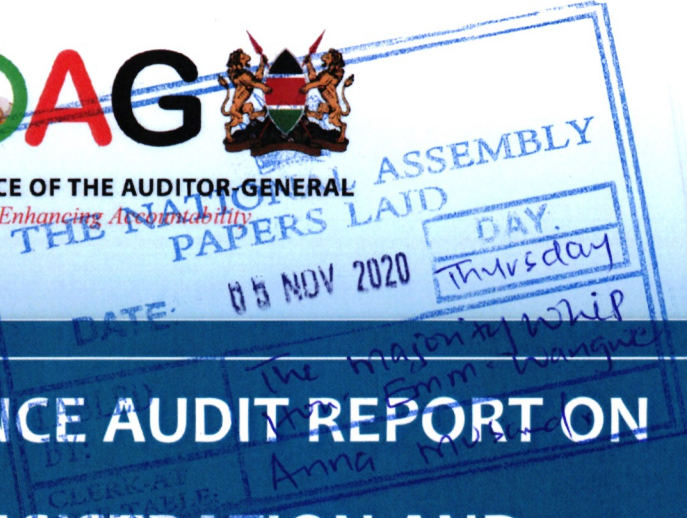
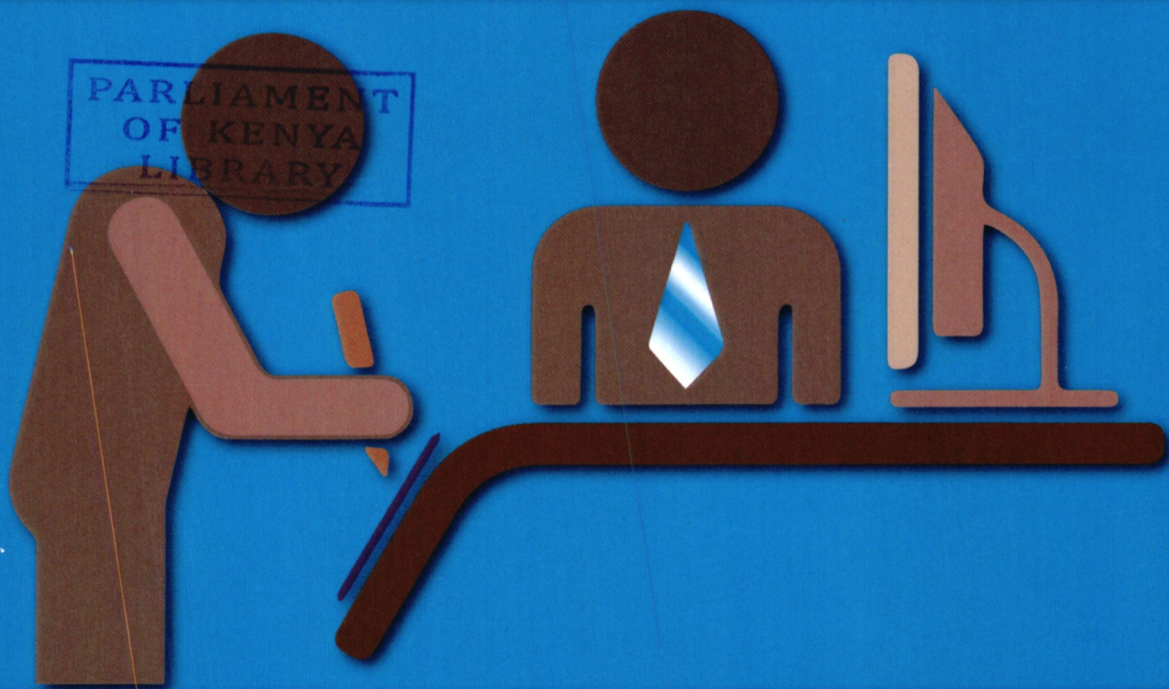


OFFICE OF THE AUDITOR-GENERAL
Enhancing Accountability



PERFORMANCE AUDIT REPORT ON CIVIL REGISTRATION AND DISSEMINATION OF VITAL STATISTICS BY THE CIVIL REGISTRATION SERVICES



MINISTRY OF INTERIOR AND COORDINATION OF NATIONAL GOVERNMENT

SEPTEMBER 2020

VISION

Accountability and effective management of public resources

MISSION

To audit and report on the management of public resources for improved service delivery to the Kenyan People.

CORE VALUES

Integrity

Objectivity

Professionalism Competence

Innovation

Team Spirit

MOTTO

Enhancing Accountability


FOREWARD BY THE AUDITOR - GENERAL

I am pleased to present this performance audit report on Civil Registration and Dissemination of Vital Statistics by the Civil Registration Services formerly known as the Civil Registration Department. My Office carried out the audit under the mandate conferred on me by Section 36 of the Public Audit Act, 2015. The Act mandates the Office of the Auditor-General to examine on the Economy, Efficiency and Effectiveness with which public money has been expended pursuant to Article 229 of the Constitution.

Performance, financial and compliance audits form the three-pillar audit assurance framework that I have established to give focus to the varied and wide scope of the audit work done by my Office. The framework is intended to provide a high level of assurance to stakeholders that public resources are not only correctly disbursed, recorded and accounted for, but that the use of the resources results in positive impacts on the lives of all Kenyans. The main goal of our performance audits is to ensure effective use of public resources and promote services delivery to Kenyans.

Our performance audits examine compliance with policies, laws, regulations, obligations and standards and whether the resources are managed in a sustainable manner. They also examine the economy, efficiency and effectiveness with which public resources have been expended. I am hopeful that corrective action will be taken in line with our recommendations in the report.

The report shall be tabled in Parliament in accordance with Article 229 (7) of the Constitution. I have as required in Section 36 (2) of the Public Audit Act, submitted the original copy of the report to Parliament. In addition, I have remitted copies of the report to the Cabinet Secretary Ministry of Interior and Coordination of National Government, the Principal Secretary, State Department of Interior, the Director Civil Registration Services, the Principal Secretary, National Treasury and the Secretary Presidential Delivery Unit.



Nancy Gathungu

AUDITOR – GENERAL

9 October, 2020

LIST OF ABBREVIATIONS

| | | |
|--------------|---|--|
| CRD | – | Civil Registration Department |
| CRS | – | Civil Registration Services |
| CRO | – | Civil Registration Office |
| CRVSS | – | Civil Registration Vital Statistics System |
| EDMS | – | Electronic Data Management System |
| SCR | – | Sub County Registrar |
| SDG | – | Sustainable Development Goal |

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EXECUTIVE SUMMARY

Background to the Audit

1. Civil registration is recognized by the United Nations as the continuous, permanent, compulsory and universal recording of the occurrence and characteristics of vital events (live births, deaths, foetal deaths, marriages and divorces) pertaining to the population as provided in the legal requirements of a country.
2. Civil registration in Kenya, is carried out primarily for the purpose of establishing the legal documents provided by the law, which includes birth certificates and death certificates. It also serves as the main source of vital statistics namely, live births, still births and deaths.
3. The registration of births and deaths is carried out by the Civil Registration Services. This is done with the help of assistant chiefs and health workers in the sub-counties and by health institutions respectively. At the time of the audit, the Civil Registration Services was known as the Civil Registration Department (CRD). The department compiles all data from Sub-County and health institutions through the Sub-County Offices, analyses and disseminates the vital statistics.

Objectives and Scope of the Audit

4. The audit examined whether the Civil Registration Department had been able to fully process, analyse and disseminate timely and reliable vital statistics. Specifically, the audit assessed whether registration, processing and issuance of birth and death certificates was being done in a timely manner and the extent to which the department had automated its processes and digitized birth and death records. In addition, the audit assessed whether the department provided stakeholders with timely, accurate and reliable vital statistics.
5. The audit examined the operations, systems and processes at the head office and 15 Civil Registrations Offices (CROs) for the period 2013/2014 to 2017/2018.

Methods used in gathering Audit Evidence

6. The audit was conducted in accordance with performance auditing guidelines issued by the International Organization of Supreme Audit Institutions (INTOSAI) which states that the audit and the Supreme Audit Institution (SAI) must be independent, possess required competences and exercise due care to provide a guide on execution

and reporting of audit findings. Audit evidence was gathered through document reviews, interviews and physical verification.

Summary of Findings

7. The audit revealed that the Civil Registration Services had not been able to perform its functions as expected since the registration coverage is yet to reach 100%. Secondly, that there have been delays in issuance of birth and death certificates as summarized below:

The CRD has not been registering all the births and deaths occurring in the country.

8. According to the Kenya Vital Statistics Report 2018, the national coverage for births and deaths was 73.4% and 40.5% respectively. The report shows that 1,138,654 (73.4%) out of 1,551,693 births were registered and 192,019(40.5%) deaths against the expected figure of 473,927 were registered. In addition, review of the Kenya Vital Statistics Report for 2017, revealed that the national coverage of registration for births and deaths was 61% and 41% respectively. The report also revealed that registered births have declined from 964,254 in 2014 to 923,487 in 2017. The number of registered deaths also declined from 198,611 in 2014 to 190,877 in 2017. Further, the existence of late registration cases in all CROs visited is evidence that not all events are registered when they happen.
9. This low registration can be attributed to inadequate public awareness on the procedures and importance of civil registration. Analysis on applicants' responses revealed that 53 (73%) of the 73 applicants for birth certificates were either misinformed or not aware of the procedures of birth registration. In addition, 14 (74%) of the 19 applicants for death certificates were not aware of the registration procedures and the charges involved for registration.
10. Lack of monitoring and evaluation of civil registration activities and supervision of registration agents in the period between the financial year 2013/2014 and 2017/2018 also contributed to low registration, poor data capture and lack of timely data for decision making. This was majorly due to lack of prioritization of monitoring and evaluation in terms of funding and provision of vehicles to the Civil Registration Offices (CROs).
11. In addition, there was lack of effective reach in all the sub counties throughout the country as evidenced by long distances between the applicants, the

Registration Agents and the CROs. This limited the members of public from accessing Civil Registration Services. Data provided by CRD indicates that there were 109 Civil Registration Offices in 2017 which served Kenya's estimated population of 47.8 Million persons translating to 438,192 persons per CRO. According to the authorized staff establishment there should be 1,826 CROs each serving an average of 26,157 persons but as at 2017, there were only 218 CROs each serving an average of 219,096 persons. A review of the situation in August 2019 indicates that , the CRS had opened two more offices and recruited 171 new Civil Registration Officers.

Delay in processing and issuance of birth and death certificates

12. A total of 92 applicants interviewed in the 15 Civil Registration Offices visited, revealed that out of the 73 applications for birth, only 3 (4%) were processed and issued within the prescribed period of 2 days. The other 57 (78%) had taken more than 2 days while 13 (18%) had just been brought in for processing. Of the 14 death certificates applications that had been brought in for processing, 6 (43%) had their certificates ready within the prescribed 2 days while the remaining 8 (57%) took more than 2 days.
13. The delays could be attributed to the fact that CRD has not fully automated its processes and digitized birth and death records. Audit inspections at the 15 CROs visited revealed that despite the availability of ICT infrastructure, the civil registrars in the sub county offices lacked adequate knowledge for accessing and using the Electronic Data Management System (EDMS) and the point-to-point Telkom modems.
14. Digitisation of the records included scanning of all the manual records held by the department and carrying out data entry for the scanned records to make them accessible electronically. However, the audit revealed that the department had digitised only 15,486,002 (40%) of its 39,155,307 birth records and 593,825 (10%) of its 5,703,161 death records. With partial digitisation, most of the records, i.e. 60% and 90% of the births and death record respectively, cannot be accessed electronically. The digitisation of records which was supposed to be done continuously from 2015, was not being done.
15. As at May 2018, the department had rolled out Civil Registration Vital Statistics System (CRVSS) on pilot basis in only 6 stations namely: Machakos, Nairobi, Nakuru, Bondo, Siaya and Kakamega. The CRVSS was meant to carry out all functionalities of

the department from digitization to the business processes, that is; provide for electronic storage and retrieval of births and deaths records; reduce service delivery timelines through electronic retrieval of indexed and systematically stored records; and to generate reports and vital statistics from the recorded births and deaths information.

16. Failure to fully implement the CRVSS, has resulted to continued application of manual processes which are time consuming and inefficient for service delivery. There is also the risk of double registration since manual registration processes are not effective in preventing and detecting several entries of an application. This is due to the fact that registrars can only search for records in their respective CROs and therefore a window exists for a citizen to register again at a different CRO. Having rolled out the CRVSS, in the 107 stations and the noted weakness in the system, this calls into question the value for money derived from the system.

Resource allocation not commensurate with expected service delivery

17. Analysis of data provided on funding and revenue generated through the issuance of birth and death certificates indicates that not all the approved funding for the field stations was provided. Once a budget has been approved, it is expected that the monies will be provided for delivery of the planned activities. Analysis of financial data for two years 2015/16 and 2017/18 indicates that out of the approved recurrent budget for field stations only 16% and 15% was given as AIEs to the field stations in 2015/16 and 2017/18 financial years respectively. The underfunding is despite the fact that CRD is able to generate revenue from the field stations. The amount issued to the field stations was only 57% and 23 % of the revenue generated from the field stations in 2015/16 and 2017/18 financial years respectively. These resources are required to help breach the staffing gaps as well as meet the daily operational needs at the stations with the aim of improved service delivery.

Conclusion

18. The Government through the Civil Registration Services (CRS) has not created a need or urgency for mandatory citizens civil registration. The citizens do not seem to be aware of the need for civil registration and the importance of obtaining birth and death certificates. Instead this seems to be need driven e.g. registration for exams, processing of death benefits or application of travel

documents.

19. The Civil Registration Services cannot fully account for all births and deaths happening in the country since registration rates are still below 100%. This means CRS has not been able to fully process, analyze and disseminate timely and reliable vital statistics. As a result, the government and other stakeholders cannot fully rely on the data for planning and resource allocation for various activities and for provision of services to the public. In addition, vital statistics data from CRD would be useful in collaborating census data and aid in short term and medium term planning.
20. The Civil Registration Services has not been issuing birth and death certificates on a timely basis. Automation of processes and digitization of birth and death records for increased efficiency have not been fully implemented. This may have created apathy to the citizens to register despite the national importance. In addition, the partial implementation leads to lack of economy for the funds used in the set up since the existing Electronic Data Management System / Civil Registration Vital Statistics System platform is being underutilized.
21. The Ministry of Interior has not been providing all the funding to the CRS in line with the approved budget. This has created huge staffing gaps and other resource constraints resulting to poor service delivery.

Recommendations

22. In view of the findings and conclusions of the audit, the Auditor- General proposes the following recommendations for implementation by the Ministry of Interior and Coordination of National Government to ensure that the Civil Registration Services carries out its intended functions.
23. To ensure that all the births and deaths occurring in the country are registered, the Ministry through the Civil Registration Services should:
 - i. Hold national and county sensitization

workshops and conduct population specific campaigns with relevant partners to create awareness on the importance of registration on these vital events.

- ii. Develop a monitoring and evaluation framework, train the staff on Monitoring and Evaluation (M&E) and ensure civil registration activities are periodically monitored and that registration agents are well supervised.
 - iii. Ensure effective reach of all the citizens within the republic by reducing the population reach and geographical coverage for a Civil Registration Officer.
24. To improve efficiency in processing and issuing of birth and death certificates, the Civil Registration Services should:
 - i. Fully install the relevant ICT infrastructure and Electronic Document Management System (EDMS) to all Civil Registration Officers.
 - ii. Digitize all its manual birth and death records for ease of access, search and processing by all the Civil Registration Officers.
 - iii. Ensure that the Civil Registration Vital Statistics System is rolled out to all Civil Registration Officers and ensure full implementation by addressing the knowledge gaps and the noted system failures.
 25. To improve service delivery at the stations, the Ministry of interior should ensure that the Civil Registration Services is adequately funded in line with the approved budget. This would help bridge the huge staffing gaps and provide resources required to offer timely registration and issuance of birth and death certificates.

CHAPTER 1

BACKGROUND OF AUDIT

Introduction

- 1.1 Civil registration is recognized by the United Nations as the continuous, permanent, compulsory and universal recording of the occurrence and characteristics of vital events (live births, deaths, foetal deaths, marriages and divorces) pertaining to the population as provided in the legal requirements of a country. Civil registration is carried out primarily for the purpose of establishing the legal documents provided by the law which are the main source of vital statistics i.e. live births, still births and deaths.
- 1.2 Registration of births and deaths was introduced in Kenya in 1904. It applied only to Europeans and Americans residing in the country. In 1928, the Births and Deaths Registration Act (Cap 149) was enacted, providing for compulsory registration of births and deaths of Europeans, Americans and Asians but only for registration of deaths for Africans. However, after independence in 1963, compulsory registration of births and deaths of all citizens and foreigner's resident in Kenya was introduced which has since been progressively decentralized to sub counties countrywide.
- 1.3 The registration of births and deaths is carried out by the Civil Registration Services which at the time of the audit was known as the Civil Registration Department (CRD). The Civil Registration Services (CRS) is under the State Department of Interior in the Ministry of Interior and Coordination of National Government. The CRS does registration with the help of assistant chiefs and health workers, in the sub locations and health institutions respectively. The CRS compiles all data from sub locations and health institutions through the sub county offices, analyses and disseminates vital statistics.

Motivation for the Audit

- 1.4 The Auditor-General authorized the audit after considering the following factors;
 - i. Chapter Three of the Constitution of Kenya, 2010 recognizes civil registration function as a primary

basis for establishing Kenyan citizenship which can be acquired through birth or registration. Chapter Four of the Constitution on the Bill of Rights emphasizes rights and freedoms to fair service delivery for all respectively.

- ii. The topic is in line with the Sustainable Development Goal (SDG) 16 which aims to promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels. Specifically Target 16.1 aims to provide legal identity for all, including birth registration by 2030.
- iii. A birth certificate is a prerequisite for accessing essential services such as school admission, acquisition of a national Identity card, passport and as proof of kinship when making inheritance claims. A death certificate proves that a death has occurred and helps to access inheritance and retirement benefits to the next of kin. It is also used in cleansing of voters and taxpayer's registers. The two certificates are a credible source of information for good governance and are used by the government to generate statistics for planning and allocation of resources in the various sectors.
- iv. Parliamentary discussions indicate concerns on the status of registration, processing and issuance of birth and death certificates. These concerns are mainly on the delay of their issuance, digitizing and devolution of the issuance of birth and death certificates to the County Governments.
- v. There have been public complaints about delays in processing and issuance of birth and death certificates, poor maintenance of birth and death records and allegations of irregularities and corruption on issuance of birth and death certificate.

CHAPTER 2

DESIGN OF THE AUDIT

Audit Objective

- 2.1 The objective of the audit was to assess whether Civil Registration Department (CRD) (now known as the Civil Registration Services) has been able to fully process, analyse and disseminate timely and reliable vital statistics and specifically to assess;
- Whether registration, processing and issuance of birth and death certificates is done on a timely manner
 - The extent to which the Civil Registration Department has automated its processes and digitized birth and death records
 - The extent to which the Civil Registration Department provides stakeholders with timely, accurate and reliable vital statistics

Audit Scope

- 2.2 The audit examined the operations, systems and processes relating to registration, processing and issuance of birth and death certificates as well as dissemination of vital statistics by the CRD, for the period 2013/2014 to 2017/2018. The audit collected data from the head office and the local Civil Registration Offices in 15 counties. The offices were selected on the basis of; area of coverage, proximity to border points, remoteness, previously reported registration rates and stations covered in the Civil Registration and Vital Statistics System (CRVSS) pilot project.

Audit Questions

- 2.3 The main audit question was: ***'To what extent has the Civil Registration Department been able to process, analyse and disseminate timely and reliable vital statistics?'*** The sub-questions for the audit were:
- Has the department been registering, processing and issuing certificates for all births and deaths within the stipulated time?

- To what extent has the Civil Registration Department automated its processes and digitized birth and death records?
- Has the Civil Registration Department generated and disseminated timely and reliable vital statistics?

Audit Assessment Criteria

- 2.4 The audit criteria were derived from the various documents and interviews relating to the activities of CRD as listed below.
- According to the service charter, it should take two (2) days to process and issue a birth or death certificate in Nairobi and Mombasa and one (1) day in the other sub county offices (Districts).
 - According to the CRD Strategic Plan 2013-2017 one of CRDs core function is to process, analyse, and disseminate vital statistics.
 - The department had also planned to digitize manual records and automate processes according to the Strategic Plan 2013-2017

Methodology of the Audit

- 2.5 The audit was conducted in accordance with Performance Auditing Guidelines issued by International Organization of Supreme Audit Institutions (INTOSAI) which states that the audit and the SAI must be independent, possess required competence and exercise due care to provide a guide on execution and reporting of audit findings.
- 2.6 The audit team reviewed records maintained by the Civil Registration Department with regard to civil registration processes and dissemination of vital statistics. The documents reviewed and the reasons for the review are as shown in **Appendix 1**. Interviews were conducted with various staff of the CRD, the registration agents and applicants and physical inspection of systems and facilities were carried out. These methods helped collect, collate and analyze data that helped achieve the set audit objectives. The evidence collected has been presented using tables and graphs as appropriate.

CHAPTER 3

DESCRIPTION OF THE AUDIT AREA

3.1 The Ministry of Interior and Coordination of National Government came into being under the restructuring of government through the Executive Order No. 2/2013 of 20 May 2013. The Ministry is currently divided into State Department of Interior and State Department of Coordination of National Government. Among the directorates in the State Department of Interior is the Directorate of Immigration and Registration of Persons, where the Civil Registration Services falls.

Statutory Mandate for Civil Registration Department

3.2 The Civil Registration Department derives its mandate from the Births and Deaths Registration Act (Cap. 149) of 1928 that provides for compulsory and immediate registration of all births and deaths that occur in Kenya, without regard to nationality. It also provides for optional registration of births and deaths of Kenyan citizens that occur outside the country. The Legitimacy Act (Cap. 145), gives the department the mandate to re-register the births of persons who were born illegitimate but are legitimized by the subsequent marriage of the parents.

Functions of the Civil Registration Department

3.3 The core functions of the Civil Registration Department under the Births and Deaths Registration Act (Cap. 149) are:

- i. Register all births and deaths that occur in Kenya and register the births and deaths of Kenyan citizens that occur outside Kenya
- ii. Ensure the preservation, security and custody of birth and death records
- iii. Issue birth and death certificates
- iv. Process, analyze, and disseminate vital statistics
- v. Re-register the births of persons after legitimization and recognition.
- vi. Undertake research and innovation in Civil Registration.

Strategic Objectives of the Civil Registration Department

3.4 According to the CRD Strategic Plan 2013-2017, the strategic objectives were:

- i. To raise the registration of births and deaths to

100% by 2017

- ii. To improve the quality of birth and death registration data
- iii. To strengthen submission mechanisms for vital registration records
- iv. To build capacity in data processing, analysis, and utilization of vital statistics
- v. To ensure complete registration of all people by 2017
- vi. To improve service delivery
- vii. To increase the level of stakeholder engagement in civil registration

The Organization of the Civil Registration Department under the Ministry

3.5 The Civil Registration Department (CRD) is headed by a Director who reports to the Principal Secretary for State Department of Interior who then reports to Cabinet Secretary of the Ministry of Interior and Coordination of National Government. The organization structure of CRD is as shown in **Appendix 2**.

Stakeholders of the Civil Registration Department

3.6 The major stakeholders of the CRD include; the public, government ministries and departments, Kenya National Bureau of Statistics and Independent Electoral and Boundaries Commission. The stakeholders and their interests are as shown in **Appendix 3**

Process Description for Registration and Issuance of Birth and Death Certificates

The Process of Registration of Births and Deaths

3.7 Registration assistants namely the assistant chiefs of sub locations and health workers are used by CRD to capture vital events. The assistant chiefs are responsible for registering and reporting all births and deaths that occur at the community in their sub locations, while the health workers are responsible for registering and reporting births and deaths that occur in their respective health facilities. According to the Births and Deaths Registration Act CAP. 149, the prescribed period for registering births and deaths is within six months of the occurrence of the event. The department classifies the application as either a current registration or a late registration as detailed below:

- a) **Current registration:** Is the notification of a

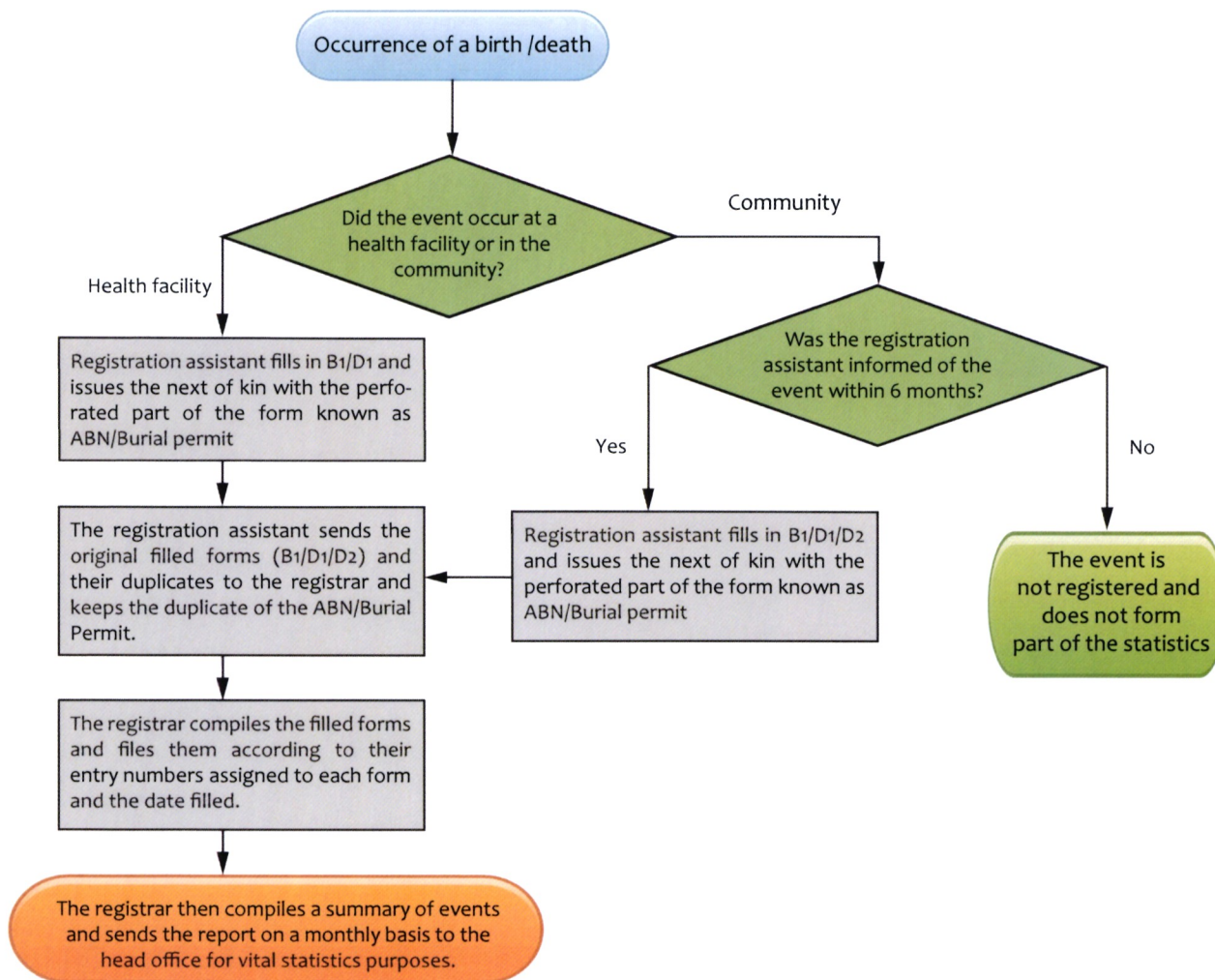
birth or death within 6 months of its occurrence. When a birth occurs, the registration assistant fills in a B1 form and issues an acknowledgement of birth notification (ABN) to the parent(s) and submits the form to the Registrar for registration purposes thus the birth is considered notified. Notification of a death involves filling in a D1 form for deaths that occur in the health facility and D2 for deaths that occur outside of the

health facilities. Once the forms are filled, the registration assistants issue a burial permit to the next of kin as a form of notification.

b) **Late registration:** When a birth or death is not notified within 6 months of its occurrence it is termed as a late registration and it can only be identified when the applicant applies for either a birth or death certificate.

3.8 The process of registration is explained in **Figure 1**.

Figure 1: Registration Process



Source: OAG-Kenya analysis of the registration process

The Process for Application and Issuance of Certificates

3.9 After three months of current registration, the applicant can then apply for a birth or death certificate by producing the ABN or burial permit. For a late registration of birth, the applicant is required to fill in form B4 (for births that occurred before 1993) or form B3 (for births that occurred after 1993) and provide supporting documentation that prove the place, date of birth and right identity of the applicant. These documents include:

- i. Identity card of the applicant if over the age of 18,
- ii. Identity card of both parents and or death certificate if applicable,
- iii. Clinic card and or Baptismal card,
- iv. School leaving certificate and or a letter from

the school.

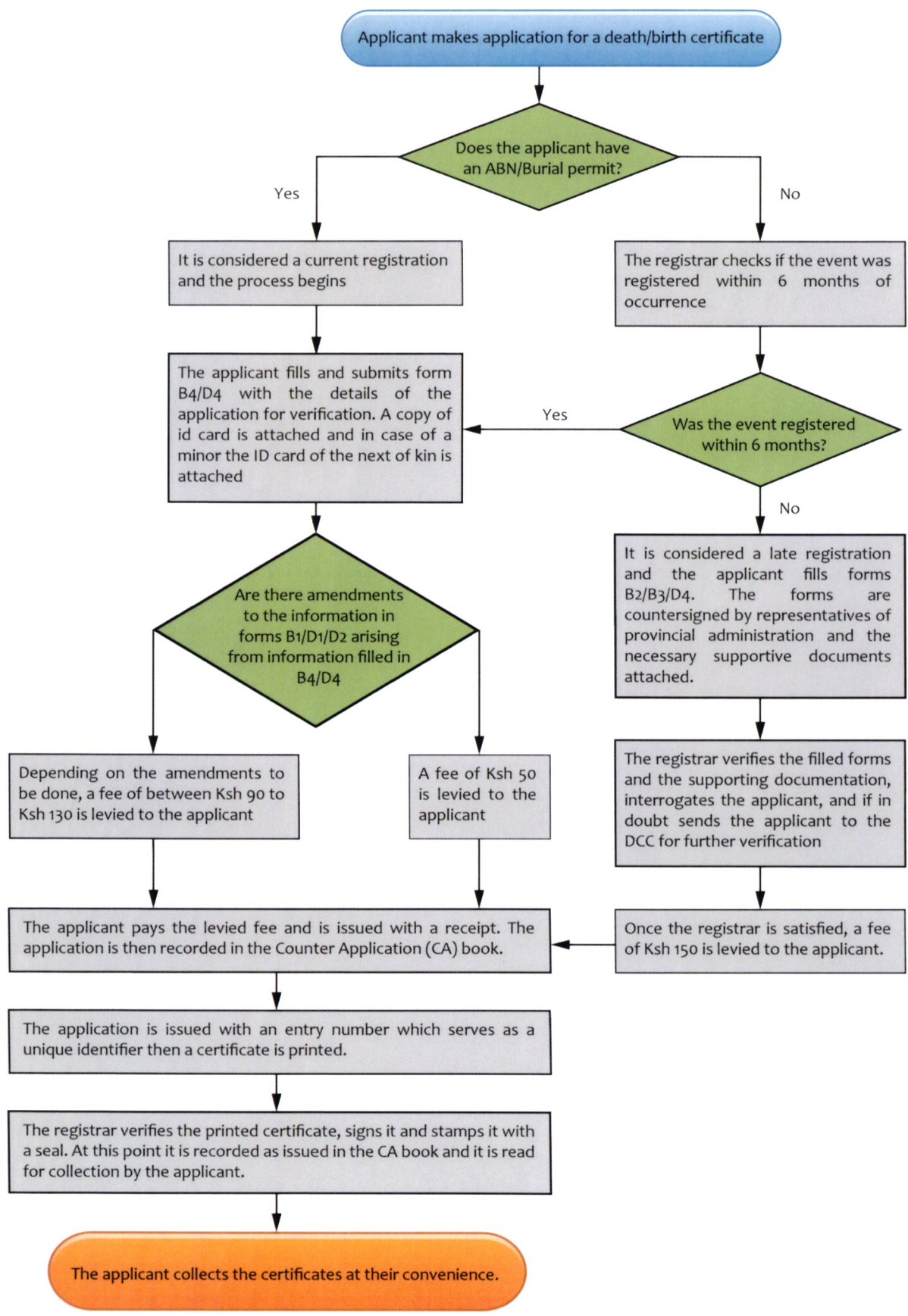
3.10 For late registration of death, the applicant is required to fill in form D4 and attach documentation that meets the threshold to prove the accuracy of the information filled in the form. These documents include:

- i. Identity card of the deceased,
- ii. Identity card of the applicant,
- iii. Letter from the chief and or a sworn affidavit.

In cases that require verification of the person's identity and origin, the applicant will be required to provide a filled questionnaire GP138B for birth applications and 139A for death applications.

3.11 The process description for application and issuance of birth and death certificates is illustrated in **Figure 2**.

Figure 2: Process for Application and Issuance of Birth and Death Certificates



Source: OAG-Kenya analysis of the application process

The Civil Registration and Vital Statistics System (CRVSS)

3.12 The Civil Registration Department embarked on the process of digitizing its manual records and automating its business processes from December 2012 using a web-based system known as the CRVSS which was intended to perform the following:

- i. Provide for electronic storage and retrieval of births and deaths records
- ii. Provide a centralized storage system accessible from any location thereby enabling access to services from the nearest service delivery center
- iii. Reduction of service delivery timelines through electronic retrieval of indexed and systematically stored records
- iv. Provide an electronic back up of all historical births and deaths records
- v. Generate reports and vital statistics from the recorded births and deaths information

3.13 The department uses two modules of the system.

- i. Electronic Data Management System (EDMS) - This is used as the data base which holds the scanned records. Retrievals are done from the EDMS.

- ii. Civil Registration and Vital Statistics System (CRVSS) - This carries out the business processes of the department and generation of vital statistics. The system retrieves records from the EDMS and either produces a birth or death certificate or generates vital statistics.

3.14 Under the CRVSS, all the registers received from the registration assistants are scanned and details are entered into the system at the sub county level. Once an applicant makes an application for a certificate, a search is done in the system, the applicant is charged and receipts generated in the system. Approvals and printing are also done in the system thus shortening the application and processing period.

Sources of Funds

3.15 The operations of the CRD are funded by the government through allocations from the Exchequer and partly by development partners. During the period under review, the CRD was allocated approximately Kshs. 2.8 billion as shown in **Table 1**. The funds allocated to CRD increased from Kshs. 893.9 million in the financial year 2015/2016 to Kshs1.02 billion in the financial year 2017/2018.

Table 1: Funds Allocated to the Civil Registration Department

| Financial Year | Development HQS (KShs) | Recurrent HQS (KShs) | Recurrent Field (KShs) | Total (KShs) |
|----------------|------------------------|-------------------------|-------------------------|-------------------------|
| 2015/2016 | 207,320,000.00 | 285,928,969.00 | 400,615,949.00 | 893,864,918.00 |
| 2016/2017 | 100,000,000.00 | 354,145,035.00 | 429,137,122.00 | 883,282,157.00 |
| 2017/2018 | 175,000,000.00 | 386,482,819.00 | 463,390,177.00 | 1,024,872,996.00 |
| Total | 482,320,000.00 | 1,026,556,823.00 | 1,293,143,248.00 | 2,802,020,071.00 |

Source: OAG analysis of CRD's financial data¹

¹ Financial data was only available for the three years.

CHAPTER 4

FINDINGS OF THE AUDIT

4.1 The Civil Registration Department is expected to register all the births and deaths occurring in the country, and ensure that the registration and the subsequent issuance of certificates is done on a timely basis. This aids the provision of accurate vital statistics to different users within the government and beyond. However, the audit revealed that the department has not been able to perform its functions as expected since the registration coverage is not yet at 100%; and there has been delays in birth and death certificates as detailed below;

A. The CRD has not been registering all the births and deaths occurring in the country.

4.2 According to the Births and Deaths Registration Act (Cap.149) the Civil Registration Department is

required to register all births and deaths that occur in Kenya, without regard to nationality. In line with this, one of the department's strategic objectives in the Strategic Plan for 2013-2017 was to raise the registration of births and deaths to 100% by 2017.

4.3 Review of the Kenya Vital Statistics Report, 2018 indicated that the national coverage for births and deaths was 1,138,654 (73.4%) out of 1,551,693 births were registered and 192,019 (40.5%) deaths against the expected figure of 473,927 were registered. The report also indicated that registered births have declined from 954,254 in 2014 to 923,487 in 2017. The number of registered deaths also declined from 198,611 in 2014 to 190,877 in 2017. Further, existence of late registration cases in all CROs visited is evidence that not all events are registered when they happen. The status of registration of births and deaths for the period 2014 to 2018 is as shown in **Table 2**. As indicated in the table, except for 2018, there was a decrease in births and deaths from 2014 to 2017.

Table 2: Registration of Births and Deaths for the Period 2014-2018

| Year | Registration of Births | | | Registration of Deaths | | |
|------|------------------------|-------------------|-------------------|------------------------|-------------------|-------------------|
| | Expected Births | Registered Births | National Coverage | Expected Deaths | Registered Deaths | National Coverage |
| 2018 | 1,551,693 | 1,138,654 | 73.4% | 473,927 | 192,019 | 40.5% |
| 2017 | 1,515,693 | 923,487 | 60.9% | 463,607 | 190,877 | 41.2% |
| 2016 | 1,478,910 | 948,351 | 64.1% | 453,286 | 189,930 | 41.9% |
| 2015 | 1,442,518 | 950,224 | 65.9% | 442,966 | 200,205 | 45.2% |
| 2014 | 1,406,456 | 954,254 | 67.8% | 435,769 | 198,611 | 45.6% |

Source: OAG-K analysis

4.4 The CRD attributed the increase in registration of births in 2018 to good coordination with public and private agencies in various exercises. In addition, Non-Governmental Organizations (NGOs) were said to have facilitated training of registration agents and mobile outreach activities in hard-to-reach areas. Partnership with other government agencies in implementing initiatives such as the National Education Management Information System (NEMIS)², the National Hospital Insurance Fund (NHIF) and nyumba kumi (a government initiative that stresses on the importance of knowing one's neighbour) had helped increase registration rates and consumption of birth certificates. In addition, the existence of Huduma Centres (centers to enhance access to government services) in most sub-counties have helped improve access and service delivery to members of the public seeking civil registration services.

2 The NEMIS registration program launched in January 2018, was an initiative of the Ministry of Education which targeted registration of all school going children so that birth certificates would serve as the primary form of identification.

4.5 Low registration of births and deaths could be attributed to:

i. Inadequacy of public awareness

4.6 According to the CRD Strategic Plan 2013-2017 the department planned to hold national and county sensitization workshops and conduct population specific campaigns with relevant partners. However, the Sub County Registrars and the Registration Agents interviewed stated that there was lack of public awareness on the procedures and importance of civil registration. Analysis of responses of the 92 applicants interviewed revealed that, 83 (90%) of them believed that timely registration was important as it was a requirement to access government services for instance, education, NHIF, pension services, passport and other travel documents. However, further analysis revealed that 53 (73%) of the 73 applicants for birth certificates were either misinformed or not aware of the procedures of birth registration. In addition, 14 (74%) of the 19 applicants for death were not aware of the registration procedures and the

charges involved for registration of deaths.

4.7 Inadequacy of public awareness could mainly be attributed to lack of a clear strategy on public awareness. Review of policy documents and guidelines revealed that the department did not have a clear strategy on public awareness and instead relied on **barazas** (community meetings) which were organized by administrative officers i.e. chiefs and assistant chiefs. The barazas were not very effective as they lacked structure and sensitization of the public was largely dependent on the rapport between the assistant chiefs and the local CROs since civil registration was not a primary mandate of the administrative officers. Lack of awareness on procedures led to lack of registration and increased cases of late registration. The CRD has also attributed inadequate public awareness to resource constraints.

ii. Lack of monitoring and evaluation of civil registration activities and supervision of registration agents

4.8 According to the CRD Strategic Plan 2013-2017 the department planned to develop a monitoring and evaluation plan, train CRD staff on monitoring and evaluation and conduct monitoring visits to registration agents annually. It also stipulated that one of the monitoring and evaluation framework strategies is to enhance civil registrars' capacity to monitor data collection and submission by providing appropriate means of transport for the registrars.

4.9 However, all the Sub-County Registrars and the Registration Agents interviewed indicated that there was lack of comprehensive monitoring and evaluation and no feedback was given to those stations that had been evaluated by the CRD in the period between financial year 2013/14 and 2017/2018. In addition, out of the 15 CROs visited 12 (80%) of them had no means of transport which made monitoring impossible. It is evident that CRD did not prioritize monitoring and evaluation and did not provide funding for the same, making it difficult to monitor registration activities. The funding challenge was attributed to budgetary constraint which affected allocations for various activities being implemented by the CRD field stations. This has led to increased cases of poor data capture by registration agents which affected the quality of data captured and incorrect filling of forms leading to wastage of registration materials. The effect is that CRD is not able to obtain timely and correct data to help in decision-making.

iii. Lack of effective reach in all sub counties within the country.

4.10 CRD is expected to register all births and deaths that occur in Kenya. This means that all areas should be effectively covered to ensure services are close to the citizens. Analysis conducted on population and average area coverage served by the 15 CROs visited as shown in **Table 3**, revealed that a Civil Registration Officer (CRO) covered an average of about 11,894 sq. km. Additionally, data provided by CRD indicates that there were 109 Civil Registration Offices in 2017 which served Kenya's estimated population of 47.8 Million persons translating to 438,192 persons per CRO. According to the authorized staff establishment there should be 1,826 CROs each serving an average of 26,157 persons but as at 2017 there were only 218 CROs each serving an average of 219,096 persons. A review of the situation in August 2019 indicates that, the CRS had opened two more offices and recruited 171 new Civil Registration Officers.

Table 3: Average area coverage in sq. km served per CRO

| | Local Registration Office Visited | Civil Office | Area in (sq. kms) |
|----|-----------------------------------|--------------|-------------------|
| 1 | Garissa | | 44,175.0 |
| 2 | Kitui | | 30,496.5 |
| 3 | Kirinyaga | | 1,479.1 |
| 4 | Nyeri | | 3,337.1 |
| 5 | Meru | | 6,936.2 |
| 6 | Isiolo | | 25,336.1 |
| 7 | Kwale | | 8,270.2 |
| 8 | Taveta | | 17,084.0 |
| 9 | Narok | | 17,933.1 |
| 10 | Nakuru | | 7,495.1 |
| 11 | Kabarnet | | 7,517 |
| 12 | Busia | | 1,134.4 |
| 13 | Siaya | | 2,530.4 |
| 14 | Kisumu | | 2,085.9 |
| 15 | Migori | | 2,596.4 |
| | Total | | 178,406.50 |
| | Average | | 11,894 |

Source: OAG-K analysis

4.11 The large areas covered by the CROs are indicative of the long distances between the applicants, the Registration Agents and the CROs which in turn limited members of the public from accessing Civil Registration Services. The large coverage per CRO is attributed to the fact that CRD has decentralized its services, as at the time of the audit, to only 109 (34%) of the 321 Sub-Counties in the country leaving out 212 (66%) Sub-Counties.

4.12 In addition, according to the CRD Strategic Plan 2013-2017 the department had planned to establish mobile registration offices in hard to reach areas. However, it was observed that the department had not established any mobile registration offices in the hard to reach areas and relied on the already established CROs and partners who provided funding for field activities in those areas. The explanation provided for lack of mobile outreach activities was inadequate facilitation for mobile outreach in terms of resources i.e. staff, transport, printers, and certificates. Poor coverage results to lack of registration, increased cases of late registration and late submission of returns by some registration agents to the CROs which affects the accuracy of data and information collected by the department.

4.13 Failure to register all the vital events affects accuracy and timely processing and dissemination

of vital statistics which has a negative impact on policy decision that must rely on these statistics e.g. population in the country and causes of deaths. The Government has to incur more costs to get the accurate statistics. For example, the Government has to incur additional costs to do population census to accurately predict the population in the country. The population census done in 2009 costed about KShs 8 billion while the cost for the 2019 census is about KShs 18.5 billion.

B. Delay in processing and issuance of birth and death certificates

4.14 According to the Service Charter it should take two days to process and issue a birth or death certificate in Nairobi and Mombasa and a day in the other sub county offices. 14 out of 15 Sub-County Civil Registrars (SCRs) interviewed, stated that they processed and issued birth and death certificates within the prescribed period. However, review of Counter Application Books revealed that they were not being filled properly as shown in **Figure 3**. *Column 2* should record the exact date that the application was received and *Column 7* should record the exact date that the certificate was stamped by the registrar making it a legal document and ready for collection. It was therefore not possible obtain documentary evidence on time taken to process and issue the certificates.

Figure 3: Photo of a filled Counter Application Book

| Application Serial No. (1) | Date Received (2) | APPLICANT (3) | | CERTIFICATE REQUIRED (4) | | FEE PAID (5) | | REFUND (6) | | CERTIFICATE (7) | | REMARKS (8) |
|----------------------------|-------------------|------------------|---------|--------------------------|------------------|--------------|----------------|-----------------|-------------------|-----------------|--------|-------------|
| | | Name | Address | Birth Death Marriage | Name | Place | Misc. Rec. No. | Amount Sh. Crs. | Dept. Voucher No. | Amount Sh. Crs. | Number | |
| 5265 | | Urovel Kony | | B | Urovel Kony | Kubais | | | | 150 | | B1 |
| 5266 | | FANTA JESPERET | | B | FANTA JESPERET | KES7 | | | | 150 | | B1 |
| 5267 | | Naomi Kiprop | | B | Naomi Kiprop | Koriema | | | | 150 | | B1 |
| 5268 | | Irene Kibut | | B | Irene Kibut | KIWO | | | | 150 | | B1 |
| 5269 | | Kevin Kibut | | B | Kevin Kibut | RUWO | | | | 150 | | B1 |
| 5270 | | Judy Kangogo | | B | Judy Kangogo | Kiboino | | | | 150 | | B1 |
| 5271 | | Jelagat Chirchir | | B | Jelagat Chirchir | Koriema | | | | 150 | | B1 |
| 5272 | | Kipso Chirchir | | B | Kipso Chirchir | Koriema | | | | 150 | | B1 |
| 5273 | | Nancy Kiprop | | B | Nancy Kiprop | Korissa | | | | 150 | | B1 |
| 5274 | | Brian Otieno | | B | Brian Otieno | Kabiriet | | | | 150 | | B1 |
| 5275 | | Walter Tallon | | B | Walter Tallon | Parikera | | | | 150 | | B1 |
| 5276 | | Christopher Tari | | B | Christopher Tari | Morissa | | | | 150 | | B1 |
| 5277 | | Hosea Omondi | | B | Hosea Omondi | Kapissa | | | | 150 | | B1 |
| 5278 | | Kiprotich Amoleg | | B | Kiprotich Amoleg | Seretunin | | | | 150 | | B1 |
| 5279 | | Daniel Komon | | B | Daniel Komon | Sirwo | | | | 150 | | B1 |
| 5280 | | Kevin Kiprop | | B | Kevin Kiprop | Kiboino | | | | 150 | | B1 |
| 5281 | | Evans Kibit | | B | Evans Kibit | Simbaya | | | | 150 | | B1 |
| 5282 | | Stella Kimani | | B | Stella Kimani | Kapell | | | | 150 | | B1 |
| 5283 | | Amos Mwangi | | B | Amos Mwangi | Kipkarech | | | | 150 | | B1 |
| 5284 | | Winnie Jiriet | | B | Winnie Jiriet | Kipkarech | | | | 150 | | B1 |
| 5285 | | Franklin Ombui | | B | Franklin Ombui | KAT | | | | 150 | | B1 |
| 5286 | | Silvia Ombui | | B | Silvia Ombui | Korissa | | | | 150 | | B1 |
| 5287 | | Miracle Ombui | | B | Miracle Ombui | Korissa | | | | 150 | | B1 |
| 5288 | | John Kimani | | B | John Kimani | Korissa | | | | 150 | | B1 |
| 5289 | | Evans Kibit | | B | Evans Kibit | Korissa | | | | 150 | | B1 |
| 5290 | | Evans Kibit | | B | Evans Kibit | Korissa | | | | 150 | | B1 |
| 5291 | | Ivy Kiprop | | B | Ivy Kiprop | Korissa | | | | 150 | | B1 |
| 5292 | | Mary Seguton | | B | Mary Seguton | Korissa | | | | 150 | | B1 |

Source: Photograph taken by OAG-K audit team 10.04.2018

4.15 In addition, interviews with 92 applicants in the 15 Civil Registration Offices visited revealed that out of the 73 applications for birth, only 3 (4%) were processed and issued within the prescribed period of 2 days. 57 (78%) had taken more than 2 days while 13 (18%) had just been brought in for processing. Out of the 19 persons who had gone to apply for death certificates, 17 (90%) applied while the other 2 (11%) did not. Of the 14 death applications that had been brought in for processing of death certificates, 6 (43%) of them had their certificates ready within the prescribed 2 days while the remaining 8 (57%) took more than 2 days.

4.16 The audit revealed that the delays could be

attributed to the fact that CRD has not fully automated its processes and digitized its birth and death records as demonstrated by;

i. Lack of full installation of ICT infrastructure and Electronic Data Management System (EDMS)

4.17 According to the Civil Registration Department Strategic Plan 2013-2017 the department had planned to complete the installation of ICT infrastructure and Electronic Document Management System (EDMS) by the year 2017. The establishment of ICT infrastructure was the backbone of digitization and it involved ensuring each CRO had computers,

scanners, internet and power back-up supports. The EDMS which is essentially a repository for all scanned manual data was meant to be installed and configured to at least one computer in each CRO.

4.18 Inspections conducted in the 15 CRO visited revealed that they all had working computers although Bondo was using borrowed computers, 13 of them had working scanners while 2 did not have any scanner. All CROs visited had Telkom/Orange modems which they used for internet connection. In addition, 7 of the 15 offices visited also had access to internet through National Optic Fibre Backbone Infrastructure (NOFBI).

4.19 Despite the availability of ICT infrastructure in these offices, only Nakuru CRO was using EDMS to a large extent, 10 of them were partially using it while Narok, Busia, Kabarnet and Kuria did not use it at all. Further, the inspection revealed that of 15 CROs visited, Nakuru and Meru had each 5 officers trained on the use of EDMS/CRVSS, 8 of the CROs had each one trained officer while the remaining 5 CROs had none trained. The registrars indicated reasons for not fully using the EDMS system to be:

- a) The staff were not trained on the use of the system and those trained were not up-to-date with the operations of the system since they had not used the system after training and therefore needed to be retrained
- b) Data that was supposed to be digitized at the headquarters was partially done. i.e. the scanning was done up to 2014
- c) The data in the system is incomplete i.e. the head office scanned the records but they did not complete the data entry and for the records scanned by the CROs, data entry had partially been done thus the records for which data entry had not been done cannot be searched

4.20 The audit showed that the biggest challenge in the use of EDMS was the knowledge gap between the ICT staff at the head office and the civil registrars in the sub county offices. The understanding of the Registrars in the sub counties on accessing and using the EDMS, varied greatly with how the system is supposed to function. The registrars also did not understand the use of the Telkom modems since they were point to point modems and not internet access modems. As a result, though the registrars had the necessary equipment and resources to fully utilize the EDMS they did not possess the knowledge required to fully use it.

ii. Partial digitization of birth and death records

4.21 According to the Civil Registration Department Strategic Plan 2013-2017 the department had planned to digitize all its manual and death records. In 2015, the department embarked on digitization of all of its historical records up to 2014. Digitization of the records included scanning of all the manual records held by the department and carrying out data entry for the scanned records to make them accessible electronically. Interviews with CRD staff and review of documents revealed that the head office engaged a contractor to carry out the digitization of the historical records since they were voluminous. The registrars were also required to scan all the records and do data entry for all the documents they used during registration so as to ensure continuous update and digitization of birth and death records.

4.22 The audit however revealed that data entry had not been done for all the previously scanned historical records thus some records could not be accessed through the EDMS in all the 15 CROs visited. Further, documents provided for review by the head office indicated that the department had digitized only 15,486,002 (40%) of its 39,155,307 birth records and 593,825 (10%) of its 5,703,161 death records. The registrars further indicated that they were not scanning the records and carrying out data entry because they did not have access to the EDMS, they were understaffed and they lacked skills to carry out digitization. This was supported by data from CRD which indicated that out of 109 stations, only staff in 16 stations were trained on CRVSS while only staff in 48 stations were trained on EDMS. With partial digitization most of the records, i.e. 60% and 90% of the births and death record respectively, cannot be accessed electronically. The digitization of current record which was supposed to be done continuously as from 2015, isn't being done either.

iii. CRD has not fully rolled out Civil Registration Vital Statistics System

4.23 According to the Civil Registration Department Strategic Plan 2013-2017 the department had planned to roll out Civil Registration Vital Statistics System (CRVSS) to 107 stations. The CRVSS was meant to carry out all functionalities of the department from digitization to the business processes, that is; provide for electronic storage and retrieval of births and deaths records; reduce service delivery timelines through electronic retrieval of indexed and systematically stored records; and to generate reports and vital statistics from the recorded births

and deaths information.

4.24 As at May 2018, the department had rolled out CRVSS on pilot basis in only 6 stations namely: Machakos, Nairobi, Nakuru, Bondo, Siaya and Kakamega. The roll out commenced in 2016 and had not been extended to other stations since then. During the roll out, the department trained 22 staff members on the use of the CRVSS. Visits to Nakuru and Bondo CROs revealed that Bondo office was no longer using CRVSS since October 2017 while Nakuru was partially using it. During the exit meeting in October 2018, the management of CRD indicated that the department had further rolled out CRVSS to other 5 stations namely³; Thika, Ruiru, Githunguri, Machakos and Kajiado. Despite the roll out, the CRVSS was not fully operational at the Central Registry, Nairobi County Registry and Machakos CRO due to:

- i. Challenges with internet connectivity – The modems used are for Telkom which has low coverage and poor connectivity.
- ii. Insufficient resources for roll out – i.e. shortage of staff to carry out digitization as registration goes on.
- iii. CRVSS hardware not performing to optimum levels since no upgrade had been done since 2010
- iv. Servicing and maintenance contract of the system has not been implemented thus issues arising from the use of the system cannot be resolved
- v. Issues arising from unique identifiers allocated by the system since the CRVSS allocated certificates numbers that do not match with the registration materials initially used and at times the numbers were duplicated on certificates
- vi. Lack of follow-up of the system to address knowledge gaps of the users

4.25 The audit showed that CRD does not have a copy of the service level agreement for the system since the contracting was done by the ICT Authority. This means that CRD as the user cannot engage the contractor to remedy any shortfalls during implementation. It is not clear how ICT Authority could engage a contractor without the input of the user department and this puts implementation, support and continuity at risk. Failure to fully implement the CRVSS, has resulted to continued application of manual processes which are time

³ These 5 stations have not been visited for verification as this information was provided during the exit meeting.

consuming and inefficient for service delivery. There is also the risk of double registration since manual registration processes are not effective in preventing and detecting several entries of an application. This is due to the fact that registrars can only search for records in their respective CROs and therefore a window exists for a citizen to register again at a different CRO. Having rolled out the CRVSS, in the 107 stations and the noted weakness in the system, this calls into question the value for money derived from the system.

4.26 Delays in issuance of birth and death certificates have resulted to the citizens ignoring this vital activity, up until when they will find it mandatory for other services and government procedures e.g. registration of exams or application for passports.

C. Resource allocation not commensurate with expected service delivery

4.27 While the major findings of the audit are that, the Civil Registration Department has not been registering all the births and deaths occurring in the country; and further that there has been delays in processing and issuance of birth and death certificates; we recognize that resources are required to offer these services. These resources are required to help breach the staffing gaps as well as meet the daily operational needs at the stations with the aim of improved service delivery. Analysis of data provided on funding and revenue generated through the issuance of birth and death certificates indicate that not all the approved funding for the field stations was provided.

4.28 It is good practice to plan for annual activities including financial planning. Once a budget has been approved, it is expected that the monies will be provided for delivery of the planned activities. Analysis of financial data for two⁴ years 2015/16 and 2017/18 indicate that out of the approved recurrent budget for field stations only 16% and 15% was given as AIEs to the stations in 2015/16 and 2017/18 financial years respectively as shown in **Table 4**.

⁴ Data provided for AIEs issued to field stations for 2016/17 was incomplete and could not be used for analysis

Table 4: Approved budget vs amount issued to field stations

| Financial Year | Recurrent Field | AIEs Issued | In % | Shortfall in funding | In % |
|----------------|-----------------|-------------|------|----------------------|------|
| 2015/2016 | 400,615,949 | 64,065,024 | 16% | 336,550,925 | 84% |
| 2017/2018 | 463,390,177 | 71,113,738 | 15% | 392,276,439 | 85% |

Source: OAG analysis of CRD data

4.29 The underfunding is despite the fact that CRD is able to generate revenue from the field stations. The amount issued to the field stations in 2015/16 and 2017/18 financial years was only 57% and 23 % respectively, of the revenue generated from the field stations as shown in **Table 5**. Since the services are not offered for profit, it would be prudent if part of the amount generated was ploughed back to improve service delivery.

Table 5: Revenue collected in the field stations vs amount issued

| Financial Year | Revenue Field | AIEs Issued | In % |
|----------------|---------------|-------------|------|
| 2015/2016 | 111,710,334 | 64,065,024 | 57% |
| 2017/2018 | 315,425,303 | 71,113,738 | 23% |

Source: OAG analysis of CRD data

CHAPTER 5

CONCLUSION

- 5.1 The Government through the Civil Registration Services has not created a need for registration of vital events. The citizens do not seem to understand the need for civil registration and the importance of obtaining birth and death certificates. Instead this seems to be need driven for example during registration for exams, processing of death benefits or application of travel documents.
- 5.2 The Civil Registration Services cannot fully account for all births and deaths happening in the country since registration rates are still below 100%. This means CRD has not been able to fully process, analyze and disseminate timely and reliable vital statistics. As a result, the government and other stakeholders cannot fully rely on its data for planning and resource allocation for various activities and services to the public. Accurate and upto date vital statistics data from the Civil Registration Services would be useful in collaborating census data and also short term and medium term planning.
- 5.3 The Civil Registration Services has not been issuing birth and death certificates on a timely basis. Automation of processes and digitization of birth & death records for increased efficiency have not been fully implemented. This has created apathy to the citizens who have ignored this exercise despite its national importance. In addition, the partial implementation means lack of economy for the funds used in the set up since the existing Electronic Data Management System / Civil Registration Vital Statistics Services platform is being underutilized.
- 5.4 The Ministry of interior has not been providing all the funding to the Civil Registration Services in line with the approved budget. This has created huge staffing gaps and resource constraints resulting to poor service delivery.

CHAPTER 6

RECOMMENDATIONS

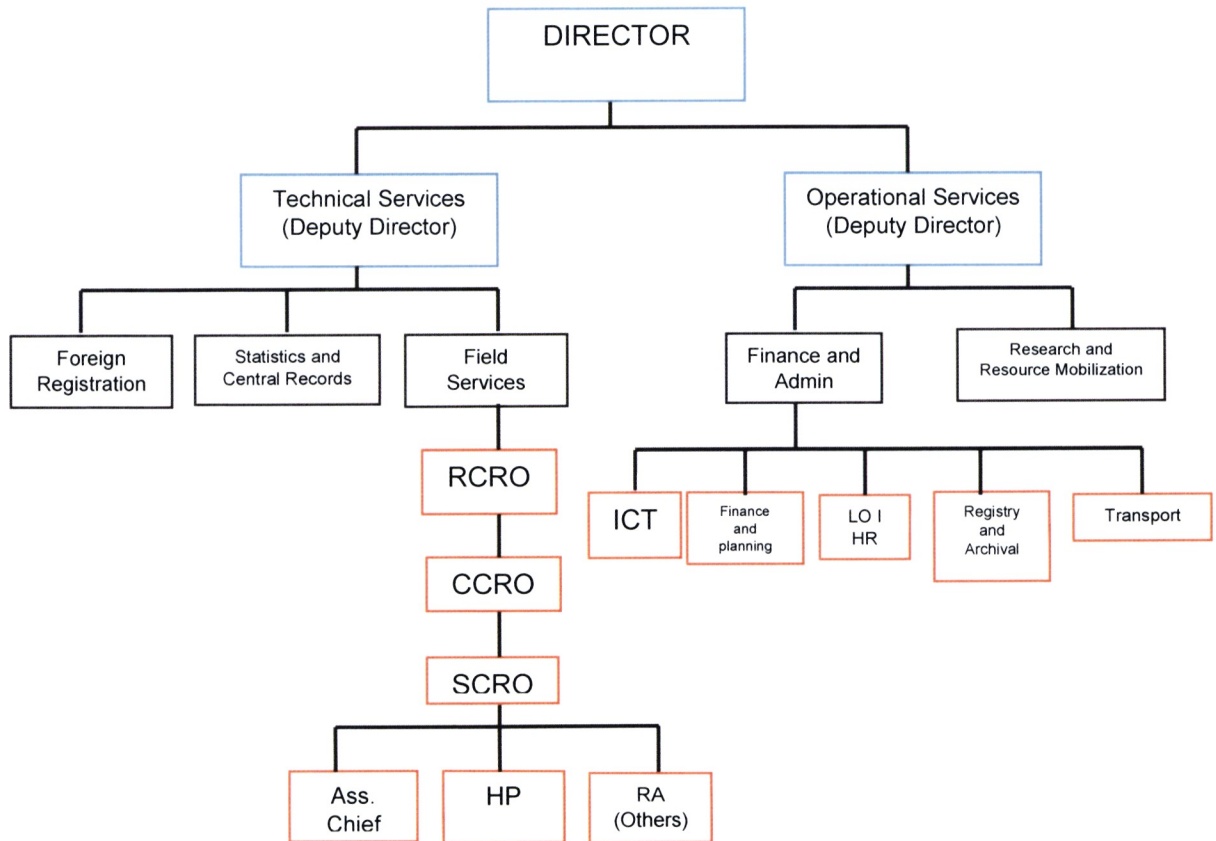
- 6.1 In view of the findings and conclusions of the audit, the Auditor- General proposes the following recommendations for implementation by the Ministry of Interior and Coordination of National Government to ensure that the Civil Registration Services carries out its intended functions.
- 6.2 To ensure that all the births and deaths occurring in the country are registered, the Ministry through the Civil Registration Services should:
 - i. Hold national and county sensitization workshops and conduct population specific campaigns with relevant partners to create awareness on the importance of registration of these vital events.
 - ii. Develop a monitoring and evaluation framework, train the staff on monitoring and evaluation; and ensure civil registration activities are periodically monitored and that registration agents are well supervised.
 - iii. Ensure effective reach of all citizens within the republic by reducing the population reach and geographical coverage for a Civil Registration Officer.
- 6.3 To improve efficiency in processing and issuing of birth and death certificates, the Civil Registration Services should:
 - i. Fully install the relevant ICT infrastructure and Electronic Document Management System (EDMS) to all Civil Registration Officers.
 - ii. Digitize all manual birth and death records for ease of access, search and processing by all the Civil Registration Officers.
 - iii. Ensure that the Civil Registration Vital Statistics System is rolled out to all Civil Registration Officers and ensure its full implementation by addressing the knowledge gaps and the noted system failures.
- 6.4 To improve service delivery at the stations, the Ministry of interior should ensure that the Civil Registration Services is adequately funded in line with the approved budget. This would help bridge the huge staffing gaps and provide the resources required to offer timely registration and issuance of birth and death certificates.

7.0 APPENDICES

Appendix 1: List of documents reviewed

| Entity | Type of document reviewed | Reason for review |
|---|---|---|
| Ministry of Interior and Coordination of National Government | Births and Deaths Registration Act of 1928 Cap. 149 | To understand the legal provisions for registration, processing and issuance of births and deaths |
| | Civil Registration Department Strategic Plan for 2013-2017 | To understand the role, mandate and functions of the Civil Registration Department with regard to registration, processing and issuance of birth and death certificates |
| | Civil Registration Manual | To understand the operational guidelines and rules |
| | Revised Scheme of Service for Civil Registration Personnel (2013) | To understand the duties and responsibilities of different personnel of the Civil Registration Department |
| | Examination Report into the Systems, Policies, Procedures and Practices of the Civil Registration Department by the Kenya Anti-corruption Commission (2010) | To obtain insights on the findings and recommendation that would aid in conducting a performance audit on civil registration |
| | Civil Registration Charter | To obtain information on the charges and timelines for registration and issuance of birth and death certificates |
| | Kenya Vital Statistics Report for 2014, 2015, 2017 and 2018 | To obtain information on the vital statistics for Kenya |
| Sub County Offices | Annual reports and AIEs | To obtain information on registered births and deaths, activities and funding for civil registration |
| | Movement registers and counter applications book | To obtain the lead time from when an application is made, processed and issued |
| | Complaints register | To find out the complaints made by applicants |

Appendix 2: CRD Organization Structure



Key:
RCRO-Regional Civil Registration Coordinator
CCRO – County Civil Registration Coordinator
SCRO – Sub-County Civil Registrar
HP – Health Care Professional
RA – Other Registration Agents (Imams, Pastors, Village Elders, Health Volunteers)

Appendix 3: Stakeholder Analysis

| Stakeholder Group | What is the stakeholder's interest in the affairs of the Ministry of Interior and Coordination of National Government - Civil Registry | What does the stakeholder stand to gain if the Civil Registry were to fulfill its mandate well? | What does the Stakeholder stand to lose if the Civil Registry were to fail in fulfilling its mandate? | What would the Stakeholder want to know from our report? | From where and how will we get this information? |
|--|--|---|--|---|---|
| 1. UN and Other International Organizations (UNICEF, UNPFA, UNHCR, WHO, UNECA, ADB and WB) | <p>To improve registration coverage and access to birth and death certificates through support of various activities and implementation of strategies of the department.</p> <p>To use the Civil Registration Vital Statistics (CRVS) information for programs planning, monitoring, and evaluation.</p> | <p>The satisfaction that they have enabled the Civil Registry in achieving its mandate and better working relationships with the government</p> <p>Access to quality civil registration data in planning, monitoring and evaluating their various population programs in Kenya.</p> | <p>The international organizations would not be able to obtain quality data for planning, monitoring and evaluating their programs in Kenya and for statistical comparisons with other states.</p> | <p>Whether the Civil Registry has been able to achieve its mandate and what could be done to improve the operations of Department</p> | <p>Reviewing the Civil Registry's Strategic Plan and other records as well as interviewing chief staff within the department.</p> |

| Stakeholder Group | What is the stakeholder's interest in the affairs of the Ministry of Interior and Coordination of National Government - Civil Registry | What does the stakeholder stand to gain if the Civil Registry were to fulfill its mandate well? | What does the Stakeholder stand to lose if the Civil Registry were to fail in fulfilling its mandate? | What would the Stakeholder want to know from our report? | From where and how will we get this information? |
|--|--|---|---|---|---|
| 2. Non – Governmental Sector (Plan International, World Vision, Kenya, USAID – Measure Evaluation, U.S. CDC, GOAL Kenya) | <p>To improve registration coverage and access to birth and death certificates through support of various activities and implementation of strategies of the department</p> <p>To use the civil registration vital statistics in overseeing child protection rights in Kenya and advocating for improved registration systems.</p> | <p>Value for money on the resources used to offer various support services to the Department.</p> <p>Access to quality civil registration statistics in evaluation of their programs.</p> | <p>There would be lack of value for money for the resources invested by these NGOs towards Civil Registry for its support services.</p> <p>Inability to obtain quality civil registration data towards evaluating their programs.</p> | <p>An assurance that the Civil Registry has been able to achieve its mandate and what could be done to improve the operations of Department</p> | <p>Reviewing the Civil Registry's Strategic Plan and other records as well as interviewing chief staff within the department.</p> |

| Stakeholder Group | What is the stakeholder's interest in the affairs of the Ministry of Interior and Coordination of National Government - Civil Registry | What does the stakeholder stand to gain if the Civil Registry were to fulfill its mandate well? | What does the Stakeholder stand to lose if the Civil Registry were to fail in fulfilling its mandate? | What would the Stakeholder want to know from our report? | From where and how will we get this information? |
|--|--|--|--|--|--|
| 3. Ministry of Health | <p>To act as an agent in the registration of births and deaths in health facilities</p> <p>To use the civil registration data for information during planning for interventions to prevent maternal deaths</p> <p>To use the Civil Registration Vital Statistics data for information on fertility rates and determine family planning programs.</p> | The ministry would be able to carry out maternal death audits and use the CRVS data to inform them during planning for interventions to prevent maternal deaths and provide information on fertility rates and determine family planning programs. | The ministry would not be able to obtain data for carrying out their maternity and mortality audits. | As a provider of agency services for the Civil Registry, it would want to obtain an assessment of their operations and areas to improve on when providing the agency services. | Interviewing sampled officers from the Ministry of Health who also act as registration agents. |
| 4. Kenya National Bureau of Statistics | To collect, compile, and analyze national statistical information on civil registration for their publishing and dissemination nationally for public use. | Ability to compile and analyze national statistical information on births and deaths for publication and dissemination to the public as per their mandate. | The semi-autonomous government agency mandated to compile and analyze statistical information would not be able to obtain CRVS for publishing and dissemination for public use | An assurance that the Civil Registry produces reliable information and reports relating to their mandate of registering and recording births and deaths. | Reviewing the Civil Registry's Strategic Plan and other records as well as interviewing chief staff within the department. |

| Stakeholder Group | What is the stakeholder's interest in the affairs of the Ministry of Interior and Coordination of National Government - Civil Registry | What does the stakeholder stand to gain if the Civil Registry were to fulfill its mandate well? | What does the Stakeholder stand to lose if the Civil Registry were to fail in fulfilling its mandate? | What would the Stakeholder want to know from our report? | From where and how will we get this information? |
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| 5. Independent Electoral and Boundaries Commission | To know the number of registered births and deaths | To know the number of eligible registered voters and assist in the cleansing of the voters register in case of deaths | The commission will not know the correct number of eligible voters | Whether the statistics provided by the CRD is accurate and reliable | Reviewing of other records and interviewing senior management staff of the CRD |
| 6. Department of Children's Services | To use the Civil Registration Vital Statistics information, especially as evidence in children's rights issues (e.g., inheritance, legitimacy, juvenile crimes). | Enhanced access to evidence in children's rights issues (e.g., inheritance, legitimacy, juvenile crimes). | Inability to obtain evidence used in child related cases. | Whether the Civil Registry is carrying out its functions as intended and reliability of the information that it produces. | Reviewing the Civil Registry's Strategic Plan and other records as well as interviewing chief staff within the department. |
| 7. Ministry of Education | To improve civil registration completeness and coverage through making a birth certificate mandatory at all levels of school admission and during registration for all KNEC examinations. | Coordinated effort in service to the citizens by ensuring that all children and students obtain birth certificates as per their rights. | They would not be able to authoritatively obtain all the relevant information relating to births when offering their intended services of admission and administration of examinations to the public. | Whether the Civil Registry is carrying out its functions as intended and reliability of the information that it produces | Reviewing the Civil Registry's Strategic Plan and other records as well as interviewing departmental managers. |

| Stakeholder Group | What is the stakeholder's interest in the affairs of the Ministry of Interior and Coordination of National Government - Civil Registry | What does the stakeholder stand to gain if the Civil Registry were to fulfill its mandate well? | What does the Stakeholder stand to lose if the Civil Registry were to fail in fulfilling its mandate? | What would the Stakeholder want to know from our report? | From where and how will we get this information? |
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| 8. M and E Directorate in the Ministry of Devolution and Planning | To use the Department's statistics and data for national planning and monitoring progress toward the attainment of Vision 2030 (economic and social indicators). | Ability to obtain and access data and information for national planning. | Inability to obtain civil registration data and information resulting to negative effect on their mandate on national planning. | An assurance that the Civil Registry produces reliable information and reports relating to their mandate. | Reviewing the Civil Registry's Strategic Plan and other records as well as interviewing departmental managers |
| 9. County Governments | To use the Civil Registration Vital Statistics and data in resource allocation and implementing legislations within the county; To use the Civil Registration Vital Statistics in providing strategic and operational leadership for overall health management in the county level. | Increased advocacy for legislative and policy change, and data usage for resource allocation at the county level. | The county governments would use other variables in resource allocation within their jurisdictions which may in turn have a negative impact on their efficiency. | An assurance that the Civil Registry produces reliable information and reports relating to their mandate and whether the county residents efficiently receive services that they offer. | Review of records and interview of field registration officers. |

| Stakeholder Group | What is the stakeholder's interest in the affairs of the Ministry of Interior and Coordination of National Government - Civil Registry | What does the stakeholder stand to gain if the Civil Registry were to fulfill its mandate well? | What does the Stakeholder stand to lose if the Civil Registry were to fail in fulfilling its mandate? | What would the Stakeholder want to know from our report? | From where and how will we get this information? |
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| 10. County Commissioner's (Formerly called Provincial Administration) | <p>To provide notification of births and deaths that occur at home through the local assistant chiefs hence acting as agents in the civil registration process.</p> <p>To use the Civil Registration Vital Statistics for planning purposes.</p> | Coordinated effort in service to the citizens and enhanced enforcement of the law governing registration by ensuring that communities have permits to bury the dead and certificates for newborns. | Uncoordinated service delivery to the citizens and other stakeholders. | As an agent in the civil registration process, it would want to obtain an assessment of their operations and areas to improve on when providing the agency services. | Interviewing sampled locational chiefs who also act as registration agents. |
| 11. Commission on Revenue Allocation (CRA) | To advocate for legislative and policy change at the national level, and use the CRVS in resource allocation in all the counties | Ability to obtain data and statistics for determining resource allocation to various counties. | The commission would only rely on other variables in resource allocation to various counties which may in turn have a negative impact on their efficiency and increased public outcry. | An assurance that the Civil Registry produces reliable information and reports relating to its mandate. | Reviewing the Civil Registry's Strategic Plan and other records as well as interviewing departmental managers |

| Stakeholder Group | What is the stakeholder's interest in the affairs of the Ministry of Interior and Coordination of National Government - Civil Registry | What does the stakeholder stand to gain if the Civil Registry were to fulfill its mandate well? | What does the Stakeholder stand to lose if the Civil Registry were to fail in fulfilling its mandate? | What would the Stakeholder want to know from our report? | From where and how will we get this information? |
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| 12. Employees | <p>To provide civil registration services to the citizens of Kenya and compile vital statistics for at the national and sub-national levels.</p> <p>To earn income from the resources allocated to the Department in terms of salaries for their provision of services to the public.</p> | <p>Confidence from other stakeholders that the Department is carrying out its mandate of registering births and deaths, maintaining vital statistical data on births and deaths and issuing birth and death certificates.</p> | <p>Loss of confidence from other stakeholders that the Department is efficiently run.</p> | <p>An independent assessment of their operations and ways in which they can improve in their mandate of civil registration, records maintenance and issuance of birth and death certificates</p> | <p>Interviewing the Civil Registry employees at the headquarters and field offices.</p> |
| 13. Parliament | <p>To ensure that the Civil Registry fulfils its mandate of Registering births and deaths, Processing vital statistical data and Issuing birth and death certificates.</p> <p>To allocate the department the available resources through its Budget and Appropriations Committee and monitor the usage of allocated resources through its Public Accounts Committee.</p> | <p>The satisfaction that the funds and resources allocated to the Department are utilised in an economic, efficient and effective manner and that the Department fulfils its mandate in efficient service delivery to the citizens.</p> | <p>Reduced confidence on them by the public in regard to their duty to safeguard public resources.</p> | <p>An assurance that the Department utilises the funds and resources it is allocated for the intended purposes and in an economic manner and that it efficiently offers service delivery to the citizens.</p> | <p>Reviewing the Civil Registry's Strategic Plan, Parliamentary Hansards and other records as well as interviewing departmental managers</p> |

| Stakeholder Group | What is the stakeholder's interest in the affairs of the Ministry of Interior and Coordination of National Government - Civil Registry | What does the stakeholder stand to gain if the Civil Registry were to fulfill its mandate well? | What does the Stakeholder stand to lose if the Civil Registry were to fail in fulfilling its mandate? | What would the Stakeholder want to know from our report? | From where and how will we get this information? |
|---|--|--|--|---|--|
| 14. Police Department (Crime Investigation Department -CID and Traffic Units) | To act in processing quality cause-of-death information for deaths that result from unnatural causes and collaborates with medical practitioners on certifying the causes before the registration of unnatural deaths. | Coordinated effort in service to the citizens | Uncoordinated service delivery to the citizens and other stakeholders. | Whether the Civil Registry is carrying out its functions as intended and reliability of the information that it produces. | Reviewing the Civil Registry's Strategic Plan and other records. |
| 15. Research Institutions (NCPD and KIPPRA) | To use the CRVS information on various research issues on population, in development of policies and to provide public policy advice to the government and stakeholders. | Access to quality research data for analysis on population issues and improved policy advice to the government and other stakeholders. | Use of non – quality civil registration data for policy making which may result to inappropriate advice to the government. | An assurance that the Civil Registry produces reliable information and reports relating to its mandate. | Reviewing the Civil Registry's Strategic Plan and other records. |

| Stakeholder Group | What is the stakeholder's interest in the affairs of the Ministry of Interior and Coordination of National Government - Civil Registry | What does the stakeholder stand to gain if the Civil Registry were to fulfill its mandate well? | What does the Stakeholder stand to lose if the Civil Registry were to fail in fulfilling its mandate? | What would the Stakeholder want to know from our report? | From where and how will we get this information? |
|-----------------------------|--|--|--|---|--|
| 16. The Citizens/ Public | <p>To receive quality and timely service from the Department in matters relating to births and deaths registration, recording and issuance of birth and death certificates.</p> <p>To know that the funds channelled to the Civil Registry (tax payer's money) has been utilized for the intended purposes</p> | <p>Efficient service delivery by the Civil Registry Department and ability to obtain birth and death certificates.</p> <p>The assurance that the public funds allocated to the Civil Registry have been used for the benefit of all stake holders through provision of improved and quality civil registration data.</p> | <p>Inefficient service delivery to the citizens and loss of confidence in the Department's ability to utilize funds for the intended purposes.</p> | <p>Whether the Civil Registry Department efficiently offers its service delivery and whether it has utilised the public funds economically and effectively.</p> | <p>Reviewing the Civil Registry's Strategic Plan and other records and interviewing of sampled applicants from registration field offices.</p> |

Appendix 4: The Civil Registration Services Response to Audit Findings

| Finding of the Audit | Civil Registration Services' Response/ Comments | Auditor's Remarks |
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| <p>Inadequacy of Public Awareness (Para 4.6-4.7). According to the CRD strategic plan 2013-2017 CRD planned to hold national and county sensitization workshops and conduct population specific campaigns with relevant partners. However, the Sub-County Registrars and Registration Agents interviewed stated that there was lack of public awareness on the procedures and importance of civil registration.</p> <p>Inadequacy of public awareness which could be attributed to the fact that CRD does not a clear strategy on public awareness and instead relied on barazas which were organized by administrative officers. The barazas were not effective as they were not structured.</p> | <p>The CRS disputes the finding that it did not prioritize public awareness. The CRD indicates that in the 2013- 2017 strategic plan and in every single annual workplan between this period it outlined public awareness as a critical part of improvement of registration coverage.</p> <p>The CRS also indicate that the limited resources that have been availed for public awareness have been used to print IEC materials such as service charters and fliers. The resources cannot support wide coverage in public awareness.</p> | <p>The CRS agrees that there was inadequate public awareness. The finding has been revised to also include the resource constraint as a cause of inadequate public awareness.</p> |
| <p>Lack of monitoring and evaluation of civil registration activities and supervision of registration agents (Para 4.8 & 4.9)</p> <p>All the sub-county and the registration agents interviewed indicated that there was lack of comprehensive monitoring and evaluation and no feedback was given to those stations that had been evaluated. In addition, 12 out of the 15 CROs visited had no means of transport which made monitoring impossible. It is evident that the CRD did not prioritize monitoring and evaluation and did not provide funding for the same.</p> | <p>The CRS attributes the lack of monitoring and evaluation to budgetary constraints which also affected allocations for various activities being implemented by the CRS.</p> | <p>The CRS agrees that there was inadequate funding for monitoring and evaluation of civil registration activities and supervision of registration agents. The finding has been amended to reflect this position</p> <p>The development of a monitoring tool and creation of the position of regional coordinators as way of enhancing the capacity of monitoring and evaluation is noted.</p> |

| Finding of the Audit | Civil Registration Services' Response/ Comments | Auditor's Remarks |
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| <p>Lack of effective reach in all sub counties within the country (Para 4.10-4.13)</p> <p>Para 4.10 The Civil Registration Services is expected to register all births and deaths that occur in Kenya. This means that all areas should be effectively covered to ensure services are close to the citizens. Analysis conducted on population and average area coverage served by the 15 CROs visited as presented in Table 3, revealed that a Civil Registration Offices (CRO) covered an average of about 11,894 sq. km. Additionally, data provided by CRD indicates that there were 109 Civil Registration Offices in 2017 which served Kenya's estimated population of 47.8 Million persons translating to 438,192 persons per CRO. According to the authorized staff establishment there should be 1,826 CROs each serving an average of 26,157 persons but as at 2017 there were only 218 CROs each serving an average of 219,096 persons.</p> <p>Para 4.12 According to the CRD strategic plan 2013-2017, CRD had planned to establish mobile registration offices in hard to reach areas. However, it was observed that the CRD had not established any mobile registration offices in the hard to reach areas and relied on the already established CROs and partners who provided funding for field activities in those areas. The explanation provided for lack of mobile outreach activities was inadequate facilitation for mobile outreach in terms of resources i.e. staff, transport, printers, and certificates. Poor coverage results to lack of registration, increased cases of late registration and late submission of returns by some registration agents to the CROs which affects the accuracy of data and information collected by the department.</p> | <p>On the number of Civil Registration Offices, the CRS opened two more offices (Kaloleni in Coast and Balambala in North Eastern Region) making a total of 111 offices serving 357 Sub Counties. In December, 2018 CRS recruited 171 new Civil Registration officers making a total of 389 CROS. However, the increased numbers are also being affected by the high number of existing officers through retirement, natural attrition and officers opting out</p> <p>The current in-post is still overstretched even in operational station as each Sub-County Civil Registrar has an average coverage of 3.5 sub-counties.</p> <p>Through the support of partners, CRS got a four-wheel vehicle for conducting mobile registration which will be piloted in Narok and Trans Nzoia Counties</p> | <p>The efforts by CRS to improve their reach in all sub-counties is noted. However, the finding remains as reported.</p> <p>The efforts by the CRS to improve on mobile registration is noted. However, the finding remains reported as reported.</p> |

| Finding of the Audit | Civil Registration Services' Response/ Comments | Auditor's Remarks |
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| <p>Para 4.14 According to the Service Charter it should take 2 days to process and issue a birth or death certificate in Nairobi and Mombasa and 1 day in the other sub county offices. 14 out of 15 Sub-County Civil Registrars (SCRs) interviewed, stated that they processed and issued birth and death certificates within the prescribed period. However, review of Counter Application Books revealed that they were not being filled properly as shown in figure 3 below. Column 2 should record the exact date that the application was received and column 7 should record the exact date that the certificate was stamped by the registrar making it a legal document and ready for collection. It was therefore not possible to obtain documentary evidence on time taken to process and issue the certificates.</p> | <p>CRS had been meeting its performance target of issuing certificates within two days in Nairobi and Mombasa and one day in other sub-county stations. However, a number of factors affected the ability of CRS to realize this:</p> <ul style="list-style-type: none"> i. Pronouncement by Ministry of Education that all school children must present birth certificates from enrolment under NEMIS ii. Ministry of Education directive that all students in high school and tertiary institutions must be enrolled with NHIF iii. Directive that all persons in Kenya must be registered with Huduma Namba iv. Review of the education curricula which created new examinable levels <p>In all these stations, CRS was required to provide certificates of birth thereby resulting in the following challenges;</p> <ul style="list-style-type: none"> i. Unprecedented crowd of applicants ii. Inadequate capacity in terms of staff and materials iii. Prolonged shortages of certificates of birth and death (the increased crowd of applicants had not been planned for) iv. Inadequate capacity for production of the required certificates during the crash registration exercise | <p>The team acknowledges the response detailing the challenges mentioned. However, the finding was based on the Service Charter that was in existence at the time of the audit. Thus, the audit finding remains as reported</p> |

| Finding of the Audit | Civil Registration Services' Response/ Comments | Auditor's Remarks |
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| <p>4.17 Lack of Full Installation of ICT Infrastructure and Electronic Document Management System (EDMS)</p> <p>4.17 According to the Civil Registration Department strategic plan 2013-2017 the department had planned to complete the installation of ICT infrastructure and Electronic Document Management System (EDMS) by the year 2017. The establishment of ICT infrastructure was the backbone of digitization and it involved ensuring each CRO had computers, scanners, internet and power back-up supports. The EDMS which is essentially a repository for all scanned manual data was meant to be installed and configured to at least one computer in each CRO.</p> <p>4.18 Inspections conducted in the 15 CRO visited revealed that they all had working computers although Bondo was using borrowed computers, 13 of them had working scanners while 2 did not have any scanner. All CROs visited had Telkom/ Orange modems which they used for internet connection. In addition, 7 of the 15 offices visited also had access to internet through National Optic Fibre Backbone Infrastructure (NOFBI).</p> <p>4.19 Despite the availability of ICT infrastructure in these offices, only Nakuru CRO was using EDMS to a large extent, 10 of them were partially using it while Narok, Busia, Kabarnet and Kuria did not use it at all. Further, the inspection revealed that of 15 CROs visited, Nakuru and Meru had each 5 officers trained on the use of EDMS/CRVSS,</p> | <p>The CRD indicates that every station has the following ICT equipment: -At least 2 computers -1 Laptop -1 high speed scanner -1 printer -1 power backup system which lasts for three days during power lack out (some are not functional due to lack of maintenance)</p> <p>There have been security challenges in Civil Registration Sub-County Offices where information and Communication Technology (ICT) equipment has been stolen eg. Kibwezi, Mwingi, Bondo, Nyandarua North and Kwale. Replacement of this stolen equipment is done after procurement of the equipment.</p> <p>The Wide Area Network (WAN) connectivity in Civil Registration Services offices are done using Government Core Network (GCCN) which currently covers County Headquarters, CTS procured Telkom modem connectivity expired on 1/1/2019</p> <p>All Civil Registration Services stations were trained on use of Electronic Document Management System (EDMS) except stations that had security challenges eg. Mandera, Wajir, Wajir South, Ijara, Tana River, Tana Delta and Lamu.</p> <p>Training on Civil Registration and Vital Statistics System (CRVSS) has been done on the following CRS offices and</p> | <p>Our observation reflects what existed at the various centers during the audit.</p> <p>Though we appreciate the modernization effort. The finding remains as reported</p> |

| Finding of the Audit | Civil Registration Services' Response/ Comments | Auditor's Remarks |
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| <p>8 of the CROs had each 1 trained officer while the remaining 5 CROs had none trained. The registrars indicated reasons for not fully using the EDMS system to be:</p> <p>a) The staff were not trained on the use of the system and those trained were not up-to-date with the operations of the system since they had not used the system after training and therefore needed to be retrained</p> <p>b) Data that was supposed to be digitized at the headquarters was partially done. i.e. the scanning was done up to 2014</p> <p>c) The data in the system is incomplete i.e. the head office scanned the records but they did not complete the data entry and for the records scanned by the CROs, data entry had partially been done thus the records for which data entry had not been done cannot be searched</p> <p>4.20 The audit revealed that the biggest challenge in the use of EDMS was the knowledge gap between the ICT staff at the head office and the civil registrars in the sub county offices. The understanding of the Registrars in the sub counties on accessing and using the EDMS, varied greatly with how the system is supposed to function. The registrars also did not understand the use of the Telkom modems since they were point to point modems and not internet access modems. As a result, though the registrars had the necessary equipment and resources to fully utilize the EDMS they did not possess the knowledge required to fully use it.</p> | <p>corresponding Huduma Centres: Nairobi County Offices, Machakos, Kajiado, Kiambu, Thika, Githunguri, Kirinyaga, Marsabit, Embu, Trans Nzoia, Kisumu, Vihiga, Siaya, Kakamega Central, Ruiru, Bondo and Nyamira.</p> <p>Usage of CRVSS and EDMS systems require stable connectivity to CRS Headquarters. This has been a major challenge in some offices; Nairobi County Office has been using the systems fully due to stable connectivity.</p> <p>The systems have been experiencing challenges due to lack of maintenance contracts for both EDMS and CRVSS. Therefore, system bugs, optimization and hardware challenges have prevented the optimal utilization of the systems.</p> <p>Majority of the CROS do not have ICT expertise and the training duration undertaken was not adequate to all the technological components involved i.e. Network configuration and troubleshooting, server configuration and scanner installation and configuration. There is need for refresher courses to be organized to train the CROS as the department deploy technology in enhancing its service delivery.</p> | |

| Finding of the Audit | Civil Registration Services' Response/ Comments | Auditor's Remarks |
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| <p>Partial digitization of birth and death records</p> <p>Para 4.21-4.22 According to the CRD strategic plan 2013-2017, the CRD had planned to digitize all its manual and death records. In 2015, the department embarked on digitization of all of its historical records up to 2014. Digitization of the records included scanning of all the manual records held by the department and carrying out data entry for the scanned records to make them accessible electronically. Interviews with CRD staff and review of documents revealed that the head office engaged a contractor to carry out the digitization of the historical records since they were voluminous. The registrars were also required to scan all the records and do data entry for all the documents they used during registration so as to ensure continuous update and digitization of birth and death records.</p> <p>The audit however revealed that data entry had not been done for all the previously scanned historical records thus some records could not be accessed through the EDMS in all the 15 CROs visited. Further, documents provided for review by the head office indicated that the department had digitized only 15,486,002 (40%) of its 39,155,307 birth records and 593,825 (10%) of its 5,703,161 death records. The registrars further indicated that they were not scanning the records and carrying out data entry because they did not have access to the EDMS, they were understaffed and they lacked skills to carry out digitization. This was supported by data from CRD which indicated that out of 109 stations, only staff in 16 stations were trained on CRVSS while only staff in 48 stations were trained on EDMS. With partial digitization most of the records, i.e. 60% and 90% of the births and death record respectively, cannot be accessed electronically. The digitization of current record which was supposed to be done continuously as from 2015, isn't being done either.</p> | <p>Accesses to EDMS require stable connectivity to the servers at CRS Headquarters, since the expiry of the contract with Telkom to provide modems for connectivity, there has been no new connectivity solution.</p> <p>The records which were not digitised during the digitization exercise in 2014 are in the process of being digitised in the CRS offices by the CRS staff that has been trained afresh to be able to continuously digitise the records as they are generated.</p> | <p>The team acknowledges the efforts made by the CRS however the finding remains as reported being the observations at the time of the audit</p> |

| Finding of the Audit | Civil Registration Services' Response/ Comments | Auditor's Remarks |
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| <p>(iii) CRD has not fully rolled out Civil Registration Vital Statistics System Para 4.23-4.24 According to the CRD strategic plan 2013-2017 the department had planned to roll out Civil Registration Vital Statistics System (CRVSS) to 107 stations. CRVSS was meant to carry out all functionalities of the department from digitization to the business processes, that is; provide for electronic storage and retrieval of births and deaths records; reduce service delivery timelines through electronic retrieval of indexed and systematically stored records; and to generate reports and vital statistics from the recorded births and deaths information.</p> <p>As at May 2018, the department had rolled out CRVSS on pilot basis in only 6 stations namely: Machakos, Nairobi, Nakuru, Bondo, Siaya and Kakamega. The roll out commenced in 2016 and had not been extended to other stations since then. During the roll out the department trained 22 staff members on the use of the CRVSS. Visits to Nakuru and Bondo CROs revealed that Bondo office was no longer using CRVSS since October 2017 while Nakuru was partially using it. During the exit meeting in October 2018, the management of CRD indicated that the department had further rolled out CRVSS to other 5 stations namely ; Thika, Ruiru, Githunguri, Machakos and Kajiado. Despite the roll out the CRVSS was not fully operational at the Central Registry, Nairobi County Registry and Machakos CRO due to:</p> <p>i. Challenges with internet connectivity – The modems used are for Telkom which has low coverage and poor connectivity.</p> | <p>The CRVSS has been rolled out in the following CRS offices and corresponding Huduma Centres: Nairobi County Office, Machakos, Kajiado, Kiambu, Thika, Githunguri, Kirinyaga, Marsabit, Embu, Trans Nzoia, Kisumu, Vihiga, Siaya, Kakamega Central, Ruiru, Bondo and Nyamira</p> <p>After digitization CRS noticed some duplication of the record unique identifier (entry number) therefore the system had to issue new entry numbers for unique identification of the records.</p> <p>Lack of facilitation for monitoring of systems once they are rolled out is a challenge for sustainability of the system</p> | <p>The team acknowledges the efforts made by the CRS to roll out the CRVSS in the country,</p> <p>However as contained in the response, challenges exist with the system.</p> <p>The finding as contained in our draft report remains as reported</p> |

| Finding of the Audit | Civil Registration Services' Response/ Comments | Auditor's Remarks |
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| <p>ii. Insufficient resources for roll out – i.e. shortage of staff to carry out digitization as registration goes on.</p> <p>iii. CRVSS hardware not performing to optimum levels since no upgrade had been done since 2010</p> <p>iv. Servicing and maintenance contract of the system has not been implemented thus issues arising from the use of the system cannot be resolved</p> <p>v. Issues arising from unique identifiers allocated by the system since the CRVSS allocated certificates numbers that do not match with the registration materials initially used and at times the numbers were duplicated on certificates</p> <p>vi. Lack of follow-up of the system to address knowledge gaps of the users</p> <p>Para 4.25 The audit revealed that CRD does not have a copy of the service level agreement for the system since the contracting was done by the ICT Authority. This means that CRD as the user cannot engage the contractor to remedy any shortfalls during implementation. It is not clear how ICT Authority could engage a contractor without the input of the user department and this puts implementation, support and continuity at risk. Failure to fully implement the CRVSS, has resulted to continued application of manual processes which are time consuming and inefficient for service delivery. There is also the risk of double registration since manual registration processes are not effective in preventing and detecting several entries of an application. This is due to the fact that registrars can only search for records in their respective CROs and therefore a window exists for a citizen to register again at a different CRO.</p> <p>Para 4.26 Delays in issuance of birth and death certificates have resulted to the citizens ignoring this vital activity, up until when they will find it mandatory for other services and government procedures e.g. registration of exams or application for passports.</p> | <p>It is necessary to note that CRS was not the procuring agency and did not therefore keep any service level agreement.</p> | |

| Finding of the Audit | Civil Registration Services' Response/ Comments | Auditor's Remarks |
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| <p>Resource Allocation not Commensurate with Expected Service Delivery While the major finding of the audit are that, the CRD has not been registering all the births and deaths occurring in the country and has been delaying processing and issuance of birth and death certificates, we recognize that resources are required to offer these services. We noted that not all the approved funding for the field stations was provided.</p> | <p>On the funds issued to the field stations, the recurrent budget for the financial year 2015/16 and 2017/18 was Kshs 400,625,949 and Kshs 463,390,177. The issued funds to the field offices as per the report is 165 and 15% for the two years. This came about because:</p> <ul style="list-style-type: none"> i. The recurrent approved budget included s funds used for personnel emoluments ii. Procurement of CRD materials used for registration, and certificates of births and death is done centrally. | |

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