

SALGA NORTHERN CAPE's Presentation

**Provincial CFO Forum
14th June 2018
Upington – Naba Lodge**

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- Disposal of records,
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PURPOSE

- The purpose of this presentation is to apprise the Provincial CFO Forum on the state of records within our Province – based on municipal visits conducted,
- Request buy-in from Accounting Officers / CFO's in order for File – Plans and relevant registry policies to be implemented and adopted by the respective Municipal Councils where SALGA has assisted,
- Request for the recommendations of the Provincial Archivist (DSAC) with regard to inspections conducted to be implemented without delay,
- To ensure that in terms of talent acquisition, professional, experienced and skilled persons are recruited in order to strengthen compliance and support the function adequately,

Legislative requirements for record keeping

The Constitution, 1996

- Section 195 of the **Constitution** provides amongst others for the:
- effective, economical and efficient use of resources;
- provision of timely, accessible and accurate information; and requires that the public administration must be accountable,
- **The National Archives and Records Service of South Africa Act (Act No 43 of 1996 as amended)**
- Section 13 of the Act contains specific provisions for efficient records management in governmental bodies.

It provides for the National Archivist -

- to determine which recordkeeping systems should be used by governmental bodies; to authorize the disposal of public records or their transfer into archival custody;

Legislative requirements for record keeping

- And to determine the conditions - according to which records may be microfilmed or electronically reproduced; according to which electronic records systems should be managed.
- **The National Archives and Records Service of South Africa Regulations (R158 of 20 Nov. 2002) Part V:**
- Management of Records contains the specific parameters within which the governmental bodies should operate regarding the management of their records.
- **The Public Finance Management Act (Act No 1 of 1999)**
- The purpose of the Act is to regulate financial management in the public service and to prevent corruption, by ensuring that all governmental bodies manage their financial and other resources properly.

Legislative requirements for record keeping

The Promotion of Access to Information Act (Act No 2 of 2000)

- The purpose of the Act is to promote transparency, accountability and effective governance by empowering and educating the public
- 1. to understand and exercise their rights;
- 2. to understand the functions and operation of public bodies: and
- 3. to effectively scrutinize, and participate in, decision-making by public bodies that affects their rights.

Municipal finance management Act, Act 56 of 2003,

- The purpose of this piece of legislation is to ensure that there is sound and sustainable financial management of resources within municipalities,

Legislative requirements for record keeping

The Promotion of Administrative Justice Act (Act No 3 of 2000)

- The purpose of the Act is to ensure that administrative action is lawful, reasonable and fair and properly documented.

The Electronic Communications and Transactions Act (Act No 25 of 2002)

- The purpose of the Act is to legalize electronic communications and transactions.
- Efficient records management practices are imperative if a body wants to give effect to the provisions of these Acts.

Records Management

What is a record

- ✓ Recorded information regardless of form or medium,
- ✓ Evidence of a transaction, preserved for the evidential information it contains (National Archives and Records Services of South Africa, (Act No. 43 of 1996),
- Sound records management is fundamental for good governance, effective and efficient administration.
- It forms the basis for formulating policy, managing resources, and delivering services to the public.
- Records management also provides a basis for accountability and protecting the rights of individuals.

OUR APPROACH

- SALGA Northern Cape has a dynamic approach when it comes to ensuring sound record keeping in member municipalities,
- Based on the prevalent challenges within registry, our approach has always been to ensure that our 31 member municipalities receives good and relevant hands support in areas where needed,
- Our approach is to be hands-on and responsive to ensure our members receive VFM (value for money), over and above the implement the SALGA APP (Annual Performance Plan),
- We aligned ourselves with other departments such as the Provincial Archives (Sports Arts & Culture) and COGHSTA,

CHALLENGES EXPERIENCED BY REGISTRIES / RECORDS: SOME MUNICIPALITIES IN THE NC

- Amongst others;
 - No senior management buy in,
 - Lack of space,
 - Decentralised registries,
 - Improper use of file plans,
 - Out-dated file plans,
 - Lack of trained registry staff,
 - Funding,
 - Lack of proper records policies,
 - Lack of adequate internal controls,
 - Large historical backlogs,
 - No proper risk management – No Disaster recovery management plans in place,
 - Off site storage areas need attention as these house most A20 (historical documentation) that need to be salvaged
 - Security Risks

RULE ON DISPOSAL & JOINT RESPONSIBILITIES

Section 13(2)(a) of the National Archives and Records Service Act, 1996

- No public record under the control of a governmental body shall be transferred to an archives repository, destroyed, erased or otherwise disposed of without written authorization of the National Archivist.
- A Penalty is attached to anyone who willfully destroys a public record without permission, a maximum of 2 years imprisonment and a fine,
- SALGA Northern Cape adheres to this rule at all times and has not given any member municipality permission to dispose without following due processes,

According to Section 4 of the Records Policy all

- HOD / Senior managers
- Staff
- All have a joint responsibility in the up keep and maintenance of the registry / records.

History of Providing Municipal Hands on Support:



DATE	MUNICIPALITY
15 th August 2016	Magareng & Phokwane Local Municipalities
17 th August 2016	Kgatelopele Local Municipality
22-23 rd August 2016	Richtersveld Local Municipality
24 th August 2016	Kamiesberg Local Municipality
2 nd September 2016	Thembelihle Local Municipality
4 th October 2016	Umsobomvu Local Municipality
25 th October 2016	Dikgatlong Local Municipality
4 th November 2016	Renosterberg Local Municipality
30 th January 2017	John Taolo Gaetsewe District Municipality
31 st January 2017	Ga-segonyana Local Municipality
1 st February 2017	Tsantsabane Local Municipality
9-10 th / 22-26 th May 2017	Ubuntu Local Municipality
27-30 th June 2017	Emthanjeni Local Municipality

4. MUNICIPAL SUPPORT VISITS

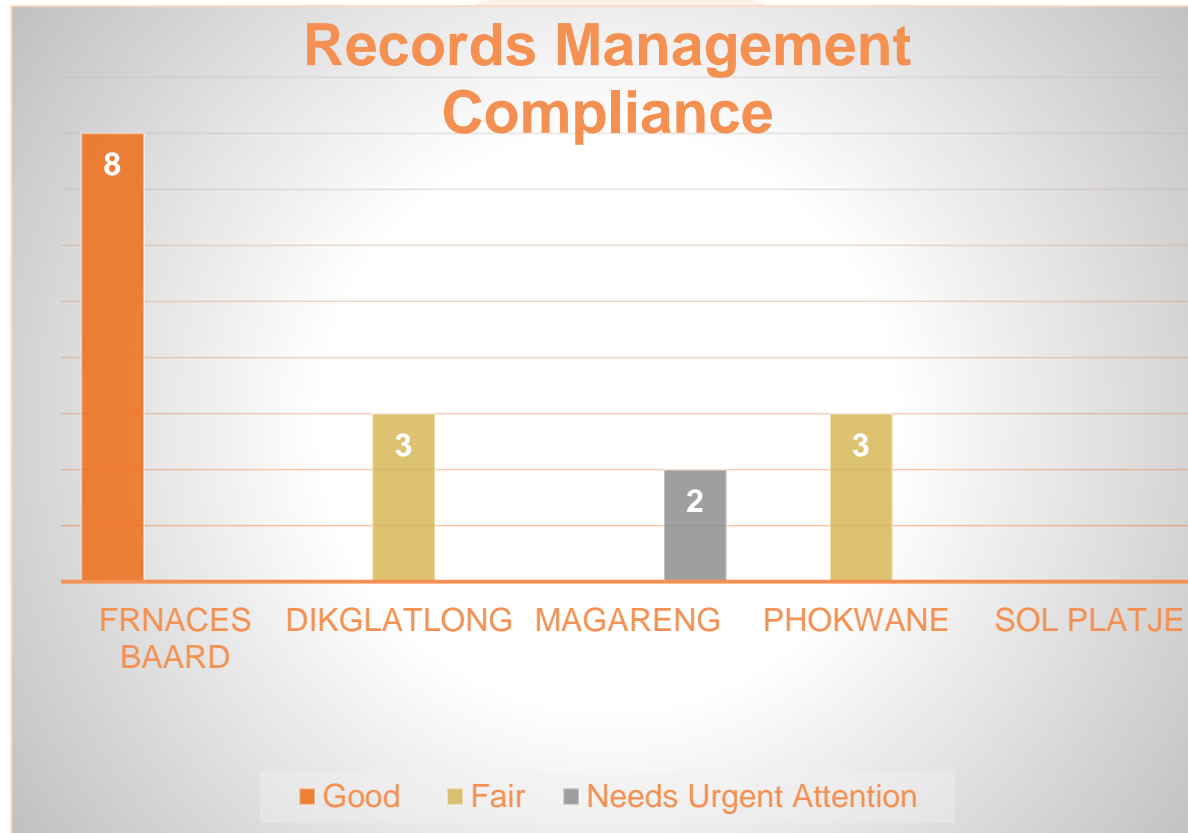
DATE	MUNICIPALITY
06 th – 07 th Dec 2017	Siyathemba Local Municipality
26 th February 2018	Hantam Local Municipality
27 th February 2018	Karoo Hoogland Local Municipality

SALGA NC Approach: on Providing Municipal Hands-on-Support

We start out by Checking for Compliance:

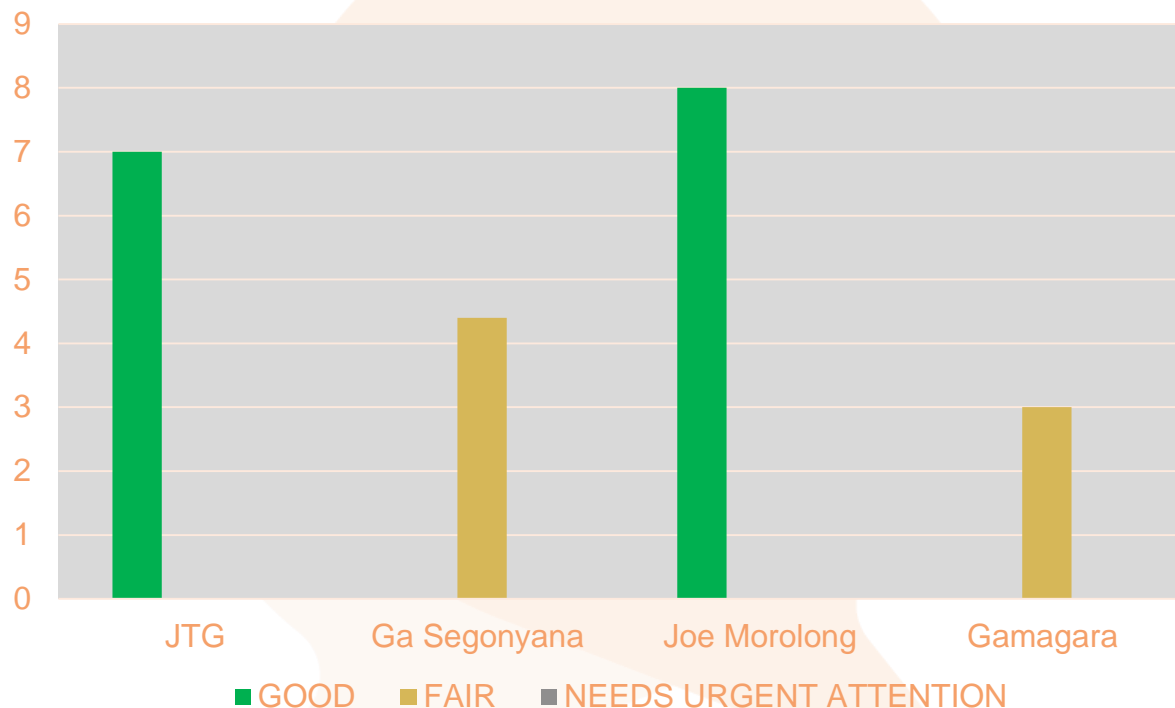
- On our Support visits SALGA Northern Cape commences with a thorough Records Office Assessment,
- A Checklist and Questionnaire is used for this purpose followed by Office to office and Off-Site Inspections,
- The File plan receives attention as we focus on additions, amendments and translations from Afrikaans to English,
- The Records Policies are reviewed and customised with the municipal watermark and logo,
- A Report is drawn up and an action sheet is prepared for the consideration of the Accounting Officer and ultimately Council for adoption,
- Referrals are rendered on Appraisals and transfers to the Provincial Archivist,
- SALGA NC also does Clean-up where necessary,
- We look for solutions to problems faced,

Status of Records Management – Per District based on Compliance assessment conducted: Frances Baard District



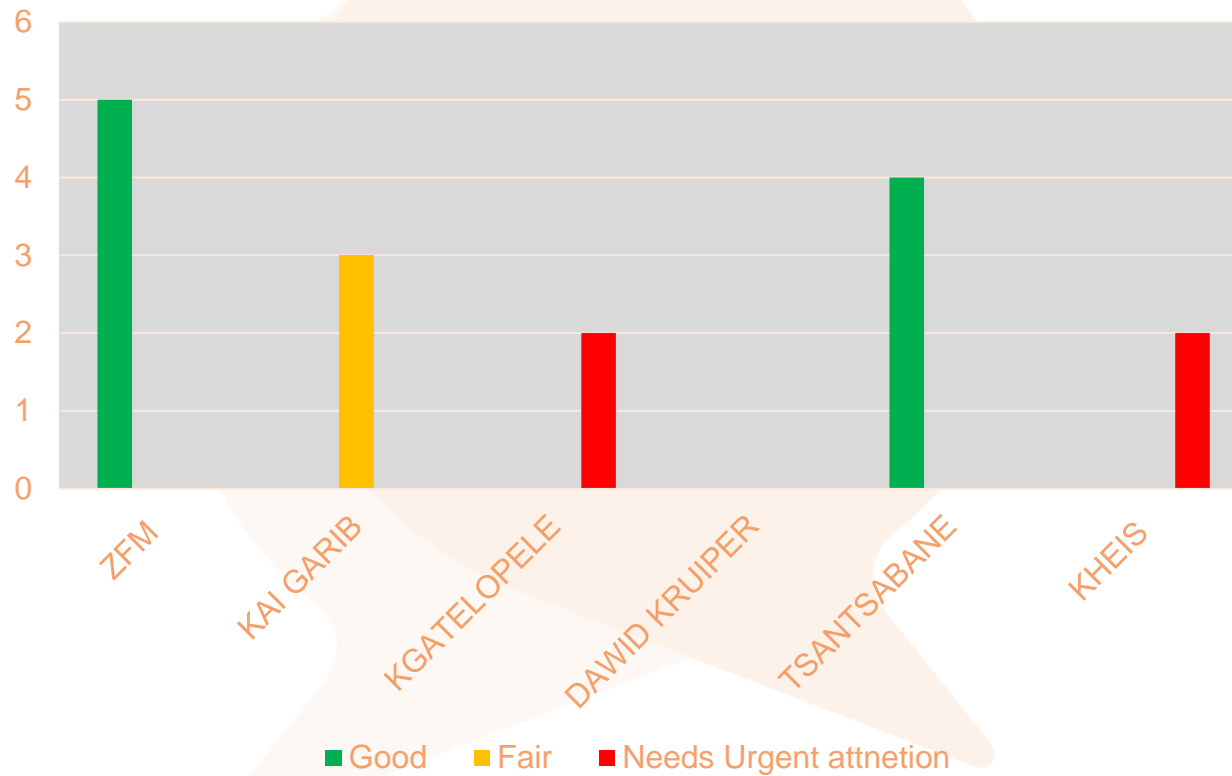
Status of Records Management – Per District based on Assessment conducted: John Taolo Gaetsewe District

Records Management Compliance



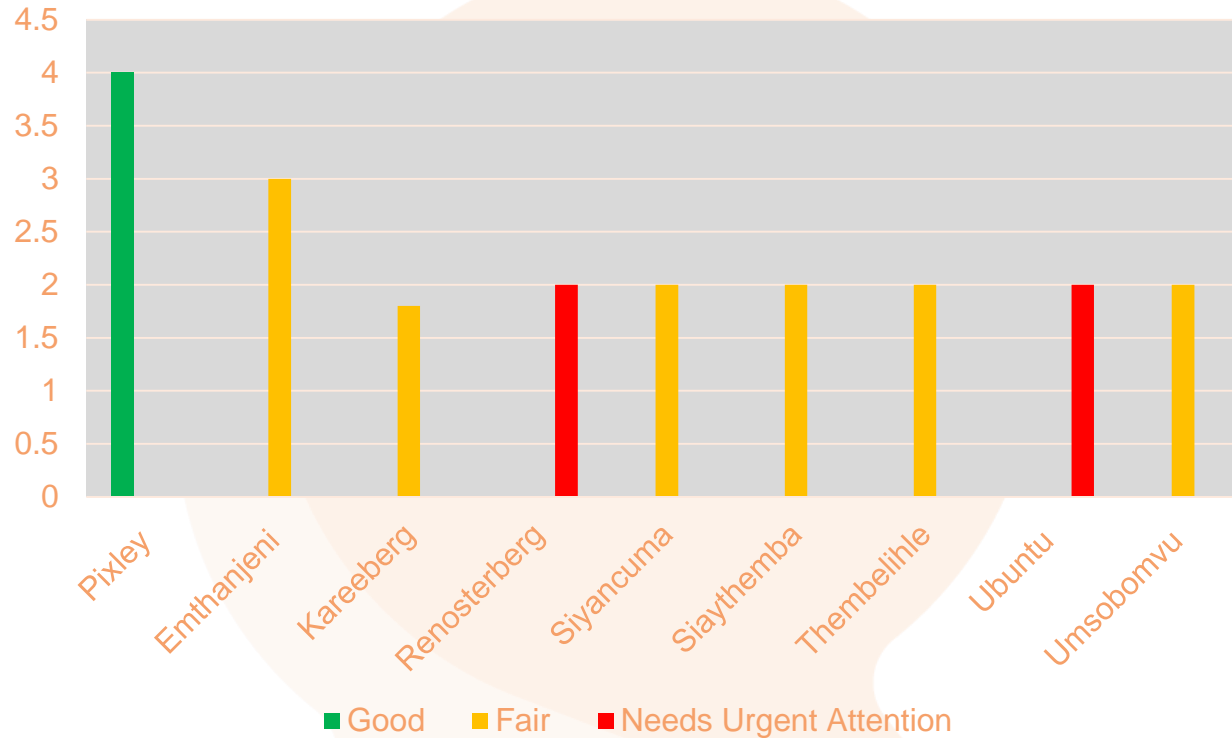
Status of Records Management – Per District based on Assessment conducted: ZF - MGCAWU

Records Management Compliance



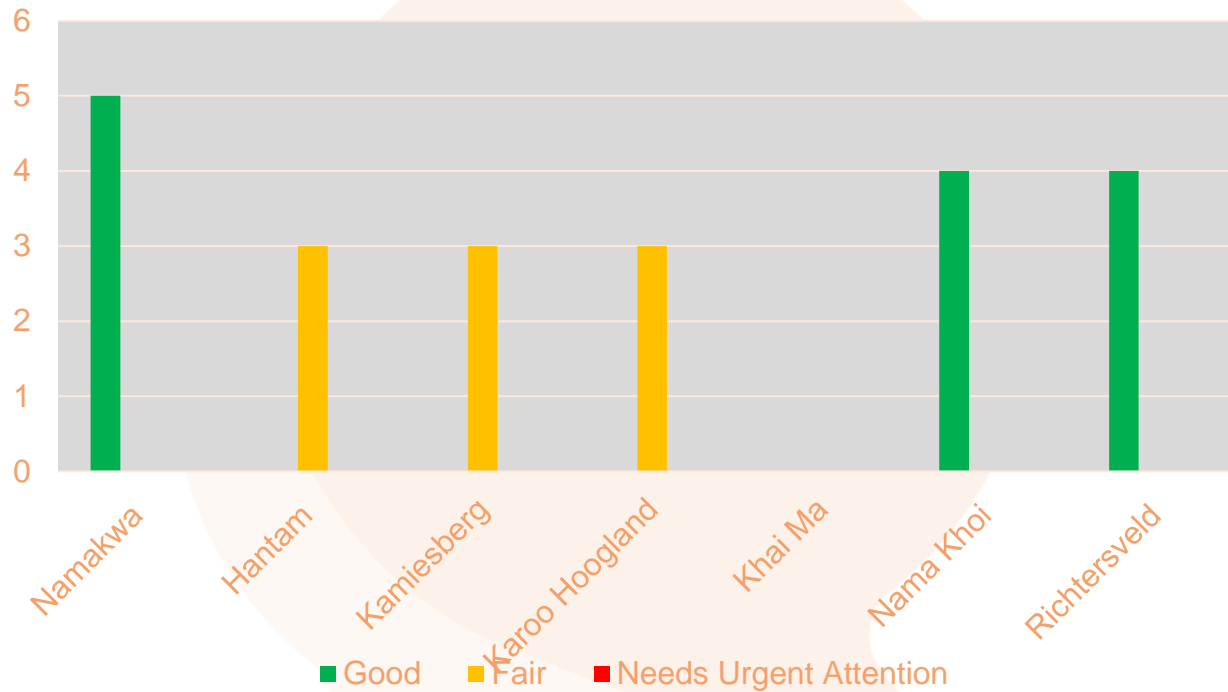
Status of Records Management – Per District based on Assessment conducted: PIXLEY KA SEME

Records Management Compliance



Status of Records Management – Per District based on Assessment conducted: NAMAKWA DM

Records Management Compliance



COORDINATE AND STEER CLEAN UPS

- A Potential Storage area underneath the stage at the Town Hall
- This Area is currently used as a dumping site



CLEARING AND SORTING



5. CLEAN-UPS

- Clearing out and Sorting underway



Clean up

- One Side Of The Area Cleared Out
- SALGA Northern Cape Giving Hands on Assistance



Importance of records management systems in SCM



Examples of SCM records

Acquisition process		Contract process	Logistics process
Quotation process	Tender process		
✓ Requisitions	○ Tender request form	- Contract documentation	- Bin Cards
✓ - Price quotations	○ Deviation request	- Service Level Agreements	- Inventory register
✓ - Purchase orders	○ Tender register	- Maintenance agreements	- Delivery notes
✓ - Purchase order register(ERP)	○ Deviation register	- Memorandum of Agreements	- Invoices
✓ - Invoices	○ Tender packs for TC members	- Contract register	- Stock take documentation
	○ Tender documents		
	• Minutes (BEC and TC)		
	○ Tender files		

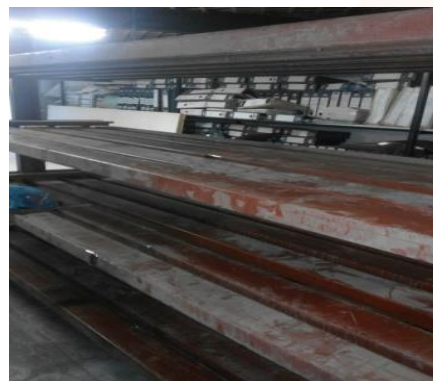
Current state of affairs in some municipalities



Desired / anticipated records



STEEL SHELVING



SUCCESSFUL CLEAN UP

- **BEFORE AND AFTER PICTURES**



RECOMMENDATIONS

It is recommended as follows to the CFO

Forum:

- There is a need to professionalize the discipline (Records Management) through the UNISA Programmes and other Institutions of Higher Learning,
- Common sense approach to be discouraged,
- Management buy-in, in understanding the importance of Records Management to be facilitated by SALGA,
- Appointment of competent Records Management Practitioners / continual capacity building of the current personnel,
- Establishment of the Records Management Forum

QUESTIONS AND ANSWERS

