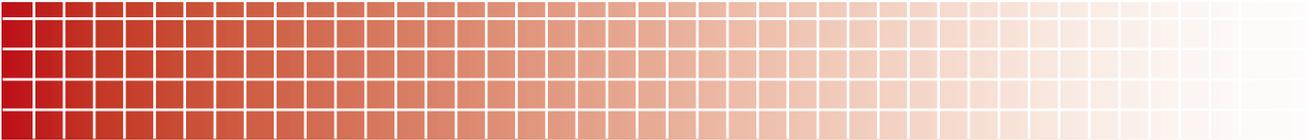
The study applied a purposive sampling procedure. Such sampling seeks to select a section of the research population which in the researcher's judgement will provide the most useful information for the study. Attention was given to the ports that would be most critical for the entry of people into South Africa for attending both the 2009 Confederation Cup as the 2010 Soccer World Cup events. The DHA provided the PSC with a list of all Ports of Entry and a representative sample was drawn from the list. The sample included five (5) Land Border Posts shared with each of South Africa's neighbouring countries (except with Namibia¹²). Four (4) airports were also included in the study. **Table I** below reflects the Ports of Entry included in this study.

Table I: Ports of Entry Included in the Study

| LAND PORTS OF ENTRY | AIRPORTS |
|------------------------------|----------------------|
| Oshoek (from Swaziland) | Cape Town |
| Maseru Bridge (from Lesotho) | Johannesburg |
| Lebombo (from Mozambique) | Durban ¹³ |
| Skilpadshek (from Botswana) | Kruger International |
| Beitbridge (from Zimbabwe) | |

¹² Ports of Entry from Namibia were not included in the study because of the small proportion of the soccer fraternity that is expected to enter South Africa through any of the land border posts shared with Namibia, especially because Kimberley is not a host city for any of the two events.

¹³ Although the Durban Airport was included in the sample, an inspection at this Airport would be ineffectual in terms of compiling data since a new Airport is currently being built where the planned processes and systems will be introduced.



2.3.2 Data Collection Process

A combination of data collection methods was applied during the study. These methods included the review of relevant documents, interviews with officials who served as key sources of information in the Department and unannounced *in loco* inspections at identified Ports of Entry.

2.3.2.1 Document Review

A review of all available information on the immigration function of the DHA was undertaken. Documents such as the Department's Annual Report (DAR), the Strategic Plan for 2005/06 – 2009/10, departmental web-sites, speeches by various role players such as the Minister, the Director-General, the Chairperson of the Portfolio Committee on Home Affairs and the President of the Republic of South Africa to identify challenges related to the areas included in the scope and progress the Department has made in addressing these, were reviewed. Reports on the Department by various intervention teams¹⁴ were also studied.

Furthermore, at the time of the study, the Department was in the process of addressing service delivery challenges through the support of a Turnaround Team. The plans, prospective processes and systems that the Department intended to implement to improve the current situation were requested from the Department and perused to establish their intended impact and cost efficiency on the visa applications and port control services.

2.3.2.2 Interviews

In-depth face-to-face interviews were conducted with managers of the identified Ports of Entry and with the Provincial Managers responsible for the sampled Ports of Entry.

2.3.2.3 Unannounced In Loco Inspections at Ports of Entry

Unannounced *in loco* inspections were carried out at the selected Ports of Entry (See **Table I** at *par* 2.3.1 on page 6 above for a list of PoEs included in the study). During unannounced *in loco* inspections, the selected Ports of Entry (Land Ports of Entry and airports) were not alerted about the visits. The main aim of the unannounced *in loco* inspections was to determine the Department's current performance and to establish the level of courtesy with which customers are handled. This was to ensure that processes and performance of the Home Affairs offices at Ports of Entry could be observed in their daily state. During such unannounced *in loco* inspections at the different Ports of Entry, PSC officials queued as normal customers and proceeded through the normal exit process to observe the handling of customers and the performance of the counter officials first-hand and objectively.

2.3.2.4 Data Collection Instruments

Two semi-structured questionnaires were developed to serve as data collection tools. One tool was to collect data from managers of the Home Affairs offices at Ports of Entry and another tool to collect data during the interviews with Provincial Managers of the Department.

The following were the key elements contained in the data collection instrument used during the interviews with managers at the PoEs:

- Organisational arrangements (including plans/processes/systems) to deal with the entry of foreign nationals with the 2009 FIFA Confederation Cup and the 2010 FIFA World Cup.
- The involvement of the PoE management in the organisational arrangements.
- The plans/new systems and processes were preceded by a thorough analysis of infrastructure, human resources and processes at the PoEs.
- Availability of training on the new processes and systems and procedure manuals.

¹⁴ Intervention teams referred to include the South African Migration Project (SAMP) (2004), the Turnaround Strategy (2004/05), the Interim Support Team (IST) (2006/07), Inspections into Home Affairs service delivery sites (2007) and Customer Satisfaction Surveys at the Department of Home Affairs (2007).

- The issue of integration of services of the different departments at the PoEs.
- Physical, operational and structural arrangements at the PoEs (including layout of offices, process management and infrastructure issues).
- The Department's current retention strategy in terms of PoEs.
- Courtesy issues (e.g. monitoring and evaluation of frontline staff and training).
- Current delays and constraints.
- Processes followed in reporting progress to Head Office.
- Functionality of systems in reporting statistics.

The data collection instrument used during the interviews with Provincial Managers addressed the following issues:

- The current process of admitting foreign visitors into the country at the Ports of Entry.
- The plans, programmes, processes and or systems the Department has put in place to effectively and efficiently manage the foreign visitor admittance processes in preparation for the 2009/2010 FIFA events.
- The process followed in compiling these plans and processes (Who was involved, how inputs were requested).
- How the Department intended to monitor the implementation of these plans, programmes, processes and or systems to ensure that the objectives are achieved.
- Any challenges that were foreseen in terms of achieving the objectives/implementation of the plans/processes/systems.
- Recommendations made to the BCOCC with regard to the above challenges.
- Progress made with the implementation of these recommendations.

2.4 DATA ANALYSIS

Data analysis commenced with a process of organising data into key themes and sub-themes. The themes were developed according to the objectives of the study.

The themes covered:

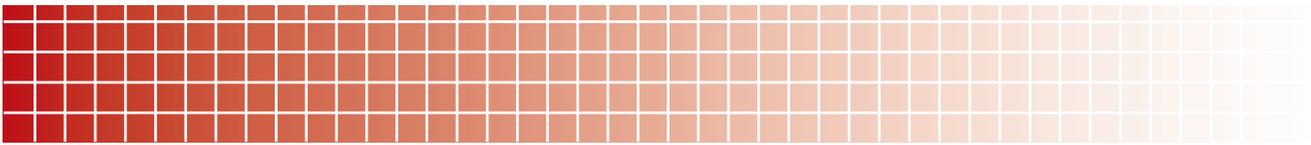
- The current process of admitting foreign visitors at Land Border Posts.
- The Department's plans in preparation for the 2010 FIFA Soccer World Cup event.
- The process followed in compiling plans for 2010.
- Progress made with the implementation of the Department's 2010 plans.
- Mechanisms the Department has in place to monitor the implementation of the plans of the Department.
- Challenges identified as key to the preparations of the Department for 2009 and 2010.

Data analysis ensured the integration of data collected through the two different tools.

2.5 LIMITATIONS OF THE STUDY

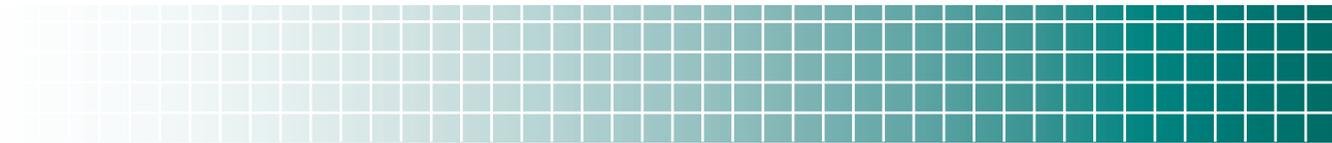
The following limitations were identified during the study:

- A considerable amount of time was lost waiting for the Department to identify key informants to be interviewed by the PSC in the study.
- The project team could not secure interviews with all relevant programme managers in the Department because key posts in both Visas and Port Control services were vacant. Some senior managers were also not available as a result of other official commitments.
- Full reports on previous interventions were not in all cases available. Although some of the individual intervention team members could be traced, no formal documented reports could be obtained.
- Although the Department had plans in place for the 2009/2010 FIFA events, none of these had been fully implemented with the result that the impact could not be established. The study, therefore, had to rely on estimations in terms of impact and cost benefits of these plans.



- The verification of information was hampered in some instances by the Department's inability to release documents because they were regarded as confidential in the sense that at the time of the study their content was not yet for public consumption.





Chapter Three

An Overview of the Department of Home Affairs

3.1 INTRODUCTION

Over the years, the DHA has encountered many challenges. It is for this reason that any assessment into the functions of the Department cannot ignore such context. Primarily, this is because through understanding the challenges, one can get a proper appreciation of the efforts undertaken by the Department to overcome them and a more holistic picture of its performance. In this spirit, this chapter provides an overview of the interventions implemented to assist the Department to overcome service delivery challenges. The recommendations contained in such reports are also provided. The recurring challenges, specifically with regard to Visa Applications and Port Control services, are highlighted to ensure a better understanding of the scale of the challenge the Department has to deal with in their preparations for the 2010 Soccer World Cup.

3.2 LEGAL CONTEXT OF THE IMMIGRATION SERVICES INCLUDED IN THE STUDY

The Department of Home Affairs derives its mandate from the Constitution of the Republic¹⁵. The founding provisions of the Constitution outline citizenship in the South African context, and the equality imperative. In meeting this constitutional imperative, DHA must affirm the identity of all citizens and enable them to exercise their rights and responsibilities. Given South Africa's past, the Department is expected to carry out its mandate in a manner that promotes access to services, supports democracy and contributes to social and economic development in the country. **Table 2** below broadly reflects the key pieces of legislation the DHA has to meet to fulfill its mandate, particularly as it pertains to civic affairs, immigration services and status of refugees.

Table 2: Description of the Legislative Frameworks that inform the functions of DHA

| CONSTITUTION/PRESRIPT | DESCRIPTION |
|---------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| The Constitution of the Republic of South Africa, Act 108, 1996 ¹⁶ . | Chapter 1, Section 3 states the following: "(1) <i>There is a common South African citizenship.</i> (2) <i>All citizens are:</i> <ul style="list-style-type: none"> • <i>Equally entitled to the rights, privileges and benefits of citizenship; and</i> • <i>Equally subject to the duties and responsibilities of citizenship.</i> (3) <i>National legislation must provide for the acquisition, loss and restoration of citizenship."</i> |
| | Chapter 2: Bill of Rights, Section 20 states: <i>"No citizen may be deprived of citizenship."</i> Section 21 states: "(1) <i>Everyone has the right to freedom of movement.</i> (2) <i>Everyone has the right to leave the Republic.</i> (3) <i>Every citizen has the right to enter, to remain in and to reside everywhere in, the Republic.</i> (4) <i>Every citizen has the right to a passport."</i> (These 2 sections are subject to Section 33 of Chapter 2). |

¹⁵ Republic of South Africa. The Constitution of the Republic of South Africa. Act No. 108 of 1996.

¹⁶ Republic of South Africa. The Constitution of the Republic of South Africa. Act No. 108 of 1996.

| | |
|--------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Immigration Act, No 13, 2002. ¹⁷ | The Act provides for the regulation of admission of persons to, their residence in, and their departure from the Republic and for matters connected therewith. According to the Act, the following are the functions of the DHA: <ul style="list-style-type: none"> • The control of movement of people in and out of South Africa through: <ul style="list-style-type: none"> • controlling admissions into and departures from South Africa at designated Ports of Entry (PoEs), • issuing Visas to facilitate the movement of people in and out of South Africa, and • issuing of permits to facilitate residence in South Africa. • The detection, detention and deportation of illegal foreigners. • The administration of applications for asylum. |
| Immigration Amendment Act, No 19 of 2004. ¹⁸ | Section 9 (1) states that “no person shall enter or depart from the Republic at a place other than a port of entry”. Section 9 (3) states that “no person shall enter or depart from the Republic unless in possession of a valid passport ...” |
| United Nations Convention Relating to the Status of Refugees ¹⁹ . | The Convention sets out the rights of individuals who are granted asylum and the responsibilities of nations that grant asylum. The Convention also provides for visa-free travel for holders of travel documents issued under the convention. |
| DHA Enterprise Architecture Manuals (Visa Applications and Admissions) ²⁰ | The manuals provide guidelines on the visa applications and port control services processes. |

The current study focuses on the Immigration functions of DHA as reflected in the table above. The functions include the control of the movement of foreigners in and out of South Africa at designated Ports of Entry, and the issuance of Visas to facilitate this movement of foreigners through the country’s borders.

3.3 HISTORICAL CONTEXT OF THE DEPARTMENT OF HOME AFFAIRS’ SERVICE DELIVERY CHALLENGES

The DHA interfaces with the lives of citizens from the “cradle to the grave”. Through this interaction it handles birth, marriage and death certificates, including Identity Documents and Passports. In addition, it deals with visas for visitors to the country, work permits for foreigners and documents for refugees and asylum seekers. Given this central role, it is constantly in the public eye and its performance is under intense scrutiny.

Unfortunately, through the years, the Department has been faced with many service delivery challenges, and much negative feedback on the rate and quality of its services. Perceptions of its inefficiency abound in the public eye, and media reports suggest that both South African citizens and foreign customers regularly complain about the poor quality of services delivered by the Department²¹. It has also not escaped the scrutiny of the South African courts, where a Cape High Court judge questioned how much longer the Department would be ‘allowed to remain dysfunctional’ before ‘getting its act together’²². In 2007, the Cape Immigration Compass reported that “the apparent lack of service delivery at the department of

¹⁷ Republic of South Africa. Department of Home Affairs. Immigration Act, Act No. 13 of 2002.

¹⁸ Republic of South Africa. Department of Home Affairs. Immigration Amendment Act, Act No. 19 of 2004.

¹⁹ United Nations. Convention Relating to the Status of refugees and Stateless Persons. Resolution 429 (v) of 14 December 1950. 28 July 1951.

²⁰ Republic of South Africa. Department of Home Affairs. DHA Enterprise Architecture. Admissions. 2006

²¹ Cape Argus. Ella Smook. “Home Affairs needs monitor with a whip”, 19 February 2008.

²² De Gaulle Kiliko and others vs the Minister of Home Affairs and others; case no. 2730/05 in the Cape High Court, 2005.

Home Affairs has driven a local business that specialises in immigration to address its concerns to the President²³ about the situation becoming disastrous.

Much of the perceptions about DHA have been borne out by empirical data. In her budget speech on 30 May 2006²⁴, the Minister of Home Affairs, Ms N Mapisa-Nqakula, also admitted that the Department was facing serious challenges as far as service delivery is concerned. She raised “serious weaknesses the Department was experiencing at organisational and policy levels and the fact that such weaknesses had a negative impact on the ability of the Department to function effectively”²⁵ and identified the need for external assistance in addressing such challenges. Stemming from such a request, the Director-General of the Office of the Public Service Commission (OPSC) led a Support Intervention Team comprising the OPSC, the Department of Public Service and Administration (DPSA) and the Auditor-General²⁶.

Apart from its involvement in this intervention, the PSC has also conducted research in the Department. Two of these research studies were Inspections of Public Service Delivery Sites²⁷ during 2006/2007 and a Citizen Satisfaction Survey which included the Department of Home Affairs during the same financial year²⁸. The PSC commented mainly on the rate and quality of service delivery of the Department. For example, the PSC in its Consolidated Report on Inspections of Public Service Delivery Sites²⁹ reported that the service users at the Johannesburg International Airport indicated that they had been in the queues for more than three (3) hours. Turnaround times were also reported in the same report as being problematic with clients having to return to offices more than five times without receiving the documents they had applied for.

In addition to these PSC studies, in 2001 the DHA conducted an evaluation of its service delivery quality and its service standards³⁰. **Table 3** below reflects the main issues addressed in the above three research studies as well as the main recommendations from each.

Table 3: Synopsis of Issues and Recommendations Relevant to this Study made in the Research Studies in the DHA

| RESEARCH STUDY | MAIN ISSUES ADDRESSED | MAIN RECOMMENDATIONS |
|----------------------------------------------|------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| South African Migration Project (SAMP), 2001 | Service Delivery Quality Performance and Service Standards | <ul style="list-style-type: none"> • Training programmes and other measures needed to be put in place to ensure that particularly front line staff had a more in-depth understanding and knowledge of the legislation administered by the Department. • <i>Batho Pele</i> implementation had to be strengthened. • Customer Satisfaction should be measured on a continuous basis. |

²³ www.immigration-south-africa.co.za/cape-town/immigration-news/home-affairs. Home Affairs service is “catastrophic”. 5 July 2007.

²⁴ www.home-affairs.gov.za/speeches Address by Hon NN Mapisa Nqakula on the occasion of the presentation of the 2006 Budget Vote of the department of Home Affairs (Budget Vote 4), 2006, May 30 Cape Town 30 May 2006.

²⁵ Parliament of the Republic of South Africa. Budget Vote of the Department of Home Affairs. 2006.

²⁶ The Final Report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs. Unpublished document. January 2007.

²⁷ Republic of South Africa. Public Service Commission. Consolidated Report on Inspections of Public Service Delivery Sites. August 2007.

²⁸ Republic of South Africa. Public Service Commission. Citizen Satisfaction Survey 2006/2007: Department of Home Affairs, Department of Trade and Industry and Transport Services by Provincial Departments. 2007.

²⁹ Republic of South Africa. Public Service Commission. Consolidated Report on Inspections of Public Service Delivery Sites. August 2007.

³⁰ South African Migration Project. The Quality of Migration Service Delivery in South Africa. 2004.

| RESEARCH STUDY | MAIN ISSUES ADDRESSED | MAIN RECOMMENDATIONS |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Consolidated Report on Inspections of Public Service Delivery Sites, 2006 ³¹ | Assess the quality of services provided to the public and determine if departments are meeting the required service standards and the needs of the people using the service. | <ul style="list-style-type: none"> • The Department has to review its policy on the employment of interns in critical positions. • Vacant posts had to be filled as a matter of urgency. • The Department needed to employ floor walkers for escorting citizens to appropriate counters on arrival. • Concerns of staff regarding the grading of certain key posts needed to be further investigated. • The Department had to ensure the implementation of its PMDS. • The need to professionalise immigration services to entrench loyalty and raise staff's morale, was identified. • Security had to be strengthened especially at Johannesburg International Airport and Marabastad Immigration offices. |
| Citizen Satisfaction Survey 2006/2007: Department of Home Affairs, Department of Trade and Industry and Transport Services by Provincial Departments ³² | Level of satisfaction of service users. | <ul style="list-style-type: none"> • When planning new service points, the Department had to take the accessibility and safety of such locations into account. • The implementation of service delivery improvement plans by the Department had to be speeded up, and the service call centre had to come into operation. • Structures and systems had to be developed as a matter of urgency and implemented to ensure internal communication and consultation between the management of service points and other operational components in the Department. • Adequate systems needed to be established to promote consultation between the Department and citizens to ensure that the needs of internal and external clients are responded to effectively and efficiently. • The number of staff on duty at each individual service point had to be determined scientifically by professional consultants, and had to be implemented as soon as possible. • The Department had to assess work processes in order to determine the most effective and efficient way to deliver the required documentation. |

³¹ Republic of South Africa. Public Service Commission. Consolidate Report on Inspections of Public Service Delivery Sites. August 2007.

³² Republic of South Africa. Public Service Commission. Citizen Satisfaction Survey 2006/2007. Department of Home Affairs, Department of Trade and Industry and Transport Services by Provincial Departments. 2007

| RESEARCH STUDY | MAIN ISSUES ADDRESSED | MAIN RECOMMENDATIONS |
|----------------|-----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | <ul style="list-style-type: none"> • Administrative procedures for control and tracking of applications had to be formalised and implemented. • Technical support for all work processes had to be upgraded and maintained efficiently. • The Department had to develop a formalised complaints handling system. • An effective system to monitor these complaints had to be implemented |

Obviously, the above research studies are not the only studies carried out in the Department. They are specifically mentioned to indicate the research history the PSC has in the Department and to contextualise its understanding of the challenges facing the Department.

Apart from such evaluations, there have been specific targeted interventions into the DHA. It is important again for contextual reasons, to highlight the more recent interventions. **Table 4** below provides an overview of these interventions and the broad recommendations made from such interventions.

Table 4: Synopsis of Issues and Recommendations Relevant to this Study made in Previous Interventions in the DHA

| INTER-VENTIONS SINCE 2004 | OVERVIEW OF INTERVENTIONS |
|-------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Turnaround Strategy (TAS), 2004 ³³ . | <p>The Director-General in the DHA initiated a Turnaround Strategy in September 2003 at a management meeting with a view of the overall improvement of internal capacity and service delivery challenges he identified during his visits to some of the DHA offices. One official was seconded from the DPSA to assist the Department. Strategic challenges were identified and grouped into ten (10) critical intervention areas, namely, Immigration, Civic Services, Service Delivery, Leadership and Management, People, Infrastructure, Finance and Procurement, Information Technology, Counter Corruption and the Government Printing Works.</p> <p>In April 2004 the DHA appointed additional programme and project management capacity under the auspices of the IBM consortium to support the TAS. The TAS was also integrated into the 2004 departmental Business Plan.</p> <p>Main recommendations from the TAS intervention:</p> <ul style="list-style-type: none"> • The immigration processes had to be reviewed with the aim of eliminating red tape and enhancing efficiency. • The Department should reorganize itself to provide for an Immigration Branch alongside the Civic Services Branch. This reorganisation would require the refinement of personnel and logistical matters. • The Department had to establish a Client Service Centre which can be utilised by clients as well as departmental offices to check the status of applications and to troubleshoot problems. • The management team should be strengthened to ensure more in depth reporting on progress. |

³³ Turnaround Strategy. DHA Turnaround Programme and Projects Review: May/June 2004. Unpublished document.

INTER-VENTIONS SINCE 2004

OVERVIEW OF INTERVENTIONS

- The DHA management should be able to manage change and prevent the organisation to stagnate.
- The Department should develop a personnel recruitment and replenishment strategy to ensure that critical posts are filled. In the longer term, the Department should develop an integrated human resource strategy to recruit, retain and develop the right number of staff, with the right skills and the right equity profile.
- The Department should terminate the over-utilisation of volunteers.
- To end the practice of critical vacancies remaining vacant for extended periods of time and staff members being appointed in acting capacities for which they might be ill-equipped, employees with potential should be identified to take up supervisory and management positions when the latter become vacant.
- The Department should ensure that the PMDS translates the strategic plan of the Department into operational plans and individual performance agreements.
- The Department should do an audit of the location, condition and equipment of each office. A basic standard for all offices in relation to client-management, workflow and signage had to be developed.
- The Department should launch a national volunteer campaign to implement the standard signage that will form part of the Department's corporate identity.
- The Department had to ensure that arrangements were made for the acquisition of a new head Office building that could accommodate all the functions of the Department in one building.
- Document management and workflow management systems needed to be put in place.
- In order to provide fully computerised, client-centred services it will be necessary to test, design and implement enterprise-wide platforms and communication capabilities.
- Security standards needed to be developed to ensure data integrity.

Support Intervention Team (SIT) 2007³⁴.

The Minister of Home Affairs identified the need for external assistance to address challenges the DHA was facing in her budget speech on 30 May 2006. A Support Intervention Team, comprising the OPSC, the DPSA, the Accountant General (AG) and the DHA was established to address the issues raised by the Minister and the Portfolio Committee.

The Intervention focused on five areas, namely, Leadership and Management, Human Resources, Information and Communication Technology, Service Delivery and Financial Management.

Main recommendations of the SIT:

- Leadership and management capacity should be strengthened by including competency-based assessments in the selection and appointment process of all Senior Management Service (SMS) members.
- The Department should instill a culture of governance, ethics and compliance across the department through ongoing training and development and should take disciplinary steps against SMS members who fail to adhere to legislative frameworks of the Public Service.
- A proper monitoring and evaluation system should be put in place to ensure that management takes informed decisions.
- The recruitment and selection process needs priority attention and an external service provider should be appointment to ensure that funded vacant posts are filled as soon as possible.

³⁴ The final report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs. Unpublished document. January 2007



| INTER-VENTIONS SINCE 2004 | OVERVIEW OF INTERVENTIONS |
|---------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <ul style="list-style-type: none"> • A coherent ICT strategy should be developed. The Department should consolidate and fast-track the implementation for short term initiatives that aims at addressing critical service delivery pressures. • The Department should consider the establishment of a separate budget programme for information services in the budget of the Department in order to improve transparency and accountability in the use of funds specifically for IT and related services. • The Department should ensure that programme managers set priorities and time frames for projects and ensure the necessary synergies across business units. Performance Agreements of managers fully reflect their programme and project responsibilities to facilitate accountability for implementing key turnaround programmes. • Project managers should further undergo project management training. • Consideration should be given to decentralising certain services to regional offices to improve the interface with the public. |

The table above highlights the key issues that have been recurring in the Department since 2004. The following are the key issues raised:

3.3.1 High Vacancy rate

The intervention reports have raised the issue of the high vacancy rate in the Department and how it affects the service delivery of the Department. Among the positions that were vacant, were senior positions e.g. those of programme managers at Chief Director level. In some instances posts had been vacant for more than two years with no indication of when they would be filled. Vacant management positions also hampered the implementation of programmes and plans to address challenges.

It was recommended in the Final Report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs³⁵ that the Department appoint an external service provider to assist it in filling its funded vacant posts. Ensuring that all vacant posts are filled as a matter of urgency was also supported by the Turnaround Strategy³⁶.

3.3.2 Implementation of a Performance Management Development System

Both of the intervention reports on the Department referred to the fact that although a Performance Management Development System (PMDS) had been introduced, it was not rigorously implemented to ensure that all officials are regularly assessed. Performance of Senior Managers had also not been linked to the Key Result Areas and Core Management Criteria in the Performance Agreements. The Performance Agreements of the programme managers did not reflect their responsibilities with regard to the implementation of turnaround programmes which meant that they could not be held accountable for the implementation of these programmes and projects. The failure to implement a PMDS hampers the assessment of achieving key objectives and outputs. According to the reports, managers also did not understand their specific role in the implementation of the PMDS and staff indicated that the fact that they had not been assessed contributed to low staff morale.

The Final Report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs³⁷ recommended that the Department had to ensure that managers in the Department take responsibility for the effective implementation of the PMDS. It was also recommended that the Department should ensure that Senior Managers are subjected to competency assessments as part of the selection process.

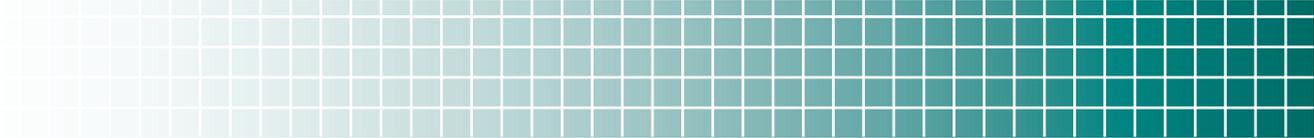
³⁴ The final report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs. Unpublished document. January 2007

³⁵ The Final Report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs. Unpublished document. January 2007.

³⁶ Turnaround Strategy. DHA Turnaround Programme and Projects Review. May/June 2004. Unpublished document.

³⁷ The Final Report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs. Unpublished document. January 2007.





3.3.3 Posts are not Properly Graded

Both intervention reports identified the grading of Immigration Officer posts in particular as problematic. The incumbents of these posts form a very important link in the service delivery chain as first contact point for foreign visitors to the country. The officials also deal with port security matters where the country's security is at stake. Previous efforts to address this issue have apparently not been successful and have left the Department with problems in its reporting structure where supervisors and officers are now on the same post level.

The Turnaround Strategy³⁸ and the SIT recommended that the Department should ensure that staffing capacity is brought up to levels where effective and efficient service delivery could be ensured. In this regard job evaluation outcomes of posts of Immigration Officer at levels 7 – 12 were approved by the Minister in November 2006³⁹.

3.3.4 Lack of Monitoring and Evaluation

No clear monitoring and evaluation system could be identified by any of the intervention reports. The absence of a M&E system suggests that the Department had not integrated measures into its planning and operational processes to track progress or to indicate where changes need to be effected. A proper monitoring and evaluation system would have enabled the department to assess its performance with regard to its programmes on a continuous basis and to pre-empt the need for corrective action where performance was not according to plans.

The SIT recommended in the Final Report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs⁴⁰ that a proper monitoring and evaluation system be put in place. The Turnaround Strategy⁴¹ recommended that such a system should, apart from programme performance also monitor staff's attitudes.

3.3.5 Information Technology Systems are not Integrated

Since the 2004 intervention, the Department had developed an Information Technology Strategy. However, the strategy was still identified as dysfunctional because it did not link all systems and could not provide the Department with real-time information. This is the information needed to take decisions about the risk in the admission of a person into the country based on previous encounters with the person in question. Having real-time information available at the service point will speed up decisions on such admission.

The SIT recommended in the Final Report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs⁴² that the Department should develop an integrated Information Technology Strategy. It further recommended that the Department should fast-track the implementation of short term initiatives that were aimed at addressing critical service delivery pressures.

3.3.6 Inadequate Infrastructure

Both of the intervention reports on the Department also highlighted the challenges the Department faces in terms of infrastructure issues such as physical status, the inconsistency in terms of quality and procedures being followed in rendering services and the absence of a basic standard with regard to customer management, signage and process flow measures. Infrastructure provides a key framework for the Department to render its services and the impact of the inadequate infrastructure was often evident in the poor quality of service delivery. The inability to manage queues and work processes often led to long queues, customers being sent from one counter to another and (customer) complaints of inefficiency.

³⁸ Turnaround Strategy, DHA Turnaround Programme and Projects Review, May/June 2004. Unpublished document.

³⁹ The Final Report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs. Unpublished document. January 2007.

⁴⁰ The Final Report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs. Unpublished document. January 2007.

⁴¹ Turnaround Strategy, DHA Turnaround Programme and Projects Review, May/June 2004. Unpublished document.

⁴² The Final Report to the Committee of Ministers on the Support Intervention in the Department of Home Affairs. Unpublished document. January 2007.

3.4 CURRENT STRATEGY TO ADDRESS SERVICE DELIVERY CHALLENGES

In 2007, the DHA appointed a Turnaround Programme (TAP) to provide technical support to the Department in addressing its service delivery challenges while also planning for the challenges the future would hold. After the previous interventions in the Department, there could be scepticism around this current intervention. Comfort is, however, drawn from the fact that this is not seen as a reinvention of the wheel but rather as building on the research and recommendations of the previous interventions as well as the lessons learnt from these. The Minister of Home Affairs said as much when she indicated that this current intervention is in the second phase⁴³ of what had been done in terms of SIT. This report found the following:

- “A lack of strategic leadership and management capability;
- The Department still lacks a cohesive management team capable of driving its transformation agenda;
- A lack of urgency and adherence to deadlines; and
- A general crisis response to problems due to poor management.”

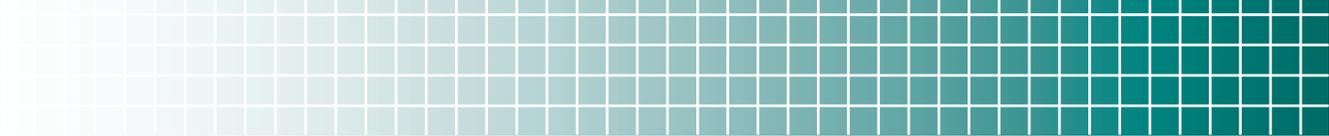
TAP focuses mainly on the key themes reflected in **Table 5** below.

Table 5: Issues outlined in the Turnaround Programme⁴⁴

| KEY THEMES | SPECIFIC ISSUES TO BE ADDRESSED |
|-------------------------------------|----------------------------------------------------------------------------------------------------|
| Service Delivery | Concept of citizen or customer as “king”. |
| | Cumbersome business management processes. |
| | Loss of key people on a regular basis. |
| Corruption, Security and Risk | Low motivation, poor supervision. |
| | Infringement of standard business rules and breach of security. |
| | Aversion to technology. |
| | Scant attention to risk management. |
| | Weak management and control processes. |
| Organisational Structure and People | Steeply hierarchical management structure. |
| | Over-centralised decision making. |
| | Limited business understanding: who is the customer? |
| | Inappropriate training. |
| | Limited management skills. |
| IT and Facilities | Unstable IT and communication infrastructure. |
| | Inadequate infrastructure rollout to local and international offices. |
| | Systems not linked to one another (e.g. Border Post immigration Systems). |
| | Duplication of systems and information (silo-based approach) which is costly and effects security. |
| | Inappropriate offices layout and limited footprint. |
| | Rudimentary asset management practices. |

⁴³ Change Agents. Financial Mail. 5 December 2008.

⁴⁴ Republic of South Africa. Department of Home Affairs. Presentation to Business Unit, South Africa. Building a new Home Affairs. 4 April 2008.



The issues addressed in **Table 5** above were identified by the TAP and are critical to the functioning of the DHA. Accordingly, these issues have been built into the DHA 2010 Plan⁴⁵ as well as the Department's Strategic Plan for 2008/09 – 2010/11⁴⁶. They also resonate with the recurring challenges identified earlier in this Chapter. It is, however, important to note that the above list is only a summary of the issues addressed by TAP and is by no means a comprehensive list of all the issues addressed in the Programme. Once these critical issues are successfully addressed, they could go a long way towards ensuring a more sustainable solution to the challenges affecting the Department. Given this possibility it was important for this study to interact with the plans and assess progress made to date. At the same time the study was mindful of the fact that many actions to address the challenges are in progress and a definitive view on their possible success rate will not be possible. However, progress on plans relevant to visa applications and visitor admittance processes are covered in Chapter 4 including progress on the implementation of the plans for 2010.

⁴⁵ Republic of South Africa. Department of Home Affairs. 2010 Plan. 2008.

⁴⁶ Republic of South Africa. Department of Home Affairs. Strategic Plan 2008/09 – 2010/11.

Chapter Four

Findings

4.1 INTRODUCTION

The chapter presents an analysis of the key findings of the study. The findings are presented according to the following key themes derived from the objectives of the study:

- Current state of service delivery in terms of processing visa applications and managing Ports of Entry.
- Degree to which the Department has put in place plans, programmes, processes and or systems to effectively and efficiently manage the visa application and foreign visitor admittance processes in preparation for the 2009 FIFA Confederation Cup and the 2010 FIFA World Cup events.
- Progress the Department has made in the implementation of the plans for 2010.

Critical issues from previous reports on the two functions under review in the study namely, visa applications and port control, were also considered in the presentation and analysis of the findings.

4.2 KEY FINDINGS

4.2.1 Current State of Service Delivery in terms of Processing Visa Applications and Managing Ports of Entry

The study sought to establish the Department's current processes of visa applications and admitting foreign visitors into the country at Ports of Entry and to determine any delays or constraints in the processes. The study found the following with regard to visa applications and port control services:

4.2.1.1 Delays are experienced in the visa applications process

The Department has a clear step by step process for the processing of visa applications as well as service standards to be adhered to. In terms of these service standards the following seven steps should be completed within a period of five working days⁴⁷.

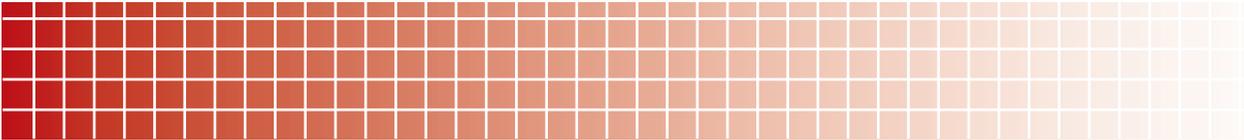
1. Locally Recruited Personnel (LRP) accepts application.
2. Application scrutinised for completeness of submitted documents.
3. Application registered and captured on Visa System.
4. DHA transferred official scrutinises application, does the necessary investigation and arranges for an interview with applicant (if necessary).
5. Visa approved and issued (if all requirements are met and no negative information found).
6. Records closed.
7. Passport and visa collected by applicant.

Note: Steps 1 – 3 are carried out by officials recruited from the country in which the specific foreign DHA office is based. Steps 4 and 5 are carried out by a South African DHA official based at the foreign office.

In essence, therefore, the applicant should be in possession of his/her visa within 5 days of lodging their applications. However, the Department has admitted that in some instances delays are experienced. Such delays are usually caused by incomplete application forms and the absence of required supporting documents. In such instances, the Department ends up spending more time on step 2 (application scrutinized for completeness of submitted documents) as the rest of the process depends on the availability of all the necessary information. This negatively impacts on the smooth processing of steps in the above mentioned process. Inevitably, incomplete applications are sent back to the applicants who are then required to supply the Department with the necessary supporting documents. In such instances, the five day turnaround time is not complied with.

With the increase in prospective visitors expected to visit South Africa for 2009 FIFA Confederation Cup and the 2010 FIFA Soccer World Cup, it is likely that there would be a greater influx of visa applicants. It is

⁴⁷ Republic of South Africa. Department of Home Affairs. DHA Enterprise Architecture. Administer Admissions. 2006.



also likely that as people will be in a hurry to get their visa applications processed, there may be an increase in the number of incomplete documents submitted and with this the concomitant delays. An encouraging observation in this regard is that when delays are experienced, they are not primarily as a result of poor service delivery on the part of the Department. Indeed, indications are that the Department is currently managing to process visa applications on time⁴⁸. For example, during 2007/08 the Department issued 558 375 visas and rejected 7 578 visa applications, and 95% of these were processed within the five (5) day standard turnaround time. However, while the current capacity may be adequate for now, it can be expected that there will be a high volume of visa applications during 2010 and that more capacity will be required to ensure that the 5-day turn around standard is maintained. In terms of the plans the Department has put in place for 2010, there is provision to bring on board additional staff to assist in this regard.

4.2.1.2 The Department's systems are not integrated or linked to one another

The Department's systems are not integrated and linked to one another and to the databases of other departments. For example, when a foreign visitor applies for a visa to enter South Africa while in his/her country, his/her details are only captured on the Visa System at the foreign DHA office. However, these details are not in turn transmitted to the Movement Control System (MCS) which *inter alia* provides information on risks that a prospective visitor holds for the country. A visitor's information is only captured on the MCS once they arrive at a Port of Entry. It is, therefore, possible that an undesirable person⁴⁹ can be issued with a visa in his/her home country and only be discovered when he/she arrives at a South African Port of Entry. With identity theft being on the increase globally⁵⁰ it is possible under these circumstances that an innocent person with a legitimate visa could be incorrectly identified as undesirable and refused entry to the country. If the Department's systems are integrated it will be possible to do the necessary cross-checks on time and to avoid such unnecessary inconveniences.

4.2.1.3 Delays are experienced in the Port Control Process

There are six (6) steps that must be followed in the port control process where foreign visitors enter the Republic. These steps⁵¹ are:

1. Accept passport and supporting documents (e.g. work permits, study permits and travel documents where, for instance, a visitor will be undergoing medical treatment in the country).
2. Validate passport against a list of requirements for a passport to be regarded valid. This list will include, for example, the expiry date and the authority who issued the passport.
3. Refuse entry (if passport is not valid). If the passport is valid, the DHA official will carry on with process steps 4 to 6.
4. Capture applicant's details onto the movement control system. The foreign visitor's personal and contact details, place of origin, destination in the country, reason and duration of stay are captured on this system. The information enables the DHA immigration officers to trace foreign visitors, should it be necessary.
5. Check warning list. The warning list contains details of, for instance, foreign visitors who have been declined entry in the past or have overstayed the period they had been allowed to stay in the country (as indicated on a travel permit or visa, where applicable).
6. Capture details of entry. These details confirm the date, time and point of entry into the country.

Note: All these steps are carried out in South Africa. Step 3 only takes place where the passport is found to be invalid.

On average it takes twenty (20) minutes to process the above eight (8) steps⁵². Taking into consideration the international best practice of interaction between a traveler and an immigration official of up to one

⁴⁸ Republic of South Africa. Department of Home Affairs. 2007/2008 Annual Report.

⁴⁹ In terms of the Immigration Act of the Republic of South Africa, Act No. 13 of 2002 a undesirable person includes any foreigner who is likely to become a public charge or is a fugitive from justice.

⁵⁰ Willox, N A, Regan, TM, O'Connor, C. Identity Fraud: Providing Solutions. Jpurnal of economic Crime Management. Summer 2002, Volume I, Issue I.

⁵¹ Republic of South Africa. Department of Home Affairs. National Immigration Branch – Administer Admissions. DHA Enterprise Architecture. April 2006.

⁵² During peak times the average time might be longer.

minute and 30 seconds (which the Department hopes to surpass), there is still room for improvement to minimise delays in the port control process⁵³. Based on its *in loco* inspections of selected PoEs, the PSC believes that the delays can be attributed to the fact that one Immigration Officer is expected to take a visitor through all the eight steps in the process. This would not necessarily be a problem if enough counters are open at a time to serve visitors. However, during its inspections the PSC found that only a few counters would be open to provide a service. In fact, on the day of the inspection at the Beit Bridge PoE, the PSC found that, although two counters were open, visitors were allowed to use only one as shown in **Picture 1** below.

Picture 1: Public Area at Beit Bridge Port of Entry



Customers queuing in front of one counter while an adjacent one manned by a Home Affairs official, is unused.

A further contributing factor to the delays is a lack of proper queue management systems at PoEs. The absence of such queue management systems often leads to uncertainty amongst service users, regarding which queue to stand in. Such uncertainty inevitable results in delays in service users getting served. There are also no floor walkers⁵⁴ to assist people with directions to relevant service counters. The PSC further found that at four of the PoEs (Oshoek, Lebombo, Beit Bridge and Skilpadshek) that the flow of clients is not managed into different rows and that the work processes are also not managed. (**Picture 2** below reflects the absence of a queue management system at Oshoek). This corroborates the results of a previous PSC study on the DHA which found, among others, that most delivery points did not have dedicated staff members who guide service users to appropriate counters⁵⁵.

Picture 2: Public Area at Oshoek Border Post

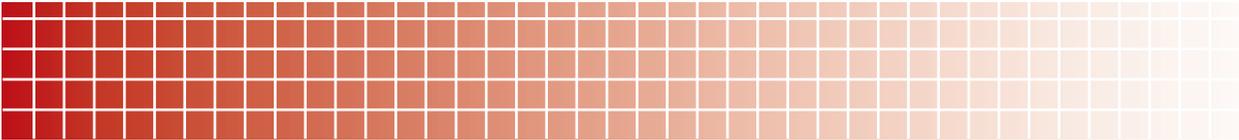


At many Ports of Entry the public area is very small and narrow and does not allow for a proper queue. Since there is no electronic queue management system in place, customers tend to bundle in front of the counters as shown in this picture of Oshoek Border Post.

⁵³ Republic of South Africa. Government Communication and Information System. New "event visa" to help process 2010 visitors faster. BuaNews. 9 December 2008.

⁵⁴ Floor Walkers are officials assigned to direct the public to the appropriate service counters.

⁵⁵ Republic of South Africa. Consolidated Report on Inspections of public Service Delivery Sites. August 2007.



4.2.1.4 The Department has made Special Arrangements at Ports of Entry to facilitate the entry and exit of bus passengers and dignitaries

The Department has minimised congestion at the arrival and departure areas. It has, for instance, moved away from the arrangement where all visitors would use the same queue (passengers of taxis/buses as well as cars). In some instances, dedicated Immigration Officers would board the buses in efforts to save passengers time in not having to alight buses/taxis, queue at the counters and board buses/taxis again. This arrangement has improved service delivery at the Land Ports of Entry in particular, and the arrival and departure areas are not congested. It also leaves foreign visitors with an impression of efficiency because of the shorter queues and expedited process.

In addition, at two of the Land Ports of Entry included in the study, namely, Beit Bridge (bordering Zimbabwe) and Lebombo (bordering Mozambique) provision is made for processing dignitaries or Very Important People (VIPs) at a separate counter. At Ports of Entry where this arrangement is not in place, dignitaries often complain that they have to queue during peak times for long periods to get through the borders. This is especially the case where queues are also not properly managed.

4.3 DEGREE TO WHICH THE DEPARTMENT HAS PUT IN PLACE PLANS IN PREPARATION FOR THE 2010 FIFA WORLD CUP EVENTS

The study sought to establish what plans, programmes, processes and/or systems the Department has put in place in preparation for the 2010 Soccer World Cup. It was found that the Department has developed detailed integrated plans (covering all relevant programmes such as visa applications and port control) with regard to the 2009 and 2010 FIFA events⁵⁶.

It was deemed prudent to establish whether the planning processes are including all the different role players at the different levels. The findings of the study show that at cluster level, the Department of Home Affairs worked with the other role players in the Justice, Crime Prevention and Security Cluster on the guarantees needed by the Local Organising Committee to ensure South Africa's hosting of the FIFA events. Although it was indicated that the Department's Provincial Managers were involved in the development of the 2010 plans for the PoEs, the managers of most of the PoEs visited by the PSC indicated that they were not directly involved in the process. The PoE managers felt that they should have been involved because they are well-positioned to know the challenges experienced in the PoE processes.

Overall, the plans address the following four critical priorities of the Department, namely, infrastructure development, strengthening Human Resource capacity, improving business processes and promoting communication.

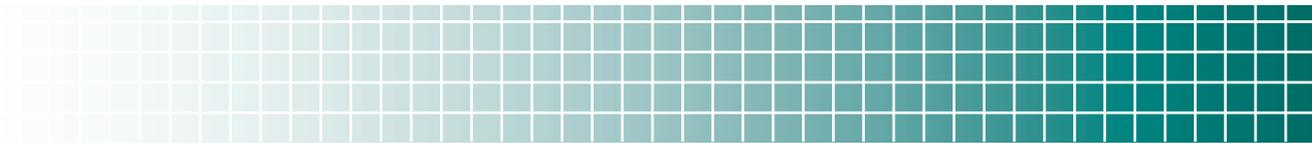
4.3.1 Infrastructure Development

The Department plans to introduce a system that will allow the sharing of airline passenger data to facilitate the pre-screening of passengers prior to their departure or arrival⁵⁷. Through this process, passengers posing a high security risk can be identified and even be prevented from traveling to the country. This is an important development considering that at the moment the systems in use are not allowing the Department to get a single view of information on each and every person that enters or leaves the country. The PSC found, for example, that currently there is no real-time connection between Ports of Entry and the mainframe systems of the Department. This leads to the inability of Ports of Entry to track the movement of foreigners claiming refugee status after they have left the Port.

The Department is also working closely with the Border Control Operational Coordinating Committee (BCOCC) to implement an infrastructure roll-out plan for Ports of Entry. The BCOCC has established an infrastructure committee which serves as a single point of contact in terms of infrastructural development and maintenance at the Ports of Entry. Having a Committee such as this is an important step towards

⁵⁶ Republic of South Africa. Department of Home Affairs. Powerpoint Presentation to the 2010 Inter-Ministerial Committee. August 2008.

⁵⁷ Republic of South Africa. Department of Home Affairs. National Immigration Branch – APP Business Case DHA Enterprise Architecture. April 2006.



improving the sharing of physical resources at Ports of Entry and ensuring that there are standards which all physical infrastructure at Ports of Entry are expected to meet. During its *in loco* inspections at the Oshoek, Lebombo, Beit Bridge, Skilpadshek and Maseru Bridge Ports of Entry, the PSC found, for example, that currently signage directing customers to the correct counter in terms of the specific service needed by the customer is inadequate. Although a corporate image has been established in other offices of the Department (rendering Civic Services), it was clear that the above PoEs still have to make do with their own improvisations in terms of signage or directing people.

4.3.2 Strengthening Human Resources Capacity

As shown in Chapter 3 of this report, the Department is faced with critical challenges in the area of human resource management and capacity. These include high vacancy rate, posts that are not properly graded, among others. In order to address these and other challenges in preparation for 2010, the Department has developed human resource plans. The plans include the deployment of Airline Liaison Officers (ALOs) to advise on the acceptability of passengers and their travel documents prior to boarding, the appointment of more Immigration Officers at OR Tambo and Cape Town International Airports, the training of Foreign Affairs officials as Immigration Officers, the recruitment of volunteers to assist with queue management and special arrangements to fly extra officials from one Port of Entry to another to provide support during peak times.

The ALOs will be deployed to the various countries identified as posing a security risk, and will primarily advise on the acceptability of passengers and their travel documents prior to boarding. The ALOs will also render overall support to airline staff by providing training on the security features of South African passports, visas and other travel permits. One hundred and seventy six (176) new recruits will be deployed as Immigration Officers at the OR Tambo International Airports and Cape Town International Airport, where the biggest influx at prospective spectators are expected to enter the country for the two FIFA events. Addressing a business breakfast on 21 October 2008, the Minister of Home Affairs, Ms Nosiviwe Mapisa-Nqakula said that these officials will “start working shortly to ensure that they are well into a routine by next June and certainly by 2010”⁵⁸.

During the peak times, to ensure that all the critical PoEs have the necessary human resource capacity, special arrangements will be made to even fly in extra officials from other Ports of Entry to provide the necessary support. These arrangements will be applied where unexpected numbers of prospective visitors would be experienced. For example, if the system shows that two extra planes of visitors are flying in at OR Tambo International Airport from London at a particular time, arrangements would be made to get extra personnel at OR Tambo International Airport to process their arrival. Furthermore, should the system indicate that three (3) buses would be coming in at Beit Bridge Border Post, the teams on “stand-by” will be flown in to that PoE to fast-track the processing of passengers’ entry into the country. It was not clear whether these arrangements had been costed in detail and whether all practical arrangements had been worked out.

Clearly, these are simply interim arrangements to deal with the service delivery demands that the FIFA World Cup may impose on the Department. In the long run, the Department will still have to ensure that the fundamental human resource management challenges inhibiting service delivery are dealt with decisively. These include establishing and sustaining a culture of accounting for performance, ensuring rigour in the recruitment and selection processes of senior managers and retaining staff.

4.3.3 Improving Business Processes

The effectiveness of the current business processes of the Department is uneven, with visa applications being managed better while the port control processes still manifest key weaknesses. The high volume of visitors expected during the 2010 FIFA World Cup will most probably put pressure on these business processes with the risk that quality and turnaround times may be affected. The Department has, therefore, developed initiatives to improve business processes at the PoEs and foreign missions. These include the

58 Vivian Warby. South Africa 2010 website. Special visa for Confederations Cup and 2010. 21 October 2008.

clearance of visitors prior to their departure from their home country, the installation of intelligent travel document readers to ascertain the authenticity of travel documents and the introduction of a special events visa.

The clearance of visitors prior to their departure from their home country will be facilitated through the installation of an Advanced Passenger Information (API) and an Advanced Passenger Processing (APP) system. The system will allow the sharing of airline passenger data to facilitate the pre-screening of passengers prior to departure or arrival⁵⁹. The pre-screening will be based on the information provided by airlines collected from the remote airport and will be applicable to all passengers and crew traveling by air to South Africa. Through this process, passengers posing a high security risk can be identified and even be prevented from traveling to the country.

The installation of intelligent travel document readers will be another feature in the package of systems that minimise risks and speed up service delivery at Ports of Entry. The system will expedite the capturing of travellers' information and contribute towards reducing fraud and corruption at the Ports of Entry.

A further development which seeks to improve the effectiveness and efficiency of the management of the immigration processes would be the introduction of a special events visa. The visa will be issued free of charge to visitors and will offer them convenient access to the country through various ports of entry.

However, the PSC found during this study that one of the critical areas the Department needs to also address is the interface of its services with those of other agencies such as the South African Revenue Services. Currently, the integration of services is not optimal, leading to delays at Ports of Entry. At the Beit Bridge Border Post, for instance, a 4½ kilometer queue of trucks was observed during the unannounced visit by the PSC, as shown in **Picture 3** below. While the long queue could quite readily be blamed on the Department by uninformed passers-by, the delays were, in fact, as a result of the South African Revenue Services (SARS)' processes. Given the large amount of cargo that normally moves across the Beit Bridge border, SARS has a critical responsibility to ensure that the necessary customs declarations are done by the visitors and are accordingly verified.

Picture 3: Four and a half kilometer queue of trucks at Beit Bridge

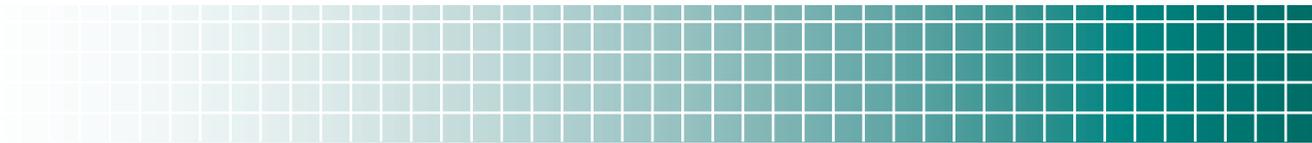


Often queues like these are wrongly attributed to the inefficiency and ineffectiveness on the side of the DHA while delays in the processes of SARS are actually the cause of the delays.

4.3.4 Promoting Communication

All the efforts of the Department towards delivering improved services during the 2010 FIFA World Cup may not amount to much unless they are accompanied by an effective awareness raising campaign which informs the public about what is available as well as their responsibilities. In this regard, communication

⁵⁹ Republic of South Africa. Department of Home Affairs. National Immigration Branch – APP Business Case DHA Enterprise Architecture. April 2006.



material will be developed for use by the Department internally (e.g. the website) as well as externally by travel agents, airlines and the media to market the event-specific services of the department e. g. the special events visa, the scanning of passports and the dedicated or express lanes. The requirements to qualify for the events visa will also be published to inform prospective visitors about the process that will be followed in admitting them to the country. However, the PSC believes that the Department should infuse its successes/achievements into its external communication. This will change the negative perceptions about the Department and restore confidence in its services.

4.4 PROGRESS THE DEPARTMENT HAS MADE IN THE IMPLEMENTATION OF THE PLANS FOR 2010

The study sought to establish the progress the Department has made in implementing its plans for 2010. According to progress reports to the Inter-Ministerial Committee on 22 October 2008⁶⁰, the Department was on track in its implementation of critical measures to ensure its readiness to effectively and efficiently facilitate the movement of the estimated numbers of foreign arrivals at Ports of Entry in 2010.

4.4.1 The Department has put in place Mechanisms for Monitoring the Implementation of Plans for 2010

Considering the plans the Department has put in place for 2010, it is imperative that an effective mechanism for monitoring implementation is implemented to help track progress and identify areas where timely action needs to be taken. The Department has, with the assistance of the TAP, put plans in place to address most of the challenges it has identified in its preparations for 2010. However, no system could be identified at the offices visited that would be effectively and efficiently monitoring the plans and the impact such plans will have on service delivery and the performance of the PoEs. Instead, the Department uses a basic system whereby PoEs report statistics to Head Office. The statistics is used, for instance, to estimate expected numbers of visitors at peak times or special celebrations in neighbouring countries. Numbers of fines and amounts paid are also reported for audit purposes in a manual system. The different data sheets on each of the aforementioned data fields are not linked in one system or database, and can therefore only be used for planning in the specific functional area. Having the different data fields linked to one another will facilitate better planning for resources and procurement processes, amongst others. It should, however, be acknowledged that a useful monitoring mechanism which the Department currently has is the one used for the Turnaround Programme. In this Programme reports are provided on a weekly basis to top management of the Department on progress with the implementation of the 2010 projects. Such reporting should, among others, help draw the attention of management to critical challenges.

4.4.2 There are still Challenges and Constraints Experienced by the Department in Implementing the Plans for 2010

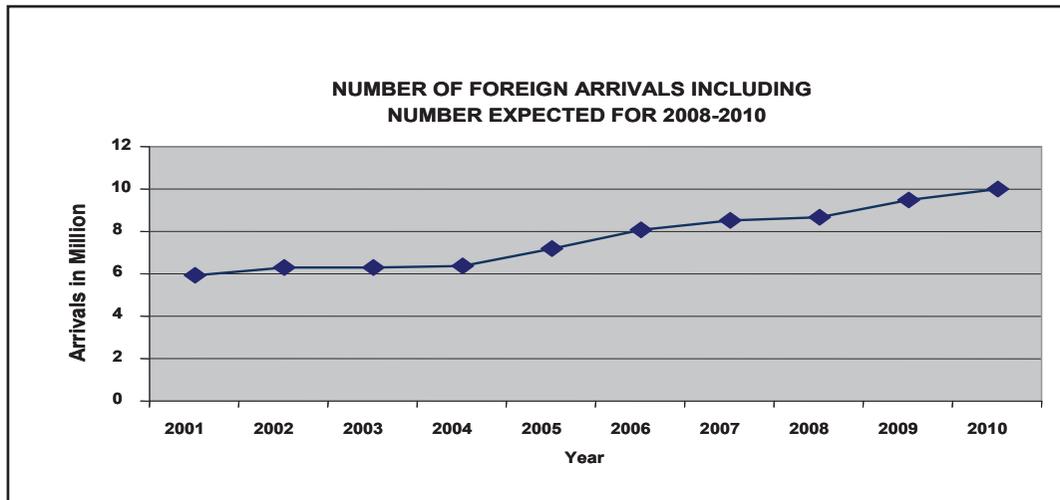
The implementation of the plans for 2010 is largely still in progress and the PSC is thus mindful of the fact that under the circumstances it may not be possible to definitively pronounce on all the challenges, constraints and successes. Nonetheless, certain important challenges have been identified for further consideration and these are discussed below.

4.4.2.1 A Huge Number of Visitors is Expected During 2010

The Department regards the high number of foreign visitors expected to enter South Africa for the two FIFA events as a challenge because of the strain they are likely to put on the Department's resources for managing Ports of Entry. As **Figure I** below shows, the expected increase in foreign arrivals for 2008 to 2010 will rise from 8,3 million in 2008 to 10 million in 2010.

60 Republic of South Africa. Department of Home Affairs. Report to the 2010 Inter-Ministerial Committee. 22 October 2008.

Figure 1: Increase in number of foreign arrivals from 2001 to 2010 (including estimations for 2008 to 2010)



Earlier in this Chapter an overview of the Department's plans for 2010 with regards to the management of the Ports of Entry was provided. Clearly, there are concerted efforts to ensure that the expected increase in foreign arrivals is managed effectively at the PoEs. However, an important consideration would be to ensure that the implementation of the plans is timely and effective enough so that the PoEs can indeed rise to the occasion and meet the demands of 2010.

4.4.4.2 An Increase in Visa Applications is Expected

With the increase in foreign visitors visa applications will also increase. This will place an extra burden on foreign missions and will require that the Department carefully review its visa processes. A particular challenge that the Department envisages in this regard, is in terms of the foreign missions in which there is currently no Department of Home Affairs representation⁶¹. Fortunately, as part of its plans for 2010 the Department has made provision for training foreign affairs officials in these missions so that can stand ready to assist with the processing of the visa applications. What is reassuring is the fact that the visa application process seems to be managed well at the moment with turnaround times being adhered to. The challenges will, therefore, be largely around taking to scale a process that is already working well.

4.4.4.3 An Increase in Inspectorate Functions is Expected

The study established that an increase in prospective visitors entering the country will lead to an increase in inspectorate functions⁶². With more people entering the country it is also estimated that the number of opportunistic, unlawful foreigners entering the country will also increase as well as the opportunities for the Department of Home Affairs' officials to become involved in fraud and corruption. All these challenges will place an extra burden on Ports of Entry as well as foreign missions and will require an increased allocation of resources to these offices.

4.4.4.4 The Department still has a High Vacancy Rate in Critical Posts

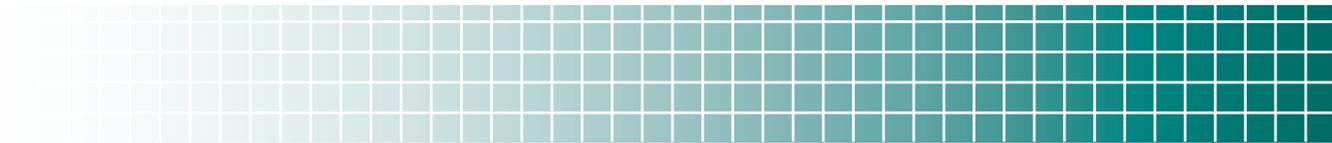
The appointment and proper deployment of skilled officials is one of the most critical priorities facing the Department. Reports show that the Department is making progress in this regard, where for example, 1636 critical posts were filled by the end of the 2007/08 financial year⁶³. In addition, 161 Immigration officers were trained and graduated from the South African National Academy of Intelligence⁶⁴.

⁶¹ In some foreign countries the Department of Home Affairs is not represented and the functions are run by the Department of Foreign Affairs on behalf of the Department.

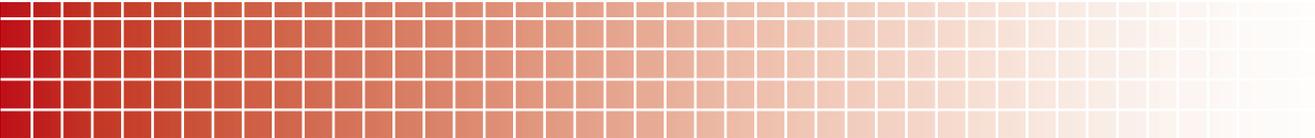
⁶² Inspectorate functions are performed by Immigration Officers at PoEs to, among others, identify people being in the country unlawfully.

⁶³ Republic of South Africa. Department of Home Affairs. Budget Vote Speech by the Honourable Minister of Home Affairs. 10 June 2008.

⁶⁴ Republic of South Africa. Department of Home Affairs. Media release. 8 December 2008.

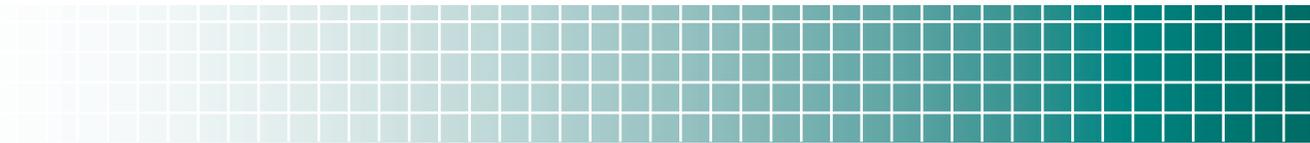


However, it would be important for the Department to accelerate its recruitment and training initiatives to ensure that by the time the 2009 and 2010 FIFA events take place, the officials have already been inducted into and they are settled in their jobs.



Chapter Five

Conclusions and Recommendations



5.1 INTRODUCTION

The DHA will play a significant role towards South Africa's hosting of the 2009 FIFA Confederation Cup and the 2010 FIFA Soccer World Cup. The Department is responsible for issuing visas to all foreign visitors to the country and for the management of Ports of entry where visitors enter the country. The chapter presents the conclusions and recommendations derived from the study. Recommendations are presented according to the themes derived from the specific objectives of the study.

5.2 CONCLUSION

Overall, there is encouraging progress in the current and planned processes for the management of visa applications and Ports of Entry. Among others, turnaround times for issuing visas have largely remained within the stipulated service standard of five (5) days and detailed plans have been put in place to make Ports of Entry more effective and efficient. However, the Department still faces a number of challenges and constraints, and this will need to be attended to as part of efforts to prepare for 2010 and beyond. The following summarises the main findings of the study:

Delays are experienced in the visa applications and port control processes

Delays in the visa applications process are experienced as a result of incomplete visa applications and not as a result of inadequate capacity on the side of the Department. The study also found that there is a lack of proper queue management systems at PoEs. The absence of such queue management systems often leads to uncertainty amongst service users, regarding which queue to stand in. However, the Department has implemented special arrangements to minimise congestion at the arrival and departure areas.

The Department has put in place plans in preparation for the 2009 and 2010 FIFA World Cup events

It was found that the Department has developed detailed integrated plans (covering all relevant programmes such as visa applications and port control) with regard to the 2009 and 2010 FIFA events. The plans address the following critical priorities:

Infrastructure development

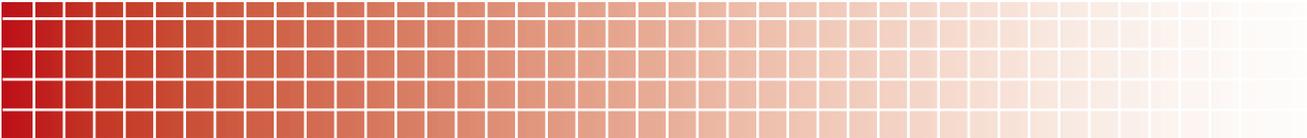
The Department plans to introduce a system that will allow the sharing of airline passenger data to facilitate the pre-screening of passengers prior to their departure or arrival. The Department is also working closely with the Border Control Operational Coordinating Committee (BCOCC) to ensure that the basic infrastructure at the Ports of Entry is in place and maintained.

Strengthening human resources capacity

The Department is faced with critical challenges in the area of human resource management and capacity. These include a high vacancy rate and posts that are not properly graded, among others. In order to address these and other challenges in preparation for 2010, the Department has developed human resource plans.

Improving business processes

The effectiveness of the current business processes of the Department is uneven, with visa applications being managed better while the port control processes still manifest key weaknesses.



Promoting communication

All the efforts of the Department towards delivering improved services during the 2010 FIFA World Cup may not amount to much unless they are accompanied by an effective awareness raising campaign which informs the public about what is available as well as their responsibilities.

The Department has made progress in the implementation of the plans for 2010

According to progress reports to the Inter-Ministerial Committee on 22 October 2008⁶⁵, the Department was on track in its implementation of critical measures to ensure its readiness to effectively and efficiently facilitate the movement of the estimated numbers of foreign arrivals at Ports of Entry in 2010. The study found the following:

The Department has put in place mechanisms for monitoring the implementation of plans for 2010

The Department has, with the assistance of the TAP, put plans in place to address most of the challenges it has identified in its preparations for 2010. However, no system could be identified at the offices visited that would be effectively and efficiently monitoring the plans and the impact such plans will have on service delivery and the performance of the PoEs.

There are still challenges and constraints experienced by the Department in implementing the plans for 2010

The Department is still experiencing challenges and constraints in implementing plans for 2010. These challenges include the huge number of visitors expected during 2010, the expected increase in visa applications and the expected increase in Inspectorate functions.

5.3 RECOMMENDATIONS

The following are the key recommendations of the study.

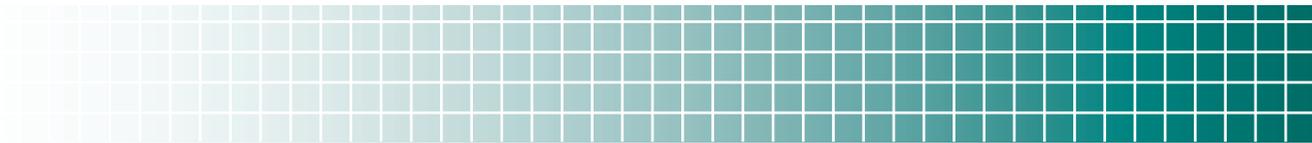
5.3.1 Filling of Posts

The vacancy rate in the Department has been identified in the past by almost all the intervention teams as a critical issue that the Department had to address. The human resource section of the Department is very critical in the filling of posts, by ensuring that the critical posts are advertised, candidates are short listed and interviews are conducted and recommended candidates are finally appointed. It is recommended that the Department ensures that the filling of posts is treated with urgency.

5.3.2 Leadership Drive to Ensure Responsibility for Implementing Turnaround Plans

The Department seems to have dealt with some of the key recommendations from the previous intervention teams. Senior officials with skills and vision have been appointed. However, this has not filtered down to the rest of the senior management team as well as lower level officials. It is recommended that the Department fast-track the implementation of previous recommendations and turnaround plans. Officials at all levels should be involved in this drive and in decisions about their processes, especially officials at Ports of Entry officials. Not only will this contribute to staff morale but also to everybody taking responsibility for service delivery and for the Department's performance. Clearly allocating responsibility for the implementation of turnaround plans in managers' PAs will ensure accountability for the implementation of the plans, even after the contract of the current Turnaround Programme has come to an end.

⁶⁵ Republic of South Africa. Department of Home Affairs. Report to the 2010 Inter-Ministerial Committee. 22 October 2008.



5.3.3 Monitoring and Evaluation

A proper monitoring and evaluation system should be introduced to provide management with reliable and up-to-date information on the performance of programmes, including the two programmes under review in this study. The system should be linked to all reporting systems. Such a system will provide management with early warning signals of poor performance or possible collapse in services. It will also facilitate the allocation of responsibility for specific programmes.

The system could also include a section on customer satisfaction where feedback from customers is obtained on a continuous basis and in a systematic way. Such feedback is invaluable in decisions on improved service delivery. Feedback from other stakeholders on the Department's performance could also be linked to this system and would be very useful in avoiding a breakdown in services.

The reporting structure proposed by the Turnaround Programme should be tested by the Department in reporting progress on the implementation of the various sub-projects of the 2010 Programme. The Department should, however, take full responsibility for reporting and monitoring to ensure that there is skills transfer from the Turnaround Team to the responsible managers in the Department.

5.3.4 Process Guidelines on New Processes

Given that the department plans to introduce new processes and systems to improve the delivery of immigration services it should ensure that the necessary procedure manuals and or guidelines are available at the Port of Entry or foreign mission where the processes and systems are introduced. This will ensure consistency and efficiency in the way customers are handled at these offices. These manuals as well as training modules should be amended as and when systems and processes are amended.

5.3.5 Immigration Services declared Critical Services

Immigration services have become specialised services and these officials also undergo special training. As indicated in par 1.2 above, the effectiveness and efficiency with which these services are carried out during the FIFA events in 2009 and 2010 will have a definite impact on the overall success of South Africa hosting the events. It is, therefore, imperative that these services are declared critical services and that the necessary dispensation for Immigration Officers is introduced to ensure that unforeseen strikes amongst them do not debilitate the Department's Immigration Services during the 2010 FIFA event.

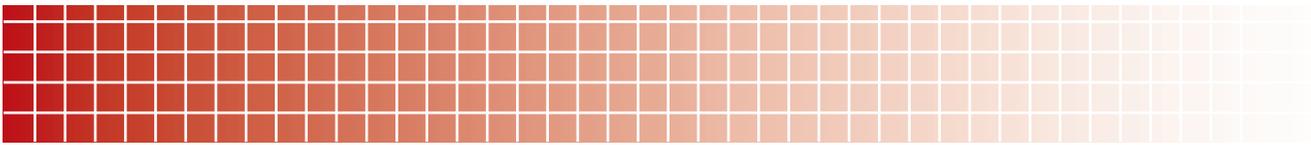
5.3.6 Sharing the Responsibility for the Performance of a Port of Entry

The BCOCC should establish a subcommittee to address issues of integrating service delivery and sharing responsibilities for the performance of the PoE. Only when all the role players at a Port of Entry take full responsibility for the functions that they are mandated to perform will it succeed in facilitating the effective and efficient movement of goods and people across the border. It will also ensure that the Department of Home Affairs does not get blamed for the inefficiency and ineffectiveness of other departments involved at the PoEs.

5.3.7 Improving Communication on the Products and Services of the Department

The Department should ensure that it beefs up its communication mechanisms so that members of the public can be better informed about the services on offer, the standards the Department has committed itself to observe and the requirements for accessing the services. In addition, the Department should communicate its successes and achievements to restore the confidence of the public in its ability to render services.

In making the above recommendations the PSC is fully aware that some of them may have resource implications and that, therefore, certain trade-offs may have to be made in this process. However, the PSC believes that such trade-offs would be in the interest of strengthening the capacity of what is clearly



the very central state institution in efforts to successfully host the 2010 FIFA Soccer World Cup. Indeed, the benefits of having an effective and efficient Department of Home Affairs will last longer than the 2010 event itself and will be felt in many other areas of Public Service delivery.



