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**A STRATEGIC APPROACH TO THE  
MANAGEMENT OF THE NATIONAL ARCHIVES  
OF SOUTH AFRICA**

**BY**

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***DISSERTATION***

Submitted in part fulfilment of the requirements for the degree of Master of Public Administration in the Department of Public Administration, Faculty of Commerce and Administration, University of Durban-Westville.

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**DATE SUBMITTED** : FEBRUARY 2001



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## **DECLARATION**

I declare that ***A STRATEGIC APPROACH TO THE MANAGEMENT OF THE NATIONAL ARCHIVES OF SOUTH AFRICA*** is my own work and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.

***SIMON FELUMBUZO MTSHALI***

***FEBRUARY 2001***

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## **ACKNOWLEDGEMENTS**

First and foremost I am grateful to God for giving me the knowledge, insight and perserverance to complete this study.

I wish to express my sincere gratitude and appreciation to my supervisor, Professor D. Sing, for his encouragement, guidance, thorough knowledge, valuable suggestions and ready assistance.

A debt of gratitude is owed to my joint supervisor, Mr V. Ntuli, who has been insisting in his efforts to help me in this study. I also thank him for his encouragement, guidance and support.

I am greatly indebted to the following persons:

Mr Verne Harris of the National Archives of South Africa, Mr Rishi Singh and Mrs Lorraine Harvey of the Durban Archives Repository for their invaluable assistance and support during my course of study.

Mrs Jenetha Surujhlal of the Durban Archives Repository for her friendly support and encouragement.



Last, but not least, a deep debt of gratitude and love is owed to my wife, Phumelele, my children Jabu, S'mangiliso, Makhosazane and Philile, to whom this work is dedicated, for their patience, encouragement and support during my years of study.

## **SYNOPSIS**

When the first democratic government came into power in 1994, it was faced with a number of challenges. One of these challenges was to ensure that the public service is transformed in order to redress the imbalances of the past. The National Archives of South Africa as a branch of the public service was therefore no exception.

Prior to the 1994 elections, this branch was known as the State Archives Service. It was converted into the National Archives of South Africa through the passing of the National Archives of South Africa Act (Act No. 43 of 1996). It is important to note that before the 1994 election the exercise of hegemony by the government was through the control of social memory, and this control involved remembering and forgetting. Furthermore, this control demonstrated an extraordinary capacity to secure the support of most white South Africans and the minority of blacks who collaborated with this system.

Therefore, the promulgation of the National Archives of South Africa Act (Act No. 43 of 1996) was of crucial significance in South Africa, since it portrayed the death knell for archival legislation moulded by apartheid. This Act converted the State

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Archives Service into the National Archives of South Africa with the new mandate of serving all the people of South Africa.

This study examines a strategic approach to the management of the National Archives of South Africa. Firstly, the National Archives of South Africa Act ( Act No. 43 of 1996 is discussed in detail, with emphasis on its formulation and implementation. This act came into operation on 1 January 1997. Secondly, the strengths, weaknesses, opportunities and threats experienced by the National Archives of South Africa during its conceptualisation and launching are discussed. Thirdly, the transformation of the National Archives of South Africa was examined and discussed using the public management functions, namely, policy-making, organising, planning, leadership, motivation, control and evaluation. The strengths, weaknesses, opportunities and threats experienced by the National Archives of South Africa are focused on. Lastly, conclusions and recommendations end the study.

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## **TERMINOLOGY**

(i) **Archives:** Ellis (1987:2) defined archives as documents made or received and accumulated by a person or organisation in the course of the conduct of affairs and preserved because of their continuing value. The word archives is also commonly used to refer to:

- the organisation, agency or programme responsible for the selection, care and use of records of continuing value.
- The repository, building or place dedicated to their storage, preservation and use.

Bradsher (1988:3) defined archives as the official or organised records of government, public and private institutions and organisations, groups of people and individuals, whatever their date, form or material appearance, which are no longer needed to conduct current business, but are preserved, either as evidence of origins, structures, functions, and activities or because of the value of the information they contain, whether or not they have been transferred to an archival institution.

Section 1 (ii) of the National Archives of South Africa Act (Act No. 43 of 1996) defined archives as records in the custody of an archives repository.

- (ii) **Appraisal:** Bradsher (1988:53) defined archival appraisal as a process of determining which records should be accessioned to an archival repository. Archival appraisal can be understood best in its relationship to the life cycle of records: the predictable pattern of creation, maintenance and use, and disposition of records within an institution (Ibid).

Section 1 (I) of the National Archives of South Africa Act (Act No. 43 of 1996) defined appraisal as the archival function of determining the eventual disposal of records.

- (iii) **Archives Repository:** Calitz (1998:11) stated that archives repositories are places in which records are stored.
- (iv) **Electronic records system:** means any records system in which information is generated electronically and stored by means of computer technology (National Archives of South Africa Act (Act No. 43 of 1996)).

(v) **Strategic management:** Byars (1987:8) defined strategic management as being concerned with making decisions about an organisation's future direction and implementing those decisions. He further stated that strategic management can be broken down into two phases: strategic planning and strategy implementation. Strategic planning is concerned with making decisions with regard to:

- Defining the organisation's philosophy and mission
- Establishing long-and-short-range objectives to achieve the organisation's mission
- Selecting the strategy that is to be used in achieving the organisation's objectives

Strategy implementation is concerned with making decisions with regard to:

- Developing an organisational structure to achieve the strategy.
- Ensuring that the activities necessary to achieve the strategy are effectively performed.

- Monitoring the effectiveness of the strategy in achieving the organisation's objectives.

(vi) **Paradigm:** a paradigm is a set of preconceptions we bring from our past to each new situation we have to deal with. The paradigm is, as it were, the lens through which we look at the world and it therefore determines what we perceive. A paradigm is a set of beliefs or assumptions we make about the world, normally beneath the level of awareness and therefore mostly never questioned. As we live and work with other people we come to share a particular way of focusing on the world and that shared paradigm determines what explanations we develop and agree upon amongst ourselves. The origins of all our explanations of everything, therefore lie in the process of socialisation, in the shared cultures formed by people in groups. The paradigm follows from shared past experience and is reflected in our skilled behaviours, that is, the rapid actions we take automatically to perform complex tasks without thinking about how, and often why, we are performing them (Stacey, 1996:52).

(vii) **management:** management includes the processes of planning, organising, controlling, leading, staffing, motivating, decision-making, and communicating in an attempt to co-ordinate human and non-human institutional resources for the purpose of

efficiency and systematically achieving the stated objectives of an organisation (Sikula, 1973:16).

- (viii) **Top management:** is the small group of executives which controls an organisation and establishes organisational goals, strategies and policies. Middle management implements these goals, strategies and policies, and supervises the task completion activities of lower-level managers. First-line management supervises and co-ordinates the task completion activities of the operating employees (Allais, McKay and Van der Merwe, 1995:254).



**COMMON ABBREVIATIONS USED**

<b>ACTAG</b>	:	<i>Arts and Culture Task Group</i>
<b>ANC</b>	:	<i>African National Congress</i>
<b>DACST</b>	:	<i>Department of Arts, Culture, Science and Technology</i>
<b>GNU</b>	:	<i>Government of National Unity</i>
<b>ITU</b>	:	<i>Investigation Task Unit</i>
<b>NA</b>	:	<i>National Archivist</i>
<b>NASA</b>	:	<i>National Archives of South Africa</i>
<b>SAS</b>	:	<i>State Archives Service</i>
<b>SWA</b>	:	<i>South West Africa</i>
<b>RDP</b>	:	<i>Reconstruction and Development Programme</i>
<b>TRC</b>	:	<i>Truth and Reconciliation Commission</i>

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# **CHAPTER ONE**

## **1. GENERAL ORIENTATION**

### **1.1 INTRODUCTION**

In this dissertation a study is undertaken of the strategic approach to the management of the National Archives of South Africa (NASA). The NASA is an integral part of the National Department of Arts, Culture, Science and Technology (DACST). It is fully accountable to the Department's Director-General through the Chief Director of Arts and Culture (Annual Reports of the National Archivist and State Herald, 1995-1997). The Annual Reports, 1995-1997 further stated that this Directorate was deliberately created to foster the national identity and the protection of rights:

- By preserving a National Archival Heritage for use by government and the people of South Africa, and
- Promoting efficient, accountable and transparent government through the proper management and care of government records.

The promulgation of the National Archives of South Africa Act (Act No. 43 of 1996) among other things laid down the new democratic foundations for the new public archives system in South Africa. This Act came into operation on 1 January 1997. The Act, that is, Act No. 43 of 1996, as a transformation discourse and a paradigm shift in the archival system converted the State Archives Service (SAS) into the National Archives of South Africa (NASA). Therefore, the NASA has focused its strategic planning and energy on efforts to give effect to the imperatives underpinning the new legislation with most emphasis on transformation.

On 3 February 1998, the National Archivist (the chief executive official of the National Archives) issued an internal circular reference numbers 2/3/2 and 2/13 regarding transformation and strategic planning in the NASA. In this circular she defined transformation as a term used to refer to a range of processes designed to reshape the National Archives into an organisation geared to the successful implementation of the National Archives of South Africa Act, and one which promotes and fosters democratisation both internally and in the broader context of its operation. She further indicated that many of these processes are government-wide or departmental in scope, whereas others are specific to the National Archives and rooted in the Act.

One can argue that the new political dispensation in South Africa has therefore forced the SAS to re-organise its structures and processes in order to meet the new challenges of archiving. The conversion of the SAS to the NASA was a response by the government to these political changes and challenges. For example, the archival heritage is now opened to all people of South Africa. It is therefore important to examine the new structures and processes of the NASA and to determine its strategic approach to management.

## 1.2 ***MOTIVATION FOR THE STUDY***

Historical and political influences have affected the structure and the functioning of the NASA. It is now imperative to evaluate its organisational structure, aims and objectives and its service to the public in this new political dispensation. This research aims to provide an insight to the strategic approach to the management of the NASA. According to the National Archives of South Africa Act (Act No. 43 of 1996), NASA was established as a branch of the public service of the Republic of South Africa. Therefore, NASA, like most public institutions, is expected to transform its structures and the public service delivery in order to accommodate the new constitutional challenges. The recommendations in this study will also help to create new

paradigms, encourage NASA to be proactive, accountable, transparent and democratic .

### 1.2.1 **OBJECTIVES OF THE STUDY**

The major objectives of this study are:-

- To determine normative foundations of public administration and management that guide the functioning of NASA.
- To examine the existing (new) administrative and management structures as well as the strategic approach to the functioning of those structures.
- To provide solutions and recommendations to the problems that will be identified.

### 1.2.2 **KEY QUESTIONS TO BE ANSWERED IN THIS RESEARCH ARE:-**

- What is the nature and functions of the NASA?

- Which constitutional principles form the basis of the administration and management of the NASA?
- What administrative and management structures and functions applied to the functioning of the NASA?
- What strategic approach is used in the management of the NASA?
- What are the strengths, weaknesses, opportunities and threats?

### 1.3 **RESEARCH METHODOLOGY**

In this study an attempt was made to search for answers from both the theoretical (literature survey) as well as empirical perspective (set of questionnaires). Reaves (1992:27) regarded the empirical knowledge (research) as being based on the real-world observations, not logical reasoning.

#### 1.3.1 **LITERATURE SURVEY**

Primary and secondary sources were examined. A comprehensive study of books in the field of Public Administration, Public Management, Management and Strategic

Management books was conducted. Fox, Schwella and Wissink, 1991 introduce us to Public Management. They focused more on the public management functions, public management skills, strategic management and public management environment. The constitution of the Republic of South Africa, 1996 was also examined. This constitution is regarded as the supreme law of this country, and therefore Act 43 of 1996 which converted SAS to the NASA is based on its principles. Archives manuals, handbooks, journals, annual reports, policies, circulars and Acts were also be examined.

### **1.3.2 *EMPIRICAL RESEARCH***

Empirical research was conducted by means of the questionnaires which were forwarded to the NASA. The target group was the top-management and the middle-management. This group will be targeted because it is responsible for policy-making, organising, planning, leadership and motivation, control and evaluation. Telephonic interviews have been conducted on numerous occasions between the researcher and Mr Verne Harris who is the Deputy Director: Planning, Co-ordination and Transformation. Discussions regarding this research have been conducted with Mr R B Singh: Head, Durban Archives Repository, Mrs J Hawley: Head, Pietermaritzburg Archives



Repository, Mr V Ntuli: Lecturer, Department of Fine Arts and History of Art - University of Durban Westville and Professor D Sing: Head, Department of Public Administration - University of Durban Westville.

### 1.3.3 **OBSERVATION**

The researcher is employed by the Department of Education and Culture, Ulundi Archives Sub-Directorate. He is presently receiving an intensive archival training at the Durban Archives Repository. In that sense the researcher has access to most archival documents and is able to discuss problems with the senior managers.

### 1.4 **DATA ANALYSIS AND PRESENTATION**

The questionnaires were used as a guide for the interviews. Respondents' views from all questionnaires were collated and a general view was arrived at. Information from the NASA's documents, annual reports and Acts was also collated. Information obtained through discussions and the literature survey were integrated and interpreted starting from chapter two. The presentation of data in chapter five served as confirmation of

what was discussed from chapter two to chapter four of this study.

### 1.5 **LIMITATIONS OF THE STUDY**

The study has certain limitations namely:

- The population did not cover the whole country. Only the National Archives of South Africa was surveyed. Furthermore two Archives Repositories, that is Durban and Pietermaritzburg were surveyed. It was difficult to conduct a survey on all archives repositories because they are in the process of provincialising. Nevertheless, all of them are still under the control of the NASA with the exception of Port Elizabeth Archives which has been provincialised and the ex-homelands archives service which are going to be incorporated in the Provincial Archives Services.
- There was no control over who completed the questionnaires. An individual official other

than the intended respondent may have completed the questionnaire. This could have introduced some bias into the study.

- The respondents may not have been honest for the fear that sensitive information about NASA may be divulged.
- The NASA's objectives are basically about caring and preservation of the archives. Managers not having relevant theoretical background knowledge on administration and management may have provided incorrect answers.
- Although interviewees were requested to remain objective on the views of the NASA, they may have communicated their personal views in the questionnaires. The interviewees may have also tried to please the interviewer by giving socially desirable answers.
- The researcher, having 19 years of experience as a public servant and 6 years as an archivist could have influenced the study. His involvement in the archival matters may have influenced the analysis and presentation of data.

## **1.6 CHAPTER DIVISIONS**

### **CHAPTER ONE: General orientation**

This chapter provided an introduction to the strategic approach of management of the NASA. Motivation of this study was also presented in this chapter.

### **CHAPTER TWO: National Archives of South Africa: A Historical Perspective**

This chapter focused on the historical background of the NASA. Different Acts which help in the establishment of this directorate were briefly discussed. These Acts were promulgated during the apartheid era and therefore supported the system.

### **CHAPTER THREE: Public Administration and Management**

This chapter discussed public administration and management in relation to the NASA. Normative foundations of public administration and management were also discussed under this chapter.

**CHAPTER FOUR:** Conceptualising a Strategic Approach to the Management of NASA

This chapter discussed a strategic approach to the management of the NASA, and paid particular attention to the following public management functions:

- policy-making
- organising
- planning
- leadership and motivation
- control and evaluation

Strengths, weaknesses, opportunities and threats in regard to the management of NASA were also examined and discussed.

The following sub-headings were discussed under this chapter:

- Appraisal of records as a strategy for acquiring records in the NASA
- Human Resource Management in the NASA
- Financial Management in the NASA
- Information management in the NASA

**CHAPTER FIVE:** Data Presentation, Analysis and Discussion

This chapter provided data presentation, analysis and discussion. This is based on the questionnaires sent to the NASA.

**CHAPTER SIX:** Conclusions and Recommendations

In this chapter an overall conclusion and recommendations were provided and discussed.

## **CHAPTER TWO**

### **2. NATIONAL ARCHIVES OF SOUTH AFRICA: A HISTORICAL PERSPECTIVE**

#### **2.1 INTRODUCTION**

The establishment and the development of archives administration in South Africa can be traced back to the 19<sup>th</sup> century. This period witnessed the growth of state organisations which evolved gradually as the colonisation expanded inland from Cape Town. This growth was regarded as closely linked to the constitutional development of South Africa. In this period it was primarily the responsibility of each state organisation to arrange for the care and custody of its own archives.

#### **2.2 THE ORIGIN OF THE STATE ARCHIVES SERVICE (SAS) NOW KNOWN AS NASA: PRIOR TO 1994**

According to the National Archives Diploma in Archival Science Manual 1987, the incorporation of the four former colonies, namely, Cape Province, Natal, Orange Free State and Transvaal in the Union of South Africa in 1910, amongst other things,

resulted in the establishment of a Unified Archives Service. This was also emphasised by Harris (1996:8) when he stated that the State Archives Service (SAS) has its origin in the fledging public archives service facilities maintained by the pre-Union Cape, Natal, Orange River and Transvaal Colonies. In the State Archives Handbook 1991, it was stated that the South Africa Act, 1909 united the four former British Colonies on 31 May 1910 into a union of state with a three-tier governmental structure, namely central government, four provincial authorities and a large number of local authorities. The Unified Archives Service was therefore established under the former Department of Interior for the first time in South Africa, and incorporated the four separated archives services under the central control of the Chief Archivist. According to Harris (1996:8), the Archives Service in South Africa was empowered legislatively for the first time through the Public Archives Act (Act No. 9 of 1922). This Act mandated the Chief Archivist with care, custody and control of archives in various archives depots (National Diploma in Archival Science Manual, 1987). At that stage the Act only applied to government offices in the Union of South Africa.

In this Act (Act No. 9 of 1922) the term "Archives" was defined for the first time in South Africa. The definition was in accordance with the British custom and therefore the term "public archives"



was used. Public archives were defined as all such public records, documents and other historical material of every kind, nature and description which were in the custody of a government department or a provincial administration, or which had already been transferred to an archives depot (Ibid).

Furthermore, it was stated that the Act also distinguished between Union Archives and Provincial Archives. Union Archives were all archives created by former departments of Union Government since 1910. Provincial archives on the other hand, were created by the former colonies (National Diploma in Archival Science Manual, 1987).

The Public Archives Act (Act No. 9 of 1922) remained in force without amendments for 31 years. According to the National Diploma in Archival Science Manual 1987, in 1953, Act No. 9 of 1922 was superseded by the new Archives Act (Act No. 22 of 1953). A notable aspect of the Act was the inclusion of the South West Africa (SWA) now called Namibia, under the control of the Archives Act.

The incorporation of South West Africa (SWA) into South Africa was the result of the political dispensation and all its archives were therefore controlled by the Archives Service in South Africa.

Furthermore, the Archives Service was moved from the Department of Interior to the Department of Education, Arts, and Culture (Ibid). This re-shuffling had taken place in 1948. The primary functions of the Chief Archivist were defined as custody, care and control, and the administration of the public archives.

The term public archives was also re-defined as archives accumulated in any government office and any records, documents or other materials of historical value acquired for or deposited in an archives depot (Ibid). The essence of the previous definition was retained, but in the new Act, accessions were included. Accessions were defined as records, documents or other materials of historical value not forming part of the public archives. Accessions could be acquired by purchase or by way of donation or on loan, temporarily or permanently, and unconditionally or subject to conditions approved by the Chief Archivist.

Government offices were defined as any department or the offices of the Union Government (including South African Railways and Harbour Administration), or Provincial Administration and the Administration of South West Africa. This Act remained in force for approximately nine years and it was never amended. It was replaced in 1962.

The Archives Act, 1962 (Act No. 6 of 1962), was approved on 27 February 1962 and it came into operation on 14 May 1962. It was amended four times, that is, in 1964, 1969, 1977 and 1979 (National Diploma in Archival Science Manual, 1987). The most important new aspects stated in the National Diploma in Archival Science Manual of 1987 which were included in this Act were as follows:-

- The changing of the title of the chief functionary from Chief Archivist to the Director of Archives,
- The extension of the Act to include all local authorities in its provisions,
- The extension of power of the Director to include all archives still in the custody of the offices of origin and the authority to undertake inspection of records,
- The extension of the accessibility of the archives every five years, and
- The establishment of intermediate archives depots.

The Archives Act of 1962 also authorised the Minister to perform the following duties:-

- Control over the custody and care of the archives and accessions,
- The appointment of the Director of Archives,
- The appointment of the members and the chairman of the Archives Commission, and
- The tabling of the Director's Annual Report in Parliament.

Extensive changes were effected in the subsequent amendments to the Acts. These were as follows:-

- The transfer of power to grant authority for the destruction of archives from the Archives Commission to the Director of Archives,
- The granting of authority to the Director of Archives to approve filing systems and microfilm projects,
- The establishment of the possibility to extend the application of the Act to include some statutory bodies and,
- The reduction of the closed period from 50 to 30 years.

Furthermore, the control of the Archives of South West Africa was transferred to the South West Africa Administration. This transfer took place in 1979.

In terms of Section one of the Act (Act No. 6 of 1962), the term "archives" was re-defined as any documents or records received or created in a government office or an office of a local authority during the conduct of affairs in such office and which are from their nature or in terms of any Act of Parliament not required then to be dealt with otherwise than in accordance with or in terms of the provisions of this Act. Accessions became an established term in the State Archives Service to refer to documents received for custody from private donors (National Diploma in Archival Science Manual, 1987).

It is important to note that as from 1922 up until the promulgation of Act No. 6 of 1962, the SAS was highly politicised, based on the historical biases of colonialism, segregation and apartheid. According to a report by the sub-committee of the Arts and Culture Task Group (ACTAG) (1996:33-46), the apartheid system in particular grossly distorted the acquisition of records, access to records, the destruction of records and the administration of structures for the management of archives. It was further stated that the archives were part of

the broader system which negated the experiences of black South Africans (Ibid).

The historical context of the SAS as indicated by the ACTAG sub-committee in its reports were as follows:-

- In the past, the policy related to the appraisal of records (that is, the assessment of a group of documents to determine what is worthy of permanent preservation and what can be destroyed) tended to be Eurocentric. Valuable material relating to the social history of black South Africans, for example in court cases, has been lost because of ideologically informed decisions in the past. Similarly, extensive records suitable for White genealogists exist but few similar records exist for blacks.
- Until the late 1970's, racially separated reading room and toilet facilities were provided by the SAS. During the emergency years of the 1980's, abnormal restrictions on access to key union and apartheid government records were imposed. Even before this, there is evidence that restrictions were placed on the use of documents by certain researchers

suspected of being actively opposing the apartheid. Their activities were also monitored by the Service's management.

- Until the 1980's job reservation ensured that only whites were appointed to professional archivist positions. The professional staff establishment of the SAS therefore remained overwhelmingly white.
- Archives depots in the four provincial capitals were kept under tight central control. Archives services in the former homelands, though, were cut loose from the SAS at the earliest opportunity, after some rudimentary training was provided to prospective archivists. There was a clear link between the stultification of those archives repositories and the underdevelopment of the homelands under the apartheid system.
- The Archives Commission consisted largely of white male academics and had a broad advisory function as well as responsibility for archival publication of thesis and dissertations and source documents. It was largely inefficient and met only once a year. There

was no transparency in the appointment of its members or in the execution of its functions.

In terms of the Archives Act (Act No. 6 of 1962) the Directorate of the SAS was responsible for the custody, care, and control of the archives of State offices and of offices of local authorities (State Archives Service Annual Reports, 1995). It was further stated that this directorate functioned as a geographically decentralised national archives with repositories in provincial capitals falling under central administrative control (Ibid). These repositories were as follows:

- (i) Central Archives Depot - Pretoria
- (ii) Cape Archives Depot - Cape Town
- (iii) Free State Archives Depot - Bloemfontein
- (iv) Natal Archives Depot - Pietermaritzburg
- (v) Transvaal Archives Depot - Pretoria

In addition to the above-mentioned archives repositories, intermediate archives depots were created for the custody of semi-current records as follows:

- (i) Cape Town Intermediate Depot
- (ii) Durban Intermediate Depot



- (iii) Johannesburg Intermediate Depot
- (iv) Port Elizabeth Intermediate Depot
- (v) Pretoria Intermediate Depot

### 2.3 **STATE ARCHIVES SERVICE: POST 1994**

In 1990 the SAS embarked on a transition period where they were paving the way towards transformation. This was also emphasised by Harris (1996:2) when he indicated that the processes and ideas which shaped the new legislation blossomed from 1990. Therefore, with the introduction of the first democratically elected government in South Africa, the SAS was then converted to the National Archives of South Africa (NASA). This was effected through the passing of the new National Archives of South Africa Act (Act No. 43 of 1996). This Act will be referred to as Archives Act No. 43 of 1996, and it came into operation on 1 of January 1997. Verne Harris who is the Deputy Director in the NASA, responsible for Planning, co-ordination and Transformation and who also played a leading role in the drafting of this Act regarded it as the product of the transformation discourse.

According to Olivier (1995:5-14) the new Archives Act No. 43 of 1996 which was drafted during that time needed to ensure

continuity amid change in relation to governmental administrative structures. It also needed to express the socio-political changes and open democracy approach to information management embodied in the new Constitution, and in scope, framework and content, this Act needed to reflect internationally acceptable norms and standards. A detailed analysis and appraisal of this Act will be provided in chapter four under policy-making. In this same chapter a strategic approach to the management of NASA will be discussed using public management functions, such as, policy-making, organising, planning, leadership, motivation, control and evaluation.

#### 2.4 **CONCLUSION**

The first archival functions performed in South Africa was the responsibility of each state institution. The four former colonies namely, Cape, Natal, Orange Free State and Transvaal were therefore responsible for the care and custody of their own archives. It was in 1910, during the incorporation of the above-mentioned colonies where the Unified Archives Service was established. Three Archives Acts were promulgated, that is Act No. 9 of 1922, Act No. 22 of 1953 and Act No. 6 of 1962.

The period 1990-1994 was regarded as a transition period. During this period the discussions regarding the shape and

structure of the new Archives Service were conducted. In 1996 the SAS was legally converted to the NASA through the promulgation of the Archives Act No. 43 of 1996.

## **CHAPTER THREE**

### **3. PUBLIC ADMINISTRATION AND MANAGEMENT**

#### **3.1 INTRODUCTION**

The Public Service is the executive arm of the government. The intentions of the government are executed by different public institutions which operate under the umbrella of the public service. These public institutions are staffed by officials who are responsible for the formulation and implementation of almost all policies of the government of the day. Public administration and management is a specific public function characterised by identifiable foundations enshrined in the Constitution which serve as guidelines and norms according to which the public servants ought to execute their duties.

This chapter will therefore define public administration and public management, and discuss the constitutional principles that guide the NASA in respect of public administration and management. Furthermore the Reconstruction and Development Programme (RDP) principles that relate to NASA will also be identified and discussed. The RDP is address in this chapter

because it informed the National Archives of South Africa Act (Act No.43 of 1996) and the transformation programmes of NASA in the period 1994 to 1999.

### **3.2 *DEFINING PUBLIC ADMINISTRATION AND MANAGEMENT***

According to Cloete (1991:202) the terms public administration and public management are sometimes used synonymously. Furthermore he pointed out that functions which constitute public administration include much more than what is referred to by the word management. Therefore he concluded by saying that it is evidence that public management is part of public administration (Ibid).

This was also emphasised by Fox et al (1991:2) when they defined public administration as that system of structures and processes, operating within a particular society as environment, with the objective of facilitating the formulation of appropriate governmental policy, and the efficient execution of the formulated policy.

It is important to note that in the above definition the importance of the environmental context, politics and policy execution and

management is stressed. Therefore, this means that public administration is much wider in scope and nature than public management. Public management is part of the wider scope, that is, public administration. According to Sikula (1973:16) management includes the processes of planning, organising, controlling, leading, staffing, motivating, decision-making, and communicating in an attempt to co-ordinate human and non-human institutional resources for the purpose of efficiently and systematically achieving the stated objectives of an organisation.

However, it is important to understand that public administration and management is a specified public function characterised by identifiable foundations enshrined in the Constitution which serve as guidelines and norms according to which public servants ought to execute their duties.

### **3.3    *NORMATIVE            FOUNDATIONS            OF            PUBLIC ADMINISTRATION AND MANAGEMENT IN RELATION TO NASA***

According to Cloete (1991:56) public administration is recognised as a distinctive field of work because of the requirements that those who practice public administration such as political office-

bearers and public officials have to respect specific guidelines that govern their conduct when carrying out their work.

### **3.3.1 THE CONSTITUTIONAL PRINCIPLES IN TERMS OF ACT 108 OF 1996**

It is accepted that the Republic of South Africa is one sovereign, democratic state, (Constitution of the Republic of South Africa Act No. 108 of 1996, Chapter one). Chapter one section 2 of the Constitution also states that the Constitution is the supreme law of the Republic, law or conduct inconsistent with it is invalid, and the obligations imposed by it must be fulfilled. Section 195 (1) of the Constitution provides the basic values and principles governing the public administration which include the following:-

- (a) **A high standard of professional ethics must be promoted and maintained.**

In the NASA, archivists are regarded as professionals due to the nature of the work they are doing. In most cases they are responsible for giving the client offices (i.e. government offices, local authorities and all other bodies

under the control of the Archives Act) advice regarding the management of their records. Weber stresses that the successful and continuing bureaucracy (public service) depends to a large extent upon written records, be it paper-based or electronic records (Wallis 1989:3).

Therefore, the professional guidance given by the NASA regarding the care, custody and the maintenance of records is of vital importance to the state and the community at large.

(b) **Efficient, economic and effective use of resources must be promoted.**

Clive Kirkwood, Deputy Director, Records Management and Information Systems, quoted James B Rhoads saying records are the basic tools or instruments by which functions and processes are carried out. He further stated that if records were well-managed, the effectiveness of government is enhanced, government programmes become more responsive and economies are realised. (Kirkwood 1995:10).

It is clear that records play an important role in the public service and therefore the role of the NASA in promoting



efficient, economic and effective use of resources through proper records management cannot be overemphasized.

(c) **Public Administration must be development - orientated.**

The NASA has assisted South Africa (i.e. the State and the community at large) during the period of reconciling the present and the past by recognising and respecting shared as well as the differing memories.

Cook (1998:205) indicated that South Africans and their government have realised that archives are essential to the process of nation-building and national reconciliation. The Truth and Reconciliation Commission (TRC) benefited a lot through the archives (records) housed by NASA.

Professor J Daniel who was the head of the Department of Political Science, University of Durban-Westville, visited the Durban Archives Repository on numerous occasions on behalf of the TRC to investigate records from the Investigation Task Unit (ITU) and the State Security Council minutes. Through the proper use and

management of records, South Africa can develop the country using the experience of the past.

- (d) **Services must be provided impartially, fairly, equitably and without bias.**

Verne Harris in his paper delivered in a seminar "*Refiguring the Archive*" on 13 October 1998, stated that the State Archives Service staff, during the apartheid era, collaborated with the Security Police in spying on reading-room users. During that period archival services to the public were not provided impartially.

Two significant white papers passed in the new political dispensation, namely the White Paper on the Transformation of the Public Service and the White Paper on Transforming Service Delivery deserve mention. Both white papers were workshopped with staff by NASA. The aims of these two White Papers were to transform the public service and public service delivery in order to redress the imbalances of the past. In the NASA, officials have been requested to study part-time other official languages in order to be of assistance to different racial groups.

In the Durban Archives Repository, officials are attending Zulu Courses at the University of Natal-Durban, since most people in KwaZulu-Natal speak Zulu. This programme is also done in almost all archives repositories in order to eliminate the communication problems between different racial groups.

One can argue that it is still too early to evaluate the implementation of the National Archives of South Africa Act (Act No. 43 of 1996), but nevertheless the shift from the old order to the new one can be witnessed.

In 1997 the NASA compiled and distributed a questionnaire regarding the utilisation of the reading-rooms in all archives repositories. The targeted group were the users (researchers) of archives in those reading-rooms. The aim of the questionnaire was to find out from the researchers how they experienced the services being delivered to them. The report after the interpretation of the data by Wagener indicated that most researchers are happy with the way NASA is providing services to them (Wagener 1997:17).

(e) **Public Administration must be accountable.**

Kirkwood (1997:7) indicated that the new legislation (i.e. Act 43 of 1996) aligns public archival administration with South Africa's new constitutional dispensation, provides mechanisms for ensuring accountability and transparency and enhances public access to archives. Therefore, accountability and transparency in public services can be promoted through the proper management of archives. It will be remembered that during the years 1990-1994, when the National Party Government was aware it would be giving way to the new order, several cases of unlawful destruction of official records, allegedly to cover-up abuses of power, were reported.

This was a big blow to the new government. On 12 December 1995, the Director of Archives on instruction from the Cabinet issued Circular No. 1 of 1995 regarding a moratorium on the destruction of public records. This Circular was issued when most "sensitive" records had already been destroyed. Verne Harris, was a spokesperson in the hearings before the TRC where he explored the illegal records-destruction as well as the records-keeping practices of the old regime (Cook 1998:206). The

information which was not destroyed was used by the TRC and the Land Claims Commission (now known as National Commission for Land Restitution) during their investigations regarding the violation of people's rights.

**(f) Transparency must be fostered by providing the public with timely, accessible and accurate information.**

According to the Annual Reports of the National Archivist and the State Herald 1995 - 1997, the NASA has actively participated in the drafting of the Open Democracy Bill. The aim of the Bill is to give the public a general right of access to records held by governmental bodies subject to exemptions necessary to protect the public interest, personal privacy or commercial confidentiality. Sowetan, 8-11-1999 indicated that political parties in Parliament will consider proposals to revise the Open Democracy Bill into three separate legislations namely, the right to information, the right to privacy and the protection of whistle blowers. In the year 2000 two legislations have been passed, namely the Promotion of Access to Information Act and the Protection of Whistle-blowers. The legislation for the Protection of Personal Information is being drafted.

The total number of 9164 visitors to the NASA's reading-rooms is a proof that NASA is committed to the provision of accurate information to the public.

**(g) Good human resource management and career development practices, to maximise human potential, must be cultivated**

In the NASA human resource management and career development is the function carried out by the Human Resources Management and Development Sub-Directorate which is under the Department of Arts, Culture, Science and Technology (DACST). The NASA has a small section which help to communicate personnel matters with the Department.

It was stated in the Annual Report of the National Archivist and the State Herald, 1995-1997 that the government wide policies and the Department of Arts, Culture, Science and Technology's Employment Equity Policy are implemented strictly by the NASA. This indicated that the NASA is

responsible for implementing the policies as directed by the Department of Arts, Culture, Science and Technology.

**(h) Public administration must be broadly representative of the South African people, with employment and personnel management practically based on ability, objectivity, fairness, and the need to redress the imbalances of the past to achieve broad representation.**

The NASA is committed to Government-wide staff management policies and the DACST's Employment Equity Policy. The DACST issued a circular minute P1-18/1999 (Pers) in response to the White Paper on the Transformation of the Public Service. This White Paper stipulated that within four years all department's establishments must be at least 50% black at management level. Therefore the DACST issued the above-mentioned circular showing the statistical data on staff composition of the Department between 1994 and 1998. The NASA also issued an internal circular correcting the data for the

representivity of the NASA. These two circulars are enclosed as Annexure A.

### **3.3.2 THE RECONSTRUCTION AND DEVELOPMENT PROGRAMME (RDP) PRINCIPLES**

The RDP was originally produced as a party political programme by the African National Congress (ANC) in the run-up to the 1994 elections (FitzGerald, McLennan & Munslow 1995:45).

It is further stated that after the ANC's victory at the polls and the formation of the Government of National Unity (GNU), a new version of the RDP was set in motion. It appeared as a Government White Paper and it was defined as an Integrated, Coherent Socio-Economic Policy Framework (ibid).

There are six basic principles which make up the political and economic philosophy that underlies the whole of the RDP. In the White Paper, 1994, this philosophy is regarded as innovative and bold, based on a few simple but powerful ideas. These principles are :-

- an integrated and sustainable programme



- a people-driven process
- peace and security for all
- nation-building
- link re-construction and development
- democratisation of South Africa.

When the above principles were linked together, another definition of the RDP was derived. It was defined as an Integrated Programme, based on the people, that provides peace and security for all and builds the nation, reconstruction and development and deepens democracy (RDP White Paper, 1994).

The NASA, like other public institutions, is committed to driving the aims of the RDP. Clive Kirkwood, Deputy Director in the NASA, reflected his personal views on the role of the NASA in sustaining reconstruction and development (Kirkwood 1995:16-33). Kirkwood stated that although archives are not mentioned in the White Paper, the White Paper nevertheless contains a number of goals that have a bearing on the role that the public archives services should play in the democratic South Africa (ibid). The role of NASA includes the promotion of administrative efficiency through sound records management, the facilitation of accountability of government actions by ensuring the

preservation of and access to the national archives heritage, and the development of human resources and empowerment of the people through outreach programmes and enhancement of archival facilities and programmes.

### **3.4 CONCLUSION**

The combination of the new constitutional dispensation and the strategy for reconstruction and development posed an unenviable challenge regarding the restructuring of the public sector administration (FitzGerald, et al 1995:329).

The principles provided by Act 108 of 1996 and the RDP White Paper are regarded as basic guidelines and norms within which the public service in South Africa should execute its demanding functions. These principles are also important in the management of public institutions, hence the shift from a closed system to an open system or contingency approach.

## **CHAPTER FOUR**

### **4. CONCEPTUALISING A STRATEGIC APPROACH TO THE MANAGEMENT OF THE NASA**

#### **4.1 INTRODUCTION**

Almost all organisations, public or private, operate in an environment which is characterised by rapid political, economic, social and technological change. In order for these organisations to survive and grow, there is a necessity for adaptation to the environmental changes. It is also important that contemporary public managers study and scrutinise these environmental changes because the successful formulation of policies depends on the correct interpretation of the external environment. According to Kroon (1995:76), the study and interpretation of the political, economic, social and technological events and trends which influence an organisation is known as environmental scanning.

The new political dispensation which was introduced in South Africa after the 1994 elections, among other things, has influenced many public institutions to reconsider their behaviours and attitudes towards public service delivery. In response to the above-mentioned challenge, the government issued the White Paper on Transforming Public Service Delivery. Although this White Paper is not the focus of this chapter, its aims were to change the way things were done in the public service during the apartheid era. In order to ensure the successful management of this paradigm shift from a closed system to an open one, the commitment of top public managers is required.

A strategic approach to the management of the NASA, which is the focus of this chapter, will be based on the transformation programmes introduced by NASA which were necessitated by the passing of the new archives legislation in 1996. One of these transformation programmes, which can be regarded as the core function of the archives is appraisal. Appraisal is the activity whereby the archivists identify records with archival value and select them for preservation or destruction. Before 1990 appraisal in South Africa was shaped by the writings of

T.R.Schellenberg. In 1990 a major review of the Schellenberg's approach took place as a result of its shortcomings. Clive Kirkwood, Deputy Director: Records Management and Information Systems workshopped this strategy on his paper "The National Archives Appraisal Programme" delivered on 2 October 1998 at the NASA. The researcher was amongst the officials who attended this workshop. Therefore the appraisal of records as a strategy for acquiring records in the NASA will be examined and discussed.

#### 4.2 **DEFINING STRATEGY AND STRATEGIC MANAGEMENT**

According to Kroon (1995:135), the word strategy was derived from a Greek word "strategos" which means generalship. This word was used in the military sense as a plan of the general to overpower the enemy, taking his own power and situation into consideration (Ibid). This was also emphasised by Byars (1987:16) when he indicated that the word strategy came from the Greek word "strategos" which means "a general". In public management, strategy indicates the action of choice in a changing environment with consideration of the organisation's ability (Ibid).

Kroon (1995:137) further stated that strategic management can be defined as a continuous planning process of top management in a changing environment in order to develop and implement a suitable plan that will lead to the fulfillment of the changing needs of the customers. Therefore this process consists of two parts, namely strategic planning or strategic formulation and strategic implementation (Ibid). According to Byars (1987:7), strategic management is concerned with making decisions about an organisation's future direction and implementing those decisions.

Fox et al (1991:222) on the other hand quoted David (1986:4) who defined strategic management in the following way:

"Strategic management can be defined as the formulation, implementation and evaluation of actions that will enable an organisation to achieve its objectives. Strategy formulation includes identifying an organisation's internal strengths and weaknesses, determining a firm's external opportunities and threats, establishing a company mission, setting objectives, developing alternative strategies, analysing these alternatives, and deciding which ones to execute. Strategy implementation requires that a firm establish goals, devise policies, motivate employees,

and allocate resources in a manner that will allow formulated strategies to be pursued carefully. Strategy evaluation monitors the results of formulation and implementation activities."

On 3 February 1998 the National Archivist issued an internal circular reference numbers 2/3/2 and 2/13 regarding the transformation and strategic planning in the NASA. This circular emphasised in broad terms the transformation and the strategic planning necessitated by the shift from the SAS to the NASA. This circular is enclosed as annexure B of this study.

#### **4.3 APPRAISAL OF RECORDS AS A STRATEGY FOR ACQUIRING RECORDS IN THE NASA**

In the NASA appraisal of records is regarded as a core function because it is about scrutinising the records for the purpose of preserving or destroying the documents. According to Myburgh (1991:23-40), archives are appraised to determine which items should be preserved permanently and which ones should be destroyed. By permanent preservation is meant preservation for an indefinite length of time, and not only for a specific period (Ibid). It was further stated that the sources which will be

available for future research is to a large extent dependent on the judgement employed during appraisal (Ibid). Therefore, it is of extreme importance that this judgement be based on a thorough knowledge of the archives, of the functions and structures of the establishment which created it, of the functions which led to the creation of the archives and of the information contained therein, and how it will be used by future researchers (Ibid).

#### **4.3.1 HISTORICAL BACKGROUND OF APPRAISAL IN SOUTH AFRICA**

According to Kirkwood in his paper delivered on 2 October 1998, the main influence of appraisal in South Africa came about in the 1950's from the American theorist T.R. Schellenberg. This theorist considered appraisal as the function of public archivists, and defined two appraisal measures in order to identify archival value, namely evidential value and informational value (Ibid). Evidential value refers to the evidence that records provide about the organisation and the functioning of the body that created them. On the other hand informational value refers to information in records that has the potential to be of value to researchers (Ibid). Kirkwood emphasised that this system has been applied in South Africa and in the SAS as the basis for



appraisal until the introduction of the new appraisal system, that is, macro-appraisal, which was aimed at redressing the shortcomings experienced in the Schellenbergian approach. Among other things Kirkwood identified the following shortcomings or weaknesses of the old appraisal approach:-

- It was not always possible to assess the relative importance of the records appraised within the broader context of the total mandate of the originating body.
- A high level of records relating to support or housekeeping functions were preserved. In that way a high level of archival preservation estimated at 15% was achieved against an international norm of 2-5%.
- The introduction of electronic records in most public institutions forced the NASA to look for a new approach to appraisal.

Therefore, in order to redress the above-mentioned weaknesses of the Schellenbergian appraisal approach, the NASA adopted the new macro-appraisal approach.

#### 4.3.2 **MACRO-APPRAISAL**

The challenge to re-define the appraisal policy of the NASA was as a result of the transformation discourse which converted the SAS to the NASA. Appraisal in the NASA is now carried out in terms of the National Archives of South Africa Act (Act 43 of 1996). Section 13(2)(a) of the Act stipulates that no public records 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. Therefore, archivists are responsible for the appraisal of records or archives before they can be preserved or destroyed. The ideas which shaped the transformation discourse in the NASA were indicated by Harris (1996:2) as follows:-

- A public archives is not essentially a heritage institution. While its heritage function is indisputable, it cannot be understood properly without taking into account its role in information management and public administration.
- Archives should be conceptualised around processes rather than records in physical custody.

- Far from being impartial custodians of archives, archivists are active shapers of social memory and documenters of society.
- Archives should be driven by the post-apartheid imperative to give the voiceless voice.

The above-mentioned ideas have helped the NASA in shaping the new appraisal approach and therefore macro-appraisal was adopted. According to Kirkwood, macro-appraisal theory was put into practice in countries such as Canada and the Netherlands. A comparative study of macro-appraisal by John Roberts in his research paper dated 11 June 1999 indicated that the term macro-appraisal was coined by Dr Terry Cook, the Canadian archivist, and defined it as the appraisal which occurs before records are investigated or appraised. Kirkwood further indicated that macro-appraisal was built on the assumption that records have meanings within the contextual circumstances of their creation and functional use. Therefore he emphasised that methodologically, macro-appraisal can be characterised as research-based, government-wide, strategically planned and a top-down approach. Furthermore, it is proactive, requiring

archivists to take the initiative in ranking and identifying governmental bodies for appraisal in a comprehensive manner, rather than reacting in a disjointed and piecemeal manner to applications for disposal authorities (Ibid). Kirkwood indicated three steps in this methodology as follows:-

- A contextual analysis is prepared explaining the position of the office in government, its structures, functions and records systems.
- An appraisal hypothesis is formed, based on the contextual analysis concerning the overall importance of records and records systems and identifying those that have archival potential.
- The hypothesis is tested by an analysis of the records themselves.

Furthermore, the appraisal processes of macro-appraisal operate at four levels as follows:-

- Firstly, broader societal and governmental processes are appraised, for example, governmental offices being ranked in their importance in the broadest context.
- Secondly, the functions and structures of the particular office are appraised to determine the relative importance of divisions.
- Thirdly, divisions that are targeted are analysed in terms of functions and structures, and records systems with archival potential are identified.
- Fourthly, the records systems with the richest archival potential are identified. Having investigated the context in which records are created in these four levels, and having eliminated whole areas from further consideration, the records of targeted systems are appraised. One of the main tests being the extent to which the records provide evidence of structures and core activities.

Kirkwood emphasised that records are the products of processes involving complex interactions between record creators, their clients and the broader trends in the society. All the above-

mentioned elements constitute the contextual milieu in which the records are created, and the records which provide the richest and most focused evidence of this milieu have archival value (Ibid). According to Kirkwood there is no claim that macro-appraisal eliminates partiality and bias, but it is claimed that it results in a better quality of record reflecting the best societal balance possible. He therefore quoted Terry Cook saying "by focusing on a manageable number of functions, programmes and activities in the first instance rather than on billions of records, the archivist is able to see the forest whole rather than just the trees, shrubs and weeds. Seeing the context whole ultimately means that poorer and duplicate records are more easily identified and eliminated, and that the most succinct, precise, primary record is more easily targeted and preserved".

In terms of Act No. 43 of 1996, the National Archives Commission which was appointed by the Minister through a process of public nomination is responsible for the approval of the appraisal policy and for monitoring its implementation. Macro-appraisal will therefore be fully implemented in the NASA by the year 2000. It is still too early to identify the weaknesses of this policy, but its formulation indicated some good intentions. It can be argued that the rejection of the Schellenbergian approach to appraisal was due to the weaknesses which were

identified. This approach was also a threat to our archival heritage. The implementation of macro-appraisal and its evaluation will be a focus of NASA until the year 2000.

#### **4.3.3 PUBLIC MANAGEMENT FUNCTIONS AND A STRATEGIC APPROACH IN RELATION TO THE NASA**

The NASA is a specialised branch of the public service of the Republic of South Africa. Section 2 of the Archives Act No 43 of 1996 states that there is hereby established a branch of the public service of the Republic to be known as the National Archives of South Africa. Like most public institutions in the country, this branch was established to provide goods and services to all the people of South Africa. In order for the institution to provide professional services to the public, a variety of functions or activities and/or processes need to be properly executed. Therefore public managers are urged to develop managerial skills in order to manage their institutions and the environment within which they operate.

Fox et al (1991:11) identified the following public management functions which facilitate strategic management practices, and

whereby strategic decisions are made in terms of environmental analysis and situational assessment:-

- Policy-making and analysis
- Organising
- Planning
- Leadership and motivation
- Control and evaluation

The above-mentioned public management functions will therefore be used to discuss a strategic approach to the management of the NASA.

#### 4.3.3.1 ***POLICY-MAKING***

Policy-making is the first important management function which must be undertaken to start with a specific public activity. It is the function of determining strategic objectives in the public sector which relate to the physical and social welfare of the people who must be supported by providing goods and services. Higgins (1983:4) stated that organisational policy comprises



broad forms of guidance established to aid managers in determining strategic objectives and in formulating, implementing and controlling the master strategy. He further defined a master strategy as a group of strategic plans formulated to achieve the organisation's relationship with the major constituents of its internal and external environments affected by its actions, known as environmental stakeholders (Ibid). The above-mentioned definitions of policy and master strategy have revealed the importance of strategic management in policy-making in order to identify the internal strengths and weaknesses, and determining the external opportunities and threats. In order to examine policy-making and analysis in the NASA, the National Archives of South Africa Act (Act No 43 of 1996) as a public policy will be discussed.

#### 4.3.3.1.1 ***NATIONAL ARCHIVES OF SOUTH AFRICA ACT (ACT NO 43 OF 1996) AS A PUBLIC POLICY***

According to Fox *et al* (1991:27), Dye (1987:3) defined public policy as whatever governments choose to do or not to do. It is true that the promulgation of Act No 43 of 1996 was the government's intention to transform the national archival system of South Africa. In effect this organisation was established as a

branch of the public service with the mandate to provide services to all the people of South Africa. Previously, the services rendered by this branch were used by a few due to the apartheid system. Therefore, Act No 43 of 1996 stipulates a new mission, objectives and functions of the NASA.

(f) **Mission**

According to Fox and Meyer (1995:82) a mission is the basic purpose of an organisation. It is the basic goal that an organisation tries to achieve. Fox, Schwella and Wissink (1991:222) indicated that a strategy formulation includes identifying an organisation's internal strengths and weaknesses, determining a firm's external opportunities and threats, establishing a company's mission, setting objectives, developing alternative strategies, analysing the alternatives, and deciding which one to execute. The NASA's mission is as follows:

- To foster national identity and the protection of rights:-
- by preserving a national archival heritage for use by the government and people of South Africa, and

- By promoting efficient, accountable and transparent government through the proper management and care of government records.

(ii) **Objectives**

Section 3 of the Act (Act 43 of 1996) identifies the NASA's objectives and functions as follows:-

- (a) preserve public and non-public records with enduring value for use by the public and the state,
- (b) make such records accessible and promote their use by the public,
- (c) ensure the proper management and care of all public records,
- (d) collect non-public records with enduring value of national significance which cannot be more appropriately preserved by another institution, with due regard to the need to document aspects of the nation's experience neglected by archives repositories in the past,
- (e) maintain a national automated archival retrieval system, in which all provincial archives services shall participate,

- (f) maintain national registers of non-public records with enduring value, and promote co-operation and co-ordination between institutions having custody of such records,
- (g) assist, support, set standards for and provide professional guidelines to provincial archives services,
- (h) promote an awareness of archives and records management, and encourage archival and records management activities,
- (i) generally promote the preservation and use of a national archival heritage.

(iii) **Vision**

According to the sub-committee of the Arts and Culture Task Group (ACTAG), the vision of the NASA is "Archives of the people, for the people, by the people."

In order to understand the formulation, implementation and evaluation of Act No. 43 of 1996, policy-making as a process and policy analysis will therefore be discussed hereunder.

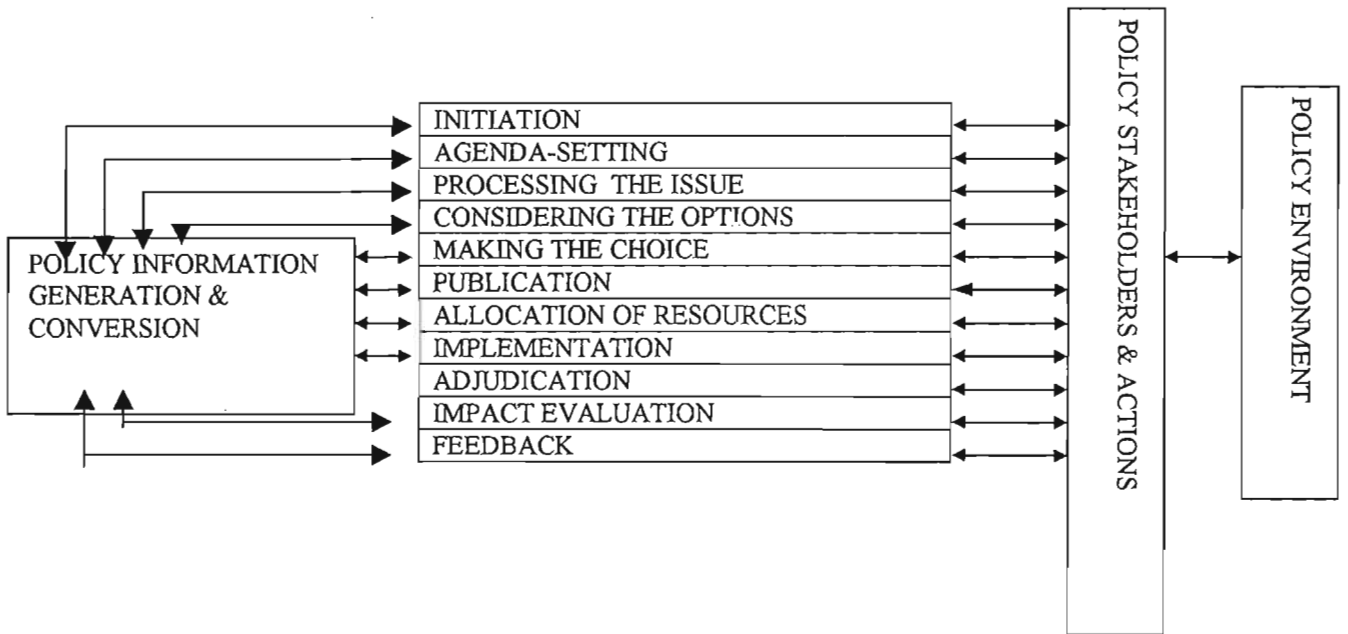
#### 4.3.3.1.2 ***PUBLIC POLICY-MAKING AS A PROCESS***

Fox *et al* (1991:30) defined the policy process as that complex set of events that determine what actions governments will take, what effects those actions will have on social conditions, and how these actions can be altered if they produce undesirable outcomes. The Archives Act No. 43 of 1996 can be regarded as a corrective measure to the imbalances created by the previous Archives Acts which were passed during the apartheid and pre-apartheid eras. It is true that the passing of these Acts failed to consider the importance of participation and involvement of all stakeholders in their formulation. These Acts were passed for the purpose of controlling and protecting the status quo. Therefore the formulation of Act No. 43 of 1996 will be examined using the stage model of the policy-making process. This model considers the importance of the policy environment and the involvement of the policy stakeholders and actors.

(i) **The Stage Model of policy-making**

The policy-making process in this model is viewed as an irregular process which consists of activities which are often present or ignored in contemporary models of policy-making (Fox et al, 1991:33). These contemporary models highlighted the importance of consultation and participation in policy-making. According to Fox et al (1991:34) the stage model assumed the involvement of individual or combined efforts of policy analysts, political office-bearers, public managers, judicial councils, and advisory bodies such as commissions of enquiry and other functional advisory councils and committees, which converts inputs into acceptable policy documents for consideration and final decision-making. A schematic representation of the stage model of the policy-making process as portrayed by Fox et al (1991:33) is presented in figure 4.1.

Figure 4.1: Schematic Representation of the Stage Model of the Policy-Making Process



Source: Public Management: Fox, Schwella and Wissink (1991:33)

In all the above-mentioned stages an analyst is free to break in at any point for the purpose of investigation and problem identification.

Harris (1996:2) indicated that the process and the ideas which shaped the new legislation, that is, Act No. 43 of 1996, were generated by transformation discourse in archives which blossomed from 1990. In the SAS the period 1990-1996 was regarded as a transition period. Debates and discussions which engaged stakeholders were conducted during this period. According to Harris (1995:1) bodies who participated in this process, to name a few, were the African National Congress's sub-committee on archives, Arts and Culture Task Group (ACTAG), the Consultative Forum for Archival Management and Legislation and various provincial task groups on archives and related disciplines. These bodies worked together with archivists in shaping and formulating the new legislation (Ibid). It is, however, interesting to note that amongst the stakeholders there was no mention of the disadvantaged rural communities. The "voiceless" people were therefore not given a chance to voice what



the new archives legislation should be in order to accommodate their needs. A detailed analysis of this policy will be offered under the policy analysis in this chapter. Nevertheless, this policy is a product of a wide consultation and involvement of different stakeholders.

The greatest strength of the NASA as articulated in this policy is that for the first time in South Africa archivists can now provide archival services to all the people of South Africa irrespective of race, colour, sex, culture and other considerations. Structures and processes in the NASA have been transformed to accommodate the diversity of our rainbow nation. One can argue that, although most documents which were created and preserved in the archives reflected or expressed forms of oppression, they are nevertheless valuable for our understanding of the past. For example, some of these documents were used by investigators from the Truth and Reconciliation Commission (TRC) and the National Commission for Land Restitution. The NASA is also in the process of eliminating the weaknesses and threats which were created by the old government during their protection of the status quo. For example, NASA is in a process of translating the finding aids, directives and policy documents from Afrikaans to English. It is important to mention that in the NASA English is now language for communicating.

The support by the government to the NASA is regarded as one of the external opportunities of this branch. This support was witnessed through the passing of the new legislation (Act No. 43 of 1996). This confirmed the public importance of history and societal memory, and of control over the past. Another opportunity is the support of NASA by other countries. According to the Annual Reports of the National Archivist and the State Herald 1998-1999 the National Archives is the member of the International Council on Archives (ICA) and is an active participant in a number of its substructures. In July 1997, the National Archivist was elected the Chairperson of the Eastern and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) Executive Board for a two-year period. In July 1997 South Africa and the National Archives hosted the ESARBICA conference. The guest speaker was Dr T. Cook from the National Archives of Canada (Cook, 1998:205).

#### 4.3.3.1.3 ***PUBLIC POLICY ANALYSIS***

Fox et al (1991:205) stated that according to Quade (1975:4) policy analysis is any type of analysis that generates and

presents information in such a way as to improve the basis for policy-makers to exercise their judgement. In other words policy analysis is not conducted for the sake of criticising the policy-makers but to assist them with more information in order to make better judgements. According to Hanekom (1987:74) policy analysis is related to the social efficiency and functional efficiency methods and can be prospective (takes place before policy-making) or retrospective (takes place after policy implementation) or integrated (takes place before a policy is made and after it is implemented, that is, analysis on a continuous basis). He therefore distinguished three types of policy analysis: prospective, retrospective and integrated analysis (Ibid). A brief analysis of the above-mentioned types of policy analysis by Hanekom is as follows:

- **Prospective policy analysis:** involves the production and transformation of policy-relevant information before making and implementing policy. It is intended as a guide for policy-making.
- **Retrospective policy analysis:** refers to the production and transformation of information regarding policies after their

implementation. It emphasises the results of policy implementation.

- **Integrated policy analysis:** combines the production and transformation of information regarding policies before and after their implementation. It thus provides significantly more information than either prospective or retrospective policy analysis. It not only analyses the impact of existing policies (retrospective), but also analyses the possible impact of the proposed policies (prospective).

In this study integrated policy analysis will be used in analysing Act No. 43 of 1996. The selection of this type of policy analysis is simple because it combines the production and transformation of information regarding policies before and after their implementation.

(i) **Integrated policy analysis**

The Archives Act (Act No. 43 of 1996), which is regarded by many as the product of transformation discourse, was a response by the SAS to the challenges brought forward by political changes

as a result of the country's transition to democracy. According to Harris (1996:3) both the processes and the ideas which shaped the new Archives Act was generated by a transformation discourse which has blossomed since 1990. In his own view, seven ideas gave this discourse its fundamental shape, namely:-

- Organisationally, and this embraces human resources management as well as all other aspects of management, public archives must be democratised.
- A public archives is not essentially a heritage institution. While its heritage function is indisputable, it cannot be understood properly without taking into account its role in information management and public administration.
- Archives should be conceptualised around processes rather than records in physical custody.
- Far from being impartial custodians of archives, archivists are active shapers of social memory and documenters of society. It is imperative, therefore, that public archivists be

subjected to high levels of transparency and accountability, and that the State should not be allowed to manipulate them to promote particular narratives.

- Archives should be driven by the post-apartheid imperative to give the voiceless voice.
- It is not enough for public archives to ensure equal access to their holdings, even if they do so in terms of constitutionally entrenched rights of public access. They, together with private archives, must become creators of users, or, in the words of the popular slogan, they must "take archives to the people."
- Public archives should be transformed from ghetto-dwellers into effective members of a broader archival community informed by co-operative endeavour.

The above-mentioned seven ideas by Verne Harris were used during the formulation of the new Archives Act. Verne Harris also played a leading role in this process, and in his capacity as Deputy Director: Planning, Co-ordination and Transformation.

Archives Act No. 43 of 1996 had undergone many stages before its promulgation. According to Olivier (1995:9) the Consultative Forum for Archival Management and Legislation was established for the drafting of the new archival legislation. Furthermore, she indicated that thirty-two delegates representing a range of interest groups met for the first time on 5 April 1995 to discuss the pros and cons of this legislation (Ibid). By the time the Forum completed its work, over 60 delegates had participated in it.

In the initiation stage the government, SAS and almost all stakeholders became aware that the archives services were enjoyed by a few. Therefore, it was imperative to transform and re-structure the SAS, and the answer was the drafting of the new legislation with new objectives. Harris (1996:2) indicated that archives required redefinition, or more precisely re-invention. It can therefore be argued that from the initiation stage down to the implementation stage, there was an involvement and participation of almost all the stakeholders. According to Harris (1995:1-3) SAS established numerous interdivisional committees to drive the transformation of the SAS's operations. Bodies which played a significant role were as follows:-

- African National Congress Sub-committee on Archives,
- Arts and Culture Task Group (ACTAG),
- Consultative Forum for Archival Management and Legislation,
- Various provincial task groups on archives and related disciplines.
- South African Society of Archivists and many other stakeholders.

According to Harris (1996:1), before the Bill's presentation to the National Assembly's Portfolio Committee on Arts, Culture and Languages, Science and Technology in February 1996, the Bill ran into a considerable controversy. This controversy emanated from the objections concerning the Bill's failure to oblige the National Archives to redress the imbalances inherited from the past (Ibid). It was stated that the Portfolio Committee wisely subjected the Bill for public debate, with written submissions being invited and public hearings being held through August 1996 (Ibid).



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Kirkwood (1997:20-21) also stated that on 29 November 1995 the Draft Bill was presented in the Consultative Forum and the Bill was approved. Clive Kirkwood is the Deputy Director in the NASA responsible for Records Management and Information Systems. He further stated that the texts were thereafter submitted to the State Law Advisors on 30 November 1995. After being processed for technical correctness by the State Law Advisors, the texts were submitted to the Minister of Arts, Culture, Science and Technology, Dr Ben Ngubane for approval as a necessary step before the submission to Parliament (Ibid). According to Kirkwood the drafting process had been remarkably efficient and successful to the point. However, the Minister took an unexpected authoritarian stance on the model of archival appraisal proposed, whereby the National Archives Commission would approve appraisal policy and monitor its implementation(Ibid). Kirkwood stated, "without any regard for the democratic mechanisms provided for the drafting process, the Minister instructed the Director of Archives to amend the draft Bill so that each individual appraisal application would need the joint approval of the Director, the Minister and the Commission"(Ibid).

Furthermore, Kirkwood (1997:21) stated that, when the Minister was asked by the press about the amendment made to the Bill, the Minister said that they had been intended to provide "an integrated mechanism for accountability" with regard to the destruction of records. It was stated that towards the end of three days of public hearings held in August 1996, there were indications that the Committee had eventually been convinced that the provisions on appraisal contained in the Bill as tabled were untenable. In subsequent meetings, the committee therefore restored the original provisions as approved by the Consultative Forum, with the significant provision of a role for the Minister "when unresolvable differences arise between the National Archivist and the Commission," (Archives Act No. 43 of 1996 Section 13(2)(a)(ii) (Ibid). According to Kirkwood (1997:22) the provision allowing for final ruling by the Minister was a compromise made to achieve a position of consensus.

The Bill was debated in the National Assembly on 28 August 1996 and approved without further amendments (Kirkwood, 1997:23). He further stated that the Bill was thereafter considered by the Senate Select Committee on 13 September 1996, approved by the Senate on 17 September 1996, signed by

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the State President on 27 September 1996 and promulgated in the Government Gazette on 2 October 1996. This Act came into operation on 1 January 1997 and was thereafter implemented.

Although the Act came into operation over three years ago, the problem of accessibility is still not improved. Most of the barriers which were created by the apartheid system were legally abolished, but the legacy of these barriers, in the form of illiteracy, isolation from city centres, to name a few, are still evident even today. Almost all people living in the rural areas are still experiencing problems regarding their access to the National Archives. In 1998 the Department of Welfare and Population Development in KwaZulu Natal Province embarked on a campaign to eliminate corruption in regard to pensions for aged people. Therefore the old people were requested to renew their pensions. Some of them were divorced, and the Final Order of Divorce papers were therefore needed. Some of these papers are housed in the Durban Archives Repository.

During this period most aged people were re-applying for their divorce certificates since the destruction of the old ones caused by the political violence. Consequently Durban Archives Repository received numerous telephone and written enquiries regarding these papers. Although the Durban Archives

Repository managed to retrieve most of these documents, the successful retrieval of documents did not resolve their problems because of the following reasons:-

- According to Treasury Regulations, the payment should be made before the collection or postage of the document, and
- Faxed documents can be collected by the researchers from the nearest archives repository. It cannot be faxed directly to the researchers.

The above-mentioned problems made it difficult for the people living in rural areas to get their documents in time. Consequently they were forced to come to Durban for the collection of these documents. Therefore the old people ended up wasting a lot of money in transport costs to collect a R0,70 document. Even if they managed to reach Durban, it was difficult for them to locate the place. In that way, some became victims of pick-pocketers and others ended up hiring metered taxis to assist them in finding the place. It can also be argued that some decided to lose their pensions rather than to risk their lives by coming to Durban, the unknown place to them. It is true that most people from rural areas are still not enjoying the

service provided by the NASA since all its repositories are situated in city centres.

According to the National Archivist's Annual Report 1995-1997, the use of the National Archives holdings is growing all the time. It was stated that this growing is a result of the expansion in the archives holdings, the impact of public programmes and a greater awareness in the era of truth, reconciliation and restitution. Public programming in the NASA incorporates publications, open days, exhibitions, group visits, extended reading-room hours, training and international visits. Although the public programming by NASA is an earnest attempt, most of its activities are based in the cities. It is no surprise to find that standard 10 pupils in the rural areas still do not know what archives are all about.

In 1997, the Government of National Unity together with the Department of Arts, Culture, Science and Technology (DACST), with great foresight, declared 1998 "The Year of Science and Technology." The year 1998 was a nationwide initiative driven and managed for the government by DACST (DACST Annual Reports, 1997). In KwaZulu Natal this initiative was celebrated during the month of July under the banner of "Science by the Sea." An exhibition was conducted from the 8<sup>th</sup> to the 12<sup>th</sup> of

July 1998 in Durban. The researcher represented the Durban Archives Repository in this exhibition. The aim of the campaign or exhibition was to reach as many people as possible with the message that science and technology are interesting and integral to our daily lives. The targeted group was all people of South Africa, but more especially our youth, women, teachers, as well as the disadvantaged and rural communities (Mercury, 08-07-1998). Most people around Durban attended this exhibition, but to many people from the rural areas, it was impossible. In this exhibition the archives displayed posters showing how NASA preserves the national archival heritage for use by government and the people of South Africa.

The formulation and the implementation of the Archives Act No. 43 of 1996 can be regarded as a success, since the drafters recognised the importance of participation and the involvement of all stakeholders. The decisions made were the best selected alternatives by different stakeholders who participated in the drafting of the Bill. This Act promotes efficient, accountable and transparent government through the proper management and care of government records.

#### 4.3.3.2 **ORGANISING**

According to Byars (1987:122) strategies are carried out through organisations. He further defined organisation as a group of people working together in a co-ordinated effort to attain a set of objectives that could not be achieved by individuals working separately (Ibid). Therefore organising is the group of activities necessary to attain the set of objectives and the assignment of each sub-grouping to a person who has the authority necessary to manage the people performing the activities (Ibid). Another definition of organising by Megginson, Mosley and Pietri, JR. (1986:30) indicates that organising involves determining what resources and which activities are required to achieve the organisation's objectives, combining them into workable groups, assigning the responsibility for accomplishing them to responsible subordinates and delegating to those individuals the authority necessary to carry out their assignments.

From the above-mentioned definitions it is clear that organising is a basic function for the implementation of strategies. Byars (1987:17) emphasised this when he indicated that strategy implementation is concerned with making decisions with regard to developing an organisational structure to achieve the strategy,

staffing the structure, providing leadership and motivation to the staff, and monitoring the effectiveness of the strategy in achieving the organisation's objectives.

The new political dispensation in South Africa has shaped almost all public institutions, and NASA as a branch of the public service is no exception. During the apartheid era, the SAS was only accountable to the State and the White community. Harris (1996:7) stated that SAS operated within the imposed apartheid ideology whereby the State sought to destroy all oppositional memories through censorship, confiscation, banning, incarceration, assassination and a range of other oppressive tools. He further stated that the SAS's record management programme designed to identify and safeguard public records with archival value and promoting administrative efficiency was in effect oiling the wheels of apartheid bureaucracy (Ibid).

In discussing this public management function in relation to a strategic approach to the management of NASA, the focus will be on the organisational structure, organisational design and organisational (institutional) change. According to Reddy (1996:82) organising is an enabling activity which concerns, inter alia, concepts and practices relating to organisational structure, design and institutional change.



#### 4.3.3.2.1 **ORGANISATIONAL STRUCTURE**

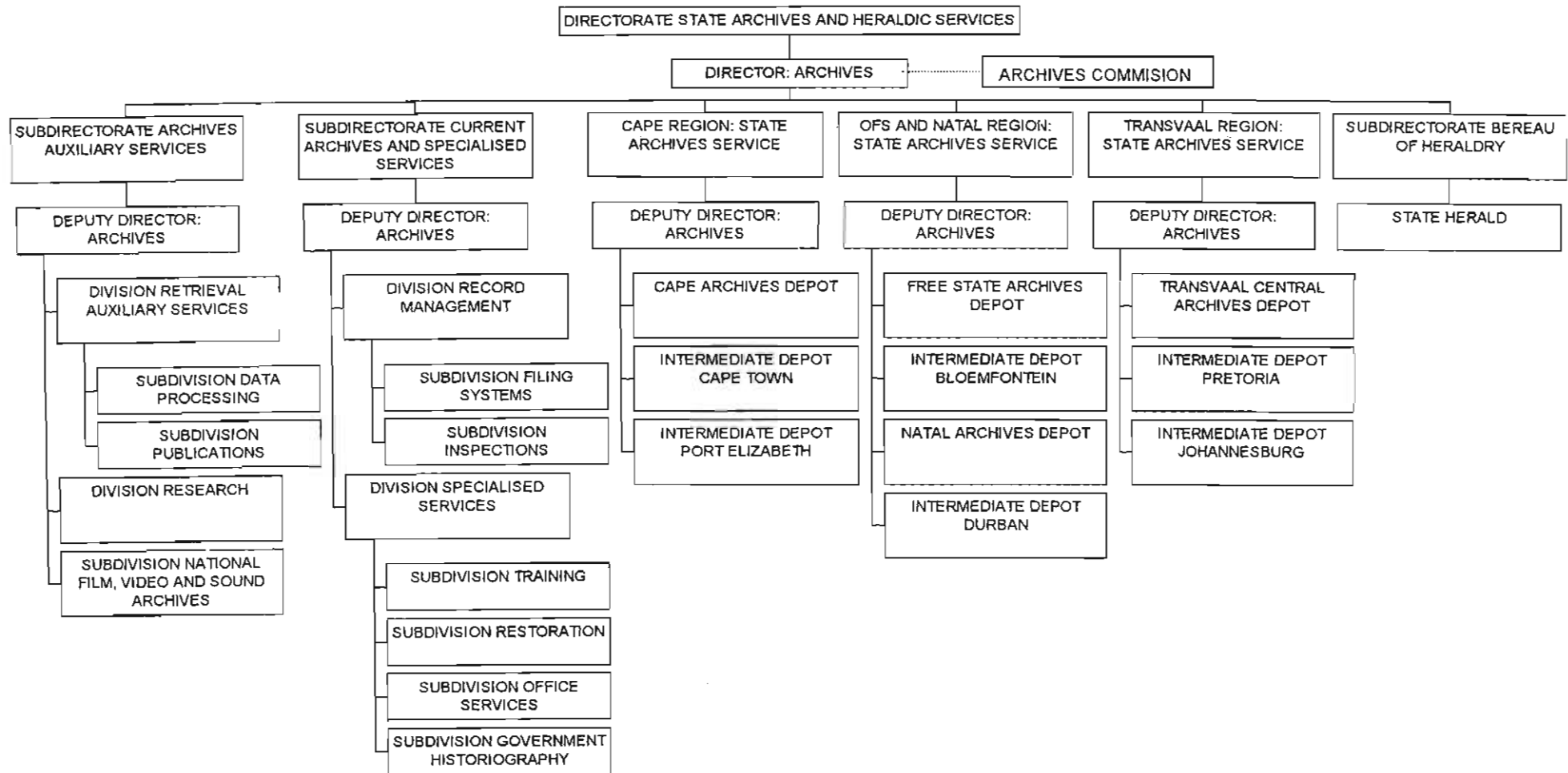
According to FitzGerard et al (1995:519), change in the public service can take various forms. Therefore they identified the following processes:

- **Restructuring:** this refers to the process of changing the structure of the public institution by, for example, replacing one set of organograms with another and bringing change by means of the regulations of departmental structures.
  
- **Rationalisation:** this refers to the process of streamlining the utilisation of staff through retrenchments, changing the remuneration levels or modifying conditions of service.

- **Re-organisation:** this refers to the process of transforming the way the workplace is organised and how work is done via changes to systems, organisational culture and the way human resources are developed.

The White Paper on the Transformation of the Public Service and the White Paper on the Transformation of Public Service Delivery urged all public institutions to consider the above-mentioned processes in their attempts to transform and restructure their institutions. The SAS in response to the above-mentioned challenges was converted to the NASA. Figure 4.2 portrays the organogram of the State Archives Service (SAS) during the apartheid era in order to indicate the shift from the old archival system to the new one.

Figure 4.2: Organisational Structure (Organogram) of the SAS



**Source:** State Archives Service, Annual Report 1994

Harris in his paper delivered in a seminar "Refiguring the Archive" on 13 October 1998 stated that through four decades, the apartheid system demonstrated an extraordinary capacity to secure the support of most White South Africans as well as the collaboration of significant sections of the black population. Furthermore he stated that the key element in this exercise of hegemony was the State's control over social memory, a control which involved both remembering and forgetting (Ibid). Therefore the SAS like most state-funded institutions was shaped by an apartheid imprint. Figure 4.2 indicates the organogram of the SAS which enabled it to exercise a tight control over social memory.

In the Annual Report 1994, it was stated that the SAS, which functions in terms of Act No. 6 of 1962, was responsible for the custody, care and making available of archives of State Offices and Local Authorities. Furthermore it was stated that the SAS and Heraldic Services was a Directorate of the Department of Arts, Culture, Science and Technology and formed part of the Chief Directorate of Culture and Professional Auxiliary Services (Ibid). This Directorate, that is, SAS consisted of six sub-

directorates as illustrated in figure 4.2. These sub-directorates were as follows:

- the sub-directorate Archives and Auxiliary Services,
- the sub-directorate Current Archives and Specialised Services,
- the sub-directorate Bureau of Heraldry, and
- The sub-directorates Cape Region, Orange Free State/Natal Region and Transvaal Region.

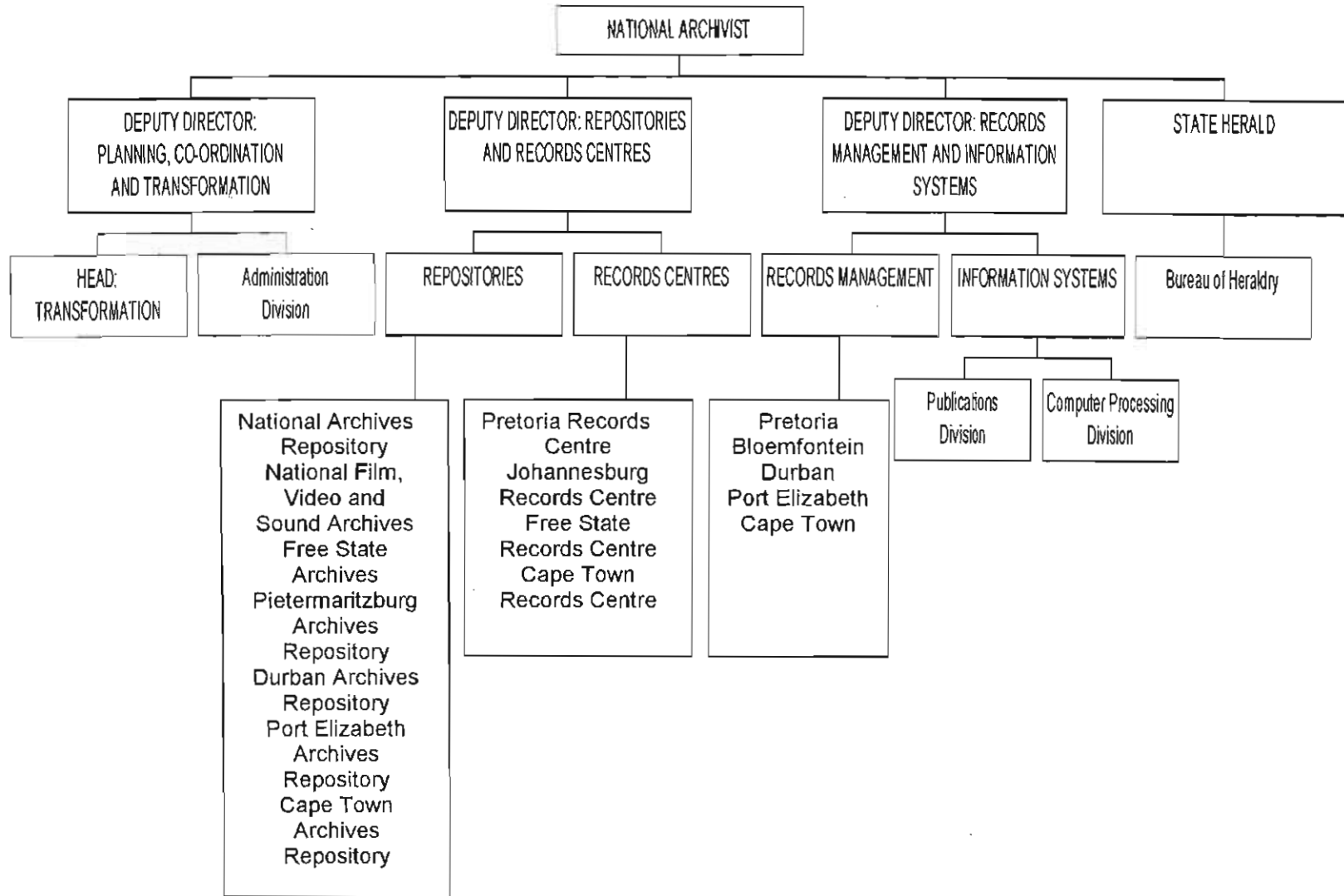
The above-mentioned regional centres were in Cape Town, Durban and Pretoria respectively. The Regional Chiefs exercised a direct control over all Archives Depots and Intermediate Depots allocated in those regions (SAS Annual Reports 1994). The SAS was centralised in order for the State to exercise a tight control over the bureaucratic memory. This was emphasised by Harris when he indicated that the legislation which was in place until the mid-80's laid down that only Whites were to be appointed to professional and many administrative posts (Refiguring the Archive Seminar, 1998). This was an intention of the State to tightly control the social memory. Therefore Harris indicated the weaknesses of the SAS during the apartheid system as follows:-

- senior positions were dominated by white, Afrikaans-speaking males,

- SAS's structure was rigidly hierarchical and its management ethos authoritarian,
- Transparency and broad participation in decision-making were given short shrift,
- Official language policy was implemented, with Afrikaans dominant except in isolated lower reaches of the organisation,
- Much core policy documentation was produced only in Afrikaans,
- Language usage, needless to say, also impacted on SAS's interface with users and the public in general,
- Provided a racially segregated reading room and toilet facilities until the 1970's, and SAS staff collaborated with the security police in spying on the reading room users.

The above-mentioned weaknesses in the SAS forced the conversion of the SAS to the NASA with new democratic principles. Therefore the transformation of the SAS was imperative. The Archives Act No 43 of 1996 converted the SAS into the NASA. The new organogram of the NASA which portrays the paradigm shift in the Archives Service is depicted in figure 4.3.

Figure 4.3: Organisational Structure (Organogram) of the NASA



**Source:** Annual Reports of the National Archivist and the State Herald, 1995 - 1997.

According to the annual reports 1995-1997, South Africa's new archives system delineated by the Act (Act No. 43 of 1996) and subsidiary regulations was founded on the Constitution's devolution of state responsibility for archives from the National Government to the nine provinces. The organisational structure of the NASA as illustrated in Figure 4.3 is for the national level, and the creation of the nine essentially autonomous provincial archives services is still in process with the exception of the Port Elizabeth Archives Repository. This repository is the only provincial archives which has been successfully provincialised as a result of the new political dispensation. The Annual reports 1995-1997 further stated that the NASA will sustain a fourfold responsibility in relation to the provinces, namely:-

- it will assist and support them,
- set standards for and provide professional guidelines to them,
- maintain a national automated information retrieval system in which they will participate, and
- generally promote national co-operation.



The new legislation, that is, Act 43 of 1996, firmly rejected the apartheid model for public archivists where they were answerable only to the State and their operations largely opaque (Ibid). Harris was in the driving seat in almost all the transformation processes in the NASA. The commitment of the top managers of the NASA and other stakeholders resulted in the promulgation of Act No. 43 of 1996. According to the Annual Reports 1995-1997, this Act is regarded as a product of transformation discourse in the archives service. Some of its key transformative features as mentioned in the Annual Reports are as follows:

- The Archives Act (Act 6 of 1962, as amended) restricted the SAS's custodial mandate to government offices. The new Act embraces all legislative, executive, judicial and administrative organs of the state including statutory bodies.
- The period after which unrestricted access to public records in the custody of the National Archives is enjoyed by members of the public,

is reduced from a variable 30-35 years to 20 years.

- The Act obliges the NASA to find ways of addressing the systemic barriers to access created by the apartheid system. The use of records by public must be promoted, "with special emphasis on activities designed to reach out to less privileged sectors of society."
- The National Archivist (NA) is given a comprehensive and unambiguous mandate to ensure the proper management and care of all public records, including classified records and records in electronic form.
- In collecting non-public records, the NASA is discouraged from competing with other institutions and is directed on filling the gaps resulting from past imbalances in the SAS's collection endeavours. With South Africa's strong oral traditions and high rates of illiteracy, it is clear that giving voice to the voiceless will require a strong commitment to the collection of oral sources. The NA is also empowered to acquire copies of certain

categories of published audio-visual material from the producers of such material.

- In contrast to SAS's relative isolation, the NASA is required to become an effective member of the broader South African Archival Community, promoting awareness, fostering co-operative endeavour and encouraging archival and records management activities.

Higgins (1983:183) states that in the organisational structuring process, the tasks and jobs required to achieve objectives are determined; and authority is delegated to perform these tasks. According to Higgins, this structuring process has a significant impact on the mission accomplishment (Ibid). On 25 October 1996, the NA issued an internal circular file reference no. M3/3/3 to managers in the NASA regarding the re-organisation of structures and functions in the SAS. The focus of this circular was on the transformation and the delegation of powers by the National Archivist to the official below her.

Higgins (1983:183) further identified seven factors which are the most important determinants of structure in most situations, namely, the organisational size, technology, environment, top

management prerogative/philosophy, geographic considerations, informal organisation and strategy. On the other hand Reddy (1996:84) stated that the building blocks of the organisational structure that must be considered include specialisation, departmentalisation, relationships, delegation, co-ordination and differentiation.

(i) **Specialisation**

P.J.Smit and G J de J Cronje' (eds) (1992:180) defined specialisation as the degree to which special tasks are identified and allocated to individuals or groups of employees with special training. Reddy (1996:84) identified two types of specialisation, namely, vertical and horizontal. He further stated that vertical specialisation refers to the hierarchical division of labour that distributes formal authority and establishes where and when critical decisions will be made (Ibid). On the other hand, horizontal specialisation involves grouping similar positions and resources together, resulting in horizontally different units such as branches, divisions or sections (Ibid). In the case of NASA, vertical and horizontal specialisation can be seen in Figure 4.3, that is, the organisational structure of the NASA. Vertical specialisation therefore starts from the divisional heads up to the NA, whereas horizontal specialisation is portrayed by different

sub-directorates, namely, Planning, Co-ordination and Transformation, Repositories and Records Centres, Records Management and Information Systems and the Bureau of Heraldry.

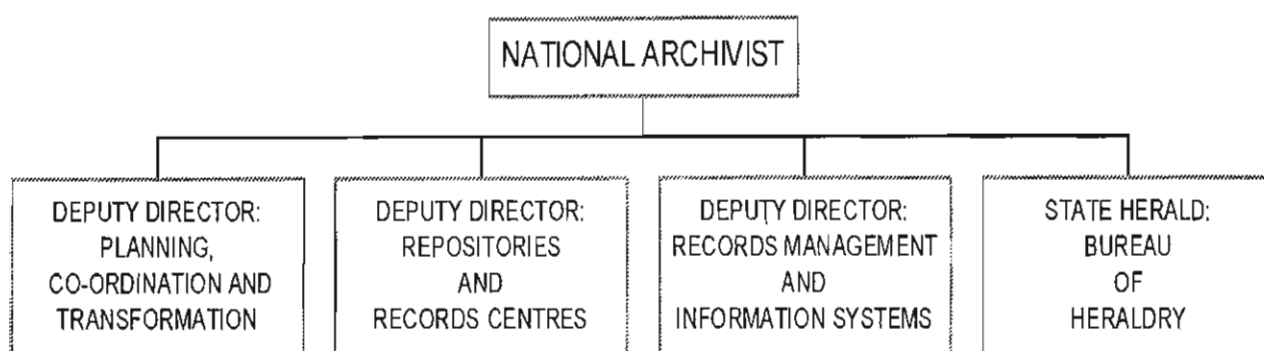
(ii) **Departmentalisation**

Smit et al (1992:183) defined departmentalisation as a process in which tasks are grouped into controllable units. They further stated that the allocation of employees to a particular manager according to a specific plan is the foundation of all departmentalisation (Ibid). In 1997, Smit et al (1997:219) further stated that the reasons for departmentalisation are inherent in the advantages of specialisation and the pressure in a growing business to split up the total task of management into smaller units. According to Smit et al (1992:185) this grouping of tasks into controllable units (departmentalisation) can be approached in four ways, namely, according to function, product or service, geographic location and customer.

- **Departmentalisation by function:** In this case an organisation groups together

employees who perform similar work. Figure 4.4 illustrates the functional departmentalisation in the NASA

Figure 4.4: Functional Departmentalisation



- **Departmentalisation by service/product:** In the NASA there are four main sections, namely Planning, Co-ordination and Transformation, Repositories and Records Centres, Records Management and Information Systems and the Bureau of Heraldry. All these sections are responsible for different services provided by

the NASA to the public. Therefore, service departmentalisation can be defined as the grouping of all activities related to a particular service (Reddy 1996:85).

- **Departmentalisation by location or geographic location:**

According to Smit et al (1992: 187) departmentalisation according to geographic location groups together all activities of a particular region in which business is done. According to the annual reports of the National Archivist and the State Herald 1995-1997, the NASA has five archives repositories located in different provinces. The facilities of these repositories will be devolved to the provinces at a later stage (Ibid). It can therefore be argued that these repositories represent the geographic departmentalisation.

- **Departmentalisation by customer/client:**

According to Smit et al (1992: 188) customer/client departmentalisation is achieved by grouping together activities so as to respond to and interact with specific client groups. In the NASA we differentiate between

casual and serious researchers. On one hand casual researchers are those who conduct their research for personal reasons. For example, the people who require their Final Orders of Divorce, Family Trees, etc. On the other hand students from tertiary institutions researching for their honours, masters, etc, are regarded as serious researchers. In this sense archivists respond and interact differently with these two groups of clients. Furthermore NASA has another clients, namely governmental bodies, repositories and records management components.

### (iii) **Relationships**

It was indicated that the allocation of tasks to sections and employees also entails the allocation of responsibility and authority to each post in an organisational structure (Ibid). Smit *et al* (1992:192) defined responsibility as an obligation that rests with a subordinate to execute a particular task according to the orders he/she receives. Furthermore, authority was defined as the right to give orders and develop resources (Ibid). The logical



grouping of various positions into branches and the breaking down of the overall tasks into smaller units is not the end in organising. It is also important to create organisational relations, where you assign workers to specific managers. In 1996 the SAS issued an internal circular indicating the new organisational structure of the NASA. The new structure has the NA as the Chief Executive Officer and the three deputy directors. The main function of these officials is to establish the relationships and co-ordination in the NASA. Therefore, establishing relationships among the various positions in the institutional hierarchy depends on aspects such as chain of command, narrow versus wide spans, and tall versus flat structures (Reddy 1996:85-86). According to Smit et al (1992:202), span of control refers to a number of subordinates working under a particular manager.

(iv) **Delegation**

Delegation is defined as a process through which a manager assigns a portion of his/her total workload to others (Smit et al 1992:192). In the NASA, the National Archivist has delegated her powers/authority to all Archives Repository Heads to approve the

classification systems (filing systems) on her behalf. Furthermore, all officials in the NASA are expected to execute different duties delegated to them by the NA. This delegation function of NA is also stipulated in the Archives Act (Act No. 43 of 1996). Section 4 (3) (a) of the Act indicates that the NA may, subject to any conditions, delegate a power or assign a duty to a member of the staff and may at any time cancel such delegation or assignment. In Section 4 (3) (b) it is stated that the delegation or assignment shall not divert the NA of the power delegated or duty assigned and he/she may at any time amend or set aside any decision made thereunder, or exercise the power or perform the duty concerned.

According to Koontz, O'Donnell and Weihrich (1980:422) the entire process of delegation involves:-

- The determination of results expected
- The assignment of tasks
- The delegation of authority for accomplishing these tasks
- The exaction of responsibility for their accomplishment.

It was further stated that delegation of authority may be specific or general, written or unwritten. Smit et al (1992:193-194) identified six principles that can be applied to improve delegations as follows:-

- Set standards and objectives
- Indicate authority and responsibility
- Involve subordinates
- Demand the completion of tasks
- Provide training, and
- Apply adequate control measures.

(v) **Co-ordination**

According to Smit et al (1992:190) co-ordination is the process whereby the objectives and activities of separate departments are integrated so that the objectives of the institution can be achieved optimally. Co-ordination is the synthesis of the separate parts to form a unity, and it is the binding factor in the managerial process (Smit et al, 1997:233). It can therefore be argued that the primary reason for co-ordinating is that departments, divisions, sections, units, directorates and officials are interdependent. Co-ordination in the NASA can be seen through the integration of different archives repositories. The professional services provided by these repositories in a

harmonious way can be regarded as the product of co-ordination. The computers in the archives services are linked in one mainframe, and therefore information in all repositories can be retrieved in any archives repository. In the NASA the Deputy Director: Planning and Co-ordination is mandated to co-ordinate the functioning of all sections in a harmonious way. Therefore this officer is responsible for policy development, strategic planning, legislation, national and international liaison etc.

(vi) **Differentiation**

Reddy (1996:87) indicated that in organisational structuring, differentiating between line and staff functions is essential. Line functions are those activities essential for realising the organisation's objectives. Line authority originates at the top management and is delegated through the various hierarchical levels to the point where the basic functions of the institutions are carried out (Smit *et al*, 1992:199). Staff functions on the other hand are those activities that directly influence the line functions by means of advice, recommendations, research and technical knowledge (Ibid). In the NASA, Planning, Co-ordination and Transformation, and the Administrative division is the sub-

directorate responsible for the execution of staff/support functions. Line functions on the other hand are dealt with under the following sub-directorates:-

- Repositories and Records Centres
- Records Management and Information Systems, and
- Bureau of Heraldry

#### 4.3.3.2.2 **ORGANISATIONAL DESIGN**

According to Fox et al (1991:78) organisational design is concerned with constructing and changing an organisation's structure in order to achieve the organisation's objectives. Designing or re-designing the structure of an organisation is not an easy task for top managers since there is no clear-cut criteria for making choices. Donnelly, Gibson and Ivancevich (1992:200) defined design to refer to the conscious effort by managers to predetermine the way employees should do their work.

In the NASA the organisational design was based on re-designing the existing structure. Therefore there was a shift from SAS to the NASA with a new mandate to provide archival services to the

people of South Africa. Although there is no clear-cut criteria for making choices regarding the organisational design, Donnelly et al (1992:230) have identified two approaches, namely, the universalistic approach and the contingency approach.

#### 4.3.3.2.2.1 **UNIVERSAL APPROACH**

According to Donnelly et al (1992:230) the opinion behind this approach is based on a premise that there is one best way to design an organisation, regardless of the situation. This approach is associated with the closed system and it was widely used in South Africa during the apartheid era. Under this approach we have the classical organisational design and the neoclassical organisational design.

##### (i) **Classical Organisational Design**

The main characteristics of the classical organisational design include high complexity, high formalisation and high centralisation (Ibid). It is also stated that the structure with high levels of complexity, formalisation and centralisation reflects the assumption that the design of jobs determines the design of an



organisation. This design is therefore associated with the bureaucratic approach and the classical approach (Ibid).

(a) **Bureaucratic approach**

Donnelly et al (1992:231) stated that bureaucracy refers to the form of organisation firstly described in the literature of public administration as government by bureaus, that is, unelected civil servants. Donnelly et al (1992:231) therefore listed the characteristics of the ideal bureaucracy as follows:

- It has a clear division of labour, with each job well defined, understood and routine.
- Each manager has clearly defined relationships with other managers and subordinates following a formal hierarchy.
- Specific rules, policies, and procedures guide behaviours of employees in relation to each other and to clients.
- Impersonal application of rules, policies, disciplines, and rewards minimises the possibility of favouritism.

- 
- Managers use rigid and equitable criteria to screen and select from among candidates for jobs in the organisation.

(b) **Classical approach**

According to Donnelly et al (1992:232-233) this approach proposes that the design of the organisational structure should be guided by the following principles:-

- **Specialisation of labour:** work should be divided and subdivided to the highest possible degree consistent with economic efficiency.
- **Unity of direction:** jobs should be grouped according to function or process, that is, jobs like in nature should be grouped together.
- **Centralisation of authority:** accountability for the use of authority is retained at the executive, or top management level.
- **Authority and responsibility:** a job holder must have authority commensurate with job responsibility.



- **Unity of command:** each job holder should report to one, and only one, superior.

The application of the above-mentioned principles results in highly specialised jobs, departments based on function, narrow spans of control, and centralised authority (Ibid). The bureaucratic and classical design theories therefore describe the essential features of the classical organisational design.

(ii) **Neoclassical Organisational Design**

The neoclassical organisational design is a reaction to the classical design and therefore developed as a result of the shortcomings of the bureaucratic and classical systems (Ibid). According to Donnelly et al (1992:235-236) the neoclassical organisation is flexible and adaptable to the changing environmental demands. It also encourages greater utilisation of the human potential, and managers are encouraged to adopt practices tapping the full range of human motivation through job

designs that emphasise personal growth and responsibility (Ibid).

Therefore they provided the following characteristics:-

- It is relatively simple because it de-emphasises specialisation and emphasises increasing the job range.
- It is relatively decentralised because it emphasises delegation of authority and increasing job depth.
- It is relatively informal because it emphasises the product and customer as bases for departments.

#### 4.3.3.2.2 **CONTINGENCY APPROACH**

The contingency approach to organisational design is based on the idea that different organisational designs serve different purposes (Donnelly et al 1992:236). This approach's view is that either the classical or the neoclassical approach can be the best way to organise, depending on the nature of the underlying factors such as the organisation's strategy, environment and technology (Ibid). On the other hand Fox et al (1991:11) argued

that this approach facilitates strategic management practices whereby strategic decisions are made in terms of an environmental analysis and situation assessment.

Smit *et al* (1992:218-224) distinguished between the internal and external contingency factors. The internal factors are technology, size of the organisation and organisational culture, while the external factors are the environment and information (Ibid). It is important to note that all the approaches mentioned above can be the best way of organising depending on the nature of internal and external environments. One can argue that in the NASA, the contingency approach was adopted since the shift from SAS to NASA. The focus of NASA today is to serve almost all people of South Africa.

#### 4.3.3.2.3 **ORGANISATIONAL (INSTITUTIONAL) CHANGE**

The organisation is surrounded and shaped by different forces, namely, social change, population and demographic trends, foreign factors, market forces, government influences and many other influences (Ford and Heathon 1980:195). These factors need to be managed because they always shape or force organisations to change. FitzGerard *et al* (1995:87) highlighted

two important structures, namely mechanistic and organistic. Mechanistic structures are those associated with Weber's ideal-type model which emphasised the control dimension whereas the organic structures are adaptable to the environment and therefore strengthen the capacity to achieve goals (Ibid). It is stated that successful organisations are those which best combine the two perspectives, resulting in adaptation to the environment and the optimal attainment of intended goals (Ibid). Therefore the combination of these structures is always recommended.

The organising function in the SAS was a successful one because of the commitment to change of the top managers. This commitment can be regarded as one of the strengths displayed by the SAS. The support by government on the other hand to all transformation initiatives by state institutions is therefore regarded as the opportunity which was successfully taken by the SAS. As a result the SAS was converted to the NASA. The NASA is still in the process of provincialising its services and building capacity in those provinces. The delay in this process due to the lack of capacity in the provinces can be regarded as one of the weaknesses.

Reddy (1996) indicated that one method in understanding change is in terms of institutional scale and impact. He further stated that Dumphrey and Stace (1993:193) defined the scale of change in four categories, namely, fine-tuning, incremental adjustment, modular transformation and corporate transformation (Ibid).

- **Fine-tuning:** in this category institutional change is regarded as an ongoing process characterised by matches between the institution's strategy, structure, people and process.
- **Incremental adjustment:** organisational change in this perspective is characterised by incremental adjustments to the changing environment. Such effort entails distinct but not radical changes to the institution's strategies, structures and management processes.
- **Modular transformation:** major re-alignment of one or more departments, divisions or sections characterises this type of



organisational change. He further states that the process of radical change focuses on sub-parts rather than on the institution as a whole (Ibid).

- **Corporate transformation:** organisational change in terms of corporate transformation is "institution-wide." It requires radical shifts in strategy and revolutionary change throughout the institution (Ibid).

It is important to note that organising as a public management function is primarily concerned with the making of arrangements to regulate relations between individuals and to co-ordinate their activities in an orderly way. Since the public service has adopted strategic management in its operation, it is true that the formulation, implementation and evaluation of strategies is executed by officials operating within the institution's organisational structures. Therefore organising in a nutshell, refers to, inter alia, determination of needs, defining objectives, division of work, unity of authority, centralisation and decentralisation. In the NASA the shift from the SAS resulted in re-designing the organisation and restructuring the processes in order to meet the new challenges whereby the archivists are no longer serving only the state but all the people of South Africa.

#### 4.3.3.3 **PLANNING**

Planning is regarded as a very important public management function. Scanlan (1973:39) stated that before any other managerial function can be undertaken, the direction, objectives and means for achieving them must be determined. He further stated that in almost all public management functions, planning is always there, because it allows the institution to design for an uncertain tomorrow with some assurance of meeting the intended goals (Ibid). According to Scanlan (1993:41) planning can be thought of as a process/system which begins with objectives, develops policies, plans and procedures, and provides feedback information in order to adapt to the changing situation. This definition is in line with the definition of strategic management since it recognises the importance of the changing environment. Scanlan (1973:41) further adopted a systems approach to planning and identified four phases as follows:-

- (i) Phase 1: Establishing policies to carry out the objectives.
- (ii) Phase 2: Formulating policies to carry out the objectives.

- (iii) Phase 3: developing intermediate and short-range plans to implement the policies.
- (iv) Phase 4: Statement of detailed procedures for implementing each plan.

A transformation discourse in the SAS which was informed by the assumption that archives required re-definition or more precisely re-invention for a democratic South Africa quickly emerged after 1990. During this period, that is, 1990-1996, top management in the SAS, the government and other stakeholders embarked on a process of planning for the shaping of a new archival system. Verne Harris in his paper "The Archival Sliver" delivered in a seminar Refiguring the Archive on 13 October 1998 indicated that the participants in the process of planning were confronted by a paucity of revisionist thinking and debate, and in the early stages of transition they were forced to rely on ideas from international archival literature and from more broadly-based debates around social memory within the country. In 1996 the transformation discourse (planning) in the SAS delivered the National Archives of South Africa Act, which established the NASA out of the SAS and provided the legislative framework for the development of a new national archival system.



In the simplest sense planning is deciding in advance what to do, how to do it, when to do it, and who is to do it. Planning bridges the gap from where we are to where we want to go (Koontz, O'dennell and Weihrich 1980:156). According to Fox et al (1991:47) planning can also be classified by its time-frames as follows:-

- **Short-term:** usually covers a period of less than one year.
- **Intermediate term:** ranges from one to five years.
- **Long-term:** exceeds five years.

In most cases organisations should be engaged in ongoing environmental and internal audits, keeping track of what is happening inside and outside the organisation (Ford and Heaton, 1980:321). They further distinguished between internal audit and environmental audit as follows:-

(i) **Internal audit**

Internal audit of organisational resources is regarded as an early step in the planning process. By auditing the organisational

resources, an organisation must study itself thoroughly and objectively in order to identify its strengths and weaknesses. The realistic planning can help the organisation to capitalise on its strengths and overcome its weaknesses. The first step in an internal audit must focus on the personnel. The following questions need to be asked and answered:-

- What skills do the employees have?
- What contributions to the organisation are they making?
- What inducements keep them working for the organisation?
- What are their age distributions, talents, potentials and interests?
- What are they good at doing, and what are they not so good at doing?

After the above-mentioned step, other resources can also be examined. Among other things this includes physical and financial resources. Questions which need to be asked and answered are as follows:-

- What are the advantages and disadvantages of the organisation's physical location, its design and its equipment?
- Does the organisation have the capital resources that would permit something other than continuing on its present course?
- What are the organisation's arrangements, reputation, commitment, and contracts with its suppliers, customers, distributors, employees, and with the community?

According to Ford et al (1980:232) the above-mentioned types of questions can allow the management planning team to make a realistic and intense internal audit that will form the basis for future planning. In the NASA there is a sub-section established for planning which is called Planning, Co-ordination and Transformation. Presently this sub-section is busy with the implementation challenges posed by the new Archives Act, 1996.

(ii) **Environmental Audit**

Ford et al (1980:232) indicated that another ongoing process that takes place along with the internal audit is the environmental or

external audit. According to Ford et al (1980:232) the important task in this audit is to assess what is presently going on within the organisation's environment and to forecast what influences and trends will be important in future. According to Fox et al (1991:5) public management environment consists of general and specific components. The general environment includes political, economic, social, cultural and technological factors. The specific environment on the other hand includes suppliers, regulators, competitors and consumers (Ibid).

Koontz et al (1980:173) identified eight steps in planning as follows:

- Being aware of opportunity
- Establishing objectives
- Premising
- Determining alternative courses
- Evaluating alternative courses
- Selecting a course
- Formulating derivative plans
- Numbering plans by budgeting

The above-mentioned steps in planning are in line with the definition of strategic management. Strategic management is

about planning, that is, formulating, implementing and evaluating the actions that will enable the organisation to achieve its objectives. Therefore Fox et al (1991:222) quoted Wheelen and Hunger (1987:6) stating as follows:

"Strategic management is that set of managerial decisions and actions that determines the long-run performance of a corporation. It includes strategy formulation, strategy implementation, and evaluation and control. The study of strategic management therefore emphasises the monitoring and evaluating of environmental opportunities and constraints in light of a corporation's strengths and weaknesses."

This definition stressed the importance of environmental scanning and organisational assessment for the purpose of formulating, implementing and evaluating strategies to enhance organisational effectiveness and efficiency.

#### 4.3.3.4 ***LEADERSHIP AND MOTIVATION***

The management of any organisation relied heavily on the leadership and motivation functions. According to Kooblal

(1995:110) the main function of the manager/supervisor is to lead subordinates to attain the objectives set for implementation of policies. He further stated that in order to lead subordinates successfully, the supervisor must display leadership skills which are the ability to motivate others to achieve the defined objectives (Ibid).

#### 4.3.3.4.1 **LEADERSHIP**

"Leadership is generally defined simply as influence, the art or process of influencing people so that they will strive willingly toward the achievement of group goals. This concept can be enlarged to imply not willingness to work but also willingness to work with zeal and confidence" (Koontz et al 1980:661). Fox et al (1991:92) also defined leadership in terms of traits, behaviour influence over other persons, patterns of interaction, role relationships, occupation of an administrative position, and the perception of others regarding legitimacy of influence.

The above-mentioned definitions of leadership make it clear that before leading there must be a leader or a manager. A leader or manager is a person occupying a top position in the organisational structure responsible for leading, managing,

directing and co-ordinating the individuals and their activities in the organisation. Koontz et al (1980:663) stated that the skills of a leader are based on at least three major ingredients, namely, the ability to comprehend that human beings have differing motivating forces at varying times and in differing situations, the ability to inspire, and the ability to act in a way that will develop a climate for responding to and arousing motivations.

In the NASA the leadership power/authority rests with the National Archivist. She is assisted by the Deputy Directors and the Repository Heads. Delegation of authority by the National Archives was issued in an internal circular reference number M3/3/3 dated 2 January 1997. The leadership in the NASA can be regarded as democratic. This was witnessed during the shift from SAS to NASA. During this shift all stakeholders were involved.

Fox et al (1991:94-95) identified five leadership styles, namely laissez-faire leadership, autocratic leadership, bureaucratic leadership, democratic leadership and team and one-to-one leadership. He further stated that the way in which the followers or employees are influenced, depends on these leadership styles (Ibid). According to Fox et al (1991:94), Beach (1985:337) defined style as the behaviours of the leader - what he or she

does, what he or she emphasises, and how he or she deals with subordinates. A brief discussion regarding the above-mentioned styles as stated by Fox, Schwella and Wissink (1991:94-95) will therefore be examined hereunder:-

(i) **Laissez-faire leadership**

In this type of leadership style, the leader does not attempt to control or lead his subordinates. It is stated that a degree of responsibility is acceptable, but there is virtually no communication between the leader and his subordinates, the latter being called upon to set their own objectives, but no one encourages them to attain these objectives.

(ii) **Autocratic leadership**

In this style, it is stated that leaders spend a high portion of their time giving orders, making disruptive commands, and giving non-objective praise and criticism. This leadership style is associated with the terms leader-centred, control, lack of participation in planning and decision-making, and usually synonymous to authoritarian.



(iii) **Bureaucratic leadership**

In this leadership style the leader's behaviour is characterised by a high degree of reliance on rules and regulations. Most public managers relied heavily on this style when justifying their behaviours. It is common to find the leader referring the subordinates to the Public Service Act and other regulatory documents without considering the situation.

(iv) **Democratic leadership**

This leadership style implies a high degree of group participation in decision-making and often implies a high degree of support from the leader, but this does not imply that the subordinates make decisions about what the objectives of the organisation will be.

(v) **Team and one-to-one leadership**

This leadership style placed greater reliance on downwards communications and one-to-one interaction among superiors

and subordinates. This team leadership pattern involves relatively frequent group meetings of a consultative, problem-solving nature.

#### 4.3.3.4.2 **MOTIVATION**

"Because managing involves the creation and maintenance of an environment for the performance of individuals working together in groups toward the accomplishment of a common objective, it is obvious that a manager cannot do his job without knowing what motivates people" (Koontz et al, 1980:631). Fox et al (1991:107) also stated that a motivation has never been observed. It is a formulation used by those who study human behaviour to explain why people act as they do, and is, therefore, a meaningful and useful way in which to talk about behaviour. Three basic elements - needs, drives and objectives interact in motivation (Ibid). Fox et al (191:107-108) therefore explained each basic element as follows:-

##### (i) **Needs**

Needs are created whenever an individual has either a psychological or physiological imbalance. An individual may

experience psychological imbalance when missing the social interaction of other people. One of the examples of physical imbalance is hunger.

(ii) **Drive**

A drive is created when there is an imbalance that exists within an individual. This drive may be recognised consciously, but in many cases it may develop subconsciously. For example, a person may recognise the sense of loneliness and may then purposely seek to find companionship.

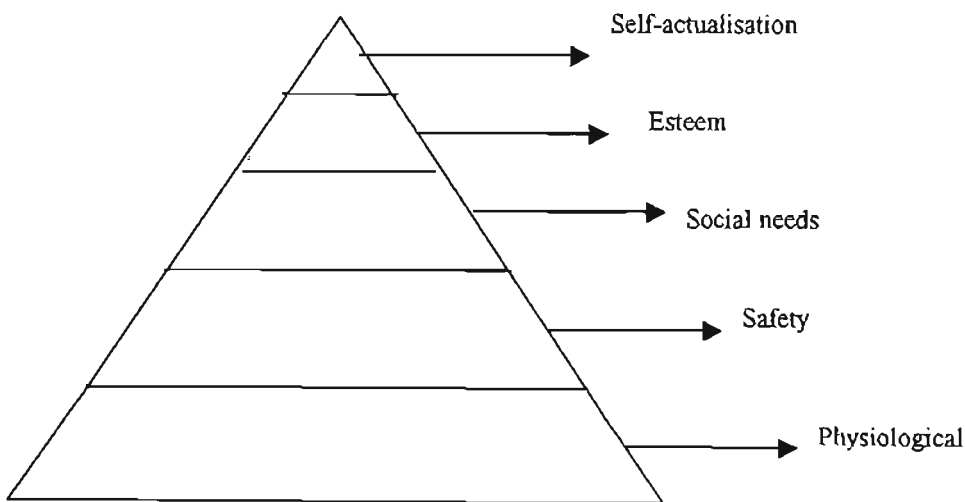
(iii) **Objective**

The objective can be almost anything that will alleviate the need. For example, a period of social interaction with friends will usually remove the feeling of loneliness, while eating will alleviate the sense of hunger.

According to Fox et al (1991:108) there are many motivation theories. He further stated that all the theories of motivation

attempt to explain why people work and what will increase their inclination to function effectively and efficiently but all of them do not view the motivational process in the same way. Koontz et al (1980:636) regarded Maslow's theory of need as the most widely referred to theory. Therefore Fox et al (1991:108-109) classified this theory according to five needs as follows:

Figure 4.5: Maslow's Hierarchy of needs



According to Fox et al (1991:108) Maslow came into conclusion after observing the reactions of many people in a clinical situation, that the human being is a perpetually wanting animal.

- (i) **Physiological** - this includes hunger, thirst, shelter and sex.
- (ii) **Safety** - includes security and protection from physical and emotional harm.
- (iii) **Social needs** - includes affection, belongingness, acceptance and friendship.
- (iv) **Esteem** - includes internal esteem factors such as self-respect, autonomy, and achievement as well as external esteem factors such as status, recognition and attention.
- (v) **Self-actualisation** - the drive to become what one is capable of becoming or achieving one's potential or self-fulfilment.

In the public service motivation refers to the drive and effort by public managers and public officials to achieve the organisational goals. According to Koontz et al (1980:634) motivation implies a drive towards an outcome, while satisfaction involves outcome already experienced.

#### 4.3.3.5 **CONTROL AND EVALUATION**

The control and evaluation management functions are regarded as the final aspects in the administrative process.

##### 4.3.3.5.1 **CONTROL**

According to Cloete (1991:188) control in the public sector consists of two parts, namely,

- (i) internal control, which is exercised by the executive functionaries themselves, and
- (ii) giving account in the meetings of the legislatures.

Fox et al (1991:119) also indicated that control in the public sector consists of two parts, namely internal control and external control. External control is exercised in the political control of administration (Ibid). Therefore, they defined control as a process of monitoring activities in order to determine whether individual units and the institution itself are obtaining and utilising their resources efficiently to accomplish their objectives, and, where this is not being achieved, corrective actions must be implemented (Ibid). In order to manage change successfully, public managers need to appraise the previous as well as the

current organisational activities. This may help them to praise good performance, correct deviations and even prevent deviations before they occur. According to Fox et al (1991:118) control and evaluation are the final links in the functional chain of management. It is necessary to check activities to ensure that they are progressing as planned, and where there are significant deviations, take the necessary corrective action.

Koontz et al (1980:721) also defined controlling as the measurement and correction of the performance of activities of subordinates in order to make sure that the institution's objectives and the plans devised to attain them are being accomplished. Koontz et al (1980:723) further identified three basic steps for the control process, namely, establishing standards, measuring performance against these standards and correcting deviations from standards and plans.

Fox et al (1991:119) regarded control as a process based on formal and informal control. Informal control involves informal communication and interaction between the supervisor and subordinates. On the other hand formal control consists of measuring, comparing and correcting (Ibid).

- (i) **Measuring:** this involves methods frequently used to measure performance which are personal observation, statistical reports, oral reports and written reports.
- (ii) **Comparing:** this refers to the determination of the degree of difference between actual performance and the desired performance.
- (iii) **Correcting:** this is the final step in the control process and it refers to the action that will correct the deviation.

Fox et al (1991:120-121) further identified four characteristics of performance in an institution that need to be controlled as quality, quantity, cost and time. In the NASA archivists are reporting weekly to their supervisors regarding their performances. This is known as weekly written reports. In this way the supervisor can easily identify the shortcomings and therefore correct the deviations. Training of the archivist is also done frequently in the form of records management and registry courses. Education and training in the NASA is arguable the key element of transformation programmes and also act as a control mechanism. Training ranges from orientation training, one-on-one intensive professional training and the use of external workshops. Some of the control measures includes registers of files opened, disposal authority register, register of archivalia out on loan, destruction register, accrual register, key register,



accessions register, approved filing system register, amendments and additions register, researchers registers, remittance register, leave register, photocopying register and inventories. These control measures of performance are based on the internal control.

Fox *et al* (1991:128) regarded the external control as the political control of the administration. Political office-bearers as members of parliament or cabinet have individual and collective responsibilities to supervise the affairs of the state in order to be able to account to the public.

#### 4.3.3.5.2 **EVALUATION**

According to Fox *et al* (1991:126) evaluation means the systematic assessment of the programme for the purpose of improving the policy and the programme decisions. Furthermore they emphasised that strategy evaluation consists of reviewing internal and external factors that are the bases of current strategies, the measuring of organisational performance and the taking of corrective actions where necessary (Ibid). Evaluation and feedback are inter-related concepts, and all the public management functions we have discussed need to be evaluated.

Thereafter a feedback is prepared and the deviations are corrected.

In the NASA performance evaluation is prepared quarterly in the form of quarterly reports. These reports are compiled quarterly by all Archives Repositories and then submitted to the National Archivist. Towards the end of the financial year these reports are used to compile the annual report which is tabled in Parliament by the Minister. On 07-06-2000 the National Archivist issued Annual Business Plan for the NASA. This Business plan seeks to ensure:

- the development of an integrated transformation strategy,
- the sustaining of existing core functions, and
- the launching or development of several special projects designed to give effect to the full scope of the National Archives of South Africa Act (Act No. 43 of 1996)

The performance of the sections according to this plan is monitored and controlled through the submission of the quarterly reports.

Reddy (1996:114) quoted Fisher, Schoenfeldt and Shaw (1990:6) when they defined human resource management as a function involving all management decisions and practices that directly affect or influence the people who work for the organisation. He further indicated that within the organisational framework of an institution the relationship between human resource management and strategic planning is undoubtedly significant (Ibid). This was also emphasised by Carrell, Elbert, Hatfield, Grobler, Marx & Van der Schyf (1997:11) when they stated that the social and technological change, the increased scarcity and cost of human resources can only mean that long-term planning is risky but absolutely essential. They further stated that decisions about the future in this complex and rapidly changing world can be achieved through strategic human resource management. Strategic management therefore involves making those decisions that define the overall mission and objectives of the organisation, determining the most effective utilisation of its resources, and crafting and executing the strategy in ways that produce the intended results (Ibid).

In the NASA human resource management is the function of the DACST. Therefore the administration section of the NASA only

act as a link between the Department and the staff. According to the Annual Reports of the National Archivist and the State Herald, 1995-1997, the government-wide staff management policies and the department of Arts, Culture, Science and Technology's Employment Equity Policy are implemented strictly by the NASA. Figure 4.6 portrays the staff establishment and the representivity statistics of the NASA as at 31 March 1999.

Figure 4.6: Staff Establishment and the Representivity statistics of the NASA as at 31-01-1999.

Level	White		Coloured		Indian		Black		Sub-total		Total	Vacancies
	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female		
Director		1							1	1	1	0
Deputy Director	3						1		3	1	4	2
Assistant Director	1	4		1					1	5	6	0
Assistant State herald	1								1		1	0
Archivist	10	20		1	1	4	5	5	16	30	46	11
Industrial Technician	3	5		1					3	6	9	0
Admin. Officer		1								1	1	1
Admin Clerk	1	6	4	2	1	2	3		9	10	19	1
Auxiliary services Offic.	3	7	6				18	2	27	9	36	4
Secretary		1								1	1	0
Chief Data Processing		1								1	1	0
Data Typist		8		1						9	9	1
Typist				1						1	1	0
Security							1		1		1	0
Handyman											0	1
General Foreman	1		1						2		2	0
Cleaners			5	3			6	21	11	24	35	3
Groundsmen									7		7	0
Artisan B.											0	0
									81	99	180	25

Source: circular minute P1-18/99 (Pers)

The above-mentioned statistics indicate the commitment of the NASA and the move towards the realisation of representivity. Figure 4.6 indicate a steady increase of blacks and females in the NASA.

According to Wallis ( 1989:144)human resource management functions or activities includes among other functions, recruitment, training, planning, staff appraisal, and management by objectives, morale and motivation, and participation and communication. These above-mentioned activities are therefore executed by the DACST's Human Resource Managemant Sub-directorate.

#### 4.5 ***FINANCIAL MANAGEMENT IN THE NASA***

According to the Annual Reports of the National Archivist and the State Herald, 1995-1997, the management of finances occurs within a departmental (the DACST) context. It is further stated that all relevant processes from budgeting through to expenditure, are controlled by the appropriate departmental structures. The National Archivist as an accounting officer in the NASA is fully accountable in all respects to the Department's

Director-General (Ibid). The NASA was established as a branch of the public service of the Republic (Act No 43 of 1996). It is therefore an integral part of the National Department of Arts, Culture, Science and Technology. According to the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), Section 213 (1), there is a National Revenue Fund into which all money received by the national government must be paid, except money reasonably excluded by an Act of Parliament. Section 214 (1) further emphasised that an Act of Parliament must provide for the equitable division of revenue raised nationally among the national, provincial and local spheres of government. Cloete (1991:133) indicated that public institutions cannot initiate any work without money, therefore these institutions depend upon the citizens for their income. For this reason special legislative directives have to be followed in the procurement and expenditure of money in the public sector (Ibid).

Gildenhuis (1993:508) regarded budgeting as a process. He further stated that it accommodates the allocation of government resources and control over the activities of the executive and administrative authorities (Ibid). Although the NASA is not fully responsible for budgeting, it is accountable for all income and expenditure incurred by it. The NASA also generates revenue from certain services to the public, such as the copying of

documents, the use of the National Film, Video and Sound Archives editing tables, publications and inter-repository transfer of records. All fees are determined by the Treasury (Annual reports 1995-1997). The provision of service to the public by NASA is free of charge, but certain costly and specialised services are charged for. According to the Annual Reports 1995-1997 the NASA's final adjusted budget for 1996/97 was R14858 000. The allocation per budget item is provided in Figure 4.7. In 1998-1999 financial year the total amount budgeted for NASA increased to R16968000 (Annual Reports of the National Archivist and the State Herald 1998-1999).

Figure 4.7: Final adjusted Budget 1996/1997

<b>BUDGET ITEMS (R'000)</b>							
	<b>STAFF EXPEND- ITURE</b>	<b>ADMINI- STRATIVE EXPEND- ITURE</b>	<b>SUPPLIES</b>	<b>EQUIP- MENT</b>	<b>PROFES- SIONAL AND SPECIAL SERVICE</b>	<b>MISCEL- LANEOUS</b>	<b>TOTAL</b>
<b>National Archives</b>	10 850	534	230	238	2 050	145	14 047
<b>Bureau Of Heraldry</b>	742	29	22	2	4	12	811
<b>TOTAL</b>	11 592	563	252	240	2 054	157	14 858

Source: Annual Reports of the National Archivist and the State Herald 1995-1997.

The Annual Reports 1995-1997 also indicated the total expenditure for the NASA during 1996/7 as R13223 000. Figure 4.8 provides a return of expenditure per budget item.

Figure 4.8: Total expenditure, 1996/7.

BUDGET ITEMS (R'000)							
	STAFF EXPEND- ITURE	ADMINI- STRATIVE EXPEND- ITURE	SUPPLIES	EQUIP- MENT	PROFES- SIONAL AND SPECIAL SERVICE	MISCEL- LANEOUS	TOTAL
National Archives	9 923	665	256	239	1 390	149	12 622
Bureau Of Heraldry	556	29	3	4	0	9	601
<b>TOTAL</b>	10 479	694	259	243	1 390	158	13 223

Source: Annual reports of the National Archivist and the State Herald 1995-1997.

The allocation of financial resources is very important so that an organisation can continue providing services to the public.



According to Fox et al (1991:222) strategy implementation requires that a firm establish goals, devise policies, motivate employees, and allocate resources in a manner that will allow the formulated strategies to be pursued carefully.

#### 4.6 ***INFORMATION MANAGEMENT IN THE NASA***

The mission of the NASA is realised through the proper management of records or information. According to Calitz (1998:9) records management can be described as the creation, maintenance, use, and disposal of records still in the office of their creation. He further stated that this function is done to provide an efficient and effective administration that ensures that business runs as smoothly as possible (Ibid). Harris (1997:13) also described records management as that area of management concerned with achieving efficiency and accountability in the creation, maintenance, use and disposal of records. He further indicated that the social and legal framework in South Africa recognises some information resources as records because they document actions taken by individuals or organisations in the conduct of their business (Ibid). When the record ceases to support operations, it should either be destroyed, erased or

moved to the archives where it becomes part of the organisation's and ultimately society's long-term memory (Ibid).

Fox and Meyer (1995:63) defined information as data which has been processed and presented in such a way as to be relevant in a decision-making situation. They further defined information management which is also known as information resource management as planning, organisation, development and control of information and data in an organisation and of the people, hardware, software and systems that produce the data and information (Ibid). According to FitzGerald et al (1995:459) the concept of information is closely linked to communication since information can be regarded as facts or opinions about the world which can be communicated to others. Therefore, they further stated that information technology is any technology which is used to collect, store, process or communicate information (Ibid). In other words, information technology includes all types of computing and communication hardware and software, for example, micro computers, integrated management systems, electronic mail, internet, etc.

According to Harris (1997:33) the computer is forcing archivists, along with all other information workers to re-conceptualise who they are and what they do. He further indicated that the

widespread use of the computer for record-keeping in South Africa developed in the 1970's. Furthermore, the introduction of personal computer (PC) - based technology speeded the process dramatically, and by the early 1990's, it had reached into the vast majority of office environments and into thousands of homes. Today the electronic environment is the major site of records creation, use and preservation for many institutions, organisations and individuals. Furthermore, he stated that the computer offers dramatic improvements in economy, efficiency and opportunity exploitation, including vast storage capacity, a remarkably comprehensive and detailed documentation of process, powerful tools for the retrieval of information, and enormous scope for the imaginative use and development of human resources (Ibid).

In the NASA there is a sub-directorate known as Records Management and Information Systems. Records Management is therefore responsible for records classification systems, this includes the evaluation and approval of paper-based filing systems and electronic records, appraisal and disposal of archives, auditing and inspection of records and training regarding records management. On the other hand, Information Systems includes computer processing, publications, that is,

computerised publications, and national projects, which includes the national registers.

According to the Annual Reports of the National Archivist and the State Herald, 1996-1997, the NASA is responsible for the maintenance of the National Automated Information Retrieval System, in which all archives repositories participate. All archives repositories under the NASA are using computers in their reading-rooms for research purposes. These computers were known as Storage and Information Retrieval System (STAIRS) and they are now called National Automated Archival Information Retrieval Systems (NAAIRS). The NAAIRS is linked to the mainframe which is situated in Pretoria. All archives repositories are represented by their own database, the databases are concatenated. A researcher working in any one of the repositories can access information relating to any other repository.

According to the Annual Reports of the National Archivist and the State Herald 1998-1999 a total number of 6502392 records is now described in the computerised information retrieval system. Furthermore, it was stated that the computerised information retrieval system also embraces the holdings of non-public repositories across the country (Ibid). This includes the

National Register of Manuscripts(NAREM), with 42 participating institutions, the National Register of Photographs(NAREF),with 22 participants, the National Register of Audio-visual Material(NAROM) reflecting the holdings of the National Film, Video and Sound Archives and the National Register of Oral Sources(NAROS), with 2 participants(Ibid).

With the above information it cannot be disputed therefore, that the role played by the NASA in social memory and information management is of vital importance.

#### 4.6 **CONCLUSION**

The above chapter shows clearly the importance of strategic management in the NASA and the public service at large. Macro-appraisal as a strategy adopted recently by the NASA, which is based on identifying records worthy of either destruction or preservation was discussed. Furthermore, the public management functions, namely, policy-making and analysis, organising, planning, leadership and motivation, and control and evaluation were examined and discussed in order to portray how strategic decisions are formulated and implemented in the NASA.

It is true that the successful formulation and implementation of strategies, to a large extent, depends on the officials employed and funds available. Therefore human resource management and financial management in the NASA were discussed. Furthermore, information management as a support function to all public and private institutions was examined and discussed. The discussion was therefore based on the role of NASA as a social memory preserver and a manager of information.

## **CHAPTER FIVE**

### **5. PRESENTATION, ANALYSIS AND DISCUSSION**

#### **5.1 INTRODUCTION**

The introduction of strategic management in the South African public service after 1994 was aimed at redressing the imbalances of the past. Therefore, the post-apartheid system forced all public institutions to be proactive and not only answerable to the state but also to the public at large. The main aim of this chapter is to present, analyse and discuss the formulation, implementation and evaluation of a strategic approach to the management of NASA. The presentation, analysis and discussion of the data collected from the NASA will be categorised as follows:

- Values of public administration
- Strategic issues
- Public management functions and a strategic approach in relation to the NASA.

## 5.2 **VALUES OF PUBLIC ADMINISTRATION**

It is true that the NASA as a branch of the public service is also guided by the constitutional values and principles enshrined in the Constitution, Act No. 108 of 1996. In the questionnaires Top-Management and Middle-Management were requested to rate their answers from 0-5. Allais, Mackay and Van der Merwe, (1995:254) indicated that Top-Management is a small group of executives which controls an organisation and establishes organisational goals, strategies and policies. They further stated that Middle-Management implements these goals, strategies and policies and supervises the task completion activities of the Lower-level Managers (Ibid).

The collation of the data collected from the NASA indicated that they are committed and complying with all values and principles that guide the functioning of all public institutions. However, they also indicated that the strengths and opportunities they have are sometimes balanced by the weaknesses and threats due to the fact that they are still in a process of moving away from the old order.



### 5.3 **STRATEGIC ISSUES**

The core function of the NASA is that of records management. According to Harris (1997:13) records management can be described as that area of management concerned with achieving efficiency and accountability in the creation, maintenance, use and disposal of records. He further explained the appraisal of records as a practice whereby archivists separate records worthy of preservation because of their archival value from the records which can be destroyed (Ibid). Therefore macro-appraisal will be analysed as a new strategy adopted by the NASA.

#### 5.3.1 **MACRO-APPRAISAL**

On 1996-04-23, the National Archivist wrote a letter reference number M10/1/1/1 and M10/1/1/10 to the Chairperson: Appraisal Review Committee. In that letter she was approving the recommendations made by the committee regarding the adoption of macro-appraisal by the NASA. These recommendations were as follows:

- that macro-appraisal be adopted in principle as the foundation of the SAS (now called NASA) appraisal policy.
- That macro-appraisal be implemented in phases with the objective being the full implementation by the year 2000.
- That an Appraisal Task Team be appointed to drive the process.
- That the Appraisal Task Team should have direct responsibility and that by the year 2000 it should report on the feasibility of full implementation.

From the questionnaires it was discovered that the adoption of macro-appraisal was as a result of the commitment effort of the committee. Furthermore it was indicated that Top-Management, Middle-Management and the Archives Commission played an important role in the investigation conducted regarding the adoption of this strategy. In 1999 a new appraisal manual was distributed to all archives repositories. Again, in this case it was mentioned that the strengths and opportunities were balanced by the weaknesses and threats. The primary strengths and opportunities were the openness to change and the promulgation of the National Archives of South Africa Act (Act No. 43 of 1996).

The weaknesses and threats on the other hand are the scarcity of expertise and awareness on the new way of working, that is strategic thinking and implementation. Nevertheless, the National Archivist indicated in her letter M10/1/1/1 and M10/1/1/10 dated 1996-04-23 that the thoroughness of research, professional consultation and the testing of the conceptual foundations of macro-appraisal confirmed the professional credibility of the Appraisal Review Committee's findings. It is important to indicate that the Appraisal Task Team will present a report regarding the feasibility of full implementation by the year 2000.

#### **5.4 PUBLIC MANAGEMENT FUNCTIONS AND A STRATEGIC APPROACH IN RELATION TO THE NASA**

The aim of introducing a strategic approach in the public service was to improve and strengthen the successful execution of the management functions. Therefore strategic management is an approach to assist Top-Management in forecasting the future of their institutions. This can be achieved by identifying the internal strengths and weaknesses and also by determining the external opportunities and threats. According to Fox *et al*, (1991:223) organisations should pursue strategies that take

advantage of external opportunities, minimise the impact of external threats, capitalise on internal strengths and mitigate internal weaknesses. Information was requested from the NASA regarding the following public management functions:-

#### 5.4.1 **POLICY-MAKING**

The data presented by the NASA indicated that the successful formulation of the National Archives of South Africa Act (Act No. 43 of 1996) as a public policy was the responsibility of the Top-Management and a broad range of stakeholders. Furthermore, it was indicated that the Consultative Forum which was responsible for the initial drafting found an excellent balance between the professionals and the broader society concerned.

However, it was also indicated that although all stakeholders were involved, attempts to reach the rural communities were unsuccessful because of systemic barriers. It was further stated that the NASA is still not comfortable with strategic thinking and operating because their focus tends to be on immediate challenges while strategic plans need long-term analysis. In this Act all the objectives/functions of the NASA are fully stated.

#### 5.4.2 **ORGANISING**

According to the Annual Reports of the National Archivist and the State Herald, 1995-1997, the South Africa's new archives system delineated by the Act and subsidiary regulations is founded on the constitution's devolution of state responsibility for archives from the National Government to the nine provinces. This requires the establishment of a National Archives at national level and the creation of nine essentially autonomous provincial archives services.

The data collected from the NASA indicated that the services of this branch are decentralised. NASA has facilities (Archives Repositories) in five of the nine provinces. Presently, the Eastern Cape Province has successfully provincialised its archival functions, but it was indicated that they are still not fully functioning on their own. The NASA is doing everything to assist them, for example in capacity building.

KwaZulu-Natal province is about to finalise this process. It is believed that the provincialisation will be finalised during this financial year, that is 2000/2001. The role of the NASA in this process is to provide support, training and facilitating the technical aspects of provincialisation.

### 5.4.3 **PLANNING**

Under this function the questionnaires indicated that planning in the NASA is the responsibility of Top-Management in consultation with the staff. They cater for one year plan and five year and above. Furthermore they indicated that they are still not comfortable with strategic planning since they are still responding to the immediate challenges.

### 5.4.4 **LEADING**

Most of the respondents supported the Democratic and Team and one-to-one leadership styles. It was indicated that the NASA is still trying to move away from an autocratic model/style inherited from the past. The leadership style which is still implemented and visible in the NASA is the bureaucratic approach/style.

### 5.4.5 **MOTIVATION**

The NASA regards the staff development programme and incentives as tools for motivating the staff. They support all initiatives brought forward to clear away obstacles to upward

mobility. Furthermore they have developed ideal development paths for each staff occupational class in consultation with the staff. Therefore they have increased steadily the budget allocation to education, training and development.

#### **5.4.6 CONTROL AND EVALUATION**

The respondents indicated that there are several bodies in the NASA responsible for laying down control measures and guidelines. They have the Senior Management Team, Study and Bursary Committee and Staff Assessment Moderating Committee. It was further stated that setting standards is the responsibility of the DACST and the NASA in consultation with the staff. Evaluation of performance is done through quarterly reports.

#### **5.4.7 HUMAN RESOURCE MANAGEMENT**

The management of human resources in the NASA is fully integrated with Department-wide structures and programmes. The small administrative division in the NASA serves as a link between the DACST and the NASA in all matters regarding human resource management.

#### 5.4.8 **FINANCIAL MANAGEMENT**

The NASA as a branch of the public service is funded only by the government. The National Archivist is the Accounting Officer of this branch and therefore responsible for the budget. The management of finances occurs within a departmental (the DACST) context (Annual reports of the National Archivist and the State Herald, 1995-1997). All relevant processes, from budgeting through to expenditure are controlled by the appropriate departmental structures, with the National Archivist being fully accountable in all respects to the Department's Director-General (Ibid).

#### 5.4.9 **INFORMATION MANAGEMENT**

The respondents confirmed that there is a section in the NASA responsible for Information Management. This section also has two sub-sections which report to a single Deputy Director. These sub-sections are Records Management, which manages the filing systems and the appraisal of records, and Information Systems, which manages all electronic systems. Regarding access to information, it was indicated that government-wide policies and



guidelines on access and confidentiality are implemented. In the NASA there is no restriction on archives which are 20 years old and more. Researchers who want to investigate records less than 20 years old must first obtain an authority from the National Archivist. The Promotion of Access to Information Act (Act No 2 of 2000) has been passed by Parliament. It will come into operation soon and it will define exactly what are the procedures.

## 5.5 **CONCLUSION**

The information collected through the questionnaires from the NASA were of value to this chapter. In most cases the collation of the data indicated that the literature survey conducted by the researcher and discussed from chapter 3 to 4 is in line with the information obtained from the questionnaires. Therefore the presentation, analysis and the discussion of the data collected from the NASA serve as a confirmation of what was discussed in this study.

## **CHAPTER SIX**

### **6. CONCLUSIONS AND RECOMMENDATIONS**

#### **6.1 CONCLUSION**

The main focus of this study was on a strategic approach to the management of the NASA. The formulation, implementation and the evaluation of the strategies by the NASA were discussed. This discussion was based on a shift from the SAS to the NASA as a result of the new political dispensation witnessed in 1994. In my discussion the strengths, weaknesses, opportunities and threats experienced by NASA due to this paradigm shift were analysed and presented. The establishment of the NASA as a branch of the Public Service among other things revealed the new challenges of this branch and its commitment to serving all people of South Africa.

Therefore this study firstly focused on the constitutional principles and values that guide all public institutions. From the research it was discovered that the NASA is executing all its functions under the guidance of these constitutional principles and values.

Furthermore it was also identified that NASA is fully behind and supporting the Reconstruction and Development Programme (RDP). The core functions of the NASA in relation to the RDP are as follows:

- the promotion of administrative efficiency through sound records management,
- the facilitation of accountability of government actions by ensuring the preservation of and access to the National Archival Heritage, and
- the development of human resources and the empowerment of people through outreach programmes and enhancement of archival facilities and programmes.

Secondly, the focus was on macro-appraisal as a new strategy adopted by the NASA. This approach was adopted as a strategy to eliminate the shortcomings of the Schellenbergian approach which was used as from the 1950's. Macro-appraisal has been successfully used by countries like Australia, Canada, the Netherlands, Switzerland, the United States and now South Africa. It is founded on the core archival principle of provenance. Furthermore, public management functions, namely, policy-making, organising, planning, leadership and motivation and

evaluation and control were discussed. These public management functions are mostly executed by the Top management in the organisation. They are functions which help the top-management to execute the line functions.

Therefore these functions were used to determine the external opportunities and threats and also to identify the internal strengths and weaknesses experienced by NASA. The main purposes of these management functions can be summarised as follows:

- Policy-making: This function is about formulating the policies that will help the organisation to achieve its objectives. Therefore we discussed Act no. 43 of 1996 as a policy formulated by NASA in order to execute its line functions properly.
- Organising: Organising is about grouping all activities necessary to attain the desired objectives and the assignment of each grouping to a person. Therefore two organograms were studied and discussed. The first one was for the State Archives Service and the second one was for the NASA.
- Planning: In almost all functions of each and every organisation, planning is always there, because it allows the institution to design for an uncertain tomorrow with

some assurance of meeting the intended goals. In the NASA this function is executed by the top as well as middle managers in their attempts to achieve the intended goals.

- Leadership and Motivation: The National Archivist is the leader of the NASA and she/he is the accounting officer of this branch responsible for motivating and leading the staff.
- Evaluation and Control: After the execution of all functions in an organisation, evaluation and control of all activities need to be assessed and controlled. The evaluation and control functions in the NASA is the responsibility of the top-management.

## 6.2 **RECOMMENDATIONS**

It was indicated in the study that the number of researchers visiting the NASA is increasing steadily. This is caused by the fact that the NASA is now accessible to all people of South Africa. It is also believed that this increasing number will be doubled as soon as the provincialisation process is finalised. The main aim of provincialising is to bring the archives closer to the people. Although the NASA is committed to serving all people of South

Africa, its commitment is still undermined by the fact that the previously disadvantaged group, more especially the rural community, do not have the access they deserve in the archives.

The problems are as follows:

- All archives repositories are still situated in the city centres,
- Language as a tool of communication, and
- illiteracy

Therefore the NASA is urged to focus its attention on including rural communities by encouraging them to participate or to use the archives. The NASA is engaged on numerous travelling exhibitions aimed at explaining to the people about the archives. The NASA has also established an educational kit project for the school children. This project was initiated by the NASA in order to visit and educate school children about the archives.

It is believed that the provincialisation of the archives will be the answer to almost all problems of reaching the previously disadvantaged people. Nevertheless, the NASA is engaged on numerous projects trying to encourage the participation of all people of South Africa namely, the translation of the archives brochure "Introducing the Archives and the National Archives of

South Africa" to almost all languages, the pilot project for the production of the educational kit for the school children, provincialisation and the proposed archives website on the Internet.

According to the Archives Act no. 43 of 1996, there must be a records manager appointed in terms of this Act in each and every public institution, including Local Authorities. This records manager will serve as a link between the NASA and his/her department on everything regarding records management. It is therefore recommended that the records managers must be appointed in all magistrate's offices, especially in the rural areas. People in the rural areas visit these offices almost every working day and it can be easier for the records managers to communicate with the people on how they can use archives to their advantage. These records managers will be trained by the NASA regarding all archival functions they need to execute and to understand what records are housed in each and every archives repositories in South Africa.

It is also believed that school visits to the archives must be utilised in order to disseminate the necessary information about the archives. Therefore, it is recommended that the provincial archives need to visit schools and encourage the children to use

the archives in their studies. Furthermore, tertiary institutions must also be encouraged to use archives in their research. These institutions must be given guides, promotional material, posters and other publications, and all information housed by NASA must be captured, stored and be accessible in the Internet. The NASA is planning to have its website in place by march 2001.

After the 1994 elections, the NASA embarked on a campaign of collecting non-public records in order to fill the gaps in its holdings caused by apartheid. It is believed that collecting comprehensive oral history from the people requires scholars with research backgrounds. The NASA is committed to housing the richest 2-5% of records with archival value. Therefore, in order to maintain this percentage, training based on collecting oral history needs to be conducted and tertiary institutions need to be involved. In April 2000 the NASA issued a National Oral History Programme (National Plan for Oral History). In this plan they outlined the aims, objectives and the implementation strategy to be followed in this regard.

It is true that the above-mentioned recommendations can be successfully implemented when the nine provincial archives services are functioning. Presently the NASA is doing everything



in its power to encourage the provinces either to provincialise or to establish new provincial archives in the provinces where there are no archives establishments. What is presently done by NASA is helping the provinces to speed up the provincialisation process as well as training the archivists in the provinces regarding the line functions of the NASA. Progress regarding the provincialisation process has been slow. Presently, only the Eastern Cape province which has successfully provincialised and amalgamated their archives to Port Elizabeth with its own structures. KwaZulu-Natal province is expected to finalise this process by April 2001. Other provinces are still struggling, but it is believed that their provincialisation processes will be finalised soon.

Training at the tertiary level based on the NASA's line functions as well as public administration in general is very important in this period of transformation. Therefore it is recommended that tertiary institutions in South Africa must be contacted in order to ascertain as to what contributions they can provide for the NASA in this new dispensation. This can help archivists to establish a balance between records management, archives management and human resource management. Archivists in this new dispensation are now no longer answerable only to the State but also to the people of South Africa. They are also not only the

custodians of records but also the creators of records and it is very important to equip them with the necessary expertise.

Presently, the National Archives staff have assisted the Technikon SA in revamping its archival and records management courses. Furthermore, they have played a significant role in assisting both UNISA and the University of Witwatersrand in designing archival courses which these institutions plan to offer (Annual Reports of the National Archivist and the State Herald 1998-1999).

Recommendations regarding the future of the NASA relied heavily on the provincialisation of all 9 provinces. Presently, it is not easy to suggest what need to be done in future regarding planning, organisational development, human resource management, financial management and other many public management functions because NASA is still assisting the provinces in their provincialisation processes. It can be easier for the researcher to evaluate and assess the functioning of NASA with the 9 provincial archives regarding the above-mentioned public management functions.

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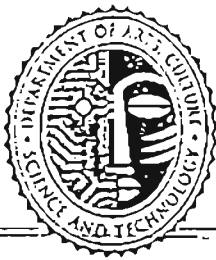
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## ANNEXURE A

DEPARTMENT OF ARTS, CULTURE, SCIENCE AND TECHNOLOGY • LEKHA LA CONQ'UO, SETSO, SAENSE LE THEKENGOTHI  
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CHIEF DIRECTOR: PROGRAMMES AND EVALUATION

PROGRAMME MANAGERS

### CIRCULAR MINUTE P1-18/99 (PERS): SETTING OF REPRESENTIVITY TARGETS PER PROGRAMME

1. Chapter 10(b) of the White Paper on the Transformation of the Public Service provides that –

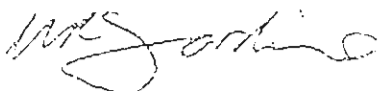
“Within four years all departmental establishments must endeavour to be at least 50 (fifty percent) black at Management level. During the same period at least 30 (thirty percent) of new recruits to the middle and senior management echelons should be women. Within ten years, people with disabilities should comprise 2 (two percent) of Public Service personnel.”

2. These targets have been reached, namely 61% black at Management level and 50% women to the middle and senior Management echelons. At this stage disabled persons are however only 0,85% represented.
3. In 1994 (when these targets were set) the Department was 30% representative, four years later the Department is 55% representative.
4. The statistical data on the staff composition of the Department reveals the following comparison between 1994 and 1998:

P

	WHITE		BLACK		INDIAN		COLOURED		POSTS FILLED	POSTS VACANT
	M	F	M	F	M	F	M	F		
1994	87	178	45	36	2	6	29	3	386	66
%	69%		21%		2%		8%			
1998	57	151	109	88	6	10	29	16	455	112
%	45%		42%		3%		10%			

5. Attached please find a comparison between representivity for 1994 and 1998 regarding your specific programme in the Department.
6. It should be mentioned that although the White Paper's representivity targets have been reached, there are still imbalances within occupational classes and on the different post levels.
7. It will therefore be appreciated if Programme Managers in collaboration with the Special Programmes Officer can identify vacant posts to be filled according to representivity targets set for each occupational class within their programmes.
8. The Section Work Study will distribute the relevant organigrams to each programme in order for Programme Managers to identify vacancies to be advertised.



DIRECTOR-GENERAL

TOTAL NUMBER OF PERSONNEL PER RACE/GENDER/POST LEVEL AS AT JULY 1994

PROGRAMME 1: MANAGEMENT SERVICES

	WHITE		COLOURED		INDIAN		BLACK		SUB TOTAL		TOTAL
	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	
Director-General											
Deputy Director-General											
Chief Director											
Director	1								1		1
Deputy Director	5	2						2	5	4	9
Assistant Director	3	4							3	4	7
Administrative Officer	4	6					2		6	6	12
Chief Administration Clerk	3	5							3	5	8
Administration Clerk	16	26	3				2	1	21	27	48
Lower graded posts			1				9	4	10	4	14
SUBTOTAL	32	43	4				13	7	49	50	99
TOTAL	75		4				20		99		
	76%		4%				20%				

TOTAL NUMBER OF PERSONNEL PER RACE/GENDER/POST LEVEL AS AT JULY 1994

PROGRAMME 2: ARTS AND CULTURE

	WHITE		COLOURED		INDIAN		BLACK		SUB TOTAL		TOTAL
	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	
Director-General											
Deputy Director-General	1								1		1
Chief Director	1								1		1
Director	1								1		1
Deputy Director	3								3		3
Assistant Director	2	4							2	4	6
Administrative Officer	2	5					1	3	3	8	11
Chief Administration Clerk											
Administration Clerk		6								6	6
Lower graded posts											
SUBTOTAL	10	5					1	3	11	18	29
TOTAL	25						4		29		
	80%						14%				



TOTAL NUMBER OF PERSONNEL PER RACE/GENDER/POST LEVEL AS AT JULY 1994

PROGRAMME 3: ARCHIVES AND HERALDIC SERVICES

	WHITE		COLOURED		INDIAN		BLACK		SUB TOTAL		TOTAL
	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	
Director-General											
Deputy Director-General											
Chief Director											
Director											
Deputy Director	4	1							4	1	5
Assistant Director	2	4							2	4	6
Administrative Officer	19	34			1	4			20	38	58
Chief Administration Clerk	2	4							2	4	6
Administration Clerk	4	38	18	2	1	2	16	1	39	43	82
Lower graded posts			7	1			15	24	22	25	47
SUBTOTAL	31	81	25	3	2	6	31	25	89	115	204
TOTAL	112		28		8		56		204		
	55%		14%		4%		27%				

TOTAL NUMBER OF PERSONNEL PER RACE/GENDER/POST LEVEL AS AT JULY 1994

PROGRAMME 4: LANGUAGE AND TERMINOLOGY SERVICES

	WHITE		COLOURED		INDIAN		BLACK		SUB TOTAL		TOTAL
	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	
Director-General											
Deputy Director-General											
Chief Director											
Director	1								1		1
Deputy Director	1	4							1	4	5
Assistant Director	3	5							3	5	8
Administrative Officer	1	19							1	19	20
Chief Administration Clerk											
Administration Clerk		3								3	3
Lower graded posts											
SUBTOTAL	6	31							6	31	37
TOTAL	37								37		
	100%										

TOTAL NUMBER OF PERSONNEL PER RACE/GENDER/POST LEVEL AS AT JULY 1994

PROGRAMME 5: SCIENCE AND TECHNOLOGY

	WHITE		COLOURED		INDIAN		BLACK		SUB TOTAL		TOTAL
	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	
Director-General											
Deputy Director-General											
Chief Director											
Director	1								1		1
Deputy Director	3	2							3	2	5
Assistant Director	1								1		1
Administrative Officer											
Chief Administration Clerk	2								2		
Administration Clerk	1	6						1	1	7	8
Lower graded posts											
SUBTOTAL	8	8						1	8	9	17
TOTAL	16						1		17		
	94%						6%				

TOTAL NUMBER OF PERSONNEL PER RACE/GENDER/POST LEVEL AS AT 31 DECEMBER 1998

PROGRAMME 1: MANAGEMENT SERVICES

	WHITE		COLOURED		INDIAN		BLACK		SUB TOTAL		TOTAL	VACANCIES
	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE		
Director-General									1		1	
Deputy Director-General												
Chief Director	1								1		1	
Director	3						1		4		4	
Deputy Director	2	5				1		1	2	7	9	5
Assistant Director	3	5					2	1	5	6	11	5
Administrative Officer	4	5	1			1	4	3	9	9	18	12
Chief Administration Clerk	1	5	1	1	1		2	1	5	7	12	6
Administration Clerk	9	21	5	2		1	15	9	29	33	62	9
Lower graded posts							6	5	6	5	11	2
SUBTOTAL	23	41	8	3	1	3	30	20	62	67	129	39
TOTAL	64		11		4		50		129			
	50%		8%		3%		39%					

TOTAL NUMBER OF PERSONNEL PER RACE/GENDER/POST LEVEL AS AT 31 DECEMBER 1998

PROGRAMME 2: ARTS AND CULTURE

	WHITE		COLOURED		INDIAN		BLACK		SUB TOTAL		TOTAL	VACANCIES
	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE		
Director-General												
Deputy Director-General							1		1		1	
Chief Director		1					1		1	1	2	
Director			1						1		1	
Deputy Director	3	2				1	1	1	4	4	8	3
Assistant Director	2	4	1	1			1	2	4	7	11	2
Administrative Officer		5	1	2	1		8	8	10	15	25	9
Chief Administration Clerk								1		1	1	2
Administration Clerk		1		1			5	7	5	9	14	
Lower graded posts												
SUBTOTAL	5	13	3	4	1	1	17	19	26	37	63	16
TOTAL	18		7		2		36		63			
	29%		11%		3%		57%					

TOTAL NUMBER OF PERSONNEL PER RACE/GENDER/POST LEVEL AS AT 31 DECEMBER 1998

PROGRAMME 3: NATIONAL ARCHIVES AND HERALDIC SERVICES

	WHITE		COLOURED		INDIAN		BLACK		SUB TOTAL		TOTAL	VACANCIES
	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE		
Director-General												
Deputy Director-General												
Chief Director												
Director		1								1	1	
Deputy Director	2							1	2	1	3	1
Assistant Director	2	4		1					2	5	7	
Administrative Officer	11	23		1	1	4	5	5	17	33	50	12
Chief Administration Clerk	2	5		1					2	6	8	1
Administration Clerk	2	24	12	1	1	2	23	3	38	30	68	7
Lower graded posts			5	3					14	20		4
SUBTOTAL	19	57	17	7	2	6	42	29	80	99	179	25
TOTAL	76		24		8		71		179			
	42%		13%		5%		40%					

TOTAL NUMBER OF PERSONNEL PER RACE/GENDER/POST LEVEL AS AT AT 31 DECEMBER 1998

PROGRAMME 4: LANGUAGE AND TERMINOLOGY SERVICES

	WHITE		COLOURED		INDIAN		BLACK		SUB TOTAL		TOTAL	VACANCIES
	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE		
Director-General												
Deputy Director-General												
Chief Director												
Director								1		1	1	
Deputy Director		2					3		3	2	5	1
Assistant Director		10	1	1			3	2	4	13	17	5
Administrative Officer	1	13					6	5	7	18	25	9
Chief Administration Clerk		1								1	1	
Administration Clerk		5					3	1	3	6	9	2
Lower graded posts												
SUBTOTAL	1	31	1	1			15	9	17	41	58	17
TOTAL	32		2				24		58			
	55%		4%		2%		41%					

TOTAL NUMBER OF PERSONNEL PER RACE/GENDER/POST LEVEL AS AT AT 31 DECEMBER 1998

PROGRAMME 5: SCIENCE AND TECHNOLOGY

	WHITE		COLOURED		INDIAN		BLACK		SUB TOTAL		TOTAL	VACANCIES
	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE		
Director-General												
Deputy Director-General	1								1		1	
Chief Director					1		1		2		2	
Director	1			1			1	1	2	2	4	1
Deputy Director	3	1					2		5	1	6	9
Assistant Director	1						1		2		2	
Administrative Officer		5						1		6	6	1
Chief Administration Clerk	2	1							2	1	3	2
Administration Clerk	1	2						9	1	11	12	2
Lower graded posts												
SUBTOTAL	9	9		1	1		5	11	15	21	36	15
TOTAL	18		1		1		16		36			
	50%		3%		3%		44%					



TO THE HEADS OF ALL COMPONENTS

**CORRECTION OF REPRESENTIVITY STATISTICS FOR THE NATIONAL ARCHIVES AS SET OUT IN: CIRCULAR MINUTE P1 - 18/99 (PERS)**

1. Please be advised that the statistical data on the setting of representivity targets in the individual programmes of the Department, and which were circulated in the above-mentioned Circular Minute, contain a number of inaccuracies with respect to the situation in the National Archives.
2. First, the statistical structure of the total number of personnel per race/gender/post level as at July 1994 and at 31 December 1998 respectively, does not reflect adequately the post classes of the National Archives.
3. Secondly, the figures for both filled posts as well as for vacancies are not correct in every instance.
4. A submission to correct the errors has been made to the Director-General. The attached employee profile of the National Archives as at 31 March 1999 has been submitted to the DG for incorporation into the Departmental statistical profile.
5. Please circulate this updated and differentiated employee profile of the National Archives, attached as Annexure A, to all members of staff, as it reflects both the post classes as well as the figures for post filled and vacancies accurately.



Ethel Kriger, AD/TRN

19 April 1999.

(F)

# ANNEXURE A

TOTAL NUMBER OF PERSONNEL PER RACE/GENDER/POST LEVEL AS AT 31 MARCH 1999

PROGRAMME 3: NATIONAL ARCHIVES/HERALDIC SERVICES/NATIONAL FILM, VIDEO AND SOUND ARCHIVES

Level	White		Coloured		Indian		Black		Sub-total		Total	Vacancies
	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female		
Director		1								1	1	-
Deputy Director	3							1	3	1	4	2
Assistant Director	1	4		1					1	5	6	-
Assistant State Herald	1								1		1	-
Archivist	10	20		1	1	4	5	5	16	30	46	11
Industrial Technician	3	5		1					3	6	9	-
Admin. Officer		1								1	1	1
Admin Clerk	1	6	4	2	1	2	3		9	10	19	1
Auxiliary Services Offic.	3	7	6				18	2	27	9	36	4
Secretary		1								1	1	-
Chief Data Processing		1								1	1	-
Data Typist		8		1						9	9	1
Typist				1						1	1	-
Security							1		1		1	-
Handyman											-	1
General Foreman	1		1						2		2	-
Cleaners			5	3			6	21	11	24	35	3
Groundsmen							7		7		7	-
Artisan B.											-	1
									81	99	180	25

## ANNEXURE B

2/3/2

2/13

TO THE HEADS OF COMPONENTS

### TRANSFORMATION AND STRATEGIC PLANNING

1. In the last three weeks I have been required to prepare two documents at very short notice. The timeframes did not allow for consultation with you.
2. I attach copies of the two documents: TRANSFORMING THE NATIONAL ARCHIVES: A BRIEFING and NATIONAL ARCHIVES OF SOUTH AFRICA: STRATEGIC PLAN FOR 1997-2007.
3. Please study them carefully and discuss them with your staff. I would be glad to receive any comments, questions or suggestions.



N/A

3 February 1998

## TRANSFORMING THE NATIONAL ARCHIVES : A BRIEFING

### 1. CONCEPTUALISING TRANSFORMATION

1.1 The term "transformation" is used to refer to a range of processes designed to reshape the National Archives into an organisation geared to the successful implementation of the National Archives of South Africa Act, and one which promotes and fosters democratisation both internally and in the broader context of its operations. Many of these processes are government-wide or Departmental in scope. Others are specific to the National Archives, and are rooted in the new Act.

1.2 In January 1997 the National Archives adopted a formal POLICY POSITION ON TRANSFORMATION with an attendant short-term strategy for implementing it. This strategy included the provision of a Head of Transformation position at assistant director level. The position, filled in November 1997, carries full-time responsibility for driving transformation processes.

1.3 Transformation imperatives shaped the National Archives' Business Plan for 1997/8 and the Strategic Plan for 1997 - 2007.

1.4 From conceptualisation to implementation, transformation processes in the National Archives are informed by a commitment to process. Good ideas not properly debated and understood will not take root. Consultation, debate, discussion and training have been sustained by a variety of workshops (formal and informal), joint committees and task teams. Examples of these are as follows : transformation workshops run by the Head of Transformation; a workshop on oral history presented by

the University of the North; the Committee for the Management of Electronic Records; and the Appraisal Task Team.

## 2. ORGANISATION

2.1 In order to create a platform capable of supporting transformation, the National Archives went through a substantial restructuring exercise. The three regional components together with the regional chiefs' positions were discarded. This flattened the organisational hierarchy, bringing senior management closer to the coalface work of divisions and repositories. To reinforce this step, the Directorate was enlarged from 3 to 6 persons, including the new Head of Transformation.

2.2 Considerable effort has been expended on ensuring participative management and accountability between and within National Archives structures. The physical dispersal of components both in Pretoria and around the country has made this a challenging exercise.

2.3 Internal control documentation has been systematically revised, updated and translated.

2.4 The appropriate application of Government language policy is being considered at all levels, from publications to the answering of telephones.

## 3. HUMAN RESOURCES

3.1 Measured against the goal of representivity, at almost every level of the establishment, but particularly at more senior levels, the National

Archives falls short. This is the legacy of our past. Attempts to redress the imbalances in terms of the Department's Employment Equity Policy have been hampered by :

- the carrying of numerous (at present over 40) vacant posts;
- our inability, because of budgetary constraints, to fill many of these posts;
- a PAS for archival posts inappropriate to transformation imperatives;
- a scarcity in South Africa of qualified and/or experienced archivists; and
- a lack of clarity on the part of the Department's Personnel Division concerning advertising requirements (this has necessitated re-advertising on more than one occasion).

3.2 We are pursuing the goal of representivity vigorously through the following means :

- our point of departure with every advertised post is that its filling should increase representivity;
- we are working hard at having the PAS changed so as to remove artificial barriers to transformation;
- the Head of Transformation participates in every aspect of the appointment process (in all our offices around the country) to ensure that transformation imperatives are implemented; and
- the Head of Transformation is investigating ways of targeting advertisements more effectively.

3.3 It must be noted that the constraints on the filling of posts noted in par. 3.1 have eased considerably in the recent past. Between January and November 1997 we were only able to advertise 13 vacant posts, of which only 6 were professional posts. However, in December 1997 we advertised 15 vacant posts, 11 of them professional posts.

3.4 Programmes for the education and training of staff have, in line with government-wide policies, been allocated more resources, been diversified and been informed by new priorities. There are three central imperatives : the addressing of skills shortages in key areas; support of affirmative action; and the empowerment/development of the previously disadvantaged.

#### 4. PROVINCIALISATION

The provincialisation of archives services is an important element in the transformation of South Africa's public archives system. The National Archives is driving this process, providing provinces with support, advice, training and assistance in establishing the foundation on which provincial services will be built.

#### 5. SUPPORTING TRANSITION

South Africa's transition to democracy is all-embracing, and for governmental bodies its attendant processes reach into every aspect of operations. The National Archives' support of transition embraces many activities not dealt with elsewhere in this briefing :

- participation in government-wide programmes such as AIDS awareness and Batho Pele;
- participation in Departmental transformation processes;
- commenting on a variety of draft bills, white papers and green papers;
- participation in the drafting of Open Democracy, National Heritage and Legal Deposit legislation;

- assisting and supporting the Truth and Reconciliation Commission, the Commission on the Restitution of Land Rights, the Investigation Task-Unit (KZN) and other bodies;
- participation in the Legacy Project;
- participation in the development of a national strategy for heritage training;
- facilitation of the appointment of a National Archives Commission; and
- the launching of a project to upgrade all our components' facilities for the physically challenged.

## 6. INTERNATIONAL ENGAGEMENT

The post-apartheid era has seen not only the expansion of the National Archives' international engagement, but also a significant increase in the levels and scope of interaction. We have, for instance, participated in joint international projects, provided representatives on project task teams, hosted a major international gathering, and embarked on reciprocal training endeavours. Transformation imperatives inform our focus on the exchange of expertise and experience with our neighbours in southern and eastern Africa. These imperatives also informed our agreement with Namibia for the return of records removed by the South African government from that country before its independence. This agreement has been applauded internationally.



## 7. TRANSFORMING LINE FUNCTIONS AND SERVICE DELIVERY

### ~~7.1~~ Acquisition, custody and control

The emphasis here is on the documentation of processes and experiences neglected by archives repositories in the past :

- We have developed a new macro-appraisal policy to position ourselves to identify such processes and experiences most effectively.
- We are developing a new policy on the collection of non-public records. This developing policy has secured several significant donation agreements already - for instance, Braam Fisher family papers, IDASA archives, and the SABC documentation of the TRC process.
- We are developing a policy on oral history collection.
- An inter-divisional Committee for the Management of Electronic Records is expanding capacity and identifying strategies for ensuring the appropriate preservation of electronic memory.

### 7.2 Arrangement and description

Five initiatives drive transformation in this area :

- A project designed to provide more contextual information in finding aids in order to facilitate access and improve understanding of our holdings.
- A project designed to ensure that the multi-lingual needs of users are addressed.
- The introduction of questionnaires to measure user satisfaction.
- The expansion of the national computerised registers and the introduction of consultative mechanisms in our relationship with participating institutions.

- Preliminary work has been undertaken in consultation with stakeholders for the launching of a National Register of Oral Sources.

### 7.3 Preservation

In this area of crisis (for instance, over 50 million pages of paper-based records are in urgent need of restoration) we are developing a new policy position with concomitant strategies. As part of this initiative, we are investigating ways of boosting our media conversion and document restoration capacities. Staff are being provided with training opportunities in in-house preventive preservation and repair techniques.

### 7.4 Access and use

The right of access to information, enshrined in the Bill of Rights, and the provisions for access in the National Archives of South Africa Act, inform our endeavours in this area :

- Our reading room service is being upgraded through the development of specialist knowledge and the broadening of the language base of support staff. We are currently, for instance, negotiating with the Department's State Language Service for the provision of English and Northern Sotho classes. Questionnaires are used to measure user satisfaction.
- A new target has been set for the handling of written enquiries - finalisation within 10 working days of receipt.
- The process for securing access to records less than 20 years old has been streamlined and new targets set - immediate acknowledgement of a request and finalisation within 20 working days of receipt.
- A new target has been set for the temporary return of records to governmental bodies - within 24 hours of a request being received.

## 7.5 Public programming

The National Archives of South Africa Act enshrines the principle that it is not enough to provide ready and equitable access to holdings. The National Archives is obliged to create users by reaching out, with a special emphasis on endeavours designed to reach the less privileged sectors of society. Various programmes and projects are being sustained to meet this imperative:

- A new policy on outreach is being developed.
- The publications programme is being reviewed in order to position it more appropriately. The new direction being developed has seen the publication of brochures and pamphlets, a poster and 2 promotional videos. Work on a directory of archival institutions in South Africa is underway. A pilot project for the production of educational kits for schools has been launched.
- Open days, exhibitions and group visits are being extended to reach a wider audience. Questionnaires are used to measure user satisfaction.
- An extended reading room hours programme is offered to accommodate users hampered by official office hours. Questionnaires are used to measure user satisfaction.
- Every opportunity is used to provide advice, assistance and training to archival stakeholders on an ad hoc basis. The goal is to transform the National Archives into an active player in the broad archives and records management communities.
- Taking archives out of strongrooms is encouraged by joint exhibitions with other institutions and the lending of materials. In this way our materials have been used in exhibitions and festivals in Amsterdam, Geneva, Cape Town, Johannesburg, Pretoria and Potchefstroom. A

working relationship is being negotiated with the Pretoria Metro Heritage Forum.

## 7.6 Records management

The key challenge here is to transform our services so that they address successfully the new realities in government. These realities are defined principally by corporate culture, organisational development and electronic record-keeping. Services must be pro-active, managed strategically and supported by an appropriate knowledge and resource base:

- A task team is guiding the development of a macro-appraisal programme.
- An official with appropriate expertise has been appointed to drive the development of our electronic records management programme.
- New targets have been set for the auditing of records systems - designs to be examined within 20 working days of receipt; system adjustments to be finalised within 10 working days.
- A task team has compiled an inventory of all new client offices and is devising a strategy to address their records management needs systematically.
- Pro-active intervention has secured archival control over the records of inter alia the Constitutional Assembly, the Investigation Task Unit, CODESA, the TRC and the Goldstone Commission.
- Training, particularly through the Records Management Course, has been repositioned to support the new imperatives. Questionnaires are used to measure client satisfaction.

(20129131)

## INTRODUCTION

The National Archives of South Africa Act (43 of 1996), which came into operation on 1 January 1997, established the foundation on which a new archives system will be built for South Africa. This Strategic Plan attempts to set medium and long-term objectives for the National Archives in its endeavours to implement the Act and contribute to the building of the new system. Obviously any projection ten years into the future is a tenuous exercise. One of the key variables is state funding, which at present is inadequate to enable the National Archives to meet fully its legislative mandate. The Strategic Plan assumes no major variations in the level of such funding.

## OVERARCHING ENDEAVOUR

### *Transformation*

- It is envisaged that transformation will remain the central theme of National Archives endeavour until 2007. The term is used to refer to a range of processes designed to reshape the National Archives into an organisation geared to the successful implementation of the new Act, and one which promotes and fosters democratisation both internally and in the broader context of its operations. Many of these processes are government-wide or Departmental in scope. Others are specific to the National Archives, and are rooted in the Act. These processes are unfolded (together with related objectives) in this Strategic Plan.

A Head of Transformation was appointed in 1997 with responsibility for driving transformation processes. She will do this through a powerful monitoring function and the utilisation of workshops, discussion groups, external training and other mechanisms. It is envisaged that this position will remain a key element of the senior management team through 2007.

- Appropriate training to support transformation is dealt with under human resources elsewhere in this Plan.
- Specific projects related to transformation are dealt with under appropriate headings elsewhere in this Plan.

#### *Provincialisation*

- The National Archives will continue facilitating the provincialisation process, the ultimate objective of which is the establishment of nine provincial archives services. Every endeavour will be made to ensure that this objective is reached by 2007.
- By 2007 the National Archives should be focused on the management of national level public records and a broad national co-ordinating role.

#### *Supporting transition*

South Africa's transition to democracy is all-embracing. Apart from attending to its internal transformation processes and supporting provincialisation, the National Archives will:

- participate in government-wide programmes;
- participate in Departmental transformation processes;
- contribute to the drafting of other legislation (e.g. the National Heritage Bill) which will become part of the broader archival legislative framework; and

- assist and support bodies such as the Truth and Reconciliation Commission and the Commission on the Restitution of Land Rights in their work.

#### *International engagement*

- The National Archives will continue to be an active member of the international archival community, promoting interaction with other nations and fulfilling its responsibilities as a member of the International Council on Archives and other international organisations.
- It will concentrate endeavour on its role in the southern and eastern African region, supporting the exchange of experience and expertise.

#### *Special projects*

A range of special projects are planned for the period 1997-2007. Only those which cannot be positioned elsewhere in this Plan are dealt with here.

- Facilities will be upgraded to meet the needs of the physically challenged.
- The appointment of the National Archives Commission will be facilitated, and thereafter close professional liaison will be maintained with it.
- The National Film, Video and Sound Archives will be thoroughly upgraded.
- The microfilming and return to Namibia of records created in Namibia but removed by South Africa before that country's independence will be managed.

## LINE FUNCTIONS

### *Acquisition, custody and control*

- By 2007 all acquisition of public records will be managed in terms of a strategic plan with supporting infrastructure.
- The acquisition of non-public records will be managed in terms of a collecting policy designed to redress apartheid imbalances and to fill the gaps in official memory.
- Close involvement in oral history projects will be essential.
- Current infrastructure for the management of electronic records will be expanded to support the systematic identification and acquisition of electronic records with archival value.

### *Arrangement and description*

- The professional arrangement and description of paper-based textual records is an area of crisis, with acquisitions far outstripping our capacity to process them. Our objective is to have successfully addressed the backlog by 2007.
- It is also aimed to add 250 000 records to the computerised information retrieval system every year.
- The computerised national registers will be promoted vigorously, with the aim of increasing the number of participating organisations by 50%.
- A National Register of Oral Sources will be launched and developed.
- Improving the quality of our finding aids is of vital importance. A programme for their thorough upgrading (and translation where necessary) will be put in place.



### *Preservation*

This is an area of crisis, with over 50 million pages of paper-based records in urgent need of restoration. Our present four-pronged preservation strategy (pre-archival intervention, preventive preservation, media conversion and restoration) will be maintained, but:

- the repair and maintenance of our air-conditioning systems will be upgraded;
- an in-house microfilm unit will be established and the options for digital imaging investigated;
- the restoration unit will be expanded; and
- in-house repair work will be boosted by the training of staff and purchase of appropriate materials.

### *Access and use*

- Every effort will be made to improve and expand our capacity to provide ready access to holdings.
- The provision of additional user support staff will be a priority.
- Capacity to provide support in all the official languages will be strived for.
- Full compliance with the requirements of the Open Democracy Act will be ensured.
- A site on the Internet will be secured, providing access both to information about the National Archives and to our archival holdings.

## *Public programming*

The overarching imperative here is twofold: to reach a wider audience, with special emphasis on the less privileged sectors of society; and to become a key player in broader processes designed to preserve and promote South Africa's archival heritage. To these ends, the National Archives will:

- expand and diversify its publications programme, with special emphasis on the needs of indigenous language speakers and of schoolchildren;
- promote the importance of orality to social memory;
- manage open days, exhibitions, group visits, extended reading-room hours and other outreach projects;
- work with other stakeholders towards integrating and improving archival education and training capacity in South Africa;
- provide advice, assistance and training to institutions throughout the region; and
- put in place a comprehensive set of user service evaluation instruments.

## *Records management*

In terms of the new Act, the National Archives has a more powerful public records auditing function and has acquired numerous new client offices (e.g. statutory bodies). It is planned by 2007 to:

- have secured close professional liaison with every governmental body subject to the operation of the new Act;
- have expanded its training programme to embrace both senior and middle managers;
- have developed an effective unit for advising client offices on the management of electronic records; and
- have developed a fully-fledged macro-appraisal programme which will ensure the systematic, strategic and planned archival appraisal of all government records systems.

ANNEXURE C: QUESTIONNAIRE

**A STRATEGIC APPROACH TO THE MANAGEMENT OF THE NATIONAL ARCHIVES OF SOUTH AFRICA**

NAME OF THE ORGANISATION:.....

POSITION OF THE INTERVIEWEE/S:.....

YEARS OF EXPERIENCE:.....

**PART A: - VALUES OF PUBLIC ADMINISTRATION**

1. PROMOTION OF A HIGH STANDARD OF PROFESSIONAL ETHICS: Strengths, weaknesses, opportunities and threats.
2. PROMOTING EFFICIENCY, ECONOMIC AND EFFECTIVE USE OF RESOURCES: Strengths, weaknesses, opportunities and threats.
3. PARTICIPATION: Strengths, weaknesses, opportunities and threats.
4. PROVISION OF SERVICES: Strengths, weaknesses, opportunities and threats.
5. ACCOUNTABILITY: Strengths, weaknesses, opportunities and threats.
6. TRANSPARENCY: Strengths, weaknesses, opportunities and threats.
7. GOOD HUMAN-RESOURCE MANAGEMENT AND CAREER DEVELOPMENT PRACTICES: Strengths, weaknesses, opportunities and threats.
8. REPRESENTIVITY IN THE PUBLIC SERVICE: Strengths, weaknesses, opportunities and threats.

**PART B:** STRATEGIC ISSUES

1. STRATEGIC FORMULATION: Strengths, weaknesses, opportunities and threats.
2. STRATEGIC IMPLEMENTATION: Strengths, weaknesses, opportunities and threats.
3. STRATEGIC EVALUATION AND CONTROL: Strengths, weaknesses, opportunities and threats.

**PART C:** PUBLIC MANAGEMENT FUNCTIONS AND A STRATEGIC APPROACH IN RELATION TO THE NATIONAL ARCHIVES OF SOUTH AFRICA

1. POLICY-MAKING PROCESSES: Strengths, weaknesses, opportunities and threats.
2. ORGANISING: Strengths, weaknesses, opportunities and threats.
3. PLANNING: Strengths, weaknesses, opportunities and threats.
4. LEADERSHIP AND MOTIVATION: Strengths, weaknesses, opportunities and threats.
5. CONTROL AND EVALUATION: Strengths, weaknesses, opportunities and threats.
6. HUMAN RESOURCE MANAGEMENT IN THE NASA: Strengths, weaknesses, opportunities and threats.
7. FINANCIAL MANAGEMENT: Strengths, weaknesses, opportunities and threats.
8. INFORMATION MANAGEMENT: Strengths, weaknesses, opportunities and threats.

This questionnaire will be treated with confidentiality. Therefore the interviewees are requested to answer all questions. Please tick (√) where it is applicable. It would be greatly appreciated if relevant documents are attached to this questionnaire. Other information which will be of significance to this study will be appreciated.

**PART A: VALUES OF PUBLIC ADMINISTRATION**

1. What is the vision of NASA?

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2. What is the mission of NASA?

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3. Why is the vision of the NASA not indicated in the Act, No. 43 of 1996?

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4. The Constitution of the Republic of South Africa, Act 108 of 1996 urged all public institutions to facilitate development and be governed by the democratic values enshrined in the constitution. Does the NASA experience any strengths, weaknesses, opportunities and threats in complying with the following values? Please rate your answers as indicated.

4.1 Promotion of high standard of professional ethics.

RATINGS	0	1	2	3	4	5
STRENGTHS						
WEAKNESSES						
OPPORTUNITIES						
THREATS						

4.2 Promoting efficiency, economic and effective use of resources.

RATINGS	0	1	2	3	4	5
STRENGTHS						
WEAKNESSES						
OPPORTUNITIES						
THREATS						

4.3 Participation.

RATINGS	0	1	2	3	4	5
STRENGTHS						
WEAKNESSES						
OPPORTUNITIES						
THREATS						

4.4 Provision of services.

RATINGS	0	1	2	3	4	5
STRENGTHS						
WEAKNESSES						
OPPORTUNITIES						
THREATS						

#### 4.5 Accountability

RATINGS	0	1	2	3	4	5
STRENGTHS						
WEAKNESSES						
OPPORTUNITIES						
THREATS						

#### 4.6 Transparency

RATINGS	0	1	2	3	4	5
STRENGTHS						
WEAKNESSES						
OPPORTUNITIES						
THREATS						

#### 4.7 Good human-resource management and career-development practices.

RATINGS	0	1	2	3	4	5
STRENGTHS						
WEAKNESSES						
OPPORTUNITIES						
THREATS						

#### 4.8 Representivity in the public service.

RATINGS	0	1	2	3	4	5
STRENGTHS						
WEAKNESSES						
OPPORTUNITIES						
THREATS						



**PART B: STRATEGIC ISSUES**

1. STRATEGIC FORMULATION:

1.1 Records Management: Archives Appraisal

1.1.1 Does your Directorate have a strategic plan/policy for archives appraisal?

YES		NO		NOT SURE	
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1.1.2 If no, when are you going to formulate one?

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1.1.3 If yes, who was responsible for its formulation?

STRATEGIST	
DIRECTOR	
HIGH-LEVEL PUBLIC MANAGERS	
MIDDLE-LEVEL PUBLIC MANAGERS	
ARCHIVES COMMISSION	
DACST	

1.1.4 During the public debates regarding its formulation did you involve the rural community?

YES		NO		NOT SURE	
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1.1.4.1 If no, please indicate why

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1.1.5 Does your Directorate's strategic planning mechanisms cater for:

SHORT-TERM	
MEDIUM-TERM	
LONG-TERM	
ALL OF THE ABOVE	

1.1.6 Did you experience any weaknesses, strengths, opportunities and threats during the formulation of the appraisal strategy? Please rate your answers as indicated.

RATINGS	0	1	2	3	4	5
STRENGTHS						
WEAKNESSES						
OPPORTUNITIES						
THREATS						

1.1.7 Additional information if any in this regard will be appreciated.

.....  
.....  
.....

1.2 Policy-making: National Archives of South Africa (Act No. 43 of 1996)

1.2.1 Who was responsible for the formulation of the above-mentioned Act?

STRATEGIST	
DIRECTOR	
HIGH-LEVEL MANAGERS	
MIDDLE-LEVEL MANAGERS	
ARCHIVES COMMISSION	

1.2.2 Did you experience any strengths, weaknesses, opportunities and threats during the formulation of this Act? Please rate your answers as indicated.

RATINGS	0	1	2	3	4	5
STRENGTHS						
WEAKNESSES						
OPPORTUNITIES						
THREATS						

1.2.3 Additional information if any in this regard will be appreciated.

.....  
.....  
.....

2. STRATEGIC IMPLEMENTATION

2.1 Does your Directorate have a policy for the implementation of your strategies?

YES		NO		NOT SURE	
-----	--	----	--	----------	--

2.2 Did your Directorate experience any strategic strengths, weaknesses, opportunities and threats during the implementation process? Please rate your answers as indicated.

RATINGS	0	1	2	3	4	5
STRENGTHS						
WEAKNESSES						
OPPORTUNITIES						
THREATS						

2.3 Additional information if any in this regard will be appreciated.

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3. STRATEGIC EVALUATION AND CONTROL

3.1 Who is responsible for the evaluation and control of your strategies?

STRATEGIST	
DIRECTOR	
HIGH-LEVEL MANAGERS	
MIDDLE-LEVEL MANAGERS	
ARCHIVES COMMISSION	

3.2 How often does your evaluation take place?

1 YEAR	2 YEARS	5 YEARS	10 YEARS	
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3.3 Do you have feedback mechanisms in place to communicate the shortcomings?

YES	NO	
-----	----	--

3.3.1 If no, please indicate why

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**PART C: PUBLIC MANAGEMENT FUNCTIONS AND A STRATEGIC APPROACH IN RELATION TO NATIONAL ARCHIVES OF SOUTH AFRICA**

1. Policy-making processes

1.1 Identifying needs

1.1.1 In your own views what are the aims/objectives of NASA?

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1.1.2 In your own views list at least two main aims/objectives of NASA.

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1.1.3 Are NASA objectives embodied in the NASA Act?

YES	NO	NOT SURE
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1.1.3.1 If no, please indicate why

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1.1.4 Rate your knowledge and understanding of this Directorate's objectives.

POOR		AVERAGE		GOOD		EXCELLENT	
------	--	---------	--	------	--	-----------	--

1.1.5 Are these objectives relevant to the current needs of your clients?

YES		NO		NOT SURE	
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1.1.5.1 If no, please indicate why

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1.1.6 How are the needs of your clients identified?

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2. Organising

2.1 Determining Organisational Structure

2.1.1 Are your services centralised or decentralised?

CENTRALISED	DECENTRALISED
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2.1.2 Do you support the provincialisation of the archives service?

YES	NO	NOT SURE
-----	----	----------

2.1.2.1 If no, please indicate why

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2.1.3 How many provinces have successfully provincialised their archives service?

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2.1.4 What role is played by the NASA in shaping the Provincial Archives Services?

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2.1.5 Does provincialisation mean total autonomy of those provinces?

YES		NO		NOT SURE	
-----	--	----	--	----------	--

2.1.6 Does the Directorate have programmes for community participation at provincial level?

YES		NO		NOT SURE	
-----	--	----	--	----------	--

2.1.6.1 If no, please indicate why?

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2.1.7 How can community participation be improved?

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3. Planning

3.1 What proactive plan does your Directorate have in order to keep abreast in the future?

ONE YEAR PLAN	
TWO YEAR PLAN	
THREE YEAR PLAN	
FOUR YEAR PLAN	
FIVE AND ABOVE	

3.2 Does your Directorate engage in planning at:

STAFF LEVEL	
MANAGERIAL LEVEL	
ALL OF THE ABOVE	

3.3 Is your Directorate aware of the introduction of strategic management in the public service?

YES		NO		NOT SURE	
-----	--	----	--	----------	--

3.4 Did you experience any strengths, weaknesses, opportunities and threats during the introduction of the above-mentioned approach? Please rate your answers as indicated.

RATINGS	0	1	2	3	4	5
STRENGTHS						
WEAKNESSES						
OPPORTUNITIES						
THREATS						

3.5 Additional comments/recommendations on planning will be appreciated.

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4. Leadership and Motivation

4.1 Leading

4.1.1 How is leading and directing achieved in your Directorate?

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4.1.2 Do you agree with the following leadership styles?

LIASSEZ-FAIRE LEADERSHIP	YES		NO		NOT SURE	
AUTOCRATIC LEADERSHIP	YES		NO		NOT SURE	
BUREAUCRATIC LEADERSHIP	YES		NO		NOT SURE	
DEMOCRATIC LEADERSHIP	YES		NO		NOT SURE	
TEAM AND ONE-TO-ONE LEADERSHIP	YES		NO		NOT SURE	

4.1.3 Which one do you prefer and why?

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-----  
-----

4.1.4 Which style is used in your Directorate?

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4.2 Motivation

4.2.1 How does your Directorate motivate staff?

STAFF DEVELOPMENT PROGRAMMES	
INCENTIVES	
ALL OF THE ABOVE	

4.2.2 Additional information in this regard will be appreciated.

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5. Control and Evaluation

5.1 Control

5.1.1 Which body/committee lays down control measures and guidelines?

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5.1.2 List the main control measures that exist in your Directorate?

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5.1.3 Does your Directorate have performance standards?

YES		NO		NOT SURE	
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5.1.3.1 If no, please indicate why?

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5.1.4 Who is responsible for setting these standards?

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5.1.5 Are those standards revised?

YES		NO		NOT SURE	
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5.1.5.1 If no, please indicate why?

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6. Human Resource Management in the NASA

6.1 Does your Directorate have a Human Resource Management sub-section?

YES		NO	
-----	--	----	--

6.2 Does your Directorate implement Affirmative Action?

YES		NO		NOT SURE	
-----	--	----	--	----------	--

7. Financial Management

7.1 Is NASA funded by the Government?

YES		NO		NOT SURE	
-----	--	----	--	----------	--

7.2 Is there any source of income to NASA other than Government?

YES		NO	
-----	--	----	--

7.3 If yes, please name these sources.

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8. Information Management

8.1 Does your Directorate have a policy in place for information management?

YES		NO		NOT SURE	
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8.1.1 If no, when are you going to formulate one?

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-----

8.2 Does NASA have a section responsible for information management?

YES		NO	
-----	--	----	--

8.3 If yes, what are the functions of that section?

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8.4 Is the information housed in your directorate computerised?

YES		NO		NOT SURE	
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8.5 Do you have electronic mail in your Directorate?

YES		NO	
-----	--	----	--

8.6 Do you have the internet in your Directorate?

YES		NO	
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8.7 What type of information is accessible to everyone?

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8.8 What type of information is restricted?

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8.9 What should be done by researchers in order to consult restricted documents?

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8.10 Do you have procedures regarding the use of archives by researchers?

YES		NO		NOT SURE	
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8.11 If yes, is the public aware of those procedures?

YES		NO		NOT SURE	
-----	--	----	--	----------	--