



**PRESERVATION OF PUBLIC RECORDS AND ARCHIVES IN  
SWAZILAND GOVERNMENT MINISTRIES AND THE DEPARTMENT  
OF SWAZILAND NATIONAL ARCHIVES (SNA)**

By

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# **ABSTRACT**

The study investigates preservation of public records and archives in Swaziland Government Ministries and the Department of Swaziland National Archives. The proper preservation of public records ensures continued access to a nation's documentary heritage. If public records are not properly preserved, efficiency in government is compromised. This results to poor-decision making, increased fraudulent behaviour and unguided development of operational policies.

Failure to implement proper records preservation initiatives in Swaziland government ministries headquarters has resulted in many valuable public records not finding their way to the Department of Swaziland National Archives (SNA).

The main aim of the study is to investigate records preservation practices in the Swaziland Government Ministries and the SNA, in order to develop a records preservation framework. An integrated records management approach which utilises both the Records Life Cycle and the Records Continuum Models was used to underpin the study in the theoretical framework. The study used a mixed method approach of both qualitative and quantitative to complement each other and to obtain in-depth analysis. Methodological triangulation was used to approach the study in different ways. A response rate of 67.8% was achieved for questionnaire 1 and a response rate of 100% was achieved for questionnaire 2 and the interviews. The results of the questionnaires and observation schedule were analysed, using the Statistical Package for the Social Sciences (SPSS) and data collected using the interview schedules was analysed qualitatively.

The finding of the results reflect that the government ministries are putting a remarkable effort into the preservation of public records. However, the absence of legislation that caters for the proper management of records throughout their life cycle, as well as considering issues pertaining to the management and preservation of electronic records, has been a major challenge.

The different records preservation challenges that government ministries faced included:

- The absence of policies relating to the management and preservation of records, insufficient budget allocated to support records preservation activities,

- Inadequate records preservation training for most officers working in government ministries and
- Uncontrolled access to records storage areas.

The study's conclusions includes that government should make all staff responsible for the management of public records aware of the available procedures and policies that govern the management and care of records.

## **DEDICATION**

This work is dedicated to my Lord and Saviour, Jesus Christ, who has given me the grace and strength to work each day. To my family and friends who have always been supportive, to my wife and children who have been patient with me throughout my study period, may God bless you all.

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## **List of acronyms and abbreviations**

ACARM	-	Association of Commonwealth Archivists and Records Managers
CCA	-	Canadian Council of Archives
CCTV	-	Closed Circuit Television
DIGAR	-	Digital Archive of Library of Estonia
DPCH	-	Digital Preservation of Cultural Heritage
ESARBICA	-	Eastern and Southern Africa Regional Branch of the International Council on Archives
FPS	-	Fire Protection System
HVAC	-	Heating Ventilation and Air-Conditioning
ICA	-	International Council on Archives
ICCROM	-	International Centre for the Study of the Preservation and Restoration of Cultural Property
ICT	-	Information, Communication Technologies
ICT4AD	-	Information and Communications Technology for Accelerated Development
IDM	-	Institute of Development Management
Inter-PARES	-	International Research on Permanent Authentic Records in Electronic Systems
IPM	-	Integrated Pest Management
IRMT	-	International Records Management Trust
ISO	-	International Organisation for Standardization
JCR	-	Journal Citation Report
MCM	-	Municipal Council of Mbabane
MoICT	-	Ministry of Information, Communications and Technology

NAE	-	National Archives of Estonia
NARA	-	National Archives and Records Administration
NARS	-	National Archives and Records Service of South Africa
NAUK	-	National Archives of the United Kingdom
NEDCC	-	North East Document Conservation Center
NISO	-	National Information Standards Organisation
NLE	-	National Library of Estonia
NLW	-	National Library of Wales
NRMP	-	National Records Management Policy
OCLC	-	Online Computer Library Center
PDF	-	Portable Document Format
PREMIS	-	Preservation Metadata Implementation Strategies
PVC	-	Polyvinyl chloride
RH	-	Relative Humidity
RWM	-	Radioactive Waste Management
SITA	-	State Information Technology Agency
SNA	-	Swaziland National Archives
SPSS	-	Statistical Package for the Social Sciences
STVA	-	Swaziland Television Authority
TIFF	-	Tagged Image File Format
UK	-	United Kingdom
UKZN	-	University of KwaZulu-Natal
UNESCO	-	United Nations Educational, Scientific and Cultural Organisation
USA	-	United States of America

UV	-	Ultraviolet
VERS	-	Victorian Electronic Records Strategy

# **Chapter 1: Introduction to the study**

## **1.0 Introduction**

Preservation has always been an area of principal focus in the archives and records management sectors globally, particularly in the Eastern and Southern Africa Regional Branch of the International Council on Archives (ESARBICA). According to Blunt (1995:7), access and preservation of government records should be accorded ultimate attention, since “government is the largest producer and user of information”. There is a symbiotic relationship between access and preservation (Garaba 2010:119). The dependent relationship between access and preservation is confirmed by Mnjama (2008:63), who emphasizes that “access to archives can never be guaranteed unless proper measures have been put in place to safeguard their preservation”.

In view of the above statement, it is apparent that if public records are not properly preserved, a great proportion of a nation’s documentary heritage could be lost, thus hindering efficiency in government, which includes poor-decision making, increased fraudulent behaviour and the unguided development of operational policies. Records play a critical role in facilitating the activities of organisations and individuals. Their preservation ensures their continued existence as evidence of occurrence of those activities (Abioye 2013:16).

The inability of registries and archival institutions in Africa to effectively execute their records management responsibilities has been haunting the development of public sector records management programmes for a long time (Kemoni 2007:70). Abioye (2013:16) states that there was no systematic record-keeping in Nigeria, until the introduction of European colonial rule (Europeans). The Europeans sent several messages , including the 1914 dispatch, which sought to get clarity on the custody and preservation of the older records of the colonial administration (Abioye 2013:16).

In Uganda, the establishment of public archives infrastructure was non-existent until 1955, when the colonial government created the post of Archivist. This post was later abolished, however, in 1956 and efforts to reinstate it were later made after attainment of independence in 1962 (Luyombya and Sennabulya 2013: 67).

In considering the poor public records preservation practices in Southern Africa, Swaziland is not an exception. According to Tsabedze (2012:69), the storage of public records in some

government ministries and departments in Swaziland shows a very bleak future to the existence of reliable and authentic archives. Records, by their very nature, are susceptible to deterioration as a result of their exposure to varying environmental conditions, poor handling, natural and man-made disasters, inadequate training of personnel, given the responsibility of caring for records, as well as the absence of record preservation policies that clearly delineate organisational record preservation requirements and strategies. According to Ngulube (2003:335), it is imperative that factors such as adequate funding, proper environmental monitoring and control in storage areas, compliance with standards for records preservation and access, capacity building, research and development and preservation planning, be given consideration in order to overcome the challenges of poor preservation.

In many countries, the responsibility for the management and preservation of records rests upon the national archival institutions (Ngoepe 2014:2). Ngoepe (2014:2) stated that after the attainment of independence, most Sub-Saharan countries “have faced collapsed records keeping systems”. This implies that the colonial masters had better controls where documents and records management are concerned. Ngoepe (2014:2) emphasized that governmental bodies in Africa should consider organisational records management requirements, prior to applying records management principles.

In order to understand the situation regarding preservation of records and archives in the Swaziland government, this study investigates records preservation practices in the government ministries and the Department of Swaziland National Archives (SNA).

## **1.1 The research problem**

This section deals with the background of the study, the statement of the problem and the rationale of the study.

### **1.1.1 Background to and outline of the problem**

Studies carried out in the Western world, particularly the United States of America (USA) in 1985, Canada during 1986-1987 and the United Kingdom (UK) reflect that there was a “preservation crisis” in most of the state archives (Ngulube 2003:144). These studies showed similar problems and trends in the challenges faced by governments in preserving public records. Some of the challenges that resulted in the preservation crisis were the following:

- Limited trained preservation staff

- Low budget
- Shortage of storage space
- Poor environmental monitoring practices
- Absence of disaster management plans (Ngulube 2003:144).

Kemoni (2007:70) points out that Western countries, such as those in Europe, North America and Australia, have made a major leap in terms of development in the records management sector. When compared with African countries, Western countries have made remarkable strides, with Australia playing the leading role.

The inability of registries and archival institutions to effectively execute their records management responsibilities has been haunting the development of public sector records management programmes for a long time (Kemoni 2007:70). This scenario reflects a wide divide in terms of records preservation between Western countries and Africa. Ngulube (2003:21) reasoned that Africa should have her own strategies of implementing records preservation programmes that are suitable for the African environment. Records management programmes have been ineffective in South Africa, due to a number of factors, which include the lack of an integrated strategy to ensure compliance with archival legislation and support for decision-making in the public sector (Ngoepe 2014:1).

Preservation needs cannot be universalized and every institution has its own preservation needs relative to the condition of the collections, as well as the geographical location and environment where the records and archives are kept (Ngulube 2003:21).

Ngoepe (2014:3) believes that one of the factors that culminate in the poor implementation of proper records management programmes is the absence of relevant records management models, hence the need to customize the models to meet the needs and records management requirements of governmental bodies. According to the Nelson Mandela Foundation, National Archives and Records Service and University of Witwatersrand (2007:1), it is important to design records management programmes that support organisational strategic objectives and add value to the development of the organisation.

It is a general norm in the ESARBICA member states to give records management and access to information priority over preservation. This practice is contrary to the recommendation of

the international records management standard (ISO 15489-1) and other records and archives management programme development models, which state that the preservation of records should be integrated in the overall policies of archival organisations (Ramokate 2006:84).

In the government of Swaziland, failure to implement proper records management practices has resulted in compromised public accountability (Tsabedze, Mutula and Jacobs 2012:48). However this scenario is changing since the SNA has assumed responsibility for the management of records in government registries. The SNA is mandated with ensuring the proper management and care of public records in all government ministries and departments throughout their life cycle. Records with enduring value are transferred to the SNA for long-term preservation.

The SNA is a department under the Ministry of Information, Communications and Technology (MoICT). The operations of the department are governed and guided by the Archives Act No. 5 of 1971, which is currently under review through the National Archives and Records Bill of 2014.

In the past, the SNA have been an end player in the management of records, serving only as a recipient of inactive records. However, recent developments in the Swaziland government have moved the information portfolio to the Ministry of Information Communications and Technology (MoICT) from the Ministry of Public Service, resulting in all the Government Registries falling under the Swaziland National Archives (SNA 2013:5). Having assumed its rightful responsibility, the SNA has embarked on a number of reform programmes aimed at improving the records and archives management practices in government ministries and the SNA (anecdotal).

### **1.1.2 Statement of the problem**

Challenges of low budget, poor storage, poor handling, lack of skills, loss of valuable records and failure to transfer records to the SNA after their retention periods have elapsed have continued to be a threat to the usable life of valuable public records (SNA 2008:12). In the Swaziland government, semi-current records (records more than 10 years after their creation) are supposed to be transferred to the records centre, which is located at the SNA. It can be concluded that the timeous transfer of semi-current records to the National Archives after their retention periods have elapsed, may reduce the risk of losing valuable records. Records



may be lost through theft and deterioration as a result of poor storage in government ministries' registries.

The non-compliance with existing records management policies and procedures has resulted in the ineffectiveness of records management programmes in Swaziland government ministries and departments. Failure to implement proper records preservation initiatives in the headquarters of Swaziland government ministries has resulted in many invaluable public records not finding their way to the National Archives as the Swazi nation's documentary heritage and if they do, their lifespan is normally short (Tsabedze 2012:69; SNA 2008:12).

Given the above, the problem which the study sought to address is the loss and deterioration of valuable public records and archives in the headquarters of Swaziland government ministries, including the SNA. This was as a result of poor records and archives preservation practices.

### **1.1.3 Rationale for the study**

Government is the largest records generating entity in many African states (Blunt 1995:7). This is the case with the government of Swaziland. However, most of the records produced by the Swaziland government ministries normally reach the SNA in a bad state (Tsabedze 2012:73). The above scenario necessitated this research, to establish how records preservation procedures are implemented at the various Swaziland government ministries, as well as in the Department of SNA.

The researcher gave particular attention to investigating environmental monitoring strategies, records storage areas, security of records, legal and regulatory frameworks, electronic records preservation, existence of disaster management strategies, conservation practices and their effects on records. Since this was an applied study, it was expected to reveal preservation challenges faced by the different government ministries and identify information that is required to ensure the proper application of records and archives preservation strategies, from their active stage in the various Swaziland government ministries to their ultimate disposition for permanent preservation at the SNA.

Findings from this study should help to inform records and archives management professionals in the Swaziland government, including other information management sectors, on the different records preservation difficulties. The findings should suggest sustainable

preservation strategies that will help ensure continued access to valuable organisational records and archives.

This study built on a study that was carried out by Tsabedze in 2010, entitled “The management of records in government ministries in Swaziland”. Tsabedze (2010:8) focussed on “how records are generated, used and disposed of, in Swaziland Government Ministries”. Notwithstanding what was covered by Tsabedze (2010), this study looked into a detailed analysis of preservation issues required to ensure the proper preservation of records from different dimensions of the records life cycle and records continuum models - aspects which were not covered in Tsabedze’s study.

## **1.2 The study**

This section of the study outlines the aim of the study, research questions, the definitions of important terms and concepts, the theoretical framework, delimitations of the study and the structure of the study, including a summary of the chapter.

### **1.2.1 Aim of the study**

The aim of the study was to investigate records preservation practices in Swaziland government ministries and the SNA, in order to develop a records preservation framework.

### **1.2.2 Research questions**

From the rationale and the research problem above, the following research questions were posed:

- What is the policy and legislative framework pertaining to records and archives preservation in Swaziland government ministries and the SNA?
- What are the current procedures, regulations and plans pertaining to the care and preservation of records and archives in Swaziland government ministries and the SNA?
- What knowledge and skills do the staff responsible for the preservation of records and archives in Swaziland government ministries and the SNA possess?
- Are there purpose-built structures for the storage of records and archives in Swaziland government ministries and the SNA?
- What is the current situation pertaining to the care of records and archives in government ministries and the SNA?

### 1.2.3 Definitions of the important terms relevant to the study

**Preservation:** The ISO 15489 -1 (2001:2) defines preservation as the “the processes and operations involved in ensuring the technical and intellectual survival of authentic records through time”.

**Preservation programme:** A preservation programme, as defined by the North East Document Conservation Centre (NEDCC) (2006: Building a preservation...), is a systematic approach to meeting the preservation requirements of materials in an archival institution, through the integrated application of preservation activities that together meet the organisational preservation goals. The approaches that archival institutions may use vary according to the range of the collections in their custody.

**Conservation:** Conservation is the physical and chemical stabilization or treatment of damaged items. It can also refer to the profession devoted to the preservation of cultural property for longevity and continued access (NEDCC 2006: Preservation 101). Millar and Roper (2009:11) define conservation as “the intrusive protection of archival material, by the minimal physical and chemical treatments necessary to resist further deterioration, which will not adversely affect the integrity of the original”.

In the context of this study these definitions of conservation will be used interchangeably, relative to the concept being discussed.

**Record:** The ISO 15489 (1) (2001:2) defines a record as “information created, received and maintained as evidence and information by an organisation or a person in pursuance of legal obligation or in the transaction of business”, irrespective of media or format.

**Archives:** According to the International Records Management Trust (IRMT) (1999:7): “records or archives are usually but not necessarily non-current records, of enduring value selected for permanent preservation. Archival records are normally stored in an archival repository that is managed by an archival institution”.

### 1.2.4 Theoretical framework and methods

Theories and models play a very important role in research since, they help the researcher to explain phenomena and draw new conclusions that will facilitate the development of new theories (Howell 2013:2). Models are a vital tool for explaining theories by analysing and

predicting the outcomes of a situation in order to depict a simplified representation of the real situation (Kemoni 2007:58).

According to Kemoni (2007:59), the records and archives management fraternity has developed numerous records management models, such as:

- The Records Life Cycle Model
- The Records Continuum Model
- The ICA Electronic Records Management Model
- The National Archives of Australia Records Management Model
- The National Archives and Records Service of South Africa Model
- The Public Record Office Model
- The Victorian Electronic Records Strategy Model (VERS)
- The University of Pittsburgh Electronic Records Management Model
- The Italian Model for Records Management

Two of the models that this study adopted are the Records Life Cycle Model, which was invented by Theodore Schellenberg, in 1934 ( Ngoepe 2008:34) and the Records Continuum Model, which was developed and adopted in Australia by Frank Upward (McKemish 1998:3). An integrated records management approach merges the two theories to complement each other.

In order to clarify and place the theories into perspective, the concepts of records preservation, conservation and electronic records preservation were used throughout the study. According to Nsibirwa (2012:35), concepts are building blocks of theory. Clarification of concepts and a literature review helps others to better understand the various elements that have a bearing on the research and further “place the research report in the context of the body of scientific enquiry pertaining to that particular field” (Babbie and Mouton 2001:565).

In the present study, the researcher sought to clarify issues relating to the preservation of public records and archives through the implementation of a comprehensive preservation programme, throughout the records management life cycle. The Records Life Cycle Model makes an analogy of recorded information to the life of a biological organism (Tsabedze 2012:13). It states that a record is “born (creation phase), lives (maintenance and use phase) and dies (disposal phase)” (Tsabedze 2012:13). By its very nature, the theory of the records

life cycle provides a framework for the operation of a records management programme. The Records Life Cycle model was utilized in this study in order to depict and reflect the preservation of all records its entirety. The model was not only used for physical records at specific stages but, also the authenticity of the records was considered during the progression of actions taken at different times of the life of the records (Kemoni 2007:64).

For purposes of ensuring the completeness of this study, the Records Continuum Model was also discussed and investigated to determine how it influences the long-term preservation of records. The Records Continuum Model, as described by McKemmish (1997: The records continuum...), is a seamless and dynamic records management strategy that comprehensively considers all dimensions of the activity of a record, irrespective of time. McKemmish (2001:336) and Pearce-Moses (2005: Records continuum...) state that the Records Continuum Model renders records as fixed in content and structure from their creation. In addition records transcend time and space as they are used by different people in different dispensations and spaces.

In the present study the Records Continuum Model played a critical role in relating the link between records in their active and semi-active stages and their life as non-active records in the archives. This further exposed the impact records preservation has on ensuring the completeness of a particular group of records. In discussing concepts and identifying record-keeping strategies, the study also considered the ISO 15489 (1) and (2) international records management standards, which provide international best practice guidelines and strategies for implementing records management programmes. The theoretical framework will be discussed in detail in Chapter 2.

#### **1.2.4.1 Research methodology and methods**

Research methodology and methods, as stated by Behling (1983:44), is the authority base of the present research. It is a specific set of procedures that direct the researcher in the administration of the project. Research methodologies revolve around qualitative and quantitative approaches (Neuman 2003:542). This study used a mixed method approach of both qualitative and quantitative methods, to complement each other and to obtain in-depth analysis. A literature review will also be done in order to give an insight into what is already known in relation to the research subject and help with interpreting the results (Nsibirwa 2007:48).

The focus of this study was on 21 government ministries' headquarters and the SNA. In this study the total population was 89 members of staff, including senior officers from the SNA. A purposive sampling technique, which focused mainly on the people who deal with the management and care of records in the various government ministries and the SNA, was adopted.

Self-administered questionnaires were distributed to officers working with records in the government ministries and two to officers dealing with records management from the SNA. A semi-structured interview schedule was used to collect data from the Director of the National Archives, the Principal Archivist and the Senior Archivist, in order to acquire in-depth information about the preservation of records and archives in the various government ministries and departments, as well as in the SNA. An observation checklist was used to gather information relating to the storage conditions of records in the various government ministries and the SNA.

SPSS was used to organise, analyse and present quantitative data from the closed questions in the self-administered questionnaires, interviews and observation schedule. Processes such as thematic content analysis were undertaken in the extraction of themes and identification of patterns in the qualitative data mainly extracted from the interviews and open questions in the questionnaires. After collecting the data using the various instruments, the data was organised and examined to identify missing data and errors. The data was then coded and cleaned to rectify errors from incorrect coding, in preparation for analysis (Nsibirwa 2007:30). The study complied with the University of KwaZulu-Natal research ethics policy requirements (UKZN, 2011: Human and Social Science ethics). A detailed description of the research methodology and methods will be discussed in Chapter 3.

### **1.2.5 Delimitations of the study**

The study was focused on the preservation of public records and archives in the headquarters of the 21 Swaziland government ministries and the SNA. In this study, the main focus was on the preservation of paper-based records. The study was confined to ministerial headquarters offices in Mbabane and the SNA in Lobamba, because of time limitations. It did not cover departmental and regional offices scattered throughout the four regions of the country. Similar to Kemoni's (2007:37) study on "Records management practices and public service delivery in Kenya", the study expected that the findings should also have a positive impact on the regional government offices (Kemoni 2007:37).

The population of the study was restricted to the people who deal with the management and care of records in the various government ministries' headquarters (personal secretaries, Human Resource staff and Registry staff) and the SNA (Director, Senior Archivist and Assistant Records Manager).

### **1.2.6 Structure of the study**

The study is divided into six chapters.

**Chapter 1:** The introductory chapter outlined the research problem, the aim of the study, the rationale of the study, the research questions, definition of key terms and concepts, theoretical and conceptual framework, which intended to shed more light on the terms, theories and concepts investigated, the scope and delimitations of the study, as well as methods used in approaching the study.

**Chapters 2:** Discusses the literature review in order to shed light on what was done in the past in the area of records preservation, the relevant significant points in the literature reviewed were used to interpret the results and theoretical framework (Nsibirwa 2007:48).

**Chapter 3:** Discusses the research methodology used, which includes the research design and the data collection techniques and procedures.

**Chapter 4:** Presents and analyses the research results.

**Chapter 5:** Interprets and discusses the results.

**Chapter 6:** Provides the conclusions, makes recommendations and suggestions for further study.

Appendices follow the list of the works cited.

### **1.2.7 Summary**

Chapter 1 introduced the study and provided the background to the study. The study problem and the rationale of the study were presented. The aim of the study was defined and the research questions were outlined. Key terms and concepts used in the study are defined and the theoretical framework was discussed to help the researcher explain the phenomena. The methods applied to answering the research questions were discussed. The delimitations of the study are defined in order to clearly reflect the scope of what is covered and not covered in this study. The structure of the study was described at the end of Chapter 1.

# **Chapter 2: Literature Review**

## **2.0 Introduction**

A review of the literature plays an important role in giving insight to what is already known in relation to the research question, thus avoiding “reinventing the wheel” (Neuman 2006:111). Neuman (2000:447) explains that the literature review provides a theoretical background to the study and lays a platform to learn from what others have done in the field. In this chapter a wide range of literature in the area of records preservation was reviewed and analysed. The literature was reviewed from sources such as annual records survey reports compiled by the SNA, journals, theses, published books, electronic databases related to the study, the internet, and published and unpublished conference papers. These sources were reviewed in order to extract major issues concerning the topic. “This helped with interpreting the results, since it was discussed in the light of what has been done before” (Nsibirwa 2007:50).

A theoretical framework was used to illuminate and direct the concepts of records preservation and conservation in the public sector. The records life cycle and the records continuum models were used as a framework that reflects the implementation and operation of a proper records and archives management programme.

## **2.1 Theoretical framework**

In the current study, the researcher sought to clarify issues pertaining to the preservation of public records in Swaziland government ministries and the SNA. It was anticipated that, as the result of the findings of this investigation, a records preservation framework would be developed to facilitate the best records preservation practice in all government ministries and the SNA. Ngoepe and Van Der Walt (2010:102), on the study of “A framework for records management programme: lessons from the Department of Co-operate Governance and Traditional Affairs in South Africa” states that the findings illustrated the value for establishing the strategies, policies and control framework necessary for a proper records management programme. It was further stated in the study that the establishment of an effective records management programme is based on the understanding of public servants, across all levels of the importance, of records management and the need for a records management programme that incorporates policies, systems and standards for capturing and maintaining records. There should be records professionals who are well capacitated in the



development, implementation and maintenance of records management programmes (Ngoepe and Van Der Walt 2010:102). InterPARES (2012:13) states that a records preservation framework establishes the relationship between the creator and the designated preserver of the records. This is in line with the integrated records management approach, which seeks to ensure a seamless flow of records management processes throughout their life cycle.

The Records Life Cycle and the Records Continuum Models are the predominant theories in the records and archives management field. In the present study, the Records Life Cycle and the Records Continuum Models were considered as a foundation. With the integration of both paper-based and electronic records management systems, further clarity and understanding of the operation of these systems was premised on the two records management theories. In order to establish a comprehensive background to this study, reference was made to Garaba (2010:80), who discussed three other records management theories. These are the Records Entity Life History, which states that records have a life history which is built on a sequence and on iterations and selections; the Modified Life Cycle, which is a blending of the prenatal stage of the Records Continuum and all the stages of the Records Life Cycle; and the Integrated Approach, which ensures that records are managed so that they are available and useful from their creation to their ultimate disposition (Garaba 2010:87). The Integrated Approach is occasionally referred to in this study, to complement the Records Life Cycle and the Records Continuum Models.

The discussion and relevance of the Records Life Cycle Model, the Records Continuum Model and the Integrated Approach follows.

### **2.1.1 The Records Life Cycle Model**

The Records Life Cycle Model portrays the management of records as involving different stages and defines records management responsibilities (Kalusopa 2011:59). Kemoni (2007:59) regards the Records Life Cycle Model as a theory which provided the framework for the operation of a records management programme. Chaterera (2013:19) concurs with Kemoni (2007), in that the Records Life Cycle Model is a foundation for creating an effective records management programme, because it becomes the basis of the development of appropriate tools, systems and procedures required to appropriately manage each phase of the life of a record (Cheterera 2013:19).

According to Shepherd and Yeo (2003:5), the Records Life Cycle Model was invented by Theodore Schellenberg while working in the National Archives of the United States of America (USA) in the 1930s. This model was widely applied by North American Archivists and likens the record to a living organism. In this context, records are born (creation stage), they live during the course of their use and maintenance of in the office of creation. They subsequently die when they become inactive and are disposed of through the transfer of valuable records to the archives and destruction of ephemeral records (Kalusopa 2011:59). Kemoni (2007:64) states that the Records Life Cycle Model passes through three stages, namely the active, semi-active and none-active stages. Throughout the three stages, it is important to ensure that proper preservation measures of the records are applied.

According to Ngulube (2003:17), preservation models have been highly contested. Recently, agreements among preservationists in the world have been made for documentary material to be stored within acceptable environmental conditions, both in the government registries and in archives repositories. However, there still remains the challenge of none-applicability of standard environmental conditions for the storage of documents in various parts of the globe, because of different climatic conditions. Ngulube (2003:17) alluded to a statement made by Chapman (1990:2), that the possibility of compiling a set of guidelines which will be appropriate for all circumstances is farfetched, since “one size does not fit all”.

#### **2.1.1.1 Creation and receipt**

Records are an outcome of daily business conduct as evidence of business transactions and activities. According to the Municipal Council of Mbabane (MCM) (2015:19), the development of a proper file plan that represents the functions and activities of an organisation is of prime importance. The file plan ensures that as records are generated and received in an organisation they are properly classified, it further facilitates easy management of records by applying similar retention periods to the same group of records (MCM 2015:19). During the creation stage, records are actively used in the conduct of daily business operations. In the case of the Swaziland government, records are created by action officers, some are received from external sources and some are an outcome of various daily business operations. Records management personnel are actively involved at this stage, ensuring that correspondence is placed in the correct files. The media used for recording information during the creation stage is of great concern. In Africa, most documents originate from paper, even those generated using word processing applications are eventually printed

out on paper for reference. Long ago handmade paper was durable and acid free, as the demand for paper increased there was a shift into machine paper processing. Mechanical paper production resulted in the generation of paper from wood pulp, which contains lignin and other chemicals that pose as a threat to the longevity of paper (Ngulube 2003:44). The process of production of modern paper introduces elements, particularly acids, that lead to deterioration. It is thus said that “modern paper contains seeds of its own destruction” (Hunter 1997:133).

Harris (2000:147) and Ngulube (2003:171) state that the changes in manufacturing have led to the production of poor-quality paper with a high concentration of chemicals and less strength. To prove this argument, Harris (2000:48) compares the physical condition of materials in the Cape Archives from the 12<sup>th</sup> century with those from the 17<sup>th</sup> century and comes to a conclusion that the latter is showing greater signs of deterioration.

### **2.1.1.2 Maintenance and use**

Once records have been created or received by an organisation, they are distributed to the relevant officers for action and kept either in the offices, or central registry for reference, maintenance and use. During the maintenance and use stage, records are actively used for decision-making and in the process there is a lot of handling and movement of the records involved. This is where training is required not only for the Registry Officers but, for the action officers who require these records on a regular basis in pursuance of their daily activities.

The building in which the records are stored greatly influences the preservation and storage of the materials. It is important to store records in an environmentally controlled building, where temperature and relative humidity levels are constantly monitored. Other factors, such as biological agents, need to be brought under control, since they may negatively impact the preservation of records, in various ways (Nsibirwa 2007:32). According to Tsabedze (2012:14), in order to ensure proper maintenance of records, all the information regarding the records storage and retrieval must be gathered and proper strategies implemented before the records are created, since this information will determine the way the records will be captured in the various records management systems, whether manual or automated. Nsibirwa (2007:32) stresses the need for records officers and users to understand the importance of properly handling records, particularly paper-based records, since they require support and protection when moved.

### **2.1.1.3 Disposal of public records**

The retention period of records in a public office depends on the requirement of such records and the person tasked with the responsibility of managing these records. Records managers are trained to manage records while they are actively used. Records are managed in-line with retention periods outlined in the organisation's retention schedule. The retention schedule should clearly stipulate when to destroy records that no longer have value and transfer to the archives records that have been appraised to have some value attached to them (Carter 2006:86). Records are said to possess primary value when they are still actively required to make decisions and inform programmes that give rise to their creation (Millar and Roper 1999a:100).

According to Tsabedze (2012:15), once the primary value of records to an organisation lapses, then they are regarded as inactive, hence the requirement to destroy ephemeral records that take up valuable office space, and to transfer valuable records to the archives. It is critical to transfer them to the archives, since many records can be illegally destroyed or inappropriately stored, exposing records to theft and unfavourable storage conditions that may result in their deterioration and subsequent loss of vital public information (Tsabedze 2012:15).

### **2.1.1.4 Challenges of the Records Life Cycle Model**

Despite the wide acceptance of the Records Life Cycle Model in many sectors where records management is applicable, it has its own critics (Kemoni 2007:64). Atherton (1985:47) believes that the Records Life Cycle Model creates a distinction between the roles of Records Managers and those of Archivist. The Records Life Cycle Model gave a perception that Records Managers were responsible for the records during their active stage, while Archivists were expected to take over once the records have retired (Atherton 1985:47). Yusof and Chell (2000:136) pointed out the importance of Records Managers and Archivists working together throughout the life cycle of records, in order to ensure a more effective and efficient records management programme.

Chachage (2005:63) cautions that the differences in the interpretation of the Records Life Cycle Model's stages portray it as a conceptual visualization rather than compartments that distinctly categorises the life of records into space and time. Chachage (2005:63) views the stages of the Records Life Cycle as subsystems that constitute the model, rather than the compartment perceived by the critics of the model. Yusof and Chell (2000:137) feel that the

Records Life Cycle Model does not support electronic records management, since the characteristics of electronic records are distinct in nature and may not necessarily follow one stage to the next in a serial path from creation to disposition, in the way paper records do. The Records Life Cycle Model does not cater for the relationship between active records and archival records, which may become active again, to meet a requirement that may arise to complete the context of a business activity.

### **2.1.2 The Records Continuum Model**

Yusof and Chell (2000:137) suggested that the Records Life Cycle Model, be replaced by the Records Continuum Model, in order to cater for electronic records management. Atherton (1985:47) is in agreement with Yusof and Chell (2000:137), in that, as the result of the increased generation of electronic records and proliferation of Information, Communication Technologies (ICTs), the shortcomings of the Records Life Cycle has resulted in this model being replaced with the Records Continuum Model. Different scholars in the records management field have adopted the Records Continuum as an alternative to the Records Life Cycle.

Chaterera (2013:19), however, still has great faith in the Records Life Cycle Model, which is thought to be an effective approach in examining how records are created and used, which is the essence of a good records management programme. Chachage (2005:57) built his study on a modified Records Life Cycle Model, that was a combination of the Records Life Cycle and the Records Continuum Models. The present study used an approach that considered an integrated model of the Records Life Cycle and the Records Continuum Models. This approach was used to ascertain the impact of records preservation strategies beyond the stages of the Records Life Cycle. The approach further examined the possibility of a preservation framework that would develop an interrelated link between all the stages of the Records Life Cycle. The link includes records that are yet to be created and those that are no longer active, through ensuring that records are preserved throughout their life cycle. Table 1 shows the link of records management models to the research questions.

### **2.1.3 The Integrated Approach**

The integrated records management programme creates a relationship between records archives and information management. The integrated records management approach ensures

that valuable records are preserved and are available and useful from their creation to their ultimate disposition, through a continuum of care (Millar and Roper 1999a:58).

The primary purpose of the integrated approach is (Millar and Roper 1999a:58):

- To preserve records and archives in an accessible, intelligible and usable form for as long as they have continuing utility and value.
- To make information from records and archives available in the right format, to the right people, at the right time.

In order to achieve the goals of the integrated approach, it is important for an organisation to implement a comprehensive legislative and regulatory framework that will regulate the life cycle management of records and archives and designate a single authority to oversee all records management processes. This shall go hand-in-hand with the provision of adequate resources to support records management programmes, promulgation of policies, development of long-term strategic plans and ensuring that the integrated programme is adequately monitored and evaluated (Millar and Roper 1999a:59).

**Table 1: Link of records management theories to the research questions**

<b>Research questions</b>	<b>Records life cycle theory</b>	<b>Records continuum theory</b>
1. What is the policy and legislative framework pertaining to records and archives preservation in Swaziland government ministries and the SNA?	<p>The Records Life Cycle Model formed the basis for the recommendations for the development of relevant and comprehensive legislative framework and policies which shall be applied to records at all stages of the life cycle.</p> <p>The legislation should clearly state the responsibility for records management at the</p>	The Records Continuum Model portrays a seamless structure of managing records. The records continuum provided advice on the development laws and policies that link records and archives as a continuous conveyer belt that transcends time.

	<p>various stages of the life cycle. There should be relevant policy statements regarding the:</p> <ul style="list-style-type: none"> <li>• creation of records</li> <li>• distribution and use of records</li> <li>• storage and maintenance</li> <li>• retention and disposal of records</li> <li>• Archival preservation.</li> </ul>	
<p>2. What are the current procedures, regulations and plans pertaining to the care and preservation of records and archives in Swaziland government ministries and the SNA?</p> <ul style="list-style-type: none"> <li>• Records procedures manual</li> </ul>	<p>The Records Life Cycle Model is a framework that guides the management of records from creation to disposition. All procedures and regulations pertaining to the management and care of records should be developed with full cognisance of the life of records throughout their cycle.</p> <p>There should be records procedures manuals in place that will guide the distribution and use of records in the organisation.</p> <p>Clearly defined records</p>	<p>The Records Continuum provided an insight to the universal implementation of records management procedures and regulation, irrespective of the phase or stage of activity of that particular record or archive collection.</p>

<ul style="list-style-type: none"> <li>• Retention and disposal schedules</li> <li>• Security of records</li> </ul>	<p>retention and disposal schedule that also states where the responsibility to acquire authority to destroy ephemeral records rests.</p> <p>There should be well-articulated procedure for access control, security and protection of the records throughout their life cycle.</p>	
<p>3. What knowledge and skills do the staff responsible for the preservation of records and archives in Swaziland government ministries and the SNA possess?</p> <ul style="list-style-type: none"> <li>• Training</li> <li>• Recruitment</li> </ul>	<p>The Records Life Cycle Model gave a discrete insight of the various stages of the life of records and thus the requirement of relevant skills for managing records at each stage.</p> <p>There has to be a training policy that shall facilitate records management staff development.</p> <p>It is of great importance to ensure that the recruitment of staff working with records is guided by a recruitment policy that clearly stipulates the minimum qualification</p>	<p>Unlike the Records Life Cycle, the Records Continuum advocated for collaboration in the work of archivists and records managers where preservation of records is concerned.</p> <p>This is a requirement, since some records may have a potential of being archival as early as at the time of creation and hence the requirement to preserve them while they are still actively used.</p>



	requirements for records and archives personnel.	
4. Are there purpose-built structures for the storage of records and archives in Swaziland government ministries and the SNA?	<p>The Records Life Cycle provided advice on the importance of proper maintenance and use of public records through their proper storage under controlled and safe conditions.</p> <p>The records storage areas should be provided with the relevant equipment to monitor and control climatic conditions, security and access control, and a Fire Protection System (FPS) installed, to reduce the impact of a disaster in case there is a fire.</p>	The study examined the current storage conditions of records in government ministries and the SNA. The Records Continuum Model advised on the importance of proper storage of records throughout the continuum, since all records have equal potential of being valuable, subject to the events that surround their creation and use.
5. What challenges are the staff faced with preserving records and archives?	The Records Life Cycle helped with identifying the different stages of records management, where staff faces challenges and relevant mitigation measures that can be directly applied to those areas.	The Records Continuum considered a holistic view of the management of records, since the challenges faced by staff in preserving active records may subsequently affect the existence of those records as archives. The Records Continuum model recommends that preservation of records should be a practice that is continuously adopted for as long as there is need for the

		records to be kept, used and provided access to.
<ul style="list-style-type: none"> <li>• Funding</li> </ul>	There should be funding adequate allocated to support records management and preservation programmes.	
<ul style="list-style-type: none"> <li>• Staffing</li> </ul>	There should be a good staff retention strategy, to ensure the permanent retention of skilled human resources.	

### 2.1.4 Preservation of records

According to Harris (2000:48), “the term ‘preservation’ in archives and libraries was used synonymously with 'conservation' and books plus paper repairs were left to the craftsmen and artisans, namely bookbinders, artists and printers”. This traditional definition of preservation has limited many preservation activities, which are supposed to be applied at the early stages of the records life cycle to archives and library material.

Millar and Roper (1999b:34) state that preservation may be viewed as a totality of processes and operations involved in the protection of records and archives against damage or deterioration. It involves maintenance, examination, conservation and restoration of records. Harvey’s (1993:75) definition of preservation agrees with Millar and Roper’s (1999b:34) approach on preservation, that preservation ought to look at the totality of events. Preservation activities should include planning and implementation of policies, procedures and processes that together prevent further deterioration of records.

Modern approaches to records preservation adopts the utilization of ICTs to retard the effects of damage to records in various formats, including paper-based records. Maele (2003:72) cautions that the process of implementing digital systems which offer alternative effective preservation to paper-based records is often lengthy and complicated. Nengomasha and

Ngulube (2010:103) state that the trustworthiness and integrity of records in electronic form is often questioned and their long-term preservation creates many challenges.

The International Records Management Trust (IRMT) (2009:21) states that “there is no end to digital preservation unless the records cease to be considered worthy of preservation”. There are many factors that need to be considered when Records Managers, Archivists and Conservators work with records. This includes ensuring that homeostasis exists in the various environmental elements in the records storage areas. However, the preservation of electronic records is beyond the scope of this study.

#### **2.1.4.1 Preservation programmes**

Archivists and Records Managers are continuously faced with the challenge of providing for the physical survival and maintenance of materials in their care. The seriousness and need for immediate response to these challenges is imperative (Dearstyne 1993:151).

The establishment of a comprehensive preservation programme that encompasses all the major components can be viewed as a worthwhile solution to facilitate the continued access of valuable information for any organisation. Nevertheless, different organisations can develop programmes that would suit the preservation requirements of their collections (Merill-Oldham, Morrow and Roosa 1991:12).

According to Ngulube (2003:151), the components of a preservation programme include but, are not limited to the following:

- Preservation policy formulation
- Environmental control
- Disaster planning and security
- Reformatting strategies
- Staff training and user awareness
- Maintenance and storage
- Preservation needs assessment
- Preservation planning and implementation

- Conservation treatment
- Preservation of electronic records

#### **2.1.4.1.1 Preservation policy formulation**

In order for archival institutions to effectively implement a preservation programme, there should be a set of guidelines and policies that govern the entire programme's implementation strategy.

The National Archives of the United Kingdom (NAUK) (2009:3) states that the purpose of formulating a preservation policy is to state the principles that guide the care and preservation of the National Archives' collection. The policy covers the preservation needs of all the materials in their custody, including digital records and surrogates. In the NAUK, the preservation policy provides a comprehensive framework for decision-making in the institution and the development of procedures (NAUK 2009:3).

Ramokate (2006:85) agrees with the NAUK (2009:3) that, many archival institutions have established conservation units in compliance with the overall institutional policy. However, there is a further important requirement to have a specific guiding instrument (preservation policy) that will facilitate decision making for daily preservation operations. Ngulube (2003:117; 118) states that, the importance of policies can never be over-emphasised when it comes to outlining the responsibility for the preservation of archival materials of all types. He adds that policies clearly define and inform staff and users of the scope and goals of the preservation programme. Policies further delineate the path to be followed towards achieving those goals. This implies that a preservation policy is the pivotal point on which a successful preservation programme hinges.

#### **2.1.4.1.2 Preservation needs assessment**

Harvey (1993:103) advises that the most sensible approach towards the development of a preservation programme is to conduct a preservation needs assessment. The assessment entails surveying the archival records and the building they are housed in.

Buildings and collections surveys assess the nature and extent of deterioration of records and provide the necessary information required to make realistic and appropriate management decisions with regards to the preservation of records. It is of vital importance to the preservation manager to examine the structure and storage areas in which records are kept.

This will assist in observing the effects of external factors that may influence the rate of deterioration of the records (Millar and Roper 1999b:17).

The needs assessment facilitates the development of a long-range and other preservation plans and helps to set priorities on the implementation of the plans (Dearstyne 1993:156).

#### **2.1.4.1.3 Preservation planning and implementation**

The preservation planning process has several explicit goals that are necessary for evaluating the success of an organisational preservation programme. These include “to determine preservation problems and needs, to identify activities that will solve those problems and meet those needs, to allocate resources to implement preservation activities, and to prepare a detailed plan for carrying out the necessary activities” (North East Document Conservation Center (NEDCC) 2006: Building a preservation programme).

Preservation planning ensures that preservation is considered as an integral part of the activities of an archival institution, rather than to be seen as competing with other activities for time and resources. Ngulube (2003:123) states that a good preservation plan facilitates the acquisition of financial resources required to ensure the implementation of various activities outlined in the plan and assist in setting up priorities for projecting requirements for implementing the preservation programme. One would agree with Ngulube (2003:123), since this approach ensures that records with enduring value are given high priority over materials of limited value, more especially if there are stringent budgetary constraints. To achieve preservation planning goals, it is best to undertake the planning process by involving a range of institutional staff. This helps to increase staff understanding of preservation issues and builds support for the inevitable changes the plan will bring.

#### **2.1.4.1.4 Staff training and user awareness**

The archivist has a responsibility to make sure that the handling and use of archival material is carried out with caution, in a way that is not destructive to the archives.

The implementation of an efficient staff training and user awareness strategy may yield two major advantages. Firstly, the costs of repairing damaged materials may be reduced. Responsible people are educated (trained), resulting in a reduction in the number of damaged materials. Secondly, trained staff become advocates for preservation and ensure that proper

preservation practices are enforced throughout the organisation (Merill-Oldham, Morrow and Roosa 1991:29).

Dearstyne (1993:164) states that staff training imparts preservation mindedness and emphasizes recognition that preservation is everyone's task. It is important to ensure that staff working with the conservation of archival materials is adequately trained in the field in order to minimise the possibility of further damaging collections due to the inappropriate application of conservation repair techniques (Kutzner 1994:37).

#### **2.1.4.1.5 Environmental control and monitoring**

Environmental monitoring and control is one of the fundamental preservation activities that may promote the prolonged survival of materials into the future (Ngulube 2005:154). One cannot but agree with the above statement, since the life of all organic matter is influenced by the environment to which it is subjected. According to Ngulube (2002:28), all materials are susceptible to physical and chemical deterioration over time. This is partly due to the storage environment, physical handling and use and other external and internal factors of deterioration. One of the greatest challenges faced by archivists and librarians is the fact that most facilities that store library and archival materials are not purpose built to support optimum environmental requirements for the storage of these materials (Nsibirwa 2012:77).

Archivists and conservators have to ensure that a records preservation programme achieves stable environmental conditions for archival collections. The pivotal component that will determine the security and quality of the environment for an archival collection is the archival building's design, construction and the extent and quality of the building's maintenance (Nsibirwa 2012:76).

Environmental factors such as biological agents, temperature, relative humidity, air pollution, light and dirt can adversely affect the lifespan of records if they are not controlled effectively. It is therefore important to ensure that temperature and relative humidity are controlled in a systematic way. These parameters are interrelated and underpin the success of an organisational preservation programme (Ngulube 2003:291). Ngulube (2003:291) states that the control of environmental factors can have a positive influence on controlling biological agents that contribute to the deterioration of records and archives, such as mould and silverfish.

According to Hunter (1997:142), it is important to include a system for air circulation and filtration in an archival environment control system, since atmospheric pollutants can cause deterioration of archival material if not given adequate attention. Barkhuizen (2007:34) stresses that light can adversely affect archival material, particularly films and photographs since it has an irreversible effect on their chemical and physical composition. Hence, it is important to keep lux and UV levels as low as possible during exhibitions. Archival materials should not be exposed to light for prolonged periods of time.

The conclusion can be drawn from the above statements that, the control and maintenance of an ideal archives storage environment involves an integrated approach. An integrated approach ensures the seamless and simultaneous management of all the environmental factors that may cause deterioration to records and archival materials, irrespective of medium or format.

There are four main environmental factors that contribute to the rapid deterioration of records and historical artefacts: particulates, temperature, relative humidity and gaseous pollutants (Purafil, Inc. 2004:1). The last three are interrelated, hence controlling one and neglecting the other may not yield maximum results. Gaseous pollutants, specifically sulphur dioxide, oxides of nitrogen and ozone, are the most destructive. The total environment, both internal and external, must be considered holistically in order to assess the potential for damage from environmental factors and adequate control measures must be employed to maintain a stable and balanced platform for all four factors (Purafil, Inc. 2004:2). According to Ngulube (2005:154), temperature and relative humidity are a great threat in most tropical countries. As a result of their synergistic behaviour these factors operate and function as a system and hence their effects should be mitigated in a systematic approach (Ngulube 2005:154).

#### **2.1.4.1.6 Temperature and relative humidity**

According to Purafil, Inc. (2004:3), high temperatures and relative humidity are a catalyst to the chemical reactions of sulphur dioxide, nitrogen dioxide and ozone. Henderson (2007:4) agrees with Purafil, Inc. (2004:5), that incorrect temperature and relative humidity promote chemical damage in paper, such as cellulose breakdown. The rate of change in temperature by 10°C and an increase of 5% in relative humidity may double the rate of chemical reactions in some unstable materials, because of their hygroscopic (capacity to absorb and release moisture) nature (Henderson 2007:4).

Damp and warm areas are conducive breeding environments for micro-organisms such as fungi and mould. According to Ngulube (2005:156), there has been a consensus among preservationists all over the world that maintaining a temperature below 20°C and a relative humidity between 30% and 50% were ideal climatic conditions for the storage of documents. Scientific research has proven that controlling and monitoring temperature (below 10°C) and relative humidity (between 30% and 50%) can increase the physical stability and life expectancy of paper. The reduction of temperature from 25°C to 20°C can increase by 2.4 times the time required for good quality paper to lose half of its properties (Nsibirwa 2012:87). It is very difficult to determine how much optimum relative humidity levels add to the life expectancy of materials. Henderson (2007:5) states that high relative humidity levels promote the growth of mould and pests. Very low humidity levels cause desiccation, shrinking and cracking of organic materials. The climate of Swaziland varies between tropical to temperate depending on the region. These variation require specific environmental monitoring strategies (anecdotal).

Since the properties of relative humidity are greatly dependant on temperature levels, it can be deduced from the above statement that the sustainability and life of the material can be calculated relative to the influence of temperature levels on the materials, subject to a controlled relative humidity value. Results of a study on the assessment of archivists in the ESARBICA show that archivists and librarians in the ESARBICA regard environmental monitoring and control as fundamental to their management of heritage collections (Ngulube 2005:160).

#### **2.1.4.1.7 Gaseous and particulates pollutants**

Most gaseous pollutants emanate from the burning of fuels, from power stations, cars, industrial areas and domestic buildings. The gases are formed by a combination of chemical reactions in the atmosphere, triggered by the by-products of industrial and domestic activity (Purafil, Inc. 2004:2).

Some of the gaseous pollutants such as ozone (O<sub>3</sub>) are generated by the collision between oxygen atoms that have been energized by ultra violet (UV) rays with oxygen molecules (O<sub>2</sub>). Other gaseous pollutants, such as sulphur dioxide and nitrogen dioxide, when they combine with water in highly humid environments, can react to form acids such as sulphuric acid and nitric acid, which deplete the cellulose fibre bonds in documented materials (Purafil, Inc. 2004:3). According to the National Information Standards Organisation (NISO)



(2001:9), pollution levels should be minimised to prevent deterioration of materials and all sources of pollution should be eliminated or controlled. This implies that all storage areas for collections should be constructed to reduce the infiltration of gaseous and particulate pollutants. Presently the storage areas at the SNA are not equipped with air purification systems.

Purafil, Inc. (2004:6) emphasizes the importance of installing air purification systems in storage areas, to filter most of the pollutant concentrations from outside air. Some of the air filtration systems are impregnated with chemicals that counter-attack the effects of gaseous pollutants, for instance a sodium carbonate impregnation neutralises the acidity of sulphur dioxide (Purafil, Inc. 2004:6). According to Electrocop (2011: Industrial, odour and chemical control) air purification systems protect both staff and the materials stored in the archives repositories. Electrocop air purifiers eliminate mould spores and other air-borne toxins and gaseous pollutants in the atmosphere, thus ensuring a conducive environment for the long-term storage of archives and library collections.

Electrocop (2011: Industrial odour and chemical control) adds that activated carbon is regarded as the safest and most effective approach to treat airborne chemicals, gaseous pollutants, fumes and odours. Activated carbon is so effective that it is used by the military to combat the world's most dangerous airborne pollutants (Electrocop 2011: Industrial odour and chemical control).

Particulates can be very harmful to the surface of books and documents. Commonly known particulates include dust particles, soot, fungi and mould spores. The latter can cause extensive damage if temperature and humidity are not controlled. In some instances, particulates can cause evident damage such as soiling of books and documents (Purafil, Inc. 2004:4). Ngulube (2003:92) states that the hygroscopic nature of particulates may lead to the chemical degradation of materials, causing them to form acids and grow mould.

Henderson (2007:3) cautions that pollution monitoring can be very complex and setting it up requires specialist advice. Henderson (2007:3) further recommends good building maintenance, housekeeping and the proper selection of materials to clean storage areas as an economical and effective way of controlling air pollution. It is important to ensure that purification systems are also maintained, or they can also distribute pollutants.

#### **2.1.4.1.8 Light**

All light sources are harmful to library and archival materials, by fading, yellowing and structurally weakening them. However, UV light normally emitted from sunlight and fluorescent lights is even more damaging, as the shorter wavelengths have higher activation energy levels and cause greater photochemical deterioration (Canadian Council of Archives (CCA) 2003:19). Barkhuizen (2007:34) states that light can adversely affect archival material, particularly film and photographs. Since the effect of light is irreversible on the chemical and physical composition of collections, it is important to keep lux and UV level as low as possible during exhibitions. Archival materials should not be exposed to light for prolonged periods of time.

According to the National Information Standards Organisation (NISO) (2001:6), the levels of visible light should be kept as low as possible and the periods of display during exhibition as short as possible. NISO (2001:6) adds that light levels should be measured when the lighting for an exhibit is established and whenever a change in lighting conditions occurs, including replacing bulbs or lamps in an on-going exhibit. According to Ngulube (2007:56), the major source of artificial light in archives repositories in South Africa is fluorescent lights. Archival institutions in South Africa should cover their lights with UV filter sleeves to eliminate most of the UV rays from direct contact with the collections.

#### **2.1.4.1.9 Biological agents**

The cleanliness and climatic conditions of the area where collections are kept determines the effects of the biological infestations it will experience. Most biological agents thrive in dirty, warm and humid environments. According to Purafil, Inc. (2004:2), heat and high humidity levels promote microbiological activity. Mould spores are always present in the air and once they develop on collections they may leave disfiguring stains and sometimes render the documents unreadable (CCA 2003:21).

It is evident that the growth and infestation of biological agents depends mostly on how the other environmental factors are controlled. The proper and consistent application of the environmental strategies discussed earlier would ensure that biological agents are not a threat to the collections. Ngulube (2003:96) states that the most effective way of treating mould is the modification of the environment. This can be attained through providing unfavourable conditions that do not support the growth and replication of micro-organisms. Ngulube (2003:96) recommends the regular removal of the mould growth from the affected collections

as another effective way of dealing with mould. It is clear that environmental control and monitoring plays a crucial role in the sustainability of a collection management programme.

#### **2.1.4.1.10 Disaster preparedness and security**

Disasters can take any form, including natural disasters (floods, earthquakes, volcanoes, hurricanes) and man-made disasters (unclosed taps, man-made fires, theft, poor handling). Irrespective of the form that the disaster may come in, disaster preparedness and mitigation planning is very important.

Disaster preparedness and security are vital in the protection of archival records, since they facilitate an efficient and easy response of an organisation to an emergency and subsequently ensure that the organisation is able to resume its normal operations within a short period of time after a disaster (Ngulube 2003:108). Ngulube (2003:108) adds that, a systematically organised disaster preparedness plan may minimise the danger to staff and damage to collections and building if it is properly followed in the event of a disaster striking.

Nsibirwa (2012:103) emphasizes the importance of every institution responsible for keeping valuable information resources to take preventative measures to avoid the occurrence of an unnecessary disaster. Merrill-Oldham, Morrow and Roosa (1991:27) stress that “no one is immune from a disaster and a well-written plan can make the difference between temporary loss and a catastrophe”. In the light of this statement, it can be seen that failure to plan for a disaster may result in a catastrophic loss of valuable organisational information resources and a possibility of business closure, or delayed business recovery.

#### **2.1.4.1.11 Reformatting strategies**

Reformatting entails the copying of material from one medium to a more durable medium. Reformatting has become a standard preservation procedure that is normally carried out when the original material is too fragile to withstand further use (Millar and Roper 1999b:110). Examples of reformatting include scanning paper based records into digital, or microfilm formats.

Most paper-based records kept in archival repositories in Africa are deteriorating to the point of embrittlement, where it becomes difficult to handle them. The newspaper collections at the SNA dating back to 1905 have become very fragile due to acid accumulation and excess handling. The SNA has thus embarked on a newspaper scanning project. This project is

meant to preserve the newspaper collections by minimising excess handling of the originals (anecdotal). Reformatting following internationally recognised standards, becomes the most practical option in reducing further damage to the records which is caused by handling by users and archival staff (Ngulube 2002:71). According to Ngulube (2002:121), reformatting entails an integrated approach to implementing digitization, microfilming and photocopying. Dearstyne (1993:164) emphasizes the importance of copying historical records, stating that it enables archivists to kill two birds with one stone, since this practice protects the records against wear and tear, through minimizing the handling of fragile records, and simultaneously supports easy access and information sharing.

Ngulube (2003:77) warns that, even though reformatting may preserve the content of a record, it does not necessarily protect the object. It is a widely accepted notion in the records and archives profession that, preservation is mainly concerned with prolonging the life of the information contained in the records, rather than the record itself. The sustainability of the surrogates largely depends on the choice of medium made by each institution and the financial support available to ensure continued access to the records in their respective formats. According to Nsibirwa (2012:125), migration, when applied with the right format standardization, remains the most effective preservation approach for records reformatted to electronic format.

#### **2.1.4.1.12 Maintenance and storage**

The maintenance and storage of archives and records in a clean and environmentally and physically stable area is important in ensuring the longevity of their useful life (Burger and Theron 2000:12). Burger and Theron (2000:16) state that maintenance and storage entails the daily care of collections (keeping the storage area neat and clean, performing general housekeeping tasks in the building and periodically cleaning the collections themselves). According to NEDCC (2006: House-keeping), the practice of good housekeeping is the simplest and least expensive method of preventive preservation. Housekeeping will keep particulates (dust, dirt, smoke, ash and mould spores) that cause abrasion of delicate collections such as photographs from gathering on, or around the collection. These particulates will further attract moisture from humid environments, to form acids that cause chemical deterioration. Dust and dirt contain organic materials that serve as food for insects and mould and therefore provide an ideal environment in which they can live and flourish. By keeping collections clean, the risk of these types of damage is reduced. Moreover, a building

that is clean and neat engenders respect for the collections within it and makes for a healthier, more pleasant environment for staff and patrons. Housekeeping is thus an excellent method to help ensure the safe, long-term preservation of holdings (NEDCC 2006: House-keeping).

Merill-Oldham, Morrow and Roosa (1991:25) agree with NEDCC (2006: House keeping) that a neat and clean environment for the storage of collections not only minimises unnecessary damage to collections but, also encourages researchers and staff to handle the collections with care. If records are stored well, users may be encouraged to handle them better. NEDCC (2006: Storage enclosures) emphasizes the importance of using the right storage enclosure for specific collections. This is because collections respond differently to the chemical composition of their enclosures.

#### **2.1.4.1.13 Conservation treatment**

Conservation, which is a part of the wider concept of preservation, is concerned with the application of different scientific techniques to physically and chemically stabilize deteriorating material, thus prolonging its usable life (Nsibirwa 2012:71).

According to Merrill-Oldham, Morrow and Roosa (1991:8) conservation is a very important component of a preservation programme, since it is an effective stabilization technique against the effects of wear and tear, over time. Merrill-Oldham, Morrow and Roosa (1991:8) emphasise the net effect of a properly implemented conservation programme. They state that, at the end of each year a significant number of collections can be restored to a usable condition. This practice eventually improves the overall condition of the collection.

The wide range of activities involved in conservation treatment can either be applied independently, simultaneously or sequentially, in order to achieve the desired conservation goal. Hunter (1997:147) acknowledges the in-house treatment of documents as being an inexpensive approach but, he recommends that since the conservation treatment, if not properly applied, may cause further damage to valuable archival material, it should be categorized into two: those that can be conducted in-house by the archivist (surface cleaning, humidification and flattening, encapsulation, repairing simple tears) and the more specialized ones (fumigation, de-acidification and repairing the more extensive tears) that should be referred to a professional conservator (Hunter 1997:147).

The significance of conservation treatment in the overall preservation programme is very important, since it minimises further deterioration to items that have already been adversely

affected by external and internal factors of deterioration. This eventually ensures the continued access and availability of these records in a stable and usable condition.

## **2.2 Global overview of records and archives preservation**

In 2011, Cloonan (2011: Boundaries of preservation...) conducted a study on “The Boundaries of Preservation and Conservation Research”. This study was meant to examine the publication pattern of preservation and conservation research. In his approach, Cloonan (2011: The boundaries of preservation...) reviewed a randomly selected list of 10 journals from a shortlist of 28, which were extracted from 55 publications in a bibliographic list compiled in Thomson’s Journal Citation Report (JCR), Social Science Edition, under the subject “library and information science”. It came as a shock to Cloonan (2011: The boundaries of preservation...) to learn that over a period of 11 years nothing had been explicitly published on records preservation and conservation. Even at sub-category levels, preservation was combined with the field of archives (Cloonan 2011:220). There are some publications, however, that give a picture of the global overview of records preservation.

According to Kemoni and Ngulube (2007:121), the National Archives and Records Administration in the USA, helps to preserve the nation’s documentary heritage through the implementation of a proper records management programme of all federal records. Mampe and Kalusopa (2012:2) agree with Kemoni and Ngulube’s observation. They point out that the diversity of socio-political and economical needs of society, for proper service delivery, accountability and the management of state resources, all hinge on the implementation of proper records management programmes (Mampe and Kalusopa 2012:2).

The continuous inspection of records management practices in government agencies help in observing records preservation challenges and identifying relevant strategies to be implemented to mitigate the challenges. The National Archives and Records Administration (NARA) conducts inspections of agency records and records management practices. They develop records management training programmes and provide guidance on the implementation of records management programmes. After the requirement of the agency records for active use has elapsed, the NARA provides storage for inactive records. This practice ensures that the records are preserved and their authenticity, reliability and trustworthiness is retained (Yuba 2013:35).

## **2.2.1 Legal framework for records and archives management globally**

In order to ensure that records and archives are appropriately managed and preserved, there has to be a legal instrument mandating governments to protect their records for accountability and historical reasons (Parer n.d:1). Parer (n.d:1) adds that a records and archives legislation provides the essential framework that enables records and archives services to operate with authority in dealing with other government agencies.

It is of prime importance to ensure that the archives legislation exhibits the archival principles for establishing the purpose and the objectives of the archives. In the past, archival legislation in most Commonwealth countries has been influenced by the Public Records Act of 1958 of the United Kingdom. This Act emphasized the primary responsibility of the National Archives, which is to ensure their continued availability for research purposes (Parer n.d:2). Archives legislations essentially covered aspects pertaining to controlling the destruction of ephemeral records and transfer of valuable records to the National Archives as well as conferring the right of public access. However, legislation did not always empower archives to regulate records management throughout the records' life cycle (Parer n.d:2).

In recent years, there has been a major revolution in the way records are kept and managed. This revolution has been greatly influenced by the emergence of electronic records. Archives legislation needs to make adequate provision for the management of electronic records and clearly outline how their creation, accessibility and disposal will be controlled. It is important that archival institutions have a clear legislative mandate for establishing and prescribing record-keeping requirements (Parer n.d:3).

A study conducted by the United Nations Educational, Scientific and Cultural Organisation (UNESCO) in 1985 prompted the review of many concerning archives legislations. The reason for reviewing legislation, was to accommodate the changes brought about by electronic records management, as well as the records continuum model, as articulated in Australia and the need for archivists to address the keeping of records across the entire continuum (Parer n.d:4).

In Australia, three states undertook extensive review of their archives legislations between 1998 and 1999. These states were New South Wales, Western Australia and Queensland. The National Archives of New Zealand made minor changes to its Archives Act. In Canada, the

province of Manitoba, in May 2000, conducted a complete re-write of its archives legislation, an exercise which had not been undertaken since 1967 (Parer n.d:4).

Over the years, Australia has continued to update archives legislation, as evinced by the amendment to the Archives Act 1983, passed in 2010. The Archives Act distinctly outlines the obligation placed on government agencies for the preservation and disposal of public records. Other legislations that affect how government agencies in Australia manage their records are:

- Freedom of Information Act 1982, as amended 2010
- Australia Information Commissioner Act 2010
- Privacy Act 1988
- Evidence Act 1995
- Electronic Transaction Act 1999
- Financial Management and Accountability Act 1997 (FMA 1997)
- Public Governance, Performance and Accountability Act 2013 (PGPA Act)

The PGPA Act replaces the FMA Act 1997 and the Common Authorities and Companies Act 1997. The PGPA Act refers to the use and management of public records, as outlined in the Archives Act 1983, as amended 2010

- Crimes Act 1914 (National Archives of Australia 2015).

The existence of a comprehensive legal framework is a strong pillar in ensuring the proper management and preservation of records in the public sector in New Zealand. The Public Records Act of 2005 clearly states the mandate of the National Archives of New Zealand in ensuring the proper development of and support to the government record-keeping systems. This is made to ensure the creation and maintenance of authentic and accurate records, proving the preservation of, and access to, records of long-term preservation value. This will enhance public confidence in the integrity of public records and provide an appropriate framework within which public offices and local authorities create and maintain records (Yuba 2013:34).



In the USA, a similar role is played by the NARA. According to Yuba (2013:35), the US Government Manual states that the NARA ensures “proper documentation of the organisation policies and activities of government, development of standards and guidelines for nationwide management and disposition of recorded information”. NARA is further responsible for the appraisal of federal records and the approval of records disposal schedules (Yuba 2013:35).

The Library and Archives of Canada are governed by the Library and Archives Act of 2004. This Act was meant to establish the Library and Archives of Canada and amend the Copyright Act and other Acts, in consequence. This Act emphasizes the need to preserve the documentary heritage of Canada. The Library and Archives of Canada facilitates the acquisition, preservation and diffusion of knowledge among the institutions involved with the preservation and storage of Canada’s documentary heritage (Government of Canada 2015: The Library and Archives...)

## **2.3 Records and archives preservation programmes in Africa**

This section discusses issues relating to the implementation of records preservation in Africa. This includes training of records management staff, responsibility for records management and preservation programmes, disaster management, digitisation strategy for preservation and the legal and regulatory framework in the ESARBICA member states.

Records preservation is normally directly linked to the strategies adopted by various organisations in the implementation of records management programmes and record-keeping systems used to drive those programmes. The most affected is the public sector, particularly those governments that were previously under British colonial rule (Ndenje-Sichalwe 2010:117).

A paper compiled by Mnjama (2007:28) on the review of ESARBICA resolutions from 1969 to 2005 noted that there was a great concern on the development of conservation and reprographic facilities in the ESARBICA member states, except for countries such as Kenya, South Africa and Zimbabwe, where conservation facilities are fully operational (Mnjama 2007:28). The ESARBICA, in their 23<sup>rd</sup> Biennial Conference in Victoria Falls, Zimbabwe, 2015, launched a three-years strategic plan which incorporates regional projects that need to be undertaken. This includes a call for collaboration between two or more member states to implement projects, such as the establishment of preservation programmes and setting up

centres of excellence. The plan further includes issues relating to the preservation of audio-visual records and the development of disaster management plans taking into consideration local environments (ESARBICA 2015: Strategic Plan, 2015 – 2018).

According to Mnjama (2007:28), for many years Zimbabwe was known for its excellent conservation facilities. Due to the economic and political crisis, however, most of the work on conservation and preservation was suspended. Kenya has successfully emerged in the field of conservation and preservation. Through the support of donor agencies such as UNESCO it has been able to mount some training programmes for conservators. However, the lack of specialists trained in this area has limited the amount of conservation work that could be carried out (Mnjama 2007:28). A review of various studies conducted on record-keeping initiatives in the African public sector revealed that there are no systematic record-keeping strategies that existed. In the case of the Gambia, even though there was legislation in place that governs the public sector financial administration, there were no procedures that governed the management of financial records. This eventually resulted in the poor storage of records and the subsequent loss of essential information (Akotia 1996).

The poor storage and overall preservation of financial records in the Gambia have made it difficult to access and read records. This scenario is an evident result of the absence of proper records preservation programmes. The absence of these records has resulted in the existence of information gaps on financial records and lack of accountability by government (Akotia 1996). Akotia (1996) adds that most of the poor records management challenges faced by the Gambia are attributed to the inadequate training received by records management staff, as well as other staff in the different ministries and departments who are tasked with the responsibility of managing records.

Chaterera (2013:13) concluded that the management of public records in Zimbabwe seemed to be an ongoing struggle. He quotes a study by Ngulube (2000), which revealed that registry officers smoked and ate in the registry offices. A similar study was carried out in the Midlands of Zimbabwe by Chaterera (2008). It was observed that public records were at risk of being lost or misplaced due to the inappropriate records management practices. Another study carried out by Chaterera (2013:83) revealed that 65% of public registries did not have an in-house vital records protection programme. This is in spite of efforts made by the National Archives of Zimbabwe to advise government departments to have vital records protection programmes (Chaterera 2013: 83).

Tsabedze (2012:30) laments the deterioration of materials in most archival institutions in Africa. He attributes this situation to the unstable storage media, frequent handling and use and the uncontrolled climatic and environmental conditions in records storage areas. Tsabedze (2012:30) recommends the adoption of reformatting strategies that comply with internationally recognized records preservation standards.

An effective records preservation strategy involves three main aspects, that is assessment, planning and action. Before any preservation planning or action is undertaken, the preservation assessment is crucial for determining the preservation requirements for records and the existing policies, guidelines storage environment, archives' holdings, records management and disaster management plans (Mnjama 2012:140).

### **2.3.1 Training and capacity development of records management staff**

The level of training of staff responsible for implementing records management programmes has a great influence on determining the records management practices of an organisation. A study carried out by Chachage (2005:132) revealed that seven (77.8%) out of nine exporting companies in the Iriga Region of Tanzania used administrative officers to head their records management system processes, while two companies used information managers. These results revealed that five of the companies used people with primary degrees and higher, while four companies used non-graduates. However, of great concern was that, amongst all these people, most of them had no formal qualification directly linked to records management (Chachage 2005:134). This scenario gives a clear picture of why most records preservation initiatives fail in African states. This eventually results in the loss of valuable information that is required to ensure business continuity in the private sector and lack of accountability of governments in the public sector.

Marutha (2011:47) emphasizes the importance of having well-capacitated records management staff, who will be responsible for establishing the necessary record-keeping infrastructure. A well-established record-keeping infrastructure ensures compliance with accountable service delivery that meets the information requirement of citizens (Marutha 2011:47). Marutha (2011:47) laments the incapability of records management staff in Sub-Saharan Africa with managing electronic records. However, the National Archives and Records Service of South Africa has made major strides towards capacitating their staff in

records management-related programmes, through four-day short courses that offer the basics of records management ( Marutha 2011:48).

According to Marutha (2011:48), in Zimbabwe, registry staff are offered two weeks of compulsory training on registry procedures, mail management, records classification systems and supervisory skills. This course does not cover the records life cycle, which is a critical component in implementing a records management programme. According to survey results of a study carried out in Namibia, the implementation of a records management programme was hampered by 'the lack of trained records management professionals'. This is despite efforts made by the National Archives of Namibia to offer two to five days of informal training on records management for Registry Clerks and officers (Nengomasha 2009:116).

### **2.3.2 Responsibility for records management and preservation programmes**

A study carried out by Ngoepe (2012) on the South African public sector which sought to look into the relationship between auditing and records management, revealed that most records management programmes in governmental bodies were headed by low level officers, such as registry clerks. These officers did not have the authority to enforce policies and they were not recognised by senior officers. The absence of designated senior officers, with relevant records management expertise, has resulted in the responsibility of records management being left to the creators, who did not have the necessary skills for ensuring that proper records management practices are adhered to. This eventually led to the mismanagement of financial records in governmental bodies (Ngoepe 2012:187). This scenario may negatively impact the preservation of financial records in governmental bodies and eventually result in lack of accountability.

Ngoepe (2008:78 and 2012:187) showed that the absence of people at appropriate senior levels assigned with the responsibility of ensuring that governmental bodies comply with the requirement of the National Archives and Records Service of South Africa (NARS) Act no.43 of 1996 (NARS Act) has adversely affected records management initiatives in governmental bodies. The low-level status accorded records management, renders the registry clerks ineffective and unable to implement records management policies that are meant to be enforced on staff at all levels (Ngoepe 2008:78). Despite the regulations in terms of the NARS Act, that stipulate the qualification and expertise requirements for officers to be entrusted with the responsibility of records management in governmental bodies, these bodies

generally ignore the qualifications prescribed in the regulations when appointing Records Managers (Ngoepe 2008:79). Ngoepe (2008:79) adds that, Records Managers are normally appointed at very low levels and they do not fully concentrate on their records management functions. This means that records management becomes one of their responsibilities and often not their core function (Ngoepe 2008:79).

A study carried out in Uganda by Mukembo (2008:5), which sought to assess the contribution of records management in the running of the Justice administration, revealed that poor records management practices hampered service delivery in Uganda. The report states that legal records were in a terrible state. This condition leads to delays in administering justice. The situation in Uganda is so desperate that, in some instances, work is brought to a standstill because of missing or lost files. The study revealed that, due to the shortage of storage space for records, police officers keep vital records in sacks. These conditions promote acts of corruption by public officers (Mukembo 2008:5).

A similar picture is painted in South Africa, of provincial administrations which are faced with fraud allegations, mismanagement and poor service delivery. In the Department of Social Service in the Eastern Cape, there are cases of lost files reported which have resulted in litigation cases against the department (Mampe and Kalusopa 2012:9). In the absence of proper records preservation strategies, such cases are common and they adversely affect service delivery in the public service.

A study carried out by Mampe and Kalusopa (2012: 18) on the current records management procedures and systems in the Department of Corporate Services revealed that, due to shortage of storage equipment, some of the current and semi-current records in the storerooms are kept on the floor. This practice exposes the records to adverse conditions and exposes them to theft and weeding of important folios. In terms of records security, the study revealed that action officers have a tendency to retrieve files for themselves. This practice is common when there is a shortage of records management units officers. This situation creates an opportunity for some action officers to tamper with or steal records containing valuable information (Mampe and Kalusopa 2012:21).

### **2.3.3 Disaster management**

Disasters are very destructive occurrences that may impede the progress of an organisation if they are not prepared. A disaster recovery and mitigation plan is a vital tool that may assist

organisations in responding to, or recovering from, a disaster. The plan may outline different stages that need to be followed in the process of responding to a disaster. It gives details of the relevant institutions and people to contact in the event a disaster strikes (Marutha 2011:62).

Marutha (2011:154) revealed that all 40 hospitals in the Limpopo Department of Health did not have a disaster management plan. This situation is attributed to the lack of capacity and qualified records managers. In all the hospitals the only fire suppression systems present are the powder and water extinguishers. The challenge of using these suppression systems is that the powder normally leaves an abrasive residue on the surface of paper-based records and water may cause further irreversible damage to the records. Marutha (2011:154) points that the absence of a disaster management plan in the Limpopo Department of Health has resulted in all the 40 hospitals not having water fighting equipment in the event of floods (Marutha 2011:154).

All the hospitals have proper safety measures in place to control access to storage areas of records, which are kept locked when they are not in use. People requiring access to records storage areas have to obtain permission from the responsible officers (Marutha 2011:155).

### **2.3.4 Digitization as a strategy for records preservation**

Digitization is one strategy that may be adopted as a means of preserving records which are in paper format. According to Munetsi (2011:23), the preservation of digital records is a continuous process which needs to be done as long as the digital records are considered worth preserving. The International Records Management Trust (IRMT) (2000:21) states that preservation practices include developing a preservation policy, establishing security and access controls, ensuring the integrity of the digital record, managing metadata, managing the content of digital records and planning for emergencies.

In a study conducted by Marutha (2011:127) on the role of records management in the Limpopo Department of Health, it was revealed that a majority of staff members regarded scanning as an effective strategy for eliminating most paper records challenges, such as a shortage of storage space, misfiling and information sharing (Marutha 2011:127).

The fast growing and dynamic information age has resulted in the wider use of information and communications technology (ICT). Developing countries such as Ghana want to find their place in the developing world. This is evidenced by their move towards the development

of the Ghana Information and Communications Technology for Accelerated Development (Ghana ICT4AD) policy 2004. Ghana is one of the leading countries in terms of ICT use in Sub-Saharan Africa (Boamah, Dorner and Oliver 2012:303). Boamah, Dorner and Oliver (2012:303) state that the increased generation of digital content in Ghana has necessitated the country to consider implementing a programme on the Digital Preservation of Cultural Heritage (DPCH). The DPCH programme is concerned with the management and preservation of digital cultural heritage resources in Ghana (Boamah, Dorner and Oliver 2012:303).

As with many countries, South Africa has faced many obstacles with ensuring the long-term preservation and continued access to electronic records. This has resulted in a high rate of loss of electronic records. This is partially due to the fact that, unlike ICT professionals, who have been given their rightful recognition in governmental bodies, Records Managers and Archivists have been marginalized in government administration (Ngoepe 2008:72). Even though South Africa has a powerful legislative framework that supports the implementation of records and archives management programmes, NARS fails to adequately implement them due to its subordinate function within the Department of Arts and Culture, rather than being an autonomous body. This has hindered the rate of progress in developing electronic-record keeping cultures in the public sector (Ngoepe 2008:72).

A study conducted by Keakopa (2011:153) in South Africa has established the necessary policies and procedures to guide the management of digital records. The National Archives and Records Service Act No. 43 of 1996, as amended, in April 2003 issued three guidelines to help government agencies to effectively manage their records.

These guidelines are:

- The Records Management Policy Manual;
- The performance criteria for records managers and governmental bodies; and
- Managing digital records in governmental bodies' policy guidelines.

Digital records management has become an essential part of government structures in developed countries and has recently become a significant issue in developing countries (Munetsi 2011:22).

The commitment of the South African government to the e-government strategy to support better service delivery to the public has resulted in an increased number of digital records generated in most government departments. The management and preservation of digital records as evidence of business transactions has remained a major challenge for governmental bodies. The NARS strives to ensure that, in the process of transition to e-government, evidence of transactions in electronic records remains accessible and understandable. The NARS does this through the endorsement of the South African National Standards (SANS) 15489, SANS 15801, which recommends trustworthiness and reliability and SANS 23081, which requires metadata for electronic records (Munetsi 2011:23).

A study conducted by Abbot (2001: 62-70) concurs with Munetsi (2011) on the efforts made by South Africa in ensuring the establishment of a proper electronic records management and preservation programme. An overview of the study established that the NARS and the State Information Technology Agency (SITA) were working jointly towards pursuing critical issues relating to the management and preservation of electronic records. These issues include standards, metadata, migration strategies, preservation format and security for electronic records in government institutions (Kalusopa 2011:91). NARS and SITA were involved in the process of developing specifications for an integrated document and records management system. This approach was further outlined in the recommendations of the study, stating that NARS should be a part of the entire project implementation process, in order to ensure full consideration of the electronic records preservation and continuity aspects of the system (Kalusopa 2011:91).

Mutiti (2002:57-61), in a study on “The challenges of managing electronic records in the ESARBICA region,” revealed that archival institution in the ESARBICA region were tasked with the responsibility of managing electronic records systems. The institutions referred to were from countries such as Botswana, Kenya, South Africa and Zimbabwe. It was revealed by the study that the Archivists were not well capacitated on the techniques of managing electronic records (Kalusopa 2011:92). Another study, conducted by Kalusopa (2012:24) in the Department of Corporate Services in Botswana, revealed that there were proper controls in place for the storage and access control of e-records through the establishment of a centralized server. The study showed that, in order to ensure that the integrity, authenticity and reliability of e-records is not compromised, in accordance with the International



Standards Organisation (ISO) 15489, users were assigned specific user names and passwords, to ensure security and access control (Kalusopa 2012:24).

The availability of digital technology has offered many advantages as a preservation method. Digitization offers immense preservation possibilities for historic photographs, since the photographs and their negatives can be scanned and used for research and display, instead of the original photographs. This technology does not, however, replace traditional preservation, as original images still need to be preserved and retained as heritage objects (Liebenberg-Barkhuizen 2007: 39-40).

### **2.3.5 Legal, regulatory framework and policies in East and Southern Africa**

Legislation governing archival and records management in most of the ESARBICA countries is outdated. This makes it difficult to adopt new technologies and implement management strategies pertaining to records and archives (Ndenje-Sichalwe 2010:126). A similar scenario was noted in the Lesotho public service. A study conducted by Sejane (2004:8) revealed that the absence of legislation and policies pertaining to the care and management of electronic public sector records made it difficult for the Lesotho public service to manage their records well. Where there are no guidelines and principles giving strategic direction to the implementation of proper records management programmes, records are normally lost and damaged.

Yuba (2013:5) records five statutory documents that govern the management of records in South Africa:

- The Constitution of South Africa, 108 of 1996,
- The NARS Act No.43 of 1996, as amended,
- The Promotion of Access to Information Act No.2 of 2000,
- The Promotion of Administrative Justice Act No.3 of 2000 and
- The Electronic Communications and Transactions Act No. 25 of 2002.

Various sections of the documents provide the platforms upon which authentic records should be managed and used. Section 196 of the Constitution of South Africa, 108 of 1996 advocates the effective use of public sector resources and provides for the availability of truthful

information and accountability of the public service (Yuba 2013:5). The NARS Act No.43 of 1996, as amended, was enacted to give effect to the provision of the Section 196 of the Constitution.

Section 13 of the NARS Act No. 43 of 1996 provides powers to the National Archivist to ensure effective records management in the public sector and mandates the NARS with the responsibility of all records management activities in the public service (Yuba 2013:6). The availability of such structures facilitates the preservation of public service records and ensures their continued existence as archives after their active use has elapsed.

Mnjama (2010:142) cites a special case that affects the preservation of audio-visual records in Botswana. He states that the major laws governing the management of records in Botswana are silent concerning the preservation of audio-visual records. Neither the Archives Act, nor the Library Act gives direction on the responsibility of creators to deposit audio-visual materials with the National Archives or the National Library. As a result of this weakness in the legislative framework, major gaps exist in audio-visual holdings held by the Botswana National Archives and Records Service (Mnjama 2010:142).

Kemoni (2007:362) states that the Public Archives Act in Kenya particularly does not give records-creating agencies the responsibility to manage their records. The Act does not stress the need to care for public records throughout their life cycle. The Act did not establish a relationship between the records-creating agencies and the Director of Kenya National Archives. This scenario proves to be a loophole for most governments in Sub-Saharan Africa (Kemoni 2007:362). It is important to ensure that the legislation for managing records and archives is in harmony with other legislation in a country. This will ensure that there are no contradicting statements in the different legal framework documents (Maseko 2010:44).

Mnjama (2010:142) emphasizes the importance of having clearly defined policies and procedures that support the collection and preservation of audio-visual materials. These policies and procedures should be coupled with well-equipped buildings and storage facilities, a well-trained team of audio-visual specialists and well-educated and informed users on the value and importance of audio-visual materials (Mnjama 2010:142). The above scenario can be true with the management and preservation of electronic records.

Kalumuna (2000: Towards improving efficiency...) conducted a study in three local government authorities in Dar es Salaam, Tanzania. The study revealed that the absence of

policies together with the lack of the right attitude towards the importance of keeping records for both the registry and technical staff, contributed to the factors that hindered the efficiency of records management in these local governments authorities (Ndenje-Sichalwe 2010:128). Another study, carried out by Kitalu (2001: Managing public records...) in the Ministry of Education and Culture in Tanzania, made it evident that the absence of records management policies do have a negative impact on the way records are kept and used in the public service. The study showed that the management system of all types of records, including current records, were inadequate and inefficient to support the flow of information in the Ministry. The study recommended the formulation of a records management policy that will govern the use and maintenance of records ministry-wide (Ndenje-Sichalwe 2010:129). A study conducted by Kalusopa (2012) on records management and service delivery in the Ministry of Health, Botswana, indicated that most records management personnel were not aware of the records management procedures, policies and standards set by the Botswana National Archives and Records Service. This was also the case with heads of units, who denied knowledge of the existence of records management policies, procedures and standards (Kalusopa 2012:15).

Chachage (2005:201) concurs with Ndenje-Sichalwe (2010:129) on the importance of having a formal records management policy in place. He states that a policy facilitates a creative allocation of funds and human resources. It further serves as a binding agreement between the organisation and stakeholders in ensuring that records management programmes are implemented in accordance with set international records management standards, as outlined in ISO 15489 (1) and (2). Policies can also be used as guiding tools for staff training and evaluation (Chachage 2005:201).

Chachage (2005:169) studied “the management of business records in Tanzania” and found that out of nine companies that were surveyed, four did not have a records management policy in place. Five companies did have records management policies. These policies played an important role in providing statements of company records management objectives, defining responsibilities for corporate records management and providing the company records management plan and a guideline for the management of electronic records. Policies were further attributed to providing guidance on the appraisal of records and the development of retention and disposal schedules (Chachage 2005:169). The above discussion shows that policies are a pivotal instrument in guiding the implementation of effective records

management and preservation programmes that eventually result in the proper preservation of organisational records, including public sector records.

Records management is a crucial aspect of public sector reform programmes, without which transformation, efficiency and delivery in public sector administration would be elusive. In order for a records management programme to succeed, there has to be some awareness of the procedures, policies and standards governing records management.

## **2.4 Overview of records management and preservation programmes in the Swaziland government and the SNA**

This section discusses the management and preservation of records in various Swaziland government ministries and departments and the SNA. The responsibility of the SNA is further defined pertaining to the preservation and care of records, from creation to their ultimate disposal.

### **2.4.1 Structural overview of the government of Swaziland**

The Swaziland government has 21 government ministries, including the Prime Minister's office. These ministries are tasked with pursuing the business of providing efficient service to the government and the citizens of Swaziland. In the process of executing their daily business, the different government ministries and department generate records. Records held by various government departments are created for many different reasons during the conduct of various official functions (Tsabedze 2012:2). In order to ensure the continuous accessibility and availability of these records, proper records preservation strategies need to be put in place at ministerial and departmental levels.

#### **2.4.1.1 The Swaziland National Archives**

The SNA is a department under the Ministry of Information, Communications and Technology (MoICT). The SNA is mandated with ensuring the proper management and care of all public records throughout their life cycle. The quality of management of records, at the early stages of their life and throughout their life cycle, influences their long-term existence as authentic and reliable records.

The SNA was established in 1971 and placed under the Deputy Prime Minister's portfolio until 1990, when the institution was moved to the Ministry of Natural Resources and Energy. From 1996 to 2008 the SNA was placed under the Ministry of Tourism, Environment and

Communications (SNA 2013:4a). It was observed that in all these years the location of the SNA was not appropriate, as shown by the lack of attention it was accorded and the small budget that was allocated to it.

The SNA had in the past been an end-player in the management of records, serving only as a recipient of closed records. In 2009 the Swaziland Government issued a Legal Notice No.25, which moved the information portfolio from the MoICT. This Legal notice was subsequently followed by the circular memorandum of 17 March 2010, which placed all government registries under the SNA (SNA 2013:5b). It was only after its transfer to the MoICT that the SNA expanded its records and archives management mandate, in line with international standards and best practice (SNA 2013:5b).

According to a report on the inspection of government registries (SNA 2013:5b), the SNA has assumed total control of the records management life cycle. It is mandated, therefore to ensure the overall management of records throughout their life cycle, i.e. from the planning of the records management systems, creation, maintenance up to the disposition stage, where ephemeral records are destroyed and records of enduring value are transferred to the National Archives for permanent preservation and public access (SNA 2013:5b).

Good archival records are the outcome of well-managed current records, there can be no useful archival records in future without proper and effective Records Management in the current and semi-current stages of the records life cycle (SNA 2013:3a).

#### **2.4.2 Records management legal framework and policies in the Swaziland government**

The Swaziland National Archives was established by the National Archives Act No.5 of 1971. The Act governs the management of archives and records in government.

Maseko (2010:44) states that a sound legislative framework like the Swaziland National Archives Act No. 5 of 1971 provides for the establishment of a national archival institution that is mandated with ensuring the long-term preservation and access to all national documentary heritage, regardless of format or media in and about Swaziland. Section 3 of the National Archives Act No. 5 of 1971 provides for the proper storage and preservation of archival materials (Swaziland Government 1971).

The National Archives Act No. 5 of 1971 empowers the Director to ensure the proper custody, care and filing of archival materials, the inspection and destruction of archives and the transfer of archives from government offices to the National Archives once their active use period has elapsed (Swaziland Government 1971). The National Archives Act does not cater for the preservation of records during their current and semi-current stages.

Maseko (2010:66), in a study on the management of audio-visual records at the Swaziland Television Authority (STVA), revealed that 57% of the officers at STVA were not aware of the contents and provisions of the National Archives Act of 1971. According to Maseko (2010:32), preservation is not an end in itself when carried out without the objective of providing access to the collection. However, when proper preservation procedures are applied it ensures the permanent accessibility of audio-visual collections.

#### **2.4.2.1 Policies**

Ngulube (2003:242) emphasizes the importance of having policies in place, since they set out goals and the guidelines to achieve them. A study carried out by Ngulube (2003:243) on the preservation and access of records in South Africa, revealed that only 11% of the respondents confirmed that their institution had a preservation policy.

Mnjama (2007:179), in one of the resolutions of the ESARBICA general conference held in Botswana in 2005, states that “realising the importance of conservation and preservation of archival heritage, the conference urged members to integrate conservation in national archival policies”.

Ramokate (2006:85) concurs with Mnjama’s (2007) statement that the integration of preservation issues into the overall policy of an organisation is crucial to the attainment of any goals related to preservation of archival material. Ramokate (2006:85) adds that the implementation of proper preservation practices still remains a challenge in the region, as evidenced by the lack of documented policies and the limited implementation of standard archives preservation practices (Ramokate 2006:85).

Even though most archival institutions in Sub-Saharan Africa region have made efforts to establish conservation units, as an indication that they do recognise the importance of these units as an important component of an organisation, there is still a need for an official guiding instrument such as a preservation policy that will facilitate decision-making in their daily operations (Ramokate 2006:87). Ramokate (2006:87) views a policy as documented and

approved goals statements meant to guide programme planning and implementation. A policy further outlines areas of concern, provides a philosophical framework of the operation and indicates institutional commitment to preservation (Ramokate 2006:87).

A study carried out in governmental bodies in South Africa on assessing the compliance with regard to the NARS Act no. 43 of 1996, revealed that only a few governmental bodies had records management policies. Among those that had records management policies, only 30% had those policies endorsed by their heads of departments and National Archivists, as well as communicated to all staff members (Makhura 2006:134,136).

Abbot, Myburgh, Saymore and Stabbins (2000:21) emphasize the importance of having a records management policy in place. They state that policies work concurrently with procedures, since they define what needs to be done while procedures provide the roadmap on how different things should be done.

In 2013 the SNA launched the National Records Management Policy (NRMP), the purpose of which is to ensure that accurate, authentic and reliable records are created and maintained in all government ministries and departments. In the context of the NRMP, records are defined as all those documents which document business activities, regardless of format.

The NRMP provides for the establishment of the Conservation and Bookbindery section at the SNA, whose objectives are:

- To plan and implement policies, procedures and processes that together prevent further deterioration and renew the usability of different groups of archival materials.
- To develop and continuously update a long-range preservation plan that serves as a roadmap in carrying out preservation actions and in keeping the institution's preservation activities on track.
- To apply a range of methods and techniques to records in their respective formats to physically repair them, make them usable and protect them from damage (SNA 2013:7a).

The NRMP does not distinctly provide for the application of preservation preventative measures to public records during their active stage at the government ministries and departments. Preservation requirements for records in the registries is, however, inferred in

the following statements enshrined in some of the sections of the NRMP. Section 5.1.1 of the NRMP states that every government ministry and department should put in place a systematic records management framework, which will ensure the proper management of records in accordance with its organisational needs. The policy requires all registry officers to protect the records, to ensure their authenticity throughout their active use in the ministries and departments. To address the issue of fire and environmental monitoring systems, Section 5.2.1 of NRMP requires all government ministerial and departmental records centres to be fire-resistant, temperature and relative humidity controlled and have secure storage areas for all types of records, after they have served their original purpose in the offices of origin, pending appraisal and transfer to archival repositories. Storage areas have a great impact on the lifespan of documents, since they contribute to their physical well-being (Ngulube 2007:54). Section 5.3.1 of the NRMP states that all government ministries should give special attention to the permanent preservation of their own vital records. This clause is very important in ensuring that proper care is given to records at their active stage for posterity (Swaziland Government 2013:29-36).

### **2.4.3 Preservation of records in the government of Swaziland**

Preservation is still an area that has not been given much attention in Swaziland government ministries and departments. Numerous workshops have been conducted in the area of records management, but the subject of preservation has been lagging behind. This is evidenced by the scanty information that is available on the preservation of records in the Swaziland government.

According to Tsabedze (2012:39), records management professionals in Swaziland are concerned about the lack of standards and systems for the management and preservation of information technology products and electronic records. Amehame-Addo (1993: An evaluation of preservation...) states that the lack of training in Ghana was the key contributing factor to the deterioration of the National Archives in Ghana. The fact that countries in Sub-Saharan Africa do not have clearly articulated preservation programmes raises concern about their ability to implement emerging digital information management procedures when they do not have the capacity to implement traditional preservation techniques (Tsabedze 2012:40). According to Mnjama (2007:28), one of the resolutions which were an outcome of the eighth ESARBICA general conference held in Botswana in 2005, was that “realising the scarcity of preservation professionals in the Sub-Sahara African



region, the conference urged national archival institutions, educators and other stakeholders to partner in setting regional conservation training facilities for the benefit of ESARBICA member states”.

The SNA has been able to ensure the proper preservation of public records stored in the National Archives, since they serve as the government’s memory. Despite the meagre budget allocated to the SNA, they have been able to conduct sensitization workshops for registry officers, equip the registries with working tools and publish records management manuals which are distributed to the different government ministries and departments (Tsabedze 2012:42).

The responsibility of the SNA, as mandated by the SNA Act 1971, extends to other governmental authorities such as the Swaziland Television Authority. The SNA is mandated to ensure the proper management of the records generated by the STVA throughout their life cycle. The responsibility of the SNA over public bodies requires the Director to enforce compliance of all governmental bodies, including parastatals, to International Records Management Standards (Maseko 2010:117).

#### **2.4.4 Storage of records**

The deterioration of records cannot be stopped, since the basic constituents of these material are organic and are subject to disintegration and deterioration, over time. However, the rate of deterioration can be retarded through proper care and storage (Nsibirwa 2007:23).

The integrated use of records management and preservation standards, such as ISO 15489 and BS 5454:2000, provide guidance on the proper storage facilities and conditions to be adopted for the proper maintenance of records throughout their life cycle. The standards take into account the format and physical and chemical properties of records (Maseko 2010:87).

A study conducted by Maseko (2010) on the Management of Audio Visual Records at the Swaziland Television Authority indicated that the STVA has two storage facilities, one for locally produced content (Main Library) and the second one for foreign produced content (Preview Department). The study further revealed that the main library was well structured and clean but, due to a shortage of space, some of the AV records are stored along the wall. The asbestos roof shows signs of leaking. These conditions pose a hazard to the preservation of the AV records. The Preview Department is slightly smaller than the Main Library. Materials are stored in boxes and some are kept on the floor. A striking observation was that

the storage was adjacent to a kitchen sink that is used by staff members on a daily basis. The shelving units of this storage area were not well raised and the records were flooded on two occasions as a result of a tap which was left unattended to in the adjacent kitchen (Maseko 2010:88). According to Millar and Roper (1999b:84), there should be no water piping systems close to the collections storage areas, since this is a risk when a pipe leaks or bursts.

Controlling the storage environment to maintain optimum temperature and humidity levels that retard the rate of deterioration of records can be an effective strategy to minimise the rate of deterioration in paper-based records. This strategy can be used simultaneously with that of microclimates (storage containers that ensure the proper storage of materials, such as acid-free containers or inert mylar sleeves). Records storage areas should be well equipped with water damage protection and fire extinguishers (Nsibirwa 2007:25). Nsibirwa (2007:33) adds that records management professionals in Africa believe that preservation efforts should lay more emphasis on proper storage than other mitigation strategies that may be applied as a result of lack of proper records preservation practices.

In the Swaziland government most action officers prefer to keep records in their offices, since they find it easy to retrieve them whenever they need them. According to Tsabedze (2012:55), the action officers believe that records get lost and misplaced in registries hence choose to keep them in their offices. However the big drawback is that once the active use of these records has elapsed they dump the records in store-rooms, where their preservation requirements are not considered (Tsabedze 2012:55). This practice exposes the records to theft and damage due to the harsh conditions they encounter in the store-rooms. The SNA (2008:13), in their report on the review of government registries in Swaziland, discovered that there are no properly designated registries in most government ministries and departments. This has resulted in some ministries utilising any available empty room to store records. Other ministries store their inactive records in passages, which renders them vulnerable to harsh weather conditions (SNA 2008:13). The report recommended that ministries and departments should provide proper registry space for the storage of records, in order to ensure that the security and condition of records is not compromised.

## **2.5 Summary**

This chapter discussed different aspects of records preservation, including requirements for proper records preservation in the public sector. The approach in reviewing the literature entailed discussing general records preservation requirements globally, regionally (Africa)

and finally in Swaziland, the focus of the study. Issues relating to legislation and regulatory framework, policies, training and capacity development, storage of records, preservation programmes, disaster management and digital preservation were discussed. Records management models such as the Life Cycle and the Records Continuum Models were also discussed. These models were looked at in the light of their relationship with the present study.

## **Chapter 3: Research methodology and method/s**

### **3.0 Introduction**

This chapter explains the research methods adopted to examine the preservation of public records and archives in Swaziland government ministries and the SNA.

### **3.1 Research design**

Research methodology and methods is the authority base of the research (Behling 1983:44). It is a specific set of procedures that directs the researcher in the administration of the project, as stated in section 1.2.4.1 of Chapter 1. Research methodologies revolve around qualitative and quantitative approaches (Neuman 2003:542). According to Leedy and Ormrod (2001:147), qualitative research focuses on phenomena that occur in natural settings. Qualitative research can be applied to investigate an issue in full cognisance of its multifaceted form. Babbie and Mouton (2001:269) point out that qualitative research provides an in-depth description and understanding of actions and events. This entails the study of those attitudes and behaviours which are best understood within their natural settings. Babbie and Mouton (2001:269) add that qualitative research involves describing the actions of the research participants in great detail and then attempting to understand these from the viewpoint of the participants' own beliefs, history and context. On the other hand, quantitative research generalises and predicts findings based on the use of formal instruments such as a questionnaire (Leedy and Ormrod 2001:101).

The present study used a mixed method approach, both qualitative and quantitative, to complement each other and to obtain in-depth analysis. Methodological triangulation was used to approach the study in different ways. According to Babbie and Mouton (2001:275) through triangulation observers can overcome the deficiencies that come with one method. Babbie and Mouton (2001:275) state that "triangulation is generally considered to be one of the best ways to enhance reliability and validity" (Babbie and Mouton 2001:275).

The researcher used a combination of different methods in this study, Nsibirwa (2007:58) used in her study on "preservation of, and access to, legal deposit materials at the Msunduzi Municipal Library, Pietermaritzburg". These methods include:

- Literature review;
- Self-administered questionnaires;

- In-depth interviews; and
- Observation.

### **3.1.1 Literature review**

The review of literature plays an important role in gaining insight into what is already known in relation to the research question, thus avoiding “reinventing the wheel” (Neuman 2006:111). In this study, a wide range of literature in the area of records preservation was reviewed and analysed. Secondary data was acquired from annual records survey reports compiled by the SNA. Journals, theses and other authoritative sources were reviewed to extract major issues concerning the topic. A literature review helps with interpreting the results, since it enables results to be discussed in the light of what has been done before (Nsibirwa 2007:50). In this study the review played a pivotal role in shedding some light on the analysis of results, since the findings were checked against similar studies that were undertaken before, such as those of Ngulube (2003), Nsibirwa (2007) and Tsabedze (2010).

### **3.1.2 Population and sample**

When conducting research of any form it is of prime importance to clearly determine your respondents and the techniques to be used in acquiring information that will help the study to draw reliable conclusions (Babbie and Mouton 2001:100). Leedy and Ormrod (2001:211-212) emphasise the importance of selecting a sample from a wide population that will be “a true reflection of all the characteristics of the entire population”.

#### **3.1.2.1 Respondents of the study**

In this study, the relevant population was made up of those members of staff who play a role in records management and preservation in the headquarters of the government ministries, namely, Registry Officers, Secretaries to Principal Secretaries, Secretaries to Ministers, Principal Human Resource Officers and the Director, Senior Archivist and Records Management staff of the SNA. The study used a purposive sampling technique that focused on the people who deal with the management and care of records in the various government ministries and the SNA. The study also considered those responsible for the development of legal and regulatory frameworks pertaining to records and archives management. Purposive sampling means the researcher makes specific choices about the people, or groups to include in the sample (Bertram and Christiansen 2014:60).

The number of respondents that were interviewed using the semi-structured interview schedule at the SNA were three, that is the Director of the National Archives, one Principal Archivist and one Senior Archivist. These respondents were purposely selected because of their relevance in the study and their responsibility as overseers of the records management programme in the entire government.

A total of 86 self-administered questionnaires were distributed. Questionnaire 2 was given to officers dealing with records management from the SNA and questionnaire 1 was given to 84 officers working with records in 21 government ministries.

The purposive sampling technique was used to select the population for both questionnaire 1 and questionnaire 2, as well as the interview schedule. This technique was adopted because the researcher knew the population and their relevance to the nature and the aims of the research (Babbie and Mouton 2001:166).

## **3.2 Data collection procedure**

Authority was obtained from the senior management of the various government ministries, in order to gain support from top management. Appointments for collecting data were set in advance with the participants. The research purpose was then clearly explained to the participants, in order to comply with research ethics principles and to receive co-operation from the participants.

### **3.2.1 The questionnaires**

Typical of most quantitative research projects, this study used questionnaires which consisted of both open and closed questions, with some multiple choice questions that prompted respondents to select responses from a list of possible answers. The two questionnaires used in this study were structured.

The distribution of questionnaires adopted a two-tier approach. The first questionnaire was distributed to the officers who are directly involved with the preservation of records in government ministries and departments. This was done in order to identify how records preservation practices are applied in the various offices where records are kept.

The second questionnaire was distributed to the SNA staff who are responsible for the management and care of records and archives. This was done in order to identify the condition of records that are received from the various ministries and departments. The

second questionnaire was further used to determine the condition of the archival records kept at the SNA, as well as the strategies applied to ensure their longevity.

The second questionnaire had a similar structure to the first questionnaire, both open and closed questions, with some multiple choice questions.

### **3.2.2 The interviews schedule**

A semi-structured interview schedule was used to collect data from the Director of the National Archives, the Principal Archivist and the Senior Archivist, in order to acquire their perception of the preservation of records and archives in the various government ministries and departments and in the SNA. Unlike the questionnaires, the interview schedule sought to gather information about the impact of administrative issues on the management of records and archives. These issues include the budget allocation, affiliation of the SNA to international bodies and the recruitment of staff.

According to Babbie and Mouton (2001:291), during an in-depth interview the researcher is not only interested in the content of the conversation, “but rather the process by which the content of the conversation came into being”. In order to ensure reliability of the instrument, the researcher adapted research instruments that have been previously successfully used in similar research by other credible scholars such as Ngulube (2003), Kemoni (2007), Nsibirwa (2007) and Tsabedze (2012).

### **3.2.3 The observation schedule**

The researcher allocated some days where walk-about surveys were conducted for observation of the records and their storage conditions in four government ministries and departments, which were selected randomly. The idea was to understand how records are handled, kept and maintained. Similar to Nsibirwa’s (2007:55) study, an observation checklist was used to gather information relating to what is actually happening on the ground, without relying on other people’s opinions. The greatest advantage of observation is that you can do it anywhere and the presence of an observing and thinking researcher can influence their interpretations of what is actually happening (Babbie and Mouton 2001:293). Graphic data was collected by capturing photographs of the storage areas of records. This gave a visual reflection of what is actually happening on the ground.

### **3.2.4 Reliability and validity**

In conducting research of any kind, it is of interest to the researcher to ensure that the research findings are dependable and those who refer to it have confidence in the work. It is upon this premise that, even before the actual research is conducted, the tools and methods to be adopted in undertaking the research be tested for reliability and validity (Behling 1983:61).

#### **3.2.4.1 Reliability**

Reliability tests the consistence of a research instrument to ascertain if it would yield similar results if it was used repeatedly (Babbie and Mouton 2001:119). Babbie and Mouton (2001:122) enumerate a variety of methods to deal with the issue of validity and reliability. In this study, the researcher adopted the established technique to deal with reliability.

The researcher adapted data collection instruments previously used in studies of a similar nature, such as the studies undertaken by Tsabedze (2010:99-112), Nsibirwa (2007:127-146) and Kemoni (2007:446-502). These instruments were referred to and adapted to suit the current study. The researcher used this technique because it has proven its reliability in previous studies such as those named above.

#### **3.2.4.2 Validity**

According to Behling (1983), validity in the Social Sciences research refers to ensuring if the instrument measures exactly what it is intended to measure. Context issues of validity in research guards against the bias of the researcher not to develop an instrument that measures variables that do not address the research problem (Behling 1983). According to Babbie and Mouton (2001:122), it is very difficult to conclude if a particular measure actually reflects the concept's meaning, hence Babbie and Mouton (2001:122) suggest three criteria to be adopted in order to facilitate success in making measurements appropriate to the terms used to define the concept of validity in social research.

These are:

- i) Face validity: refers to the way the instrument of measurement is perceived relative to measuring what it is intended to measure (Babbie and Mouton 2001:122). Face validity was addressed by ensuring that the questionnaire asked questions relating to preservation of records and archives in government ministries and the SNA.



- ii) Criterion validity: refers to how the measuring instrument is able to predict the outcome of what it is supposed to measure and how it compares with other related instruments (Babbie and Mouton 2001:123; Ngulube 2003:204). Criterion validity was measured by comparing the measuring instrument to those used in other related studies and the review of other standard documents pertaining to the preservation of records and archives.
- iii) Construct validity: is based on the logical relationships among variables. This entails that, other than the measurement tool developed for the research, certain theoretical expectation will be developed. If the measure relates to the theoretical expectations, then it validates the measure's construct validity (Babbie and Mouton 2001:123). Construct validity will be achieved by linking the various components of the questionnaire to the various theoretical concepts of the subject matter.

#### **3.2.4.3 Pre-testing of instruments**

It is important to pre-test the questionnaires and the field procedures. Pre-testing a questionnaire involves trying out the questionnaire with a group and an environment similar to that expected in the actual situation (The World Health Organisation (WHO) N.d.: Structured questionnaire method). WHO (N.d: Structured questionnaire method) states that pre-testing a questionnaire:

- Assists the interviewer to be familiar with the questionnaire,
- Helps with reviewing and finalizing the questionnaire, and
- Alerts the researcher to be aware of possible problems that lie ahead, giving an opportunity to make changes in the organisation of the study.

According to Scheure (2004:45), a greater part of the accuracy and interpretability of the survey results depends on pre-testing the questionnaire. Scheuren (2004:45) agrees with WHO (N.d.: Structured questionnaire method) that pre-testing is critical for identifying questionnaire problems which may occur for the respondents and the interviewers. Problems that may be found in question content include confusion with the overall meaning of the question, misinterpretation of individual terms or concepts and problems with how to navigate from question to question (Scheure 2004:45).

The data collection instruments were pre-tested with officers responsible for the management and preservation of records in different sectors of government. The first questionnaire was

pre-tested with the Accounts and Administration officer at the Parliament of Swaziland and the Records Manager at the Institute of Development Management (Swaziland). The second questionnaire was piloted with officers in the various departments within the MoICT.

The interview schedule was pre-tested with two randomly selected senior officials at the Swaziland National Library Services (SNLS), on the basis of their responsibility for the development of policies and administration of the SNLS.

#### **3.2.4.4 Changes made to the questionnaires**

The following changes were made to questionnaire 1, to make it more clear and understandable:

- Question 11 an extra option was added – c) other, please specify.
- Question 26 an extra option was added – c) other, please specify.
- Question 40 square brackets were inserted for each option.

No changes were required for questionnaire 2.

#### **3.2.4.5 Changes made to the interview schedule**

As with questionnaire 1, the following changes were made to the interview schedule:

- A statement was added to Question 6, if “No” to any of the options then go to Question 11.
- Question 25 an extra option was added – Unsure.
- Question 34 an extra option was added – Unsure.

#### **3.2.4.6 Administering the instruments**

After the relevant changes were made to the research instruments, the researcher collected the data. Pursuant to the authority acquired from the Principal Secretary of the Ministry of ICT to conduct the study, managers responsible for registry management in the various government ministries were informed about the intended dates of conducting the study and appointments were made with the participants to distribute and explain the contents of the questionnaires. The copy of the covering letter stating the objectives of the research and the questionnaires were distributed to the participants in each ministry on 20 July 2015.

The respondents were given one week to respond to the questionnaires, after which the questionnaires were collected from the respondents on 27 July 2015 and arranged in readiness for data clean-up and analysis.

After making the correction to the interview schedule, appointments were made with the relevant senior officers at the SNA. The covering letter and the interview schedule was distributed to the participants on 16 July 2015, in order to familiarize them with the contents of the interview and gather information that is required to respond to some of the questions, prior to the interview. The interviews were conducted on 16 July, 23 July and 24 July 2015. Observation schedules were completed for four ministries, including the SNA, on 27 and 28 July 2015.

### **3.2.5 Data analysis**

Data analysis refers to the disintegration of data into manageable components, in order to conduct a systematic study of the content (Bertram and Christiansen 2014:115). According to Bertram and Christiansen (2014:116), the analysis of data follows a three-level flow activity:

- Data reduction
- Data display
- Verification and drawing conclusions.

These three streams of activity are interrelated to facilitate the sorting and organisation of data into categories that will be displayed in a manner that permits the researcher to draw conclusions and take actions (Bertram and Christiansen 2014:116). Colorado State University (2015: An introduction ...) classifies the analysis of data into two categories:

- Relational analysis
- Conceptual analysis.

In this study, after collecting the data using the various instruments, the data was organised and examined to identify missing data and errors. The data was coded and cleaned to rectify errors from incorrect coding, in preparation for analysis (Babbie and Mouton 2001:417). Since the researcher used a mixed method approach, both quantitative and qualitative techniques of analysing data were applied. Extracting themes and identifying patterns in the qualitative data, mainly extracted from the interviews and open questions in the questionnaires, included processes such as thematic content analysis.

SPSS was used to organise, analyse and present quantitative data from the closed questions in the self-administered questionnaires and interviews. The reason for using SPSS is because it is a reliable package that has been extensively used by academics globally and “it possesses very powerful analytical functions for sorting data and computing of frequencies, sums, means, percentages, standard deviations and exploring similarities and differences among the variables” (Tsabedze 2012:51).

### **3.3 Ethical considerations**

Every researcher has the right to conduct research from different platforms. All research, however, has to be conducted with full cognisance of the rights of other individuals in society (Babbie and Mouton 2001:520). It is important for social researchers to know what is proper and improper in carrying out social research (Nsibirwa 2012:161).

Ethical issues arise out of our interaction with other people, other beings and the environment. Ethical issues are more likely to occur where there is potential for, or there is conflict of interest (Babbie and Mouton 2001:520). Leedy and Ormrod (2001:107) classify ethical issues into four main categories: “protection from harm, informed consent, right to privacy and honesty with professional colleagues”. Protecting the participants from potential physical or emotional damage is of prime importance in the conduct of social research. This study did not cover issues that might subject the participant to any form of physical harm, embarrassment, or any form of risk that may subject the participants or their families to danger.

In obtaining the informed consent, the researcher ensured that participants were given a clear outline of the nature and purpose of the study and given the choice to withdraw from the study at any time. In protecting the privacy of research participants, this study ensured that the identity of participants and information disclosed was anonymous, in order to protect their jobs.

According to Leedy and Ormrod (2001:108), the report of a research should be a true representation of the findings of the study and proper acknowledgement of sources used in the study should be made. This study was guided by professional ethical practices in the information studies discipline and the author date referencing system (both in text and in the list of references) were adopted throughout the report, in order to ensure compliance with professional ethical requirements of social science research.

### **3.4 Summary**

Chapter 3 discussed the research design and the different methods used to collect data, as well as the data collection techniques. This study used a mixed method approach, both qualitative and quantitative, to complement each other and to obtain in-depth analysis. A purposive sampling technique that focused on the people who deal with the management and care of records in the various government ministries and the SNA, including those responsible for the development of legal and regulatory frameworks pertaining to records and archives management, was used.

The different methods of testing the validity of research instruments in this study are face validity, criterion validity and construct validity. SPSS was used to organise, analyse and present quantitative data from the closed questions in the self-administered questionnaires and interviews. Thematic and content analysis were used in analysing qualitative data.

This study was guided by professional ethical practices in information studies, in order to ensure compliance with professional ethical requirements of social science research. The research purpose was clearly explained to the participants, to comply with research ethical principles and receive co-operation from the participants. The data collected using the questionnaires, the semi-structured interview schedule and the observation guide is presented in Chapter 4.

## **Chapter 4: Data presentation and analysis**

### **4.0 Introduction**

This chapter presents and analyses data gathered through the use of questionnaires, a semi-structured interview schedule and the observation checklist. This chapter presented the data collected for each instrument separately, in order to clearly present the findings of the study for each group of respondents. The researcher used descriptive writing, tables, graphs and pie-charts to illustrate various responses that were obtained through the research instruments. Tables, graphs and pie charts are ideal in presenting detailed information in a short but comprehensive manner (Kumar 2005:248). All percentages presented were rounded off to one decimal point. This chapter presented various thematic areas that were outlined in the research instruments such as the respondents' demographic profiles, legislation and regulatory framework, education level and the current status of the preservation and care of records and archives. In order to comply with ethical requirements in scientific research, the data presented in this chapter was not attributed to any respondents or government ministry. Covering letters assuring the respondents that all their responses would be treated with confidence were distributed with the questionnaire, in order to obtain full and frank participation.

### **4.1 Response rate**

Out of 84 questionnaires from questionnaire 1 that were distributed to the different government ministries on 20 July 2015, 57 questionnaires were returned by 21 August 2015, yielding a response rate of 67.8%. Of the two copies of questionnaire 2 that were given to the Swaziland National Archives on 16 July 2015, both copies were returned on 16 July 2015. The response rate was 100%.

The researcher managed to interview all three interviewees that were targeted by the study using an interview schedule. On 16 July 2015 the Principal Archivist was interviewed, on 23 July 2015 the Director of the Swaziland National Archives was interviewed and on 24 July 2015 the Senior Archivist was interviewed. This resulted in a 100% response rate in the interview schedules.

Observation schedules were completed for four ministries, including the SNA, on 27 and 28 July 2015.

## **4.2 The results**

The results of questionnaire 1 were presented according to the following thematic areas in order to respond to the research question of the study, as outlined in section 1.2.2 of Chapter 1:

- Demographic data
- Policy, procedures and regulatory framework
- Current records preservation
- Semi-current records preservation
- Inactive records preservation
- Knowledge and skills of staff
- Storage and security of records and archives
- Condition and care of records in general

The results of questionnaire 2 were presented according to the following thematic areas that seek to respond to the research questions mentioned earlier:

- Demographic data
- Policy, procedures and regulatory framework
- The building condition
- Training level of staff
- Environmental conditions of storage areas
- Fire detection and suppression
- Security systems
- Disaster preparedness and management
- Condition and care of records in general

The data from the interviews was used to supplement the questionnaires and to get in-depth information with regards to preservation policies and regulations, budget allocation, recruitment of staff and training and skills of staff dealing with the preservation of records. Finally, results from the observation schedule were presented to give the researcher a feel of the actual situation happening on the ground.

### **4.3 Questionnaire results**

The results collected using the two self-administered questionnaire 1 and questionnaire 2 are presented in this section.

#### **4.3.1 Questionnaire 1 results**

The data collected from questionnaire 1 is presented in this section. The results reflected the current status of the management and care of records in the different government ministries and departments, as stated by the respondents who are responsible for the management of records. Questionnaire 1 targeted Registry Officers, Secretaries, both to the Ministers and Principal Secretaries, as well as the staff responsible for personnel records who mainly consisted of Human Resource Officers.

##### **4.3.1.1 Demographic data**

The demographic profiles of the respondents were collected in order to establish how their backgrounds influenced the way they managed records and their understanding of records preservation. Of the 57 respondents who answered the questionnaires, 44 (77.2%) were female and 13 (22.8%) were male. A majority of the respondents were between the ages of 51 and 60 years. This age group comprised 20 (35.1%) of the respondents, 17 (29.8%) were in the age group 41 to 50, the next age group was 31 to 40, with 12 (21.1%) respondents. The age group 20 to 30 had six (10.5%) respondents. One (1.8%) respondent was above 60 years and another one (1.8%) did not disclose her age.

##### **4.3.1.1.1 Training and skills level**

Education background is a critical component in records preservation, since it determines how officers are going to take care of the records. According to Kalusopa (2011:200), the need for staffing and professional training in records management is one of the critical areas in understanding the depth and breadth of records management. Nsibirwa (2012:166) concurs with Kalusopa (2011:200), that education and skill play a crucial role in preservation since



they affect the way staff take care of and relate to the records. The education backgrounds of the respondents were diverse across various government ministries and departments. A majority of the respondents 30 (52.6%) attained their highest level of education at a technikon. Even though most of the respondents had technikon qualifications that did not necessarily imply that they had a qualification in archives and records management or records preservation. Thirteen (22.8%) of the respondents possessed a university qualification. Seven (12.3%) respondents only went up to high school level and four (7%) had other levels of education, which they did not specify. Three (5.3%) did not disclose their education level.

Table 2 shows the relationship between the qualifications of the respondents in archives and records management and their age. One (1.8%) was within the age group 31 to 40 years and had a degree. Among those who possessed a diploma qualification, a majority of four (7%) were from the age group 41 to 50. Among the nineteen (33%) who possessed a certificate in archives and records management, a majority of eight (14%) respondents were from the age group 41 to 50 years. Within the eight (14.3%) respondents who had other qualifications, a majority of six (10.5%) were from the age group of 51 to 60 years. Out of the 20 (35.1%) respondents who did not have training in archives and records management, a majority of nine (15.8 %) were from the age group 51 to 60 years. One (1.8%) respondent did not respond to question 24.

Some of the respondents who had a qualification in archives and records management also had training in records preservation. Among the 36 (63.1%) respondents who had training in archives and records management, 17 (29.8 %) had training in records preservation. The results further reflected that 37 (64.9%) of the respondents had an understanding of records preservation.

**Table 2: A cross-tabulation of the age of respondents and records management training****N=57**

Respondent records management training level	Age group of Respondent										Non-response		Total	
	20-30		31-40		41-50		51-60		Over 60					
	Count	%	Count	%	Count	%	Count	%	Count	%	Count	%	Count	%
Certificate	4	7	4	7	8	14	3	5.3	0	0	0	0	19	33.3
Diploma	0	0	2	3.5	4	7	2	3.5	0	0	0	0	8	14
Degree	0	0	1	1.8	0	0	0	0	0	0	0	0	1	1.8
Other qualification	0	0	0	0	2	3.5	6	10.5	0	0	0	0	8	14
No RM qualification	2	3.5	5	8.8	3	5.3	9	15.8	1	1.8	0	0	20	35.1
Non-response	0	0	0	0	0	0	0	0	0	0	1	0	1	1.8
Total	6	10.5	12	21.1	17	29.8	20	35.1	1	1.8	1	1.8	57	100

(Source: Field data)

#### 4.3.1.2 Policy, procedures and regulatory framework

The study sought to establish if there were records management policies in the ministries and departments that govern the management of records and subsequently the preservation of records. Policies play an important role in providing guidance and ensuring that standard records management procedures are followed and implemented (Ngulube 2003:242). The study revealed that a majority of the ministries and departments did not have policies that relate to records management. The study further revealed that the officers working with records did not have knowledge of policies and other regulatory framework documents that existed in their ministries and departments. Table 3 shows that a majority 42 (73.7%) of the respondents did not have policies that deal with records management in their ministries. Fourteen (24.6%) stated that they had the policies and one (1.8%) did not respond. Within those 14 (24.6%) respondents whose ministries and departments had records management policies, seven (50.0%) had policies related to records preservation from the SNA and the other seven (50.0%) did not have records preservation-related policies. A majority 15 (26.3%) of the respondents were not sure about the awareness of staff on the existence of records management policies in their ministries, while eight (14.0%) of the respondents stated that the staff was not aware of the existence of policies. Six (10.5%) respondents stated that staff had knowledge of the records management policies available in their ministries.

**Table 3: Existence of records management (RM) related policies**

**N=57**

Existence of RM policies	Count	%
Yes	14	24.6
No	42	73.7
Non-response	1	1.8
Total	57	100.1*

(Source: Field data)

*\*The total percentage does not add up to exactly 100% because percentages have been rounded off to one decimal place.*

#### **4.3.1.2.1 Legislation**

Legislation plays an important role in ensuring compliance to organisational records management requirements. According to Ngoepe (2012:74), the legislation drives the legal framework according to which records management practices are regulated. Table 4 shows that six (10.5%) of the respondents stated that they had legislation that regulates the way they manage records in their ministries and 18 (31.6%) did not have records management legislation in their ministries. Twenty three (40.4%) of the respondents stated that they were not sure about the existence of a legislation that governs the management of records in their ministries and 10 (17.5%) did not respond.

**Table 4: Existence of records management legislation**

**N = 57**

Records management legislation	Count	%
Yes	6	10.5
No	18	31.6
Unsure	23	40.4
Non-response	10	17.5
Total	57	100

(Source: Field data)

Table 5 shows that among the respondents who had legislation for records management in their ministries, four (66.7 %) were aware of the contents of the legislation and two (33.3%) were not aware of the contents of the legislation.

**Table 5: Availability of records legislation and awareness of contents of legislation**

**N=6**

Records legislation available	Respondent awareness of legislation contents						Total	
	Yes		No		Unsure			
	Count	%	Count	%	Count	%	Count	%
Yes	4	66.7	2	33.3	0	0	6	100
Total	4	66.7	2	33.3	0	0	6	100

(Source: Field data)

#### **4.3.1.2.2 Standards and records management procedures**

It is an essential requirement for every organisation to keep its records in accordance with international records management standards, such as ISO 15489, if efficient and effective record-keeping is to be realised. Twenty four (42.1%) respondents were not sure if records preservation standards were available in their ministries. Sixteen (28.1%) of the respondents stated that they had records preservation standards available in their organisation and 13 (22.8%) had no records preservation standards implemented. Table 6 shows that, among the 24 (42.1%) respondents that were not sure about the availability of records preservation standards in their ministries, five (20.8%) respondents stated that they were not trained in records preservation standards. Out of the 16 (28.1%) respondents that had record preservation standards available in their organisation, eight (50.0%) respondents were trained in the standards.

**Table 6: Records preservation standards and records preservation standards training****N=57**

Records preservation standards available	Respondent records preservation standards training								Total	
	Yes		No		Unsure		Non-response			
	Count	%	Count	%	Count	%	Count	%	Count	%
Yes	8	50	5	31.3	0	0	3	18.7	16	100
No	0	0	3	23.1	1	7.7	9	69.2	13	100
Unsure	0	0	5	20.8	3	12.5	16	66.7	24	100
Non-response	0	0	0	0	0	0	4	100	4	100
Total	8	14	13	22.8	4	7	32	56.1	57	*99.9

(Source: Field data)

*\*The total percentage does not add up to exactly 100% because percentages have been rounded off to one decimal place.*

Although it may be difficult to follow and implement standards, as enshrined in the international standards documents, most institution break down the contents of the standards into procedures manuals and operational regulations. The records procedures manuals facilitate proper record-keeping by serving as a guideline to all staff on all record-keeping operations. Table 7 shows that a majority of the respondents, 34 (59.6%) stated that they had a records procedures manual available in their ministries, five (8.8%) of the respondents stated that they had records management regulations in place, while three (5.3%) respondents stated that they had both the records procedures manual and records management regulations in place in their ministries. Fifteen (26.3%) of the respondents were not responsive to this question, resulting in 15 (26.3 %) no responses.

**Table 7: Availability of records procedures manual and regulations in ministries****N = 57**

<b>Records procedures manual and records management regulations</b>	<b>Count</b>	<b>%</b>
Records procedures manual	34	59.6
Records management regulations	5	8.8
Have both manual and regulations	3	5.3
Non-response	15	26.3
Total	57	100

(Source: Field data)

A records preservation plan serves to assist the processes of both preventative and prescriptive preservation. Preventative preservation is the widely preferred form of preservation due to the costs that are associated with prescriptive preservation. Prescriptive preservation is laborious and normally requires trained professionals to execute it. A good preservation plan should incorporate both forms of preservation. A preservation manual gives a detailed outline of the steps to be followed when conducting preservation procedures. Table 8 shows that a majority of 12 (21.1%) respondents had a records preservation manual in their ministries, while eight (14%) respondents had a records preservation plan. Only one (1.8%) had both the records preservation plan and the records preservation manual. Two (3.5%) of the respondents stated that they did not have either the preservation manual or a preservation plan. Thirty-four (59.6%) of the respondents did not respond to the question.

**Table 8: Availability of records preservation plans and manuals in ministries****N = 57**

<b>Records preservation plan or manual</b>	<b>Count</b>	<b>%</b>
Records preservation plan	8	14
Records preservation manual	12	21.1
Have both manual and plan	1	1.8
Neither have manual or plan	2	3.5
Non-response	34	59.6
Total	57	100

(Source: Field data)

### 4.3.1.3 Disaster management

This section presents information on emergency planning, recovery measures and fire protection systems and structures. The proper application of preventive and disaster mitigation strategies ensures that the chances of man-made disasters occurring are reduced. Disaster management and planning further assists in minimizing the effects of negative impacts inflicted by natural disasters.

A majority of 33 (57.9%) respondents stated that they had no disaster management plan in place. Only one (1.8%) respondent stated that he/she had a disaster management plan in place, 17 (29.8%) were not sure if they had a disaster management plan and six (10.5%) did not respond. The respondents were asked further to find out if they were instructed on emergency recovery procedures. Table 9 shows that 16 (28.1%) were not instructed on emergency recovery procedures, eight (14%) were unsure and only one (1.8%) respondent stated that they were instructed on emergency recovery procedures. Thirty-two (56.1%) did not respond to this question. A Fire Protection System (FPS) is critical to ensuring that the effects of disasters that occur through fire are minimised. Question 33 sought to discover if there was a FPS installed in the records storage areas. Twenty-five (43.9%) stated that there was no FPS installed, 19 (33.3%) had a FPS, nine (15.8%) were unsure of the existence of a FPS and four (7%) were not responsive.

**Table 9: Staff instruction on disaster emergency procedures**

**N = 57**

Staff instruction on emergency procedures	Count	%
Yes	1	1.8
No	16	28.1
Unsure	8	14
Non-response	32	56.1
Total	57	100

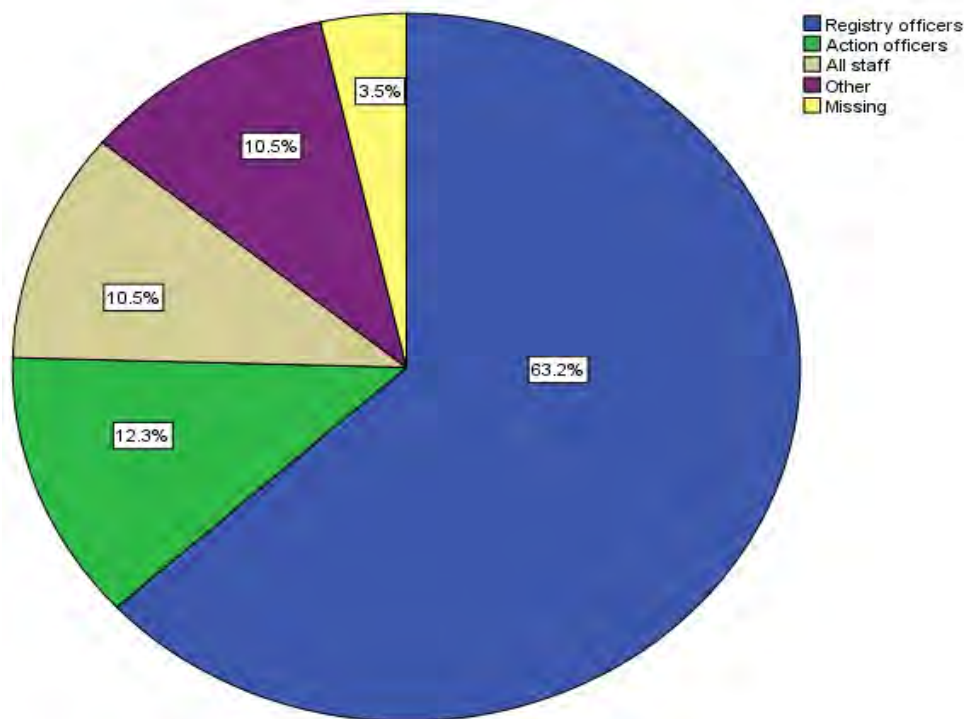
(Source: Field data)

### 4.3.1.4 Security of records

This section sought to gather information about the security of the records in storage areas, whether the windows were burglar-proofed and how access to the records storage areas was controlled. Thirty six (63.2%) of the respondents stated that there were no burglar bars in the

records storage areas, 13 (22.8%) said the windows to the storage areas were burglar-proofed in their ministries, two (3.5%) were not sure and six (10.5%) did not respond. The respondents were further required to state who had access to the records storage areas.

Figure 1 shows that a majority of 36 (63.2%) respondents indicated that access to records storage areas was granted only to registry officers. Seven (12.3%) of the respondents stated registry officers and action officers and six (10.5%) respondents stated that all staff members had unrestricted access to storage areas. Six (10.5%) stated that officers other than the ministry staff members were granted access, two (3.5%) were not responsive. The study also sought to find out about access control measures that were in place in the records storage areas for the protection of the records.



**Figure 1: Access restrictions to storage areas**

**N = 57**

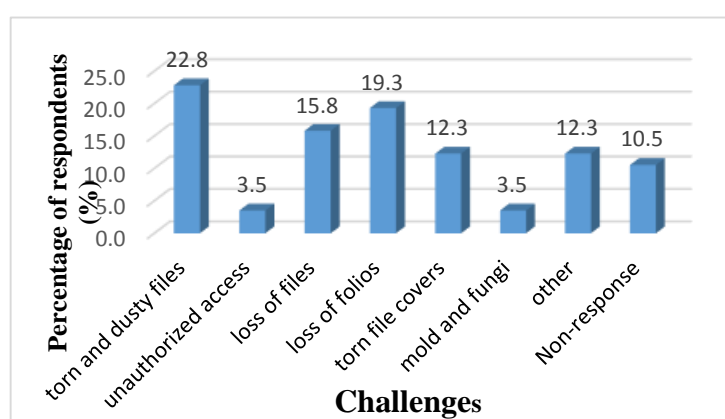
(Source: Field data)



Question 36 sought to discover how access to records storage areas is controlled. Nineteen (33.3%) stated that doors to records storage areas were always locked when registry officers were out of the office, 16 (28.1%) indicated that access was only granted to selected staff, 12 (21.1%) stated access was strictly limited to registry staff, five (8.8%) used other forms of restrictions and only one (1.8%) indicated that there were no controls to restrict access. Four (7%) respondents did not respond to question 36.

### 4.3.1.5 Condition and care of materials in general

The main goal of records preservation in the public sector is to ensure that records are created and maintained as evidence of daily business transactions in order to facilitate their continued access and availability. This section gathered information about the general condition and level of care of records in government ministries. Fifty-one (89.5%) of the respondents, responded to question 37, a majority of 13 (22.8%) respondents had challenges with torn and dusty files, while 11 (19.3%) had challenges with the loss of folios. There were nine (15.8%) respondents that found the loss of files to be a challenge while preserving records. Seven (12.3 %) of the respondents had challenges with torn file covers and another seven (12.3%) respondents had other challenges. Only two (3.5%) respondents had challenges with fungi and another two (3.5%) respondents had challenges with unauthorized access. Out of the 57 respondents, six (10.5%) did not disclose the challenges they faced while preserving records. Figure 2 presents the results.



**Figure 2: Challenges encountered when preserving records**

**N=57**

(Source: Field data)

The proper application of records preservation and conservation techniques helps to slow down the process of deterioration of records and minimise the effect of records degrading due to various factors. A majority of 27 (47.4%) respondents did not practice any form of preservation or conservation work in their ministries. Fourteen (24.6%) of the respondents stated that they did conservation work in their ministries. Ten (17.5%) respondents were not sure if any conservation work was conducted in their ministries, while six (10.5%) did not respond to the question.

When the respondents were asked about the form of preservation/conservation techniques they applied, 15 (26.3%) stated that they did nothing, 13 (22.8%) changed torn folders, 12 (21.1%) sent damaged records to the SNA, four (7%) removed paper clips, three (5.3%) respondents stated that they conducted minor repairs, another three (5.3%) stated that they did dust removal as a preservation technique. Seven (12.3%) did not respond to the question. The results are shown in Table 10.

**Table 10: Preservation/conservation techniques applied**

**N=57**

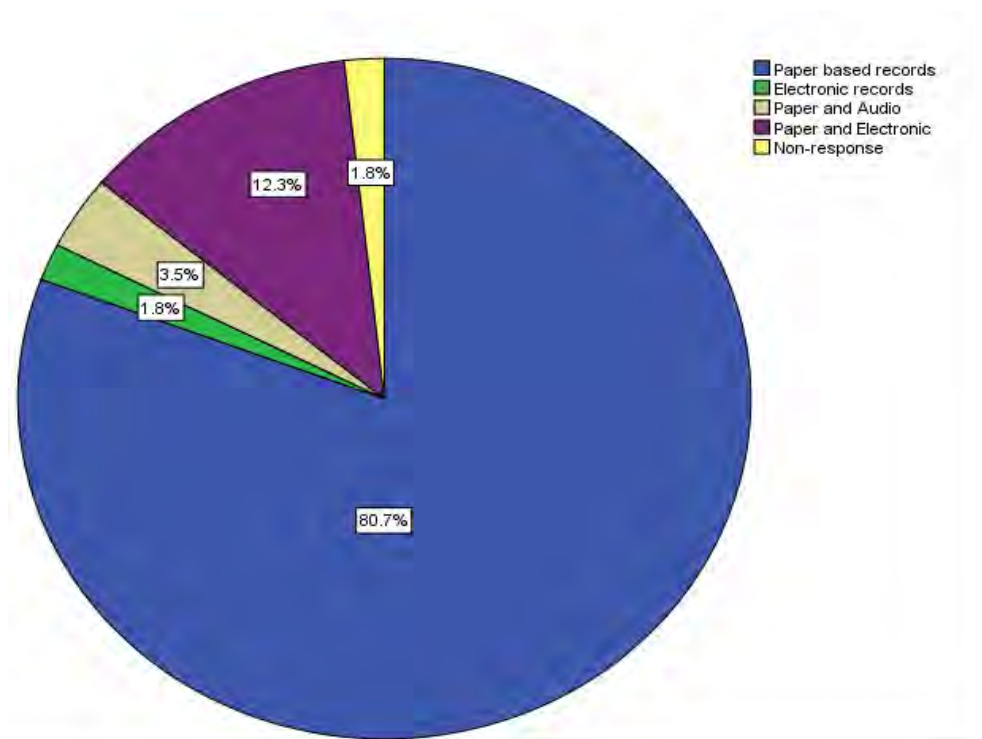
<b>Preservation/conservation techniques applied</b>	<b>Count</b>	<b>%</b>
Minor repairs	3	5.3
Dust removal	3	5.3
Removing paper clips	4	7
Changing torn folders	13	22.8
Send to national archives	12	21.1
Do nothing	15	26.3
Non-response	7	12.3
Total	57	100

(Source: Field data)

#### **4.3.1.6 Current records**

Current records are frequently required on a daily basis to support the daily operations of the creating agencies. During their current stage, records are exposed to different agents of deterioration, since this is the most active stage of the records life cycle. The format and media used when records are created, as well as the kind of material they are made of and where they are stored after creation are some of the factors that determine their life

expectancy. Figure 3 shows that a majority 46 (80.7%) of the respondents stated that they created paper-based records. Seven (12.3%) respondents stated that they created both paper and electronic records, while two (3.5%) respondents stated that they created both paper and audio visual records. One (1.8%) respondent stated that their ministry only created electronic records and the other one (1.8%) did not respond.



**Figure 3: Types of records created in ministries**

**N = 57**

(Source: Field data)

The type of paper used when printing records has an influence on the longevity of the paper-based records generated by different government ministries. The use of acid free paper is a safer option, as it slows down the deterioration process of paper-based records. All of the 55 (96.5%) respondents that created paper-based records, paper and electronic records and paper and audio-visual records, stated that they used printing paper. None of the respondents used acid free paper. Two (3.5%) respondents did not respond to this question.

Table 11 shows that a majority of 36 (63.2%) of respondents stated that in their ministries current records were kept in the registry, while 13 (22.8%) stated that they kept records in their offices after creation. Six (10.5%) respondents stated that they kept records both in their offices and in the registry. One (1.8%) respondent used other storage facilities and one (1.8%) did not disclose where they kept their records after creation.

**Table 11: The location where records are kept after creation**

**N =57**

<b>Location for keeping records after creation</b>	<b>Count</b>	<b>%</b>
Offices	13	22.8
Registry	36	63.2
Offices and registry	6	10.5
Other	1	1.8
Non-response	1	1.8
Total	57	100.1*

(Source: Field data)

*\*The total percentage does not add up to exactly 100% because percentages have been rounded off to one decimal place.*

Paper clips, paper pins and staples are some of the fasteners used to ensure that paper leaves are held together in government ministries. Most often, these are made from reactive metals that rust and stain the paper. Archival brass paper clips are normally preferred in order to prevent rust.

Table 12 shows that a majority of 40 (70.2%) respondents used metal paper clips to hold records together, ten (17.5%) stated that they used other fasteners, three (5.3%) respondents stated that they used plastic (PVC) coated paper clips. Only one (1.8%) respondent stated that they used galvanized metallic paper clips and three (5.3%) respondents did not respond to this question.

**Table 12: Type of paper clips used in ministries**

**N = 57**

Type of paper clip	Count	%
Metal paper clips	40	70.2
PVC courted paper clips	3	5.3
Galvanized metallic paper clips	1	1.8
Other	10	17.5
Non-response	3	5.3
Total	57	100.1*

(Source: Field data)

*\*The total percentage does not add up to exactly 100% because percentages have been rounded off to one decimal place.*

#### **4.3.1.7 Semi-current records**

Once the active stage of records has elapsed, they cease to be as dynamic as current records and they are then referred to as semi-current records. Semi-current records are referred to occasionally for reference because of their link to active records. According to Tsabedze (2012:68), most action officers in Swaziland government ministries kept their records in their offices and some others in storerooms. In this study, when the respondents were asked about the location of the records before they were transferred to the records centre at the SNA, a majority of 32 (56.1%) respondents stated that they stored records in the registry before they were transferred to the SNA, 12 (21.1%) stored their records in offices, while seven (12.3%) stated that their records were stored in a storeroom and one (1.8%) did not respond. Table 13 shows where government ministries stored their semi-current records before they were transferred to the SNA.

**Table 13: Location of semi-current records****N =57**

Location of records	Count	%
Registry	32	56.1
Storeroom	7	12.3
Offices	12	21.1
Other	5	8.8
Non- response	1	1.8
Total	57	100.1*

(Source: Field data)

*\*The total percentage does not add up to exactly 100% because percentages have been rounded off to one decimal place.*

It is important for government ministries to transfer semi-current records to the National Archives once their retention period had lapsed. The transfer of semi-current records to the National Archives is not a common practice in other countries, since they may have records centres within the government ministries and departments. In the case of the Swaziland government, the timeous transfer of semi-current records to the central records centre which is located at the SNA minimises the risk of loss of vital records through theft and uncontrolled destruction. This practice also saves valuable office space that could be utilized to store current records.

The results from this study, as shown in Table 14, reflect that 17 (29.8%) respondents stated that it took a period longer than five years before they transferred records to the SNA records center, 16 (28.1%) transfer their records once they are five years old, while four (7%) stated that they transferred records to the archives once a year. Eleven (19.3%) of the respondents used other periods to transfer records to the National Archives and nine (15.8%) respondents did not disclose how often they transferred records to the archives.

**Table 14: Frequency of record transfer to archival institution****N = 57**

<b>Records transfer to archival institution</b>	<b>Count</b>	<b>%</b>
Once a year	4	7
Once in 5 years	16	28.1
More than five years	17	29.8
Other	11	19.3
Non-response	9	15.8
Total	57	100

(Source: Field data)

A retention and disposal schedule assists in controlling the disposal of vital records for preservation at the National Archives or the destruction of ephemeral records. Twenty eight (49.1%) respondents were unsure if records transfers were governed by a retention schedule, while 18 (31.6%) of the respondents stated that all records transfers from their ministries were governed by a retention schedule. Four (7%) did not use retention schedules and seven (12.3%) did not respond. Table 15 shows the results.

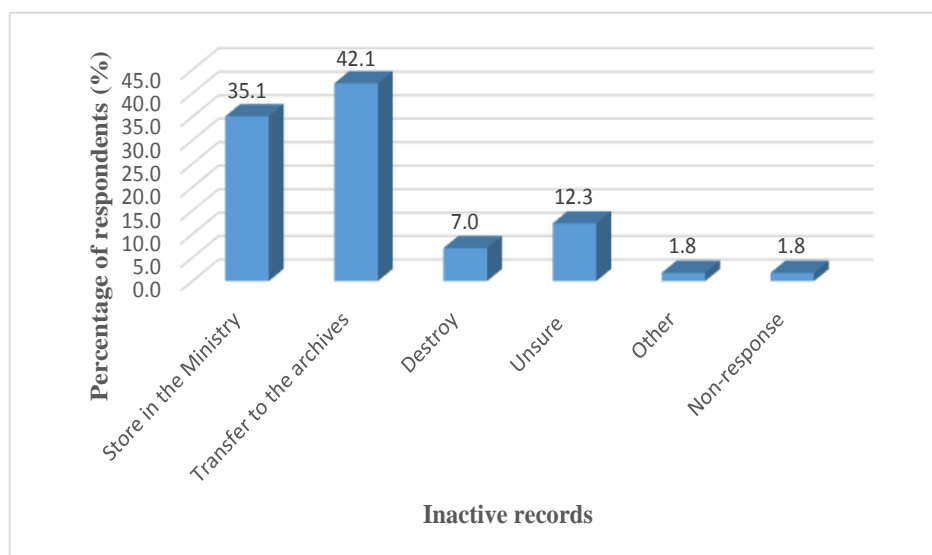
**Table 15: Transfer governed by a retention schedule****N = 57**

<b>Transfer governed by retention schedule</b>	<b>Count</b>	<b>%</b>
Yes	18	31.6
No	4	7
Unsure	28	49.1
Non-response	7	12.3
Total	57	100

(Source: Field data)

#### **4.3.1.8 Inactive records**

This section gathered information about inactive records in the government ministries. Inactive records are all those records that have reached their cut-off age as defined by the organisation's retention schedule. Fifty-six respondents responded to question 21, 24 (42.1%) respondents stated that they transferred inactive records to the archives, while 20 (35.1%) stored inactive records in their ministries. Seven (12.3%) were unsure, four (7%) stated that they destroyed inactive records. One (1.8%) said they used other methods of managing inactive records and one (1.8%) did not respond to the question. Figure 4 presents the data.



**Figure 4: Inactive records**

**N=57**

(Source: Field data)

#### **4.3.1.9 Storage of records and storage environment**

This section presents information gathered from Questions 29 to 32, which addressed issues pertaining to records storage space, the types and materials of storage facility and the availability of a heating, ventilation and air-conditioning (HVAC) system in records storage areas. Table 16 shows that a majority of 48 (84.2%) respondents stated that they had designated storage areas for records, while eight (14 %) stated that they did not have an area designated for record storage. One (1.8%) respondent did not respond.

**Table 16: Availability of records storage place**

**N = 57**

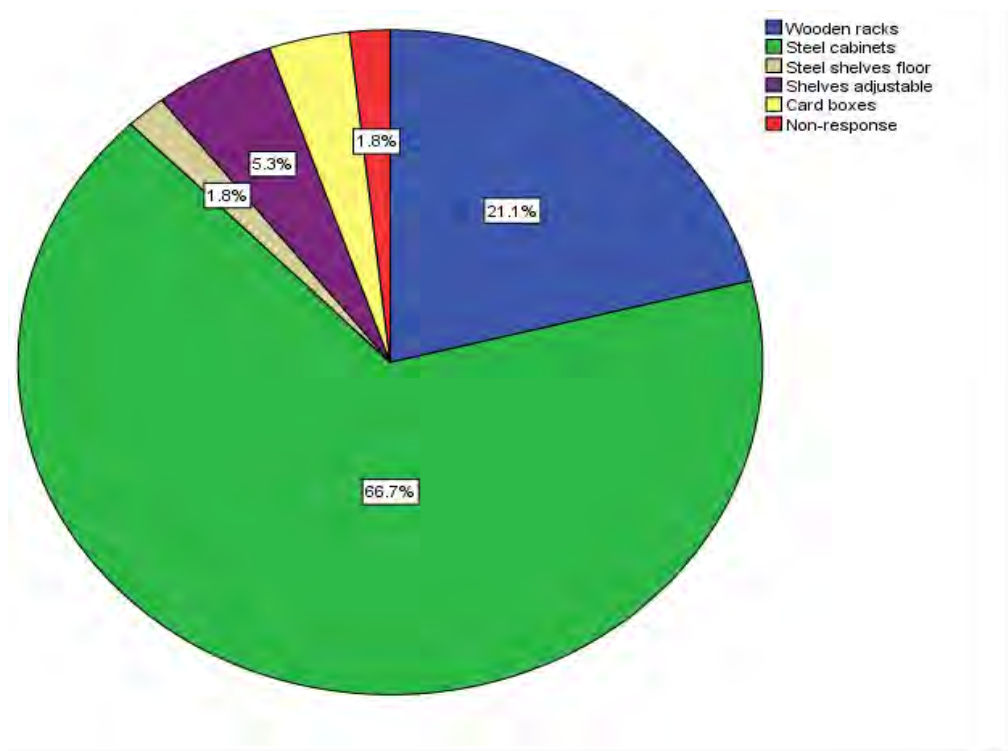
Records storage place	Count	%
Yes	48	84.2
No	8	14
Non-response	1	1.8
Total	57	100

(Source: Field data)



Information gathered about the storage facility reflected that 39 (68.4%) respondents used filing cabinets to store their records, four (7%) used shelves, two (3.5%) used boxes, while seven (12.3%) used both cabinets and shelves and four (7%) used cabinets and boxes and one (1.8%) did not respond.

The material of the storage facility for records is of prime importance, since it can determine the magnitude of the risk factor that records are exposed to. Figure 5 shows that a majority 38 (66.7%) of the respondents stated that they used steel cabinets, 12 (21.1%) used wooden racks, while only one (1.8%) respondent stated that they used steel shelves, three (5.3%) used adjustable shelves, two (3.5%) used card boxes and one (1.8) did not respond.



**Figure 5: Material of storage medium**

**N =57**

(Source: Field data)

The environment where records are stored determines how long the records will survive. The environmental factors of temperature and relative humidity have to be monitored and controlled to ensure that records are not adversely affected by fluctuating levels of the

external climatic conditions. Table 17 shows that a majority 49 (86 %) respondents did not have HVAC systems installed in records storage areas. Four (7 %) stated that they had HVAC systems and four (7 %) did not respond.

**Table 17: Presence of heating, ventilation and air-conditioning (HVAC) system in storage areas**

**N = 57**

<b>HVAC in storage areas</b>	<b>Count</b>	<b>%</b>
Yes	4	7
No	49	86
Non-response	4	7
Total	57	100

(Source: Field data)

### **4.3.2 Questionnaire 2 results**

The data collected from questionnaire 2 is presented in this section. Questionnaire 1 collected data from the officers who were directly involved with the management and preservation of active records in the government ministries to identify how records preservation practices were applied.

Questionnaire 2 collected data from the officers who were involved with the management and care of semi-active records and archives (inactive records) at the SNA in order to identify the condition of records that were received from the various Ministries and Departments and also determine the condition of the archival records kept at the SNA.

#### **4.3.2.1 Demographic data**

In this section, information on the demographic profiles of the respondents was gathered. Out of the two respondents who answered the questionnaires, one (50%) was male and the other (50%) was female. The female respondent was in the age group of 51 to 60 years and the male was in the age group of 31 to 40 years.

#### **4.3.2.2 Training and skills level**

The male respondents had a university qualification and the female respondent had a certificate from another tertiary institution as her highest qualification. One (50%) respondent had a diploma in a records management related field and the other one (50%) had a Certificate in Records and Archives Management. When the respondents were asked if their

records management training included records preservation, the two (100%) respondents stated that they did cover records preservation in their records management training.

### **4.3.2.3 Policy, procedures and regulatory framework**

One (50%) respondent stated that the SNA had a policy to improve preservation conditions and another (50%) stated that they only had a National Records Management Policy at the SNA.

#### **4.3.2.3.1 Standards and records management procedures**

One (50%) of the respondents stated that they had records preservation standards available at the SNA and the other (50%) said they did not have any preservation standards. The respondent that stated that they had preservation standards added that they received training on the preservation standards available.

### **4.3.2.4 Building condition**

This section presents data on the general condition of the archival building. Information on the condition of the roof, walls and drainage system of the building was gathered from Questions 10 to 15. When the respondents were asked about the general condition of the roof of the building, one (50%) of the respondents stated that the roof was in a very good condition and the other one (50%) stated that the roof was in good condition. The respondent that stated that the roof was in a very good condition added that the roof had not leaked in the past three years. However, the respondent that stated that the roof of the building was in a good state added that the roof had leaked in the past three years.

Question 12 asked about the type of material used to construct the roof. One (50%) respondent stated that the roof was made of corrugated iron sheets and the other respondent did not disclose what material the roof was made of. In addition, the respondents were asked what type of roof the building had and both (100%) respondents stated that the roof was pitched. When they were further asked about the general condition of the walls of the building, both (100%) respondents stated that the walls were intact. Question 15 sought to find out about the condition of the drainage system of the building. One (50%) of the respondents said that the drainage system was clean, while the other one (50%) was not sure about the drainage condition of the archives building.

### **4.3.2.5 Environmental conditions of record storage areas**

In this section data on the relative humidity and temperature levels was presented. Data about the availability, use and condition of the heating ventilation and air conditioning (HVAC) systems was presented. The section further presents data on the monitoring and control of climatic conditions, light, air pollution, pest management in the repositories and the storage and handling of archival materials.

#### **4.3.2.5.1 Temperature and relative humidity**

Temperature and relative humidity levels in the repositories are normally controlled using heating, ventilation and air conditioning (HVAC) systems in conjunction with other environmental control systems. The respondents were asked if the archival building had a HVAC systems installed in repositories. The two (100%) respondents stated that they had HVAC systems installed in the building.

Question 17 sought to discover the age of the HVAC system installed at the SNA. The results revealed that the HVAC system had been running for a period of one to three years. When asked if the HVAC system was kept on at all times, both respondents stated that the HVAC system was always kept on. The subsequent question sought to find out if the HVAC system provided constant temperature control all year round, which both respondents gave an affirmative response to.

Question 20 asked about other alternatives used for heating, ventilation and cooling in the absence of a HVAC system. This question was not applicable to both respondents, since they had a HVAC system installed. When asked if the repositories had separate environmental control systems for offices and reading rooms, the two respondents said that the repositories had separate environmental control systems from the offices and reading rooms. When the respondents were asked about the average temperatures in the building and the repositories. One (50%) of the respondents stated that the average temperature of the building was between 21 and 25 degrees Celsius and the average temperature of the repositories was between 18 and 20 degrees Celsius, while the other (50%) respondent was unsure about the average temperatures in both the building and the repositories.

In questions 24 and 25, the respondents were asked if the temperature and the relative humidity (RH) levels in the repositories were monitored constantly. Both (100%) respondents stated that the temperature and the relative humidity levels were monitored constantly.

#### **4.3.2.5.2 Light**

Light is one of the elements that speeds up the rate of deterioration of archival materials. Questions 26 to 33 gathered information on the exposure of materials to different kinds of light. The respondents were asked how long archival materials were exposed to light. The two (100%) were not sure of the number of hours under which archival materials were exposed to light. When asked if lights were turned off when repositories were not in use, both respondents stated that lights were turned off after a repository had been used. Question 28 asked the respondents if the light intensity level in the repositories was monitored. One (50%) of the respondents stated that they were not sure if the light intensity was monitored, while the other one (50%) stated that the light intensity in the repositories was not monitored. Question 29 and 30 sought to gather information about the type of lighting that was used in the repositories and reading rooms. It was revealed from both respondents that fluorescent lights were used in the repository and in the reading rooms.

The respondents were asked if the fluorescent tubes were covered with UV-filter sleeves. One (50%) of the respondents stated that the fluorescent tubes were not covered with UV-filter sleeves and the other one (50%) was not sure whether or not the fluorescent tubes were covered with UV-filter sleeves. When the respondents were asked about whether the repositories had windows they both stated that repositories had windows that were covered with UV filter film.

#### **4.3.2.5.3 Air pollution**

This section gathered information about the cleanliness of the air in the repositories. It sought to determine the condition of the air in terms of dust contamination and other pollutants. To achieve this, the respondents were asked if repositories had air filtering systems. Two (100%) of the respondents were not sure if air filtering systems were installed in the repositories. It can, however, be assumed that since most HVAC systems have an air filtering mechanism, some dust particles are filtered by the air-conditioners installed in the repositories.

#### **4.3.2.5.4 Pest management**

The proper management of repository environmental conditions is critical in controlling pest manifestation. The invasion and infestation of both macro and micro-organisms promote deterioration of archival collections through feeding on material and leaving dirty stains of insect droppings and mould growth. Respondents were asked on whether materials were

checked for insects/vermin infestation before they were transferred into the archives repositories. One (50%) respondent stated that materials were not checked for insects/vermin infestation, the other one (50%) said they were unsure. Question 36 and 37 sought to find out if the archives ever experienced insect invasion or insect infestation. The two (100%) respondents stated that they had previously experienced insect invasion and vermin infestation in the repositories. The respondents further added in question 37, an open-ended question, that the infestation was of termites. When asked about the method used to eradicate the pests, the respondents both stated that fumigation was used.

#### **4.3.2.5.5 Storage and handling**

This section presents information on how materials were handled and stored. This included questions regarding the cleanliness of repositories, adequacy of storage space, access control to repositories, the availability of guidelines for users/staff in handling materials and information about the responsibility for safely copying archival material. The two respondents stated that repositories are generally clean. One (50%) respondent said that repositories were dusted only and the other (50%) said the floors were scrubbed with water and the shelves were also dusted.

Question 41 asked the respondents if there was adequate space for shelving and storage. The two (100%) respondents stated that the storage space was inadequate. When asked about the access into the storage areas, both (100%) respondents stated that only staff members were allowed into storage areas. The respondents were asked to indicate if there were written guidelines for handling materials for staff or users. The two (100%) respondents indicated that there were guidelines detailing how staff members or users should handle materials. The respondents were asked to state the personnel that determine materials that can be safely copied. One (50%) of the respondents was not sure and the other (50%) stated that the responsible section officers determined what could be safely copied.

#### **4.3.2.6 Security of records**

This section gathered information regarding the security of the records in storage areas. Questions relating to the security of records, including establishing the type of security systems that were used, whether there were security officers assigned to reading rooms and if storage areas had burglar bars. Question 47 required information on the form of security systems that existed in the SNA. Both (100%) respondents revealed that the building had

security personnel, an electronic security system and closed circuit television (CCTV) cameras installed. In question 48, the respondents were asked if burglar bars were installed in the records storage areas to cover windows. The two (100%) respondents stated that there were no burglar bars in the storage areas.

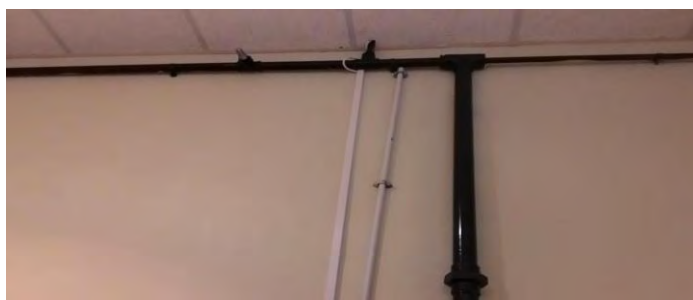
Respondents were asked if there were security officers assigned to reading rooms and the two (100%) respondents said that security officers were assigned to reading rooms. Information about the training of reading room security officers on archives management security procedures was asked in the open-ended question 50. The results show that both (100%) respondents stated that the security officers assigned to reading rooms were not trained on archives management security procedures.

Question 51 asked about the effectiveness of the security system in the past 10 years and both (100%) respondents stated that the security system has been effective.

#### **4.3.2.7 Disaster preparedness and management**

This section presents information on emergency planning, recovery measures and fire protection systems and structures at the SNA. Questions 53 to 57 sought to gather information about the availability of disaster management and recovery strategies at the SNA. One respondent (50%) stated that they did not have a disaster planning team in place and the other (50%) was not sure whether they had a disaster planning team at the SNA. When the respondents were asked if the staff members were trained on emergency planning, one (50%) of the respondents stated that staff members had undergone informal training in emergency planning. One (50%) of the respondents stated that they were not sure if staff members were trained in emergency planning.

Questions 45 and 46 sought to discover if repositories had a fire detection system installed. One (50%) of the respondents stated that they had a fire detection and suppression system installed in the SNA and added that the system used carbon dioxide as a fire suppression agent. The other respondent was not sure whether a fire detection and suppression system was installed. Photographs 1 and 2 show the results.



**Photograph 1: FPS reticulation**

(Source: Field data)



**Photograph 2: FPS suppression gases**

(Source: Field data)

#### **4.3.2.8 Condition and care of materials in general**

In this section, information on the level of care and condition of materials in the archives was gathered. Questions 58 to 66 were asked to determine the condition of materials received from government ministries and departments, the physical condition of the materials in repositories and the possible causes of deterioration of archival records. Information on the personnel responsible for conservation treatment and their training levels on conservation treatment procedures was also gathered.

The respondents were asked about the overall condition of archival materials. Both (100%) respondents stated that archival materials were in an average condition. Question 60 asked about the types of records that were in a poor condition. This question did not apply to both respondents, since none of the responses were 'poor condition'. In question 61, the respondents were asked about the general physical condition of the materials in repositories. The two respondents stated that the physical condition of materials in the repositories were dirty, deteriorating through wear and tear, some were mouldy and some acidic.



When the respondents were asked if they had observed deterioration due to users or researchers, both respondents stated that they had observed deterioration due to users. The two respondents attributed the deterioration to frequent use, photocopying and inadequate supervision.

Questions 64 to 66 asked about the strategies employed by the SNA to carry out conservation treatment and the training levels of the officers carrying out conservation treatment, in-house. The two respondents stated that all conservation treatments were done in-house at the SNA. It was further revealed that the personnel carrying out conservation treatment were trained at postgraduate level.

### **4.3.3 Interview schedule**

This section presents results of the interview schedule. As alluded to earlier in the chapter, the interviews were conducted to give in-depth information with regards to preservation policies and regulations, budget allocation, recruitment of staff and training and skills of staff dealing with the preservation of records. In this study all three interviewees who were targeted were available to be interviewed. Below is the presentation of the results from the interview schedule.

#### **4.3.3.1 Demographic data**

This section presents the demographic profile of the respondents, which gives detailed information about their background and how this influences their responses to the questions. This included their gender, age group and their highest level of education. All three respondents were female, with university qualifications and they all fell into the age bracket of 51 to 60 years.

#### **4.3.3.2 Preservation policies and regulations**

Policies are vital in guiding the implementation of different programmes within an organisation. The respondents were asked if they had policies to improve preservation conditions, develop conservation facilities and policies to train and recruit qualified personnel. All three respondents stated that there were no policies to improve conservation facilities, or develop conservation facilities. They all stated that, even though they did not have a policy that was developed specifically for training and recruiting qualified staff, there was a tool that the institution used (Scheme of Service) for the archives and records

management cadre stipulating the minimum qualifications and experience required for officers to be recruited into the cadre. The three respondents stated that the minimum entry requirement into the records management cadre, according to the Scheme of Service, was a diploma in archives and records management. In addition, they all stated that there was a training policy which was developed by the Ministry of Public Service. This policy was used by the entire civil service to guide them in assessing the training needs of officers.

The respondents were asked if they intended to develop the policies, to which they all responded in the affirmative. The subsequent questions sought to gather information based on the availability of the policies which they did not have. They did not respond to questions 6 to 10.

Question 11 solicited information on the availability of a preservation strategy. All three respondents stated that there was a preservation strategy in place. The following questions 12 to 14 gathered information regarding the office responsible for implementing the preservation strategy as well as the success of the preservation strategy in achieving the institution's preservation goals. One (33.3%) respondent stated that the Director of the National Archives and Senior Staff members were responsible for implementing the preservation strategy, another one (33.3%) stated that it was the Director and Senior Archivist through the conservation section of the National Archives and one (33.3%) stated that the conservation section was responsible for implementing the strategies. However, all three respondents regarded the implementation of the preservation strategy as being successful in achieving the institution's preservation goals. One respondent (33.3%) attributed the success of the preservation strategy to the positive support it gets from senior management and other staff members, as well as the overall proper implementation of the different preservation activities. Two respondents (66.7%) stated that their response was influenced by the successful implementation of the ongoing preservation activities in the institution, such as the establishment of the dry and wet conservation laboratories and ongoing sensitisation sessions for staff on preservation issues.

#### **4.3.3.3 Affiliation to professional bodies**

Information regarding the affiliation of the SNA to international records management bodies and what the benefits were in the area of records and archives preservation were sought. All three respondents stated that the SNA was affiliated to international records management bodies such as the International Council on Archives (ICA), ESARBICA, the Association of

Commonwealth Archivists and Records Managers (ACARM) and the International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCRPM). In terms of how the SNA benefited from these affiliations in the area of records preservation, the respondents stated that the SNA was kept abreast of new developments in issues relating to records management and the preservation of records and archives. Professional bodies, such as the International Records Management Trust (IRMT), develop guides and training modules which are used to train records management staff. The ESARBICA hosts annual archives and records management conferences and workshops, which are beneficial to institutional development.

#### **4.3.3.4 Preservation means**

Information about the availability of resources to support preservation programmes was discussed in this section. This included issues relating to the budget allocated for records management activities in government ministries and the proportion of the budget that is directed towards records preservation functions. All three respondents stated that there was a budget allocated for the management of records and archives at the SNA. The results revealed that only 5% to 10% of that budget supports preservation and conservation activities, such as the procurement of equipment for the conservation laboratory, conservation laboratory chemicals, archives repair materials, training of conservation staff and procurement of laboratory protective clothing.

All three respondents stated that the budget was not sufficient to support all the preservation needs of the institution. The respondents emphasised the lack of resources to acquire laboratory equipment and materials, as well as training for the conservation staff.

The results revealed that the SNA does not receive any alternative funding, other than the recurrent budget from the government. The three respondents stated that there was no budget allocated for registries in government ministries and departments. However, the SNA has plans for sensitising and mobilising ministries and departments to allocate a budget for records management activities.

#### **4.3.3.5 Level of skills and knowledge in records management**

This section presents results on the level of training and skills for carrying out records preservation activities at the SNA and government registries. The respondents stated that the personnel carrying out preservation activities at the National Archives were trained at

different levels. The head of the Conservation Section had a Postgraduate Diploma in Archives and Records Management, the Conservation Assistant had a certificate and had also undergone practical attachment in different conservation laboratories in South Africa.

The respondents were further given a table to elaborate on some of the features of staff employed in the conservation and preservation of records at the SNA. The total number of staff employed was 37, according to two (66.7%) respondents and one (33.3%) respondent stated it was 35. They all said that three staff members were directly involved in preservation and conservation activities, seven staff member were trained abroad, six had technical training, three had a certificate in archives or records management, one had a Bachelor's degree qualification without archives or records, Two had Masters degrees in an archives-related discipline, one had training in de-acidification and digital preservation, four had training in developing preservation programmes, providing preservation advice, implementing preventive and handling procedures and evaluating conservation problems in context.

None of the employees employed for records preservation at the SNA had a qualification lower than form five (grade 12).

#### **4.3.4 Observation guide results**

The results of the observation were presented according to the different thematic areas as outlined in the observation schedule. These areas are the structure and design of the storage area, security of records, environmental conditions of storage areas and preservation means. The data in this section indicates frequencies and percentages of the sites observed. The observations were done in a total of three registries in the different government ministries. The observation checklist was also used at the SNA repositories to ascertain how the records of permanent value are kept and used.

##### **4.3.4.1 Structure and design of storage area**

This section sought to discover the general structure and design of the record storage areas in which materials were kept, through observation. Observation is very important to researchers as it influences their interpretation of what is actually happening at the research site (Babbie and Mouton 2001:293). The results showed that steel cabinets and shelves were used in three (75%) of the observed ministries. One (25 %) of the observations showed that cabinet holders were used to store records in the registries. It was observed that records officers worked in

the offices or storage areas where records are kept. In two (50%) of the observations, it was unveiled that the record storage areas were generally unclean, with one (25%) observation adding that the storage area was dusty.

All four (100%) of the observed records office and storage areas showed that metal shelving was the widely used type of shelving. The observations further showed how high the bottom shelves were from the floor. Table 18 shows that in one (25%) of the observed areas the shelving was raised 11 to 30 cm from the floor, while three (75%) of the areas revealed that the shelving was raised to a height of 1 to 10 cm.

**Table 18: Distance between the floor and the bottom shelves**

**N = 4**

Floor-Shelving distance	Count	%
1-10 cm	3	75
11-30 cm	1	25
Total	4	100

(Source: Field data)

In determining whether or not all records were properly shelved, it was observed that two (50%) of the areas showed that not all records were properly stored. Among the improperly stored records, some were on top of the filing cabinets and some in storage boxes. Two (50%) of the areas showed that the records were properly stored, with one (25%) area showing that they still kept a few non-active records. The observation schedules revealed that there was adequate space for record storage. However, in one (25%) of the observations it was revealed that inactive records were accumulating and occupying valuable space. One (25%) of the observations indicated that there would be shortage of space for archival records. Photograph 3 shows the results.



**Photograph 3: Storage of records in the registry**

(Source: Field data)

#### **4.3.4.2 Security of records**

This section presented information on the security and access control in records storage areas of registries in the ministries and the repositories at the SNA. All four (100%) observation schedules showed that there was at least some form of security in the storage areas. One (25%) of the observations revealed that semi-current records were locked out in a separate storage area, while current records were under the constant supervision of records personnel. Another one (25%) of the observations showed that the doors to storage areas were always locked, granting access only to archivists, security personnel, the conservator and cleaning staff. Two (50%) of the observations revealed that there was a security access card system installed on all doorways leading to storage areas. All four (100%) observations indicated that the doors to record storage areas were lockable.

The four (100%) observations of the records storage sites showed that there were no burglar bars on the doors leading to the records storage areas. In determining the measures that were taken to protect the records or archives during usage processes, one (25%) of the observations indicated that there was no system in place. Two (50%) of the observations indicated that there was a manual file tracking system utilized, which facilitates the tracking of records as they circulate around their respective places. One (25%) of the observations showed that records were used under supervision by strict security officers, adding that surveillance cameras were also utilized.

#### 4.3.4.3 Environmental conditions of records storage areas

This section reports on information gathered relating to the general condition of the environment of the records storage areas. Information on the HVAC installation, temperature and relative humidity monitoring, types of lighting and fire protection was collected. It was revealed that all four of the observation areas had a fire protection system, even though there were some challenges. It was observed in one (25%) of the areas that, even though they had smoke detectors, there were no fire extinguishers nearby. It was gathered that in one (25%) of the observation areas the fire protection system installed was not fully functional, with another showing that the smoke detectors were closed.

Three (75%) of the observed areas had HVAC systems installed in the record storage areas while one (25%) area did not have a HVAC systems installed. Table 19 shows that out of the three (75%) areas that had an HVAC system installed, two (50%) of them were not constantly on. The other one (25%) area had the HVAC system on at all times.

**Table 19: Availability of HVAC system**

**N=4**

HVAC system	Count	%
On at all time	2	50
None	1	25
Sometimes on	1	25
Total	4	100

(Source: Field data)



**Photograph 4: HVAC system**

(Source: Field data)

Regarding the temperature, one (25%) of the observed areas had extremely warm records storage areas, while one (25%) had temperatures that were not systematically controlled. Three (75%) of the observed areas did not have instruments for measuring relative humidity. One (25%) area had humidifiers installed and a portable thermo-hygrometer which was used for measuring the relative humidity.

Fluorescent lights were predominantly used in all the observed areas. In two (50%) of the observed areas lights were only kept on in the records storage area during working hours. The results showed that, in one (25%) of the areas, lights were turned off when the records storage areas were not in use. There was one (25%) area where lights are always kept on in storage areas, even after working hours. Three (75%) of the storage areas had windows which were covered with blinds to prevent sunlight rays from entering. One (25%) storage facility had five repositories, of which two did not have windows, another two had windows that were covered with UV-filter film and one repository had sky-lights that are not covered for sunlight rays filtration. Three (75%) of the observed areas did not show any signs of leaks in the roof, while one (25%) had signs of roof leaks. Photograph 5 shows these signs of roof leaks.



**Photograph 5: Signs of roof leaks**

(Source: Field data)

Table 20 shows that three (75 %) of the observations indicated that there were no signs of insect droppings in the storage areas, while one (25%) indicated signs of insect invasion and droppings, as shown in Photograph 6.



**Table 20: Signs of insect droppings**

**N=4**

<b>Sign of insects droppings</b>	<b>Count</b>	<b>%</b>
Yes	1	25.0
No	3	75.0
Total	4	100.0

(Source: Field data)



**Photograph 6: Signs of insect invasion**

(Source: Field data)

#### **4.3.4.4 Preservation means**

This section sought to observe records storage areas for the availability of resources that support the preservation of records. The information gathered included issues relating to basic preservation measures taken, the handling of records and their general condition. Table 21 shows that two (50%) of the observations revealed that file covers were used as a basic preservation measure. One (25%) of these observations added that steel filing cabinets were also used. One (25%) of the observations indicated that boxes were used for the preservation of files.

**Table 21: Records storage resources**

**N= 4**

<b>Preservation measures applied</b>	<b>Count</b>	<b>%</b>
Boxes	1	25
Files	2	50
Steel Filing Cabinets	1	25
Total	4	100

(Source: Field data)

The observations revealed that files from all four observed storage areas fitted well in their file covers. The observations showed that the general condition of records varied. Three (75%) of the observations indicated that, the records were generally in a good condition while one (25%) showed that, even though most of the records were in good condition, some were in a bad condition, depending on how they were stored. In all four of the observed areas records were used and handled well. In addition, one of the areas ensured that the thickness of the files are within the acceptable size of not more than three centimetres.

#### **4.4 Summary**

This chapter presented and analysed data gathered through the use of questionnaires, semi-structured interview schedules and the observation checklist. It used descriptive writing, tables, graphs and pie-charts to illustrate various responses that were obtained through the research instruments which were distributed to staff working with records in the different government ministries and the SNA.

The findings indicate that minor preservation is carried out at a very low scale in government ministries and departments. Most of the staff that work with records in government registries are within the age group 51 to 60 year and a majority of them do not have training in records management and preservation. In SNA, a majority of the staff were trained on records management and preservation issues, up to postgraduate level.

It was also observed that a majority of the registry staff in government ministries were not aware of the existence of records management and preservation legislation or policies. There were no records management standards that govern the way records are preserved and managed. Most of the government ministries and the SNA did not have disaster management plans.

A majority of the officers working with records had training in records management. This gives potential for the development of records management practices. It was observed that the security of records are good in government ministries, since a majority of the respondents stated that access to records storage areas is granted to registry personnel. However, environmental control systems are not properly utilised in those offices that have them. The SNA indicated that environmental controls were properly implemented in the repositories.

# Chapter 5: Discussion of research findings

## 5.0 Introduction

This chapter interprets and discussed the results presented in Chapter 4. Bertram and Christiansen (2014:123) state that data does not speak for itself but needs the researcher to interpret it. The interpretation of collected data facilitates how the researcher will draw conclusions about the data they have collected and thus decide what kind of story the data tells (Betram and Christiansen 2014:123). Kothari (2004:346) states that “interpretation reinforces the interaction between theoretical orientation and empirical observation”, thus displaying the originality of the study and creativity of the researcher. The interpretation and discussion in this study took into consideration the major findings presented in Chapter 4 regarding the research problem, the detailed literature review in Chapter 2 and rationale of the study. The discussion and interpretation of prominent issues were thus based on the analysis of the different data collection tools employed in this study, which includes two self-administered questionnaires 1 and 2, the review of literature related to records and archives management/preservation, the interviews of senior staff at the SNA, structured observations in some government ministries and the SNA. The discussion of results in this study are measured with reference to similar studies that used an integrated records management model which combined the Records Life Cycle Model and the Records Continuum Model, as discussed in sections 2.1.1 and 2.1.2 of Chapter 2.

The aim of the study was to investigate records preservation practices in the Swaziland Government Ministries and the SNA, in order to develop a records preservation framework by answering the following questions:

- What is the policy and legislative framework pertaining to records and archives preservation in Swaziland government ministries and the SNA?
- What are the current procedures, regulations and plans pertaining to the care and preservation of records and archives in Swaziland government ministries and the SNA?
- What knowledge and skills do the staff responsible for the preservation of records and archives in Swaziland government ministries and the SNA possess?

- Are there purpose-built structures for the storage of records and archives in Swaziland government ministries and the SNA?
- What is the current situation pertaining to the care of records and archives in government ministries and the SNA?

The presentation of data interpretation and discussion is based on the order in which data was presented in Chapter 4, which is according to the following thematic areas that respond to the research questions:

- Policy and legislative framework
- Procedures and regulation
- Knowledge and skills of staff
- Storage and security of records
- Condition and care of records.

## **5.1 Policy and legislative framework**

The interpretation and discussion of results with regards to the availability and use of policies and legislations, pertaining to records and archives preservation in Swaziland government ministries and the SNA, is presented according to the following sub-themes:

- Records management legislation
- Records preservation policies.

### **5.1.1 Records management legislation**

The management and preservation of records and archives in the public sector must be governed by law. Kalusopa and Mampe (2012:4) state that it is important for government entities and their employees to be aware of their legal and regulatory obligations, in order to ensure their compliance with these requirements for records. Kalusopa and Mampe (2012:4) add that some legislation provides detailed information on how long records should be preserved, as well as how to govern the different formats that records may be stored in.

Maseko (2010:44) states that a sound legislative framework like the Swaziland National Archives Act No. 5 of 1971 (see Appendix 8) provides for the establishment of a national

archival institution that is mandated with ensuring the long-term preservation and access to all national documentary heritage, regardless of format or media in and about Swaziland, as already mentioned in section 2.4.2 of Chapter 2. Similarly Kalusopa and Mampe (2012:4) state that the regulatory framework for records management in Botswana assigned the accountability and responsibility for the management of all official records to the Director of the National Archives. The National Archives Act No. 5 of 1971 empowers the Director to ensure the proper custody, care and filing of archival materials, the inspection and destruction of archives and the transfer of archives from government offices to the national archives, once their active use period has elapsed (Swaziland Government 1971). One of the shortcomings of the archives law in Swaziland is that it does not cater for the management of records in their active and semi-current stages, neither does it address the issue of electronic records management and related systems to manage records in electronic format. Kemoni (2007:362) explains that the Public Archives and Documentation Service Act No.2 of 1990 in Kenya does not give records creating agencies responsibility to manage their records. Their Act does not stress the need to care for public records throughout their life cycle, hence the Act did not establish a relationship between the records creating agencies and the Director of Kenya National Archives (Kemoni 2007:362). Section 3 of the National Archives Act No. 5 of 1971 provides for the proper storage and preservation of archival materials (Swaziland Government 1971). The Integrated Records Life Cycle Model utilises the principle of the Records Continuum that advocates for a consistent and coherent regime of records management processes, from the time records are created through to the preservation and use of records as archives (Mutero 2011: Integrated records ...).

### **5.1.2 Records management and preservation policies**

Preservation policies and procedures are guidelines to the proper implementation of a records preservation programme. In this study, it was revealed that a majority of 42 (73.7%) respondents stated that their ministries did not have policies relating to the management and preservation of records. Those who had policies reflected that most of the officers working with records were either not aware of the existence of the policies, or they were unsure if the staff was aware of the policies. Either way, the lack of awareness about preservation policies impacts negatively on records management practices in the government ministries. Munetsi (2011:19) states that the public sector needs to be aware of their legal and regulatory obligations and must ensure compliance with the regulatory environment for records.

Tsabadze (2012:70), in a study on “Public sector records management in Swaziland”, found that 85% of the respondents in the surveyed ministries did not have records management policies. The results in the present study reflects a slight improvement, since it recorded 42 (73.7%) respondents that did not have records management policies in their ministries. This may be a result of the aggressive initiatives by the SNA to distribute the National Records Management Policy (NRMP) to government ministries and departments.

Ngulube (2003:286), in his study on “Preservation and access to public records and archives in South Africa”, noted that, even though most of the institutions that were surveyed supported some preservation activities, not all of the functions could be identified as part of a formal preservation programme based on clearly articulated policies.

## **5.2 Procedures and regulations**

Records management procedures, regulation and standards provide a step-by-step guidance on how to implement records management and preservation programmes. In 2012 the SNA launched the Records Management Procedures Manual, which was meant to be a guiding tool for all government ministries and departments on proper records management practices. In the present study, about 37 (65%) of the respondents were either not sure, or did not implement records management activities according to a records management standard. However, among the minority that used the records management standard, eight (14%) stated that they were trained about the standard. In 2014 the SNA hosted a records management standards workshop for stakeholders which included some of the officers working with records in government ministries and departments (Swaziland National Archives 2014: Attendance Register).

In order to make the records management standard ISO 15489 comprehensible and easy to follow, the SNA developed a records management procedures manual, which is an essential guide for the operations of a registry, since it provides registry personnel with procedures that are geared towards the attainment of acceptable records management practices (Chaterera 2013:99). In the current study, 42 (74%) of the respondents stated that they had the records procedures manual, records management regulations or a combination of the two. These results paint a good picture about the future of proper records management practices in Swaziland government ministries and departments. Chaterera (2013:100) had serious concerns with the results of the study on “Records surveys and the management of public records in Zimbabwe”, which reflected that only 35% of surveyed registries had procedures

manuals. Chaterera (2013:100) added that the procedures manual was critical to the success of registry operations, without which service delivery could be compromised.

Preservation planning is very important if the continuity of a records preservation programme is to be realised. The study showed that 21 (37%) of the respondents who responded when asked about the availability of preservation plans in their ministries stated they had the preservation plans/manuals. Preservation plans are important in setting institutional preservation priorities and they also influence the budget for records preservation activities. These results were also supported by a majority of 37 (65%) of the respondents, who displayed their understanding of records preservation when they were asked to state what they understood about records preservation. The results can be further attributed to the archives and records management training programme for records management officers conducted at the Institute for Development Management (IDM) in Matsapha, Swaziland. According to the report on the inspection of government registries of 2013, 53.9% of registries personnel had already been trained at certificate and diploma levels in archives and records management. However, the report further states that these results do not necessarily suggest that all the officers with certificates in records and archives management have enrolled in a formal academic institution, since some possess certificates of attendance acquired from records management short courses (Swaziland Government 2013:13). The current study revealed that 24 (42.1%) of the respondents were trained in archives and records management. However, only 18 (31.6%) had diplomas and certificates in archives and records management acquired at a university or technikon. This shows a decline of 11.8% in the number of personnel with training in records management, when compare with 53% from 2013. The present study was not able to compare officers with proper tertiary qualifications in records and archives management, since there were no statistics from the 2013 report. This situation may, however, be a result of staff turnover after the officers have been trained as well as the fact that the population of the current study included Secretaries and Human Resource Officers.

### **5.3 Knowledge and skills of staff**

Training and the relevant skills required to properly manage and take good care of records are critical in ensuring continued availability and access to public records. According to Munetsi (2011:33), it is a general norm that education plays an important role in updating knowledge and skills, both to those who are already working and to prospective workers.

As already mentioned in section 4.3.1.1.1 of Chapter 4, the need for staffing and professional training in records management is one of the important areas in understanding the depth and breadth of records management (Kalusopa 2011:200). Nsibirwa (2012:223), emphasized the need to employ staff with relevant qualifications and skills, in order to ensure that they make a positive contribution towards the protection and proper care of collections.

Forty-four (77.2%) of the respondents were females. This indicated that most of the staff working with records in government ministries were females. A majority of 30 (52.6%) respondents had technikon qualifications. This did not necessarily imply that their qualifications were in records and archives management or preservation. Among the 30 (52.6%) who studied at technikons, there were two (6.7%) with a diploma in archives and records management, eight (26.7%) had a certificate in archives and records management and six (20%) had other qualifications in records and archives management. This indicated that 14 (46.7%) of the respondents that enrolled in technikons did not have a qualification in archives and records management. These results could be partly attributed to the fact that, some of the respondents were secretaries for Principal Secretaries and Cabinet Ministers of the different ministries. In addition, it was observed that, in many ministries, Human Resource officers were responsible for the management of personnel records. However, the current study did not categorise the respondents according to their positions in the ministries. It concentrated on their responsibilities for managing records in the various sectors of the government ministries where records are kept, which are the registries, ministers' offices, principal secretary's offices and the registries for personnel records.

Thirteen (22.8%) of the respondents had university qualifications but, only one (1.8%) respondent had a Bachelor's degree in archives and records management, three had a diploma in archives and records management, four (7%) had a certificate in archives and records management and five (8.8%) had no records management qualification. This implies that most of the respondents did not do records and archives management at a professional level at a university. Since most of the respondents who went to university are within the age group 31 to 40 years, they are still trainable according to the civil service training policy which states that civil servants can be trainable up to the age of 45 years (Swaziland Government 2000: 25). The study revealed that 27 (47.2%) of the respondents who had training in archives and records management were also trained in records preservation and a majority 37 (64.9%) of the respondents had an understanding of issues relating to records preservation.



This indicates that if records management and preservation policies are properly implemented, there is a great possibility of achieving proper records preservation in government ministries. The results reflected that out of 25 (44%) respondents who responded to the question on whether, or not they were trained on emergency recovery procedures, 16 (28%) stated that they were not trained. This is a worrying state of affairs, since the impact of disasters can adversely affect records and the smooth operations of an organisation.

## **5.4 Storage and security of records**

This section discusses issues relating to the storage of records in government ministries. It sought to respond to the fourth research question, which wanted to establish if there were purpose-built storage areas for records. The section further deals with issues pertaining to the control measures in place for the security of records in their storage areas.

### **5.4.1 Storage of records**

The conditions under which records and archives are stored can have a significant impact on their longevity. According to Ngulube (2003:101), the proper storage of records and archives depends on good accommodation and equipment. Storage is an overarching activity of preservation, since improper storage can damage records and archival material (Nsibirwa 2012:218). The current study revealed that a majority of 48 (84.2%) respondents had designated storage facilities in their ministries, while only eight (14%) did not have designated storage areas. The study showed most of the registries had steel filing cabinet to store their records. This indicates that proper precautions are taken to ensure that the records are protected. It was, however, reflected in the results that a majority of the ministries did not give much attention to the climatic conditions of records storage areas. Forty-nine (86%) of the respondents stated that they did not have HVAC systems in place to control and monitor temperature and humidity levels in records storage areas. Only four (7%) stated that they had HVAC system. Tsabedze (2012:27) stressed that factors such as temperature, relative humidity and other environmental factors can adversely affect records, if these factors are not kept at acceptable levels. In Tsabedze (2012:64) the results reflected that none of the registries in government ministries had HVAC systems. When comparing the results from Tsabedze (2012:64) with the current study, the present results show that there is an improvement in the way government ministries manage the climatic conditions of records storage areas.

## **5.4.2 Security of records**

Ensuring that records and archives are protected from all forms of unauthorised alterations and destruction, theft, weeding of folios and disasters is of principal importance. There are many factors that may lead to the loss of valuable organisational information if there are no proper records security measures in place. Kalusopa and Mampe (2012:21) in their study, “Records management and service delivery: the case of Department of Corporate Services in the Ministry of Health, Botswana”, point out that there should be proper guidelines in place to control access to records storage areas as well as when such access should be permitted. Tsabedze (2012:64) showed that there were no proper security systems in place in Swaziland government registries. The present study reflects that 36 (63.2%) of the respondents stated that windows in the records storage areas were not burglar-proofed. However, the study further revealed that most Swaziland government registries have proper access control measures in place. This was confirmed by the 36 (63.2%) respondents who stated that access to records storage areas is granted only to registry officers. Marutha (2011:154) records that all hospitals in the Limpopo Department of Health have proper safety measures put in place to control access to records storage areas. The current study revealed that government ministries have in place different measures to control access to records storage areas. Section 4.3.1.4 of Chapter 4 indicated that 19 (33.3%) respondents stated that doors to records storage areas were always locked when registry officers were out of the office, 16 (28.1%) indicated that access was only granted to selected staff and 12 (21.1%) stated that access was strictly restricted to registry staff. These statistics do not imply that government ministries and departments do not have challenges of loss of files and folios through unauthorized access to records storage areas. The present study showed that officers dealing with records management face different challenges when preserving records. Two (3.9%) stated that their challenges emanate from unauthorized access, 11 (21.6%) had challenges with loss of folios and nine (17.6%) had lost files. This indicates that, even though some ministries have proper security measures in place, there were still some government ministries that were struggling with the security of records.

### **5.4.2.1 Disaster management**

Disaster preparedness and planning plays a vital role in the preservation and protection of records. Disaster planning helps organisations to respond efficiently and quickly to an emergency (Ngulube 2003:108). Nsibirwa (2012:199) concurs with Ngulube (2003:108), that

“it is essential to take preventative measures to avoid unnecessary human-made disasters, as well as being prepared for natural disasters”. The current study revealed that most government ministries did not have a disaster management plan in place and a majority of those who responded were not instructed on emergency recovery strategies. The results from this study show a similar picture to what is reflected in Tsabedze (2012:iv). In addition, Marutha (2011:154) cited a similar scenario, where all 40 hospitals in the Limpopo Department of Health did not have disaster management plans. This was very worrying, since the loss of valuable records through a disaster of any kind may stall many operations in the affected ministries and departments. The results show that even though 25 (43.9%) of the respondent stated that they did not have a FPS installed in the records storage areas, 19 (33.3%) stated that they had FPS in their ministries.

### **5.4.3 Condition and care of records**

The way in which public records are cared for at ministerial level has a great influence on the resultant condition of records, both in their semi-current stage and inactive stages as archives. It is more beneficial to simultaneously manage and preserve records throughout their life cycle, by adopting an integrated model approach. According to Millar and Roper (1999a:20), the integrated model recognises that records follow a life cycle and acknowledges the importance of caring for records through a continuum concept. Mutero (2011: Integrated records...) states that an integrated records management programme ensures the creation and maintenance of authoritative and reliable records in an accessible, intelligible and usable form, for as long as they are needed, thus preserving the context, content and structure of the records. This approach ensures that there is a seamless flow and relationship between the records throughout their life cycle. According to Tsabedze (2012:73), most of the damage to records in the different ministries was caused by mishandling and the intensive use of documents. The current study showed that some of the factors that contributed to the damage of records in government ministries were mostly torn and dusty files, which could be attributed to the way files are stored and handled. Other ministries lost folios and files. This could be attributed to uncontrolled access to records storage areas. Tsabedze (2012:55) points out that the big challenge with preserving records in ministries and departments is that once their active use has elapsed, they are dumped in storerooms where their preservation requirements are not considered.

The application of minor conservation techniques to damaged records at ministerial level aids in keeping files in a robust and manageable condition. Respondents were asked about the preventive preservation techniques used in their ministries. A majority of the respondents did not practise any form of preservation or conservation work, while a small percentage stated that they changed torn folders, removed paper clips, conducted minor repairs and some dusted the files. The change in the attitudes of records officers towards the preservation of records in ministries is remarkable, compared to the time of Tsabedze (2012). This change could be due to the ongoing training on records and archives management offered to registry personnel by the Swaziland branch of IDM since 2010 (Simelane 2015: pers. Comm.).

## **5.5 Questionnaire 2**

This section discusses and analyses the results presented by questionnaire 2, which was targeted at gathering information about the preservation of archives at the SNA. Different factors that affect the preservation of archives are discussed in detail. These include policy and legislation, skills and knowledge of preservation staff, storage and security of archives, the building, environmental conditions and the condition and care of records. The preservation of archives at the inactive stage can be negated if proper preservation practices were neglected at the earlier stages. The integrated records management model links the preservation of records during the current and semi-current stages to the inactive stage. According to Mutero (2011: Integrated records ...), integrated records management seeks to promote the preservation of records and archives through maintaining the interrelation between all the records stages, thus forming a continuum in which both records managers and archivists are involved.

### **5.5.1 Policy and legislative framework**

The study further looked at the management of semi-current and inactive records at the SNA, as discussed in section 1.1.2 of Chapter 1. Ngulube (2003:242) emphasized the importance of having policies in place since they set out goals and the guidelines to achieve them. The integrated records management approach advocates the establishment and implementation of records management policies in the early stages of the life cycle. When the respondents were asked about the existence of policies and legislative framework at the SNA, one stated that they had a records management policy which has components that respond to records preservation requirements. However, as stated earlier, 42 (73.7%) of the respondents in government ministries said they did not have policies relating to records management or

preservation, this negates the principle of the integrated records management model, since there would be no uniform guiding principles that govern the management and preservation of records throughout their life cycle. Chachage (2006:201) believes that a policy facilitates a creative allocation of funds and human resources. It was further revealed from one (50%) of the respondents that there were records preservation standards that were used in conjunction with the policies. It was further stated that archives officers were trained on the standards. According to Ngulube (2003:118) written policies serve as a binding contract between the agencies and the stakeholders. Policies help to set standards and can be used as tools for staff training and evaluation (Ngulube 2003:118). The development of a proper records/archives preservation environment supports the implementation of effective records preservation programmes in an archival institution.

The operations of the SNA are guided by the Swaziland Archives Act No.5 of 1971. However, there are some short-comings with this legislation since it is outdated. The Archives Act No.5 of 1971 does not stipulate the responsibilities of the SNA over active records. According to Ndenje-Sichalwe (2010:126), the outdated legislation governing archival and records management in most of the ESARBICA countries makes it difficult to adopt new technologies and implement management strategies pertaining to records and archives.

### **5.5.2 Knowledge and skills of staff**

Training is critical for the professional development of staff and it enables them to operate effectively (Ramokate and Moatlodi 2010:77). The lack of trained staff in the preservation of e-records can water down the benefits that have been realised so far in the preservation of archival heritage (Ngulube 2001:32). The current study revealed that both respondents had qualifications in a records and archives management related field. The respondents answered that they had covered records preservation in their records management training. The archivist has a responsibility to make sure that the handling and use of archival material is carried out with caution, in a way that is not destructive to the archives.

When considering the demographic profile of the respondents it was worth noting that one of the respondents was within the age group 31 to 40 which implies that he is still trainable, according to the civil service training policy (Swaziland Government 2000:25).

### **5.5.3 Storage and security of records**

This section discusses the storage and handling of archives at the SNA. It focuses on the condition of the storage areas, the security systems in place and the availability of disaster and emergency plans.

#### **5.5.3.1 Storage and handling**

The condition of the building in which archival materials are stored has a great influence on the longevity of the collection it houses. It is important to store records in an environmentally controlled building, where temperature and relative humidity levels are constantly monitored, as alluded to earlier in section 2.1.1.2 of Chapter 2. Tsabedze (2012:14) has clearly articulated the importance of gathering and documenting all the relevant information that shall support the proper storage and retrieval of records, as well as the development of the proper implementation of strategies.

In order to ensure that the environmental conditions in records storage areas are adequately monitored and controlled, attention should be given to external environmental factors that may adversely impact on the preservation of records. These include temperature and relative humidity, light, air pollution and biological agents.

The proper storage and handling of collections is not limited to the maintenance of climatic conditions in repositories but, extends to the daily care of collections, keeping the repositories neat and clean, performing general housekeeping tasks in the building, periodically cleaning the collections themselves and monitoring the handling and use of the collections.

The results of this study reflect that the general cleanliness of the repositories was impressive, since the floors are regularly scrubbed with soap and water and the shelves dusted. This ensures that there is no excess dust that accumulates on the surface of archival collection, thus suppressing the damage of records through abrasion by dust particles and the growth of mould. However, excess moisture on the floors after scrubbing can increase the relative humidity if the floors are not wiped properly. Vacuum cleaning could be the preferred option. Ngulube (2003:108) states that clean surroundings discourage the growth of fungi, insects and pests.

Proper and adequate space for the storage of collections is a critical factor that needs to be accorded attention by all archival institutions. Lack of storage space results in the improper

storage of records and the eventual damage to archival collections. The study revealed that the storage space for archival materials was inadequate at the SNA.

According to the results of this study, the SNA had guidelines detailing how staff members and users should handle archival materials and that section officers were responsible for determining what could be safely copied. It is important to control what can be safely copied. According to Millar and Roper (1999b:21), photocopying generates intense exposure to light and heat and can be highly damaging to materials. In addition, consideration should be given before scanning fragile materials, whether the materials are better scanned or left alone (Millar and Roper 1999b:21).

### **5.5.3.2 Disaster preparedness and management**

The establishment of proper emergency plans and recovery strategies is of vital importance to archival institutions. Disasters can take any form; this includes natural disasters (floods, earthquakes, volcanoes, hurricanes) and human-made disasters (unclosed taps, human-made fires, theft, poor handling). Irrespective of the forms that the disaster may come in, disaster preparedness and mitigation planning is very important.

In the current study, it was revealed that the SNA did not have a disaster management and recovery strategy in place, neither was there a disaster planning team. However, it was consoling to learn that the staff had undergone informal training on emergency planning. The respondents stated that the repositories at the SNA were equipped with fire detection and suppression systems (see Photographs 2 in section 4.3.2.7 of Chapter 4), which used carbon dioxide as a fire suppression agent. Since disasters (particularly fire) occur when everyone least expects, the availability of fire suppression systems helps in mitigating the impact of fire in the event of a disaster.

### **5.5.3.3 Security**

The security of records and archives is key if the authenticity, reliability and integrity of records and archives are to be maintained. Chaterera (2013:24) refers to the protection of records as the need for a records keeping programme to provide a reasonable degree of security to vital records that are essential for the continuity of an organisation. National archival institutions should provide security for the collections under their custody, since they are essential to the preservation of the memory of the nation.

The respondents of the current study revealed that the SNA building had security personnel, an electronic security system and closed circuit television cameras installed. However, windows in repositories did not have burglar bars. It was gathered from the results of this study that there were security officers assigned to reading rooms but, these officers were not trained on archives management security procedures. It is important for security personnel assigned to reading rooms to be well trained in archives management security procedures, since these are a principal requirement for them to effectively execute their function in the reading rooms. The respondents felt that the security system at the SNA has been effective in the past 10 years. Increase in the crime rate requires a continuous revision of security systems in archival institutions that will ensure that they are up-to-date with current crime mitigation measures.

#### **5.5.4 The building**

This study revealed that the general condition of the roof of the archives building at SNA was good. However, the respondents differed in opinions when it came to whether the roof of the building had leaked in the past three years, where one respondent stated that the roof had leaked and the other stated that it had not leaked. It was observed that the SNA had a pitched roof. A pitched roof is ideal for an archives building, since it keeps water away from the building, thus reducing the risk of flooding and leaking during rainy seasons. In addition, the roof was made of corrugated iron sheets. Iron sheets have a low emissivity value and become very hot and are not ideal for an archival building. The corrugated iron sheets roof at the SNA poses a great threat to the longevity of the collections housed in the institution, since it absorbs a lot of heat, which is eventually transferred to the repositories. According to Energy Star (N.d.), roof materials with a high emissivity value and solar reflectance (clay roofs) are very important for reducing the cooling load in a building by releasing the remaining heat absorbed from the sun.

The results of this study further showed that the walls of the SNA building were intact. Materials used for constructing a building determine its resilience to external environmental influences and determines how the internal environment can be maintained. The respondents stated that the drainage system of the archives building was clean. It can thus be assumed that it effectively kept water away from the building. According to Millar and Roper (1999b: 39), the roof and drainage system of the building should be designed in such a way that it keeps



water away from the building. It can be gathered from the results of this study that the design of the roof and drainage system at the SNA is in line with Millar and Roper (1999)'s views.

### **5.5.5 Environmental conditions of record storage areas**

Environmental monitoring and control is one of the fundamental preservation activities that may promote the prolonged survival of materials into the future (Ngulube 2005:154). Environmental factors, such as biological agents, temperature, relative humidity, air pollution, light and dirt, can adversely affect the lifespan of records if they are not controlled effectively. Nsibirwa (2012:210) considers the incidental effects of climate change and global warming as posing the greatest threat to records preservation, thus shifting the focus from just establishing ideal environmental conditions, to 'green' building technology as a sustainable approach to preservation that aims to offset the effects of climate change. One of the strategies in archival green building is planting trees around the archival structure to keep the room and its holdings cool. However, this also poses a risk, because the trees may attract insects and animals that could be harmful to the collections (Nsibirwa 2013: Preservation ...). Ngulube (2003:84) points out that the control of environmental factors can have a positive influence in controlling biological agents that contribute to the deterioration of records and archives, such as mould and silverfish.

#### **5.5.5.1 Temperature and relative humidity**

As discussed in Chapter 2, section 2.4.4, controlling the storage environment to maintain optimum temperature and humidity levels that retard the rate of deterioration of records can be an effective strategy to minimise the rate of deterioration in paper-based records. Results of a study on the assessment of archivists in the ESARBICA revealed that archivists and librarians in the ESARBICA regard environmental monitoring and control as fundamental to the management of heritage collections (Ngulube 2005:160).

The current study revealed that temperature and relative humidity levels in the archives repositories are controlled using HVAC systems, in conjunction with other environmental control systems. At the time of conducting this research, the HVAC system at the SNA had been constantly running for the past three years. According to the respondents the system had been effectively providing constant temperature control all year round. In order to ensure that the HVAC system functions well, the SNA signed a maintenance contract with a HVAC system service provider. According to Millar and Roper (1999b:15), fluctuations in

temperature and relative humidity can be highly damaging to records and archives. It was established from the respondents that repositories had separate environmental conditions and control systems from offices and reading rooms. One (50%) of the respondents stated that the average temperature of the building was between 21 and 25 degrees Celsius, while the repositories had lower temperatures, in the range of 18 to 20 degrees Celsius. Since the environmental condition requirements for archives and human beings are different, it follows that temperatures and relative humidity level for both environments should be monitored and maintained separately. Considering the efforts put by the SNA in controlling the environmental conditions of their repositories, it can be anticipated that the archival records can survive up to their optimum life expectancy if all other preservation measures are put in place.

#### **5.5.5.2 Light**

It is important to ensure that proper measures are in place to control the light intensity in records and archives storage areas. Excessive exposure of archival materials to highly intensive light levels can damage them by fading, yellowing and structurally weakening them. According to Barkhuizen (2007:34), the effect of light is irreversible on the chemical and physical composition of collections. It is important to keep light intensity and UV level as low as possible. The study learned that, even though the lights were turned off in repositories when they were not in use, the light intensity from the light sources used was not monitored. Millar and Roper (1999b:20) emphasize the importance of monitoring the light intensity in records storage areas. Millar and Roper (1999b:20), give the ideal light levels for archives as follows:

- Less than 100 lux in repositories, with light off when rooms are not in use
- Not more than 100 lux in reading rooms or reference areas
- Up to 50 lux when displaying materials for exhibitions.

The present study revealed that fluorescent lights were the predominantly used source of lighting in the repositories and in the reading rooms. Ngulube (2007:56) recorded that the major source of artificial light in archives repositories in South Africa is fluorescent lamps. From the above discussion it is imperative that archival institutions should cover fluorescent lights with UV filter sleeves to eliminate most of the UV rays emitted from fluorescent lights. The respondents in this study were either not sure if the fluorescent lights were covered with

UV filter sleeves or they stated that they were not covered. The respondents shared a common response in that there were windows in the repositories and they were covered with UV filter films. According to Springer (2008:2), interior UV filter films are guaranteed for 10 to 15 years. This implies that replacement will be necessary and this cost must be factored in when planning on using UV filter films or UV filter sleeves (Springer 2008:2).

### **5.5.5.3 Biological agents**

One of the factors that have been a challenge in the preservation of archival materials is the control and management of biological agents of deterioration. Biological agents are categorized into macrobiological agents and microbiological agents. Both classes can cause damage to archival collections if left uncontrolled. Macrobiological agents refer to the biological organisms that can be seen with the naked eye, such as insects and rodents. Microbiological agents refer to organisms that can only be seen through a microscope, such as mould and fungi.

As stated in section 2.1.3.2.5 of Chapter 2, the cleanliness and climatic conditions of the area where collections are kept determines the effects of biological infestation it will experience, since most biological agents thrive in dirty, warm and humid environments.

Considering the fact that the growth and infestation of biological agents hinges on the control systems of other environmental factors, the proper and consistent application of the environmental strategies discussed earlier would minimise the reproduction of biological agents that are a threat to archival collections.

There are various approaches that can be used to control and manage infestations by biological agents. Some of the approaches used include fumigation, freezing and using an Integrated Pest Management (IPM) programme, which is the most preferred method of controlling biological agents these days. According to the Chicora Foundation (2010: Integrated Pest Management) the IPM approach entails the integration of a variety of mechanical, cultural, biological and minimal chemical controls to manage macro and microbiological infestation to archival collections.

The respondents of this study were not aware if materials were checked for insects/vermin before they were transferred to the archives repositories. One of the respondents stated that the materials were not checked. It was revealed by the study that the repositories had an infestation of termites. When the respondent were asked about the pest control methods

applied at the SNA, both respondents stated that fumigation was used. According to Ngulube (2003:97), it has been realised that, even though some chemicals may be effective and suitable for controlling biological factors, they are very harmful to human beings and documentary materials. Some of the effects of the pesticides include staining and damage to archival documents. Experts are thus increasingly recommending the “least chemical approach”, such as IPM (Ngulube 2003:97).

### **5.5.6 Condition and care of records**

A clear understanding of the condition of the records and archives stored in the repositories is important in identifying the preservation requirements of the archives and determining the preservation methods to be applied. The SNA receives its collections through semi-current records from the different government ministries and departments. These records are transferred by all ministries to the SNA after 10 years of their date of creation, as stated in section 1.1.2 of Chapter 1. Archives can be donations from individuals, repatriated archives, oral history collections and other forms of archives acquisitions.

The conditions under which these collections are kept need to be monitored throughout the year. The study revealed that most of the collections in the repositories were in an average condition but, the physical condition of some of the collections were dirty, deteriorating through wear and tear and some were mouldy, while others were acidic.

The study revealed that the deterioration of the collections was attributed to frequent use, photocopying and inadequate supervision. It can be deduced from the findings of this study that the lack of training from security officers responsible for reading rooms could have contributed to the damage of the collections, due to inadequate supervision of researchers who were using the archives. The results of the study show that conservation work at the SNA was done in-house and the personnel conducting conservation treatment were trained up to postgraduate level.

## **5.6 Interview schedule**

The researcher conducted interviews with senior management at the SNA in order to get an in-depth understanding of the preservation of archives and records at the SNA and in the government ministries. According to Babbie and Mouton (2001:291), during an in-depth interview the researcher is not only interested in the content of the conversation “but rather the process by which the content of the conversation came into being”. Information on

preservation policies and regulations, budget allocation, recruitment of and skills of, preservation staff was solicited through this interview.

When considering the demographic information of the senior personnel. It was observed that all the senior management personnel that were interviewed were in the age bracket of 51 to 60 years. This raised a great concern on the continuity of the institution. All the respondents were female, implying that the sections of the SNA are predominantly headed by women. Nsibirwa's (2012: 224) study on the "Preservation of and access to legal deposit materials in South Africa" noted a similar case, where 72.2% of the respondents were female, which meant that more women than men headed the various legal deposit departments.

### **5.6.1 Preservation policies and regulations**

It was alarming to learn during this study that there were no policies at the SNA to develop or improve conservation facilities, neither was there a policy for training and recruiting qualified staff. Policies are very important tools in guiding the preservation direction of an archival institution. Ngulube (2003:117-118), stressed that the importance of policies can never be over-emphasised when it comes to outlining the responsibility for the preservation of archival materials of all types. When the respondents were asked if they had intentions of developing the policies, they responded positively.

Ramokate (2006:85) cautioned that, even though many archival institutions have established conservation units, in compliance with the overall institutional policy, there is a further important requirement to have a specific guiding instrument (preservation policy) that will facilitate decision-making for daily preservation operations.

Concerning the recruitment and training policy, the respondents replied that they did have a similar tool for government, which details the qualification requirements for officers who are recruited into the archives and records management cadre. According to the interviews, the Scheme of Service states that the minimum entry requirement for records and archives management staff was a diploma in archives and records management. This shows that there is great potential for a professional records and archives management staff complement at the SNA. The results showed that, even though the SNA did not have a specific policy for training their staff, there was a general government training policy that they used for in-service staff development.

Every policy requires a clear strategy that will govern its implementation. Strategies break down large policy statements into fragmented, manageable objectives and activities. All the respondents interviewed said that there was a preservation strategy in place. It was gathered from the results that a majority of the respondents stated that the conservation section was primarily responsible for the implementation of the preservation strategy. The respondents also felt that the involvement of the Director of the SNA in the implementation of the preservation strategy was another factor that contributed to the success of the preservation strategy.

All the respondents felt that the implementation of the preservation strategy was successful in achieving the SNA's preservation goals. The success of the preservation strategy was attributed by one (33.3%) respondent to the positive support it gets from senior management and other staff members. It is essential for every strategy to be well communicated to all relevant stakeholders, in order for it to receive the necessary support.

Two (66.7%) of the respondents felt that the success of the preservation strategy was influenced by the successful implementation of preservation activities in the institution, such as the establishment of the conservation laboratory and the sensitization of staff to preservation issues. Continuous sensitization is key to ensuring the success of any organisational programme. The more people hear about the importance and relevance of a particular activity to their daily jobs, the more they appreciate it.

### **5.6.2 Affiliation to international bodies**

Organisational development is linked to partnerships with other professional bodies. The results from this study show that the SNA benefitted from its affiliation to international archives and records management professional bodies, such as the International Council on Archives (ICA), the ESARBICA, the Association of Commonwealth Archivists and Records Managers (ACARM) and the International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM). It was understood that the SNA was able to build its professional base through conferences and workshops hosted by the professional bodies, as well as training resources acquired from the International Records Management Trust.

### **5.6.3 Preservation means**

Preservation programmes require an adequate budget in order for them to run effectively. Ngulube (2003:123) believes that a good preservation plan facilitates the acquisition of financial resources required to ensure the implementation of the various activities outlined in the plan and assists in setting up priorities for projecting requirements for implementing the preservation programme. The present study showed that there was a budget allocated for the management of records and archives at the SNA but, only 5% to 10% of that budget is dedicated to support preservation and conservation activities.

It is a norm for most archival institutions not to give preservation activities the priority they deserve. Like most archival institutions in Sub-Saharan Africa, the SNA lacks adequate resources to procure conservation laboratory equipment and training for conservation staff. Conservation is a dynamic field that requires staff to keep abreast of new developments in the field.

The present study showed that there was no additional funding received by the SNA to pursue its preservation mandate. According to Mnjama (2007:28), Kenya has successfully emerged in the field of conservation and preservation. Through the support of donor agencies such as UNESCO it has been able to mount some training programmes for conservators. Nsibirwa (2012:208) revealed that the depositories received alternative funding in the form of a conditional grant from government which were used to support other activities. Nsibirwa (2012:209) recommended that these grants could be used for preservation and access to legal deposit materials.

### **5.6.4 Level of skills and knowledge in records management**

Professional training and the aptitude to carry out conservation techniques is critical for staff carrying out preservation activities. This is because there is minimum room to make mistakes when working with valuable archival materials. A country that is plagued with deficiencies in preservation training and awareness may not be able to discharge its responsibilities towards ensuring the effective preservation of the nation's documentary heritage (Tsabedze 2012:39).

According to Mnjama (2007:28), one of the resolutions which were an outcome of the eighth ESARBICA general conference held in Botswana in 2005 was that realising the scarcity of preservation professionals in the Sub-Sahara African region, the conference urged national archival institutions, educators and other stakeholders to partner in setting up regional

conservation training facilities for the benefit of ESARBICA member states. The present study revealed that the head of conservation at the SNA possessed a postgraduate diploma in archives and records management. The Conservation Assistant had a certificate and had also undergone practical attachments in various conservation laboratories. It is worth noting that, even though an officer may have a professional qualification in the area of archives and records management, it is still critical for staff carrying out conservation work to have the practical exposure to various conservation techniques. Since conservation is a scientific-based profession, it is mandatory for officers dealing with conservation work to have a strong foundation in chemistry, physics and other related natural sciences.

The results of this study show that there were between 35 and 37 employees at the SNA, all of whom are linked to preservation work one way or the other. However it was discovered that only three staff member were directly involved in preservation and conservation activities. Two officers had Master's degrees in an archives-related field. One had a Bachelor's degree, without archives or records management, three had certificate in archives or records management. Four had training in developing preservation programmes, providing preservation advice, implementing, preventing and handling procedures and evaluating conservation programmes. These activities require a professional with at least a postgraduate qualification to execute them, yet the study revealed that only two staff members had the highest qualification of a Master's in archives and records management. This can be noted as a limitation of the research instrument, since the interview schedule did not accommodate staff members with other Postgraduate qualifications in archives or records management such as a Postgraduate Diploma or Honours which are not necessarily a Masters.

None of the employees employed for records preservation had a qualification lower than form five (grade 12). Most of the officers working with records and archives at the SNA had tertiary institution qualifications. This is not surprising, since it was learnt from the results that the SNA used the Scheme of Service to recruit records and archives management personnel and also that there was the Public Service Training Policy, which the SNA used for in-service staff training.

## **5.7 Observation guide**

Observation is key to giving the researcher a feel of the research environment. During observation the researcher becomes part of the entire research exercise (Babbie and Mouton 2001:293).



### **5.7.1 Structure and design of storage areas**

The results from the study reflect that three (75%) of the observed ministries used steel cabinets and shelves to store records. Steel cabinets are fire resistant and are ideal storage facilities for records in the ministries and departments that do not have mobile steel shelves. In addition, the study revealed that records officers' work stations were located in the same place where the records are kept. This is a serious problem, since the principal requirement for the storage of records is that paper-based records should be stored under specific temperature and humidity levels, which are not necessarily ideal for human habitation.

Of great concern is the fact that the observation schedule results showed that records storage areas in ministries were generally unclean. The environment where records are kept should always be clean in order to prevent the reproduction of biological agents.

It was also observed that, in three (75%) of the areas, the shelves were raised to a height of one to 10 cm from the floor. According to Millar and Roper (1999b:17), materials should be kept 10 to 15 centimetres off the floor. This requirement seeks to accommodate the security of records in the case of flooding. Two (50%) of the records storage areas observed showed that records were not properly shelved and the other two (50%) showed that records were properly shelved. The lack of shelving may be due to the shortage of records storage space, since there were some offices that still kept inactive records. Photograph 3 in section 4.3.4.2 of Chapter 4 shows a records office that does not practise the proper storage of records. The observation schedule showed that at the SNA registry some of the records were stored on top of filing cabinets, while most of the archives are neatly stored in archival boxes in the repositories.

### **5.7.2 Security of records**

The researcher observed the different ministries to discover how they controlled their security systems. The results revealed that all the four areas that were observed had some form of security in the storage areas. Security is key in ensuring the protection of valuable organisational information. It was observed that some ministries had separate, lockable storage areas for semi-current records. This was a good approach, since it opens up space for the storage of current/active records. At the SNA, doors to repositories are always locked, with access granted only to senior staff, search-room staff who retrieve information for researchers, and cleaners. It was observed that in all four areas the doors to the records storage areas were lockable.

To prevent the loss of records during usage, two (50%) of the observed areas reported that there was a manual file tracking system. The reading rooms at the SNA had strict security officers and all reading rooms were monitored using surveillance cameras.

The discussion above shows that proper security measures were put in place in some government ministries. This will ensure the continuous availability of records throughout their life cycle.

### **5.7.3 Environmental conditions of records storage areas**

Seventy five percent of the observed areas had HVAC systems installed in the records storage areas. However, these systems were not effective in meeting the environmental requirements of records, since staff members occupied the same room where records are stored. As a result, the HVAC systems were used to meet the needs of the staff. Temperatures and relative humidity levels were not systematically monitored in the government registries that were observed, except for the SNA, where there is an environmental monitoring system installed.

The predominant source of light in the different registries were fluorescent lights. In two of the areas lights were only kept on in records storage areas during working hours, at one place the lights were kept on day and night because of the nature of the office, and at the SNA lights were kept off when repositories were not in use.

To keep light away from records, three of the storage areas had windows that were covered with blinds. Even though most of the repositories at the SNA either did not have windows or the windows were covered with UV filter film, there is one repository that had a sky-light that did not have any UV filters. This posed as a threat to the archives that are stored in that repository.

One of the areas showed signs of roof leaks, as evidenced by a stained ceiling, shown in section 4.3.4.3, photograph 5, of Chapter 4. Three (75%) of the areas showed no signs of insect droppings, while one showed signs of insect invasion and droppings, as reflected in section 4.3.4.3, Photograph 6, of Chapter 4.

### **5.7.4 Preservation means**

Most of the registry officers carry out minor preventive preservation practices, such as changing torn file covers and putting files in boxes. It was noted that most of the records

offices and the SNA kept the thickness of files within the permissible size, which is not more than three centimetres. Three (75%) of the areas indicated that most of the records were generally in a good condition but, one (25%) showed signs of deterioration due to the condition of their storage. In all the four observed areas, files were handled and used well.

## **5.8 Summary**

Chapter 5 discussed the results of the study on the preservation of public records and archives in Swaziland government ministries and the Department of Swaziland National Archives. This was done in relation to the research questions, the literature review and the rationale of the study, as well as the integrated records management life cycle model, which incorporated the records continuum.

Prominent issues relating to the preservation of records and archives were discussed based on the research questions and analysis of the different data collection tools employed in this study, which included two self-administered questionnaires, numbered 1 and 2. The review of literature related to records and archives management/preservation, the interviews with senior staff at the SNA and structured observations in some government ministries and the SNA.

The discussion expanded on the different thematic areas, which included policy and legislative framework, procedures and regulations, knowledge and skills of staff, storage and security of records and the condition and care of records.

It was established from the study that the National Archives Act No.5 of 1971 does not cater for the preservation of records during their current and semi-current stages. There is thus a need to amend it to incorporate issues covering the management of records throughout their life cycle and to consider issues pertaining to the management and preservation of electronic records. It was observed that the SNA did not have policies directly relating to the preservation of records, hence the need to develop such policies.

Concerning the knowledge and skills of staff, it was discovered that, although some ministries were still struggling with the lack of trained staff, the efforts made by the SNA to train registry staff on archives and records management at IDM has yielded good results.

The study revealed that most ministries and departments had designated storage areas for records, which is a good sign. They were still struggling, however, to ensure that the records

are kept under controlled environmental conditions. The security of records was also good, except for a few occurrences of loss of folios and files in some ministries.

The different ministries and departments did practise minimal preservation work, such as changing file covers and putting files in boxes as well as maintaining the files within the acceptable size (not more than three centimetres thick).

## **Chapter 6: Summary of findings, conclusions and recommendations**

### **6.0 Introduction**

The aim of the study was to investigate records preservation practices in Swaziland government ministries and the SNA, in order to develop a records preservation framework. This framework shall be guided by other literature, such as the article by Ngoepe (2010:82-106) on “The framework for records management: lessons from the Department of Co-operative Governance and Traditional Affairs in South Africa” and the IRMT training guide “Preserving records” by Millar and Roper (1999b:58-65), as discussed in section 2.1 of Chapter 2.

This chapter presents the summary of the research findings, the conclusions and the recommendations of the study. The recommendations for further research are presented at the end of the chapter. The discussions in this chapter cover the various issues that aim to answer the research questions. This includes the literature review in Chapter 2, the research findings presented in Chapter 4 and discussed in Chapter 5, and the insight drawn from the content and experiences of the study. The order of the discussions of this chapter will follow the research questions that guided the purpose of the study.

### **6.1 Summary of findings and conclusions**

The findings from this study indicate that there is no defined records preservation framework that governs how records should be handled, used, stored and cared for in government ministries in Swaziland. A majority of 37 (64.9%) officers working with records in the different ministries and departments do have a general understanding about records preservation. The responses of the respondents to the research questions show that they have a challenge with applying proper records preservation procedures because of the absence and lack of knowledge about the existence of records management and preservation guiding principles. It can be concluded that, if a proper records preservation framework can be established, records preservation practices could be improved upon in the government ministries.

The summary of the findings were drawn from the aim of the study, which was to investigate records preservation practices in Swaziland government ministries and the SNA, in order to develop a records preservation framework. The summary of different issues pertaining to the

preservation of records and archives in government ministries and the SNA were presented in the different thematic areas which were drawn from the research questions as follows:

- Policy and legislative framework
- Procedures and regulation
- Knowledge and skills of staff
- Storage and security of records
- Condition and care of records.

### **6.1.1 Policy and legislative framework**

The first research question was to examine the policy and legislative framework pertaining to records and archives preservation in Swaziland government ministries and the SNA. This was done in order to establish how the availability or absence of the policies and legislations affect the preservation of records archives in government ministries and at the SNA.

The findings were as follows:

- The SNA have a legislation that governs the management of archives but, does not cater for the management of records in their active and semi-current stages, neither does it address the issue of electronic records management.
- The SNA have a general National Records Management policy that governs the management of records in Swaziland but, does not cover the preservation of records in detail.
- Government ministries did not have customised policies relating to the management and preservation of records.
- Policies to develop or improve conservation facilities, as well as a policy for training and recruiting qualified records and archives management staff, were non existent at the SNA.

### **6.1.2 Procedures and regulation**

The second research question investigated issues relating to the current procedures, regulations and plans pertaining to the care and preservation of records and archives in Swaziland government ministries and the SNA. The findings were:

- There was a Records Management Procedures Manual but, government ministries do not implement records management practices according to a standard procedure.
- There were records preservation plans in government ministries and the records officers understood issues about records preservation.

### **6.1.3 Knowledge and skills of staff**

The third research question addressed issues pertaining to the knowledge and skills of the staff responsible for the preservation of records. The findings were as follows:

- Forty-three (75.4%) of the personnel working with records in government ministries had technician and university qualifications but, their qualifications were not necessarily in the area of records and archives management. Thirty-six (63.2%) respondents had qualifications in records management.
- Seventeen (29.8%) of the staff in government ministries that were trained in records and archives management were also trained on preservation issues.
- All the staff responsible for preservation and conservation at the SNA were trained in the area of records conservation and preservation.

### **6.1.4 Storage and security of records**

The fourth research question looked at the availability of purpose-built structures for the storage of records and archives. The findings were as follows:

- There were storage areas for records in government ministries but, they were not purpose-built or designated for the storage of records.
- Climatic conditions for records storage areas were not constantly monitored in government ministries.
- The SNA had designated storage facilities for archives that were consistent with environmental monitoring systems.

### **6.1.5 Condition and care of records**

The fifth research question sought to discover the current situation pertaining to the care of records and archives in government ministries and the SNA. The results were:

- Thirteen (22.8%) respondents stated that their records were torn and dusty in government ministries due to the way records are stored and handled.
- Two (3.5%) respondents stated that their ministries have a challenge of uncontrolled access to records storage areas, resulting in the loss of files and folios.
- There is minimum application of records preservation practices in government ministries.
- The frequent use, photocopying and inadequate supervision of records were the cause of the deterioration of the collections at the SNA.

#### **6.1.5.1 Preservation means**

The efforts and availability of resources to support preservation activities were discussed in order to establish what the SNA was doing towards supporting records preservation programmes in government ministries and the SNA. The study also sought to find out what initiatives were being taken by the officers responsible for managing records towards preserving records. The findings from this study indicated that:

- There was insufficient budget allocated to support records preservation activities
- The SNA benefitted from its affiliation to international archives and records management professional bodies.
- Some registry officers practise minor preventive preservation procedures.

### **6.2 Conclusions of the study**

Based on the findings of the study, the literature reviewed and the theoretical framework (Integrated Records Management Model which combines the Records Life Cycle Model and the Records Continuum Model), the following conclusions have been reached and now will be discussed.



### **6.2.1 Policy and legislative framework**

The Swaziland National Archives Act No. 5 of 1971 (see Appendix 8) governs the management and care of archives at the SNA. This law is now outdated, since it does not cater for the management of records in their active and semi-current stages, neither does it address the issue of electronic records management and related systems to manage records in electronic format.

The current records and archives legislative framework does not support the principle of the Integrated Records Management Model which is a hybrid of the Records Life Cycle and the Records Continuum Models, since all records and archives management operations are disjointed. There is clear indication of the domination of the Records Management Life Cycle Model since for a long time it has been regarded as a theory which provided the framework for the operation of a records management programme (Kemoni 2007:59). According to (Mutero 2011: integrated records ...), the Integrated Records Management Model utilises the principle of the records continuum that advocates for a consistent and coherent regime of records management processes, from the time records are created through to the preservation and use of records as archives.

In the Swaziland government, most of the ministries do not have policies relating to the management and preservation of records and in the ministries that had the policies the staff that deal with records were not aware of the existence or the contents of the policies. There is, however, a National Records Management Policy (NRMP), which was developed by the SNA. At the time of compiling this report, most of the government ministries were not aware of the policy and its contents. This has resulted in most ministries not practising proper records management in line with the requirements of the NRMP.

There are no policies at the SNA to develop or improve preservation facilities, neither was there a policy for training and recruiting qualified staff. This has resulted in most records officers being developed through in-service training, which only caters for personnel who are younger than 45 years old.

### **6.2.2 Procedures and regulations**

Most of the officers working with records in the Swaziland government ministries do not manage records according to the requirements of international records management standards. According to the results of this study, 37 (65%) of the officers working with records in the ministries were either not sure or did not implement records management activities according to a records management standard.

There is potential for the improvement of the records management practices in Swaziland government ministries. In 2012, the SNA launched the Records Management Procedures Manual which was meant to be a guiding tool for all government ministries and department on proper records management practices. According to Chaterera (2013:99), a records procedures manual is an essential guide for the operations of a registry, since it provides registry personnel with procedures that are geared towards the attainment of acceptable records management practices.

The implementation of the records preservation strategy was successful at the SNA, due to the support the conservation staff receive from senior management and the exposure they have acquired through practical attachment to other conservation centres in the region.

### **6.2.3 Knowledge and skills of staff**

Most of the officers working with records in government ministries, who enrolled in universities and technikons, did not necessarily possess qualifications related to records and archives management. However, it can be concluded from the results that those who did have the records and archives management qualifications were also trained in records preservation.

There is a great possibility of having healthy records transferred to the SNA in the near future, based on the increased understanding of officers working with records in ministries regarding preservation issues. The results of this study revealed that 37 (65%) of the respondents displayed their understanding of records preservation when they were asked to state what they understood about records preservation. The results can be further attributed to the archives and records management training programme for records management officers conducted at IDM, Matsapha, Swaziland, as stated in section 5.2 of Chapter 5.

Most of the staff working at the SNA had tertiary qualifications in records and archives management, which also had a component of preservation. The staff that are directly linked with conservation work had an aptitude for conservation techniques. The results of this study revealed that the head of conservation possessed a postgraduate diploma in archives and records management. The Conservation Assistant had a certificate and had undergone practical attachments in various conservation laboratories in South Africa. It is mandatory for officers dealing with conservation work to have a strong foundation in chemistry, physics and other related natural sciences, since most conservation treatment techniques and processes, such as paper de-acidification, humidification and mending require a clear understanding of scientific principles and a knowledge of chemistry.

#### **6.2.4 Storage and security of records**

Most government ministries had storage places for their current records. A majority of the ministries used steel filing cabinets, which are good for storing records since they can also protect the records in case of fire. The SNA had proper storage facilities for its archival collection. These facilities are regularly cleaned to suppress the proliferation of biological agents.

It is likely that most of the records kept in government ministries will be damaged due to exposure to unfavourable climatic conditions. This study revealed that a majority of the ministries did not have HVAC systems in place. The ministries that did have HVAC systems did not constantly monitor the temperature and relative humidity levels throughout the year. The proper maintenance of climatic conditions in the repositories at the SNA has a positive impact on the longevity of the collections, since there are HVAC systems put in place to monitor and control climatic conditions.

Concerning the security of records, most of the ministries have put proper security measures in the registries, to ensure that the loss of files and folios through theft and vandalism is minimised. However, there are a few ministries that are still struggling with the loss of files through theft and the loss of folios. The SNA has put strict security controls in the building, reading rooms and electronic access controls in the repositories, to protect the archival collections and semi-current records from theft and damage.

Government ministries, including the SNA, did not have a disaster management plan in place to help them to effectively respond to disasters. According to Tsabedze (2012:iv), a similar

case was observed in the study conducted on “Records management in government ministries in Swaziland”.

### **6.2.5 Condition and care of records**

Factors that contributed to the damage of records in government ministries were mostly torn and dusty files, which could be attributed to the way files are stored and handled. Other ministries lost folios and files. This could be attributed to uncontrolled access to records storage areas. Most ministries face challenges of poor preservation of records that are no longer active, since they are dumped in storerooms where their preservation requirements are not considered.

The ongoing training of registry personnel at the Swaziland branch of IDM has brought about a remarkable change in the attitudes of records officers towards the preservation of records in government ministries, compared to the time of Tsabedze’s (2012) study.

Most of the collections at the SNA repositories were in an average condition but, the physical condition of some of the collections were dirty and deteriorating through wear and tear. Some were mouldy, while others were acidic as a result of poor handling and previous exposure to unfavourable environmental conditions, such as dust and air pollution, in storage areas. This deterioration could be partly attributed to the lack of adequate training of security officers responsible for the reading rooms.

## **6.3 Conclusion regarding the research problem**

The aim of the study was to investigate records preservation practices in Swaziland government ministries and the SNA, in order to develop a records preservation framework, as stated in sections 1.2.1 of Chapter 1 and 2.1 of Chapter 2. This entailed amending the existing legal and regulatory framework to incorporate issues relating to records preservation and the management of electronic records.

The study emphasized the need to make all staff responsible for the management of public records aware of the available procedures and policies that govern the management and care of records in government.

The staff responsible for the management and care of records need to be well-capacitated in order to ensure that they effectively execute their functions. A well-capacitated staff ensures

that there shall be effective and efficient service delivery. This will further ensure that public records are well taken care of and that they will subsequently produce complete archives.

## **6.4 Recommendations**

This study investigated the various challenges that impede the preservation of records and archives throughout their life cycle, with a view to establishing a records preservation framework. This shall build a foundation for further innovative research in the area of records and archives preservation. The following recommendations are submitted as building blocks for developing a records preservation framework for the Swaziland government ministries and the SNA.

### **6.4.1 Policy and legislative framework**

The Swaziland National Archives should amend the Swaziland National Archives Act No. 5 of 1971, because it is now outdated. The new Act should incorporate clauses relating to the management of records throughout their life cycle and also address the issue of electronic records management and related systems to manage records in electronic format. The new Act should distinctly address the issue of records preservation, irrespective of media or format.

The SNA should facilitate the development of ministerial records management policies that will address specific ministerial records management requirements. These policies should incorporate issues relating to the preservation of all ministerial records. Ministries should be encouraged to ensure that all staff members are made aware of the records management and preservation policies.

The SNA should develop and promulgate a records preservation policy which will clearly address issues relating to the development and improvement of conservation facilities at the SNA. There shall also be a policy for training and recruiting qualified staff in the records and archives management cadre.

### **6.4.2 Procedures and regulation**

The SNA should develop a training programme that will capacitate all personnel dealing with management of records on records management standards and procedures.

The SNA should develop a preservation framework that would form the basis of various records preservation practices in government ministries, departments and the SNA. This framework should clearly outline how the different preservation activities will be integrated throughout the records life cycle and the records continuum as discussed in section 2.1 of Chapter 2. This will entail consideration of the different records preservation functions, such as:

- The promulgations of records management policies and procedures.
- Clear definition and assignment of records management and preservation responsibilities.
- Establishment of the archives and records management staff training and skills development policy and strategy.
- Establishment of comprehensive records access and use and records control systems in government ministries and the SNA.
- Compilation of records storage, security and handling guidelines.
- Development of a disaster preparedness and mitigation plans for government ministries and the SNA.
- Establishment of records storage areas environmental control and monitoring system in ministries.
- Acquisition and proper management of the records preservation budget.

### **6.4.3 Knowledge and skills of staff**

The SNA should continue training officers responsible for the management and care of records in government ministries in higher institutions of learning. This will ensure the establishment of a professional archives and records management cadre.

The SNA should facilitate the continuous practical training of staff working in the Conservation Unit. It is recommended for the SNA to implement an internship programme for university students studying natural sciences. This will ensure continuity in the area of records preservation and conservation.

It is recommended that the SNA facilitates the establishment of a team of records management professionals that shall look into the development of an integrated records management model. The model should be structured in a way that suits the records management requirements of the government of Swaziland.

The SNA should continuously attend workshops, seminars and conferences hosted by the various professional bodies that it is affiliated to, in order to ensure the professional development of its staff members.

#### **6.4.4 Storage and security of records**

It is recommended that all ministries should have designated storage areas for their records which should have HVAC systems constantly monitored. The SNA should ensure that all ministries transfer semi-current and inactive records to the SNA once their retention periods have elapsed, to avoid exposing semi-current and inactive records to unfavourable storage conditions and the uncontrolled destruction of records.

All ministries should ensure that the storage and security of records is governed by a records management policy, as well as records management standards and regulations. There shall be regulations restricting access to records storage areas only to officers responsible for the management and preservation of the records.

It is essential that the SNA develops a disaster management plan that will be passed to all government ministries. All staff members are to be trained on disaster emergency response.

#### **6.4.5 Condition and care of records**

It is recommended that the SNA should implement a records preservation programme that shall equip all officers responsible for the management and care of records with basic preservation and conservation techniques, in order to ensure that records are used and handled well and to capacitate the officers to do minor repairs to damaged records.

The SNA should conduct a preservation needs assessment of all its collections in order to identify the preservation requirements of its collections and apply the necessary preservation and conservation measures.

It is recommended that the SNA should train security officers responsible for the reading room preservation procedures. This could be done through workshops and sending the officers to practical assignments in other archival institutions within the region and internationally.

## **6.5 Further research issues for consideration**

A study into the preservation of electronic records and systems in government ministries and the SNA needs to be conducted in order to ensure that there is a comprehensive government records preservation framework that caters for all government records, irrespective of format. This will guide government ministries and departments in the management and preservation of the high influx of electronic records that are generated by the different electronic systems in government.

## **6.6 Final summary**

The study investigated the preservation of public records and archives in Swaziland government ministries and the Department of Swaziland National Archives. Failure to implement proper records preservation initiatives in Swaziland government ministries headquarters has resulted in many valuable public records not finding their way to the SNA.

In responding to the research questions, the study reviewed the literature. This entailed discussing general records preservation requirements globally, regionally (in Africa) and finally in Swaziland, which was the focus of the study. The study discussed different issues relating to the preservation of records and archives. Issues relating to legislation and regulatory frameworks, policies, training and capacity development, storage of records, preservation programmes and disaster management were discussed. Records management models, such as the Life Cycle and the Records Continuum Models, were discussed. These models were also looked at in the light of their relationship with this study, as well as their integration.

The research findings indicated that minor preservation work is carried out at a very low scale in government ministries and departments. Most of the officers working with records in government ministries who enrolled in universities and technikons did not necessarily possess qualifications related to records and archives management. At the SNA, a majority of the staff were trained on records management and preservation issues up to postgraduate level.

All these issues were discussed in order to mobilise the development of a comprehensive records preservation framework for the Swaziland government.



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## Appendices

### Appendix 1: Authority to conduct research from gate keeper

# MEMORANDUM

**TO:** ALL PRINCIPAL SECRETARY  
MINISTRY OF PUBLIC SERVICE,  
COMMISSIONER OF POLICE, COMMISSIONER OF  
CORRECTIONAL SERVICES

**FROM:** PRINCIPAL SECRETARY  
MINISTRY OF INFORMATION, COMMUNICATIONS AND  
TECHNOLOGY

**DATE:** 23<sup>RD</sup> July, 2014

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**Our Ref:** ICT / SNA 1/2

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**RE: AUTHORITY TO CONDUCT RECORDS PRESERVATION STUDY IN  
GOVERNMENT MINISTRIES AND DEPARTMENTS**

This serves to confirm that Mr. Nqoba Msibi (Conservator) a civil servant working in the Ministry of Information Communications and Technology, Department of Swaziland National Archives has been granted authority to conduct a study on "The Preservation of Records and Archives in Swaziland Government Ministries" in pursuance to the Master of information Studies degree at the University of KwaZulu Natal, Pietermaritzburg Campus.

The main purpose of the study is to investigate records preservation practices in the Swaziland Government Ministries and the Swaziland National Archives (SNA), in order to develop a records preservation framework.

Ministries and Departments are urged to support the officer with the information required to conduct the study.

Your usual co-operation in this regard is highly anticipated

  
**SIKELELA F. DLAMINI**  
PRINCIPAL SECRETARY

## **Appendix 2: Informed Consent Form and covering letter for survey instrument**

I..... (*Full names of participant*) hereby confirm that I understand the contents of this document and the nature of the research project, and I consent to participating in the research project.

I understand that I am at liberty to withdraw from the project at any time, should I so desire. I understand the intention of the research. I hereby agree to participate.

I consent / do not consent to have this interview recorded (if applicable)

SIGNATURE OF PARTICIPANT

DATE

.....

.....

SIGNATURE OF RESEARCHER

DATE

.....

.....

### **Appendix 3: Covering letter for survey instrument for collecting information on the preservation of public records and archives in Swaziland Government Ministries and the Department of Swaziland National Archives (SNA)**

Dear Participant,

My name is **Nqoba Msibi**. I am a Masters candidate studying at the University of KwaZulu-Natal, Pietermaritzburg Campus.

The title of my research is: **Preservation of public records and archives in Swaziland Government Ministries and the Department of Swaziland National Archives (SNA)**

The aim of the study is to investigate records preservation practices in the Swaziland Government Ministries and the SNA, in order to develop a records preservation framework.

I am interested in interviewing you so as to share your experiences and observations about records preservation practices applied in your Ministry/Department.

Please note that:

- The information that you provide will be used for scholarly research only.
- Your participation is entirely voluntary. You have a choice to participate, not to participate or stop participating in the research. You will not be penalized for taking such an action.
- Your views in this interview will be presented anonymously. Neither your name nor identity will be disclosed in any form in the study.
- The interview will take about 10 minutes.
- The record as well as other items associated with the interview will be held in a password-protected file accessible only to myself and my supervisors. After a period of 5 years, in line with the rules of the university, it will be disposed by shredding and burning.
- If you agree to participate please sign the declaration attached to this statement (a separate sheet will be provided for signatures)

I can be contacted at: School of Social Sciences, University of KwaZulu-Natal, Pietermaritzburg Campus, Scottsville, Pietermaritzburg.

Mr. Nqoba Msibi (+268 76133960, email: [nqobasm@gmail.com](mailto:nqobasm@gmail.com)/ [213563294@stu.ukzn.za](mailto:213563294@stu.ukzn.za))

My supervisor is **Dr. Zawedde Nsibirwa** who is located at the School of Social Sciences, Pietermaritzburg Campus of the University of KwaZulu-Natal.

Contact details: email [nsibirwaz@ukzn.ac.za](mailto:nsibirwaz@ukzn.ac.za) , Phone number: (+27) 33 260 5685

The Humanities and Social Sciences Research Ethics Committee contact details are as follows: Ms Phumelele Ximba, University of KwaZulu-Natal, Research Office, Email: [ximbap@ukzn.ac.za](mailto:ximbap@ukzn.ac.za), Phone number +27312603587.

Thank you for your contribution to this research.

## Appendix 4: Questionnaire 1

(Swaziland Government Ministries staff working with records)  
UNIVERSITY OF KWAZULU-NATAL (PMB)

**PRESERVATION OF PUBLIC RECORDS AND ARCHIVES IN SWAZILAND**  
**GOVERNMENT MINISTRIES AND THE DEPARTMENT OF SWAZILAND**  
**NATIONAL ARCHIVES**

Ministry/Department.....

Introduction: Hello, my name is **Nqoba Msibi** from the University of KwaZulu-Natal, Pietermaritzburg campus.

I would like to ask you a few questions for a survey I am conducting for my University programme (Masters in Information Studies). This questionnaire will last about 15 minutes. Your answers will be kept confidential and anonymous. I would further like to assure you that your name and contact details will not be reflected anywhere in the study.

You must please say if you would rather not participate, you may withdraw at any point. For any enquiries relating to this study please feel free to contact the researcher Mr. Nqoba Msibi (+268 76133960, email: [nqobasm@gmail.com](mailto:nqobasm@gmail.com))

**The purpose of this questionnaire is to find out from you, the records preservation practices applied in your Ministry/Department in order to develop a records preservation framework.**

**Instructions for filling the questionnaire**

- a) Please tick the appropriate answer(s) from the choices provided for each question
- b) In case of extra answers, use a separate piece of paper and indicate the question number answered
- c) Do not leave blank spaces. If the question does not apply, please indicate "N/A"

## Demographic Data

1. Are you:

Male [       ]                      Female       [       ]

2. Which age group do you fall under?

Under 20 [       ]      20 – 30 [       ]      31 – 40 [       ]

41 – 50 [       ]      51 – 60 [       ]      over 60 [       ]

3. What is the highest level of education that you have reached?

Primary                      [       ]

High school                [       ]

Technikon                 [       ]

University                 [       ]

Other, please specify .....

## Policy, procedures and regulatory framework

4. Are there records management related policies in place in your Ministry?

Yes                      [       ]

No                      [       ]

5. If “Yes” to question 4, which policies relate to records preservation?

.....  
.....

6. If “Yes” to question 4, are all staff members aware of the policy?

Yes [      ]

No [      ]

Unsure [      ]

7. Is the policy reviewed at regular intervals?

Yes [      ]

No [      ]

Unsure [      ]

8. Do staff members manage records according to this policy?

Yes [      ]

No [      ]

Unsure [      ]

9. Is there a records legislation?

Yes [      ]

No [      ]

Unsure [      ]

10. Are you aware of the contents of the legislation?

Yes [      ]

No [      ]

Unsure [      ]

11. Which of the following is available in your Ministry?

a.) Records procedures manual [      ]

b.) Records management regulations [      ]



12. Are there standards pertaining to the preservation of records?

Yes [      ]

No [      ]

Unsure [      ]

13. If your answer is “Yes” to Q12, have you been trained on those standards?

Yes [      ]

No [      ]

Unsure [      ]

### **Current Records**

14. What types of records does your ministry create?

a.) Paper based records [      ]

b.) Audio visual records [      ]

c.) Electronic records [      ]

d.) Other, please specify.....

15. What type / kind of paper do you use to create records?

a.) Printing paper

b.) Acid free paper

c.) Other, please specify .....

16. Where are records kept after creation?

a) Offices [      ]

b) Registry [      ]

c) Other, please specify.....

17. What kind of paper clips (fasteners) are used to hold together records?

- a) Metal paper clips [       ]
- b) PVC coated paper clips [       ]
- c) Galvanized metallic paper clips [       ]
- d) Brass archival paper clips [       ]
- e) Other, please specify.....

### **Semi current records**

18. Where are semi-current records stored before they are transferred to the records centre / archives?

- a) Registry [       ]
- b) Storeroom [       ]
- c) Offices [       ]
- d) Other, please specify .....

19. How often do you transfer records to the records centre / archives?

- a) Once a year [       ]
- b) Once in five years [       ]
- c) More than five years [       ]
- d) Other, please specify .....

20. Is the transfer governed by a retention schedule?

- a) Yes [       ]
- b) No [       ]
- c) Unsure [       ]
- d) Other, please specify.....

## Inactive records

21. What do you do with records that have reached their inactive stage?

- a) Store in the ministry [      ]
- b) Transfer to the archives [      ]
- c) Destroy [      ]
- d) Unsure [      ]
- e) Other, please specify.....

## Training

22. What is your understanding about records preservation?

.....  
.....

23. Do you have any training in the area of records management?

Yes [      ]

No [      ]

24. If “Yes” to question 23, at what level is that training?

- a) Certificate [      ]
- b) Diploma [      ]
- c) Degree [      ]
- d) Other specify.....

25. Do you have training in records preservation?

Yes [      ]

No [      ]

26. Which of the following is available in your organisation?

a.) Records preservation plan [       ]

b.) Records preservation manual [       ]

27. Is there a disaster management plan in place?

Yes [       ]

No [       ]

Unsure [       ]

28. If “Yes” to question 27, have staff been instructed in emergency recovery procedures?

Yes [       ]

No [       ]

Unsure [       ]

### **Storage of records**

29. Do you have a storage place for records?

Yes [       ]

No [       ]

30. Which of the following is used for storing files in your Ministry?

a.) Filing cabinets [       ]

b.) Shelves [       ]

c.) Boxes [       ]

d.) Other, please specify .....

31. For your choice of storage facility above, please specify what material are they made of?

a) Wooden racks [       ]

b) Steel cabinets [       ]

- c) Steel Shelves floor           [       ]
- d) Shelves adjustable           [       ]
- e) Card boxes                   [       ]
- f) PVC boxes                   [       ]
- g) Other, please specify .....

32. Do you have artificial climatic control equipment installed in the storage areas?

Yes                   [       ]

No                   [       ]

### **Security of records**

33. Is there a fire protective system?

Yes                   [       ]

No                   [       ]

Unsure               [       ]

34. Do windows in the storage areas have burglar bars?

Yes                   [       ]

No                   [       ]

Unsure               [       ]

35. Who has access to records storage areas?

a) Registry officers           [       ]

b) Action officers           [       ]

c) All staff members       [       ]

d) Other, please specify.....

36. How is the access to records storage areas controlled?

- a) Doors are always locked [       ]
- b) Selected staff granted access [       ]
- c) Access only granted to registry staff [       ]
- d) Other, please specify.....

### **Condition and care of materials in general**

37. Which of the following challenges are you faced with when preserving records?

- a) Torn and dusty files [       ]
- b) Unauthorized access [       ]
- c) Loss of files [       ]
- d) Loss of folios [       ]
- e) Torn file covers [       ]
- f) Mold and fungi [       ]
- g) Other please specify.....

38. Do you do any records preservation/conservation work in your ministry?

- Yes [       ]
- No [       ]
- Unsure [       ]

39. If “Yes” to question 38, what records preservation/conservation techniques do you apply?

- a) Minor repairs
- b) Dust removal
- c) Removing paper clips
- d) Changing torn folders

40. If “No” to question 38 what do you do with damaged records?

- a) Send them to the national archives conservation unit
- b) Do nothing
- c) Other, please specify .....

**Thank you very much for the time taken to answer these questions.**

Should you wish to be informed of the outcomes of this research please leave your email address or contact number below.

.....

## Appendix 5: Questionnaire 2

(Swaziland National Archives Staff)  
UNIVERSITY OF KWAZULU-NATAL (PMB)

**PRESERVATION OF PUBLIC RECORDS AND ARCHIVES IN SWAZILAND**  
**GOVERNMENT MINISTRIES AND THE DEPARTMENT OF SWAZILAND**  
**NATIONAL ARCHIVES**

Ministry/Department.....

Introduction: Hello, my name is **Nqoba Msibi** from the University of KwaZulu-Natal, Pietermaritzburg campus.

I would like to ask you a few questions for a survey I am conducting for my University programme (Masters in Information Studies). This questionnaire will last about 10 minutes. Your answers will be kept confidential and anonymous. I would further like to assure you that your name and contact details will not be reflected anywhere in the study.

You must please say if you would rather not participate, you may withdraw at any point. For any enquiries relating to this study please feel free to contact the researcher Mr. Nqoba Msibi (+268 76133960, email: [nqobasm@gmail.com](mailto:nqobasm@gmail.com))

**The purpose of this questionnaire is to find out from you, the records preservation practices applied in your Ministry/Department in order to develop a records preservation framework.**

**Instructions for filling the questionnaire**

- d) Please tick the appropriate answer(s) from the choices provided for each question
- e) In case of extra answers, use a separate piece of paper and indicate the question number answered
- f) Do not leave blank spaces. If the question does not apply, please indicate "N/A"



## Demographic Data

1. Are you:

Male ☐ Female ☐

2. Which age group do you fall under?

Under 20 ☐ 20 – 30 ☐ 31 – 40 ☐

41 – 50 ☐ 51 – 60 ☐ over 60 ☐

3. What is the highest level of education that you have reached?

Primary ☐

High school ☐

Technikon ☐

University ☐

Other please specify.....

## Policy, procedures and regulatory framework

4. Does the SNA have a policy to:

a) Improve preservation conditions ☐ Yes ☐ No ☐ Unsure

b) Develop conservation facilities ☐ Yes ☐ No ☐ Unsure

c) Train and recruit qualified personnel ☐ Yes ☐ No ☐ Unsure

d) Other, please specify .....

5. Are there standards pertaining to the preservation of records?

Yes [       ]

No [       ]

Unsure [       ]

6. If your answer to 5 is “Yes”, have you been trained on the use of those standards?

Yes [       ]

No [       ]

## **Training**

7. Do you have any training in the area of records management?

Yes [       ]

No [       ]

8. If “Yes” to question 7, at what level is that training?

e) Certificate [       ]

f) Diploma [       ]

g) Degree [       ]

h) Other, please specify.....

9. If “Yes” to question 7, did your training cover records preservation?

Yes [       ]

No [       ]

## The Building

10. What is the condition of the roof of the building?

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

11. Has the roof leaked in the past three years?

Yes [      ]

No [      ]

Unsure [      ]

12. What material is the roof made of?

a) Clay tiles [      ]

b) Corrugated iron sheets [      ]

c) Concrete tiles [      ]

d) Other, please specify .....

13. What type of roof does the building have?

a) Pitched [      ]

b) Flat [      ]

c) Other, please specify .....

14. What is the condition of the walls of the building?

a) Intact [      ]

b) Some minor openings [      ]

c) Large cracks in the walls [      ]

d) Other, please specify .....

15. What is the condition of the drainage system?

- a) Clean [       ]
- b) Blocked [       ]
- c) Unsure [       ]
- d) Other, please specify.....

## **Environmental Monitoring**

### **Temperature and relative humidity**

16. Does your building have a heating, ventilation and air conditioning (HVAC) system in the repositories?

- Yes [       ]
- No [       ]
- Unsure [       ]

17. If you have one, how old is the HVAC system?

- a) Less than 1 year [       ]
- b) 1 to 3 years [       ]
- c) 4 to 10 years [       ]
- d) More than 10 years [       ]
- e) Unsure [       ]
- f) Other, please specify.....

18. Is the HVAC system on at all times?

- Yes [       ]
- No [       ]
- Unsure [       ]

19. Does the HVAC system provide constant climate control throughout the year?

Yes [       ]

No [       ]

Unsure [       ]

20. If you do not have a HVAC system, please state how the following conditions are Achieved?

a) heating .....

Unsure [       ]

b) ventilation .....

Unsure [       ]

c) cooling .....

Unsure [       ]

21. Do the repositories have separate environmental controls systems from offices?

Yes [       ]

No [       ]

Unsure [       ]

22. Do the repositories have separate environmental controls systems from reading rooms?

Yes            [       ]

No            [       ]

Unsure       [       ]

23. What is the average temperature in the:

a) Building?..... °C

Unsure       [       ]

b) Repositories?..... °C

Unsure       [       ]

24. Is the temperature level in the repositories monitored constantly?

Yes            [       ]

No            [       ]

Unsure       [       ]

25. Is the relative humidity (RH) level in the repositories monitored constantly?

Yes            [       ]

No            [       ]

Unsure       [       ]

## Light

26. For how many hours are materials exposed to light during the day?.....

Unsure [       ]

27. Are lights in the repositories turned off when not in use?

Yes [       ]

No [       ]

Unsure [       ]

28. Is the light intensity in the repositories monitored?

Yes [       ]

No [       ]

Unsure [       ]

29. What type of lighting system is used in the repositories?

a.) Natural Light [       ]

b.) Fluorescent light [       ]

c.) Tungsten wire bulbs [       ]

d.) Other, please  
specify.....

30. What type of light is used in the reading rooms?

a.) Natural Light [       ]

b.) Fluorescent light [       ]

c.) Tungsten wire bulbs [       ]

d.) Other, please specify.....

31. If fluorescent tubes are used are they covered with UV filter sleeves?

Yes [      ]

No [      ]

Unsure [      ]

32. Are there window in the repositories?

Yes [      ]

No [      ]

33. If “Yes” to question 32 are they covered with:

a) Blinds [      ]

b) Curtains [      ]

c) UV film [      ]

d) Other, please specify .....

### **Air pollution**

34. Are there air filtering systems in the repositories?

Yes [      ]

No [      ]

Unsure [      ]

### **Pest management**

35. Are all materials that are to be accessioned checked for insects/vermin before they enter the repositories?

Yes [      ]

No [      ]

Unsure [      ]



36. Have you ever experienced any insect invasion or vermin infestation in the building?

Yes [ ]

No [ ]

Unsure [ ]

37. If your answer is "Yes" to question 36, please state the type(s) of insect invasion/vermin infestation .....

38. If “Yes” to question 36, what methods are used to control insect infestation?

a) Fumigation [ ]

b) Integrated Pest Control (IPC) [ ]

c) Other, please Specify.....

## Storage and handling

39. Are the repositories generally clean?

Yes [ ]

No [ ]

40. How are the repositories cleaned?

Unsure [ ]

41. Is there adequate space for shelving and storage?

Yes [ ]

No [ ]

Unsure [ ]

42. Who has access to the repositories?

a) Staff only [       ]

b) Staff and the users [       ]

43. Are there written guidelines for handling of materials for staff/users?

Yes [       ]

No [       ]

Unsure [       ]

44. Who determines what can be safely copied? .....

Unsure [       ]

### **Fire detection and suppression**

45. Do the repositories have a fire detection and suppression system?

Yes [       ]

No [       ]

Unsure [       ]

46. If “Yes” to question 45, what fire suppression agent is used?

a) Water

b) Carbon dioxide

c) Mono Ammonium

d) Fluoroform

e) Nitrogen

f) Other, please specify

.....

## Security

47. What security systems exist in the building? (Please tick all the applicable options).

- a) Employ security personnel [      ]
- b) Electronic security system [      ]
- c) Closed circuit television cameras (CCTV) [      ]
- d) Intruder alarm system [      ]

48. Do windows in storage areas have burglar bars?

- Yes [      ]
- No [      ]
- Unsure [      ]

49. Are there security officers assigned to reading rooms?

- Yes [      ]
- No [      ]

50. If “Yes” to question 49, are they trained in archives management security procedures and material use?

Please explain.....  
.....  
.....

51. How effective do you think your security system has been over the past ten years?

a) Effective [      ]

b) Not effective [      ]

c) Unsure [      ]

52. If your answer to the previous question is 'not effective' please explain why you think it is not effective.

.....

.....

.....

### **Disaster preparedness and management**

53. Is there a disaster planning team in place?

Yes [      ]

No [      ]

Unsure [      ]

54. Have staff been trained in emergency planning?

Yes [      ]

No [      ]

Unsure [      ]

55. If "Yes" to question 54, please provide details

.....

.....

.....

56. Have staff been instructed in emergency recovery procedures?

Yes [      ]

No [      ]

Unsure [      ]

57. If "Yes" to question 56, please provide details

.....

.....

.....

### **Condition and care of materials in general**

58. What is the condition of records that are received from government ministries and departments?

.....

.....

.....

59. What is the overall condition of the archival materials?

Very good [      ]

Good [      ]

Average [      ]

Poor [      ]

Very poor [      ]

Other please specify .....

60. If your answer to question 59 is "poor" or "very poor", which types of records are in particularly poor condition?

.....

.....

.....

61. In the table below state the extent of agreement or disagreement about the general physical condition of the materials in your repositories.

They are dirty (soiled, stained).				
Strongly agree [ ]	Agree [ ]	Disagree [ ]	Strongly disagree [ ]	Undecided [ ]
Deteriorating through wear and tear				
Strongly agree [ ]	Agree [ ]	Disagree [ ]	Strongly disagree [ ]	Undecided [ ]
Condition of paper is poor (acidic and brittle).				
Strongly agree [ ]	Agree [ ]	Disagree [ ]	Strongly disagree [ ]	Undecided [ ]
Condition of materials generally poor because of mould attack.				
Strongly agree [ ]	Agree [ ]	Disagree [ ]	Strongly disagree [ ]	Undecided [ ]

62. Have you observed deterioration resulting from the use of documents by the users?

Yes [ ]

No [ ]

63. If "Yes" to question 62, do you ascribe the deterioration to: (Please tick all the applicable options).

a) Frequent use [ ]

b) Inadequate supervision [ ]

c) Photocopying [ ]

d) Microfilming [ ]

e) Scanning [       ]

f) Other, please specify.....

64. Who carries out conservation treatment? (Please tick all the applicable options).

a) Done in-house [       ]

b) Done commercially [       ]

c) Other, please specify .....

65. Are those dealing with conservation treatment trained to carryout conservation procedures?

Yes [       ]

No [       ]

Unsure [       ]

66. If “Yes” to question 65, at what level?

a) Certificate [       ]

b) Diploma [       ]

c) Degree [       ]

d) Postgraduate [       ]

e) Other specify.....

**Thank you very much for the time taken to answer these questions.**

Should you wish to be informed of the outcomes of this research please leave your email address or contact number below.

.....

## Appendix 6: Interview schedule

(Swaziland National Archives Director, Principal Archivist and Senior Archivist)  
UNIVERSITY OF KWAZULU-NATAL (PMB)

### **PRESERVATION OF PUBLIC RECORDS AND ARCHIVES IN SWAZILAND** **GOVERNMENT MINISTRIES AND THE DEPARTMENT OF SWAZILAND** **NATIONAL ARCHIVES**

Interviewer.....

Date of Interview.....

Introduction: Hello, my name is **Nqoba Msibi** from the University of KwaZulu-Natal, Pietermaritzburg campus.

I would like to ask you a number of questions for a survey I am conducting for my University programme (Masters in Information Studies). This interview will last about 15 minutes. Your answers will be kept confidential and anonymous. I would further like to assure you that your name and contact details will not be reflected anywhere in the study.

You must please say if you would rather not participate, you may withdraw at any point. For any enquiries relating to this study please feel free to contact the researcher Mr. Nqoba Msibi (+268 76133960, email: [nqobasm@gmail.com](mailto:nqobasm@gmail.com))

**The purpose of this interview is to find out from you, the records preservation practices applied in your Ministry/Department in order to develop a records preservation framework.**



## Demographic Data

1. Male ☐ Female ☐
2. Which age group do you fall under?
- Under 20 ☐ 20 – 30 ☐ 31 – 40 ☐ 41 – 50 ☐
- 51 – 60 ☐ over 60 ☐
3. What is the highest level of education you have reached?
- Primary ☐
- High school ☐
- Technikon ☐
- University ☐
- Other, please specify.....

## Policy, procedures and regulatory framework

4. Does the Swaziland National Archives (SNA) have a policy to:
- a) Improve preservation conditions ☐ Yes ☐ No ☐ Unsure
- b) Develop conservation facilities ☐ Yes ☐ No ☐ Unsure
- c) Train and recruit qualified personnel ☐ Yes ☐ No ☐ Unsure
- d) Other, please specify .....

5. If your answer is “No” to any of question 4, do you intend developing one?

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

6. If your answer is “No” to all of question 4, then go to question 11.

7. If “Yes” to question 4 are all staff members aware of the policy/policies?

Yes            [       ]

No            [       ]

Unsure       [       ]

8. Is the policy/policies reviewed at regular intervals?

Yes            [       ]

No            [       ]

Unsure       [       ]

9. If “Yes” to question 7, how often is the policy reviewed?

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

10. Do staff members manage records and archives according to this policy?

Yes            [       ]

No            [       ]

Unsure       [       ]

11. Does your institution have a preservation strategy?

Yes     [       ]                      No     [       ]                      Unsure     [       ]

12. If “Yes” to question 10, who is responsible for its implementation?

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

13. If “Yes” to question 11, how successful do you consider your current preservation strategy is in achieving your institution's preservation goals?

a) Successful     [       ]

b) Unsuccessful [       ]

c) No opinion     [       ]

14. What factors influenced your answer to the question 12?

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

15. Does the SNA affiliate to international records management bodies?

Yes                [       ]

No                 [       ]

16. If “Yes” to question 15, how does SNA benefit in the area of records and archives preservation?

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

## Budget allocation

17. Is there a budget allocated for the management of records and archives in the SNA?

- a) Yes [       ]  
b) No [       ] then go to question 21

18. If "Yes" to question 17, how much of the budget goes to preservation and conservation?

- a) 1% - 4% [       ]  
b) 5% - 10% [       ]  
c) Other please specify.....

19. What records preservation and conservation activities does it support?

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

20. Is the allocation in question 17 sufficient?

- Yes [       ]  
No [       ]

21. If "No" to question 20, please specify.

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

22. Does the SNA receive any alternate funding?

- Yes [       ]  
No [       ]

23. If "Yes" to question 22, please state the organisations that provide extra funding.

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

24. If "Yes" to question 22, please state what the funds are/will be used for

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

25. Is there a budget allocated for registries in government ministries and departments?

Yes [       ]

No [       ] If "No" then go to question 28

26. If "Yes" to question 25, is the allocation sufficient?

Yes [       ]

No [       ]

Unsure [       ]

27. If "No" to question 26, please specify.

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

28. If "No" to question 25, what plans are put in place to allocate a budget for registries?

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

## **Recruitment of staff**

29. Does your institution have a recruitment policy/guidelines for staff members within the records management section? Please elaborate.

.....

.....

.....

30. What are the minimum requirements for recruiting staff within the records management section?

.....

.....

.....

## **Training in preservation management**

31. Are the personnel carrying out preservation activities at the SNA trained in preservation techniques?

Yes     [       ]

No      [       ]

32. If “Yes” to question 31, Please elaborate.

.....

.....

.....

33. Are the registry staff trained in preservation techniques?

Yes     [       ]

No      [       ]

34. If “Yes” to question 33, please elaborate.

.....

.....

.....

35. Do you have a training needs assessment programme for registry staff?

Yes            [       ]

No            [       ]

Unsure       [       ]

36. If “Yes” to question 35, please elaborate.

.....

.....

.....

37. The table below indicates some of the features of the staff employed in the preservation and conservation of archival records at the SNA? Please indicate the total number of staff involved in each instance.

- a) Technical training refers to technician without university degree;
- b) Academic refers to university degree plus professional qualification in conservation.
- c) Indicate "NA" where it does not apply.

Variable	Total
Number of staff at your institution	
Staff directly involved in preservation and conservation activities	
Number trained abroad	
Number with technical training	
Number with the highest qualification as Form 3	
Number with the highest qualification as Form 5	
Number with the highest qualification as a Certificate in archives or Records	
Number with the highest qualification as a bachelor's degree without archives studies	
Number with the highest qualification as a Masters in an archival related discipline	
Number with training in de-acidification	
Number with training in microfilming	
Number with training in digital preservation	
Number with training in developing conservation-restoration programmes or surveys	
Number with training in providing advice and technical assistance for conservation-restoration of cultural property	
Number with training in developing and implementing preventive and handling procedures	
Number with training in evaluating conservation problems in context	
Other, please specify	
.....	
.....	
.....	



**Thank you very much for the time taken to answer these questions.**

Should you wish to be informed of the outcomes of this research please leave your email address or contact number below.

.....

## Appendix 7: Observation guide

(Swaziland National Archives, Government Ministries Headquarters)  
UNIVERSITY OF KWAZULU-NATAL (PMB)

### **PRESERVATION OF PUBLIC RECORDS AND ARCHIVES IN SWAZILAND GOVERNMENT MINISTRIES AND THE DEPARTMENT OF SWAZILAND NATIONAL ARCHIVES**

Observer.....

Ministry/Department.....

Date of observation.....

Time of observation.....

Records storage location.....

### **Structure and design**

1. Where are records stored in the registries?

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

2. Where do records officers work in the registries?

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

3. Is the records storage area clean?

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

4. What type of shelving is used?

[       ]       Wooden

[       ]       Metal

[       ]       Compact or high density

[       ]       Other, please specify.....

5. What is the distance between the bottom shelves and the floor?

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

6. Are records properly shelved?

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

7. How much space is available for the storage of records?

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

## **Security**

8. How is access to the storage areas controlled?

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

9. Is there a service counter in the registry?

.....

.....

.....

10. Are the doors to records storage areas lockable?

.....

.....

.....

11. Are the doors locked at all times?

.....

.....

.....

12. Are there burglar bars on the doors to the records storage areas?

.....

.....

.....

13. What measures are taken to protect the records/archives while they are being used?

.....

.....

.....

## **Environmental conditions of storage areas**

14. Is there a fire protection system?

.....

.....

.....

15. Is there a heating, ventilation and air conditioning (HVAC) system?

.....

.....

.....

16. Is the HVAC system on?

.....

.....

.....

17. Is the records storage area hot or cold?

.....

.....

.....

18. What is used to measure relative humidity?

.....

.....

.....

19. What type of lights are used?

.....

.....

.....

20. Are lights in the records storage areas turned off when not in use?

.....

.....

.....

21. Are there windows in the records storage areas?

Yes            [       ]

No            [       ]

22. If “Yes” to question 22, how many windows are there?

.....

.....

.....

23. Are windows covered to prevent sunlight rays from entering the storage areas?

.....

.....

.....

24. Are there any signs of leaks on the roof?

.....

.....

.....

25. Are there any signs of insect droppings?

.....

.....

.....

### **Preservation measures**

26. What basic preservation measures have been taken?

Use of boxes [       ]

Use of files [       ]

Use of brown paper [       ]

Use of Mylar (jiffy) bags [       ]

27. Do records fit well in the files covers?

.....

.....

.....

28. What is the general condition of the records?

.....

.....

.....

29. How are records handled and used?

.....

.....

.....

## **Appendix 8: The Archives Act No.5, 1971**

### THE ARCHIVES ACT NO.5, 1971

Date of commencement: 17th March, 1972.

Date of assent: 13th May, 1971.

An Act to provide for the custody, care and control of public archives in Swaziland and for matters incidental thereto.

Short title.

1. This Act may be cited as the Archives Act No.5, 1971.

Interpretation.

2. In this Act, unless the context otherwise requires —

“archives” means any document or record received, created, or accumulated in a government office or an office of a local authority during the conduct of affairs in that office and which is from its nature or in terms of any other Act not required then to be dealt with otherwise than in accordance with this Act, and any document of record acquired under section 6;

“Director” means the person appointed under section 4;

“Minister” means the Minister for Tourism, Environment and Communication;

“national archives” means the Swaziland National Archives established under section 3;

“record” includes any newspaper, book, document, periodical, pamphlet, poster, or other printed matter or a writing typescript which has in any manner been reproduced, or any drawing, picture, illustration, woodcut or similar representation, or any plan, negative print, photograph, engraving or lithograph, or any record or other material, contrivance or device by means of which information can be conveyed and words or images reproduced either in sound or light.

Establishment of national archives.

3. There shall be established a Swaziland National Archives wherein shall be stored for better preservation such of the archives as are transferred to it or acquired by the Director under this Act.

Director.

4. (1) There is hereby created the post of Director of the national archives who shall be a public officer.



- (2) The Director shall be charged with the custody, care and control of archives and may, subject to subsection (3), do all things necessary or expedient for maintaining the utility of the national archives, and without affecting the generality of the foregoing, may in particular —
- (a) with the agreement of the Minister regulate the conditions under which members of the public may inspect archives or use the other facilities of the national archives;
  - (b) with the approval of the Minister lend archives for display at commemorative exhibitions or for other special purposes;
  - (c) advise any person charged with the custody, care or control of any archives, in regard to the custody, care and filing thereof;
  - (d) with the approval of the Minister by donation, exchange or otherwise dispose of any archives which are redundant or unsuitable to any library, museum, or other body;
  - (e) on the application of any person and on payment of the prescribed fee, do research into archives and make copies thereof or extracts therefrom for that person;
  - (f) with the approval of the Minister publish or cause to be published or authorize the publication of any archives or original sources of a thesis or other work based on a study of the archives or those sources.
- (3) The Director shall, in addition, perform such other duties in connexion with the archives as the Minister may direct or prescribe.
- (4) Nothing in this section shall be construed as authorizing the Director or any person to do anything which is contrary to law or the conditions under which any archives were acquired.

Transfer of archives to national archives.

5. All archives in a government office or any office of a local authority which are older than a prescribed age, and which are not in terms of any law required to be kept in the custody of a particular person shall be transferred to the national archives:

Provided that —

- (a) the Minister may, if he deems fit, at the request of any person charged with the custody, care or control of archives, grant permission that such archives or any portion thereof be retained in the office in question; and
- (b) the Director may —
  - (i) defer the transfer of such archives until such time as he deems fit;
  - (ii) grant permission that any archives which are less than the prescribed age be transferred to the national archives.

#### Acquisition of documents and records for national archives.

6. (1) The Director may on behalf of the Government acquire by purchase or donation or on loan for a temporary period or in perpetuity, either unconditionally or subject to such conditions as may be agreed upon, any document or record which in his opinion has, or may acquire, any historical value.
- (2) Subject to any conditions which may be applicable any document or record so acquired shall be deposited in the national archives.
- (3) A person who has made use of the archives in connexion with the production of any written matter shall, if that written matter has been published or duplicated, at the request of the Director furnish him with a copy thereof free of charge and that copy shall be deposited in the national archives.

#### Disposal of archives.

7. If it appears to the Director that any archives in the national archives are duplicated by other archives which have been selected for permanent preservation or that there is some other special reason why they should not be permanently preserved, he may, with the approval of the Minister, authorize the destruction of those archives or, with that approval, their disposal in any other way:

Provided that at least six weeks before the destruction of any archives, a list of items to be destroyed shall be tabled by the Minister in both Houses of Parliament.

#### Access to archives.

8. (1) Archives, other than those to which members of the public had access immediately before the commencement of this Act, shall not be available for public inspection until they have been in existence for such period as the Minister may prescribe in respect of any particular class of archives.
- (2) Without prejudice to the generality of subsection (1), if it appears to the Director that any archives selected for permanent preservation under this Act contain information which was obtained from members of the public under such conditions that the opening of those archives to the public after the period determined under subsection (1) would or might constitute a breach of good faith on the part of the Government or on the part of the persons who obtained the information, he shall inform the Minister accordingly, and those archives shall not be available for public inspection even after the expiration of the said period, except in such circumstances and subject to such conditions, if any, as the Minister may prescribe.
- (3) Subject to subsection (2) and to any other law which prohibits the disclosure of information obtained from the public except for certain limited purposes, the Director shall arrange that reasonable facilities are available to the public for inspecting and obtaining copies of archives in the national archives.
- (4) Notwithstanding anything in this Act —
  - (a) the Minister may on the grounds of national security or defence direct that access for a specified period to any such archives be withheld; and

- (b) the Director may refuse to allow access to any archives on the ground of their fragile condition and may refuse to allow access to any archives pending the classification, repair, or other treatment thereof.

#### Regulations.

- 9. (1) The Minister may, after consultation with the Director, make regulations for carrying into effect the purposes and provisions of this Act as to —
  - (a) the custody, care, microfilming and filing of archives;
  - (b) the inspection and destruction under this Act or achieves by the Director;
  - (c) the transfer of archives from Government offices or the offices of public authorities to the national archives;
  - (d) the admission of the public to Government offices and offices of public authorities in which archives are kept, and the use of equipment for the making of copies of, or extracts from, archives;
  - (e) the tariff of fees payable for supplying copies of, or extracts from, the national archives or for research undertaken by the Director at the request of any person, and the manner in which payment of those fees will be made; and
  - (f) generally, the better carrying out of the objects of this Act.

#### Offences.

- 10. (1) A person who —
  - (a) wilfully damages any archives;
  - (b) otherwise than in accordance with this Act or any other law, removes or destroys any archives;
  - (c) contravenes or fails to comply with any condition of an authority granted under section 8; or
  - (d) contravenes a regulation issued under section 9;shall be guilty of an offence and liable on conviction to a fine of two hundred emalangeni or imprisonment for twelve months, or both.
- (2) The Director may refuse access to the national archives, for such period as he may deem fit to a person convicted of an offence under subsection (1), subject to the right of appeal to the Minister whose decision shall be final.

#### Exemption from liability in respect of certain acts and omissions and limitation of actions.

- 11. (1) No person shall be civilly or criminally liable for any act or omission by him in the performance of his functions or what he bona fide believes to be his functions under this Act, provided the act of omission was bona fide and not due to negligence, nor shall the Govern-ment be liable for any such act or omission.

- (2) If in any legal proceeding a person alleges that such act or omission was not bona fide or was due to negligence, the onus of proving that such was the case shall be on him.
- (3) Any civil proceedings against the Government or any person in respect of any such act or omission shall be commenced within six months after the cause of action has arisen:

Provided that the High Court may, on good cause shown, extend such period.