

**THE ROLE OF RECORDS MANAGEMENT IN GOVERNANCE-BASED
EVIDENCE, SERVICE DELIVERY AND DEVELOPMENT IN SOUTH
AFRICAN COMMUNITIES**

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DECLARATION

I declare that **THE ROLE OF RECORDS MANAGEMENT IN GOVERNANCE-BASED EVIDENCE, SERVICE DELIVERY AND DEVELOPMENT IN SOUTH AFRICAN COMMUNITIES** is my own work. All the sources that I have used, or quoted, have been indicated and acknowledged by means of complete references.

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ABSTRACT

The purpose of this study was to critically analyse the evidence-based revelations from the South African Office of the Auditor-General on the records management challenges being encountered in the local government sector. The aim of the study was the analysis of available evidence and the proposal of solutions for collaborative planning and implementation.

The lack of strategic planning in ensuring the accessibility of authentic information sources required during auditing remains unchallenged by the South African public archivists and records managers. These audit reports are required to demonstrate governance, transparency and accountability. This information held in the records of local government is also required to satisfy service delivery and plan development ventures. The World Bank, International Monetary Fund and United Nations formulated an ambitious agenda to eradicate world poverty by 2025. Eight millennium development goals were identified that would provide impoverished communities with better access to basic services and conditions spurring sustainable development. Governance-based criteria were identified as barometers to gauge transparency, accountability, respect for the rule of law and citizens' rights.

Consolidated audited reports from 2000 to 2013 were scrutinised to unravel the conundrums relating to governance, transparency and the management of public sector information sources. According to the 2013 report, only 5% of the local government sector managed to attain clean audits. Related evidence revealed in the unclean audit reports and media narratives related to service delivery and community protests.

The approach used for the study was the qualitative methodology, regarded as an appropriate method for the archival discipline. This research method allowed for the incorporation of interdisciplinary and multidisciplinary fields of interest. The case study method design enabled the focus of the study to be on local governments and six selected community development ventures in different areas of South Africa. The latter

method enabled information collection from records officials and persons involved with socio-economic development projects.

Sound interventions are needed to ensure evidence-based governance. This, in turn, would create favourable conditions for development endeavours in post-apartheid South Africa.

Key terms: Records management, evidence-base governance, information sources, millennium development goals, poverty, local government, records managers, public archivists, audit reports, sustainable development

“Everything that makes man’s life worthwhile – family, work, education, a place to rear one’s children and a place to rest one’s head – all this depends on decisions of government; all can be swept away by a government which does not heed the demands of its people. The essential humanity of men can be protected and preserved only where government must answer – not just to the wealthy, not just to those of a particular religion, or a particular race, but to all its people.”

Robert Kennedy, South Africa 1966 (Smith 2012:120).

Dedicated to my Mother, Maria-Isabel.

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List of Abbreviations

ABET	Adult Basic Education and Training
Auditor-General	Office of the Auditor-General
DAC	Department of Arts and Culture
DCMI	Dublin Core Metadata Initiative
ECTA	Electronic Communications Transactions Act, no. 25 of 2002
EDRMS	Electronic Document Records Management Systems
ICA	International Council on Archives
IMF	International Monetary Fund
InterPARES	International Research on Permanent Authentic Records in Electronic Systems, based at University of British Columbia's School of Library, Archival and Information Studies
IRMT	International Records Management Trust
ISO	International Standards Organisation
JSE	Johannesburg Stock Exchange
MDGs	Millennium Development Goals
MFMA	Municipal Finance Management Act, no. 56 of 2003
NARS	National Archives and Records Service of South Africa
PAIA	Promotion of Access to Information Act, no. 2 of 2000
PFMA	Public Finance Management Act, no. 1 of 1999
PRSP	Poverty Reduction Strategic Paper
SANS	South African National Standard
UN	United Nations
UNIDO	United Nations Industrial Development Organization
UNDP	United Nations Development Fund
UNICEF	United Nations Children's Fund
UNESCO	United Nations Education, Scientific and Cultural Organisation
US	United States of America
USDoD	United States Department of Defence
WB	World Bank

CHAPTER 1: INTRODUCTION: RECORDS MANAGERS, PUBLIC ARCHIVISTS AND EVIDENCE-BASED GOVERNANCE

1.1 Introduction

Halving the world's poverty levels by 2015 and completely eradicating poverty by 2025 are the essence of programmes, initiatives and ventures spotlighted by international donor agencies, such as the United Nations (UN 2008, UN 2011), United Nations Development Fund (UNDP 2003, 2010, UNDP in South Africa 2011), Organisation for Economic Co-operation and Development (2004), amongst others as identified by Reif (2000, 2004). Poverty alleviation funding and projects aspiring to attain sustainable economic development have become crucial concerns to attain peaceful co-existence amongst global communities.

Agencies such as the World Bank, International Monetary Fund, United Nations, amongst others, have made it their mission for the 21st century to address political stability, poverty, inequality and unequal access to resources viewed as the stimuli for individuals from affected communities being enticed to engage in confrontational undertakings and joining paramilitary groups (Leftwich 2005:688-689, Green 2013:50-51). Two concerned international agencies, namely the World Bank (1994, 2011b) and International Monetary Fund (1999, 2005), propagate the concept of good governance. They advocate for strong, effective and stable governments; constitutionally established institutions, such as the Office of the Auditor-General; well managed justice systems; and unbiased accountable electoral systems. Having these cornerstones, a country should be able to encourage and sustain economic growth and development (Leftwich 2005:689).

All of these fundamentals are dependent on accurate, accessible and reliable information sources and the infrastructure, policies and procedures creating, managing and protecting these sources (WB 2002). The importance associated with information sources amplified by UNESCO's endorsement of the Universal Declaration of Archives (UNESCO 2011) provides the South African National Archives and Records Service with motivations to substantiate its position as a

laudable public body serving the interests of all South Africans. As the chief narrator of the official South African narrative, it is contributing to the South African narrative of making poverty history. This study will reveal the role-players directing the narrative.

1.2 Background of the study

In South Africa, the role of the 21st century public archivist has changed from predominantly a researcher and heritage collector, to one co-narrating and participating in the poverty alleviation narrative while capturing, accessing and safeguarding public sector information sources. The South African public archivist, at national and provincial levels, together with the records managers of public bodies formulate and execute the policies, processes and procedures which define their narratives; their abilities to meet and attain their missions and objectives; and the yardsticks of transparency, accountability, governance and interactions with interested stakeholders and the general public. The South African national and provincial public archivists determine the record keeping systems used to manage all public records, regardless of medium or format, as well as their final disposition fate of being destroyed or transferred to archival custody for preservation.

Towards the end of the 20th century, with the collapse of the Berlin Wall, an age of humanitarian pursuits and environments conducive to openness and freer access to information and knowledge seemed to dominate the global stage. This was the backdrop for the formulation of the Millennium Development Goals (Leftwich 2005:687). In essence, the intention of these goals was to reduce the world's poverty levels by 50% by 2015, and to completely eradicate poverty by 2025. Large areas of Africa, Latin America and Asia were identified as areas requiring drastic measures to promote political and economic systems beneficial to uplifting and improving the well-being of the communities and individuals, particularly women and children (Sachs 2005:21-23). According to the UNDP (2003), in Africa, women and children are the victims of extreme poverty and most vulnerable to exploitation as a result of mismanagement, corruption and warmongering leaders (UNDP 2003:13-15). The UN agencies together with other willing agencies like the Canadian International Development Agency, Council of the European Union, Danish

International Development Agency (DANIDA), United Kingdom Department for International Development (DFID/UKAid), amongst others; determined that the attainment of sustainable economic development was dependent on: good governance, equitable judicial systems, trustworthy financial systems; and enforceable civil rights (Reif 2000:1, Santiso 2001:1-18). In essence, all four factors are dependent on information to gauge the commitment of the country, government, entity, employees and stakeholders to governance.

The humanitarian goodwill of the 21st century was rapidly eclipsed by the unsuspected terror attacks in United States in September 2001. However, the international donor agencies, the United States of America and European Union nations determined that for global security it is crucial to provide aid and alleviate impoverished communities. By doing so, this would discourage such communities from becoming havens conducive to unrest and violence and threatening international stability (Herbst & Mills 2003:12-13). Democracies were encouraged as preferred forms of government because they tend to promote the rule of law, expand civil and political rights and adequately provide resources for all. Individuals with sustainable economic prospects may thus be discouraged from becoming embroiled in destabilising activities (Sachs 2005:367; Clinton 2007:6). Access to information is a fundamental component of democracies, as well as the foundation of the governance factors (Clinton 2007:3-4). Thus, public sector records management practices, policies, procedures and programmes are a determining factor in ascertaining transparency, accountability and integrity traits of a public organisation, government and country. International donor organisations want assurances that their funding and resources are responsibly and accountably utilised for intended poverty alleviation ventures, with information sources providing undisputable evidence (IMF 2011).

The humanitarian initiatives at the end of the 20th century coincided with South Africa's transition from its apartheid dispensation to a democratic one. The resizing and reshuffling of local, provincial and national governmental bodies and parastatals posed significant paradigm shifts to the public archivists under the South African National Archives and Records Service, as well as their provincial colleagues. Emerging from years of international isolation, minimal exposure to international

debates and trends and encountering constantly evolving technology, required the South African public archivists to embrace their involvement in the global archival and records management communities; assess, re-assess and examine the role they should or want to assume; and strategically position themselves in the public service sector. However, in spite of South Africans, under the democratic dispensation having “a right to know what is going on” which is enshrined in international law, protected by the country’s Constitution and statutory rights (Allen 2009:6); South Africa’s “secrecy culture” (Allen 2009:210) taints the archives and records management practices of post-apartheid South Africa.

South African public sector records management practices are evidence of the nonchalant demeanour and the Cinderella status of the public sector information sources, as recorded evidence of the narratives of post-apartheid South Africa. The information sources, including the lack thereof, reveal narratives of corrupt individuals, mismanagement of funds, resources and trust, poor security of information required to protect the state and individuals, misappropriations of funds and state resources, breakdown of trust and interest and poor or no service delivery. While the study will place the spotlight on one level of government, being local government, as is evident from reports accessible on the Office of the Auditor-General website, the scenarios illustrated are not necessarily confined to local government (AG 2011a-2011k, AG 2012a-2012j, AG 2013a-AG2013i).

Local government is the one sector which touches the broad spectrum of society from the wealthy to grassroots communities. Recently, South African local government received much of the brunt of dissatisfaction from grassroots communities concerning the lack of, or poor, service delivery. According to the online news media *News24* in May 2011, it was reported that the majority of South African municipalities ignored the prescriptions of the Municipal Finance Management Act, no. 56 of 2005. The Auditor-General was waiting for financial statements of 46 municipalities for the financial year 2009/10. Further reported was that 210 municipalities had infringed laws and regulations regarding the awarding of tenders. The article further reported that the information supplied was of a poor quality and 70% of the expenditure reports on service delivery projects were unusable (Repackage damning report... 2011). As will be highlighted in chapters 3

and 5, the Auditor-General reports frequently disclose the lack of, or poorly maintained, financial records, such as fixed asset registers, property valuations, stock counts, budget matters, tax-related issues, unsigned minutes, matters related to integrated development plans, expenditure vouchers, cash receipts and bank overdrafts facilities, collection of debtors, creditors, revolving credit, provision of doubtful debt and rate tariffs (AG 2003a:9-12).

The accessibility and authenticity of information sources determines the integrity and persona of the South African public sector. Information sources are the evidence which exhibit governance commitments, both to citizens and the global community. The rationale for the study is to uncover the low status that the South African public sector attaches to the creation, management, custody and preservation of information sources despite the important role that these sources provide in facilitating operations, decision-making, planning, development, transparency and accountability (UNESCO 2011). As mentioned, in 1999, the international community represented by the International Monetary Fund, World Bank and United Nations, campaigned to eradicate global poverty by 2025 (Bond 2006:339). This initiative was supported by many international donor agencies, institutions, community organisations and individuals willing to participate, fund and support poverty alleviation and sustainable economic development ventures around the globe (Sachs 2005:210-213). Eight Millennium Development Goals (MDGs) were determined (Sachs 2005:211-213).

The MDGs provided impetus for many countries, international agencies, non-governmental organisations, community-based organisations and businesses to participate in related ventures. In 2005, celebrities like Bono organised a *Live 8 Concert*, watched by millions around the world prior to the G8 Gleneagles Summit. The purpose of this public demonstration was to draw the world's attention to the poverty problems, particularly evident in Africa, Asia and Latin America (Payne 2006). The G8-Leaders and leaders from Brazil, China, India, Mexico, Algeria, Ethiopia, Ghana, Nigeria, Senegal, Tanzania and South Africa pledged their support and commitment to the MDGs, and the "Make Poverty History" campaign (Payne 2006:918, 919).

According to Crook (2003), South Africa formulated a national Poverty Reduction Strategic Paper (PRSP), approved by the World Bank and International Monetary Fund, with the country's intention to reduce poverty (Crook 2003:77-78). The PRSP incorporated fiscal management, budgetary transparency, tax administration and effective participation from civil society, public and private partnerships (Green 2013:290). The intentions of the Government to eradicate poverty created viable conditions, conducive to attracting interest from the global community to provide aid, investments and sustainable economic development initiatives. However, all entities were encouraged to be cognisant of, and comply with, good governance preconditions as well as during the execution of the ventures (IMF 2011). In the shadow of the terror attacks in the United States in September 2001, characterising much of the 21st century and the troublesome economic climate, the governance indicators positively or negatively construct the global community's narratives and perceptions of a country and its government. The persona of the country and its government are assessed by indicators, like the publicly available scorecards compiled by the Office of the Auditor-General.

As will be demonstrated in Chapter 3, the reports from the Office of the Auditor-General overtly highlight the serious shortfalls in limited competencies and skills, lack of consequences for poor management and leadership to assume ownership of implementing strategic controls (AG 2012a:13, 2013a:25). However, the correlation between these reports and management of information sources seems to be disturbingly disconnected to the records managers and public archivists responsible for the management and care of public records (NARS 2007).

The consequence of these shortfalls is illustrated by the evidence available, including the lack of thereof, in the audit reports with disclaimers on the financial management of South African national, provincial, local governments and parastatals (AG 2002-2012b). The audit investigations and reports are compiled by the Office of the Auditor-General. This office complies with "generally accepted standards referred to as South African Auditing Standards (SAAS)" that are "issued by the Auditing Standards Board of Public Accountants & Auditors Boards (PAAB)" and based on international standards of the International Organization of Supreme Audit Institutions (INTOSAI) (AG 2012a:3).

Similarly, South African public sector records management is promulgated and regulated by various national legislative items, including the country's Constitution, financially related and archival legislation. South Africa has also endorsed international standards like ISO 15489, as requirements to manage electronic documents, records and archives. However, the effective identification, implementation and maintenance of strategies for more effective management of public sector information sources are largely absent. Apparent disinterest, poor performance, low morale and non-compliance with information management policies, procedures and practices seem to resonate with records management tendencies around the world (Cox 2005:92-93). However, in a country that should be addressing inequalities, addressing past imbalances and providing opportunities for impoverished communities, the lack of information sources creates milieus of mistrust and disillusionment with the Public Service and the Government as a whole. The public archivists and records managers in the public sector effectively contribute to the metanarrative of the country and assist in demonstrating degrees of compliance with international standards of governance and best practices requiring information to provide the evidence.

In post-apartheid South Africa, intent on eradicating poverty as formulated in the PSRP, public archivists and records managers need to be cognisant of the cooperating role they should be providing for the public sector to ensure information is accessible, and their roles in fortifying the "pillars of governance" (AG 2012a:13). The availability of authentic information is imperative to enable the Auditor-General to compile accurate audit reports, formulated from information sources created, managed and preserved by competent, skilled staff. Performance consequences for the entity and individuals when transparency and accountability have been breached; and public entities where all executive and management echelons claim ownership of their roles in implementing and maintaining essential controls (AG 2012a:13) would demonstrate the integrity of the public sector and the country to its citizens and the global community. Proactive public archivists promulgating the creation, maintenance, use and preservation of authentic public records in the pursuit of justice, governance, transparency and accountability could substantially

improve the persona of the South African National Archives & Records Service, as a public entity pursuing interests of the people (Ketelaar 1992).

In recent years, as mentioned, local government has received much dissatisfaction from all levels of society, including grassroots communities concerning ineffective, poor or no service delivery. Many of the narratives making headlines in the media are also illustrated in the Office of the Auditor-General reports. According to the Auditor-General Report for the financial period 2010-2011; only 13 out of 237 municipalities (Umzinyathi District Municipality, eMadlageni Local Municipality, Richmond Local Municipality, Umdoni Local Municipality, Umtshezi Local Municipality, Waterberg District Municipality, Fetakgomo Local Municipality, Swartland Local Municipality, West Coast District Municipality, Victor Khanye Local Municipality, Steve Tshwete Local Municipality, Gert Sibande District Municipality and Ehlanzeni District Municipality) received clean audits (AG 2012a:5-6). In the report for the following year, 2011-2012, from the 237 local governments only 16 received clean audit reports: Umtshezi Local Municipality, Waterberg District Municipality, Ehlanzeni District Municipality, Steve Tshwete Local Municipality, George Local Municipality, Langeberg Local Municipality, Mossel Bay Local Municipality, Swartland Local Municipality, West Coast District Municipality, Fezile Dabi District Municipality Trust, Johannesburg Fresh Produce Market, Johannesburg Social Housing Company, Durban Marine Theme Park, ICC – Durban, Safe City Pietermaritzburg, uThungulu Financing Partnership and uThungulu House Development Trust (AG 2013a:6). The scorecard of South African governmental bodies, whose reports, in accordance with the section 195 of the constitution (RSA 1996a), are tabled in Parliament and the Provincial Legislatures reveal local governments unable to produce, locate and verify financial related information as required in term of the Municipal Finance Management Act, no. 56 of 2005 (AG 2012a, AG 2013a).

1.3 Research problem

As mentioned, meticulous scorecards of public bodies, including local governments, on the management and availability of information sources related to the execution, utilisation and management of financial and other resources are provided by the

Office of the Auditor-General. This governance indicator should be drawing the attention of public archivists and records managers to prove why they should have a more proactive role in the public sector. In spite of the regular reports received on information that cannot be located or verified during audit inspections, the South African National Archives and Records Service provide little intervention or guidance. In accordance with the National Archives and Records Service Act, no. 43 of 1996, the National Archivist is required to “ensure the proper management and care of all public records” including those created by and in the custody of public bodies (NARS 2007:47-48). In spite of their statutory responsibilities, which include inspecting public records to ensure that governmental bodies comply with the requirements of the National Archives and Records Service Act (Ngoepe 2008:5), the reports of records management irregularities in public bodies remain unnoticed, with absolutely no intervention from public archivists, in the national and provincial archives, exacerbating any efforts to assume a governance role and improve the metanarrative of post-apartheid South Africa. The lack of promulgated obligations, apparent disinterest and inability to intervene and assume its role as a governance enabler compounds on the narrative of South African public sector accountability, trust and integrity, both nationally and globally.

The national and provincial archives further contribute to ineffective service delivery and performance due to the lack of inaccessible information, regardless of media. The failure of the national and provincial archives to be vigilant and proactive in assisting and guiding public bodies on the creation, management, preservation and disposal of their information sources disadvantages the public bodies from creating and managing authentic information which disables them to from meeting their constitutional strategic plans, goals and objectives. The lack of effectively managed information sources further stifles the public body from ensuring that the information is, indeed, available and accessible when required for auditing queries and investigations. The woeful state of South African public sector records management may contribute to discouraging potential investment and sustainable economic opportunities. As noted by Kenosi (2011), the lack of accessible, authentic and reliable information from public bodies may discredit the public sector’s integrity to the country, specifically, and the country’s integrity and persona to the global community (2011:19-23). Ultimately, the records management scenarios evident in

South African public bodies stifle efforts to reduce poverty levels, particularly when projects and their outcome are dependent on reliable, accurate, trustworthy and accessible information.

1.3.1 Problem statement

In spite of the aspirations by international and community entities of eradicating poverty by 2025 and creating conducive sustainable development conditions, the evidence-based South African Auditor-General reports vividly illustrate the pitiful state of many public bodies. These governance reports and the lack of authentic, supporting evidence depict scenarios being encountered in many South African public bodies. The significance of the lack of reliable evidence is positioned in the backdrop of the National Archives' prototype file plan and records management policies. These advocate for the facilitation of accessibility and disposability of public sector records (NARS 2009:1). However, the link between public bodies having access to accurate, reliable information sources, the provision of effective service delivery and open, transparent and accountable governance is absent in post-apartheid South Africa. The public archivists and records managers appear oblivious to their role concerning accessibility of information in public bodies and the overall safekeeping of public sector information sources.

1.3.2 Purpose of the study

The purpose of this postmodernist study is to analyse the roles of the public archivists and records managers in managing the information required to demonstrate evidence of governance. Secondly, the study examines the availability of information as evidence for financial management systems that are used as governance barometers by international funding entities, like the World Bank. Thirdly, the study examines the circumstances hindering records managers and public archivists from providing effective access to information. Fourthly, the study highlights six local community development ventures in different areas of South Africa. These undertakings involve international organisations, community organisations and public-private partnerships for whom governance and sustainable development are fundamental. Lastly, the study recommends re-prioritising the role

of the public archivist from passive custodian to that of proactive protagonist concerned about governance and delivering services representative of the entire spectrum of society.

1.4 Research objectives

The research objectives of this study are:

- i) To analyse governance, transparency, accountability and creation, management and safekeeping of public sector information sources in South African local government entities.
- ii) To uncover records management scenarios by examining Auditor-General reports, and questionnaires completed by records management staff.
- iii) To contextualise the approaches that influence the South African public sector records management practices.
- iv) To identify ventures from public, private and community organisations aimed at addressing poverty and providing sustainable economic development opportunities.

1.5 Research questions

The enquiries which have moulded this study are:

- i) What are the barometer indicators used to determine governance, transparency and accountability? What significance do these have with records management practices and for international organisations, such as the World Bank and United Nations?
- ii) What information do the audit report of the Office of the Auditor-General reports provide that relate to recordkeeping and access of authentic information sources?
- iii) How do the South African records managers and public archivists, contribute to ensuring information is accessible to provide evidence-based governance and information required for sustainable development projects?

- iv) How effectively can records officials in public bodies provide access to information required for audits and the apply the records management policies, procedures and record keeping tools that are prescribed by the public archivists?
- v) Where is there evidence of community development projects being undertaken by that have been funded by the World Bank and United Nations' bodies, community organisations like Rotary International, public-private partnerships, and voluntary community-based projects, and how these may be affected by poor access to information, resulting in poor service delivery and protest actions?

1.6 Justification of the study

This postmodernist, theoretical study, constructing and deconstructing the epistemologies of the public archivists, records managers, auditors, governance, access to information and the eradication of poverty by 2025, is viewed from the researcher's perspectives as a former public archivist, consultant and trainer involved with public sector records management projects. The justification for the research is from the views of a woman in post-apartheid South Africa concerned about: poverty levels, conscious of the need for large scale employment initiatives, the importance of sustainable economic development for Africa's people, resources and environment, and the prospect of contributing to a utopia where all persons, regardless of colour, culture, religious beliefs or political affiliations, can coexist harmoniously, with equal opportunities afforded to women and girls, as those afforded to their male counterparts. International agencies frequently highlight the exploitation of women and children, particularly girls, in countries and communities ravaged by abject poverty, and for boys to be lured into criminal and war-mongering pursuits to improve their status quo.

Access to information provides evidence of a country, government entity and its gatekeepers, their interactions with the general public and interested stakeholders and commitment to governance constructing the narratives about corruption, management, utilisation of resources and funding. Transparency, accountability, trust and integrity further demonstrate commitment to economic development and

wellbeing of the people living within the borders of that country, and also its status on the global stage. South Africa, as a country seeking to fill the “epistemologies of previously silenced groups” (Denzin & Lincoln 2003:20), requires constructing the metanarratives and providing an “archive” from international and national agencies, community-based organisations, individuals and their benefactors participating in the narrative of making poverty history. In this study this has been addressed by the local community projects discussed in Chapter 6.

1.7 Originality of the study

Scholars such as Harris (2007) and research by the South African History Archives (Allen 2009) have largely focused on access to archives and records with regards to human rights and the pursuit of justice and reconciliation. *This* study intends to demonstrate the role of archives and records in providing authentic information which could facilitate humanitarian endeavours, provide opportunities for sustainable economic development ventures, contribute to nation-building, job creation and improve the living conditions of impoverished communities.

The originality of this study to the archives and records management field, in general, and South Africa, specifically, is to:

- i) Emphasise the important role public archivists and records managers should be assuming concerning the accessibility of governance evidence of public bodies. All the governance indicators are those defined by the World Bank, the International Monetary Fund and United Nations bodies requiring authentic public sector information as evidence of the integrity of the public body and government.
- ii) Encourage the South African National Archives and Records Service and its national and provincial parent departments to acknowledge the significant role they should be playing in enabling all levels of government to function effectively, improve service delivery and demonstrate compliance with good governance and best practices due to the regular accessibility or authentic information sources to provide the required information.

- iii) Encourage South African public archivists to re-examine prescribed records management policies, procedures and solutions to ensure public bodies are able to access and manage all their information sources to meet their identified goals and objectives, including their integrity through good governance and best practices observations.
- iv) Identify the gaps needing to be filled (Harris 2000) in the metanarratives of the post-apartheid archive that are not being recorded. As indicated in section 1.6, these are the voices of organisations and individuals involved with socio-economic, social upliftment, sustainable development and poverty eradication activities.
- v) Finally, to draw the attention of the public archivists and records managers, as narrators, and their contribution to the metanarrative and integrity of post-apartheid South Africa.

1.8 Significance of the study

It is hoped that the study will:

- i) Create greater awareness amongst public archivists and records managers of their significance in effective and coherent public sector records management.
- ii) Create awareness amongst the national and provincial public archivists, and their parent departments, of their contributory role in facilitating the accessibility of governance-evidence and information required for development undertakings in South Africa.
- iii) Emphasise the need for adequate allocation of financial and human resources required to ensure South African public archivists are able to adequately advise, monitor and preserve public sector information sources to prevent South Africa being side-lined by the international community. The availability, as well as the lack thereof, of accurate and reliable information defines South Africa's persona, with ramifications for potential investments and sustainable economic ventures.
- iv) Draw attention to the correlation between access to information, governance, transparency, accountability and the alleviation of poverty as

propagated by international financial organisations, community organisations and individuals eager to eradicate poverty through the attainment of the Millennium Development Goals.

- v) Reveal the poor records management scenarios, such as those evident in local governments, and visual imagery of media and personal accounts of poor or non-service delivery that taint South Africa's rainbow nation status. The negative persona detracts from potential investment prospects which could enable South Africa to attain adequate levels of sustainable economic development.

1.9 Clarifying concepts used in the study

The following concepts have been clarified to facilitate their understanding. They relate to the archives and records management field, in general, and specifically to the South African context.

- **Archive.** Foucault (1972) uses the term *archive* to refer to the montage of premeditated information sources defining the metanarrative of what can be communicated and the lexicology of the governing and their relations to the governed. Meanwhile, according to Derrida (1996) the "archive" is any recorded evidence from the draft minutes of a meeting to the online discussions and debates concerning service delivery, corruption, maladministration, information access, public service, amongst others. According to Derrida (1997), written texts have gaps and holes which reveal hidden paradoxes and contradictions in the metanarrative. The positivism approaches of the South African National Archives and Records Service from provenance principles, records management prescribed principles, concepts and values, international standards and best practices concerning information sources, construct the official grand epistemologies of the metanarrative (Denzin & Lincoln 2003:19). The term "archive" thus refers to the narrative being written and rewritten from various perspectives, narrators and actors.
- **Archives** are referred to, in this study and by the South African National Archives & Records Service Act, no. 43 of 1996, as records already in the

custody of an archives repository. As described by Harris (2000), archives are records with enduring value or *archival value* which should be preserved in ideal archival conditions at an archival repository for heritage purposes, in accordance with the National Archives Act. The ICA-Req describes archives as records selected for permanent preservation as the record of the history, actions and decisions of individuals, families, organisations and society (Crockett & Foster 2012:12). Ideally, the records identified as having archival value should be transferred into safe custody of an *archives repository*. In accordance with the South African National Archives Act, archival valuable records should be transferred to a designated archives repository “before they have been in existence for 20 years” (RSA 1996b:section 11). Public information sources not regarded as having archival value are referred to as *ephemeral* records and these may be considered for destruction (RSA 1996b:section 13). The appraisal process on public records is conducted by the National Archivist. No public records may be transferred to an archives repository, destroyed, erased or otherwise disposed of without written authorisation from the National Archivist (RSA 1996b:section 13). This authorisation is referred to as *written disposal authority*.

- **Cloud computing** refers to services provided through data centres, built-on servers and networks facilitating on-demand network access to shared pools of computer resources. This newer development in the digital age purports to provide digital services similar to those of electricity utilities, providing electricity to individual households (Ramgovind, Eloff & Smith 2010:1).
- **Electronic records**, currently referred to as digital records, are information sources generated electronically, stored and accessed by computer technology. As indicated by ICA-Req, they may contain text, graphic, numeric or other information recorded on a medium that can be created, received, stored, accessed, managed and transferred in digital format using computers (Crockett & Foster 2012:12).

- **Management of electronic (digital) records** is a crucial concern of the Information Age and the need for entities to be proactive in creating, managing and preserving the electronic memory (Cox 2006:30). The preferred records management tool is the *EDRMS (electronic document records management system)* which is regarded as effective in supporting sound management practices in the creation, management, retrieval, safekeeping and disposition of digital records (National Archives & Records Service 2007). Consideration also needs to be assigned to *ECM (Enterprise Content Management)* which tends to offer a more holistic, integrated approach to digital records such as a SharePoint approach, which can provide document and file management, intranet portals, webpages, collaboration, integrated workflow and processes through shared technical infrastructure.
- **Governance** involves the interaction, impact and functions of the state and its officials with its citizens and the people that live within the borders of that country (Cook 2001a:19). Governance should include government, private sector and civil society in planning, management and decision-making (Mogale 2005). Characteristics of **good governance** are accountability, transparency, responsiveness, participatory, adherence to the rule of law, effectiveness and efficiency (Annan 2000:1-3).
 - A code of **corporate governance** was formulated in the South African Code of Governance, often referred to as King III. This document contains recommendations and principles concerning leadership, corporate citizenship, appointments, strategy and values, performance, compliance with legislation, policies and procedures, communications with interested and affected parties, accountability, internal procedures, performance assessments, information technology management and audit matters (Petlane & Gruzd 2011:72). Many South African companies, listed on the Johannesburg Stock Exchange, seeking credibility and compliance

with best practices refer to the King III code (Institute of Directors 2009).

- In this study, **information sources** refers to terms such as records, documents, information and evidence which are used in a variety of South African legislation, including the infamous Protection of Information Bill (Republic of South Africa 2010), which was highlighted by the Deloitte and Touch / Metrofile (2004) document indicating the requirements for the creation, management and disposition of information sources in compliance with regulatory and business parameters. The South African National Archives Act, no. 43 of 1996, defines records as “recorded evidence regardless of form or medium” and public records as records “created or received by a body in pursuance of its activities” (Republic of South Africa 1996b:section 1). Meanwhile, ISO 15489 defines records as information created, received and maintained as evidence by an organisation or person, in pursuance of legal obligations or in the transaction of business (AIIM n.d.) The ICA-Req describes a record as a document, either digital or hard copy, communicating information or data, as evidence of activities, decisions and events (Crocket & Foster 2012:3, 12). This study will utilise the term “information sources” to describe all recorded evidence whether they are paper, digital, audio-visual or another format created or received in public sector entities enabling them to comply with legal obligations and facilitate and reflect executive, management and operational related narratives. Data pertaining to households with the local government concerning water and electricity supplies and services; information required to report and account for supply chain processes; information from aerial photographs assisting in development sustainability initiatives; footage from security cameras on the premises of a public body; data collected and interpreted relating to contamination of wetlands, minutes of executive committee meetings, including the archives of the Truth and Reconciliation Commission are examples of *public information sources* which align with criteria determined by ISO 15489.

- **Metanarrative** refers to selections of evidence to create “the big story” (Duff & Harris 2002:276). The metanarrative imposes meaning enforcing an accepted version on society and possessing the power “to marginalize . . . to exercise power” (Duff & Harris 2002:277). This dynamic is particularly evident in the naming conventions, arrangement and description of information sources within the realm of the public archivists and records managers.
- According to Remenyi, White and Sherwood-Smith (1997:428), **postmodernism** may be regarded as “an integrated and holistic approach” determined by individual interpretations rather than creating models. Postmodernism acknowledges that policies, procedures, codes and standards are not neutral concepts. All of these are conceived with the purpose of attaining particular goals and objectives. It can thus be contended that the narrators of these instruments have been formulated to achieve predetermined agendas. A fundamental principle of postmodernism is that concepts, like good governance, transparency, accountability and best practices, are propagated to achieve conceived utopias (Remenyi et al 1997:428). In terms of the archives and records management field, “postmodernism is concerned about the creation and nature of records and their designation, survival and preservation of archives” (Cook 2001a:6).
- The 21st century redefined **poverty** as “powerlessness, frustration, exclusion from decision-making, lack of access to public services, the financial system and officials support” (Green 2013:6-7). A consequence of **chronic poverty** is social discrimination specifically directed at women and children (Green 2013:9). The promotion of economic development opportunities for the poor, effective public institutions; and reducing of risks and vulnerability to conflicts and disasters was proposed by the World Bank to fight poverty (Panos 2002:11).
 - The **Millennium Development Goals (MDGs)** were launched as an international initiative to provide “clear and simple means

of benchmarking and assessing the progress of human development” (UNHCR 2010:1). Eight goals were identified. These were: the eradication of extreme poverty and hunger; universal primary education; promotion of equality and women empowerment; reduction of child mortality; improve maternal health care; combatting HIV/AIDS, malaria and other diseases; ensure environmental sustainability; and development of global partnerships (UNHCR 2010:1). Related undertakings from various stakeholders, including government and community organisations have been encouraged to support programmes that provide all citizens with access to health, education, livelihoods and information so that impoverished communities can create and sustain economic participation (Green 2013:170).

- **Public archivists**, in this study, refers to the officials employed as archivists in National and provincial South African Archival Services. According to the National Archives and Records Service Act, no. 43 of 1996, the National Archivist, as head of this governmental body is required to provide proper management and care of public records as well as the preservation and use of a national heritage (RSA 1996b). South Africa's nine provinces each have a provincial archivist responsible for the same objectives within the provinces under their jurisdiction.
- **Public body** is described by the Promotion of Access to Information Act, no. 2 of 2000 as “any department of state or administration in the national or provincial sphere of government or any municipality in the local sphere of government” or “other functionary or institution when exercising a power of performing a duty in terms of the Constitution or a provincial constitution; or exercising a public power or performing a public function in terms of any legislation” (RSA 2000: Chapter 1). This study will refer to the term “public body” when referring to national, provincial or local government departments largely funded and driven by taxation to perform

executive, management and operational functions, in compliance with constitutional obligations and mandates.

- **Public sector** refers to the national, provincial and local government structures “owned by government” having “an effect on government receipts and payments” (Treasury n.d.). Furthermore, this sector is required, in terms of the country’s Constitution to protect, administer, plan, provide and deliver services to citizens (RSA 1996a).
 - **Local government** refers to the third tier of government service. According to the South African Constitution (RSA 1996a), local governments are required to provide all South Africans with access to basic services, such as water, electricity, sanitation and infrastructure amongst others. The constitutional requirements of local government are expanded on in Chapter 3 (RSA 1996a).
- **Records management** is described by the *International Records Management Trust* (IRMT) as the management, care, retention and disposal of information sources (Miller & Roper 1999a:7-10). The management of recorded evidence is regarded by the IRMT as the foundation for effective, accountable governance. Comprehensive records management is viewed as evidence of best practices (Barata, Cain & Thurston 1999). In South African public bodies, the officials tasked with these responsibilities are the records managers (NARS 2004c).
- The **records manager** is the official designated by the head of the public body assigned with the responsibilities of managing the information sources, regardless of medium or form, created and received by the public body. In accordance with the National Archives and Records Service Act, the records manager must ensure that the public body complies with the legislative requirements concerning the management and disposition of public records. This official should ideally be a senior official, occupying a central position which enables the official to

effectively communicate with heads of components and senior management echelons as well as with middle and lower staff establishment personnel (NARS 2004c).

- An internationally adopted definition defines **sustainable development** as “development that meet the needs of the present without compromising the ability of future generations to meet their own needs” (Parnell, Pieterse, Swilling and Wooldrigde 2012:183). In conjunction to this definition, sustainable development encompasses favourable socio-economic and socio-political milieus that facilitate communities’ participation in all related activities and decisions (Parnell et al 2012:184).

1.10 Literature review

The literary sources which have been consulted, interrogated and analysed can be grouped under four themes: South African archives and records management scenarios; International donor agencies and Millennium Development Goals; Governance and Records Management; and Postmodernism, the metanarrative and Deconstructionism.

1.10.1 South African archives and records management scenarios

The literary sources which were interrogated relating to this backdrop are the positivist approaches of scholars such as Muller, Feith & Fruin (1940), Jenkinson (1965) and Schellenberg (1956; 1965) which have moulded, and continue to mould, the South African archival, and subsequent, records management landscape from its inception and continued inclusion in 21st Century public sector records management solutions. These are discussed in more detail in Chapter 2. Positivism refers to guided fundamentals that utopia is only attainable through the meticulous observance and application of natural laws, reason and empirical methods (Creswell 2003:11), such as provenance principles and international standards concerning documentation, records and archives. The positivist tools and processes shaping the prescribed policies, procedures and practices advocated by the public archivists

will be constructed and interrogated to determine their contributory role toward the eradication of poverty.

1.10.2 International donor agencies

Literary sources related to international donor agencies have been scrutinised to construct their narratives of eradicating poverty, governance, access to information and relevance to the endorsement of records management fundamentals. Literature focusing on the metanarratives of the World Bank, International Monetary Fund, United Nations' bodies, Canadian International Development Agency, Council of the European Union and the United Kingdom Department for International Development amongst others has been investigated and incorporated into Chapter 5 (IMF 2005, Owusu 2003, Santiso 2001, UNESCO 2011, WB 2000a, 2000b, 2008b). Linked to these, are the subsequent collaborative engagements from entities, such as the International Council of Archives, International Records Management Trust, InterPARES and International Standards Organisation (Barata et al 2001, Duranti & Thibodeau 2006, ICA 2005, IRMT 2004, Roper & Miller 1999a-1999f), which are concerned with and promote the significance of managing the creation, maintenance and preservation of information sources. Narratives have further been sourced on projects funded by some of these agencies. Further narratives from two community and volunteer-based organisations, such as Rotary International (Van Heerden 2009a-2011b) and Kgosi Neighbourhood Foundation (2012), discussed in Chapter 5, consciously managing information sources to demonstrate transparency and accountability, have been sourced to reveal the narratives that are seldom recorded in mainstream media and lost in the metanarrative of the South African national archive.

1.10.3 Governance & Records Management

The literature influencing this theme is from theorists, scholars and commentators, such as Cox (2005, 2006), Dryden (2010), Hunter (2004), Hurley (2004), McKemmish (2001), Mnjama & Wamukoya (2007), Shepherd (2006), Stearns (2010), Wallace & Webber (2011). The 21st Century began with two events that catapulted the significance of records linked to transparency, accountability and

security, and subsequently, governance. First was the collapse of Enron, a United States multinational corporation, which “shook the corporate world around the globe” (Isa 2009:233). The purposefully shredded supporting documents and Enron accounts to conceal improprieties and the generation of fake records demonstrating accountability revealed the failure of accountability processes (Isa 2009:233). The United States District Court in Texas determined that records should not be prematurely destroyed, that boards of directors are accountable for actions and business operations and should not declare their unawareness of wrong doings by their subordinates (Isa 2009:63). This event required records management to become a boardroom conundrum. The other event catapulting the significance of records management was the terror attacks in United States in September 2001. The complete destruction of paper-based records of the 1 200 businesses destroyed in the World Trade Centre Towers, providing incentives for an increased emphasis on converting official records and strategically vital records to digital format, with disaster management and off-site back-up strategies (Stephens 2003:34-39).

In South Africa, these two international events shifted the significance in archives and records that allowed archivists and records managers to reposition their significance with wanting a competitive advantage, often moving to the private sector (Research Focus & Content at Work 2010), when tendering for information management contracts. However, these international catalytic events also resulted in the emergence of mavericks, with little understanding of the archival principles, exploiting the gaps, inadequately managed and protected by the public archivists (Harris 2007).

These two events largely shape the metanarrative of the positivist approaches concerning governance, access to information and the management of documents, records and archives being determined internationally, and, often, blindly adopted nationally without adequate reflection and interrogation. Literature from South African and African scholars concerning elements and strategies concerning the role of records managers, archivists and issues related to creation, management and preservation of all records but, particularly, electronic or digital records include Katuu (2012), Mnjama (2000, 2005, 2007), Ngoepe (2008), Ngulube (2001, 2006, 2011) and Venter (2007).

1.10.4 Postmodernism, the metanarrative and deconstructionism

For the purpose of this study, literary sources related to postmodernism, the metanarrative and deconstructionism linked to archives and records management have been considered. Postmodernism is willing to challenge the natural order, question privileges and inequalities (Hardiman 2009). This approach further contends that principles, concepts and values are determined by what people, the entity or government want observed, visualised and implemented (Remenyi, White & Sherwood-Smith 1997:421-423).

Related to postmodernism is the concept of the metanarrative (Lyotard 1984). Derrida (1996), Foucault (1972) and Harris (2007) link the “archive” to storytelling and narratives through medleys of documents, records, images, data, personal recollections of people and their relations to power selected, appraised, assembled, arranged and interpreted to compose narratives (Eichhorn 2008:3).

Theorists such as Derrida (1997) and Harris (2007) contend that narratives are not confined to what was officially recorded. They reveal how perceptions and narratives can be derived from lost or destroyed evidence (Derrida 1997, Harris 2007). Derrida’s contention of the lexicology power play, in the realm of the archivists where meanings and interpretations may be deconstructed to reveal camouflaged complexities through the contradictions and paradoxes of texts, concepts and images (Derrida 1997), is the backdrop of the discussion in Chapter 4. In that chapter, the applicability of records management tools and solutions advocated by the public archivist are questioned.

1.11 Scope and limitations of the study

1.11.1 Scope

The scope of this study is primarily on local government in post-apartheid South Africa. Although many of the issues discussed and proposed are also evident in other levels of government, local government has been selected as it touches the lives of ordinary people, whether in Cape Town or Musina. It is also the level of government that would attract sustainable economic development interests reliant on

human, business, infrastructural, natural, public, institutional and knowledge capital (Sachs 2005:244-245). In recent years, South African local governments have been the subject of intense media scrutiny, due to conditions revealed by the reports of the Office of the Auditor-General that have resulted in poor or no service delivery (Repackage damning report (2011), Losing faith in local government (2011), Billing glitches (2011)). Unpeeling the layers revealing the motives, concerns and consequences resulting from the records management challenges being encountered in post-apartheid South Africa; and positioning the public archivists and records managers protagonists' roles in a postmodernist framework in eradicating poverty is this study's scope.

1.11.2 Limitations

This study has two limitations that provide avenues for further research. The first limitation is that not all local governments completed questionnaires. Furthermore, no intensive examination was done on the records management practices of those local governments that had received clean audits. The second limitation is that similar investigations should also be conducted on other public entities that are required to comply with the records management policies, procedures and practices advocated by the national and provincial archives services, such as national, provincial and parastatals (NARS 2007).

1.12 Research methodology

The methodology applied in this study to understand the correlations between the public archivists, records managers, governance, access to information and the eradication of poverty are discussed in this section.

1.12.1 Research approach

The study has been conducted in a postmodernist framework to interrogate, understand and contextualise the key elements of the study being, the information management processes, role-players, milieus, outcomes, governance, access to information and poverty eradication initiatives. The qualitative research framework requires fieldwork to physically observe people, environments and institutions to gain clarity, understanding and empathy with the challenges being encountered (Creswell

2005). Merriam (2003) and Creswell (2005) describe qualitative research as studies directing researching processes, understanding the activities and challenges of the protagonists and antagonists within the milieu that the processes and actors operate.

Denzin & Lincoln (2003) propose that qualitative research “crosscuts disciplines, fields and subject matter” and is characterised by complex, interconnected “terms, concepts and assumptions” (Denzin & Lincoln 2003:2). Iacovino (2004) regards the qualitative method appropriate for the archival science discipline. “Deductive reasoning, argumentative methods, analytical frameworks and discourse analysis” (Iacovino 2004:273) demonstrate the necessity of the archivists to redefine their paradigms by incorporating interdisciplinary and multidisciplinary research methods to remain relevant and adaptable in the information age (Iacovino 2004:284). The cornerstone concepts and assumptions hinging this study are those of the role of the public archivists, records managers, international agencies, governance, access to information and eradication of poverty. Meanwhile, the evidence used has included documents, records, online media and publications, social media, completed questionnaires from records management officials and interviews with individuals from entities involved with sustainable development operations.

This study is a reflection of the personal views of the researcher. The researcher is thus “not absent from the narrative but ... also mentioned as having personal views and interpretations” (Creswell & Miller 1997:37). Although the study will support the need for standardised approaches to, acceptance of, governance benchmarks and their relationship to information sources, the critical approaches associated with postmodernist literature (Creswell & Miller 1997:38) are orchestrated to deconstruct the narratives being revealed through the archival and records management practices in public bodies in post-apartheid South Africa. It is hoped by deconstructing the role of the public archivists and records managers in narrating South Africa’s governance indicators and socio-economic transformation, that these role-players will be more aware of their contribution to making poverty history. This study aims to tackle archives and records management dynamics while addressing elements like governance, transparency and tracing the historical development of South African public sector archives and records management.

1.12.2 Research design

According to Ngulube (2009), the research design charts the collection, analysis, interpreting and rationalising of the data. The research design method used for this study was the survey and case study method. The experience survey method was used to acquire “provocative ideas and useful insights rather than specific statistics” (Powell 1997:59). Questionnaires and interviews were used to obtain information from records management officials and individuals involved with socio-economic and social upliftment projects. The South African local government sector and their reports from the Office of the Auditor-General, via the entity’s website (www.agsa.co.za), are the foundation, of the selected case study.

Examining the Auditor-General reports of public bodies in post-apartheid South Africa coincided with investigating correlations between these and the governance benchmarks advocated by agencies like the World Bank, International Monetary Fund and United Nations bodies. Further investigated was the relationship of these reports, the governance indicators and records management practices of public bodies contributing to national and international perceptions of public bodies and their commitment to eradication of global poverty and to sustainable economic development.

A postmodernist perspective was selected for this study as it challenges the assumed beliefs that traditional positivist methods are the only approaches to managing information sources, regardless of format or medium (Earl 1992:105-106). As noted by Bruns & McFarlan (1987:89), postmodernism places greater focus on outcome and aims. Thus, this study hopes to redirect the focus of public archivists and records managers on the outcomes and accomplishments, such as eradicating poverty, effective service delivery and economic development initiatives that are all dependent on the accessibility of public sector information sources (Remenyi et al 1997).

Although the study will support the need for selected positivist approaches to the management of information sources by the South African public sector, the study is written from a postmodern, deconstructionist theoretical approach. This study

acknowledges that “telling stories ... is a quintessentially human ability” (Harris 2007:101), and part of the “archive.” Thus, this study wishes to consciously reveal the metanarrative of eradicating poverty and making poverty history, in post-apartheid South Africa.

As a powerful governance indicator, the reports of the Office of the Auditor-General, as already indicated, have formed the basis to identify clear irregularities concerning the mismanagement and lack of credible, accessible information sources. According to Section 195 of the South African Constitution, the Auditor-General is required to produce reports demonstrating transparency and accountability (RSA 1996a). These sources are publicly available for potential investors and current stakeholders to construct and deconstruct the narrative of how their resources and funding are being utilised.

1.12.3 Population of the study

The population for this study were South African records management personnel employed in the local government sector. Questionnaires, appendix 2, were distributed to 100 records management personnel of South African public bodies, mainly in the provinces of Eastern Cape, Gauteng, Mpumalanga, North West and Limpopo with whom the researcher had had personal interactions. The officials ranged from registry officials to records managers and administrative officials designated with responsibilities of managing their entity's information sources. Of the 64 completed questionnaires, the officials ranged in experience from new appointees to 26 years. Several officials were initially eager to assist with the research but, ultimately, did not return the completed document. The majority of the informants were concerned about their identities being revealed and possible disciplinary actions that could arise. As highlighted under ethical considerations, no one was coerced into providing information and the researcher assured the informants that no identities would be disclosed in the study, or in any other forum.

1.12.4 Data collection methods

The evidence which was used for this study were documents, records, online media and publications, social media and accounts from records management officials and entities involved in poverty eradication and sustainable development endeavours.

Data was collected as follows:

- i) Identifying and assessing barometer governance indicators was collected via on-line literary sources from entities such as the World Bank, United Nations bodies, as well as sources such as Jeffery Sachs (2005), *The end of poverty. How we can make it happen in our lifetime*.
- ii) On-line reports from the Office of the Auditor-General were consulted to understand what information is revealed in these reports, how the disclosures expose hindrances related to managing public sector paper and digital information sources.
- iii) Data related to sustainable development ventures were obtained from on-line sources, audio-visual footage, interviews and visits to areas and projects involving South African communities in socio-economic development and poverty eradication undertakings.

1.12.5 Data analysis

The collected data for this study was then analysed to reveal the factors and circumstances being encountered involving records management in the South African local government sector. The data was further analysed within the literary contexts of approaches that shape the archives and records management landscape. These have ranged from positivist archival and records management scholars from Muller, Feith & Fruin (1940) to postmodernists like Cook (1984-1985, 1997, 2001a-2001b, 2011b), Blouin & Rosenberg (2005) to deconstructionists (Derrida 1996, 1997), to current approaches related to international standards, best practices, InterPARES and their relevance to South Africa's metanarrative.

1.13 Ethical consideration

The ethical considerations which have been observed by the researcher are the protection of the rights of individuals from the public entities and community organisations, as well as their privacy, confidentiality and acquiring informed consent (Mouton 1996, Cooper & Schindler 2008). During discussions with many records management officials, the majority requested that their identities not be revealed and this will be honoured in this study. No informant was coerced to provide information; 64 provided responses freely while the rest opted not to respond. Furthermore, this study has been designed to fully comply with Unisa's policies on research ethics, informed consent, privacy and confidentiality.

1.13.1 Ethical principles

The principles discussed below pertain to research in general:

- i) Planning the research: The researcher observed UNISA's ethical standards when reporting the research findings. During the research planning, the researcher was cognisant of UNISA's code of ethics concerning the respect accorded to the autonomy of participants, including cultural differences and participants' rights.
- ii) Responsibility: The researcher sought to maintain the dignity and welfare of all participants. Thus, no participants were harmed or placed in any unnecessary risks, mental or physical discomfort. In light of the prospective Protection of State Information Bill, the researcher has felt it is important to protect participants from legal action. Thus, where appropriate in the study, the identity of participants has not been revealed.
- iii) Inducement of participants: During the study, no participants were induced or coerced to participate or provide consent for their participation in the completion of questionnaires. Direct or indirect coercion, as well as undue inducement of participants has been avoided in order to comply with Unisa's ethical principles. It was agreed with participants that no personal information would be disclosed, and the information collected would only be collected and

processed with informed consent of the relevant participants (Refer to Appendix 1). Participants were also afforded the right to refuse to participate in the research and withdraw their consent.

- iv) Honesty: The research for this study has been conducted in an honest, fair and transparent manner. All participants were informed of the purpose of the study.

1.14 Organisation of the thesis

The purpose of this thesis is the composition of a postmodernist narrative on eradicating poverty, the role of the public archivists, records managers and international donor agencies, and the oracle of good governance, access to information and records management fundamentals in post-apartheid South Africa. This narrative's intentions are to highlight the important role of information sources providing authentic information to facilitate humanitarian endeavours, provide opportunities for sustainable economic development, contribute to nation-building, job creation opportunities and improved living conditions in South Africa.

Chapter 2: Archives and records management approaches. This chapter provides an overview of public sector records management in South Africa. It contextualises and evaluates the approaches characterising the archival and subsequent records management landscape, both nationally and internationally.

Chapter 3: Research methodology. This chapter discusses the research design, population sample, sampling methods, data collection methods and instruments used in this study. These directed the path of the investigation in correlating the role of records management with evidence-based governance, service delivery and community development in South Africa.

Chapter 4: Local government, poverty alleviation and records management. In this chapter, the local government sector, its role in poverty alleviation and records management practices and concerns in post-apartheid South Africa are explored.

Chapter 5: Records management practices in post-apartheid South Africa. This

chapter analyses the applicability of policies, procedures and practices of post-apartheid South Africa.

Chapter 6: Archive of recorded evidence, governance and development. Insight to the attainment of the Millennium Development Goals, governance criteria as determined by international organisations and links to management of information sources in eradicating poverty are discussed.

Chapter 7: Findings, recommendations and conclusions for evidence-based governance and development. This final chapter correlates and suggests how public sector records management, the public archivists and records managers actively participating in determining governance and writing the metanarrative on eradicating poverty in South Africa. It will further support the agencies that magnify the importance of archives and records as evidence of governance, and shift the significance of archivists and records managers from custodians to political role-players and protectors of governance, transparency and accountability.

CHAPTER 2: ARCHIVES AND RECORDS MANAGEMENT APPROACHES

2.1 Introduction

The focus of this chapter will be to interrogate and contextualise the positivist approaches influencing the South African public sector archival and records management practices in the 20th and 21st centuries, and deconstruct the South African archival metanarratives. These influences have largely been shaped by the metanarratives of the creation, management and preservation of public sector records and archival management practices of the country's local governments. The chapter will further analyse how postmodernist thinkers have tried to influence and encourage South African public archivists and records managers to review their roles in determining the narratives of post-apartheid South Africa. Twenty first century influences of approaches and strategies to tackle challenges posed by digital records, particularly the “born digital records” (Duranti 2012), are varied. One positivist approach promotes returning to basics, as advocated by the University of British Columbia and InterPARES (International Research on Permanent Authentic Records in Electronic Systems) concerning archival diplomatics (Duranti 2001:275). The other approach, as supported by Australian archivists and records managers, is the setting and enforcement of international standards, such as ISO 15489, in addressing the dynamics concerning creation, management and preservation of digital information sources (Bantin 2008:5). South African archivists and records managers need to select appropriate models and incorporate them into an approach cognisant of South Africa's social dynamics to find suitable solutions. On the other hand, from a postmodernist perspective, aware of how information sources can determine narratives, agencies, such as the World Bank analyse indicators, such as the Auditor-General reports to determine the commitment of entities and governments towards good governance, eradicating poverty, sustainable development and the livelihood and wellbeing of people living within the country's borders (WB 1995).

2.2 Positivism

Positivism, according to Creswell (2003) purports that a utopia is only attainable through the adherence and application of natural laws, reason and empirical methods (2003:11). Archival positivists Samuel Muller, Johan Feith and Robert Fruin (1940) and Sir Hilary Jenkinson (1966) moulded the South African archival landscape and official metanarrative (Harris 2007) from its earliest inception. In 1922 the archives services of all four colonies, Cape, Natal, Orange Free State and Transvaal, were amalgamated into one central government archives service (South Africa 1922), under the 1922 Public Archives Act. Meanwhile, Theodore R. Schellenberg (1956, 1965) was the foundation for the records management policies, procedures and practices prescribed by the State Archivist, as head of the South African State Archives Services, to governmental entities that included national, provincial and local governments (Harris 2007).

South Africa's Dutch and British pioneer links, and Prime Minister Jan Smuts' enchantment with promoting British interests (Wilson & Thompson 1971:506-508), provided the political landscape for the adoption of archival methodologies, like provenance, original order and custodians or keepers of the archives. The Dutch trio, Muller, Feith & Fruin (1940) and British medieval historian, Sir Hilary Jenkinson (1966), provided the literature substantiating the adopted archival methodologies. At the end of World War I, the United States of America began playing a more dominant role on the international stage (Morison, Commager & Leuchtenburg 1983) and its influence also impacted on the archival fields, in particular, introducing records management concepts. Schellenberg's approach encouraged a symbiotic relationship between archivists and records managers (Harris 1987). Archivists were required to assist in navigating of information sources from creation, custody, appraisal and disposal (Bantin 2008:1-2). This was the approach adopted, particularly in the 1980s, by the South African State Archivist (Harris 2007).

2.2.1 Archival principles

According to Hunter (2004), prior to the declaration of the *respect des fonds* principle in the late 18th Century, coinciding with the period of the political upheaval of the French Revolution, archives were indexed according to randomly selected categories or subjects. Archives were fragmented and their relationships to the generating entity were obscured, making retrieval of the information cumbersome. In 1794, the French government issued a decree requiring public records and archives to be managed according to clearly defined, logical classification schemes. The schemes proposed that records be divided into four groups, which were later extended to 26. The group names were allocated according to the entities' administrative divisions (Hunter 2004:115-117). In 1841, France further decided that all records and archives should be grouped together and arranged according to the format that had been selected by the creating entity. *Respect des fonds* was applicable regardless of whether the entity was an administrative body, corporation, religious institution or family collection that generated and stored information related to their specific activities and functions. It was furthermore decided that archives or records of the same institution had to be maintained (Hunter 2004). The basis of maintaining the original order of the records or archives was threefold. Firstly, the principle could facilitate retrieval. Secondly, it demonstrated information sources as essential catalysts required for effective administration of business operations. Finally, this principle discouraged the fragmentation of information sources and provided the rationale for an effective, practical approach to safeguard the accessibility of the information (Hunter 2004:115-120). The South African State Archives, and now National Archives, observes this principle by insisting that the support functions, like finance and human resources administrative components should be recorded, described and listed first in the record keeping systems of public bodies, including local governments. Meanwhile, the line functions that relate to the specific or unique business activities of the relevant public body are recorded, described and listed in the latter part.

The positivist archival principle of provenance, *herkomstbeginsel*, is attributed to the Dutch trio; and specifically focuses on the elements related to the indexing of archives

and records (Muller, Feith & Fruin 1940). According to the provenance principle, the system of arrangement had to be based on the organisation of the records or archival collections as determined by the creating entity. Ideally, the systems had to be founded on the organisational structure and related operational functions (Stapleton 1983:76-78). Unlike library material, records and archives could not be arranged and described according to preconceived library classification methods, like the Dewey Decimal System because of the infinite assortment of subjects (Stapleton 1983:83-84). The emphasis was rather on creating and arranging the records according to indexing systems determined by the creating entity. This approach, cognisant of the original order, would facilitate more effective retrieval. It was, furthermore, crucial for this arrangement to be maintained when the information sources were relocated to archival custody (Stapleton 1983:84). As noted by Ellis (1993), the principle of provenance encourages intense analysis (as encouraged by the contextual analysis in the macroappraisal approach discussed in section 2.3.2.1) of records being created and received during the course of business activities to develop and enhance the indexing systems. Further proposed by this latter principle is that archives, or inactive records, only required for reference purposes should rather be removed to another location to create space for the records currently being created and consulted during the course of business operations (Ellis 1993). Throughout the 20th Century, characterised by approaches to effectively manage and control large volumes of information, archivists and records managers developed methodologies based on these two positivist principles, *respect des fonds* and *herkomstbeginnel*. In fact, these two principles form the core of archivists' interactions with information practitioners, including records managers when tackling issues concerning electronic document and records management matters (Cunningham 1999).

2.2.2 Jenkinson's contribution

Techniques and principles, laying the foundation of the South African archival and records management discourse during the 20th and 21st centuries, were based on theories formulated by Jenkinson. His principles and techniques became the essence of debates and discussion amongst his contemporaries. In 1906, Jenkinson joined the

Public Record Office in London after completing his studies in classical civilisation at Pembroke College, Cambridge. He joined at a time when archival techniques and principles were in their elementary stage (Ellis & Warne 2003:10-12). During his formative years, Jenkinson worked primarily with medieval records. He published several articles on palaeography, diplomatic issues and events which reflected his interests in the archival collections that he worked on. A prominent feature of his literary works was the development of strict fundamentals, emphasising the legality issues associated with records. Furthermore, his main focus was the selection and preservation of records which would hypothetically be useful to future historians (Ellis & Warne 2003:11). His focus became problematic when more effective procedures were required to cost-effectively manage the escalation of public records confronting the archives profession after the two world wars. The escalation of record-generating government services and the onslaught of technological advances, like typewriters and copying devices, created an environment that urgently required more effective management and control of the information sources (Stapleton 1983-84:75-76).

An archival document was defined by Jenkinson as one “drawn up or used in the course of an administrative or executive transaction ... of which it formed a part; and then subsequently preserved in their own custody for their own information by the person or persons responsible for that transaction and their legitimate successors” (Hodson 1972:3). Fundamental to Jenkinson’s views, archives were the organic unit that articulated the life of the entity that created and utilised them. Further defined by Jenkinson were four determining features for items regarded as archives: impartiality, authenticity, naturalness and interrelationship (Hodson 1972:3-6).

Through the observation of natural laws and reason, Jenkinson contended that archivalness was dependent on being able to prove “an unblemished line of responsible custodianship” (Jenkinson 1966:44). These elements determine the cornerstone of many modern-day archives, including the InterPARES’ approach to addressing the authenticity of digital records (Duranti 2012). However, Jenkinson failed to address the problems of records being destroyed or falsified, and how their authenticity was

affected. The principle of *respect des fonds* was regarded by Jenkinson as the fundamental rule to the arrangement and description of records. Further acknowledged, was the importance of breaking archival groups into manageable units, and cognisance that these groups were formulated because of natural business processes. He, too, concluded that records or archives were essentially created and managed to facilitate the administrative machinery of an organisation, and not because of their research value. In addition, he noted that the research ends for which archives could be used were not the reasons why organisations created and preserved them (Schellenberg 1956:14).

As noted by Eastwood (1992), appraisal was another area Jenkinson commented on, provoking discussion and debate amongst archival scholars. As mentioned above, one of Jenkinson's professional fascinations was with English medieval records. This may have contextualised his incentive to conclude that no legitimate grounds existed to motivate for the destruction of archives. It also accentuated his motivation of regarding the archivist's role as purely that of custodian. Jenkinson was adamant that the archivist should not be involved with appraisal and destruction of the records. He believed that the appraisal function, and subsequent destruction, should rather be performed by the administrative entity responsible for creating and managing the records (Schwartz & Cook 2002:2-5). The positivist framework of modern archives and records management processes was defined, with the metanarrative of the governing entity being the determining factors for ascertaining and identifying records of historical value earning the privilege of being stored eternally in the archival repository (Harris 2007). According to Jenkinson, the records' integrity was ultimately determined by the office of creation and thus, he believed, the selection process of identifying records to be transferred to an archives repository for permanent safe-keeping was the responsibility of the originating body (Eastwood 1992:4).

2.2.3 Schellenberg and records management

Another contributor to the archives profession who has invoked debates and discussions is Theodore R. Schellenberg. The contextual setting for this contribution

was the archival backdrop surrounding the operations and expertise shaped by the archival services in the United States of America. In many ways, Jenkinson and Schellenberg were adversaries debating and defining principles and techniques for the archival profession. Like Jenkinson, Schellenberg pioneered contemporary debates and discussions on related archives and records management issues. Schellenberg's writings, theories and practices have greatly impacted on the records management field; and became a cornerstone of South Africa's public sector records management practices (Harris 2007:91-92).

Modern-day thinking and debates concerning specific interests, theories and practices concerning the concept of records management were driven by Schellenberg's convictions that for archivists to sustain their profession, they needed to re-invent and demonstrate the relevance of the profession, as encouraged more recently by Duranti (2012), Cook (2011a) and Cox (2005, 2006). According to Schellenberg (1956), in order for the archives profession to remain relevant, it had to adapt and enhance its portfolio to address the complexities associated with the bulging public service created during the two world wars. The United States National Archivist needed to structure programmes and approaches to adequately tackle three concerns (Stapleton 1983:77). The first was an approach to address the legislative, executive, financial and administrative dimensions with organisations responsible for creating records. The second concern that needed attention was the broad spectrum of users requiring information contained in the records. The third concern focused on the diverse nature and volume of records in state departments and related entities (Stapleton 1983:77-84). Schellenberg's methodology provided the *modus operandi* for the South African public archivist to engage with the records managers of public bodies by navigating the construction of record keeping systems (file plans, filing systems), as well as carrying out appraisal functions before any records are transferred into archival custody.

Issues of concern to Schellenberg were the nature of records and applying the principles of provenance to the arrangement, description and appraisal of records (Schellenberg 1956). Schellenberg began his archival career at the United States'

National Archives in 1935, after completing history studies at Kansas State University and University of Pennsylvania. He began his archival career conducting information audits on the records of executive governmental organisations in Washington. During his investigations, he encountered two scenarios which, as archivist, required his intervention. The first was the large volume of records, covering a period of 150 years, finding their way to the United States archival repositories. The second challenge was the government programmes, initiated during the Great Depression, which generated large volumes of records (Stapleton 1983). Faced with these challenges, as archivist, Schellenberg believed it was essential for him to devise a legitimate system to reduce the records to be kept permanently by the National Archives. The incentives to formulate legitimate systems to reduce the records generated by organisations, and identify a selection of those for transfer to an archival repository or institution, became the main focus of his writings in *Modern Archives: Principles and Techniques* (1956) and *The Management of Archives* (1965). Schellenberg's appraisal methodology sought to distinguish between records of primary value, described as the purpose for which records were initially created, and the functional purposes identified as administrative, legal and fiscal informational values, from records additionally having secondary values. Such records had information that could be utilised for purposes other than the purposes for which they had been created (Penn, Pennix & Coulson 1994:109-111). This value was determined by usefulness of the records to researchers of all disciplines but ignored the context within which the records were created or used (Harris 2007:62). Filing systems (indexing systems) were/are designed and approved to distinguish between records having only primary value from those with secondary value attributes. This facilitates a disposal programme permitting, by means of written disposal authority (formal written consent), public bodies to either destroy or transfer their records to designated public archival institutions for storage.

2.2.3.1 Hoover and Grigg commissions

In 1946, and fully operational by 1953, the United States of America established the Hoover Commission which was assigned the task of re-engineering, amongst others (Morison, et al 1983:677), the role of the archives to manage the flood of information at

the offices of origin (Stuckey 1994). This Commission clearly defined the role of the US Archivist, who was appointed as head of the National Archives and Records Service. The Archivist's primary function was to supervise the processing of all records, including those with administrative and secondary values. This supervisory role, aided by two assistants, oversaw the management of inactive records which had acquired permanent value; as well as managing active or semi-active records in governmental agencies. The management of the latter category involved the positivist approach of planning, controlling, directing, organising, training, promoting and other related managerial activities associated with the creation, maintenance, use and disposal of records (Stuckey 1994:40-41).

The Hoover Commission acknowledged the importance of *records management* as an effective response to problems created by the 20th Century information explosion. In effect, these developments in the United States prompted other areas in the world, including international bodies, to redefine the roles of the archivist to also incorporate a records management approach (Couture & Rousseau 1985:22–23). In essence, it is contended by this study, like many other 20th and 21st century practices and interests, the US viewpoint determined international trends concerning the management of records; determination of records keeping systems; and decisions related to the disposal of records should be that of the archivist, and not the originating office, to ensure objectivity when carrying out the appraisal function. The archivist was also assigned with the responsibilities of formulating records management policies, principles and practices.

In Britain in 1954, the Grigg Commission report was released. Its mandate was to review the relationship between current administrative and continuing, future, research values of records. It also had to determine the defining criteria which clearly distinguished between these values (Cook 1999). Unlike the Americans, the approach of the Grigg Commission was principally based on the writings of Hilary Jenkinson. In essence, due to staff shortages and other logistical obstacles, the Grigg Commission shifted the administrative burden of the creation, maintenance, use and disposal

phases, including the process of appraisal, to the office administrators (Jarvis 1957). One of the motivations for adopting this principle was because of staff shortages in the Public Record Office. Governmental bodies were, nevertheless, encouraged by the archivists to adopt and implement proper records management programmes (Cook 1999:65–70).

Like the United States and Britain, many other countries followed suit. They too, created or re-engineered their existing structures to accommodate a records management dimension to address the large volumes of records generated by governmental bodies (Ceeney 2008:59-60). In the 1950s, South Africa also investigated and developed a component in the government archives service to specifically address records management matters (Harris 2000:7). The South African government archives services was assigned specific responsibilities and duties concerning the administration of the creation, use, maintenance and disposal phases of the records in an attempt to address and manage the large quantities of records been generated by governmental bodies (Harris 2000:7).

2.2.3.2 Life cycle: role of creators, records managers and archivists

The archives' life cycle concept uses the analogy of biological organisms having three stages being: current (active records), semi-current (semi-active records) and non-current records (inactive records or archives) (Roger & Miller 1999f:17). As explained by Mnjama (1996:24), in the creation stage, the current or active information sources are created and maintained for purposes of administrative, executive, financial and legislative activities. This is the stage where the onus of responsibility for creation, managing and controlling the information sources is in the realm of the creators (Bantin 2008:5). At the semi-current stage, the semi-active information sources are those records less frequently consulted and often moved to basement areas, records centres (Mnjama 1996:25) or (in the case of South African public bodies that will be discussed in Chapter 4) needing to be considered for storage in facilities offered by off-site storage companies. The responsibility for the records at the semi-current stage shifts to the records manager of the creating entity, who in line with Jenkinson's approach maintains

and safeguards the records integrity by observing the principles of provenance and maintaining the selected order and arrangement of the creating entity. At this stage, the records manager would be assigned the responsibility of appraising the information sources and determining which items migrate to the following stage of relocating to archival custody (Bantin 2008:5). At the final stage, the onus for the preservation and safekeeping of the integrity and authenticity of the non-current or inactive records (archives) is assigned to the archivist (Bantin 2008:5). Thus, in the life-cycle concept, archivists primarily occupy the role of custodians, keepers or guardians of the record (Trace 2002:138) and occupy a role of “neutrality and objectivity” (Henderson 2002:43).

However, as noted by Mnjama (1996) the life-cycle model has “for too long ... concentrated on managing the last phase of the life cycle ... disposition” (1996:25). The life-cycle model furthermore tends to focus on the archivists’ roles as guardians which becomes problematic when effectively dealing with the challenges of the long-term preservation of digital records (Trace 2002:138-139). As noted by Trace (2002), the archivists’ knowledge of understanding archives or records based on traditional archival principles are particularly problematic with fast-changing technology that does not observe these principles. The positivist life cycle model approaches the responsibilities of ensuring and safeguarding the information sources integrity to the creating entity (Eastwood 1992). The model further assigns the tasks of appraisal and the determination of the fate of these primary sources to the creating entity. The creating entity is thus provided with the power to choose what should be transferred to archival custody and to select information sources for destruction (Eastwood 1992). This model does not consider executive and administrative management echelons with few incentives to retain any information sources for historical research. Any incentives for retention would need to be sanctioned by legal instruments and “right-to-know” purposes (Flynn 2010:8). South Africa’s “secrecy culture” (Allen 2009:210), placing the onus of the creation, safekeeping and disposition of the information sources solely in the hands of creating entities, then relegates the archivists to the role as keepers and custodians of information sources for historical research purposes. However, as will be

discussed in Chapter 4, this is only one of the responsibilities promulgated in the current National Archives Act.

2.2.4 South African records management practices

Prior to 1957, the archivist essentially fulfilled the role as keeper of the government archives. In 1876, a commission was appointed by the Cape Government “to collect, examine, classify and index the archives of the Colony” (Davies 1960:8). Under the Union Government, the 1922 Public Archives Act was promulgated and regulated the practice and activities of the government archives services. The archives services of the four provinces of the Cape, Transvaal, Orange Free State and Natal were regulated and assigned responsibility of keeping and managing the records of their respective provinces. The 1922 Act defined the foundations for a uniform system of arrangement, description, compilation of lists, inventories and other necessary finding aids for archives and records. However, like its international counterparts, the South African archives service was hampered by “mountains of unarranged and scattered documents,” (Davies 1960:7) and limited human resources with archival keeping skills. During the 1930s, special efforts were made to enforce regulations for records of governmental bodies to be transferred to the archives service. As noted by Davies (1960), “records were stored in cellars, lofts and all sorts of outbuildings and in such a way that disintegration of the volumes followed . . . records were walked over and a great variety of objects, such as saddles, bits of discarded clothing and even jackal skins were intermingled with these chaotic masses of documentary material” (Davies 1960:7).

In response to these ever-present circumstances, the government archives established closer relationships with the rest of the government administration in order to protect the fate of the country’s archival heritage (Davies 1961). The archives service also needed to justify its practical value to the State. As registry or record keeping tasks were regarded as crucial to ensuring the smooth work flow of administrative machinery of any governmental body, the government archives realised it needed to be actively associated with the control of registries and registry systems. Recognising the fact that

the registry was an important, yet often poorly neglected, component of an organisation and its importance in managing the receipt, maintenance and disposal of records, the South African Government Archives decided to actively manage and control these areas in governmental bodies (Venter 1959:15–16).

In 1953, a new archives Act was promulgated which formed the cornerstone for the creation of an Archives Commission which would authorise the “destruction of valueless records, documents and other materials” in any public archives repository or governmental body (Davies 1960:7). During the 1950s, the government archives service became increasingly involved with overseeing and advising on the administration of archives and records still in the custody of the governmental body. The government archives defined how records should be correctly managed in government offices, conducted inspections at the offices to determine and advise on responsible record keeping practices, and advised on the use of record classification systems (Davies 1960). These services were performed by the archival staff, while performing other archival tasks like arrangement and description of archivalia, compiling inventories and related finding aides, handling transfers of archivalia to repositories and assisting researchers (Davies 1960:16). In 1957, the government archives created the records management component with its primary objective being to perform records management tasks. From its inception, this component focused on governmental correspondence record keeping systems and government departments were encouraged to liaise and consult with the component when designing and implementing new record keeping systems (Snyman 1962). Inspections at offices were also carried out, and this component managed and authorised the destruction of governmental records, a function delegated to it by the Archives Commission. The process of destruction was viewed as an essential activity to manage government’s mass production of records, a process viewed with scepticism (Pickover 1994, Ngulube 2001). The government archives, through the records management section, also provided basic training in records and registry management matters to governmental officials (Davies 1961:14-18).

Several elements of the Australian continuum model (discussed below) were adopted by the public archivists from the mid-1960s and promulgated in the State Archives Act, no. 6 of 1962 (South Africa 1962). The records management component of the present day NARS is required, in terms of the related parliamentary Act, to perform the same functions as at its inception in 1957. Changes in technology, political climates and other related external and internal factors have made it essential for this component to adapt their services, policies and practices according to the needs of, and the logistical infrastructure provided by, the government of the day (Harris 2000).

2.2.5 Continuum model: archivists and records managers

The continuum model that is the foundation of strategies for all formats of information sources and, during the 1950s, was adopted by Australian archivists and records managers (McKemmish, Upward & Reed 2009:4449). The essential difference between this model and that of the life-cycle model is that the responsibilities assigned to the archivists and records managers, throughout the life stages of the records are intricately linked (Bantin 2008:5). The continuum model associates the functions of record creators and all of its users, and forms the basis for standards concerning documents, records and archives (Flynn 2010:80). Australia defines these standards as “a consistent and coherent regime for management processes from the time of the creation of records (and before creation, in the design of recordkeeping systems), through to the preservation and use of records as archives” (Flynn 2010:80). The continuum model views the life cycle stages as linear progressions rather than cyclical, as in the case of the life-cycle model. Furthermore, this model encourages proactive engagements from the archivists and records managers, together, sculpting the record by planning and determining the course of the information management systems to meet the “goals, intentions and assumptions” (Trace 2002:144) of the creating entity. These engagements also determine the disposition fate of the information sources from creation until transfer into archival custody.

The Australian continuum model draws attention to the symbiotic relationship between record keeping processes and “historical recordkeepers” (McKemmish et al 2009:

4449). The model identifies three groups strategically situated to coordinate recordkeeping and archival processes. The first group are the individuals working with, and in, the record offices. In South Africa these would be referred to as the personnel working in the registries and mailrooms. These offices are ideally equipped with comprehensively formulated record keeping systems (McKemmish et al 2009:4449) to record the executive, administrative, financial and operational functions and activities of the creating entity. Furthermore, these components create and maintain the control mechanisms related to the information sources being created and stored, such as the Register of Files Opened (NARS 2007:123). As proposed by McKemmish, Upward & Reed (2009), these persons are the “true archivists” directly involved in the archives creation and receipt stage. A second group are those working between the records managers and archivists (historical record keepers). The third group are the historical record keepers (archivists) working in the archival facilities (McKemmish et al 2009:4449).

In South Africa, the current records management policies promulgated by the public archivists support the role performed by all of these players in the creation, management, identification and preservation of information sources (NARS 2007). The officials working in the South African public sector registries and mailrooms are guided by the prescribed National Archives’ registry procedure manual (NARS 1997). “Every governmental body which falls under the stipulations of the National Archives of South Africa Act (No. 43 of 1996) is required to compile a Registry Procedure Manual and submit it to the National Archivist for approval . . . The manual . . . must describe . . . the registry and records management procedures that are applicable to the body” (NARS 1997:1.1, 2.2). This prescribed manual assigns the duties of the administration and supervision of all registry procedures, supervision of registry and mailroom staff, their training as well as all related delegated records management tasks to the chief registry official (NARS 1997:2). Procedures detailed in this document, include:

- i) Receipt of post, parcels and remittances/transferable items, with attention paid to issues like post-bag procedures, receipt, sorting and opening of post;

- ii) Filing of post, focusing on elements like duplication, filing procedures, correct use of standardised indexing system, referencing and placing records on files, preparation and opening of file covers;
- iii) Circulation of and search for files;
- iv) Outgoing post required to comply with regulated postal instructions, including procedures related to secret and confidential items;
- v) Movement of files, such as filing papers, returning files to the filing cabinets and related storage areas;
- vi) Closure and termination of records, including the application of a 3cm rule to the thickness of file volumes, and procedures to tackle the inactive records occupying areas like basements, emergency stairwells (as referred to by records management staff in Chapter 4 as “apartheid-related records”);
- vii) Keeping of essential registers, such as the Register of Files Opened;
- viii) Maintenance of the record keeping systems, including the approved record keeping systems like the file plan and records control schedule;
- ix) Disposal of records, including information related to the systematic disposal programme, destruction of, and transferring of records between governmental bodies; and transfer of records to records centres and archival repositories.
- x) Control and protection of records against perils like fire, water, pest, light and damage from handling; and
- xi) Training registry staff (NARS 1997).

Meanwhile, the records managers of South African public bodies are assigned overall control, preservation and care of the entities’ information sources. In accordance with policy prescribed by the National Archives’ *Records Management Policy* (NARS 2004b, 2007) and *Performance Criteria for Records Managers of Governmental Bodies* (NARS 2004c), these officials manage the activities of staff in the registries, mailrooms and related areas involved with the management and care of information sources generated and received by the entity. Records managers are responsible for the control and access to information sources while they remain at the current and semi-current stages

within the jurisdiction of the creating entity (NARS 2004c). Furthermore, these public officials are solely accountable for:

- i) Controlling the maintenance and application of the approved indexing systems, such as the file plan;
- ii) Disposal of information sources, as guided by the section 13(2) of the National Archives Act which stipulates that “no public record under the control of a governmental body shall be transferred to an archives repository, destroyed, erased or otherwise disposed of without the written authorisation of the National Archivist” (RSA 1996b);
- iii) Control and preservation of all information sources; and
- iv) Training of the registry head (NARS 1997).

Public sector records managers are required to ensure their entity complies with the directives, instructions, regulations and guidelines issued by the National Archivist concerning the creation, management, maintenance, disposal and safekeeping of current and semi-current information sources. These directives apply to records regardless of form or medium, including electronic records and microfilm (RSA 1996b:Sections 13(1)-13(5)).

The public archivists' roles as custodians, as well as their interactions with the public sector records managers, are promulgated in the National Archives' legislation (RSA 1996b). This public entity's custodian functions, powers and duties, as promulgated in the Act involve:

- i) Preserving records of enduring value for use;
- ii) Making these records accessible and promoting their use;
- iii) Ensuring proper management and care;
- iv) Promoting awareness of archives management, archival activities, preservation and use of the national archival heritage;
- v) Establishment of archives repositories for the custody of records;

- vi) Transferring of records of enduring value to archival custody once they have been in existence for 20 years, and may be available for public access; unless the condition of the records is regarded as fragile; and
- vii) Undertaking measures to preserve and restore records (RSA 1996b:Sections 3, 5, 11, 12).

In addition, the National Archives Act 43 of 1996 defines the parameters of the relationship between the public archivists and records managers. These are expanded on in the regulations, policies and guidelines provided in the records management publications of the National Archives (National Archives website 2013). The relevant functions, powers, duties and responsibilities that are highlighted include:

- i. Promoting awareness and encouragement of records management, such as conducting inspections of public records both at the creating entity or records storage facilities;
- ii. Involvement in the formulation, approval and maintenance of tools (such as file plans, electronic document records management systems) aimed at arranging, describing and retrieving information sources;
- iii. Providing records management training and cooperating with entities involved in records management and archival pursuits;
- iv. Proper management and care of public records in the custody of public bodies, to include appraisal and disposition-related activities and defining conditions of information sources being reproduced electronically or microfilmed.
- v. Finally, via current and newly compiled directives and instructions concerning the management and care of public records in the custody of public entities, public sector records managers are responsible for the execution, observation and compliance with the South African National Archives and Records Service Act (RSA 1996b:Sections 3, 5, 13(1)-13(5)).

The Australian continuum model has influenced South African records management practices. The proof of this is in the publications issued by the public archivists

concerning electronic records, such as *Managing electronic records in governmental bodies: Policy Guidelines* (NARS 2004b); *Managing Electronic Records in Governmental Bodies* (NARS 2006); and *Records Management Policy* (NARS 2007). As noted by Bantin (2008), the continuum model regards the archivists and records managers as “intimately involved at all points” (2008:5); and is the basis of the approach for the management of electronic records. Hurley (2004) and Stuckey (1994) both advocate the continuum model. Encouragement for involvement of archivists and records managers in the development, selection and promotion of solutions concerning creation, management, disposition and preservation of digital information sources has been instrumental in seeking plausible solutions and the creation of international standards, like ISO 15489 (Flynn 2010:80; McKemmish et al 2009:4449).

2.2.6 Setting international standards

The uncertainties and potential challenges posed by creating, managing and preserving electronic media attracts more users interested in information management. Users are no longer homogenous, confined to the records management staff, records managers, archivists and potential heritage researchers but, include auditors, legal representatives and security establishments (Cox 2006:231). More users are concerned about security, control and access than merely the safekeeping and preservation of information sources for heritage purposes. On the international stage, discussion and debates during the 1990s and early 21st Century focused more specifically on records management concerns. Scholars such as Steve Stuckey (1994), Andrew Cunningham (1999), Chris Hurley (2004), Terry Eastwood (2003) and McKemmish, Upward & Reed (2009) encouraged a post-custodian interactive approach between the archivists and records managers when tackling the digital records conundrum. Having shaken off the pariah status acquired due to apartheid policies, South Africa more actively interacts with the global community as is evident from the participation in the *ICA Principles and Functional Requirements for Records in Electronic Office Environments* (NARS website 2011a); and endorsement of international standards in the archival policies and directives (NARS 2004a, 2007).

As will be expanded on in Chapter 4, examples of initiatives to understand, capture and manage the content, structure and context of digital records as well as have involvement with the record creation process to ensure long-term preservation encouraged proactive approaches (Trace 2002:144). Thus, the development of standards that encourage accountability (McKemmish et al 2009:4449) were the stimuli for standards such as: International Standards Organisation (ISO) 15489, focusing on the methodology to design and implement sustainable electronic records management programmes; ISO 15801, concerning the trustworthiness and reliability of the audit trail electronic imaging (copied or scanned versions) of information sources; and ISO 23081, regulating the minimum requirements of metadata required to effectively distinguish information, documentation and records from each other (Venter 2007, NARS 2004, 2006, Mullon 2006). All of which have been adopted, often void of contextualisation, by the South African public records management environment. Other initiatives have included the Model Law on Electronic Commerce formulated by the United Nations Commission on International Trade Law; European Union's digital signatures directive; United States Department of Defense's Design Criteria Standard for Electronic Records Management Software Applications (Waldon 2008, US DOD 2007 and 2012, Harris 2007) for federal agencies; Australia's Recordkeeping Metadata Standard for Commonwealth Agencies; British Standards Institute's principles of good practice for information management, management of optical disc systems for recording documents required for evidence, code of practice for legal admissibility and evidential weight of information stored electronically. These yardsticks were designed to gauge compliance with the legal admissibility and evidential weight of electronically stored information (Harris 2007:117–118).

As contended by Clive Kirkwood (1996), electronic technology lures organisations into false securities concerning accessibility and safe keeping of information sources, without comprehensive records management programmes, policies, procedures and well-formulated record keeping systems. Furthermore, organisations discover the obstructions pertaining to functional efficiency, validity of the electronic data and legal admissibility of the records (Kirkwood 1996:22). It is in this context that agreed

standards, legislation and concerns have become the cornerstones of the records management milieu, internationally, and in South Africa (Griffin 2004). South African public archivists aware of international perspectives on digital records participate in national and international endeavours to formulate strategies to deal with the challenges associated with e-records in the public sector environment (National Archives & Records Service website 2011b). However, it is questionable whether the public archivists' budgetary and human capacity constraints (Department of Arts & Culture 2006, 2007, 2010, 2013) truly equip them to influence and be significant, accountable role-players, like their Australian colleagues.

2.2.7 Back to basics: archival diplomatics

The University of British Columbia and InterPARES (International Research on Permanent Authentic Records in Electronic Systems) view the archivists' participation in creating and managing digital (electronic) records from their "traditional administrative-judicial roots" (Trace 2002:140). Returning to the archivists' positivist approaches, archival diplomatics determines the authenticity of information sources through scientific processes (Duranti 2001:275). According to Duranti (2001), diplomatic analysis assesses the "authenticity of records of unverified provenance, independently of their context" (Duranti 2001:275). In addition, the elements proposed by Jenkinson and Schellenberg are regarded as fundamental to InterPARES (Bantin 2008). The approaches of these scholars influence approaches when tackling the challenges of digital records. Their writings furthermore consider contentious archival issues like custody, appraisal and description (Bantin 2008:1-2).

The chief objective of InterPARES has been the formulation of principles and criteria for the development of international, national and organisational policies, strategies and standards for the long-term preservation of authentic digital records (Duranti 2001). Four key research projects were identified as being to:

- i) Identify requirements for preserving authentic digital records;

- ii) Determine whether the selection content methods for electronic records needed to be revised and significantly changed;
- iii) Formulate methods, procedures and conventions for preserving digital records; and
- iv) Determine strategic framework, policies and standards applicable to the authentication of digital records (Duranti 2001:275).

InterPARES further advocates for the life cycle model which tends to propose a separation of records management responsibilities as opposed to the Australian continuum model that encourages the archivists and records managers to be intricately linked (Bantin 2008). In addition, the archivists' role as "trusted custodians" (InterPARES 2 Project n.d), with "theoretical roots of records management" serving archival purposes (Duranti 2010:79), is the approach advocated by InterPARES to ensure the authenticity of maintaining and preserving digital records (InterPARES Project 2 n.d.). While the approaches advocated by InterPARES would be valuable to South African public sector digital collections that *should* be, or are already, in archival custody and preservation, such as the records of the Truth and Reconciliation Commission (Allen 2009); it is irresponsible for a young democracy, tackling socio-political challenges and poverty, to have a public-funded information management service purely assuming a custodian role. Nevertheless, the authenticity of digital records, their custody, appraisal, description, maintenance and preservation are concerns about which South African entities, including the national and provincial archival services require clearly defined strategies. While archival diplomatics clearly defines the roles of the creators, records managers and archivists, as contended by Trace (2002), it is questionable whether the archivist purely assumes a neutral role as custodian and guardian, ensuring the preservation and safekeeping of permanently valuable archives (Trace 2002:138-139). This "neutral role" of the archivists, in selecting, assembling, arranging and interpreting information sources, are contested by postmodernists (Eichhorn 2008) and this study.

2.3 Postmodernism

Scholars like Cook (1984-1985, 1997, 2001a, 2001b, 2011a, 2011b), Ketelaar (1992), Brothman (2002), Harris (2000, 2007), Cox (2005, 2006), Swartz (in Blouin & Rosenberg 2005), Nesmith (1999) and Derrida (1996), challenge the achievement of neutrality and objectivity by the archivist. Further contentions are on the role of language and lexicology in gaining or controlling access to the information contained in, and shaping the narrative revealed, in the information sources, regardless of format or medium (Hedstrom 2002:43). One of the pioneering international archivists to post-apartheid South Africa was Canadian archivist, Terry Cook. As a strong advocate, Cook (1995) encouraged archivists to redefine their roles in order to remain relevant and actively participate in discussions, debates and the processes involving the management and care of electronic records (Cook 1995:79). As is evident from the articles in the *South African Archives Journal* and *Archives News*, it was furthermore essential for the South African archivist to transform in order to adequately participate in the new political dispensation and to become “agents of democratisation” (Kirkwood 1996:13). Kirkwood (1996) contended this was essential in order to provide long-term operational continuity, institutional accountability and protect citizens’ rights (Kirkwood 1996). As with most other spheres of interest, after years of boycotts and isolation from the global community, the South African public archivist integrated international trends and practices to the policies and procedures being promulgated to governmental bodies, in accordance with archival legislation (National Archives & Records Service 2007). The mid-1990s provided challenges on the effective and coherent use of electronic records. Urgently required was the formulation of policies and procedures to reduce the loss of information.

2.3.1 Paradigm shifts

The influences of Muller, Feith & Fuin (1940), Jenkinson (1966) and Schellenberg (1956, 1965) were contextualised within the 20th Century South African socio-political context of the public archives. Adhering to agreed systems, enforcement of rules and regulations characterised the South African State Archives Service positivist

methodology (Harris 2007:120). Until the 1990s, the legislation, policies, procedures and practices of the South African state archivists assumed a positivist frame of reference that combined empiricism with rationalism (Harris 2007:120-121). Archival concepts were contained within a scientific paradigm. With South Africa's isolation from the international community, little interest in investigating or considering other approaches resulted in many concepts, like appraisal and disposition of information sources, remaining uncontested (Harris 2007:134). Records were regarded as innocent products of processes that reflected and provided evidence of processes not determined by the public archivists. These role-players were impartial custodians actively shaping the state's collective memory and the archives repositories, preserving that collective memory (Harris 2007:11).

This paradigm shift occurred among archivists who realised for their profession to remain relevant in the Information Age, the profession had to reinvent itself. As Schellenberg did after the two world wars, the 21st Century archivist has to concede that the utilisation of computer-generated technology and the "information super highway" is the focal pursuit for knowledge and information (Stuckey 1994:47). In essence, archivists actively involved with records management-related processes enable their profession to record (provide evidence) and write their own historical narrative. Despite threats from the electronic environment, proactive archivists actively engage with all users and demonstrate adaptability to re-engineer their profession (Cox 2005:289-290). Such archivists thereby become key players in sculpting accountability in the information sources (Trace 2002:140). The records management discourse is reinforced by the formulation, observance and compliance with internationally determined projects, programmes, legislation, laws, standards, software and electronic systems (Harris 2007:120).

Records management scholars emphasise the importance of recorded evidence for the optimal operational functionality of any organisation. Emphasis is also attached to the reliable retention of memory resources to prevent organisations from coming to a complete standstill in the event of a terror attack or natural disaster where the human

resource memory, termed “vital records” may have been irreplaceably lost (Australia Capital Territory Records Office 2008:6,13). Information management, more specifically records management, is advocated to entities as being significantly important to safeguard and ensure the proficiency of the organisation. This function should therefore be assigned identical status to that assigned to the management of capital, financial and human resources. Credibility is also given to associating records as evidence of business processes (Ngoepe 2008:5). Furthermore, it is important to understand the processes that create the evidence and how the information enables the organisation to fulfil its mandates and legal and financial obligations, and facilitate business operations (Ngoepe 2008:5).

2.3.2 Description, appraisal and custody

According to Harris (2007), the South African public archives service was apprehensive about its “traditional appraisal methodology” (Harris 2007:85) and its legitimacy within the country’s section 41(1)(c) of the Constitution, requiring all spheres of government to provide effective, transparent, accountable and coherent government. The appraisal methodology utilised by the service had no formal strategic framework and based its judgement of archival value on individual appraisers’ assessments of historical value (Cox 2000:7). However, researchers utilise various information sources to trace past events, including those recommended for destruction during the appraisal process (Pickover 1994:354). Historian John Laband (1996:39) noted the impossibility of record appraisers being able to accurately predict research trends and presume the interests of future researchers. Nevertheless, the archives service was concerned about the excessive volumes of support function-related records, such as human resources and financial and procurement records being preserved (Harris 2007:92). These records resulted in masses of duplicate records, from all levels of government being transferred to archival holdings. In addition, were the challenges emerging from the country’s political transformation, such as:

- i) constraints of financial, human and logistical resources;
- ii) costs associated with inadequate storage facilities; and

- iii) the tsunamis of government records quickly engulfing archival repositories (Harris 2007:93-94).

During the appraisal process, it was estimated that an average of 15% of public records from each national, provincial and local government structures were being identified as having archival value and consequently recommended for eventual transfer to state archives repositories (Harris 2007:87-88). Several kilometres of records belonging to the previous dispensation needed to be transferred to the government archival holdings in order to create space for the post-apartheid government. Furthermore, unlike the 1962 State Archives Services Act, the archival legislation now incorporated parastatals, alongside national, provincial and local government structures, as the client offices of the national and provincial archival services, whose records would also be eligible for related archival and records management services. The South African National Archives tried to formulate a sound appraisal policy based on the macro-appraisal model, distancing itself from their Schellenbergian paradigm (Harris 2007:97-98).

The incentive for this appraisal approach was, as a methodology, to address the challenge of preserving too many records; reduce the quantity of duplicate records; quell the critics viewing appraisal as an obscure process based on “fuzzy value judgements rather than a clear methodology” (Ngulube 2010:250); and to reduce the loss of permanently valuable electronic records being deleted or stored in formats unreadable under new technologies (Kirkwood 1994:12). However, as discussed in chapter 4, in spite of experimenting with postmodernist archival and records management theories of macroappraisal, Schellenbergian methodology still dominates the South African National Archives’ records management processes. All too often, as noted by Hurley (2004:14), archivists remain fixated with their predetermined structures and solutions which often clash with realities encountered by records managers, who need to remain flexible and adaptable to the challenges being encountered.

2.3.2.1 Macroappraisal

Cook (in Blouin & Rosenberg 2005) argues that macroappraisal dismisses research value, or historical value, as the measuring stick for ascertaining the archival value of the records. This approach focuses on the functions of governance rather than structures of the entity. Macroappraisal, furthermore, encourages appraisers to consider the principles of provenance, indicating that records attain their significance within the context they were generated and utilised (Blouin & Rosenberg 2005:183). If records are the products of dynamic power plays between the records' creators, being the organisation, its various structures and employees; the socio-political and socio-economic circumstances moulding the legal, administrative, financial and executive of operations; and the benefactors and recipients of these processes and services; then it is imperative to understand all the components which constitute the environment within which records were created, utilised and preserved (or not.) Macroappraisal determined archival value by assessing the processes which lead to the creation, utilisation and preservation of the record, and regarded "the best, most succinct, most focused evidence" (Blouin & Rosenberg 2005:175) of those processes as having archival value. Under this methodology, it was possible to reduce the average volume of records to be transferred into archival holdings, thereby reducing the volume of archival records being transferred to the archives repositories. Under the macroappraisal methodology, the appraiser was encouraged to identify processes which had been poorly recorded, or not recorded at all, which could then be complemented by collection activities like accessions, publications and oral testimonies (Harris 2007:93-95). The social responsibility of appraising information sources places the appraiser in a powerful position to determine which sources become instruments of power, empowerment, liberation and freedom (Harris 2007). As proposed by Derrida (1996), Schwartz (in Blouin & Rosenberg 2005) and Harris (2007), the cultural, social and political values and biases mould the narratives and shed the custodian role of the public archivist to that of political control, determining the "official" narrative and memory (Allen 2009:206).

In addition, Cook (1995:93–94) and the macroappraisal methodology offered plausible solutions to problems anticipated with the management of electronic records. The macroappraisal methodology encourages appraisers to rather appraise the processes than the individual records. This implies that electronic records could ideally be appraised before they were created by the organisation, understanding the components creating the information and, rather, identifying the information sources that would provide the richest sources of evidence. Information sources would be determined by “documenting governance requirements rather than government” (Cook 2004:5). This would ensure appropriate measures could be implemented so the evidence could be adequately protected from becoming technologically obsolete by ensuring the evidence was migrated regularly to contemporary, accessible, readable formats and media (Cook 2004).

2.2.3.2 Electronic records

Electronic records conform to the criteria of their appraisal being dependent on the assessment of the context in which the records may be utilised, and not the individual record. Cook (1997) emphasised the importance of formulating effective record keeping practices to manage electronic records. With computerised information being presented as evidence in courts of law, it became essential for the record users to understand the challenges concerning accountability and authenticity of recorded evidence. An organisation's electronic records authenticity and reliability could be contestable if no records existed, or the records were subjected to undocumented changes, accidental or deliberate deletions and unauthorised destruction (Cunningham 1999:302). The reliability of electronic records depends on the accuracy of being able to ascertain the structure, content and context of the evidence. The South African National Archives provides guidance concerning the management of electronic records. Public bodies were advised to create records for every business transaction clearly reflecting content, structure, context and all role-players. Electronic records were required to be labelled and linked to business transactions; and effectively protected from destruction and modification. Verifiable audit trails should be created to facilitate the tracing of all the

processes to which the record had been subjected (National Archives & Records Service 2004a, 2006.) However, little has been done to enforce the advocated policies.

The advantage of the macroappraisal methodology involving comprehensive contextual analyses are valuable applications for archivists and records managers, enabling the formulation of record keeping solutions to ensure the creation, management and care of information sources meet the objectives of the creating entity. It is the contention of this study that comprehensive contextual analyses are essential and should be conducted by records managers and archivists prior to formulating any records management policies, procedures, management tools and strategies.

The electronic environment challenges the positivist archival theorists, as well as the principles of providence which formed the basis of 20th century archival discourse and has brought with it the dynamics of postmodernism methodologies. As argued by Harris (2007), 20th century concepts such as archives, records, documents, series, files, record keeping systems, originals and copies, have become contestable words and concepts in the electronic environment. Digital records structures, contents and contexts exist in virtual formats and require the software programmes to assemble the puzzles enabling the records to be accessible in coherent, human recognisable formats. The ever-changing software, programmes and media, imply that the original record can never exist as it did in the paper environment. Electronic records must be migrated towards new generations of technology. Despairingly, the 21st century information age glaringly illustrates that no records enjoy unlimited life spans, and include the formulation of preservation strategies by concerned record keepers to preserve “versions of archival records” (Harris 2007:16).

According to David Bearman (1993:31-32), record creators and record keepers are responsible for the evidence, or lack thereof, revealed by the records. For the sake of credibility, record keeping systems are required to conform within their legal, administrative and executive parameters. Encouragement is given to organisations, complying with best practices and good governance requirements, to formulate,

implement and maintain policies; assign responsibilities and formulate coherent strategies and methodologies to manage the record keeping systems. Furthermore, in order to ensure that the information source remains credible, organisations are encouraged to create and manage records during regular business processes; document all processes and procedures; conform to agreed national and international standards; and ensure consistency and accuracy in the applicability of the record keeping system. The increasing use of computer-generated media has enhanced the awareness of the records continuum concept by narrowing the discourse between the record creators and archival pursuits. Several post-custodian theorists like Steve Stuckey (1994:46) have concluded that if archival elements are important, then essential prerequisites require archival elements to be embedded during the creation phase of the information management system. The elements and potential threats should be monitored, managed and controlled throughout the record's entire life cycle (Stuckey 1994:46).

Hurley (2004:9) emphasised the importance of the archivist being involved with the electronic archival records from their inception. The archivist was thus encouraged to become actively involved with the record creators to ensure that archival concerns of technological obsolescence could be timeously addressed. In essence, for those who were adamant about the relevance of the archives profession, the intense interest in the records management domain; and the threat of the profession being consumed by information technology mavericks solely interested in advancing the technical and commercial logistical pursuits of the electronic environment, encouraged many in the archival profession, around the world, like the Australians, to become pro-actively involved.

2.3.3 Governance: Accountability and transparency

The spotlight on security, access and control of information, particularly electronically generated information was significantly enhanced at the beginning of the 21st century by two events that drew the attention of the global community. The two events also affected popular perceptions towards governance, accountability and transparency.

Both the collapse of Enron towards the end of 2001 and the *al Qaeda*-lead terror attacks in September 2001 on the United States had significant implications on attracting attention to the significance of archivists, records managers and the management of information sources (Cox 2005:91).

The American multinational corporation Enron filed for bankruptcy towards the end of 2001 (Healy & Palepu 2003:3). This corporation funded operations around the globe by attracting vast amounts of capital, while concealing its performance through false accounting, financial misdemeanours, inflated stocks and profits to provide bonuses and raises, while fabricating “a rosy picture of its performance” (Healy & Palepu 2003:9). The deliberate shredding of records by their auditing firm, Arthur Andersen, to conceal the truth about the corporation highlighted the significance of audited financial reporting in attracting investors (Healy & Palepu 2003:10-11) and the roles of the information managers (Isa 2009:63). The emergence of *Standards of generally accepted accounting practice (GAAP)* was in response from investors wanting financial transparency to assess the reliability, integrity, prospects and risks undertaken by entities (Healy & Palepu 2003:22). These consequently form the basis of the standards being observed in the auditor reports of the South African Auditor-General (Auditor-General 2012a). Enron’s false financial books, falsified reports to complicate understanding and interpretations, and the sale of Enron documentation, like its *Risk Management Manual*, on *eBay* also brought into focus the complacent roles of records managers and archivists (Cox 2005:104, 208). The Enron debacle was attributed to three main culprits: top management, corporate audit committees and Arthur Andersen (Healy & Palepu 2003:3). According to Isa (2009), top management were accountable for actions and business operations, and responsible for the misdemeanours of their subordinates (Isa 2009:63). The corporate audit committee was dependent on reliable information from management, internal and external auditors to investigate and tackle questionable transactions, litigations, risks and contingencies. Arthur Andersen’s orchestration of deliberate shredding of supporting documentation and the fabrication of fraudulent information sources highlighted the roles of the records managers and archivists (Cox 2005:208), from mere custodians to accomplices in shaping the entity’s

facts and narratives. Records management was thus associated with corporate governance and elevated to boardroom status (Isa 2009:63).

Meanwhile, security, access and control of information rather than the preservation of information sources for heritage purposes was in reaction to the *al Qaeda* related terror attacks around the globe being pushed on to the centre stage, with the 9/11/2001 attack on United States (Cox 2006). These events directed the spotlight on records management, allowing it to become the “Coca Cola . . . of archival discourse” (Harris 2007:123). Specific interest groups from service providers of filing stationery to amateur information technologists, marketing electronic software, clambered on the bandwagon in pursuit of the envisaged fortunes which records management could bring. Inclusion in the global community ensured that South Africa was an overwhelmed participant on the globalisation stage and, similarly, national service providers sought to carve their share of the niche market (Katuu 2012:37). In response to the aftermath of the 9/11 attacks and seemingly related events around the globe, including Kenya and Tanzania in 1998, witnessed an intense interest, amongst others, in the effective management, security and control of information resources (Meijer 2003:67, Malan 2002). There concerns from developed nations that funding and aid to developing nations were being redirected to potential paramilitary entities threatening global peace and security was the backdrop for governance, transparency and accountability (IMF 2010a). International agencies acknowledged the urgency of promulgating and motivating for strategies to determine levels of governance. Furthermore, the widespread access to information requires legitimate, workable solutions concerning access, security and control over electronically generated information sources (IMF 2005).

Concepts such as promoting accountability and transparency were identified by international organisations as essential components which, provided they were upheld by responsive and accountable political and administrative systems, would enable impoverished countries to develop, manage and sustain conducive economic development as well as satisfy the basic social needs of all its citizens (IMF 2005). These entities developed concept models which encouraged impoverished countries to

strive for the attainment of sustainable strategies which would satisfy the interests of all citizens, as well as promote human dignity, security, justice and equality. Mechanisms in the form of legislation and watchdog organisations were encouraged as enforceable measures to ensure that vital and accurate information could be provided timeously to facilitate effective, transparent decision-making, development planning and governments accountable to citizens (IMF 2005). These concepts, driven by the interests of easing consciences of developed countries concerning impoverished areas in the globe; the attainment of a safer world now fearful of being blindsided by terror attacks; and encouraging the youth of impoverished countries to engage in sustainable economic development opportunities rather than becoming involved in war-mongering activities and/or crime syndicates, have largely formed the incentives (and support) for the Millennium Development Goals.

Sanctioned by funds, programmes and agencies of the United Nations, the World Bank, the IMF and the Organisation for Economic Co-operation and Development; the Millennium Development Goals (MDGs), to be attained by 2015, were identified by 189 leaders at a United Nations Millennium World Summit in 2000. These eight goals were the elimination of extreme poverty and hunger; promotion of gender equality and empowerment of women; improvements to maternal health care; reduction of child mortality rates; combating of communicable diseases such as HIV/AIDS and malaria; safeguarding environmental sustainability; and a global development partnership (United Nations Human Rights Office of the Commissioner for Human Rights 2010:1).

It is the contention of this study that the attainment of the utopia of no poverty and sustainable economic development through the MDGs enables the records management discourse to assume a protagonist role by aligning its policies, processes and practices with best practices methodology. Concepts of corporate governance are encouraged by entities responsible for the successful attainment of the MDGs, particularly in impoverished countries. The best practices methodology views processes, practices and systems, performed optimally, to improve organisations proficiency (United States General Accounting Office 1995:6). Records management

related legislation (not restricted to archival legislation but, inclusive of those focusing on the management of records or evidence, in whatever form) determines the foundation for accountable and effective governance (Roper & Millar 1999a:7-10). Furthermore, a direct spin-off for public entities having and sustaining sound management, care, retention and disposal of information sources is their proficiency in being able to focus on the attainment of the MDGs within their jurisdiction. Records management theorists, such as Heather MacNeil (1994), want record keeping systems to reflect the context within which the records were created and maintained during their active phase; and simultaneously aid in better understanding the records. Bearman's articulation for record-keeping systems which considers all users, be they legal practitioners, auditors or medical practitioners, also better enables an organisation to have efficient access to information and provide better service delivery (Harris 2007:138, 140).

This *metanarrative* may provide incentives for public entities to describe and document the activities of public entities involved with the attainment of the MDGs. The information sources will reveal narratives where children were afforded education; had access to effective health services, water and electricity, opportunities to participate in sustainable economic development; and become leaders striving for peaceful co-existence and spiritual enrichment, rather than war-mongering pursuits, or not. Reliable, prosecutable evidence should be attached to the audit trails (both paper and electronic) of intended social upliftment documentary evidence relating to donor funds and resources. As argued by Meijer (2003), the chief objective of the records management strategies should be to ensure the traceability of funds landing up in the coffers of corrupt government officials and/or channelled to terrorist networks and criminal syndicates disregarding the MDGs and intended recipient communities. Reliable, prosecutable evidence should facilitate the narrative for perpetrators to be brought to justice (Meijer 2001, 2003).

2.3.4. The archive and the Metanarrative

The archive, according to Derrida (1996) and Foucault (1972), is linked to storytelling. Burton (in Eichhorn 2008:8), contends that archives are narratives that have been composed. Derrida (1996) contends that the *archive* is a construction created from, and an expression of, power. The archivist is thus assigned the powers to control and determine the memory by controlling the archive (Allen 2009:206). The archive can be composed from collections of documents, records, images, data, personal recollections from people and their relations to power (Eichhorn 2008). These information sources are then selected, assembled, arranged, described and interpreted to formulate the narratives (Eichhorn 2008:3). These narratives can be in the form of annual reports, auditor reports, web and social media home pages, and viewed as the official narrative, or *metanarrative*, that the entities want revealed to interested audiences. The archon power associated with “drafting, destruction and dissolution” (Lynch 1999:71) of information sources implies that archivists and other users, including records managers, executives, management echelons, auditors and legal representatives all contribute to composing the narrative through the preservation, disclosure, destruction and accessibility of information sources (Lynch 1999). However, as contended by Lynch (1999), the reproduction, dissemination and accessibility to information resources in the digital age challenges the previous positions of power assigned to the archivists (Lynch 1999:75-76).

Like the digital technology challenges, postmodernism encourages archivists to interrogate their “hegemonic discourse” (Cuthbertson 1997:3). By deconstructing, dismantling and refiguring conventional archival principles, policies, procedures and processes, the public archivist could proactively participate in South Africa’s socio-political and socio-economic democratisation (Cuthbertson 1997:3). Processes and production of information sources should rather be the focus when archivists and records managers formulate the tools necessary during description, custody and appraisal. The record keeping systems should enable entities to accurately store, manage and access the information required to achieve intended goals and objectives (Cox 2005).

According to Foucault (1972), the *archive* is “the law of what can be said, the system that governs the appearance of statements as unique events” (Eichhorn 2008:2). Like a narrative, the archives are thus not impartial locations where information sources automatically accumulate (Eichhorn 2008). Thus, as contended by Eichhorn (2008), Harris (2007), Derrida (1996), Foucault (1972) and Lynch (1999), both concepts (the *archive* and narrative), are created and recreated by writers and readers when selecting, assembling, arranging, describing, removing and interpreting an available information source, including existing gaps. The gaps provide interpretative flexibility to create and recreate the narratives, including the metanarrative to defend decisions and consequences from possible interrogations and investigations (Lynch 1999).

In official investigations, like commissions of inquiry, collections of information sources are consulted to uncover historic events and implicate perpetrators (Lynch 1999). The metanarrative to defend actions and apportion responsibility is determined from collecting, analysing, evaluating and recording information from accessible information sources while spaces appearing in the lack of information sources are filled with personal recollections (Schwartz, in Blouin & Rosenberg 2005). In other words, as contended by Schwartz (in Blouin & Rosenberg 2005:85), archivists and archival establishments support the designated socio-political values, ideas, promises and obligations of their dispensation. This study contends that the creation, management, preservation and disposal of all information sources reflect the socio-political values, ideas and obligations of all the creators and users (Schwartz, in Blouin & Rosenberg 2005). The records managers, executive and management components, auditors and legal representatives all participate in the production and control of information sources, thereby determining the metanarrative of the public entity and state (Schwartz, in Blouin & Rosenberg 2005). This will be illustrated in Chapters 4 and 5 concerning records management practices in South African local governments.

The *metanarrative* is determined by the description of information sources that orchestrate how the creators, records managers and archivists will contribute to the elements composing the official melody (Harris 2007:86, 207). Despite being

instruments of control and power, these information sources simultaneously serve as instruments of “empowerment and liberation” (Ketelaar, in Blouin & Rosenberg 2005:145). Thus, the notion of the archive and metanarrative challenge the South African public archivists and, their symbiotic partners, the records managers, to:

- i) Consciously acknowledge the subjectivity involved in the selection of descriptions for information sources (Cook, in Blouin & Rosenberg 2005). Prime examples are the approved file plans and records management systems for records of paper, electronic and micrographic media (NARS 2004, 2007). These elements will be discussed in chapter 5.
- ii) Be cognisant of the contributing role of language in controlling and restricting access, transparency and openness to information sources (Harris 2007:260). As will be discussed in chapters 4 and 5, literacy and technological challenges are being encountered at the creation level. Meanwhile, the end-users - the general public - experience challenges of accessing reliable, authentic information required to improve and provide sustainable socio-economic opportunities. The information is also required to ensure access to basic services like water, electricity, sanitation, housing, infrastructure, health care and education.
- iii) Be aware of their contribution to the “passive, inherited and natural metanarrative” (Cook, in Blouin & Rosenberg 2005:174) of post-apartheid South Africa.

2.4 Conclusion

As already mentioned, according to the National Archives and Records Service Act, 43 of 1996, the public archivists are responsible for the “proper management and care of records of governmental bodies; and the preservation and use of a national archival heritage” (RSA 2007:55). The latter objective of this piece of legislation assumes the positivist, neutral role of custodian. However, the first provision concerning the records management programmes encourages involvement from the public archivist, together with the assistance of the records managers, to proactively manage the information sources needed in governmental bodies. Thus, the postmodernist view of the archivists

and records managers, regarded as co-narrators composing the metanarrative of post-apartheid South Africa, should not be ignored.

In the 21st century, characterised and dominated by electronic technology, associated with issues like privacy, accessibility, openness and freedom of information challenge archival conventions of control. In a democratic dispensation, like South Africa, the metanarrative should be determined by all the users that participate, access, compile and interpret the archive (Allen 2009:206). Under the current dispensation, the general public, potential investors and international agencies have better access to almost insurmountable levels of information sources from official sources (Lynch 1999:66-67), like reports from the Office of the Auditor-General to televised sources, online media, informal discussions and social media networks. All these relatively easily accessible windows provide evidence of how effectively persons, entities and governments can control the archive and metanarrative.

CHAPTER 3 RESEARCH METHODOLOGY

3.1 Introduction

The previous chapter reviewed national and international literature that has impacted, and provided commentary, on the archives and records management landscape, in general, and South Africa, in particular. In this chapter, the research design, population, sample and sampling methods, data collection methods and instruments are discussed. This qualitative study used the case study design by selecting data collection instruments to provide structured data, inductive reasoning and confirmatory analyses (Gadner, Buber & Richards 2003).

3.2 Research approach

Scholars like Penzhorn (2002), Creswell & Miller (1997), Merriam (2003), Creswell (2005), Leedy & Ormond (2005), Denzin & Lincoln, Silverman (2005), Marshall & Rossman (2006) and Yin (2009) purport that by applying the qualitative approach, researchers are afforded the space to channel the research processes, obtain better insights into the challenges of the related individuals and entities while simultaneously contextualising the records management and governance environments, within which these individuals and entities operate. In this study, the researcher sought to apply an approach that was appropriate with international studies relating to the archival field. Denzin & Lincoln (2003) and Iacovino (2004) reinforced the appropriateness of the qualitative research approach to the archival discipline. These two scholars have defended the necessity for archival scholars to be able to shift the paradigms by tackling multidisciplinary and interdisciplinary areas of interest. In terms of this investigation, these perceptions challenged the researcher to understand the diverse range of contexts of records management in terms of governance and accountability. Interrogating, understanding and contextualising the information management processes, role-players, milieus, outcomes, governance, access to information, poverty eradication and sustainable development endeavours are the essence of this postmodernist study. The researcher is intent on constructing a narrative that empathises, comprehends and interprets the challenges and activities encountered by the protagonists and antagonists involved in eradicating poverty, encouraging sustainable development, empowerment and job creation. The qualitative approach is associated with

“constructivism and interpretativism” (Ngulube 2013:11), which were fundamental to this investigation in constructing and interpreting the narratives revealed in the Auditor-General reports, records management officials and the consequences of lost records on governance, service delivery and the country’s integrity. Literature from Hedstrom (1991), Iacovinio (2004) and McKemmish, Gilliland-Swetland & Ketelaar (2005), coupled to the researcher’s acquired evidence, duly influenced the choice of research method. In order for the study to be interpretative and constructively address the records management challenges encountered in South African local governments, a qualitative (mono-method) (Ngulube 2013:10) approach was applied.

The researcher determined the aptness of the qualitative approach from the literature provided by Merriam (2003) and Creswell (2005). These scholars categorise qualitative research as studies which direct research processes, understanding of the activities and challenges encountered to the protagonists and antagonists within the contexts that processes and role-players interact. Denzin & Lincoln (2003:2) assert that qualitative research “crosscuts disciplines, fields and subject matters.” The provision of additional incentives from Iacovino (2004), supporting the qualitative approach as an appropriate one for the archival science discipline, provided the justification to position this study as qualitative. Iacovino (2004) concurs that “deductive reasoning, argumentative methods, analytical frameworks and discourse analysis” of qualitative research are appropriate for the archivist (Iacovino 2004:284). The researcher thus, regarded the qualitative method as appropriate for this study, in correlating records management practices in South Africa and the ramifications for governance, service delivery and community development projects. The research was constructed from “data of participants” (Petty et al 2012:378) from three groups. Two of the groups were officials involved in public sector records management activities. The third group represented individuals involved in community development projects. The data was collected through questionnaires, interviews, on-site observations and documentary analysis (Petty et al 2012). Detailed analysis has been incorporated in Chapter 4, under section 4.5.2; and Chapter 6, under section 6.3.

3.3 Research design

The case study research design was selected as appropriate for this study on governance-based evidence, records management, service delivery and community development. As elaborated on in Chapter 4, South Africa is characterised by three levels of government, being national, provincial and local. For the purposes of this study, the researcher directed the case study design to focus solely on the role of records management, governance-based evidence and local community developments in the country's 283 local governments. These are the key elements of this study and the storyboard of what Yin (2009) identified as characteristics of a qualitative research approach.

This research design provided logical inter-linkages between the collected data and the research questions (Yin 2009:24). Case study design is regarded as an empirical investigation, within which current circumstances may be analysed and contextualised. Furthermore, this design is apt for a study favouring a qualitative approach because, as in the case of this study, the researcher was intent on obtaining stimulating, yet, challenging ideas and insights, rather than specific statistics (Yin 2009). The case study method can be referred to as an approach to tackle "how and why questions," while focussing on a "contemporary phenomenon within a real life context" (Yin 2009:2). For the purpose of this study, the case study was applied as it provided inductive analysis and correlation of the data with the dominant literary themes. These dominating themes were: South Africa's archives and records management scenarios; international donor agencies and Millennium Development Goals; governance and records management; and postmodernism, metanarrative and deconstructionism. As the main threads through this study, these themes link the discussion in the preceding and subsequent chapters. These discussions concern archives and records management, local government, service delivery and poverty, the millennium development goals and governance.

The interpretative and narratives case study methods have been used. In order to direct the focus of the study on the links between records management, access to information, governance and sustainable development, the researcher selected what Yin (2009) identified as the interpretative case study. These were integrated to facilitate the attainment of the study's objectives. This study was directed to one

particular South African government sector, namely local government, to analyse the records management challenges suggested by the Auditor-General reports. Local government records managers and records officials were requested to complete a list of questions, formulated by the researcher to determine the accuracy of the findings revealed in the Auditor-General reports. This list has been included under 3.6.3.

In addition, the researcher used what Elliot (2005) referred to as the “narrative case study”. This type of case study has been characterised by Creswell (2007) as narratives shared by individuals providing information on experiences and viewpoints. Such research is used to include oral accounts to historical events (Creswell 2007). For the purposes of this study interviews and on-site visits to community developments, dependent on good governance and best practices in managing resources and complying with legislative obligations, were conducted. These are discussed in detail in Chapter 6.

3.4 Population

The population of this study can be divided into three distinct groups. The first population represent records officials, (registry personnel). The second population group are the records managers in South African local governments. According to the *South African Yearbook 2010/2011*, South Africa has 283 municipalities. In accordance with the South African National Archives and Records Service Act, no. 43 of 1996, each public body is required to have one official designated as the records manager (NARS 2007:55). This means that in total there should be 283 records managers that represent the South African local government sector. According to a study conducted by Research Focus and Content-at-Work (2010), the records officials, or registry staff, in the public sector comprise 32,4% of the workforce (Research Focus & Content-at-Work 2010:65-66). The records managers are required to facilitate the processes that ensure the arrangements, description and accessibility of the public records under their care (NARS 2007:56-58). Records officials working in the record offices, also referred to as registries, are required to observe the records management policies and procedures (advocated by the public archivists) when opening, distributing and caring for these sources.

A third population group represented individuals and institutions involved in socio-economic development projects in local South African communities. Interviews and on-site visits were conducted with individuals commandeering socio-economic developments. Although hundreds of similar individuals and organisations involved in similar sustainable developments, local community projects were identified by the researcher.

3.5 Sample and sampling strategies

The sampling technique employed by the researcher was for a non-probability sample that enabled the use of specifically selected samples. The samples were handpicked by the researcher. The purposive sampling was viewed as appropriate for this qualitative study. The purposive sampling has been elaborated on below.

3.5.1 Purposive sampling

According to Creswell (2007), qualitative research often embodies purposive sampling which can broaden the scope of the data and incorporate a broad spectrum of perspectives. Sampling involves the selection of organisations and individuals which enable the collection of information relevant for the purposes of the research, and to thoroughly explore a concept and its relationship to other concepts (Creswell 2007:106-108). In this study, the purposive sampling method enabled the acquiring of in-depth understanding of the correlation between records management, evidence-based governance and the reputation (integrity) of South Africa to national and international audiences by identifying three population groups which could provide additional information. The characteristics of this method are cases “from which one can learn a great deal about issues of central importance to the purpose of the research” (Merriam 2001:16). For all three of the population groups, the individuals and institutions selected were those with commonalities who could provide “provocative ideas and useful insights” (Powell 1997:59). Between 2009 and 2013, records officials and records managers from local governments were approached. The participants of these two groups were selected on a convenience basis to cover a broad spectrum of local government officials, with varying degrees of experience. The samples from each of the provinces of Gauteng, Limpopo, North West, Mpumalanga and the Eastern Cape, as well as the respective respondent groups, are illustrated in Fig 1.

Purposive sampling was applied in approaching officials who could provide overviews of experiences evident in all nine South African provinces. Those representing entities that managed to obtain clean audits reported better compliance and control over their records. The voices were not sought to test hypotheses. Rather, they served to add collaborative evidence (Powell 1997), to that articulated in the reports of the Office of the Auditor-General, on the state of affairs of the information sources. The voices of the records officials and records managers were collected as active directors and actors playing “a formative role in shaping the archives and the formation of collective memory” (McKemmish, Gilliland-Swetland & Ketelaar 2005:146).

With regards to the third group, individuals and institutions were identified as representing the different parties involved in socio-economic development projects in local South African communities. Interviews and on-site visits were conducted with individuals commandeering socio-economic developments. These included the Ekurhukeni Project Manager, and from the Kgosi Neighbourhood Foundation, Sister Natalie Kuhn and Ms Babalwe Mfebe. These are all discussed in Chapter 6, under section 6.3.

As mentioned, both records officials and records managers who provided responses to the posed questions were purposively selected. In total a population of 100 records managers and records officials were sequentially sampled from individuals that the researcher ascertained would provide an overall view of the challenges being encountered concerning public sector records management. In order to corroborate the views of the records managers, the researcher regarded it as crucial to also test their suppositions with the records staff performing the records management related tasks. Only 64 responses were received, of which 38 were from records officials. Meanwhile, only 26 completed questionnaires were received from local government records managers. (Refer to the Table in Fig 1).

From the above-mentioned 100 participants, two of the population groups included:

- i) 38 records officials (Responses were received 23 records officials from local governments in Gauteng Province, 5 from Mpumalanga Province, 3 from North West Province, 4 from Limpopo Province and 3 from the Eastern Cape

Province). These participants were included because they were in a position to provide insight into the circumstances relating to records management in their local government entity. The records officials, often referred to as registry staff, are assigned the tasks of opening, distributing, filing and dispatching records to the various components and the general public (NARS 1997, 2007).

- ii) 26 records managers (12 from local governments in Gauteng Province, 4 from Mpumalanga Province, 3 from Limpopo Province, 5 from North West Province and 2 from the Eastern Cape Province completed and returned the list of questions). Records managers are those officials specifically designated with the responsibilities of the management and care of public records still in the custody of the public entities (NARS 2007).
- iii) From the 100 records officials and records managers, only three were from local governments that had managed to attain cleans audits in the reports for the financial years 2010-2011 and 2011-2012 (AG 2012a, AG 2013a). All 100 records officials and records managers that were approached were individuals involved with records management tasks and duties. All of these are responsibilities that fall under the Corporate Services Departments in South African local government entities. The findings have been incorporated into the discussion under sections 4.5.2 in the following chapter.

The second group of participants was represented by the Project Manager, from the Ekurhuleni Corporate Office, involved with the Ekurhuleni Aerotropolis development. The data collection tool utilised was a structured interview (tool is included in Appendix 3) and documentary evidence. Meanwhile, the third group were two individuals involved with the Kgosi Neighbourhood Foundation's Wings of Hope Preschool, in the Jeppestown/Belgravia precinct, in south east Johannesburg. By means of documentary evidence a structured interview based on the already mentioned tool in Appendix 3. On-site, non-participatory observations evidence was acquired at the Open Day, September 2012, at the Kgosi Neighbourhood Foundation; at the site of a World Bank funded project in the iSimangaliso Wetland Park and Rotary International projects in Matokhanzi, in the Eastern Cape. These projects were identified as the researcher had read about these through the

newspaper and Facebook social media. All of these projects are examples which Sachs (2005) identified as the endeavours which should involve the participation, funding and support from international donor agencies, institutions, community development organisations and public-private partnerships in sustainable development and poverty eradication (Sachs 2005:210-213).

Development projects were regarded by the researcher as crucial to reducing poverty. In order to identify individuals and organisations involved in such undertakings, the third group of participants, scripted by the researcher, were one individual involved with the Ekurhuleni Aerotropolis development project and two key individuals from the Kgosi Neighbourhood Foundation tackling the poverty eradication in a South African local community. By applying Creswell's (2007) assertion of purposive sampling, a group of participants was selected based on criteria demonstrating awareness of best practice models, the importance of governance-based indicators for accountability and, when required, the ability to provide authentic evidence. These have been addressed in section 2.3.3.

The table below (fig 1.) indicates the questionnaire (Appendix 2) provided to records managers and records officials in local governments.

In the following chapter, the evidence and findings obtained from the first group of participants have been identified, and referred to by the researcher, as Group A. These participants represent records officials from South African local governments. As suggested by Creswell (2007), this group of participants represented individuals purposively chosen. The main purpose for selecting these participants was to obtain insight into the records management scenarios encountered in the local government sector.

Likewise, the second group (Group B) represented the record keepers, being the records managers and officials acting in that position. The evidence and findings have been discussed in the next chapter, under section 4.5.2.

The table below indicates the different provinces, in which the local governments can be found. It further reveals the numbers of records officials and records managers

that participated in providing information on the questions lists, included under Appendix 2.

PROVINCE	QUESTIONNAIRES DISTRIBUTED	GROUP A RETURNED QUESTIONNAIRES FROM RECORDS OFFICIALS	GROUP B RETURNED QUESTIONNAIRES FROM RECORDS MANAGERS	LOCAL GOVERNMENTS WITH CLEAN AUDITS
Gauteng	62	23	12	2
Mpumalanga	6	5	4	0
North West	8	3	5	0
Limpopo	10	4	3	1
Eastern Cape	6	3	2	0
Other provinces	8	-	-	-

Fig. 1: Data collection table

3.6 Data collection instrumentation

The purpose of this study was to identify how information sources held in the public sector are utilised to demonstrate governance. These in turn create conditions that are conducive, or not, to facilitating humanitarian endeavours, opportunities for sustainable development, poverty eradication, public-private partnerships and community empowerment. Evidence was acquired through question lists, interviews, onsite observations and documentary analysis to correlate findings with the significance of managing the creation, maintenance and preservation of information sources, the role of governance-based indicators, international donor funding organisations (World Bank, International Monetary Fund and United Nations), public-private partnerships and local community-based agencies in poverty eradication and sustainable development projects.

Data collection instrumentation used in qualitative research may be based on observation as well as other instruments like interviews and documentary analysis (Creswell 2007:109). Informal interviews were conducted at the Kgosi Neighbourhood Foundation, Jeppestown, and at the Ekurhuleni Corporate Office in Kempton Park. On-site visits to Jeppestown, the Eastern Cape and KwaZulu/Natal were conducted to sites of community development projects discussed in section 6.3. These projects involved Rotary International poverty eradication projects in the Eastern Cape, the World Bank and iSimangaliso Wetland Authority; and the Ekurhuleni Aerotropolis development. Meanwhile, articles, photographs, on-line

material and television programme of *MNETCarteblanche* on iSimangaliso (Otto 2013).

3.6.1 Documentary analysis

Petty et al (2012:381) refer to documentary analysis as written documents which may include “articles, notes, minutes of meetings . . . photographs, drawings, pictures, television programmes.” For this study, documentation, on-line media, publications, like official reports, and social media were sourced to provide information on the governance indicators. These were available via on-line sources from entities like the World Bank, United Nations and International Monetary Fund. They are discussed in detail in section 6.2.3.

The Auditor-General audit reports relating to local governments were analysed to reveal the status of records management in these entities. Audit reports, service delivery assessments and sustainable development documentation were used in conjunction to the question lists, interviews and on-site visits. The documentary analysis provided evidence on local government, records management practices and relationships with the public archivists. These were coupled to the lack of accessible, authentic information sources which impact on the country’s integrity to attract investment and sustainable socio-economic development projects.

3.6.2 Interviews

Interviews, which could enable individuals to express themselves openly regarding matters relative to the community development projects, were used to collect data from the third population group. The interview schedule is included in Appendix 3. Open-ended interviews provide individuals with opportunities to understand and empathise with their personal involvements. This method enabled communication, in alignment with qualitative research. Individual interviews, with specific individuals, were arranged in order for the researcher to obtain more knowledge on the projects which in this study involved and affected local South African communities. An interview was arranged with the founder of the Kgosi Neighbourhood Foundation on 6 September 2012. Interviews were held to understand how community development projects assist individuals. Thus in the case of the Foundation, it was important for the researcher to understand how and why the women, and their

children, were being assisted by this project. The women were able to express how they and their children were being assisted through the provided empowerment programmes.

An interview was also conducted with the Project Manager, responsible for the Ekurhuleni Aerotropolis Project on 12 March 2012. The purpose of the interview was to obtain more insight into the airport city project. This project is discussed in detail in section 6.3.6.

3.6.3 Observations

The arranged interview coincided with on-site observations when the researcher was invited to attend an Open Day function, on 6 September 2012, at the Kgosi Neighbourhood Foundation's Wings of Hope Preschool. This event provided the researcher with an opportunity to interact with the staff, women and children. This "casual social interaction" (Yin 2009:109) enabled the researcher to interact with the staff and beneficiaries of this community project. The women were able to share their accounts relating to the assistance provided by the Foundation in terms of meals, basic medical care, education, job creation and empowerment programmes. No specific questions and no formal interview schedules were created.

On-site observations were conducted to projects involving Rotary International in the Eastern Cape. Another on-site visit was conducted to iSimangaliso Wetland Authority. This latter site involves a project funded by the World Bank. Both the Rotary International Projects and World Bank are discussed in detail under section 6.3.

3.6.4 Questionnaire

Six key focus areas were identified, these being: the assessment of the effectiveness of the records management components; budgetary allocations; organisational perceptions; communication channels; and records management policies and procedures. The question lists, handed out personally and in some instances e-mailed, were completed by the individuals described, in section 3.4 as Groups A and B. The questions, included in the Appendix 2, on page 223, were the following:

- i) How adequately does records management enable the organisation to meet its legal, financial and administrative requirements?

- ii) Describe the adequacy of budget allocations, staffing and placement of the records management component.
- iii) Illustrate the perceptions of the organisation concerning records management matters and what is provided to enhance the programme.
- iv) Identify the challenges involved with managing the records by describing the strengths and weaknesses of the organisation in managing its records.
- v) Are officials adequately informed so that they know whom to consult when a problem arises related to records management matters?
- vi) Does the organisation possess adequate records management policies and procedural directives enlightening all users on matters relating to the creation, maintenance and disposition of records? (Cox 2005:39-40).

3.6.5 Overview of data collection instruments

Recorded in the table below are the study's data collection instruments, participants and settings.

TYPE OF INSTRUMENT	POPULATION OF THE STUDY
Documentary analysis	<p>Legislative items relating to the country's constitution and specific legislation pertaining to governance, financial management, access to information and local government.</p> <p>On-line reports of the Office of the Auditor-General</p> <p>Policy and procedural records from the South African National Archives and Records Service.</p> <p>Websites and on-line material from entities such as the World Bank, United Nations' bodies, International Monetary Fund, International Donor Agencies, International Records Management Trust and International Council of Archives, Rotary International and Kgosi Neighbourhood Foundation.</p> <p>Reports concerning best practice models and international standards such as King III and the ISO standards pertaining to electronic records, documentation and related matters. These are referred to in sections 5.4.1 and 5.4.2.</p>

	<p>Television programme from an MNET <i>Carte Blanche</i> episode on the World Bank's iSimangaliso project.</p> <p>A video from the former Technikon SA concerning the Provincial Management Capacity Building Project. This has been referred to under section 4.5.2, on page 129.</p>
Interviews – Open-ended	<p>Ekurhuleni Aerotropolis Project Manager</p> <p>Kgosi Neighbourhood Foundation</p>
On-site observations	<p>Open Day at the Kgosi Neighbourhood Foundation, discussed in section 6.3.2.</p> <p>Matokhanzi in the Eastern Cape, site of Rotary International projects, discussed in section 6.3.3.</p> <p>iSimangaliso Wetland Park, site of World Bank funded project, discussed in section 6.3.5.</p>
Questionnaire – Structured	<p>Records officials and records managers.</p>

Fig 2. Data collection instruments

3.7 Validity and reliability

Yin (2009:44) contends that the effectiveness of the case study design method depends on the “construct validity,” “internal validity,” “external validity” and “reliability.” These components also pertain to the data collected for this study.

- i) Construct validity: The study intended to draw attention to the challenges concerning governance-based evidence in South Africa and within contemporary phenomena of records management, governance, service delivery, eradicating poverty and community development. These phenomena served as the investigation's cornerstones (Yin 2009:39-40).
- ii) Internal validity: “Pattern matching” (Yin 2009:40) was utilised by adapting an existing framework. Cox (2005) formulated questions that could be posed in order to establish the status of archives and records management related concerns. Although the questions were directed to offices in the United States of America to ascertain the circumstances and challenges encountered by the

archivists and records managers in United States; the researcher viewed these as relevant to South African counterparts. The questions which were posed to South African records officials and records managers were based on situations identified by archival scholar, Cox (2005). In line with Cox's terms of enquiry, the researcher structured the research enquiries to enquire on the adequacy on the role of records management components in South African local governments to facilitate legal, financial and administrative requirements; budget allocations, staffing, placement and competency of records management personnel; perceptions concerning the records management component from other components within their organisations; identification of strengths, weaknesses and programmes to enhance records management capabilities; and the awareness of prescribed measures, policies and procedures relating to the management of public sector information sources (Cox 2005:39-40). Thus, by focussing on circumstances similarly encountered in other records offices, such as in United States, the researcher believed that this would subsequently ensure the validity of this study.

- iii) External validity: In order to ensure that the findings being revealed in the reports of the Office of the Auditor-General were not isolated incidences encountered by local government entities; a list of questions were formulated to determine the circumstances concerning recordkeeping and unclear audit reports. These lists were provided to local government records officials in different provinces. These are illustrated in Fig. 1. Then, in order to ascertain the importance of governance-based evidence and accountability, the researcher identified community development projects which complied with such criteria. Rotary International and the Kgosi Neighbourhood Foundation are two such examples. Both Rotary and the Foundation have to comply with best practices requirements being the Standards for Charity Accountability (BBB Wise Giving Alliance 2003) and the United Nations' governance requirements (UNDP 2012). These best practice and governance requirements are discussed in detail in Chapter 6.
- iv) Reliability: To demonstrate the study's reliability, narratives and explanations were obtained from records management staff as well as stakeholders

involved in community and sustainable development undertakings involving South African local communities.

3.8 Ethical considerations

The ethical considerations which have been observed by the researcher are the protection of the rights of individuals from the public entities and community organisations, as well as their privacy, confidentiality and acquiring informed consent (Mouton 1996, Cooper & Schindler 2008). The majority of the records management officials and records managers requested that their identities not be revealed and this has been honoured in this study. No informant was coerced to provide information; 64 informants provided information freely while the rest opted not to respond. Furthermore, this study has been designed to fully comply with Unisa's policies on research ethics, informed consent, privacy and confidentiality.

This also applies to the interviews conducted relating to the Ekurhuleni Aerotropolis Project and the Kgosi Neighbourhood Foundation.

The principles discussed below pertain to research in general:

- i) Planning the research: The researcher observed UNISA's ethical standards when reporting the research findings. During the research planning, the researcher was cognisant of UNISA's code of ethics concerning the respect accorded to the autonomy of participants, including cultural differences and participants' rights.
- ii) Responsibility: The researcher sought to maintain the dignity and welfare of all participants. Thus, no participants were harmed or placed in any unnecessary risks, mental or physical discomfort. In light of the prospective Protection of State Information Bill, the researcher has felt it is important to protect participants from legal action. Thus, where appropriate in the study, the identity of participants has not been revealed.
- iii) Inducement of participants: During the study, no participants were induced or coerced to participate or provide consent for their participation in the completion of questionnaires. Direct or indirect coercion, as well as undue inducement of participants has been avoided in order to comply with Unisa's ethical principles. It was agreed

with participants that no personal information would be disclosed, and the information collected would only be collected and processed with informed consent of the relevant participants (Refer to Appendix 1). Participants were also afforded the right to refuse to participate in the research and withdraw their consent.

- iv) **Honesty:** The research for this study has been conducted in an honest, fair and transparent manner. All participants were informed of the purpose of the study.

3.9 Summary

In this chapter, the research methodology, which directed the path of this study, has been identified. The research approach, research design, populations (groups of participants), the purposive sampling method and the data collection instruments have been discussed. The subsequent findings relating to the study's four objectives were:

- i) To analyse governance, transparency, accountability, creation, management and safekeeping of public sector information sources in South Africa's local government sector.
- ii) To uncover the scenarios as revealed in the Auditor-General reports and from records management officials.
- iii) To contextualise the approached that shape the South African public sector's records management practices; and
- iv) To identify community development projects involving different stakeholders.

This qualitative research was conducted to understand the correlations between records management, governance, access to information, service delivery and community developments in South Africa. Elements such as governance, transparency and community development initiatives are crucial to improving the socio-economic conditions of South Africa's impoverished communities. The subsequent findings have been discussed in the following chapters. These chapters relate to South African local governments, records management challenges and community development endeavours.

CHAPTER 4: LOCAL GOVERNMENT, POVERTY ALLEVIATION AND RECORDS MANAGEMENT

4.1 Introduction

This chapter explores the narrative in the development of the local government sector, as it attempts to meet the challenges of post-apartheid South Africa and the records management scenario evident in this sector. Local government is the level of government that touches the lives of every person living in South Africa. The chapter examines, and specifically focusses on, local government for the period 1999 to 2012, as reflected in publicly available reports compiled by the Office of the Auditor-General. The period 1999 to 2013 has been selected as it is the period in which the millennium development goals, intending to eradicate world poverty, were defined. In fact, 2015 is the intended date by which the world's poverty levels should have been halved and entirely then eradicated by 2025 (Bond 2006:339).

In spite of the aspirations by international and community entities of halving the country's poverty levels by 2015 and creating an economically viable, sustainable country, the South African Auditor-General reports of the selected period vividly illustrate the pitiful state of many governmental bodies. As this chapter reveals, the Auditor-General reports expose the challenging records management scenarios encountered in many national, provincial, local government departments and parastatals. Noteworthy is the fact that the National Archives' prototype file plan and policies promote records management as activities that facilitate accessibility and disposability of public sector records (NARS 2009:1). However, as contended by this study, the link between public bodies having access to accurate, reliable information sources, the provision of effective service delivery and open, transparent and accountable governance appears to be absent in post-apartheid South Africa. The national and provincial archivists appear oblivious to their functionalities in encouraging and enabling public bodies to manage and protect their information sources in order to achieve their mission and objectives.

As discussed in Chapter 2, the public archivists' positivist approaches that incorporate the approved file plans for local government structures are based on Schellenberg practices of differentiating between records of research value and informational value. However, in formulating its procedure manuals the national and provincial archives ignore the evidential value, and facilitate the formulation of indexing systems which do not truly reflect the organisational structures of current local governments (Harris 2007:89). The complexities of the prescribed formats and the conundrum of descriptions for local functions and activities, as deemed appropriate to obtain the National Archivist's approval for roll-out, leave little room for openness and creativity for the storytelling evoked in the voices of the records creators and users (Harris 2007:63, 141-142).

Furthermore, many of the general disposal authorities available for governmental bodies to utilise are for records that the National Archives largely regard as having no archival value, such as the financial-related records reflected on Fig 4 (NARS website, General Disposal Authorities). Their lack of archival value is their demise. Furthermore, their insignificance consequently means these government records and the challenges associated therewith are sorely neglected. However, the unfortunate victims, dependent on those records to ensure the public body can provide the promises of the constitution, are the people needing access to the information and subsequent services. Lastly, the chapter will illustrate a number of donor-funded projects that require observance of good governance in an effort to 'make poverty history' (Bond 2006:339).

4.2 Contextualising South African local government

Prior to South Africa's first democratic elections in April 1994, during the Convention for a Democratic South Africa (CODESA) negotiations and the promulgation of the Local Government Affairs Transition Act, no. 209 of 1993, ushered in the establishment of the Local Government Negotiating Forum. The purpose of this forum was to contribute to the democratisation of local government and create a democratic, non-racial, non-sexist and financially viable local government system for South Africa (Spitz & Chaskalson

2000:185-186). Furthermore, the Local Government Municipal Structures Act, no. 117 of 1998 came into operation. Between 1998 and 2004, several local government-related legislative items were promulgated, including the Municipal Finance Management Act, no. 56 of 2003 (Van Wyk 2012:125).

During the negotiating transition phase from apartheid to democracy, several legislative items which had shaped South Africa's socio-political and socio-economic landscape were repealed. These items included:

- a) Prevention of Illegal Squatting Act, no. 52 of 1951;
- b) Extension of Powers of Executive Committees and Administrators Act, no. 41 of 1964;
- c) Housing Act, no. 4 of 1966;
- d) Rent Control Act, no. 80 of 1976;
- e) Civil Protection Act, no. 67 of 1977;
- f) Alteration of Provincial Boundaries Act, no. 36 of 1978;
- g) Slums Act, no 76 of 1979;
- h) Provincial Powers Extension Act, no. 32 of 1980;
- i) Black Local Authorities Act, no. 102 of 1982;
- j) Provincial Affairs Act, no. 88 of 1983;
- k) Promotion of Local Government Affairs, no. 91 of 1983;
- l) National Policy of General Housing Matters Act, no. 102 of 1984;
- m) Regional Services Councils Act, no. 109 of 1986;
- n) Abolition of Development Bodies Act, no. 75 of 1986; (Davenport 1987:548, 562).
- o) Conversion of Certain Rights to Leasehold Act, no. 81 of 1990;
- p) Discriminatory Legislation regarding Public Amenities Repeal Act, No. 100 of 1990;
- q) Abolition of Racially Based Land Measures Act, no. 108 of 1991;
- r) Less Formal Township Establishment Act, no. 113 of 1991;
- s) Physical Planning Act, no. 125 of 1991; and
- t) Local Authority Affairs Amendment Act, no. 127 of 1991 (Spitz & Chaskalson 2000:185-186).

The effects of the legislative instruments impacted significantly on the country's socio-political and socio-economic framework. As noted by Mogale (2005), post-apartheid measures have been moulded to address the consequences that resulted in poverty, no service delivery, poor access to basic services, housing, lack of dependable infrastructure and inadequate communication networks. Further lacking was the creation of viable conditions to encourage sustainable economic development for communities and particularly women in more remote rural areas (Mogale 2005:136).

Under the current democratic dispensation, local governments were assigned a transitional role of being the generators of income necessary to develop and maintain infrastructure needed to provide basic services to their respective local communities. Local governments are encouraged to develop infrastructure and capital projects which would contribute to improving prospects, particularly, of previously disadvantaged communities dwelling within the designated boundaries (Mogale 2005:135-136). Several other complimentary promulgated legislative items like the Development Facilitation Act, no. 67 of 1995 and, more importantly, the South African Constitution, no. 108 of 1996. This latter item clearly defines the state's role concerning the provision of basic services to local communities. The former Act created the policy framework for land development. Meanwhile, the South African Constitution emphasised the role of local government concerning socio-economic development of local communities (Mogale 2005:136).

4.2.1 Role of local government concerning economic growth and development

Section 154 of the Constitution determines the leadership roles provided by local government structures. It furthermore encourages the development and strengthening of local communities, organisations, businesses and other relevant role-players eager to contribute toward development. Thus, the challenge of eradicating poverty is viewed as a collaborative partnership between government and civil society (Mogale 2005:136-137). As discussed by Sachs (2005:245-255) and Nel & Binns (2003:166-168), the development of an area by providing better infrastructure like roads, access to basic

services like water and electricity, basic health care and medicines can create environments which provide incentives for local communities to undertake self-employment opportunities. One such example is in the Vhembe district authority (UNDP in South Africa 2012). Through the provision of R1.9billion funding from the UNDP, this remote, rural local government is required to provide local communities with economic and employment opportunities in agriculture, manufacturing and tourism (UNDP in South Africa 2012). Another example is the World Bank-funded project involving the iSimangaliso Wetland Authority (WB 2012). This venture focuses on the conservation development of the St Lucia Wetland and empowerment of the neighbouring communities (WB 2012).¹

Since 1994, local governments have been required to ensure the participation of all communities. This participation is fundamental to ensuring and safeguarding transparent and accountable decision-making, planning initiatives and prospects. Local communities are encouraged to participate in the local economy's growth, boost employment opportunities and utilise local resources efficiently. All these objectives are intended to improve the quality of life for all South Africans. It furthermore seeks to remedy inequalities and backlogs in the provision of basic services, a scourge of apartheid South Africa (Parnell, Pieterse, Swilling & Woolaridge 2002:163-165).

Section 154 of the South African Constitution, meanwhile, assigned local government structures with developmental roles in order to encourage economic growth and development. These were to:

- a) Provide community leadership which involved bringing together all parties within the local community to embrace a common and shared vision.
- b) Create responsible problem-solving mechanisms and the establishment of partnerships with business and community organisations.
- c) Acquire and share knowledge to promote learner-friendly environments, by ensuring that information and knowledge is accessible to all communities; and

¹ These initiatives are discussed in Chapter 5.

- d) Promote and enhance local democracy by raising awareness of human rights issues and promoting the principles entrenched in the constitution. (RSA 1996a:32-34).

Sustainable economic development and growth also require citizens to be well-informed and enlightened on the proficient and responsible utilisation of resources. Marginalised communities and groups should be empowered, encouraged to participate in capacity building and effectively mobilise resources for development. The promotion of social and economic wellbeing requires local government to formulate plans, policies, programmes and actions culminating in economic and social development initiatives which strive to achieve a better quality of life for all South Africans, including historically disadvantaged groups (Mogale 2005:138).

Chapter 3 of the Constitution requires cooperation between government and relevant stakeholders, such as local businesses and communities as fundamentals embracing the concepts of open, transparent and accountable government (Van Wyk 2012:589). Local government can collaborate closely with local business to ensure job creation and investment. If local governments are able to establish and manage viable economic and social environments, conducive to attracting industries and investment, it then spills over into employment opportunities being created for the community (Szeftel 2005). Local governments can facilitate this process by providing support services like training to small businesses and community development organisations. Meanwhile, the social development side can be promoted by creating recreational and community facilities and delivering effective social welfare services to all residents, including marginalised and previously disadvantaged groups (Mogale 2005:5-6).

Furthermore, Chapter 3 of the South African Constitution promulgates local government structures to establish and maintain open communication channels with all national, provincial and other local government structures as well as develop partnerships with civic, private and public bodies. Local citizens and groups within the municipal boundaries should be consulted and involved in decisions and processes which directly affect them (Van Wyk 2012:590). This also means that local government councillors

are required to promote citizen involvement by undertaking measures to safeguard maximum participation by all citizens. Local government is required to ensure all social services, such as access to public transport and personal safety, and that all similar basic requirements are all adequately addressed (Spitz & Chaskalson 2000:170-171). During the democratic transition phase (1998 to 2004), greater emphasis was placed on the importance of developmental local government. The aim of the reconstruction and development programme was to breakdown the “apartheid geography through land reform, more compact cities, proper public transport and development of industries and services” (Van Wyk 2012:591). It, furthermore, was required to address imbalances resulting from the legislative instruments listed under section 4.2, and to create more humane, environmentally sustainable living conditions (Mogale 2005, Van Wyk 2012).

During this transition, the Municipal Financial Management Act, no. 56 of 2003 was promulgated. It legislates the financial requirements of all South African local governments (RSA 2003). The precarious financial position of many South African local governments taints South Africa and her image to her citizens and global community, including potential investors. Attempts by local governments have been made to conceal this tragic narrative by preventing related evidence from coming into the public domain, with reports from the Auditor-General of “supporting documentation . . . unavailable,” “adequate documentation not available to enable an assessment,” and “deficiencies in record keeping” (AG 2013a:97,98). However, through violent local government delivery protests the information revealed in the audit reports became a pawn in the country’s 2011 local government electioneering and a concern for the country’s security and stability. The consequences of misappropriated funds and reports of wasteful expenditure continue to create conditions of mistrust and suspicion amongst the public that spill over to violent protests. “Quiet corruption” coined by the World Bank (2010a:1), may be attributed to the financial crises of many of South Africa’s municipalities. This is attributed to the under collection of payments for services; poor financial management; lack of effective measures to enforce transparency and accountability; and the irregularity of managing related information (WB 2010a:1, 5, 18).

4.2.2 Local governments' constitutional responsibilities

In accordance with the country's Constitution, every person living within the jurisdiction of a local government must have access to basic affordable services, such as clean water and waste removal. These services are regarded as being essential services enabling people to support their families, find employment, develop their skills and establish businesses (RSA 2011:Chapter 7, Section 152(1)). Local governments are required to subsidise the operating costs involved in providing basic services to poor households and ensure services are provided on a continuous basis (RSA 2011). In rural areas, local governments are required to address challenges which include providing access to land and services for the rural poor, large communities without any economic base and settlements far removed from economic opportunity and only reachable with high transportation costs and with harsh social and personal expenses (RSA 2011). Local governments are required to formulate strategies and manage programmes conducive to creating sustainable economic living environments for these communities and settlements (RSA 2011:Chapter 7, Section 153).

According to Mogale (2005), local governments are required, in terms of the Development Facilitation Act, no. 67 of 1995, to develop and sustain the economic potential of their area, thereby attaining more employment opportunities and wealth. Goods and services required by local governments should be responsibly sourced and incentives provided for development, sustainability and support for local businesses, including the informal sector (Mogale 2005:136). Ideally, human labour, rather than machines, should be used in the construction of infrastructure like roads in rural areas, with the labour coming from the surrounding communities. Local governments are also required to provide accurate, yet reliable support and information to small businesses, information on programmes which can assist local business (Mogale 2005:136). Furthermore, there should be encouragement for research and technology to enable local businesses to be competitive. Importantly, local governments should provide sound leadership and unite communities so their areas are attractive to foreign investment and future economic growth (Mogale 2005:137-139).

Chapter 7 of the South African Constitution, no. 108 of 1996, with subsequent amendments, relates specifically to local government functions. It stipulates that the local tier of government is to consist of municipalities established throughout South Africa. The executive and legislative authorities of the municipality are vested with the municipal councils. In accordance with the Constitution, municipalities may govern the local government affairs of their communities, while observing relevant national and provincial legislation. Neither national nor provincial governments may impede a municipality's ability or right to exercise its powers or perform its functions. The Constitution stipulates that, within predetermined financial and administrative constraints, local governments strive to achieve these deliverables:

- i) To provide democratic and accountable government for local communities;
- ii) To ensure the provision of sustainable basic services to communities;
- iii) To promote socio-economic development;
- iv) To provide safe and healthy environments; and
- v) To encourage the involvement of communities and community organisations in local government matters (RSA 1996:Chapter 7, Sections 152).

Each provincial government establishes municipalities in its province in a manner consistent with national legislation and must provide for the monitoring and support of local government, enabling the municipalities to perform their functions and manage their own affairs. The national and provincial governments have legislative and executive authority to oversee that municipalities function effectively (RSA 1996a:Chapter 7, Section 154). Municipalities have executive authority and the right to administer local government matters listed in Part B of Schedules 4 and 5 of the Constitution. They may also be assigned responsibility over other matters assigned to them in accordance with related national or provincial legislation. The Constitution assigns local governments with the responsibilities associated with agriculture; disaster management; education at all levels except tertiary education; environment, health services; housing; industrial promotion; pollution control; population development; public

works in respect of the needs of provincial government departments to carry out their responsibilities; regional planning and development; trade; urban and rural development; and welfare services (RSA 1996a:Chapter 7, Section 156).

Municipalities may formulate and administer by-laws for the effective administration of the matters they are required to administer. Meanwhile, the national and provincial governments may assign administration of matters, listed in Part A of Schedules 4 and 5, to local governments. Municipalities have the right to exercise powers necessary for the effective performance and execution of its local government functions. These matters include: air pollution; child care facilities; electricity and gas reticulation; municipal planning; municipal health services; municipal public works; water and sanitation services limited to portable water supply systems; domestic waste water and sewage disposal systems; cleansing; control of public nuisances; refuse removal, refuse dumps; and solid waste disposal (RSA 1996a:Chapter 7, Section 156).

4.2.3 Service delivery challenges and objectives

Restoration and improvement of service delivery is regarded as a high priority of local governments in post-apartheid South Africa. According to Pillay, Tomlinson & du Toit (2006), if more members of the previously lower-income communities have better access to employment opportunities, this would lead to better household incomes. This, in turn, would enable more households to be in a position to participate and gradually reduce the number of households receiving free services (Pillay et al 2006:12.) According to Pillay (2006), as communities' socioeconomic circumstances improve they are encouraged to pay for services and, thereby, provide more revenue to accelerate service delivery to address past imbalances (Pillay 2006:12). As noted by Bauer & Taylor (2005), in terms of the Constitution, local governments are meant to be pursuing on-going initiatives to involve the community in planning and implementing projects. Through the local governments' planning and engineering departments, such as Ekurhuleni's Enterprise Project Management Office's involvement with the Aerotropolis development, (discussed in chapter 5), local governments should be striving for

continuous improvement and maintenance of infrastructure and provision of adequate services for the local community (Bauer & Taylor 2005:265).

Since 1994, local governments have been required to consult and involve the community and other interested stakeholders in planning short-, medium- and long-terms projects. Local governments are required to involve local citizens in municipal affairs. Such endeavours would thereby promote local democracies by ensuring comprehensive public participation. Citizens should be joint partners in planning and policymaking in the various development programmes undertaken by local governments (Bauer & Taylor 2005:265). The Constitution identified the need for strong leadership, clear vision, full community participation, commitment from the private sector and other role players to provide basic needs and establish secure foundations for growth and prosperity (Spitz & Chaskalson 2000:186). Meanwhile, according to Bloom & Canning (2003:48-51), individuals from local communities can only improve their socio-economic circumstances if they have access to basic services, like water, electricity, infrastructure and health services. These elements are fundamental to attaining the Millennium Development Goals. Furthermore, in South Africa the majority of these basic services should be provided by local governments.

4.3 International perspectives and attainment of millennium development goals

Local government is one sector impacting on the lives of ordinary citizens in any country, from the affluent to grassroots levels (Bigg & Saltethwaite 2005:7-9). Access to information in records of the previous and current dispensations, as noted by Cloete (2007), are required for planning and development. Reliable information sources, regardless of form or medium, are required by developers to ascertain the feasibility of potential development, whilst simultaneously ensuring environmental and infrastructure sustainability. These are necessary to establish businesses and industries, thereby providing employment opportunities in manufacturing, infrastructural development, mining, agriculture and tourism, as encouraged by Sachs (2005:232-235) and Kasarda & Lindsey (2011). Accurate information generated and captured for billing purposes, as

well as information required for auditing and legal processes reflect good governance. As noted by Naidoo (2013), grassroots communities require access to information demonstrating governance. Such information must relate to accountability, acknowledgement of human rights must address inequalities, comprehensive inclusive community participation and cognisance of environmental conservation. The availability of reliable, trustworthy information from governmental entities and their public-private partners should be geared towards the attainment of the development goals and eradication of poverty (Naidoo 2013).

Conversely, the lack of credible information is therefore an area where poor record keeping will have an influential role in the efficiency, or lack thereof, of the citizens' access to information needed to provide basic services pledged by the Constitution. Records management is conducive to ensuring ordinary persons have access to pertinent information. The timeous availability of accurate information should enable better service delivery; generate trust and integrity; and facilitate the processes necessary to provide a better quality of life for most living in South Africa (Cloete 2007:192). The local government sector has been selected for this research as it is the level of government required to provide basic essential and community services to all South Africans.



Fig 3: Family on visit to local clinic in Vosburg, Northern Cape (Mike Kelly collection).

Access to basic essential services enables a developing country to strive towards more sustainable development. Basic services further enable communities to reach a foothold on the sustainable development ladder and liberate themselves from poverty (Hulme 2003:21). For a community to effectively break free from the poverty shackles, ordinary people need easy access to water, sanitation, electricity, roads, health care, nutrition, schooling and skills enabling them to become economically active. The focus on sustainable development initiatives and the abilities of communities to access basic facilities enables individuals and communities to improve the living conditions of themselves and their families (Annan 2000:3-4).

According to Carmody (2005), improved living conditions and better access to basic needs and services discourages individuals from poorer communities becoming embroiled in criminal activities. It furthermore reduces the risks of such individuals from joining paramilitary groups intent on conducting terror attacks, such as those which characterised the end of the 20th and first decade of the 21st centuries in Africa, America, Asia and Europe (Carmody 2005:97-98). Thus, if South Africa cherishes the image of a legitimate, peace-loving nation able to stifle wanton criminal activity, abate violent protests and war-mongering intentions; then it is paramount that South Africa effectively addresses the poverty levels. As noted by Hulme & Shepherd (2003), individuals from communities involved and benefiting from sustainable economic development opportunities have better prospects of becoming doctors, teachers and professionals. Such individuals will rather return and share their benefits by helping to improve their community and country than becoming involved in criminal or terrorist networks (Hulme & Shepherd 2003:410).

International donor organisations such as the World Bank, International Monetary Fund, United Nations bodies, including UNDP, UNESCO, UNHCHR, development agencies from countries like Canada, United Kingdom, Netherlands, France, Norway, Denmark, Sweden, Japan and United States are eager to provide funding and necessary resources to enable poorer countries, including South Africa, to meet the millennium development goals (Reif 2004:23-26). Ventures such as the iSimangaliso Wetland Park

Authority project to ensure availability of fresh water to local communities and conservation-compatible economic opportunities, Durban Landfill Gas-to-Electricity Project, Maloti-Drakensberg Transfrontier Conservation and Development Project (WB website 2012) and Midrand Ecocity (Rogerson 2003:2001) are examples of interventions by donor funders to aid in the attainment of MDGs for South Africa.

Projects involving donor funding require *evidence* of compliance with and observance of good governance. Kofi Annan (1998), former Secretary-General of the United Nations from 1997 to 2006, noted that evidence demonstrating a government's respect for the rule of law, proficient public sector entities, the transparent and accountable public sector management, respect for human rights, comprehensive public participation and transparent decision-making processes are good governance benchmarks (Annan 1998:123-125). The evidence is revealed, through the information sources, on who made and executed decisions on the utilisation and management of allocated resources. As proof of compliance, the relevant public and private entities need to create, manage and care for the records which provide audit trails of good governance, transparency and accountability (Barata, Cain & Thurston 1999:5-7).

Poverty alleviation initiatives require funding and resources to provide the capital necessary for their undertaking. Sachs (2005) described six kinds of capital required for extreme poverty to be alleviated and viable sustainable economic development attained. These being: human, business, infrastructure, natural, public institutions and knowledge capital. He identifies human capital as access to health, nutrition and skills essential to become economically active. Business capital includes access to machinery, facilities and motorised transport which then enables communities to effectively exploit the agricultural, mining and services sectors. Infrastructure capital, which includes access to roads, power, water, sanitation, telecommunications, airports and harbours are considered as essential inputs into business productivity (Sachs 2005:245). In 2005, the UN Secretary-General further highlighted the role of boosting ecotourism as a valuable method towards the attainment of the Millennium Development Goals (Kasarda et al 2011:264). Additionally, traditional agricultural

practices, small business ventures, food production, manufacturing of handicrafts and textiles may become economic boosters. Such pursuits then facilitate rural development, promote sustainable development of environmentally sensitive areas and provide remote areas with better access to infrastructure (Kasarda et al 2011:264-265). For poverty eradication and sustainable economic development, communities need to have access to arable lands, fertile soil, biodiversity and functioning ecosystems. Public institutional capital is regarded as commercial law, equitable judicial systems, government services and policies protecting workers from exploitation (Sachs 2005:245). From a humanitarian point of view, it is the contention of this study that poor record keeping and ineffective records management practices and policies, prevent the country from disentangling itself from the poverty shackles. These then contribute to the circumstances spurring disinterested communities, resulting in violent, revolutionary service delivery protests (Owusu 2003:1655-1656). Visual evidence of reactions to poor service delivery, such as Balfour's Siyathemba community, illustrated in the following news clip, frequently flare up in South African municipalities (Balfour protesters... 2010).

Balfour protesters calm down

2010-02-10 14:38

Balfour - Balfour's Siyathemba informal settlement was "quiet" at midday on Wednesday following three days of protests which ended with a library being burnt and at least 32 arrests.

"Now, the things are very cool. I can see smoke here and there, but there is nothing so serious that is reported," said Sergeant Sam Tshabalala.

There were piles of burning tyres and groups of people walking around, but no problems, he said.

Fig 4: Balfour protesters calm down. News24 clip. (Balfour protesters... 2010).

Related media reports have revealed violent protests from enraged residents in Ratanda, near Heidelberg, concerning "electricity prices, bungled bills," "extortionately high bills, viewed as a municipality mistakes" and lack of commitment from authorities to

provide solutions to resolving the matters (Nicholson 2012). Patel (2012), in the *Daily Maverick*, apportioned local government to also accept responsibility for the Marikana tragedy in 2012. His report revealed that the “residents of the informal settlements in Wonderkop . . . have no access to basic services” (Patel 2012). Another example of communities’ bitterness towards local government’s service delivery and budgetary processes was witnessed in the Free State local municipality of Metsimaholo, near Sasolburg. This community accused the local government of “paying lip service to public and community participation” when tackling matters related to tariff increases, service delivery and the budgetary processes (Berkowitz 2013).

4.4 Donor funding

According to writings from United Nations Development Programme (UNDP 1997), and the World Bank (WB 2010a) on corruption undermining development, both attributed poverty to improper management practices, power hungry and corrupt officials and leaders, with women and children usually being the main victims (UNDP 1997:11, 45; WB 2010a:35). According to the World Bank (2011b), corruption devours the foundation of people’s faith in government. It is estimated by the World Bank that corruption is a \$40 billion dollar a year business, which results in monies intended for education, health services and infrastructure to aid marginalised communities being siphoned off as ill-gotten gains. The 2011 uprisings in North Africa are powerful reminders of governments’ integrity determining their legitimacy (WB 2011b). According to Berkowitz (2012), the South African Institute of Race Relations expressed concern at the high levels of violence accompanying the country’s service delivery protests in providing housing and basic services (Berkowitz 2012). As noted by Ndedi & Ijeoma (2008), many African governments are critically viewed by the international community. They appear to inadequately provide safe and secure environments which would enable their countries to attain adequate levels of sustainable development. Citizens appear to have little encouragement and lack the adequate space to feel secure to develop and sustain the agrarian, mining and services sectors. Meanwhile, the opportunities which these sectors could afford are apportioned to selected political interest groups (Ndedi & Ijeoma 2008:1-3).

The concept of “good governance” was determined by the World Bank and International Monetary Fund in September 1999, as a new approach to focus on poverty reduction strategies (Ndedi & Ijeoma 2008:61). According to the World Bank and International Monetary Fund, effective sustainable levels of development depend on four factors.

- i) The first factor is good governance. This is determined by the effectiveness, transparency and accountability of the policies and policymakers and the level of compliance with internationally accepted good governance standards and practices (IMF 1999). Corruption is targeted by raising public awareness and strengthening the execution of anti-corruption legislation in order to prevent the negative economic performances of lower national and international investments and economic growth (Campos & Pradhan 2007:32-26). Fraudulent activities divert essential public resources from public spending on essential and community services intended to benefit all communities. Good governance is achievable through the effective management of public resources and administrative procedures throughout the public sector (Deng & Lyons 1998:67-68). These include treasury controls, responsible management of public enterprises, effective civil services as well as mechanisms to monitor financial and accountable use of resources in the execution of the pursuance of the constitutional objectives (Assefa 2001:10-14).
- ii) The second factor is the existence of an equitable judicial system. This factor is also dependent on the availability of recorded evidence documenting fundamental rights, obligations and the rule of law. Public sector decisions and activities should be recorded to serve as yardsticks of government’s abilities in achieving its goals of creating and sustaining a better environment for all. (Reif 2004:57).
- iii) The third factor is trustworthy financial systems. These systems are reliant on policy files, budget papers, accounting, procurement, tax, customs, electoral, property and fixed asset records. Meaningful and thorough financial and forensic audits must be conducted. Public sector entities and their actions should be open for scrutiny (Reif 2004:71).

- iv) Lastly, a country needs to have enforceable civil rights which require the rights of all people living within its borders to be treated equally and fairly. Citizens should be able to contribute effectively to the governance process and claim their rights. Pension, social security, land registrations, birth and death records protect citizens from entitlements. Meanwhile, hospital, school and environmentally related information are required to provide citizens with basic services (UNDP 1997:45-46).

All of these factors are dependent on effective records management structures, policies and procedures. The lack of effective records management processes are detrimental to development projects as no resources exist to verify that the development funds were used for the intended purposes (Abed & Gupta 2002:4-11). In these instances, potential investors and donors may consider other countries and entities where coherent and effective records management practices are the norm (Ndedi & Ijeoma 2008:35).

As mentioned earlier, in September 2001, the United Nations General Assembly adopted the eight Millennium Development Goals. The attainment of the MDGs depends on poverty reduction strategies determined by national government in consultation with local government, civil societies and communities. Public sector government requires attention to improving its transparency and accountability and to reducing corruption and mismanagement. Access to donor funding and investments provides opportunities for job creation, transfer of skills and technology (Ndedi & Ijeoma 2008:62-63). Increasingly, donor organisations view effective records management as essential tools which, if utilised effectively, can better equip developing countries to attain appropriate levels of accountability, transparency and good governance by implementing and monitoring their records management practices (Woods 2000:823-833). By providing adequate paper or audit trails, developing countries' public bodies would be utilising methods and practices that provide donor agencies with evidence as to how their funds are channelled into the social upliftment projects (Blunder 2005:292). Audit trails, furthermore, facilitate tracking records when financial resources are being

used fraudulently, finding their way to corrupt persons' coffers or are siphoned off to dubious syndicate networks and/or war-mongering purposes (Osuwu 2003:11).

4.5 Effects of poor records management

According to the *South African Yearbook 2010/2011*, South Africa has 283 municipalities required to focus on developing the local economy and providing relevant infrastructure, essential and community services as determined by the Constitution. In 2009, Cabinet approved a plan to revamp local government in an attempt to ensure local governments were empowered with the correct management, administrative and technical skills. The plan included:

- i) improving the quality and quantity of basic services such as water, sanitation, electricity, waste management, roads and disaster management for all people;
- ii) boosting municipalities' abilities to generate employment opportunities and create sustainable livelihoods through local economic development strategies;
- iii) enabling municipalities to acquire and manage reliable and dependable integrated development plans;
- iv) enhancing and empowering the municipalities administrative, institutional and financial competencies;
- v) eradication of corruption, nepotism and maladministration in the local government system;
- vi) building coherent and proficiently organised governance systems, with an unbiased intergovernmental fiscal system;
- vii) creating a stable and reliable system of municipalities; and
- viii) restoring the integrity of the municipalities amongst the general public (South African Yearbook 2010/11:259-260).

However alarmingly, no mention was made of proper and effective coherent management of information resources. This is in spite of all the components of the plan require well-managed information resources to attain the desired outcome.

In May 2011 as reported on *News24*, Treasury delivered a report to Cabinet which highlighted the poor state of affairs of South African local governments in which the stipulations of the Municipal Finance Management Act had been ignored. Further evidence pertaining to the irregularities on the awarding of tenders where 210 out of 237 municipalities had infringed related laws and regulations was revealed. Additional evidence existed on unauthorised, unusual, fruitless and wasted expenditure and financial losses. The poor quality of the provided information in these financial reports was noted. Financial statements for the financial year 2009/10 from 46 municipalities were outstanding. Of the submitted financial statements, 70% of these municipalities' reports on the state of expenditure for service delivery projects were "not usable". Meanwhile, 48% of the reports to the treasury were "not reliable." Provincial and national governments were required to intervene in 37% of councils, where compliance with financial management requirements had been breached. Meanwhile, a further 35% of councils were being subjected to external interventions (Repackage damning report... 2011).

Meanwhile, a month earlier, the *Mail and Guardian* disclosed that prior to the 2011 municipal elections, the Institute for Democratic Alternatives in South Africa (IDASA) conducted a survey on 21 municipalities, illustrating general dissatisfaction from the South African public concerning municipal services and how these structures were utilising available funds. The general public identified poor performance in the quality of service delivery and governance, which attributed to the turbulent service delivery protests experienced throughout several municipalities. The rationale cited for ineffective service delivery was corruption, the inability of municipalities to pay attention to the public, mismanagement within local government and inabilities and lack of effective responsiveness of councils to tackle concerns like water, roads and unemployment. In all, 85% of respondents to the survey identified municipalities' inability to accurately provide and locate relevant information, with the worst municipalities being identified in KwaZulu-Natal (Losing faith... 2011).

In January 2012, the Human Science Research Council found the country's local government to be the "most corrupt sphere". The perceptions are that this sector is plagued by financial crises, corruption, maladministration and lack of accountability. The report further contended that 66% of the municipalities were under "severe financial stress, with one-third of them financially unviable" (Local government . . . 2012). Meanwhile, a year later in February 2013, the *Daily Maverick* reported that throughout the country, from the metropolitan areas to the remote rural local authorities, poor service delivery, billing errors and little regard for efficient, transparent, consultative processes reverberate (Berkowitz 2013).

4.5.1 Auditor-General reports

Evidence of ineffective or non-existent records management policies, procedures and practices are traceable in the Auditor-General reports. Included are samples of these reports relating to local governments from 1998. This coincides with the financial year after the current National Archives & Records Services Act was promulgated and came into operation in 1996, until the financial year 2011/2012, when the performance of local government came under extreme scrutiny:

Report on Department of Development Planning & Local Government for the financial year 1997/1998:

"2.4 LACK OF OR INADEQUATE SUPPORTING DOCUMENTATION

Various transactions were found which lacked supporting documentation or where existing documentation was inadequate.

2.5 EXCEEDING OF BUDGET — UNAUTHORISED EXPENDITURE

The total provision on the vote had been exceeded by R24 526 061,09.

2.6 FRUITLESS EXPENDITURE

Amounts were paid for accommodation that was not utilised.

2.7 TOWNSHIP BOARD DEBTORS

Inadequate records existed which hampered the auditing of this component.

2.8 RECONCILIATION BETWEEN FMS AND PERSAL

No reconciliation was done between the information on the Financial Management System (FMS) and that on the Personnel and Salary Administration System (PERSAL)."

"3.1.8 Lack of documentation

Employees' personnel files lacked documentation such as, for instance, appointment letters, applications, copies of IDs, acceptance of appointment, salary package structures, signed agreement for deductions, basic backdated salary approvals and information on supplementary payments. Some personnel files could not be submitted for audit purposes." (AG 1999:1, 10).

Report on local governments in the Free State for 1997-98:

"10(1) Except for three transitional rural councils all other audit reports of local governments in the Free State were qualified in one way or another. Owing to the material effect of the restrictions on the scope of audits and uncertainties arising from the inability to attest to figures in annual financial statements, deficient accounting systems as well as incomplete or lacking records and/or supporting vouchers or the absence of annual financial statements, audit opinions were withheld in 17 instances, while adverse opinions were expressed in six instances. In 65 instances qualified opinions were issued."

"11. According to information received senior staff members ... were suspended from service following allegations of malpractice and/or maladministration at the local governments concerned. It is, however, disappointing to report that the progress made with the finalisation of the matters regarding the suspension is extremely slow. This resulted in an increased loss to the relevant local governments due to the fact that they had to pay salaries to suspended officials as well as to temporary staff hired to carry out the duties, and/or overtime to existing staff members.

With a few exceptions there is a serious lack of internal checking and control over a broad spectrum of the activities of these local governments, creating opportunities for possible irregularities and malpractice..."

"12. Major shortcomings in the administration of subsidised housing projects, such as incomplete accounting records, inadequate systems and/or a lack of documentation supporting transactions, were identified..."

"17(1) The financial position of many local governments is in a poor state and is deteriorating in most instances. Although the accumulated deficits decreased at many local governments according to their annual financial statements, in the majority of instances they did not make adequate provision for bad debts.

The increasing outstanding debts, which in many instances appear doubtful, coupled with the deterioration in the financial position of almost all the local governments (excluding some district and transitional rural councils) in the Free State, is a source of serious concern."

"21. Although the question of training or the lack thereof was mentioned as a concern in very few of the audit reports submitted to the councils, it remains one of the most notable facets in local government financial administration which is not effectively addressed.

With the amalgamation of various local governments in 1995, the downsizing of these governments, severance packages taken, etc., many new officials who, to a large extent, had not always had the necessary skills, formal training and/or knowledge stepped into vacant senior positions.

As a result of the fast pace of change and the fact that new subordinates have not yet had the opportunity of accumulating practical experience or receiving formal training, many of these senior officials (old and new) are not able, or find it difficult, to cope with their new obligations and responsibilities." (AG 2000b:9-1, 18, 27-29).

According to the Special report of the Auditor-General on local authorities in the Eastern Cape Province, for the period July 2001 to June 2002, the province had 202 local government structures. These were reduced to 45 municipal structures, which brought many challenges. The referred report highlights the following records management-related concerns:

“The fact that the books and financial statements of local authorities are not timeously available for auditing has a negative effect on public accountability. A serious source of concern to my office is the fact that effective financial control over transactions is not possible in the absence of books and accounts or where records are incomplete. This too could jeopardise the successful consolidation of financial records and financial statements of the . . . entities.” (AG 2003c:7).

According to the same report, only 21 of the Eastern Cape municipal structures provided prepared financial statements for the timeframe. Many of the others failed to do so because of the difficulties in locating relevant supporting documentation. The report also noted that:

“... where audit reports were issued, it was noted that various critical and key financial records were not maintained by the local authorities. The financial records most commonly not maintained included the following:

- ☐ Debtors ledger
- ☐ Bank statements
- ☐ Funds and reserves register
- ☐ Appropriation account transaction listing
- ☐ Internal and external loan register and loan reconciliations
- ☐ Debtors reconciliations
- ☐ Creditors listings and reconciliations
- ☐ Supporting documentation for long-term debtors
- ☐ Investment register
- ☐ Consumer deposit register
- ☐ Trial balance
- ☐ General ledger” (AG 2003c:9).

In its defence, these are the records which the National Archives would regard as having no archival value, as indicated in Fig 4 below. However, they are clearly records required by governmental bodies to demonstrate good governance compliance, transparency and accountability. However because of their lack of archival value, they receive little attention in prescribed archival policies and procedures concerning the management of public records (National Archives & Record Service website 2011).

Consequently, because of their low archival status, these information sources are poorly protected and difficult to locate, as demonstrated in the highlighted audit reports.

Treasury Regulations: PFMA

Type of record	Years after which records can be disposed of
General ledger and cash books or similar records	15
Main transaction summary records, including general journals and transaction summaries	10
Internal audit reports	
System appraisals	
Primary evidentiary records, including copies of forms issued for value, vouchers to support payments made, pay sheets, returned warrant vouchers or cheques, invoices and similar records associated with the receipt or payment of money	5
Subsidiary ledgers, including inventory cards and records relating to assets no longer held or liabilities that have been discharged	
Supplementary accounting records, including, for example, cash register strips, bank statements and time sheets	5
General and incidental source documents not included above, including stock issue and receivable notes, copies of official orders (other than copies for substantiating payments or for unperformed contracts), bank deposit books and post registers	5

17.2.4 When financial information is required as evidence in proceedings before a court, Parliament, a provincial legislature, an official inquiry or otherwise, or for purposes of an audit, it must be secured in its then current form until no longer required, even if the National Archivist has authorised its disposal.

Fig 5: Sections 17.2.3 and 17.2.4 Treasury Instruction
(National Archives & Records Service website 2011).

While it is not the intention of this study to challenge the archival value of these records, which are voluminous, occupy space and resources allocated to the records management functionalities; their archival status provides no incentives for the public archivists to adequately address the records management problems regularly highlighted in the Auditor-General reports. However, amongst the non-archival valuable records needed to demonstrate transparency and accountability are “council minutes not always signed by the chairperson of the council so as to prove the authenticity of decisions ... (and) decisions implemented on such minutes be regarded as unlawful”

(AG 2003a:11) which should be regarded as of archival value. These records do reveal the functions, activities and decision-making role-players of the organisation (Cook 2004). The public archivists' mandate to manage and care for all public records is absent, when noted that: "inherent problem of inadequate accounting records and the resultant failure to timeously compile financial statements ... a concerted effort would have to be made ... to update the financial records of many municipalities, so as to facilitate the smooth transition of newly established municipalities to fulfill their constitutional mandate" (AG 2003c:11, 18).

Challenges related to capacity building and effective management of information resources are emphasized in the Auditor-General's report on Local Government in June 2005. It was noted:

"Whilst national and provincial governments face similar challenges with regard to audit qualifications, the number at local government level is far higher. The issue of capacity, which is assessed in this report through, amongst others, initiatives taken by the national Department of Provincial and Local Government and the National Treasury, is fundamental if the audit results and service delivery are to improve.

It is generally recognised that public sector service delivery essentially rests on the shoulders of local government. Untimely and unreliable information makes it very difficult to assess the performance of management and undermines the accountability process. The challenge for role players and strategic partners is to meet the simple requirement of providing information in the public domain that can be relied upon.

The onerous and multiple accounting frameworks within the local government environment, as reported, do not lend themselves to assisting in the capacity-building process." (AG 2005:1).

The report noted, further, that in spite of "significant improvement in the implementation of performance management structures . . . does not mean that service delivery is taking place. Instead, the outcry from citizens regarding the lack of, or backlog in, service delivery seems to be on the increase" (AG 2005:3). Further indicated were municipalities' roles as the "primary vehicle(s) for service delivery . . . [and] is of utmost importance . . . [to improve] overall living conditions" of ordinary citizens (AG 2005:3). It is therefore, the constitutional mandate of the municipalities to perform the developmental tasks assigned to local government. Local governments are required to:

- i) provide democratic and accountable government;
- ii) encourage local community participation;

- iii) provide everyone with equitable access to municipal services;
- iv) plan for sustainable economic development of the areas by providing necessary infrastructure which is conducive to promoting the development of business, commerce, industry and tourism;
- v) produce effective and accountable financial and budgetary management practices;
- vi) provide community and essential services to ratepayers, residents and visitors to the municipal area which can include services such as water, electricity, sanitation services, waste and refuse removal, as well as cultural and recreational activities; and
- vii) manage, improve and develop council resources (AG 2005:42).

All these requirements are dependent on the availability and accessibility of the information sources to ensure the assigned tasks are indeed performed within the legislative, administrative and financial constraints of the local government.

The Auditor-General's report on local government of the financial year 2006 – 2007 identified the benchmark information regarded as “basic good practice indicators” necessary to achieve financially unqualified audit opinions and facilitate the accuracy of reporting performance results as:

- i) clear audit trail of supporting documentation;
- ii) accurate and effective financial statements and management information;
- iii) aptness of financial statements and management information;
- iv) presence of key officials during audits;
- v) development and compliance with risk management;
- vi) good internal control practices; and
- vii) effectiveness in leadership supervision and monitoring (AG 2006).

According to the report, only 33% of the municipalities were able to provide effective, accurate and timeous audit trails of supporting documentation. Mention was made of the need for municipalities to concern themselves with the management of documentation to be improved to ensure the information is available and provided

punctually, and “document retention would significantly reduce the risk of fraud.” It further noted that only 17% of the municipalities have developed and complied with effective risk management, good internal control and governance practices. Good governance requires the availability of prepared financial statements, submitted in accordance with agreed accounting procedures. The chief financial officer, internal audit and audit committee should be able to clearly identify key business risks and formulate action plans to alleviate such risks (AG 2008b:14–15). In the 2010-2011 Auditor-General reports, 90% of South African municipalities received unclean audits. Information communication technology and documentation were cited as contributing factors (AG 2012a, AG 2012b). The experiences and views of records management officials also reveals situations related to poor record keeping and insufficient controls of information technology solutions (AG 2012a:34).

4.5.2 Evidence from records management staff

Scholars focusing on investigations concerning the archival science discipline and, subsequently, including records management dimensions, like Iacovino (2004), Garfield & Baskerville (1985), Hedstrom (1991), McKemmish, Gilliland-Swetland & Ketelaar (2005), contend that due to the inter-disciplinary and multidisciplinary nature of the archival profession the rigid, positivist “interpretative paradigm adopting qualitative methods” (Iacovino 2004:267) often restricts the study. With the postmodernist focus on revealing the narrative, this study’s field investigations employed the “experience survey” (Powell 1997) to obtain information from records managers and records officials in South African public bodies. With the investigations for this study viewed largely from the perspective of an archivist, tackling the changing paradigms of the archives profession from a primarily historian’s perspective, cognisance is afforded to ensure the survival of the profession that more “multidisciplinary”, collaborative investigations are essential for the longevity of these professionals (Garfield & Baskerville 1985:167-184). Powell (1997) noted that the chief objective of the experience survey as a data collection tool is to assemble the experiences and voices of field practitioners “to gain provocative ideas and useful insights rather than specific statistics” (1997:59). These voices are not provided to test hypotheses but to add collaborative evidence (Powell

1997) to that articulated in the reports of the Office of the Auditor-General on the state of affairs of the information sources, including digital information sources. The voices of the records officials and records managers were collected as active directors and actors playing “a formative role in shaping the archives and the formation of collective memory” (McKemmish, Gilliland-Swetland & Ketelaar 2005:146).

Between 2009 and 2012, for the purposes of this research, records management officials and records managers were approached during personal interactions with officials and, particularly, individuals who expressed concern for the scenarios being encountered in their working environments. Although attempts were made to approach officials who could provide an overview of the experiences being encountered in all nine South African provinces, returned questionnaires were only received from records management staff in the Eastern Cape, North West, Mpumalanga, Limpopo and Gauteng. Records management personnel vividly described the scenarios experienced in their records management milieus. Several records managers also highlighted prospective insights where improvements and initiatives were underway to address the challenges being encountered. However, throughout the period of this study, many officials were aware of, and concerned about, the consequences of the imminent passing of the post-apartheid secrecy Bill, namely the Protection of State Information Bill (SA at tipping point . . . 2012).² In order to respect the privacy of the individuals who provided information, no personal identities or their affiliations to particular bodies are revealed. The purpose of the study was not to expose specific public entities or individuals but, rather, to reveal holistically the narrative of the records management scenarios. Furthermore, the focus of the study demonstrates the correlation between the governance indicators, the reports of the Office of the Auditor-General and records management scenarios encountered in the country’s public bodies in order to elevate the status of the records officials and records managers.

Guided by the writing of Cox (2005:39-40), the questions posed to willing records officials were:

² Protection of State Information Bill discussed in Chapter 4.

- i) How adequately does records management enable the organisation to meet its legal, financial and administrative requirements?
- ii) Describe the adequacy of budget allocations, staffing and placement of the records management component.
- iii) Illustrate the perceptions of the organisation concerning records management matters and what is provided to enhance the programme.
- iv) Identify the challenges involved with managing the records. Describe the strengths and weaknesses of the organisation in managing its records.
- v) Are officials adequately informed so that they know whom to consult when a problem arises related to records management matters?
- vi) Does the organisation possess adequate records management policies and procedural directives enlightening all users on matters relating to the creation, maintenance and disposition of records? (Cox 2005:39-40).

The evidence discussed provide a broad spectrum of responses concerning scenarios being encountered in South African entities. Utilising the continuum model as described in Chapter 2, the feedback has been broken into two groups: the responses from the officials working with, and in, the record offices; and the record keepers, being the records managers and officials acting in that position (McKemmish, et al 2009:4449).

Group A: Records officials, including registry staff, personal assistants, and administrative officials.

Feedback was received from 38 individuals from various public entities. The responses from the individuals are described as A-1 to A-38. From the response received, the individuals' working experiences ranged from three months to 16 years, with the longest time in their current position being six years. The most experienced individual (A-30) confirmed that the records management programme of the public entity was able, to some degree, to meet their legal, financial and administrative requirements. This entity had an extensive records management filing system. Documents were filed in an orderly manner, cabinets were well labelled and documents stored in fireproof storage areas that had adequate security. However, the entity had incidents where officers

retain their own manual and digital documents and records. The entity had experienced incidents where the information has been lost, misplaced or misfiled. Respondent A-26 was of the opinion that because the legal and financial documents were being data-captured into a credible electronic document management system, the entity was able to adequately meet its legal and financial requirements. Concurring, respondent A-12 reported that the public entity was able to meet all legal requirements because of the existence of the required governing policies. The registry officials, like A-11, A-6, A-3 and A-1, perceived their entities to be compliant and meet obligations as their entities utilised National Archives' approved record keeping systems. Their entities did have strategies in place to address custody, storage, classification and disposal of the information sources in their care.

In response to the second question, related to budgetary allocations, the responses were the following: Most of the respondents did not provide adequate information. However, A-11 and A-12, expressed the need for better allocation of resources for equipment; training staff and storage facilities, including off-site storage options; electronic systems and electronic equipment. The responses to the third question concerning organisational perceptions were: more experienced individuals working in their entities for between 6 years and 5 years (respondents A-24 to A-30) were of the opinions that colleagues in other components viewed the records management components as important. However, many individuals did not. The records management components are only acknowledged when problems arose. A-30 recorded that each component of the relevant entity was solely responsible for their record indexing systems. The lack of enforceable policies and procedures results in confusion because of the multiplicity of indexing systems. A-26 was of the opinion that employees knew that records could be destroyed and some had to be archived but, were unclear on the correct procedures. Individual A-11 believed that because the relevant entity had policies and procedures that complied with the requirements of the National Archives (NARS 1997, 2007), the entity was aware of records management component's responsibilities concerning the use, control and maintenance of the records. In lieu of this, the entity had made strides to enforce registry procedures. Elaborating on their

involvement with the electronic records, the records staff said they were poorly involved and little effort was made to ensure officials were trained to adequately utilise the system (A-12). While A-30 responded that the onus of the electronic records was on the individuals generating the electronic documents to manage their own electronic records with backups undertaken by the information technology departments. As with the records managers, discussed under Group B, many of the entities are using some electronic system to manage, file and destroy the information sources (A-4, A-10, A-11, A-13, A-18, A-19, A-20, A-26, A-30).

Further comment was provided by Group A concerning strengths and weaknesses of their records management programmes. All of the returned questionnaires indicated that their entities had records from the previous dispensation. A-12 expressed the need for clear disposal instructions from the archival authorities to identify records which could be destroyed and which sent to archival storage. Participants A-7 and A-9 revealed that the office had no standardised filing system, policies, procedures and no records manager. Junior employees were allocated filing duties without adequate training and digital records are stored on outdated systems with no maintenance. The respondents, A-11 and A-12, viewed the strengths of their records management programmes to be the provision of adequate infrastructure with good storage facilities and dedicated information technology department. In response to queries relating to the communication channels the relationships between the records management components and the rest of the organisation, Group A provided varied information. Two-thirds of these respondents had no knowledge of the individual(s) designated as the records managers, in compliance with the National Archives Act. These individuals also indicated that no clear guidelines were in place concerning records management. A-12 reports to the records management officer, A-1 said each component accounted to their manager, A-22 liaised with the senior information officer, and A-24 communicated with the departmental heads on records management related queries.

Responses to addressing the questions posed concerning the existence, familiarisation and accessibility of records management policies and procedures were varied from

respondents of Group A. Those that were aware of the policies and procedures relayed that these were communicated to all employees and were easily accessible. According to A-26, policies and procedures concerning creation, maintenance, storage and disposition of records were communicated via e-mail and group training sessions conducted with all components. Furthermore, these group sessions provide opportunities to explain to all users the operations of the records system. Respondent A-11 relayed the procedures in their entity. In this instance, the records manager had one-on-one orientation sessions with the registry personnel and regular training was conducted throughout the year. Performance agreements ensured compliance and observance of accepted policies and procedures. Meanwhile, entities, as accounted by A-24, had no formal policies and procedures but personnel are advised of the expectations pertaining to their work-related tasks. However, with no formal recorded policies and procedures, expectations and requirements concerning creation, maintenance, storage and disposal of records was left to the interpretation of the individual employee.

Group B: Record keepers, being the records managers and officials acting in that position

Completed questionnaires and feedback were received from 26 individuals, ranging in work experience from 26 years to two years. At the time of completing the questionnaire, the length of time respondents had been in the current position as records manager or acting in the position ranged from 10 years to six months. The records managers engaged with the same questions posed to the records officials.

Enquiring on the effectiveness of the programme, the most experienced respondent (B-26) reacted by pointing out that policies and procedures were used by all employees, with the records manager regularly liaising with the legal directorate for guidance pertaining to the Promotion of Access to Information Act concerning environmental impact assessments. The records manager occupying this position for the last decade pointed out that a centralised file plan existed utilised by all components which met the legal, financial and administrative requirements of the entity (Respondent B-2). Another

records manager, having experience of 10 years in records management, indicated initiatives were undertaken to continuously provide training on the policies and procedures. The records management programme was fortunate enough to receive unconditional support from top management (Respondent B-1). Meanwhile, respondent B-9 stated that the relevant public entity was aware of its obligations to comply with archival legislation and prescribed records management policies and procedures to avoid penalties. In addition, the entity was attentive to its accountability requirements for financial records. Efforts were made to ensure these were safely stored and easily retrievable when requested by the Auditor-General. The failure to access and retrieve this information resulted in unclear audits and disclaimers. B-9 highlighted that smooth administration was dependent on good filing and not “information scattered all over.” Respondent B-10 described a situation where the records management functions were being decentralised. Although the legal and financial records had been well managed, with the components working closely with the records manager, thus ensuring the information could be found when required as evidence; the decentralisation element was concerning. B-10 believed that uniform policies, procedures and record keeping systems would not be maintained. Many of the components seem intent on keeping their own records and maintaining their own file plan. The looming changes would result in records being misplaced or lost leading to difficulties in retrieving the required information.

Answers to Question 2, addressing appropriateness of budgetary allocations in terms of financial, human resources and infrastructural resources, were varied. The general perceptions of the respondents were that the budgetary allocations were insufficient. B-26 stated that records personnel constantly required training and the filling of vacant positions within these components was frequently required. Sentiments echoed by B-18 were the inability to retain well-trained, experienced records personnel often lost to other components and public entities. Meanwhile, B-10 accounted how, through discussions and negotiations with the human resources component, sufficient personnel had been employed in the registry office. B-10 was employed with a public entity that did allocate an adequate budget for records management. This endeavour has allowed

for a centralised project and the records office was adequately equipped with space, equipment and furniture. Financial resources were always inadequate, particularly concerning the implementation and roll-out of expensive electronic records management solutions (Respondent B-1). Consequently, the procurement of these solutions, training the staff and managing the systems were extremely challenging. Poor security and lack of adequate resources in the records offices resulted in computers, records and equipment vanishing (Respondent B-18). B-2 viewed the budgetary allocations as adequate and that all the entity's components were adequately staffed, with well-trained records officials.

In response to Question 3 pertaining to the organisational perceptions, the general consensus was that the records management components were undervalued. Respondent B-26 claimed that the records management unit was viewed as the “dumping section, where cleaners are promoted and poorly performing employees are transferred, with the salary levels ranging from level 2 to 7.” The records management section seemed to gain in importance when auditors arrive. Respondent B-6 further elaborated that the public entity regularly received negative reports from the auditors but even these reports and complaints have not transformed perceptions towards the records management component. B-2 expressed concern of the lack of interest shown from top management. However, reassurances from a several respondents who indicated top management regarded the records management component as highly important, the “heartbeat of the organisation” and recognised the support it could provide to executive and senior managers, resulting in a component that was innovative and resourceful (Respondent B-1). Presentations and interactions with the entity were regularly conducted and records management was integrated into the business plan and strategic focus (B-1, B-5). Meanwhile, concerning the involvement of the records managers with the selection, roll-out and management of digital records, the response from B-1 was that managing electronic records was only at the concept stage. According to B-5, the National Archives’ recommended electronic document records management system (EDRMS) was already outdated. B-10 confirmed that the records management functionalities of their EDRMS were not operational. However, the entity

uploaded information sources to the electronic file plan. B-2 elaborated on their experiences by relaying the reluctance of their information technology component to recognise the electronic system. Other respondents from entities in more remote areas of the country pointed out that the use of electronic records and electronic systems was still at an investigative stage, with the entities needing guidance and instructions on the correct approaches.

Entities where the records management programme is encouraged and supported; had adequate budgetary allocations and provisions, sufficient infrastructure for filing, storage and working; and strategically formulated and executed policies and procedures as well as recruitment and retention of trained, experienced, competent staff were factors making it possible for entities to adequately address the records management conundrums encountered (B-14, B-26, B-6, B-1). However, weaknesses hampering records management services and deliverables were inabilities and difficulties in locating required information, whether for litigation or auditing purposes (Respondent B-17). The majority of respondents reported that they had a good relationship with the National and provincial archives. Regular records management forums were held with records managers from other entities to discuss and address concerns. Likewise, all respondents acknowledged that in the entities' possession were records from the previous dispensation. Only one of the entities (B-2), having records dated to 1940, reported that an archive centre had been established, which was centralised, secure and with a fulltime employee assisting with retrievals. Others mentioned that the records were stored in the basements, some have been dumped, stored in outbuildings or blocking fire escapes and other unused areas (B-10, B-12, B-13, B-17). The records managers mentioned the challenge of obtaining clear disposal instructions from the public archivists and were unsure how to correctly execute the disposal programme, particularly, those of the security establishment still covered by the moratorium (Respondents B-15, B-19). In contrast to the responses from Group A, all the records managers affirmed that all employees knew the records managers and procedures to interact and communicate when problematic situations arose. Likewise, all respondents confirmed that they were familiar with the policies and procedures relating to records

management, registry practices, electronic records and approved filing systems. All of these tools have been communicated to employees via workshops, training sessions and were available for consultation on their Intranets. However, this was in contrast to the records officials in Group A who were uncertain of the correct procedures concerning maintaining, storing and disposing of information sources.

The responses from the records officials and records managers reveal that most public entities are observing the prescribed records management policies, procedures and approved indexing systems, including solutions to address electronic records, in conforming with national and provincial archival requirements. In spite of this adherence, these officials battle to utilise and enforce the prescribed tools that should enable them to assume more proactive roles. Questions need to be asked as to the appropriateness of the prescribed policies and whether the required records management indexing systems are appropriate for the entities. These matters will be more fully discussed in Chapter 4. Related concerns, inter alia component personnel, regular hands-on training, infrastructure and budgetary considerations contribute to the problematic situations of access to the records by the auditors and inability of entities to protect themselves from litigation. The lack of effective control; limited security resulting in unauthorised access; information leakages; and the low status allotted to these employees resulted in assumptions that mismanagement and maladministration could be concealed. However, the lack of reliable, verifiable information is contrary to good governance requirements, including transparency and accountability.

4.6 Role of national and provincial archivists

NARS is required, in accordance with National Archives Act, to provide archival services to national level public bodies. It is also responsible for determining the framework, within which the public provincial archival services should operate. The public provincial archivists are required to provide archival services to governmental bodies in the provincial and local levels of government. However, no standardised model for provincial archival services exists in South Africa (Research Focus 2010:25-26).

Under the National Archives Act of South Africa, public sector records management requirements are promulgated in which public bodies are required to appoint records managers. This official is accountable for the public body's records management practices which include the design, implementation and management of recommended records management policies and procedures relating to the creation, access, movement, storage, management and eventual disposition of the body's public records (Research Focus 2010:25-26). However, in spite of National Archives recommendations for records managers of public bodies to be part of senior management and actively participate in executive and management decision-making processes, as confirmed by records management staff are complied with by few public bodies comply.

Public bodies struggle to retain qualified, experienced records managers. This has been attributed to the racial transformation of the public sector, filled previously by white employees, and the subsequent lack of knowledge and skills transfer to newer records management appointees (Research Focus 2010:81-82). As confirmed by records management staff, public sector budgets allocated to records management-related activities were inadequate with public bodies complaining about inadequate infrastructure, financial and human resources to deal with all related tasks (Questionnaires of records managers and records officials). Furthermore, public sector bodies, intent on introducing EDRMS, lack employees with adequate skills and expertise essential for effective implementation and maintenance of such systems (Questionnaires of records managers and records officials). Language proficiency is a further challenge with the majority of public servants not having the business language of English as their mother-tongue. This hinders understanding and accuracy in providing access when utilising the National Archives' approved record keeping systems to locate related information sources, regardless of format (Research Focus 2010:83).

A further challenge faced by South African public bodies, is the large influx of records transferred to the national and provincial archival repositories in response to the political changes of the post-apartheid dispensation (Harris 2000). A contributory factor has

been the moratorium placed on the destruction of public records in 1995 which has remained in place for the security establishment (Dominy 2012). This has resulted in many security establishment public bodies, being unable either to transfer older records to archival repositories for archival preservation and safe-keeping or responsibly destroy records (Information from records management officials 2011 and 2012).

Another factor is the records in Afrikaans, which are a language challenge to many of the post-1994 record management staff, in spite of Afrikaans being one of the official languages. As relayed by Gauteng records management officials, these “apartheid-related” pre-1994 records (with file descriptions and contents in Afrikaans) are stored in severe conditions, blocking fire escapes and stairways as offices are inadequately resourced to accommodate them. Compounding these scenarios are the provincial and national archival repositories, which are incapacitated and unable to accept large accessions of public archives. These, supposedly despised, records belong to the previous provincial administrations and/or local governments. The majority of these records should already have been disposed of according to written disposal authorisations granted by National Archives and its predecessor the State Archives. However, many records management officers in the current dispensation are unable to effectively implement the disposition actions (Technikon SA video 2000). This is further hampered by the fact that no archival valuable records, which should be moved to secure archival custody, are being transferred. Consequently, whatever prosecutable evidences these records may have, they are gradually deteriorating and those on electronic media are becoming redundant (Allan 2009:212). The pre-1994 records seem to have become despised and loathed, resulting in their mistreatment and destruction (Blouin & Rosenberg 2005:44). However, many of these records could assist with future planning and development but are inaccessible and are gradually being destroyed.

Furthermore, the National Archives’ positivist approaches to standardise public sector record keeping systems and retention and disposition of public records contributes to the tragedy of poor public sector records management. Complex indexing systems

which fail to consider all users, restricting openness (Harris 2007:6); and record management appraisal exercises, primarily focusing on the records needed by researchers (Blouin & Rosenberg 2005:170), reduce the ability of the public sector records management official to fulfill the body's obligations as well as complying with good governance requirements. The records management obligations of the National Archives Act are "to provide proper management and care of public records." This coincides with constitutional obligations in Chapter 3, Section 41(c): "All spheres of government and all organs of state within each sphere must provide effective, transparent, accountable and coherent government for the Republic as a whole," are ignored due to the insignificant status of the national and provincial archives services (NARS 2007).

Further constricting the National Archivist's contributory role accountable for governance of public sector information sources are:

- i) The limited financial resources;
- ii) Shortages of attracting and retaining qualified, experienced and skilled public archivists, where the highest paid annual salary for a public archivist was R190000.00 (Research Focus 2010:78); and
- iii) Not positioning the National Archives service under a government department assigned with the responsibilities of achieving transparency, accountability and governance (Harris 2007:186).

Thus, in effect, the role of national and provincial archivists in advising and managing public sector records necessary for securing necessary funding for poverty eradication initiatives and improving the lives of all South Africans have gone unnoticed and remain futile (Cox 2005:93).

During discussions with records management officials, few could account for visits and or inspections from the national and or provincial archivists. Little assistance and advice has been provided on observing effective, comprehensive and accountable records management policies and procedures. In spite of the identification of records management-related challenges in Auditor-General reports in all levels of the public

sector, the perceived lack of intervention and guidance, questions public archivists' and records managers' cognisance of constitutional commitments and obligations concerning effective, transparent and accountable government and the link with managing information sources (Blouin & Rosenberg 2005:173).

4.7 Conclusion

The South African National Archives' approach, by determining the structure and functions of record keeping systems, policies and procedures for public sector records management milieus, complies with the postmodernist narrative of credible international donor organisations concerning good governance and best practices (Cox 2005:277). However, coherent workable records management practices applicable to the South African milieu require less rigidity with the record keeping systems and consideration given to incorporating deconstructionist methodologies, as discussed in Chapter 2, which will allow light through the cracks and expose the richness of the metanarratives contained in the information sources (Harris 2007:6). Three such examples are:

- i. Governmental bodies are permitted to have a file/folder described as "Routine Enquiries". According to the general instructions in the National Archives' Prototype File Plan (2009:9), this file/folder may "only contain enquiries of a routine nature" and it is a file/folder that is generally recommended for destruction by the National Archivist. However, as many records officials will account, it is often used as the file on which documents are placed when no other file can be identified. Consequently, it may well contain misfiled information required by the auditors or as legal evidence.
- ii. Under the series for "Finance", "estimates" is preferred over "budget" and "settlement of accounts" rather than "debtors".
- iii. A quotation and order for stationery is placed on a file under the "Supplies and Services" series. Meanwhile, the invoice and receipt are placed on a file under the series "Finance" (NARS 2009). It is the contention of the study that provisions such as these may contribute to difficulties in locating relevant supporting documentation requested during the audit investigations.

Furthermore, the retention and disposition of public records needs to provide a platform for all voices to be heard (Ketelaar 1992; White 1987). Measures should ensure all the voices of all users (auditors, legal representatives, councilors, executives, managers, administrative officials, general public, archivists and researchers) constitute the stories of a democratic country striving to achieve a transparent, accountable public sector and society eradicating poverty. The role of the public archivist can be transformed from the realm of the elite into a more widely accessible public resource, with the voices of ordinary people (Harris 2007:259, 404).

By not intervening, public archivists contribute to the country's processes of remembering, forgetting and thereby determining its metanarrative (Blouin & Rosenberg 2005:174). Reiterating the viewpoint of this study as expressed in Chapter 2, the role of impartial public archivists (Blouin & Rosenberg 2005:173) is tragic. If the Government is committed to providing a better life for all South Africans and is serious about meeting the MDGs, then public archivists also have responsibilities to ensure resources are used accountably and transparently and provide services beneficial to all South Africans, not merely the heritage seekers. The public sector records management components and public archivists need to actively participate in the processes by ensuring their prescribed policies and procedures are more vigorously managed and enforced. It is imperative that South African public archivists reinvent themselves and ensure their contributory role is acknowledged and recognised (Cox 2006:232).

CHAPTER 5: RECORDS MANAGEMENT PRACTICES IN POST-APARTHEID SOUTH AFRICA

5.1 Introduction

The essence of this chapter is linking the narratives of local government, poverty eradication, records management and the approaches of the national and provincial archivists in post-apartheid South Africa. The South African National Archives & Records Service regulates the policies, procedures, record keeping systems and related projects involving South African public records, regardless of medium or format. The four elements of this chapter are: legislative framework; National Archives' policies, processes and prototypes; electronic records management challenges and international standards; and heritage versus governance.

The first element examines key legislative items which silhouette the South African public sector archival records management landscape and, specifically, impact on local government public bodies. As its second element, this chapter discusses the requirements of governmental bodies concerning the management of public records prescribed by the South African National Archives & Records Service. Under section 5.3, the prototype file functional subject file plan is examined to determine whether it is actually simplistic, straightforward and user-friendly; and whether it is effective in adequately addressing the governmental bodies' needs to store and timeously retrieve the information (National Archives & Records Service 2007:16-17). The third element, concerning the challenges of effectively managing electronic or digital records in public bodies, interrogated the aptness of the policies, procedures and prototype record keeping systems in enabling public bodies to effectively manage such records and their record keeping systems. As previously indicated under section 2.3.3, consequently to be viable and ensure integrity, electronic or digital records should be mandated to comply with the postmodernist approaches advocated by theorists like McKemmish et al

(2009) of internationally agreed standards and best practices. The final element of this chapter focusses on the archival value and the, subsequent inherent heritage value, of public records. The lack of archival value attached to financially-related information may be the rationale negating the public archivist's participation in ensuring access to this information required to facilitate transparency, accountability and good governance.

The postmodernist, deconstructionist approach, proposed by Derrida (1996), views the public archivist as the principal narrator. As suggested by Harris (2007:13), this is also applicable in post-apartheid South Africa. Thus, the national and provincial archivists determine the South African story (Duff 2002:263-265). The narrative of this and the previous chapter includes the failure of the South African National Archives & Records Service to fulfill its responsibilities concerning public sector's records management to enforce and promote public sector accountability and good governance. As noted by Reif (2000) and Hoffmann (2012), NARS, as a public body, could assume a more prominent role and contribute towards a more accountable, democratic government able to responsibly locate information concerning the use of funding and resources, as well as those required for effective decision-making and service delivery. Cox (2006) argues that the management of records and archives must enable the entity to meet its objectives (2006:134), thus encouraging compliance with promulgated records management policies and procedures by public bodies which should elevate the status of records management. Improved accessibility to information should facilitate more effective service delivery, fair and unbiased governance, opportunities to participate in South Africa's development and growth, thereby reducing poverty levels (Bond 2006, Florini 2007, Gelb 2003, IMF 2005, IMF 2011, Kenosi 2011, Marquette 2003).

5.2 Legal framework

Five post-apartheid legislative items affecting public records, and local government, particularly, and coinciding with good governance principles as advocated by the World Bank and International Monetary Fund, have been selected for discussion. The good governance elements are: effective management of public sector administrative

procedures, treasury controls, mechanisms to monitor financial and accountable use of resources; and civil rights to all people living within the borders of the country to fair, equal treatment and public participation in governance processes (Assefa 2001; Reif 2004). The legislative items determining the framework are: The Constitution of the Republic of South Africa, no. 108 of 1996; National Archives & Records Service Act of South Africa, no. 43 of 1996; Promotion of Access to Information Act, no. 2 of 2000; Municipal Finance Management Act, no. 56 of 2003; and Electronic Communications Transaction Act, no. 25 of 2002.

5.2.1 Constitution of the Republic of South Africa, no. 108 of 1996

Section 32(1)(a) and (c) addresses the rights of South Africans to access information held by the State or by another person when that information is required for the exercise or protection of any right. This section resulted in the promulgation of the Promotion of Access to Information Act, no. 2 of 2000. This Act has many similarities to freedom of information acts in other democracies and has been referred to as the “gold standard” in access legislation (Peekhaus 2011:542). The purpose of section 32 and the subsequent Promotion of Access to Information Act, known as PAIA, was the promotion of openness, accountability and transparency (Van Wyk 2012:181). Like the Constitution, PAIA has shaped the information management landscape and impacted on records management programmes of both public and private bodies. However, in a Open Society Justice Initiative study, only 19% of all PAIA requests were responded to and only 13% granted access to the requested information (Peekhaus 2011:544).

Meanwhile section 41 of the Constitution promulgates national, provincial and local government levels as interdependent and interrelated yet, operationally, autonomous. The three tiers are required to observe cooperative governance principles. Section 41(1)(c) specifically stipulates public bodies that provide effective, transparent, accountable and coherent government (Van Wyk 2012:143, Skjelten 2006). Not only does this section reflect the relationships between national, provincial and local

government structures in the provision of obligatory services, but simultaneously applies them to the relationship between the National Archives and provincial archives services.

Furthermore, this section emphasises the importance of managing public sector activities to enhance transparency and accountability (Sachs 2005:244-245). These attributes are fundamental to liberating the country from the shackles of poverty. The need for well-formulated structures, policies, procedures and actions, all reliant on trustworthy documentary evidence, are crucial to gain the trust of the people and different communities and interest groups (UNESCO 2011, UNDP 1997, Szeftel 2005, Petlane & Gruzd 2011). Evidence portraying these fundamentals would be: effective, well-formulated records management policies, procedures and practices. Trust and integrity would be assured when the most accurate information is accessible in a proficient and timely manner (WB 1999, 2000b, 2008b, 2010a).

In the case of local governments, the Auditor-General reports, as noted by Petlane and Gruzd (2011), as one of the governance indicators, would substantiate through reliable, accurate and accessible information, that improved service delivery was being addressed. Proof would be provided that allotted financial resources are, indeed, being utilised for the purposes intended. Improved access to information would facilitate better service delivery and enable impoverished communities in, for example, Balfour (refer to fig. 2 on page 83), Vhembe (refer to section 5.5.1) and Sekhukhuneland (respondents under section 5.5.2), amongst others, to engage in sustainable economic development. Improved access to accurate information located in the records, regardless of medium or format, would provide ordinary South Africans with confidence and trust. Persistent complaints from South Africans concerning outrageous municipal billings, see below in Fig 5 (Billing glitches... 2011, KZN municipalities slated... 2012); substandard housing; lack of infrastructure; unreliable public transport; high levels of crime; unemployment; HIV/Aids and poverty (Krugell, Otto & Van der Merwe 2010:307) are consistently reported and commented on in the national and international media. Improved access to reliable information would enable communities to focus on

sustainable development projects, rather than anger at the inadequate supply of basic services.



Fig 6: Billing glitches - News24 clip. (Source: Billing glitches... 2011).

Section 195(1)(f) of the South African Constitution requires governmental bodies to provide the Office of the Auditor-General with information concerning its financial transactions. In accordance with the Constitution, the Office of the Auditor-General discloses its findings to taxpayers (Republic of South Africa 1996a). A report is submitted to the Provincial Legislatures and Parliament, providing a score card of the particular public body. These records are available for the public to access, as well as potential investors and donor funders (Auditor-General website 2013). In 1999, when the World Bank and International Monetary Fund formulated the criteria for the allocation of funding for MDG-related ventures, the importance of a public entity like the South African Office of the Auditor-General was commended (Woods 2000:823-824). As is evident from the extracts of various Auditor-General reports mentioned in Chapter 3, these investigators rely heavily on public bodies using the National Archives' approved file plans, indicating the co-relationship of effective records management.

5.2.2 National Archives & Records Service Act, no. 43 of 1996

The objectives and functions of the National Archives & Records Service, as described in the Act, are to:

- i) preserve public and non-public records with enduring value for use by the public and state;
- ii) make such records accessible and promote their use by the public;
- iii) ensure the proper management and care of all public records;
- iv) collect non-public records with enduring value of national significance which cannot be more appropriately preserved by another institution, with due regard to document aspects of the nation's experience neglected by archives repositories in the past;
- v) maintain a national automated archival information retrieval system, in which all provincial archives services shall participate;
- vi) maintain national registers of non-public records with enduring value and promote cooperation and coordination between institutions having custody of such records;
- vii) assist, support, set standards for and provide professional guidelines to provincial archives services;
- viii) promote an awareness of archives and records management and encourage archival and records management activities; and
- ix) generally promote the preservation and use of a national archival heritage (National Archives & Records Service 2007:56-58).

The archival legislation does require the National Archives to focus on measures to attain and maintain a national archival heritage. However, it is also mandated to provide effective management and care of public records of governmental bodies (National Archives & Records Service 2007:55). This public body is thus aligned with the responsibilities of overseeing and enforcing effective records management programmes, enabling public bodies to manage their information to meet their mission and objectives.

In terms of records management responsibilities, section 5 of the NAARS requires the National Archivist to undertake measures as deemed necessary to arrange, describe

and retrieve records; as well as provide information, consultation, research and services related to the achievements of its legislative objectives. Section 13 promulgates the records management related responsibilities and duties of the National Archivist. This public official is assigned with the responsibility of the proper management and care of public records in the custody of the governmental bodies. This official, further, provides written authorisation to public bodies' intent on transferring records to an archives repository, destroyed, erased or otherwise disposed of (National Archives & Records Service 2007:51-62).

The record classification systems, like the file plans; conditions of records being microfilmed or electronically reproduced, as well as the electronic records systems of governmental bodies must all be determined by the National Archivist. In terms of the Act, the National Archivist is also required to conduct inspections on public records. The purpose of these inspections is to ensure public bodies care for and manage their records in compliance with the Act (National Archives & Records Service 2007:51-62).

The National Archivist, under the Minister of Arts and Culture, its parental government department, may formulate regulations which prescribe to governmental bodies matters affecting the management and care of public records still in the custody of governmental bodies. In terms of the Act, directives and instructions may be issued dealing with the management and care of public records in the custody of public bodies (National Archives & Records Service 2007:62). As the national and provincial archives repositories would be the culmination of one life cycle of the records, the archival legislations provides for role-players in the creating and maintenance phases, being records officials and records managers (Mnjama 2000). The characteristics and script of the records manager are determined in section 13. Public bodies are required to designate an official as their records manager, orchestrating compliance with the archival legislation. They are essentially entrusted with the management and care of the public records throughout their lifecycle, from conception until disposal (National Archives & Records Service 2007:47-48, 62).

5.2.3 Municipal Finance Management Act, no. 56 of 2003 (MFMA)

The Municipal Finance Management Act (MFMA) contains sections which have bearing on the management, care and disposal of financially related records in the public sector. As identified by National Treasury, the MFMA's purpose is to establish a basis for improved financial management, essential to improve service delivery and sustain municipal services. The attainment of financial sustainability in municipalities could be achieved through the establishment of clear and uniform standards of good governance and financial management (Booyesen 2012:5, 7). The MFMA has many similarities with the Public Finance Management Act, no. 1 of 1999 which specifically relates to national and provincial level public bodies.

Section 5(2) of the MFMA requires observance of prescribed uniform norms and standards, including recognised accounting practices as well as uniform expenditure and revenue classification systems (Republic of South Africa 2003). National Treasury may investigate any of the financial management systems of these public entities. This legislative item requires the accounting officers of the relevant public bodies to ensure effective, efficient and transparent financial and risk management systems are created, maintained and effectively controlled. Furthermore, section 62(1) requires accounting officers to keep comprehensive records of all financial affairs, according to prescribed standards (Republic of South Africa 2003). Clear correlations between the financial management components and records management functionalities demonstrating compliance, transparency and accountability are fundamental. Local governments must be able to account to members of the public and donor organisations on funding utilised for projects (Bigg & Salterthwaite 2005:28-32).

5.2.4 Promotion of Access to Information Act, no. 2 of 2000 (PAIA)

The significance of this legislative item is that it fulfills a good governance requirement (Annan 1998). According to sections 14(1) to (4) and 51(1) to (4) of this Act, the information officers from all public and private bodies are required to compile a manual which is required to contain:

- i) postal and street address, e-mail address, telephone and facsimile contact details of the information officer(s);
- ii) lists of records available without persons having to request permission to access the information;
- iii) a description of records available in accordance with other legislation and regulations; and
- iv) relevant details of records to facilitate the access to records by means of accurate subject descriptions of the records held by the body and the different categories of records on each subject (Republic of South Africa 2000:Sections 14(1)-14(4) and 51(1)-51(4)).

The PAIA manual is required to be regularly updated and presented when requested (Republic of South Africa 2000).

For security, administrative and financial reasons, public bodies may request to be exempted from provisions of the Act. However, this can only be done with permission from the Minister of Communications (Republic of South Africa 2000). Sections 23 and 55 stipulate that bodies which deny requesters access to records on the grounds that the records cannot be located, or they do not exist, will need to prove that procedures were followed to locate the record. Records should only be destroyed to comply with records management logistical requirements. Disposal of records is not meant to be used to conceal damaging mitigating evidence (Lor & Van As 2002:101-102, Opperman 2012).

In 2009, after lengthy and arduous legal processes, Biowatch, a non-governmental body, was granted access to the records in the custody of the Registrar of Genetic Resources and the Executive Council for Genetically Modified Organisms under the National Department of Agriculture. Biowatch was established in 1997 to “research, monitor and publicise issues around genetic engineering ... promote biological diversity, biosafety, food sovereignty and social justice” (Peekhaus 2011:545). This non-

governmental body became a test case for the implementation of the access to information legislation. According to the SA Human Rights Commission Annual Report (2005), the information requested related to granting of licenses, public participation processes, coordinates of field trials and crops approved for commercial purposes (SAHRC 2005). In this watershed case, the Constitutional Court ruled in favour of Biowatch and its legal team. This victory demonstrated how citizens could use the access to information legislation to protect their environmental rights, food systems and human health (Peekhaus 2011).

As noted by Peekhaus (2011), PAIA encourages openness and transparency which were absent in the previous South African political dispensation. The intentions of PAIA afforded South Africans proof of the Government's commitment to democratic principles of transparent and accountable structures (Peekhaus 2011:542). This is contrary to current efforts by the government to return to restrictions on access to information, concealment of clandestine evidence of maladministration (DeVos 2013). PAIA attempted to denounce past milieus of secrecy and suspicion (Peekhaus 2011:542). However, current records management practices and processes threaten PAIA because of the disclosure of information illuminating unscrupulous dealings of many officials and top-ranking persons (Allen 2009:12). Some of the problems and challenges which Cox (2005) describes in his encounters with organisations in United States and are echoed by South Africa public records management officials (refer to section 4.5.2), may be contributing to undermining PAIA and the introduction of the ominous Protection of Information Bill, colloquially dubbed the "Secrecy Bill" (Allen 2009:7).

As narrated in the questionnaires of records officials and records managers, accounts were provided of records being stored in areas with poor or absent access controls (Questionnaires completed by records management officers during 2009 to 2012, refer to section 4.5.2). This means many public records are too easily accessible to unauthorised persons who may remain undetected or accounted for. Further, many officials simply refuse to send their records to a centrally controlled records storage area

where access and control can be managed. Many officials mistrust the records management components in accessing the material once in their custody (Records management officials 2009-2012, refer to section 4.5.2). Compounding the records management challenges, are the absence of knowledge and control as to which records are being created and filed, or which information, documents or records are being removed and destroyed from files. Limited guidance and skills are of critical concern in the management of public sector digital information sources (Kwatsha 2010:84-87). The evidence of decisions being based on inaccurate information is reflected in the example of the Auditor-General report on a performance audit of the infrastructure delivery process at the departments of Education, Health and Social Development of Gauteng during 2010. Erroneous data utilised by the Education Department resulted in a surplus of primary schools and a shortage of high schools in the province (AG 2011c).

5.2.4.1 Protection of State Information Bill “Secrecy Bill”

Peekhaus (2011) and Allan (2009) have made the correlation between alarming records management capacity, absent in all South African public bodies, hampering efforts of openness and transparency. South Africa’s democratic enlightenment and good governance ideologies are shrouded by the Government’s intention to implement the Protection of Information Bill. This Bill proposes to curtail access to information rights and damage public participation and good governance (Peekhaus 2011:552, DeVos 2013). The objectives of the proposed Bill are to:

- i) regulate the manner in which State information may be protected;
- ii) promote transparency and accountability in governance, while recognising that State information may be protected from disclosure, in order to safeguard national interest;
- iii) establish general principles in terms of which State information may be handled and protected;
- iv) provide a methodical approach to determining which information may be protected;

- v) provide a regulatory framework according to which protected information is safeguarded;
 - vi) define the nature and categories of information which may be protected from destruction, loss or unlawful disclosure;
 - vii) provide the classification and declassification of classified information;
 - viii) create a system for the regular reviews of the status of classified information and requests;
 - ix) regulate accessibility of declassified information to the public;
 - x) harmonise its implementation with PAIA and National Archives Act; and
 - xi) establish a National Declassification Database of declassified information.
- (RSA 2010).

This proposed Bill will greatly impact on the country's records management programmes, where whistleblowers may be prosecuted (DeVos 2013). A fully functioning democracy and rights of access to information are symbiotic providing legal justifications for all South Africans to "penetrate the tortoise shell ... of institutions and bureaucracies ... [with] a tendency to retreat when under attack" (Allen 2009:1-2). These rights will be severely curtailed with the eventual promulgation of this legislative instrument.

5.2.5 Electronic Communications Transactions Act, no. 25 of 2002 (ECTA)

The chief objectives of this piece of legislation are to facilitate and enable electronic communications and transactions. Acknowledgement of the significance of electronically generated information for economic and social prosperity is afforded. The Act furthermore, promotes legal assurance and confidence in electronic communications and transactions (RSA 2002). It also promotes e-government services, electronic communications and transactions between public and private bodies, institutions and ordinary bodies (Jackson & Shelly 2010:11-12), such as the e-Filing of the South African Revenue Services. This functionality enables taxpayers to access and provide tax-related information online.

In addition, this Act promulgates on the development and maintenance of safe, secure and effective environments and conditions for customers, business and government to conduct and use electronic transactions. Further, the Act strives to ensure South Africa complies with internationally agreed technical standards to effectively participate in the global economy (RSA 2002, Opperman 2012). Section 27 and 28 of the ECTA encourage the utilisation of electronic file plans to index and classify records. The creation, retention and disposal of these information sources may be linked to other legislation. Like PAIA, this legislative item is applicable to public bodies, private entities and persons. Furthermore, electronic file plans must consider the type, manner and format of the data messages and electronic signatures. The operating systems must have criteria enabling the authentication of data messages and appropriate security control processes and procedures. These are viewed as essential, thus ensuring integrity, confidentiality and security of data messages and related transactions (RSA 2002).

As with financial regulated legislation, so too, with electronic records; is it essential for ICT components to become involved in the records management processes. More efforts for fully representative, contributory task teams are required. Several of the records managers in their questionnaires acknowledged that their entities have electronic information management systems, refer to section 4.5.2 (Records managers 2009-2012). However, as revealed by these respondents difficulties are encountered. These include: electronic systems which have been acquired but, not utilised by components due to poor support from the ICT components; financial resources are often inadequate to carry out the project from initial investigations to roll-out and follow-up actions; training and retaining staff to effectively manage the systems; and storage electronic document records management solutions (EDRMS) for storage that are outdated but still utilised by the public entity (Records managers 2009 to 2012).

As noted by Katuu (2012), few South African public bodies have actually acquired the complete EDRMS advocated by the National Archives. Electronic documents and

information sources are being produced, information dispatched, deleted and modified by employees. Often there are, minimal, or no, controls for monitoring use and destruction of this electronically generated information. Effective management of public sector electronic records concerning South African public bodies confronting the management of digital records is poorly populated (Katu 2012:52). Furthermore, tackling difficulties associated with long-term preservation by public sector national and provincial archival institutions that are inadequately equipped to preserve and manage archival valuable digital records are serious concerns for Katu (2012) and Allen (2009). While a public body, situated in Gauteng, is more advantageously positioned to find adequate technical guidance and assistance, the municipalities situated in more remote areas of provinces like Limpopo, Mpumalanga, North West, Eastern Cape, KwaZulu Natal and Northern Cape are logistically disadvantaged.

Recent interest in cloud computing, where computation could be organised as a public entity, like electricity, may provide more cost-effective solutions to creating and managing electronic documents and records (Carroll, Kotze & Van der Merwe 2012; Convey & Ferguson-Boucher 2011; Eccles & Ambrester 2011; Lavery 2011; Piña 2010, Jackson & Shelly 2012). Cloud computing visualises connecting computer resources, technical architecture like servers, storage and networks, facilitating on-demand network access to shared computer resources. These, in turn, store and provide the information with little human intervention or service provider interaction. Cloud computer users never own the physical infrastructure but, pay for the services or resources utilised. The advantages of cloud computing for South African public bodies may offer a more cost-effective solutions, particularly if multiple public bodies sharing the service (Jackson & Shelly 2012:6). As this is a very recent development, security issues and control access are some of the concerns resulting in many organisations being sceptical and reluctant to consider this option (Ramgovind, Eloff & Smith 2010:1).

As indicated by the records managers, public entities require knowledge from the public archivists to effectively participate in such electronic ventures which should enable

observance of best practices, good governance and legislative requirements (Records manager questionnaires 2009 to 2012, refer to section 4.5.2). Better communications with the public archivists would facilitate considerations concerning evidence specifications, records management functionalities and archival principles (Coble 2011:13-14). For a public body to function effectively and efficiently, it requires all creators and users of the information sources to be proactive participants (Stiller 2012, Greenwood 2012). Evoking Derrida's (1996) metanarrative, these performers all play their part in the orchestra striving to determine the official melody or metanarrative. All public bodies and their officials should be synchronising the management and care of the public records. As conductors the records managers, accompanied by a plethora of colleagues and guided by the relevant legislative requirements, good governance and best practices, manage and care for the records in their custody.

5.3 Practices of the South African National Archives & Records Service

The NARS Act, 43 of 1996, promulgates that governmental organisations create record keeping systems which may then be used to manage their records. Traditionally, these indexing systems were formulated to manage paper-based records. These were arranged and stored on what were referred to as “correspondence files”, taking cognisance of their size and practical storage conditions. The indexing system traditionally used for mainly paper-based records is also regulated by the public archivist as is the indexing system for digital records. The functional subject file plan, which South African governmental bodies are required to compile, have approved by the National Archivist, and subsequently, implement for correspondence files, is the similar system required for digital records (National Archives & Records Service 2007:61-62). This development complies with the requirements of the Electronic Communications Transactions Act (ECTA). According to section 10, manual and electronic records should be managed according to similar indexing systems (RSA 2002).

The functional subject file plan, on its face value, is an effective indexing system. It tries to dissect business functions into subject files. Then according to these files, subject matters, the records (information sources), associated with the business activity are arranged and stored. However, the selection of terminology are coupled to a numbering system often proving to be extremely challenging for South African records management officials and their counterparts (Records management officials 2009-2012, refer to section 3.2.5). One of the biggest challenges being encountered is the skills shortage characterising South Africa's public sector records management milieu, which includes poor literacy and numeracy skills (Research Focus & Content at Work 2010). Many records management officials are from previously disadvantaged communities in South Africa. Many have not had opportunities to acquire adequate literacy and numeracy skills (Research Focus 2010).

According to the survey conducted by consultants, Research Focus and Content at Work, in 2010, on behalf of the Department of Arts & Culture, 51,4% of the registry officials in public bodies have education levels below National Qualifications Framework Level (NQF) 4, i.e. matric (Research Focus 2010). The positions in the registry are often entry level and regarded as appropriate positions for officials being afforded opportunities to acquire Adult Basic Education Training (ABET) and acquire basic reading and writing skills (Questionnaires of records officials 2009 to 2012). The stigma of poor records management and the need to observe employment equity legislation resulted in an exodus of skilled and knowledgeable records management staff. Subsequently, cleaners and drivers have been promoted as records management staff (Questionnaires of records officials 2009 to 2012, refer to section 4.5.2). These appointees are then expected, with little or no training, to manage complex information management systems for paper and digital records.

Although the National Archives is required to approve the record keeping systems utilised by public bodies and its awareness of the contentious dynamics, with which public bodies have to contend, is debated. The National Archives' Records

Management Policy (2007) stipulates that the functional subject file plan must be simple, flexible and user friendly. The functions, otherwise known as the business processes of the organisation, need to be arranged according to support (or generic) and line (or operational functions). A support function is defined as the tasks enabling an organisation to accomplish its line functions. These functions are connected to legal instruments defining the structure, setup and practical necessities. A few examples are: financial control, procurement and personnel. Meanwhile, a line function is defined as the organisation's purpose or mission (National Archives & Records Service 2007:72-73).

At the Brisbane 2012 ICA Congress, Rajh (2012) emphasised the archivists' role of defending the selection and choice of naming conventions. This is also one of the conundrums encountered by South African records managers and archivists. The public archivists acknowledge the importance of consulting the organogram of the public entity as evidence indicating its various components and divisions (National Archives and Records Service 2007:107). The organogram enables the selection of descriptions of the main functions and subject files descriptions (National Archives & Records Service 2007:107-1084). As noted by records management staff, the approved indexing systems are intimidating and seldom user-friendly. In fact, the approved file plans are often complex. Thus, in spite of the offices having approved file plans, many officials find them extremely difficult to comprehend (Responses from records officials and records managers, refer to section 4.5.2). Its purpose as an effective indexing tool is defeated and undermined.

In Fig 5 is a section from the National Archives' prototype file plan for local government (National Archives & Records Service 2009). It is the main series for **Finance**, as well as its proposed electronic document records management structure, in Fig 6. The proposal of this study is for this series, or *fonds*, related to the management of information related to financial and procurement transactions to be aligned with standard accounting practices, using corresponding terminology. Hypothetically, more

accommodating file plans, easier to understand, improved cooperation from users should assure accessibility and requests are received from auditors must be considered.

5. FINANCE								
(For staff finance see 4/5 sub-series)								
NUMBER	DESCRIPTION	DISPOSAL	NUMBER	DESCRIPTION	DISPOSAL	NUMBER	DESCRIPTION	DISPOSAL
5/1	<u>Estimates</u>		5/4/2	<u>External loans</u>		5/11	<u>Settlement of accounts</u>	
5/1/P	Policy		5/4/2/1	Short-term loans		5/11/1	Telephone	
5/1/1	Annual estimates: Compilation of (Open a file cover for each year, e.g. 5/1/1-2010/11; 5/1/1-2011/12.)		5/4/2/2	<u>Long-term loans</u> (Open a file for each loan and number consecutively.)		5/11/2	Rail	
5/1/2	Excess		5/4/3	<u>Internal loans</u>		5/12	<u>Grants and pension fund: councillors</u>	
5/1/3	Financial statements		5/4/3/1	Endowment fund		5/12/1	<u>Payment of grants</u> (For staff see 4/5/2.)	
			5/4/3/2	Capital development fund		5/12/1/1	Executive Mayor	
5/2	<u>Evaluations</u>		5/5	<u>Rates</u>		5/12/1/2	Speaker	
5/2/P	Policy		5/5/P	Policy		5/12/1/3	Mayoral Committee members	
5/2/R	Routine enquiries		5/5/R	Routine enquiries		5/12/2	Pension fund matters	
5/2/1	Appointment of appraiser		5/5/1	<u>Determination</u>		5/13	<u>Collection of money</u>	
5/2/2	Valuation roll		5/5/1/1	Water		5/13/1	Water and electricity	
5/2/2/1	Arable land and farm portions		5/5/1/2	Electricity		5/13/2	Ambulance	
5/2/3	<u>Valuation Appeal Board</u>		5/5/1/3	Bus		5/13/3	Fire brigade	
5/2/3/1	Appointment of members		5/5/1/4	Swimming bath		5/13/4	Traffic fines	
5/2/3/2	Appeals and reviews		5/5/1/5	Market		5/13/5	Taxes	
5/2/4	Valuation certificates		5/6	<u>Subsidies received</u>		5/14	<u>Insurance</u>	
5/2/5	Objections against valuations		5/6/P	Policy		5/14/1	Appointment of brokers	
5/3	<u>Taxes</u>		5/6/1	<u>Individual subsidies</u>		5/14/2	Cases	
5/3/1	<u>Land and property tax</u> (For collection see 5/13/5.)		5/6/1/1	Dental clinics		5/14/2/1	All risk	
5/3/1/P	Policy		5/6/1/2	Roads		5/14/2/2	Fire	
5/3/1/R	Routine enquiries		5/6/1/3	Library		5/14/2/3	Third party	
5/3/1/1	Determination of		5/6/1/4	Wages		5/14/2/4	Money	
5/3/1/2	Tax certificates (E.g. when property is transferred.)		5/7	<u>Deposits</u>		5/15	<u>Accounting responsibility</u>	
5/3/1/3	Remission		5/7/P	Policy		5/15/1/1	Provincial	
5/4	<u>Loans</u> (For staff loans see 4/5/4 and for loans to the public see 5/16/1/3.)		5/7/1	Water and electricity		5/15/1/2	<u>Internal</u>	
5/4/P	Policy		5/8	<u>Funds and levies</u>		5/15/1/2/1	Monthly reports	
5/4/1	<u>Borrowing powers</u>		5/8/1	Capital development fund		5/15/1/2/2	<u>Enquiries</u>	
5/4/1/1	Applications and approvals		5/8/2	Reserve fund		5/15/1/2/2/1	Market	
			5/9	<u>Investment</u>		5/15/1/2/2/2	Abattoir	
			5/9/P	Policy		5/15/1/2/2/3	Parks	
			5/9/1	Long-term		5/15/1/2/2/4	Transport	
			5/9/2	Short-term		5/16	<u>Financial assistance</u>	
			5/10	<u>Claims</u>		5/16/1	<u>By council to the public</u>	
			5/10/1	Salaries		5/16/1/P	Policy	
			5/10/2	Accidents		5/16/1/1	Donations	
			5/10/3	Compensation		5/16/1/2	Bursaries	

Fig 7: Main Series 5 Finance (National Archives and Records Service 2009).

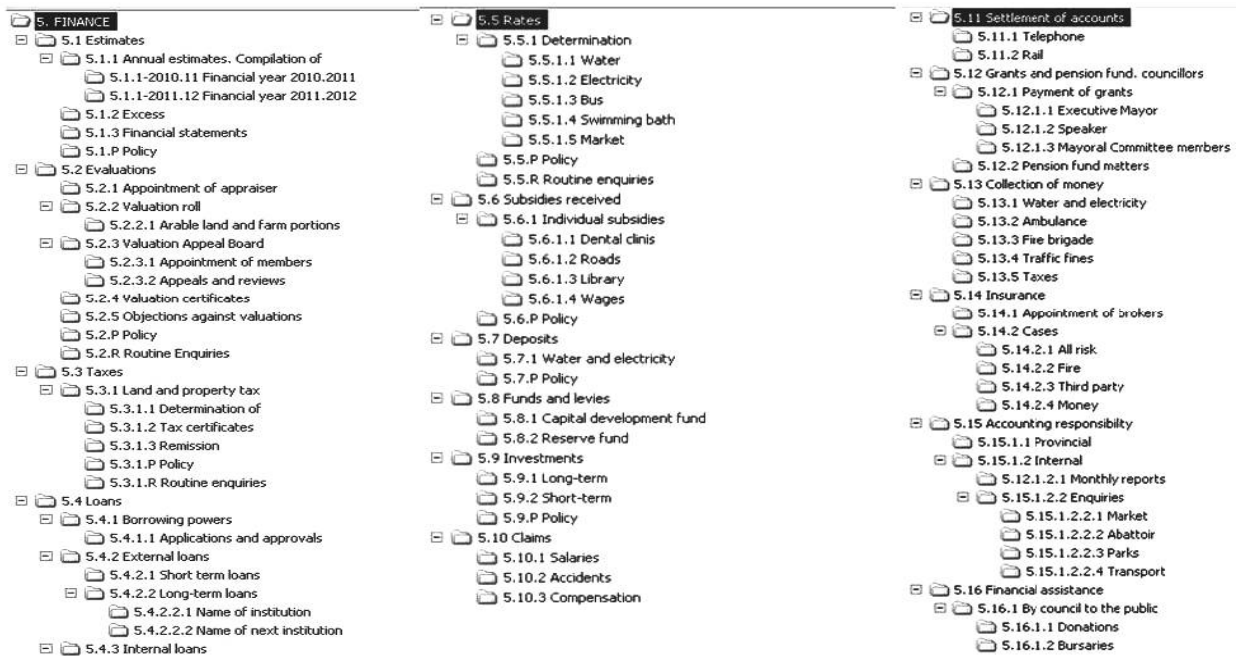


Fig. 8: Proposed electronic file plan structure for series 5: Finance (Own configuration).

In addition if, as suggested by Derrida (1996) and Foucault (1992), lexicology is the power play of the public archivists to define and direct the narrative of South African public bodies, the involvement of the public archivists cannot be ignored. The public archivists, thereby, contribute to the problems of lost records required by the Auditor-General as evidence of governance and transparency. The power play continues in the realm of digital records, where computer skills are vital. Paper-based and digital records encounter similar calamities. If the information has been securely and correctly filed or captured, the complexities of the approved file plans compound the challenges of locating relevant documentation to substantiate revenue and expenditure undertakings. If accountability is largely based on financially related information, standard accounting practices should form the basis of the indexing criteria of such information sources (Isa & Nordin 2012). This criterion may then improve accessibility.

5.4 Challenges concerning electronic records

Faced with the ever-changing Information Age, the role of the records manager has intensified. This official is now responsible for overseeing the development and management of the organisation's records management programme; ensuring that the record keeping practices are effectively constructed and managed to effectively address the organisation's objectives; and complying with the legal requirements from the legislative instruments having bearing on the organisation's records (National Archives & Records Management 2004b). Under advisement from the public archivist, the records managers' tasks also necessitate their involvement with the selection, management and control of electronic records. If the organisation wishes to remain relevant in the global economy, it is extremely important for records managers to keep abreast of developments and agreed international standards concerning the management and care of electronic records (Hoffmann 2012). It is the contention of this study that international organisations should stipulate mandatory observance and compliance with internationally agreed standards of compliance and good governance concerning electronic records. These standards should include:

- i) the United States Department of Defense Standard Department of Defense's Records Management Software Application: mandatory criteria for suppliers and a "defacto" standard defining the fundamentals of the electronic records management software applications (Department of Defense 2012);
- ii) European Union Model Requirements for the Management of Electronic Records (Moreq) 2 (European Commission 2001, European Commission 2008, Staunton 2012);
- iii) International Organisation Standards 15489: Practical design and implementation methodology for information, documentation and records management (Crockett & Foster 2012:4);
- iv) ISO 15801: Electronic imaging: trustworthiness and reliability: audit trail;
- v) ISO 23081: Information and documentation: metadata in the records management environment (Waldon 2008).

- vi) ISO 16175: Principles and functions for records in electronic office environments (ISO 2010a, 2010b and 2011).

These benchmarks should be endorsed as determining criteria for public entities receiving, or hoping for, financial or related assistance from donor agencies, including those with affiliations to the United States of America, the European Union and related entities.

5.4.1 International standards

The United States' Department of Defense's functional requirements for records management application software standard is used by the Defense's components in the implementation of their records management programme. This *defacto* standard defines the interfaces and search criteria required in records management applications (United States Department of Defense 2007). It too, describes the minimum records management requirements as determined by the United States National Archives and Records Administration (United States Department of Defense 2007). As highlighted by Krahn (2012), The United States' National Archives and Records Administration strengthened this venture by supporting the "detailed and testable system specifications for use by creators in the design, testing and procurement of software products" for electronic records (Krahn 2012:90). All service providers striving for business opportunities with United States affiliated enterprises will generally strive to comply with these requirements or risk being sidelined from prospective ventures (Hoffmann 2012). Although this standard was originally formulated to satisfy the records management requirements, including "directives, policies, guidelines and procedures, as well as applicable executive orders, national and international standards, codes and regulation of ... applied records management software applications for current or active records" (Krahn 2012:68,79); its endorsement by the National Archives and Records Administration attracted the attention of public archivists in South Africa (National Archives and Records Service 2007:10). Public bodies managing to, or intending to, attract funding for international donor organisations from affiliations to the United States of America, thus, need to be aware of the criteria concerning records management

requirements. As noted by Hoffmann (2012), the advantage of better connectivity to communities and like-minded professionals people elevates the management of information sources to a governance level.

Utilising an evaluation programme, this standard is used to ascertain compliance with determined records management functionalities. In the United States of America, federal government structures are required to utilise records management applications from compliant service providers (Bantin 2008). This standard requires records management applications to:

- i) identify record categories and their related disposal interactions;
- ii) identify records and provide adequate contextual information;
- iii) store, preserve and protect electronic records;
- iv) be capable of searching and retrieving electronic records;
- v) track the records' disposal schedule status; and
- vi) perform disposal instructions like closing procedures, transferring or destroying.

The applications are required to enforce security needs and declassify the records (United States Department of Defense 2007). Furthermore, they place the concept of the record as the centerpiece of the system. Focus should be on the business processes, related records and associated activities rather than the technology (Isa & Nordin 2012).

The records management applications must be able to identify the records functionality. These business requirements are the decisive factor during the process of selecting appropriate supporting technologies. Facilitating and regulating internal and external access to the records through all lifecycle phases should be assured. The technology must adequately address migration challenges. The records' integrity and authenticity should remain intact (Isa & Nordin 2012). Capabilities of integrating diverse document forms and formats into records are essential for the legitimacy of the applications.

Thus, these applications must safeguard and secure the metamorphosing phases of the records from birth to disposition. These electronic applications must support the legal, evidentiary and accountability criteria of an organisation. The digital records must remain usable and reusable for current and future use (United States Department of Defense 2007).

MoReq2010 is the European Union specification for information and records management applications for digital records. It also advocates for electronic document records management systems (EDRMS). The managing solution should be able to manage paper and digital records in accessible, secure and integrated systems (Staunton 2012). A requirement of the EDRMS was compliance with statutory requirements on creating and managing records. Within the European Union, service providers have to provide solutions that integrate human resource (HR), enterprise resource planning (ERP), purchasing accounts, customer relationship management (CRM), enterprise content management (ECM), e-mail and organisation-specific systems (Staunton 2012). MoReq2010 requires an integrated approach from archivists and records managers. As noted by Staunton (2012), “archiving may not be at the top of the boardroom agenda ... but compliance is” (2012:3).

Cognisance and better acknowledgement of the records manager's directing role and subsequent implications on governance and best practices concerning access to accurate, reliable information is desperately needed in South Africa. Records managers either facilitate or hamper efforts to ensure transparency, accountability and open governance (Pember 2006:22-23). As suggested by Pember (2006), evidence of this realisation would be through observance and participation in global ventures directing agreed international benchmarks concerning the creation, maintenance, use and disposal of information sources (2006:27-29). Complying entities would provide evidence of their commitment to governance and best practices concerning information management.

5.4.2 Standards and best practices affecting records management

The South African National Standard (SANS) 15489, based on the globally recognised standard ISO 15489, defines the practical design and implementation methodology for information, documentation and records management. Like the United States and Commonwealth countries, like Australia and New Zealand, the South African National Archives & Records Service has endorsed this as a records management standard (National Archives & Records Service 2007). The key objective of the standard is to ensure that electronic records are managed according to recommended infrastructure, policies, strategies, procedures and systems which ensure that all record formats are managed in an integrated manner (National Archives 2004b:3).

SANS 15489 provides guidelines for the implementation of sustainable records management in eight steps. These steps are:

- i) preliminary investigations,
- ii) analysing business activities,
- iii) identification of records requirements,
- iv) assessment of current record keeping systems,
- v) identification and formulation of strategies to satisfy records requirements,
- vi) compilation of record keeping systems,
- vii) implementation of system and
- viii) post-implementation reviewing and assessment (Mullon 2009).

The adoption and compliance of SANS 15489 is recommended by both public and private bodies. This observance of this standard demonstrates intentions of public and private entities to manage their digital information, complying with internationally accepted standards. South African public bodies are not mandated to observe the standard, although endorsed by the National Archivist (National Archives & Records Service 2004b). However, there are no penalties or consequences if the standard is not observed.

Meanwhile, SANS 15801 focuses on the challenges with imaging, or scanning hard copy documents and storing them in an electronic system. Many organisations scan their documents on receipt in the morning. As a security precaution, only the electronic versions are then circulated. As the Electronic Communications Transactions Act, no. 25 of 2002, allows electronic versions, including scanned documents, to be accepted as legal evidence, SANS 15801 determines the authenticity criteria of the information sources. The audit trail requisites are defined to ensure the scanned images are trustworthy and reliable (Mullon 2006). Ideally, the audit trail should be electronically generated by the system. The audit trail records must be unalterable, accessible and readable during the migration process, when the digital material is configured to a subsequent generation (Hedstrom 1996:1).

SANS 23081 has also been accepted as an international benchmark concerning metadata in the records management environment. Metadata is information which distinguishes documents, records or files as being unique objects from other documents, records or files (Opperman 2012). Essentially metadata:

- i) Enables documents, records or files to be found within a collection.
- ii) Provides support to the operations of the record keeping system;
- iii) Facilitates the retention of the contextual information of the documents, records or files; and
- iv) Safeguards future interpretations of the documents, records and files when they have been archived, with little or no access to the originators of the documents, records or files (Roper & Miller 1999d:53-54).

According to this standard, the minimum metadata requirements are being able to identify the record by means of a unique identifier, record name, record structure, date and time of creation, and its relationship to other records. The creator, author and organisation must be identifiable, as well as the access and security restrictions (Gladney 2007).

This standard underlines the importance of policies, mandates and business rules as to incentives for the creation of information sources. It also requires metadata to capture the business processes. The functions and activities creating and using the records should be incorporated in the metadata. The standard correlates the records' metadata to the records management processes like the file plans, disposal authorities, records' retention periods and related processes (National Archives & Records Service 2004b, 2007).

SANS 23081 relates to the Dublin Core Metadata Initiative (DCMI). In 1995, this international body, the DCMI, identified a need to impose a predetermined order for electronically generated information and systems (Kettunen & Henttonen 2010:43-44). This body further decided that defining criteria concerning *information* would improve the quality of automated finding aides. Ideally, these descriptions should be generated with minimal human intervention. The Dublin Core's mandate was to formulate easy-to-create and maintain descriptive formats (Kettunen & Henttonen 2010:45). The chief purpose of DCMI was facilitating cross-domain resource recovery on the web but, evolved as a model of resource discovery (Van de Sompel & Lagoze 2002:144-146). The Dublin Core Metadata Initiative was recognised as socially developed standards applied to social and technical fields (Van de Sompel & Lagoze 2002, Baker 2005). Contextualised to South Africa, the South African National Archives and Records Service identified the records management metadata that needs to be captured and included (NARS 2006b:7-8, 13-22). The essential metadata is: "the identity of the record, unique identifier, records name, record structure, date and time of creation, relationship with other records, the identity of the creator, and access security restrictions" (NARS 2006b:7-8). In addition, metadata concerning policy, mandates, business processes as well as relationships to file plans, disposal authorities and retention periods are also included (NARS 2006b:13-22). Fig 8 below illustrates the essential metadata elements adopted by the National Archivist concerning vital records and audit trails:

Vital record information	
Metadata element	Vital record indicator
Indexing Method	User defined/ configured beforehand based on a policy
Purpose and Description	<p>An indication if the records:</p> <ul style="list-style-type: none"> • protect the enduring civil, legal, financial, property and other rights of the citizens of a country. These records may never be destroyed. • are needed to continue operational responsibilities under disaster conditions. Office is to decide how many years' worth of records are needed to continue operating in disaster conditions – this will influence the retention period. • protect the legal and financial rights of the governmental body. Office is to decide how many years' worth of records are needed to continue operating in disaster conditions – this will influence the retention period.
Responsibility	<ul style="list-style-type: none"> • Records manager defines which qualify. • System administrator ensures proper configuration.
Metadata element	Vital record review date
Indexing Method	User defined/ configured beforehand based on a policy
Purpose and Description	The date at, or time period after, which a review of the vital record status is appropriate.
Responsibility	<ul style="list-style-type: none"> • Records manager defines beforehand. • System administrator ensures proper configuration.
Audit information	
Metadata element	Audit trail
Indexing Method	System generated
Purpose and Description	Identification of users who have taken significant actions on the record through its lifecycle, the action taken (for example: create, edit, copy to new version, delete/transfer, etc), the date the action was taken.
Responsibility	<ul style="list-style-type: none"> • Records manager and risk manager define beforehand. • System administrator ensures proper configuration.

Fig 9. Metadata for vital records and audit trail (NARS 2006b:22).

The South African National Archives (2007) advises public bodies to consider reliable systems, compliant with accepted international standards and best practices. Public bodies are encouraged to consider integrated document records management systems (EDRMS). Further recommendations are for the systems to be effective and well managed and to prevent unauthorised additions or changes to the directory structure or deletions of folders from the electronic file plan (NARS 2007). Like the paper medium records, digital records should be filed chronologically in related subject matter folders. This facilitates retrieval, simultaneously preserving the business context and observing

archival provenance principles. Further advocated by South African National Archives & Records Service is electronic records management software (EDRMS), with predetermined filing facilities and not purely document management capabilities (NARS 2007). It is then required that creators and users of the records allocate digital records to the correct folder in the electronic file plan. This step would ensure that all digital information sources are stored in the correct folders (NARS 2007). However, as indicated by records managers in section 4.5.2, the lack of commitment from senior management and reluctance to adequately budget for the successful implementation and maintenance of fully fledged electronic records management solutions remains a problem (Records management officials and records managers 2009-2012).

Public bodies are encouraged to utilise appropriate EDRMS software. These programmes must have the capacity to ensure documents on related subject matters are linked. Related documents should be viewed in context and retrieved as single, related units (NARS 2009). South African public bodies are encouraged to safeguard the metadata to ensure each electronic document retains its context. The context is the essential ingredient for the information sources legality and the determining factor in assessing its archivalness (NARS 2007:10).

The contents of documents must be connected to their authors, where they originated, when they were created and where they are permanently located. All these elements must be captured and preserved by the records management software (NARS 2004). The records management applications must perform records management procedures concerning the disposition of records. The software may have built-in indicators prompting disposal actions but, not automatic software-driven destruction capabilities. Electronic records must be able to be archived. Public bodies opting for electronic document records management systems for archiving their records must consider appropriate EDRMS software. The capabilities of the software must preserve the records' formats, profiles and supporting metadata during the archiving process (NARS 2004b:35-38).

Further integral considerations are quality assurance. The information sources' evidentiary values reflective of the entity's business objectives must be assured. Accessibility and reviewing of sensitive metadata are essential to ensure the records can be understood and read. The software should facilitate easy accessibility. Sensitive records should be protected from unauthorised access (NARS 2009). Development of different security levels within the system should be incorporated. Different users should be assigned with appropriate security clearance rights to access relevant records. Version control should be managed. Final versions of documents should be filed into the repository. Mechanisms preventing the editing of final versions of the records are mandatory (NARS 2009). Ideally the integrated software should accommodate the management of both hard copy and electronic records. Features like file tracking, labeling, destruction, transfer file management and bar-coding are important components of the solution (NARS 2007:148-151).

The goals of the integrated EDRMS are the implementation of a complete solution with the records management requirements. The systems should address internet, internal and external access to records and system migration. Further determining elements are the system's abilities to store and convert records in formats adopted internationally, like converting documents from standard word processing programmes, to internationally recognised open source formats. These formats enable digital records to be migrated to newer generations of software (Biagio & Ibiricu 2008:175-176).

Although the National Archives would like public bodies to implement and utilise fully functional EDRMS, few are doing so. In effect, most public bodies, like those responding to the questionnaires, only implement and utilise the electronic document management systems (EDMS) of recognised service providers (Records managers 2009 to 2012). EDMS is an integral component of the records management applications. It facilitates the creation, capture, arrangement, storage, retrieval, manipulation and control over electronic documents, including scanned items (NARS 2009). Public entities are able to manage the creation of documents, capturing of hard

copy documents in electronic formats, storage, editing, printing and processing. However, the records management functionalities of accessibility of the information and implementation of systematic disposition programmes, as essential components identified as compliant with global standards of corporate governance and best practices, are often absent (Staunton 2012, Wilkins, Swartman & Holt 2009). The records management functionalities are crucial components of the US DoD 5015.2, MoReq 2010 and ISO 15489 (Department of Defense 2012, European Commission 2008, Staunton 2012, Wilkins, et al 2009). Public entities receiving funding for poverty eradication and sustainable development ventures may be more attracted to entities conscientiously observing governance and best practices to manage and safeguard access to reliable, authentic information.

5.5 Records of archival value

In accordance with the archival legislation, the South African National Archivist, like many of its international counterparts (Hoffmann 2012), is assigned with the responsibility of ensuring that the National Archives enhances and preserves the country's national heritage. For this reason, the National Archives is also assigned with the task of ensuring all public records are arranged, managed and cared for in accordance with prescribed archival regulations and requirements (NARS 2007). It is also assigned the task of identifying public records having enduring value and which may be accessible to the general public 20 years from the date that the records came into being (Harris 2000:40). The National Archives' primary objective, when conducting the processes of appraisal on public records, is to differentiate between the records having enduring value from those adjudicated as being purely ephemeral. The latter records may be considered for destruction by the creating public body (NARS 2007:26-27).

This objective is, moreover, an influencing factor when the National Archives performs its various records management processes from the approval of the record keeping systems to processing requests for disposal authority. The National Archives, in

essence, views all public records from its perspective. In particular, the public archivist must consider the volume of information sources that can be accommodated in the country's public archival facilities. Bearing this factor in mind, logistically and cost-effectively, it is impracticable for the National Archives to recommend 100% of any public entities' records be preserved for archival purposes. Like archival institutions around the world, the South African public archival services and corresponding archival programmes run on the "proverbial financial shoestring" (Cox 2005:37).

As noted by Harris (2000), based on the macroappraisal methodology, the public archivists is required to select the richest source of information. These sources should reflect the milieu in which the functions and activities of the public body are contextualised. Thus, the archival principle of provenance is the underlying factor influencing and determining archival value (Harris 2000:40-41). According to the National Archives Act, the archival valuable records should be transferred for archival storage 20 years from the date the records came into being (NARS 2007:27-28). The archival valuable records identified in an approved file plan brought into operation in 2010 should be transferred to a national or provincial archival repository in 2030.

Fig 3 on page 102, illustrates the disposal and destruction instructions applied to financial and procurement related information sources. Much of the information sought by the Office of the Auditor-General is information located in sources that may ultimately be destroyed. Thus, the governance barometer requiring information from the evidentiary items, managed in accordance with the approved record keeping systems, are those ultimately recommended for destruction. The ephemeral nature and irrelevance to heritage is consequently sidelined by the public archivist.

5.6 Supporting business processes

In essence, when the National Archives approves the record keeping systems for both manual and electronic systems, it views the records and encourages public bodies to separate potentially archival valuable records from those with information regarded as

solely ephemeral. This differentiation enables the public bodies to execute systematic disposal programmes. Ephemeral records may thus be destroyed regularly. The destruction process enables public bodies to use the available space more efficiently for the storage of manual records, like the registry offices or other record storage areas (NARS 2007:26). The process furthermore, enables public entities to utilise expensive electronic hardware and software more cost-effectively. The percentage of records generally identified as having archival value, and which are the National Archives' main concern, are required to only constitute about 5% of a governmental bodies record holdings (Harris 2007). Thus, a governmental body with 1million records should only contribute 50000 records to the National Archives' archival holdings. In accordance with the National Archivist's written disposal authority, the remaining 950000 public records would be recommended for destruction.

As suggested by Hoffmann (2012), when approving the newly created record keeping systems for public bodies, the National Archives should rather view the systems from the perspective of the public body's clientele, the general public. The chief objectives of the record keeping systems should ensure relevant, accurate information can be located (Stiller 2012). The information must remain easily accessible to equip the public body while performing its constitutionally defined functions and services to the South African general public, from conception until disposition.

As proposed by Cox (2006:147), to be truly effective, the National Archives needs to conduct more investigations, visit offices, discuss and engage more with records managers, records management staff, consultants and other role-players actively involved in formulating workable records management solutions. The information sources, regardless of their *archivalness*, must satisfy the public bodies and comply with National Archives regulations and requirements. Utilised constructively, these interactions could enable the National Archives to formulate and regulate more relevant, yet workable, policies, procedures and solutions. These interventions could then adequately address South African public service records management requirements

and improve the quality of the records. Ultimately ensuring that the information can be found, deciding which offices need to make better decisions and provide better, proficient service delivery would be commendable (Cox 2005:175-178). The public bodies can then contribute towards reducing poverty levels and provide basic services enabling the country to attain sustainable development. Allegations of corruption and mismanagement can be effectively dealt with because accurate audit trails exist. Responsible perpetrators identified, prosecuted and relevant funds re-allocated to intended programmes and services.



Fig 10: Training records management officials, Eastern Cape 2002 (Own collection).

4.7 Transforming the public archivists' Cinderella status

In spite of the spotlight from the media and Auditor-General reports concerning poor records management, the National Archives downplays its significance and contributory role, as required by the Constitution, to governance, transparency and accountability (Allen 2009). The accessibility of information in public records, a key element of the National Archives and Records Service Act, no 43 of 1996, is crucial in addressing effective service delivery and compliance. More effective, interactive policing methods, inter alia effective inspections, policies and engagements, would:

- i) ensure unauthorised information is not disclosed to the media;

- ii) safeguard information from misuse against governmental bodies to settle claims out of court;
- iii) prevent information ending up at unauthorised sources; and
- iv) enhance the significance of the National Archives & Records Service.

As suggested under section 4.2.4, the National Archives' inability to effectively ensure that public bodies manage all their records in accordance with responsible records management practices is what contributes to the endangerment of the Promotion of Access to Information Act. The emergence of the Protection of Information Bill threatens to continue South Africa's legacy of secrecy, mistrust and suspicion (Allen 2009:210). According to Allen (2009:150-151), South African public bodies prefer to be viewed as defensive, rather than transparent, when dealing with access to information. The poor allocation of resources, ineffective policies and procedures and the appointment of incompetent staff are evidence of Government's resistance to transparency and control over what and when information is publicly disclosed (Allen 2009:192,199).

In its annual reports, the National Archives affirms the rationale why it cannot adequately perform its promulgated functions. Justifications are attributed to the lack of required human resources (Research Focus 2010, and inadequate financial resources, as identified by Allen (2009). However it fails, together with its parent Department of Arts and Culture (DAC), to demonstrate its significance, as a governance facilitator. A fully functional National Archives and Records Service could legitimately contribute to the country's democratic processes. However, this is severely curtailed when viewed in the DAC's budget for 2011 – 2012:

"Administration - R 178,757 million
 Performing Arts, including our Arts related institutions – R549.379 million;
 National Language Service, including the PANSALB – R101.570 million;
 Cultural Development – R180.717 million;
 Heritage, which includes our heritage institutions and museums – R763,702 million
 National Archives and Language Services, including conditional grants for community Libraries – R694,452 million."

Source: Duggan 2011a.

According to a South African newspaper, the *Mail & Guardian* in April 2011, as previously indicated, only seven out of 237 municipalities were given clean audits for the financial year 2009 – 2010 (Losing faith in local government ... 2011). The same newspaper reported on 13 August 2013 that only 17 clean audits were recorded in the 2011 – 2012 consolidated report on local government (Only 5% of local governments have clean audits ... 2013). The public archivists cannot only regard their significance from the perspective of archival valuable records. By doing so, the public archivists fail to market their entity as credible contenders for better financial and human resources allocations to meet statutory obligations.

The contention of this study is that the South African National and provincial archival services should be viewed as a more essential government service. However, this transformation can only be achieved, if utilised more effectively and if positioned in a way similar to that of the Office of the Auditor-General. NARS should be determining governance by ensuring information needed is more effectively managed and accessible. Public archivists should be conducting regular inspections at offices to ensure compliance (NARS 2007:231-233). When encountering problems, the public archivists should be at the forefront of ensuring public bodies adhere to the prescribed policies and procedures. However, because the national and provincial archives poorly interact with most public bodies, with for instance only 56 inspections conducted at public bodies in the financial year 2009 – 2010 (DAC Annual Report 2009-2010:19); it fails to provide legitimate and workable solutions to the problems being experienced by many public bodies, including local governments.

5.8 Conclusion

In attempts to ensure South Africa remains relevant in the global economy and Information Age, the National Archives has been involved in investigations concerning electronic records (National Archives & Records Service website 2011b). Involvement of the National Archives, in association with representatives from the private sector, participating in a South African Working Group to collaborate with international

counterparts to formulate the ICA modules for training archivists and records management in matters relating to electronic office environments is one example (National Archives & Records Service website 2011b). In spite of the efforts of a few public archivists, interest in the well-being and effective functioning of the public archival services in South Africa is lacking.

Many of the prescribed records management policies and processes are not observed. Few understand and practice effective record management processes on their hard copy records. It is, thus, questionable whether many South African public bodies, particularly those in more remote areas, are effectively able to manage electronic document records management systems. Without conducting effective inspections, actively engaging with public bodies and then permitting a public body to introduce complex EDRMS, the National Archives contributes towards the misuse of State expenditure. South African public archivists should contribute to the narrative of eradicating poverty and should be supporting an enabling environment conducive to sustainable development venture, if it focused on three objectives. The first objective is the constant monitoring and regulating of record management processes in public bodies. The next objective involves the approval of record keeping systems which adequately address objectives, goals and governance requirements of the public bodies. The final objective is to formulate policies and procedures capturing the essence of the socio-political challenges being experienced in public bodies. Meeting these objectives would enable the records managers and public archivists to narrate and capture their roles in recording the metanarrative of eradicating poverty, achieving the MDGs and contribution to sustainable economic development. The public archivist would indeed have credible information sources, retained for heritage purposes and nation-building.

CHAPTER 6: ARCHIVE OF RECORDED EVIDENCE, GOVERNANCE AND DEVELOPMENT

6.1 Introduction

Records, regardless of form, or medium, provide evidence to a wide range of users for insurmountable uses. Ascertaining governance, best practices, decision-making and prescribing the political metanarratives of the dispensation are examples of the power contained in the information sources. As gatekeepers and chief narrators, the records managers and archivists are tasked to compose the metanarrative of post-apartheid South Africa. Thus, the archive of a poverty-free, post-apartheid South Africa intent on narrowing the gap between the have and have-nots, simultaneously creating viable socio-economic prospects are evident from accessible public records, digital sources, media reports and social media platforms. As already revealed in the Auditor-General reports, discussed in Chapter 4 (under section 4.5.1) as gatekeepers, the records managers' and public archivists' participation in this narrative cannot be ignored. This is substantiated by the National Archives and Records Services Act, 43 of 1996, which regulates the prescribed policies, procedures and tools for the care and management of public records, both in the custody of the public bodies and in archival holdings (NARS 2007:11, 19, 42, 47).

Eradicating poverty, attaining the MDGs and the associations with well-managed, governance-based evidence should provide incentives to reposition the importance of managing public records and archives. As concluded by Green (2013), access to information is “an essential tool of citizenship. . . [which] allows people to make informed choices and strengthens their ability to demand their rights” (2013:43). Increased access to radios, television, mobile technology and the internet has enabled and increased the poor's access to information, allowing them to be more visually vocal and assertive of their dissatisfaction with poor governance and ineffective service delivery (Green 2013:43-45). Public sector records management should be enforcing more stringent, accountable, transparent and operationally, relevant management of public

records. Areas of particular relevance for this study are local governments. As noted in Chapter 4, local governments are required to create and sustain viable conditions stimulating community development, socio-economic ventures, social upliftment and employment opportunities. Concerns like those expressed in the 2011-2012 Auditor-General report on local government (AG 2013a), reveal worrisome circumstances leading to violent service delivery protests.

South African public archivists and records managers participate in the “making poverty narrative” by providing access to “comprehensive records of all financial transactions” (RSA 2003, Section 62(1)), required by the auditors to assess governance, provide transparency and accountability to taxpayers, affected and interested stakeholders, identify risks and compile clean audit reports. The reported findings of the Auditor-General are dependent on the accuracy of available information in the various public sector information sources, including those assigned to the records managers, in terms of the National Archives Act, no. 43 of 1996 (NARS 2007:19-20). As mentioned, these findings provide audiences with vivid imagery of the capacity of local governments to generate and maintain viable, stable conditions conducive to socio-economic, social upliftment and employment ventures. Concerns revealed in the report from the financial year of 2010-2011 disquiet revelations manifested through “roots causes” and “poor observance of best practice recommendations” concerning leadership, financial and performance management and governance (AG 2012a:37). Upon analysing and identifying the core risk factors, the report reveals that only 37% of South African local governments practice “good record keeping” and only 22% had effective control of their information technology systems (AG 2012a:37), refer to Fig. 10 below. These two high risk management constituents serve as catalysts, igniting violent service delivery protests, due to financial resources being poorly managed, controlled and correctly directed to procure goods and services due to lost, misplaced or removed documentation.

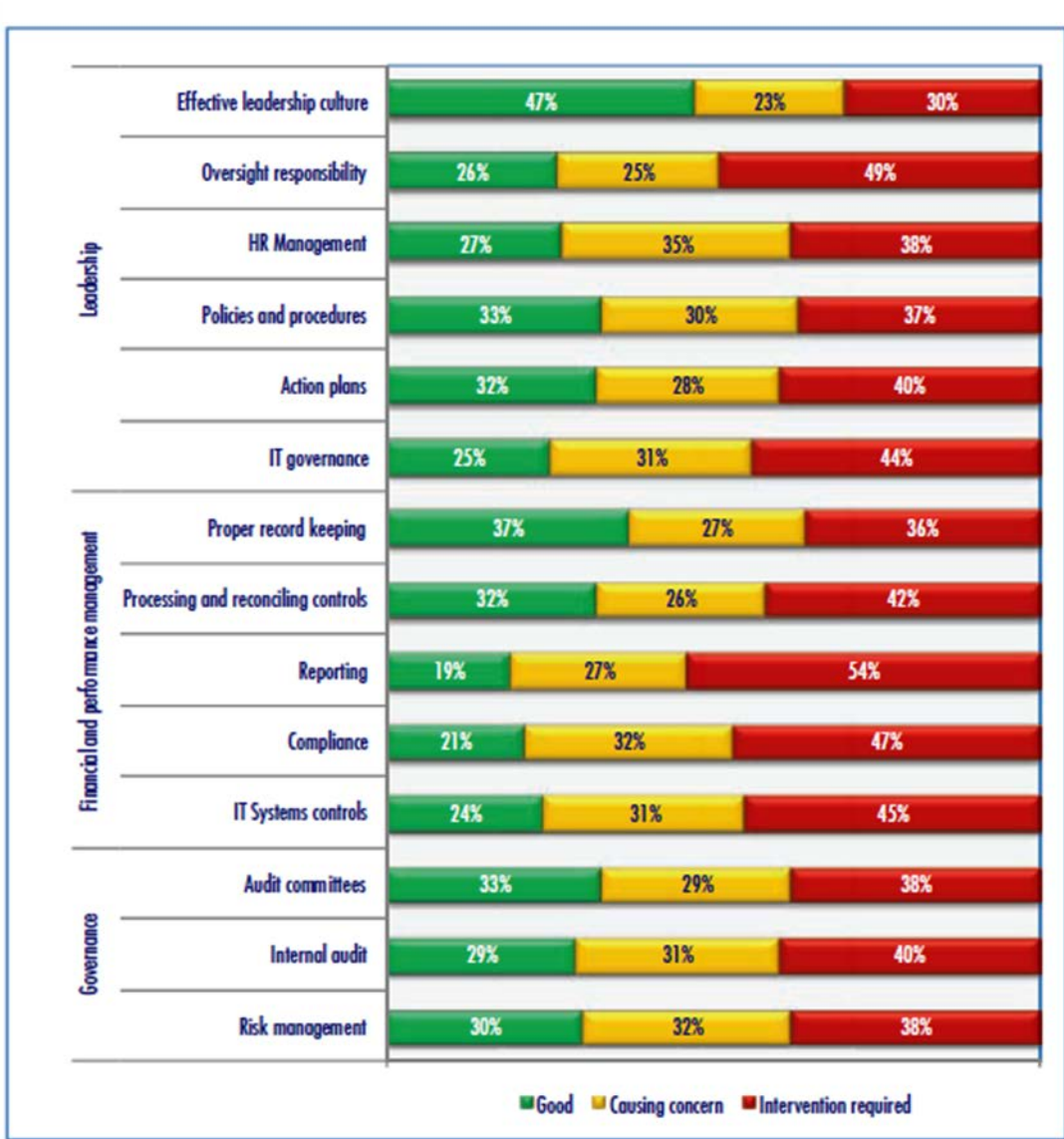


Figure 11: Auditor-General assessment of internal controls in local governments for the 2010 to 2011 financial year. (AG 2012a:43).

Recorded evidence in paper and digital format, regardless of medium or form (NARS 2007:7) contribute to the narrative of poverty eradication and sustainable development projects. As viewed by the international financial institutions, World Bank and the International Monetary Fund (UNCTAD 2000:18, Woods 2000:823), records provide accurate, reliable evidence on the utilisation of financial resources and involvement of related decision-makers. Furthermore, accessible records provide legal evidence of misused financial resources by transgressors and perpetrators (Woods 2000:824).

Conscientious observance of the governance indicators discussed under section 6.3, are reliant on accessible information sources to provide proof, are regarded by entities like the United Nations and World Bank as essential requisites to eradicating poverty and attain the MDGs (Green 2013:258-259). Records managers and public archivists contribute to the narrative as information gatekeepers. Accessible, reliable information would enable local governments to generate transparent and accountable conditions promoting sustainable economic activity. The subsequent economic spinoff would generate employment programmes for individuals from local communities, including women. The lack of credible information, as reflected in the low percentage of clean audits (AG 2012a, 2012b), is visually evident from the newspapers, online media and television broadcasts on violent service delivery protests. As suggested by Green (2013) the poor, including those individuals and communities resident in South Africa, are equipped with the tools to access information more frequently. The poor as thus equipped with information to question whether or not the Government and elected leaders have addressed their concerns and basic rights. The plethora of information tools, not necessarily controlled by the public archivists, records managers or auditors, further contributes to the archive and metanarrative of making poverty history. Recorded evidence, from various media, are sculpted by an array of users to reflect a broad spectra of voices, both nationally and internationally, related to the post-apartheid South African narratives of governance, accountability, transparency, trust, risk and integrity. A requisite of this study's narrative is the encouragement for bold interventions from concerned records management practitioners, records managers, public archivists and Auditor-General, as key protagonists, in order to elevate the status of record keeping and public sector information sources (including electronic systems and digital records) to be transparent, accountable and comprehensively narrate the accomplishments of eradicating poverty in South Africa.

6.2 Development ventures

Observance of governance indicators through reliable evidentiary records are the essence of the MDGs. The eight goals strive to create and sustain favourable, low risk

conditions for national and international investors. Records managers and public archivists can contribute to fostering sustainable, low-risk economic activity by ensuring observation of good governance and best practices. These must include information management and utilisation of information technology programmes. The subsequent economic spinoff from creating stable, risk-free public bodies would be sustainable economic and employment opportunities for individuals from local communities, including women. As evident from the service delivery protests in recent years, the integrity of local governments affects local communities, their socio-economic development and trust in the dispensation which threaten stability. Reliable, accurate and accessible information is the cornerstone determining the audiences' perceptions of governance, efficiency and transparency.

As discussed in Chapter 5, information sources, including the lack thereof, provide evidence of entities' levels of compliance, their commitment concerning good governance expectations and attainment of predetermined missions and objectives. The aspiration of the United Nations (Skjeltén 2006) and World Bank (WB 2011b) of reducing global poverty levels was their chief goal for the 21st Century. The South African Constitution is an example of a governance record that protects human rights and supports the eradication of poverty. This record aspires for a post-apartheid narrative of a democratic, open society, based on the will of the people, with every citizen equally protected by the law and improved quality of life for all its citizens (RSA 1996a).

Well managed records ensure continuity of operations by ensuring access to the sources required for current and operational decision-making processes (WB 2011). The public body's access to its inactive records, including "*apartheid related records*", as referred to by records management officials, provides the entity and interested developers with access to crucial information. Comprehending and analysing these factors from available information sources assists is crucial in developing and identifying criteria for sustainable South African development projects (Duranti & Preston 2005). Access to this knowledge may be pivotal for organisations and public-private

partnerships wishing to provide funding for poverty alleviation projects in South Africa. The integrity and reputation of public bodies is based on their ability to provide access to accurate information when requested by the public, or developers (Cox 2005). Similarly, this reflects their abilities, or lack thereof, to provide information held in the records affects service delivery and fulfilling the intended objectives of the local governments. The availability of accurate information is required to make responsible decisions, settle legal disputes and provide auditors when requested generates milieus of trust (Cox 2005). Thus, the efficient management of information creates risk-free conditions, conducive to attracting and retaining sustainable economic development opportunities beneficial to all South African communities. As the gatekeepers, these favourable conditions would have been created and managed by the records managers and public archivists.

6.2.1 Setting the playing field

This chapter discussed the MDGs and good governance criteria, as they relate to the management of information sources. As noted by Reif (2004), countries such as Canada, United Kingdom, Netherlands, France, Norway, Denmark, Sweden, Japan and the United States provide development assistance to developing countries, including South Africa. These are coupled to programmes encouraging human rights, democracy and effective, honest, equitable, transparent and accountable governance (Reif 2004:396). For this study, case studies from various regions of South Africa were selected to demonstrate some of the poverty eradication ventures being undertaken. These cases also highlight the importance of good governance and best practices, as well as the findings of the latest Auditor-General reports on the corresponding local governments, within which these projects have been implemented. Some of these projects are funded and supported by the World Bank, the UN High Commissioner for Human Rights (UNHCHR) and the UN Development Programme (UNDP). Others are managed and funded by national and international community-based organisations willing to contribute to the attainment of the MDGs and improving the lives of impoverished communities.

The study has not covered all organisations and projects, involved with MDG-related projects in South Africa. However, many of the others such as the Canadian International Development Agency, Council of the European Union, Danish International Development Agency (DANIDA), United Kingdom Department for International Development (DFID/UKAid), International Fund for Agricultural Development (IFAD) and the Netherlands Ministry of Foreign Affairs are just a few of the development agencies embracing the concept of good governance (Reif 2004). Projects selected for this study are those impacting on local South African communities geared towards the MDGs. The spotlight has also been directed to projects concerned with sustainable economic development opportunities and job creation. Many of the projects highlighted, involve foreign donors, public-private partnerships and community-based organisations. All of these projects require observance of good governance parameters to retain their integrity and achieve the intended targets (Assefa 2001, Bräutigam & Knack 2004, Cardenas 2003, Cloete 2007, Haas, Mazzei & O'Leary 2007, MacKenzie 2010, Marquette 2003, Mc Neil & Malena 2010, OECD 2004, Panos 2002, Woods 2000).

With the collapse of the Berlin Wall, the late 20th Century appeared to allow more open access to information and knowledge. The dawn of the 21st Century appeared to usher in an age concerned with humanitarian pursuits. This was particularly evident with the emergence of the MDGs in 1999 (Leftwich 2005). However, the unsuspected September 2001 attacks in the United States dramatically influenced the digital age (Cox 2006) and subsequent humanitarian objectives (Bond 2006; Clemens, Kenny & Moss 2007; Clinton 2007; Payne 2006; Sachs 2005). As highlighted by Miller (2008), the 9/11 events significantly intensified the challenges associated with the creation, access, management and security concerning information and, particularly, electronically generated sources.

The international standards, best practices and good corporate governance parameters concerning information sources, thus intensified and became of “paramount importance” (Miller 2008:214). Consequently, the terror attacks of the 21st Century led further to the formulation of pre-conditions and conditions for humanitarian ventures needing financial

resources. According to Sachs (2005), aiding and alleviating the plight of impoverished societies was crucial for global security. All efforts needed to be orchestrated to prevent such communities from becoming havens of unrest and violence (Sachs 2005:335-337). Democracies were expected, according to Clinton (2007), to be promoting the rule of law, to expand civil and political rights and also to provide adequate resources (2007:6). These circumstances would then improve people's lives, offering them sustainable economic prospects and discouraging them from becoming embroiled in criminal or war-mongering activities (Clinton 2007:17).

Good governance requisites were underwritten by the World Bank and the International Monetary Fund embracing this concept. The formulated principles available as concept records on their website, incorporated into recommended policies and procedural training tools by entities, such as the International Records Management Trust (Barata, Cain & Routledge 2001:1-5), determine criteria for the allocation of financial resources. These institutions describe good governance as promoting transparency and accountability, efficiency, fairness and participation, effective rule of law and "flows of information between governments and their citizens" (Wood 2000:824). However, after the 2001 terror attacks compelled international donor agencies to rethink, re-define and stringently gauge good governance compliance by countries and public and private entities attempting to access relevant funding and resources (Leftwich 2005).

Information sources, regardless of medium or format, would provide the evidence of compliance and adherence to governance requisites (WB 2011). Ultimately, evidence must be securely stored, yet be accessible, during auditing processes. Ascertaining how entities have indeed utilised the funding in the attainment of the intended goals are revealed through comprehensive auditing processes, such as those conducted by the South African Office of the Auditor-General (UNESCO 2011). Therefore, public bodies are encouraged to develop effective records management solutions for all information sources, regardless of age or medium, in order to provide the evidence when requested. Public sector information sources should be managed to ensure efficiency,

transparency and accountability to all relevant stakeholders (Barata, Cain & Routledge 2001), with the proactive participation of the records managers and public archivists.

According to Crook (2003), South Africa's response to reducing the country's poverty levels was stated in a public record, namely a national Poverty Reduction Strategic Paper (PRSP). This paper, the PRSP, was approved by the World Bank and International Monetary Fund, enabling the country to qualify for debt relief and concessional lending. It also formed the framework for other concessional funds from donor countries and organisations eager to provide development cooperation (Crook 2003:78-80). The PRSP recorded the country's plan to introduce and manage measures to reduce its poverty (Crook 2003:78). Contributory evidence in the PRSP was the incorporation of elements such as fiscal management, budgetary transparency, tax administration and effective participation involving civil society and public-private partnerships, all supported by authentic information sources (Panos 2002). Financial accountability, particularly in the public sector, and effective measures in the form of prescribed policies and procedures that would address widespread corruption were regarded as vital risk assessment criteria for existing and potential international donor agencies (Green 2013:259).

A sub-Saharan Africa project conducted by International Records Management Trust's Rights and Records Institute (Barata, Cain & Routledge 2001) on public sector financial records enlightened interested stakeholders to the importance of record keeping. The project highlighted the integrity of public sector financial accountability being meticulously dependent on the quality of the public sector records management systems. The poor management, including complete collapses, of paper and/or electronic records management systems undermines effective financial management, thus creating conditions abetting corruption and fraud (WB 1999:21-26). If South Africa is committed to meeting the MDGs, compliance and observation of recognised best practices concerning the management of all records are essential. The apparent disregard for this postmodernist records management methodology seems to curtail

South Africa's prospects of attracting and retaining legitimate, sustainable economic development opportunities.

6.2.2 Development goals

The MDGs were formulated at a United Nations General Assembly in 2000 and set out an “ambitious international agenda to tackle peace and security, development, human rights and the environment” (UN Human Rights. Office of the High Commissioner for Human Rights 2010:1). The agenda became known as the MDGs, with the proposed attainment of eight goals and seven targets by 2015. The eight goals are:

- i) Eradication of extreme poverty and hunger;
- ii) Universal primary education;
- iii) Promotion of gender equality and empowerment of women;
- iv) Reduction of child mortality rates;
- v) Improvement of maternal health care;
- vi) Combat HIV/AIDS, malaria and other diseases;
- vii) Ensure environmental sustainability; and
- viii) Develop a global partnership for development (UN 2011).

Meanwhile, the seven targets are:

- i) To halve the world's extreme poverty levels by 2015;
- ii) To enroll all children of school age in primary schools by 2015;
- iii) Greater improvements towards gender equality and women empowerment by eradicating gender disparities in enrolment in primary and secondary education by 2015;
- iv) To reduce infant and child mortality ratios by 2015;
- v) To provide access to all requiring reproductive health services by 2015; and
- vi) The implementation of sustainable development strategies and to reverse the loss of environmental resources by 2015 (Bond 2006).

According to Sachs (2005), eight contributing factors would equip communities to adequately tackle poverty. These are:

- i) The availability of health, nutrition and adequate education levels for individuals to be economically active;
- ii) Adequate access to equipment, machinery and tools necessary for agricultural, mining and industrial pursuits by the communities;
- iii) Productivity levels can be vastly improved with access to infrastructure like transportation, water, electrical power, communications and information management technologies;
- iv) Sustainable ecosystems which provide fertile land, soil and biodiversity create incentives to enable responsible agricultural, business, industrial, cultural and environmental development by relevant communities.
- v) Responsible public sector investments, judicial systems, trustworthy government services and effectual access to basic services create stable conditions for economic opportunities, beneficial to all communities.
- vi) By creating milieus conducive to knowledge transfer and sharing, pertaining to scientific and technological knowledge, impoverished communities would further stimulate local economic development by applying the knowledge to stimulate further economic opportunities (Sachs 2005:256).



Fig. 12: School children in Matokhazini, near Coffee Bay, Eastern Cape, October 2010 (Own collection).

As noted by Sachs (2005), these contributory factors require conditions conducive to stimulating and sustaining economic development opportunities. Local government is the level directly impacting on individuals of local communities (Van Wyk 2012:5). These government structures should be able to provide essential basic services such as basic health care systems, water, electricity, sanitation and housing which would provide the stimulus for the establishment and sustainability of economic growth (Van Wyk 2012:5-12). Local environments respecting people's rights, livelihoods, customary rules and traditions, enforcing the rule of law by protecting against discrimination and execution of accountable, efficient regulatory and administrative public services create secure conditions. Similarly, public-private partnerships, investments and economic growth are encouraged (Bigg & Salterthwaite 2005:7-9). Furthermore, the enticements provide for aid agencies and potential investors to assist local communities attain the MDGs. Proficiency and the gauge of government's commitment to the MDGs are measured by its service delivery credentials (Bigg & Salterthwaite 2005:32-38). A few examples of these initiatives are discussed under section 6.4 hereunder.

6.2.3 Governance barometers

Potential involvement by international donor organisations is determined by the available evidence proving the country's good governance status (Berrisford & Kihato 2008:28-31). Democratic forms of government, like South Africa, are expected to have and maintain all the elements that constitute democratic good governance (Reif 2004). These include:

- i) Separate legislative, executive, administrative and judicial powers, with evenly balanced powers;
- ii) An independent judiciary;
- iii) Accountable public entities, irrespective of their hierarchy in the public sector;
- iv) Inclusive application of the rule of law;
- v) Measures to ensure the protection of all human rights;
- vi) Freedom of the press and media; and
- vii) Effective, transparent civil participation and consultation (Reif 2004:84-86).

Mechanisms must exist which demonstrate the government's integrity, accountability and legitimacy. Public sector accountability is one of the elements constituting the governance barometer (Cloete 2007:192-194). According to Owen (2001), the public sector must provide evidence that it is fair, honest and credible in executing its statutory mandates and decision-making processes. For Annan (2000), the fundamentals of countries embracing the concept of good governance are those which provide evidence of their respect for the rule of law, proficient public sector organisations, transparent and accountable public sector management, respect for human rights and active, comprehensive public participatory, decision-making processes (Annan 2000:1-3). Although donor agencies may have variations to their governance criteria, they identify similar elements to those described by Annan.

Access to accurate and authentic information, adequate consultation processes on matters affecting the general public, protection of individual privacy rights, anticorruption measures and effective watchdog agencies, such as the Office of the Auditor-General, provide the necessary assurances to donor agencies on the country or organisation's

governance credibility (Woods 2000:823-825). The assessment of the level of governance is dependent on the availability and integrity of the evidence, including the lack thereof, in public sector organisations. Effective, proficient and trustworthy records management systems, policies and procedures for public sector records, regardless of media or form, are integral to South African local governments (Woods 2002:18-21, *Weapons of choice* . . . 2011). Their records will be the evidence which determines their credibility and risk with distributing and managing international funding. The recorded evidence will attest to the commitment of local government concerning its role (Shepherd 2006:6) and other contributors in attainment of the MDGs.

6.3 Case studies of local community ventures and auditing revelations

Included in the section are narratives on several ventures in South Africa being undertaken by international bodies, public bodies, non-governmental bodies, community organisations and volunteers contributing to lessening and eradicating poverty. Many of the projects are receiving funding from international donor organisations like the World Bank, United Nations' bodies and organisations linked to the European Union, Commonwealth and USAID for Africa. Other ventures involve community organisations like Rotary International and Notre Dame University in Chicago, prepared to provide people from impoverished areas with opportunities for a better quality of life and sustainable economic development opportunities for the country as a whole.

Ensuring favourable climates for investors and creating conditions conducive for sustainable economic growth beneficial to small-scale producers and entrepreneurs are the essence of local economic activity (Mogale 2005:135, Rogerson 2004:182, Nel & Binns 2003:167). Creating, protecting and sustaining favourable conditions conducive to attracting investors, sustainable economic growth, opportunities for small-scale producers and entrepreneurs can vastly improve the socio-economic fabric of the community, province and country as a whole (Mogale 2005:138-141). The attainment of all the MDGs and the eradication of poverty would truly depict the analogy of South Africa's rainbow nation.

6.3.1 UNDP and Vhembe District Municipality

According to the United Nations Development Programme (UNDP in South Africa 2012), in the Vhembe District of Limpopo Province, an initiative is underway with a project envisaged to improve the impoverished lives of communities. Through the Industrial Development Corporation, with funding of R1.9 billion, the Vhembe District Municipality is able to provide economic opportunities, including employment, to the agricultural, tourism and manufacturing sectors. This area produces potatoes, mangoes, tomatoes, pawpaw, citrus, macadamia nuts, avocados and cotton. The environment is viewed as conducive to nurturing economic opportunities and budding young entrepreneurs are encouraging job creation initiatives, like brick-yards, jewellery-making, or ecotourism ventures (UNDP in South Africa 2012). Through these ventures the UNDP hopes that the lives of 1.3 million people living in poverty will be improved as these ventures will provide job-creation opportunities for the unemployed (UNDP in South Africa 2012).

As mentioned in Chapter 4, under section 41 of the country's Constitution, the Vhembe District Municipality, in partnership with national and provincial government structures, and public-private partnerships, ensures that the necessary essential services of water, power, sanitation and infrastructure are effectively provided (Republic of South Africa 1996a). The provisions of these basic services will enable the local communities to benefit and improve their economic conditions. Complying with the Municipal Finance Management Act, as also discussed in Chapter 4, the district municipality needs to provide the relevant documentation enabling reliable auditing processes. The subsequent reports provide the evidence on how and who, the allocated financial resources were utilised (Leftwich 2005). The most crucial evidence will be the visual evidence in the improvement of the communities living within the boundaries of the Vhembe District Municipality (UNDP in South Africa 2012).

The prospective outcomes of this narrative of eradicating of poverty, hunger and sustainable development in Vhembe are compounded by the revelations of the audit

investigations conducted by the Auditor-General. According to the corresponding 2010-2011 qualified audit report on Vhembe District Municipality, the following concerns were identified: poor reporting on predetermined objectives, findings of non-compliance with laws and regulations, inadequate disclosure of information related to revenue, expenditure, including wasteful expenditure and poor supporting documentation (AG 2012c: 84). The narrative being sketched from the available public records due to poor record keeping and ineffective use of electronic information management systems creates perceptions questioning the commitment of the Government's sincerity in wanting to eradicate poverty. A similar narrative is revealed from the City of Johannesburg.

6.3.2 City of Johannesburg and the Kgosi Neighbourhood Foundation

This target of the development goal to ensure that all children, especially girls, are able to complete a full course of primary schooling is part of the vision of the Kgosi Neighbourhood Foundation. In South Africa, this MDG implies that every child must have the chance to attain a Grade 7 school certificate. According to the UN Office of the High Commissioner for Human Rights (2010:11), primary education should be free, compulsory and of a high quality. Of all the areas in the world, Africa has made the least progress on promoting primary education for all. Areas like Latin America, the Caribbean and Thailand are achieving targets of 75 – 100% of their young population completing secondary education (UN Human Rights 2010:11). UNICEF encourages individuals, business, foundations and governments to provide funding for the provision of quality education for all children, both girls and boys (UN in South Africa 2011).

According to Sachs (2005:244-245), human capital development and capacity building requires the acquisition of skills and knowledge acquisition through well-structured education and training. Improved literacy and numeracy skills are essential to meeting this MDG (Bond 2006:341). Without access to adequate infrastructure, like transport and communication systems, children and adults acquiring education and training opportunities are disadvantaged from participating in development and capacity building

initiatives (Haas et al 2007:33-40). Impoverished communities with poor access to infrastructural, telecommunications and financial resources are further disadvantaged by the migration of more skilled community members, moving to areas with better employment opportunities (Mogale 2005:138). Loss of human capital and eroding investor confidence restricts such areas from being truly self-sustainable communities (Nel & Binns 2003:165-167). Aided by well-managed, accessible information found in the public records, managed by the local governments' records managers, all basic services need to be provided and managed to create conducive learning environments and circumstances to improve the sustainability of neighbourhood communities (Sachs 2005:248).

In line with UNICEF fundamentals, in Johannesburg's suburb of Jeppestown, an organisation called Kgosi Neighbourhood Foundation, founded in 2004, with Sister Natalie Kuhn as executive-director, is involved in ventures which are improving the quality of life of families living in the area (Kgosi Neighbourhood Foundation website 2012). This area of Johannesburg, once occupied by the white middle class, has been acquired by landlords renting individual rooms to families arriving in Johannesburg from rural areas and remote areas in Africa, fleeing civil wars and economic hardship. These dwellings often accommodate eight to ten families (Mfebe 2012). The Foundation's Wings of Hope School provides children of the local community with pre-school education to ensure school readiness. All these children are from homes challenged by extreme poverty.



Dear Friends of KNF,

What a surprise it was that **HSBC** wanted to sponsor a trip to the Zoo for us!

Almost a month ago now, over 20 HSBC staff members met us at the entrance to the zoo. Red HSBC caps were given to all, snacks were handed to each child, and 96 children were assigned to smaller groups with HSBC staff and teachers.

Our children were so excited. The teachers overheard two learners talking to each other: "What animals would you love to see when we come to the Zoo?" "Zebra, Giraffe, Elephant, Rhino and other animals."

Fig.13: Kgosi Neighbourhood Foundation October 2012 Newsletter. (Kgosi Neighbourhood Foundation mailing list 2012).

The Foundation provides these children with opportunities to play with toys, use scissors and crayons, have access to books and have stories read to them. In addition, the children receive two hot meals a day, basic medical care and support. Furthermore, programmes empowering the parents through education and job creation initiatives are embarked upon (Kuhn 2012). These programmes are aimed at providing the children with stable home environments and adequate nutrition, fundamentals required for children to succeed and progress with their studies.



Dear Friends,

This is why we are a Neighbourhood Foundation. These four ladies are parents from the local neighbourhood who had no formal training as teachers. They have become professionals thanks to the support we have received towards their studies. We want to thank especially Zainab and her team from Deutsche Bank who provide much of the financial support. The graduates shared these comments on the day:

Fig. 14: Kgosi Neighbourhood Foundation May 2012 Newsletter (Kgosi Neighbourhood Foundation 2012).

The Foundation's Wings of Hope School also provides training and skills development to its employees as well as the parents. Parents have been provided with accredited courses related to cooking, home-based care and cleaning (Mfebe 2012). These initiatives enable the parents to find employment and create stable home environments for their children. Some of the parents have become fully qualified pre-school teachers, others are employed as support staff, provide meals and care for their surrounding environment (Kuhn 2012). The Kgosi Neighbourhood Foundation is entirely dependent on donations and funding from interested individuals and entities (Kuhn 2012). The Foundation, itself, has to comply with best practices and create and manage their records to enable successful auditing processes (Kgosi Neighbourhood Foundation website 2012).

Providing access to basic services like water, electricity, sanitation and low-cost housing, based on information filed or captured in databases, are the responsibility of the Johannesburg Metro. The functions of this municipality directly impact, by supporting or challenging the initiatives of private organisations and volunteers, like this foundation, and by actively participating in improving the socio-economic fabric of displaced families hoping for the better life envisioned for themselves and their children. The Auditor-General report released in 2012, for the period 2010 to 2011, revealed that only two out of 15 components of the City of Johannesburg received clean audits (AG 2012b:147-149). The rest are plagued by scenarios of poor record keeping and ineffective utilisation of information technology solutions. In reference to the information provided by records management officials, in Chapter 4, although components may have National Archives' approved file plans and the investigation and implementation of approved EDRMS systems to manage the electronic records, these offices experience difficulties to manage comprehensive information management programmes that receive effective leadership support. Acknowledgement of records management as a governance fundamental elevated to the boardroom is crucial if executive and management echelons want to restore accountability and avoid the Enron narrative being associated with their public entities. The effect of poor record keeping, ineffective management of information technology and poorly accessible information sources results in poor service delivery, faulty billing and potential disruptions of basic services, like water and electricity supply, required by the foundation to assist the children and women of the surrounding neighbourhood.

6.3.3 Rotary International poverty eradication projects

Rotary international is “a worldwide organization of business and professional leaders that provides humanitarian services and encourages high ethical standards in all vocations” (Rotary International website 2012). Its membership is constituted by a diverse range of local business persons, entrepreneurs, professionals and community leaders serving in various capacities and portfolios in their local Rotary Club, and district committees (Rotary International website 2012). According to the Constitutions of the local Rotary Clubs, the community service avenue requires the members to contribute

to “improve the quality of life of those who live within this club’s locality or municipality.” (Rotary International 2012: Constitution of the Rotary Club). In conjunction with this provision in the constitutions of Rotary clubs worldwide is an International Service avenue which encourages the promotion of “international understanding, goodwill and peace by fostering acquaintances with people in other countries . . . through cooperation in . . . activities and projects designed to help people in other lands” (Rotary International 2012:Constitution of the Rotary Club). Rotary International gives credence to good governance and best practices credentials by complying with [Standards for Charity Accountability](#). The aim of this standard is to “encourage fair and honest solicitation practices, to promote ethical conduct by charitable organizations and to advance support of philanthropy” (BBB Wise Giving Alliance 2003). These standards advocate the creation and safekeeping of reliable records that provide evidence of how the organisations are governed, how the financial resources are used, truthfulness in their representations and transparency in disclosing information to the public. Worldwide local Rotary Clubs are required to observe and comply with these requirements (Rotary International 2012: Financials). Thus, local Rotary clubs are credible community protagonists in their efforts to defeat poverty and improve the socio-economic landscape of communities, within their municipalities.

Attaining the MDGs does not solely depend on government or funding from the UNDP. With support and encouragement local, national and international individuals, communities and organisations can contribute to creating circumstances conducive to creating opportunities for all children, including those from impoverished communities. All children, irrespective of socio-economic, socio-political or cultural diversity, should have opportunities to read, learn and improve their circumstances. These skills and knowledge are essential for comprehensive sustainable development. Such circumstances create opportunities for persons from disadvantaged communities to become doctors, teachers and engineers. Individuals who return to their communities contribute to further sustainable development prospects, rather than participating in war-mongering or criminal intentions (Carmody 2005:97-98). The narratives and voices of

these individuals and communities creating conditions of hope and possibilities of a better life for all deserve to be recorded and heard.

Initiatives such as the Rotary “Dictionary 4 Life” project, involving clubs from Britain, Ireland, United States and the South African Kromdraai Club, donating dictionaries to children in poorer communities, illustrate the contributions being made by ordinary people, from local communities also contributing to creating conditions conducive to eradicating illiteracy (Van Heerden 2009f:9).

UNICEF (UNICEF 2010:8) campaigns provide resources and voluntary funding for programmes to aid children from early childhood through to adolescence. In their bid to reduce child mortality rates, they provide vaccines, support programmes related to child health care and nutrition, healthy water and sanitation and champion programmes focused on protecting children against violence, exploitation and AIDS (UN in South Africa 2011). In 2009, the Rotary Clubs of Potchefstroom and Chicago participated in a joint on-going project to provide vaccinations for over 400 infants against measles, mumps and rubella. The vaccinations were administered by pharmacy and nursing students from North West University (Van Heerden 2009g). Meanwhile, the Warmbaths Rotary Club, situated in the Waterberg District Municipality that received clean audits for two consecutive years in 2010-2011 and 2011-2012 (AG 2012a:6, AG 2013:6), generated funding, together with support from local businesses, enabling them to provide Huis Talje, an establishment in Bela-Bela caring for severely physically and intellectually disabled children, with beds, mattresses, equipment, nappies and food (Van Heerden 2009e:28).

Combating HIV/AIDS, tuberculosis, malaria and other communicable diseases is a necessity to prevent the creation of generations of orphans, which will have dramatic economic and political consequences for Africa, including South Africa (Clinton 2007:16). South Africa’s popular victory against the government’s reluctance to provide free anti-retroviral medicines to fight AIDS is viewed as a benchmark (Bond 2006:352).

Whether the execution of this service is indeed effectively provided requires more intensive investigation.

During 2008 and 2009, initiatives such as the Mthatha Rotary Club's community home-based care units in the rural communities of Siyakhula, Philisa and Mdumbi in the Eastern Cape, engaged in projects aiding the health and social needs of the people living in these areas. These home-based care units provide health care, hygiene education and support groups to orphans, terminally ill patients and the elderly. Together with the support of a local business, the Rotary club sponsored training at the South African National Tuberculosis Association (SANTA) rehabilitation centre. Forty four villages were assisted through this initiative (Van Heerden 2009c:27).

The revelations of the findings of the Auditor-General for the period 2010 to 2011, and 2011 – 2012, concerning areas of the Eastern Cape, Limpopo and North West Provinces should be of concern. In the Eastern Cape, only Joe Gqabi Economic Development Agency managed to obtain a clean audit. Again only the Fetakgomo Municipality and Waterberg District Municipality, representing Limpopo Province, managed clean audits. No clean audits were obtained by local governments in North West Province (AG 2012a:24-25, AG 2013:7). Local Rotary Clubs are community based entities constituted by business people and leaders in the respective fields with the resources and knowledge to engage in effective social upliftment and poverty eradication programmes. Rotary International's mission, goals and objectives provide platforms for effective interaction and participation between local and international clubs, in joint project ventures. As an international organisation with its foundation based in the United States, it too acknowledges the importance of governance and best practices. Accurate records, accountable structures, management and reporting on its financial transactions imply that Rotary International also advocates the concepts of good governance, transparency and best practices.

6.3.4 Folweni project, property, funding and records

The agency, UN Women (UN in South Africa 2012a), promotes, encourages and funds programmes focused on gender equality and women empowerment. It champions governments and civil societies which formulate and execute global standards for achieving gender equality. Laws, policies, programmes and services are encouraged which allow women equal socio-economic and socio-political leadership, empowerment and participation, ending violence against women and programmes to include women in matters related to development planning, budgeting and security processes (UN in South Africa 2012a). Meanwhile, the UN Industrial Development Organization (UNIDO) provides knowledge, skills, information and technology to marginalised communities, including women-headed households, in order to spur growth and employment opportunities (UN in South Africa 2012a).

According to the UN Human Rights Office of the High Commissioner for Human Rights (2010), two interconnected scenarios, relevant to local governments' functionalities, prevent pregnant women from rural and impoverished communities, receiving adequate help timeously. These hindrances are:

- i) Difficulties in reaching appropriate facilities, due to distance, poor infrastructure and unreliable transport;
- ii) Delays in receiving adequate treatment due to inadequate water and electricity supplies; and
- iii) A lack of adequate access to financial resources, education and relevant information sources for women from impoverished communities, where gender inequality prevails (UNHCHR 2010:9-11).

Programmes such as the Folweni Project, in a rural area north of Durban in KwaZulu-Natal affected by the HIV/AIDS pandemic, provides assistance to the community at large, including the orphans and vulnerable children. The project provides easier access to water and the creation of vegetable gardens to benefit women caring for dependants and orphans. Like many other projects, this involved funding and resources from the Rotary Club of Durban (Van Heerden 2009a:30).

This project's success is dependent on the conditions created by the eThekweni Metropolitan Municipality to promote sustainable economic development. Such conditions ensure entrepreneurs and leaders in the field become Rotarians willing to assist communities in surrounding areas.

6.3.5 World Bank and iSimangaliso Wetland Authority

This goal strives for initiatives to simultaneously fight poverty, militarism and ecological degradation (UN 2008, UN 2011). A World Bank-supported project for the development, empowerment and conservation of the iSimangaliso Wetland Park (previously known as the Greater St Lucia Wetland Park) and surrounding areas is an example of a project supported with funding from international organisations. This project came into effect from 24 March 2010 and in September 2011, a World Bank implementation support mission visited the area to ensure project teams were in place, project components were being implemented and working together with the iSimangaliso Wetland Authority (WB 2009). The completion of the project is expected on 30 November 2014. The objectives of the project are to:

- i) protect the biodiversity of the iSimangaliso Wetland Park through conservation, sustainable use of resources, coherent land use planning and local economic development.
- ii) maintain the availability of fresh water of adequate quality from Lake St. Lucia; and
- iii) increase access among local communities to conservation-compatible economic opportunities (WB 2009, Otto 2013).

The project's progress, in accordance with the formulated work plan, will be monitored and assessed (WB 2009). It will be done through the availability of information sources (records) from the feasibility studies and investigations, the procurement processes for relevant service providers, funding for students from local communities to pursue

careers in conservation and tourism and co-management capacity building for local communities to encourage eco-compatible SMME's (WB 2009).

The iSimangaliso Wetland Conservancy is a UNESCO World Heritage Site and one of the first South African sites to receive this acknowledgement (Nzama 2009:34). This is a unique wetland, having beaches which are one of the few remaining protected areas in which loggerhead and leatherback turtles regularly return to lay eggs. The wetland incorporates a variety of ecosystems ranging from the Lebombo Mountain Range to grasslands, forests, wetlands, mangroves, dune forests, 200km stretches of unbroken white beaches, off-shore coral reefs and Africa's largest estuary (Nzama 2009:34-35). The area also has a population of white and black rhinoceroses. During the 1970s and 1980s, South Africa's Natal Parks Board made commendable strides in rescuing the white rhino species from extinction (Walker & Walker 2011). Management of the iSimangaliso Wetland Park requires linking sustainable livelihoods of local communities dependent on the natural resources and protection of the resources from degradation (WB 2009). Integration of social, economic and environmental programmes focusing on job creation, infrastructural development and capacity building would empower local communities to participate in conservation and sustainable use of resources without negatively impacting on the biodiversity of the resources in the iSimangaliso Wetland Area (Nzama 2009:35).

The success and sustainability of this project is dependent on the local government entity adjoining the area. The utilisation and management of resources as well as the processes of the project have been subjected to unqualified financial audits in March 2010 and September 2011. The final financial audits are scheduled for November 2014 (WB 2009, Otto 2013). Being a World Heritage Site, attracting many national and international visitors, this project involving the iSimangaliso Wetland Conservancy, as noted in the *MNet Carte Blanche* expose, will attract national and international attention (Otto 2013). Thus, the reactions and participation of this authority, local communities' reactions and dealing with related matters, demonstrating transparency with the local and international communities, being accountable for the utilisation of provided

resources, directly impacts on the local communities living within this World Heritage Site, the province of KwaZulu-Natal and the country as a whole. The success of this project is also dependent on the vigilant participation of the records managers and provincial archivists to enforce good record keeping and effectively utilise and manage electronically generated information. Effective, strong leadership is required to ensure that information to provide accurate evidence of supply chain management, service delivery reporting and human resources management through reliable risk assessment barometers from the auditing processes (AG 2012a:12). This World Heritage Site and the neighbouring communities are dependent on good governance and best practices to benefit from subsequent job creation, infrastructural development and capacity building. (AG 2012a:37).



Fig 15: Adjoining area to iSimangaliso Wetland Authority (Own collection)

6.3.6 Ekurhuleni Aerotropolis development

Vigilant records managers ensuring the accessibility of authentic information from the public records, regardless of form, or medium, under their custody are crucial for creating milieus conducive to socio-economic benefits which a project like the Aerotropolis development being undertaken by the City of Ekurhuleni can bring. Observance of good governance and best practices as will be revealed in the reports of the Auditor-General will show interested and concerned stakeholders, including

taxpayers, the integrity and commitment of the local government to public-private development undertakings.

According to Bond (2006), public-private partnerships are important tools as they provide cost-effective, innovative methods of service delivery. These, however, tend to be failing in South Africa, as far as providing water, sanitation, electricity, telecommunications, postal systems, forestry, air and transport, ports and road construction where there is a “repeated failure to reach revenue targets” (Bond 2006:343, 353). However, Ekurhuleni’s Aerotropolis or “Airport City” offers efficient connectivity beneficial to the region and country, with all commercial functions located on or in the surrounding areas of the OR Tambo International Airport. The Aerotropolis will promote competitiveness and business efficiency and will attract investors and developers seeking sites dependent on air commerce, boost trade and foster economic development, creating jobs and improving the quality of lives. Essential for the achievement of these outcomes requires sustainable planning dependent on accurate, reliable information to plan and “synergize” (Swanepoel 2011). The outcomes of the Aerotropolis development are based on sustainability principles requiring symbiotic working relationships between public bodies, financial institutions and real estate development communities (Swanepoel 2012).

Difficult and cumbersome bureaucratic procedures resulting in slow turnover times, fuel corruption and negatively impact on the people’s livelihoods, employment, the economy and public confidence (Nel & Binns 2003:173). By ensuring accurate and accessible information, Ekurhuleni’s records management role-players could be contributing to opportunities conducive to sustainable economic development, not just for the local authority but, the province and country as a whole. These may be thwarted by executive and management echelons failing to acknowledge and comply with prescribe record keeping policies, procedures and effective utilisation of electronic record management solutions.

The accuracy and availability of information should assist local community organisations by providing incentives for local change and development (Cloete 2007:192, Florini 2007:12-18, McNeil & Malena 2010:5-8). These incentives should then bring about the establishment of good schools, health care systems, provision of water and sanitation, roads, public transport, libraries, sport and recreation facilities to areas such as Daveyton, Tsakane, Katlehong and Etwatwa. Local governments, such as Ekurhuleni, are accountable to the communities. The local government should work in partnership with all relevant stakeholders to improve their performance and ensure sustainable development, without exhausting natural resources and compromising the environment (Nel & Binns 2003:178). Sustainable economic development and economic opportunities should allow South Africa to maximise its potential with global partners and for its people and natural resources not be enslaved, exploited and plundered by international players seeking failed, vulnerable African states (Clinton 2007:15).

6.3.7 Auditing revelations and consequences

According to Bond (2006:339), popular unrest action, including labour strikes, popular mobilisations for HIV/AIDS treatments, basic services protests, women's rights protests, student and youth movement protests, community resistance to displacements, land and housing matters protests, environment justice struggles and immigrants' rights protests have resulted in government changes. The UN Office on Drugs & Corruption (2010) emphasised the importance of fighting corruption and the need for financial transparency as essential requisites determining government's legitimacy and integrity. Corruption is a "disease eating away at the foundation of people's faith in government. It undermines the stability and security of nations" (UNODC 2010:11). Proposals from the Auditor-General for proactive interventions and commitments from national role players, provincial executive leadership, provincial oversight structures like the Municipal Finance Group Committee, interactions with political and administrative leadership, stakeholder interactions, audit outcome road shows and promoting understanding of information technology risks to improve the quality of audit outcomes (AG 2012b:95-108) *must* include the public archivists and records managers.

The public archivists and records managers should participate in ensuring the effective management of public records assisting the metamorphosis of South Africa's local governments from wretched entities to well-functioning, sustainable and trustworthy entities. This transformed image would provide unquestionable evidence of their character and potential in the pursuit of economic development and improving the socio-economic welfare of its residents. Involvements from academia, training institutions, commercial archives storage facilities and service providers for information management solutions should be those who are committed to ensuring that public sector information sources are created, managed and preserved in the creating agencies with the goal of improving service delivery, enabling entities to observe good governance and best practices and to facilitate clean audits necessary to earn trust from persons living within the country, current and potential investors and developers keen to eradicate poverty in South Africa. Failures of public archivists and interested stakeholders to create better awareness amongst South Africa's politicians and governmental bodies to commit and effectively, deploy adequate resources to manage public sector information sources containing information necessary to attain the MDGs contribute to create and fuelling the circumstances generating mistrust. They consequently challenge the integrity and commitment of the political dispensation to create a better life for all South Africans.

6.4 Public archivists participatory role

As discussed in Chapter 3, in accordance with the South African National Archives & Records Service Act, 43 of 1996, public bodies, including local governments are required to:

- i) properly manage and care for public records in the custody of governmental bodies;
- ii) manage the disposition of public records, as instructed by the National Archivist: no public records under the control of a governmental body being allowed to be transferred to an archives repository, destroyed, erased or

- otherwise disposed of, without written authorisation from the National Archivist;
- iii) utilise records classifications systems (indexing systems) determined by the National Archivist; as well as monitor the conditions to which electronic records are produced and managed;
 - iv) have their public records inspected by the National Archivist to ensure compliance with archival and records management-related instructions, as determined by the Act; and
 - v) comply with and observe instructions issued in the National Archivist's directives and instructions related to the management and care of public records in the custody of governmental bodies (RSA1996b.)

Like the Office of the Auditor-General, the South African National Archives & Records Service could be positioning itself as an entity ensuring public bodies to create and manage their information sources, so that information is accessible to relevant role-players. The South African National Archives & Records Service would be contributing towards a more open government, demonstrating accountability and transparency and creating a country with a persona of integrity to its own people and the international community (Hoffmann 2012). The silencing of lost, misplaced or absent information sources (Derrida 1996; Hamilton, Harris, Taylor, Pickover, Reid & Saleh 2002; Blouin & Rosenberg 2005; Harris 2007; Lynch 1999; Roca 2009; Trouillot 1995; White 1987) loom as the backdrop to the tragic South African narrative concerning eradicating poverty, exploitation of financial aid and other resources to empower people and disregard the principles of a democratic society. Failure on the part of the public archivists to acknowledge their role, proactively intervene, authenticate practical record keeping solutions and provide services to all South Africans with the availability of information for auditing will perpetuate their Cinderella status in the allotment of financial and human resources. This is evident from the Department of Arts and Culture's 2011-2012 budget which the National Archives and Language Services, including conditional grants for community libraries only an amount of R 694,452 million (Duggan 2011a).

6.5 Digital information conundrums

For South African local government, the conundrum of shifting from primarily paper-based to digital information environments requires adequate financial, infrastructural and human capital, as well as regulatory, administrative and systematic capacities (Oyewole 2012:3). Simultaneously, there is a need to improve the provision of accurate, accessible information to empower and facilitate better, effective service delivery to ordinary citizens (Schellnack-Kelly 2012:170). The South African Government's cognisance of digital challenges include complexities posed by the continual evolution of technology, prompting ever-changing strategies and methodologies concerning the effective, sustainable management, accessibility and responsible disposition of electronic information sources for current and future users (Schellnack-Kelly 2012:170).

Hoorens & Rothenberg (2008) argue that the authenticity and accessibility of digital records is ensured through hardware and software emulation, where the ability to create digital resources outweighs technical and organisational capacity to preserve and provide long-term access (Hoorens & Rothenberg 2008:4). Migration of digital information in open and accessible formats may result in the original structures of the information sources being lost. If information sources are required to have formal elements such as physical form, data structure, medium, form, context and content, digital information sources require in-depth understanding of the creation and preservation of these sources to develop relevant and sustainable strategies and procedures (Duranti & MacNeil 1996:62-63). The physical integrity of the digital storage media is completely unreliable as any cracks, chips, dust or magnetic flaws will result in the loss of the digital information. The selected media, therefore, has no evidential or informational value. Thus, the media used for information sources can **never** be a permanent and reliable component of the digital record (Duranti & MacNeil 1996:62-63). Encoded data, therefore, has to be decoded to reproduce a version of the original information source to ensure its accessibility. The authenticity of digital records will never be static, but will require the existence of metadata and predetermined elements to assess the legitimacy of the information (Duranti & MacNeil 1996:53-54). These

factors seriously undermine the archival principles of *respect des fonds* and respect for the original order. In the digital age, these principles can never be effectively retained by future technological changes (Harris 2007:112). As suggested by Derrida (1996), Harris (2007), Ketelaar (in Blouin & Rosenberg 2005) and Schwartz (in Blouin & Rosenberg 2005), the narrative will continue to be written and re-written, regardless of the medium, or the arrangement in which the evidence can be found.

However, international best practices, awareness of international standards for management of information sources and discussions, debates and literature from various stakeholders concerning management of information sources, including digital information sources, should be borne in mind by public entities wanting to safeguard their integrity (Cunningham & Phillips 2005:301-305). Together, South African public archivists and records managers should strive towards the attainment of compliance with recognised good governance objectives concerning the management of information sources, as encouraged by the King III Commission (Institute of Directors 2010, Oppermann 2012). Like those from other public sectors, local government information management practitioners should ensure their entity is able to achieve its goals and objectives by providing proficient services to all citizens and other clients. Information management solutions must be tailor-made for the entity, with energy rather spent on accessing the information needed to achieve their mission and objectives (Cox 2006:154).

Based on recommendations from the International Monetary Fund (1999), Cox (2005, 2006), Cunningham & Phillips (2005), International Records Management Trust (2012) and McKemmish & Upward (1993), for South African local government records management programme to be successful, the following elements are required:

- i) Awareness of the legislation (Cox 2006:36) regulating the creation, management and disposition of information sources in local government, such as the Municipal Financial Management Act.

- ii) Knowledge and expertise of information management, including the challenges and successes involved in the selection, creation, implementation and maintenance of records management systems and scenarios (Cox 2005:8-9).
- iii) All South African local governments should clearly regard their information sources as valuable, distinctive, business assets and be able to associate the relationship of the information sources to the effective attainment of their goals and objectives (Cox 2006:20-23).
- iv) The public archivists and local government authorities need to acknowledge that the information management environment is a complex working environment, requiring buy-in from the higher management echelons (Cox 2006:232).
- v) The records management programme requires the design of comprehensive information management systems which can enable local governments, by means of a forum, to exchange knowledge and be constantly learning (Cox 2006:152).
- vi) Ideally, local governments should assign greater responsibility to the individual records creators to confirm and adhere to prescribed policies, procedures and practices, including executive and management echelons (Cox 2005:12-13).
- vii) South African public bodies, including local governments need to change the general perception that use of information technology will address all challenges (Foucault, in Blouin & Rosenberg 2005:197). Instead, South African public bodies need rather to cultivate a working ethos around the importance of managing information sources and the associated benefits (Cox 2005:16). This ethos is needed regardless of whether the information sources are paper, or electronic.
- viii) The public archivists and local governments' representatives should be active protagonists in the information management programme. They too, should evaluate and assess all potential corporate and software packages to ensure that the technological solutions are compatible with recommended and regulatory information management issues and concerns (Cox 2006:35).
- ix) The National and Provincial public archivists should be more actively assisting and advising local governments on the formulation and implementation of

comprehensive records management-related policies, guidelines and procedures (IRMT 2012). These should be comprehensive enough to not only ensure archival heritage, but more importantly, they should ensure the governmental body is able to create, manage and dispose of the information in the records for it to meet their targeted goals and mission (Cox 2005:17). The success of a records management programme would be dependent on the public body's ability to provide accurate, timeous, information sources, when required by members of the public and/or the Office of the Auditor-General (IMF 1999).

- x) A local government collaborative advisory body, representing a broad spectrum of interests, including information management components, should collaborate, address, formulate and evaluate coherent information management strategies (Cox 2005:40). It should also constructively identify credible service providers to meet its digital records, including selection of appropriate electronic information management systems and acknowledgement of international standards and best practices (Cunningham & Phillips 2005).
- xi) Regular training and information sessions are integral to ensure new employees, and more established employees, are familiar with the records management-related issues, policies and procedures required by the local government. Information obtained during these sessions should be shared and ploughed back into the public body (IRMT 2012:44).
- xii) Local government should allocate appropriate budgetary resources to ensure automated information management systems can be effectively rolled-out, managed and maintained. The budget also needs to ensure that employees should be adequately trained (Cox 2005:38-39). Adequate resources also need to be accessible if information sources cannot be sent to public archival repositories for storage (Cox 2005:43). Failures to do this will continue the narrative of public records being stored in unsavoury environments, such as those mentioned in Chapter 5.

6.5.1 Urgent recommendations and interventions

South African local governments may well consider an Australian local government model for enterprise content solutions. A company, TechnologyOne has an Enterprise Content Management solution, adopted by 120 Australian local governments which have enabled these public bodies to meet their mission and provide more effective service delivery to all relevant stakeholders (TechnologyOneCorp 2012). Such a service-provider may serve as a benchmark for South African entities. However, recent ideas and research concerning cloud computing options should be considered. According to Wyld (2009), cloud computing could operate like a utility, such as an electricity grid, and users only pay for the components used. Cloud computing offers a more cost-effective, open source idea framework based on Google-like features, making it less complex. The Obama Administration views cloud computing as a way of opening government and allowing people in (Paquette, Jaeger & Wilson 2010:245, 247). Although standardisation of cloud computing and related concerns are essential, it may be in the interests of donor organisations to encourage and persuade entities receiving funding for socio-economic and poverty alleviation projects, in order to make it a mandatory requirement that all digital records to be created, captured and managed within the cloud computing model. Donor organisations can then ensure that the information sources accurately record the narratives of how the funds for poverty eradication projects are utilised.

6.6 Conclusion: 'Letting the light in'

The attainment of the MDGs within South Africa's borders, and possibly benchmarking workable models for other countries, is a tale offering hope. The prospect of all South Africans cooperating and participating in collaborations with other humanitarians around the world would be a commendable feat. By creating and sustaining a vibrant, post-apartheid South African society, characterised by dignity and respect for all living within its borders and the environment, should inspire South Africans to use their powers, resources and funding to perform their tasks with integrity. The donor agencies and community organisations are also required to be transparent, accountable and observe

best practices to display and maintain their status and support from the community and participating volunteers.

The contextual analysis required under the macroappraisal methodology, discussed in Chapter 2, requires the appraiser to identify gaps in the official records that could be filled through the collection of testimonies and accounts from absent voices (Harris 2007:95). Positioned from an appraiser's perception, the *modus operandi* for this narrative has been to identify causes, organisations and individuals, like the staff at Kgosi Neighbourhood Foundation and Rotarians, involved in poverty eradication. This narrative also provides a voice for their contribution in making poverty history. In spite of commitments to humanitarian pursuits, their voices might not be recorded, preserved, or found in the official information sources. These voices deserve to be captured in the information sources and their narratives earn placement in the country's archival heritage. They are not helping children to attend school, provide health care to HIV/AIDS patients and women because of political aspirations. They are enlightened in the hope that their actions may restore dignity and respect for all people. This dignity and respect may be conducive to schooling and raising leadership concerned with everyone's wellbeing.

If information and records are the instruments of power, they too become the tools of empowerment, liberation, salvation and freedom (Blouin & Rosenberg 2005:145). In the Information Age, information sources reveal the narratives of those administering and being administered (Blouin & Rosenberg 2005:145). The lack of compliance and enforcement of South African National Archives & Records Service's regulations and policies contribute to the silencing of voices (Schellnack-Kelly 2012:170). Ignoring the advice of transparent, accountable and open government creates milieus conducive to protests and activism (Rose-Ackerman 2008). "Secrecy becomes a great evil – a danger to democracy itself – however, records will find ways to leak out and that there may be, in reality, few real secrets" (Cox 2006:121-122). The consequence of public bodies failing to accurately and effectively record events and business transactions and manage the information sources, disadvantages them from effectively attaining their

missions (Bond 2006). Regaining and restoring integrity and trust from the communities becomes increasingly problematic. The subsequent depletion of available funding and resources for existing and future social upliftment initiatives provides additional hardships to desperate communities, trying to sustain themselves and their families (Schellnack-Kelly 2012:170).

The South African public archivists have been provided with a platform to re-position their role, to being sustainable, viable public servants with UNESCO's endorsement of the Universal Declaration of Archives (UNESCO 2011) and in re-writing the history of poverty in South Africa. The South African national and provincial Archives Services have incentives to motivate why these services should be participating on the centre-stage, collaborating to formulate, implement and monitor public sector information sources to serve all South Africans by observing good governance, ensuring public sector transparency and accountability. Time will reveal the narrative of public archivists' contributory role in making poverty history. Alternatively, the information sources (including the lack thereof) may reveal narratives of corruption, mismanagement, social, cultural and gender inequalities, unequal access and use of resources (Schellnack-Kelly 2012:170). A narrative revealing how donors, community organisations, private partnerships and volunteers distanced themselves from participating in the South African poverty tale, rather than being tainted with corruption, mismanagement and poor integrity.

CHAPTER 7: FINDINGS, RECOMMENDATIONS AND CONCLUSIONS FOR EVIDENCE-BASED GOVERNANCE AND DEVELOPMENT

7.1 Introduction

The meticulous governance score cards provided by the Office of the Auditor-General, revealing the dire straits of public sector record keeping and information technology challenges in the local government sector, require urgent interventions from records managers and public archivists. Governance can only be determined through available information. The end result of poor record keeping in the local government sector results in unreliable information to provide evidence of accountability and transparency, particularly evident during the auditing process. This study revealed the apparent disinterest from the public archivists and records managers to intervene and shape the narrative of the public sector. This should be achieved by proactively ensuring the availability and protection of authentic public records during audit investigations.

The success of community ventures, such as those illustrated in Chapter 6, are dependent on service delivery of essential services which are provided by local governments. These ventures are reliant on accurate information from trustworthy records. Attaining the MDGs to completely eradicate poverty in South Africa by 2025 is dependent on accessible, public sector information sources and the effective management. Evidence-based governance is necessary for transparency, accountability and to generate trust to conditions conducive to attract and retain socio-economic development ventures.

In pursuance of their legal, executive, management, fiscal and administrative objectives, effective control in managing information sources should enable planning and decision-making which is accountable and accurate. Access to the information would, thus enable local governments to more effectively serve their communities. The fundamentals of the Information Age are constantly changing concerning the management of information sources. However, archivists and records managers, as associates of the information management professionals, need to formulate frameworks

and best practice models which incorporate their innovation and leadership. The evolution and technology adaptation, and subsequent impact, on information sources justifies why archivists and records managers need to participate in forums, conferences, discussions and similar deliberations. Archivists and local government records managers should be proactively emphasising that all information sources, whether on personal computers or files stored in off-site storage facilities, may be required to demonstrate compliance, settle legal disputes and attain predetermined missions and objectives. The information sources, including the lack thereof, provide evidence of the persona and credibility of the local government structures, as well as the National and Provincial archival departments whose jurisdiction encompasses the management and control of public records.

Characteristic of the 21st century, significant international humanitarian organisations, such as United Nations bodies, have been greatly associated with proper management, care and preservation of information sources. They acknowledge the importance of effective control, administration and dependable mechanisms to manage sources to facilitate the pursuance of legal, executive, fiscal and administrative mandates particularly in public sector entities (UNESCO 2011), characterised by bureaucratic bottlenecks. Planning and re-engineering, as proposed by Cox (2005), by incorporating good governance and best practices concerning creation, management and disposition of information sources (2005:268), would be a commendable practice by South African local governments.

7.2 Findings concerning local government and records management

As described in Chapter 4, many South African local governments have received negative report backs from the Office of the Auditor-General. These reports reveal “untimely and unreliable information,” (AG 2005:1) negating accuracy of performance management assessments, undermining accountability processes and challenging the reliability of the information in the public domain. Records management officials and others needing the information to perform their tasks and responsibilities, relay tales of information sources being kept in deplorable physical conditions. Offices may be

cluttered, filing cabinets jammed with records, boxes and containers of various shapes and dimensions are stacked around work stations, in hallways, on fire escapes, obscure cupboards, abandoned, or dumped on the pavement during relocation processes. Many of these include older information, pre-1994 related records, referred to by one interviewee, as “apartheid records” (questionnaires completed by records officials in 2010). These records are viewed as redundant and currently of little concern to the public bodies, including the National and Provincial Archival Departments.

Other complaints emphasised in the completed questionnaires included the permanent removal of information sources. Where efforts have been made to manage the information sources, management echelons appear nonchalant concerning the accountability component of the information sources (Technikon SA Video 2000). The absence of controls over information sources is symptomatic of the absence of coherent and implemented information management policies and procedures, as regularly pinpointed in reports from the Auditor-General (AG 2002 – 2013).

Records officials also revealed challenges exacerbated by the design and roll-out of information management systems that fail to meet the operational purposes and needs of the entity (Questionnaires completed by records officials and records managers in 2009 and 2012). One striking feature of addressing information management challenges is the greater interest paid to the disposition of the information sources, rather than ensuring the information is correctly captured, stored and accessible. The accessibility of information sources as evidence of local governments’ compliance with statutory, regulatory, legal and fiscal requirements appears to have less importance than their disposition (Cox 2005:270).

Many South African local governments experience records management scenarios of “chaos, rather than order” (Cox 2005:271). These scenarios may be attributed to several factors:

- i) Absence of information management systems, comprehensible to most employees;

- ii) Lack of executive and management support in providing effective administrative structures (AG 2012a:34);
- iii) Poor enforceability of implementation and maintenance;
- iv) Lethargic leadership (AG 2012a:34);
- v) Language barriers;
- vi) Appointment of information managers and employees with limited experience (Research Focus 2010); and
- vii) Limited mentorship, if any, to guide employees through murky challenges.

South African local governments need to acknowledge the essential role of information sources, in order to ensure they have the evidence and information accessible by permitting continuity and motivations for future operations. Acknowledging the significance that information sources, regardless of form or medium, provide evidence related to the creators and users. Local governments concerned about their public persona should be vigilant about meeting the requirements and expectations of the community. The information sources generated by municipal officials, including the complaints from members of the public, submitted to the plethora of public media platforms, contribute to the entity's narrative and reputation (White 2005:25-28). The reputation and integrity of local governments is driven and shaped by information sources and their abilities, as well as accuracy in responding to legal, fiscal, executive, administrative and operational concerns. In a democracy, credible records management policies, procedures and practices will only be evident when the public bodies are able to achieve their goals and objectives. The accuracy and quality of the information sources should enable the body to spend time and resources on achieving results to alleviate poverty and create climates conducive to sustainable economic development (Marquette 2003:22,26). Records managers, knowledge managers, or job titles, as deemed appropriate by local governments, should strive towards the attainment of recognised best practices and good governance as the chief objectives when managing information sources (Makhuvele 2012:3). Regulating information management policies and procedures embodies the good governance concept. However, the apparent ignorance of good governance and best practices, as attempts

to conceal mismanagement and maladministration, should not inhibit the public bodies' narratives.

7.3 Recommendations of good governance and best practices

Good governance and best practices demonstrate commitment to ethical standards of conduct, rather than maximizing profit for shareholders or winning over the electorate. In the light of Enron's demise, governance standards, codes and policy reforms are a familiar phenomenon of the 21st Century (Cox 2005:208). According to Petlane (2011), democracy and good governance are fundamental elements required for successful economic, corporate and socio-economic governance and sustainable development. Democracy and governance touch the fundamental right of citizens, the accountability of the government to the governed and stability to the polity (Petlane 2011:19). These fundamentals have widened the selection of auditors and auditing processes to include financial reporting standards, strengthening internal managerial controls, monitoring compensation standards, observing cyber security and technology standards (Bhimani 2008:135,137). Included in these, are processes that consider and comply with archival and records management standards, creating the grounds for new archival principles of facilitating governance and best practices. All of these standards, codes and practices should apply to the South African local government sector.

South African local governments appointing and supporting information management creators, managers and users require competency in understanding the dynamics associated with creating, managing and disposition of information sources. They, too, need to gain knowledge and constantly acquire the necessary skills concerning information management systems and processes for all types of records. Without truly engaging in the conundrums and riddles posed by information sources, information management practitioners will fail to create, maintain and where necessary, restore the integrity and public persona of South African local government. Better attention to accuracy, proficiency and more customer-driven solutions, forming the benchmarks of creating and managing the information sources, would enable local governments to vastly improve their service delivery narrative (Ketelaar 1992:5-6). The subsequent

spinoff of local government, having accurate, available information for decisions, planning and executing sustainable development initiatives, settling legal disputes and provide factual accounts to auditors concerning the utilisation of taxes and funds, would foster South Africa's persona on the international stage as one of integrity. South Africa would assume centre stage for its pledge and commitment towards good governance, as recognised and encouraged by donor organisations, such as the World Bank and United Nations.

As discussed in Chapter 6, good governance indicators, all dependent on the availability of information sources, are:

- i) Clear audit trails, with supporting information sources;
- ii) Accurate and effective financial statements and management related information;
- iii) Presence of accountable employees during audits;
- iv) Development and compliance with risk development;
- v) Effective internal control practices; and
- vi) Dependable leadership in the supervision and monitoring of resources (AG 2012a:36-37).

According to African Peer Review Mechanism (Petlane 2011), an instrument of the African Union, best practices are viewed as techniques, processes and activities more effective and proficient at delivering particular outcomes. The following four elements are viewed as the benchmarks:

- i) Reliable delivery of intended goals and objectives;
- ii) Greater effectiveness and efficiency in delivering output;
- iii) Continuity in replicating and maintaining the volume and quality of deliverables; and
- iv) The creation of models which can provide a yardstick to enable others to achieve related outputs (Petlane 2011:4).

Postmodernism methodology, concerning best practices and good governance criteria, standardised, implemented and monitored for the African continent, would demonstrate to the rest of the world that Africa can determine good governance standards, promote participatory democracy, competitiveness and efficiency of institutions. Such aspirations could become transformed from “mere rhetoric to reality” (Petlane 2011:4). Good governance and best practices, by adhering to agreed rules, prescriptions, guidelines, principles, directives and related communications, instill “similarity and homogeneity”, creating level playing fields for public and private bodies (Bhimani 2008:141). In the Information Age, where an organisation’s public persona can rapidly change, governance principles incentivise “ethical ideas, values and moral elements” and demonise corruption, mismanagement and poor service delivery. The narratives communicated, via social media networks, communications and emails (McKemmish, 2001:33), will provide evidence of the quality and commitment of public and private organisations to good governance and best practice principles.

7.4 Recommendations on the role of the public archivists

In November 2011, UNESCO adopted the Universal Declaration of Archives, marking a watershed for archives on the international stage. This development emphasised the role of archives in administrative, transparent and democratic accountability and the preservation of collective social memory (UNESCO 2011). This declaration provides cognisance of archives as the evidence of decisions, actions and memory sources, as well as the information sources which can provide evidence crucial to the development of societies. These information sources are able to support and challenge administrative actions affecting individuals and communities. According to the declaration, access to archives enriches knowledge of human society, promotes democracy, protects citizens’ rights and enhances the quality of life. It acknowledges the life cycle theory of information sources, archives and the significance of this postmodernist methodology in utilising information sources, by the creating entity as evidence of decision-making, accountability and transparency of administrative, financial, legal and executive operations (UNESCO 2011).

Whilst the declaration endorses records management methodologies it also emphasises the importance of archives as crucial elements of the memory of individuals and communities and as heritage which should be passed on to future generations. The commercialisation of records management should not be allowed to overshadow and side-line the preservation and heritage aspects of the archival discourse! As highlighted by Harris (2007:149), archives are the sources which allow for gathering information and storytelling, which is a basic human social activity. Inclusive, transparent records management policies, procedures and tools, such as file plans and EDRMS, should strive for openness in satisfying the information needs of all users (Harris 2007:151-152). Through the various official information sources (including those that do not exist), the archivists, records managers, record creators, operational and executive managers, users, legal representatives, auditors, risk analysts, systems designers, journalists, public commentaries on social networks and on-line media all participate in writing and rewriting the narratives of the entities (Harris 2007). *These* narratives involve South African local governments, national and provincial archival services and their contributions to the attainment of the MDGs.

To remain relevant and be viewed as viable public-funded entities, the South African national and provincial public archivists need to be more active in ensuring that records management policies and practices are, indeed, being adhered to. In-depth enquiries need to be undertaken to ensure their advocated policies, procedures and practices are relevant and applicable in the current dispensation. They too, should be vigilant about promoting the value of competent, effective management which sustains core business activities and the successful attainment of goals and objectives. By endorsing the records management methodologies, understanding compliance and practicing good governance, the public archivists would be advising public bodies on the allocations of adequate resources to support records and information management programmes. Public entities would realise the value of employing trained personnel and encouraging responsible staff and service providers to execute their tasks with trust and integrity. As a result thereof, this evidence will reverberate through the information sources. Like the

United States' National Archives & Records Administration, on its Open Government Plan 2012 – 2014, based on principles of open government, transparency, participation, collaboration, innovation and best practices allowing citizens information impacting on their livelihoods (US National Archives and Records Administration 2012); if striving to meet post-apartheid, democratic constitutional objectives, then South African national and provincial archives services need to participate in principles of open government, facilitate transparency, participation and collaboration beneficial to all South Africans (Duggan 2011a).

As noted by Allan (2009), Cox (2005, 2006), Barata (1999), Greenwood (2012), IRMT (2012), Oyewole (2012), Shepherd (2006), Thurston (1996) and Yeo (2011), solutions need to be formulated to enable entities to accurately locate and find the information sources. Public bodies need to clearly demonstrate the measures they enforce concerning the creation, management and accessibility of information sources in observance of good governance and integrity. Public bodies need to correlate the management of information sources as *the* key components providing proof of their observance and compliance with legislative and regulatory requirements. Accessible information sources facilitate the constitutional rights of the creators, owners and users, including the general public. The South African public archivist is a crucial character, managing the information sources and narrating the citizenship, in addition to legacy narratives of apartheid and post-apartheid South Africa (Allen 2009:200). A vigilant public archives service may, itself, be rewarded for its commitment and involvement with good governance and best practices. This public service may also be able to acquire international funding to improve and enhance its archival services, together with heritage obligations.

Concerns such as the digitisation programme being undertaken by the Cape Town Deeds and Surveyor-General's offices on documents by a commercial company with no experience in archival conservation treatment (Malan 2012). The deteriorating "apartheid related" public records cluttering up stairwells, fire escapes and other undesirable storage areas in South African national, provincial and local governments

are some of the concerns requiring urgent interventions (Completed questionnaires, 2009-2012).

Strategies need to be scripted to enable better collaboration between the public archivists and records managers to effectively work with the creators, operational and executive managers, users such as legal representatives, auditors, risk analysts, systems designers and information technology experts (Cox 2005:302). The chief objectives of these collaborative initiatives should be to ensure that the public body:

- i) Is able to locate the information needed to formulate decisions, settle legal disputes and provide auditors with documentation accurately portraying the utilisation of funds and resources; and
- ii) Implement and maintain accurate and effective management of information sources to ensure the entity is able to achieve its goals and objectives (Cox 2005:191-192).

These objectives should be prioritised and be the determining factors, not the destruction of information sources!

As contended by Cox (2005), the records management solutions, irrespective of the medium, size or form, should be designed to ensure the public body can achieve its goals and objectives. For example, failure to accurately capture and store reports containing geological data required by engineers may have catastrophic consequences. Infrastructure incorrectly constructed on dolomite can result in the formation of sinkholes with catastrophic consequences to the general public utilising the infrastructure. A local government's ability to provide disaster management relief when tackling natural disasters, such as heavy flooding in areas like the Eastern Cape and KwaZulu-Natal, may also depend on the accuracy and accessibility of information sources, in order to provide assistance to stranded communities and restore basic services such as electricity, safe water supply and communication networks (Dickson, Baker, Hoornweg & Tiwari 2012:28-35). In such instances, vital records assume an entirely different meaning from effective risk management to being able to effectively rescue and restore

healthy living conditions to communities affected by severe flooding and other natural disasters.

According to Cox (2006:146-147), an effective records management programme is one where all role-players directly involved with the public body strive towards the attainment of recognised best practices and good governance, concerning the creation, management and care of information sources. It will also be evident by the public body's ability to achieve its goals and objective by providing proficient services and accurate information to the general public (McKemmish & Upward 1993:22-30). Cassius' lament in the Shakespearean tragedy *Julius Caesar* resonates where the principles of integrity, trustworthiness and accountability are not dependent on the information management systems but, on the role-players determining the script: "The fault dear Brutus lies not within the stars but, within ourselves" (*The Illustrated Stratford Shakespeare*. 1991: Julius Caesar 752-775: 754: scene II: lines 139-140).

7.5 Recommending strategically prioritising records management

Acknowledging the shortcomings of South African public sector records management, and the consequences concerning service delivery, transparency and accountability, are of paramount importance. *If* South Africa wants to be viewed as a preferred option for potential investment and sustainable economic development opportunities then the public archivists and records managers must play their parts. Records managers and public archivists, through the management and preservation of information sources, must be able to provide access to the public sector information to interested stakeholders and citizens. Information must be available for current and potential investors, and citizens, in order to ascertain associated risks of socio-economic ventures throughout the country. The audit reports of the Auditor-General (AG 2002-2013) on local government, thus, provide a valuable window into the prospects of existing and potential associated risks of providing funding, economic and employment opportunities to all areas of the country.

Records managers and public archivists need to be aware of the information being provided in these reports. The findings and recommendations should be used to motivate for better funding and recognition of the essential players in the public sector. This study has directed the focus to the roles of the records managers and public archivists in facilitating governance. These players mould the character of local governments through activities and processes that enable the information to be found, and provide the necessary evidence, whether for auditing, legal or operational processes.

To urgently address the disheartening number of local government clean audits, this study recommends the following:

- i) During strategic planning sessions and when examining the feedback from the Auditor-General, executive and management structures must recognise the subsequent impact, if records management was to be elevated from the basements to the boardroom. The significant role played by this component in ensuring good record keeping and participating in information technology controls related to electronic records, must be adequately considered when compiling the budgets and attending to human resource capacity. As acknowledged by the Auditor-General (2012a), leadership must play more decisive rolls, enforce compliance and adherence of governance and best practices, in order to improve the quality of the audits and attain clean audit outcomes.
- ii) Records managers and public archivists, assigned with the tasks of constructing records management indexing tools, should ensure the indexing tools, related policies and procedures enable the public body to access the information required to fulfil their vision, mission, goals and objectives. Through the processes of an effective contextual analysis, the public archivists should be able to ascertain which components' records, regardless of format, should progress to the archival preservation stage. Similar interactions should be encouraged from credible service providers of electronic management solutions to develop tools that meet the public entities

- constitutional obligations. These service providers should further be encouraged to remain effectively involved with the entity to ensure implementation, maintenance and longevity of these expensive ventures.
- iii) Public entities should employ competent, committed records managers. These officials should be adequately positioned to vigilantly advocate compliance with policies, good record keeping and actively participate in the selection, roll-out and maintenance of electronic solutions.
 - iv) Records managers need to be bold and assertive in the execution of their functions and cognisant of the importance of their role and their team of records management officials, in enabling the office to demonstrate observance of good governance and best practices concerning the management of information sources.
 - v) South African public archivists should disown the role of passive custodians and rather, be proactive players. Public archivists should actively engage with public entities to meet the objective of accessing the information, as required by entities like the Auditor-General, to demonstrate governance, transparency and accountability. These public officials must be cognisant of the revelations of these audit outcomes and their roles, concerning the Government's integrity and trustworthiness to its citizens, together with interested parties.
 - vi) Public archivists need to demonstrate to South African society that they serve a broad spectrum of citizens, and not merely those using the archives for research and heritage purposes. The execution of records management functions and participation in ventures concerned with the selection, implementation and management of information management solutions, including electronic solutions, must be done to achieve better service delivery. In addition, these solutions should also ensure the information can be accessed when required by the auditors. Closely examining the findings in the Auditor-General reports provides public archivists with ample incentives to campaign for an elevated status and better budgetary allocations. By doing

this, the public archivist would be acknowledging the importance of accessible information sources, in public entities, to demonstrate governance.

Repositioning the roles of the records managers and public archivists and better management of information sources would have three benefits. Firstly, access to information would enable improved service delivery and enhance the integrity of the public sector. Secondly, access to the information source would enable public entities, like local governments, to provide transparent, accountable government to all South Africans. Finally, access to reliable, accurate information crucial to developing strategies and sustain projects to eradicate poverty and create conditions conducive to attracting and sustaining socio-economic development initiatives.

7.6 Addressing the digital challenges

South Africa's challenges experienced in South Africa's public sector information management milieu are evident through the entire life cycle of the information sources, from creation through to disposition. Although electronic information management systems appear to provide faster, more efficient access to the information, they also unleash conundrums of challenges for the public body and its employees (Cox 2005:36, 43). In local governments, like the other public sectors, records managers are expected to understand complex legislation and observe good governance. They are also required to navigate through uncharted waters, with little concern either from the parenting body, or the national and provincial archivists. Compliance with uniform, standardised information management policies and procedures and comprehending, adapting and implementing sophisticated technology solutions are shouldered on to the records managers (Isa 2009:63, 233). The lack of commitment of management echelons and overwhelming challenges results in disheartened records managers seeking newer pastures and projects which are never fully implemented (Cox 2006:144-147).

7.6.1 Cloud computing

According to United States President Obama, cloud computing would “open up the government to its citizens” (Paquette 2010:247). The use of such technology would bring government closer to the social expectations of the general public. Nelson Mandela emphasised the importance of recognising the capacity for people in the 21st century to communicate, as a human right. He encouraged the international community to allow the benefits of the Information Age to enable impoverished communities to strive for sustainable economic development and improve the lives of all individuals living within the community (Paquette 2010:245). However, individuals and communities with limited, or no access to technology should not be excluded from influencing and participating in matters that directly affect them (Paquette 2010:246). Cloud computing provides a more cost-effective, mutual playing field for the ICT functionalities of large corporations (Eccles & Armbruster 2011:14). However, security related challenges are concerns which South African entities should be grappling with and participating in international discussions and forums to determine adequate strategies to deal with these (Carroll 2012:78). Cloud computing may further enable public entities to comply with best practices approaches as encouraged by the World Bank, International Monetary Fund and UNESCO and as a tool to effectively address the challenges of literacy and poverty.

UNESCO encourages training programmes such as content delivery, use of multimedia techniques, social networking and embedding ICT projects in communities, which are all geared to improve socio-economic development and ultimately, eradicate poverty. Cloud computing involves computing services delivered over the Internet, on demand, from a remote location rather than a user’s desktop or entity’s servers (Jackson & Shelly 2012:10,15, Lavery 2011:37-38). The computing tasks and information are available at anytime, anywhere, from any device, with Internet access. Some of the advantages of cloud computing are the reduction in IT-related costs, such as implementation, maintenance, hardware, application development, deployments and security (Carroll 2012:78).

Cloud computing could be used as a utility, such as electricity but, as proposed by Eccles & Ambrester (2011), it should comply with recognised standards like those encouraged by the International Integrated Reporting Committee in August 2010. This committee was commissioned with the task of officially launching a globally accepted framework for sustainability accounting. Its tasks were to “bring together financial, environmental, social and governance information in a clear, concise, consistent and comparable format . . . The intention is to help with the development of more comprehensive and comprehensible information about an organisation's total performance, prospective as well as retrospective, to meet the needs of the emerging, more sustainable, global economic model” (Eccles & Ambrester 2011:13).

South African local governments are required to create environments conducive to attracting and sustaining business opportunities, such as those with Ekurhuleni's Aerotropolis. Furthermore, if committed to the attainment of the MDGs, these South African public entities need to provide mechanisms that provide the necessary information sources required to tackle poverty, malnutrition, illiteracy, social and income inequality, inefficient service delivery and environmental degradation (Vandemoortele 2009:355,356). Better still, would be for donor organisations, national bodies such as the National Public Prosecuting Authority and Office of the Auditor-General and ideally, the South African national and provincial Archives Services, to place mandatory requirements (not merely window dressing) for public bodies receiving funding, be it from donors or taxpayers, to demonstrate their commitment to best practices and good governance (Woods 2002:395). This evidence would be dependent on their information sources.

Like South African JSE-listed private companies wanting international credibility and needing to demonstrate compliance with recognised international standards such as ISO 15489, US DoD 5015.2 and the King Commission (Institute of Directors 2009), such credibility stakes should be determined for public bodies and these should be known. Based on this narrative, the general public, donor organisations and media would be provided with mechanisms to assess and determine whether or not they are

contributing towards credible causes. Funding can then rather be targeted at legitimate causes, benefitting impoverished communities and providing opportunities for sustainable economic development.

In this scenario, South African public bodies would be demonstrating their degree of commitment to the country's Constitution and enabling previously disadvantaged South Africans to enjoy a better life (Szeftel 2005:288). South Africa's constitutional principles echo many of the MDGs. Yet, the information sources and effective management thereof determining the country's commitment, including disregard thereof and narrative towards the attainment of the eight development goals appear to be largely ignored. The narrative of South Africa and the MDGs to eradicate extreme poverty and hunger, achieve universal primary education, gender equality and empowering women, reducing child mortality, improving maternal health, combating HIV/Aids and other diseases, ensuring environmental sustainability and developing a global partnership for development (Panos 2002:5-7) may not be determined by public records but, rather, through narratives of the media and other role-players affected by, or trying to eradicate poverty in South Africa.

7.7 Governance versus heritage

If democracy, governance, consultation and participation depend on the availability of information sources, the proactive participation of the National Archivist is fundamental. The growing challenges of the information age and the archivist's functions of identifying, collecting, storing and preserving public records requires active engagements to facilitate transparent, accountable governance and explore strategies which ensure the preservation of an archival heritage for future generations (Cunningham 2005:303). The National Archivist's participation in formulating and participating in discussions concerning international standards for information sources, regardless of medium or format, are crucial to ensure solutions incorporating the requirements of developing countries.

Like the National Archives of Australia, the South African National Archives and Records Service, together with its provincial contemporaries, should be endorsing a government that is accountable by promoting reliable record keeping. It should also be enabling and promoting best practices concerning the management of all public records throughout their life cycle. The importance of accurate information sources provides crucial information required to support government and its people. Similar to Australia, the South African Government must make it mandatory for all public bodies to comply with National Archives policies and standards (Cunningham 2005:303, 311). If South Africa is committed to good governance and best practices, then evidence must exist and be preserved, to determine this narrative.

7.8 Conclusion

The UN's list of MDGs is a pledge to halve poverty in the developing world by 2015 and poverty's complete eradication by 2025. Consequently, sustainable economic development and pro-poor programmes have become a major focus for international development agencies. In the shadow of the 21st century terror attacks around the world, development agencies have drawn parallels between countries experiencing political instability, poverty, inequality and unequal access to resources and individuals from affected communities being lured to war-mongering activities and/or joining paramilitary terror organisations (Green 2013:237-238).

Donor organisations in the 21st century are attuned to the correlation between politics, governance and institutions, in achieving or hampering economic development. From the beginning of the 21st century, the World Bank and International Monetary Fund propagated the concept of good governance, strong, efficient and stable states and established, well-managed legitimate institutions such as the Office of the Auditor-General, National Prosecuting Authority and justice systems, as well as unbiased, accountable electoral systems as fundamentals needed to encourage and safeguard economic growth and development (Leftwich 2005:688, Green 2013:305-309). The South African National Archives & Records Service should be one of the institutions that assume such a position, determining and enforcing "sets of rules" which public bodies

must observe. Effective application of the National Archives Records Management Policy (2007) would ensure that all public bodies are adhering to and observing the rules concerning the creation, management and disposition of all information sources. Legally, the National Archivist has the tools to oversee and advise on governance yardsticks. It can (does) formulate the policies and procedures but, should be guiding the application and enforcement of these. The National Archivist is the narrator writing and recording the narratives between the state, political, economic and social actors, and its participatory role (Harris 2007:5).

UNESCO's endorsement (2011) of the Universal Declaration of Archives provides an incentive for the South African National Archives to re-position its role and become a sustainable, viable public body. The National Archives has an opportunity to assume centre stage and in this spotlight, actively campaign for better support and buy-in from all South African role-players. Time will tell the narrative of the contributory role of the public archivists in making poverty history. Alternatively, the voices may reveal narratives of corruption, mismanagement, social, cultural and gender inequalities, unequal access and misuse of resources. The prospects of hope enshrined in the Constitution and attainment of better living conditions for all South African communities are shrouded by apathy of involvement, staff shortages, insufficient resources (Thurston 1996), and fear of (or deliberate concealment of) the information sources that have become "feared and despised" and loathed for what they were intended to accomplish and sometimes actually did" (Blouin & Rosenberg 2005:44). This narrative reveals the woeful tales of South Africa's socio-economic development and shackled, impoverished communities, who failed to benefit from organisations and individuals, attempting to eradicate poverty.

APPENDICES

Appendix 1 COVER LETTER OF QUESTIONNAIRE

Isabel Schellnack-Kelly
e-mail: isabelskelly@gmail.com

Dear Sir/Madam

I am currently busy with a doctoral thesis through the University of South Africa's Department of Information Science. I am investigating records management practices in South African public bodies and their interactions with the National and/or Provincial archives services.

I would be grateful to obtain feedback and commentary from officials working in the records management programmes. I have formulated a questionnaire for this purpose and would be grateful if you and other colleagues would be willing to answer the questionnaire.

Following this message is the questionnaire which may be completed. It is my hope that the study may lead to an increased awareness and improvement in the records management programmes in public bodies. All responses and comments will be treated in strictest confidence.

Please confirm if you are willing to assist with the research, and possibly the contact details of other colleagues who may also be willing to complete the questionnaire.

Once the questionnaire has been completed, please either e-mail it to me at: isabelskelly@gmail.com or fax 0866709511.

Thank you for assisting me.

Kind regards

Isabel Schellnack-Kelly

Open Rubric

Appendix 2 QUESTIONNAIRE TO RECORDS MANAGEMENT OFFICIALS

QUESTIONNAIRE: ROLE OF RECORDS MANAGEMENT IN SOUTH AFRICAN PUBLIC BODIES

Name of the official: _____

Position (job titles) in the public body: _____

Experience: (Number of years): _____

(Length of time in current position): _____

QUESTION 1: EFFECTIVENESS OF RECORDS MANAGEMENT PROGRAMME:

Is the records management programme able to meet all legal, financial and administrative requirements? _____

If yes, describe how:

If no, explain further:

QUESTION 2: BUDGETARY ALLOCATIONS:

Are adequate resources be they financial, staff or infrastructure allocated?

Please elaborate:

QUESTION 3: ORGANISATIONAL PERCEPTIONS

Highlight how the records management component is viewed by the organisation.

Provide examples of cooperation or otherwise.

Are the records management staff involved with managing electronic records? Please elaborate:

QUESTION 4: CHALLENGES MANAGING RECORDS

Describe the strengths and/or weaknesses of the records management programme:

Describe the interaction with the National and or provincial archives services:

Does the office have older records from the previous dispensation? If so, what is the age of these records, i.e. 1990s or 1980s? Describe the storage conditions of these records.

QUESTION 5: COMMUNICATION CHANNELS

Does the office have a records manager? _____

Do all staff members know who the records manager?

Are all officials aware who to consult when records management challenges arise?

Explain the relationship between the records manager and the rest of the organisation.

Who does the records manager consult when problematic situations arise?

QUESTION 6: POLICIES AND PROCEDURES CONCERNING RECORDS MANAGEMENT

Does the office have a records management policy, registry procedures and electronic records management policy?

Have these been communicated to all staff members?

Are the policies easily accessible?

How have staff members been informed concerning creation, maintenance and storage, and disposition of records?

Thank you for your assistance

Isabel Schellnack-Kelly

Appendix 3 INTERVIEW QUESTIONS FOR COMMUNITY DEVELOPMENT UNDERTAKINGS

INTERVIEW QUESTIONS:

Name of Interviewee: _____

Name of Organisation: _____

Position: _____

Date: _____

Title of the project:

What are the social-economic implications for the communities in the area?

Is the project being backed by the international donors? Who are they?

Describe the good governance requirements:

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Informal discussion with records management staff:

City of Ekurhuleni:	24 November 2010 and 1 December 2010
Sedibeng Municipality, Merafong Municipality, Metsweding Municipality, Kungwini Municipality, Westonaria Municipality, City of Johannesburg:	28 September 2011
Midvaal Municipality:	29 September 2011

Questionnaires completed by records management staff between 2010 and 2013:

City of Ekurhuleni
City of Johannesburg
Fetakgomo Local Municipality
Inkomati Catchment Management Authority
Local Authority of Sekhukhuneland
Lepelle Water Board
Municipality of Madibeng
Waterberg District Municipality

Discussions with individuals involved with development projects

Sister Natalie Kuhn, executive director, and Ms Babalwe Mfebe, staff member, Kgosi Neighbourhood Foundation, 6 September and 10 October 2012.

Pieter Swanepoel, Project Manager of the Ekurhuleni Aerotropolis Project, 12 March 2012.