

AUDIT
OF
THE CANADIAN HIGH COMMISSION
PRETORIA
(including Johannesburg and Cape Town)

JULY 2003

Audit Division (SIV)

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EXECUTIVE SUMMARY

An audit of the General Relations, Consular, and Administration Programs in South Africa was conducted in Pretoria during the period April 29 to May 7, 2002, and in Cape Town on May 2, 2002. An audit of the International Business Development Program (IBD) in South Africa was conducted in Johannesburg on May 2 and 3, 2002. Pretoria (including Johannesburg and Cape Town) was last audited in May 1995.

The Immigration Program in South Africa was audited separately but concurrently in Pretoria by a team from Citizenship and Immigration Canada. Interface issues between the two audits in the areas of Finance, Physical and Human Resources, and Information Technology were addressed collaboratively. The DFAIT aspects of such issues appear in the relevant sections of this Report.

MANAGEMENT OF THE MISSION

The Mission is managed on the basis of 'one mission - three offices'. It is long established and well managed, despite the challenges of the numerous high level visits and having to deliver its programs through three separate offices. Communication and co-ordination between the offices are very good, and special efforts are made to engender a teamwork atmosphere. The HOM also devotes time to her multilateral responsibilities in Nairobi. Her responsibilities are therefore divided amongst four sites, which has added to the challenges of Mission management but not decreased its quality. All Mission programs are individually well managed.

GENERAL RELATIONS PROGRAM

Frequent high level visits and shortage of resources have forced a reactive style of reporting. A new junior Political Officer position to be added this summer will alleviate some of the pressure in Pretoria. The Political Officer and sole CBS in Cape Town currently reports to the GR Program Manager in Pretoria. Because of the multiple roles he plays in Cape Town, he should report to the HOM, with whom he interacts directly. The Mission has recommended to Headquarters that a Consul General be appointed in Cape Town, but a final decision has not been made. To ease the administrative burden on this officer, Pretoria should assume more of the administrative responsibility for Cape Town.

INTERNATIONAL BUSINESS DEVELOPMENT PROGRAM

The same visits situation has forced this Program into a reactive mode as well. Increased outcall activity is planned, and Headquarters (TCS) is being asked to provide outcalls skills training and tools development for the benefit of Johannesburg,

and of missions generally. Johannesburg should increase its activity reporting in WIN Exports Online to include all services provided to Canadian companies. The four other countries of accreditation should be visited at least once annually. The roles and responsibilities of the Mission's Honorary Consuls in the delivery of the IBD Program should be clarified and formalized in written agreements with each one, and an Additional Service Provider list should be developed for each of their regions.

CONSULAR PROGRAM

The Consular Program is well managed and delivered effectively. Consular Emergency Contingency Plans for South Africa, Swaziland and Namibia should be completed.

ADMINISTRATION PROGRAM

The Program operates more in an organic than in a visibly structured manner. This works well given the inspirational management style of the Program Manager, but it may not serve others as well. Roles and responsibilities need to be clarified and formalized for all administrative services performed by Pretoria. Similarly, relationships and respective roles and responsibilities need to be clarified with respect to services provided to Johannesburg and Cape Town. This would include standards and levels of service, training, and schedules of regular visits to the other offices. Information Technology services need special attention in this regard. A procedure for Immigration applicants to deposit their visa fees directly to the Mission's bank needs development, with the direct attention of the MCO to ensure successful implementation. Employer/employee relationships involving long-serving individuals retained on contract or in unofficial term positions need to be regularized.

RECOMMENDATION STATUS

There were 34 recommendations contained in this report, 32 of which applied to the Mission and two for which Headquarters is responsible for implementation. The current status finds that the Mission has implemented 16 of the recommendations and 16 are in the process of being implemented. The two Headquarters recommendations have been implemented.

MANAGEMENT OF THE MISSION

1.1 Overview

1.1.1 The Mission, which operates on the principle of 'one mission - three offices', is long established and well managed by a dynamic HOM who divides her time among the three offices in addition to her multilateral responsibility as Chair of the Board of Trustees of the International Centre for Research in Agroforestry in Nairobi. Morale is high, and the HOM devotes special attention to maintaining an open-door accessibility for all staff. Special efforts are made to ensure that regular contacts and availability are maintained for staff in Johannesburg and Cape Town.

1.1.2 The Mission provides services through Pretoria (CIDA, Immigration, Defence Relations, General Relations, Consular, Administration), Johannesburg (IBD), Cape Town (GR, Consular), and four Honorary Consuls (Durban, Port Louis (Mauritius), Maseru (Lesotho), and Windhoek (Namibia)). The other countries of accreditation are Lesotho, Swaziland, Namibia and Mauritius.

1.1.3 The management of the Mission is complicated by the large number of high level visits, e.g., the World AIDS Conference (2000), World Conference Against Racism (2001), the visit of the Prime Minister (April 2002) and the World Summit on Sustainable Development (August-September 2002). MINT led a major trade mission to South Africa (as well as Senegal and Nigeria) in November 2002. Events of this scope inevitably affect the delivery of the Mission's programs. South Africa is assuming a larger Southern African and continental African regional role, and the Mission's coverage of these aspects is being correspondingly stretched. South Africa together with Nigeria and Senegal are the three countries of focus for Canada's NePAD initiative.

1.1.4 The HOM is required to spend approximately three months each South African Autumn in Cape Town while the Parliament is sitting, and to make frequent visits throughout the year. While there, she still maintains her overview of operations in the other two Mission offices.

1.1.5 A junior Political Officer position has been approved for Pretoria, as a reflection of the workload generated by visits, regional responsibilities, and the HOM's periodic absences from Pretoria. An additional factor in this regard will be the loss of the political work currently being performed by the CBS Assistant to the GR Program Manager in Pretoria, when she eventually leaves the Mission.

1.2 Communications

1.2.1 CMM meetings are held regularly, with Johannesburg and Cape Town represented by telephone. Mission retreats are also held semi-annually at which program managers share information on medium-term priorities and seek ways to enhance synergy across Mission programs and among the three offices.

1.3 Visits Management

1.3.1 There are frequent references in this report to the impact of the high level visits on the delivery of the Mission's programs. A significant impact not previously mentioned is the acquisition by Mission staff at all levels of a high degree of expertise in administering and managing these visits. They are extremely complicated, time-consuming, expensive and frustrating projects to manage, especially in a developing world environment. In Pretoria's case it would not be difficult to imagine that visits management could well become a separate section if the current frequency persists. In Beijing, a separate Visits Section was created.

1.3.2 Pretoria's expertise should not be lost as a result of staff rotation. Successors (and even other missions) should be able to benefit from the Mission's accumulated experience and knowledge in visits management. A guide should be written from the mission's point of view outlining best practices, caveats, tools usage, and containing an empirical listing of logistics communications and synchronization points. The objective of such a guide would be the minimization of mistakes, and avoidance of duplication of effort in having to learn by experience what someone else already knows. The best authors of such a guide would be Mission staff who have experienced PM, Ministerial, Team Canada, etc., visits.

Recommendation for the Mission

1.3.3 Assemble a guide on how to manage high level visits in South Africa.

Mission Action and Timeframe

1.3.3 To be completed by August 2003.

GENERAL RELATIONS PROGRAM

2.1 Overview

2.1.1 The General Relations (GR) Program manages bilateral relations with South Africa and the four countries of non-resident accreditation (Lesotho, Namibia, Swaziland and Mauritius). It analyzes the political, economic, financial and trade developments of South Africa primarily. The other countries of responsibility are analyzed as they impact on Canadian interests. Reporting issues include democracy and good governance, human health and security, peacekeeping in Africa, elections in neighbouring countries, including Lesotho and Zimbabwe, and Commonwealth issues. Media and public relations are coordinated by this Section. Academic relations activities are also undertaken to support Mission programs and conferences. High level visits and conferences are a major aspect of the GR program's workload.

2.1.2 The General Relations Program is based in Pretoria, with one CBS resource located in Cape Town. The Minister-Counsellor/Program Manager is an FS-02 acting in an EX-01 position. He fulfills representational responsibilities of the High Commissioner when she is away from Pretoria and as Acting High Commissioner when she is outside the country. The Minister-Counsellor is assisted in the Pretoria office by a Locally Engaged Public Affairs Officer (LE-09) and a Canada-based Assistant AS-02. The other Canada-based Officer, a Counsellor (FS-02), is resident in Cape Town where the main portfolios are parliamentary reporting, supporting of visiting delegations and the Consular Program.

2.2 Management of the Program

2.2.1 This is a busy program with limited staff resources. The Mission has managed a significant number of high-level events, including three visits from the Prime Minister in the past 33 months, as well as major world conferences, and has done so very well. Major conferences require considerable resources from the Mission and divert efforts from routine responsibilities, especially reporting. As a result, the GR Program operates largely in a reactive mode. Routine reporting to Headquarters tends to be responsive and is carried out as other demands allow.

2.2.2 The workload has been managed successfully by key staff working long hours, by maximizing the use of support positions, especially the CBS Assistant, and by determining which priorities can be handled with current resources. The Mission recognizes that these are temporary solutions. Two years ago the Mission was unsuccessful in its bid to obtain a junior Trade or Political Officer position. In May 2002, another bid was made for that position based on the potential that South Africa has as a political and economic partner for Canada. An FS-01 officer was posted to Pretoria this Summer. Unfortunately, the Mission will lose the political work being done by the

CBS Assistant, when she leaves the Mission. She has been devoting approximately half of her time to work at the junior political officer level.

2.2.3 In the Fall of 2000, the Program Manager initiated a one-day session for all General Relations staff (including the Cape Town CBS) and other program managers to review the reporting and communication requirements and to integrate the plans of the Section with the plans of other Mission programs. This initiative was successful, and it was decided to hold such retreats regularly. These half-day retreats are now held semi-annually, include all program managers and are chaired by the Minister-Counsellor.

2.2.4 Working with the Program Manager in Pretoria is the Public Affairs Officer whose focus was primarily on economic reporting (70%), with the remainder (30%) allocated to political reporting. More recently the distribution of her work has shifted to approximately 20% economic reporting, 20% political reporting with the remaining 60% devoted to public and media relations.

2.2.5 Since January 2002, the Public Affairs Officer has been responsible for the Mission's central registry of visits and events, a crucial communication tool for harmonizing three separate offices each with busy schedules. She also had responsibility for the Mission's own Internet site and worked with the Consular Assistant to develop and maintain the site. As of July 2002, this site is hosted by SXIA at Headquarters as part of the Government-on-Line services. Usage reports indicate that the most popularly visited sections are Immigration and Consular, and the importance of the site for media and public relations is being addressed as mission-critical information. Maintaining and upgrading the website require considerable resources and have affected the delivery of other components of her work package such as political and public affairs reporting. Her job description should be updated to reflect current duties.

Recommendation for the Mission

2.2.6 **Review and update the job description for the Public Affairs Officer position.**

Mission Action and Timeframe

2.2.6 **Completed.**

Cape Town

2.2.7 The Political Officer in Cape Town spends about half of his time on General Relations matters. The other half is devoted to overseeing Consular and Administrative issues, as he is the sole CBS in Cape Town. The amount of

administrative work undertaken by the Political Officer in Cape Town, as opposed to being done from Pretoria, is addressed in the Administration Section of the Report. With improved training and communications, and articulation of the respective roles and responsibilities of the two offices, the administrative burden of the Political officer should be reduced.

2.2.8 From the perspective of the GR Program Manager in Pretoria, it is difficult to manage a half-time resource, especially from a distance. Also, the political reporting done in Cape Town is concentrated on Parliamentary affairs and on Namibia. Consideration should be given to a change in the reporting relationship. Instead of reporting to the Program Manager in Pretoria, the Canada-Based Officer in Cape Town should report to the HOM with whom he works directly.

Recommendations for the Mission

2.2.9 Increase the time the Political Officer in Cape Town devotes to the GR Program by reducing his Consular and Administration workload.

2.2.10 Review the reporting relationship of the Political Officer in Cape Town with a view to having that position report to the Head of Mission.

Mission Action and Timeframe

2.2.9 A review of this workload will be completed by August 2003. It will be reduced by a combination of more frequent visits from Pretoria, and by Pretoria assuming more of the workload.

2.2.10 To be completed after the arrival of the new HOM during the Summer 2003.

Planning

2.2.11 The HOM and the Program Manager set general reporting priorities for the Program, i.e., South African political issues, reform of the Commonwealth, South Africa's role in the Non-aligned Movement, peacekeeping in Africa, and human rights and security issues in the region.

2.2.12 The priorities for the year 2002 have been the New Partnership for Africa's Development (Nepa), the African agenda for the G8 Summit in Kananaskis, monitoring the South African aspects of the political situation in Zimbabwe, WSSD, PM visit in advance of G-8 Summit, and Small Arms. The Program Manager regards the Branch Business Plan and Mission Plan as consistent with program work but possibly not comprehensive. For example, the Prime Minister's visit and the World Summit on

Sustainable Development (September 2002 in Johannesburg) are not in the GGD plan. Crisis management relating to the Zimbabwe situation has further strained resources.

2.2.13 The Geographic Bureau at Headquarters (GGD), particularly in the past year, has experienced a significant turnover of personnel with some positions vacant and others filled with term staff. This has had an inevitable impact on the flow of information between HQ and the Mission.

2.2.14 In terms of regional responsibilities, Cape Town covers Namibia, as mentioned previously, and Pretoria looks after Lesotho, Mauritius, Swaziland and the South African aspects of the crisis in Zimbabwe. There has been some discussion about whether South Africa should assume responsibility for Angola, Botswana and Mozambique from Harare. The role of Pretoria as a southern Africa hub for Canadian interests is logical because of South Africa's infrastructure, academics, think-tanks, and its efforts on regional conflict resolution and peacekeeping.

2.3 Reporting

2.3.1 As above, the emphasis has been on Zimbabwe, visits by the Prime Minister, the G8 Summit in Kananaskis and Small Arms. There has been little feedback or expression of interest from the E-Branch, and as noted earlier, reporting has been mainly reactive. A file review confirmed a limited number of reports.

2.3.2 At the time of the review, the mission had limited capacity and no budget to cover cultural affairs. If Canadian institutions have such interests in Africa, then South Africa would be the logical choice as a base of operations, since it is the traditional venue for events with an all-Africa dimension. Given its size and cultural diversity, South-Africa-specific events are also worthy of note.

INTERNATIONAL BUSINESS DEVELOPMENT (IBD) PROGRAM

3.1 Overview

3.1.1 When the International Business Development (IBD) Program in South Africa was re-established in 1993, it was relocated to Johannesburg, the commercial centre of the country. This Office is responsible for trade promotion in South Africa, Lesotho, Mauritius, Namibia and Swaziland. South Africa is Canada's largest trading partner in Sub-Saharan Africa and serves as a gateway to countries throughout the region for Canadian companies. Two-way trade has increased by 30% in the past five years. In 2000, the two-way trade was \$750 million, of which Canadian exports amounted to \$241.6 million (mainly wheat, sulphur and chemical wood pulp) while Canadian imports were \$508.4 million (mainly fruit, unprocessed platinum and ferro chromium). Two-way investment continues and South Africa is committed to market liberalization and deregulation. The Black Economic Empowerment policy presents new opportunities. The present weak value of the South African currency restricts imports and limits investment opportunities. Supported by funding from CIDA, the Canadian Alliance of Business in South Africa (CABSA) focusses on value-added partnerships. The IBD work in Johannesburg focuses primarily on trade.

3.1.2 Numerous large Canadian companies have invested in South Africa, and large South African mining conglomerates are already well established in Canada although there are opportunities for increased investment. The priority sectors for Canada in South Africa are information and communications technologies, mining and the environment. *** Constraints faced by Canadian companies include distance of the market, historical linkages between South Africa and Europe, limited knowledge about Canadian goods and the relative weakness of the currency.

3.1.3 The Mission has successfully handled numerous major visits without incremental staff. These events inevitably affect the delivery of the Mission's programs, including the IBD Program.

3.2 Management of the Program

3.2.1 The Program is well managed under the direction of an experienced Senior Trade Commissioner (STC). It is housed in an Office that is very functional and well located for clients. Approximately one Canadian business visitor is received per week. There are nine staff in the Johannesburg Office. The trade staff of six includes two CBS (the STC and a junior Trade Commissioner), two Commercial Officers, a Commercial Secretary/Assistant and a Receptionist/Trade Assistant. A competition was under way for one Commercial Officer at the time of the audit. Three non-trade staff include the Office Manager (currently vacant), a Driver and a part-time contract Cleaner/Officer Helper.

3.2.2 The titles on the organizational chart and the job descriptions need to be brought up to date to reflect current roles. The “Administrative Assistant” is the Office Manager. The “Secretary” acts as a full-time Commercial Secretary or Commercial Assistant, responding to general inquiries with standard letters and maintaining the incoming and outgoing registry of inquiries with the help of the Receptionist. The “Receptionist/Secretary” is devoting increasing time as a Trade or Commercial Assistant, with approximately 60% of her work devoted to trade matters.

3.2.3 The Johannesburg Trade Office considers that it has been under-served by the information technology function based in Pretoria. A Commercial Officer (CO) is the designated SIGNET Support Assistant (SSA). Both the STC and the CO feel that the CO should be devoted fully to trade work, and that another staff member should be the SSA, i.e. the Office Manager (see 5.5.7 and 5.5.8).

3.3 New Approach to Delivering Services

3.3.1 The six core services are being delivered, and for their other needs, clients are referred to the list of local service providers. Marketing material provided by the Trade Commissioner Service, including posters and brochures, is displayed prominently in individual offices and the public areas of the Office.

3.3.2 The sectoral responsibilities of officers are under review, and, when the new Commercial Officer is hired, some sectors will be redistributed. The STC is making efforts to ensure that the Commercial Secretary and the Trade Assistant/Receptionist handle more of the routine inquiries by using customized standard letters. Inquiries are logged to ensure that the five-day service standard is met. Telephone callers are asked to send their queries by fax or e-mail so the responses and their timeliness can be monitored.

3.3.3 About half of Johannesburg’s responsive workload is tracked in WIN Exports Online, including all core services that involve significant interactions with Canadian companies. Other services are not necessarily entered. Other services can be tracked in WIN Exports Online, and consideration should be given to entering all core services delivered as well as other services to reflect the workload more accurately. Local contacts are tracked in Mission WIN. Unfortunately Mission WIN predates the core service tracking of WIN Online, and therefore in the older system it is not possible to produce summary reports of core services delivered to local contacts.

Recommendation for the Mission

3.3.4 Enter all core services delivered to Canadian companies in WIN Exports Online. Other services should also be entered.

Mission Action and Timeframe

3.3.4 The officers understand that they must record all core services delivered in WIN Exports as these represent significant interactions with Canadian clients or partner-clients. Because of the time it takes to input tracks into WIN, officers find it difficult to track everything they do with clients as is being suggested.

3.3.5 The information on Johannesburg's Internet trade website is available and maintained with links to further details, services and resources. A list of local Additional Service Providers is posted and is updated as required.

3.3.6 Johannesburg has participated in the three Client Surveys, and an increasing number of clients have been provided for each successive survey. Clients gave service delivery a positive rating on a number of key indicators. Officers are in regular contact with the Post Support Unit. Business leads and sourcing requests are directed to the Department's International Business Opportunities Centre (IBOC).

3.3.7 Hospitality and travel diaries show that allocations were not fully utilized during the previous year. Part of the lapse is attributable to the arrival of the present STC in the summer of 2001, and to re-staffing one Commercial Officer position.

3.3.8 Officers do not get out of office as often as is desirable. All staff recognize that additional outcalls are necessary. The STC has set a target of one outcall per week for the Commercial Officer and this will be reviewed quarterly. This approach will be applied to all officers when the full staff complement is achieved. Like other trade offices, Johannesburg has indicated a need for training and tools for conducting outcalls, which have not been available previously. The Overseas Operations Division (TCS) has developed an outcalls module as part of its training program. Until Johannesburg can benefit from this training, officers would benefit from the STC accompanying them on some initial calls, as mentoring opportunities.

3.3.9 The Trade Office actively participates in programs such as the South Africa /Canada Chamber of Business, and, through the Black Management Forum, monitors issues concerning Black Economic Empowerment. As all trade work is handled from Johannesburg, the sectoral responsibilities of the officers extend throughout the country. Johannesburg staff feel that they do not have time to cover the regions sufficiently. Keeping the Program in one location is considered to be optimal, even if this means increased travel. The Honorary Consul in Durban makes few requests of the commercial staff in Johannesburg on trade matters.

3.3.10 The majority of trade effort is devoted to South Africa. During the past year, trade staff have not visited Lesotho, Namibia, Swaziland and Mauritius.

Johannesburg should plan for officer visits to each country to explore trade opportunities at least yearly, as part of an expanded outcalls initiative.

Recommendation for the Mission

3.3.11 Trade staff should visit each neighbouring country of accreditation at least annually.

Mission Action and Timeframe

3.3.11 Trade staff would be pleased to visit each neighbouring country of accreditation at least annually, time and resources permitting.

3.4 Honorary Consuls - IBD Activities

3.4.1 The High Commissioner is in regular contact with the Honorary Consul in Mauritius and travels there frequently. On trade matters, the Consulate in Mauritius operates more or less autonomously and handles inquiries largely by itself. Officially, all Honorary Consuls are advised to refer trade inquiries from Canadian businesses to the adjacent mission, in this case Johannesburg. To ensure that the Trade Commissioner Services are delivered consistently, an agreement should be developed with each Honorary Consul concerning the provision of IBD services in their region. Each Honorary Consul should be supported by an Additional Service Provider list for their region, that is also published on the Internet website. Staff in Johannesburg should assist in the development of these lists.

3.4.2 The training program offered in Canada for Honorary Consuls by the Consular Affairs Bureau (JPD) outlines the procedures for handling trade inquiries. This information should also form part of the training provided to IBD Program Managers leaving Ottawa for their new postings.

Recommendations for the Mission

3.4.3 Clarify the roles and responsibilities of the Honorary Consuls in the delivery of the IBD Program in their regions, and incorporate the results in written agreements.

3.4.4 Assist the Honorary Consuls in developing an Additional Service Provider list for their regions.

Mission Action and Timeframe

3.4.3 Completed.

- 3.4.4 One of the first tasks when we visit the regions will be to develop the Service Provider list for these regions with suggestions and input from the Honorary Consuls residing there.**

Recommendation for TCS

- 3.4.5 Provide outgoing IBD Program Managers with information on the roles and responsibilities of Honorary Consuls in delivering the IBD Program.**

TCS Action and Timeframe

- 3.4.5 Annually, TCS already briefs new Honorary Consuls on their reactive role to trade inquiries and advises them to contact the Program Manager at the supervising mission. During the training for outgoing IBD Program Managers in June 2003, TCS will incorporate information on the roles and responsibilities of Honorary Consuls in handling trade inquiries.**

Responsibility for Mozambique, Angola and Botswana

3.4.6 Because of the South Africa's superior infrastructure and direct air links, some consideration has been given to moving IBD responsibility for Mozambique, Angola and Botswana from Harare to Johannesburg. Implementing such a decision could not be accomplished without appropriate incremental resources (e.g., at least a Portugese-speaking officer). A previous request for such a position was submitted but was not approved.

3.4.7 In any expansion of Johannesburg's regional coverage, the general preference of the Trade Office would be for its officers to retain their existing sector portfolios and extend the regional coverage, rather than to assign specific regional (i.e. geographic) responsibilities to officers.

CONSULAR PROGRAM

4.1 Management of the Program

4.1.1 The Program is well managed by the Management/Consular Officer (MCO), who supervises a Senior Program Officer, a Passport Officer and a Consular Assistant/Webmaster. Staff are effective and knowledgeable. The Consular Assistant/Webmaster is back-up to the Passport Officer, who in turn backs up the Senior Program Officer. The Mission provides Consular services to all its countries of accreditation. COMIP reporting is up-to-date. Honorary Consuls send Consular documentation to Pretoria for input to COSMOS. Cape Town does COMIP reporting independently. Clients in Johannesburg are served by Pretoria.

4.1.2 The Consular Program has taken initiatives such as developing a series of information notices that respond to frequently asked questions. They are available to Canadians on the Mission's web-site or by fax/mail. The website is monitored daily by the Consular Assistant/Webmaster and updated to reflect current information. Updating and maintaining the web-site for all programs as well as Consular take up to 50% of his time but is not reflected in his job description.

4.1.3 Consular staff provide training in Pretoria to the Consular personnel in Nairobi and Harare. This is cost effective for the Department and provides a great opportunity for these employees to acquire on-the-job training.

Recommendation for the Mission

4.1.4 Update the Consular Assistant/Webmaster's job description to include the Webmaster functions.

Mission Action and Timeframe

4.1.4 Completed.

4.2 Service to Canadians

4.2.1 The Registration of Canadians Abroad (ROCA) is up to date and indicates 2,087 registered Canadians in South Africa and 299 registered Canadians in Mauritius, Lesotho, Swaziland and Namibia. The Mission and Honorary Consuls are proactive in encouraging Canadians to register. Consular services within the five countries of accreditation are available in both official languages.

4.2.2 Contingency Plans for Mauritius and Lesotho are up to date. The Mission needs to complete the Plans for South Africa, Swaziland and Namibia.

Recommendation for the Mission

- 4.2.3 Complete Contingency Plans for South Africa, Swaziland and Namibia.**

Mission Action and Timeframe

- 4.2.3 Contingency plans for South Africa and Swaziland have been completed, and the plan for Namibia will be completed by July 2003, upon receipt of final comments from the Honorary Consul.**

4.3 Passport Services

4.3.1 Passport and citizenship services are timely and effective. Pretoria issues between 50 and 120 passports per month. Cape Town and the Honorary Consuls in Mauritius and Lesotho have authority to issue emergency passports only. The Honorary Consul in Namibia will be able to issue emergency passports as soon as appropriate security measures have been implemented.

4.3.2 A reconciliation of the Consular petty cash and passports was conducted and all assets were accounted for. The passport reconciliation is conducted monthly by the Passport Officer and quarterly by the MCO or DMCO and signed off by the HOM. Passport and Consular revenues are adequately secured. *** The Financial Management Manual stipulates that all revenues should be deposited ***. The Record of Fees Received for Passport Consular Services (EXT-119) should be numbered to improve the adequacy of financial controls.

Recommendations for the Mission

- 4.3.3 Ensure that Passport and Consular revenues are deposited *** as per Departmental financial regulations.**
- 4.3.4 Ensure all EXT-119 Forms are sequentially numbered.**

Mission Action and Timeframe

- 4.3.3 Completed.**
- 4.3.4 Completed.**

ADMINISTRATION PROGRAM

5.1 Management of the Program

5.1.1 The Administration Program is well managed under a skilled and experienced MCO who has a strong ability to motivate staff and generate a teamwork atmosphere. Although morale is high, the Administration Section operates more in an organic than a structured manner. This works well given the MCO's inspirational management style, but has been perplexing on occasion to Mission staff. As a point of fine tuning, a more visible structure of roles, responsibilities, and service standards is needed, including regularly scheduled service visits to Johannesburg and Cape Town, especially in the Information Technology area.

5.1.2 Although Johannesburg and Cape Town have Office Managers and Signet Support Assistants (SSAs), administrative services are centralized, as appropriate, in Pretoria.

Rationalization of Roles and Responsibilities

5.1.3 Based on comments, the roles and responsibilities of administration staff members are not always clear to all Mission staff.

5.1.4 As the DMCO is in the first year of her first assignment, the MCO took on the main responsibility for the key functions of Finance, Personnel, Physical Resources, Information Management and Security. Although the organization chart indicates that the DMCO is responsible for the Physical Resources Section, in reality this function is carried out by the MCO. The DMCO's role is to assist the MCO in all areas, and to take on special projects, such as logistics for the visits and world conferences that the Mission has been supporting. The DMCO would benefit from taking on progressively more responsible duties by managing specific staff directly, including preparing their appraisals.

5.1.5 Following from the above, and as a result of the MCO's management style described above, distinctions between the roles and responsibilities of administrative staff have become blurred. This is mitigated by the fact that the LES are very competent, long serving (many in a variety of roles) and generally quite capable of performing a variety of duties with minimum supervision. Staff members therefore are generally well-served, but not necessarily by the person to whom they directed their enquiry. It would be beneficial to Mission staff to clarify and formalize administrative roles and responsibilities, and establish service standards and visits schedules, especially as three geographically separate offices are involved.

Cape Town and Johannesburg

5.1.6 Although the travelling time from Pretoria to Johannesburg (45 minutes by car) is much less than to Cape Town (fourteen hours by car or a two-hour domestic flight), both offices require service provision by Pretoria to approximately the same extent.

5.1.7 In Cape Town, the CBS Counsellor spends a good portion of his time on Administration and Consular matters, primarily because of fairly new LES, and secondarily because he is the sole CBS. He could devote more of his time to the GR Program if his staff had more direct contact with the Administration and Consular staff in Pretoria and if the Management Consular staff in Pretoria took the lead on Administration program requirements. The Accountant and Consular Officer should also visit regularly for purposes of training and procedural review. The LES in Cape Town would also benefit from periodic travel to Pretoria, which would foster closer working relationships and contribute to training.

5.1.8 Johannesburg is a larger office (two Trade Commissioners) and does not deliver the Consular Program because of its proximity to Pretoria. Nevertheless, it has its own needs for service from Pretoria, which recently have been dominated by issues in the Human Resources and Information Technology areas. The comments above with respect to the training and developing of LES apply equally to Johannesburg.

Recommendations for the Mission

5.1.9 Clarify and document roles and responsibilities in all administrative areas, and for all three offices, with special emphasis on Pretoria's service relationships with Cape Town and Johannesburg.

5.1.10 Establish service standards for all administrative areas and visits schedules to Cape Town and Johannesburg.

5.1.11 Establish a specific set of responsibilities for the DMCO and clarify which LES report directly to this position.

Mission Action and Timeframe

5.1.9 To be completed by September 2003.

5.1.10 To be completed by September 2003.

5.1.11 Completed.

5.2 Human Resources

Management

5.2.1 The Human Resources function is well managed by the MCO with the assistance of the LES Administration Assistant. The Mission also provides Human Resources services and keeps records for Cape Town and Johannesburg. A review of personnel files, Personnel Utilization Profiles (PUPS), Peoplesoft, and LES Pay found LES records to be well maintained.

Employer/Employee Relationships and Term Positions

5.2.2 The Mission is employing a number of contractors and persons in positions considered as “term” by the Mission. These positions have not been formally established and have no position numbers. Last fiscal year \$12,000 were used from operational funds and \$42,000 from LES salaries on such employment. Many of the present incumbents of these positions have employer-employee relationships. Incumbents of these term or emergency employment positions were, in some cases, employed for periods in excess of LES regulations. In many cases, contract staff were given copies of the LES Handbook, and benefits such as leave and overtime. They have also been added to the LES medical scheme for medical coverage.

5.2.3 At the time of the audit, the Mission was employing seven persons in various Sections as “term” employees. Only two were filling vacant numbered positions, the other positions were not numbered. The Mission does not have authority to create term employment, only emergency employment (i.e. up to 92 calendar days at a time, for a maximum of 125 working days in any 12-month period). For longer periods, formal term positions have to be created through HRL and the AMA in Headquarters. This process needs to be completed for all the “unofficial” term positions and budget action is required to confirm funding. The Mission has not done this for any of these employees.

5.2.4 Two LES positions are currently funded by the Immigration emergency employment budget; however, no staffing action has taken place to formalize either one. The incumbents are not emergency employees and their periods of employment have exceeded 125 days. The Mission should take steps to have CIC create either term or indeterminate positions for these employees if their work is to continue.

5.2.5 Many of these positions represent work which is necessary and ongoing, but justification for all positions is not clear. The following contract and deemed term positions require review and either deletion or formalization to term or indeterminate status as applicable:

- five Chancery Security Guards on individual contracts;

- the Assistant Accountant hired on term basis;
- the Accounts Filing Assistant on contract;
- two Immigration employees (IPO and a Program Assistant) hired on term basis; and,
- the part time Cleaner/Tea Lady on contract in Johannesburg.

Recommendation for the Mission

5.2.6 Regularize all employer-employee relationship situations currently existing with respect to contract, unofficial term and emergency employees in the three offices.

Mission Action and Timeframe

- 5.2.6**
- a) Security guards – To be completed by August 2003.**
 - b) Assistant Accountant – The person filling the term position in Accounts is departing and the mission has begun a competition to hire an indeterminate employee. Completed.**
 - c) Accounts Filing Assistant – Contract terminated. Completed.**
 - d) CIC employees – Completed.**
 - e) Johannesburg Cleaner – Completed at Mission – awaiting Headquarters classification approval for indeterminate position.**

LES Committee

5.2.7 The Mission has an active LES Committee comprised of representatives of all sections. The Audit Team met with the Committee and briefed the Mission on their comments. The Committee should be encouraged in their activities and asked to keep minutes of their meetings so that they can record decisions taken, and take follow-up action on outstanding issues as necessary.

Cape Town LES

5.2.8 Both the Driver and the Cleaner in Cape Town have been full-time employees since their positions were created in 1998. Previously, both employees had been working full-time on contract, the Cleaner for ten years and the Driver for four years. If an employer/employee relationship existed for each employee during their contract period (i.e. their duties did not change materially when they became indeterminate LES), then their contract period should count as employment for purposes of benefit determination. This would have pension, leave and severance implications for these employees. This issue was raised with the Audit Team by the Office Manager on behalf of the employees during the Team's visit to Cape Town. It was not clear to the employees if their contract time counted as previous service.

Recommendation for the Mission

- 5.2.9 In consultation with HRL, determine if the period that individuals worked for the Mission under contract before they became indeterminate LES qualifies as employment for determination of benefits, and if so update their personnel records accordingly.**

Mission Action and Timeframe

- 5.2.9 The time worked under contract does count as employment for the determination of benefits. Their records have been updated accordingly.**

5.3 Physical Resources

5.3.1 Management of Physical Resources is effective. Both the MCO and DMCO are involved in oversight of the program. An experienced LES Property Officer capably conducts the day-to-day activities of the function. The Chancery and Official Residence (OR) are both Crown-Owned as are most of the Staff Quarters (SQ). A small number of Crown-Leased SQs are kept in the inventory to provide flexibility in dealing with large families. While the OR is an older facility that will require continued maintenance, the Chancery and majority of the SQs are relatively new and require only limited, routine maintenance.

5.3.2 The Audit Team inspected the property records and visited the OR as well as a selection of SQs. The Audit Team concurs with the assessment of the Regional Maintenance Officer, who visited in January 2002, that the Mission housing in South Africa is well suited to our needs and well maintained. The property management systems are effective and the staff involved very capable.

Cape Town Office Accommodation

5.3.3 The Office is very cramped, with no room for expansion. There is no meeting space or office space available for Mission visitors from Pretoria (especially Immigration) or Johannesburg. The Mission is currently exploring options for additional space, including moving the office to larger premises or acquiring additional space from a neighbouring tenant on the same floor.

Oversized SQ in Pretoria

5.3.4 The Audit Team visited Crown-owned SQ 305106 and reviewed background material regarding its maintenance. An SRSF Visit Inspection Report from 1998 considered the various problems this house had at the time and evaluated the cost of repairs and identified the problems with its size, layout, and yard, as well as the

inclusion of an abnormally large “Lappa” or pool house. The SRSF report recommended only minimum renovation as deemed required, and the disposal of this SQ at the end of the occupant’s term. Despite this recommendation the Mission decided to retain the SQ. At the urging of the present occupant, the Mission undertook to complete all repairs and renovations over the subsequent two years, totalling over \$89,000 from SRSF and Mission funding. While the SQ now is in much better condition, it is still large, in particular with respect to the under-utilized pool house. Due to its size and costs of maintenance, serious consideration should again be given to its sale when the present occupant departs. Based on our visit of other SQs in Pretoria, a suitable replacement would not be difficult to find.

Recommendation for the Mission

5.3.5 At the end of the present occupant’s term replace SQ 305106.

Mission Action and Timeframe

5.3.5 The Mission will dispose of this property and purchase a smaller SQ when the current occupant departs.

5.4 Finance

Overview

5.4.1 The Finance function is well managed by the MCO and DMCO who are assisted by an Accountant and two Assistant Accountants, as well as a part-time term Accounts Filing Assistant. The part-time employee was hired to help with a backlog in accounts filing which has since been eliminated. The current volume of work does not justify the employment of the Filing Assistant.

5.4.2 Financial operations are efficient and staff are performing effectively. Financial procedures are periodically reviewed with both Assistant Accountants who back up the Accountant. IMS training has been provided to the Accountant and Assistant Accountants. The Accountant has been with the Mission for a year and would benefit from CFSI’s LES Accountant Training.

Recommendations for the Mission

5.4.3 Eliminate the part-time term Accounts Filing Assistant position.

5.4.4 Schedule the LES Accountant for training at CFSI.

Mission Action and Timeframe

5.4.3 Contract terminated. Completed.

5.4.4 Completed.

Payment Processing

5.4.5 The Mission inputs financial data in IMS and processes payments for all three offices. Invoices are processed within one week of being received. The service standards are being met satisfactorily. Signature cards and signing authorities for the bank account are current and accurate. Invoices are approved by individuals with proper signing authority.

5.4.6 The Mission issues 150 to 250 cheques per month. Cheques are signed by two CBS. All other transactions are processed by electronic payments using a modem to effect the transfers. A stand-alone system is used for this which only requires one CBS approval for payment release. To ensure that adequate controls exist over financial operations, electronic payments should be approved by two CBS before payment is released, as is the case for cheques.

Recommendation for the Mission

5.4.7 Ensure two CBS approve electronic payments before they are released.

Mission Action and Timeframe

5.4.7 To be completed by July 2003.

Bank Services

5.4.8 Bank reconciliations are up to date and done properly. There are five unresolved bank statement adjustments that have been carried over in the past 12 months. The Accountant has contacted the bank on numerous occasions but has been unsuccessful in obtaining responses. The MCO or DMCO should raise this problem personally with more senior levels of bank management to ensure resolution.

5.4.9 The Mission has no formal agreement with the bank. The Mission should bring to bear whatever leverage it can generate as a foreign diplomatic mission with a large corporate account to negotiate an agreement to formalize services received and to optimize bank rates. Given the difficulty in dealing with banks in South Africa and the excessive service charges, a bank survey was conducted to determine if better services and rates were available elsewhere. The survey revealed that the current bank used by

the Mission offered competitive services and rates. The Mission decided to remain with its current bank. In any case, the Mission's relationship with its bank should be formalized and documented, hopefully with improved rates and services.

Recommendations for the Mission

5.4.10 The MCO should resolve outstanding adjustment issues with the bank management.

5.4.11 Negotiate an annual agreement with the bank.

Mission Action and Timeframe

5.4.10 Completed.

5.4.11 The bank is unwilling to negotiate an annual agreement at present. The Mission will continue to seek an agreement with the bank.

Bank Run

5.4.12 ***

Recommendation for the Mission

5.4.13 ***

Mission Action and Timeframe

5.4.13 Completed.

Immigration Fees - Direct Deposit

5.4.14 In consultation with the Immigration Audit Team and SMFF, it was agreed that the Mission should open a separate bank account for Immigration revenues, and that an arrangement for client direct deposit of Immigration fees be negotiated with the bank.

5.1.15 The MCO expressed doubts that a direct deposit system meeting Immigration cost recovery requirements could be set up, given the expensive and overly bureaucratic nature of the local banking system. The MCO, in collaboration with Immigration CBS, should open negotiations with the bank to explore setting up such a system, at least on a trial basis.

Recommendations for the Mission

- 5.4.16 Open a separate bank account for Immigration revenues.**
- 5.4.17 Negotiate with the bank the establishment of an Immigration fee direct deposit system.**

Mission Action and Timeframe

- 5.4.16 To be completed by March 2004.**
- 5.4.17 To be completed by March 2004.**

Value Added Tax (VAT) Refunds

5.4.18 Value Added Tax (VAT) refunds are processed by the Mission for Mission expenses only. Personal VAT refunds for CBS are done by each individual. For the Mission, VAT recoverable amounts that have been disallowed by the local government are presently accumulating in the VAT Recoverable account, causing it to be overstated. Disallowed VAT refunds should be transferred from this account to the VAT Expense account.

Recommendation for the Mission

- 5.4.19 Transfer all disallowed VAT refunds from the VAT Recoverable account to the VAT Expense account.**

Mission Action and Timeframe

- 5.4.19 Completed.**

Personal Recoveries

5.4.20 Cable fees are recovered from employees on a yearly basis as the Mission is only invoiced once per year for this service. Personal expenses for cellular phone usage are recovered monthly. These recoveries reflect full costs, are in accordance with regulations and collection is timely.

Hospitality

5.4.21 The Audit Team reviewed three months of hospitality diaries. Hospitality funds are used in accordance with departmental policy. An individual function diary sheet is completed for each amount being claimed. The evaluation section of the diary is not always completed for each claim and a number of claims are supported by

photocopies only. An Official Hospitality and Expense Report is also completed, but is not always submitted quarterly when an advance has been issued.

5.4.22 The Mission has established unit costs for residence hospitality based on past years' rates. The Mission should review these unit costs based on a representative sample of actual costs for typical functions.

Recommendations for the Mission

5.4.23 Ensure that all diaries include a short evaluation of each hospitality event, Official Hospitality & Expense Reports are completed quarterly when an advance has been issued, and all claims are supported with original documentation.

5.4.24 The CMM should update unit costs for hospitality extended in the home.

Mission Action and Timeframe

5.4.23 Completed.

5.4.24 To be completed by September 2003.

5.5 Information Management

5.5.1 Information Technology (IT) support for the three offices is provided by a full time CBS Systems Administrator (SA), and a locally engaged backup for the SA who divides her time equally between IT and her Management Officer work. Both of these individuals are based in Pretoria. In addition, a new Technician (EL) is being assigned to Pretoria and is arriving this summer. Johannesburg has a locally-engaged SSA who is also one of the Commercial Officers, and Cape Town's SSA is also the Office Manager. Providing IT services to Johannesburg and Cape Town has proved challenging because of hardware and software problems, the physical separation of the offices, and the need to train a new SSA in Johannesburg. The two satellite offices will always require a minimum level of IT capacity on site.

5.5.2 Our Recommendations 5.1.9 and 5.1.10 regarding the articulation of roles, responsibilities, standards and levels of service for all administrative areas apply in particular to Information Technology services. The CBS SA should be more directly involved in providing services to all three offices.

5.5.3 Staff of the IBD Program in Johannesburg expressed some dissatisfaction with the level of IT service provided by Pretoria. It was felt that 1.5 FTE of IT resources in Pretoria was insufficient to meet Johannesburg's needs while at the

same time servicing Pretoria and Cape Town. The Audit Team's view is that before the question of IT resources is addressed, the efficiency and effectiveness of the current service should be considered. The hardware and software problems associated with the recent PC workstation upgrade rolled out to missions should also be taken into account (see paragraph 5.5.9).

SSA in Johannesburg

5.5.4 Johannesburg has a Canada-trained SSA, who, at the time of the audit was also the sole indeterminate CO. He estimated that he was spending up to 20% of his time on IT work, whereas previously he spent 7 - 10 %. He feels that this is excessive given the demands of his IBD duties, and that the IT work he is now being called on to do goes beyond the SSA work he was trained to do. While he is comfortable with the traditional SSA (super user) role, he feels that the workstation upgrade and server back-up problem-solving he was experiencing was SA-level work, which exceeded his training level. He requires considerable coaching and talking-through from Pretoria. He feels that he has neither the time nor the training to undertake what he considers to be SA work. The Program Manager also wants him to devote his efforts full-time to IBD work.

5.5.5 There are three other LES in Johannesburg who can be considered for replacing the CO as SSA: the Secretary (LE-06), the Receptionist/Win Champion (LE-05), and the Office Manager (LE-06). The Office Manager has expressed an interest in SSA duties and has a related IT background.

5.5.6 Longer term alternatives should be considered, such as increasing Johannesburg's complement by one LES FTE (half SSA, half other LES support), or increasing Pretoria's SA complement to include a full-time LES SA. Some redundant capacity would be advisable, given the need to cover three offices.

Recommendations for the Mission

5.5.7 Designate and train a new SSA for Johannesburg, and update the job descriptions accordingly.

5.5.8 Provide an enhanced schedule of IT coverage and initial SSA training from Pretoria until such time as the new SSA is trained in Canada.

Mission Action and Timeframe

5.5.7 Completed.

5.5.8 Completed.

PC Workstation Upgrade – General Problems

5.5.9 The Audit Team was advised that, similar to other missions in Africa, a scheduled cyclical PC workstation upgrade was rolled out over the period from August to early December 2001. The PC equipment arrived in Pretoria for the three offices in South Africa in September 2001, and installation was complete in Johannesburg and Cape Town in early December 2001. There remained six workstations yet to be completed in Pretoria at the time of the audit. In Pretoria a gap of approximately three months existed between the arrival of the equipment itself and the arrival of fault-free build software necessary for installation of the upgrade. It was reported that faulty build software arrived in three versions before the fourth and final version arrived early in April 2002. Considerable SA resources were expended in upgrading workstations by using patches and locally-initiated work-around fixes to supplement the faulty build software.

5.5.10 Likewise, considerable client frustration was generated. Clients tended not to distinguish between Pretoria and Ottawa when faced with IT problems, and Pretoria, as a consequence, was under pressure to complete the upgrades in a timely manner. In addition, a number of faulty hard drives were included in the shipment of equipment, which contributed substantially to the problem of upgrading the workstations.

5.5.11 In reviewing this situation with the RSM in Nairobi, it was confirmed that neither the hardware nor the software was adequately tested before being shipped to missions. This has caused general problems through Africa. The problems described above for Pretoria and Johannesburg are typical.

5.5.12 The minutes of the May 13, 2002 meeting of the Department's IMT Steering Committee mention that SXD is doing post mortems on the defective PCs that were received near year end (2001) and shipped to missions before the problems were identified. The build software problems should be included in the PC post mortem review.

Recommendation for SXD

5.5.13 Test hardware and software for proper functionality before shipment to missions.

SXD Action and Timeframe

5.5.13 We do understand that there were numerous problems with the last cyclical upgrade of IBM workstations. Since January 2002 we are packaging a pre-load of new software onto the new workstations before shipping them out to users abroad. This has resulted in the

saving of numerous installation hours for all our technicians at missions.

Immigration - Optical Character Reader (OCR)

5.5.14 The Immigration Audit Team advised that the Immigration Section's request for the installation of their OCR had been acted upon but had not been completed. This equipment is expected to improve the efficiency of their file handling procedures.

Recommendation for the Mission

5.5.15 Complete the installation of the Immigration Section's optical character reader.

Mission Action and Timeframe

5.5.15 Completed.

MISSION RESOURCE FACT SHEET – PRETORIA

Personnel (FTEs)

	CBS	LES	Total
HOM	2	3	5
General Relations	3	1	4
Defence Liaison	2	-	2
Solicitor General	1	1	2
International Development	2	1	3
Immigration	3	13	16
Consular	-	3	3
Administration	5	11	16
Total	18	33	51

Physical Resources

ASSETS	CROWN LEASED	CROWN OWNED
Chancery	-	1
OR	-	1
SQs	8	12
Vehicles	-	9

Financial Information 2001-2002**(Includes Pretoria, Johannesburg and Cape Town)**

LES Salaries (N012)	\$ 889,300
Operational (N001)	1,283,000
CBS (Salary, Allowance, Overtime)	1,204,000
Capital (N005)	239,700
Total	\$3,616,000

MISSION RESOURCE FACT SHEET – JOHANNESBURG

Personnel (FTEs)

	CBS	LES	Total
International Business Development	2	3	5
Administration	-	3	3
Total	2	6	8

Physical Resources

ASSETS	CROWN LEASED	CROWN OWNED
Chancery	1	-
SQs	-	2
Vehicles	-	1

MISSION RESOURCE FACT SHEET – CAPE TOWN

Personnel (FTEs)

	CBS	LES	Total
General Relations	1	-	1
Consular	-	1	1
Administration	-	3	3
Total	1	4	5

Physical Resources

ASSETS	CROWN LEASED	CROWN OWNED
Chancery	1	-
SQs	2 *	-
Vehicles	-	3
Parking	3	-

* One SQ is used by the HOM during stays in Cape Town.